A Case Study of the Internationalisation of Higher Education in China: Meaning, Implementation and Evaluation

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Abstract

While the internationalisation of higher education (IHE) is often treated as a single global phenomenon by those who evaluate its effectiveness, internationalisation means different things in different contexts. Due to the limited number of Chinese-context-based studies and literature of IHE, this research aims to set up an empirical and contextual study of Chinese IHE considering the following points of concern: how the meaning, interpretation and evaluation of IHE are constructed in practice in a Chinese university; how these three points of concern shape IHE in specific local contexts; and whether we can understand this process through using evaluation tools developed in 'western' contexts of IHE. This makes it possible to understand the specific qualities of internationalisation from a Chinese perspective, which are not well represented in the English-language or Chinese language academic literature, as well as to understand its similarities (institutional functions) with western models. This research found multiple perceptions of the meaning of IHE in the Chinese context – learning for self-improvement, nationalism, platform perceptions and other marginal perceptions – which differentiate Chinese models of IHE from those in the West. Moreover, the dominant motivation for internationalisation in the Chinese university is academic development, which is different from the Western universities' more economic rationales. These differences can be attributed to the history of the

modernisation of higher education in China, the impact of nationalist revolution on

higher education and dual-managerial systems in higher education institutions (HEIs)

which involve the Communist Party Committee and the university president. Finally,

based on the findings of this research, the thesis also identifies national and

international barriers which prevent the case university from being internationalised

and introduces context-sensitive, institutional-level recommendations for the case

university in China.

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Chapter 1 Introduction

"Internationalisation means different things to different people."

(Knight, 1994, 7)

The internationalisation of higher education (IHE) is no longer a new phenomenon in the 21st century. The impact of globalisation and the expansion of business and commerce have placed increasing demands on higher education (Hayward, 2000; Siaya and Hayward, 2003). In the UK, USA and other developed countries, internationalisation has been incorporated into higher education institutions' strategic agenda as a developing strategy. Academic studies of IHE started early and have expanded widely in Western countries. Altbach (2002) points out that the existing theories and studies on IHE are therefore largely western. These western-born definitions and theories are cited and adopted across various contexts (Yang, 2002; Zha, 2003; Jowi, 2009). Given that internationalisation means different things to different people (Knight, 1994), however, whether these definitions and theories are adoptable from one context to another different context becomes disputable.

At present, the existing literature and studies about IHE are not to understand how IHE is defined, implemented and evaluated in Chinese universities. Therefore, this research sets up an empirical and contextual study to investigate IHE in a Chinese context. It aims at investigating the meaning, implementation and evaluation criteria of IHE in a specific Chinese higher education institution, as well as the relationship among them. The meaning, implementation and evaluation in both Western and Chinese contexts within a global context are investigated to inform the development of context-sensitive methods to understand "internationalisation" that do not depend on criteria developed by western researchers. As most existing knowledge of IHE is generated in Western

contexts, western approaches of exploring IHE knowledge are relied upon in this study but not fully adopted. In this research, the "Chinese context" refers to higher education institutions (HEIs) of mainland China, and the "Western context" refers to higher education HEIs in the developed European countries, North American countries and Japan. Although Japan is geographically an East Asian country, in terms of the higher education model and economic strength, it is heavily influenced by the USA and often considered a western-style country (Agawa, 2011).

This chapter presents the central issues underpinning this research, including the motives of the research, research aim and questions, research context, theoretical framework and the structure of this research. In this thesis, the term "internationalisation of higher education" is used synonymously with "university internationalisation" or "university internationalising". Although they can refer to various contexts, these terms are used interchangeably to signal a broad view that includes a wide range of activities related to the process of internationalisation on and off university campuses.

1.1 Rationale of the research

Personal experience

My interest in IHE is, initially, due to my personal experiences. After being educated in the Chinese educational system for over 20 years, I applied to and enrolled in the University of Leeds studying MA in TESOL Studies in 2006. I studied there for one year and received a high-quality education with nearly a hundred other international students in the School of Education. I graduated with a merit degree after one year of study, during which time I experienced various cultural conflicts and underwent self-adjustment to adapt to English values of higher education and culture.

After completing my MA, I was employed as a language teacher teaching English to Chinese undergraduates and teaching the Chinese language to international students in a Chinese university in 2008. I was at one point the only staff member of my college with a master's degree from a foreign (non-Chinese) university. The college leaders and staff therefore placed much more expectation on me. As a novice teacher, I was ambitious and passionate to commit myself to teaching and I attempted to use all the teaching methods and theories I had learned from Leeds in my English classes.

However, this did not work well at the very beginning. For example, group work and workshops are very common learning and teaching activities in the UK. However, in the Chinese context, there are no such concepts as group work, workshops or seminars at the undergraduate level. My Chinese students felt confused and reluctant to participate at the early stage. It took me around half a term to explain and practice these western learning and teaching activities with my Chinese students. At the end of the term, I was happy to find that students had accepted these learning methods and they could communicate more actively and accurately in English in the class. In terms of my international students, I also had a period of time in which I felt confused about how to teach them. These foreign students had little knowledge of the Chinese language and the Chinese higher education system. At the outset, I taught Chinese language through the intermedium language English. However, the university forbids Chinese language teachers to use English after the first year of study. I had to change my teaching methods, speaking simple and easy-to-understand Chinese, drawing pictures and using body language. All the teachers and International Office administrators often discussed and designed various ways to meet the students' needs and the curriculum requirements. The university also assessed our teaching quality every year. The students' satisfaction and our teaching performance were the main

aspects of the evaluation. After several terms, the foreign students had started to adjust to and feel satisfactory to the classes.

These international learning and teaching experiences contributed to my interest in the exploration of internationalisation: what does internationalisation mean; what should we do for the purpose of IHE; how to evaluate what we have done? These questions haunted me for a very long time. With these questions in mind, I turned to the literature about IHE and surprisingly found that the number of studies about IHE in the Chinese context was very limited. The lack of literature and empirical studies on Chinese IHE stimulated me to address this gap in our academic understanding of this phenomenon.

Academic inquiry

In a recent (January 2013) search for literature sorted by title with the term "高等教育国际化" (IHE) and "高等教育国际化评价" (IHE evaluation) in the "China National Knowledge Infrastructure" (CNKI) database, which is the largest academic journal corpus in China, there were only 803 items found on IHE and only one record on "IHE evaluation" between 1980 and 2012, most of which were published in the last 5 years (Jiang, Su and Cui, 2011). This number is comparatively much lower than the number of English-language texts. This implies that IHE has not received serious attention in the Chinese academic field. As a matter of fact, not only was the volume of the literature small, but its depth and breadth on this issue was also problematic. Most literature consisted of descriptive journal articles focusing on foreign student issues, case studies of running collaborative programmes in China, and the statements from Chinese students studying abroad. Little attention has been paid to the academic and theoretical study of IHE in the Chinese context. Moreover, most Chinese scholars adopt western definitions and theories for their research, such as Chen (2007) and Wu

(2009). In a search for references on IHE evaluation, there was only one study which adopted the ACE's (American Council on Education) evaluation framework to assess internationalisation in Chinese universities (Hu, 2009).

In the western literature on the meaning and the evaluation tools of IHE, a similar problem of adoption also exists. For example, Jane Knight is an expert on the subject of IHE, international strategies, quality assurance, management, and mobility in higher education discourse. Her definitions (Knight, 1994; Knight, 2003) are considered as the most "classic and shed light on the development of internationalisation studies" (Callan, 2000, 16). These definitions are cited and adopted across various contexts for different aspects of IHE studies. For example, in terms of IHE evaluation studies, three instruments which are used to exemplify 'Western' meanings and models of IHE in this thesis – IQRP (Internationalisation Quality Review Process), ACE and Osaka University's *Evaluation Criteria to Assess the Internationalisation in Japan* (Japanese Indicator List) – adopt Knight's (1993) definition. In addition, it is noteworthy that these three evaluation tools are built upon each other. This approach of adopting criteria of evaluation across different contexts contradicts the argument "internationalisation means different things to different people" (Knight, 1994, 7). It raises however the question of whether this kind of adoption could lead to the misinterpretation of internationalisation in different contexts and whether this adoption could misguide the contextualized knowledge inquiry of IHE?

The limited number of theories and academic inquiry into Chinese IHE triggers a need to investigate IHE in China. This empirical research therefore focuses on how IHE is interpreted and implemented in a Chinese higher education context. Furthermore, given the increasing importance of higher education quality to HEIs (Bruch and Barty, 1999; Woodhouse, 1999; Brandenburg and Federkeil, 2007; Brandenburg, et al, 2009;

Fang, 2011; Hartmann, 2014), seeking the criteria for IHE evaluation is another focus of concern in this exploration.

1.2 Research aim and research questions

The preceding research rationale has presented the problematic issues of IHE studies in both Chinese and Western contexts. At present, the existing voices of IHE definitions and theories are still fragmented and based largely in European and American countries (Beerkens et. al, 2010). The main aim of this research is thus to investigate IHE in a specific Chinese higher education context. There are three concerns of IHE in this research, which are the meaning, the implementation and the evaluation of IHE. Specifically, this research aims at providing the groundwork for understanding the particular meaning, implementation and evaluation of IHE in the Chinese context, and for exploring the relationship among these three concerns. The findings of this empirical study lay the foundations for the investigation and analysis of how IHE in the Chinese context is similar to and different from IHE in the Western context in terms of these three concerns.

This research utilizes a case study approach, combining semi-structured interview and documentary sources as data collection methods to explore the meaning, implementation and evaluation criteria of IHE in a "regular-level" university (see Section 1.3) in mainland China. In order to have a deeper understanding of how IHE is understood and implemented within the case university and to help the case university's international development, this research also attempts to find out the barriers that were encountered in practice and to contribute recommendations for the case university's internationalisation. The entire research was originally led by six research questions at the initial stage:

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- *How does the case university interpret IHE?*
- *How has the case university sought to 'internationalise'?*
- *Does the case university seek to evaluate its internationalisation? Does it have its own criteria or tools for evaluation? What dimensions should be evaluated, if there is no such framework?*
- *How does the interpretation of IHE in the case university relate to existing definitions in western academic literature and evaluation tools?*
- *To what extent does the Chinese case university's evaluation framework reflect the existing evaluating tools and indicator frameworks of other countries?*
- *What barriers does the case university face in defining and implementing internationalisation, and how might these be overcome?*

In order to report the findings of the data analysis clearly, these six research questions were integrated into four:

- *What does IHE mean in the case university? How does it relate to the meanings found in Western research and evaluation tools?*
- *How has the case university sought to 'internationalise'?*
- *What should be evaluated in the case university? How does the implementation of IHE impact the composition of an IHE evaluation framework in the case university? How does the evaluation framework in the case university relate to the existing western evaluation frameworks?*
- *What barriers does the case university face in defining and implementing internationalisation, and how might these be overcome?*

1.3 Research contexts

This research focuses on Chinese IHE in a "regular non-211/985 project" case university; i.e., a university that is not given special government support to "internationalise" (see sub-section on "211/985 Project HEIs below for further details). However, in order to have a holistic view of how the case university is being internationalised, it is important to situate it within global, national and institutional contexts and to consider how these factors affect IHE in the Chinese case university.

Global context

Globalisation has been the catalyst and dominant rationale for internationalisation in the higher education sector for over three decades (Knight, 1999a; Lin, 2005; Wu, 2009). The General Agreement on Trade in Services (GATS), which is the central treaty of the World Trade Organization (WTO), is considered as "an important wake-up call for higher education" (Knight, 2008, X). According to this agreement, it is the obligation that every member of the WTO must open their markets to each other in terms of trading services (Bassett, 2006; Knight, 2006). This has accelerated the progress of market capitalism and diminished the boundaries of market, product and even education. Education, especially higher education, became one of the six services in the GATS (Roberson et al, 2006). In 2001, China became a member of the WTO. This is one of the significant event for Chinese higher education in opening it to the world. It accelerates the process of internationalisation for Chinese higher education. It also brings Chinese higher education to a new stage in its historical development.

In the past three decades, the status of IHE has changed from marginal to mainstream in higher education across the world (Brandenburg and de Wit, 2011), and many universities have added internationalisation into university planning or strategy (Ayoubi and Massoud, 2007; de Wit, 2010). In European and North American countries, there are some excellent governmental and non-governmental organizations (NGOs) playing an active role in student and faculty mobility and cross-border education; for example: Erasmus, the Fulbright Programme, the British Council and Science without Borders Programme (Brazil-UK). Their main formats are recruiting international students, launching collaborative research and communicative programmes with foreign universities, and setting up cross-board campuses. This global trend also impacts specifically upon the Chinese higher education market. For

instance, in the 1990s, the British Council and World Bank launched a series of programmes in China. The initial initiatives focused on the popularization of English-language learning and teaching and sponsored many Chinese students and teachers for overseas study. The main courses were the TESOL (Teaching English to Speakers of Other Languages) and TEFL (Teaching English as a Foreign Language). This strategy paved the road for massive international mobility in the immediate future (Liu, 1994).

The global context, which creates a free and open environment worldwide, is both a challenge and opportunity for China. Its openness offers more opportunities to know and learn from advanced technology and knowledge for the enhancement of Chinese higher education, and more opportunities to cooperate with foreign HEIs. On the other hand, globalisation also brings economic competitiveness to higher education and the inconsistency of the nature of higher education against the marketization.

The Chinese higher education context

The development of IHE started at the end of the 1970s in China. In 1978, Deng Xiaoping, who was one of the highest leaders within the Chinese Communist Party Committee, called for a "Reform and Open Policy" in China. This reform broke up the closure of the Chinese economy as well as of higher education. In the past decades, due to the impact of the 1978 Reform, the Chinese government and universities have made significant efforts to try to connect with other universities and higher education throughout the world. The Chinese government not only sponsored students and scholars to study abroad, but also encouraged self-funded students and scholars to go abroad for higher education in 1990s.

China's entry into the WTO in 2001 boosted the speed of internationalisation in higher education. A series of national policies were issued to encourage student and scholars

to go abroad for education and work and promoted transnational higher education development, especially the "Chinese-Foreign Cooperation in Running Schools" (CFCRS) (中外合作办学), whose origins could be traced back to the 1980s right after the 1978 Reform (Ong and Chan, 2012, 151). By 2011, there were 36 approved CFCRS institutions with 435 undergraduate programmes and 144 postgraduate programmes (Ong and Chan, 2012, 157). The number of students going abroad increased rapidly (See Figure 1.1) (EOL, 2013).
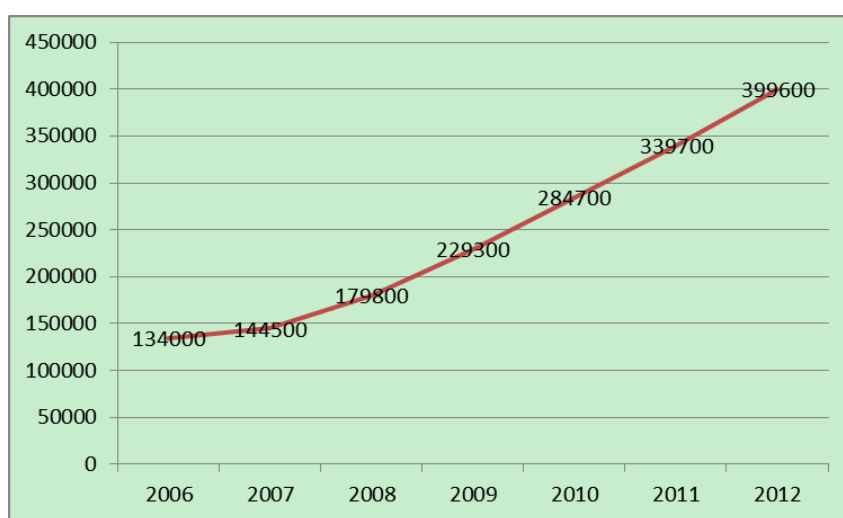
Figure 1.1 Number of Chinese Students Studying Abroad from 2006-2012

 In addition to this outflow, in recent decades China has offered a large number of scholarships to attract more international students and scholars to China for study and research. In 2010, the State Council and Central Government issued the *Plan of Studying in China*. In this *Plan*, it aims that by the end of 2020, China will be the nation to receive the largest number of international students in the world. The main tasks by the end of 2020 are as follows:

> *"by the year 2020, the number of international students studying in higher education institutions, elementary and secondary schools in Mainland China shall reach 500,000, among which, the number of students enrolled in degree programmes shall reach 150,000. The Chinese government scholarships shall*

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be gradually increased in accordance with the needs of national strategy and development. The composition of international students shall be improved and more balanced in terms of countries of origin, academic levels and types." (CSC, 2012)

This national plan and task has showed the determination of the Chinese Government to the internationalisation of higher education.

In China, institutional policies and development strategies must comply with national policy. National policies are therefore the principle guidelines for HEIs. In China, the Chinese Communist Party (CCP) holds the central leadership above the State Council and its ministries and Chinese HEIs are under the governance of the central and local governments. However, the national and institutional policy making process for higher education, especially for IHE in this case, is complicated due to the intertwined relations of the government and the CCP. The government and the CCP have never been clearly separated and distinctions between decision makers are not clear. The "institutional overlap" (referring to political institutions) is a complicating factor in China's governance (Pettersen, 2011, 12). The CCP not only has the power, but it is also involved in the policy-making. At the national level, the Party makes educational policies in three ways: firstly, the CCP makes a decision directly; secondly, the CCP makes policies together with the Central Government or the State Council; and thirdly, the CCP provides guidelines and commits the Ministry of Education (MOE) to making specific policies. Most specific Chinese educational policies have been made in the third way (Pettersen, 2011).

At the institutional level, there are two lines of administrative structure in China: the university president-led administration and the university Party Committee (PC) Secretary-led university PC. Each university in the country has a university Party

Committee. The highest position of the University Party Committee is the PC Secretary, who leads a Standing Party Committee. The *Higher Education Law of PRC 1998* clarified the responsibility and position of both the university Party Committee and the president's administration. The task of the university Party Committee is to ensure that the university follows the CCP's guidelines and to take responsibility for the political education of university administrators, teachers and students. The Law also clarifies that the president's administration should take all the responsibility under the leadership of the university Party Committee. Thus, the PC Secretary is empowered with overall governance, which looks stronger than that of the university president (Han, 1993). This political structure is an important contextual feature in the process of university internationalising. This special structure and decision-making process impact the process of internationalisation at the institutional level, which is discussed in the context of this case study in Chapters 4 and 7.

Chinese higher education: the institutional level

Compared to other countries such as the UK, the Chinese higher education system is one of the largest and the most complicated in the world with over 3,000 HEIs including academic organizations, regular HEIs and adult HEIs (Min, 2004). The term "regular HEIs" is used to distinguish these institutions from adult HEIs and non-government HEIs. The MOE, the primary functional department of the State Council in higher education, is responsible for "national educational development planning, the approval of academic degree granting institutions, the formation of higher education related regulations, and education quality evaluation, etc" (Pettersen, 2011, 14). In China, regular HEIs are administrated at two levels, the central and provincial governments (Pettersen, 2011). According to recent statistics from MOE, there were 1,774 "regular" HEIs, 297 adult HIEs and 802 non-government HEIs by 2013 (MOE,

2013). The regular HEIs are comprised of two types of institutions, namely, the higher vocational college and the HEIs offering degree programmes, of which 113 HEIs are administrated by central government and 1661 HEIs are administrated by the governments of provinces, autonomous regions or municipalities.

Although the Chinese government has mapped a blueprint for the internationalisation of higher education, at the institutional and practical level the picture may be drawn differently according to the type of HEIs and an institution's position in the national allocation of resources. There are different ways of categorizing HEIs according to a variety of criteria (Pan and Dong, 2009). This research focuses on HEIs offering degree programmes. Within this type of HEI, institutions are classified into "211/985 Project" HEIs and non-"211/985" HEIs (see Figure 1.2). There is a significant difference between these two types of HEIs. The case university in this research is a provincial non-211/985 university in northern China.
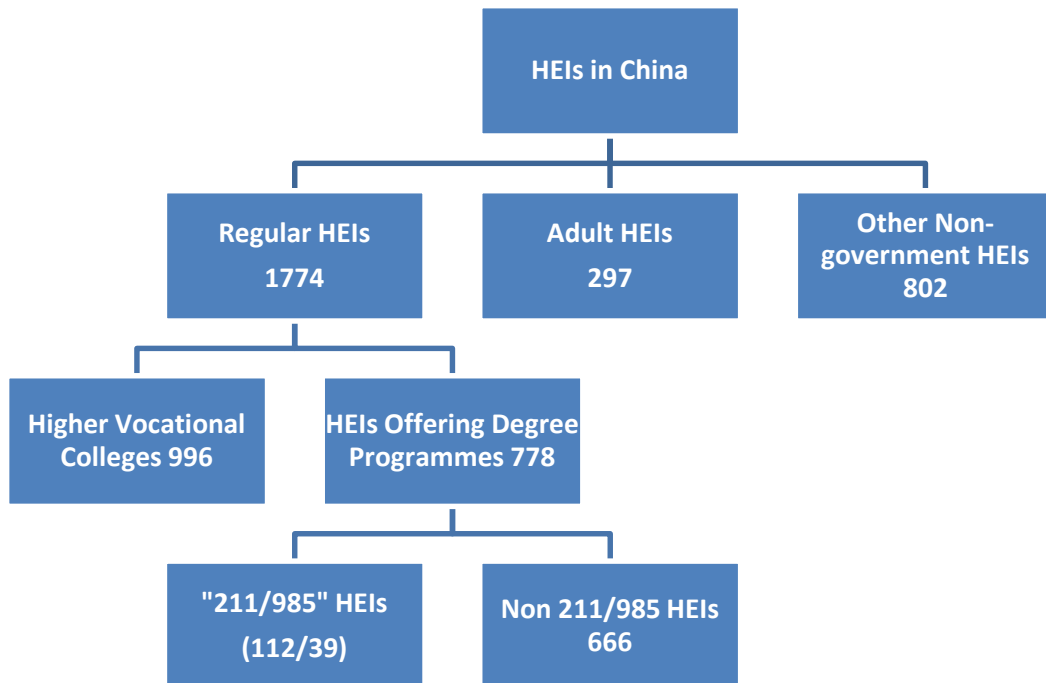
Figure 1.2 Number of Chinese Higher Education Institutions in 2013

211/985 Project HEIs

In the process of connecting with foreign higher education quality and qualification, the Chinese government tried to set up a certain number of first-class universities with international reputations. The Chinese Government, as early as 1990, proposed for the Eighth "Five-Year Plan" (1991-1995) that it was urgent to strengthen around 100 HEIs and key disciplinary areas as a national priority for the 21st century (Li, 2004). The national "211 Project" was launched in 1995. '21' refers to the 21st century and '1' refers to one hundred HEIs. The project was funded with 36.8 billion Yuan (around 3.86 billion GBP) by 2005. Another project, the "985 Project", originated from former President Jiang Zemin's speech at the celebration of Peking University's centennial in May 1998, which declared that "China must have a number of first-rate universities of international advanced level" (Li, 2004, 15). Thus, in addition to "211 Project", the "985 Project" came into being and was launched in 1999 for funding world-class universities. In the early stage, only Peking University and Tsinghua University were funded with 1.8 billion Yuan (around 191 million GBP). All "985 Project" universities are drawn from "211 Project" universities. By 2011, there were 112 universities and colleges funded by the "211 Project" and 39 of them were "985 Projects" – 14 per cent of all regular undergraduate HEIs.

Non-"211/985 Project" HEIs

The main differences between "211/985 Project" HEIs and non-"211/985 Project" HEIs in this research refer to national ranking and resource allocation in the state development strategy. "211/985 Project" HEIs are the top HEIs in China's national ranking and receive special funding for academic development for international reputation and academic strength.

The case university in this research belongs to the non-"211/985 Project" HEIs. It is a

regular, middle-size university governed by the provincial government and ranked at the middle of the university league table, according to statistics from the China Education Centre (CEC, 2015). Its financial support comes mainly from the central and provincial government for its basic requirements. The university is located in the northeast part of China, with over 1,500 faculties and 51,000 full-time students of all kinds, including around 170 international students. 28 colleges offer around 80 undergraduate courses, over 140 postgraduate courses and adult courses. The case university also has international relationships with over 20 foreign universities and a few international communication programmes including student and staff exchange programmes, summer school programmes and academic research cooperation. In this type of university, international education is not taken as priority work in the university strategy. National education and fostering Chinese students are rather the central tasks.

In conclusion, the study of the history of IHE in the Chinese context at global, national and institutional levels shows some of the factors that have to be taken into account in studying IHE in any context. These factors may contribute to the distinguished contextual features of IHE from one context to another.

1.4 Theoretical framework

Originally, this research focused on the evaluation of IHE in China because the "quality assurance" of international education has become so important worldwide. However, after reading the relevant literature on IHE evaluation, it was noticed that there were several serious problematic issues in the existing literature and research. First of all, the existing research on IHE evaluation does not have rigorous theories and empirical study to explain how the definition of IHE affects the creation of evaluation frameworks. Some research, for example the IQRP, ACE and Osaka

University's Evaluation Criteria to Assess Internationalisation in Japan, adopt the same definition of IHE and do not clarify how this definition guides and relates to the IHE evaluation research in specific contexts. Secondly, the existing research on IHE evaluation does not clearly explain how evaluation criteria are generated. Some IHE evaluation instruments, for example the ACE and Osaka University's Evaluation Criteria, are built upon each other (Beerkens, et. al., 2010); some evaluation criteria are generated by hypothesis, existing literature or consultation with experienced staff (Wang, 2010; Li, 2005); and some research even adopts whole sets of evaluation criteria from one context to another (Hu, 2009).

In terms of IHE in the Chinese context, the existing limited literature on IHE in China reflects that the study of IHE in China has not so far received serious attention. The existing literature and studies on IHE often adopt western theories or are descriptive rather than adopting theoretical, consideration. Accordingly, this research utilizes an empirical study and interpretivist approach to investigate how IHE is understood and implemented in the Chinese higher education context. The interpretations of the meaning of IHE from managers (or leaders), academics and students are conceptualized in order to fill this empirical gap in the knowledge of the definition of IHE in the Chinese context.

In terms of the practical aspect, this research explores the international practices that the case university has undertaken and the dominant orientations of internationalisation guiding them. The international practices were synthesized into an international dimension framework by the thematic approach, which illustrates the focus of the case university's implementation of internationalisation. This international implementation can clarify the relationship between the interpretation and the practice of IHE in the case university.

On the basis of these findings about meaning and implementation of IHE, this research also investigates the evaluation criteria which can be used for evaluating the fulfillment of objectives set by the case university for its internationalisation. The meaning and implementation of IHE grounded from this case university lay foundations for establishing the credibility and validity of the evaluation results.

Finally, in order to find out the contextual features of IHE in China, this research compares and contrasts the findings generated from the Chinese case university to the existing definitions and theories of IHE found in Western academic literature. To establish meanings of IHE in the Western context, this research uses existing literature accessed through desk research. The literature also presents how internationalisation has evolved in both Western and Chinese contexts. Studies of the implementation of IHE are omitted in the western IHE studies, however, which are primarily about definitions and evaluation criteria. This research therefore does not review this element in the literature, but emphasizes it in the empirical case study. Figure 1.3 presents the theoretical framework of this research and the relationships between the contexts and concerns. In the following sections, it explains each context and concern of the framework in detail as extended from the existing literature and theories.
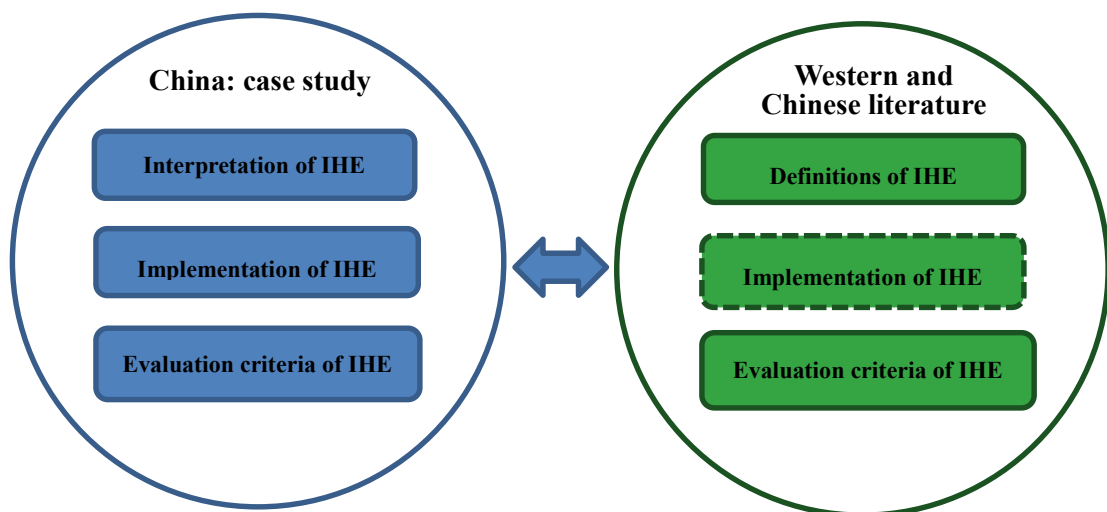
Figure 1.3 Theoretical Framework of This Research

Definitions of IHE

De Wit (2002) conceptualises IHE according to the existing literature and identifies definition, defining approach and rationales as the essential elements in the study of the meaning of internationalisation. This is the basic guiding framework for this research on the study of the meaning of IHE in the Chinese context (see Figure 1.4).
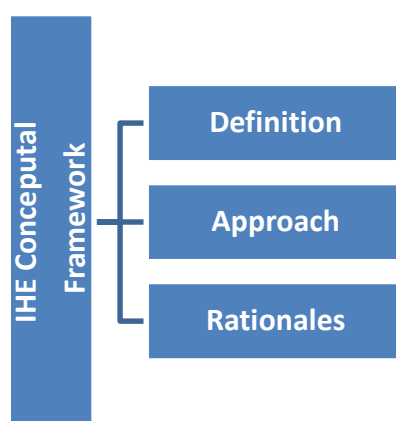
Figure 1.4 IHE Conceptual Framework

According to existing definitions of IHE, internationalisation has gone through evolutionary change since the 1980s. The motivation of formulating the definition has shifted from a generic function (Knight, 1994; Arum and Van de Water, 1992; Van de Wende, 1997a; Knight, 2003) to a purpose-specific function (Soderqvist, 2007; Brandenburg and Federkeil, 2007). This is probably related to the development of international education worldwide. The focuses of IHE have shifted from simple phenomena and activity to concerns that international education has impacted on specific areas of higher education, such as management and quality assurance. Approaches to formulating definitions have also changed with the focuses of the meaning of IHE because internationalisation at different times presents different features. The dominant rationale for internationalisation has changed along with the global settings in the West, and political rationales were replaced by an economic rationale in the late 1990s (de Wit, 2002) while social and cultural rationale and an

academic rationale became active in the 21st century (Knight, 2008). Although there are some voices claiming that the academic rationale is the ultimate goal of IHE, the economic rationale is still the dominant rationale in the West.

These evolutionary changes in the IHE conceptual framework verify that IHE is a dynamic issue that can change in time. The case study in the Chinese context follows de Wit's (2002) conceptual framework to explore the definition, defining approach and rationales of IHE, and constructs a Chinese-featured IHE conceptual framework. This framework relies on the case study university participants' interpretation of their understanding of IHE. Based on the literature about IHE in Western contexts and the findings of the case study, this research will demonstrate how IHE in different contexts means different things.

Implementation of IHE

In western studies of IHE evaluation, adopting an existing definition for IHE evaluation is also a common phenomenon. How the international practice relates to the definition and the selection of evaluation criteria is not clarified clearly in the western literature. As knowledge should be generated from practice, however, it seems that the implementation of IHE should be crucial in the formulation of the definition as well as the creation of evaluation criteria. However, the present reality is that the implementation of IHE is often neglected in studies of the meaning and evaluation criteria of IHE. Most research or projects on IHE evaluation or measurement do not explain why they chose a particular definition of IHE, but quote from other references and apply the definition chosen in their context. In evaluation research, some of them do not explain where these evaluation criteria come from.

This research attempts to bridge the gap between IHE implementation in the

formulation of the definition of IHE as well as the generation of the evaluation criteria. This research focuses on the practical level of IHE and synthesizes the international dimensions from the practical perspective. This research explores the relationship between the definition and the implementation through a case study of how people interpret the meaning of IHE in relation to their practices of international education and activity.

Evaluation of IHE

If IHE means different things at different times in different contexts, we need to ask whether the evaluating criteria should be context-sensitive, and whether the interpretations of the meaning of IHE affect the evaluation criteria. At present, there are over thirty tools or frameworks for evaluating IHE, according to a survey by the IMPI Project (Indicator for Mapping and Profiling Internationalisation (Beerkens et al., 2010). Reviewing the existing project reports and literature, most of the evaluation projects are funded by relevant stakeholders (Beerkens, et, al., 2010). The evaluation research is conducted for testing purposes. The crucial fact, however, is that most evaluation frameworks lack theoretical foundations in the creation of their evaluation criteria. In other words, they do not clarify where these criteria come from and how they are determined. This causes problematic issues regarding the credibility and validity of the evaluation result when adopting the tool of one context to use in another context. Using the same criteria, on one hand, may overlook the contextual features of IHE in one context; on the other hand, it may overestimate the importance of some criteria which are not relevant in that context.

Given the importance of empirical evidence for the creation of an evaluation framework, this research does not use any existing evaluation framework to assess the

case university, nor take any dimensions or indicators of other frameworks to create a new one. On the contrary, it attempts to create an evaluation framework using grounded data from the case university and to create an evaluation framework for the Chinese case university.

Although the theory of IHE evaluation is not mature, there are some established key elements including the rationale or motivation, purpose and tools, which can be discerned by synthesizing existing studies on IHE evaluation and evaluation tools. A lot of research and projects use the same definition and build the evaluation tools upon each other. For example, the frameworks of IQRP, ACE Review and Osaka University's evaluation frameworks are constructed for the purpose of self-evaluation and all three are built on Knight's (1993) definition: ACE built upon the evaluation tool of the IQRP and Osaka University's evolution framework is built upon the IQRP and ACE. Although there are similar evaluating dimensions among these three tools, some of them refer to different things in practice. These problematic issues are identified in Chapter 2 and taken into consideration in the theoretical framework of this research. This research is thus guided only by the basic elements of IHE evaluation throughout the research rationale, approach, tools and problems (see Figure 1.5).
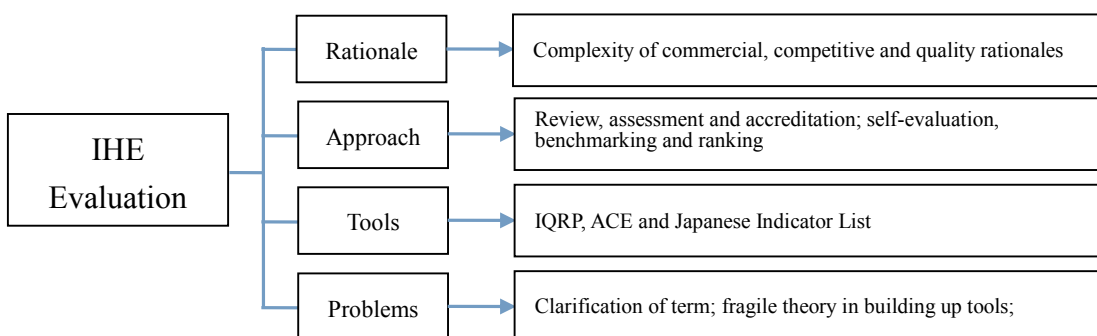
Figure 1.5 Theoretical Framework of IHE Evaluation Framework

The literature of IHE evaluation in the Chinese context is guided by the basic elements of IHE evaluation throughout the research rationale, approach, tools and problems (see Figure 1.5). This case study aims at helping the case university review their practical work on international education through self-evaluation, not for competition or comparison with other HEIs. The criteria were generated on the basis of the case university's practice and international efforts. The aim was to guarantee the reliability and credibility of the criteria in the process of assessment.

In this way, this case study fills a gap in knowledge about IHE in the Chinese context as well as situates IHE in different contexts and exposes how contextual factors impact upon the meaning, implementation and evaluation of IHE.

1.5 The structure of the research

This introductory chapter presented the rationale, aim and questions of this research. It outlined the context of the study including global, national and institutional dimensions of the case study and introduced the theoretical framework guiding the entire investigation of the meaning, implementation and evaluation of IHE in Western and Chinese contexts.

Chapter 2 presents a critical analysis of the literature on the evolutionary development of the definition of IHE and IHE evaluation framework in both Western and Chinese contexts. Chapter 3 describes the methodology employed in this study, including the rationale for the research methods adopted. It explores the interpretive paradigm, qualitative case study methods of semi-structured interview and documentary sources and the "Framework Method" guiding data analysis and presentation of the findings based on themes. Chapter 4 looks at the thematic aspect of the meaning of IHE. This chapter reports the multiple perceptions of IHE in the Chinese context and explores

the relationship between definitions of IHE in the two contexts. Chapter 5 presents a range of dimensions of the practical aspects of internationalisation in the case university implementation. These insights into the meaning and implementation of Chinese IHE lay the foundations for Chapter 6, which focuses on outlining evaluation criteria for the construction of a context-sensitive evaluation framework for the case university. Based on the findings about the meaning, implementation and evaluation of IHE, this chapter also discusses the risk of adopting the same criteria to evaluate IHE in another context. Finally, Chapter 7 draws these findings together and presents new knowledge and ideas that emerged from this case study: multiple perceptions of the meaning of IHE, dimensions of practical aspects of internationalisation and the evaluation criteria. This chapter also gives recommendations for CSU improvement in the process of internationalisation in terms of the barriers that it encounters. In the end of this thesis, the limitation and implication of this study, such as the selection of the case and the assessment of evaluation criteria, are also discussed. Some recommendations for the relevant future study are also given for the further exploration of IHE in different contexts.

Chapter 2 Literature Review

This chapter reviews the evolutionary development of the internationalisation of higher education in Western contexts and China, respectively. In order to have a clearer understanding of internationalisation, this chapter initially draws the boundary between two commonly used terms in higher education discourse: globalisation and internationalisation. The need to distinguish internationalisation from globalisation becomes "more urgent" (Yang, 2002, 71) because they are often misunderstood as exchangeable terms. Globalisation is a complicated phenomenon involving domains of economic and capitalist activities and interactions. Moreover, the homogenous feature of globalisation also impacts upon higher education at the global level (Lingard and Rizvi, 1998). These features of globalisation are applied to formulate the definition of globalisation in the higher education field, which also differentiates the meaning of internationalisation in this research.

Discussions about the meaning of IHE have been a long-term feature in educational discourse in western countries since the 1980s. The existing western studies of the IHE definition have outlined an evolutionary model of the development of IHE in the past three decades. In terms of high concerns about education quality, the study of IHE has shifted from the exploration of the meaning of IHE to the assessment of international education in the 2000s. A few evaluation projects and IHE evaluation frameworks , such as IQRP and ACE, emerged and were adopted in some contexts. These IHE evaluation projects and instruments reflect common problematic issues in terms of clarification and the breakup of the linkage between the definition of internationalisation and the construction of an evaluation framework.

In order to complement this overview of Western accounts of IHE, this chapter reviews the historical development of Chinese IHE in a three-stage pattern since the 1840s - "adoption-prohibition-independence". This period of history can be found in the national educational curriculum and is embraced deeply in Chinese ideology.

2.1 Research on IHE in the Western context

Existing research about internationalisation produced in western contexts has a broader range than "the export of education services; it involves scholarship, research and management issues as well as staff, domestic student and curriculum issues" (Harman, 2005, 120). It also demonstrates how academic knowledge about IHE is closely associated with local circumstances and issues, the geographic location and state policies. For example, European countries contribute more literature about the impact of the European Union (EU) on higher education and its effects on the role of the nation state, especially in terms of higher education policy and provision. There has also been considerable interest in EU-initiated student mobility programmes. More of the research from this perspective therefore focuses on nternational curriculum design, student experience, language learning and learning styles of international students, particularly those from Asian countries (Coverdale-Jones and Rastall, 2009; Ryan, 2010). In other western countries, such as the UK, Australia and New Zealand, much of the literature is related to the economic aspects of IHE and national immigration policy (McBurnie and Pollock, 2000; McBurnie and Ziguras, 2003; Knight, 2006). The existing literature about IHE thus not only presents a wide range of research, but indicates that the geographic contributions or various contexts can influence IHE studies, which makes this contextually-sensitive research about IHE in China significant. To situate it, the first part of this chapter thus reviews western-based studies of IHE, focusing on the meaning of IHE and its evaluation criteria.

2.1.1 Globalisation or internationalisation

Before exploring the meaning of IHE, it is necessary to distinguish two terms: globalisation and internationalisation. Some people think they are exchangeable. The term globalisation is in danger of being used as a cliché by the people without knowing the precise meaning (Held, et al., 1999; Yang, 2002). Before investigating the meaning of IHE, this research initially discusses the meaning of globalisation in higher education discourse and formulates a definition of globalisation in order to distinguish it from internationalisation.

Intentional cooperation in higher education is not a new phenomenon (Knight and de Wit, 1995). What is new is that international activities meet processes of globalisation. The terms "globalisation" and "internationalisation" are often used rhetorically as synonyms. Although there are quite a lot of studies and observations about globalisation (Teichler, 2004; Scott, 2005; Altbach, 2006; Knight, 2008; Maringe and Foskett, 2010; Brandenburg and De Wit, 2011), the meaning of globalisation is still a myth and debated in public from various perspectives. This study therefore offers a working definition focusing on globalisation's economic origins and homogenising features in order to distinguish it from internationalisation in this study.

> *While globalisation is a complex phenomenon involving politics, the military, ideology, economy and culture, it is most specifically a term for the "universalization of capitalism" (MacEwan 1994, 6). In the context of HE, it is thus the environment and phenomenon which creates tendencies towards homogeneity and profitability that shape internationalisation ….*

While globalisation is a distinctive phenomenon involving domains of activities and interactions in politics, the military, ideology, economy and culture (Yang, 2002; Steger, 2003; Maringe, 2010; Rizvi and Lingard, 2006), the widely discussed globalisation phenomenon fundamentally results from the globalisation of the

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economy, which is largely a "universalisation of capitalism" (MacEwan, 1994, 6). This global integration of the market and capital promotes economic efficiency through the liberalisation and deregulation of national markets and economic activities (Bennel and Pearce, 2003; Yang, 2002; UNDP, 1999).

Pervasive economic liberalisation and globalisation now profoundly influence higher education and results in the shift from cooperation to competition in the higher education market for students and research grants. As the overall level of public funding from governments has become increasingly inadequate, new ways have had to be found to compensate for severe financial shortfalls. According to the regulation of the General Agreement on Trade and Service (GATS), education is part of the liberalisation of international trade in goods and service. Recruiting international students and exporting courses have become the main solutions to make up for the lack of funding for the running of HEIs. The UK is a typical example in this aspect: since the 1980s, the promotion of some sort of market has become a guiding philosophy in higher education sector in the UK (Bird, 1994; Shattock, 2012).

Market-driven globalisation also impacts upon higher education in other ways. Even though the effects of globalisation of higher education are not always bad, the profit orientation arouses a series of debates on profit-oriented higher education and comparison with internationalisation in higher education discourse (Brandenburg and de Wit, 2011; Teichler, 2004; Knight, 2008; Xu, 2007; Scott, 2005, 14). For instance, Brandenburg and de Wit use "good" and "evil" labelling for internationalisation and globalisation, arguing that internationalisation is the "last stand for humanistic ideas against the world of pure economic benefits allegedly represented by the term globalisation" (Brandenburg and de Wit, 2011, 16). In Knight's (2008) discussion about the relationship between globalisation and internationalisation, she claims that

internationalisation is a consequence of globalisation; internationalisation is changing the world of higher education and globalisation is changing the world of internationalisation. Teichler thinks globalisation is "substituted for internationalisation in the public debate in higher education" (Teichler, 2004, 23), while Xu contextualises globalisation in the developed countries as a tool for "spatial expansion of politics and economy" (Xu, 2007, 70).

While the process of economic globalisation seems to address the financial crisis of higher education in the West, it also brings challenges. The overexpansion of capitalism and markets at the global level causes a series of problems, such as the fear of homogenization in culture and the inequality of power and wealth. Globalisation theorists predict that globalisation signals "the end of the plurality of historic cultures embodied for centuries in the world's great civilizations" (Braudel, 1980, 212-213). They argue that national or local objectives in various areas will be weakened and reduced for "fulfilling the requirement of the economy under conditions of global competition" (Usher and Edwards, 1994, 175). These views indicate that globalisation will result in a borderless world, whereby national borders are blurred or even seem to vanish (Ohmae, 1990). In other words, the globalized world will tend to be homogeneous. These problems are far from the benefits that economic globalisation should have brought (Back et al., 1997; Knight and de Wit, 1997; Yang, 2002).

By overviewing the impact of globalisation on higher education, it can be seen that it causes the problems of homogeneity and inequality of economic. The global homogeneity makes higher education more standardized. HEIs and nations now use many of the same standards and qualification to evaluate students. HEIs offer similar subjects and knowledge to students. In addition, as the imbalanced consequence of globalisation makes the rich richer and poor poorer, the privilege of capital, resources

and market is held by rule-makers, who it turns out are the overdeveloped western countries and large international organisations (Yang, 2002; Maringe, 2010). All of these problems violate the "educational character of the university" (Yang, 2002, 69). They also differentiate the multi-faceted and diversified features of internationalisation of higher education. In the following section, it reviews the historical change of IHE definitions in the western contexts and the evolutionary pattern of the process of internationalisation.

2.1.2 Historical review of the meaning of IHE

The preceding section has reviewed and provided a working definition of globalisation for this thesis. This section gives a historical review of the definition of IHE and explores the evolutionary changes of IHE in the western academic field.

Different forms of internationalisation have been practiced for centuries in many fields. In higher education, the history of internationalisation can be traced back to the Middle Agse and Renaissance period in Europe (Knight and de Wit, 1995) and to the period of the Warring States, around 221 BCE in China (Welch and Cai, 2010). Though it has a long practical history, the study of internationalisation as an academic subject only started in the early 1980s (Knight, 2004). The discussion of the meaning of IHE started from the simply human mobility to more sophisticated institutional and national engagement with higher education activities, i.e. international aspect of higher education is not separated and singular phenomenon, but a part of the higher education in the global era. Over three decades, the conceptual framework of IHE has been grounded on extensive academic discussions and explorations. According to de Wit, (2002), the conceptual framework contains three segments: definition, definition approach and rationale. This section attempts to present a historical review based on

existing conceptual studies of IHE.

The evolution of IHE approaches and definitions

Typologies of approaches to IHE are used by scholars to identify the distinctive features of definitions that a scholar addresses. For example, Knight (1994; 1999a) and de Wit (2002) summarize various approaches that institutions use for planning and implementing internationalisation at the practical level (see Table 2.1). These approaches emphasize different areas that researchers or institutions have given.

Table 2.1 Approaches to the Study Internationalisation

Approach	Description
Activity	Categories or types of activities used to describe internationalisation: such as curriculum, student/faculty exchanges, technical assistance, international students.
Competency	Development of new skills, knowledge, attitudes and values in students, faculty and staff. As the emphasis on outcomes of education grows there is increasing interest in identifying and defining global/international competencies.
Ethos	Emphasis is on creating a culture or climate on campus which promotes and supports international/intercultural initiatives.
Process	Integration or fusion of an international or intercultural dimension into teaching, research and service through a combination of a wide range of activities, policies and procedures.
Rationale	The rationale approach defines internationalisation in terms of its purpose or intended outcomes

Source from (Knight, 1999a; de Wit, 2002)

In terms of the five approaches listed in Table 2.1, the "Activity" approach shows that international activity is the central format in the meaning of IHE; the "Competency" approach addresses the enhancement of personnel international competency in the process of internationalisation; the "Ethos" approach emphasizes the creation of an international and intercultural atmosphere within the institution; the "Process" approach presents the idea that IHE is an integration of international dimension into the institutional functions – teaching, research and service – through a combination of

a series of activities, policies and procedures; and the "Rationale" approach addresses the idea that the definitions of IHE should be formulated in terms of its purpose (Knight, 1999b; de Wit, 2002). These approaches reflect distinctive features of the meaning of IHE in different definitions as well as at different times.

In the past decades, scholars have presented different formulations of the term from various perspectives (Francis, 1993; Arum and Van de Water, 1992; Knight, 1994; Knight, 2003; de Wit, 1993; Van der Wende, 1997a; Turner and Robson, 2008; Brandenburg and Federkeil, 2007). These definitions were formulated at different times and reflected the features of IHE at that stage in time. Table 2.2 synthesizes an evolutionary development of the definitions of internationalisation and the approaches utilized.

Table 2.2 Development of the Definitions and Its Approaches

Author(s)	Types	Approaches	Definitions
Arum and Van de Water (1992)	General purpose	Activity	Internationalisation refers to the multiple activities, programs and services that fall within international studies, international educational exchange and technical cooperation.
Knight (1993)		Process approach	Internationalisation is the process of integrating the international dimension into the teaching, research and service functions of an institution of higher education
Van der Wende (1997a)		Broader	Internationalisation is any systematic effort aimed at making higher education responsive to the requirements and challenges related to the globalisation of societies, economy and labor market.
Knight (2003)		Process approach	Internationalisation at the national/sector/institutional levels is as the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education.
Turner and Robson (2008)		Thematic approach	Multi-dimensional internationalisation: international engagement, mobility, revenue, international professionals, communication, knowledge-sharing, language, programming and curriculum, academic practices and reciprocity/'Westernization'.
Soderqvist (2002)	Specific purpose on IHEs management	Holistic approach	The internationalisation of a HEI is a change process from national HEI into an international HEI leading to the inclusion of an international dimension in all aspects of its holistic management in order to enhance the quality of teaching and research and to achieve the desired competencies.
Brandenburg and Federkeil (2007)	Specific purpose on IHEs measurement	Rationale approach	Internationalisation describes a process in which an institution moves, in a more or less steered process, from an actual status of internationality at time X towards a modified actual status of extended internationality at time X+N. In this instance, in the event of proper planning, the actual status is set against an expected target status. The result is then the difference between the desired situation after expiration of the period N.

Longitudinally, this summative review shows that the practice and the level of internationalisation have developed from simple individual mobility to the institutional level and national practices. Internationalisation was a "marginal phenomenon" in both Europe and China until the mid-1980s (Wachter, 2003, 6). It

was largely interpreted as individual mobility, mainly the student and scholars moving from one country to another. In the late 1980s, internationalisation was also characterized by mobility, but the scale became bigger. It changed from simple student and staff moving from one country to another to the more organized institutional and national involvement in the cross board or off-shore campus as well as governmental collaboration for international education. For example, some international organizations launched a range of famous student exchange programmes at this period, i.e. the Erasmus Programme, one of the largest European Union (EU) student exchange programmes, was established in 1987. The definitions of internationalisation in Western research at this time were characterised primarily by the "Activity" approach (Arum and Van de Water, 1992).

By the mid-1990s, the participants of HE internationalisation were not only individuals but institutions. As a result, internationalisation was interpreted as a dynamic process at the institutional level "integrating the international dimension into the teaching, research and service functions of an institution of higher education" (Knight, 1994, 7). This definition is considered the most popular and "classic formulation of internationalisation at institutional level in terms of its desired or intended effects", and quoted by many scholars and researchers (Callan, 2000, 16; Zha, 2003; de Wit, 2002; Yang, 2002; Henry, 2002; Marshall, 2014). The "Process" approach highlights that internationalisation is dynamic and will change in relation to external forces, but it still confines internationalisation to the institutional level. This institutional-based definition, however, has limitations (Van der Wende, 1997a). Van der Wende (1997a) thus proposed a broader definition including the relevance of globalisation. This definition significantly broadened and supplemented the global impact on internationalisation, but it "does not context internationalisation in terms of

the education sector itself" (Knight, 2004, 10).

In terms of the development and impact of information and technology on higher education itself, internationalisation is no longer restricted to the institutional level. The term "internationalisation" means more things in terms of the variety of participants, programmes and formations, and the importance of internationalisation to university development. Knight (2003) thus revises her definition, continuing to focus on process but defining it at institutional, international and sector levels. Because this definition uses generic terms, it has a great influence on defining approaches and rationales; however, this approach has its disadvantages as well. HE internationalisation is multifaceted. Some factors and dimensions, such as strategy, can be considered as being at both institutional and national levels.

Since the turn of 21st century, the scale of international activities and participants has been becoming greater. The focus on the study of internationalisation has shifted from defining the general meaning of IHE to looking at specific issues of higher education in relations to internationalisation, for example, the management, the student and the quality issues. The approach to defining internationalisation thus changed and new approaches were added. For instance, Soderqvist (2007) uses a holistic approach for the study of internationalisation and its management. In Brandenburg and Federkeil's (2007) research on the measurement of internationality and internationalisation of higher education, they offer a different formulation of the concept, defining internationalisation as the status change and using the Process approach to define internationalisation. These types of definition are formulated for a specific purpose which can also be classified as the "rationale approach" (de Wit, 2002, 117).

Besides the preceding definitions and defining approaches for IHE, Turner and Robson

(2008, 12-14) use a thematic approach to formulate a framework of multi-dimensional internationalisation at institutional level. This conceptual framework illustrates ten themes (international engagement, mobility, revenues, international professionals, communication, knowledge-sharing, language, programming and curriculum, academic practices and reciprocity/'Westernization') of internationalisation with the dimensions under each theme covering most activities and specific dimensions of IHE. This multi-dimensional framework reflects Kehm and Teichler's (2007) claim that IHE is a fuzzy issue and is not easy to access. It also reflects the suggestion that IHE is a multi-dimensional issue which is not simply a single phenomenon but can be associated with various aspects of higher education.

The existing western definitions of internationalisation show an evolution from just considering it as individual mobility, to considering it at both the institutional and national level (Knight, 2003; Wächter, 2003). The scale and its influence have expanded worldwide, developed countries and developing countries, both the west and the east. The insights into it also move significantly from the generic formulation to various specific purposes. In other words, in the three decades since it entered higher education discourse, the definition of IHE has become richer and more expansive, addressing most aspects of the educational procedures of HEIs' administration and operation. These evolutionary changes also show that IHE means different things at different times. From this evolutionary review, it also reflects if globalisation was criticized for causing higher education homogenization, internationalisation, on the contrary, makes higher education vary in different formations at different times for different reasons.

Evolution of IHE Rationales

The preceding section has presented the 'what' of IHE. This section focuses on the 'why' of internationalisation. Rationales are often conceptualized as "motivations for integrating an international dimension into higher education" (de Wit, 2002, 84). Rationales provide the reasons why we "do" internationalisation in universities or why some nations, institutions and stakeholders are active in international education. As internationalisation is multifaceted and complicated in different contexts, clarifying the rationale is a challenging issue. Although a few scholars tried to answer the question before the 1990s, it did not receive structured attention (de Wit, 2002).

Since the 1990s, many scholars have theorized the rationales by categorizing motivations into frameworks (Aigner et al, 1992; Warner, 1992; Knight 1994; Knight and de Wit, 1995; Knight, 2004). For example, Aigner et al. (1992) clarify three major reasons for IHE: interest in international security, maintenance of economic competitiveness, and fostering of human understanding across nations; Scott (1992) identifies seven reasons which are categorized into economic competitiveness, labour market, national security, and mutual understanding. There is no single rationale for internationalisation, and the reasons and motivations are not necessarily "mutually exclusive" in different situations (Knight, 1994, 5).

At present, there are two typical methods used for categorizing rationales which reflect the development of IHE in the past three decades (see Table 2.3). The first one is called the "traditional four categories" (de Wit, 2002, 93). Based on previous studies, Knight and de Wit (1999) categorize reasons into political, economic, social-cultural, and academic. Many researchers and scholars later follow this method (Van der Wende, 1996; Ollikainen, 1998; Callan, 2000), and some make other subdivisions (Wachter,

Ollikainen and Hasewend, 1999). This traditional categorisation fuses the multifaceted aspects of international education into four dimensions; however, it is not necessary that the motivations of internationalisation in any one case are based on all four rationales.

The second framework structures and categorizes rationales into national and institutional levels. This way of categorizing rationales is related to the revised working definition by Knight (2003), which addresses the institutional and national level of internationalisation. Knight points out that the traditional four-category model is still "relevant" but "unmistakable" to those rationales which "occurred across categories" (Knight, 2008, 25). The method of national-institutional categorizing of motivations focuses more on the variety of players or actors in the process of internationalisation, such as "institution, commercial provider, public or private stakeholder, non-government organization or intergovernmental agency" (Knight, 2008, 30-31). This method is not exclusive to the 'traditional four categories'. It just gives an insight into the international motivations from a different perspective.

These two sets of rationale framework are not exclusive to each other. Existing rationales can be grouped into national and institutional levels; the rationales of the national and institutional levels can also be classified in a traditional way (see Table 2.3). Motivations and reasons for internationalisation are intricately related to one another and reflect deeper complexities of HE internationalisation. It can thus be seen that the motivations of internationalisation are complicated and hard to sort out into explicit rationales.

Table 2.3 Rationales Driving Internationalisation

Rationales	Existing rationales	Of Emerging Importance
Social/ cultural	National cultural identity	*National level*
	Intercultural understanding	Human resources development
	Citizenship development	Strategic alliances
	Social and community development	Commercial trade
Political	Foreign policy	Nation building
	National security	Social/cultural development
	Technical assistance	
	Peace and mutual understanding	*Institutional*
	National identity	International branding and profile
	Regional identity	Income generation
Economic	Economic growth and competitiveness	Student and staff development
	Labor market	Strategic alliances
	Financial incentives	Knowledge production
Academic	Extension of academic horizon	
	Institution building	
	Profile and status	
	Enhancement of quality	
	International academic standards	
	International dimension to research and teaching	

(Knight, 2008, 25)

All of the above represent the ways of categorizing rationales for IHE in the Western context. Because Chinese IHE is developing comparatively more slowly than in western countries, IHE has not been practiced widely at the national level and the national and institutional category approach does not fit the current Chinese context. This thesis therefore uses the traditional four-category approach to explore rationales for IHE in China. The following section outlines each category in detail and considers how the rationales for IHE have changed with the evolutionary development of its definitions.

Political rationales

Political rationales are more relevant to national and regional perspectives than to institutional perspectives (Knight, 1997; Maringe, 2010). This is because education, especially higher education, is often employed as a tool for political domination and serves political power. It is also seen as the "fourth dimension of foreign policy" which

is used to improve national image and to connect with foreign countries (Alladin, 1992, 12). Some scholars in fact take higher education to be one of the most essential tool for soft power, which is used to heighten the attractiveness of a nation's brand; its values, ideals and norms (Nye, 2004; Kurlantzick, 2007).

International exchange education, for example, is often used by powerful countries as a "diplomatic investment for future political relations" (de Wit, 2002, 85). This has often been used in and after wartime by powers such as the USA and the Soviet Union, through promoting educational exchange programmes and cooperation in culture, education and language (Maringe, 2010). For instance, from 1908 to 1940 the Boxer Indemnity Scholarship Programme (paid for by the US government) sponsored young Chinese students to study in the USA. This programme has been called "the most important scheme for educating Chinese students in America and arguably the most consequential and successful in the entire foreign-study movement of 20th century in China" (Ye, 2010, 10). In another example, after World War II (1945) and during the Cold War (1947-1991), the USA and Soviet Union both became political and economic superpowers while European countries and Japan were recovering from the severe wounds of two world wars. To gain a better understanding and maintain their spheres of influence, these countries promoted international education exchange and cooperative programmes such as the Fulbright, Erasmus and British Council exchange programmes. Many notable alumni benefited from these programmes and went on to hold key positions in their countries and in the world afterwards (de Wit, 2002). These international programmes can enhance national image and create a good relationship with other countries for maintaining influence and control over other countries or regions. The popularization of language, particularly English, is also an effective method used to soften the relationship between developed countries such as the UK

and USA, and developing countries.

Such politically motivated practices of internationalisation were most common before the end of the Cold War. The international meaning of higher education at that time did not focus on universal knowledge or research, but was more directed towards "national security", "peace and mutual understanding", "national identity" and "regional identity" (de Wit, 2002, 85-89). International education was seen and utilized as a mutually beneficial tool for foreign policy and democracy, particularly for national security and peace among nations.

In the present era of the increasing impact of globalisation on economies, technologies and communication, this rationale "does not have the importance as it once did" (Knight, 1999, 18). Political rationales for IHE normally emerge in unstable nation-state eras or wartime, as illustrated by the export of European higher education system in the colonial era between 18th and 19th centuries and the international mobility for the national peace and mutual understanding after World War I (de Wit, 2002). In contrast, economically-oriented internationalisation has become dominant since the 1990s due to the globalisation of the capitalist economy and labour market (de Wit, 2002; Knight, 2008).

Economic rationales

The economic impact on HE internationalisation can be attributed to both external and internal factors. Externally, the increasing impact of globalisation in the economy accelerates internationalisation in higher education. The demand of the free market in western economies accelerates the drive for education, especially higher education, to join the market (Maringe, 2010). The GATS, the first-ever set of multilateral rules covering international trade in services, lists education as one of the services that

member countries of the WTO are obligated to reform. Therefore, in the past two decades, the international dimension of higher education became defined as a "commodity or service to be traded commercially across borders" (Knight, 2008, 149).

In addition, the growth of globalisation requires more and more graduates who are able to compete with people from other countries and able to work in other countries. Many scholars declare that internationalising higher education can help restore their national economic competence and competitiveness in the world (van der Wende, 1997b; Lyman, 1995; Johnston and Edelstein, 1993; de Wit, 2002). In order to enhance international competency, various strategies are implemented by nations and institutions to encourage international mobility. These strategies attempt to create various contacts and cooperation with developing countries in the process of internationalising, through programme strategies like "research-related activities", "educational-related activities", "technical-assistance and educational cooperation" and "extra-curricular activities and   institutional services" (de Wit, 1995, 17-20).

Internally, reductions in governmental funding for higher education have made universities seek money from various private resources, connect with alumni, find research funding, charge more tuition fees, and recruit international students. In this context, international activity is seen as revenue-producing work to solve the tight fiscal constraints (Scott, 1995). In consequence, it leads to the rise of a new form of capitalism, academic capitalism, with enterprise universities at its centre (Schapper and Mayson, 2004). In the UK, for instance, the funding council model of governance has been reformed dramatically since 1988, with funding governance gradually shifting from state control to institutional control (Palfreyman and Tapper, 2014). In 2011, the Coalition Government issued a White Pater, *Higher Education: Students at the Heart of the System*, which set a new model of governance for English higher

education that allowed individual HEIs to "respond more directly to their market position and control more effectively their own patterns of development" (Palfreyman and Tapper, 2014, 4). The link between HE Internationalisation and economic and technological development of this country is therefore becoming closer (Knight, 1999a, 18) and economic profit has become a primary reason for university internationalisation. Here, economic-driven internationalisation has thus replaced political rationales as the dominant rationale for HE internationalisation.

The economic rationale of IHE is greatly impacted by the global economy. It causes a series of disputes and challenges, for example, a tension between higher education being knowledge/academic-centred and profit-dominant. In this period international education has changed from an academic institutional to an "export/trade" type of education activity and has become an "income generator" for universities in Western contexts (Knight, 1999a, 18). But how does international education make a positive impact on the teaching, research, and service functions of the institutions? The question of how to balance the economic-driven and the quality-centred international education is crucial, as illustrated in the academic rationales for internationalisation.

Academic rationale

Knight (2008, 28) claimed that internationalisation for most universities, is not "an end in itself but a means to an end". The process of university internationalising requires the students, staff and the university to possess a wide range of international and intercultural understanding, knowledge and skills. These include the need to meet global labour market demands, the need for curriculum reform to face new challenges in the global world, the provision of an international dimension to research and teaching, the extension of the academic horizon and the competition among

universities to earn a reputation to attract more international students (Resnik, 2008; de Wit, 2002; Maringe, 2010).

While academic achievement is one important function of the university, academic rationales for university internationalisation did not receive serious attention as a dominant motivation from those working on internationalisation in universities in the past two decades. The pursuit of profit overshadowed the functional role of the university in the academic perspective. In recent years, there have been many arguments about the "end of internationalisation", calling for a shift from economic drivers to educational quality. For example, in 2012, the International Association of Universities (IAU) launched a movement to re-think internationalisation which affirmed academic values in IHE (Egron-Polak, 2012).

De Wit (2002, 153) points out that internationalisation and academic quality are "closely related", and Knight (1999a, 19) proposes that the achievement of international academic standards for teaching and research could become the main reason for driving the universities' internationalisation. Many universities try hard to achieve international standards of excellence in scholarship and research and some associations take action to evaluate HEIs' quality of research and teaching. For instance, in the UK, the Research Excellent Framework (REF) is undertaken every 6 years to evaluate the quality of research; the QS World University Ranking currently considers over 2,000 and evaluates over 700 universities in the world, ranking the top 400. The result of ranking or evaluation influences academics both nationally and internationally, and the evaluation or assessment result influences governmental policymakers and prospective international students who use ranking as a criterion when selecting universities. However, an excessive emphasis on international standards might also cause "uniformity and homogeneity" or, outside western contexts,

"Westernization" (Knight, 1999a, 19; Knight, 1999b, 225). This is the risk of IHE under the impact of globalisation and also the risk influencing higher education in Chinese context.

Social and cultural rationales

These rationales are related to "the need for improved intercultural understanding and communication" (Knight, 1997, 11). Social and cultural rationales are broad concepts which may refer to anything in a nation from foreign policy to language. The social and cultural rationales of internationalisation can be interpreted in various ways (Maringe, 2010). De Wit distinguishes between cultural and social rationales and points out that cultural rationales emphasize "the export of national and cultural and moral values", which consider internationalisation as "a way to respect cultural diversity and counter balance the perceived homogenising effect of globalisation" (de Wit, 2002, 93; Knight, 1997, 11); while social rationales emphasize the "individual development of the students and the academic through the confrontation of other culture" and "home culture" (de Wit, 2002, 94). Social and cultural rationales, on the one hand, admit the cultural diversity of different nations. On the other hand, they stress the importance of the preservation and promotion of national culture (Knight, 1997) while also focusing on individuals' (rather than institutions') development, as possessing intercultural ability and competency is important for university graduates.

This section has reviewed the key components of conceptual framework of IHE on the basis of western research literature, which not only maps the evolutionary development of IHE in Western contexts, but also offers a clue to guide the exploration of IHE in Chinese context. Based on this review of existing literature of internationalisation in the Western contexts, the following section summarizes and

synthesizes these theories into an evolutionary model of IHE in the Western contexts.

2.1.3 An evolutionary model of IHE in the West

Based on the existing studies and literature of IHE and the preceding review of IHE conceptual frameworks, this section summarizes the dynamic changes of IHE which evolved in the past three decades in the Western context. Internationalisation is a changing process, and interpreted differently at different times. Is there any regular model or routine in the process of change? Soderqvist (2007, 38) claims that the "mass-internationalisation of higher education institutions evolves through five stages" (see Table 2.4), in which internationalisation evolves from a marginal activity in higher education to a strategic approach for the improvement of education quality. Soderqvist's analysis focuses on the "internationalisation process of an organization, i.e. an HEI" and on the "role of European Union in influencing the mass internationalisation that took place in the 1990s" (Soderqvist, 2007, 41). However, Soderqvist's analysis on the stages of HEI internationalisation does not clarify the specific contextual background. Thus, it is here considered to be relevant specifically for European higher education contexts.

Table 2.4 Soderqvist's Stages of (European) HEI Internationalisation

Zero stage Internationalisation as Marginal Activity	- There are some free movers - Internationalisation is an exotic and status phenomenon - some important actors in the organization travel to conferences - Foreign languages are taught
First stage Student Mobility	- Awareness of the need to internationalize - Commitment to planning and implementing different programmes enhancing the mobility of students - Creation of international offices to handle the routines of student mobility - ECTS becomes an important tool to facilitate counselling and the acknowledgment of foreign studies
Second stage Curriculum and Research Internationalisation	- Awareness of teachers necessary to make internationalisation of the curriculum and research possible - Organizing of teacher mobility - Internationalisation taken as a means to enhance the quality of education - Different ways to internationalise the curriculum - Appointment of international coordinators to handle curriculum and research internationalisation
Third stage Institutionalization of Internationalisation	- Internationalisation is given a strategy and a structure - Networking both through cheap travel and new ICT; partnerships and strategic alliances - The quality of internationalisation is receiving more attention - Multiculturalism - Appointment of an internationalisation manager
Fourth stage Commercializing the Outcomes of Internationalisation	- Exporting education services - Franchising education services - Licensing - Joint ventures - Strategic alliances - Creating of organs to promote commercialization

From Soderqvist (2007, 39)

Emóke-Szidónia (2011) also presents a framework of the evolution of international engagement (see Figure 2.1). This framework is constructed on the base of existing definitions of internationalisation relating to the commercial perspective of higher education and global market. It also built upon the institutional level. This international engagement framework also suggests that IHE evolved from small to large scale.

Figure 2.1 The Evolution of International Engagement Framework

From Emóke-Szidónia (2011, 136)

Based on existing models of the evolutionary development of IHE definitions in the Western context from the late 1980s discussed in the preceding sections, an evolutionary model of IHE is proposed for this study (see Table 2.5). Different from both Soderqvist's (2007) five-stage model of the mass-internationalisation of HEIs and Emóke-Szidónia's framework, this model is a chronological representation of internationalisation in the past three decades which considers the features at different stages, the dominant rationales, the trends and scale. As internationalisation is also called a "trend", this model shows how internationalisation tends to move from generic-purposed study to research for specific purpose (de Wit, 2010, 10). This longitudinal evolutionary model of IHE demonstrates the historical processes of internationalisation in Western contexts, and how it evolved at different stages. This model can be used as one of benchmarking to assess the development of IHE in other contexts, for example, China.

Table 2.5 An Evolutionary Model of IHE in Western Contexts

Stages	Time	Features of different stages	Rationales Gravity	Trend and Scale
Primary to deep	Later 1980s-1990s	- Individual mobility - International activity - International programme	Political rationales dominant	General; narrow
	Earlier 2000s	- National, sector, and institutional levels - Foreign student recruitment - Foreign language - Exporting education services - International collaborative programmes or running schools - Organized student and staff mobility - International research - Commercialization on IHE - Internationalized curriculum	Economic rationales dominant	General to specific; narrow to wider
	Later 2000s - present	- Internationalisation at home and abroad - HEIs internationalisation - Internationalisation and its HEI management - Quality and assurance of international education	Social and cultural rationales dominant	Specific more than general; wider
	2010s-present	- Rethinking IHE	Academic	

In addition to the change of the dominant rationales for IHE, it can be seen that in the past decades in Western contexts, the dominant motivation of internationalisation has changed from political to economic motivations. However, the IAU's recent call for scholars to re-think the end of internationalisation and put forward the academic rationale is a challenge to academic capitalism in higher education. It is important to emphasize here that while this model is constructed on the basis of western research and literature, it is not the case that all western higher educational institutions proceed according to this model. It just reflects the general tendencies of internationalisation in terms of time, features, rationales and scales.

This section has integrated existing western explorations of IHE and synthesized an evolutionary model of IHE. This model demonstrates how and why IHE has changed in the past decades in these contexts. It will be used as a checklist or benchmark to consider to what extent IHE in China has proceeded similarly to or different from IHE

in Western contexts. By the end of this study, this model is used as a checklist to see which stage the Chinese case university is at.

2.1.4 Theories of IHE evaluation

As IHE has been a crucial element in higher education in western countries such as the UK, USA and Australia, quality assurance in respect of IHE becomes a preoccupation. The approaches, specific evaluating instruments and indicators for assessment or evaluation, and problematic issues are studied in this section. In order to construct a theoretical understanding of IHE evaluation studies, this section is guided by a series of questions, namely, "what is evaluation", "why we evaluate", "what we evaluate", "how we evaluate" and "what are the problematic issues among different evaluation tools". These questions reflect key aspects of IHE evaluation theories in the West.

Evaluation and evolution criteria

Evaluation in this research refers to the assessment of a range of practices in international activity, the quality of international education and the fulfilment of the objectives that HEIs set for achievement. Some researchers use alternative words, such as assessment, review or measurement for different purposes (Knight, 1999a; de Wit, 2010; Brandenburg and Federkeil, 2007). Some scholars also refer to it as "quality issues" (Knight, 1999b; de Wit, 2002) as IHE and quality evaluation are considered as "closely related issues" (de Wit, 2002, 153).

Evaluation in this research does not mean excellence or zero error of fitness for purpose (Harvey and Green, 1993). It is a generic and neutral term referring to any method used to check the process of internationalisation. It does not distinguish

between qualitative and quantitative approaches of data collection. It is used to review the implementation of international work and generates evaluation criteria for HEIs from the practical perspective, rather than relying on the hypothesis or literature. Evaluation can help an HEI improve, meet its stated objectives, and modify and re-set the objectives for continuous improvement.

Rationales for IHE evaluation

The exercise of IHE evaluation is driven by various reasons. As internationalisation has developed from a marginal to central position, one empowering way to view internationalisation is "through the lens of evaluation" (English, 1998, 179). The reason internationalisation should be evaluated or the quality of international education should be guaranteed is still in a state of obscurity in theory. At present, the main rationales for evaluating internationalisation are commercial, competitive and quality rationales. These rationales are not exclusive of each other. On the contrary, they are intertwined.

Economic globalisation has impacted higher education making it a market- or profit-oriented sector. In many countries, governmental funding in higher education has been cut sharply, leading to the current fiscal crisis of HEIs (de Wit, 2008). In the UK, higher education and universities have become a "core part of the economic infrastructure, and as large enterprises generate substantial economic activity, employment opportunities and overseas investment" (Snowden, 2014, 2). Institutions have to find other sources of income to solve the revenue problem, such as student tuition fee, private and alumni donation or payment from enterprises for services provided by universities (Yang, 2002). The increase in recruiting full fee paying international students both on-shore and off-shore is regarded as one of the most

effective ways. For example, in UK, USA, Australia and Canada, international activities, such as the recruitment of foreign students, international collaborative programmes and establishing campuses abroad are primarily aimed at generating more income. University entrepreneurialism or academic capitalism has been more dominant as a consequence of globalisation (Slaughter and Leslie, 1997). As Pratt and Poole (1998) observed, international education marketing is now a business for Australian universities. Efforts to seize the international HE market have been described as the economic or commercial approach to internationalisation (de Wit, 2002). This approach intensifies competition among universities in the world in order to attract more foreign students and sign more international contracts.

The improvement and enhancement of educational quality plays an important role during the process. Stakeholders, such as OECD and European Commission, and HEIs are highly engaged in the assessment or evaluation of internationalisation and its quality review instruments (Knight and de Wit, 1999; de Wit, 2002; Knight, 2008). During the phase of rapid expansion and rationalization of higher education, quality evaluation and assessment are necessary to guide the development of internationalisation. Quality evaluation is described as "any process leading to judgments and/or recommendations regarding the quality of a unit, activity or strategy" (Knight, 2008). Most people (Knight, 1999a; Zha, 2003) consider that international dimensions of teaching, learning and research can enhance the quality of education. The quality evaluation of IHE, to some extent, can reflect the effect of international education's impact on the higher education.

Approach and purpose of evaluation

In this research, "evaluation" is a general term used for the approach of checking

the quality of education in the process of university internationalisation. Due to the purpose and the interests of stakeholders and HEIs, internationalisation can be evaluated and assessed using different approaches. In addition, "different terms are used to differentiate among various approaches" (Knight, 2008, 41). Woodhouse identifies three generic approaches to quality assurance: "audit or review", "assessment" and "accreditation" (Woodhouse, 1999, 30-34). The differences among these three approaches can be distinguished by three questions. Audit or review approach is used to answer "are your processes effective in achieving your objectives?" The assessment approach is to answer "how good are your outputs?" and the accreditation approach is to answer the question "are you good enough" (Knight, 2008, 41). Woodhouse (1999) also points out that these approaches may be used differently in different higher education systems and the maturity of an institution. In some cases, one or more approaches may be used by the same or different agencies.

The approach of conducting evaluation is also related to the purpose of evaluation. van Gaalen (2009) identifies three main purposes from the existing tools: self-evaluation, which is to "help institutions analyse their own particular situations"; benchmarking, which is meant to "enable comparisons to be made between parts of an institution or between different institutions"; and ranking (van Gaalen, 2009, 77). Self-evaluation is normally an internal exercise and for internal purpose, but the result can be used for comparison with external institutions for the purpose of benchmarking or ranking. Self-evaluation also comes along with external peer reviewing for comparison, such as in the IQRP and Japanese projects.

Different evaluation approaches and purposes lead to the creation of different forms of evaluation frameworks and affect the selection of criteria, indicators and

dimensions. The following section gives examples of key existing evaluation tools and indicators of IHE based on research conducted in Western contexts.

Existing tools and indicator sets

Once the meaning, rationale, purpose and approach of evaluation have been clarified, the next task is to consider "what we evaluate" (Deardorff, et al, 2009). A European Commission-supported project, Indicators for Mapping and Profiling Internationalisation (IMPI), has collected over thirty existing IHE evaluation tools used worldwide into a single toolbox. These tools or instruments indicate the diversity and complexity of dimensions and indicators of university internationalisation. The forms of evaluation instruments are various. For example, the IQPR and Japanese projects use open-ended questions and participant institutions submit self-evaluation reports to peer teams. ACE uses yes-no questions answered by a questionnaire survey throughout the nation.

In terms of the purpose of evaluation, there are mainly three purposes – self-evaluation, benchmarking and classification or ranking (Beerkens, et al, 2010). As this research focuses on self-evaluation at the institutional level, three relevant projects and their evaluation frameworks have been selected for review as examples: the OECD-sponsored project *International Quality Review Process* (IQRP), ACE's *Mapping Internationalisation on U.S. Campus* and Osaka University's *Develop Evaluation Criteria to Assess the Internationalisation of Universities*. These have been selected to analyse how the projects evaluate internationalisation in each context. The format of the evaluation framework and evaluating approach are related to the purposes of the evaluation.

The IQRP Project is one of the earliest programmes on quality issues in IHE. It is

undertaken by the Programme on Institutional Management in Higher Education (IMHE) of the Organisation for Economic Co-operation and Development (OECD, 1999). Nine higher education institutions worldwide participated in the assessment. The IQRP evaluation tool is in the form of a self-assessment report, which is a quality audit programme aiming at assessing international objectives stated by the participating institution. The IQRP framework consists of two parts: a self-assessment and a peer-review. The self-assessment is of the institutional level. The self-assessment framework consists of 8 dimensions with 104 questions (see Appendix 1 OECD-IQRP). The framework is designed as a "template" for the preparation of assessing the international sense of the education quality. The guideline framework (see below) aims at being used in "different educational contexts", "in different cultural contexts" and "in different institutions at different stage of internationalisation" (de Wit, 2002, 168). Each participant submits a self-assessment report to a peer review team. The peer review team reads and discusses the self-assessment reports and arranges a site visit, if necessary, to listen to the special issues addressed by the institution.

1. Context
2. Internationalisation strategies and policies
3. Organizational and support structures
4. Academic programmes and students
5. Study abroad and student exchange programmes
6. Research and scholarly collaboration
7. Contracts and services
8. Conclusion

Knight and de Wit (1999, 53)

This evaluation framework uses a narrative approach to compile the evaluated HEIs reports on internationalisation. These dimensions provide guidelines for the evaluated HEIs to write their reports, focusing on international policy, organizational structure,

international mobility, activities, research and services. This framework significantly identifies the contextual factor in the process of IHE evaluation. It draws attentions on the features of higher education policy and strategy of the assessed HEIs in different countries as it is an international-level project. Other projects, mostly of national and institutional level, only seldom consider the contextual factors outside its scale, even in the adoption of other tools.

The second example, the ACE Review Process, is a series of national surveys on US HEIs that has been conducted from 2001 to 2012. It is the only sustaining national survey on IHE. The reason that ACE undertakes this survey is that there is no national data available on campus internationalisation strategies (Beerkens, et al, 2010). Although the questions asked by the ACE survey are largely based on the IQRP, its aim is to simplify assessment and distinguish "highly active" from "low active" institutions in internationalisation. Based on three "Mapping Internationalisation on U.S. Campuses" reports in 2003, 2008 and 2012, the evaluated international dimensions have been modified and upgraded for the sustainability of the research on IHE. Based on previous surveys, ACE's Centre for Internationalisation and Global Engagement (CIGE) formulated a definition of comprehensive internationalisation and reformulated the dimensions of the perspective of internationalisation of American HEIs in 2012. The "Model for Comprehensive Internationalisation" was set up and is composed of six dimensions: articulated institutional commitment; administrative structure and staffing; curriculum, co-curriculum, and learning outcomes; student mobility; and collaboration and partnership (*Mapping Internationalisation on U.S. Campuses: 2012 Edition*, 2012, 4).

> *"Comprehensive internationalisation is a strategic, coordinated process that seeks to align and integrate international policies, programs, and initiatives, and positions colleges and universities as more globally oriented and internationally connected."*

The longitudinal surveys present the changing status, from marginal to central, of IHE in America. The ACE report on *Mapping Internationalisation on U.S. Campuses: 2012 Edition* states that "it is the obligation of colleges and universities to prepare people for a globalized world, including developing the ability to compete economically, to operate effectively in other cultures and settings, to use knowledge to improve their own lives and their communities, and to better comprehend the realities of the contemporary world so that they can better meet their responsibilities as citizens" (*Mapping Internationalisation on U.S. Campuses: 2012 Edition*, 2012, 1). The report indicates that the formal assessment of internationalisation efforts can "reinforce the commitment by framing explicit goals and holding the institution accountable for accomplishing them" (*Mapping Internationalisation on U.S. Campuses: 2012 Edition*, 2012, 7).

The third example, Osaka University's *Developing Evaluation Criteria to Assess the Internationalisation of Universities* (2006), is one of the most comprehensive and systematic initiatives to evaluate internationalisation. In the beginning of the 21st century, the Japanese university environment changed as a result of a decrease in the country's population of 18-year-olds, growing interests in the quality assurance of education, and national reform (Ashizawa, 2006). It calls for proposing a set of evaluation criteria for internationalisation which can be used in Japanese HEIs. However, the Japanese indicator list was significantly built on the IQRP and ACE Review Process by looking at models of internationalisation evaluation (Beerkens, et al, 2010). The data of the project relies mainly on a self-evaluation report at the institutional level and public data from the internet, such as international staff and

international student numbers. The indicator list comprises 8 major categories, 23 intermediate categories and 49 detailed categories (see Appendix 1, Japanese indicator list). It also gives an explanation for each category. This project attempts to provide HEIs with a list of indicators which can be applied to a broad range of universities of diverse backgrounds and sizes. HEIs can choose the indicators they need, like an "*a la carte menu*" (Ashizawa, 2006, 137).

Methods for categorizing indicators vary across these evaluation instruments. For example, the IQRP, ACE and Japanese Indicators List group indicators using a multiple dimension method. The German CHE (Centre for Higher Education) indicator project, which has not been discussed in detail here, categorizes indicators and key figures into inputs and outputs (Brandenburg and Federkeil, 2007). Hudzik and Stohl give a systematic modelling of categories as inputs, outputs and outcomes:

> • *"Inputs: resources (money, people, policies, etc) available to support internationalisation efforts;*
>
> • *Outputs: the amount and types of work or activity undertaken in support of internationalisation efforts;*
>
> • *Outcomes: impacts or end results. It is these that are usually most closely associated with measuring achievement and the missions of institutions".*

> Hudzik and Stohl (2009, 14)

The ways of categorizing evaluation indicators are related to the aim and rationale of the evaluation projects. However, in the existing western research on IHE evaluation, there are several problematic issues that should be noticed.

Problematic issues

The preceding section reviewed three major typical evaluation projects on IHE and different approaches of synthesizing tools and instruments. The variety of ways of

categorizing indicators and dimensions hints at the problematic issues in the composition of any evaluation framework. This section discusses two problematic issues found in the three evaluation tools discussed above (IQRP, ACE and Japanese Indicator List), which are the clarification of terms and the gap between the definition of IHE and the tools used for evaluation.

The first problematic issue is the clarification of terms. Table 2.6 highlights similar dimensions and indicators by highlighting them in the same colour across the three evaluation tools. It can be seen that there are several terms repeatedly used across three indicator sets; for instance, "organizational structure", "support services", "academic programmes", "language" and "staff". However, these repeated terms or dimensions might have different meanings in different projects, while, some dimensions, though using different words and expressions, mean the same thing. For instance, the staff, including the academic and the administrative, is an important element in HEIs and a crucial dimension in the process of evaluating internationalisation. This dimension has been evaluated in all of the three evaluation tools by using different terms. The IQRP, for example, considers faculty as a kind of human resource. It applies "human resources management" as one of the dimensions to evaluate the managerial aspect of the staff. There are nine qualitative guiding questions under this dimension (see Appendix 1, IQRP, Indicator 73-81). Human resource management (HRM) refers to "a collection of policies used to organize work in the employment relationship and centres on the management of work and the management of people who undertake this work" (Beardwell, 2014, 4). HRM in this project is concerned with recruitment, selection and performance management of the staff involved in international issues. It does not distinguish between categories of staff, whether academic, administrative or managerial but focuses on the process of the management of staff.

In the ACE evaluation tool, a set of questionnaires, "staff" (under "organizational structure and staffing") refers to specialists dealing with international affairs for the international organization, such as the International Office or International Education Centre. It refers to administrators, not academic teachers (see Appendix 1, ACE: 9-11). The indicator questions which are relevant to academic staff are formulated under a separate dimension of "faculty policy and opportunities" which emphasizes the faculty member concerned with policy (see Appendix 1, ACE: 32-34).

The Japanese Indicator List was constructed by looking at the examples of the IQRP and ACE and is more elaborate than these. The "staff" dimension is located under a "structure and staff" dimension. Staff, in this case, refers to policy makers, international service staff and faculty members in different contexts (see Appendix 1, Japanese Indicator List: 10, 13-14, 17-18, 21-24 and 26-27).

Another example of this problematic issue is the term "service". In the IQRP project, "service" refers to the general supporting services in international activity (see Appendix 1, IQRP: 32-35), the service for domestic students participating in international activity (see Appendix 1, IQRP: 47), and the external service for international project work (see Appendix 1, IQRP: 95-97). In the ACE, "service" means the support for international students and scholars in academic respects (see Appendix 1, ACE, Indicator 9, 29, 36-37). In the Japanese project, "service" also refers to support for international activity development and operation and international student education (see Appendix 1, Japanese Indicator List: 9, 13 and 19). From these examples, it can be seen that general terms may refer to different things in different research contexts. Clarifying the specific meaning of a term is crucial as it might impact on the quality of the data and the value or result of an evaluation.

The second problematic issue is the gap between the definition of IHE and evaluation frameworks or tools in existing evaluation tools developed in Western contexts. Reviewing the existing project reports on IHE evaluation, the theoretical foundation in formulating dimensions and indicators is fragile. In some cases, the indicators are constructed from a researcher's hypothesis based on the knowledge or experiences they have, or a stakeholder's or project sponsor's interests. However, most reports do not state their theoretical framework and methodology clearly or explain how the dimensions and indicators were created. Furthermore, most evaluation tools were built upon previous existing models (Beerkens, et al, 2010). Taking the IQRP, ACE and Osaka University projects as examples, the ACE Review Process is "largely based on IQRP", and Osaka University studied ACE and IQRP tools to "apply them to the Japanese Indicator List" (Beerkens, et al, 2010, 40). Hu (2009) applies the ACE evaluation framework to test IHE in the Chinese higher education context. This kind of 'building-up' research can save a lot of time in generating indicators, but it also disregards the situated culture and knowledge embedded in a local area and neglects the importance of selecting indicators from empirical study.

In terms of the working definition used for IHE evaluation projects, Knight's (1993) is one of the most popular definitions used by researchers. For instance, the evaluation tools discussed in this section – the IQRP, ACE and Japanese Indicator List – apply this definition in their research. Knight's (1993) definition is generic and attempts to be suitable for any country and context. It stresses the international impacts of institutional functions: teaching, research and public services. However, the same definition does not offer any significant explanation of the selection of indicators and the formulation of the evaluation framework, nor reflects the purpose of the research.

The German CHE project is the only one formulating its own working definition for

IHE measurement. Although this definition integrates Knight's process approach, it links the meaning of IHE with the indicators and key figures of internationalisation, and clarifies that internationalisation under this context is a kind of status change, "from an actual status of internationality at time X towards a modified actual status of extended internationality at time X+N" (Brandenburg and Federkeil, 2007, 7). It creates a theoretical foundation for the evaluation framework measuring the changes of the input and output of internationalisation under the specific research context (Brandenburg and Federkeil, 2007). This issue raises the question of whether the interpretation of the meaning of IHE should be linked with evaluation frameworks and whether the interpretation of the meaning would impact upon the generation of evaluating dimensions and indicators. The answer to these questions is explored by the empirical case study based on the data collected from a Chinese university.

Table 2.6 Three Evaluation Indicator Sets

IQRP	ACE	Japanese indicator list
1. Context	1. Institutional commitment	1. Mission, goals and plans of the university
1.1 Summary of the HE system	2. Organizational structure and staffing	1.1 Official statements regarding the internationalisation of the university
1.2 Summary of the institutional profile	3. Financial support	1.2 Responsible administrative structures
1.3 Analysis of the (inter)national context	4. Foreign-language requirements and offerings	1.3 Establishment of medium-and long-term plans and strategic goals
2. Internationalisation policies and strategies	5. International/global course requirements and offerings	2. Structures and staff
3. Organizational and support structures	6. Education abroad	2.1 Decision-making structures and processes for internationalisation policies
3.1 Organization and structures	7. Faculty policies and opportunities	2.2 Organizational structures for operation
3.2 Planning and evaluation	8. Student activities and services	2.3 Professional development and performance review in the area of IHE
3.3 Financial support and resource allocation	9. Use of technology for internationalisation	2.4 Institutional accountability
3.4 Support services and facilities	10. Degree programmes offered abroad for non-U.S. students	3. Budgeting and implementation
4. Academic programmes and students		3.1 Budgeting structure for departments involved in international activity
4.1 Internationalisation of the curriculum: area and language studies, degree programmes, teaching and learning process		3.2 Budgeting and performance
4.2 Domestic students		4. International dimension of research activities
4.3 Foreign students		4.1 Achievements of research presentation
4.4 Study abroad and student exchange programmes		4.2 International development of research activities
5. Research and scholarly collaboration		5. Support system, information provision and infrastructure (Entrance examination, education, housing, multilingual aspects and the environment)
6. Human resources management		5.1 Support system for international researchers and students
7. Contracts and services		5.2 Daily support for international students and researchers
7.1 Partnerships and networks		6. Multifaceted promotion of international affiliation
7.2 Out of country education programmes		6.1 Inter-university affiliation
7.3 Development assistance		6.2 Overseas bases
7.4 External services and project work		6.3 Linkage with local community
8. Conclusions and recommendations		7. Internationalisation of the university curriculum
		7.1 Language programme
		7.2 General academic programmes (liberal arts programmes, excluding language programmes)
		7.3 Internationalisation of specialized education
		8. Joint programmes with external organizations (academic exchange, internships, and others)
		8.1 General issues regarding international programmes
		8.2 Educational exchange
		8.3 Evaluation of joint programmes with other universities
		8.4 Development of new programmes

2.2 The research of IHE under the Chinese context

In the Asian context, many countries and regions also have been greatly influenced by globalisation and take actions in policy and practice for the internationalisation of higher education (Mok, 2007; Ng, 2012). In the modern history, many Asian countries have been greatly impacted by western power, science and technology, ideology and educational models. Western colonialism also left its mark on higher education in some of these Asian countries. The process of higher education development, to most Asian countries, means a process of internationalisation, precisely a process of westernisation.

Japanese higher education is greatly affected by the western and American model since the latter part of the 19th century. The development and implementation of university curriculum and educational ideas were adopted from the West and America. It was not until 1970s that the Japanese government realized the importance of finding its own way to promote IHE. Since the 1980s, the Japanese government issues a range of policies on the university internationalisation, such as the Nakasone Plan (1983) which claimed to attract and host 100,000 overseas student by 2000, and the University Council's document (2000) which identified the goal of reform was the enhancement of international higher education and the ability to compete at the international level (Huang, 2006b; Huang, 2006c).

Even though Hong Kong is part of the People's Republic of China now, it was colonized by British government from 1840s to 1997. The schools and universities were set up in the British model. The curricula were introduced from the West and the staff were employed from overseas. For nearly two centuries, internationalisation means modernisation, westernisation, or precisely the Britishisation (Pretor, 2007).

The process of IHE in Hong Kong is divided into two branches. On one hand, it was internationalised by the western model in the colonial era and established an international reputation. On the other hand, under the competitive global context, the internationalised Hong Kong HEIs have to keep up with the latest world trends and to be more international.

International higher education in Vietnam is significantly shaped by external influences, especially from China and the West (Welch, 2010). Vietnam has a close relationship with China, not only in geography but also in history, tradition and culture. The process of IHE in Vietnam shares a lot of similarities with Chinese IHE. Vietnam was a part of China until the 10th century. Between 11th and 18th century, Vietnam was in a process of fighting for the independence and expansion southward. Although Vietnam has been independent from China, Vietnamese social structure and education has been greatly impacted by the Chinese Confucianism. While, since the mid-19th century, Vietnamese higher education has been shaped by the western models, particularly the French, the US, Russian and Australian higher education systems (Welch, 2010). This westernisation or internationalisation of higher education in Vietnam is a production of her history as well as a production of between the demands of its socialism and the trend towards a vigorously growing market economy.

In the past one and half centuries, Chinese higher education has walked a similar route with these Asian countries or regions. The first half of this chapter reviewed existing studies of IHE, focusing on aspects of definition and evaluation in the context of Western research and evaluation tools. To establish the need for developing a more context-sensitive approach to the study of IHE in particular national contexts, the second half focuses on studies of IHE in the Chinese higher education context and looks at how Chinese IHE has evolved in the modern era. As the process of China's

IHE has occurred within a context of foreign influence in the modernization of China's higher education system, it is necessary to offer an overview of the development of Chinese higher education from a historical perspective. This will pay particular attention to how foreign countries and western HE models shaped Chinese higher education in the past, and how the People's Republic of China shifted from adopting western models to exploring its own model independently. This section also reviews the existing but limited number of studies of the meaning and evaluation of IHE in the Chinese context and critically contrasts the problematic issues in these with those in Western studies.

2.2.1 The internationalisation of higher education in China

This research attempts to explore how IHE is interpreted and how it is practiced in a Chinese higher education context. A historical review of IHE is crucial to help understand IHE in the past and at present, as this period of history in the national curriculum has influenced Chinese people's way of thinking about Western countries and their interpretation of the meaning of IHE, which is outlined in this case study. It reflects the longitudinal development and changes of IHE in the Chinese context.

Three stages of internationalisation in Chinese higher education

Although Chinese higher education can be traced back to the 4th century BCE (Galt, 1951; Gu, 1964), there was neither an institution in Chinese tradition that could accurately be called a university, nor any parallel to the notion of "scholar values (autonomy and academic freedom) that emerged in Europe" (Hayhoe, 1996, 10-13). Confucianism, which was worshiped by the imperial monarch as the only orthodox ideology and ethics and which shaped the overall Chinese mindset for over 2,500 years, was also the dominant context of the civil service examination (Min, 2004, 56). There

have been several names for traditional Chinese higher education institutions which changed in different dynasties. *Taixue, Guozijian* and *Hanlin Yuan,* for example, were kinds of central imperial academies, which were the highest educational institutions in ancient China (from 221BC to 1912). In ancient or feudal China a rigid social hierarchy also influenced the purpose of higher education, in which the main purpose of study was to become an officer by passing the civil service examination to serve the imperial court.

There are some voices which claim that IHE in China should be traced back to the time of Confucius, who was "traveling around parts of what were effectively different states in the period before China's unification" and preaching his thoughts to the governors and emperors (around 221BCE) (Welch and Cai, 2010, 9; Yu, 2014). Another voice is that internationalisation in China was launched as a consequence of the Westernization Movement (洋务运动) in the 1860s, which aimed to strengthen China by learning from western science and technology (Wu, 2009; Bao, et al, 2010; Yang, 2002). The reason that these different voices exist is that they use different criteria of "university" or "higher education" to define internationalisation. The former uses the Chinese criterion of a higher educational system (e.g. *Taixue, Guozijian*) which serves for the government, while the latter is judged by the criteria of modern western university systems.

As this research intends to explore the modern era of Chinese IHE and contrast it to the western context, this section focuses on the development of IHE starting from China's modern age to the present. Wu (2009) once divided China's IHE process into three phases, according to remarkable historical events (see Table 2.7).

Table 2.7 The Internationalising Process in China

Phase	Time	Events	Features
One	1860s-1910s	1.Westernization Movement (1860s) 2.First Sino-Japanese War (1894)	1. Isolation from the outside world was broken up by western invasion; 2. Launching the internationalising progress in China; 3.Western education institutes were established promoting western language, knowledge and technology; 4. Giving up the traditional moral-centred higher education curriculum and accepting the western and Japanese curriculum; 5. Imitate the Western and Japanese higher education models; 6. Students were sent to Japan to study by Qing Government;
Two	1910s-1950s	Xin hai Revolution (1911)	1. Qing Regime and feudal monarchy were overthrown; 2. Nationalistic government created a comparatively loose environment for the higher education development; 3. Abolishing feudal curriculum and setting up new curriculum adding more western subjects; 3. Student went abroad to western countries, instead of going to Japan. America launched the Boxer Indemnity Scholarship Programme attract more Chinese student for education; 4. Carrying out a series of higher education system reform; 5. Encourage international academic and educational communication
Three	1950s-present	1. Establish of new Chinese government - PRC (1949) 2. Cultural Revolution (1966-1976); 3. Reform and Opening up policy (1978) 4. China become the member of WTO (2001)	1."learn from Soviet Union"; 2. Reject foreign things; 3. Reform and opening up policy promote the process of internationalisation in China; 4. The number of student going abroad and international students coming to China increases sharply after 1990s; 5. Internationalisation of higher education in China connect tracks with foreign countries;

(Wu, 2009)

Emphasizing the historical impact of nationalism on China's modern higher education

development, however, Yang (2002) divides the internationalisation of higher

education in China into five stages: the end of isolation (1840-1860), decline of the old order (1860-1895), reforms (1895-1911), the era of a republic (1912-1949), the period of vacillation (1949-1976), and regularization in the name of Reform (1976-1990s). However, if considering both the characteristics of IHE and the historical events, IHE in China has gone through a process of '***adoption*** (1860-1966) – ***prohibition*** (1966-1976) – ***independence*** (1978-present)'. In the following section, these three phases are presented respectively.

Phase One: Adoption (1860-1960s)

The First Opium War or Anglo-Chinese War (1840-1842) was the turning point marking the end of feudalism and the start of modernization in China. The Western higher education system was imported during this phase (de Wit, 2002). This phase is a chaotic time in Chinese modern history during which time the nation endured invasion and colonization by European and American powers such as Great Britain, France, Germany, the US, Japan, Russia, Italy, Austria, Spain and Portugal, and there were also civil wars. This phase lasted around a century. In this period, the evolution of modern Chinese higher education was thus deeply "interwoven with influences from the West and Japan" (Hayhoe and Zha, 2007, 668). The internationalisation of higher education in China at this stage imitated the western higher education systems of different countries.

Western Models: Self-Strengthening Movement (1860-1895)

Since the late Qing Regime (after the Opium War in 1840), China's closed-door policy was broken by the western irruption (Russell, 1922). Western higher education was brought in by invaders such as Britain, America, France, Germany, Russia and Japan. Facing a series of military defeats and concessions to foreign powers, Qing courtiers

and officials realized the need to strengthen China. From 1860 to 1895, the "Self-Strengthening Movement" was launched, emphasizing the adoption of Western firearms, machines, scientific knowledge and the training of technical and diplomatic personnel. This was achieved through the establishment of a diplomatic office called Ministry of Foreign Affairs and a higher education institution called *Tongwen Guan*. In this movement the strengthening of the military industry was the most important goal of the Qing Court (Hao and Shen, 2012). Attention to higher education in this period was marginal. A few professional schools were founded by westerners or were trained with the help of western technicians. There were also some language schools to train translators of foreign languages into Chinese. For example, *Beiyang University* was one of the earliest professional schools established in 1895; it later became the first modern Chinese university. Although the "impact of these schools was minimal", it laid the foundation for the modernized Chinese university (Yang, 2010, 38). There were more and more Chinese modern universities established after this time.

The Japanese Model (1895-1911)

The second model of higher education that China adopted was the Japanese model. In contrast to China's initial attitude of isolation against western science and technology, Japan was more open and tolerant to western things. The Meiji Reform (1868-1912) led to enormous changes in Japan's social and political structure. Japan started learning from western countries, especially the USA. The government sent delegations to the USA to learn western industrial technology and scientific knowledge. This reform was responsible for the emergence of Japan as a modernized nation in the 20th century. Japan embarked on the First Sino-Japanese War in 1894-95. After being defeated by Japan, the young Chinese Emperor Guangxu commanded a series of reforms which were known as the Hundred Day Reform (1898) and the process of learning from

Japan started. With respect to the internationalisation of higher education, the first modern comprehensive university - the Capital Metropolitan University, later Peking University - was patterned on the University of Tokyo (Chen, 2002; Hayhoe, 1996). An increasing number of students was sent abroad, mainly to Japan (Feng and Niu, 2007). The Japanese model then became popular during this time.

European and American influences and the emergence of the Chinese university model (1911-1949)

The European and American models were popularized after the Japanese model. Interest in IHE during this period went up and down with the regime changes of the feudal monarchy and the Nationalistic Party, and colonial and civil wars. Many Chinese scholars who had studied mainly in Europe and America returned to China and took important positions in higher education. The knowledge and experiences they gained from foreign countries had great influence on Chinese higher education. Unlike in other eras, they did not completely emulate foreign models but started to try to explore and create a Chinese higher education system (Hayhoe and Zha, 2007).

During this period, Sun Yat Sen established the first Nationalist Government in Nanjing in 1912. He was open-minded and fully supported the development of higher education. He claimed that scholars and intellectuals were the "lifeblood of a country" (Ye, 1995, 19). He also nominated Cai Yuanpei as the first Minister of Education, who later designed higher education legislation (1912) which introduced the academic freedom and university autonomy along the lines of German university model (Hayhoe and Zha, 2007, 668; Zhou, 2006). However, academic freedom and university autonomy were killed in the beginning and were not carried on due to the later wars and the shifts of governments.

In addition, some colonial nations sponsored programmes sending Chinese students to America and European countries from 1908-1940. The Boxer Indemnity Scholarship Programme, which is paid by the American government, is called "the most important scheme for educating Chinese students in America and arguably the most consequential and successful in the entire foreign-study movement of twentieth century China" (Ye, 2001, 10). One of the most famous Chinese universities, Tsinghua University, was funded by this programme. Cai Yuanpei also used this programme to set up Academy Sinica, which was the highest academic institute of the Nationalist Government (Zhang, 2000). A number of academic scholars benefited from the programme and most of them later became world-famous scholars in different areas (Bishop, 1962).

The Soviet Model (1949-1966)

The founding of the People's Republic of China in 1949 marked a turning point in the development of HE in China. The western style of higher education system was considered a product of capitalism and it was said that the country should "weed the old to bring forth the new" (in Chinese 除旧布新) (Ye, 1995, 27). The Soviet pattern was then considered as the best choice for the new Chinese government, since it had already achieved over 30 years of communist construction and development (Gu, 2004). The *Sino-Soviet Treaty of Friendship, Alliance and Mutual Assistance*, which was signed on February 14, 1950, paved the way for sending Chinese students to the Soviet Union. Since the 1950s, the Soviet pattern has become the dominant model for Chinese universities. During the 1950s, 861 educational experts from the Soviet Union were sent to participate in the reform and establishment of Chinese higher education in order to facilitate teaching and higher education reform in new Chinese universities (Chen, 2003). Curricula and textbooks were also imported from the Soviet Union and

Russian was the main language studied in Chinese universities. Before 1966, the Chinese government sent 10,668 students abroad for study, 8,414 of whom (78.87%) went to the Soviet Union. Based on Soviet experience and advice, the new Chinese government put emphasis on the development of heavy industry in its first Five Year Plan (1953-1957). Therefore, most of these international students were selected to study technical and industrial subjects. At the same time, China also accepted international students, mostly from Vietnam. From 1949 to 1965, a tiny number of international students also came from the Soviet Union, making up 3.03% in total. These exchanges reflected the passion of China to learn from the Soviet Union and the attitude of the Soviet Union towards China in terms of cultural and educational issues (Su et al., 1999, 584).

The Soviet pattern worked well at first. The cultivation of specialized personnel for the development of heavy industry contributed to China's centrally planned economy. However, the emphasis on scientific and technical disciplines obstructed the development of other disciplines, and the number of comprehensive universities and departments of humanities and of the social sciences dramatically decreased (Brandenburg and Zhu, 2007).

Phase Two: Prohibition (1966-1976)

By 1966, the process of HE internationalisation in China was adopted from foreign models. However, the Cultural Revolution, which took place from 1966 to 1976, plunged China as well as China's education systems into chaos (Zhou, 2006). In terms of higher education, the revolution negated all the educational principles and achievement of the previous 17 years, including historical Chinese academic traditions, Western academic influences, and the Soviet academic model (Min, 2004; Hayhoe and

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Zha, 2007). Colleges and universities were attacked as places disseminating ideas that combined Soviet revisionism, Western capitalist ideologies, and traditional feudalism (Min, 2004, 62). The National College Entrance Examination was called off in 1966. The institutional administration was paralyzed, higher educational institutes were prevented from enrolling undergraduate students for more than four years, and no postgraduate students were enrolled for twelve years (1966-1978) (Yang, 2010, 40). Many HEIs were closed down. After 1970, some HEIs started enrolling "worker-farmer-soldier" students based on political criteria without consideration of academic qualifications (Min, 2004, 62).

In terms of international connections, any contact with foreign countries was rejected. According to the record of the History of China's Education System, the Ministry of Higher Education decreed, on 30 June 1966, that the work of selecting and sending students going abroad was to be put off for half a year. However, the suspension in fact lasted for 6 years. On 18 January 1966, the Ministry of Education and Ministry of Foreign Affairs issued a joint notice that all Chinese students who were sent overseas should come back and join the revolution. International student exchange programmes were also suspended (Su, et al, 1999, 590-591).

Consequently, a whole generation of people lost their higher education opportunities, and the gap between China and the developed countries widened once again (Wu, 2009; Brandenburg and Zhu, 2007; Zhou, 2006; Min, 2004) The Cultural Revolution was a "terribly costly failure" setting back China's communication with foreign countries, the development of science and technology, and the nurturing of scientific intelligence (Su, et al, 1999).

Phase Three: Independence (1978-present)

Higher education in the third phase is different from in the previous two phases. Its intention was to be immune from foreign influences and search for "national identity and national strength" (Hayhoe and Zha, 2007, 685). Nationalism has "old" and "new" meanings. The old nationalism has two meanings: "doctrine" and "political movement" (Sabanadze, 2010, 19). The doctrinal meaning of nationalism focuses on a nation's right, interests, and responsibilities; while the political movement refers to actions taken to further these rights (Sabanadze, 2010, 19). In the context of globalisation, nationalism has been endowed with a new meaning, which is also called "new nationalism" (Kaldor, 2006; Jurgensmeyer, 2002; Castells, 1997; Delanty and O'Mahony, 2002). Nationalism at this stage focuses on the local and cultural character of contemporary nationalism, which is "more oriented towards the defence of already institutionalized culture than toward a construction or defence of a state" (Castells, 1997).

Since 1978, the development of Chinese higher education and its internationalisation have entered a peaceful and stable state with the implementation of the Reform and Opening-up policy. The emphasis of the national plan was shifted from political orientation to economic construction. As such, a series of reforms in higher education were undertaken in HEIs and some subjects were reshuffled and regrouped with some achievements such as re-adjusting educational aims and goals to meet the needs of state development and globalisation; decentralizing the leadership of the Chinese higher education system; the massification of higher education; introducing quality control policies and massively evaluating teaching quality national wide; and active and productive international cooperation with foreign countries (Li, 2004; Zhou, 2006; Zhang, 2010).

Particularly, the aspect of international cooperation and exchange has started to become popularized in recent decades. At the national level, the government claims that "China must advance international cooperation and exchange in all fields of education and at a higher level" (Zhou, 2006, 247). Since China entered the WTO, the Chinese government has been actively honouring its commitment to reduce tariff-barriers on trade in education services on the WTO list and accelerating its opening-up to exchanges with the world community.

The Chinese government draws on the successful experiences of other countries and sets up the guiding principles of "gearing education to the modernization drive, the world and the future" and the work principle of "opening up conduits widely, promoting exchanges, giving prominence to key fields and programmes and striving for practical results" (Zhou, 2006, 248). These principles are repeatedly written into national plans and educational policies, such as the *Action Plan for Rejuvenating Education 2003-2007* and the *Outline of China's National Plan for Medium and Long-term Education Reform and Development (2010-2020)* (*Plan* for short). Guided by these principles, China has fostered cooperative and exchange relationships with over 170 countries and regions and signed more than 100 agreements and executive plans for bilateral or multilateral exchange in education (Zhou, 2006). These include various bilateral cooperation and exchanges among universities, government agreement on the mutual recognition of academic credentials, diplomas and degrees, and diverse multilateral activities on culture, sports and research.

In terms of students studying overseas, from 1978 to 1992 the policies and decisions issued by the Central Committee and MOE focused on dispatching students and scholars abroad for advanced study. It reflected the "urgent demand for professionals and experts with a good mastery of advanced knowledge and technology from

overseas and a desire for learning from English-speaking countries" (Huang, 2003, 226). From 1993, more attention has been paid to encouraging overseas students and scholars to return home, attracting foreign students to study in China, and undertaking transnational education and the internationalisation of university curricula (Zhou, 2006; Li, 2004; Huang, 2003).

In 1983, Deng Xiaoping, the General Secretary of the Central Committee, claimed that education must face up to modernization, the world and the future. This direction was an "official direction" for the internationalisation of higher education in China (Wu, 2009). Both documents the *Decision of the Reform of Education System of the Central Committee of the Communist Party of China* in 1985 and *An Outline of Chinese Education Reform and Development* in 1993 stressed the importance of developing international cooperation and communication in higher education (Wu, 2009). Educational internationalisation was also written into the *Education Law of People's Republic of China* clarifying the details of principles and methods. In 2001, China became a member of the WTO. Education as one of the trading service has been introduced into China and some foreign universities have built campuses in China, including New York University Shanghai, University of Nottingham Ningbo China, and Xi'an Jiaotong-Liverpool University.

In addition, China seeks a national identity and wants to send a bright image to the world. Establishing a Confucian Institute is one of the ways to broadcast the Chinese image. In 2004, the first Confucian Institute opened in Seoul, South Korea. Confucius Institutes promote Chinese language and culture, support local Chinese teaching internationally, and facilitate cultural exchange. According to an Annual Report of *Hanban* (the Chinese National Office for Teaching Chinese as a Foreign Language), by the end of 2012 there were 400 Confucius Institutes distributed in 108 countries

and regions with over 655,000 registered students. Some western scholars argue that this is a tool of China's "soft power" in other nations, an argument that will be further discussed in the following section about the changing rationales of IHE in the Chinese context (Nye, 2004; Kurlantzick, 2007; Gil, 2009; Ren, 2010; Yang, 2010; Pan, 2013).

This section offered a historical review of Chinese IHE, including relevant details about the development of the modern Chinese higher education system. The IHE process in this context has moved from learning from and adopting Western ideas, through a short period of prohibition to being independent. As the predominant rationales for IHE in each historical period are different from each other, the following section discusses existing research on IHE and the dominant rationale for IHE in the Chinese context.

Existing studies of IHE in the Chinese context

According to a search for literature sorted by the key words "IHE", there were only 803 items founded in the "China National Knowledge Infrastructure" (CNKI) between 1980 and 2012. From 2013 to 2015, there were another 283 items added in CNKI, which indicates that the study of IHE started becoming popular in the past three years, although it is still in a marginal subject compared with others. Within the limited number of studies about IHE, most treat IHE as a background or phenomenon related to other subjects, such as English teaching and curriculum (Wang, 2015; Cai, 2012; Tian, 2013), Chinese students' overseas experience and staff professional development (Cortazzi, Jin and Wang, 2009; Smith and Zhou, 2009; Yang, 2009) and exchange programmes (Zhou, 2007; Liu, 2007; Cheng, 2007).

The small amount of literature on the study of IHE, to some extent, results from the dominant efforts put into domestic higher education reform in China. As pointed out

previously, since the 1950s, a range of higher education reforms have been made in response to national economic development, to maximize the allocation of national resources, and to gain recognition at the international level (Zhang, 2010; Li, 2007; Zhou, 2006). Only in recent decades, due to China's entry into the WTO and more international involvement in economy and politics, the study of IHE started to draw scholars' attention. However, most studies look at practical aspects of IHE such as the mobility of students, pedagogies, cooperation and communication programmes, intercultural education and student experience (Coverdale-Jones and Rastall, 2009; Ryan, 2010) and the academic field still seriously lacks theoretical research on IHE in the Chinese HE context.

The fact is that there are few theoretical and empirical studies about the meaning of IHE under the Chinese context to date. The few articles which talk about the definitions of IHE adopt existing western definitions, such as Knight's (1993; 2003), and/or formulates a new working definition by using existing western literature (Wu, 2009; Chen, 2007; Huang, 2007). The study of Chinese IHE is still at a primary stage without its own insights. The importance of investigating the meaning of IHE in the Chinese context is still not given enough attention; however, it is urgently needed in order to have clear insight into China's IHE, to develop higher education at the international level independently and to give right guidance for further strategic development.

The change of IHE rationales at different historical stages

In the first two phases (1840-1978), the modern Chinese higher education system was situated in a chaotic world. The evolutionary development of higher education at the international level was impacted by foreign or western countries and the

internationalisation of China's higher education was a passive process. In the semi-colonial and semi-feudal era (1840-1949), China did not have any choice other than to learn science and technology from the West, but still wanted to find rationales to "preserve their traditional culture formula" (Yang, 2002, 26). This national spirit launched a series of self-strengthening movements against foreign powers in higher education by establishing Western missionary colleges, sending scholars and students abroad and reforming higher education for modernization (Min, 2004). After a hundred years of torment by invaders, colonial powers and civil wars, China established its own regime in 1949. Over nearly three decades, the new China suffered many natural and man-made disasters. Hayhoe describes the period of 1949-1978 in China's modern history as an "overwhelming tragedy" that "resulted mainly from extreme political factionalism and the ruthless tyranny of a small group on the far left who took over Mao's agenda", in respect of higher education and culture. It is seen as "a swing of the pendulum" between Chinese traditional Confucianism, Western university models and the Soviet model (Hayhoe, 1996, 106; Altbach, 2006). National and political rationales motivated the internationalisation of higher education in this chaotic environment.

In the third phase (1978-present), China became an independent nation. The development of economy, politics and culture was the main driving force for IHE (Huang, 2006). From 1978 to 1992, there were a series of reforms launched to achieve the 'four modernizations' (of industry, agriculture, defence and science and technology). Examples of these were, *Jiaoyubu Guanyu Zenxuan Chuguo Liuxuesheng De Tongzhi* (Notice concerning increasing and selecting oversea students by the Ministry of Education) (1978) and *Jiaoyubu Guanyu Yingfa Waiyu Jiaoyu De Jidian Yijian De Tongzhi* (Opinions on stressing foreign education by the Ministry of

Education) (1979). After 1992, when China accelerated its transition to a market economy with Chinese characteristics, market mechanisms and the concept of competition with an international perspective were rapidly introduced into the development of China's HE. HEIs work frequently with foreign HEIs in the forms of exchange programme and research collaboration. In this phase IHE is not only influenced by the economic rationales, but also by more diverse reasons, including academic and cultural factors (Huang, 2006).

In the recent two decades, the central government repeatedly proclaims China's peaceful development principles to other nations. A series of international activities and policies have been conducted and implemented through the education field. One particular action was the establishment of the Confucius Institute, which is considered as a significant component of Chinese "soft power" (Nye, 2004; Kurlantzick, 2007; Gil, 2009; Ren, 2010; Yang, 2010; Pan, 2013). According to Nye's interpretation (2004), the core of soft power is the ability to obtain what one wants through co-option and attraction, rather than coercion or payments. This means "anything outside of the military and security realm, including not only popular culture and public diplomacy, but also more coercive economic and diplomatic levers like aid and investment and participation in multilateral organizations" (Kurlantzick, 2007, 6). However, according to Pan's (2013) perception, the Confucius Institute is not entirely representative of Nye's definition of soft power, as the development and expansion of the Confucius Institute rests heavily on the Chinese Government's financial support. Without these 'payments' or hard power, Confucius Institutes are not able to be established or maintained.

The Chinese "charm offensive" (soft power) is exercised and presented by different methods with different purposes from the American one. In 2014, People's Republic

of China's President Xi Jinping (2014) addressed the meeting of the 60th anniversary of the initiation of the Five Principles of Peaceful Coexistence that "China does not subscribe to the notion that a country is bound to seek hegemony when it grows in strength", "China will unswervingly pursue peaceful development", and "China neither interferes in other countries' internal affairs nor imposes its will on others … it (China) will never seek hegemony no matter how strong it may become". China promotes win-win cooperation with other countries which is different from American soft power aiming at controlling other countries. In the past six decades, China has gained more respect and popularity from other countries than the USA (Nye, 2004; Kurlantzick, 2007). The internationalisation of higher education, to most extents, helps Chinese higher education gain international recognition for its delivery of educational services in global market and expand Chinese influence worldwide (Pan, 2013; Zhou 2006). On the other hand, it may cause anxiety in other countries about being "schooled" by China's indoctrination (Little, 2010).

From a historical perspective, the process of Chinese IHE started with the introduction of western higher education in China as well as the nationalist war against foreign invaders from 1840s until 1949. Learning from the western science and knowledge was basically to defend national sovereignty. Therefore, it came with a strong spirit of nationalism. During the period of the Cultural Revolution, the development of higher education was stopped. The process of IHE also stopped. Since 1978 Reform and Open-up Policy made China re-open to the world. It accelerated the speed of internationalisation in higher education departments. China started turn away from the western model and became independent in higher education. The high-speed development of IHE requires high quality of international education. In the past decade, corresponding to the international and national requirements of the quality of higher

education, the quality of IHE has therefore become a topical issue in the HE studies. The next part reviews the IHE evaluation through a theoretic approach and presents the existing evaluation tools and framework of the western and Chinese contexts.

2.2.2 The evaluation of IHE in China

The concern with higher education quality and evaluation in China was initiated by the Department of Education (MOE at present). An initial pilot of educational evaluation was launched in 1985, and started from the evaluation of the teaching quality of engineering subjects. A *Standard HE Evaluation Framework* was set up and implemented in 1994. With the government command to boost the quality of education, a series of policies and actions were implemented in the higher education sector. From 1996 to 2002, around 192 institutions were evaluated (Xiao, 2011). Now, over 1,300 regular HEIs are being evaluated (Han, 2011).

Although there was a continuous wave of quality assessment of higher education from 2003 to 2012, the evaluation of university internationalisation has not received serious attention in practice or in academic research in China. The *Plan*, the latest national policy in education, states that "raising quality is at the heart of this task, and a basic requirement of the effort to build the nation into a power to be reckoned with in the global higher education landscape" (Plan, 2010, s18). With respect to international perspectives of higher education, the *Plan* also states the importance of importing high-quality overseas education resources and building up high-quality Chinese HEIs (Plan, Chapter 16). In the few existing studies and projects of IHE evaluation in China, scholars and researchers were initially and mainly based in the southern part of China. This is because the south and southeast parts of China were the earliest regions opening up to the world for economic development after 1978 (Chen, et al, 2009). At

present, the number of studies related to IHE evaluation is still small and most were published after 2010.

This section presents a review of the existing research on IHE evaluation in China by looking at three perspectives: methods of indicator selection, the participant institutions and evaluation dimensions and indicators. These aspects help to clarify the problems of selecting evaluation criteria and constructing an IHE evaluation framework in terms of contextual and practical concerns.

Methods of indicator selection

In the process of evaluation, designing and selecting criteria for an IHE evaluation framework is the initial thing that should be done. At present, although there are many Chinese studies of the internationalisation of higher education generally, and although a few Chinese scholars are attempting to set up evaluation systems or tools for IHE (Chen, et al, 2009; Li, 2005; Wang, 2010; Hu, 2009), there is little systematic study of IHE evaluation criteria or methods of assessing them. According to Chen and his colleagues, there are two approaches to selecting evaluation criteria: consulting experts and using empirical data and statistical analysis (Chen, et al, 2009). Some research attempts to set up systematic indicators for IHE evaluation by hypothesis and literature research and analysis (Li, 2005; Chen, et al, 2009; Wang, 2010); some intends to compare existing evaluation systems and select indicators from common dimensions (Chen, et al, 2009); and some aims to evaluate university internationalisation by adopting tools of another country (Hu, 2009). All these approaches for selecting IHE evaluation criteria overlook that knowledge should be generated from practice. Without an empirical investigation of the practice of IHE, the evaluation criteria are not valid and the testing results are not credible. To illustrate

this point, this section reviews another four examples of the Chinese IHE evaluation research and explores the problems of Chinese IHE evaluation.

Li (2005) conducted one of the earliest studies on IHE evaluation in China. He composed a set of evaluation indices for HEIs with 7 first-level dimensions and 18 sub-dimensions from desk research on existing theories and literature on internationalisation. The evaluation criteria are not drawn from empirical or contextual observation in HEIs. In this research, Li points out that a university is the conductor and sponsor of IHE in China and needs a "basic operation norm urgently" for its internationalizing (Li, 2005, 160), but his research does not clarify the reason for using specific literature for selecting evaluation criteria.

Wang (2010) primarily proposes an evaluation indicators system for university internationalisation based on an investigation of literature about IHE and a conceptual framework of the meaning of internationalisation. It contains 3 first-level, 9 second-level and 31 third-level indicators. These indicators are divided into two dimensions, "horizontal" (3 first-level indicators: awareness and ideas of university internationalisation, capability and behaviour of university internationalisation, and the result and performance of university internationalisation) and "vertical" (second and third-level indicators) (Wang, 2010, 55-59).

A collaborative programme, *Evaluation Indicator System for Internationalisation of Research Universities in China*, which was conducted by Sun Yat-sen University, Columbia University and Peking University, surveys 26 Chinese research universities and prospective research-type universities in different regions of the country (Chen, et al, 2009). The resulting indicator system proposed uses a Principal Component Analysis with data from the 26 universities. It references the existing tools of ACE and

Osaka University for the questionnaire. Based on the result of the survey, they identify 18 indicators under five dimensions: strategic planning and organizational structure, structural characteristics and the exchange of personnel, teaching and research, infrastructures and facilities, and the exchange of output (Chen et al., 2009).

Hu's (2009, 2010) research is different from the above two. He does not attempt to construct an evaluation tool, but uses a set of existing tools to evaluate internationalisation in Chinese universities and analyses the mechanism motivating the internationalisation of universities from a quantitative perspective. Hu (2009), given his academic background of physics, applies a formulation which is based on an entropy theory of physics to test the mechanisms and analyses the approach and strategy of IHE in China with relation to sustainable development. Hu (2009) points out that Chinese higher education is impacted upon greatly by Western higher education. Initially, the practice of IHE adopted relied on western higher education models as in his opinion it is necessary to learn and use the evaluation tools of the western countries. In his research, Hu (2009) compares IHE evaluation tools from USA, UK, Australia, France and Germany and tries to find their similarities. In the end, Hu (2009) applies ACE evaluation tools for the study of IHE evaluation in China. He partially modifies survey questions in terms of the context. The survey was conducted in 50 HEIs of different levels, focusing on the factors influencing internationalisation of universities in Chinese higher educational context. Although it is an empirical study, it relies on an American evaluation tool, leaving a great gap in the theoretical research and literature on IHE in the Chinese context.

Accounting for the diversity of institutions

Chapter 1 of this thesis introduced the difficulty of categorizing HEIs in China due to

the complexity of categorizing higher education institutions and their different missions. This thesis focuses specifically on IHE in a regular, non-"211/985 Project" HEI offering degree programmes in China. Each of the above four examples of research into IHE in China also focuses on institutional-level phenomena; however, the types of institutions being evaluated are various.

Li (2005), for example, attempts to propose a general evaluation system which can be applied to any type of higher education institution. The purpose of his research is to clarify the objectives of university internationalisation and to guide the university as to any adjustment and improvement that can be made to the process of internationalizing. This index system has been composed on the basis of desk research and personal observation. Wang's (2010) indicator system is built upon the interpretation of the definition of IHE and is not applied in practical survey. She does not clarify the specific subject that the system is used for. However, both sets of research do not consider that the different type of HEIs have different features and resources for internationalisation. Using the same criteria may cause significant difference among HEIs.

The target universities of the "*Evaluation Indicator System for Internationalisation of Research Universities in China*" are "985" and "211" Projects HEIs. As introduced in Chapter 1, these HEIs are research-type universities and receive extra funding from government for the development of their international reputations. The survey identifies that "985" and "211" Project HEIs have significant differences in the international dimensions of organizational structure, international exchange of teacher and student, teaching and research, infrastructures and academic achievement (Chen, et al, 2009).

The subjects of Hu's (2009) survey are classified into four types: "211" Project universities, "985" Project universities, graduate institutions and other regular undergraduate universities. He defined specifically each type of institution because the typology of higher education institutions has not been defined clearly in the Chinese context. For example, some "985" Project universities also belong to "211" Project universities. This means that "985" Project universities have the most funding from the government. This research also considers the impact of geographic distribution on university internationalisation. It selected institutions from the south, north, centre, northeast and northwest of China.

The type and the ranking of HEIs also have great influence in the institution's strategies for internationalisation as well as the resources allocated from the state. Chapter 1 has described the Chinese higher education context and illustrated the differences between "211/985" HEIs and non-"211/985" HEIs in international education. Therefore, in the study of IHE evaluation, it is necessary to clarify the types of the target institution, and to think whether different types of institutions should be evaluated using the same criteria.

Clarifying evaluation criteria

Evaluation criteria are a key aspect of the process of IHE evaluation work. They can decide and impact the progress and result. Table 2.8 lists the first-level evaluation indicators of the existing research from Li (2005), Chen and his colleagues (2009) and Wang (2010). Similar dimensions are ticked in the table. Due to the differences in the translation from Chinese to English and the methods of presenting criteria, it is necessary to clarify the wording used in different studies. Chinese scholars normally use first-level, second-level and third-level in structuring their systems. The first-level

normally refers to broader dimensions, while the second and the third levels are more specific and smaller. In order to avoid causing confusion about the use of term, this research applies "dimension" when referring to "first-level", and "indicator" when referring to the "second and third-level", which are specific aspects under each dimension of evaluation.

According to Table 2.8, five dimensions of HE internationalisation are evaluated in all three frameworks: international organizational structure, student, teacher, curriculum and research. The "student" and "teacher" dimensions mainly focus on in and out mobility. For example, "teacher" refers to the recruitment of foreign teachers and Chinese teachers with overseas educational backgrounds; "student" refers to the enrolment of foreign students studying in China and Chinese students participating in international programmes, such as exchange programme or studying in foreign countries. "Curriculum" refers to courses using foreign language and original foreign course books, and offering courses related to international culture and affairs. "Research" refers to collaborative projects with foreign universities, and participation in and organization of international conferences.

Table 2.8 International Dimensions

Dimensions	Li (2005)	Chen (2009)	Wang (2010)
International awareness	√		√
International strategy and plan	√	√	
International organizational structure	√	√	√
Student	√	√	√
Teacher	√	√	√
International curriculum	√	√	√
International research	√	√	√
Facilities		√	
Foreign-China running school collaboration		√	√
Financial support			√
Achievement		√	√

Although these dimensions are stated similarly in each framework, the perceptions or interpretations of the specific evaluation dimensions are not necessarily the same. This is similar to the problematic issues of the Western context identified in the Section 2.1.5 - the clarification of terms and the link between IHE definition and evaluation criteria. The practice and the interpretation can be different according to the variety of contexts. Some dimensions are evaluated in the three projects and some are not. Some of the same dimensions may refer to different things in the process of evaluation. For instance, the "research" dimension is evaluated in all three frameworks. However, Li (2005) emphasizes the internationalisation of participants, funding, information and publication; and of the organization of international conferences and the staff participation in international conferences. Chen et al. (2009) interpret it as international research collaboration. Wang (2010) stresses the citation of international publications, international registered patterns, international research awards and international research collaborations. These differences are related to the purposes of the evaluation.

There is another problematic issue in the existing Chinese evaluation frameworks. Scholars often use a dual-dimension approach, which means they put two dimensions together as one dimension. This approach can cause confusion and problems. For example, Li (2005) and Wang's (2010) "international awareness and plan" are combined as a first-level dimension. Then, they separate them into two indicators ("international awareness" and "international plan and strategy") as second-level indicators. In Chen et al.'s (2009) framework, most dimensions also used this approach, such as "teaching and research", "relevant condition and facilities", and "strategic planning and organizational structure". This way of composing dimensions is sometimes due to the ambiguous boundary of each dimension. In other words, some

dimensions partially overlap with each other. However, this approach brings unnecessary confusion and misunderstanding in the selection of indicators and in conducting the evaluation.

The existing research and literature on IHE evaluation reflects how IHE evaluation in China is still at an exploratory stage; to some extent, in a sense of chaos. Although some scholars have started realizing the importance of the quality of international higher education, the ideas of "what should be evaluated" and "how to evaluate" are still not clear in practice. The selection of evaluation criteria is still *ad hoc* and in some HEIs, internationalisation is still in an unplanned state. This is associated with the weak contextual foundation of IHE theory in the Chinese context. In addition, the direction of state policy and the appearance of "211/985" HEI projects has accelerated the polarization of Chinese HEIs as the imbalanced allocation of national resources makes the top HEIs better and makes it difficult for the normal HEIs to survive in an environment of intensive international competition. The effects of this pressure on the meaning, implementation and evaluation of internationalisation in practice will be illustrated through examples from this case study.

2.3 Conclusion

This chapter has given an overview of existing research on the meaning and evaluation of IHE in both Western and Chinese contexts (see Figure 2.2).
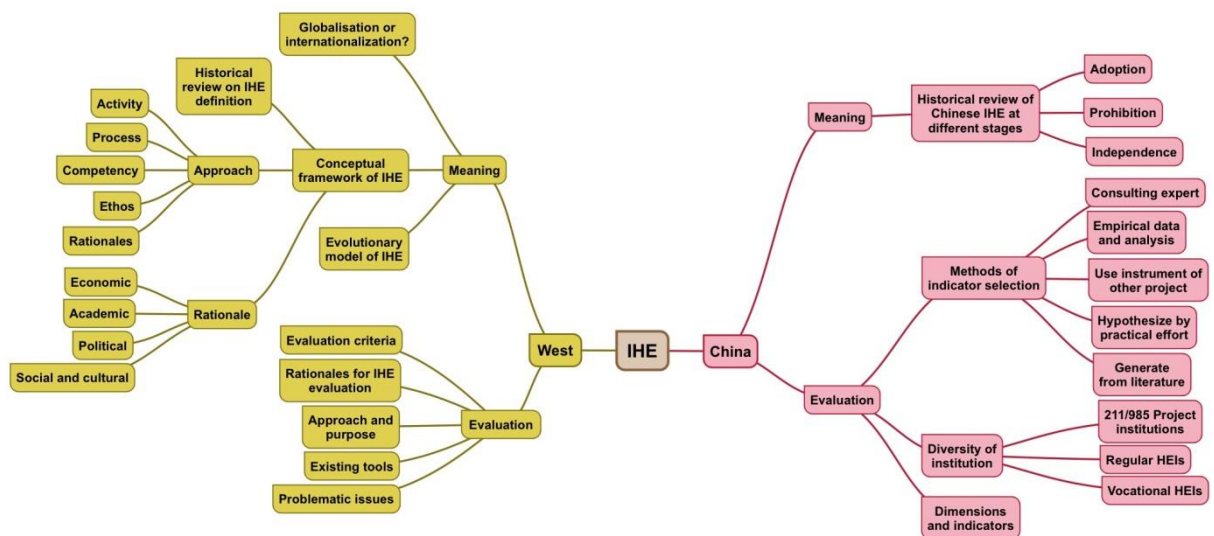
Figure 2.2 Literature Review Framework

Some western developed countries, such as the USA, the UK, Australia and Canada, are active leading players in IHE academic research and practice. Given the lack of literature on Chinese IHE theory, the review of the western IHE research evolution in this thesis lays a theoretical foundation for a context-sensitive and empirical exploration of IHE in a Chinese university. The western IHE review also helps to clarify and verify Knight's (1993) statement that IHE means different things in the West and in China.

Because the development of Chinese IHE is closely associated with Chinese modernisation, in which western powers invaded and colonised China and brought in the modern higher education, and because foreign higher education models were adopted for over a century leaving a great impact on Chinese higher education and people's ideology, there are opposing voices on the role of western higher education in China. On one hand, some people consider the West as a symbol of advancement; on the other hand, in terms of the history of invasion in the past and self-strengthening independence at present, some people would rather promote nationalist doctrine to guard Chinese cultural and national identity. Whether the adoption of western models

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or national independence shape people's interpretations of the meaning, implementation and evaluation of IHE was investigated in this study as part of filling the gap in the contextual and empirical understanding of IHE in the Chinese context.

This research is therefore guided by interpretivist methods and applied case study approach to find out how various types of people in a Chinese HEI interpret the meaning of IHE, how the institute undertakes its internationality, what criteria meet its needs for IHE evaluation, what barriers it faces in the process of internationalisation and how it can overcome them. Specific details of this methodology are presented in Chapter 3.

Chapter 3 Methodology

This research is a comprehensive study to investigate internationalisation in a Chinese university. It focuses on the meaning, implementation and evaluation of IHE in China as well as focusing on the relevance of Chinese concepts of IHE to concepts of IHE produced in Western contexts. This research used a single case study to carry out qualitative research for inquiring into the following questions:

- *What does IHE mean in the case university? How does it relate to the meanings found in Western research and evaluation tools?*
- *How has the case university sought to 'internationalise'?*
- *What should be evaluated in the case university? How does the implementation of IHE impact the composition of an IHE evaluation framework in the case university? How does the evaluation framework in the case university relate to the existing western evaluation frameworks?*
- *What barriers does the case university face in defining and implementing internationalisation, and how might these be overcome?*

This chapter outlines how interpretivist research can help understand how the faculty and students in a Chinese university interpret the meaning of IHE in order to generate more appropriate theoretical frameworks for the meaning of IHE, the implementation of internationalisation and the IHE evaluation framework of the case university. This research relied on both the participants' and the researcher's subjective interpretations of the above issues on the basis of data collected from semi-structured interviews and documentary sources. This was to verify Knight's argument that "internationalisation means different things to different people" and to further explore the point that internationalisation means different things in different contexts at different times (Knight, 1994, 7). It aimed to conduct bottom-up research by listening to people's voices about their experiences of internationalisation in a Chinese university. It aims to generate theories from people's experiences, in order to understand what guides

their actual practices of 'internationalisation' in the university. It also considers the relationship between these interpretations and practices and the dominant definitions of IHE found in the three major Western evaluation frameworks. This type of research design is not represented in existing evaluation frameworks or studies of IHE in this context.

Ritchie and Spencer's (1994) "Framework Method", which guided the data analysis for this thesis, divides data analysis into five steps: "familiarization", "identifying a thematic framework", "indexing", "charting" and "mapping and interpretation" (Ritchie and Spencer's, 1994, 176). As the main themes of this research were already identified in the research questions, the analysis steps were re-integrated into three steps: organizing themes, constructing index and code systems and creating thematic matrices. With the consideration of presenting the results in relationship to the research questions, the research questions organise the presentation of the findings.

3.1 Philosophical stance – interpretivism

A philosophical paradigm guides the researcher from thought to action (Denzin and Lincoln, 1994). It may not answer important questions, but it "can tell us where to look for the answers" (Rubin and Babbie, 2011, 47). This research is guided by the epistemological considerations of an interpretivist paradigm in order to understand the construction of knowledge in Western and Chinese academic research about IHE, explore people's interpretation of IHE in the Chinese contexts, and generate new knowledge of IHE in China based on an empirical study.

Epistemology, which is the study of knowledge, concerns how we know what we know, or in other words, the relationship between you and the knowledge (Denzin and Lincoln, 1994; Willis, 2007). It provides a "philosophical ground for deciding what

kinds of knowledge are possible and how we can ensure that they are both adequate and legitimate" (Maynard, 1994, 10). This thesis argues that knowledge is produced from and in relation to practice and situated in time, place and social position. Thus, it needs context-sensitive research from the perspective of people in different positions within the institution.

The interpretivist paradigm intends to understand "the world of human experience" (Cohen and Manion, 1994, 36), suggesting that "reality is socially constructed" (Mertens, 2005, 12) and Cultural, historical and social environments can impact upon people's perceptions and interpretations of the world. Interpretivist research thus normally tends to rely upon the "participants' views of the situation being studied" (Creswell, 2003a, 8) and recognizes the impact on the researcher of their own background and experiences (Mackenzie and Knipe, 2006).

This research is guided by an interpretivist paradigm to look at different ways that people make meaning in their lives and how these meanings shape their practice and the nature of their reality (Gary, 2011). The literature reviewed in the last chapter on IHE in western and Chinese contexts has illustrated that IHE means different things to different people in different contexts. However, some scholars often adopt an IHE definition based on one context and apply it in another. The same is true for the adoption of policy. This adoption omits the contextual factor and can cause misinterpretation and may mislead the researcher. This research therefore emphasizes the contextual features of IHE applies the interpretivist paradigm to explore IHE to investigate how Chinese participants interpret the meaning of IHE and implement IHE in daily practice, as well as the relationship between what they interpret and what they practice.

3.2 Research strategy: case study

This research applied a case study strategy for the investigation of IHE in the Chinese context. Guided by an interpretivist paradigm, this case study aimed to advance knowledge and give theoretical insight into IHE in a Chinese context by interpreting the phenomena which are created in attempts to make shared meanings with others (Bassey, 1999).

3.2.1 Rationales for using a case study approach

The use of case study as a research approach in natural and social sciences, particularly issues around the meaning, boundaries and generalization of the strategy, has been explored and developed by various researchers for decades (Simons, 1980; Adelman et al., 1980; Cohen and Manion, 1989; Stenhouse, 1985; Yin, 1993; Sturman, 1994; Stake, 1995; Bassey; 1999). As early as 1989, Cohen and Manion stated that "case study research typically observes the characteristics of an individual unit and the observation is to prove deeply and to analyse intensively the multifarious phenomena that constitute the life cycle of the unit with a view to establishing generalizations about the wider population to which that unit belongs" (Cohen and Manion, 1989, 124-125). Later, Sturman distinguished features of case study, which is the "belief that the human system develops a characteristic wholeness or integrity … not a loose collection of traits" (Sturman, 1994, 61). Yin (1993) emphasizes that the essence of case study is the enquiring of a real-life context which is opposite to the contrived context of an experiment or survey. Based on academic and practical experiences, Bassey reconstructs case study in educational settings and defines it as "critical enquiry aimed at informing educational judgements and decisions in order to improve educational action" (Bassey, 1999, p59).

Integrating these definitions, they map a systematic picture of case study for this research on IHE in the Chinese context. First of all, this research specifically pursues the inquiry of IHE in a "real life context" in an educational setting - a university - in China (Yin, 1994, 13). The case study approach is also suitable for answering 'how' and 'why' research questions which need more "explanatory" answers (Yin, 1994, 5). The investigation of IHE is conducted to understand how the case study university (CSU for short) has undertaken its internationalisation in real practice and, according to the existing literature, how it relates to theories of IHE developed in western contexts and why. As an educational case study, the purpose of this study is not only to enrich the knowledge in IHE of the Chinese context, but also to find problems in order to refine internationalisation in the CSU through systematic and reflective data analysis (Bassey, 1999).

Secondly, the case study used in this research sketches a holistic and systematic human system reflecting how people in different roles in the case study university (faculty and students) work for and react to IHE (Cohen and Manion, 1989; Bassey, 1999). The faculty is composed of junior faculty and senior faculty such as disciplinary lecturers, heads of colleges, directors of the International Office, vice presidents and the vice secretary of the Party committee of the case university. Given the focus of the research questions, this research selected fewer students than faculty and focused on undergraduates who just finished studying in the case university and are studying abroad. These participants' views from various angles construct a systematic framework to help understand the complex phenomenon of how IHE is interpreted and implemented in this university. In addition to the human aspect, this research also collected evidence from documentary sources to support and supplement interview data for the triangulation.

Thirdly, in terms of generalization, this "instance" – the case – purports to represent the interpretations and problematic issues that a certain number of other similar HEIs in China have. The case university at the centre of this research is a comparatively typical institution which shares key common features of non-"211/985" Project HEIs in China. This has been illustrated in Chapter 1 (see Figure 1.2). It does not receive any extra funding as the "211/985" Project HEIs do for international education and research. This type of non-"211/985" HEI represents up to 86% of regular HEIs which offer degree programmes in China. The results of this research may therefore reflect some of their situation of IHE in China and the recommendations made by the study are "likely to apply elsewhere" (Denscombe, 2014, 40). Thus, the methodological model can be applied in other cases, to the same or the different types of HEIs, for testing the knowledge found in this study or comparing the comprehensiveness of different type of cases.

As Kemmis points out, the unique problem of case study in social science is in justifying to others why the researcher can be a knowledgeable observer-participant. The descriptions of the case and the evidences must be justified both in terms of the truth status of the findings and in terms of the social accountability (Kemmis, 1980). In this case, the researcher has known CSU for over ten years as both an insider and an outsider, and is very familiar with the university and the faculty. In terms of the "matter of convenience", it was helpful for the researcher to have first-hand and on-site data (Denscombe, 2007, 41). This enabled the researcher to access the case and to have an in-depth and holistic explanation and interpretation of the case. Over more than ten years' familiarization of CSU, the researcher witnessed the efforts and development of CSU in various aspect. This offered a privilege for this researcher to reach the problems and key issues directly and precisely. Especially in the process of

data collection and data analysis, the questions asked in interviews were more effective than those asked by a person who is not familiar with CSU. In addition, the researcher could more easily judge whether the information a participant gave was right or wrong, and could also seek documents to verify it. However, as an insider of CSU, there were also some ethical problems that needed to be addressed. This is discussed in the ethical section of this chapter.

As this study inquired into the knowledge of IHE in the Chinese context, the case study is an "exploratory" instead of a "descriptive" or "explanatory" case study (Yin, 1993, 5). As an exploratory type, this study is aimed at investigating the meaning of IHE and how IHE has developed in CSU rather than at presenting a complete description of the phenomenon within CSU or presenting data bearing on cause-effect relationships.

In summary, the selection of a case study approach is fully in line with considerations of the research aim and questions. It is more suitable than other approaches because it has helped the researcher map a holistic and systematic picture of the meaning, implementation, evaluation and barriers of IHE in CSU from different practical perspectives. As the knowledge generated from this case study was created based on rigorous and multi-resourced evidence in the CSU, its trustworthiness is guaranteed. Although this is not a descriptive case study, a relevant introduction of the case context is still necessary. This follows in the next section.

3.2.2 Introduction of the Case Study University (CSU)

CSU is an old and new comprehensive and provincial-level university located in the north part of China, in which heavy industry is the main component of the local economy. It is one of ten key universities of its Province. It is a comprehensive university taking engineering and medicine as its backbone and pursuing the

harmonious development of engineering, medicine, sciences, economics, management, law and humanities. It provides undergraduate, postgraduate and doctoral courses for both Chinese and international students.

The reason it is new is that it was newly co-established by two universities, University A and University B, under the approval of the Ministry of Education in the 2010s (University A and University B had been founded as universities in 1950s and 1960s, respectively). The development of the new from the old is closely associated with the Chinese higher education reforms after the birth of the New China and local economic development (1949).

Since the 1950s, the Chinese central government has launched a series of higher education reforms in order to meet needs for national industrialisation and economic and socialist development. The first reform took place in 1952, which was a major restructuring effort focusing on consolidation, regrouping the realignment of universities and faculties to reduce needless duplication. At that time, China operated on a high degree of central planning, with the nation's major large and medium-sized enterprises constructed and managed directly under central industrial administrative department. In keeping with this economic system, these industrial administrative departments and ministries were running colleges to cultivate professionals for their own respective fields. In the late 1950s, with the national economic scale expanding and local economics growing, the various provinces, autonomous regions and municipalities also began running their own universities to serve local economic and social development needs. University A and B were founded against this background. University A was established as a scientific HEI, and developed by relying on local economic structure (heavy industry dominated) and governed by XX Province in 195X. University B, originally, was a vocational nursing school founded in the 1920s

and realigned as a university offering undergraduate courses in 196X, governed by XX Ministry.

However, with the development of economy, science and technology, new problems emerged in the administrative system, school organisation and structure. The major ones were bureaucratic barriers erected by excessive central, local and departmental administrative controls, an extremely narrow range of curricula, and the irrational allocation of education resources. In order to cultivate high-calibre professionals to meet the demands of the 21st century and to improve school-running quality and efficiency, another round of reform and restructuring of higher education began in 1993. This reform focused on the merger of local universities, which later brought about a new system whereby universities were governed at two levels: central and provincial. In 1998. There was a State Council organisational reshuffle, in which nine ministries were abolished, to rectify an administrative system that governed 93 regular universities and 72 adult education colleges affiliated with these ministries. University B was one of the nine universities once governed by XX Ministry and then became administrated by XX Province in this round of reform.

Another influence of this reform is that University A and University B were combined and restructured in the early 2010s. This combination brought new opportunities and challenges for both universities and raised the level and widened the scale of the university. By this merger, the university is authorized to offer two doctoral courses and award doctoral degrees, which neither University A nor B was able to do before. The challenges are the internal institutional realignment of the leadership and colleges, which causes a certain extent of anxiety and intensity between the two previous universities.

After the merger, CSU regrouped the colleges and faculties and revamped the overall structure. Now CSU consists of about 30 colleges offering around 80 undergraduate programmes, 138 master's programmes and two doctoral programmes, with over 1,500 teachers including 370 professors and 560 associate professors. Around 31 per cent of teachers hold doctoral degrees. There are over 48,000 full-time students of all kinds, including more than 170 international students. The university has 8 campuses distributed in the city centre and the counties, covering an area of 1,540,000 ㎡ and a floor area of 1,000,000 ㎡. It is equipped with first-class language and multimedia classrooms, E-reading rooms, CAD centres, computing centres, audio-visual centres and network centres. The A-level university library has possession of 2.1 million books and journals, 2.6 million kinds of E-books, and 30 large-scale databases. CSU's publishing centre owns 5 journals in engineering, natural sciences, social sciences and medicine. It also runs a first-class affiliated hospital with outstanding professionals.

The quality of education is constantly paid the highest attention. In recent years, the university has been awarded an "A" in the National Assessment for Undergraduate Education by Ministry of Education, National Assessment for English Majors, National Assessment for Education Management and National Assessment for Adult Education. 48 awards for outstanding teaching achievements have been rewarded by state and provincial authorities.

Great achievements have also been made in scientific research at CSU. In recent years, about 60 awards at state and provincial levels have been obtained. Over 140 scientific projects have been sponsored by the "11th Five-year Plan" for National Technology Support, the "863" Program, "973" Program and National Natural Science Research Foundation. 279 patents have been authorized. Cooperating with enterprises, over 200 joint research projects have been developed. The findings of more than 600 projects

have been commercialized, producing about 12 billion Yuan RMB worth of economic benefits.

The university has constantly paid high attention to international issues as well. There are two separated departments working for international affairs. One is called the International Office, which is responsible for international communication and cooperation programmes and foreign staff recruitment; another is called the International Education Centre, which is in charge of recruiting international students and the management of international students' life and education. Close links have been established between CSU and more than 20 foreign universities from the UK, the USA, Canada, Japan, South Korea, Australia, New Zealand, Hungary, Holland and Brazil. Cooperation has been carried out in various ways, such as teacher and student exchange, joint education programmes, regular academic seminars, international summer school programmes, joint scientific research, etc. The International Office is directed by one director with 6 professional staff. Most these professional staff can speak English or other modern foreign languages. The Office is not only in charge of international cooperative programmes but also of the international reception work at an institutional level. These staff members are also translators for the Presidents and PC Secretary on the international occasions.

The International Education Centre is directed by another director with six administrative staff and three full-time Chinese-language teachers. The teachers of disciplinary courses are seconded from relevant colleges. The administrative staff is in charge of the service and management of international student life and study, such as accommodation, examination, visa and scholarship. The three Chinese-language teachers are mainly responsible for teaching issues and at times helping the administrative staff. Although there are 170 international students studying at CSU,

the International Education Centre has heavy pressure in recruiting international student and relies on a recruiting agency. At times, this agency may bring in 50 international students; at other times, it cannot bring in any, and the recruitment of international students is not in a stable state.

On the basis of CSU, this study aimed to find out how the people of the university understood the concept of IHE, how the university and people exercised internationalisation in practice, how the people evaluated their IHE implementation, and whether CSU had any difficult perspective of CSU's faculty of different positions and students who know the university well and relevant to these issues.

3.3 Methods of data collection

The case study approach requires the researcher to use multiple sources of evidence and provide as much information as possible to "understand the case in its totality" (Yin, 1994; Kumar, 2011, 127). To construct a valid and accountable single case study, at the data collection stage, a "triangulation" approach is often adopted so as to provide multiple sources and sufficient evidence for analysis. In this research, semi-structured interviews and documentary analysis were used as the primary sources of data collection and analysis. These sources of data provide a broad and sufficient range of information for the study of IHE in the Chinese case university. Participants for this research were systematically selected from three different groups within the university: recent graduates, junior faculty and senior faculty (see "Sampling" below). Documentary data was gathered as supplementary to the interview data. It both checked the accuracy of the information given by the participants, and supplemented information missed by the interviewees (Denscombe, 2007; Bloor and Wood, 2006; Mogalakwe, 2006). Desk research was also used to establish a theoretical

understanding of IHE both in western and Chinese contexts.

These methods of data collection and analysis assisted the researcher to find answers to the research questions (see Table 3.1). The first three research questions focused on the factual aspects of IHE in the case university. The questions were answered by data collected from the case university; while, the remaining three were analytic questions which relied on the findings or answers of the first three research questions and the findings from the desk research and literature review.

Table 3.1 Linking Research Questions and Data Collection

No.	Research Questions (RQ)	Methods of Data Collection/Analysis	Methods of Data Provision
1	How does the case university interpret IHE?	- Semi-structured interview - Framework Method	- Interpretation of the meaning of IHE from the faculty and the student participants
2	How has the case university sought to 'internationalise'?	- Semi-structured interview - Documentary sources - Framework Method	- Perceptions from the faculty and student participants -Public documents
3	Does the case university seek to evaluate its internationalisation? Does the university have its own criteria or tools for evaluation? What dimensions should be evaluated, if there is no such framework?	- Semi-structured interview - Documentary sources - Framework Method	- Perceptions from the faculty and student participants - Public documents
4	How does the interpretation of IHE relate to existing definitions in western literature and evaluation frameworks?	- Desk research	- The conceptual framework based on the literature review of both western and Chinese contexts - The conceptual framework generated on the basis of the case study
5	To what extent does the Chinese case university's evaluation framework reflect the existing evaluating tools and indicator frameworks of other countries? What are the similarities and differences?	- Desk research	- The conceptual framework based on the literature review of both western and Chinese contexts - The conceptual framework generated on the basis of the case study=
6	What are the barriers and recommendations for the case university's internationalisation?	-Semi-structured interview - Framework Method	- Perceptions from the faculty and student participants

A specific explanation of how the data was collected and how the data assisted answering research questions is introduced in the following sections.

3.3.1 Semi-structured interviews

While IHE is a multifaceted issue, the amount of literature and theory on IHE in China

is limited, especially empirical research. This case study research therefore aimed to produce new empirical data to fill this gap in knowledge and used face to face, especially one-to-one interviews to investigate and gain insights into participant's "attitudes, feelings, and experiences" and the "issues in detail" to generate IHE knowledge on a practical basis (Denscombe, 2007, 174; May, 2001). Semi-structured interviews gave flexibility to interviewees and the interviewer, compared with the *structured interview* and *unstructured interview*, and allowed interview questions to be adjusted from one interview to another according to a participant's experience and attitude. The information obtained from the interviews could not likely have been acquired from the existing literature or from quantitative methods such as surveys. In addition, semi-structured interviews are appropriate when research has a "specific focus" (May, 2001, 123). This research focused on the three concerns – the meaning, implementation and evaluation criteria of IHE. The data gathered about these concerns thus explicitly derived answers from the interview questions and the research focus led the entire interview process to collect the right information that the researcher needed. How the research questions linked to the interview questions is discussed in the following part.

The next sections present details about the preparation for the interviews, conducting the interviews and the post-interview, including the sample selection, interview question design, conduct of interviews and the creation of interview transcriptions.

Sampling

The sampling strategy in this case study was based on initial ethnographic observation and the researcher's familiarization with CSU's administrative structure. The classification and the number of interview participants were considered purposively

instead of randomly, which aimed at getting the "best" information (Kumar, 2011, 213). This strategy also considered the "wholeness" of the case context (Sturman, 1994, 61) and thus the roles and positions participants played in CSU were systematically considered in the sample.

Given these considerations, interviewees consisted of Vice Presidents, a Vice Secretary of the Party Committee, Directors of the International Office, Deans of Colleges, teaching staff, and full-time undergraduates. In the Chinese higher education context, although administrative power in the institute has been decentralized, it is still owned hierarchically by the top leader of each unit or department. These senior faculty members normally have rich experiences in teaching and management. Compared with the teaching staff and students, they are the key actors in the process of decision making both at the institutional and departmental level. In practice, the senior faculty member is the core leader of their unit, being responsible at a superior level. In terms of the practice and policy of university internationalisation, this group of people has more opportunities to contact international affairs and has deeper understanding of IHE than teaching staff and students. Therefore, in this study more senior faculty were selected for interview than participants from the other two groups.

In order to create a systematic and holistic range of knowledge of IHE in the case context, junior faculty and student voices were also listened to and taken into account. During the process of inviting faculty, the researcher contacted eight junior faculty members but 5 of them refused the invitation. They said they did not know much about IHE and did not want to be interviewed. In the end, 23 participants were interviewed (see Table 3.2). The senior faculty were comprised of one Vice President, one Vice Secretary of the Communist Party Committee, 2 Directors of the International Office, and 12 Deans and Vice Deans of colleges. The junior faculty included 3 academic

teachers. To get the most efficient information from students, four students were selected, who were newly graduated from the case university and were studying master's courses abroad (See Table 3.2). These students had experienced a full university education and were able to offer overall insights and feedback about the university's internationalisation in both CSU and their foreign university. All participants were labeled with a code in advance in order to protect their privacy. The senior and junior faculty codes were mixed together in the format of "*FT-*" with the numbers 1 to 19; and the student code is "*FTSS-*" with the numbers 1 to 4. These codes were used in the process of interviews, transcriptions and data analysis discussed in Chapters 4, 5, 6 and 7.

Table 3.2 The Sample of Interviewees

Interviewees		Number
Senior faculty	Vice President	1
	Vice Secretary of Party Committee	1
	Director of International Office	2
	Dean of college	12
Junior faculty	Teaching staff	3
Student	Undergraduate full-time students	4
Total	23	

Interview Questions Design and Strategy

Semi-structured interviews are different from structured interviews and unstructured interviews, with "a clear checklist of issues to be addressed and questions to be answered" (Denscombe, 2010, 175) but also allowing the flexibility to change interview questions. If the interview questions were too straightforward, for example, interviewees may not have been able to say as much about the meanings that "internationalisation" takes on in their everyday practice and how these shape their actions and the university. If the questions were too general, the interviewees may not have understood the point and felt unclear when trying to answer them. Therefore, it

was vital to design a set of both clear and flexible interview questions in order to create a "naturalistic" and "rich-information" conversation (see Appendix 2 and Appendix 3) (Legard, Keegan and Ward, 2003, 139). Based on this principle, the interview questions started with "grounded mapping questions" to open up subjects (Legard, Keegan and Ward, 2003, 148). The interview questions and key information points are designed to guide the researcher in the process of the interview and to answer research questions 1, 2, 3 and 6 (see Table 3.3).

The researcher intended to create a natural talking environment so that the interviewees would feel relaxed and comfortable and feel like talking about their knowledge and experiences of internationalisation. Therefore, the interview questions were also designed from simple to deep. The researcher started the interview with a brief self-introduction and research introduction and asked questions that the participants could easily answer, for instance, about their job, position, responsibility, education background and working experiences. Then the talk followed up information which related to the research questions. The interview question scheme was used as a guideline which assisted the researcher to draw interviewees back when they talked too much about information which was not very relevant; or it assisted the researcher to dig more and more deeply to obtain information from the participants (see Table 3.3 for interview questions and strategies).

Table 3.3 Interview Questions for Key Information Points (for Faculty)

No.	Research questions	Interview Questions	Information Points
1	How does the case university interpret IHE?	- What is your main job as an administrator? - What does internationalisation imply for your daily work? - Based on your knowledge and experience as a senior university/college administrator, what does internationalisation means to you?	The meaning of internationalisation
2	How has the case university sought to 'internationalise'?	- Follow up the conversation by exploring specific practice in their department that are oriented towards working with people/ institutions/ ideas from other countries, and try to unearth the history of how these developed, for example: what activities or strategies did your college/department do in the respect of university internationalisation, for example, international collaborative programme with institutions from other countries, recruiting international students, having international curriculum, etc.? - What changes are there compared with those activities years ago?	The working efforts for the university internationalisation
3	Does the case university seek to evaluate its internationalisation? Whether the university has its own criteria or tools for the evaluation? What dimensions should be evaluated, if there is no such a framework?	- Whether you have evaluation of internationalisation, if so, what does it consists of? - Why does it exist? - If not, why not?	The international indicators and dimensions for the evaluation purpose
6	What are the barriers and recommendations for the case university's internationalisation?	- What difficulties do you have or have ever met in the practice? - Do you have any suggestions/ recommendations for your university internationalising?	The difficulties are in the process of university internationalizing and suggestions for the future work.

Research question 1 aimed to explore how the case university interprets IHE. Instead of asking "what does internationalisation mean to you?", the researcher started the conversation from participants' working experiences and administrative responsibilities, which were very familiar for the interviewees, and then picked up any

references they made to the particular international dimensions of their work which could motivate their thinking about or making connections with people, programmes or organizations. This path of questioning also linked to research question 2: "how has the case university sought to 'internationalise?" This was followed up in the conversation by exploring specific practices that were oriented towards working with people, institutional and governmental organizations and ideas from other countries and trying to unearth the history of how these developed. Research question 3 was in respect of the existence of an evaluation framework for IHE at CSU. Based on the preceding questions and conversation, it was possible to go straight to asking generally whether they had an evaluation for internationalising work. Research question 6 was the final and summative question of the interview.

In this research, the student interviews emphasized students' feelings and attitudes towards the university's working efforts or IHE implementation. Personal experiences and feedback were thus the main information points for the investigation (see Table 3.4).

Table 3.4 Interview Questions for Key Information Points (for Students)

No.	Interview Questions	Information Points
1	- What is your personal experience of internationalisation at the case university? Have you seen any changes during your stay? - Do you think you should be internationalized after graduation from the university? What should you obtain (e.g. skills and capacities et.)? - What do you learn during the undergraduate study?	Student's feelings and experience of the case university's internationalisation
2	- Do you think it is necessary for the university to internationalise? Why (not)? - In your view, what does internationalisation look and feel like at the case university? - Are you satisfied with what you have learned?	Student's attitudes and feedback towards university internationalisation
3	- What do you suggest for the case university's internationalisation?	Student's suggestions

Conducting Interviews

Interview data from senior and junior faculty was collected from March to April, 2013. Student interviews were conducted in September 2013. All the faculty interviews were conducted in the interviewees' office, and all the student interviews were conducted in a coffee shop in order to make participants feel comfortable and to make the conversation natural. The language used during the interview was Chinese, the mother tongue of both the interviewer and the interviewee. This does not mean that the participants were not able to speak English. English is the foreign language to them, however, and speaking in mother tongue can reduce barriers and anxiety during communication. This created a natural and a stress-free situation for the participants. Their ideas and thoughts were expressed thoroughly and freely, and not restricted because of their anxiety at having to use a foreign language.

Before starting the interview, a consent form (see Appendix 4), which stated the brief introduction of the research and ethical protection of the content of interview, was given to each interviewee. Confirmation of permission to record the interview was also made during the initial phase. Four interviews, including one senior faculty and three junior faculty members, refused to agree to the interview being recorded. Therefore, these interviews were recorded by taking notes and rewritten immediately after the interview.

Being aware of the possible problems during the interview, the researcher monitored the whole progress of each interview. For example, interviewee FT-2 was a vice dean who had years of overseas educational experience. During the interview, FT-2 spent more time reviewing study abroad. Noticing this, the researcher skilfully drew FT-2 back to the interview question design. In addition, the researcher wound things up

within the allotted time, which was from 30 to 45 minutes, and made sure that all the issues within the checklist were covered.

Transcribing and translation

Twenty interviews (three participants refused to be recorded) were fully transcribed in the original language – Chinese – for data analysis. Data collected from another three interviewees were recorded by taking memo notes and transcribed immediately after each interview. Given the contextual and cultural background and the complexity of translating from one language to another, the data of each transcription was kept in the original language in the data management and data reduction stages. Spencer, Ritchie and O'Connor (2003, 214) point out that in the early stages of data analysis (data management and descriptive accounts) the "actual words used by the study participants" portray how a phenomenon is conceived. Doing this can, to the most extent, guarantee the accuracy of the interpretation through not being mis-interpreted. The data was not translated into English until the completion of data analysis and theory generation.

3.3.2 Documentary sources

Another source of evidence used in this case study was documentation, to "corroborate and augment evidence" from the interview sources (Yin, 2009, 103). In a small-scale qualitative study, documents are a helpful and cost-effective source when verifying the correctness of the information provided by other sources. They also provide supplementary information to corroborate other sources, such as the historical records of events and inferences from documents can be made (Yin, 2009; Bloor and Wood, 2006; Denscombe, 2010). Although documentary method can be used in isolation, it is a useful triangulation tool combined with other research methods to verify evidence

obtained from other sources, for example, from interviews in this case study (Bloor and Wood, 2006; Mogalakwe, 2006).

In this small-scale qualitative case study, documentary sources consisted of printed documents and documents accessed from the internet. In consideration of confidentiality for the case university and the research focus in this study, and to guarantee the validity of the data, these are published and public documents (see Table 3.5). . The documents were classified into institutional and national levels. The institutional documents include the printed *President Annual Report of Year 2012*, the *International Student Handbook*, brochures for recruitment, and electronic documents from the university's official website covering the public news and reports on international activities and development. The institutional documents provide data about the explicit activities and practices that the case university has undertaken through university strategy and schemes related to internationalisation. The national documents cover the national policies, regulations and laws on IHE. As has been pointed out, as national policy has a great impact on intuitional policy in Chinese higher education, these documents help to sketch the external and national environment of IHE in the case university.

Table 3.5 List of Documentary Sources

Levels of Documents	Name of Documents
Institutional level	President Annual Report of Year 2012and Budget Report for 2013
	International Student Handbook
	University brochure
	News on international activities from the case university's official website, including the news on public lectures delivered by foreign scholars, scholarship applications for overseas visiting scholars, ect.
	Documents about applying overseas training/research/education of the case university
National level	Outline of China's National Plan for Medium and Long-term Education Reform and Development (2010-2020)
	PRC Law of Higher Education

The selection of documents is evaluated by Platt (1981) and Scott's (1990) basic criteria: authenticity, credibility, representativeness and meaning. All the documents were genuine, accurate from bias and errors, clearly stated and typical for the study of internationalisation. Based on a reading of relevant documents, a historical account of the selected university's internationalising effort was laid out.

Trautrims, Grant, Cunliffe and Wong (2012) also take interview transcriptions as documents in the qualitative research in logistics. Although this research uses both interview and the documentary sources as data in analysing the meaning of IHE in the case university, the interview transcriptions and the specific documents are distinct from each other. Interview transcriptions are defined as the "primary" data and document sources are a "secondary source" (Bloor and Wood, 2006, 58). Furthermore, some research considers documents as "objective" data recording the facts of events or history. However, this research applies the interpretive stance to documentary data to "explore the meaning within the content" (Bloor and Wood, 2006, 58). The documents in this case record the subjective implementation of IHE in this case university, and the activities and policies can be reflected in and indicate the case university's motivation for internationalisation. The theoretical framework of Chinese IHE of this case study was grounded from the participants' points of view, as well as from the documents, to gain insight into the university's intentions of internationalising. Therefore, documentary sources are interpreted as subjective data in the investigation of IHE in the case study, instead of as objective facts.

3.4 Process of data analysis

The methods used for the data analysis in the research integrate Ritchie and Spencer's (1994) Framework Method and Spencer, Ritchie and O'Connor's (2003) systematic

structure of analytic hierarchy, organised around the features of IHE knowledge and the research aims. IHE knowledge is complicated and segmented and this research aimed at constructing a groundwork of IHE knowledge in the Chinese context from the data of interviews and documents using an interpretivist approach. Thematic Framework data analysis helped the researcher "map" the complex elements of people's interpretations and practices of internationalisation, and the way these relate to each other and to existing theories and knowledge of IHE.

It is necessary to identify the distinctions between the three 'frameworks' appearing in this research. The 'theoretical framework' of the research is the model of themes and theories that was used to frame the research; the 'evaluation framework' that this research intends to produce is an instrument or resource for evaluating IHE; and the 'Framework method' is the name of a specific process of data analysis and interpretation which "involves a number of distinct though highly interconnected stages" (Ritchie and Spencer, 1994, 177).

Ritchie and Spencer's Framework Method of data analysis was developed in the late 1980s (Gale et al, 2013). It is refined and developed to assist researchers for the exploration of the "definition, mapping the range, nature and dynamics of phenomena, creating typologies, finding associations, seeking explanations or developing new ideas" (Ritchie and Spencer, 1994, 176). The Framework method has five key stages for qualitative data analysis: "familiarization", "identifying a thematic framework", "indexing", "charting" and "mapping and interpretation" (Ritchie and Spencer, 1994, 178). After more than 20 years' development, the process of the Framework Method has been integrated into a systematic structure of an "analytic hierarchy" by Spencer, Ritchie and O'Connor (2003, 212). An Analytic hierarchy inherits all the steps of the Framework Method and synthesizes those steps into three big stages: "data

management", "descriptive accounts" and "explanatory accounts" (Spencer, Ritchie and O'Connor, 2003, 217). The Analytic hierarchy structure aims at scaffolding researchers from initially sorting raw materials to finally building up "qualitative findings" (Spencer, Ritchie and O'Connor, 2003, 217).

The reason for choosing this method instead of others for this case study is that it illustrates a clear and logical analytic process of data organization and data reduction. This research studies three concerns of IHE in the Chinese context and thus needed a very logical and clear process of analysis due to the massive amount of data. The Framework Method of data analysis has a systematic process of data management, analysis and presentation. Moreover, the Framework Method is not a "linear" but an "up and down" analytic process which can "help to produce greater refinement in the analytic account developed" (Spencer, Ritchie and O'Connor, 2003, 213). As this was a small-scale case study, the researcher chose a manual method with the assistance of Microsoft Word and Excel to "maximize the potential for a full and reflective analysis", although it was time-consuming (Spencer, Ritchie and O'Connor, 2003, 217; Saldana, 2013, 26).

This research integrates the 'Framework Method' and 'analytic hierarchy structure' with the consideration of this research aim and research questions, and takes advantage of both methods for this research. The entire process of data analysis was simplified and clarified into three stages: identifying the themes, indexing and coding, and creating thematic matrixes. In terms of the themes that emerged early in the formulation of this case study, it combined the "familiarization" and "identifying a thematic framework" (Ritchie and Spencer, 1994, 312-313) stages into identifying the theme. In the process of identifying the themes, it takes the advantage of "data management" (Spencer, Ritchie and O'Connor, 2003, 217) for the data reduction. As

the procedures of Spencer, Ritchie and O'Connor's "descriptive accounts" and "explanatory accounts" are not clear for presenting the result of each step, this study separated them as indexing and coding and created thematic matrixes in order to demonstrate how the findings were generated from each step.

Identifying the themes

Identifying the themes is the first stage in which the raw materials are repeatedly reviewed and identified. The raw material at this stage mainly refers to interview transcriptions and documentary sources from the case university's official website. In order to maintain the original meaning and insight into the true feelings and attitudes of the participants, the transcriptions were not properly translated from Chinese into English until the end of the second stage. The participants' original language is retained as much as possible throughout this stage.

This stage integrates the first two steps ("familiarization" and "identifying a thematic framework") of the Framework Method (Ritchie and Spencer, 1994, 178). Apart from familiarization with the interview transcriptions, the themes were highlighted by reading through them. There are four main themes relating to the research questions: the meaning of IHE, the implementation or working efforts related to internationalisation, the indicators/dimensions for IHE evaluation and the barriers and suggestions for doing IHE in the case university. When reading them each theme was highlighted by different colours on the printed transcription and Microsoft Word. Figure 3.1 is an example of how the themes were highlighted. The purple colour is for the theme "IHE meaning" and the yellow colour highlights specific efforts the case university has made for internationalisation.

Figure 3.1 Example of Highlighting Themes

After highlighting, the words which were highlighted by the same colour were put together with the assistance of MS Excel. Each sheet contains one theme. The original words were kept throughout this stage. The participants' identity codes were also kept in order to trace back original information for the later stages (see Figure 3.2).

Figure 3.2 Example of Theme – Meaning of IHE

Indexing and coding

Once the raw materials are sorted into thematic categories, a thorough review of "the range and depth of the data is an essential starting point to analysis" (Spencer, Ritchie and O'Connor, 2003, 222). The main task of the second stage was to synthesize the data and construct index and code systems for each theme. Synthesizing the data is a process of "data reduction" and "distilling the essence of the evidence for later representation" (Spencer, Ritchie and O'Connor, 2003, 229). There were two rounds for data synthesis in this stage.

The first round was to create index systems. Each participant's words were read thoroughly and repeatedly. The key words and important expressions were labelled or tagged for use in index construction. Participant identity codes were kept at this step so meanings and key information could be traced back for the presentation of findings in the latter stages. Figure 3.3 shows a partial example of the index generation from each participant's interpretation of the meaning of IHE. After repeatedly doing this, first-round index systems for each theme were constructed (see Appendix 5). The index systems were primarily translated from Chinese into English. It was a direct translation. Thus, it is not grammatically tidy. The language was reworked with the data combination and integration in the step of constructing the code systems.

Figure 3.3 Example of Constructing Indexes

The central task of the second round of data integration was to code the data. It firstly merges the data of each theme, identifies recurrent issues and conceptualizes the practical issues. It is necessary to clarify that in the theme "the meaning of IHE", participants had various interpretations of the meaning of IHE from different perceptions. These interpretations were classified into multiple sub-theme categories due to the multifaceted nature of IHE and the contextual factors which impacted on people's interpretation. Coding was an inductive process reducing the amount of the data, integrating relevant data into categories which conceptualizes them (Saldana, 2013). To some extent, this stage stressed participants' "lived-experiences" and perspectives on the world (Creswell, 2003, 76).

The process of coding was repeated many times from the index systems to the code systems. It needed to identify elements and dimensions, refine categories, classify codes and finally conceptualize codes. Some themes were multiple layered structures. Taking the first theme of 'the meaning of IHE' as an example, according to the participants' interpretation, the meaning of IHE was interpreted from five perceptions. Table 3.6 is a partial example of the inductive coding process of coding of one aspect

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of the perceptions. The right column is the interpretation of the meaning of IHE articulated by different participants. All of these views focused on the communicative and cooperative programmes. They believed that internationalisation meant international communicative and cooperation programmes or activities that students and teachers can study, exchange or take training overseas. If we integrated these phenomena, they could be coded as the "international communication and cooperation dimension of IHE". Taking an overview of the meaning of IHE, this dimension was just one segment of IHE and could be classified under the "educational function" dimension.

Table 3.6 An Example of Process of Coding on Meaning of IHE

Participant's Interpretation of the Meaning of IHE	Sub-level of Codes	Codes
Ss and Ts communication with foreign universities;	1.4 International communicative and cooperative dimension of IHE	1.Educational function
Invite foreign academic staff to give lectures;		
Exchange visiting with foreign universities;		
Have more cooperative programmes;		
Organizing and participating international academic activities and establish a good relationship with foreign universities;		
The programme of Chinese-Foreign Cooperation in Running School is at the primary stage. However, it is important part of IHE;		
The international communication and cooperation should emphasize nurturing Ss.		

By the end of the second stage, the coding frameworks of each theme are constructed (see Appendix 6). The codes of each thematic framework have been synthesized in abstract and have shifted the practical details into academic terms. In the last stage, these codes were synthesized again and were interpreted for the theoretical purpose.

Creating Thematic Matrixes

Once the data was coded according to the themes, the following task was to go back

to the data "pulling together key characteristics of the data and mapping the data set as a whole" (Ritchie and Spencer, 1994, 186). This part of the analytical process was the most difficult stage in the qualitative data analysis, which involved a "serious and systematic process of detection" (Ritchie and Spencer, 1994, 186). According to the research aim and questions, this stage attempted to define the concept of IHE, formulate the international dimensions of the case university's implementation of internationalisation, compose an evaluation framework for the case university internationalisation, identify barriers and make suggestions. The previous analysis of indexing and coding systems laid the foundations for the construction of thematic matrices of each research questions. The key information which had been identified was synthesized and categorized into different typologies, which were helpful to illustrate the multi-dimensional and multi-layer thematic structure of each research question (Spencer, Ritchie and O'Connor, 2003).

Finally, four thematic matrices were created by using the "Framework Method" of qualitative data analysis (see Appendix 7): the conceptual matrix of IHE in the case university context (Appendix 7.1), the international dimension/international implementation matrix of the case university (Appendix 7.2), the evaluation framework of the case university (Appendix 7.3) and the barriers and suggestions for the case university internationalisation (Appendix 7.4).

In terms of the meaning of IHE, the term "internationalisation" was formulated from five perspectives, namely, the educational function, learning and improving, national stance, platform stance and the marginal perceptions. Educational function is one of the most complicated dimensions of the concept, which involved multi- and sub-dimensions: teaching/teacher, learning/student, research, communication and cooperative programme, mobility and openness. Each perception was then also

formulated by a different approach: activity, ethos and process, competency, national identity and practice sharing approaches.

Having synthesized the explicit working efforts for internationalisation, the case university's international implementations were categorized into 9 dimensions on the basis of the interview data: *communication, cooperation, academic activity, localization, construction of the faculty team, international student education, international office, mobility* and *achievement*. Concerning the diversity of IHE in different contexts, a generic thematic approach is helpful to understand the overview of IHE in individual institutions (Turner and Robson, 2008). They synthesize international indicators and dimensions using a multi-dimensional approach. The input and output approach is more appropriate to use for the purpose of measurement when seeking to investigate the results of "doing internationalisation". The multi-thematic or dimensional approach is more suitable for sketching the overview of the international practices of an institution. In this research, the multi-thematic or dimensional framework is fitting for the research purpose which is to investigate the international engagement of the case university thoroughly and to use it to construct an IHE evaluation framework for reviewing the fulfilment of the international objective.

However, there is a problematic issue in using a thematic approach: some specific activity or practice can be categorized into more than one dimension. For example, recruiting foreign students can be categorized into the dimension of foreign student education and management, but it can also be categorized into the dimension of in-flowing student mobility. Another example, the application for establishing a Confucius Institute in an overseas university, can be categorized both into cooperation and localization because the Confucius Institute is an international project which is

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cooperating with foreign universities and located abroad, but the mission of the Confucius Institute is to promote Chinese culture and Chinese language. To sort out this problem, items which cross more than one dimension are classified under the one which is the main influence in the particular context. The other dimensions that the item overlaps are bracketed by '[ ]' in the end of the item so that the information is not missed in the process of analysing.

As the conceptual and implementation matrices of IHE provided the groundwork for the selection of the evaluation of criteria and the construction of the evaluation framework, the IHE evaluation framework of the case university was structured in a multi-layered way. There are six dimensions in the first layer: *policy, organizational structure, financial support, educational function, specialty* and *others*. Under each dimension, there are sub-dimensions and indicators. As educational function is a multi-faceted dimension of IHE, there are four sub-dimensions. Moreover, in terms of the nationality of the staff and the student internationalisation, these aspects are divided into national teacher/student and foreign teacher/student data.

This section has introduced the methods used for the entire process of data analysis in this study, from sorting out raw materials to the creation of thematic matrices for answering the research questions. Based on this data analysis, this research constructed an IHE conceptual framework, an IHE implementation framework and an IHE evaluation framework. It also identified the difficulties or barriers encountered by the Chinese case university, with recommendations also provided for the future development of internationalisation at CSU. The results and concerns of these findings are presented in the following chapters. Chapter 4 presents the conceptual framework of the Chinese case university and illustrates how it relates to the western IHE conceptual framework which has been presented in the literature review. Chapter 5

presents the international dimensions of IHE from the practical perspective and links this with the definitions of IHE formulated in Chapter 4. Chapter 6 presents the evaluation criteria for IHE in the CSU and outlines the risk or problems with adopting from one context to another.

3.5 Ethical considerations and access

The ethical issues in this research mainly involved human interaction and the researcher's position in the institution (Howe and Moses, 1999; Mercer, 2007). Ethics has been considered at all stages of the research, from planning, to conducting and thesis writing (Cohen and Manion, 1994; Creswell, 2008). This research was conducted according to the University of Lincoln's research ethics policy and regulation. An ethical approval application, which identified the ethical issues involved and provided a risk assessment, was approved by the University's ethics committee before commencing the data collection (see Appendix 8). It considered not only ethical issues related to the research but also the position of the researcher as an insider. Overall, this research is ethically valid according to academic and social norms.

Honouring a principle of protecting the interests of the case university and participants, their privacy and anonymity are highly guaranteed in this research. First of all, given the protection of the identity and some sensitive information of the case university, this research gives it the anonymous name "Case Study University" (CSU for short). Any information which may associated with CSU's identity is presented in a careful way. For instance, the years of foundation and special events are not presented precisely, using "1950s" or "195X". In addition, recognising the ethical consideration of the equality of participants, each participant was treated fairly and equally regardless of their post or position. In conducting the interviews, the place was selected

by the participants, and a comfortable and safe environment was created for them. Each participant was coded with a specific name and number. In the writing of the thesis, the participants' names were removed and replaced by codes (a faculty member as FT-1, a student as FTSS-1). In some specific instances, a participant's title and position is necessarily identified. On these occasions, the code does not appear in the writing. Only the researcher can link the codes to named participants. This is, to a large extent, to protect the participants' identity and to prevent their attitudes and feelings from being revealed to others.

In terms of the principle of ensuring voluntary participation, all the participants were informed about the need for consent. One senior faculty member and three junior faculty refused to give an interview when the researcher invited them. A consent form was provided to all participants, with a research summary, prior to their participation. All the participants voluntarily took part in the interview. The consent form was produced in English and Chinese versions. The one sent to participants was the Chinese version. It identified the aims of the research and stated that participants were free to withdraw at any point. It also asked for the participant's permission to audio record.

The principle of protecting privacy is very much linked to the preceding two principles. Participants' personal attitudes and feelings towards IHE and towards the university are well protected. Moreover, the researcher ensured anonymity and confidentiality in relation to the recording of information and the maintenance of records. All the data, including interview records, transcripts and documents, were stored securely on a password protected computer. As indicated, names and job titles were removed from transcripts. Any documents provided were also similarly anonymized. As all documents are in the public domain, these were used freely in the research. However,

any documents which included the name of person, case university or place (city and province) were anonymized by "XXX".

These principles and practices are particularly important as the researcher has been involved in the research as an insider (Mercer, 2007). The researcher has been working at the case university for years. Merton (1972) identifies "Insider" and "Outsider" positions in research. The Outsider doctrine asserts that only a neutral outsider can achieve an objective account of human interaction. On the contrary, the argument for the insider is that they have already had "a structurally imposed incapacity to comprehend alien groups, statuses, cultures and societies" and is unable to have the "direct, intuitive sensitivity that alone makes empathic understanding possible" (Merton, 1972, 15).

Yet insiderness has "pros and cons in relations to access, intrusiveness, familiarity and rapport" (Mercer, 2007, 6). As an insider, it was easier to be granted to access and saved time in travelling and flexibility with regard to interview times (Mercer, 2007) and the researcher had a better understanding of the social and cultural context of the research. This helped the researcher effectively communicate with participants and conduct interviews. Familiarity with the social and organizational setting helped the researcher assess research issues directly and effectively.

Conducting insider research is like "wielding a double-edge sword". The researcher has been aware of this and prepared several solutions to possible drawbacks. First of all, in the selection of interviewees, the researcher avoided selecting intimate colleagues in order to collect comparatively objective opinions from the subjects. Second, the researcher did not tell the interviewees about the specific interview questions until conducting the interviews, so that the interviewees would not have time

to do any preparation for the interview. Third, the researcher is a junior faculty in the case university, and most faculty interviewees were senior to the researcher. It is quite impossible that the researcher's role in the institution had any significant influence on them or on the research more widely. The student interviewees selected are all graduates who did not need to worry about the superior role of the teacher when compared to the students.

This section has presented the ethical considerations of the research in terms of the ethical principles and the researcher's position as an insider. The research has been fully considered, prepared and conducted in line with ethics and morality. All the steps in the research have been guided by principles of protecting and respecting interviewees. In terms of the researcher's insider position, the advantages and disadvantages have been considered and solutions to potential disadvantages were provided.

3.6 Trustworthiness

The quality of the qualitative research is normally evaluated by "trustworthiness", instead of the reliability and validity of the quantitative research (Guba and Lincoln, 1994, 114). This research follows Guba and Lincoln's criteria for establishing trustworthy qualitative research: "credibility", "dependability", "transferability", and "confirmability" (Guba and Lincoln, 1994, 114).

In terms of credibility, the triangulation approach was applied to ensure the "credible" and "believable" results of this research (Kumar, 2011, 185). This research interviewed 23 participants of different levels. The junior and senior faculty members were asked the same guiding interview questions about their interpretations of the meaning, implementation and evaluation of IHE. The "referential adequacy" technique was used

in this research, which references the "raw material", audio recordings of the interview and the transcriptions of the Chinese version in the process of data analysis in order to ensure the accuracy of the results (Lincoln and Guba, 1985, 313-314). In addition, the activities, events or policies related to the interview questions were supplemented by national and institutional documents help guarantee the accuracy of the interview data (Denscombe, 2014).

Dependability is a very similar to the concept of reliability in quantitative research, which is concerned with "whether we would obtain the same results if we could observe the same thing twice" (Trochim and Donnelly, 2007, 149). In qualitative research, this is hard to establish, especially for the interview data collection method. In terms of this problem, Kumar (2011, 185) suggests keeping "an extensive and detailed record of the process for others to replicate to ascertain the level of dependability". This research tries to open an "audit trail" for other researchers who "intend to confirm the existence of the data and evaluate the decisions made in relation to the data collection and analysis" by providing an explicit and reflexive account of the procedures of this research (Denscombe, 2014, 299). A clear statement of the aim and questions of this case study is introduced as the guideline of the entire thesis in Chapter 1. This research also describes the research context at global, national and institutional levels, especially addressing the typology of the case university. An explicit description of interview participants and documents, as well as the procedures of data management and analysis, are provided in Chapter 3. The rich and thick information given about this research in the findings chapters provides a reliable accountability an audit trail for other researchers to replicate (Shenton, 2004).

The criterion of transferability focuses on "how representative" a small number of cases are able to reflect the issues elsewhere in similar cases, or how much "the result

of the qualitative research can be generalized to other contexts or settings" (Denscombe, 2014, 299; Trochim and Donnelly, 2007, 149). This research addresses contextual influence in the IHE studies and illustrates a theoretical and methodological framework to verify that IHE means different things in different contexts. There are two aspects of transferability that are relevant for this research. First of all, in the procedure of selecting the case, the representativeness of the case university was considered. The case university in this research is a non-"211/985" HEI and a comprehensive university in China. This type of HEI takes up to 86% of regular HEIs in China. Secondly, rather than focusing on the transferability of the result, this research emphasizes the transferability of the research methods and data analysis which can be applied to other comparable institutions. This research addresses the fact that IHE means different things in different contexts, so it is crucial that the meaning of IHE should be investigated in different type of HEIs in China and other contexts.

The last criterion of trustworthiness in qualitative research is its confirmability, which is similar to the objectivity of quantitative research. In qualitative research, this criterion is concerned about the research being "free from the influence of the researcher who conducted the enquiry" (Denscombe, 2014, 300). To some extent, absolute freedom from the influence of the researcher is impossible. The data cannot be interpreted and analysed without a researcher. In this research, the researcher's position has been identified in the preceding section on ethical considerations. As an insider, the researcher has tried to dismiss the researcher's self-position in the interviews. In addition, the researcher has kept an open mind in the process of data analysis and interpretation (Denscombe, 2014, 301). The researcher has tried hard not to avoid neglecting any data that does not fit the analysis or any different voices in China regarding IHE. For instance, besides the mainstream interpretation of the

meaning of IHE, there are also some minor voices which are categorized into 'Marginal Perceptions'. Furthermore, the researcher included various voices and opinions on IHE, both supportive and critical. Therefore, the overall research is comparatively objective and confirmable.

This section evaluates the quality of this qualitative research according to Guba and Lincoln's (1985) trustworthiness criteria. Although the credibility of qualitative research is more difficult to judge than quantitative research, this research still addresses the quality of the data and its analysis. The answers to each research question can be found in the interview data and documentary sources. The clear statements of the research aim and research questions, data collection methods and data analysis map out the entire research for other researchers and provide audit trails for those who want to undertake similar research or assess the quality of the data and the findings. This research is replicable and trustworthy and is on a solid foundation from the research design to data collection, interpretation and analysis.

3.6 Conclusion

This chapter has provided a detailed account of the research design and implementation for the achievement of the research aim. The entire research and the generation of new knowledge have been guided by an interpretivist paradigm. In terms of the research aim and questions, this research used the Framework Method to analyse interview and documentary data collected from the case university and presents the findings from this analysis in the following four chapters. Following this analysis and in order to structure a clear presentation of the findings, the initial research questions were refined as follows:

- *What does IHE mean in the case university? How does it relate to the meaning*

of IHE in the Western context?

- *How has the case university sought to 'internationalise'?*
- *What should be evaluated in the case university? How does the implementation of IHE impact the composition of IHE evaluation framework in the case university? How does the evaluation framework in the case university relate to the existing western evaluation frameworks?*
- *What are the barriers to and suggestions for IHE in the case university? How do these impact on future research?*

The following chapters present the contextualized findings of IHE in the Chinese case university and discusses how IHE in the Chinese context is related to the relevant issues in the West. Chapter 4 gives holistic findings of the meaning of IHE in CSU using a conceptual framework and considers how this relates to the western IHE conceptual framework of IHE. Chapter 5 presents findings on IHE implementation in CSU and the barriers that CSU encountered, which reflect the emphases that the case university focused on in its international practice. It also discusses the linkage between the meaning and implementation of IHE. Chapter 6 presents an original IHE evaluation framework constructed on the foundations of the conceptual framework and IHE implementation framework produced through this case study, and argues for the adoption of a contextualized IHE evaluation framework.

Chapter 4 Findings and Discussion (1)
---- The Meaning of IHE in the Chinese Case University

Following the discussions of methodology and the process of data analysis of this case study, this chapter introduces the first set of key findings that emerged from the case– the multiple perceptions of the meaning of IHE grounded from the Chinese case university and their relevance to the conceptual framework created from studies of IHE grounded in Western contexts. The first section of this chapter therefore presents the Chinese-context-based conceptual matrix in terms of the definitions, defining approach and rationale of IHE according to the Western conceptual framework of IHE introduced in Chapter 2. It then discusses the similarities and differences that exist in both contexts.

This chapter reveals that both contexts are concerned with teaching, research and the service aspects of internationalisation in universities. These are considered as the essential elements of IHE, despite the contextual difference. However, IHE in China is not only understood as an institutional function, but also in terms of learning and self-improvement, nationalism and as a platform to the world. These distinctive features differentiate Chinese IHE from the models that are suggested by Western literature. The interpretations relating to learning, self-improvement and nationalism are related to the impact of modern Chinese history from 1840 to 1966, which is the "adoption and prohibition" period introduced in Chapter 2, on the development of higher education. This period of history is written in the national history curriculum and has influenced people's attitude towards the western world, including those working in universities, as suggested by interviewees in this study. There was a period of humiliation in Chinese modern history where there was a western "irruption" and China was exposed to the most advanced science and technology in the world (Russell,

1922, 15). This leads to a dilemma in attitudes. On one hand, it is felt that the Chinese government must be alert to the West's irruption; on the other hand, in order to avoid being invaded by western powers, China must become stronger and able to compete with the western powers. This ideology underlies the nationalism, learning and self-improvement and platform perceptions of internationalisation in higher education discourse.

This chapter also reveals that IHE in China is dominated by academic reason, rather than economic, due to the Central Government's control of higher education. Institutional policies on IHE must be compliant with national policy of all kinds. This has determined that China's communist HEIs would not be exactly like the HEIs of capitalist countries, which are believed create a higher education sector which is driven to be a profit-maker.

Finally, these findings allow for the construction of a conceptual framework of IHE in the case university which is underpinned by a Chinese context and provides an empirical foundation for comparisons with IHE in western contexts. This chapter also identifies the similarities and differences of IHE between the two contexts in terms of the meaning, approach and rationale of IHE.

4.1 Findings: The meaning of IHE in the case university

This research began by listening to voices from the participants about their attitudes towards CSU's internationality. Some participants did not feel that internationalisation is a part, more or less, of university work. It is not a priority task in the university's development. For example, participants said:

> *"in fact, internationalisation is not the priority in the university development, at least now it is not" (FT-9);*

> *"the main task is the national education (the Chinese graduate education), not the international education, I am afraid"* (FT-17)

For them, internationalisation is in a marginal position in CSU. The university's internationalisation has not become a self-motivated activity practiced by the faculty and students. Most participants still consider it to be the university's job, not their job. They put a lot of effort into national rather than international education. Moreover, participants, especially the student and junior faculty, have no idea or cannot state clearly why the university needs to be internationalised. For example, the student participants stated that

> *"I did not have any notice that my university tried to be internationalised in the four years of study"* (FTSS-1);

> *"I did not see that my university put any emphasis doing internationalisation (compare to top universities in both China and foreign countries). It has a long way to go, I think"* (FTSS-2);

> *"I did not feel any internationalisation on our campus"* (FTSS-3);

> *"I don't know why we do this exactly. I was just told to do this"* (FT-13)

The senior faculty, especially the top leaders, have clearer views on the motivation for the reasons of doing internationalisation than the students and junior faculty. This is related to their position in the university and practical experiences. Most junior faculty and students do not have opportunities to participate in international activities, programmes and the process of policy making in the university. On the contrary, the senior faculty has more opportunity to be involved in international issues in CSU.

This context of the marginality of internationalisation for some participants in this non-"211/985" university, was a main finding in informing the development of the conceptual framework of IHE in the specific CSU context. The western conceptual

framework consists of three key components: the definition, defining approach and rationales of IHE. Based on this framework, and keeping in mind that these were not relevant to all participants, this research analysed the data through inductive approach and synthesized a Chinese-contextualized conceptual framework with the same three key components. The content of each component is not all the same with that in the western one (see Figure 4.1).
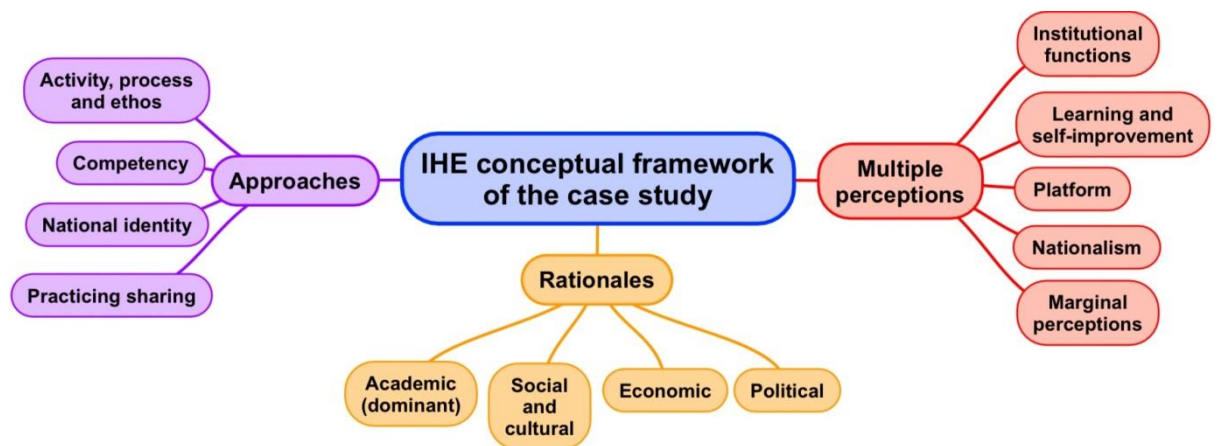
Figure 4.1 IHE conceptual Framework of the Case Study

In this conceptual framework of Chinese IHE, the component of "multiple perceptions" presents the participants' various interpretations of IHE from different angles. In this case study, these interpretations are synthesized into five categories: institutional functions, learning and self-improvement, platform, nationalism and marginal perceptions (see the right-hand side). These perceptions are linked to a number of different approaches to IHE which correspond to the different emphases and features of each perception (see the left-hand side). Each approach is used to identify the features of each perception and its definition. The rationale component explains the motivations for IHE behind the phenomena (see the bottom). In this case study, these motivations were categorized into academic, social and cultural, economic and political segments. More detailed explanations of each component of the conceptual framework are presented in the following sections, which illustrate how

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the analysis of interview and documentary data led to these conclusions.

4.1.1 The meaning of IHE in CSU: Multiple perceptions and approaches

This section presents how multiple interpretations of the meaning of IHE emerged from the data of the semi-structured interview and documents in this study, which suggest that people's interpretations of internationalisation vary according to their position and role within the university. It also presents the defining approaches for each perception. According to the data, it has been found that students and junior faculty are unable to clearly articulate their understanding of IHE or to formulate a definition of it. On the contrary, senior faculty/managers can state their understanding of IHE, identify specific aspects of IHE, or even give a critical argument about IHE in the case university.

In addition, interpretations of the meaning of IHE are articulated as fragmented pieces by participants. Most of them cannot formulate a complete definition of IHE, but can identify what should be included in university internationalisation. Their articulations were therefore identified and synthesized into five major themes: *the institutional function, learning and self-improvement, the "national" stance, the "platform" stance* and *marginal perceptions*. The synthesized definitions and approaches are presented in Table 4.1.

Table 4.1 Thematic Matrix – The Meaning of IHE in CSU

No	Perception	Approach	Definition
1	Institutional function	Activity, ethos and process	IHE is a process where international communicative and cooperative programmes and activity impact on the function of HEIs including teaching/teachers, learning/students, research and services. International/intercultural awareness; as the intangible respect of IHE, it should penetrate throughout the entire process.
2	Learning and self-improvement	Competency	IHE is an integrated process where different nations, regions, culture and religions learn from each other and improve themselves in the context of higher education.
3	Nationalism	National identity	IHE should have its own specialty which differs from other foreign HEIs. It should be developed on the basis of retaining its own national culture and tradition. To the developing countries, IHE should not be interpreted as Westernisation. IHE should focus more on nationalism.
4	Platform perception	Practice sharing	IHE is a kind of platform in which we can track the latest cutting-edge of scientific and technical achievement and the advanced system of other foreign universities.
5	Marginal perceptions	N/A	Some participants had no well-defined attitude towards IHE and feel only that it is a tendency in university development.

These multiple definitions of IHE on one hand reflect elements common to IHE both in China and the West; on the other hand, they illustrate how modern Chinese history impacts on people's understanding of IHE in CSU today. This not only verifies and illustrates Knight's argument that "internationalisation means different things to different people", but also verifies one of the key points of this research, that internationalisation means different things in different contexts, and therefore that it must be evaluated using context-sensitive theories and tools. The following section illustrates and explains these five perceptions and how each perception was defined from various perspectives by corresponding approaches (see Table 4.2).

Table 4.2 Approaches in the Case Study Context

Perception	Approach	Description
Institutional function	Activity, process and ethos	① Activity is prevalent referring to specific international activity or programme; ② Ethos refers to creating an international climate not only on campus, but also in people's (student, staff and faculty) mind - awareness; ③ Process approach admits that internationalisation is dynamic integrating international dimensions into university functions.
Learning and self-improvement	Competency	It refers to the development both for the personnel (student, staff and faculty) and university itself.
Nationalism	National/ cultural identity	It emphasizes the promotion and preservation of cultural, national and traditional identity of the nation.
Platform	Practice sharing	It emphasizes the feature of sharing and learning information on higher education of international dimension.

Perception 1: IHE as an institutional function

The perception that IHE is an institutional function of the university was the main interpretation among all the participants. It covers the practical aspects, which refer to international activity, and the ideological, which refer to international awareness. This perception is the most complicated definition and involves dimensions of internationalisation in perceptions of teaching/teachers, learning/students, research, service, communicative and cooperative programmes, mobility and international awareness. According to the participants' fragmented and poorly organized and formulated interpretations of the meaning of IHE, the institutional function perception was synthesized and is defined as:

a process that international communicative and cooperative programmes and activity impact on the function of HE including teaching/teachers, learning/students, research and services. International/intercultural awareness, as the intangible aspect of IHE, should penetrate the entire process.

In terms of defining approach, this perception is comprehensively defined by emphasizing the activity, process and ethos features. Activity aspect include academic

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and extracurricular activities, student and faculty exchange and communication, and research activities. The process aspect indicates that internationalisation is a dynamic process that integrates international dimensions into the major functions of the institution. It addresses the sustainability of the international dimension. The ethos aspect in this institutional function perception emphasizes the international and intercultural awareness and view of the people, including students, academic staff and administrators. The awareness, then, will create an international and cross-cultural climate later. This integrated approach indicates the complicated elements and characteristics of IHE. CSU, at present, focuses more on international activity and personnel mobility integrated into the institutional functions. This is the most comprehensive approach in describing internationalisation.

In this definition, some familiar and specific terms are used. These terms are generalized from specific practices. It is important to explain these terms and concepts which are carefully selected for this case study.

The term *process* is used to convey the idea that internationalisation is an ongoing and continuing effort and may change with the external factors, such as, development of the economy and information and communication technology at different time.

Communicative and cooperative programmes and activity refer to the delivery of educational activity and programmes both domestically and in foreign countries at the international level. In this case study, international communicative and cooperative programmes and activity refer to inviting foreign academic staff for lectures, organizing summer school courses for foreign students in China, research collaboration with foreign universities, and organizing and participating in international academic conferences or forums. It also includes "Chinese-Foreign

Cooperation in Running Schools" (CFCRS), international collaborative programmes for teachers' professional development, student exchange programmes and establishing Confucian Institutes in foreign universities. Communication and collaboration with foreign HEIs are believed to stimulate the mobility of both the student and the teacher.

In this case study, some participants also claimed that internationalisation is just a series of international communication and cooperation with foreign HEIs (see FTSS-1) or going abroad for education (see FT-1). This point of view can easily create misunderstanding and can lead to the thought that IHE is a "fragmented and uncoordinated approach", and it suggests that in CSU the "relationship, impact and benefits between and among the activities are not taken into consideration" by some participants (Knight, 1997, 6).

> *"Internationalisation is to have more international programmes. More students and teachers go abroad" (FTSS-1)*
>
> *"Internationalisation can be reflected in the staff mobility, such as scholars visiting or working in foreign countries" (FT-1)*

The term *function* refers to the primary segments of the institution's main functions, including teaching (by teachers), learning (by students), research and service to the society. The 'function' in this case study, however, means more than is included in Western interpretations of internationalisation introduced in Chapter 2 (Knight, 1994; Knight, 2004; Arum and Van de Water, 1992). First of all, *'learning'* is added to the functions. In the Chinese language, *'teaching'* (教学) is a dual-meaning term referring both to teaching (教) and learning (学). Teaching and learning are key elements in education in China, as learning directly influences institutional reputation and development, reflects the quality of teaching and impacts on graduates' service to the

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society. Furthermore, in the context of mass higher education the student is the main consideration when developing the nurturing plan, the curricula, and the international programmes and activities in China. One of the participants, who is a university Vice-President, stressed that internationalisation ultimately aims at cultivating qualified and excellent graduates. The second key difference is that this definition emphasizes the people's role in the internationalising process. Both the teacher (and manager) and the student are main components of the institution. the results of teaching and learning can be changed for good or bad by the actions of both the teachers and students. The qualified or renown of a teacher can increase the quality of education and attract more students; and excellent student and graduates can promote the reputation of the institution and offer better service to the society - or vice versa. As some participants said:

> *"the primary aim of IHE should be allocated to fostering excellent graduates as well as staff professional development" (FT-6; FT-10);*

> *"internationalisation should start from the teacher. Without internationalised teachers, it is impossible to foster internationalised students" (FT-12);*

The above features of IHE are tangible or visible in practice. However, in this case study, the intangible features of IHE were also identified. Some junior and senior participants claimed that international awareness is a crucial aspect of internationalisation. Interestingly, in this study, senior faculty also expected their upper-level leaders to be more international. For example,

> *"if the leaders have international awareness, university internationalisation will be much easier to promote" (FT-8)*

> *"if we lack an international management view, the development of IHE will be restricted. Therefore, the leaders should initially be internationalized. They can promote internationalisation in the university" (FT-12)*

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The term *awareness* in this research is defined as a perception and cognitive reaction to international education. Knight, in her "internationalisation cycle", points out that "the awareness of the importance and impact of the issue is the first step" of internationalisation (Knight, 1994, 12). It is not only the senior faculty or manager, but also the teacher and the student, that should have international awareness.

"The most difficult barrier is the international awareness from leaders to staff and students" (FT-4);

"The staff lacks international awareness and practical exercise" (FT-6);

"The leader's international awareness determines IHE development of the institution" (FT-10);

"First of all, the leader should have international awareness" (FT-11);

International awareness is the initial step for internationalisation regardless of whether it is at the individual, institutional or national level. From the above statement, these participants' critical statement reflects the international awareness of the leader/manager, staff and student sets back the process of IHE in CSU. In reality in China the power is still centralized in the senior leaders. Because of the imbalanced power and the critical role of the leaders, the senior faculty, especially the top leader of the institute, is considered as the key factor in developing international activity and cooperation. University internationalisation is largely determined by the leader's international awareness.

The leaders and administrators, PC Secretary, the president, vice presidents, directors of each department or deans of each college are the decision makers within the institution. It is they that can decide whether the staffs are approved to go abroad for research or training or not, or whether international collaboration can be carried out or

not. Their international awareness can directly impact the institutional strategy, plan and policy for internationalisation. According to one of the Directors of the International Office, currently in the case university, only a small group of people, mostly the senior leaders and faculty are engaged in and benefit from the international affairs. It is they who have power, personal relationships, finance, knowledge and resources. In addition, the old generation of leaders and administrators are not open-minded to this ideology. They are still conservative in respect to international communication and cooperation with foreign universities. IHE is a top-down process which requires senior faculty to pay much more attention to the development of the institution in the global era. Staff must possess cutting-edge knowledge of their profession; and the student should be aware of the international competition in the world labour market.

Although senior leaders are expected to have broader and more international awareness in the process of university internationalisation, the students and faculty should also have international awareness in their work and study. International awareness is the primary step for the university in creating an international climate on campus. It needs people of all levels.

The institutional function perception of the meaning of IHE is a comprehensive interpretation. It covers most practical aspects of international activities and programmes. Although the perception that IHE is an institutional function is the dominant voice in the case study, four other perceptions were significant in reflecting the impact of Chinese context and identity and should not be neglected.

Perception 2: IHE as learning and self-improvement

Some faculty participants held the point of view that internationalisation is a process

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of learning from the advanced science and technology of other countries and taking advantage of this to improve themselves. This stance defines internationalisation *as an integrated process where different nations, regions, culture and religions learn from each other and improve themselves in the context of higher education.* This perception, firstly, emphasizes that internationalisation is an integrated process and fused from a combination of excellent and advanced knowledge and technology. It admits that internationalisation is dynamic as well as diversified (see FT-7).

> *"I think internationalisation, actually, is a communicative process infusing different countries, regions, culture and belief, a process of educational communication. I think IHE is our sending students abroad and receiving students from foreign countries. We get to know the world and make the other countries know China. We learn from each other and close the gap" (FT-7);*

In addition, it implies the issues arising from adopting a western model. In China, most people choose to go to developed countries and regions, for example, the UK, the USA, Australia and European countries because of their high quality of education and advanced science and technology (EOL, 2013). Then, when these people return to China, it is obvious that they bring the western knowledge and models back to their profession (see FT-1):

> *"for example, some of our teachers returned from developed countries. They applied the knowledge learned from abroad for the improvement or innovation of our college and university" (FT-1)*

This perception, different from institutional function perception, emphasizes the outcomes of internationalisation. In the western-based studies, the competency approach means the "development of new skills, knowledge, attitudes and values in students, faculty and staff" (Knight, 1999a, 15). It focuses on the "human dimension" (de Wit, 2002, 117). But in this case study, competency does not merely refer to human

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learning competency. On the contrary, personnel development is regarded as the foundation for institutional improvement. The ultimate aim is to improve and enhance the institution's strength, rather than the "human" individuals' competencies (de Wit, 2002, 117). Instead of addressing the process of IHE, this approach places more emphasis on the outcome or result of internationalisation. Educational quality is thus thought of in terms of the knowledge, skills and attitudes of students, academic staff and administrators, whose competency directly determines the competency of the institution.

In recent decades, people have started to rethink the knowledge they learned from western countries. On one hand, they acknowledge the advance knowledge of the West. On the other hand, they realize that some western knowledge is only fit for the Western context not for the Chinese context. Selective learning and using knowledge is necessary. This learning process proves that the Chinese IHE process has shifted its pattern from "adoption" to "independence". This position addresses the concept that the process of internationalising is mutual learning, not westernizing:

> *"Internationalisation is not westernization. Different countries should "communicate and learn from each other in terms of cultural exchange, educational ideas and educational rules. Each country should have its own understanding and interpretation of internationalisation of higher education. No matter developing or developed countries, we should respect and learn from each other" (FT-12)*

In terms of learning, this perception emphasizes that any country (developed or developing), region, culture or religion is worth learning about. Internationalisation in this interpretation does not merely refer to geographic communication across countries. Cross-cultural communication is also an element of internationalisation. What could be learned is not only the scientific technology, but also ideological concepts, for

instance, educational and managerial ideas, the modern university system, etc.

> *"We study IHE not aiming at adopting foreign countries. Each country has its own advantage and strength. It is difficult to define the term, but on the whole we should not close our ears and eyes to education. We should communicate with any level of foreign HEIs" (FT-15);*

The purpose of learning is not to adopt any model but to take advantage of them, including western and non-western models, for self-improvement or enhancement. The belief that internationalisation of higher education is related to learning and self-improvement presents a critical reflection and re-thinking of how to make use of knowledge gained through international education and apply it to national education. It is a process of digesting knowledge from outside China and re-producing knowledge which is fit for the Chinese context.

Perception 3: IHE as nationalism

Internationalisation can easily be interpreted as "westernization" in developing countries. In this case study, however, internationalisation is interpreted by some participants in the opposite way – "internationalisation is not westernization, but nationalism" (FT-12).

> *"The precondition of internationalisation is nationalism. Chinese culture and tradition should be reflected in the process of internationalisation. We can draw close to the advanced education and advanced countries. This is an inevitable tendency of course. But it is definitely not the complete adoption of the western model (不是拿来主义). Due to the difference in history and tradition, there must be a great conflict in the process of internationalisation. It is a gradual process" (FT-12);*

Those who hold the nationalism perception of IHE believe that IHE should have its own specialty which differs from other foreign HEIs; it should be developed on the basis of retaining its own national culture and tradition. To the developing countries, IHE should not

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be interpreted as Westernisation, but should focus more on nationalism. This definition regards IHE as a matter affecting national identity. The national defining approach is distinct from the above approaches. Its emphasis is that internationalisation should be developed on the foundation of retaining its own national culture and tradition and on the basis of nationalism. It breaks up the worship to the western model. This has been introduced in Chapter 2 under the dependence stage (1978-present) in the historical review of IHE in China. The western model is replaced by China's own system which has the national identity embedded. This approach emphasizes the promotion and preservation of the cultural, national and traditional identity of the nation.

Nationalism has "old" and "new" meanings. In different historic time, nationalism means different things in terms of internationalisation. Since the modern time (the 1840s), nationalism has impacted on the Chinese higher education from the political to the cultural aspects. In this case study, such nationalism was expressed in some participants' views that internationalisation should be developed on the basis of the remaining national culture and tradition.

> *"Internationalisation should be based on localisation and nationalisation. It is a type of educational model for nurturing a compound graduate with international and, cross-cultural abilities. Nowadays, a lot of Chinese students cannot speak out Four Great Inventions of ancient China (paper, gunpowder, movable-type printing and compass) and Four Chinese Great Classic Novels"* (FT-4);

In particular, a developing country should not see IHE as the adoption of western models, but should focus on developing its own specialty in the university based on national and local features.

This perception of nationalism does not mean the refusal foreign things, but emphasizes that in the process of university internationalising, apart from learning

from others, China's own national culture and traditions should be kept, protected and promoted. In addition, emphasis should be placed on local and national respects of education (Sabanadze, 2010). Participants stated that in the process of IHE,

> *"any university or country is necessarily drawing lessons from advanced educational philosophy or management experiences of foreign countries in the process of development. In this situation, we cannot deny our own education system" (FT-12);*

This national interpretation towards IHE claims that the Chinese traditional culture and identity should be kept and promoted to the world in the process of learning foreign things.

This perception was also apparent in participants' attitudes towards the Confucius Institute. The establishment of the Confucius Institute is one way of promoting Chinese culture in the process of opening up to the world. For instance, according to official statistics from *Hanban* in China, the headquarter of the Confucius Institute, there were 440 Confucius Institutes set up and distributed in 120 countries and regions by the end of 2013. The Confucius Institute provides Chinese language and cultural teaching resources and services worldwide. Its mission is to meet the demands of foreign Chinese learners and to contribute to the development of multiculturalism and the building of a harmonious world. The Confucius Institute, as a kind of external internationalisation, does not aim for economic profit. As one participant said, it aims at setting up an international image and promoting Chinese culture, so that more and more foreigners know China well (see FT-4).

> *"There is another type of internationalisation which is to internationalise in other countries (external internationalisation). For instance, Confucius Institute promotes Chinese culture to the other countries. In recent years, we are attempting to establish Confucius Institutes in XX country. The aim is to*

promote Chinese culture and set up an international reputation worldwide."
(FT-4);

The nationalist perception, as well as the emphasis on learning and self-improvement, reflects the impact of early modern Chinese history on higher education and on the internationalisation of higher education today. Yet in the 21st century, information communication technology and the trend of globalisation is also impacting people's understanding of the meaning of internationalisation. As a result, IHE is also interpreted in CSU as a platform to the world.

Perception 4: IHE as a platform for participating in global processes

Although using IHE as a "platform" was not a main concern for many interviewees, several senior faculties claimed that internationalisation is a kind of platform upon which HEIs can track the latest cutting-edge scientific and technical achievements and advanced university systems of other foreign universities. Two participants (FT-11 and FT-15) claimed that:

> *"internationalisation is initially a platform and a method, by which we can trace the most advanced and cutting-edge science and technology. This is physical learning. We should also learn about the university management and operation, for instance, democratic management" (FT-11)*

> *"we need such kind of platform in which we can view how other foreign universities internationalised" (FT-15)*

The platform perception is defined by practice sharing approach, which emphasizes the value of sharing and learning information about higher education at the international level. It describes internationalisation as a "platform" that acts as an opening to the world. Internationalisation offers an opportunity for the knowledge, exercises and practices of international education in different parts of the world to be

seen by others. In this definition, internationalisation is viewed as a medium through which HEIs, HE stakeholders or individuals can share the advanced, cutting-edge experiences, practices, science and technology at a worldwide level. It serves for both personal and institutional development. This approach is coincidentally similar to NVAO's GPIP project, however, it does not see the platform as a perception, but an internet tool.

The "platform" is rather a metaphor than a substantial place or thing, which implies that internationalisation offers an opportunity for HEIs to showcase themselves, their academic achievement, managerial experiences and international practice, on the worldwide stage. The actors are the HEIs and stakeholders on a global scale. While partially similar projects like the Netherlands' Good Practices in Internationalisation Platform (GPIP) project, which aims to provide a platform for peer sharing of practice (GPIP, 2015), the term "platform" in this case study means much more.

The "platform" perception has a richer meaning in CSU. It looks at the future development of IHE, not only at one or two specific practices, to gain insights about how people do things differently in different contexts. The "platform" perception is comparatively more abstract than the three perceptions discussed already. It is not a specific place or activity for IHE, but rather like an information centre where you can see, for example, the experiences of others, sharing good practices and discovering the latest scientific achievements. The internet and other media can be considered as a medium for offering this information. HEIs or individuals spread out worldwide as the terminals of the platform. The platform perception views internationalisation exercises as being shared by HEIs worldwide. It is an open and a free-option for any HEIs which need others' experiences or lessons. It can be considered as an all-round aspect of higher education at the international level (see FT-4).

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Perception 5: Marginal perceptions of IHE in CSU

The last category of perception of the meaning of IHE is different from the above perceptions. These attitudes and voices cannot be classified as perceptions, but they cannot be ignored. Some participants had no well-defined attitude towards IHE and feel only that it is a tendency in university development. These voices and statements, to some extent, reflect some problematic issues of internationalisation in the case university. When asking the meaning of internationalisation, for example, all four student interviewees (see FTSS-1, 2, 3 and 4) and two junior staff (FT-3 and 10) present said that they could not define internationalisation or that it was difficult to formulate the meaning of IHE. Even some senior faculty still find it difficult to define internationalisation (see FT-8 and 15).

> *"I have no idea of it." (FTSS-1);*

> *"I cannot define it" (FTSS-2);*

> *"What does it mean? I do not know" (FTSS-3);*

> *"Does it mean going abroad? I am not sure" (FTSS-4);*

> *"I cannot define it (IHE) well. Internationalisation is a tendency" (FT-3; FT-10);*

> *"it is difficult to define the term. Some countries have talked about this much earlier than us. We just start in recent years. IHE is complex term covering rich meaning. It is not just an educational format" (FT-8);*

> *"it is difficult to give a definition, but internationalisation might contain the following factors ......" (FT-15);*

These voices and the fragmented interpretation of the meaning of IHE articulated by senior faculty reflect that internationalisation is not a common but a marginal issue in the case university. Internationalisation has not been a priority task to the university.

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Many participants do now know or are not familiar with relevant knowledge or issues, or even have not thought about it before. The main job for them and the university is still allocated to national education. Therefore, formulating or describing the meaning of internationalisation is difficult for them.

Another marginal interpretation of IHE is that a few participants believed internationalisation is an inevitable tendency in the context of globalisation. Every institute is involved with IHE more or less, no matter whether they want or not. This attitude admits that IHE has a dynamic status, but this tendency emphasizes that IHE is an outcome of the development of higher education due to the global impact on higher education.

> *"IHE is an inevitable tendency" (FT-4; FT-12)*

> *"IHE, in fact, is a tendency. It is a process through which different countries, regions and cultures communicate with each other. It is a communicative process in higher education" (FT-7)*

> *"we have to do something because other universities are doing it, and we can be inspired as to how to internationalise ourselves" (FT-11).*

This section has reported the findings of the meaning of IHE in the case university which emerged from the interview data. An interpretive approach guided the process of the analysis from the perceptions of both the participants and the researcher. The participants' interpretations of IHE have been categorized into five perceptions, which verify that IHE means different things to different people in different context in CSU. Each perception emphasizes different features of IHE and the features of the Chinese higher education context. Further, these definitions were formulated by participants with reference to the different approaches to IHE, each of which reflects the distinctive characteristics of each definition.

These approaches significantly characterize the features of IHE definitions as well as the features of IHE in China. The multiple perceptions of IHE and their approaches reflect the historical impact on Chinese higher education and its internationalisation. Although there are similar aspects of IHE, such as focusing on the teaching, research and services of institutional functions, there are still other interpretations which differentiate Chinese IHE from the West, such as learning and self-improvement, nationalism and platform perceptions. The next section presents the findings of the rationales of university internationalisation in the case university and identifies the distinctive dominant rationale which is different from the West.

4.1.2 Rationales of IHE

Generally speaking, rationales can be interpreted as motivations which explain why institutions "do" internationalisation in certain ways (de Wit, 2002). As a matter of fact, categorizing rationales for internationalisation is becoming more and more of a "complex and challenging task because there are many different variables to consider" (Knight, 1999a, 18). Each rationale has various reasons within the category, which means that there are sub-levels of reasons under each category. In order to account for this complexity, the motivations and reasons for internationalisation in CSU were synthesized from participant's voices in this research. This case study categorizes the motivations for doing internationalisation in the university using the traditional four-category approach (academic, social and cultural, political and economic rationales) because it can accommodate multiple reasons for internationalisation. .

Academic rationales for IHE in CSU

Academic rationales for IHE in CSU were reflected by participants in several ways: *the enhancement of quality, building-up a university's international reputation,* and

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seeking more international collaborative opportunities for research and teaching. In the following participants' views, the initial benefits from internationalisation are to enhance the university's quality. It has become a common sense that the high quality of international education can enhance the quality of higher education (Smith, 1994). Correspondingly, it can build-up the institution's reputation, which promotes more cooperation and communication with foreign institutions in the respect of research and teaching. In this case study, the participants believed the advanced science and technology of developed countries can enhance the quality of education as well as the university's ranking and reputation :

> *- we can learn advanced science and technology from developed countries, which can enhance the strength of our university (FT-1, FT-12, FT-17)*

Moreover, some participants pointed out that the international programmes and exchange activities are the main ways of reflecting university internationalisation (see FT-8 and 14). Overseas experiences, for instance, study, research and working, can effectively help people enhance their international views and international competency. Therefore, the participants have a strong desire for the university to offer more communicative and cooperative programmes and give more opportunities for them to be exposed to advanced knowledge and various other international perspectives.

> *"the focus and emphasis of our work aims at improving and enhancing our education quality. We encourage young teaching staff to go abroad for their professional development and research" (FT-8);*

> *"the dominant motivation of doing international education, international communication and programmes is to enhance the quality and to gain international reputation. This will help us further develop partnership and cooperation with foreign HEIs for research" (FT-14);*

Social and cultural rationales for IHE in CSU

Social and cultural rationales in this case emphasize two aspects of international education: the promotion and preservation of traditional and national culture and identity, and the mutual understanding and the acceptance of different nations and different cultures. This rationale is also associated with the nationalism perception of the meaning of IHE, which addresses national and cultural identity in the process of internationalisation.

> *"In the past years, we, including the presidents, tried our best to apply to establish a Confucius Institute. We should have succeeded last year. But due to an accidental event and external reasons, we failed. But we will re-apply this year. It is very promising... Establishing a Confucius Institute will help our university establish an international reputation and promote our Chinese culture"* (FT-8);

> *"We offer many optional courses to undergraduates about international and Chinese traditional culture, for instance, British Survey and American Survey. We hope students can have an international view"* (FT-10);

> *"We now have around 170 international students from different countries"* (FT-7);

> *"Last year, there was one student participating in our exchange programme to South Korea, and there will be one student going to UK next year. The exchange programmes give students an opportunity to learn about a different culture and language"* (FT-17)

In terms of the promotion and preservation of traditional and national culture and identity, this case university has made efforts to establish a Confucius Institute to teach Chinese culture and organize various relevant activities for both Chinese and foreign students (see FT-8 and FT-10). Although it failed to achieve this at the first attempt, the university persisted, applied again the next year and succeeded. The university also offers an optional course in Chinese traditional culture to Chinese students. The predominant motivation is to promote Chinese culture and national identity among

Chinese graduates. Taking advantage of the Traditional Chinese Medicine discipline, the case university is also able to organize a range of activities, lectures and training at an international level (as Chinese medical massage, acupuncture, herbal medicines and the Chinese medical classics are broadly promoted among foreign partners).

In terms of mutual understanding and the acceptance of different nations and different cultures, participants believed that the case university tries its best to be open to other cultures. For instance, it seeks more opportunities with foreign HEIs for international cooperation and exchange programmes, recruiting foreign students, offering multi-cultural courses and cooperating in research projects with foreign peers and institutions (FT-7 and FT-17).

The social and cultural rationale of IHE in the case university is a two-way motivation to transmit national culture to the other countries and accept the cultures of other countries. The social and cultural motivation for IHE helps CSU learn more about other countries as well as attempting to shape the image China projects to the world.

Economic rationales for IHE in CSU

In contrast to the West, economic gain is not the dominant motivation for internationalisation in the case university. In recent years, the outflow of Chinese students has been much greater than the inflow of foreign students.

In the case university, the main income from internationalisation is international student tuition fees, and the service fee or commission fee from collaborative programmes with foreign HEIs or agencies which serve Chinese students abroad. One of the International Office faculty's response verified the economic situation in the case university:

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"profit is not the dominant motivation. We made a loss before 2010 and started breaking even in the recent years because of the merge of the two institutions in 2010. But recruiting international students is not the dominant motivation in our work. We do not have specific recruiting target each year."

"the main funding we have is from the university. This amount has been increased in the past years because of the importance of international education. This year (2012), we have been given 5 million RMB (approximate GBP 517,693.00). The money is used for education facilities, staff training, and visiting foreign universities"

Because of the confidentiality of income and expenditure, the International Office could not provide specific financial data for this research. While the *2012 University Finance Report and 2013 Budget Report* document does not explicitly clarify the income of the International Office, it does report the income from international student fees (2.29 million RMB), which is the main income of the International Office. From these two figures, it can be seen that the income (2.29 million RMB) is much less than the budget (5 million RMB). This suggests that that international education or recruiting international student is not done for economic reasons. This is totally different from the western universities' dominant rationale for internationalisation, which is economic, a commercial business and a key segment of the national economy (Snowden, 2014, 2).

Even though higher education has also become a business in China, it is still under the control of the Central Government. Although the higher education market is open according to the WTO treaty, commercial business and also a key segment of the national economy joint programmes and a cross-board campus must be approved by the MOE. Therefore, the Chinese higher education market has not been capitalized as in Western countries. A complete free trade market does not exist in the Chinese higher education context. All institutional development strategies in China must be in compliance with national policy, regulation and law, which emphasize the academic

and quality issues of higher education.

Political rationales for IHE in CSU

Political rationales for internationalisation in CSU now mainly reflect the influence of national policy intervention, including both positive and negative interventions. From a positive perspective, according to participants, bilateral governmental agreements bring in collaborative programmes and exchange activity. National policy guarantees international educational quality. However, intervention also negatively restricts the development of IHE. For example, international collaborative programmes such as the "1+3/2+2" programmes (1 or 2 years studying in China and the rest of the years studying abroad), should be approved by the MOE or a student's degree will not be authorized by the MOE, which means taking an invalid degree. The national policy also restricts the length of time that institutional leaders can visit foreign countries:

> *"The individual or the group for international university visiting cannot stay in one country more than 5 days, or cannot stay in two countries more than 8 days. This policy makes it difficult to have better communication for cooperation. Moreover, international visiting should be reported and approved by the provincial department of education. The approval process is complicated and time-consuming." (FT-8)*

Political rationales also have a different orientation in China. China is a socialist country, not capitalist. The Communist Party Committee (CPC) holds the central leadership in China and, as discussed in Chapter 2, each state university or HEI has a CPC at the institutional level which is in charge of the institution's operation and development and to which the president of the institution is responsible. As discovered in this research, the relationship between the CPC and the university President is a problematic issue in most Chinese HEIs; this is discussed later in the thesis as barrier for IHE (see Chapter 6).

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The preceding section has presented the motivations for internationalisation in the case university. It shows how the enhancement of education quality, academic level and international reputation are more prominent than other motivations, and especially more prominent than economic motivations. The social, political and economic system and China's historical background have relevant impact on motivations for internationalising in in the Chinese higher education context, which causes IHE in China to be different from that in the West. The relationships between the meaning, approach and rationale in the Chinese and Western contexts will thus be further explored in the next section.

4.2 Discussion: IHE in China and in the West

Based on the findings from the case study on the meaning of IHE and the desk research of the IHE conceptual framework in the Western contexts, this section aims to explore the relationship between meanings of IHE the Chinese and Western contexts. The western conceptual framework is based on existing literature reviewed in Chapter 2. Figure 4.2 presents the two conceptual frameworks at work in the two contexts, placed in parallel format in order to make a clear comparison.
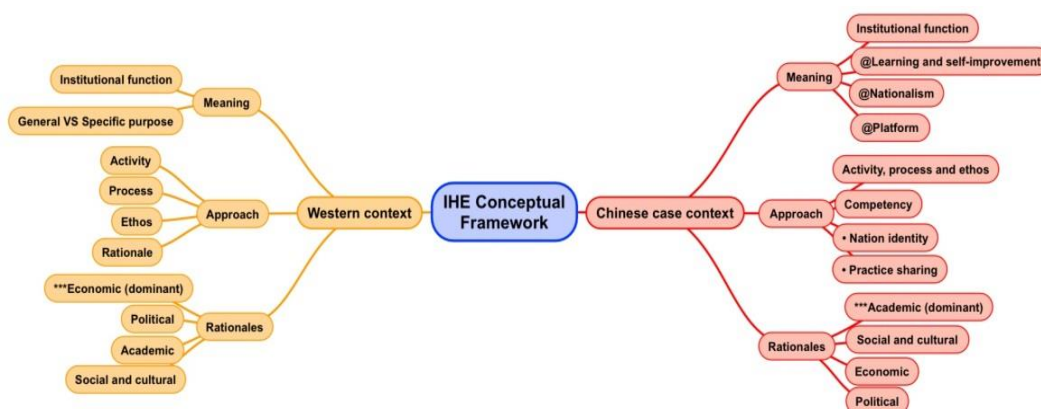
Figure 4.2 Conceptual Framework in the West and China

This section focuses on three elements of these frameworks: the meaning, the approach and the rationales. On the left side is the IHE conceptual framework of the Western context which has been reviewed in Chapter 2. On the right side is the IHE conceptual framework of IHE in China theorized from this case study. Even though the concept of IHE in both contexts identifies institutional functions, this case study adds the 'learning' aspect to the institutional functions. Furthermore, three distinct interpretations of IHE (as learning and self-improvement, nationalism and the platform) in the Chinese case context are presented. These distinctive perceptions are not mentioned in the western literature. In addition, while the case study uses the same terms (activity, process, ethos and competency approaches) as are used in Western context to formulate definitions, some of them (ethos and competency approaches) mean different things in the Chinese context. In terms of the rationales, this case study utilizes the traditional four-category classification for the motivations for internationalisation in the case university, showing particular differences in the dominant rationale in the two contexts. In the Western context, the economic rationale is the dominant motivation. However, in the case university, the academic rationale is the most prominent motivation for internationalising the university. The following section further discusses the similarities and differences between the conceptual frameworks in the two different contexts.

4.2.1 The meaning of IHE in the Chinese and Western contexts

While internationalisation means different things to different people (Knight, 1994), both similarities and differences of internationalisation exist in the different contexts examined in this thesis. Based on the desk research of literature in the western research and the case study in CSU, it can be seen that the international and cross-cultural aspects of teaching, research and service are overlapped in both contexts (see Figure

4.3). This reflects that these three are the primary and fundamental components in the process of university internationalisation regardless of contexts. These three components are also the basic elements of modern university's function.
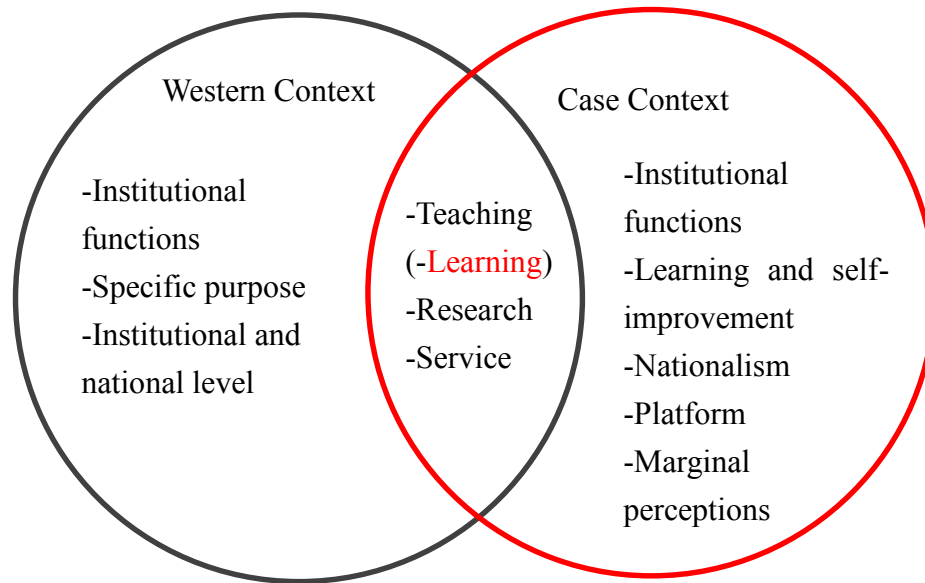
Figure 4.3 The Meaning of IHE in the Western and Chinese Contexts

Although the participants in CSU point out that teaching is one of the key component in the institutional function perception, it is slightly different from the Western research. In the Chinese context, the "learning" aspect is added in the Chinese conceptual framework. This is associated with the Chinese meaning of "teaching". Thus, the Chinese culture and tradition shapes the element of teaching as both "teaching" and "learning", which means the special human activity participated in by the teacher and the students (Hu, 1986; Yu et al, 2007). This process contains both teachers' delivering or transmitting knowledge and the students' learning. In this case study, the participants address the student's role in the process of internationalisation. Students are the most numerous group in the HEI and the most important element in the teaching process. The central task of the case university is to foster qualified and excellent graduates. Students and their learning quality, and feelings, attitudes and

feedback towards the international efforts of the university can directly influence the teaching and management of the institution.

Based on the findings from the case study, it can be seen that there are several unique perceptions on the meaning of IHE which are different from the western research. These perceptions are mainly shaped by Chinese culture and modern history, and China's position in the world system.

First of all, being influenced by the modern history, China's speed of developing internationalisation in higher education field is much later and slower than the Western countries, and the scale and scope is much narrower than the western countries. According to the evolutionary model of IHE (see Table 2.2 and Table 2.5), the academic study of IHE has been started since 1980s. The research on the definition of IHE has gone from general purpose (Arum and Van de Water, 1992; Knight, 1994; Van der Wende, 1997a; Knight, 2003; Turner and Robson, 2008) to specific purpose (Soderqvist, 2002; Brandenburg and Federkeil, 2007). The scope has expanded from mobility at the individual level to the activities and programmes at the institutional and national levels. In China, from 1978 to the end of 20th century, most of people who went abroad for education were dispatched and sponsored by central or local governments. Thus, the number is very limited. However, the substantial and independent step of Chinese higher education joining in the global market is started in the beginning of 21st century with China's entry of WTO in 2001. In the past two decades, the number of student and faculty mobility and the international activities and programmes are getting dramatically increased in China. However, Chinese IHE process is still at the institutional level rather than being a automatically national phenomenon. In CSU, people still views student and staff mobility and international activity and programmes as the main content of internationalisation. Most activities

and cooperation are at the institutional level. Even though there are some national programmes, such as the China Scholarship Council (CSC, 2014) programme, the number of the places offered nationwide to HEIs is much smaller, especially for the "regular" HEIs like CSU. Therefore, IHE in the Chinese context, especially in the case context, is still at the institutional level, not a nationally systematic phenomenon.

Secondly, the multiple perceptions of the meaning of IHE are shaped and influenced by Chinese traditional culture and modern history. As presented in the preceding sections, participants interpreted internationalisation as a matter of learning and self-improvement, nationalism and being a platform to the world. These perceptions are related to the people's ideology of Chinese history, culture and the social and political system. In historical perspective, because of invasion by the western powers, China had gone through a humiliating period in its history. It is this period that launches modern higher education and universities as well as the primary internationalisation of higher education in China. This historical humiliation brings two things, learning from the West as well as arousing the spirit of nationalism. Because modern higher education was founded through the foreign invasion, the tension of relationship with the West and admiration of the western scientific, technological and philosophical knowledge became a dilemma for the Chinese people. In terms of the tension, as history shows us that western invasion of China caused a severe wound that takes China a very long time to recover from. The nationalist inspiration about protecting China from invasion was aroused in the war time. Even in the peace time, this kind of ideology is still remains in people's mind. It comes from various sources, such as the national history curriculum, the national festivals and media programmes. The government and Party of all levels also have corresponding mechanism to monitor the ideological stability of higher education to protect Chinese sovereignty and

independence.

Third, nationalism plays a special role in the interpretation of IHE. In this case study, it surprisingly finds out that nationalism, both the 'old' meaning and 'new' meaning, is closely associated with the meaning of IHE. This type of perception is impacted by the Chinese modern history and the education that the participants received. In the semi-colonial and semi-feudal era (1860-1949), Chinese nationalism emphasized getting the nation's sovereignty back from foreign invaders, such as Britain, America, Germany and Japan. There were a series of nationalist movements and revolutions in the higher education sector, these have been introduced in Chapter 2. Since the establishment of the People's Republic China (1949), nationalism has been given a new meaning in IHE. On one hand, there is an effort to ensure that higher education is not threatened or utilized by foreign powers. Nationalism, to some extent, protects and guarantees the social stability of the state as well as the higher education sector. On the other hand, it marks the Chinese cultural and national identity in the process of internationalisation. This piece of modern history is embedded in the national history curriculum. The "bad" and "good" of the West impacted on people's ideology in China. The West invasion arises Chinese people's nationalism and patriotism, while, the advancement of science and technology in the West makes people admire and eager for learning from the West. This mixed feelings and attitudes also shapes the meaning of IHE in the nationalism perspective.

This section has presented the similarities and differences of the meaning of IHE between the two contexts. It explains the distinctive Chinese perceptions of interpretations of IHE from the historical perspective. The next section explores how the contextual features of IHE impact upon the approaches taken to internationalising.

4.2.2 Similarity and difference in the defining approach

This section focuses on the approach of internationalisation in the case study context in China and the Western context. Western approaches, activity, competency, process, ethos and rationale were reviewed in Chapter 2 (see Section 2.1.2, Table 2.1). The case study shows that while some terms used in the Western context are similar, it does not mean the same term in one context means the same thing in another. Figure 4.4 presents the relationship of the approaches between the two contexts.
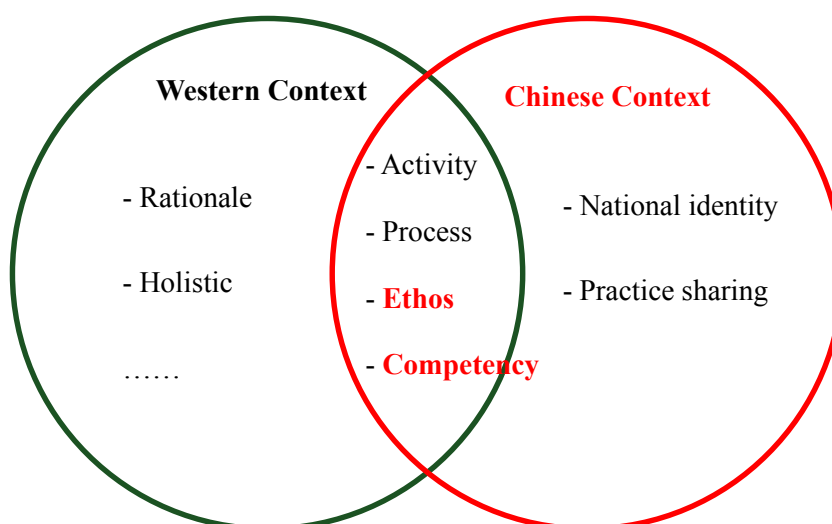
Figure 4.4 Defining Approach to IHE in the Western and Chinese Contexts

In the case study, the institutional approach assembles the activity, process and ethos approaches. The activity and process approaches applied in this case study refer to the same things as activity approach and process approach in the western-context-based conceptual framework (Arum and Van de Water, 1992; Knight, 1999a). The activity approach characterizes international education in terms of specific international activity and programmes. The predominant types are student and teacher mobility and communicative and cooperative programmes (Knight, 1999a). The process approach emphasizes the "sustainability of international dimension" (Knight, 1999a, 16). According to Knight (1999) and de Wit (2002), the process approach stresses the

programme aspect as well as the guiding policies and procedures of an institution. In addition, the process approach in this case study also implies internationalisation's changing and dynamic features. The ethos approach in the Western context merely emphasizes "establishing an ethos or which encourages and fosters the development of international and intercultural values and initiatives" (Knight, 1999a, 16). In this case study, ethos is not only used for creating an international climate for the institution, but also for inspiring international awareness and views, including those of students, teachers and administrators. The institutional perception thus contains multi-faceted aspects of international education, its integrating features of IHE in terms of international activity and its mobility, sustainability of IHE, campus internationality and intercultural environment, and people's awareness of international issues.

The competency approach, however, is used to define IHE as 'learning and self-improvement'. In the Western context this emphasizes the "personnel development of skills", knowledge, attitudes and values (de Wit, 2002, 83). In the case study, it focuses on the personnel, student and faculty, development as well as the institutional development and improvement. This approach is used to describe how the knowledge and skills can help the personnel of the institutions, and how the improved personnel improve the institution's quality, ranking or reputation. In recent years, the competency aspect of internationalisation has also become more related to the outcomes of internationalisation. It can be used in the measurement of educational quality in terms of the international dimension. In this approach, the development of internationalised curriculum and programmes becomes the focus of the institution's exercise. The aim is to improve student and the staff international and intercultural competency, which will in turn improve the quality of the institution.

The above four approaches – activity, process, ethos and competency – are similar

with those emphasized in the Western context, although some of them here have a supplementary meaning. However, there are also different approaches which are identified.

The study of IHE in the west began earlier than in China. In the West the study and exploration of the meaning of IHE no longer focuses on a search for a general meaning or a generic definition. From the review of the development of the meaning of IHE (see Table 2.2), it can be seen that the study of defining IHE has shifted from the general purpose to the specific purposes of IHE, for instance, management (Soderqvist, 2002) and IHE quality assurance (Brandenburg and Federkeil, 2007). New approaches have been created to define IHE from different perspectives in the Western context. For instance, Soderqvist (2002) uses the holistic approach to define IHE from the managerial perception. The international dimension of higher education impacts upon all aspects of the holistic management of HEIs. Brandenburg and Federkeil (2007), on the other hand, use the rationale approach in defining IHE in their research on the measurement of IHE. They define IHE as the status change within a certain length of time. This definition is formulated as the working definition for their specific research purpose.

According to this case study, distinctive approaches to IHE also exist in the Chinese context. These are associated with people's distinctive perceptions of the meaning of IHE. The defining approaches reflect the features of each perception. For example, this study illustrated how national identity and sharing practice approaches relate to features of nationalism and perceptions of internationalisation as a "platform" in participants' understandings of internationalisation.

This section has analysed similarities and differences of defining IHE approaches

across the Chinese case context and the Western context. The next section presents the final element of the conceptual framework – rationales for IHE in the Chinese and Western contexts.

4.2.3 IHE rationales in different context

The third element of the conceptual framework is the rationale, which is used to explain why HEIs do internationalisation. According to studies of rationales for IHE in Western contexts, the rationale can be categorized in various ways: for example, the traditional four-category: economic, political, social and cultural and academic (Knight and de Wit, 1999), or by national and institutional levels of analysis (Knight, 2005). This study is an institutional-level case study which adopted a the traditional way of categorizing rationales as appropriate to use to contrast the relationship of the rationales in the two different contexts. Table 4.3 offers an overview of the rationale in the two contexts. Although IHE rationales of CSU can be categorized into the four groups as the western research, the specific reasons and motivations are different from the West. This section analyses and explains motivations for IHE in the Chinese context and how they are different from the Western contexts from these four aspects.

Table 4.3 IHE Rationales in the Western and Chinese Contexts

Rationales	Existing Western Rationales	IHE Rationales of the Case Study
Social/ cultural	-National cultural identity -Intercultural understanding -Citizenship development	-National cultural identity -Intercultural understanding
Political	-Foreign policy -National security -Technical assistance -Peace and mutual understanding -National identity	-Policy (Foreign and national) -National security -Education quality guarantee
Economic	-Economic growth and competitiveness -Labour market	-Financial incentives
Academic	- Extension of academic horizon -International dimension to research and teaching -Profile and status -Enhancement of quality -International academic standards -Institution building	-Enhancement of quality -Building-up for university international reputation -teaching and research -Seeking more international collaborations in

Chapter 2 reviewed the changes in dominant rationale in historical perspective. In the West, the dominant IHE rationale has shifted from a politically-oriented motivation to an economy-driven one since the end of the Cold War. Globalisation has become the most important contextual factor shaping the internationalisation of higher education in western countries, especially the UK, the USA, Australia and Canada, as higher education has become a commodity for the pursuit of profit. The economic rationale has become the dominant reason for these countries to expand higher education worldwide.

In terms of the dominant IHE rationale in the Chinese context, the political rationale was also the dominant motivation in the process of higher education modernization from the 1860s to 1965. The primary motivation for IHE in the 1860s was to use western knowledge and technology to fight against the foreign invaders. For a very long time, therefore, the dominant reason for engaging in internationalisation in China was to re-establish national independence and national sovereignty. There were other

rationales, but they were marginal and included in political ones. Since the downfall of the Gang of Four, China has launched the Reform and Opening-up policy which seeks to establish a socialist economy system and re-open to the world. However, the socialist market is different from the western free market or neo-liberalism. In higher education, even though higher education has been open to the world due to the entry of WTO, higher education institutions are still supported and controlled by the government. Although the case university is impacted by various factors in this complicated environment, quality has become a crucial aspect in higher education development. In the *Outline of China's National Plan for Medium and Long-term Education Reform and Development (2010-2020)*, the quality of higher education is highlighted as the central task of an HE working plan:

> *"Higher education performs the important task of cultivating high-caliber professionals, developing science, technology and culture, and promoting the socialist modernization drive. Raising quality is at the heart of this task and a basic requirement of the effort to build the nation into a power to be reckoned with in the global higher education landscape." (Plan, Chapter 7, session 18)*

The domination of academic rationale, from another perspective, reflects the gap and distance in international education and China lags behind (Yu, 2009). Although the number of international students coming to China is increasing, it is still much less than the number of out flowing students. The most popular courses that the foreign students select are subjects relating to human beings, such as Chinese language, western medicine and Chinese traditional medicine. A very tiny number of students select science subjects, such as computer sciences, biology, physics or chemistry, which are the most popular subject that Chinese students select overseas and also the state encourages Chinese student to study them. This reflects the fact that the scientific and technological level in China is far behind the developed western countries.

Nowadays, the dominant rationale for IHE in China focuses on the enhancement of education quality, including teaching and research. This is the fundamental rationale for the other rationales. The social and cultural rationales serve to promote the Chinese culture and the mutual understanding of a different culture. At present, cultural misunderstanding does exist worldwide. In order to dismiss the bias against the developing nations and the over-worship of the developed nations, it is important to the whole world that both East and West know and respect each other's culture. Meanwhile, it is also crucial to protect and promote the Chinese cultural identity. According to the statistic report from MOE, there were 328,330 foreign students coming to China in 2012. There are 332 HEIs which are authorized to recruit foreign students. By the end of 2014, there were 475 Confucius Institutes established worldwide. These represent China's five thousand years of glory, history and culture through introducing the Chinese language, knowledge and culture. This is a significant project which makes people of other countries know the real picture of China.

In terms of the economic rationales in China, one of the participants says that "university internationalisation needs money" (FT-11). It needs money for international communication, exchange, cooperation or staff training. At present, except 211/985 Project institutions, most regular HEIs do not have specific large amounts of funding to develop international education. Generally speaking, international student *fees* are the main income for the institution. According to statistics from Ministry of Education (MOE), in 2013 the number of Chinese students going abroad was around 413,900, and the number of foreign student coming to China for degree is only 147,890, and 33,322 (22.53%) of them receive a Chinese Government Scholarship (MOE, 2014). Based on the statistics from the UK Home Office, the number of international students coming to UK for higher education is

299,970 in the academic year 2012-2013. The tuition fee in China is much lower than in the developed countries, such as UK and USA, therefore, the entire international higher education sector in China is not a profitable market.

However, not every institution is qualified to recruit international student. Moreover, the international student fee in China is much lower than that of the UK or USA (see Table 4.4). Chinese higher education has not been entirely commercialized and marketized by the impact of the global economy. Jiang (2014) holds that IHE in China should be developed on the base of an academic baseline, and warns that higher education should not be commercialized on the back of internationalisation.

Table 4.4 International Student Fee in Different Countries

Year	China (Peking University)	UK (Cambridge University)	USA (Cornell University)
2016	26,000 RMB/Year (Approximately 2694.9 GBP)	15,063 GBP/Year	47,050.00 USD/Year (Approximately30 505.5 GBP)

To some extent, the international education market is restricted by political intervention. Chinese higher education institutions are under the Central Government control. *Higher Education Law of the People's Republic of China (1999)* (Higher Education Law (1999) for short) has identified the position of the State in the higher education cause:

> *"higher education shall be conducted in adherence to the educational principles of the State, in the service of the socialist modernization drive and in combination with productive labour, in order that the educatees shall become builders and successors for the socialist cause, who are developed in an all-around way—morally, intellectually and physically" (*Higher Education Law (1999), Article 4)

The Article clarifies the central and dominant position of the State in Chinese higher

education. The institutional policy and development strategies must align with the national policy. This political interference has both a positive and negative impact on higher education. In terms of the positive impact, the international education is inspected by the government which guarantees the quality of education in respect of the foreign students in China. In terms of negative impact, the governmental control can restrict the free development of HEIs at the international level. For example, international collaborative programmes and cooperation must apply for government approval. This type of approval procedures restricts the institution in terms of the time and freedom.

Based on the above overview of the change of IHE rationale in China, it can be seen that it has gone through a revolutionary change from the political motivated internationalisation to the social and cultural driven and the academic oriented rationale (see Figure 4.6).

Political → Social and Cultural → Academic

Figure 4.6 The Change of Dominant Rationale in China

Comparing this to the Western context, it can be seen that China has not utilized IHE as an economic tool in the process of internationalisation. On the contrary, the central task of IHE is to enhance the quality of the teaching and research. This is the intrinsic difference between the Chinese and Western context.

4.3 Conclusion

This chapter answered the research question "how does the case university interpret IHE?". The interview data identified that there are multiple perceptions of the meaning

of IHE in CSU and that distinctive approaches are associated with each perception. It analysed the motivations for university internationalisation from academic, economic, social and cultural, and political perspectives at the university. These multiple perceptions also verify that the interpretation of IHE is impacted by historical and cultural factors.

Comparing with western definitions and the multiple perceptions in the Chinese context, similarities and the differences co-exist across the two contexts. The functional aspects of international education, including teaching, learning, research and services, are considered essential elements of IHE in both contexts, but their presence and practice may be different in different contexts. This study has also identified three distinctive perceptions which are differentiated from those of IHE in the West. The three perceptions, learning and self-improvement, nationalism and platform, were intimately related to the impact of Chinese history on higher education.

In terms of the rationales of IHE, the academic motivation dominated the process of internationalisation in this case study. Political factors, such as the position and role of the CPC and university president, the priority of senior faculty and the role of national and state policies on university policy, also impacted upon the practice of university internationalisation. Comparatively, economic-oriented motivation was not the main concern in the Chinese context.

This chapter has presented the conceptual framework of IHE in the Chinese case university and the relationship between IHE in western and Chinese contexts. The next chapter presents how the case university has sought to internationalise from the practical perspective, based on these meanings of IHE in this context.

Chapter 5 Findings and Discussion (2)
                              ----The Practice of IHE: Implementation

This chapter focuses on how CSU has sought to internationalise and how this practice links to the meanings of IHE within the university*,* as well as the barriers that CSU encountered in the process of internationalisation. This chapter also analyses the relationship between the interpretation of the meaning of IHE, as discussed in the previous chapter, and the practice-based international dimensions to explore whether people's interpretation guides what they do in practice. It is the foundation for the construction of an IHE evaluation framework for the case university. This is used to close the gap between people's interpretations, actions and contexts of work in the Chinese university and the theories of these offered in existing English and Chinese-language literature.

Firstly, the chapter presents a matrix of key dimensions of IHE implementation which has been constructed by synthesizing data from interviews and documents. According to this data, the specific practices of IHE of the case university were then categorized into nine dimensions: *communication, cooperation, academic activity, localization, construction of the faculty team, international student education and management, international office, mobility* and *achievement*. Because of the multi-faceted features of IHE, some practices cross more than one dimension.

Since the discussion of implementation is often omitted in most western and Chinese research and is not used as empirical evidence supporting understanding of the definition and evaluation of IHE, this implementation matrix fills the gap for generating knowledge about the definition of internationalisation and the creation of IHE evaluation criteria in specific contexts. This chapter verifies the relationship between the meaning of IHE and the implementation of IHE in CSU and finds out

how the practical dimensions of IHE link to participants' interpretations. This implementation matrix also lays the foundation for the selection of IHE evaluation criteria for CSU.

5.1 Findings: Dimensions of IHE in CSU

According to the review of the existing study of IHE evaluation tools, one of the problematic issues of the evaluation of IHE is that few studies provide empirical evidence of how evaluating indicators and dimensions are generated. As discussed in Chapter 2, some projects build an evaluation framework upon others or take existing evaluation tools as examples. This study fills this empirical gap by reviewing the practical implementation of IHE in CSU. This not only provides empirical evidence for the creation of IHE evaluation criteria, but also testifies to the participants' multiple perceptions of the meaning of IHE. The significance of studying IHE implementation is that it makes the creation of the knowledge of IHE definition and IHE evaluation criteria real and not like a castle in the air.

Although the data that emerged from the interviews suggests that internationalisation is not considered a priority task (see FT-9 and FT-17), the case university in the past ten years has made many efforts to engage in international activities and programmes, according to a senior faculty participant, the Director of the International Office and the Vice-president (see Directors of International Office-a and Appendix 5).

> "It is necessary to internationalise. But to the university, the teacher and student, it is not the primary job we should do now" (FT-9; FT-17);

> "International Office becomes independent from President Office in 199X. There are two branches under the International Office. One is in charge of International Education, mainly for the foreign students. Another is in charge of communicative cooperation and international affairs... The main

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responsibilities are recruiting academic staff for foreign students and sponsoring them for professional development. We were authorized by MOE for the recruitment of undergraduate clinical medicine programs taught in English for international students. We recruit students through an agency. Sometimes, the foreign teachers introduce some students to us and some existing foreign students introduce their cousins or peers to our university. Every year, we also establish and develop friendships with foreign universities and organize various activities for teachers and students. We also send international conference information to our staff and encourage academic teachers to participate… In the past decades we have done a lot of work. We were successfully approved by MOE to cooperate with a German university for Chinese-foreign cooperation in running schools; organized training sessions of TCM course for foreign teachers; offered postgraduate programme with a Brazilian university and supervised three PG students for them; welcomed a Dutch student delegation visiting and communicating with our students ;organized summer school for a Russian university; hosted HSK (Chinese language testing for foreigners) training for foreign students; had around 200 full time and 70 part time/short term foreign students; had credit transfer exchange student programme with foreign universities; established research centre and lab with foreign universities; visited foreign universities led by our president; launched a series of policies to encourage young teachers going abroad for short-term professional training/development; collect staff's application forms for going abroad and report to the Party Committee Office for approval" (Directors of International Office-a);

In the case university, the International Office has a responsibility to file the international activities and programmes that the university has undertaken. However, during the interview, the Director could not state all. Therefore, the information from the college level (deans of colleges) and the documentary sources, such as the news from university official website and the policy documents of the case university, helped to assemble the international efforts that the case university has made. However, these international activities are like loose jewellery beads and need to be categorized according to their features. This section attempts to organise these loose beads into thematic dimensions of international activity.

5.1.1 Synthesized dimensions of IHE implementation in CSU

Departing from the previous chapter's focus on individuals' interpretations of internationalisation, this chapter maps a "big picture" from the practical perspective of internationalisation based on the data collected from interviews and documentary sources, such as the *President's Working Report* and news and policy documents from the case university's official website. The university's official website helped the researcher to trace the international activity, communication, collaborative programmes or lecturing undertaken in the past years. In addition, it is necessary to articulate the importance of the *President's Working Report* here. The university President delivers a working report every year in the faculty delegate congress, which is held every year within the university. The university President and PC Secretary report on the university's work and plan, and to listen to the teachers' voices commenting on various aspects of the university. This report records the work the university has done in the past year and the working plan for the following year. It is also a type of policy guiding document for university development in practice. The *President's Working Report* and other documents from the university official website worked as triangulation, supplementing and verifying information from the interviews. Both the interview data and the national and institutional documents are used in the process of analysis.

The specific work and activities that the case university undertook for internationalisation are summarized on the basis of the participants' perceptions and documentary sources. All the specific work is synthesized, indexed and coded (see Appendix 5, 6 and 7). These international practices are finally classified into nine categories, *communication, cooperation, academic activity, localization, construction of the faculty team, international student education and management, international*

office, mobility and *achievement* (See Table 5.1).

Table 5.1 Dimensional Matrix of IHE Implementation in the Case University

NO.	Dimensions	Implementation
1	Communication	Academic communication (e.g. guest lectures) (home based)
		Creating and maintaining good relationship with top Chinese and foreign universities and setting up research team
		International alumni contact
		Regular internet meeting with foreign partners
		President-led term visiting foreign universities [outflow mobility]
		Ss communication (home /overseas based) [inflow and outflow mobility]
2	Cooperation	Research cooperation with foreign peers [inflow mobility]
		Collaborative programme with foreign university sending students abroad [outflow mobility]
		Collaborative running school programme with foreign university
		Cooperative application EU programmes
		Foreign company fund scholarship for TCM
		Team-based research in foreign university [outflow mobility]
		Substantial research communication and cooperation with the foreign university
3	Academic capability	Ts academic activity (participate international conference/participate contest/exhibition)
		Foreign language skills
		International forum
4	Localization	Apply for Confucius institute [Cooperation]
		Bi-lingual course
		Use foreign textbook and foreign teaching methods
		Lead Ss to visit international exhibition and participate international competition
		Returning Ts deliver lecture sharing their experiences
5	Construction of the faculty team	Brainpower project (Employ foreign staff/experts/TS with international education background)
		Encourage Ts to have their own studio and increase practical experiences and apply to the classroom
		fund for TS professional development (e.g. teachers who teach international students)
		President overseas training
6	Foreign student education and management	Enrol international students (FT/PT/Short term) [inflow mobility]
		Inspecting international student's class
		International education centre: International Ss management and education
		Academic staff meetings for international student education to meet their needs
		International Ss training [inflow mobility]
7	International office	International office supportive service for international visiting & communication (home & abroad)
		International office supportive service to foreign teachers
		Organizational structure change (international office became independent and clarify responsibility of each division)
8	Mobility	Make policy to encourage young TS going abroad study (short term)
		short term visiting (home based/overseas)
		Ss mobility (collaborative programme for credit transfer/degree/self-funded/for research with TS)
		Ss mobility PG programme to nurture 2 Brazil SS each year.
		Ts go abroad for research
		Ts mobility – teaching abroad
		Ts mobility (national/provincial scholarship)
		Ts mobility (research programme)
		Ts mobility for degree or certificate (Master to PhD) (national/governmental/organizational/institutional /personal programmes)
		Ts mobility - recruit foreign Ts
9	Achievement	Rewards (advanced university in international communication and co-operation)
		Research, teaching, graduates etc.

The presence of each dimension in the implementation matrix indicates a broad range of features that the case university has engaged within internationalisation and demonstrates the orientations that the case university has prioritised in practice. These dimensions, to some extent, can reflect the self-improvement orientation in the academic aspect, such as teaching, learning, research and staff professional development at an international level. The following sections discuss each of these practical dimensions of international engagement at CSU in more detail.

Communication

The first dimension is relatively straightforward and is the dominant method of IHE implementation, according to the faculty participants. Some Chinese scholars also use the term "exchange" to mean "communication" in terms of English and Chinese language translation. To avoid ambiguity with the phrase 'student exchange programme', this study uses "communication"; as the term "exchange" cannot fairly and completely interpret the meaning of "communication" represented in this context. Communication not only refers to the exchange of students and information, but also means maintaining international friendships and preparing for future collaboration. In the analysis of the meaning of IHE in the case university, the institutional function perception also identified that the activity aspect of international exercise was the dominant orientation in the case university. International communicative activities with foreign HEIs, peer scholars and students were considered by the participants as the fundamental segment within the concept.

Communication and cooperation featured as the predominant attribution in this study. Specifically, the communication dimension in this case study refers to a range of academic activities and contacts with foreign HEIs or academic peers involving

knowledge and emotional connection. The contacts and connections are sometimes related to interpersonal contacts and concerns for future cooperation. In terms of the specific type of communicative activities, these can be categorized into several types: inviting foreign academic staff for lectures (FT-2, -9, -12), maintaining friendship with foreign universities (see FT-16), organizing summer schools and welcoming foreign universities (see FT-8), and setting up international alumni contacts (see FT-6) (see the following examples from interviews).

> *"We invited foreign peers and scholars to our university and presented lectures; we also established good relationship with other top Chinese universities and share their international resources" (FT-2, -9, -12);*

> *"We have cooperated with X country for years and organized X-X Forum in both countries five times. Based on this cooperation, we applied for international researches funding together" (FT-16);*

> *"Last year, a foreign student delegation visited our university. We organized a range of activities for them… In recent years, we have had a few research teams visiting foreign universities for communication and exchange" (FT-8);*

> *"In 201X, we organized an alumni activity. We invited our alumni back to university. Some of them had had influential achievement in their area and some of them gained international awards. We asked them to give lectures to the students. It encouraged our student a lot" (FT-6);*

According to the participants' statements about international implementation, the communication dimension addresses interactions with HEIs or individuals at the international level. These international activities and programmes focus on and support the teaching, learning and research aspect of institutional functions. The primary motivation for this international communication is related to the impact of the external global environment on higher education (see FT-10).

> *"From the 1990s to 2000s, we were very active in international communication.*

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We joined in a lot of international and national programmes launched by World Bank, British Council and other NGO organizations. A lot of our staff were sent abroad, for instance, Britain, America, Australia, New Zealand and Singapore for professional training or master degree. Lots of our staff gained master degree as a result of these opportunities. In recent years, some of our staff participated in international conferences" (FT-10)

Early international programmes and communications were not actively launched by China itself, but by foreign organizations and HEIs; however, international higher education has been thriving since then. This is why some participants believe that IHE is inevitable and that its predominant purpose is to enhance educational quality and broaden the scale of institutional functions from national to international and intercultural levels.

Cooperation

Cooperation and communication were pointed to as key internationalizing aspects by the faculty participants . the cooperative dimension mainly refers to substantial collaborative programmes and activities with foreign higher education institutions or organizations. Compared with "communication", cooperative programmes and activities normally involve substantial achievements, products resulting from research, or the signing collaborative agreement for action rather than just proposals. The cooperation dimension in the case university includes inviting foreign professors for medical research, collaborative programmes with foreign universities for nurturing undergraduate students (1+3/2+2 Model) (see FT-2), student exchange programmes (see FT-3 and FT-8), establishing a Confucius Institute (see FT-8), international forums, and team researching and teaching in foreign universities (see FT-8 and FT-16).

"We are approved by MOE for a joint programme with a German university. The teachers will be recruited from Germany and our students will study in German in the last 2 or 3 years" (FT-2);

"A couple of students on our university's collaborative programme were positive changed by their experiences" (FT-3);

"Two Brazilian postgraduate students were supervised by our staff in terms of the joint programme with a Brazilian university" (FT-8);

"Years ago, we started to prepare for a Confucius Institute application. Last year, it should have been approved, but failed. This year, we applied again and it is very promising to win. It will be a great event if we are successful. It will accelerate and expand our international cooperation with other foreign universities. We also have built up a collaborative research centre and laboratory with American universities" (FT-8);

"Last year, we signed a cooperative agreement with our sister university on medical research" (FT-16)

Cooperation or international programmes are considered to be the key form of internationalisation by participants in this case university. According to the interviews, the case university and most of its colleges have tried to set up international relationships with foreign universities. However, due to the case university's ranking and the international reputation, it has limited international resources, including finance and human resources. This causes the university to have less contact and connection than "211/985" Project HEIs. The main channel for cooperation thus relies on staff who have worked or studied abroad before. Normally, they contact their supervisor or colleagues and invite them to China for various academic-oriented cooperation and activities. This approach to seeking cooperation, however, is sometimes not very effective.

"We tried to contact foreign universities for joint programmes, but failed. Because of our ranking and position in China, they only prefer to work with 211/985 HEIs" (FT-9);

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The level and ranking of CSU becomes an obvious barrier for the case university in seeking further development of their international engagement and enhancement of academic capability. Chapter 1 has briefly introduced the research context from global, national and local perspectives. From the national perspective, the state has taken a series of actions to significantly support a certain number of high quality HEIs, which are called 211/985 Project HEIs. The aim of these projects is to strengthen a number of H and key disciplines as a national priority, and to found world-class universities. These institutions are funded by the state every year. The fund can only be used for international education development and discipline development. It offers them a golden opportunity to develop internationalisation in the right areas. For those who are non-211/985 Project HEIs, it is very hard to participate and to develop themselves in this global era. Their level and ranking impact regular HEIs mainly in, two aspects – the funding and the reputation. The participants point out that

> *"we do not have any superiority as 211/985 Project institutions with great state funding to develop and expand international education" (FT-4);*
> *"we do not have state support for IHE. It is not the priority of our institutional development strategy" (FT-8);*
> *"most foreign HEIs prefer to cooperate with 211/985 Project institutions" (FT-9);*
> *"we are the third level of HEIs and do not have plenty of teachers who have an international education background and international views" (FT-12)*

There are two main types of higher education systems worldwide: state-oriented system and market-oriented systems (Clark, 1983). The market-oriented higher education system is coordinated by market interaction. The HEI funding is from various sources, for example, in the form of tuition fees, alumni gifts, grants or research contracts (Liefner, 2003). While, the state-oriented system is coordinated by governmental planning. The government allocates funds on the basis of the previous

year's budgets and adds or deducts incremental changes (Ewers, 1996). The quality of teaching and research and performance are also used to determine to the funding allocation. For example, in England funding from central government is allocated by the Higher Education Funding Council for England (HEFCE). The mainstream quality-related funding is allocated selectively according to quality (HEFCE, 2014). The better quality the HEI is, the more funding the institution can get. Nowadays, most HE systems in European and American countries employ features of both the market-oriented and the state-oriented. The quality of teaching and research becomes much more important than before. It can directly impact the ranking at national and international level. This ranking can in turn influence the student selection of the institution they are going to study at, which will affect one of the key resources for institutional income.

In the Chinese higher education context, the governmental budget is, not the only but is the main resource for the state or public institutions (Song, 2012). The allocation of the budget is greatly determined by the national planning. The higher level or top ranking HEIs are allocated much more funding. Taking one 211/985 Project institution and one non-211/985 Project institution as an example, there is a budget difference of 20 times between Tsinghua University, which gets the most research budget amongst the 211 and 985 institution (2.775 billion RMB), and Southwest Petroleum University, which get the most research budge amongst the non-985/211 institutions (0.12 billion RMB) (Xinhuanet, 2014). In terms of institutional internationalisation, the budget can be used for staff recruitment, developing international contacts with foreign university, sponsoring Chinese staff's professional development in international research or overseas training, and supporting students going abroad for the exchange, study or visiting.

The level and ranking of the institution not only impact on the amount of funding, but also on the reputation of the institutions and the cooperation with foreign HEIs. At present, more and more foreign universities know about China's 211/985 Project so they prefer to collaborate with 211/985 Project institutions rather than non-211/985 Project institutions. For example, one of the participant states that

> *"years ago, my colleagues and I went to one Canadian university, where I once worked and we wished to collaborate with them. I once worked there. When we expressed our willingness, they politely refused our proposal. Why? Because we are not 211/985 Project institution. It does not mean that we do not want to do something for internationalisation. The level and ranking of our university restricts us from doing it" (FT-10)*

Foreign universities also prefer to give offers to Chinese students from 211/985 Project institution in the selection of international student recruitment. For example, Manchester University requires that for some master and research courses they only enrol Chinese students who graduate from 211/985 Project institutions. In addition, because of their reputation, the education quality and advanced education facilities, 211/985 Project institutions not only attract Chinese graduates, they also attract the foreign students who come to China for higher education. As a result, the foreign students are much more diversified in these 211/985 Project institutions.

It has been identified in the previous that the main recourse for inviting foreign scholar peers relies on the staff's personal relationships. This source is very limited and not reliable for sustainable development. This issue probably could be coped with as participant FT-2 recommended:

> *"We can start from small things/units and then expand to bigger things and carry them out throughout the whole university." (FT-2)*

Frankly speaking, it is quite difficult for the case university to change and enhance its

international competency in a short period of time. Doing small scale things and undertaking some pilot programmes from the stronger colleges would probably be helpful and practical for the case university.

International communication and cooperation are not separated phenomena or dimensions, but closely linked with the university's level, ranking, reputation and strength. It is developed on the basis of mutual understanding, common interests and equal position.

Academic capability

Academic capability refers to the comprehensive ability that an institution has in the development and enhancement of its academic capability, such as the ability to organize or participate in international conference, set up international laboratories or academic associations, and host international research projects, events and activities (see FT-16 and FT-17). The academic activity in this dimension is slightly different from international activity based on communication and cooperation. It is determined by several factors, for instance, influential academic staff and sufficient support in terms of policy and finance. The existing limited number of sustainable academic achievements at CSU (e.g. establishing the medical laboratory and the international Forum) have relied on a few influential academic staff of the case university.

> *"We have cooperated with X countries for years and organized X-X Forum in both countries five times. Based on this cooperation, we applied for several international researches funding together" (FT-16);*

> *"We organized XXX international conference in 201X and invited many foreign scholars who are influential in their profession. It is also a provincial programme. We gained a lot of support from government" (FT-17);*

Although the case university aims at enhancing academic capability through the

international approach, according to the participants there are two difficulties or barriers in practice – the staff's heavy workload and foreign language proficiency. As participant FT-13 complains, most staff carry heavy teaching workloads, which does not allow much time to participate or engage in the research and conferences at the international level:

> *"Honestly, it does not mean I do not want to participate in the international academic conference…the loads of teaching hours and the loads of marking students' homework and examination paper… the family issues also take me much time. I am already tired dealing with these issues. It is difficult for me to do extra research" (FT-13)*

Another reason is the foreign language proficiency. Foreign language skills and competency is one of the important skills for both personal and institutional internationalising. Since the beginning of modern history in the middle of 19th century, learning foreign languages has become "one of the basic means for China's survival", for example, English, Japanese and Russian language (Yang, 2009, 156). Nowadays, English language has become medium language widely used in the world. According to Yang, eighty percent of all information stored in the world's electronic retrieval systems is in English (Yang, 2009, 157). In China, English as a compulsory subject has been written in national curriculum in primary school, junior higher school, senior higher school and higher education, which means that students start to learn English at the age of 7 on average (Bian, 2007). However, the learning outcome is not very satisfactory. Taking University English as an example, general English is the main purpose for the college English teaching since 1980s. However, after decades of innovation, general English cannot meet the graduate's needs for the professional knowledge in this global environment. Chinese scholars and students who go abroad have realized that the English language they learned cannot support them enough for

life and study. For instance, the participants in this case study claim that

"in the process of contacting foreign peer universities, the most difficult thing is the language. Our English skills are not good enough for professional communication" (FT-5);

"in the first month when I was a visiting scholar in Canada, I could not understand what the supervisor was saying" (FT-6);

"the reason that our staff was rejected by the collaborative programmes is that their English is not proficient for studying or working in a foreign country" (FT-8);

"English is one of the key factors that restrict a certain number of students going abroad. Lots of people thought money is the most important factor. However, even though you have money, it is not necessary that you can study abroad. Many of my classmates and friends were not able to go abroad for further study because of failing IELTS." (FTSS-2)

This is a common problematic issue in Chinese higher education, which urgently needs to be solved. Cai (2004), one of the ESP (English for Specific Purpose) initiatives, claims to rethink the college English teaching curriculum and promote ESP as the college English teaching target. However, it still has a long way to go to carry out this idea nationally. Although in the case university, there are some innovative actions for English language teaching, such as setting bilingual professional courses, the result is not very good. All academic staff have learned English since at least junior high school, they are still unable to use English language proficiently in academic speaking, writing and listening. Most international activities and conferences require the use of English. To most staff, having to use a foreign language impedes them participating in or hosting international conferences or occasions. The shortage of qualified and experienced staff restricts it in practice. As one of the participant says that

"we have tried to teach professional knowledge in English, and we do recruit

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academic staff with international education background. However, their English skills and proficiency does not qualify to them to speak throughout the entire lecture. I have observed some classes where some lecturers, who teach foreign students, just translate the handout projected by PowerPoint and cannot speak fluently in the class" (FT-2);

English skills and competency indeed is a crucial barrier in the development of international communication and collaboration. It restricts the depth and breadth of institutional internationalisation. The methods of how to solve it will be another important project in China.

Localization

Localization in this study is defined as a process of adapting and adopting the advanced knowledge, technology or ideology of other countries, cultures and regions to a particular context. This stresses the impact of international engagement or practices on the local students and staff in the case university, and their reactions to international engagement. In addition, it also refers to any effort that fuses Chinese culture and tradition with foreign culture and knowledge in the process of the university internationalising. In this case study, it includes applying for the Confucius Institute, setting up a bi-lingual course, using original English textbooks and foreign teaching methods, encouraging student participation in international activities and competitions, and delivering lectures by staff who return from a foreign country.

"We offer some bi-lingual class in some professional courses using original English books" (FT-1 and FT-5);

"When I was in Canada, I noticed that the teaching method of 'module' method is very useful in teaching. So I adapted them in my teaching after coming back" (FT-2);

"The 'problem based learning' method is used in our clinic and teaching. This method is brought in by our teacher who learned it from a foreign university"

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(FT-9);

"Years ago, we started to prepare for Confucius Institute application…This is helpful in promoting Chinese culture abroad" (FT-8);

The western strategy of "internationalisation at home" (Wachter, 2003, 5; Knight, 2008, 14), which concerns the vast majority of students who are not mobile or not exposed to intercultural learning and international experience, can also be considered as a kind of localisation. In China, localisation involves both the attempt to internationalise Chinese students who are not able to have international experiences as well as to promote of Chinese culture to foreign countries.

Construction of the faculty team

This dimension of IHE practice, related to teaching, is also an aspect of the view that the meaning of IHE is related to the institutional function. It emphasizes the importance of teaching and teachers in international education, and focuses on the improvement of teaching quality and a teacher's professional skills. Specifically, this includes funding staff for professional development domestically or overseas and employing foreign and Chinese staff who have overseas education or research experiences (see FT-8, FT-16, FT-9, FT-10, FT-12 and FT-15).

"The Office (International Office) sponsored all the teachers who teach foreign student Chinese language to go to Beijing for professional training" (FT-8);

"The college offered training course to foreign teachers on TCM in China" (FT-16);

"Based on the collaborative programme, four of our teachers go to foreign countries to study PhD courses" (FT-9);

"The ATTC programme helps our staff get master degree and training…… some of our teachers successfully received governmental scholarship to be a visiting scholar in foreign countries" (FT-10);

"Next step, we plan to apply for national fund and support for some young and talented teachers to go abroad for professional study" (FT-12);

"We recruit teachers who have international education, working or research background" (FT-15);

In terms of foreign staff recruitment, it is not very satisfactory in terms of the faculty team. Although the case university has recruited foreign staff for academic courses, they do not contribute a lot to the development of the disciplines. Most foreign staff, as one interviewee (see FT-10) said, are recruited as language teachers, especially for English-speaking courses. Only a very small number of foreign staff contributed to other academic subjects or research (see FT-3 and FT-7).

"we indeed recruit foreign teachers. But most of them are language teachers. They teach English Speaking course, which focuses on the enhancement of student's speaking skills. Only a couple of foreign teachers teach academic course. As the matter of fact, recruiting foreign staff is a hard job. Although we post our requirement of the foreign staff, such as the degree, teaching qualification and working experiences, it is difficult to recruit an ideal qualified teacher, actually. There are several reasons, for example, the salary and our university location" (FT-10)

The low salary and undesirable location of the university gets a low response from the university's recruitment advertising. Therefore, the case university has had to lower the requirements demanded from foreign staff in order to recruit. This would undoubtedly impact upon the educational quality.

Foreign student education and management

The "international student" is an international symbol in an institution, and is at the centre of a range of services, educational activities and management for foreign students. Compared with the number of Chinese students, the number of foreign student in the case university is very small, around 170 full-time undergraduates and

around 30 graduates (President's Working Report). The International Office is the main structure in charge of the enrolment and management of foreign students in terms of education and services in everyday life. The Office also works with partner agencies to recruit foreign students, organizes various programmes such as induction, Chinese law and regulation, fire protection knowledge, Chinese culture, President and foreign students' meetings and international festivals. The manager and faculty also inspect foreign students' classes for their attendance and their dormitories for sanitation. The Office also has policies and regulations for inspecting academic staff's teaching issues.

"Some of our teachers are in charge of teaching foreign students" (FT-3);

"We have regular schedules for the first year foreign students. For example, we host lectures and activities for them to introduce our city, the security issue, living environment and food. We also introduce the courses, evaluation and discipline in the class. We have faculty in student's accommodation. They can ask the faculty for help if they have any problems. Last year, the President met the foreign students and listened to their voices about their study and life" (FT-7);

Service is also a crucial supportive dimension with rich interpretations in the international education. It refers to many aspects of services in the entire process of institutional process (see Figure 5.1). It is necessary to emphasize that the service in this discourse is different from the "public service". Service in the education and management refers to the specific and detailed work for the student, faculty and the administration of the university. "Public service" is one of the institutional functions contributing to the society and economy.
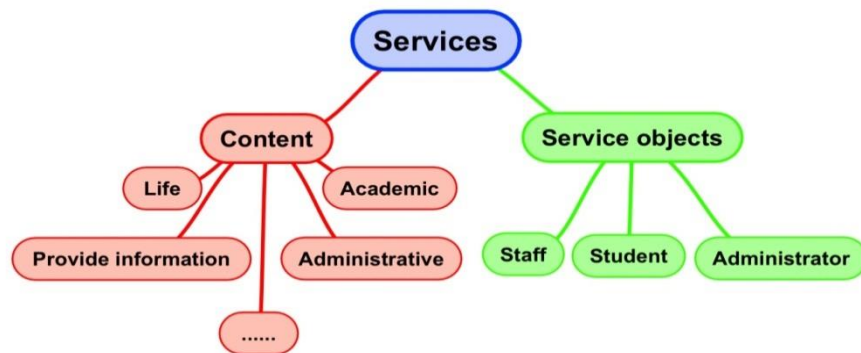
Figure 5.1 International Services

In terms of service objects, it refers to the services for the students, the staff and the administrators and includes services for everyday life (e.g. accommodation, food et al.), academic needs (e.g. research, staff professional development and training, organizing lectures et al.), administrative needs for example the purchase of office and teaching facilities, international student administration, preparation for foreign HEIs visiting and so forth. In addition, the provision of international information including that for international conferences, cutting edge science and technology and international collaborative programmes and so on are all part of the international services.

In terms of foreign student education and management, there are some voices recommended the reinforcement of international education quality:

> *"I think, one of the recommendation of international education is to enhance the educational quality, expand the number of foreign students, rationally and reinforce the foreign student management …… we have thought and done some work to expand the scope of the nations of foreign students. Our recruitment task has also move to the developed countries to attract more student from USA, Japan or Germany; we offer TCM course and Chinese language course; we have also been to South Korea for the international education exhibition …… Our university is unable to compete with metropolitan universities. We are still in the developing stage. There is a 200,000 foreign student gap in our province.*

Although the state encourages HEIs to recruit foreign students, it must influence the education quality with the increasing number of foreign student. I think, the central task will move to the quality issues, just like the national massive higher education in China" (FT-7)

This recommendation addresses the educational quality and management of foreign students and the overall international education. It also looks at the future of international education. This recommendation is coincidently the same as one of the rationales of this study – to focus on the quality issue of international education. At present, the state encourages more and more foreign students to come to China for study. The number has dramatically increased from 2000 to 2014. According to the official statistics from MOE, the number of foreign student coming to China for degree programmes has increased from 13,703 to 163,394, which means the number of foreign student has been increased to nearly 11 fold when compared to 2000. The *Outline* has claimed that the number of foreign students coming to China would reach to 500,000, including for degree and non-degree purpose. Facing the boom in foreign students coming to Chinese HEI campuses, the quality and management issues should be drawn to the attention of the institutions. The studies in relation to the curriculum and the courses for foreign students should get started

Foreign student education and management is a comprehensive and serious issue which requires significant attention and efforts by the International Office. In China, there is a saying "nothing is trivial when it comes to international affairs". Foreign student education management does not only focus on students' academic teaching and learning, but also includes a range of supportive services for them. Foreign student affairs would impact on the international relationship with other countries (Yu, 2009).

International Office

The International Office is an independent administrative department and the only professional department dealing with international affairs in the case university. It was affiliated to the President's Office before 199X, which means that the International Office was administrated by the Presidents, but after 199X it became an independent sector paralleling with the colleges. It has specialized and professional faculty in charge of the office. Every year, it receives financial support from the University for International Affairs. After the combination in 20XX, the international office was split into two separate branches. One is in charge of international affairs (IA) and another one is in charge of international education (IE). The IA office is responsible for foreign staff recruitment and services to assist them with settling into life in China, developing international communicative and cooperative programmes and delivering international academic activity information. The IE office is responsible for the international recruitment, education and management of foreign students, long-term, short-term training and internship. IA is an administrative sector, while IE is a teaching sector.

> *"International Office becomes independent from President Office in 199X. There are two branches under the International Office. One is in charge of International Education, main for the foreign students. Another is in charge of communicative cooperation and international affairs… The main responsibilities are recruiting academic staff for foreign students and sponsoring them in their professional development… in recent years, the budget for our Office has been increased. Last year we were allocated 5 million RMB. We set our policy to encourage young teachers to go abroad for professional development … we also serve our staff who intend to go abroad for research, work or study" (Director of International Office);*

It emerged from the interviews that the position of the International Office in the process of university internationalising is an issue of dispute at CSU. Most senior

faculty from the colleges see the International Office as the only administrative department for university internationalising in this case university. Colleges do not have the responsibility to develop international relationships; they rely on international office to develop internationalisation for them. As one of the directors of International Office says,

> *"at present, internationalisation has not been popularized throughout the university. Most affairs and work stay at the presidents' level and some senior faculty level. What is internationalisation? How can we do it? Most colleges have not understood it. So this year, we are going to organize a series of workshops for the colleges clarifying and promoting IHE to them" (FT-8).*

In addition, some senior and junior faculties say,

> *"our university has an international office who is mainly in charge of IHE ……as the college, we are restricted in developing internationalisation due to various reasons" (FT-1, FT-2 and FT- 6)*

From participants' words, both the International Office and the colleges are facing a dilemma. On the one hand, although the International Office has finance and responsibility to do international things, the number of its personnel is limited and not sufficient. On the other hand, colleges carry a heavy load of teaching and research and do not have extra funding and any focus on the international dimension of education. This dilemma will be discussed in Chapter 6 on the criterion of "organisational structure".

Mobility

The activity of mobility is normally connected with communicative and cooperative programmes and activities within the university. It is pointed to as one of the "primary prompts in determining whether internationalisation is taking place and is indicated as

a key internationalising factor" (Turner and Robson, 2008, 16). Mobility normally involves inflow mobility and outflow mobility. In this case it often comes with communicative and cooperative activity and programmes, because these activities and programmes are mostly involved with the student and staff moving from one country to another. The mobility can also be divided into teacher mobility and student mobility. Individual mobility refers to a student or teacher (Chinese or foreign) going abroad or coming from a foreign country to the case university. It is also the dominant form of mobility in the earlier stage of IHE. As this research is located at an institutional level, however, individual mobility is not discussed. The mobility in this study is at the institutional level or is organized by the university. The forms of teacher and student mobility, flowing out and flowing in, are presented in Table 5.2 and Table 5.3.

Table 5.2 Teacher Mobility

Mobility	Examples
Outflow	Governmental scholarship for visiting scholar, advanced education, research (international, national, provincial)
	Research project funding (international conference, short-term training)
	International organization funding (in 1990s)
	Institutional programmes for international communication and cooperation
Inflow	Foreign staff recruiting
	Guest lectures
	Research cooperation with foreign professors

In this case university, a teacher has more ways and opportunities than students to flow out for education (a degree), short term exchange, research and professional development. Firstly, they have opportunities to apply for governmental scholarships as a visiting scholar, although the total amount of scholarship is still very small. Governmental scholarships are offered at both national and provincial levels. Places are limited and difficult to gain, and inclined to go to "211" and "985" institutions. Secondly, a teacher can use their project funding to go abroad for academic activities,

such as international conferences and short-term training. Thirdly, as early as the end of 20th century, some international organizations such as the World Bank and British Council, funded a series of projects in higher education in China. At that time, they offered some training to English teachers and funded a few teachers going abroad for a master's degree or English-teaching certificate in Britain and the USA. For instance,

> *"in addition, the teacher internationalisation relied on international programmes for teacher training. One of it is ATTC (Advanced Teacher Training Centre). This is a UK-China collaborative programme. From 1992 to 1996, our university received 6 foreign teachers. All of them are senior teacher training experts. One of them was the Project Manager of IELTS Cambridge English Language Assessment. Relying on this programme, five teaching staff were sent out UK for MA in TESOL. Meanwhile, British Council sent six foreign experts to our college for teacher training." (FT-10)*

Some academic associations also fund projects crucially selecting teachers from around the world, such as Singapore or New Zealand. Fourthly, institutional programmes for international communication and cooperation also motivate some managers and teachers to go abroad.

In terms of inflow teacher mobility, the main way is foreign teacher recruitment. However, it is difficult to recruit professional and qualified foreign teachers. In this case university, most foreign staff are recruited for the position of English language teachers. However, due to the geographic position of the case university in China and non-competitive salary, not many foreign job-seekers respond to the recruitment advertising. Thus, the number of respondents is small and their qualifications are not satisfactory. The second way is guest lectures. The guest lecturers are invited because of personal relationship. For example, as participant stated in the interview:

> *"there is a good thing about encouraging our teachers going abroad. They not only learn new knowledge, but can meet and make friends with foreign academic*

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peers and bring these human resources back to our university. Most guest lectures were invited from this source" (FT-9)

The third way is foreign peers coming for cooperative research. These peers are mainly scientific and medical researchers who normally stay a short time and do not carry out any teaching work in China.

Students also move in and out in the internationalising process (see Table 5.3). Outflow mobility mainly refers to the graduates who wish to obtain a higher degree abroad. There are two ways. One is to apply to a foreign university relying on the case university's international programmes. In this way, the graduates may have some tuition reduction or have a shortcut (fewer requirements) to a foreign university. Another way is to visit a foreign university with their teachers for research. The students moving out this way are very limited and specialize in certain subjects.

Table 5.3 Student Mobility

Mobility	Examples
Outflow	Going abroad for further education (collaborative programme; self-funded)
	Exchange programme/credit transfer
	Visiting foreign university with teachers
Inflow	Foreign student education (full time/internship; UG and PG)
	Activity (summer school; visiting delegation)

The case university was authorized to recruit foreign students in 2007. There are around 170 foreign students enrolled in 2013. Most of them are full-time undergraduates coming from Pakistan and African countries; there are also some postgraduates from Brazil. In addition, there are some foreign students coming for an activity, for example, a summer school or mutual university-visiting.

Achievement

Achievement is a broader dimension which refers to any achievement received due to making efforts towards university internationalising. For instance, in 201X, the university was awarded the *Excellent Institution on International Communication and Cooperation* in the province. (see FT-7). Besides rewards, achievement can also refer to research achievement from teachers and students also the achievement of students in the contests, or excellent international graduates and alumni (see FT-6 and FT-16).

> *"Last year, we received an award as an Excellent Institution on International Communication and Cooperation" (FT-7);*
>
> *"Our students participate some international exhibitions and win awards" (FT-6);*
>
> *"We worked with X University (a European university) on a medicine. The medicine has been manufactured now" (FT-16);*

The achievement dimension reflects the outcomes of the international efforts that the institution has undertaken. It not only summarizes the achievement, but also presents the strength and weakness of the institution.

This section has presented a synthesized description of how IHE is implemented in CSU using a thematic dimension approach. This matrix displays the practical and realistic status of internationalisation in the case university. From the empirical data and analysis of the means of implementation of IHE in the case university, these dimensions also reflect the features and priorities of international education at the case university.

5.1.2 Features of IHE implementation of the case university

The preceding section presented a synthesis of the dimensions of internationalisation

that the case university has implemented based on data from the interviews and documentary sources. These nine dimensions, to the most extent, reflect the status of internationality at the university and its priorities in international education.

First of all, international activities and programmes and student and staff mobility at an international level are considered to be the central format of internationalisation in the case university. According to the data from the interviews and documents, communicative and cooperative activities and programmes are listed at the top of the international efforts. This status of internationality is similar to Arum and Van de Water's "activity approach" definition, which characterises IHE as the "multiple activities, programs and services that fall within international studies, international educational exchange and technical cooperation" (Arum and Van de Water, 1992, 202), and Knight's (1994) earlier definition which identifies IHE as happening at the institutional level.

Chapter 2 presented an evolutionary model of IHE in the Western context (see Table 2.5). This model shows the development of IHE from the primary stage in the 1980s to the deep stage at present. In terms of the international features of IHE at different stages of development, those now characterising IHE in the Chinese case university are similar to the primary and medium stages of the western IHE, in which IHE is featured at the institutional level. These include international activities, programmes, organized student and staff mobility, collaborative programmes or running schools and international research. These features can be found in the *communication, cooperation, academic activity* and *mobility* dimensions in the IHE implementation matrix (Table 5.1). These features verify that IHE in this case university is similar to IHE in the middle stage of the western IHE model.

In addition, these international efforts predominately aim at serving the teaching, learning, research and services functions of the university. In the IHE implementation matrix, the dimensions of *communication, cooperation, academic activity, localization, construction of the faculty team, international student education and management* and *mobility* are related to the internationalisation of teaching, learning, research and services of the university for both Chinese staff/students and foreign staff/students. The dominant motivation for these efforts focuses on the enhancement of education quality and international reputation and competency. Compared with other motivations, the international practices or efforts in the Chinese case university further verify that the academic motivation is the dominant rationale in the internationalising progress.

Finally, the practice of IHE and the interpretation of IHE can be linked together. Chapter 4 described the multiple perceptions of the meaning of IHE in the case university. Each of these perceptions – institutional function, learning and self-improvement, nationalism and platform – can also be found in these nine dimensions. This means that the practice of IHE can impact upon people's interpretation of the meaning of IHE and the meaning of IHE can help to explain the implementation of IHE. The explicit and detailed linkage between the practice and interpretation of IHE is further explored in the next section.

5.2 Discussion: The practice and the interpretation of IHE

The meaning of IHE of the case university is interpreted through five perceptions: as an institutional function, as learning and self-improvement, as a national issue, as a platform to the world, and as a marginal phenomenon. This section explores the links between the major multiple perceptions of the meaning of IHE (excluding the

"marginal" perceptions") and the implementation of IHE in the case university in order to find out how people's interpretations relate to their practice. Findings from this case study indicate that the international dimensions which are prioritised in implementation are largely attributed to people's perceptions of the meaning of IHE. Figure 5.2 presents the links between each perception and the international dimensions of practice.
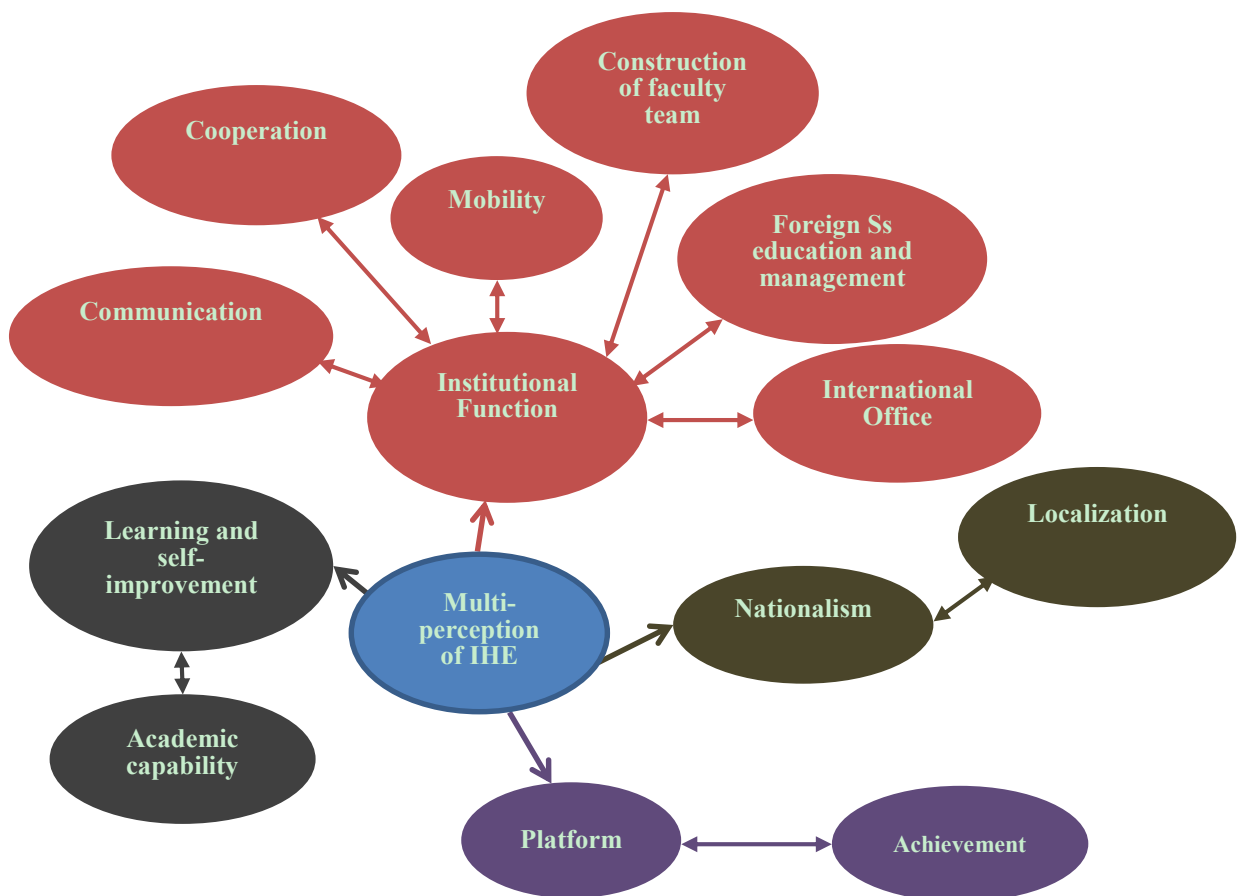
Figure 5.2 Perceptions and Dimensions of IHE

The institutional function perception is the predominant perception among the four stated by the participants. As depicted in the Figure 5.2, the perception of the international function attracts the most dimensions: *communication, cooperation, academic activity, construction of the faculty team, international student education and management, international office and mobility*. The institutional function

perception, as identified in the last chapter, is the most complex definition among the four. It covers the fundamental functions of an institution: *teaching, learning, research* and *service*. The communicative and cooperative activity and programme are considered as the primary segment of internationalisation by the participant. The *communication* and *cooperation* dimensions encompass a wide range of aspects of international activities at teaching, learning and research levels. The communication and collaboration with foreign HEIs can motivate and cause the *mobility* of both the student and the faculty flowing in and flowing out. It is also considered as the most important factor determining whether internationalisation is taking place or not (Turner and Robson, 2008). As a matter of fact, communication, cooperation and mobility are intimate to the teaching/teacher, learning/student and research functions of institutions. The motivation of the international activities and programmes is for the enhancement of teaching quality, student learning and research. *Construction of the faculty team* is a particular dimension related to the teaching/teacher content rather than pedagogy" (Turner and Robson, 2008, 80). The participants of their study recognize the importance of teaching to the international "audience" (student) (Turner and Robson, 2008, 80). However, in the Chinese case university, realistically, teaching to international student is a minor phenomenon. Most students are Chinese. It requires teachers possessing international awareness and experiences and applying them to the pedagogy. Foreign student education and management is related to the learning/student aspect of the institutional function. As depicted above, international students, sometimes, are considered as a symbol of internationality of HEIs. When they are asked the meaning of IHE, the participants of this case study identify that internationalisation is to have more foreign students. In terms of foreign students, except the educational aspect, management is also a key factor supporting their education. In this case it also involves help in familiarizing them with life in China

and cultural adaptation. *International Office* is a service organization for internationalisation in the institution. In the Chinese context, International Office is the key department responsible for the international affairs, including development of cooperation, friendship and partnership at the international level, services for students, teachers and leaders on international issues and the application of policies at the institutional level. It is a comprehensive department in the institution.

The learning and self-improvement perception, although, sharing certain dimensions of the teaching and learning aspects of internationalisation, emphasizes the competency and capability of internationalising. The teacher and students' international competency can directly impact the institution's internationality and strength. This is a response to the *academic capability* dimension which addresses the result and impact of internationalisation on the enhancement of academic capabilities to the case university. International learning and adaptation of other knowledge and technology helps the institution improve overall competency, particularly in academic capability.

The nationalism perception emphasizes the promotion and protection of national and cultural identity. It is the opposite to the adoption of the western model. The practice of this perception is to promote Chinese culture as well as localize the education and culture in terms of internationalisation. Localization does not mean the rejection of a things from another country, region or culture. It focuses on the development of Chinese higher education involving student, teacher and research aspects. The aim is to broaden international awareness and ability as well as to maintain the national identity. In practice the process of localization involves promoting Chinese culture abroad, for instance, the Confucius Institute, learning foreign languages and participating in international level activities.

The Platform perception uses a metaphor to interpret IHE as a platform on which are cast various performances by HEIs worldwide. It is an open medium where HEIs can share their good exercises, adopt and adapt good practices of others and view the latest information and technology. The *Achievement* dimension is a type of confirmation of the good practices. It reflects how HEIs exercise international education and how the result of the practice is evaluated by other HEIs.

From the above analysis of the relationship between the multi-perception of the meaning of IHE and the multi-dimension of IHE implementation in this case study, it can conclude that people's interpretation and practice affect each other (see Figure 5.3). The multiple perceptions of the meaning of IHE are formulated from the practical aspect of international implementation; and the international practices can testify to the definition IHE. This relationship also verifies the theoretical framework of this research that the knowledge should be generated from the practice and the practice is the foundation of the new knowledge.
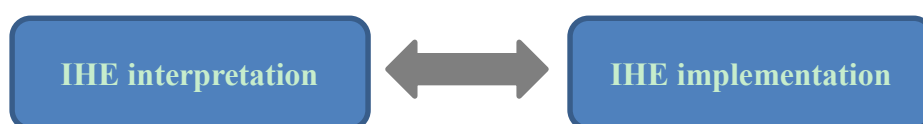
Figure 5.3 Relationship between IHE Interpretation and IHE Implementation

5.3 Conclusion

This chapter has investigated the implementation of IHE in the case university. It synthesized the segmented activities into a matrix illustrating the specific dimensions of internationalisation which are prioritised by CSU, according to themes produced from the data. The features of IHE implementation of the case university were also

identified and analysed in terms of the contextual factors which influence them, the academic rationale of IHE in CSU and the linkage between the interpretation and the practice of IHE.

The multi-dimensional international implementation matrix maps the international outlook of the case university from the practical perspective. The international implementation matrix shows that the dominant efforts that the case university has undertaken focus on the individual mobility, activity and institutional aspects of IHE; for instance, international communication and cooperation and student and staff mobility. This means that IHE in the Chinese case university is equivalent to the status of IHE as described by the literature in western contexts when moving from the primary stage to the middle stage. Linking these dimensions to the four perceptions of the meaning of IHE which were defined in the last chapter, it suggests that the practice of IHE at CSU is coherent with the interpretation of IHE at CSU. The interpretation of the meaning of IHE reflects the practice of internationalisation, and the practice of IHE impacts on people's interpretation of the meaning.

Based on the investigation of the meaning of IHE, the implementation of IHE and their relationship, the next chapter synthesizes the information from these findings and the data to construct a logical and coherent IHE evaluation framework for the case university. It also explores the relationship between these interpretation and practices and the dominant definitions of IHE found in the three major Western evaluation frameworks.

Chapter 6 Finding and Discussion (3)

---- IHE Evaluation Framework

This chapter presents the findings and analysis concerning IHE evaluation criteria and the process of constructing an evaluation framework for the case university. This university has never evaluated its internationality or used an evaluation framework. The result of this analysis is that context-sensitive evaluation criteria were selected on the basis of participants' views from a practical perspective; and an evaluation framework was constructed on a theoretical foundation based on the definition and implementation of IHE generated from this empirical study (comprised of six major thematic dimensions and 35 specific criteria). This bottom-up framework is significantly different from a framework created by hypothesis, consultation or adoption.

Based on the investigation of existing Chinese and western IHE evaluation frameworks and data from the case study of IHE evaluation criteria, this chapter also analyses the risk of adopting or using the same criteria to evaluate internationality across different contexts.

6.1 Findings: Creation of an IHE evaluation framework relative to the case university context

This research aims at composing an evaluation framework for the case university because the case university does not have such a tool or instrument to evaluate their internationality. In addition, the case university has done a lot of work towards its internationalisation, but neither considered assessing the quality issues of international education nor reviewed the fulfilment of its objectives for internationalisation. Chapter 2 has reviewed key existing IHE evaluation frameworks and identified that these have been created by making hypotheses, consulting experts or adopting western criteria in

both Chinese and Western contexts. Very few of them were created by empirical investigation on the site. The validity and credibility of the results are suspect because of the approaches used. This research aims to sort out this deficiency and to set up an empirical study to enable the construction of an IHE evaluation framework for the case university. It is necessary to reiterate that this research does not intend to do any testing or examination in terms of judging the performance of the case university's international efforts. On the contrary, it attempts to compose an instrument that the case university can consider using to conduct an evaluation or assessment of its internationality. In addition, this study attempts to provide a methodological example for other relevant studies which want to do similar research.

This section investigates the question of "what should be evaluated". The evaluation framework was composed from the findings on the meaning and the implementation of IHE in Chapters 4 and 5 as well as data from the interviews and documentary sources. The documents in this chapter refer to national documents as well as documents from the case university, including the *President's Annual Report of Year 2012* and *Budget Report for 2013, International Student Handbook*, the university brochure and news on the university official website about international activities and relevant policies and supportive documents of the policies. The purpose of the evaluation framework is for the self-review of the work that the institution has done and also of how implementation has met the objectives of international education.

6.1.1 The current situation of IHE evaluation in the case university

This section focuses on the basic structure of the evaluation framework and evaluation criteria, which have been designed to evaluate how, in the educational process, the international aspect of education and activities are performed and achieved. The most

senior faculty's reaction to IHE evaluation was that they had never evaluated their work on international education because it is not taken as an essential orientation in their daily work. Moreover, neither the university nor the nation requires them to do this.

"We do not have such kind of evaluation framework" (FT-1, -4, -5, -9, -11, -12, -15, -17);

"I have done some evaluation research with some peers, not on internationalisation, but did not succeeded. Some criteria of the evaluation framework are not applicable in our university" (FT-2);

One of the Directors of the International Office pointed out the importance of international education quality, but the problem is that there is no authentic evaluation instrument of it at the national level.

"The evaluation framework for IHE is necessary. However, at present, there is no national evaluation instrument for IHE. But the work we did for international education follows the instructions from the National Undergraduate Teaching Assessment of Regular Higher Education Institutions. We just do the mid-term inspection and annual inspection." (FT-7)

From the faculty's feedback, it can be seen that the university has never attempted to create any tool or instrument to assess its internationalisation. The International Education Centre, which is one branch of the International Office, inspects the teaching quality within international student education using the criteria of the *National Undergraduate Teaching Assessment.* This evaluation criterion partially assesses the dimension of international students' teaching. The other aspects of international education are not included. During the interviews, some participant also recommend that the same criteria should not be used to assess all HEIs.

"The state puts different supports to HEIs ...we are a non 211/985 HEI and have

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to do the most emergent work…the development of IHE is restricted by MOE. In terms of the environment, we have to be internationalized, but not many institutions are successful. In terms of the evaluation, the criterion should be different between 211/985 HEIs and non211/985 HEIs." (FT-8);

"In Chinese HEIs, it is impossible to offer a good international atmosphere to most of Chinese students…most foreign HEIs prefer to work with 211/985 HEIs" (FT-9);

Participants (FT-8 and FT-9) point out the realistic situation of the case university and indicate that using the same evaluation criteria is unfair to the case university and those of a similar level. Financial support is a crucial factor for institutions to be internationalised. It can help to solve the problems of the shortage of international academic staff and can offer more students the chance to go abroad. In terms of the national plan, the state allocates more resources to the "211/985" HEIs for international competency and international research. The non-"211/985" HEIs, which deliver 86% of regular undergraduate courses, are not capable of allocating more resources to international education, but have to focus on the national or local education. Therefore, it is difficult to use the same criteria to evaluate, at least, these two types of HEIs.

The participants pointed out various dimensions and indicators of IHE that they believe should be evaluated, although there were still some difficulties in the reality and in the practice, especially in the managerial aspect, people's awareness and financial support. This study attempts to assemble the participants' ideas and classify them into an evaluation framework.

6.1.2 IHE evaluation criteria and evaluation framework

Based on the case university's practice at the international level, the evaluation criteria

were synthesized and categorized using the guidance of the multiple perceptions of the meaning of IHE and multiple dimensions of the implementation of IHE generated from this case study (see Table 6.1). It is important to emphasize that this self-evaluation framework is not a repetition of the institutional efforts on internationalisation. On the contrary, it is designed to reflect the institution's international performance and achievements in diversified aspects of internationalisation and to guide the institution in assessing its performance for future work. The evaluation framework is comprised of six dimensions: *university policy, organizational structure, financial support, educational function, specialty* and *others*. This category links both the typology of the perceptions and the implementation of IHE in the case university.

Table 6.1 Evaluation Framework for CSU

Dimensions and Sub-dimensions			Indicators
1. University policy			Supportive policy for internationalisation
			Goals and strategies
			Implementation
2. Organizational structure			Professional staff/faculty
			Responsibility
			Achievement
3. Finance			Income (university financial support, income from external organization, or international education)
			Expenditure
			Effects
4. Educational function including communication and cooperation and mobility dimensions	4.1 Students /Learning	4.1.1 National Ss	Number of student going abroad for exchange
			Number of student going abroad (not) relaying on university international programme
			Number of student participating international activity (academic & non-academic)
			Communication with students of other foreign university
			Platform of international courses
		4.1.2 Foreign Ss (FSs)	Number of FSs
			Academic levels of FSs (UG, PG, short/long-term training/internship, FT, PT)
			Courses for FSs
			Educational management for FSs
	4.2 Teachers/ Teaching	4.2.1National Ts	Proportion of Ts obtaining degree abroad
			Proportion of Ts having work experience abroad of at least six months
			Proportion of scholar visiting/training abroad
			International Ss course undertaken
			International communicative and cooperative mechanism/policy for Ts professional development
		4.2.2 Foreign Ts (FTs)	Proportion of FTs in a unit
			The number of invited lectures
			The frequency (how many times) of FTs/international delegations/teams visiting
	4.3 Manager		Manager's performance and achievement
	4.4 Research	4.4.1 Research project	The number of research project/programme cooperated with foreign HEIs
			The number of independent international research project
			The number of international/governmental fund for international research
		4.4.2 Research activity	International-level conferences/seminars participated domestically and overseas
		4.4.3 Research achievement	The number of conference presentation/published paper delivered abroad (or in the context of international conferences) by Ss/Ts
			The products of the research, eg. medicine, machine, etc.
	4.5 Public services		The participation, contribution and impact on the society and economy
5. Specialty			The specialty of the evaluated unit
6. Others			

The vertical direction of the evaluation framework shows two columns: dimensions and sub-dimensions, and indicators. The dimensions and sub-dimensions were created by generally integrating the range of international activities and issues, thus creating

a multi-dimensional map of international practice for evaluation. The indicator column presents the explicit and specific factors that the institution or smaller units (e.g. college, International Office and other department) focus on in practice. These indicators are then integrated at the institutional level. The framework takes many factors into consideration, such as the level of the subject (e.g. university, colleges, departments and sectors), the diversity of participants in IHE (e.g. student, teacher and manager), and the opening and sustainability of the evaluating dimensions (e.g. *specialty* and *others*). Some of them may not be applicable to some colleges, and therefore evaluators using the tool could select the indicators which are suitable for them and supplement the indicators with their own from the '*others*' dimension. This framework does not restrain a subject's diversity but allows the subject to present its specialty. The following sections further explain each of the dimensions and relevant indicators in the evaluation framework.

University policy

The University policy dimension is a general dimension which may refer to different things in different contexts. For instance, in the IQRP framework, it refers to strategic policy and the policy implementation (see Appendix 1, OECD-IQRP: 11-17); the ACE emphasizes institutional commitment (see Appendix 1, ACE: 1-7); and in the Japanese indicator list, it refers to the statement and implementation of the international mission, goals and plans of a university (see Appendix 1, Japanese Indicator List: 1-6) and to the staff's qualification for implementation (see Appendix 1, Japanese Indicator List: 7). In the existing Chinese studies of IHE evaluation criteria, an "international strategy and plan" dimension is also evaluated (Li, 2005; Chen, 2009).

National and institutional policy are normally taken in practice as the guidelines

directing the institution. National policy refers to the macro guidance which determines institutional policy making (see FT-8).

"If it is a qualitative evaluation, it should evaluate the communicative and cooperative plan and relevant strategy… In terms of the strategy, we have Mid- and Long-term Development Plan. This is consistent with national Mid- and Long-term Development Plan, on the whole, which addresses the internationalisation of higher education. In fact, the Plan is still vague because it is difficult to quantify the international communication and cooperation. We do have a specific plan for the number of foreign student recruitment. I think it is to recruit 500 in 3-5 years" (FT-8);

Institutional policy, on the other hand, is the micro instruction which guides the smaller units, staff and student in practice (see FT-4).

"From the institutional and administrative perspective, first of all, it should make a strategic plan for international development and be aware of the importance of international development as a tendency… as far as I know, we (the college) do not have such kind of policy or plan. But the International Office should have this kind of plan which identifies the goals of each stage… At the institutional level, we also have the Twelfth Five-year Plan for the institutional development, which follows the national Twelfth Five-year Plan. It should indicate the policies and investments of the institution plan" (FT-4);

"The university has set policies to support young teachers (under 35 year-old) for short-term (3-6 months) overseas professional development. The university sponsors part of the expenses for the staff" (FT-17);

The institutional policy is one of the most important supportive factors within the institution. It may involve the working plan and strategy. The clarification of the purpose and goal is a crucial and initial step for the implementation. In the case context, the policy refers to the statement of the working plan, the strategy, the specific regulations for university internationalisation, missions for international education at institutional and sector (e.g. college, department, centre) level, and the national policy

(e.g. *Outline of China's National Plan for Medium and Long-term Education Reform and Development (2010-2020)*). The policy is an important support for internationalisation, it clarifies the objectives and goals of the institution, the outcomes it intends to achieve, and the realistic issues the institution may encounter. Although the participants pointed out that the policy should be evaluated as one of the criteria, in the reality, the participants seemed not very satisfactory with the existing policy. Firstly, there are not enough supportive policies for international education, such as, for staff training and professional development and recruiting foreign scholars (see FT-1, FT-6).

> *"We lack a supportive policy to encourage staff going abroad for international professional development" (FT-1);*

> *"Staff bear loads of teaching and administrative jobs on their shoulders. Most of them do not have sufficient time for research and international professional development" (FT-6);*

Furthermore, the implementation of the policy is not very good. The vague expression and implementation of objectives intervenes in the transmission of the institutional strategies among the staff and students. The staff work passively doing what they are told to do, not seeking to take any initiatives (see FT-2), and the students cannot effectively receive the relevant signal and information from the institution (see FTSS-2).

> *"We (International Office) do not have specific plans or target numbers for recruiting foreign students or scholars. Most of work we do is simultaneous" (FT-8);*

> *"I do not know clearly about the policy for our university internationalisation" (FTSS-2);*

> *"We (the college) just do what we were asked to do" (FT-2);*

This study specifies policy at the institutional level and defines the "university policy" dimension as supportive policies, goals and strategies for internationalizing the university. Participants' voices suggest that besides policy-making, the implementation of policy is another significant indicator. This indicator can test the efficiency of the existing policy. For instance, to what extent the goals and plans have been achieved, how the strategy has been implemented, and how the policy should be improved for next steps. The result of the evaluation of IHE implementation can help the amendment of existing policies.

Evaluating IHE policy and its implementation can reflect and record the progress of the university's internationalisation. Policy is the guidance for international education as well as the guarantee of all international practices. It is considered as the supportive backup in the practice of the university internationalising.

Organizational structure

The dimension of "organizational structure" is evaluated in the IQRP and Japanese Indicator List; however, some of its indicators emphasize different aspects. For instance, the IQRP emphasizes the efficacy of the working process in practice, such as the reporting, liaison and communication system (see Appendix 1, OECD-IQRP: 20, 22 and 23). The Japanese Indicator List, however, emphasizes personnel issues within the institution and the organization (see Appendix 1, Japanese Indicator List: 13-25). The ACE evaluation framework does not mention structural issues. International organizational structure is also evaluated in the Chinese studies in Li (2005), Chen (2009) and Wang (2010); in China, the organization for international issues is often referred to as the International Office.

Based on the data collected, international organization, in this case study, specifically

refs to the International Office. The role of the International Office in practice has been identified in Chapter 5. In the process of internationalisation, the International Office is a central hub in the Chinese case university. It is an independent organization in the university serving the entire university regarding international issues. There is no specific administrator or sector in each college working on international affairs.

In this case, the indicators for evaluating the International Office mainly focus on its services and responsibilities: the working plan, the clarity of responsibility and the implementation of the working plan. However, as one of the Directors of the International Office indicates, the Office does not make explicit plans for a certain number of programmes or for recruiting foreign students each year because there are many uncertainties in practice. But they make efforts to do the job. The *President's Working Report 2012* reported the achievement of the previous year with explicit numbers, but stated rhetorically for the next year's plan:

> *"1. To promote international communication and cooperation.*
> *Reinforce the friendship with foreign university; optimize the distribution of sister-schools; strengthen the cooperation with teachers and student and research of the advanced foreign university and research centre; strengthen the brain-power project by broadening the recruitment sources, attracting advanced scholars for teaching, lecturing and cooperative research; focus on Chinese and foreign graduate nurturing work, promoting student exchange, credit transfer and mutual degree-awarding; promote Chinese language and Chinese culture actively.*
> *2. To develop foreign student education*
> *Strengthen the promotion of recruiting foreign student; expand the number of source nations of foreign student; strengthen the construction of courses and create excellent brand for foreign student education; perfect the management policy of foreign student, improve student living conditions, improve the quality of international education quality"*
>
> *(2012 President Working Report of XXX University)*

Given the ambiguity of the working instruction, this dimension exists mainly to evaluate the work of the International Office. Although there are only three indicators under this dimension, it requires a detailed report from the International Office on the working objectives, working responsibility and achievement.

The evaluation criterion of organisation seems focusing on Internationalisation only, however, in practice, it is far from that simple. As a matter of fact, the work of university internationalisation in practice is restricted by the internal management system of higher education in China and the organization structure. As introduced in Chapter 4, Chinese HEIs apply the managerial system of "the presidents take over-all responsibility under the leadership of the primary committees of the Chinese Communist Party in higher education institutions (in short the president has responsibility under the leadership of the party committee). The complexity of this complicated and special administrative mechanism in Chinese state HEIs, as well as the role of the International Office and its relationship with colleges at the practical level, have greatly impacted on the university's operation of an international education strategy.

The implications of the internal management systems of IHE in China

The president's over-all responsibility under the leadership of the party committee system was promulgated as a law in 1998. Although there are only PC and the president in the statement, the implications for the systems cover more than that. Wu and Wu (2012) interpret the system through four aspects, firstly the PC is placed in the central leading position in HEI, secondly the president is a legal representative and the highest administrative leader under the leadership of PC, thirdly the implementation of the 'PC leadership' relies on the 'president's over-all responsibility' and finally

under the PC leadership, it is also necessary to consider the relationship between the president and the professors who are teaching and the democratic management. He, Yang and Xie (2010) address the fact that the implications of the system should take into consideration PC leadership, the president's over-all responsibility, the participation and supervision by staff representatives, and the advisory body for institutional development.

In terms of the HEI managerial systems in China, the "president's over-all responsibility under the leadership of the primary committees of the Chinese Communist Party" is the internal managerial mechanism in Chinese HEIs, according to the Article 39 of *Higher Education Law of People's Republic of China (1999)* (short for *Law*). In the *Law*, the responsibilities of the grass-roots committee of the Chinese Communist Party and the president have been identified explicitly in the Chapter Four, Article 39 and 41:

- Article 39 In higher education institutions run by the State, the system shall be applied under which the presidents take over-all responsibility under the leadership of the primary committees of the Communist Party of China in higher education institutions. Such committees shall, in accordance with the Constitution of the Chinese Communist Party and relevant regulations, exercise unified leadership over the work of the institutions and support the presidents in exercising their functions and powers independently and responsibly. In exercising leadership, the committees shall chiefly perform the following duties: to adhere to the lines, principles and policies of the Chinese Communist Party, to keep to the socialist orientation in running the schools, to provide guidance to ideological and political work and moral education in the institutions, to discuss and decide on the internal structure and directors of departments of the institutions, reform, development and basic management systems of the institutions and other important matters, and to ensure fulfilment of all the tasks centring on the training of students.

The internal management systems of higher education institutions run by different

sectors of society shall be established by such sectors in accordance with the regulations of the State governing such institutions.

- Article 41 The president of a higher education institution undertakes over-all responsibility for the institution's teaching, research and administrative affairs, and exercises the following duties:

(1) to draw up development plans, formulate specific rules and regulations and annual work plans, and arrange for their implementation;
(2) to arrange for teaching, research and ideological and moral education;
(3) to draw up plans for internal structure, nominate candidates for vice-presidents, and appoint and remove directors of departments of the institution;
(4) to appoint and dismiss teachers and other workers of the institution, keep control of the school roll, and give reward and punishment to students;
(5) to draw up and implement annual fiscal budget, protect and manage the property of the institution, and protect the lawful rights and interests of the institution; and
(6) other duties provided for in the regulations of the institution. The president of a higher education institution chairs the council of presidents or presides over the administrative affairs meetings of the institution, and handles the affairs prescribed in the preceding paragraph.

In terms of the relationship between institutional PC Committee and the university President, the *Law* has identified that "the presidents take over-all responsibility under the leadership" of the institutional PC Committee (*Law*, Article 39). The responsibilities of PC Committee and the president are clearly clarified in the *Law* (Article 39 and Article 41). The PC Committee supervises the president and the president plays the administrative role and is responsible to the PC Committee in the university. Legally, the position and responsibility of PC Committee and the president are distinct. However, in the practice, the relationship between the two is complicated and further causes conflicts between the Secretary of PC Committee and the president. One of the participants, who is the Vice-Secretary of the institution PC now and was the Vice-President before, criticizes that

"this mechanism is like a monster with two head, one is big, one is small. The big head is the SPC, the small one is the president. The big head controls the small one. But all the practical work is done by the small head."

The participants also complain that

"teachers who go to foreign countries for study, training, research or academic activity, must submit the application to the university PC for approval." (FT-8);

These problems are caused by the managerial mechanism in Chinese higher education system and the institutional organizational structure, specifically, the conflicts between PC and President Office, the PC Secretory and the President and the International Office and the colleges. These barriers are explained in the followings:

Party Committee and the university President Office

Legally, PC represents the ruling party "to exercise unified leadership over the work of the institutions and support the presidents in exercising their functions and powers independently and responsibly" (*Higher Education Law of the People's Republic of China*, Chapter 4, Article 39). In the practice, the relationship between the PC and presidents is complicated. The Secretary of PC is the highest leader in HEI leading the entire institutional Communist Party. The president is the highest administrator managing the overall institutional operation. In terms of the administrative ranking, they are "in parallel" (Wen, 2014, 75). In the organizational structure, PC and President Office are in charge of different branches of work. Taking the case university's organizational structure as an example, under the Party Committee there are a series of communist party departments. The teaching, research and administrative departments are under the president's administration (see Figure 6.1).
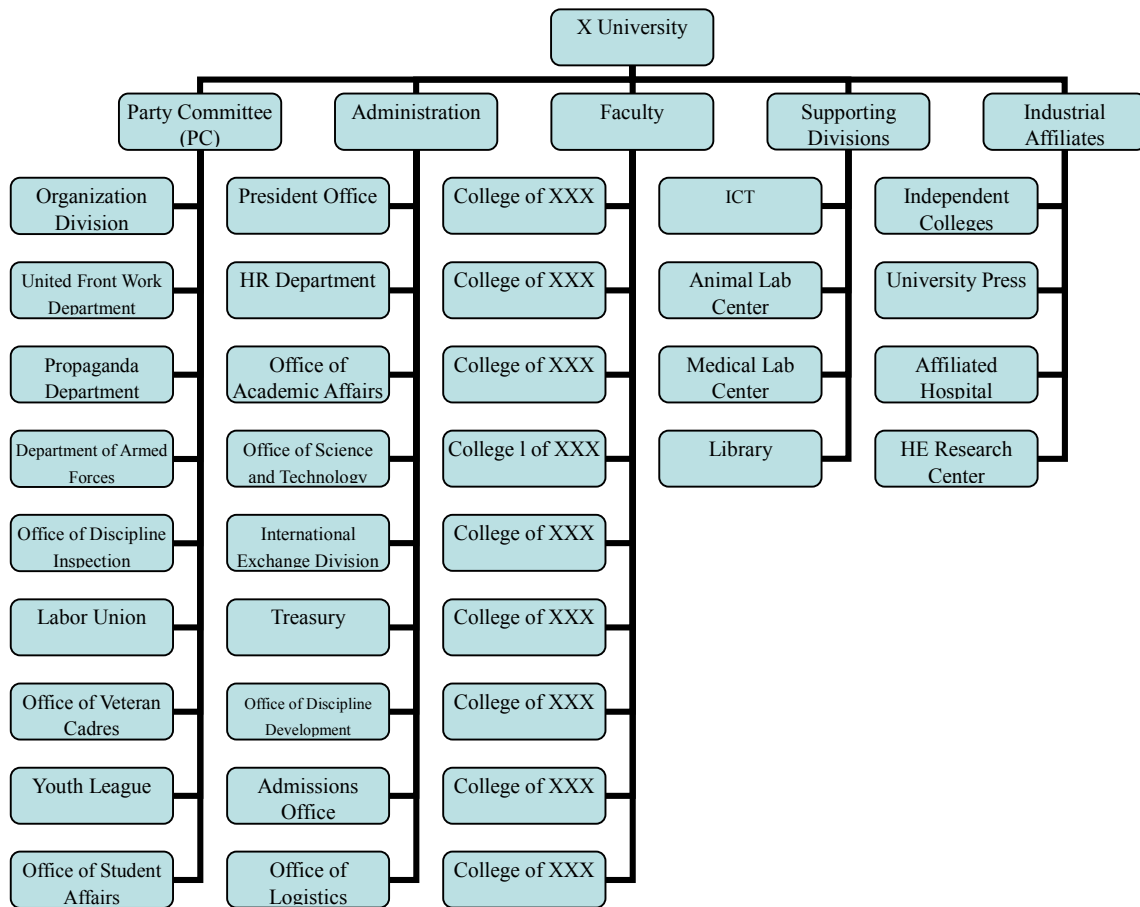
Figure 6.1 Organization Structure of the Case University

However, "the leadership of PC" and the "president responsibility" are not paralleled.

They are of the relationship of "leading and being led" (Yang, 1995, 3). In the Chinese

context, the social hierarchy still affects organizations. Chinese HEI is the typical and

complicated "pyramid structure" with enormous administrative departments (Wu and

Wu, 2012, 67). PC is the tip of the pyramid (see Figure 6.2).
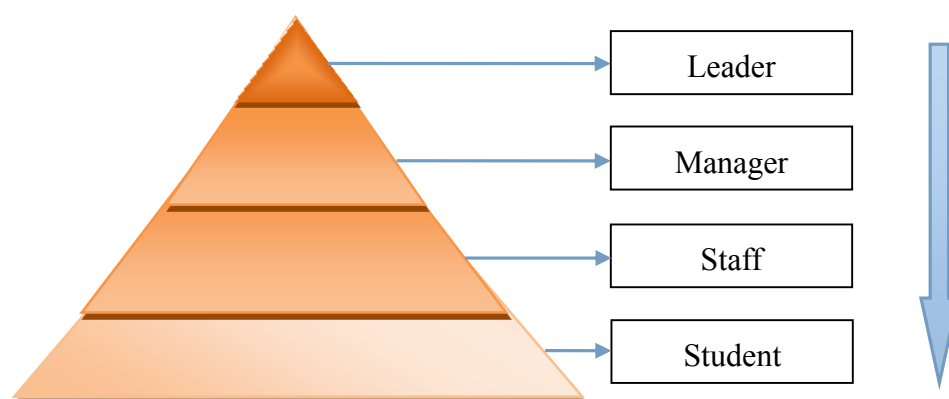
Figure 6.2 Pyramid Power Structure of HEI in China

Secretary of Party Committee and university president

As the matter of fact, it is quite difficult to handle the relationship between PC and the president administration properly in the practical work, specifically the relationship between the Secretary of PC and the president. Theoretically, PC is an organization which provides guidance on ideological and political work in the institution and supports the president's administrative work, "guaranteeing and supervising the implementation of the CPC's (Communist Party of China) policies and the state's educational plan" (Pan, 2009, 157). The president should report the work to the PC and work independently in practice. Institutional PC is the highest decision-maker on administrative and academic affairs, while the president is responsible for carrying out the PC's decisions (Pan, 2009). However, in reality, the PC's decisions not only decide president's administrative exercise but sometimes even restrict the development of the institution.

The PC should be a collective organization, not individually autocracy. However, in practice, it is often misunderstood and it is thought that the PC Secretary is equal to the PC. Thus, it often causes conflict between PC Secretary and the president (Yang, 1995). Moreover, most of the PC Secretaries are from a political background, instead

of an academic background. They do not have expertise in teaching and research. In earlier times, the general secretary of the institutional PC was not a professional in higher education. Sun criticizes this as "the inexpert leading the expert is a universal law" (Sun, 1981, 22). Since the state shifted the emphasis from political struggle to economic development in 1990s, the university president was given more, but still limited, managerial powers based on this system (Pan, 2009). Liu Yandong, the Vice Prime Minister, points out that the PC Secretary and presidents should have high quality in both the political and education, being a politician who knows education and educator who adheres to the politics. Luo and Sun (2011) conducted a survey on the comprehensive quality of PC Secretary of 34 "985" Project Institutions. The result shows that the comprehensive quality of PC Secretaries is lower than the presidents. Their academic background is weak, lacking broad knowledge of the humanities and little experience in scientific research.

The evaluation criterion of organizational structure consists of complicated administrative, managerial and hierarchical issues, which may motivate or interfere in the practical work of university internationalisation. The positive or negative impacts on the university internationalisation are also associated with the leader and manager's international awareness, which is presented in the "educational function" criterion in this section.

Finance

Finance is another crucial supportive resource in the university's international practice. This dimension also refers to different things in different projects, although they use the term "finance". All three examples of western evaluation tools presented in earlier chapters evaluate the financial dimension. The IQRP focuses on the source, efficiency

and allocation mechanism of the financial budget (see Appendix 1, OECD-IQRP: 28-31). The ACE emphasizes the source, provision and financial aid to the students (see Appendix 1, ACE: 12-15). While the Japanese Indicator List focuses on the budgeting structure for departments involved in international activities (see Appendix 1, Japanese Indicator List: 30-31). In the Chinese study of IHE evaluation, the financial dimension refers to the structure of international financial sources, such as the ratio of international research funding to the overall research funding in the university/college, the ratio of the international student tuition fees to the overall student tuition fees and the ratio of international donation to the overall donation.

The financial dimension in the evaluation framework created in this study is used to evaluate the income and expenditure of the money, and the efficiency of the budget of the case university. The income may come from external and internal sources. External sources are very limited in this case university because the non-211/985 HEI do not have national funding for the development of international research or communication. There is a small amount of money coming from international research projects. The main resource is from the university financial budget. In the case university, the budget normally allocates monies to the International Office for international issues. The teaching organizations (refers to the colleges), which need a budget for international research, conference, teaching or inviting foreign scholars for public lectures, can use the budget of the college of its own and ask for the International Office for help. Another main source of income is the foreign students' tuition fee. This income is flexible due to the recruitment of foreign student. The tuition fee for the foreign student in the case university is around 20,000 RMB (approximately 2,100 GBP) each year.

> *"The main income is from the university and the foreign student tuition fee……last year we had 500 million RMB budget from the university…… the*

money is used for the basic operation of the International Office, the accommodation for foreign visitors, the traveling fee for school visits to foreign countries, the sponsorship for staff going abroad for professional development, foreign staff's salary, etc." (FT-7)

The budget allocated to each college covers all expenditure both for international and domestic education. The deans of the colleges and the directors of the International Office have power to allocate the money in different areas for different purpose. For the general colleges, it is impossible to take a big amount of the budget for international education. Their main focus is still on Chinese students' education.

In CSU, the financial support is restricted by the level and ranking of CSU in China and the institutional developing strategy. As discussed in Chapter 4, CSU is a non-211/985 HEI and is ranked in the middle of national league table. On the one hand, there is no extra funding for strengthening the university; on the other hand, CSU's educational strategy put more resources in the domestic education, rather than the international. CSU's singular income, the governmental funding, makes it difficult to carry out international communication, cooperation, programmes for the purpose of research and teaching, because

"to recruit foreign experts, we need pay higher salary than to the Chinese staff" (FT-2);

"we do not have the budget to employ international educational managers" (FT-10);

When IHE is still at the marginal position in the institutional development, the main job of evaluating finance is to see whether the money is made the most use and whether there are any more sources to increase the income.

Educational function

The Educational function is a comprehensive dimension which integrates teaching/teachers, learning/students, managers, research and public services. In the western examples of IHE evaluation, these specific practices may be classified into dimensions of academic activity and programme, curricula, foreign language studies and requirements, research, and staff professional development (see Table 2.6). Within the conceptual framework generated from this case study in Chapter 4, all these indicators have been categorized into the educational function of the university.

The functional perception of the meaning of IHE and the thematic dimensions of IHE implementation provide the groundwork for this evaluation dimension. This is the most complicated dimension of the framework, with three layers of sub-dimensions: the communicative, cooperative and mobility aspects of internationalisation. This dimension also consists of five sub-dimensions: students/learning, teachers/teaching, managers, research and public service. The sub-dimensions of student/learning and teacher/teaching are divided into national and international perspectives, to intend to identify the inflow and outflow directions of the communication, cooperation and mobility. The indicators of these two dimensions are used to evaluate numbers and ratios, for instance, the number of students going abroad via exchange programmes, the number of enrolled foreign students, or the number of teachers who received the national/provincial scholarship of visiting scholar.

In this conceptual framework, the *manager* is taken as a separate sub-dimension of the framework. This is because in the process of interviewing, most participants claimed that the manager has the most crucial role in the university's internationalisation (see the following interview extracts). In a Chinese higher education institution, the leader

and manger's view, particularly the president and the PC secretary, can directly decide the development of the university's internationalisation. This point has been presented in the "organisational structure" criterion.

"The initial factor influencing university internationalisation is the international awareness. It is very weak in our university, especially the managers" (FT-4);

"There are some meetings and activities inviting the president and other managers……foreign students can tell their issues to the manager. It is helpful for improving student's study environment and atmosphere" (FT-7);

"We are delighted that our managers and leaders have realized the importance of international education. It is helpful for us to carry out our work" (FT-8; FT-12);

"Whether we will have this type of policy (recruiting a foreign manager) relies on the leader's international view and awareness…… in terms of awareness, the manager and leader's international awareness determines the development of the institution" (FT-10);

"The administrative sectors, managers and leaders should have international awareness. In the Chinese HEIs, most of resources are obsessed and controlled by the manager and leader. If they do not have international awareness, a lot of work cannot be carried out" (FT-11)

How to evaluate the manager's role in IHE is a dilemma, and how to define and evaluate the manager's international awareness, however, is still especially problematic. In this evaluation framework, the intangible value of the manager's awareness can be reflected by a qualitative report on the substantial working performance and achievement.

"Research" is comprised of three aspects, which are research projects, research activity and research achievement. According to the roles the case university plays in research projects and the extent to which the university participates in a project, research

projects can be divided into cooperative projects or programmes with foreign universities, independent international research projects and organizational or governmental funded international projects. Research activity mainly refers to participating or hosting the international conference and seminars. "Achievement" refers to substantial research products and academic influence, such as a published paper in authentic journals and conferences. These activities include both the teacher and the student.

"Public service" refers to the contributions to the local economy and society. For instance, some scientific colleges can transfer their technology and research results to the local industries or factories aiming at boosting the local economic development in regard to international competence. Some social science colleges, such as those teaching foreign languages, can provide translators or volunteer for international activities in the local area.

Public service is one of the institutional functions. The service that HEIs contribute to is closely related to the local environment which involves various local economic factors, the role of the city in the national plan, the culture, the geography, and the national environment (Kong, 2012). These factors can impact, directly and indirectly on the whole process of an institution internationalising. Higher education fosters graduate and professional human resources for the local and regional economy and society. The objectives and curricula concentrate on regional development, and to meet the demands of developing the economy (Fan and Zhu, 2013). Kong (2012) points out that the regional economic structure decides the local higher education structure. For example, in the intensive growth region, such as coastal region in China, the economy relies on technology which needs more workers with multiple skills and talents, and foreign language skills. Therefore, IHE in this kind of region develops faster and is

more professional. On the contrary, in the extensive growth region, which is mostly in the inland area in China, the local economy relies heavily on the heavy industry for the GDP growth. This type of economic growth relies on natural resources, not the technology. Thus the local higher education focuses on the heavy industry.

This study has introduced the history of CSU. The predecessors of CSU were founded on the base of local economy and the national call for heavy industry development in 1960s. The case university in this research is located in the extensive economic region. It has rich natural mineral resources. Heavy industry makes up the main income of local GDP. From the governmental perspective, IHE is not the most effective action for the local economic development and growth. The quality of education and the rank of CSU is lagged far behind the top universities in China, especially the humanity disciplines. Just as the participants point out that

> *"our institution is restricted by the local policy and economic structure" (FT-7);*
> *"our students are not active in the international activities. Our local social and cultural environment is very weak in the humanities. The local industry emphasizes heavy industries" (FT-10)*

Some of the arts and humanities disciplines in the case university do not get much attention from the institution and the local government. These colleges, for example the college of foreign languages, are very difficult to develop in the institution. They are often treated as a serving organization for the privileged colleges.

The Educational function dimension is thus a comprehensive dimension evaluating most practical-based activities and issues of internationalisation. It also covers both tangible and intangible aspect of internationalisation, the practice and awareness. Most indicators in this dimension must be reported in a numerical format.

Specialty

This dimension is not found in western studies of evaluation criteria. It addresses the uniqueness and competitiveness of the case institution at the international level. It is a fairly broad and open dimension which allows the institution, or even a smaller unit, to present its international competence against others. A few participants claim that

> *"a lot of Chinese universities have lost their specialty. Most HEIs are the same in curricula and student nurturing" (FT-15)*

> *"Chinese IHEs should have our own specialty. We cannot adopt the western model completely. We should merge Chinese culture and traditions and grow it in the process of IHE in China. Let more foreigners know Chinese culture, tradition and knowledge as well" (FT-16)*

These statements demonstrate the perspectives at two levels, the national or cultural level, and the institutional level. It is also relevant to the "nationalism" perception of the meaning of IHE, which concerns issues of national identity in the process of internationalisation. In addition, it emphasizes the advantage of the institution that differentiates it from other competitors. In this case, this dimension aims to evaluate the international competency for IHE in terms of international education.

Others

This dimension leaves an open space for supplementary dimensions that can be evaluated in the case university. This aspect is very necessary in the evaluation framework. Firstly, IHE is a dynamic process. The meaning and the practice of IHE are changeable in relation to social and technical development. Additional dimensions and indicators could therefore be added at different times and in different contexts. This gives broad space to explore additional dimensions and indicators. Secondly, each unit or sector within the university has its own characteristics. The indicators provided

here may miss some information or other aspects due to the limitations of the case study. This dimension can therefore help evaluators supplement and extend the evaluation indicators.

This section has explored the dimensions of the IHE evaluation framework created for CSU on the basis of the analysis of the data that emerged from the interviews and documentary sources used in this case study. The primary aim of creating it is to offer an IHE self-evaluation framework for the case university in order to help it assess the reliability and credibility of its own internationality. The criteria created in this study are founded on the empirical case study using participant's interpretation of the meaning of IHE and the implementation of IHE in the case university. They are not exclusive of other research or other evaluation frameworks or tools. The creation of the self-evaluation framework provokes the consideration as to whether the evaluation tools of one context can be used for self-evaluation in a different context. The next section focuses on this issue and explores the relationship between the evaluation framework generated from this case study and the three examples of the western evaluation tools reviewed in Chapter 2 in terms of different context.

6.2 Discussion: Contextualizing the evaluation framework for CSU

This section revisits the three examples of IHE evaluation frameworks reviewed in Chapter 2 and the evaluation framework generated from this empirical case study in order to explore the contextual factors impacting upon the selection of criteria (dimensions and indicators) in the process of constructing IHE evaluation frameworks. In Chapter 2 the three examples of existing western IHE evaluation frameworks and the current situation of IHE research in the Chinese context have been reviewed. In the review of the western evaluation frameworks two problematic issues in the

creation of IHE evaluation frameworks have been identified. The first is the interpretation of wording, which is likely to lead to ambiguity in different contexts. The same word may refer to different things in different contexts, or the different word may mean the same thing. The second problem is the theoretical gap between the concepts of IHE and the evaluation framework. From the existing literature, it is difficult to find out how the definition of IHE relates to the evaluation framework, and also how the evaluation framework is generated.

According to the findings of this research, it seems that it is inadvisable and risky to use the same criteria or indicators to evaluate internationalisation in different contexts (see Figure 6.3).
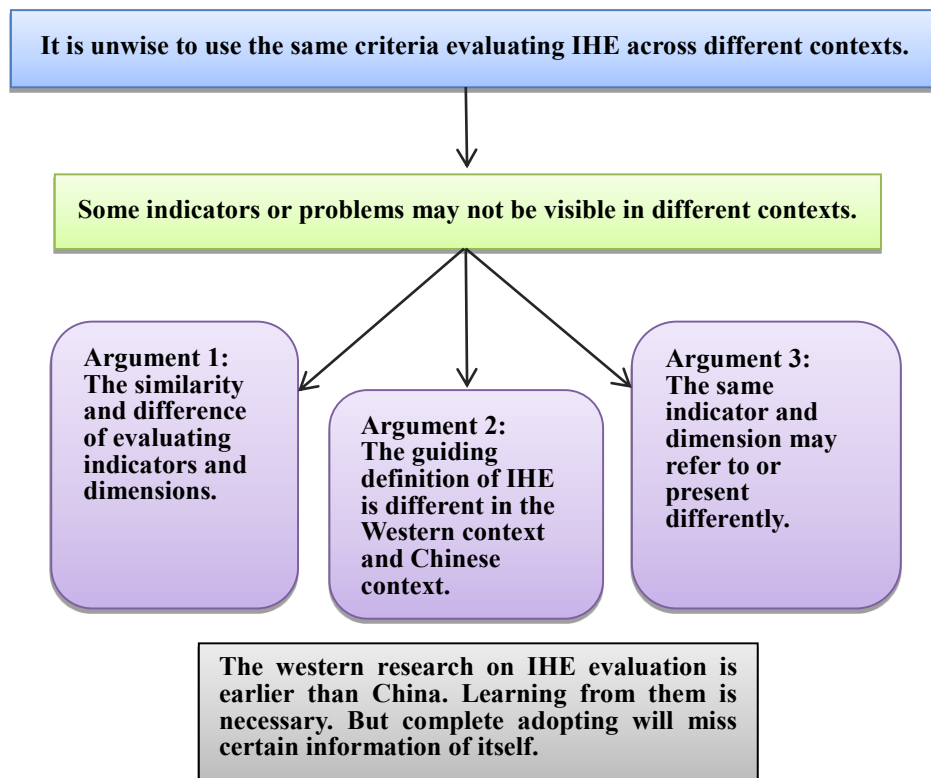
Figure 6.3 Argument Structure on the Cross-context Evaluation Framework

As demonstrated in Chapters 4 and 5, some indicators or problems may not be visible in different contexts. Moreover, some international dimensions are like the coin with two sides, which reflects one thing on one side (context) and different things on

another side (context). Three pieces of evidence emerged from this case study to support this argument. Firstly, similarities and differences of evaluating indicators and dimensions exist between western and Chinese contexts. Secondly, the guiding definition of IHE is different in the western and Chinese contexts. Finally, internationalisation is a multifaceted issue and the same indicator and dimension may refer to different things, or may be present in a reversed way. The following section gives further detail, evidence and explanations to support this argument.

6.2.1 Similarities and differences of evaluating IHE indicators in different contexts

The first argument focuses on the similarity and difference of evaluating indicators and dimensions across the western and Chinese contexts. Table 6.2 codes and compares the evaluating dimensions of each of the three examples of western IHE evaluation instruments which were reviewed in Chapter 2, the IQRP (A), ACE (B) and the Japanese Indicator List (C).

Table 6.2 Three Evaluation Instrument Examples with Codes

IQRP (A)		ACE (B)		Japanese Indicator List (C)	
1	Context (A1)	1	Institutional commitment (B1)	1	Mission, goals and plans of the university (C1)
2	Internationalisation policies and strategies (A2)	2	Organizational structure and staffing (B2)	2	Structures and staff (C2)
3	Organizational and support structures (A3)	3	Financial support (B3)	3	Budgeting and implementation (C3)
4	Academic programmes and students (A4)	4	Foreign-language requirements and offerings (B4)	4	International dimension of research activities (C4)
5	Research and scholarly collaboration (A5)	5	International/global course requirements and offerings (B5)	5	Support system, information provision and infrastructure (Entrance examination, education, housing, multilingual aspects and the environment) ((C5))
6	Human resources management (A6)	6	Education abroad (B6)	6	Multifaceted promotion of international affiliation (C6)
7	Contracts and services (A7)	7	Faculty policies and opportunities (B7)	7	Internationalisation of the university curriculum (C7)
8	Conclusions and recommendations (A8)	8	Student activities and services (B8)	8	Joint programmes with external organizations (academic exchange, internships, and others) (C8)
		9	Use of technology for internationalisation (B9)		
		10	Degree programmes offered abroad for non-U.S. students (B10)		

If these three tools are taken as representative of western evaluation frameworks and the dimensions are integrated into one framework in terms of their explicit focus of evaluation, these dimensions can be synthesized into 13 dimensions (see Table 6.3)

Table 6.3 Integrated Dimensional Framework

No.	Dimensions		Code		
1	Context		A1	---	---
2	Policy, strategy, commitment, plan, goal and mission		A2	B1	C1
3	Organizational structure		A3	B2	C2
4	Staff	Administrative and support staff	A6	B2	C2
		Academic staff	A5, A6	B7	C2
5	Academic programmes		A4	B6, B10	C8
6	Student	Domestic student	A4	---	---
		Foreign student	A4	B8	C5
7	Finance support		A3	B3	C3
8	Research		A5	---	C4
9	Language requirement and training		---	B4	C7
10	Service (life and study) to student, teacher and research		A3	B8	C5
11	Course and curriculum		A4	B5	C7
12	Use of technology		---	B9	---
13	Promotion and maintenance of partnership		A7	B3	C8

It can be seen from the *Code* column of Table 6.3 that some codes recurrently appear in different dimensions (e.g. C2 and C7); some codes from the same instrument are categorized into the same dimension (e.g. B6 and B10 under the academic programme dimension); and some dimensions are not evaluated in other instruments (e.g. A1 and B8). First of all, each dimension has a number of indicators (see Appendix 1), some of them are multifaceted and can be categorized in various ways. For instance, financial support to recruit international students (see Appendix 1, ACE 3.13) can be either categorized under the dimension *finance support* or *promotion* in Table 6.3. Secondly, the same term may refer to different aspects of international practices with regard to the institutional context or the purpose of the evaluation. For example, the dimension *service* (10) is a comprehensive term which can be referred to as supportive service for student learning, staff teaching and research. In these cases, categorizing indicators into dimensions is a cautious but crucial thing. It requires that the researcher

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thoroughly understands the meaning of each indicator and dimension, and clarifies the specific reference of indicator and dimension clearly.

Likewise, if the dimensions and sub-dimensions of the IHE evaluation framework (Table 6.1) for the case university are broken down and re-integrated in the same way, there are 10 dimensions in all (see Table 6.4). It has been pointed out in Chapter 2 and the last section of this chapter that some indicators, especially international activity and programmes, have multifaceted characteristics that overlap different dimensions. In this case study, the international activity and programmes dimesons strongly imply student and staff mobility for learning, teaching and research. Thus, the communicative and cooperative activity and programme dimensions are not listed as independent evaluating dimensions but have been merged into the students/learning, teachers/teaching and research dimensions. In addition, this study addresses the flow in the direction of mobility into and out of China. The students/learning and the teachers/teaching dimensions are split into national and foreign sub-categories.

Table 6.4 Evaluated Dimensions of CSU

No.	Dimensions		
1	Policy		
2	Organizational structure		
3	Finance		
4	Student/learning	National student/learning	Institutional function (communication, cooperation and mobility)
		Foreign student/learning	
5	Teacher/teaching	National teacher/teaching	
		Foreign teacher/teaching	
6	Manager/leader		
7	Research		
8	Public/social services		
9	Specialty		
10	Others		

Comparing the two new sets of the dimensional framework (see Table 6.3 and Table 6.4), it can be seen that there are some dimensions which overlap and there are some unique dimensions in each context. Figure 6.4 presents the similarities and differences between the evaluating dimensions of the western evaluation tools and IHE research and IHE meanings and implementation in the Chinese case university. These similarities and differences are related to the particular contexts of IHE in terms of the historical, cultural, economic, political and social settings in which it happens. These contextual factors can influence the interpretations and implementation of IHE as well as the evaluating dimensions and indicators.

Western Context

-Context
-Language training
-Course and curriculum
-Use of technology
-Promotion

-Policy
-Organizational structure
-Finance
-Student
-Staff
-Research
-Service
-Academic programme

Chinese Context

-Manager
-Specialty
-Others
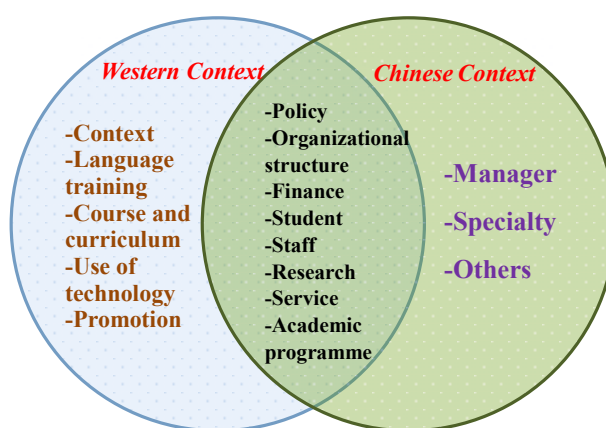
Figure 6.4 Similarity and Difference of Evaluating Dimensions under Western and Chinese Contexts

There are seven common dimensions which are *policy, organizational structure, finance, student/learning, teacher/teaching, research, service* and *academic programme*. The specific dimensions found only in the Western context are *context, language training, use of technology* and *promotion*. The unique dimensions in the Chinese case university context are *manager, specialty* and *others*.

In terms of the similarities, Figure 6.4 presented both IHE evaluation frameworks focusing on the supportive aspects (e.g. *policy, organizational structure* and *finance*) and the institutional functions (e.g. *student/learning, teacher/teaching, research, service* and *academic programme*). These dimensions are more practical and easier to

measure by qualitative and quantitative methods. These dimensions reflect the essential segments of IHE evaluation common to both contexts. However, these similarities also imply differences. For example, although the mobility of the teacher and the student is evaluated in both contexts, the character of mobility is different in the western and Chinese context. In Chapter 4, it was pointed out that there is a great difference in the number of Chinese students going abroad and foreign students coming to China. The outflow is much more than the inflow. This imbalance in mobility impacts the role of international education in HEIs.

From Figure 6.4, it can be seen differences exist in both contexts. If applying the western evaluation instrument directly to Chinese higher education institutions, therefore, the *manager, specialty* and *others* dimensions would not be evaluated. Conversely, the evaluation of the western dimensions of the *context, language training, course and curriculum, use of technology* and *promotion* would not produce a credible result in the Chinese context. The comparison of IHE evaluating dimensions in the Chinese and Western context therefore further shows that the contextual factor can impact the evaluation of IHE as well as its meaning and approaches to implementation. This evidence verifies that simply adopting an IHE evaluation instrument of one context and applying it to another is not appropriate and credible.

6.2.2 The different interpretations of IHE definitions

The second argument focuses on the conceptual framework of internationalisation in different contexts. The multiple meanings of IHE in the Chinese case university context were formulated by empirical study. This demonstrated that while in the Western context, scholars concentrate on institutional functions (teaching, research and social services), IHE means more than the institutional functions in the Chinese

case context. In particular, the *learning/student* aspect was added to the institutional functions. IHE is also interpreted from *learning and self-improvement*, *nationalism* and *platform* perceptions in the case university. According to the findings of this case study, these interpretations directly impact the implementation of IHE in the case university and the construction of the IHE evaluation framework.

In terms of the rationales of internationalisation, the academic rationale is the dominant motivation for the internationalisation of higher education in China. This is different from the dominant rationale for IHE in universities in the western capitalist system competing in the neo-liberal market. As higher education has not been treated as a commodity in China, knowledge and cultural transmission, graduate cultivation and social services are the three key tasks in Chinese HEIs. The history, culture and social system can influence people's understanding of internationalisation. This understanding can impact the practice, and then determine the evaluation criteria.

6.3 Conclusion

This chapter has discussed the key issues which arose in constructing an evaluation framework for internationalisation in CSU. The significance of this framework is that it has been constructed on the foundations of empirical study. The evaluation indicators or criteria were selected from international practices within the university and the evaluation framework was constructed from new knowledge produced about how people within the case university define and implement IHE. This highlights the importance of the fundamental roles of the definition and implementation of IHE in order to obtain a credible and valid evaluation result.

This chapter further discussed the contextualized nature of IHE evaluation frameworks. Using existing evaluation frameworks, similarities and differences in evaluation

criteria among three western examples were analysed. It argues and verifies the risks of adopting the same evaluation criteria in a different context, which is a common problem in both Chinese and Western contexts. Although some evaluation dimensions and criteria co-exist in different contexts, such as the educational functions, the similarities are actually performed differently due to differences in historical, cultural and social context. Therefore, using the same criteria to evaluate the IHE in different contexts could cause unreliability and invalidity of research results.

Based on additional data from participant interviews, the next chapter outlines the barriers that the participants faced in the practice and discusses their recommendations for the improvement of the case university's internationality.

Chapter 7 Conclusion

This thesis has demonstrated that the meaning and implementation of IHE are influenced by economic, cultural and political context and that it is necessary to create methods of evaluating internationalisation that take these factors into account. The low number of context-sensitive studies of IHE in China and the reliance on evaluation concepts and tools that have created in and for Western higher education contexts, means that many specific features of Chinese IHE are not well understood and addressed. This creates problems of adoption of western experiences, knowledge and theories to the Chinese context, which may cause mis-information and mis-guidance in the process of IHE in China. This research addresses these problems by using a case study approach to investigate Chinese IHE, in the imbalanced literature and theoretical study context, between China and the West from the context-sensitive perspective, which is also responding to the urgent need of academic inquiry and in shaping the relations between IHE in China and IHE in the West. This study was divided into two contexts, the West and Mainland China, to explore three concerns: meaning, implementation and evaluation of IHE, in each. Desk research of existing literature was used to examine these in the Western context, while a framework for IHE in the Chinese context was constructed by using empirical case study and relying on semi-structured interview and the public documentary sources.

The study of the participants' interpretations of IHE and the implementation of IHE in one specific Chinese university enables this research to analyse and theorise IHE in the Chinese context. It offered original insights into the multiple perceptions of the meaning of IHE and the thematic dimensions of international practices of the case university. The grounded empirical findings of the meaning and the implementation of IHE provide a good foundation for the selection of IHE evaluation criteria and the

construction of an IHE evaluation framework. The barriers the case university encountered reflect the factors and reasons that this type of Chinese HEI is in trying to internationalise in the context of globalisation. In this way, this research contributes to the lack of empirical and theoretical study of IHE in the Chinese context, and clarifies the relations of IHE in China and the West.

By drawing on a vast literature of IHE theories in both Western contexts as well as the nuanced analysis of the historical and evolutionary pattern of Chinese higher education development, this research offered important insights to the meaning and implementation of IHE in the West and an evolutionary model of IHE in the West and an internationalising process in China. This research has also shown the commonalities and differences of IHE between Chinese and Western contexts, in terms of the theoretical aspect of the meaning and evaluation of IHE, by contrasting IHE as presented in the western literature and the findings of the case study.

This context-sensitive perspective study of IHE in the Chinese and Western contexts significantly highlights the importance of considering contextual factor in the study of IHE and contributes to the exploration of new knowledge of IHE, resulting in the provision of:

• *the conceptual framework of the meaning of IHE (Chapter4);*

• *the international dimension framework of IHE implementation (Chapter5);*

• *IHE evaluation framework (Chapter 6);*

• *barriers that CSU face in the process of internationalisation (Chapter 4, Chapter 5 and Chapter6).*

More significantly, the findings of this research not only expanded the definition of internationalisation in a Chinese context but also illustrated a multi-levelled approach for the study of IHE. This includes national and institutional policy, organizational

structures, material resources and HE financing, educational activities, international relations (co-operation and communication), discipline specializations and university–society relationship. There is also consideration of case-specific factors that cannot be pre-determined by any universal framework. These findings are useful for the case university as part of the institutional self-reflection on IHE as well as being part of an institutional improvement process. In addition, these findings can also enlighten other aspects of IHE studies in the future. In this chapter, conclusions will be drawn as to the significance of this research which are divided into the following sections. These findings not only demonstrated the answers to the research questions and the fulfilment of the research aim, but also presented an original contribution to the knowledge of IHE from the contextual perspective. The limitation of this research also reflected on in the end of the chapter which helps give recommendations for the relevant IHE studies and implementations for the future research.

7.1 Summary of key findings in relation to the research questions

This case study had identified the original contribution to the knowledge of IHE in the Chinese context and the relationship between Chinese and the western IHE. In order to achieve the research aim, the whole research was outlined and guided by the research questions. These investigated the meaning, implementation, evaluation criteria and the barriers for IHE in the Chinese case university. Resulting from this process, recommendations for IHE in the case university were made. This section aims to synthesise and identify the originality and significance of the research findings from four aspects, which also align with the sequence of the integrated research questions: IHE conceptual framework, IHE interpretation and implementation, IHE evaluation and the barriers and recommendations in the Chinese context.

7.1.1 IHE conceptual framework

There are three elements in the western IHE conceptual framework: the rationale, the definition and the defining approach. These elements have gone through a great change since 1980s (Knight, 1994; Arum and Van de Water, 1992; Van de Wende, 1997; Knight, 2003; Soderqvist, 2007; Brandenburg and Federkeil, 2007). The definition of IHE has been through an evolutionary development. Each stage of the evolution has different features. The western IHE definitions and the defining approaches have evolved since 1980s from focusing on simply individuals moving from one country to another, to more organized institutional and national involvement in the activity with programmes and research at an international level (Wachter, 2003). The dominant motivation has also been changed from political reasons to economic ones due to the impact of the global free market. International education has become a commercial tool to solve the governmental funding reductions to the higher education institutions in the western countries, for instance, the UK and the USA (Scott, 1995). These changes of the meaning and rationale of IHE feature in the evolutionary development of IHE in the Western context.

This research did an empirical case study in a regular non-211/985 university in China in order to investigate a realistic situation of IHE in the Chinese context. According to this study, it had found that IHE in this case university is still in a marginal position in the university strategic scheme. The main job is still focused on national/Chinese student education. One of the most significant outcomes of this research was the IHE conceptual framework grounded from the empirical case study in a Chinese university (see Figure 4.1). This maps the presence of Chinese IHE at present as well as the multiple interpretation of IHE in the specific Chinese contexts. The conceptual framework was comprised of three elements which are the same as the western

conceptual framework: the meanings, defining approaches and rationales. These elements identified the perceptions, the features and motivations of IHE in the Chinese context. Chinese IHE is not only understood as an institutional function (teaching, research and services), but also in terms of *learning and self-improvement*, *nationalism* and as a *platform* to the world. These three were distinctive Chinese interpretations and they differentiated Chinese IHE from the western models. This research also found out that Chinese IHE was dominated by academic reason, rather than economic. International activity and mobility were commonly considered as the central formats of IHE here.

The similarities and differences of IHE do exist in both the Chinese and the Western contexts (see Figure 4.3). The similarities, which referred to the teaching, research and services, to some extent could represent the essential segments of IHE, regardless of the contexts. However, although present, these similarities could be performed differently in different contexts. IHE is not a one-way, but a multi-way connection to the other countries. For instance, the international student mobility presented differently in the sending country and the receiving country. The Chinese IHE conceptual framework presented three distinctive perceptions of the meaning of IHE: *learning and self-improvement*, *nationalism* and *platform* perceptions. These three perceptions verified "internationalisation means different things to different people" as well as extending it as IHE means different things in different contexts (Knight, 1994, 7). These distinctive perceptions were related to the historical and cultural impact as well as the global impact on Chinese higher education.

Chinese modern higher education has started in Chinese modern history and developed with the foreign powers invasion since 1840. Over 2,000 years of the feudal Chinese education system was broken up and generally replaced by the western higher

education system. Chinese higher education has been brought in and developed by the great and earth-shaking historical changes in the 20th century. The anti-colonial wars and civil wars aroused a strong sense of nationalism and independence. IHE in this era evolved from adopting the western model to being independent. This period of history, on one hand, reflects the advancement of industrial products and knowledge in the West, which changed the ideology and social system in China. On the other hand, it alerts China to the need to be aware of the state sovereignty in the process of higher education internationalising.

This research not only offered multiple perceptions of the meaning of IHE in the Chinese context, but also expanded Knight's (1994) statement that internationalisation means different things to different people as well as meaning different things in different contexts, this was the aim of this research. It is not only significant to this research, but also to the other relevant studies on internationalisation. The context should be taken as a crucial factor in the study of internationalisation of higher education. The adoption of definitions from one context could cause mis-interpretation of IHE in another context. The definition of IHE is like a tree in different places. The sunshine, soil and water can make the tree different. We cannot expect to transplant a tree from one place to another and for it bear exactly the same fruit. The same is true for the meaning of IHE. The context affects the meaning.

The conceptual framework of this case study laid the empirical foundations for the investigation of the IHE implementation and evaluation framework. It filled up the gap and theoretical deficiency in the three western examples (IQRP, ACE and Japanese Indicator List). It is a rigorous theoretical evidence for the construction of an IHE evaluation framework in the next steps.

7.1.2 The international dimension framework of IHE implementation

In the literature review on the Western context based studies of IHE evaluation, the problematic issue of the gap between the definition of IHE and evaluation framework or tool, for instance, IQRP, ACE and Japanese Indicator List had been identified. Besides the disconnection between the definition of IHE and the evaluation criteria, IHE implementation is also overlooked in the western studies on IHE evaluation. A certain number of researches do not clarify or explain where the evaluation criteria come from, or cannot offer the empirical evidence for the generation of IHE evaluation criteria. The main approaches are consulting the expert, hypothesis and adopting others (Wang, 2010; Li, 2005; Hu, 2009; Beerkens, et, al., 2012). This phenomenon exists in both Chinese and the Western contexts. IHE implementation is a critical node, on one hand, to verify the interpretation of the meaning of IHE while on the other hand, to lay a credible foundation for the construction of IHE evaluation criteria. Therefore, this research explored IHE implementation as the key node linking the meaning of IHE and IHE evaluation criteria.

This research firstly investigated the international efforts that the case university had undertaken. Although internationalisation was marginal, the case university had made great efforts to achieve it. The international activities and events were collected and categorized using thematic criteria and are synthesized into an IHE implementation dimensional framework. The international dimension framework was a reflection of IHE from the practical perspective. It presented how the case university has sought to internationalise. This framework consists of nine dimensions: *communication, cooperation, academic activity, localization, construction of the faculty team, international student education and management, international office, mobility* and *achievement* (see Table 5.1). The international dimension framework exposed a

practical and evidential provision of internationalisation in the Chinese context.

According to this implementation framework for the university internationalisation, significantly this research found out the features of IHE in the Chinese context. Firstly, mobility and activity at the international level are the major methods of carrying out Chinese IHE. Most of international efforts that the case university has done focus on the student and staff moving from one country to another. This international level mobility depends on individual motivation as well as the international communicative and cooperative activity and programmes at the institutional level. This feature is similar to the primary and medium stage of the western IHE which was identified in Chapter 2 (see Table 2.5). This is empirical evidence that the Chinese IHE is lagging behind the West.

Furthermore, the primary aim for these international efforts is for educational quality enhancement. From these international programmes and supportive policy, it can be seen that the dominant orientation of international practices is attributed to the teaching/teacher, learning/student/ and research aspects, which means most international practices serve the institutional functions. This proves that academic-oriented IHE is the dominant motivation in the Chinese IHE conceptual framework of this research. The enhancement of the educational quality is the primary incentive in the Chinese case university. This point is also consistent with the national policy on international education in China.

Finally, the international practice is consistent with the interpretation of the meaning of IHE. In the exploration of the relationship between what people interpret and what people practice, this research is unexpectedly found out that the multi-dimension of IHE can be linked to all the perceptions of the meaning of IHE (see Figure 5.1), which

means IHE implementation is coherent with IHE interpretation in the case university. All the interpretive perceptions of the meaning of IHE can be supported by international practice, and the international dimensions can be theorized by these definitions. From this point of view, the implementation of IHE is closely related to the interpretation of IHE. So, it is necessary to formulate an IHE definition on the base of the practice perspective in IHE studies.

The investigation of IHE implementation is a crucial step. It not only verifies the relationship between the IHE definition and implementation, but also is important for the construction of the IHE evaluation framework in this research. It reviews the efforts that the case university has made for internationalisation as well as provides a solid foundation for the construction of the IHE evaluation framework. According to the existing western research on IHE evaluation, including the three example tools (IQRP, ACE and Japanese Indicator List), there is no empirical evidence for the generation of evaluation criteria. This research significantly fills the gap and provides powerful and reliable conceptual and practical evidence for the construction of an evaluation framework.

7.1.3 IHE evaluation framework

The third significant outcome of this research is to compose a set of IHE evaluation criteria based on the conceptual framework and international dimension framework of this research. The design of an IHE evaluation framework is a response to the call for the quality assurance of international education. The position of internationalisation in the higher education sector has become more important than before. According to Rami and Hiba (2007), 74 percent of the investigated UK universities' mission statements include international strategies and implementation. In addition, the intense

competition in the international student recruitment market also accelerates consideration of the quality of the international education. IHE evaluation is useful in helping the institution assess the fulfilment of international objectives.

However, in the present studies on IHE evaluation, there are several problematic issues which should arouse our attention. First of all, the evaluation criteria do not have a solid and rigorous theoretical foundation. For example, in the three IHE evaluation frameworks identified in this research, IQRP, ACE and Japanese Indicator List do not explain how their evaluation criteria are generated and do not sufficiently clarify the theoretical foundation for the evaluation indicators. These three sets of IHE evaluation frameworks adopt Knight's (1994) IHE definition and use this to guide their studies. They do not consider the contextual differences. This adoption causes further problematic issue about the trustworthiness of the evaluation criteria and the assessment result.

Beerkens and his colleagues (2010) have pointed out that some IHE evaluation frameworks are built up on each other. The same is true for the three western examples in this research. ACE evaluation framework is built upon IQRP and Japanese Indicator List look at the IQRP and ACE as the examples. Hu (2009) adopts the ACE evaluation framework for the Chinese context. This type of adoption, including adopting the definition of IHE and the evaluation criteria, does not consider the contextual factor in the internationalisation interpretation and implementation.

Therefore, this research was set up on the basis of the consideration and clarification of the importance of the contextual factor. It applied a case study approach selecting a Chinese university and clarifying its type and position in the Chinese higher education context, non-211/985 provincial university. Most Chinese and the Western IHE

evaluation studies relied on the hypothesis, consulting experts or adoption approach, however this research was designed to create an IHE evaluation framework on the basis of an empirical case study (see Table 6.1). The accountability and reliability of the evaluating dimensions and indicators were guaranteed. This IHE evaluation framework was also a response to one of de Wit's questions of IHE assessment - "what do we measure", which is one of the first things that should be considered (de Wit, 2010, 13). In addition, to make the evaluation framework clearer, the meanings of each dimension and sub-dimensions were explained and the indicators are listed so that the evaluated subjects (e.g. the institution, college or department) can be understood. Although there were many similar evaluating dimensions in western evaluation frameworks, the contextual differences are noted in this research. Three evaluation criteria specific to the Chinese context were identified: *manager, specialty* and *others*. For example, the manager was taken as an important sub-dimension in the evaluation framework due to the special and important position in the institutional organization in China. The manager's performance and achievement is added under the institutional function dimension.

Based on the fundamental theoretical frameworks generated from the case study, this research made an important claim that it was not advisable to use western evaluation tools to evaluate IHE in China. This research gave convincing evidence from the data analysis to prove this. First of all, the western tools could not identify and test the unique Chinese international dimensions and indicators. Secondly, the definition of IHE in China was different from the definition in the Western context. Thirdly, the same dimensions and indicators might present different things in the different contexts. However, this research acknowledged the advancement of western studies on IHE. It was necessary to learn from the advanced model, but complete adoption was risky and

inadvisable.

This research is significant to the case university. Because it is the first time that the case university has attempted to consider the quality of international education. This research helps the case university to review their practical work. The evaluation framework enables the institution to assess the fulfilment of the international objectives and strategic plan.

The most significant aspect of this research is that it finds out the relationship among the meaning of IHE, IHE implementation and IHE evaluation criteria. From the existing literature on the studies of IHE in both Chinese and Western contexts, the role of the IHE definition in the construction of IHE evaluation frameworks was not explained clearly. Nor were the rationales of evaluation criteria. The implementation of IHE from the practice perspective was not taken into account in the study of IHE definition and evaluation. Therefore, besides the contextualized investigation of the meaning, implementation and the evaluation of IHE, this research also attempted to explore the relationships between the definition, implementation and evaluation of IHE. The relationship among these three aspects is cyclical not linear (see Figure 7.1).
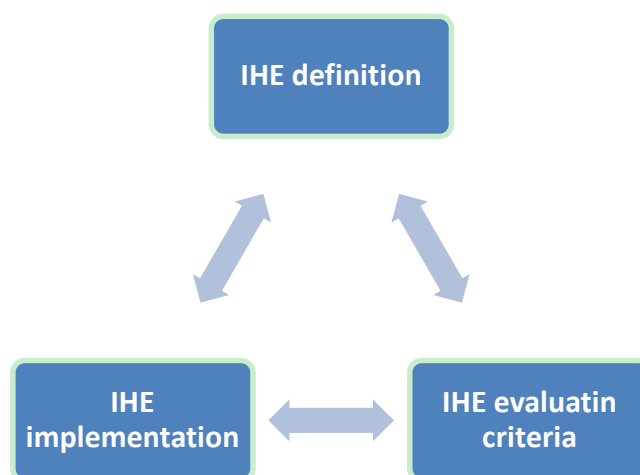
Figure 7.1 The Cycle of Internationalisation of Higher Education

In this case study on IHE in the Chinese context, it explored the meaning of IHE, IHE implementation and IHE evaluation criteria. IHE definitions were formulated into five perceptions by participants' interpretations of the meaning of IHE. In the investigation of IHE implementation, it found out that all the international dimensions of IHE implementation could be connected with the definitions generated from this study (see Figure 5.1). In this case study, the practice or the implementation of international education were the supportive and fundamental evidence for the creation of IHE evaluation criteria. The definition of IHE is the theoretical guideline for the construction of evaluation criteria. This was a problem in some existing research, which overlooked the importance of the guiding role of the IHE definition (see Chapter 2, section 2.2.1). The adoption of an IHE definition for the evaluation, such as ACE and Japanese Indicator List, may cause the problem of misunderstanding the purpose and the meaning of IHE as well as mis-leading the whole process of IHE evaluation. Reversely, IHE evaluation should assess what has been done in practice. The evaluating criteria should be grounded in the international implementation. Otherwise, the credibility and validity of the internationality would be suspect, if adopting the existing IHE evaluation framework of one context to anther context (See Figure 6.1). Given the necessity of a definition of IHE in the creation of IHE evaluation criteria, the criteria, reversely can verify both the practice of IHE and the interpretation of the meaning of IHE.

7.1.4 The barriers and recommendations

This research synthesizes the difficulties and barriers that the participants pointed out in the data analysis of interpretation, implementation and evaluation of IHE. These barriers are categorized into six aspects: managerial system, awareness, level or position of the institution, supports, local and regional social, cultural and economic

environment and foreign language proficiency (see Figure 7.2).

Figure 7.2 Barriers in the Process of Case University Internationalising

Each HEI may have different barriers in the process of university internationalisation. In this case study, the barriers that CSU has can be classified into two groups, the external or national, and the internal or institutional. The external barriers come from outside institution, such as the managerial system, the level or position of the institution and the local and regional social, cultural and economic environment. The national higher education system and the allocation of the case university in the national plan restricted the institutional development strategy and the allocation of resources from the government. The institution's local environment was also a crucial factor influencing HEIs development. The local social and cultural atmosphere and the features of the local economy impacted on the institutional developing an international orientation. These external factors were scarcely overcome by institutions. The institution has to learn to adapt and adjust to the difficulties. Those barriers which came from the institution were comparatively easier to change, for example, international awareness, material support and foreign language proficiency.

In terms of the internal or institutional level, the barriers seemed possible to be changed or overcome. The international awareness supports and foreign language proficiency were doable within HEIs. But international awareness and a fairly free environment are important for the institutional internationalisation.

To some extent, the barriers to the process of university internationalisation reflect people's understanding of the meaning of IHE. They impact their practice of international activities and influence their attitude towards IHE evaluation. Rational and reasonable amendments can minimize the negative impact of the barriers on the efficiency of the university's internationalising.

The participants' recommendations, which represented their willingness for the enhancement of internationality of CSU, were also presented in the findings. These recommendations focused on the policy and financial support, international awareness, managerial issues, international links and evaluation criteria. These recommendations were given from a realistic and practical perspective. They were significant to the institutional management and institutional development strategy. For those non-211/985 HEIs and the institutions which have limited resources for internationalisation, starting from small scale internationalizing was probably the proper approach.

7.2 IHE in China and IHE in the West

This research focused on the study of IHE in the Chinese context. It also attempted to investigate how the Chinese IHE related to the western IHE, and to what extent, the contextual factor impact internationalisation of higher education. The research captured three aspects of internationalisation, meaning, implementation and evaluation criteria or evaluation framework, and attempted to explore the relationship between Chinese IHE and the western IHE in terms of the three aspects. This research

significantly pointed out the similarities and differences between Chinese IHE and western IHE in these three aspects. It also provided empirical and factual evidence to confirm the gap between China and the West in terms of the internationalisation of higher education.

In the evolutionary review of IHE in the Western context, this research had synthesized the features, dominant rationale and study scale of IHE at the different stages and constructed the evolutionary model of IHE in the West (see Table 2.5). This model mapped out how IHE had been evolving since 1980s. This model addressed the fact that IHE was a dynamic process. It means different things at different times. IHE had evolved from the narrow individual scale to the broader institutional and national scale. Each stage presented various features of IHE.

This model could be transformed into a checklist to assess how IHE in other contexts relates to the western IHE. For instance, this research has studied IHE definition, implementation and evaluation in a Chinese case university. It identified the features and motivations of IHE in the specific context and at the specific time. The checklist can be used to compare the similarities and differences of IHE between China and the West. The relevant items existing in this case study are ticked by "√" (see Table 7.1).

Table 7.1 Checklist between Chinese IHE and Western IHE

Stages	Time	Features of different stages		Rationales Gravity		Trend and Scale	
Primary to deep	Later 1980s-1990s	- Individual mobility	√	Political rationales dominant	×	General; narrow	√
		- International activity	√				
		- International programme	√				
	Earlier 2000s	- National, sector, and institutional levels	√	Economic rationales dominant	×	General to specific; narrow to wider	√
		- Foreign student recruitment	√				
		-Foreign language	√				
		-Exporting education services	×				
		- International collaborative programmes or running schools	√				
		- Organized student and staff mobility	√				
		- International research	√				
		- Commercialization on IHE	×				
		- Internationalized curriculum	×				
	Later 2000s - present	-Internationalisation at home and abroad	√	Social and cultural rationales dominant	×	Specific more than general; broader aspects	×
		- HEIs internationalisation	×				
		- Internationalisation and its HEI management	×				
		- Quality and assurance of international education	×				
	2010s-present (2015)	- Rethinking IHE	×	Academic	√		

The coherence to the findings generated from this case study show that by 2014, most IHE implementation in the case university focuses on international activity and mobility, which implies that the Chinese case university is at the primary and the medium stage and is moving forward to the deep stage compared with western internationalisation. However, the motivation of IHE in the Chinese case university is not dominated by the economic but the academic rationale. This study still focuses on the exploration of IHE meaning for the general purpose. This is because the study of IHE in the Chinese context has not been popularized yet. IHE is still at the individual and institutional level, although national involvement has started to impact on IHE. Although the checklist above is useful because it identifies the key aspects of Western approaches to internationalisation in higher education and can compare and contrast

these with Chinese approaches, the checklist is not sufficiently sophisticated to identify the unique characteristics that pertain only to the Chinese context. This checklist is not exclusive to other comparative approaches of IHE. It is not the only criterion to compare IHE of Western context to another context. This checklist could also be expanded and revised through time.

This checklist reflects the similarity and difference of the features of IHE in Chinese and Western contexts. More importantly, it verifies and extends Knight's statement that IHE means different things to different people at different times in different contexts. This research investigates IHE through the meaning, implementation and evaluation criteria in one Chinese case university. The interpretations of the meaning of IHE in this case study are unexpectedly interpreted into five perceptions which are more than the definitions in the Western context. Interpretations of the learning and self-improvement, the nationalism and the platform perceptions differentiate Chinese IHE from the West. The implementation of IHE could be presented in different ways. The dominant motivation is also different from the Western context. This research has reviewed the evolutionary process of IHE in China. The historical development of higher education and IHE, Chinese traditional culture and the socialist economic and political system are integrated features of Chinese IHE. These integrated factors influence people's understanding and interpretation of IHE as well as the practical application of internationalisation in China. It concludes that the context can affect these aspects of IHE. Thus, this research addresses the fact that it is inadvisable to adopt western IHE definitions and theories to study IHE in the Chinese context, or to adopt IHE definitions and theories of one context to apply in another context.

7.3 Limitations and implications

Looking back to and critically thinking about the entire process of the research, there are still several limitations that should be identified for informing further research. First of all, in terms of the selection of the case in this research, the typology of the institution is a disputable issue. As a matter of fact, there is no official typology in terms of the types of HEIs in China. HEIs can be categorized into various types. This research selected a non-211/985 institution in the northern part of China. The findings and theories generated from this research are still limited as a reflection of the entire map of IHE in the Chinese higher education context. Thus, further research could investigate IHE in different types of HEIs, for example, the 211 HEIs, 985 HEIs, the vocational and technological HEIs, adult HEIs and the private HEIs. The differentiation of national policy and resource allocations to various types of Chinese HEIs makes the position of IHE different in practice. Therefore, to some extent, the findings and arguments generated from this one case university are still limited as a representation of all non-211/985 provincial type of HEIs. More types of cases would make IHE theories more rigorous in the Chinese context. In terms of the number of cases, the researcher suggests that in the primary stage of theory exploration, the lower number of case is helpful to have a deep and systematic understanding of IHE because of its complexity. Single case study can offer more detailed and holistic information of IHE. While, in the latter stage, the multiple cases should be applied for testing the theory.

The second limitation is about the assessment of evaluation criteria. This research only generated a set of evaluation criteria according to CSU's daily work, but did not use them to assess the extent of internationality of CSU of different levels, such as colleges, International offices and relevant departments, or review and check the fulfilment of

the international objectives in various levels of the university organization. This leaves further space for the future research.

This research is one of the primary investigations on IHE studies based on the Chinese context. It significantly explored the meaning, implementation and evaluation of IHE as a whole and their relationship. It also investigated the relationship of IHE between China and the West and identified the essential segment of both contexts and the uniqueness of each context. Although there are some limitations, this research is still significant for IHE studies and could inform for the further relevant IHE studies.

7.4 Recommendations for the relevant IHE studies

In light of the importance of IHE as a development strategy in HEIs worldwide, a number of suggestions are made resulting from this research for the future relevant studies on IHE:

- Given the fundamental position of the definition in the study of IHE, it is important to formulate a working definition from the empirical study, instead of adopting other definitions. This research has verified that IHE means different things in different contexts. Any research adopting other definitions may lead to unbelievable results or mislead the entire research.

- IHE research should take into consideration contextual factors. The context does not merely refer to the national level. The regional, cultural and religious levels are also the attributed to the contextual factor. This research, to some extent, compares IHE in the Chinese and Western contexts and investigates the relevance between them and identified the contextual influence in the process of IHE. The context is a comprehensive factor which may involve various

issues, for instance, the history, culture, political system, economic orientation, etc.

- IHE is a multi-faceted issue. It may present differently in different contexts. Some dimensions may refer to different things in different contexts. Therefore, selecting terms must be done carefully and it is important to explain the relevant issues in detail.

Although this research has identified a range of significant findings, as an original study of IHE in the Chinese context, it does have some limitations and leaves some implications for further relevant research on IHE either in the Chinese context or other contexts.

7.5 Final reflection of the research

This research took a very long time but was a rewarding exploration of IHE in both Chinese and Western contexts, particularly the Chinese context. It is very difficult to combine many issues, such as the meaning, the practice, the evaluation criteria and the contextual factor, into a systematic and theoretical framework, because it seems each component is a big enough topic for a doctoral research. However, in order to find out the link and the relationship among them, the researcher launched this hard journey. Despite the time and effort put into this research, it fulfils the literature gap in the study of IHE based on the Chinese context. Moreover, it also links the Chinese IHE and western IHE and find out the essential element of IHE, teaching, research and service, in both contexts.

Although there are limitations to the generalizability of this single case study, it paves the way for further studies and significantly contributes to the study of internationalisation of higher education in a different context. It is the first study to

formulate the definition of IHE in the Chinese context, which not only implies the multi-dimensions of IHE but also the multi-levelled approach for the future studies. It verifies and expands the statement of Knight (1994) about the internationalisation. Internationalisation not only means different things to different people, but also means different things in different contexts at different times.

This research also verifies the importance of investigating the implementation of international practice for both the study of the meaning of IHE and IHE evaluation. This segment is often omitted in the relevant research. The implementation is the foundation for the interpretation of the meaning of IHE as well as the crucial substance for selecting IHE evaluation criteria. However, it is necessary to note that IHE is a dynamic process. The definition, implementation and evaluation criteria would be changed with the changing time and external environment.

This research is not the end to the study of IHE in either Chinese context or Western context, but a start to trace and develop IHE theories.

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Appendices

Appendix 1 Indicator Sets

OECD-IQRP, 1999

1. Context

1.1 Summary of the higher education system

1) Provide a brief description of the higher education system in the country and indicate

2) the position of the institution in the system.

1.2 Summary of the institutional profile

3) Age of the institution.

4) Student enrolment (undergraduate/graduate).

5) Number of faculty and staff.

6) Faculties and departments.

7) The mission of the institution.

8) The history of internationalisation efforts in your institution.

1.3 Analysis of the (inter)national context

9) Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis of the (inter)national context for internationalisation of the institution.

10) Make reference to national and regional policies and programmes of relevance for the institution's international dimension.

2. Internationalisation policies and strategies

11) Why is internationalisation important to your institution (rationales)?

12) What is the institution's stated policy (goals and objectives) and implementation strategy for internationalisation? Attach existing policy documents, if available.

13) What is the relationship between the internationalisation strategy and the institution's overall strategic plan, and what links exist with other relevant policy areas?

14) How is internationalisation valued with respect to the institution's overall strategic plan by the different actors in the institution: administration, faculty, students?

15) How has the decision-making process for internationalisation policy been structured?

16) What is recommended to improve the policies and strategies for internationalisation?

17) How can the support and involvement be improved of leadership, administration, faculty and students to the internationalisation policies and strategies of the institution?

3. Organisational and support structures

(Address those issues which are relevant to your institution and undertake a SWOT analysis on the organisational and support structures for internationalisation of the institution.)

3.1 Organisation and structures

18) What office/unit/position has the overall and ultimate policy-level responsibility for the internationalisation of the institution?

19) Which unit(s) have direct operational responsibility for international activities?

20) What is the reporting structure, liaison and communication system (both formally and informally) between the various offices/units/persons involved in internationalisation?

21) Provide an organigram, if possible.

22) How effective are the existing support structures in relation to the strategic plan for internationalisation?

23) What improvements are recommended to make the organisation and support structures more effective in relation to the existing strategies and policies?

3.2 Planning and evaluation

24) How is internationalisation integrated into institution-wide and department level planning processes and is it effective?

25) What system is in place for the evaluation of internationalisation efforts? What impact does it have on these efforts?

26) Does the overall quality assurance system (internal/external) include reference to internationalisation? If so, what is its impact?

27) What proposals for improvement in the planning and evaluation processes for internationalisation are recommended?

3.3 Financial support and resource allocation

28) What internal and external sources of support exist for internationalisation? How effective are these funds for the realisation of the objectives and goals for internationalisation?

29) What is the mechanism for the allocation of resources (at both central and departmental level) for internationalisation? How effective are these mechanisms?

30) What is the institution's process for seeking, securing and maintaining internal and external funding for internationalisation? Are these processes effective?

31) What proposals for improvement in the fund allocation and fund-raising for the realisation of the internationalisation of the institution are made?

3.4 Support services and facilities

32) What specific services and infrastructure exist to support and develop international activities and how effective are they?

33) What level of support is available from institution-wide service departments? What is their impact?

34) To what degree do the facilities (*e.g.* libraries) and the extra-curricular activities on campus include an international or cross-cultural dimension? What is their impact?

35) What recommendations are made to improve the support services and facilities to bring them in line with the internationalisation strategies and policies of the institution?

4. Academic programmes and students

(Address those issues which are relevant to your institution and undertake a SWOT analysis on the international dimension of the academic programmes and student policies of the institution.)

4.1 Internationalisation of the curriculum: area and language studies, degree programmes, teaching and learning process

36) Are there programmes which include options for area and language studies (including courses in intercultural communication and culture studies?) What is their impact?

37) How has the international dimension been integrated into the courses/units in the various disciplines? How effective have the integration efforts been?

38) What joint or double degree programmes are offered by the institution in partnership with foreign institutions? What is their impact on the curriculum and the students?

39) Does teaching include the use of examples, case studies, research, literature, etc., drawn from different countries, regions and cultures? To what effect?

40) To what extent is the "international classroom setting" applied, *i.e.* are students encouraged to study together and to interact with foreign students?

41) To what extent is instruction given in languages other than the primary language(s) of instruction of the institution?

42) What recommendations are made with respect to the future place of area and language studies in the institutional strategies and policies for internationalisation?

43) What measures are recommended to improve the international dimension in the curriculum?

44) What recommendations are made to improve the internationalisation of the teaching and learning process?

4.2 Domestic students

45) What are the quantitative goals (if any) for the number of students studying abroad annually? Are they being met and how effective are the mechanisms to achieve them?

46) Do students participate in international research projects and international networks. How? What is the impact?

47) What policies and support services are in place to encourage and support students to participate in international activities? How effective are they?

48) Are students being informed and advised about international work/study/research opportunities? Are the mechanisms effective?

49) How are students being prepared for international academic experiences (including language and cultural preparation)? Is the preparation effective and what is the impact?

50) What recommendations are made to improve the opportunities for students to add an international dimension to their study?

4.3 Foreign students

51) What are the quantitative goals (if any) for the number of foreign students (both fee paying students and exchange students)? How effective are the measures taken to reach these goals?

52) What strategies does the institution have to attract, recruit and select foreign fee paying students? What are the objectives behind these strategies and how effective are these strategies?

53) What strategies does the institution have to attract and select (bilateral and multilateral programme) exchange students? How effective are they?

54) How is the level of academic success of foreign students monitored? How effective is it? How is the integration (educational and social) of foreign students with domestic students and with their local environment monitored? How effective is it?

55) How is social guidance and academic counselling for foreign students organized?

56) Does a difference exist in objectives, impact and attention between the strategies for foreign fee paying students and exchange students?

57) What measures should be taken to improve the strategies for recruitment, selection and integration of foreign fee paying and/or exchange students?

4.4 Study abroad and student exchange programmes

58) What is the range of programmes available for study abroad and student exchange?

59) How effective are these programmes?

60) How effectively are study abroad periods integrated into the curriculum? Has the transfer and recognition of credits been arranged in an adequate manner?

61) To what extent have international work experience or internships been incorporated into the curriculum? What is the impact of these arrangements?

62) How are study abroad and student exchange programmes evaluated? In what way have the results of these evaluations been taken into account in the further delivery of these programmes?

63) What measures are recommended to improve the quality of the study abroad and student exchange programmes in the overall context of the internationalisation strategies and policies of the institution?

5. *Research and scholarly collaboration*

(Address those issues which are relevant to your institution and undertake a SWOT analysis on the international dimension of research and scholarly collaboration of the institution.)

64) Which collaborative agreements exist with foreign institutions/research centres/private companies for research? How effective are these?

65) What international/regional research and graduate centres belong to or are sponsored by the institution? What role do they play in the internationalisation strategies and policies of the institution?

66) To what degree is the institution involved in international research projects? How successful is it?

67) How actively involved is the institution in the production of internationally published scientific articles? What mechanisms are in place to stimulate the involvement?

68) What mechanisms are in place to stimulate the institution's performance in organising and benefiting from international conferences and seminars? How effective are these?

69) What support (internal and external) structures are in place for international collaborative research? How effective are these?

70) What mechanisms exist to guarantee that international research (and its outputs) is linked to internationalisation of teaching? What is the effect?

71) What opportunities and resources are made available to stimulate the international dimension in research? Are they effective?

72) What recommendations are made to improve the international dimension of research, as part of the strategies and policies of the institution?

6. Human resources management

(Address those issues which are relevant to your institution and undertake a SWOT analysis on the international dimension of human resources management of the institution.)

73) What mechanisms are in place to involve academic and administrative staff in international activities (at home and abroad)? Please distinguish between research, teaching, publications and development assistance. How effective are these mechanisms?

74) What mechanisms are in place to stimulate the presence of foreign academic and administrative staff members on campus (temporary/permanent)? How effective are they?

75) How are teaching and research of visiting staff being organized? How effectively are they integrated into the curriculum?

76) Do appointment procedures seek for staff from abroad? How effective are they?

77) How is selection and recruitment of new staff (academic and administrative) targeted at personnel who are internationally experienced/active? How effective is that policy?

78) Are there procedures for selecting staff for international education assignments (*e.g.* for teaching international programmes/to international groups/teaching in other languages)? How effective are they?

79) What mechanisms are in place to guarantee and stimulate that staff members possess the knowledge and skills required for teaching in international programmes and for other international assignments? How effective are they?

80) Are there mechanisms in place to guarantee that international teaching/research/development assistance experience counts toward promotion and tenure? If so, how effective are they?

81) What recommendations are made to improve the international dimension of the human resource management of the institution as part of its internationalisation strategies and policies?

7. Contracts and services

(Address those issues which are relevant to your institution and undertake a SWOT analysis on the international dimension of contracts and services of the institution.)

7.1 Partnerships and networks

82) What is the range of bilateral and multilateral collaborative agreements with foreign partner institutions for education? How active/functional are these?

83) What procedures exist for the establishment, management and periodic evaluation of partnerships and linkages? How well do these procedures function?

84) What is the relation between the policies and strategies at the faculty level and those at the central level? How effective is that relationship?

85) What measures are recommended to improve the partnerships and networks the institutions takes part in and their relation to the strategies and policies of the institution?

7.2 Out of country education programmes

86) Does the institution deliver educational programmes to students located in other countries.

87) If so, what methods are used to deliver these courses (*i.e.* correspondence, partner institutions, www, satellite campus, franchise partners or brokers, etc.)? What are the rationales for such programmes?

88) Is there a process (internal/external) of the institution for the evaluation of such programmes, if provided? If so, what is the impact of these evaluations?

89) What are the institution's strategies to attract, recruit and select students and staff for such programmes and courses? How effective are these strategies?

90) What measures are recommended to improve these programmes and their relationship to the institution's overall internationalisation strategy?

7.3 Development assistance

91) What is the institution's involvement (as a contractor or partner) in development projects, how are they perceived by the faculty? What is their impact on the teaching and research functions of the institution?

92) What is the link between development assistance projects and other internationalisation activities of the institution?

93) What policies and procedures exist for the design, management and evaluation of development projects, and what is the effect of these procedures on the projects and on the institutions strategy for internationalisation?

94) What measures are recommended to improve the quality of the role of the institution in these activities and of the integration of these projects in the overall internationalisation strategy of the institution?

7.4 External services and project work

95) How active is the institution in external services (*e.g.* contract education, training, consultancy), and to what extent do these services include an international or cross-cultural dimension?

96) What is the impact of these services on the internationalisation strategy of the institution?

97) What measures are recommended to improve the quality of these services and their relationship to the internationalisation strategy of the institution?

8. Conclusions and recommendations

98) What are the main conclusions from the self-assessment on internationalisation?

99) What are the main concerns and challenges for the institution with regard to the further development of internationalisation?

100) What are the main recommendations to the institution for the further improvement of its international dimension?

101) Are the goals and objectives for internationalisation of the institution clearly formulated?

102) Are these goals and objectives translated into the institution's curriculum, research and public service functions and does the institution provide the necessary support and infrastructure for successful internationalisation?

103) How does the institution monitor its internationalisation efforts?

104) What specific topics or questions would you like to bring to the attention of the peer review team?

ACE Review Process, 2006

1. Institutional Commitment

1) Does your institution's mission statement specifically refer to international or global education

2) Is international or global education listed as one of the top five priorities in your institution's current strategic plan?

3) Does your institution have a separate written plan that addresses institution-wide internationalisation

4) Does your institution have a campus-wide committee or task force that works solely on advancing internationalisation efforts on campus

5) Has your institution formally assessed the impact or progress of its internationalisation efforts in the last five years?

6) Has your institution developed specific international or global student learning outcomes? (Select one.)

7) Does your institution's student recruitment literature highlight international or global education programs, activities, and opportunities?

2. Organizational Structure and Staffing

8) Please select the response that most closely resembles the administrative structure of the internationalisation activities and programs at your institution.

9) Does your institution have one or more professional staff or faculty members dedicated at least half time to any of the following aspects of internationalisation?

o international student recruitment/admissions

o international student services

o international scholar services

o English as a Second language (ESl)

o Education/Study abroad

o international/global campus programming

o internationalisation of the curriculum

o languages Across the Curriculum (lAC, lxC)

o development and monitoring of international partnerships

o other

10) Does your institution have a full-time administrator who oversees or coordinates multiple internationalisation activities or programs?

11) If you responded "yes" to question 10, to whom does the individual report?

o Chief academic officer

o Other administrator in academic affairs

o Chief student affairs officer

o Other administrator in student affairs

o President

o Other

3. Financial Support

12) Has your institution received external funding specifically earmarked for internationalisation programs or activities from any of the following sources in the last three years (2003–2006)?

o Federal government

o State government

o Alumni

o Private donors other than alumni

o Foundations

o Corporations

o Other

o No specific external funding received

13) Did your institution provide specific funding for any of the following activities to promote recruitment of full-time, degree-seeking international students at the undergraduate level last year (2005–06)?

o Travel for recruitment officers

o Scholarships for international students

o Other

o No specific institutional funding provided

o American Council on Education

14) Did your institution provide specific funding for any of the following activities to promote recruitment of full-time, degree-seeking international students at the graduate level last year (2005–06)?

o Travel for recruitment officers

o Stipends/Fellowships

o Other

o No specific institutional funding provided

15) Did your institution provide specific funding for any of the following internationalisation programs or activities last year (2005–06)?

o Faculty leading students on study abroad programs

o Faculty teaching at institutions abroad

o Faculty travel to meetings or conferences abroad

o Faculty studying or conducting research abroad

o Faculty development seminars abroad

o Hosting visiting international faculty

o Internationalisation of courses

o Other

o No specific funding provided

16) Can undergraduate students use their institutionally awarded financial aid to participate in study abroad opportunities administered by other institutions? Note: For the purposes of this survey, "administer" means that the institution has control over and runs the daily operation of the program.

o No

o Yes, for approved opportunities administered by institutions within a consortium or state system

o Yes, for approved opportunities administered by any institution

17) Does your institution, or do any schools or departments within your institution, provide specific institutional funds for student education abroad, in addition to all other sources of financial aid?

o No

o Yes, for undergraduate students only

o Yes, for graduate students only

o Yes, for both undergraduate and graduate students

4. Foreign-Language Requirements and Offerings

18) Does your institution have a foreign-language admissions requirement for incoming undergraduates?

o No

o Yes, for some bachelor's/associate degree students

o Yes, for all bachelor's/associate degree students

19) Does your institution have a foreign-language graduation requirement for undergraduates?

o No . Please skip to question 22.

o Yes, for some bachelor's/associate degree students

o Yes, for all bachelor's/associate degree students

20) If you responded "yes" to question 19, what is the foreign-language requirement for graduation at your institution?

o One semester or equivalent

o One year or equivalent

o More than one year, but less than two years

o Two years or equivalent

o More than two years or equivalent

21) If you responded "Yes" to question 19, can undergraduate students satisfy their foreign-language requirement for graduation by passing a proficiency test?

22) Please select all foreign languages that were taught at the undergraduate level during the 2005–06 academic year. Do not count English as a Second Language (ESL) or American Sign Language (ASL).

5. *International/Global Course Requirements and Offerings*

23) To satisfy a general education requirement, are undergraduates required to take courses that primarily feature perspectives, issues, or events from specific countries or areas outside the United States? Note: Do not include foreign-language courses.

o No . Please skip to question 26.

o Yes . Please continue to question 24.

24) If you responded "yes" to question 23, how many courses that primarily feature perspectives, issues, or events from specific countries or areas outside the United States are undergraduates required to complete to satisfy their general education requirement?

o One course

o Two courses

o Three or more courses

25) Are students required to complete courses that primarily feature countries or geographic areas other than Canada, Australia, or Western Europe?

26) To satisfy a general education requirement, are undergraduates required to take courses that feature global trends or issues (e.g., global health issues, global environmental issues, peace studies, etc.)?

27) Does your institution offer international/global tracks, concentrations, or certificate options for undergraduate students in any of the following fields:

o International/global certificate available to all students, regardless of major

o Business/Management

o Education

o Health/Medicine

o Humanities

o Social/Behavioural Sciences/Economics

o Science/technology/Engineering/Mathematics (StEM)

o Technical/professional

o Tourism/Hotel Management

o Other

28) Does your institution offer any joint degree programs with institutions in other countries?

6. *Education Abroad*

29) Did your institution administer for credit any of the following undergraduate education abroad programs last year (2005–06)?

o Study abroad

o International internships

o International service opportunities

o Field study abroad

o Research abroad

o Work abroad

30) If your institution administers education abroad programs for credit, does it have guidelines to ensure that undergraduate students can participate in approved education abroad programs without delaying graduation?

31) Please estimate the percentage of undergraduate students at your institution who graduated in 2005 and who engaged in education abroad for credit at some point during their academic career.

o None

o Less than 5 percent

o 5 percent to 10 percent

o 11 percent to 20 percent

o 21 percent to 30 percent

o 31 percent to 50 percent

o More than 50 percent

7. Faculty Policies and Opportunities

32) Does your institution have guidelines that specify international work or experience as a consideration in faculty promotion and tenure decisions?

o No

o Yes, for faculty in some schools, departments, or programs

o Yes, for all faculty

33) Did your institution offer any of the following opportunities to faculty members in the last three years (2003–2006)?

o Workshops on internationalising

o Workshops that include a focus on how to use technology to enhance the international dimension of their courses

o Workshops that include a focus on assessing international or global learning

o opportunities to increase their foreign-language skills

o Recognition awards specifically for international activity

34) When hiring faculty in fields that are not explicitly international/global, does your institution give preference to candidates with international background, experience, or interests?

o No

o Yes, rarely

o Yes, frequently

8. Student Activities and Services

35) What percentage of full-time undergraduate students at your institution are international students?

o none

o less than 5 percent

o 5 percent to 9 percent

o 10 percent to 25 percent

o More than 25 percent

36) Does your institution have a strategic international student recruitment plan that includes specific targets for undergraduate students? Does your institution have a strategic international student recruitment plan that includes specific targets for graduate students?

37) Does your institution offer any of the following programs or support services for international students

o Individualized academic support services

o Orientation to the United States and the local community

o Orientation to the institution and/or the U.S. classroom

o Assistance in finding housing

o institutional advisory committee of international students

o International alumni services and/or chapters

o Support services for dependents of international students

o Host-family program for international students

o English as a Second language (ESl) program

38) Did your institution offer any of the following programs or activities for undergraduate students last year (2005–06)?

o Buddy program that pairs U.S. and international students to help integrate students socially

o Language partner program that pairs U.S. and international students

o Residence hall where a particular foreign language is designated to be spoken (i.e., language house)

o Meeting place for students interested in international topics

o Regular and ongoing international festivals or events on campus

o International residence hall open to all, or a roommate program to integrate U.S. and international students

o Programs to link study abroad returnees or international students with students in K–12 schools

o Other

9. Use of Technology for Internationalisation

39) Does your institution use technology in any of the following ways to enhance internationalisation?

o Courses conducted in collaboration with higher education institutions in other countries using web-based technology

o guest lectures using video conferencing

o Institutionally sponsored study abroad student blogs

o Video- or web-based research conferences

o A direct link from your institution's home page to international programs and events

o Other

10. Degree Programs Offered Abroad for Non-U.S. Students

Note: The questions in this section apply to both undergraduate and graduate programs.

40) Does your institution offer programs outside the United States for non-U.S. students leading to a degree from your institution only, and delivered entirely or in part through face-to-face instruction? Note: Please do not include joint degree programs.

o No . You have completed the survey. Please go to the last page of the survey to complete the institutional contact information.

o No, but our institution is currently working on developing such programs. (You have completed the survey. Please go to the last page of the survey to complete the institutional contact information)

o Yes . Please continue to question 41.

41) If you responded "Yes" to question 40, please indicate in what countries or regions your institution offers such programs, and whether you have partner higher education institutions in those countries or regions

42) If you responded "yes" to question 40, please select all the fields in which you offer undergraduate and/or graduate degree programs for non-U.S. students outside the United States

43) If you responded "Yes" to question 40, please indicate whether you are receiving direct and/or indirect financial support from the host country government for your institution

44) If you responded "Yes" to question 40, has your institution established a branch campus in another country for any of the degree programs you have indicated

3. Japanese indicator list

1. Mission, goals and plans of the university

1.1 Official statements regarding the internationalisation of the university

1) Determine whether "internationalisation" policies are articulated as part of the basic policies declared by the university and whether the mission and its presentation are consistent.

1.2 Responsible administrative structures

2) To what extent does the highest ranked person in charge of international exchange activities act independently from the President and/or Administrative Director? Assess the level of his/her authority.

1.3 Establishment of medium- and long-term plans and strategic goals

3) Does "internationalisation" pursued by the university appear together with concrete goals in the major publications issued by the university? Assess the levels of articulation and concreteness.

4) To what extent are the goals recognized or shared (by people concerned in and outside the university)? To what extent do responsible persons in major departments including accounting and instruction departments agree with concrete proposals for establishing goals and plans? Express the level of consensus numerically.

5) Evaluate whether the contents and items of the medium- and long-term plans are consistent with the university's general administrative policies and plans.

6) Evaluate whether the implementation body (responsible department) is clarified for each of the plans.

7) Determine to what extent the staff members of the relevant departments understand the implementation processes for achieving the goals.

2. Structures and Staff

2.1 Decision-making structures and processes for internationalisation policies

8) Determine the frequency of decision opportunities (decision meetings) and time required for processing an agenda.

9) To what extent are the purposes, roles and responsibility sharing of the committees organized within the university clarified? Assess the levels.

10) Evaluate whether the members of the committees of the university are well balanced in terms of background and discipline.

11) Comprehensive assessment the frequency and response rate of an awareness survey on students, the frequency, size and other points of an opinion exchange meeting between students and the person in charge of international exchange activities comprehensively.

2.2 Organizational structures for operation

12) Assess whether the goals of the international department and their relevant action plans are clearly indicated.

13) Ration of the number of international service staff to the size of the university (total number of faculty members)

14) Personnel allocation plan to meet the goals and current rate of filled vacancy

15) Are eligible persons with required expertise allocated? The assessment is carried out based on mutual evaluation among staff.

16) Measure whether the job descriptions/responsibility sharing descriptions clearly identify the duties.

17) Rate of regular and full-time staff

18) Language skills required in conducting business (how many languages) and actual command of languages by the staff

19) Proportion of the international students who are involved in international services (interpretation, public relations activities regarding entrance examination) using their language skills and knowledge on their nations (ratio of the students undertaking on-campus jobs to the entire international students

20) Proportion of the international students who are involved in campus jobs including Tas and Ras (ratio to the domestic students)

21) Rates and increases/decreases of faculty members who have studied abroad and participated in overseas researches

22) Rates and increases/decreases of international faculty members

23) State of opportunity announcement for recruiting international faculty members

24) Number of international clerical staff members

25) Number of graduates from and degree holders of foreign universities

2.3 Professional development and performance review in the area of internationalisation

26) Implementation progress of training programs (FD) for faculty members in response to internationalisation (frequency and number of participants)

27) Implementation progress of training programs (SD) for administrators in response to internationalisation (frequency and number of participants)

28) To what extent are international activities taken into consideration during the performance review? Assess the proportion to the entire evaluation.

2.4 Institutional accountability

29) Measure how the institutional risk management system works for international activities such as overseas training (insurance, preparedness to respond to an accident and others).

3. Budgeting and implementation

3.1 Budgeting structure for departments involved in international activities

30) Measure whether budget accounts and amounts for respective goals are articulated in the budget materials.

31) Application for competitive funds associated with internationalisation and results

3.2 Budgeting and performance

32) Evaluate whether the ratio of the budget international projects to the total budget as well as breakdowns is checked for each fiscal year to assess the consistency between the size of the budget and the progress of the relevant international project

4. International dimension of research activities
4.1 Achievements of research presentation

33) Number of presentation in international conferences per faculty member per year

34) Number of articles for international journals per faculty member per year

4.2 International development of research activities

35) Number of accepted international researchers per year and duration of stay

36) Number of organized international meetings and participants from other countries

37) Number of international joint research projects (international collaborative projects are separately outlined)

38) Number of research funds from other counties (number o f funds and amount)

5. Support system, information provision and infrastructure (entrance examination, education, housing, multilingual aspects and the environment
5.1 Support system for international researchers and students

39) Determine whether enquiry contact for those who wish to join the university from overseas on a section basis is clearly specified.

40) Actual number of cases of correspondences, period of time and contents of the correspondences

41) Information provision through English

42) Website: whether necessary information is provided (evaluation of navigation as well as search function)

43) Determine whether the university has established a system to directly accept international students to degree programs.

44) Has a system for verifying the authenticity of diplomas from institutions in other countries, qualifications, academic transcripts, qualifications been developed? Are the procedures documented in a manual?

45) Does the university accept transfer students and have the system (recognition of credit) applicable to them?

46) Support for improving Japanese language skills of international students and researchers. Evaluate whether they are provided with Japanese language classes or personal tutorials for the purpose of acquiring Japanese language skills required to writing academic papers and Japanese technical words.

47) Is information of relevant departments (instruction department, student department, libraries, information processing centre and others) needed for researches and Study clarified and easily accessed? The levels of clarification and accessibility are assessed using a rating scale.

5.2 Daily support for international students and researchers

48) Are the housing accommodations provided by the university and public agencies sufficient to satisfy the needs?

49) How much of housing information is provided? Is necessary information to find housing provided? To what extent is housing support is provided? The level of housing support is assessed using a rating scale.

50) Determine whether everyday conversations are taught in Japanese language classes or personal tutorials.

51) Support system for families (Japanese language training, assistance for childbirth and child rearing and others) is assessed using a rating scale.

52) Does the university provide with lectures to promote understanding on frictions arising from differences in cultures and customs? Does it offer an orientation program? (Frequency and participants)

53) What vehicles and processes are used for providing information on campus? How many pieces of information are provided through booklets, website and others?

54) Career support to international students (employment and higher education) and frequency of seminars

6. Multifaceted promotion of international affiliation
6.1 Inter-university affiliation

55) Comprehensive evaluation is made based on exchange programs, achievements, sizes, level of mutual satisfaction and others.

56) Participation in international university consortiums and alliances (what types of organizations does the university belong to?)

57) Purpose, objective, concrete content (summary), duration, state of implementation (number of participants and type) of each program or activity

6.2 Overseas bases

58) Number and locations of overseas offices (country and city)

59) Are the purposes of establishment of the overseas offices articulated? Are they consistent with actual performances?

60) Are the overseas offices undertaking activities befitting the purposes of establishment such as recruitment of international students, public relation, liaising and networking of graduates?

6.3 Linkage with local community

61) Number of affiliated local organizations and programs, purposes of programs and activities, and state of implementation (number of participants)

62) Number of articles of the programs and activities, which appear in public relations magazines of local communities and newspapers

7. Internationalisation of the university curriculum
7.1 Language program

63) Comprehensively assess ratio of lessons by native speakers, degree of participation in overseas language programs, communicative approach in lessons, the degree to which standard tests in language education are being

used, etc. (Has the student acquired a high level of communicative ability in the foreign language by the time of graduation?)

64) Comprehensively assess the setting of language education goals (results of the curriculum, participation in overseas study programs, standard test score required for graduation or promotion, etc.) and results.

7.2 General academic programs (liberal arts programs, excluding language programs)

65) Among general education subjects (subjects taken that are not related to student's specific academic concentration), review the syllabus of the 5 or 10 subjects having the largest number of students, and analyze the amount of international perspective (introduce overseas precedents, case studies).

66) With regards to the general education curriculum, compare the number of students and ratio of those studying subjects related to the adaptation to foreign cultures and the understanding of foreign cultures with those in other curricula.

7.3 Internationalisation of specialized education

67) With regards to programs in which it is possible to obtain a degree in languages other than Japanese, make a comparison and comprehensively evaluate the recruitment and selection process, program management, diversity of course selection, standard of program content and the like, focusing on the quality of education in comparison to courses taught in Japanese.

68) In regard to the management of curriculum and short-term overseas study programs that can be studied in languages other than Japanese, conduct a comparison between these courses and courses taught in Japanese, focusing on quality and diversity of education.

69) Select 5 to 10 subjects from the academic concentration areas that are taught at the university and that are believed to provide the greatest international perspective, and assess how this is taught and its effectiveness.

70) Assess whether university is responding appropriately to recommendations offered by accreditation bodies, in terms of international academic standards.

8. *Joint programs with external organizations (academic exchanges, internships, and others)*

8.1 General Issues regarding international programs

71) What percentage of total credits are earned through exchange studies, short-term training, overseas internships, overseas fieldwork and the like.

72) Analyse how self-review and student evaluations are being integrated into the improvement process of international programs.

8.2 Educational exchange

73) What percentage of students participates in exchange programs, and percentage of credits earned through exchange programs.

74) Evaluate how courses attended by exchange students at the university are recognized back at the students' home institutions.

75) What percentage of students participates in short-term overseas training, and percentage of credits earned through short-term overseas training.

76) Comprehensively evaluate the content of materials used for guidance and orientation, pre and post guidance, number of times orientation implemented, participation ratio, and guidance content (partner school administration, risk management response, etc.).

8.3 Evaluation of joint programs with other universities

77) If such courses exist, comprehensively assess the proportion of students who are attending these courses, the proportion of faculty members who are taking part, and the impact of these courses on other courses.

78) If such programs exist, comprehensively assess the proportion of students expected to earn an international joint degree, the proportion of faculty members involved in the joint degree programs, and the impact of these programs on other degree programs.

79) If such consortium activities exist, comprehensively assess how many and what kinds of classes are offered through the consortium, actual achievement of students, proportion of faculty members participating, and impact on other programs.

9. Development of new programs

80) Comprehensively assess how many students are participating in university-designed overseas programs, such as internships and field work, and assess data on number of earned credits.

Appendix 2 Faculty Interview Schedule

Institution (学院): _____

Respondent (访谈对象): _____

Date of interview (访谈日期): _____

Interview length (访谈时间): _____

Step 1: Greetings and self-introduction

第一步：寒暄并做自我介绍

Step 2: Brief introduction to this research project

第二部：简单说明本课题情况

Step 3: Explanation that the interview is not at all a comment on the interviewee's idea and college/university work, but is to elicit the state of art of the university's internationalisation and his/hers understanding, followed by the following questions

第三步：解释所欲进行的访谈不是对被访者的观点或其单位的工作成绩加以评价，而在于了解当前该学校国际化的情况以及身在其中的成员的若干想法，并开始问一下问题

Research questions	Interview questions
Question 1: making meaning How do the leaders of the case university interpret IHE? How do their interpretations of IHE affect the case university's process of internationalisation?	What is your main job as an administrator? What does internationalisation imply for your daily work? Based on your knowledge and experience as a senior university/college administrator, what does internationalisation means to you? 作为一名大学管理者，您的主要工作职责是什么？ 您所从事的工作中，哪些方面体现了大学国际化？ 根据您作为大学的高级/中级管理人员的知识与经验，国际化的含义是什么？
Question 2: exploring	Follow up the conversation by exploring specific practice in their

dimensions How has the case university sought to 'internationalise'?	department that are oriented towards working with people/ institutions/ ideas from other countries, and try to unearth the history of how these developed, for example: What activities or strategies did your college/department do in the respect of university internationalisation，for example, international collaborative programme with institutions from other countries, recruiting international students, having international curriculum, etc. ? What changes are there compared with those activities years ago? 您所在的部门，在过去的几年里曾针对大学国际化做了哪些具体的工作？比如，与国外大学的合作项目，招收留学生。与过去的相比，发生了哪些变化？
Question 3: establishing the evaluation framework Does the case university seek to evaluate its internationalisation? Whether the university has its own ways, indicator framework, or tools for the evaluation? What dimensions are evaluated?	Whether do you have evaluation of internationalisation, if so, what it consists of? Why does it exist? If not, why not? 贵部门每年年终是否有关于外事工作的考核评价？ 如果有，考核哪些方面？ 如果没有，为什么没有？

Question 4: the Chinese university's characteristics and, to what extent, does the Chinese case university's evaluation model reflect the existing evaluating tools and indicator frameworks? What are the similarity and difference? Why do they happen?	\<Based on the literature review and documentary analysis\>
What factors can help and hinder the university's evaluation of its internationalisation?	Do you have any suggestions/recommendations for your university internationalising? What can we do to help the university internationalising? What factors can help and hinder the university's internationalisation? 您对贵校的高等教育国际化的发展有什么建议吗？我们应当怎么做才能帮助大学国际化？ 您认为大学国际化的促进因素有哪些，而哪些因素又阻碍了贵校的国际化发展？

Step 5: Confirmation of demographic information of interviewees including name, age, academic rank, administrative level, specialty, overseas experience, and the highest degree, followed by the following questions
再次核实访谈对象的个人情况，包括年龄、职务、职称、专业、海外经历及最高学历等

Appendix 3 Student Interview Schedule

Respondent (访谈对象): _____

Date of interview (访谈日期): _____

Interview length (访谈时间): _____

Step 1: Greetings and self-introduction

第一步：寒暄并做自我介绍

Step 2: Brief introduction to this research project

第二部：简单说明本课题情况

Step 3: Explanation that the interview is not at all a comment on the interviewee's idea, but is to investigate the student feelings and attitude towards the university's international efforts and his/her expectations, followed by the following questions

第三步：解释所欲进行的访谈不是对被访者的观点加以评价，而在于了解学生对该学校国际化的态度和期望，并开始问一下问题：

Interview questions

1. What is your personal experience of internationalisation at the case university? Have you seen any changes during your stay?

在校期间，你是否经历过任何与学校国际化有关的活动？具体有哪些？在过去的 4 年里，你是否目睹了相关变化？

2. Do you think it is necessary for the university to internationalise? Why (not)?

你觉得大学是否应当国际化？为什么（不）？

3. Do you think you should be internationalized after graduation from the university? What should you obtain (e.g. skills and capacities et.)? What do you learn during the undergraduate study?

作为一名大学生，你是否觉得应当具有国际化能力？本科期间，你都学到了哪些相关的技能？

4. In your view, what does internationalisation look and feel like at the case university? Are you satisfied with what you have learned?

你认为你所在的大学国际化水平如何？你是否满意你所学到的东西？

5. What do you suggest for the case university internationalisation?

你对大学的国际化发展有何建议？

Consent Form for the Study in
Evaluation of Internationalisation of Higher Education in China

Thank you very much for agreeing to participate in this study. This consent form explains what the study is about the how we would like you to take part in it.

This research is conducted by Zezhong Tian for the doctoral study at University of Lincoln. It aims to evaluate the current situation of internationalisation of higher education in a Chinese university. Internationalisation of higher education is already a major theme within educational research. This study is keen to learn how a case study Chinese university interprets internationalisation, how the case university internationalises, how the university evaluates its internationalisation, and what factors have helped and hindered the effective development of the university internationalisation. Data will be collected from senior leaders and middle-level leaders of the case university in China by semi-structured interview and the case university's documents. The results of the research will be written as the doctoral thesis, and with the agreement of the case university will probably be published in academic journals and disseminated to interested parties.

In order to elicit your views, you will be interviewed by the researcher. You can speak English or Chinese during the interview. If the language is Chinese, the record will be translated into English before doing the transcription. Before interview, please read the following content.

Consent

1. I understand the nature and purpose of this research, as described above.
2. I have been given the opportunity to ask questions about the Study.
3. I understand that taking part in the Study will include being interviewed and audio recorded.
4. I have been given adequate time to consider my decision and I agree to take part in the Study.
5. I understand that my words may be quoted in publications, reports and other research outputs but my name will not be used.
6. I understand that I do not have to answer any of the questions and that I may exit the interview at any time.

Signed………………………………………………………………………

Date…………………………………………………………………………

Appendix 5 Index Systems

5.1 The Meaning of IHE in the Case University

Participant	The Meaning of IHE
FT-1	Involves more different areas. It is a kind of fusion of different nations and culture. Learning from others and close the gap.
FT-2	We can apply 'one university two system' to deal with the conflicts between internationalisation and local education. With the openness of our country towards world, it is become easier to contact with foreign universities and HEIs. Our aim is to create a mutual acceptance higher education.
FT-3	IHE is a tendency in the higher education context. Compared with Europe and America, China lags behind them. Timing is very important for international cooperation. The earlier the easier.
FT-4	IHE should be based on the national condition and develop IHE.
	In the perspective of the goal of nurture, IHE should nurture comprehensive talent students who have international consciousness and international visions to survive in the international competition.
	IHE is a kind of educational mode
FT-6	IHE should have a criterion
	IHE should involve international communication in respect of student level and teacher level.
FT-7	IHE is a tendency and a process of communication involving different nations, different places, different culture and different religion. We learn from each other and close the gap.
FT-8	It is difficult to formulate a concept of IHE. It was discussed in other countries long time ago. We start to study it in the recent years. IHE is a term which has rich connotation. It is not only a form of education. It not only impacts on higher education, but also on elementary and secondary education. It is pleasant to see that our leaders have realized the importance of university internationalisation. This helps us to carry out the relative work. However, we have to admit that most of work is stopped at higher level (leaders) and international office. Our next plan is to promote IHE into lower lever (colleges). Not every college has the conscientiousness of IHE. It is not because they do not want to, but they do not know how to do and do not know what IHE is.
	IHE is more popular in European and American countries. Their students and teachers are from all over the world. They make the most of excellent recourses, recruit teachers globally, and bring the best teaching recourses and course books in as the educational philosophy (idea).
FT-9	There are two levels of IHE. Shallow level: student and teacher communication with foreign countries; deep level: the issue of educational system and philosophy of education
FT-10	Internationalisation is one of the indicators or criterion of the world university ranking which should be reflected from three aspects: teacher, student and university operation.
	China has organized two international and ICT education conferences. I think this has become a tendency. Compared with this, our university still has a long way to go.
FT-11	IHE is a platform tracking the most cutting edge technology and knowledge of the world, and also including the university management and operation mode. The aim of internationalisation of our university is to open to the outside world and to strengthen international cooperation.

FT-12	We cannot escape IHE. We must actively promote and involve in to it.
	IHE is not being westernized. The premise should be the loyalty of the national tradition and culture.
	First of all, we should start internationalising our teachers. No internationalised teacher, no internationalised students. Regardless of the national development, we should learn from each other and respect each other.
FT-13	IHE should contain the following factors: tracking the decampment of foreign universities; cooperating with excellent internationalised university; cultivating student by the international cooperative programmes; recruiting foreign academic staff and sending the Chinese teachers overseas for training and professional development. On the whole, we should have more contacts with the outside world. We should close ourselves and teach. We should communicate with different kind and levels of universities.
	IHE is not a consequence but a new educational vision, education process including student cultivation. In this process, we can reach a consensus that we can benefit from it. This is the primary goal of IHE.
FT-16	IHE should involve teacher, student, and research.
FT-17	At the beginning, it is the academic communication, and then it promotes the cooperation. This communication and cooperation, finally, produce a stable working mechanism and influence student cultivation.
	IHE should, firstly, nurture student taking the advantage of the excellent education recourses from foreign countries. Increase the quality of intelligent students. Send teachers and students overseas. This is internationalisation of Intelligences. On the other hand, research also need be internationalised. Research is used to support the teaching and learning.

5.2 The Implementation of IHE

Participant	The Efforts
FT-1	Learn from foreign university and adjust based on the onsite situation
	Scholar overseas visiting
	Buy lab equipment from foreign countries and invite foreign experts or technicians for training; launch bilingual class; invite professors of foreign universities for lectures; distinguished professor from foreign university
	Students go abroad for further degree
	Set up bi-lingual course to national students
FT-2	Adopt foreign teaching model into courses
	Invite foreign peers for academic lectures
	Establish a good relationship with other top Chinese universities and share their resources.
FT-3	Have collaborative programme sending student to foreign universities
	Provide services to foreign staff(e.g. in the period of SARS, we tried our best to secure their safety)
	Enroll international student
	Teach foreign students medical course in English
FT-4	Participate academic staff meeting on international student education
FT-5	Plan to send teachers to foreign universities for professional development
	Team work with foreign university to apply European project
	Bi-lingual course.
	Research team going abroad
	Teachers apply national/provincial scholarship going abroad for professional development/degree/visiting scholar
FT-6	set up Alumni contact
	Invite foreign staff and organize academic lectures
	Organize student to participate exhibition; open students and teachers' minds
	Encourage teachers to have studio to have practical and empirical experiences
	Students participate teachers' projects
FT-7	German student short term internship
	International office invite, liaison, make schedule and offer other supportive services for the foreign delegations
	International communication for teachers and students
	Regular managerial work on new foreign student induction (e.g. introducing XXX City, security, living, food,); education; accommodation; President symposium
	Apply for Confucius Institute
	Fund teachers who teach international student for profession training
FT-8	International office become independent from President office
	Recruiting academic staff for foreign student and sponsor them for professional development
	Being authorized by MOE for the enrollment of Undergraduate Clinical Medicine Programs Taught in English for International Students
	Recruit student from agency/teacher/students
	Establish a friendship with foreign universities and organize various activities for teachers and students;
	Deliver international conference information and encourage academic teacher to participate.
	The increase of budget on international affairs.
	Chinese-foreign cooperation in running schools with a German university.

	Train foreign teachers for TCM course in China.
	PG programme with a Brazil university.
	Dutch student delegation comes for visiting and communication.
	Organize summer school for a Russian university.
	HSK (Chinese language testing for foreigners) training for international students.
	Have around 200 full time and 70 part time/short term international students.
	Credit transfer exchange student programme with foreign universities.
	Establish research center and labs with foreign universities.
	President-led teams visit foreign universities.
	Set out policy to encourage young teacher going abroad for short-term professional training/development.
	Collecting the information of staff going abroad and reported to Party Committee Office for approval.
FT-9	Teach international students.
	Teachers do overseas scholar visiting.
	Import foreign teaching methods (PBL).
	Invite foreign professors to give lecture.
	Train teachers abroad.
	Tried to contact foreign universities to send student abroad, but failed.
FT-10	Recruit foreign teacher (teaching English).
	Teacher exchange programme.
	ATTC programme (send teachers to Britain for Master degree).
	Have limited communication with foreign universities, a small number of lectures and cooperation with foreign university and professors.
	Teachers apply for national/provincial/university fund or programme for further education (usually scholar visiting, Master degree and PhD study) or self-funded.
	Teachers attend international conferences.
FT-12	Invite foreign professors for lecture.
	Carry out scientific research programme with foreign university.
	Help local student go abroad.
	Teachers go to foreign universities for teaching.
	Future plan: apply for national fund and support some young and talent teachers going overseas for professional development.
	Organize meetings that the returning scholars report and share their experiences
FT-15	Recruit teachers who have international education background
FT-16	Long term programme Sino-Hungary forum (5 years).
	Short term visiting of the foreign university laboratory.
	Sign cooperative agreement on research with foreign universities
	Carrying out wider cooperation on scientific research after Sino-Hungary Forum (e.g. Sino-Europe projects).
FT-17	XX International Scholar ship to Traditional Chinese Medicine students；continue to expand foreign student enrollment; president go abroad to participate courses on higher education management.
	Policy: encourage young teacher (under 35) short term training; expand the foreign student recruitment; send at least 30 academic staff going abroad for professional training; XX Education Department sponsors several vice-presidents who are in charge of international affairs went to Hong Kong and Australia for higher education management training.

5.3 Indicator/Dimensions for IHE Evaluation

Participant	Attitudes of evaluation and indicators
FT-1	International communication with foreign university; university supportive policies; the consequence after communication. Quantitative statistic can help to reflect: the number of teachers going overseas, the number of international research programmes. The impact on student and university development.
FT-2	We should have an IHE evaluation framework. but as far as I know, there is no university having it. The university of such our type should only be evaluated part of them. It is not necessary to used others evaluation framework. but we should know the essence of it. we can evaluate by different ways from the same purpose.
FT-3	There is the evaluation system but imperfection. The first indicator should be 'uniqueness' (different from others). The educational achievement, such as the graduates, student awards, research
FT-4	International office should have or plan to do the evaluation work
FT-4	Foreign student's number, degree or non-degree. Cooperative programmes, Chinese student's mobility to foreign universities. Teacher's research and teaching. Policies for IHE and the implements. The financial support or funding for university internationalisation.
FT-5	Research- contribution to the local and national development.
FT-6	Communication and international recognition.
FT-7	Annual working assessment (working, teaching, and student satisfaction); leaders sit in on classes.
FT-7	Working on the base of university policies, but they are not perfect.
FT-7	There is no evaluation system for the education of foreign student. All the assessment or evaluation work we have done is based on the Scheme for the undergraduate assessment of higher education institutions. We are exploring how to teach and manage the work of international education. As far as I know, we do not have evaluation framework for foreign students. regards to the evaluation system, we have to say that different countries hold different purposes of doing internationalisation. For example, UK does it as an industry for money, USA does it to attract more and more intelligent people. However, China does it for the purpose of expanding influence worldwide. In another word, to promote Chinese traditions and culture. By now, China just has statistic data rather than evaluation.
FT-8	Plans and policies for cooperative communication ; specific organizational structure for internationalisation; the ratio of foreign academic staff; staff and student mobility and its ratio; the scale of foreign students; budget and implementation for internationalisation.
FT-9	Never evaluated. IHE is not the most urgent work at present. We are far from the IHE evaluation. What we did were scattered, not systematic. We tried to set up relationship with foreign universities, carrying out research cooperation, teacher training and sending students overseas; we undertake the teaching job for foreign students.
FT-10	The work we have done for university internationalisation had not reached to a evaluating level. We try to make efforts for it. The main organizational structure for IHE is the International Office. Consciousness of IHE has been raised. International office has become an independent department rather than being affiliated with president office. we have made more efforts for IHE: joint programme, credit transfer, recruit international students. We just started.
FT-10	The economic mode of the local place. It is intensive or extensive mode. Organizational structure; international programmes (host and participate); ratio and diversity of foreign teacher; number of international conference (host and

	participate); cultivate student's international competence, student participate international programmes
FT-11	We never tried to evaluate IHE. We are exploring. Do we need internationalisation in university? We need clarify what is internationalisation.
	We have some documents or university strategy mentioned internationalisation. but not specific how to do it. Just recommend or strengthen IHE.
	IHE is more written or spoken things rather than substantive things
FT-12	The leaders must have international visions guiding international work
	We do not evaluate IHE, but it can be reflected from the work we have done. For example, the ratio of academic staff with a foreign higher education degree; Doctoral tutors should master the latest research status of their areas.
FT-15	We do not evaluate IHE. But the teachers who has overseas training or education experiences are better than those who do not have the similar experience. It helps the teaching quality in the classroom.
FT-16	We haven't evaluated IHE. We are at the primary stage of IHE.
	We should evaluate three aspects: teacher, students and research. Teacher: set up the international communication for teachers (e.g. the time and frequency of overseas scholar visiting); Student: international curriculum, transfer credit; Research: international research cooperation programme, research collaborative relationship, substantial research programme and achievement.
FT-17	We have never done evaluation of IHE. But XX Education Department and China Scholarship Council do the assessment to the visiting scholars they sponsored.
	In recent years, IHE has been listed into the assessment of discipline construction, for example, the number of international student, international collaboration, international, international academic scholar lecture delivering; teacher overseas training, teachers with foreign higher education degree

5.4 The Barriers and Recommendations

Participant	Difficulties and Recommendations
FT-1	Lack supportive policies. The teacher must have clear purpose for the scholar visiting by using national fund. It should not be a junket trip.
FT-2	It is much more expensive to employ foreign professors. We can liaise with other Chinese universities and share their resources. We can do a pilot test of IHE in a small area or one or two colleges. Then, it can be expanded gradually throughout the university. University should create a pleasant policy environment to encourage IHE.
FT-3	Find out and develop its specialization. Develop international education with the purpose of improving quality and educating image.
FT-4	Firstly, the most obstruct of IHE is the cognition of IHE from leaders to teachers and to students. Secondly, developing IHE should not give up Chinese culture. Chinese IHE should have Chinese national culture. If we are weak in the economic strength, scale and level, we are unable to promote IHE even if we wish to do it. For example, the "211" "985" HEIs have great financial support from government. From this perspectives, we lag behind them. However, we have had doctoral programmes since 2012. This is a good opportunity for us to think and develop our internationalisation. it will help us to attract more foreign experts and professors to our university. We will have more opportunity to going overseas and learn.
	Cultivate student's international vision and awareness, and international and intercultural competence. Increase relevant courses and course books.
FT-5	First of all, different major should have different task for internationalisation. Our main task is not to educate foreign students but national student. The main difficulty for IHE is the language problem. Both teachers and students have this problem.
	Create a bridge for our student to communicate with foreign universities, foreign students and foreign culture. Teacher who has overseas academic experience can help create a link with outside world.
	Some colleges and departments do not have a clear idea of the university development strategy and planning for IHE. Teachers are busy with teaching and administrative affairs. They do not have time to do research and go abroad.
FT-6	Lack of channel and competence to do international communication; teachers lack of international vision and practical experience.
FT-7	We need solid educational quality; expand foreign student properly; strengthen management to student
	The number of foreign students is small and solely from developing countries, most of which are from Pakistan.
	As the provincial level university, we do not have much sponsor from the state.
FT-8	Government support key universities first. So the university like HUU get very limited fund from government. The university, of course, normally do the important and effective work first. IHE is not urgent for university at present. The development of IHE is restricted by Ministry of Education. We are forced to go abroad in the international environment. However, only a few of us can go outside of the country. In the IHE evaluation, different university should have different criterion. it is not easy for us to reach the middle level.
FT-10	Limited budget is not enough for international teacher recruitment; no policy to support recruit international manager. Students do not have international sense of vision and knowledge structure. It has something to do with educational atmosphere in xx city.

FT-11	There are many problems we are facing to: change our old perspective of university administration, have right cognition of IHE, have enough finance and human resource for IHE. All Chinese university wants to internationalise, but do not know how to do and why do it?
	Recommendation: the administrative departments and education managers should have awareness/cognition of IHE.
	Chinese university lacks of resources. Internationalisation in itself means paying for money.
	Chinese university applies "the president accountability system under the leadership of the Party Committee". Chinese university will never find way out to IHE if the Party Committee issues involved and interfere university operation. It is the president that should predominate the university resources (finance, HR, ect.). But in China, the resources are controlled by the university Party Committee. these people do not know how to manage a university, actually. The Party Committee should be in charge of governing leaders and political policies.
	We have a lot of difficulties in the university system and operation system. IHE means democracy in management, freedom in academy. University should hold the critical spirit. But this is contradictory with "the president accountability system under the leadership of the Party Committee". it is like a two-head monster, one big and one small. the big one is the Party Committee. when he talks, another small dare not to speak. but it is the small head that do the practical and specific affairs.
FT-12	Students do not have strong international sense. There is no dominant budgets for IHE. Rely on the national and provincial fund which is not enough.
	We belong the third level university.
	We do not have many teachers with international vision.
	the most important is that the leadership's international vision is not enough.
	The teacher's international level is low; in high advanced international university, students are active in academy. But our students are not active. The number of international student is small. It is difficult to form a mixed international and intercultural environment.
	It is culture that lead to the university, not the administration. Therefore, I think we, initially, lack of international sense of culture. Our teacher do not feel and realize this. Secondly, our university do not have any requirements to the teacher to bear the international vision. Thirdly, most of teacher's degree are gained in China.
	We do not have much budget to support teacher's professional development; the university leader do not have international vision and take money out for teacher development. We do not have international funding. Teachers going abroad for conference have to ask for University Party Committee's permission.
FT-15	Firstly, the managerial education system has some problems, the democratic management and system construction are still not perfect; second, Chinese universities are the same without its own specialty; third, Chinese student lack abilities of critical thinking, practice, self-learning, adaptation to society; fourth, students do not have reading habit; university level is low. there is a great gap between 211 and 985 universities. sixth, university's social service ability is weak. The university does not contribute a lot to the local area.
	Due to limited vacant professional position, we could not employ more academic staff. Therefore, we have to cultivate by ourselves.
	Firstly, I hope we can have more collaboration with foreign universities;

	secondly, Chinese university should been encouraged going outside. Though we have to pay much for it, the reward is worth of it. Third, send potential teachers abroad. If it is permitted, we should provide more opportunities for student communication with outside world. We must alert that some sensitive social research should not do with foreign university (political reason).
FT-16	The foreign universities prefer to collaborate with "211" "985" universities. We tried many times to set up collaborative programmes with some foreign universities and send our materials, but we were rejected. Create the specialty of our courses and majors.
FT-17	The leader should free their minds and have international vision. The university needs more financial support from government.
	We need focus on the quality, bring in advanced evaluation idea of foreign countries, promote university internationalisation, and work for intensive construction (quality-centred).

Appendix 6 Code System

6.1 Meaning of IHE in the Case University

Participants' Interpretations	Sub-codes	Codes
Sending Ts overseas as short term (1-3 months) and long-term (1 year or more)visiting scholars; employ foreign teachers; employ national teachers who have overseas educational background	1.1.1 Teaching/ Teacher	1.1 Educational function
Bilingual course to increase Ss' professional English; Chinese-Foreign Cooperation in Running Schools; Foreign university acknowledge the student we nurtured; Enrolling foreign students; IHE, initially, should focus on student nurturing, and then faculty development and research.	1.1.2 Learning/ Student	
Substantial research communication and cooperation with foreign university. Having research products	1.1.3 Research	
Ss and Ts communication with foreign universities; Invite foreign academic staff to give lectures; Exchange visiting with foreign universities; Have more cooperative programmes Organizing and participating international academic activities and establish a good relationship with foreign universities The programme of Chinese-Foreign Cooperation in Running School is at the primary stage, however, it is important part of IHE. The C&C should emphasize on nurturing Ss.	1.1.4 Communication & Cooperative Programmes	
Input and output of Ss and Ts; Encourage student going abroad	1.1.5 Mobility	
Ss and Ts should have international view and open mind;	1.6 Openness	
Internationalisation is an integrated process that different nation, region, culture, and religion learn from each other and make up for each other's deficiencies in the context of higher education.	1.2 Learn and self-improve	
IHE should have its own speciality which differs from other countries. It should be carried out on the base of remaining its own national culture and tradition. National culture and tradition should be reflected in IHE. IHE should not be interpreted as Westernisation. IHE should focus on more localisation.	1.3 National stance	
IHE is a kind of platform in which we can track the latest cutting-edge of scientific and technical achievement of other foreign universities. In	1.4 Platform stance	

addition, it is necessary to know the management philosophy and operational mode.		
IHE is a kind of tendency; It is difficult to define it; Other countries' IHE can enlighten us and give us a unlimited opportunity for our development.	1.5.1 Attitudes to the concept	1.5 Others
IHE is a rich connotation. It is not a format, but awareness. The manager should have it.	1.5.2 Awareness	
It is a matter of nurturing philosophy and educational system	1.5.3 System	

6.2 Implementation of IHE in the Case University

Participants' Interpretations	Codes
Academic communication (home based)	**2.1 Communication**
Create and maintain good relationship with top Chinese and foreign universities and set up research team	
International alumni contact	
President-led term visiting foreign universities	
SS communication (home based)	
Academic cooperation with Foreign professor	**2.2 Cooperation**
Collaborative programme with foreign university sending students abroad	
Collaborative research programme with foreign university (Germany)	
Cooperative application EU programmes	
Foreign company fund scholarship for TCM	
SINO-HUNGARY FORUM	
Team-based research in foreign university	
Substantial research communication and cooperation with foreign university	
Regular internet meeting with foreign partners	
TS academic activity (participate international conference/participate contest/exhibition)	**2.3 Academic activity**
Apply for Confucius institute	**2.4 Localisation**
Bi-lingual course	
Import knowledge, textbook	
Lead ss to visit exhibition and learn	
Returning TS give lecture share their experiences	
Brainpower project (Employ foreign staff/experts/TS with international education background)	**2.5 Construction of the faculty team**
Encourage TS to have their own studio and increase practical experiences and apply to the classroom	
fund for TS professional development (eg teachers who teach international students)	
President overseas training	
Enrol international students (FT/PT/Short term)	**2.6 International student education**
Inspect international student's class	
international education centre: International SS management and education	
Academic staff meetings for international student education to meet their needs	
International SS training (home based)	
International office supportive service for international visiting & communication (HOME & OVERSEAS)	**2.7 International office**
International office supportive service to foreign teachers	
Organizational structure change (international office became independent and clarify responsibility of each division)	
Make policy to encourage young TS going abroad study (short term)	**2.8 Mobility**
short term visiting (home based/overseas)	
SS mobility (collaborative programme for credit transfer/degree/self-funded/for research with TS)	
SS mobility PG programme receives 2 Brazil SS each year.	
TS go abroad for research	

TS mobility – teaching abroad	
TS mobility (national/provincial scholarship)	
TS mobility (research programme)	
TS mobility for degree or certificate (Master to PhD)(national/governmental/organizational/institutional /personal programmes)	
Reward (advanced university in international communication and co-operation)	**2.9 Achievement**

6.3 Indicators and Dimensions for Evaluation

The result and effect of international communication and cooperation	International communication and cooperation on international students and foreign staff
	impact to the national student and institution development
	The academic staff working overseas
	The number of students who participate exchange programmes
	The ratio of student and teacher mobility
	The relationship with foreign HEIs and contacts
Policy and mechanism	Supportive policy for university internationalisation
	The implementation of the policy
Speciality	The special respects which are outstanding to other institutions
Organizations	The working plan of the International Office
	Professional organization for international affairs
	Supportive organizational structure for university internationalisation
Foreign students	The number and level of foreign students
	The number of academic staff who teach foreign students
	The enrolment of foreign students
Cooperative programmes	The plan for cooperative programmes
	Chinese-foreign cooperation in running schools project
	International activity, hosting and organizing international conferences
Research	International teaching and research
	International research collaboration
	International research platform
	Research communication and collaboration with foreign peers
	The achievement of international research
	The contribution to the local and national development
Financial support	The investment and budget of finance for international education and management
Staff	The ratio the foreign staff and national staff
	The number of staff sent to foreign countries for professional training and development
	The contact with foreign peers
	The length of time and frequency of staff communication in foreign HEIs
	The number of lectures delivered by foreign experts/peers
Forster national students	The number of student sent to foreign HEIs
	Exchange programmes with transferring credit
	Student participation of international activities/competitions
	Communication between national students and foreign students
Manager	Whether the manager has international view in management and teaching

6.4 Barriers and Suggestions

Difficulties	Recommendations
Lack **of supportive policy** at national level and institutional level	IHE should been encouraged to develop in a pleasant environment in terms of **policy** at university and national level
Lack of specific **financial** support and source for IHE	The university needs more **financial support** from government
Ts, Ss and Manager do not draw **attention** to IHE	Teachers, students and manager should have the **awareness/cognition** of IHE. The leader should free their minds and have international vision.
Foreign language issue	**Strengthen management** to foreign student
Heavy teaching task and lack of time to do research and go abroad for professional development. The opportunity for staff going abroad is **limited and restricted**	Create more **links and contacts** (international programmes) with foreign university so that students and teachers have opportunities to the world.
The number of foreign student is small and most of them are from Pakistan. It is difficult to create an international and **intercultural campus culture.**	Internationalisation should focus on the education **quality**
The environment and atmosphere of the city.	We can start from small things/units and then **expand** to bigger things/whole university. Expand **foreign student number** properly;
University **level** is low; The foreign universities prefer to collaborate with "211" "985" universities.	It is necessary to **know** the advantage and disadvantage of the university
Chinese universities are the same without its own **specialty;**	The IHE evaluation, different university should have different **criterion**.
The national **HEIs system** "the president accountability system under the leadership of the Party Committee" hinders IHE development.	We must alert that some sensitive social research should not do with foreign university (political reason). Developing IHE should not give up **Chinese culture**.

Appendix 7 Thematic Matrixes

7.1 Conceptual Framework of the meaning of IHE in the Case University

No.	Perception	Approach	Definition
1	Function	Activity, ethos and process	IHE is a process that international communicative and cooperative programme and activity impact on the function of HE including teaching/teachers, learning/students, research and services. International/intercultural awareness, as the intangible respect of IHE, should be penetrated throughout the entire process.
2	Learning and self-improvement	Competency	IHE is an integrated process where different nations, regions, culture and religions learn from each other and improve themselves in the context of higher education
3	Nationalism	National identity	IHE should have its own specialty which differs from other foreign HEIs. It should be developed on the base of remaining its own national culture and tradition. To the developing countries, IHE should not be interpreted as Westernisation. IHE should focus on more nationalism.
4	Platform	Practice sharing	IHE is a kind of platform in which we can track the latest cutting-edge of scientific and technical achievement and advanced university system of other foreign universities.
5	Others	N/A	• Attitudes to the concepts (eg. no idea/whether we should define it; it is a tendency) • The matter of higher education system

7.2 International Implementation Matrix of the Case University

Dimensions	Implementations
Communication	Academic communication (eg guest lectures) (home based)
	Creating and maintaining good relationship with top Chinese and foreign universities and setting up research team
	International alumni contact
	Regular internet meeting with foreign partners
	President-led team visiting foreign universities [outflow mobility]
	Ss communication (home /overseas based) [inflow and outflow mobility]
Cooperation	Research cooperation with foreign peers [inflow mobility]
	Collaborative programme with foreign university sending students abroad [outflow mobility]
	Collaborative running school programme with foreign university
	Cooperative application EU programmes
	Foreign company fund scholarship for TCM
	Team-based research in foreign university [outflow mobility]
	Substantial research communication and cooperation with the foreign university
Academic capability	Ts academic activity (participate international conference/participate contest/exhibition)
	XXX- XXX FORUM
Localization	Apply for Confucius institute [Cooperation]
	Bi-lingual course
	Use foreign textbook and foreign teaching methods
	Lead Ss to visit international exhibition and participate international competition
	Returning Ts deliver lecture sharing their experiences
Construction of the fa culty team	Brainpower project (Employ foreign staff/experts/TS with international education background)
	Encourage Ts to have their own studio and increase practical experiences and apply to the classroom
	Fund for TS professional development (eg teachers who teach international students)
	President overseas training
Foreign student education and management	Enroll international students (FT/PT/Short term) [inflow mobility]
	Inspecting international student's class
	International education centre: International Ss management and education
	Academic staff meetings for international student education to meet their needs
	International Ss training [inflow mobility]
International Office	International office supportive service for international visiting & communication (home & abroad)
	International office supportive service to foreign teachers
	Organizational structure change (international office became independent and clarify responsibility of each division)
Mobility	Make policy to encourage young TS going abroad study [short term]
	Short term visiting (home based/overseas)
	Ss mobility (collaborative programme for credit transfer/degree/self-funded/for research with TS)
	Ss mobility PG programme to nurture 2 Brazil SS each year.
	Ts go abroad for research

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	Ts mobility – teaching abroad
	Ts mobility (national/provincial scholarship)
	Ts mobility (research programme)
	Ts mobility for degree or certificate (Master and PhD) (national / governmental / organizational / institutional / personal programmes)
	Ts mobility - recruit foreign Ts
Achievement	Award (advanced university in international communication and co-operation)
	Research, teaching, graduates etc.

7.3 Evaluation Framework of the Case University

Dimensions and Sub-dimensions			Indicators
1. University policy			Supportive policy for internationalisation
			Goals and strategies
			Implementation
2. Organizational structure			Professional staff/faculty
			Responsibility
			Achievement
3. Finance			Income (university financial support, income from external organization, or international education)
			Expenditure
			Effects
4. Educational function involving communication & cooperation and mobility dimensions	4.1 Students /Learning	4.1.1 National Ss	Number of student going abroad for exchange
			Number of student going abroad (not) relaying on university international programme
			Number of student participating international activity (academic & non-academic)
			Communication with students of other foreign university
			Platform of international courses
		4.1.2 Foreign Ss (FSs)	Number of FSs
			Academic levels of FSs (UG, PG, short/long-term training/internship, FT, PT)
			Courses for FSs
			Educational management for FSs
	4.2 Teachers/Teaching	4.2.1 National Ts	Proportion of Ts obtaining degree abroad
			Proportion of Ts having work experience abroad of at least six months
			Proportion of scholar visiting/training abroad
			International Ss course undertaken
			International communicative and cooperative mechanism/policy for Ts professional development
		4.2.2 Foreign Ts (FTs)	Proportion of FTs in a unit
			The number of invited lectures
			The frequency (how many times) of FTs/international delegations/teams visiting
	4.3 Manager		Manager's performance and achievement
	4.4 Research	4.4.1 Research project	The number of research project/programme cooperated with foreign HEIs
			The number of independent international research project
			The number of international/governmental fund for international research
		4.4.2 Research activity	International-level conferences/seminars participated domestically and overseas
		4.4.3 Research achievement	The number of conference presentation/published paper delivered abroad (or in the context of international conferences) by Ss/Ts
			The products of the research, eg. Medicine, machine, etc.
	4.5 Public services		The participation, contribution and impact on the society and economy
5. Specialty			The specialty of the evaluated unit
6. Others			

7.4 The Barriers and Recommendations

Barriers	Recommendations
Lack **of supportive policy** at national level and institutional level.	IHE should been encouraged and developed in a pleasant environment in terms of **policy** at university and national level.
Lack of specific **financial** support and source for IHE.	The university needs more **financial support** from government.
Ts, Ss and manager do not draw **attention** to IHE.	Teachers, students and manager should have stronger **awareness** of IHE. The leader should free their minds and have international vision.
Foreign language proficiency.	**Reinforce the education and management** to foreign student.
Heavy teaching task and lack of time to do research and go abroad for professional development. The opportunity for staff going abroad is **limited and restricted**.	Create more **links and contacts** (international programmes) with foreign university for students and teachers.
The number of foreign student is small and most of them are from Pakistan. It is difficult to create an international and **intercultural campus culture**.	We can start from small things/units and then **expand** to bigger things/whole university.
The environment and atmosphere of the city.	The IHE evaluation, different university should have different **criterion**.
University **level** is low; The foreign universities prefer to collaborate with "211" "985" universities.	
Chinese universities are the same without its own **specialty**.	
The national **HEIs system** "the president accountability system under the leadership of the Party Committee" hinders IHE development.	

Appendix 8 EA2 Ethical Approval Form

EA2 Ethical Approval Form:
Human Research Projects

Please word-process this form, handwritten applications will not be

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This form must be completed for each piece of research activity whether conducted by academic staff, research staff, graduate students or undergraduates. The completed form must be approved by the designated authority within CERD.

Please complete all sections. If a section is not applicable, write N/A.

1 Name of Applicant	Zezhong Tian
	Department: Faculty: CERD Education
2 Position in the University	Postgraduate Student
3 Role in relation to this research	Research
4 Brief statement of main Research Question	The research is attempting to address the following questions: 1. How do the leaders of the case university interpret HE internationalisation? Are their interpretations different or the same as existing theories? 2. How has the case university internationalised? 3. How does the case university evaluate its internationalisation? Whether the university has its own ways, indicator framework, or tools for the evaluation? What dimensions are evaluated? 4. To what extent, does the evaluation model reflect the existing evaluating tools and indicator frameworks of the Western? 5. What factors can help and hinder the case university's evaluation of internationalizing?
5 Brief Description of Project	HE internationalisation can mean different things in different countries and contexts. From the existing research achievement and projects, it is possible to argue that the voice of HE internationalisation is mostly Western. Therefore, what does HE internationalisation look like in less developed countries and developing countries? This research tries to mirror the reflection of HE internationalisation in one of the biggest and most important countries in the world, China, and, specifically, how the Chinese universities evaluate their internationalisation. This will be achieved principally through semi-structured interviews supported by some document analysis. One Chinese university will be selected as the case to investigate. This will be the University where I currently work. A series of interviews will be conducted at the case institution. Interviewees are classified into three groups, which are the Principal who is in charge of international education issues, the Director of the International Office, and the Deans of Colleges. This is a total of 20 interviews (1+1+18). The reason for the selection of these interviewees is that they have a key role in relation to internationalisation strategy and policy within the University. These three groups of interviewees therefore are very close to and can influence the universities' internationalising both on strategy and practice. The proposal is to interview all the people within these three groups so no sampling within groups is required. Interview data will also be supplemented by documentary evidence from within the

	institution. Most documents will be in the public domain – such as strategy and policy documents. However, I may be provided with material that is not in the public domain – how this will be handled is discussed below.	
	Approximate Start Date: October, 2011	Approximate End Date: September, 2015
6 Name of Principal Investigator or Supervisor	Zezhong Tian	
	Email address: tianzezhong@gmail.com	Telephone: +44(0)7574885313
7 Names of other researchers or student investigators involved	**1.** **2.** **3.** **4.**	
8 Location(s) at which project is to be carried out	Hebei Province, China	