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— < Abstract > –

This paper provides a conceptual overview of the internationalization of higher education and presents a set of performance indicators for assessing internationalization. It begins by locating internationalization within the context of globalization and discussing the impact of globalization on tertiary education. The paper continues with overviews of the concepts of performance assessment, performance indicators, and a performance assessment model. It then presents a review of the global literature on internationalization at the higher education level. The centerpiece of the paper is the author's internationalization model, consisting of ten key performance categories, and the related performance indicators. The paper concludes with the observation that the internationalization of higher education is a complex process and represents a major educational reform.

1 . Introduction

This paper is about the internationalization of higher education, a phenomenon that is occurring worldwide. In this era of globalization, there is pressure on universities to become more international in character. One purpose of this paper is to discuss what internationalization means. There is also worldwide interest in the assessment of higher education. The Center for the Studies of

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Higher Education (CSHE) at Nagoya University has been actively involved in studying this issue in the Japanese university context. CSHE has done important work in identifying performance indicators that can be used as tools for assessing a university's overall performance. This paper builds on the work done by CSHE by examining performance assessment and performance indicators specifically as they relate to the internationalization of higher education.

In this paper I will be addressing three research questions:

- 1. What are the most important dimensions of internationalization in the field of higher education?
- 2 . What are the components of the performance assessment process?
- 3. What are the key performance indicators regarding the internationalization of higher education?

In preparing this paper, I first examined the theoretical literatures on internationalization, in particular, works from Europe, Canada, Australia, Japan, and the United States. Second, I searched for actual examples of internationalization and its assessment at different universities around the world in order to determine how it is defined and measured. Third, I reviewed the concepts of performance assessment and performance indicators. Fourth, I reflected on my own experiences as an international educator for over 25 years at the University of Minnesota. During those years, I have been able to observe and participate in many internationalization programs in the areas of curriculum development, study abroad, international students and scholars, and the organization of international education. I have attempted to synthesize all of these for the purposes of this paper.

The paper is organized into the following sections: A. Definitions of globalization and internationalization. B. Overview of the concept of performance assessment. C. Overview of the concept of performance indicators. D. Performance assessment model. E. Internationalization - Review of the literature. F. Internationalization model

- 10 key performance categories. G. Internationalization performance indicators. H. Internationalization index

2 . Globalization and Internationalization

At the outset, it is important to differentiate the concepts of globalization and internationalization (Enders and Fulton, 2002). Globalization can be defined as, "a set of processes by which the world is rapidly being integrated into one economic space" (Gibson-Graham, 1996, p.121; cited in Stromquist and Monkman, 2000, p.4). It also refers to, "the process and consequences of instantaneous world-wide communication made possible by new technology. The consequences include an explosive growth in the quantity and accessibility of knowledge and continually increasing integration and interdependence or world financial and economic systems" (Grünzweig & Rinehart, 2002, p.7). Waters (1995) suggests that globalization is about the world economic, political, and cultural order.

All of these definitions point to the rapidly changing world that will be facing our students. That world, many argue, will require graduates to possess broad international knowledge and strong intercultural skills in addition to the more traditional disciplinary knowledge historically acquired a result of a university education. Globalization has an impact on the university because it influences what universities must teach to prepare students for their professional lives (Currie & Newson, 1998: Currie, DeAngelis, de Boer, Huisman, Lacottte, 2003).

Whereas globalization is about the world order, internationalization is about organizations and institutions, such as universities. Internationalization means creating an environment that is international in character - in teaching, in research, in outreach. It means exposing students, for example, to knowledge about and from different parts of the world, and it means preparing them to communicate and work with people from other cultures and countries. In the case of higher education, "Internationalization at the national, sector, and institutional levels is defined as the process of integrating an international, intercultural, or global dimension into the purpose, functions or delivery of postsecondary education" (Knight, 2002. p.1).

Ellingboe (1998, p.199) expands the scope of Knight's definition by stating that, "Internationalization will be defined as the process of integrating an international perspective into a college or university system. It is an ongoing, future-oriented, multi-dimensional, interdisciplinary leadership-driven vision that involves many stakeholders working to change the internal dynamics of an institution to respond and adapt appropriately to an increasingly diverse, globally-focused, ever-changing external environment." This complex definition suggests that there are many dimensions of internationalization and that it is a dynamic process of institutional change. Later in this paper, I will present an internationalization model that identifies these dimensions. Let us now turn to performance assessment.

3 . Performance Assessment in Higher Education

At a time when public and private institutions are being held ever more accountable by the public and various stakeholder groups, performance assessment has become an increasingly important topic (Brennan and Shah, 2000). Erwin (199, p.15; cited in Brown & Glasner, 1999, p.31) defines it as a process that consists of, "defining, selecting, designing, collecting, analyzing, interpreting, and using information..." The ultimate purpose of the assessment process is to improve the performance of the institution relative to its goals and objectives. The assessment process enables the institution to determine what kind of progress it is making toward the achievement of those goals and objectives. In the area of internationalization, the Organization for Economic Co-operation and Development (OECD) (Knight & de Wit, 1999) has presented the

Internationalization Quality Review Process (IQRP), which is described elsewhere by Knight (2002, p.1) as, "a process whereby individual institutions of higher education assess and enhance the quality of their international dimension according to their own stated aims and objectives." IQRP assessments involve internationalization policies, support structures, academic programs, grants and contracts, students, research and scholarly collaboration, and human resource development programs and opportunities. The IQRP process frames the assessment in terms of the context for internationalization and then proceeds to examine these specific areas.

4 . Performance Indicators

Performance indicators are tools that are used in the performance assessment process. The Association of Universities and Colleges of Canada (AUCC, 1995a, p.3) defines a performance indicator as," a policy relevant statistic, number or qualitative description that provides a measure of whether the university, some aspect of it, or the university system is performing as it should." USAID's Center for Development Information and Evaluation (1996, p.1) states that, "Performance indicators...define the data to be collected to measure progress and enable actual results achieved over time to be compared to be compared with planned results." Performance indicators are operational units of analysis, ways of measuring in discrete ways the performance of the institution.

5 . Internationalization: Review of the Literature

There is a small but growing literature on the internationalization of higher education, noteworthy examples of which include Callan (2000), Crowther, Joris, Otten, Nilsson, Teekens, and Wachter (2000), Ellingboe (1998), Green and Olson (2003), Grunzweig and Rinehart (2002), Knight and De Wit (1999), Mestenhauser and

Ellingboe (1998), Mestenhauser (2000a, 2000b, 2002), Paige (1993), and Siaya and Hayward (2003). The literature review identified numerous aspects of internationalization. I was most interested in discovering the commonalities across countries and organizations. Twelve items from the literature that I found particularly insightful and helpful are summarized in Appendix A and I will discuss them in this section. Ellingboes (1998) six dimensions of internationalization are the result of two major research studies she has conducted of U.S. universities. Five of these dimensions - faculty involvement in international activities, an internationalized curriculum, study abroad, international students and scholars, and college leadership - appear in almost all of the internationalization documents and as such represent key components cross - nationally. Knight and de Wit (1999), the authors of the OECD document on IQRP, identify many of the same dimensions, although they are categorized somewhat differently. Leadership here is embodied in internationalisation strategies and policies as well as organizational support. Academic programs and students are combined. Faculty involvement is captured by the concept of research and scholarly collaboration. To these, the authors add context, human resource management, and outreach in the form of contracts and services to the list.

Paige and Mestenhauser (1999) focus specifically on the curriculum and provide us with a very detailed account of characteristics that in their view make the curriculum more or less international. Internationalized curricula provide learning opportunities that are, among other things, intercultural, interdisciplinary, comparative, global, and integrative in character. Mestenhauser (2002), taking the broader view of internationalization, adds additional factors that need to be taken into account including mechanisms for monitoring and evaluating the process, budget and resource allocation, promotion and publicity, incentives for student participation in international activities, and structures to sustain internationalization.

Professional associations in the U.S. and elsewhere have weighed in with their perspectives on internationalization. The AUCC (1995b) identified institutional policy, academic policy, research opportunities, community outreach, as well as provincial and federal policies as key elements in international education. The American Council on Education (ACE) has been very active in conducting state of the art studies pertaining to internationalization and has been one of the most influential higher education organizations in this area. In a recent ACE document, Internationalizing the Campus: A User's Guide (Green and Olson, 2003), the authors identify eight dimensions, reaffirming what has been mentioned in other studies. ACE pays particular attention to the important of finding synergy and connections among the different internationalization activities. ACE also specifies the ways in which the institution can support internationalization by means of an articulated mission/goals/vision, a strategic plan, and international structures and policies.

This literature review also included an examination of the internationalization approaches taken by specific universities, five of which will be mentioned here as well as one university consortium. The University of British Columbia in Canada has prepared a document entitled, Bridge to the 21st Century: Internationalization at UBC (University of British Columbia, 2000), that lays out five areas of emphasis: people and personnel; the recruitment of international scholars, students, and researchers; international research initiatives; funding resources; and an international mission, principles, and priorities for the university. Paige (2003) presents a case study of the University of Minnesota in the U.S. in which he describes 25 plus years of internationalization projects in the areas of international students and scholars, the curriculum, faculty participation in international activities, internationalization of co-curricular units (e.g., residence life), study abroad, and the leadership aspects of internationalization that have helped sustain these efforts. An Australian university, the University of Ballarat (2003), is one of the few institutions that has actually development key per-

formance indicators for what it terms "international reach." There are specific indicators in the areas of international students, international student income, exchange students, international experience of staff, and the international relevance of the curriculum. Another Canadian university, the University of Regina (2003), established a Task Force on Internationalization. The task force organized internationalization around three major areas: teaching, research, and service. These three correspond with the fundamental mission of North American universities; in this instance, they are given an international character. The fourth area is the organizing principle of having an international mission and vision. The fifth and final university to be discussed is Malmo University in Sweden. Malmö is an interesting case because it is a relatively new university that has had a strong international dimension since the beginning. According to Nilsson (2003), Malmö has emphasized the following in its attempts to create itself as a distinctively international university: an internationalised curriculum, study abroad for staff and students, staff and student development programs, faculty international involvement, and bilingualism among its faculty, staff and students, and an Internationalisation at Home (IaH) program. IaH is a feature of Malmö University that has received a great deal of attention in Europe and elsewhere. The IaH concept is that internationalization cannot rely entirely on mobility (study abroad) schemes, but must take into account the fact that the majority of students will not be studying abroad. Hence the university must find ways to provide international learning experiences for those who stay at home. Malmö places a great deal of emphasis on the curriculum for this purpose through language education, interculturally-oriented courses, field experiences in the surrounding immigrant community, and so forth.

The International Fifty Consortium (Marden and Engerman, 1992) is a group of 52 private, liberal arts colleges, four-year U.S. colleges that have made internationalization one of their top priorities. Established in 1991, each member institution had to meet cer-

tain qualifications including high percentages of: international students in the student population, students who study abroad, faculty members who participate in international teaching and research, undergraduates awarded degrees in international fields, and alumni who go on to get advanced degrees in international fields.

Let me close with some observations about international education in Japan, the country where I lived and worked for six months in 2003-2004. As the literature makes clear, Japan has taken a somewhat different and more focused approach by seeking to stimulate internationalization through a strong international student presence (cf.Ebuchi, 1989; Ebuchi, 1997; Horie, 2002, 2003; Umakoshi, 1997). The "100,000 Plan", launched in 1983, established the goal of bringing 100,000 international students to Japan by the year 2000. From a theoretical perspective, international students would drive the process; Japanese students would gain new perspectives through their interactions with these incoming internationals, classrooms would become more international learning environments, universities would have to develop appropriate support infrastructures, and so on. While the target was attained in 2001, but there have been many questions raised about the efficacy of relying primarily on this one sector to promote internationalization. Now that Japan has attained the 100,000 target, it will be most interesting to see how internationalization progresses in the years ahead.

6 . Internationalization Model: Key Performance Categories

In this section, I present an internationalization model in figure1 below that synthesizes the findings from the literature review. Figure 2 includes ten performance categories that can be operationalized and subjected to a performance assessment. The model begins with *university leadership*, meaning persons at different levels in the university who provide leadership and support for in-

ternationalization. Leadership at the top from the university President or Provost is a critical part of the overall leadership picture, but there must also be leadership at other levels in the faculties, departments, and other units. The second category, the strategic plan, is critical because it gives voice and form to internationalization. As mentioned earlier, the strategic plan consists of goals, objectives, inputs, activities, and specific targets and timelines. A good strategic plan is an indispensable part of internationalization. Referring to strategic planning in the College of Education and Human Development at the University of Minnesota, Paige (2003) states that the planning documents developed in 1991, "guided internationalization throughout the 1990s and gave a strong sense of purpose and focus to the [International Education] committees work " (60). Similarly, the *institutionalization of international education*, the third dimension, is critical because is makes internationalization sustainable. If the university has a governance structure for internationalization, the possibilities are greater that the process will succeed. The fourth dimension - an infrastructure for international education - refers to the presence of professional staff and units responsible for specific aspects of internationalization such as international students and scholars, study abroad, international grants and contracts, and faculty development. In many countries, these are now recognized as highly specialized activities that require professional staff with proper academic training and years of international education experience.

The literature is very consistent in placing the *curriculum*, the fifth category, at the heart of the internationalization effort. Universities are ultimately about students and what they learn. The curriculum is thus the embodiment of a university's philosophy of what a higher education means. If teaching and learning is international in character, the message being transmitted is that internationalization is valued, that students will leave the university having been given numerous learning opportunities such as second language and study abroad experiences. *International students*

and scholars, the sixth category, can play a very important role in internationalization, in particular, through their interactions with host country students inside and outside of the classroom. If they are properly supported by professional staff and given assistance in being integrated into campus life, their impact can be even greater. The seventh component is *study abroad*. The literature I reviewed and the universities I examined are consistent in identifying study abroad as a major focus of internationalization. Linking study abroad to the curriculum rather than leaving it at the margin is one of the keys to successful study abroad programming.

Figure 1. Internationalization Model: Key Performance Categories

- 1 . University Leadership for Internationalization
- 2 . Internationalization Strategic Plan
- 3 . Institutionalization of International Education
- 4 . Infrastructure Professional International Education Units and Staff
- 5 . Internationalized Curriculum
- 6 . International Students and Scholars
- 7 . Study Abroad
- 8 . Faculty Involvement in International Activities
- 9 . Campus Life Co Curricular Programs
- 10. Monitoring the Process

The eighth area is *faculty involvement in international activities*. Faculty members are integral to the curriculum; the more involved they are in international activities, the more likely it is that they will incorporate an international dimension into their courses and work effectively with international students, among other things. Universities that support faculty participation in international conferences, research sojourns abroad, and similar international activities will be investing both in faculty development and the broader internationalization of the institution. *Campus life and co-curricular programs*, the ninth dimension of internationalization, pertains to the environment on campus outside of the classroom. Are there international events occurring on campus (e. g., music, dance, lectures)? Are there places for international and host country students to meet informally and socially? Are there clubs and organizations for student interested in international issues? Are there residence halls that promote international learning? Having an international atmosphere on campus can make an important contribution to internationalization. The tenth and final dimension is *monitoring the process*. It is important to have monitoring systems in place to track the progress of internationalization. If no one is responsible for developing performance indicators, collecting data, interpreting data, and making suggestions for improvement, it will be to accomplish the internationalization agenda.

7 . Performance Indicators in International Education

In the closing section of this paper, I present a set of international education indicators that can be used in a performance assessment. These indicators can be examined in several ways. First, does the indicator exist or not, e.g.," Is there an International Student Office or not?" Second, many of these indicators can serve as a benchmark by added the question, "Has there been an increase or decrease in X (e.g., the budget) during the past year? How much was it?" Third, a qualitative and more descriptive dimension can be incorporated into the assessment by asking," What are the specific characteristics of X (e.g., the criterion for hiring international education staff) that make X(the International Offices) international in nature?" The performance indicators are presented in the Appendices 1-10.

At the conclusion of this research process, I must state the I am in agreement with Ellingboe (1998) and other authors that internationalization is on ongoing, system-wide, a very complex process, one that actually is very much a part of higher education reform. As such, it is not something that can be done quickly or easily or for that matter inexpensively. But those many international educators, international students, and domestic students that I have worked with, taught, advised, and spoken to over the years, make it clear to me that internationalization is worth the effort.

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Ellingboe (1998)	Knight and de Wit (1999)	
1. College leadership	1. Context	
2. Faculty involvement in interna- tional activities	2. Internationalisation strategies/poli- cies	
3. An internationalized curriculum 4. International study/research op-	3. Organizational and support struc- tures	
portunities for students	4. Academic programs and students	
5. International students and schol- ars well-integrated into campus	5. Research and scholarly collabora- tion	
life	6. Human resources management	
6. Internationalized student affairs/ co-curricular units	7. Contracts and services	

Appendix A. Internationalization Conce	epts
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Paige & Mestenhauser (1999)	Mestenhauser (2002)	
1. Integrative dimension 2. Intercultural dimension	1. Comprehensive international edu- cation policy	
3. Interdisciplinary dimension	2. Monitoring and evaluation mecha-	
4. Comparative dimension	nisms	
5. Transfer of knowledge and and	3. Strategic plans	
technology dimension	4. Governance structures	
6. Contextual dimension	5. Budget/resource allocation	
7 . Global Dimension	6. Faculty development programs	
	7. Internationalized curriculum	
	8. Incentive system for student par-	
	ticipation in international educa-	
	tion	
	9. Promotion and publicity about in-	
	ternational education	
	10. Sustainability	
	-	

ticulated commitment: mission, als, vision
ategy/strategic action plan uctures, policies, and practices e curriculum and co-curriculum idy and internships abroad gagement with institutions in her countries mpus culture hergy and connections among crete activities

University of British Columbia-Can- ada (2000)	University of Minnesota-USA (Paige, 2003)
 People and personnel Recruitment (international scholars, visiting researchers) Research initiatives in an international context 	 Integration of international stu- dents and scholars in university life Internationalized curriculum Faculty participation in interna- tional activities
4. Resources: access tointernational	4. Internationalized co-curricular units/
funding	infrastructure for international edu-
5. International awards and funding	cation
sources	5. Leadership supportive of interna-
 6. Mission, principles, and priorities	tional education
priorities	6. Study abroad programs

University of Ballarat-Australia (2003)	University of Regina-Canada (2003)
1. International students	1. Teaching
 2. International student income 3. Exchange students 	2. Research 3. Service
(in-bound and out-bound)	4. Internationalization mission and vi-
4. International experience of staff 5. International curriculum	SION

Internation	nal	50-USA	
(Marden	&	Engerman,	1992)

- 1. Students abroad
- 2. International students
- 3. Faculty involvement in interna- 3. Staff and student development tional activities
- 4. Undergraduate degrees awarded in area studies, international studies, and foreign languages.
- 5. Alumni who earn Ph.D. s in area studies, international studies, and foreign languages

Malmö University-Sweden (Nilsson, 2003)

- 1. Internationalised curriculum
- 2. Staff and student mobility
- 4. Internationalisation at home
- 5. Faculty involvement in international activities
- 6. Bilingualism (English and Swedish) of faculty, staff, and students

Performance Indicators: 1. University Leadership for Internationalization

- A . Mission Statement
 - The university's mission statement includes international education.
 - The university's mission statement sets international education as a university priority.
- B. Promotion and Publicity
 - The university has written materials describing international education opportunities for faculty, staff, and students.
 - The university President mentions international education in speeches.
- C. Budget
 - The university has a budget for international activities, staff. and offices.
- D. Leadership Positions
 - The university has a cabinet level administrative position for international Education.
- E. Promotion and Tenure
 - Faculty members get promotion and tenure credit for inter-• national activities.
 - Faculty and staff hiring criteria include the international experience.

F . Student Recruitment

• The international education dimension of university life is used in student recruiting

Performance Indicators: 2. Internationalization Strategic Plan

A . Goals

- The plan sets international education goals for the university.
- The plan set international education goals for faculties and departments.
- B. Objectives
 - The plan sets objectives for the university.
 - The plan sets objectives for faculties and departments.
- C . Inputs
 - The plan provides budget resources for international activities.
 - The plan provides staff resources for international activities.
- D. Activities
 - The plan lists specific internationalization activities for the university.
 - The plan lists specific internationalization activities for faculties and departments.
- E . Timelines and Targets
 - The plans establish timelines and targets for internationalization.

Performance Indicators: 3. Institutionalization of International Education

A . Committees

- The university establishes a university wide committee responsible for international education.
- The university establishes faculty and department committees responsible for international education.
- B . Accountability Structures
 - The university has a delegated officer responsible for data collection and analysis regarding international activities.

- The university has a delegated officer responsible for the achievement of timelines and targets.
- The university has a monitoring procedure in place for assessing the progress regarding internationalization.

Performance Indicators: 4. Support Infrastructure - Professional International Education Units and Staff

- A . International Students and Scholars
 - The university has an international student and scholar office (ISSO)
 - The university has qualified professionals running the ISSO
- B . Study Abroad
 - The university has a study abroad office (SAO).
 - The university has qualified professionals running the SAO.
- C . International Exchanges, Projects, Grants, Contracts
 - The university has an international programs office (IPO)to support university initiatives.
 - The university has qualified professionals running the IPO.

Performance Indicators: 5. Internationalized Curriculum

- A . International Majors
 - The university has undergraduate majors that are international in character such as area studies, international studies, and foreign languages.
 - The university has graduate majors that are international in character.
- B . International Minors
 - The university has undergraduate minors that are international in character.
 - The university has graduate minors that are international in character.
- C . International Courses
 - The university has" core curriculum "international course requirements for undergraduate (e.g., international politics).

- The university has international course requirements for graduate students.
- D . Languages
 - The university has a second language requirement for undergraduates.
 - The university has an undergraduate language proficiency graduation requirement.
 - The university has a second language requirement for graduate students.
 - The university has a graduate studies language proficiency requirement.
- E . Scholarships and Awards
 - The university has scholarships and awards for undergraduate students to study abroad.
 - The university has scholarships and awards for graduate students to conduct research abroad.
- F. Resources
 - The university has an international education <u>curriculum</u> committee.
 - The university has a budget for international course development.
 - The university has a faculty grant program for international curriculum development.
 - The university provides faculty release time for international curriculum development.



- The university has an arrival orientation program for international students.
- The university has a professional second language program on campus for international students.
- C . Integration of International Students into University Life
 - The university has academic programs that utilize international students as learning resources.
 - The university has co-curricular programs for international students (e.g., homestay programs).

Performance Indicators: 7. Study Abroad

- A . Academic Study Abroad
 - The university has study abroad programs for academic credit.
- B . Work and Tourism Abroad
 - The university has non-academic programs abroad such as work and tourism programs.
- C . Specialized Academic Study Abroad
 - The university has academic study abroad programs designed for specific departments and faculties.
- D. Study Abroad Requirements
 - The university has a # of departments and faculties with study abroad requirements.
- E . Exchange Agreements
 - The university has study abroad exchange agreements with partner universities abroad.
- F . Student Support
 - The university has scholarship for study abroad students.
 - The university has pre-departure, in-country, and re-entry programs for study abroad students.

Performance Indicators: 8. Faculty Involvement in International Activities

- A . Faculty Support
 - The university provides travel support for faculty to attend conferences abroad.
 - The university provides funding for faculty to lead study abroad tours and programs.
 - The university provides orientation programs for faculty interested in teaching and conducting research abroad.
- B . Exchange Agreements
 - The university has exchange agreements with partner universities that enable faculty members to work abroad.
- C . International Grants and Contracts
 - The university provides release time for faculty to work on international grants and contracts.
 - The university provides release time for faculty to work on university-sponsored development assistance projects.

Performance Indicators: 9. Campus Life/Co-Curricular Programs

- A . Campus Life Office
 - The university has a campus life office responsible and the international aspect of campus life is among its responsibilities.
- B . Student Organizations
 - The university has student organizations with an international focus (e.g., nationality clubs)
 - The university provides funding for student organizations to sponsor international activities.
- C . Campus Programs
 - The university offers international and intercultural programs on campus.
 - The university offers international leadership opportunities for students.
 - The university has a career development center with international job placements and advising.
 - The university has residence facilities where international and domestic students can live together.

- International cuisine is served in the cafeteria.
- There is an international lounge for informal interactions international students.

Performance Indicators: 10. Monitoring the Process

- A . Performance Assessment Process
 - The university has a formal performance assessment process in place.
 - The university has designated officers for performance monitoring.
- B . Performance Indicators
 - The university has developed performance indicators for internationalization.
- C . Performance Reviews
 - The university holds internal performance reviews of internationalization activities annually.
 - The university conducts external reviews of its internationalization activities every 5 to 10 years.
 - The university has established a performance-reporting timetable.
 - The university has a governance structure responsible for reviewing the annual reports, making suggestions for future activities, and making suggestions for revisions of the strategic plan.