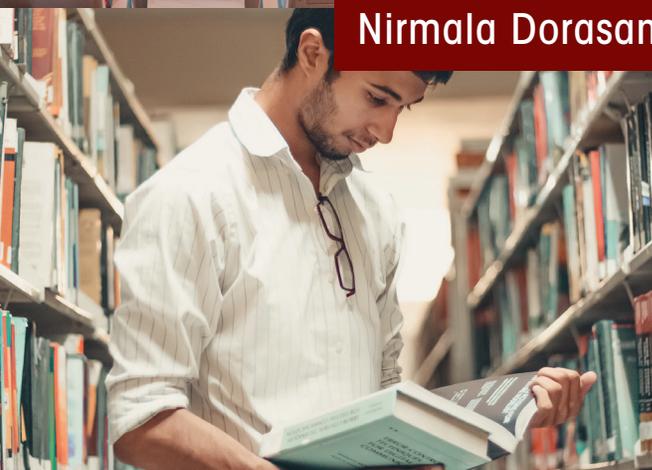


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# Perspectives on comprehensive internationalisation of higher education

**EDITED BY**  
Nirmala Dorasamy & Gift Mugano



**Perspectives on  
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internationalisation of  
higher education**



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# **Perspectives on comprehensive internationalisation of higher education**

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## **Research justification**

Over the past three decades, the internationalisation of higher education (HE) has become a key point of strategy for international organisations, such as the World Bank, Organisation for Economic Co-operation and Development (OECD), the United Nations Educational, Scientific and Cultural Organization (UNESCO), as well as the European Commission, national governments and higher education institutions (HEIs). The strategic agenda has been driven by a dynamic global education environment and knowledge-based society requiring graduates with technological and discipline-specific knowledge.

This book argues that international HE has to be competitive and sustainable while contributing to educational development locally and internationally. This book shows that HEIs are seen as being driven by an economic or educational agenda. For example, internationalisation can be influenced by the university ranking system, which is based on the international reputation of universities, the competitive quality of programmes offered in a market-oriented education environment, the generation of income from the enrolment of international students and employment of highly profiled researchers. Likewise, the book contributes to the production of knowledge by positing that an international profile for HEIs is fundamental to building their international excellence, outstanding academic standards and strengthening their competitiveness and economic growth. However, political and institutional rationales can also be drivers for higher education internationalisation, such as nation-building, national security and reputation. Despite diverse agendas, internationalisation can be abroad and local, wherein students may go abroad to gain international exposure as well as come in to gain local experience.

Although virtual internationalisation can be used as an effective vehicle for students to gain international exposure, the majority of students have remained in their local environment. This book provides a detail of new needs, attitudes and demands, which teaching and learning pedagogy has to consider with a view to fostering the internationalisation of higher education. In addition, this book also argues that HEIs must ethically and pedagogically respond to the needs of international students and other stakeholders across various modes of internationalisation of higher education. The book argues that any rationale to internationalise higher education must ensure that inequitable and unethical ideologies and practices are addressed. In the same vein, this book also places emphasis on the importance of institutional quality assurance mechanisms, accreditation, learning outcomes and multicultural connectivity through an inclusive curriculum.

Finally, in providing thorough strategies for the comprehensive internationalisation of higher education, this book provides pertinent discussions on the sustainable funding models for the HEIs, repositioning the higher education sector as a vibrant export sector, reforms in higher education, governance in HEIs, entrepreneurship in higher education and competition in higher education.

The target audience consists of academia and specialists in global education environments, such as the World Bank, IMF, African Development Bank and the OECD.

We declare that this book constitutes original research; it has not been published elsewhere and is not plagiarised.

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# Abbreviations and acronyms, boxes, figures and tables appearing in the text and notes

## List of abbreviations and acronyms

AACSB	Association to Advance Collegiate Schools of Business
ABDC	Australian Business Deans Council
ARWU	Academic Ranking of World Universities
AUQA	Australian Universities Quality Agency
AVC	average variable cost
BIMIR	brand identity, meaning, image, and reputation
CABWEB	Collaboration Across Borders WEB
CEO	chief executive officer
CHE	Council on Higher Education
CHET	Centre for Higher Education Transformation
COIL	Collaborative Online International Learning
COMESA	Common Market for Eastern and Southern Africa
DHET	Department of Higher Education and Training
EEP	entrepreneurship education programme
ERC	European Research Council
FOMEC	Quality Improvement Fund
GATS	General Agreement on Trade in Services
GCE	global citizenship education
GDP	gross domestic product
GIZ	German Agency for International Cooperation
HE	higher education
HEAR	Higher Education Achievement Report
HEIs	higher education institutions
HEQC	Higher Education Quality Committee
ICC	intercultural competency
ICT	information and communications technology
IJDS	<i>International Journal of Development and Sustainability</i>
ILO	International Labour Organisation
IMF	International Monetary Fund
IMHE	Institutional Management in Higher Education Programme

INQAAHE	International Network of Quality Assurance Agencies in Higher Education
INSAF	Institute for Sustainability Africa
IP	intellectual property
IQRP	Internationalization Quality Review Process
ISA	International Sociological Association
IT	information technology
LMS	learning management system
LTPF	Learning and Teaching Performance Fund
MAS	minimum academic standards
MBA	masters of business administration
MBI	mapping, bridging and integrating
MC	marginal cost
MESCT	Ministry of Higher Education, Science and Technology
MOOC	Massive Open Online Courses
MOU	Memoranda of Understanding
MR	marginal revenue
NCHE	National Council for Higher Education
NCSEHE	National Centre for Student Equity in Higher Education
NECF	National Economic Consultative Forum
NIR	International Council of Swedish Industry
NORC	National Opinion Research Centre
OECD	Organisation for Economic Co-operation and Development
OER	open educational resources
PBRF	Performance-Based Research Fund
PEP	Partnership for Economic Policy
QAA	Quality Assurance Agency
QS	Quacquarelli Symonds
RADLA	Research and Doctoral Leadership Academy
RAE	Research Assessment Exercise
RBV	resource-based view
REF	research excellence framework
RMIT	Royal Melbourne Institute of Technology
SAP	structural adjustment programme
SDGs	sustainable development goals
SSA	sub-Saharan Africa
STEM	Science Technology Engineering and Mathematics
TEQSA	Tertiary Education Quality and Standards Agency
THE	Times Higher Education
TNE	transnational education

UAE	United Arab Emirates
UK	United Kingdom
UKAID/DFID	United Kingdom Aid Department for International Development
UN	United Nations
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
USAID	United States Agency for Interational Development
USA	United States of America
US	United States
VLRE	virtual learning environments
WFP	World Food Programme
WTO	World Trade Organization

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# Background

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Over the past three decades, the internationalisation of higher education (HE) has become a key point of strategy for international organisations, such as the World Bank, Organisation for Economic Co-operation and Development (OECD), the United Nations Educational, Scientific and Cultural Organization (UNESCO), as well as the European Commission (EU), national governments and higher education institutions (HEIs). The strategic agenda has been driven by a dynamic global education environment and knowledge-based society requiring graduates with technological and discipline-specific knowledge. In response, international higher education has to be competitive, sustainable and contribute to educational development both locally and internationally. Generally, HEIs are seen as being driven by an economic or educational agenda. For example, internationalisation can be influenced by the university ranking system, which is based on the international reputation of universities, the competitive quality of programmes offered in a market-oriented education environment, the generation of income from the enrolment of international students and employment of highly profiled researchers. Internationalisation can be abroad and local, wherein students may go abroad to gain international exposure as well as acquiring local experience. However, with virtual internationalisation, students may gain international exposure but remain in their local environment. Despite the mode of internationalisation, internationalisation of HE has brought with it new needs, attitudes and demands, which teaching and learning pedagogy has to consider.

Apart from benefits, such as national and international citizenship, internationally-orientated academics and students, brain accumulation, coproduction of knowledge from different cultures and revenue generation, emerging challenges are associated with the internationalisation of HE being viewed as a commodity to be sold on a competitive global market. Added to these considerations are the challenges accompanying multicultural exchange and exposure, further accentuated by the domination of a Western and English-speaking paradigm dominating the internationalisation of higher education. In view of the aforementioned challenges, there is a growing call

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for comprehensive internationalisation, which addresses all institutional aspects in an integrated way. This will include institutional quality assurance mechanisms, accreditation, learning outcomes and multicultural connectivity through an inclusive curriculum.

This book argues that any attempt to advance the internationalisation of HE has to go beyond seeing the internationalisation process as a by-product of globalisation. In this regard, it is imperative that systemic planning within a policy-making environment informs strategies underpinning the internationalisation of higher education. While governments and HEIs may have direct and indirect measures to promote internationalisation, there is a need for consistency among governments and HEIs to provide a clear and cohesive approach to internationalisation to optimise the benefits for all stakeholders. This is particularly so because differences still persist among and between low-income, middle-income and high-income countries with respect to their policies and practices, notwithstanding the benefits that come with the internationalisation of higher education. Some of the identified differences include non-alignment between institutional and national agendas, such as national security, international relations and economic growth, absence of strategic plans to integrate internationalisation into the broader higher education planning framework and internationalisation operating at the periphery of institutional priorities.

Therefore, as a complex process, the internationalisation of higher education has to focus on all the elements of a multicultural pedagogy at local, national and international levels. Therefore, internationalisation has to be an intentionally planned process rather than an *ad hoc* investment in a growing knowledge economy. This book argues that without planning, there is the possibility of consequences associated with fragmented, uncoordinated and exclusive approaches to the internationalisation of higher education. This is counter to harmonising outcomes related to communication, language, cultural diversity, instructional practices, academic and student mobility and overall student preparedness. Overall, any response has to be rooted in a continuously evolving higher education environment impacted by global trends. In view of the internationalisation of higher education being a planned process, it is worthwhile to interrogate the dimensions of comprehensive internalisation and the responses of various governments and institutions in steering the process.

## ■ Context of the book

Several approaches have been pursued by HEIs in internationalising their teaching, learning and research agendas. Despite positive intentions in

pursuing their agendas, the lack of a comprehensive and integrated approach to the internationalisation of higher education appears to transpose word order. This underscores the prevalence of international students being marginalised, exclusive curricula serving the English-speaking and Western superiority paradigm, varying rationale driven by personal interests and the lack of harmonisation of local, national and international systems which take cognisance of both the commonalities and diversities characteristic of international teaching and learning environments.

Essentially, this book intends to interrogate and explore comprehensive internationalisation with a view to charting a path of harmonising systems that support the optimal achievement of outcomes supporting benefits for the common good of all. The authors of the various chapters present original research papers that address both the theoretical and empirical issues relating to the internationalisation of higher education. In adopting a comprehensive higher education paradigm, they identified the rationale, benefits, institutional impediments, structural obstacles, governance frameworks and deficiencies that inhibit the administration of best practices in the internationalisation of higher education. They also proffer remedies to promote the effective internationalisation of higher education through the culture of due process and best practice.

The introductory chapter presents the conceptual clarification on comprehensive internationalisation. Subsequent chapters anchor their analysis upon this platform, arguing that if internationalisation is merely seen as an end in itself, then it will perpetuate the marginalisation of international higher education to the periphery of local, national and international governments and institutional agendas. The central position of the chapters is that any approach to the internationalisation of higher education must be driven by an intentional process driving integrated, interconnected, intercultural systems towards comprehensive internationalisation based on robust frameworks for quality assurance and the recognition of international qualifications.

While the book does not intend to provide a typology for comprehensive internationalisation of higher education, it is envisaged that the insights from the authors will provide an impetus for the development of strategies and policies that build on the contexts and cultures of countries and HEIs to provide internationalised higher education detached from fragmentation, inconsistency and marginalisation.



# Internationalisation of higher education: A conceptual framework

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## ■ Introduction

Internationalisation is a debated concept in the discussions of higher education (HE) discourse. Zolfaghari, Sabran and Zolfaghari (2009) appreciated the complexity of the internationalisation of HE, which has greatly transformed the structure of the HE process. Higher education processes have institutional and societal effects through national policy framing and planning, funding and diversion in ideologies. Therefore, as a result of the internationalisation dimensions facing HE locally and beyond boundaries, it has become a national interest not limited to universities' primary roles of teaching, research and community engagement.

Internationalisation of HE at the institutional and national levels in any country, according to Crişan-Mitra and Borza (2015), must be considered

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as the process of incorporating an international cross-cultural or global dimension within the primary purposes of the educational system. Very close to this concept is the definition provided by Knight (2002), which states that the process of HE includes but is not limited to the global mobility of students and also incorporates finding common standards among nations in terms of the kind of education that is offered. This process involves the integration of international and intercultural dimensions of educational practices, such as teaching, research and institutional service delivery. Because of the increasing rate at which globalisation is taking place, the internationalisation of HE is inevitable, which calls for education standardisation to be at the same level, as well as to ensure that the quality of education is not compromised during the process.

The internationalisation of HE, in practical terms, is a process that involves the commercialisation of research, tertiary education and international competition for the recruitment of foreign students and teachers or trainers. These can be from wealthy, privileged countries or poor developing ones, with the intent to generate revenue, secure a national profile and build an international reputation.

It is evident, based on the global survey of 2014 and the study by Egron-Polck and Hudson (2014), that the internationalisation of HE has grown in importance since the 1990s, especially for educational institutions. The process has therefore been seen as the vehicle for change and transformation in the education field. One of the studies done on HE research by Jowi and Huisman (2009) revealed that 'internationalisation' has been the most studied research area in tertiary education policy.

## ■ Definitions

Sharipov (2020) starts by offering two dimensions on the definition of the internationalisation of HE. In the deductions of the definitions, it was first linked to size, globalisation drive and any dimension of education that relates to another country. In modern days, the definition picked many complex foundations that linked it to broader facets of life determined by the socio-economic, political and legal technological advancement of the day.

Kehm and Teichler (2007) grounded their definition on cross-cutting issues of HE, which include research output, mobility of education stakeholders, location dimensions of pedagogy and research, study mode and the extent of curriculum transformed to training and commercialisation. This definition has observed a thrust away from government involvement and towards private and commercial-run education.

The following paragraph attempts to define internationalisation under different facets identified by Knight (2004) and other cited sources. The facets identified are:

- institutional and national/sector level
- confusion and complexity
- evolution of the concept
- rationales.

It is fascinating to see how the definition of internationalisation of HE has evolved over time. In the late 1980s, internationalisation was typically known at the institutional level and in consists of a series of activities. Arum and Van de Water's (1992) definition is a good example of this approach. They advocated that internationalisation be defined as 'the various activities, training programmes, and offerings that thus fall under global studies, internationally recognised exchange, and technology transfer' (Arum & Van de Water 1992). In the mid-1990s, Knight (1994) introduced a process or organisational approach to illustrate that internationalisation was a process that needed to be incorporated and sustained at the institutional level. Internationalisation was defined as the 'process of putting a successful intercultural component through into university's classroom instruction, scientific studies, and services provided' (Knight 1994). Van der Wende (1997) correctly observed that a memory-based and model interpretation has weaknesses and thus advocated a wider scope, claiming that internationalisation is 'any systematic attempt meant to make HE adaptable to the opportunities and processes related to the modernisation of social structures, economic activities, and labour markets'.

Despite the fact that conceptualisation contains critical components, it only situates internationalisation in response to various environmental settings, expressly globalisation and thus neglects to contextualise internationalisation in the contexts of educational institutions themselves. Soderqvist (2002) explores the notion that emphasises the educational transition process and a comprehensive understanding of institutional parameters in HE. Soderqvist (2002) added that the internationalisation of higher education institutions (HEIs) is defined as a transition from a state university to a foreign HEI, resulting in the incorporation of an interdisciplinary nature in all aspects of its strategic approach to increase the successfulness of teaching and learning and produce the desired skills and knowledge. That would be an exemplar of terminology that incorporates a reason and hence has narrow application to universities and nations that view internationalisation as including more than education and learning and the acquisition of competencies. It illustrates a conceptualisation at the administrative level; however, as a precise framework, it has limits. Despite the diversity of conceptions and meanings, De Wit (2002) observed that when the international component of tertiary education obtains

prominence and acknowledgement, individuals prefer to have it in a manner that promotes the sustainability of their intentions. Although this is understandable, it would not be beneficial for internationalisation to become a passing term for anything and everything foreign. If this is to be understood and addressed with the importance it deserves, a more concise interpretation is required. Although there is no agreement on a specific definition, internationalisation necessitates a thorough examination and measurement in HEIs. This is why it is critical to adopt a common understanding in conjunction with a conceptualisation for HE internationalisation.

Liu (2020) provides a territorial view, suggesting that internationalisation is a Western or United States (US) concept of expanding their academic, research and extension objectives and, therefore, a fair introspective should include a non-Western enlargement of HE.

Callan (2000) relates the process of Europeanisation and globalisation of HE processes and strategic objectives to affect broad decision-making. It is, therefore, the same to suggest that the internationalisation of HE is a European concept whose agenda has been pushed by globalisation.

Hudzik (2011, 2015) believes internationalisation of HE is:

- A dedication, verified by practice, to incorporate comparative and international views throughout HE curricula, research and service agendas.
- An overall influence on the HE industry by shaping institutional culture and principles.
- Accepted by institutional leadership, government, professors, students and all academic service and support group.
- An institutional need, not merely a desirable prospect.
- A means to affect not just the university lifestyle, but also the institutions' outside orientations, collaborations and relationships.
- Needed now more than ever because of the worldwide rearrangement of economies, trade channels, research and communication systems, as well as the effect of global dynamics on local culture.

These definitions are also supported by De Wit et al. (2015b) as they used ten national reports to extensively define the internationalisation of HE.

## ■ Definitions according to the national or sector approach

The internationalisation of HE can be defined according to the national or sector approach as:

- **Programmes:** The internationalisation of HE is viewed from the dimension of providing funded programmes in teaching and research, which in turn brings possibilities for international coverage. Any teaching, research or

extension service in the faculty gives an opportunity to be extended beyond the borders. Jibeen and Khan (2015) delivered the dimension of programmes as vital as the definition of the internationalisation of HE. Language programme administration gave English-taught programmes as a sign of internationalisation. The programme focuses on universities abroad, cross-border campuses, online learning, standards on accreditation and quality control.

- **Rationale:** The internationalisation of HE is explained by any rationale that leads the institutions to be international. It then entails the rationale exercises meant to upscale rationale at an international level. These activities include the economic, social, political and technological. De Wit (1999) concludes that the internationalisation of HE is such when it concentrates on the following rationales of teaching, socio-economic, the Internet of things and politics and a global landscape. It is further alleged that in this respect, the internationalisation of HE should therefore be regarded as a process of the identified rationales. Education stakeholders are propelled to achieve certain rationales to attain internationalisation status.
- **Ad hoc:** The internationalisation of HE is inherent when opportunities are identified and the response goes beyond the borders. This relates to reactionary approaches that ignite the interest of other institutions beyond the borders. Wit (2020) observed that institutions that have succeeded to lead the frontiers of HE have the probity to respond to ad hoc threats and opportunities. The sure way to be respected beyond borders is by dealing with unexpected challenges through education. Ad hoc reactionary responses have seen universities being heralded across borders in teaching, research, innovation and commercialisation.
- **Policy:** The internationalisation of HE aims at compounding any policy meant to publicise all forms of learning. Any policy meant to magnify education internationally postsecondary is key. Policy shifts and pronouncements in HE are seen by Jibeen and Khan (2015) as itself internationalisation of HE. Governments must drive the internationalisation of HE through instituting policies that promote education stakeholder mobility, increase research output across borders through international collaboration and adjunct arrangements coupled with internationally recognised teaching models.
- **Strategy:** The internationalisation of HE is a local strategy meant to attain international objectives. It contains a thought-proof roadmap to answer academic objectives by utilising international resources and expertise. At the national and sector level, Soliman, Anchor and Taylor (2019) posit that the internationalisation of HE is a deliberate strategy that is administered at the local (sector) level to stimulate international recognition of the nation in the areas of teaching, research, community engagement, innovation and commercialisation.

## ■ Definitions according to the institution or provider approach

- **Activity:** The internationalisation of HE relates to activities in the learning and research process that give an international positioning. This can include but is not limited to learning, research, collaboration, exchange programmes and internships.
- **Outcomes:** The internationalisation of HE is justified by any outcome that has an global influence. It can be cultural change among scholars and faculty members or the ability to acquire skills of international standards.
- **Abroad:** The internationalisation of HE refers to any learning-related activities that can be transferred abroad. As long as the activity can be transferred to another country physically or virtually, it can play a role in defining the internationalisation of HE.

## ■ Typology and issues in the internationalisation of higher education

Scholars and researchers agree that there is no consensus in defining the internationalisation of HE. Nonetheless, there are agreed typologies that can be followed in literature in order to assist in facilitating discussions around the concept of the internationalisation of HE.

Dunne (2011) offered some existing typologies as follows:

- Van der Wende (1997), where internationalisation was explained by the extent of comprehensiveness and complexity.
- Organization for Economic Cooperation and Development (1996), which used the type of curriculum as a measure and definition of the internationalisation of HE:
  1. taught courses should have an international subject being taught
  2. there should be an international comparison to an existing local course
  3. the subjects being taught should fit in well in internationally pronounced professional jobs
  4. a foreign language should be administered as well as intercultural integration
  5. programmes should have exchange programmes and excursions across different countries
  6. the obtained qualifications should be accepted by any international professional body
  7. programmes should have possibilities for dual graduation

8. the possibility of local lectureship abroad and local lectureship from foreign lecturers
9. learning content should be designed to meet the needs of international students.

A typology, in essence, according to Collier, Knifton and Surr (2015), is a conceptual technique that minimises the complication of factual events by organising examples according to theoretically relevant characteristics. Cases that score consistently on the factors of interest, in other words, are considered to belong to the same kind or typology class. Callan (2000) posits that the many elements of the process of internationalisation in HE may be established using typology, which can map the conceptual dimensions of internationalisation policy in a standardised manner. As a result, Ziegele (2013) concludes that the primary benefit of developing such a typology for both scholars and policy-makers would be to improve openness.

The European Commission's research and mobility initiatives, particularly Erasmus Mundus, have aided this transition throughout Europe. The process includes the worldwide recruitment of students, lecturers and researchers to interact in a multicultural and diverse learning and teaching environment. This setup has further been achieved through online learning and teaching, virtual and collaborative research being extended to commercialisation and innovation. Paige (2005) agrees that there is immense persuasion for universities to globalise, owing to the benefits. The benefits accrue to both the local and international stakeholders in the internationalisation of HE ecosystems. Internationalisation of HE has taken different forms, which can be explained based on student and lecturer mobility, location of university, students and lecturers, language used for course administration and any other dimensions of globalisation discussed in the literature.

These are many ways to show how HE has evolved, making it a higher growing sector in terms of internationalisation. Sharipov (2020) identifies the new forms of internationalisation of HE as the mobile exchange of broad objectives of government agenda in tertiary and research institutions, which should find its way into commercialisation, innovation and global citizen sustainability.

However, there has recently been a backlash against international education's heavy commercial orientation. De Wit, Deca and Hunter (2015a) noted the compromise forthwith brought by the rapid focus on internationalisation by national policies worldwide. Traditional teaching has been ignored or given little attention, for example, local teaching and research, with emphasis given to the trending activities of internationalisation like cross-border recruitment of students and faculty staff. Universities are now ranked based on their internationalisation drive in teaching, research, extension services and commercialisation.

The HE industry has recognised that an overly commercial strategy may jeopardise educational quality, institutional reputation and, consequently, future inflows of national and international students. This entails a greater emphasis on recruiting overseas students, certification, control and improvement of their offshore activities and revenue exchange in order to enable effective curriculum internationalisation.

There are clear and deliberate guidelines and frameworks enforced for the internationalisation of HE. De Wit et al. (2015a) observed that *Affirming Academic Values in Internationalisation of Higher Education Calling for Action*, approved by the International Association of Universities in April 2012, is one of them. The biggest hope is the non-exclusion of the domestic market in this matrix. Most universities are therefore coining frameworks beyond the reach of their own local actors while targeting international actors. This is a notable situation in South African universities whose academic standards are easily met by foreigners and thinly by South Africans. The relationship between local ethical concerns and internationalisation initiatives is being more recognised as critical to ensuring long-term growth, not only in HE but also in the community at large.

There is no doubt that international education in European nations has attracted great applause among its actors and stakeholders in Europe as a region at institutional and national levels, according to the European Parliament in 2015. Whereas degree mobility is performed to finish a cycle to get a bachelor's, master's or PhD degree, it differs from course mobility, which is conducted to gain single course credits while students stay registered in their native universities. Translearning and teaching, as well as styles of 'native internationalization at home' such as curriculum internationalisation, teaching methods of internationalisation and learning outcomes of internationalisation, are examples of other types of internationalisation taking place across Europe. The growing number of mobile students demonstrates how the concept of internationalisation has evolved over time in European HE. According to Choudaha and De Wit (2014), international student mobility originates from an 'outcome of a complex interplay of external and internal push and pull variables'.

Drawing from Hughes (2008), the expectations of full internationalisation are not easy and cheap, whereas policies are pulling institutions towards such solutions. These expectations are therefore being fulfilled, or a half job is done to please the policy-makers. Hénard, Diamond and Roseveare (2012) outlined some challenges encountered in the internationalisation of HE in the form of failing to meet the tastes and preferences of international students and lecturers. Well-managed internationalisation of HE strategies has left vast trails of success in teaching, research, commercialisation and innovation, which has secondary benefits to the nation.

The debate and study of HE internationalisation cannot be separated from the larger picture of HE development in both local and global contexts. Cheng (2004) identifies that the global growth of HE is frequently impacted by two major conflicts. The first is a conflict between public financing and private funding/market-driven funding, while the second is between global/regional orientation and local orientation.

The global/regional focus is, to a large extent, consistent with the previously stated internationalisation of HE. Using these two tensions from Cheng (2004) and other related literature, a new typology of four possibilities for assessing HE growth trajectories may be offered.

**Scenario 1:** Development is distinguished by public funding and a global or regional focus, with a focus on global development, which is of global-class HE, international benchmarking, global branding, international exchange and collaboration and global competitiveness at the individual (staff, students), institutional and system levels (Cheng, Cheung & Ng 2016:6–7).

The internationalisation of HE is explained by the global dimensions embraced by the university. The availability of international students, lecturers from other countries, foreign languages being taught or used to administer and collaborations in teaching, research, innovation and commercialisation are signs of internationalisation.

**Scenario 2:** Development is achieved by customer demands or finance and a global/regional orientation, with a focus on worldwide marketisation and export of HE, global entrepreneurship and industrialisation. To some extent, this growth, with its emphasis on worldwide marketisation and export, echoes some common patterns, with international education serving as the international standard.

The demand for international education status can well explain the level of internationalisation from a customer orientation. Learning institutions participating in the marketisation and export of their innovation and research outputs are easily identified as proponents of internationalisation. This is because their outputs are meeting international standards in production and application, as shown by the entrepreneurial evidence.

**Scenario 3:** This scenario is driven by market demands/private financing, as well as a local focus. In contrast to Scenario 2, it emphasises HE's local marketisation, privatisation, growth and variety of offerings to suit the expanding diversified demands in surrounding people (Cheng et al. 2016:6–7).

The universities in this scenario change their research outputs to innovations that are commercialised to meet mainly the local market. This scenario is characterised by spin-off companies in the local market that are owned and run by the universities commercialised in offering local solutions in products and services.

**Scenario 4:** According to Cheng et al. (2016:6–7), development is the conventional form of HE development, characterised by public support and a focus on the native community. It focuses on using public funds to improve HE, to satisfy local requirements in performance management, country building, community engagement and social mobility. The internationalisation of HE may not be the major concern in this model.

Growth can be used as a measure of internationalisation. This scenario is not interested in international visibility, but the understanding is that local growth will stimulate the internationalisation of such an institution. The primary goal is to provide the local stakeholders with saturated teaching and learning, research and community engagement before these objectives are shared with the global world.

Conceptually, this typology of HE development, in conjunction with the conceptualisation matrix of internationalisation, does provide an extensive and unique framework for observing, studying and analysing the complex issues and concerns associated with HE's continued expansion and internationalisation. It can contribute to filling the gaps in ongoing policy analyses and developments worldwide related to the internationalisation of HE.

## ■ Motives of internationalisation

There are several and different reasons for the internationalisation of HE. Such reasons are changing and closely linked to each other. Moreover, they are either complementary or contradictory, especially when they vary based on the interests of diverse stakeholder groups. Furthermore, reasons for the internationalisation of HE vary between and within countries (Zolfaghari et al. 2009:2).

Cheng, Cheung and Ng (2016:14) advocated for the following reasons for internationalisation:

1. **Academic/educational:** Student/staff global competencies, world-class capacity building, international benchmarking.
2. **Economic:** Economic competitiveness, financial income.
3. **Political:** National soft power building, diplomatic influence.
4. **Social and cultural:** Societal transformations in a globalised world.

## ■ Academic/educational

Altbach and De Wit (2015) supported the traditional view that the primary motive for HE internationalisation is purely academic. Internationalisation activities like exchange programmes and partnerships will perfect academic programmes and attract both quality students and lecturers. Yesufu (2018)

concludes that all forms of academic activities ranging from curriculum to research, community engagement and innovation do not need localised knowledge to provide a cutting-edge skillset. Hagsten and Kotnik (2017) advocated for information technology affordances in academic institutions to meet with ease the academic motive in the internationalisation of HE. Hi-tech technologies have led to universities without walls dotted the world over, offering multifaceted academic objectives.

Oliveira and Freitas (2016) identified educational benefits derived from HE stakeholder mobility. Student mobility has led to students accessing curricula and obtaining degrees that were otherwise not obtained in their native countries. Academic pressure is exerted upon foreign students as a result of student completion with diverse capabilities.

In the quest to analyse the benefits of staff mobility, Oliveira and Freitas (2016) pointed out that staff benefit from teaching abroad and obtaining internationally recognised academic qualifications and vetting. Research, commercialisation and innovation are implied skills obtained from cross-border exchange and standardisation.

## ■ Economic

According to Altbach (2015), financial benefits have also inherently forced HEIs across the globe to internationalise. Yesufu (2018) emphasises that the economic motive is common and vivid in private HEIs where the return on investment is key. In public HE, the economic motive is becoming common as government financing has visibly dwindled, especially in Africa.

Soria and Troisi (2014) concluded that the economic motive had caused an antagonistic situation *vis a vis* the objectives of higher institutions. They noted that as institutions internationalise with a profit, the traditional objective of acquisition and sharing intellectual capacities is subrogated. Some other outright business models have emerged in the guise of the internationalisation of HE at the expense of education motives, causing an illusion in the education sector.

Davies (1992) excited capitalists by outlining the economic benefits of the internationalisation of HE. The governments that followed internationalisation policies religiously reduced their fiscal expenditure significantly on HE. Universities' entrepreneurship is underpinned by research and innovation at international institutions.

## ■ Political

Yesufu (2018) notes the magnified public image from the internationalisation of HE as a political interface. Political views and ideologies have been shared

through the internationalisation of HE. For example, the Ibadan University in Nigeria carried out exchange programmes to influence political ideologies in Africa.

Though the motive is implicit, Teichler (2017) concludes that scholarships, academic exchange in teaching, research and innovation propel a political agenda among cooperating and competing countries. Africa's political landscape has been shaped by ideologies taught to international scholars who were offered scholarships by former colonisers. Some US and European universities thus have faculties and departments for African studies.

## ■ Social and cultural

Soria and Troisi (2014) identified a social motive in the internationalisation of HE through curricula that fuse cultures and social knowledge for international students. At the onset of globalisation, students require education that meets international norms and social values. Scientific journal article reading and writing have equally led to collaborations that strengthen social and cultural exchange knowledge for both students and lecturers. The thrust of community engagement in internationalised higher institutions has also exposed students and lecturers to different social views in which they can also participate as researchers or scholars.

Suggestions from Oliveira and Freitas (2016) posit that immigrant appetite strengthens social motives in the internationalisation of HE. Some cultures and norms are rich in heritage and are a pull factor for international students and lecturers. In the attempt to preserve and build a deeper understanding of cultures in a global village, cross-country collaborative research and innovations have integrated international HE.

## ■ Other motives for internationalisation

The internationalisation of HE has improved the quality of institutional outputs. Teaching and learning, community engagement, research, commercialisation and innovation have improved greatly with internationalisation. Different collaborations, exchange programmes and diversity have changed the way of doing work at universities. It has left temporary and permanent benefits to home and foreign stakeholders.

Diversification in all facets of education has been realised from the internationalisation of HE. In teaching and learning, internationalisation has brought new instructional, assessments and learning models used across different countries. Research areas will carry diversity in conceptualisation, case studies and methodologies as a result of internationalisation. Community engagement, commercialisation and innovation have taken different forms as long as internationalisation is embraced.

Wit and Knight (1999) listed various reasons for internationalisation, including human capital development, strategic partnerships, infomercial trade, national development and socio/cultural development, cultural heritage, citizenship development, national security, technology transfer, peace and common cooperation and economic growth and expansion. The most important reasons for the internationalisation of HE, according to Hayhoe (1989), are international cooperative agreements, academic mobility, international scholarships, technical and economic development, international curriculum studies, cultural values, historical and political context. Wit (2020) has categorised many other factors in addition to Hayhoe (1989). National motivations for the globalisation of HE, according to Kehm and De Wit (2005), include nation-building and positioning, international cooperation, technical aid, cultural and institutional identity and improved national standards. Overall, the motivations for HE globalisation are given in order of importance: mobility and exchanges for students and instructors, collaboration in teaching and research, academic standards and quality, research initiatives, cooperation and development aid, curriculum development, international and intercultural understanding, promotion and profile of the institution, diversified source of faculty and students, regional issues and integration, international student recruitment and diversified income generation.

Education continues to change from place to place and from time to time. The internationalisation of HE has been enhanced across countries that participate in the changing environment. The internationalisation of HE has led to changed and advanced skillset cross-pollination across countries. Internationalisation can assist students in achieving their goals of receiving a good education and conducting research. It allows students to engage in 'real-world, real-time' experiential learning in areas that cannot be taught in a classroom setting. Institutions, on the other hand, may gain a worldwide reputation, as well as a foothold in the international HE community and rise to meet the challenges associated with globalisation.

Many universities now internationalise the institution to gain global recognition as a player in the supply of HE. Education supply in the world of today is seen as a very competitive field where many players are supplying the same commodity in the form of education. This commodity cannot be differentiated. However, some big players are ranked above other players, and these can be seen as the standard setters, whereas other players strive to meet that standard.

It can be observed that many people acquire education in the form of degrees, but the weight of that degree can be determined by the institution where the degree was acquired. This, however, puts pressure on both institutions and learners. For institutions, while some are working so hard to acquire top world-rank status, others are still striving to make a name for themselves to attract top students. Learners, on the other hand, are striving to

be enrolled at top universities in the world. Internationalisation is therefore seen as a strategy that many institutions are adopting to achieve their goal as far as being on top is concerned. Learners are also moving from their country of citizenship to other countries in search of better-ranked universities or more reputable ones.

Some motives for the globalisation of HE, according to Van Gaalen (2009), are not goals in and of themselves but rather means to achieve other goals. Hudzik and Stohl (2009) reached a similar conclusion when they applied this approach to the study of the effects of internationalisation. As a result, perceived repercussions such as academic mobility, the establishment of multinational research teams and the subsequent publication of results, as well as the use of information and communications technology (ICT), are likely to have additional consequences. This even applies to effects that are temporary yet signal a need or potential. The goal of Hudzik and Stohl (2009) was to provide a preliminary classification of the effects of internationalisation on academic faculty members. However, additional research is needed to examine these consequences in terms of their short or long-term nature, their durability or salience and their connection to the following impacts. Though the importance of the reasons differs, according to Marmolejo (2012), the following are the top five reasons for internationalising an institution:

- to improve student preparedness
- to internationalise the curriculum
- to enhance the international profile of the institution
- to strengthen research and knowledge production
- to diversify its faculty and staff.

These motives, according to Marmolejo (2012), point towards universities marketing themselves to make them more reputable and a preferred brand by students.

An integrated network and global awareness are widely recognised as important and sought-after advantages in the current global information and technology era. With the present job market demanding graduates to have international, foreign language and intercultural abilities to engage in a global context, universities are emphasising internationalisation. From 2000 to 2010, the number of students enrolling in HE outside their home country about quadrupled (OECD 2012), and this trend has and is expected to continue. The US was the top host destination for international students worldwide. Derived from [statistica.com](http://statistica.com), it revealed that in 2020, over one million students were enrolled in HE in the US. Furthermore, about half a million international students are enrolled in the United Kingdom (UK) and Canadian HE.

## ■ International mobility of key actors and elements in higher education

Wulz and Rainer (2015) identified some factors that influence international student mobility, including personal variables that might include the individual's socio-economic status, academic ability, social contacts and previous overseas experiences. Other variables may be linked to the circumstances in the home country, such as possibilities at home universities, the quality of education provided in the home country or the high significance of international degrees in the home country's labour market. Furthermore, financial possibilities such as scholarships and school loans, as well as demographic, economic and political frameworks, living standards and living conditions, are also factors to consider. The topic of study, the quality and prestige of HEIs, scientific independence or a multilingual study offering to students might pull students to those institutions. According to Wulz and Rainer (2015), mobility, as a key component in internationalisation, is influenced by a variety of variables, including a desire for international collaboration as well as competitiveness and economic reasons.

### ■ Students

Hénard, Leslie and Deborah (2012) and Teichler (2009) opined that student mobility, on the one hand, promotes information transmission, mutual understanding and peace, as well as possibilities for personal growth as global citizens and participation in global networks. On the other side, market dynamics such as the focus on global rankings or foreign students being more regarded as a source of extra money from HE service exports, are increasingly influencing student mobility.

Student mobility is only one element of a larger, more complicated and diverse phenomenon known as internationalisation in HE. One aspect, known as 'internationalisation at home', according to Wächter (2003), entails incorporating intercultural and international components into the curriculum, teaching, research and extracurricular activities, allowing learners to create international and intercultural skills without ever leaving their country.

Students' mobility has been at the centre of HE internationalisation. Nonetheless, it has attracted analysis as a result of statistics that show intense numbers. Oliveira and Freitas (2016) offer supporting statistics from United Nations Educational, Scientific and Cultural Organization (UNESCO) that show four million foreign students dotted around the world. These figures are expected to continue rising owing to globalisation and improvements in the quality of life. It is important to note that most countries have crafted policies that favour the mobility of international students. Student consortia, which are

well funded, have catalysed students the world over, even in Africa, with the Africa Economic Research Consortium, which has been moving around economics students in the region.

## ■ Teachers

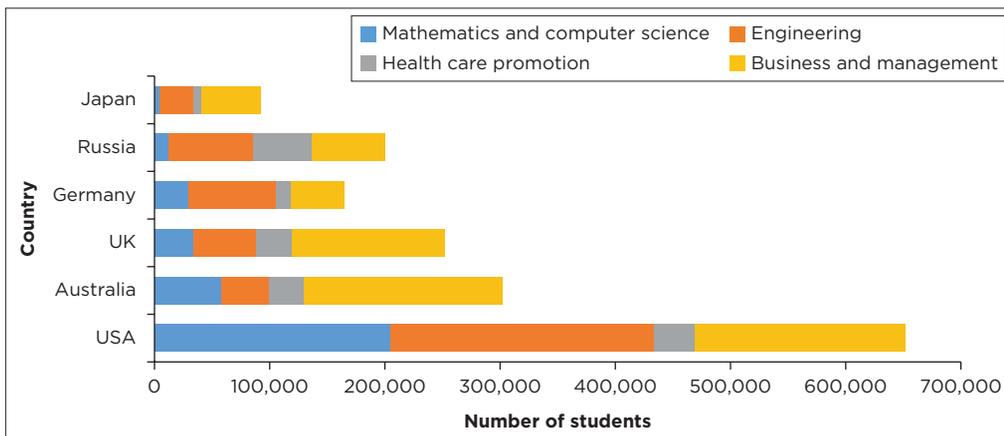
In the analysis of actors' mobility, Oliveira and Freitas (2016) did not leave out the mobility of the lecturers. Lecturers will follow geographically where their clients, the students, have migrated. Lauermann (2012) understands that besides motivation, there are psychological, social, economic, political or in general internal and external reasons for teacher mobility. Lecturers are also participating in the mobility of key players in HE. These may be in search of greener pastures and better-paying institutions. Institutions themselves are crossing borders in search of more qualified and reputable teachers to help the institution maintain a brand or acquire status.

## ■ Expertise/knowledge

Even though it appears less strongly, Oliveira and Freitas (2016) carried out research in Brazil, which identified the expertise and knowledge gained as an actor in international mobility. Foreign students treasure the acquisition of international career status, which enlarges their professional opportunities.

## ■ Programmes

Oliveira and Freitas (2016) noted an exchange of programmes as the main mobility actor in the internationalisation of HE. This is because education is primarily defined by what is learnt in different programme curricula. The European Union (EU), UNESCO and other organisations have muted



Source: Adapted from Project Atlas (2019), Institute of International Education.  
Key: USA, United States of America; UK, United Kingdom.

**FIGURE 1.1:** International students by country and field of study.

programmes that influence their regional goals. As noted by Oliveira and Freitas (2016), most governments were participating in enabling cooperation programmes among HEIs.

The information discussed shows that there are certain programmes that influence international students' mobility more than others. It can be observed that engineering and business and management are the major programmes that influence students' mobility, mainly in the US, Germany, Australia, UK, Germany, Russia and Japan.

## ■ Institutions

In the context of HE internationalisation, there is an advent of universities without walls and multicampuses which can be available beyond borders. Oliveira and Freitas (2016) noted that some institutions of HE in less developed countries did not have PhD programmes – Mozambique, for instance. Other fast-growing forms of internationalisation are emerging; for instance, 'transnational education' (Hénard et al. 2012:7) is sometimes delivered through offshore campuses, joint programmes and distance learning, and they suggest a more far-reaching approach, especially where HE is now seen as an integral part of the global knowledge economy. This implies that, according to students, internationalisation is not only taking place when they physically move from one country to another, but even as they are in their country of birth, they are still acquiring international education. Higher education institutions are also establishing branches in other countries, as well as representatives that can help them to service international students.

## ■ Approaches to internationalisation

Deardorff and Van Gallen (2012) concluded that there is no one best approach or best instrument to assess internationalisation initiatives. Different evaluation techniques are better suited to different institutions and circumstances. Because internationalisation assessment is a new and rapidly growing phenomenon, international educators have identified several difficulties and concerns. De Wit (2010), for example, claims that all past and current evaluation methods measure inputs and outputs, not outcomes. Institutions tend to focus on the number of institutional offerings and levels of engagement, but they do not define student global learning outcomes or internationalisation efficacy. However, De Wit (2010) and Knight (2008) revealed that for an internationalisation evaluation to be successful and useful, it must first examine the internationalisation process, then the consequences or impact and lastly, how the various parts interact in a coordinated and strategic manner. The two common approaches to internationalisation are elaborated on in the following sub-sections, together with their associated elements.

## ■ The activity-oriented approach towards the internationalisation of higher education

The activity approach concentrates on activity categories or types. The activity approach to internationalisation in HE is a broad and frequently used term. Curricula, study abroad, faculty internationalisation and foreign student recruiting are all part of this strategy. International student recruitment, retention, the existence of an international student organisation, intercultural activities, student/faculty/staff exchange, foreign languages, study abroad, memorandums of understanding and curriculum internationalisation were all part of the activity approach used to internationalise both campuses.

Knight (1994, 2004) asserts that the activity approach sheds light on the tangible and observable initiatives that constitute internationalisation. De Wit (2002) agrees that the observable efforts that suggest the application of the activity approach for internationalisation include 'student and faculty exchange; curriculum internationalisation, area studies; technical assistance; intercultural training; international students; and joint research activities, international development activities, foreign language studies, international studies, and global studies'.

Huisman and Van der Wende (2004) agreed that student and staff exchanges are the most familiar and well-thought-out strategies used for internationalising HE. Maringe (2009) opines that students and staff exchanges are essential for cross-cultural understanding. Through exchange programmes, students, staff and faculty get the opportunity to experience other cultures and educational systems. Such exposure is likely to generate joint research, publications, as well as curriculum content that will foster international and cross-cultural competence.

Curriculum internationalisation is at the vortex in the debate of the internationalisation of HE. Siaya and Hayward (2003) opine that curriculum internationalisation is an effort to infuse international aspects into courses and programmes to imbue international and cross-cultural competence in students. Siaya and Hayward (2003) observed that not all research universities require undergraduate students to take courses with international perspectives. However, Horn, Hendel and Fry (2007) note that undergraduate students studying at research universities that have courses with international components are required to enrol in just one course. Knight (1994, 2004) claims that studying abroad is an activity approach to internationalising HE. Huang (2007) argues that accepting credit transfers from study abroad programmes with international institutions is critical to internationalising the curriculum. Another effort to internationalise HE is through partnerships with universities abroad bound by a signed memoranda of understanding (MoU) to

strengthen study abroad through the delivery of courses across national borders and sharing resources to improve teaching, research and services (Knight 1994, 2004). Knight (1994) asserts that instituting language and cultural programmes in the university; incorporating international dimension into existing programmes and giving it a comparative orientation; offering case studies of other national contexts, work and learning experiences in another country and promoting cross-cultural communication and understanding programmes are efforts that constitute the activity approach for the internationalisation of universities.

De Wit's (2011) activity-oriented approach towards internationalisation entails:

- receiving education in the English language
- studying or staying abroad
- providing training based on international content comprising international connotations
- having many foreign students equals internationalisation
- having few international students guarantee success
- testing intercultural and international competencies are unnecessary
- having more partnerships to increase the success of internationalisation
- noting that higher education is international by nature
- making internationalisation a precise goal.

## □ Education in the English language

A common misconception is that teaching a lecture or speaking English constitutes internationalisation in HE, as more research, community engagement and journal article publications are increasingly being conducted in English. As a result, this has led to introductory English being the first course in the curriculum of international universities. This is largely enforced in Europe and Asia, without mentioning the trends from Africa. Even though the quality of English may not foster learning, students and teachers are just happy to use it. Sadly, English teaching and learning has diluted native culture indirectly.

## □ Studying or staying abroad

Full- or partial-length learning and teaching are regarded as internationalisation. The study or internship on the part of a student is suggested to mean internationalisation. On the other hand, lecturers who can teach abroad by way of permanent relocation, exchange programmes or visiting researchers claim to have internationalised HE. Some researchers have agreed that this is a loose measure of internationalisation as this is simply mobility beyond national borders.

## **□ Providing training based on international content or comprising international connotations**

Does training and learning international content suffice as the best measure of the internationalisation of HE? De Wit's (2010, 2011) writings have shown that this has turned into a myth, even though European and US universities have coined the content of other continents, for example, courses and departments of African studies. In Europe, regional studies are given high regard in the internationalisation spectrum. Those universities that have attracted regional content training and exchange programmes have attracted other internationalisation actors to the fore. This comes in the form of hired lecturers, consultants and excursion leaders. In the process, cultural and colonial history is shared among the actors. This move has resulted in hostility from local students who feel disregarded. Another setback is in the quality of international students: those with poor grades have opted for international universities where competition is not a factor and what matters will be your ability to pay.

## **□ Having many international students equals internationalisation**

One with a localised mindset could swiftly associate the number of foreign students with the degree of internationalisation of their HEI. The ranking of universities is also the using number of international students as a measure of performance among universities. Many other dynamics overshadow this to qualify it as a misconception. Some universities are endowed with international students simply as a border university or because they have scholarships for certain countries.

## **□ Having few international students guarantee success**

Conversely, the value of internationalisation is felt as such when there are a few foreign actors in HE in the form of students. To maintain quality, some universities are setting and maintaining high standards when enrolling international students. Analysis suggests that real internationalisation is witnessed where there are fewer international students than otherwise.

## **□ Testing intercultural and international competencies is unnecessary**

There is a potential cognitive misconception that cultural and international competencies are acquired by merely attending classes, internships or training at an international university. The acquisition of such international competencies is not that basic. The duration of the programme and personal interest are

paramount in acquiring international competencies. Internationalisation is believed not to be an effective way of cultural and competency exchange as it is one way: from the lecturer to the student and little is vice versa. Lecturers are not very keen to learn cultural characteristics from their students unless it is peer learning through research, consultancy and publications.

### **□ Having more partnerships to increase the success of internationalisation**

As institution-to-institution strategic partnership beyond their borders is a sign of internationalisation, it is not a sufficient condition. There is a great fear that most of these lucrative partners are superb on paper but lack practical relevance to gather benefits like knowledge transfer, publications and research collaborations. Beyond the teaching and learning partnership, the most sought-after partnerships are those with international business companies that possess much-needed profit, spin-off benefits and technological transfer and funding.

### **□ Noting that education is international by nature**

This notion holds its debate from the arguments of the philosopher Erasmus, after whom the famous exchange programme was named. There is a view that internationalisation was there at the inception of universities, before the 18th century and well before the term 'internationalisation' was coined. Universities, therefore, by nature, are internationalised despite the most heralded ways to internationalise them. On the other hand, universities are established with national goals and mandates as opposed to internationalisation goals.

### **□ Making internationalisation a precise goal**

There is a complex task to distinguish internationalisation from its instruments and activities. De Wit (2010) has found this misconception in most of the literature and suggested that internationalisation is not precise and is thus subjective.

### **□ In summary**

The nine misconceptions have managed to show that the industrialisation of HE is a means and not a precise goal. To achieve an activity-oriented approach to industrialisation, the mentioned misconceptions should be analysed in their means to the objective. Practically, it is difficult to separate the different strategies to achieve industrialisation from the industrialisation of HE itself.

## ■ A process-based approach to the internationalisation of higher education

According to LeBeau (2018), the process approach views internationalisation as a process in which international elements are integrated into teaching, learning, service and research. The process method, according to De Wit (2002), is the most complete way to analyse internationalisation as it covers strategies, national policies and quality assurance. Many of these methods were established based on existing tools for assessing other educational endeavours, and there are no common criteria for evaluating internationalisation and its quality, as Beerkens et al. (2010) point out. Additionally, very few of these tools measure outcomes, only inputs and outputs. Currently, there are few published indicator sets for studying the internationalisation planning process.

The Internationalization Quality Review Process (IQRP) by De Wit and Knight in 1999 was the first attempt at assessing internationalisation as a process. Developed in 1997, the IQRP was the first project created by the Organization for Economic Cooperation and Development (OECD Institutional)'s Management in Higher Education Programme (IMHE) to help institutions not only adopt internationalisation policies but also to track and assess them. Concluding from Knight (2008), some universities were still working on their internationalisation plans at the time. This project developed procedures, guidelines and tools to help institutions undertake a quality review process relative to their internationalisation measures.

De Wit (2009) differentiates the term 'process' from that of 'activity'. De Wit's process approach, therefore, adds a critical step between assessing inputs, outputs and outcomes, which is the analysis of the process.

Knight's (2008) comprehensive process-based approach is as follows:

- **An international curriculum (in terms of both skills and content):** As a result of the move towards internationalisation, most universities are coining and pitching their curricula at an international level. It is regrettable to observe that some universities treat every student as an international student. Globalisation in the job market assists in pushing the agenda of the international curriculum as the job market will, in the end, tend to be universal. Therefore, course naming, case studies and curriculum accreditation have become international.
- **An international environment and experience (food, community and entertainment):** It is important to realise that food on campus, off-campus life and entertainment activities are necessary complementary processes to justify the internationalisation of HE. This completes the level of diversity expected by stakeholders in an internationalised learning environment.

- **Inward and outward student mobility (which may include exchange, study abroad and fee-paying international students):** The internationalisation of HE is a complete cycle of inward and outward movement of students among academic institutions. The process should not be misconstrued to mean attracting international students but is also an ability to send out students for learning outside the institution beyond the country's borders. Institutions should produce competitive students who can attain scholarships, fellowships and, in basic terms, can be enrolled in other institutions.
- **Inward and outward staff mobility:** It is not a secret that terrific university staff members have landed jobs in highly internationalised universities. In Europe, there is high staff mobility in good universities characterised by activities and processes of internationalisation. University staff mobility is facilitated by exchange programmes and student mobility itself as universities embrace diversity in their curricula.
- **Engagement with international networks (APRU, U21 and WUN):** International recognition is achieved when HEIs interface with highly regarded education networks. These education networks are a platform to share trending issues and concepts in HE. This aids university, programme and research acceptance by member institutions.
- **International collaboration, whether with universities, businesses, governments, NGOs or others:** Internationalisation should be inclusive of all institutional stakeholders of the university. University-to-university collaboration usually supports curriculum, student mobility, inward and outward staff mobility, research and publications. University-to-business collaboration plays a pivotal role in intellectual property rights, alums, commercialisation and innovation. Business is the testing ground for student and staff innovations. As universities were traditionally not-for-profit, with business partnerships they can tap finance options. To meet their mandates, universities seldom partner with their governments. This option has led to thought-proof policies, implementation and evaluation effectiveness. Universities usually have this apolitical view in policy-making necessary for sound decisions. Non-governmental organisations and pressure groups have not been left out in the collaboration matrix.
- **Research collaborations (whether at the level of individual subjects or institutions, formal or informal):** The thrust of many internationalised institutions has far moved away from teaching to research and publication. Research collaboration is more pronounced at the institutional level. Nonetheless, it has also gathered momentum at the individual level, formal or informal. The institutional collaboration covers research, publication, grant writing and consultancy. Faculty members are collaborating with counterparts the world over, to the extent that some have never seen each other but subject-area research collaboration has virtually brought them together.

- **Teaching (joint, dual degrees, split-site programmes, validations, franchises and articulations):** Europe is an exception when it comes to co-teaching across countries. In Africa, there is also the Joint Facility for Electives, where many universities offering Master's and doctoral degrees in economics have been meeting for elective courses. It is becoming a common practice that a university is now accredited in different countries where some will virtually or physically relocate. UNICAF University and Monash University are good examples. To share faculty staff and experiences, dual degrees are being offered with the sandwich and split-site programmes being offered, which has facilitated most African faculty staff to attain postgraduate studies while at work.
- **International operations (delivering teaching or research in a different location internationally):** This form of internationalisation is a platform of information technology. Virtual learning and virtual conferences have fast substituted face-to-face teaching. In some instances, it will be blended education. Research and publication have been made very possible in the era of internationalisation and research collaborations. No wonder many authors are publishing papers on subjects far away from their geographical locations.

Looking at the activity-oriented approach and process-based approach towards internationalisation, one can admit the complexity in the use of a single approach in measuring HE internationalisation. A hybrid approach may be a winning approach to achieving an accepted and dynamic internationalisation approach.

## ■ Conceptualisation matrix in the internationalisation of higher education

The internationalisation of HE can be conceptualised under the following key elements:

1. Purposes/motives of internationalisation:
  - a. Academic/educational: student/staff global competencies, world-class capacity building.
  - b. International benchmarking.
  - c. Economic: economic competitiveness, financial income.
  - d. Political: national soft power building, diplomatic influence, et cetera.
  - e. Social and cultural: societal transformations in a globalised world.
2. International mobility of key actors/elements:
  - a. Students.
  - b. Teachers.
  - c. Expertise/knowledge.
  - d. Programmes.
  - e. Institutions.

3. International activities:
  - a. Delivery.
  - b. Exchange.
  - c. Export/imports.
  - d. Marketisation.
  - e. Entrepreneurship.
  - f. Competition.
  - g. Building alliances/collaboration.
4. Functional areas of higher education:
  - a. Teaching/learning.
  - b. Curriculum.
  - c. Professional and development services.
  - d. Research, consultancies.
  - e. Knowledge sharing.
  - f. Technology transfer.

## ■ Implications and recommendations in the internationalisation of higher education

Internationalisation of HE also aids in instilling in students the foreign values and principles that are desired in a global economy, such as international mindedness and openness, global language competency, flexibility of thought, tolerance and respect for others. This phenomenon also fosters ethical commitment, allowing students to reflect on their implicit and explicit views while also fostering a feeling of duty and civic participation. This also ensures that knowledge and different experiences can be shared among learners, researchers and all that are involved as far as education is concerned.

It is worth noting that the majority of nations cited commercialisation, brain drain and poor education as key concerns linked with HE globalisation. Furthermore, each of these dangers is more related to internationalisation's cross-border elements than to activities on campus. As more internationalisation is taking place, there is a risk that the mobility of the key actors is mainly from developing countries to developed countries, which implies that the developing countries may not develop from the bright minds that are from their countries. The developed countries will always be at an advantage because they are the ones who can attract bright students, and this causes the knowledge gap between the developed and the developing countries to widen further.

The globalisation of HE poses concerns, such as the loss of cultural or national identity, homogeneity of worldwide curriculum and 'brain drain'. It should be highlighted that these campuses pose a danger to the host society's cultural values. As it is characterised by lecturer-student mobility, brain drain is no exception. The osmotic flow of good brains to Europe and the US will

continue under the guise of internationalisation. That is why Liu (2020) harshly relates internationalisation to Europeanisation. Unfortunately, as long as Africa is under development, the good brains will end up as students or lecturers in Europe.

Another major issue is quality assurance, as many people have complained about the low standards of foreign HE programmes. Because education quality is in jeopardy, its critical providers, programmes, credits and certifications must be on a national and worldwide basis. With institutions now in competition for attracting international relevance through internationalisation, there is a risk that those without the capacity to accommodate international students are also forcing themselves to take part. As a result of the increased benefits associated with internationalisation, bogus universities are also contaminating the good work. It has been very difficult to regulate and standardise the course and programme quality of institutions masquerading as universities. This problem is common in Asia and Africa. For instance, recently, the Democratic Republic of Congo in one year closed 126 private universities running without proper registration.

Improved university quality, foreign students and staff and national and international citizenship for students and workers from underdeveloped nations are positive elements of internationalisation.

Institutions across the globe should be able to offer standard programmes so that all higher learning institutions are not at liberty to have specific curricula that might not be in line with international standards.

## ■ Conclusion

As HEIs are the essential actors in creating a well-balanced and constructive internationalisation strategy, they need to advocate for policy changes at the national level so that the intended goals may smoothly be achieved. This is to ensure that the policies drive internationalisation towards long-term academic goals. In this respect, continually examining and assessing the consequences of internationalisation are the most essential and continuing work for all HEIs. This involves studying the impact on students of a more open international programme and institutions and the implications for creating new knowledge affected by exposure to scientists from other countries. Another point to consider is that the internationalisation of HE should not be only a paper agreement, as the actual nature of such collaborations necessitates their implementation in an atmosphere that is conducive to the growth of the international process in every way. All stakeholders in HE must examine the consequences that graduates from these schools will have on the society or community where they reside. Government should always be active as far as the internationalisation of high education is

concerned to ensure standardised processes and the protection of international actors such as students and foreign institutions that may come to operate in their countries. This chapter has managed to outline the understanding of the internationalisation of HE through a comprehensive definition. The typology and rationale of the internationalisation of HE have been explored from a theoretical perspective and only left the application side to other chapters that follow. Challenges of mobility and internationalisation of HE have been unpacked.



# Examining internationalisation within higher education programmes

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## ■ Introduction

There is certainly no dearth of literature demonstrating that cross-cultural experiences, skills and competency are both antecedents and mediators to the performance of international managers who are on overseas assignments or interacting with culturally diverse groups. Higher education institutions (HEIs) are now required to review curriculum design and incorporate elements of internationalisation into the curriculum. Therefore, formal training in internationalisation is a significant precursor to successful performance. While several management courses incorporating cross-cultural management have

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grown over the years, the effects of specific academic programmes on students' cross-cultural competency remain underexplored. This chapter explores the internationalisation of the curriculum with specific reference to intercultural competencies and educational curriculum interventions on students' level of preparedness, namely the effect of effective academic programme design on cultural intelligence within HEIs.

Over the years, scholarly contributions have acknowledged that given the current highly multicultural workforce, intercultural competency (ICC) and skills are not just a significant element of a role but also have become a necessity (Chao & Moon 2005; Ng, Van Dyne & Ang 2009). Cultural theorists have maintained that intercultural experiences and competency directly influence managerial performance while on an international assignment (Earley & Mosakowski, 2004; Kim & Van Dyne 2012). In recent years, the Association to Advance Collegiate Schools of Business (AACSB) has reflected the significance of intercultural management competencies in the workplace in their accreditation process. The AACSB stated that 'complex demands on management and accounting education mirror the demands on organizations and managers' and listed four main challenges. The AACSB identified two of these challenges with direct reference to cross-cultural management education: 'Differences in organizational and cultural values' and 'cultural diversity among employees and customers' (AACSB 2009:4). The accreditation body clearly states their basic expectation that as part of an educational institution's accreditation and quality assurance process, academic programmes at both undergraduate and postgraduate levels must reflect graduate skills and attributes reflecting the changes that internationalisation brings. The significance of effective intercultural skills and competencies has prompted academics, researchers and scholars alike to identify key competencies across various disciplines of social sciences (Smith & Bond 1999), cross-cultural communication (Ting-Toomey 1999) and, more recently, international management (Thomas & Fitzsimmons 2008). Studies have also noted positive associations between individual characteristics such as communication skills and effective intercultural interactions. In one study (Eisenberg et al. 2013; Gelfand, Erez & Aycan 2007), it was observed that managers placed in international assignments were effective and adjusted better to their new cultural setting, and this successful adjustment was attributed to personality traits of openness to experience, conscientiousness and self-monitoring and attitudes.

## ■ Developments in the internationalisation agenda

A series of factors are significant in influencing trends and developments in internationalisation. First among them is the increasing percentage of

international students enrolling in academic institutions outside their home country. The number of students studying outside their home country continues to rise because of the competitive advantage of HEIs. International enrolments are unevenly distributed across different geographic locations, with a significant number of international enrolments coming from a variety of Asian countries. This seems to be followed by an increasing number of international students from the United States (US), the United Kingdom (UK), Australia and parts of Europe.

Secondly, while international student enrolment is a highlighting feature in internationalisation, staff mobility has significantly increased. It might be argued that this is partly because of the rise in mobile research students pursuing higher-degree research programmes. This movement of high-level skill base from one country to another is characterised as a form of 'brain drain' and 'brain gain'. More recently, the titling of this transnational knowledge transfer 'brain circulation' started gaining currency in the field of international management studies. Specifically, this movement refers to people who, as part of intercultural knowledge management and expertise and sometimes institutional collaboration between educational institutions, work overseas but eventually return to their home country.

Thirdly, there has been a significant upturn in international (sometimes referred to as transnational) education. This is described as universities establishing sites in international as well as national locations. In some instances, these locations are referred to as partner locations. The countries taking the lead in such practices are Australia and the UK. In the case of some of those importing countries, transnational educational offers a substantial percentage of higher education (HE) programme offerings. In such cases, this offers a combination of the offshore presence of international institutions with technologically mediated learning.

Fourthly, with transnational educational programmes, there are noted increases in international programmes with a focus on programmes and discipline areas such as masters of business administration (MBA), business and information technology (IT). The sciences and humanities programmes do not seem to be as attractive as MBA's.

Finally, researchers have passed the gauntlet to continue and extend inquiry around internationalisation and curriculum design, which has provided the perfect platform to highlight the need for international engagement and collaboration. In fact, there is a wealth of research to suggest that cross-collaborative scholarly contributions have increased in recent years. Throughout these scholarly contributions, a notable trend is a disproportion in enrolments, that is, lower levels of increases in postgraduate research students as compared to non-research degree students. This observation has presented somewhat of a concern considering the most

recent scholarly understanding of the economic role of science, education policy and curriculum choices (e.g. science, technology, engineering and mathematics), in which highly skilled scientists contribute towards improving and developing synergy.

Fundamental to these developments is the changing interest of stakeholders such as government organisations and individuals. These stakeholders are subject to influences such as international and market competition. Within every country, the governmental agenda always reflects its economic and political interests in the HE sector. This agenda subsequently has international implications. For example, every year, government legislation impacts the level of responsiveness of domestic HE towards meeting domestic demand and competitive advantage prompts looking beyond the domestic borders. Of course, the size of the sector is a significant factor here. When the sector is considered small in proportion to domestic demand, with an accompanying restricted private provider framework, students will likely resort to pursuing offshore educational opportunities.

What emerges as a mediating factor here is the regulatory and quality control systems of such countries. This serves as a powerful influence on the development of institutions and their education agenda within these countries. In the case of some countries, they have proactively and successfully created mechanisms preventing international institutions from establishing an onshore presence. This has been through stringent quality assurance systems. Conversely, other countries have been open to and encouraging of foreign educational institutions having a presence in their country. In such instances, the presence of foreign providers has offered opportunities to develop domestic capabilities but also attract enrolments from neighbouring countries. With reference to exporting countries, policies have been known to regulate the level of domestic competition for both public funds and students. The UK and Australia are great examples. In both cases, government legislation has substantially restricted the income that universities generate through their domestic students. However, remaining unregulated are the fee structures applying to overseas students. In turn, directly or indirectly, this can open opportunities to stimulate international activities. Therefore, government policy and regulations can be major moderators for countries, depending on their choice to import or export HE services. With specific reference to developed countries, it is also important to consider their geo-political and economic agenda, which in turn influences their rationales for internationalisation.

There is much research to indicate that there are different types of justification that developed countries present to support internationalisation, some of which are not necessarily mutually exclusive. Examples include fostering mutual understanding, skills acquisition and generating revenue.

Over the years, developed countries have traditionally offered support for internationalisation initiatives towards enhancing mutual understanding across culturally diverse groups. However, economics and competition have presented concerns around acquiring skills as well as revenue generation. These, in turn, have driven many of the new developments. Over the years, countries have adopted a more integrated approach to internationalising HE academic programmes, with a strong focus on the economic aspects. Such an approach has also brought into focus the research capacity within educational institutions, with the objective of developing and sustaining a knowledge-based economy. While HEIs are driven by economic motivators, many universities also see this as an opportunity to build their own international reputation through cross-border opportunities. Central to economic agendas is the fierce competition for students. Often this is associated with unsatisfactory government funding conditions in their home countries. This subsequently encourages countries to seek students and funding from overseas countries.

Certainly, students are motivated by a variety of factors as well. For international students, obtaining a qualification from an overseas country opens improved paths to employment and competitive salaries. Of course, such decisions are almost always influenced by factors such as economic costs as well as a student's financial resources and capacity. An interesting observation since the 1990s is the compelling market for international students is dominated especially by anglophone countries. This robust market is irrespective of whether the anglophone country charges full fees or, like some European countries, charge much lower or no fees to international students. The implication is that the apparent benefits from qualifications in English-speaking countries tend to considerably outweigh the much cheaper costs of studying in non-English-speaking countries. This is further fuelled by access to the English language and its influence on employability. Of course, the interests of stakeholders such as government institutions and students are dynamic, ever-changing in mutually reinforcing ways. This then paves the path for universities to broaden their market orientation of universities towards an international perspective. Promoting economic growth has often been possible through integration into the world economy, enhancing further international relations. This integration and market orientation seem to have provided the impetus for international trends in education today across both importing and exporting countries. It should be noted though that there exist different capacities and resources of exporting countries. Most notable is language, which appears to have compelled countries to take different approaches. In the case of large international markets, there appears to now be a concentration emerging around fee-paying students. With the smaller international markets, the concentration appears to be emerging around high-quality students, with educational

institutions and countries trying to lure them into enhancing their own international standing and reputation.

While internationalisation has significant benefits, it is known to also have risks. Within the context of the open systems model, the main benefits at the input level include attractive levels of student access coupled with a significant international pool of candidates for HE. In the case of less developed and developing countries, citizens, despite the absence of HE structures and systems in their country, can gain access to the highest quality international education. This in turn contributes towards building domestic capacity. An associated risk, however, is that with such international educational opportunities, there is the likelihood of an unequal distribution across national and individual levels, affecting less privileged, smaller countries and less advantaged students. In the open systems model, the process part may be reflected through benefits such as international partnering and collaboration in offshore courses, culturally diverse campuses and internationalised curricula. It could also be that variables such as market-driven competition may compromise the good practices of partnering and cooperation. Within the output domain of the open systems, the model is the important international benefit of skills acquisition through an increase in competent human resources in skill areas where demand is attractive. Worth considering is the potentially high concentration of students in certain courses, which could lead to high levels of homogeneity across institutional, national and international global levels. An additional risk factor is that research training could potentially receive less emphasis in comparison with taught programmes. The erosion of quality also presents as a risk for international markets unless quality control structures and mechanisms are put in place in an engaging and collaborative manner.

For parts of the world like Australia and the UK, there are several policy implications to consider. Firstly, market-oriented internationalisation may not be enough to support the research training of high-quality international students who are associated with benefits to Australia and the UK, as well as those of the sending countries. A second consideration for countries committed to internationalisation is that the emphasis on internationalism is unlikely to address challenges experienced by less developed countries and may indeed exacerbate it. Thirdly, in the case of local and domestic funding guidelines, influential incentives may be created for institutions in their international activities. Internationalisation is clearly a significant aspect of the educational agenda, requiring continuing policy attention.

With major initiatives for internationalising HE globally, it is now relevant and significant that academics especially develop an interest and commitment to designing educational programmes, learning and curriculum development that incorporates international perspectives. This commitment is crucial towards educational and cross-cultural skills development objectives of

internationalisation and is included alongside professional, market-driven and employability agendas. Historical insights into internationalisation have revealed that policy decisions on the internationalisation process should be necessarily entrusted to administrators seeking financial returns from international activities. Kagitcibasi (1996, p. 185) presents a convincing argument that ‘when social scientists do not get involved, policies are made by others, such as politicians; and when not informed by scientific knowledge, they turn out to be less than adequate’.

What appears to many leading countries as an urgent need in the international agenda is the generation of specific goals intended to enrich the delivery and quality of HE and then to actively pursue their achievement. Claims have also been made that (Wilson & Donnan 2012):

An international approach attempts to avoid insularity in scholarship and research and to stimulate critical thinking and inquiry about the complexity of issues and interests that bear on the relations among nations, regions and interest groups. (p. 13)

Their concerns about insularity and parochialism have been shared by Picht (1996) around the characteristics of academic programmes offered to international students. With reference to cultural objectives, Gacel-Ávila (2005) argues that the development of ‘an awareness of the interdependence of peoples and of societies in today’s world must be one of the basic functions of the universities’. However, more may be required than simply awareness. To this end, significant contributing factors aimed at addressing educational and socio-cultural objectives of internationalisation, such as the design and implementation of curricula, are critical. While some HEIs have become proactively engaged with the challenges of internationalisation and embraced the term throughout their mission statement and strategic plans, other countries are yet to engage.

Scholars such as Knight and De Wit (1995) have attempted to identify the main objectives that internationalised curricula are intended to achieve towards developing cross-cultural skills and required knowledge, skills and attributes:

- Firstly, serving international competitiveness and trade or the economic agenda of countries is significant to the drive. Academic programmes with a strong element of international content set out to prepare students with competitive skills in a highly globalised community. Of course, such programmes must also meet international standards, address students’ ability to work in highly culturally diverse teams and be sensitive to the needs of international clients.
- Secondly, there should also be a motive to promote self-development in a highly dynamic and fast-paced world. This is concerned with improving human relations and global citizenship in order to reduce social prejudice and to promote mutual understanding and cooperation as a basis for the solution of global problems.

- Thirdly, the objective should also be to engage and contribute towards transforming the social context and a deeper understanding of cross-cultural issues with reference to equity and social justice. With the last two objectives, reference is made to educational, social and cultural objectives, but the question remains, what design and types of internationalised academic programmes would facilitate their achievement? With the first goal of developing and enriching students' cross-cultural competency, skills and confidence to interact in culturally diverse groups; this is critical as it influences the political, social and cultural context. The diverse demographics of university students provide unique social platforms to foster cross-cultural development (Volet 2001), including tolerance (Horne 2003) and, ultimately, the development of multicultural global citizens (Adler 1974). How exactly can this be achieved? Engaging student-centred pedagogical approaches and practices offer useful instructional pathways to drive this goal as they bring students together in effective social learning environments. The value-adding elements of social forms of learning, such as problem-based learning, project-based learning, collaborative learning and shared problem-solving are strongly supported by research and should not be undervalued (Joiner et al. 2000; Salomon & Perkins 1998).

Several universities have resorted to reviewing and redesigning their physical learning environments to accommodate these innovative and engaging pedagogical approaches and practices (Pellegrini, Uskov, & Casalino, 2020). In addition, there is a significant body of evidence emerging over the years, demonstrating concern that university graduates are insufficiently prepared for the social and intercultural competencies required of their profession. Competencies such as interpersonal skills, communication skills and working effectively in teams are now all formally recognised as desirable attributes of university graduates. Promoting the development of ICC to work in diverse teams requires substantial modifications to traditional university pedagogical practices. Working in culturally diverse teams is not only a skill difficult to foster but also one difficult to evaluate in a university context. An increasingly popular method of educating students in the health care profession is problem-based learning. Despite such effective interventions, the social dynamics of intercultural competencies remain a challenge.

In designing curricula for global students, a series of choices must be developed about knowledge, skills and attributes in addition to attitudes about being part of a diverse workforce. According to the popular paradigms, this is often decided by default, with minimal consideration given to alternatives and ways of practising a profession. In considering important aspects of academic programmes towards internationalisation of the curriculum, it is important to go beyond dominant paradigms to explore emerging paradigms

and imagine new possibilities and new ways of thinking and practising. While this presents opportunities, it is also a challenging task for those charged with curriculum design. This might be because they are socialised into their discipline, developing a sense of identity and personal commitment to the shared values and associated ways of doing and practicing (Wray 2011). Academics are hence culturally bound by their own disciplinary training and thinking (Becher & Trowler 2001).

An important requirement of professional practice is the ability to carefully consider the decisions made about the design characteristics of a curriculum. This is more especially the case when academic programmes are accredited by external professional accreditation bodies. When students enrol in academic programmes, their motive should extend beyond preparing for HE; it should also be about training for the demands of professional practice in a highly interconnected and globalised world. When planning and designing an internationalised curriculum, additional considerations should include moral and ethical responsibilities within the context of local, national and global citizenship. The development of international and ICC, knowledge, skills and attitudes in an internationalised curriculum requires strategic planning and collaboration and coordination across programmes of study. Important to consider is the development of other intercultural skills, such as language skills and ICC. These should be embedded across different levels. It is accepted and expected that not all students will enter HE with the same level of capabilities. Therefore, a range of strategies should exist to assist all students in achieving the desired learning outcomes by the end of the programme. Such strategies are likely to be required. Finding ways in which student services and the informal curriculum can support the work undertaken in the formal curriculum is an important part of curriculum design. A good starting point includes mapping desired knowledge, skills and attitudes as part of the formal curriculum. It is important to keep in mind during curriculum design what you would expect of students at the end of a programme and later on as graduates. Planning and designing curricula that reflect graduate attributes should also incorporate assessment tasks and learning experiences in and across different courses and at different levels in the academic programme. Students should also be provided with regular feedback on their performance. In an internationalised curriculum, clearly articulated learning goals are important to align with the provision of feedback on student achievement against international and intercultural attributes.

According to Leask (2005), the following must be considered:

1. When considering the internationalisation of the curriculum, its multidimensional features must also be considered. These include various elements of curriculum design and content but also, in a broader context, challenges associated with micro and conditions and their influence on curricula design.

2. Internationalisation of the curriculum is considered evolutionary and ongoing, and its core responsibilities must be undertaken by well-informed discipline experts and teams.
3. It is often the case that central to effecting innovative practices of a curriculum are barriers such as university-level policies, systems, workloads and priorities. These may include resources and the capacity of academics. It is important to acknowledge then that institutions should proactively engage in progressive measures towards management education.
4. Key to ensuring effective and progressive actions include visionary and strategic leadership across all levels. It is also important to acknowledge the importance of support for professionals and academics.
5. Key support structures and mechanisms include but are not limited to networks, sharing ideas around innovative practices at national and international forums and having champions across discipline areas.

In approaching the internationalisation of the curriculum, it is critical to approach it in a scholarly way, ideally adopting an action research approach. The success of this depends on a programme team comprised of academic and learning advisor staff responsible for designing and teaching a programme of study. This not only allows for an effectively integrated approach, adopting resources and perspectives of the team towards coherency across the programme but also the systematic identification and development of appropriate knowledge, skills and attitudes among students. Proponents of action research describe it as a reflective and cyclical process of problem-solving. When applied to curriculum design, the process adopts a community-of-practice approach with an emphasis on continuous quality improvement. This approach also considers that changes will likely occur when research is being conducted. When applying action research to the internationalisation of the curriculum, academics are actively engaged in reviewing motivations and rationales for the internationalisation of the curriculum, related goals and performance. After reviewing, the possibility of making changes is considered so that further improvements can be made. This cycle may be ongoing and may be undertaken as part of the normal review process.

## ■ Promoting internationalisation through intercultural competency

Described increasingly as the key competency of the 21st-century manager, scholars broadly define ICC as the ability of individuals to change their knowledge, attitudes and behaviour in terms of their openness and flexibility to other cultures in order to survive in today's modern globalised society (Azriel, Erthal & Starr 2005; Deardorff 2004, 2006, ed. 2009; Freeman 1995; Leask 2009). Building on the case for ICC further are several others who associate the sustainable, long-term success of firms in a global economy with

the need for adaptable, sensitive employees responsive to global trends and with the ability to communicate across cultures (Kittler, Rygl & Mackinnon 2011; Wong et al. 2010).

## ■ Conceptualising intercultural competency

The term ICC has often been associated with terms such as cross-cultural effectiveness, cross-cultural adjustment, cross-cultural competency, intercultural effectiveness, intercultural competency and intercultural communication competency. According to Commisceo-global,<sup>1</sup> some of the term's conceptualisation include:

- The ability to demonstrate targeted knowledge, skills and attitudes that lead to effective and appropriate communication with people of other cultures.
- The ability to demonstrate effective communication in intercultural situations and the ability to adapt to different cultural contexts.
- Demonstrating the acquisition of intercultural understanding and the ability to act in linguistically and culturally complex situations.
- The ability to communicate and interact effectively and appropriately with people from different cultures.
- The knowledge, skills and dispositional attributes necessary to effectively and appropriately communicate with individuals from other cultures.
- The ability to effectively and appropriately communicate with people who have a different cultural background or language repertoire.
- The ability to communicate in an effective and appropriate manner in intercultural contexts is based on a person's intercultural knowledge, skills and ability.
- The ability to develop targeted knowledge, skills and attitudes that lead to visible behaviour and communication that are both effective and appropriate in intercultural interactions.
- Ability to develop targeted knowledge, skills and attitudes that lead to visible behaviour and communication that are both effective and appropriate in intercultural interactions.
- A set of attitudes, knowledge and skills that enable effective and appropriate communication in intercultural encounters.
- A set of cognitive, affective and behavioural skills and characteristics that support effective and appropriate interaction in a variety of cultural contexts.
- How individuals from diverse backgrounds and cultures communicate and interact with others and become competent in acquiring a foreign language.

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1. See [www.commisceo-global.com](http://www.commisceo-global.com).

- Association with a lifelong process involving individual opportunities for ongoing reflection and assessment of cultural competency.
- Critical thinking plays an integral role in intercultural learning. Intercultural competency involves acquiring attitudes, knowledge, skills and habits for thinking and conducting oneself appropriately in different intercultural settings.
- Educators' ability to communicate and interact effectively, appropriately and respectfully with people of all cultures and to change inequitable educational practices.
- A range of skills and abilities that a person must acquire in order to communicate effectively with representatives of other cultures.
- Comprises three major segments: (1) the ability to establish adequate communication and interaction with people of other cultures; (2) the ability to acquire intercultural attitudes, knowledge and skills, that is, a better understanding and respect for cultural diversity; and (3) the ability to implement effective behaviour in other cultures, that is, intercultural sensitivity. Thus, the fundamental elements of intercultural competency are intercultural attitudes, knowledge and skills of interpretation, discovery and interaction, critical cultural awareness and political culture.
- A key competency of the 21st century needed to interact with people from different cultural backgrounds.

Several scholars (see Egan & Bendick 2008; Kulik & Roberson 2008) maintain that ICC traits are best taught and learned at universities and educational institutions, especially given the growing diversity existing within such establishments. Interestingly and consistent with this line of reasoning are the initiatives of the AACSB that identified multicultural and diversity understanding as important knowledge in undergraduate business programmes, with accredited schools being required to support the concept of diversity and to show that their curricula prepare students for careers in global contexts. The AACSB directive required business schools to 'prepare their students to work in an environment of strong global economic forces, wide differences in organisational and cultural values, and growing cultural diversity among employees and customers'. The personal competencies responding to these requirements include flexibility, resourcefulness, tolerance for ambiguity and vision, as well as cultural self-awareness, cultural consciousness and multicultural leadership (Egan & Bendick 2008; Kulik & Roberson 2008).

## ■ Traditional pedagogies

While the foregoing suggests a clear case for an increased demand for the skills being taught by HEIs, the reality is, however, that universities and educational institutions are often failing to deliver such outcomes. A key

reason for this lack is in the less than effective 'traditional only' pedagogical styles used by educational institutions in teaching and learning sensitive aspects such as intercultural competency and teamwork and entrepreneurship-related competencies such as the ability to cope with emotions arising out of failure (Shepherd 2004). Some scholars maintain (Becker & Watts 1995; Corno & Snow 1986; Sternberger 1995) that educators are becoming increasingly critical of the lack of relevance of traditional pedagogical roles of 'professor as lecturer and student as note-taker', which fail to consider the individual differences and learning styles in diverse student populations. According to Axley and McMahan (2006), 'the traditional mechanistic approach to management and management education is limited'. They stress the need for alternative, more integrative models of education comprising elements of complexity that fit with an increasingly complex world. Selvarajah (2006) discusses the linkages between education systems and culture and states that students from varying cultures respond to educational styles differently and that the traditional models do not accommodate these aspects.

## ■ Experiential learning

Lope and Baghero (2010) describe deficiencies in the pedagogical systems used across the world in entrepreneurship education despite learning being considered central to the entrepreneurial development process. Conspicuous in its absence is the established fact that 'in education, what is taught is inextricably linked to how it is taught' (Dewey 1916). This view is supported by Selvarajah's (2006) research that explores the need to align the relationship between education, the increasing cultural diversity in student populations and the learning and teaching styles of a changing student population in order to enhance the extent of knowledge transfer. He argues that postgraduate students in management studies from different cultural backgrounds, ethnicities and nationalities may respond to educational styles differently and that forcing students into traditional moulds does not augur well in a globalising world. Hence, understanding the importance of diverse learning styles from an experiential perspective is crucial: studies show, for example, that our general life experiences and societal demands influence our ability to manage conflict between being concrete or abstract and between being active or reflective (Kolb & Kolb 2005; Ng et al. 2009).

Such thinking is broadly supported by Ruben (1999), Philpot and Peterson (1998) and Verzat, Byrne and Fayolle (2009), who maintain that adoption of alternative pedagogies to enhance teaching and learning effectiveness to diverse student groups within business education is the answer to deficiencies in the traditional methods. Interestingly, while the availability of resources was earlier considered a barrier to the inclusion of experiential teaching and learning in HE, the same was displaced by another 'more serious' perceived

barrier, namely, the suitability of, and risk attached to, experiential learning methods (Lean et al. 2006). However, such fears seem to be unfounded, and the benefits exceed the costs involved with experiential pedagogies compared with traditional methods.

## ■ Intercultural competency through experiential learning

Experiential learning is a process whereby concepts are ‘formed and modified by experience’ (Kolb 1984). Institutions, over the years, have attempted to introduce experiential learning methodologies to achieve learning objectives within their courses. Achieving such learning objectives through experiential methodologies equip students with abilities, knowledge and greater awareness of certain real-world phenomena (Kayes 2002; Kolb 1984; Kolb & Kolb 2005; Yamazaki & Kayes 2004). In this case, experiential learning was a key to developing intercultural competency, such as greater awareness of cross-cultural differences, understanding behaviour when working with people from different cultures and developing appropriate business knowledge. The growing emphasis on experiential approaches may be attributed to the ever-increasing mobility of people across borders (Ng et al. 2009). Despite the important role that global assignments play in international management, there appears to be a dearth of knowledge around the importance of experiential learning methodologies, such as games used in pedagogies, to develop intercultural competency and the preparation of future international managers.

## ■ Alternative pedagogies

Simulation-based learning, which encompasses games, is an established alternative pedagogy to traditional teaching methods and includes three types of activity: firstly, role-playing; secondly, gaming; and thirdly, computer simulations. The commonality underscoring these three activities is their ability to allow students to have an imaginary world within which to act out given situations (Moizer et al. 2009). The importance and effectiveness of the use of games as a pedagogical technique in professional education are well supported by the literature, as is the case for adapting teaching methods to what is being taught (Azriel et al. 2005; Verzat et al. 2009). Cohen and Rhenman (1961) trace the roots of management (business) games to military organisations, which have been using these for centuries and state that the American Management Association first introduced games to the civilian world in 1956. They describe two main reasons for using games in business teaching. Firstly, playing games is fun; it involves a high degree of personal involvement and the engendering of a competitive spirit. Secondly, important

aspects of an education programme are taught much more effectively through management games than in any other way. Schreiber (1958), as early as in 1958, described the role and benefits of games as attractive and being able to supplement traditional teaching techniques with unorthodox means. More recently, Brozik and Zapalska (2000), who view gaming as a valid educational experience, lend support to such thinking. Others maintain that interactive teaching methods, including simulations and games, offset the limitations of traditional methods, increase active learning, promote creativity and are of excellent value in training for interpersonal skills (Pedersen & Hofstede 1999; Philpot & Peterson 1998; Ruben 1999).

Entrepreneurship-related studies have received a boost in the past decade because of organisations seeking to become more entrepreneurial by, for example, promoting intrapreneurship. Research into the pedagogical aspects relating to entrepreneurship education reveals that entrepreneurship students who had been taught courses through the 'learning by doing' (simulation and gaming) pedagogy scored higher in achievement behaviour, achievement and self-esteem cognition and innovation cognition when compared to their counterparts (Lope & Baghero 2010) who learnt through traditional pedagogies. In addition, as games allow participants to experience the emotions associated with failure (given that most entrepreneurs fail before they succeed), well-planned games within classrooms serve as an ideal learning environment for students to experience and learn from failure (Shepherd 2004). It is worth mentioning at this point that games and the advantages that accrue from their use are highly analogous to action learning – yet another alternate pedagogical method. Action learning is described by Raelin (2006) as a technique that facilitates learners to engage together in real-time work problems and allows the knowledge gained in one context to be used in real-life situations by practitioners. The resulting positive benefits closely correspond with the benefits derived from gaming in business education.

While the advantages of, and situations in which, simulations are a substitute for traditional methods are manifold, their true value is still underestimated in the education field (Zantow et al. 2005). While the time taken to complete a game or arrive at a decision varies vastly between games, the advantages in selecting games that can be completed within a single class period include the flexibility of their application, the diversity of ideas through a single game and the potential of combining real educational experience for students without being over complicated or overpowering (Brozik & Zapalska 2000). However, this presents many challenges in a highly cross-cultural setting. Understanding the lenses through which people view the world is anything but easy. This problem is exacerbated when students prepare assessments in a cross-cultural team.

## ■ Relevant skills acquired through experiential methods: Games

There are three sets of skills essential to intercultural competency that games, as a pedagogical device, may assist in achieving: mapping, bridging and integrating (also known as MBI).

The MBI model, adapted from Lane, DiStefano and Maznevski (2000), is based on three skills: mapping, which allows for the understanding of cultural differences among team members, bridging that allows for effective cross-cultural communication among members and integrating that allows different perspectives to be brought together and to be built upon:

- **Mapping:** This chapter highlights the use of alternate pedagogies, such as games, to manage intercultural competencies. Students should be encouraged to develop a 'cultural map' based on their team members' characteristics and their cultural background, in terms of observable patterns. A good cultural map allows international managers to obtain accurate information about cross-cultural management issues and concerns (Lane et al. 2000). For the purposes of this chapter, a cultural map is described as facilitating one's ability to describe oneself and others to allow predictions and explanation of team-based behaviour with the intention of managing a high-performance team. Students who become international managers without having experienced cross-cultural challenges tend to develop their own cultural mapping unconsciously. Having a formal framework on which to assess their observations helps to accelerate the learning process.
- **Bridging:** After students observe patterns in values and cultural orientations, they attempt to understand these patterns from their own perspectives as well as the perspectives of others. It is this level of mapping skill that students develop, which provides a platform or foundation for effective bridging.
- **Preparing:** Like the workforce, the more culturally diverse a classroom is, the more challenging it becomes to manage intercultural competency. Two predictors are crucial for 'preparedness': motivation and confidence. Students are motivated, through non-traditional interactive methods, to communicate across a cultural boundary, to be both understood and to understand their team members. Motivational theories come into play as students are challenged to be the winning team. Students who are normally confident may find that they are less confident in a cross-cultural setting. Confidence is the belief that it is possible, through teamwork, to overcome any communication or cultural barriers.
- **Decentering:** This is a process of moving away from your own position, or centre, and moving into the mind of the other person. In this process,

messages are sent in a way that will allow students to understand others and to allow others to understand them. Lane et al. (2000) maintain that this requires an important skill, empathy: feeling and understanding as the next person does. In international management, many international assignments fail because of managers not possessing cross-cultural competencies such as having the ability to empathise (Deresky & Christopher 2008; Phatak, Bhagat & Kashlak 2005; Scullion & Linehan 2005). Good de-centring requires good mapping skills, in that the map warns you of surprises and problems.

- **Recentring:** This stage requires students to establish a common reality and to agree on forming mutually agreed-upon rules. A cross-cultural team that struggles with this requirement may find that some team members are frustrated at the outset because of incompatibilities. Again, skills in mapping will dictate how to find a common reality and will give teams a point of leverage.
- **Integrating:** Integration allows students to manage differences through effective participation, conflict management and building on ideas. This process addresses cultural challenges when working in a cross-cultural setting.
- **Participating:** Depending on the cultural background of students, they may or may not choose to verbalise their opinions freely. For example, people who have lived in a high-powered and hierarchical society may feel less inclined to express their ideas to a higher-status person or to the group leader. In this stage, team members actively facilitate participation.
- **Managing conflict:** The more multicultural a team is, the greater the likelihood of a wide range of opinions, which may present cross-cultural challenges. Through effective mapping and bridging, such conflict should, ideally, result in the creativity of thoughts and ideas.
- **Building on ideas:** With a well-understood mapping framework, good communication skills, active participation and good conflict management techniques, the team is able to progress and build on ideas.

Ironically, while the foregoing discussion supports the view that competing and survival in a globalised environment demands that international managers be interculturally sensitised, research (Leask 2009) indicates that, whereas Australian universities registered a significant increase in their international student intake in the past decade, the same period failed to witness a corresponding increase in engagement between domestic and overseas students. A question that perhaps flows logically from this situation is whether this lack of engagement equates to a lack of ICC awareness and development within Australian universities. Some studies that address this potential issue (Montgomery 2009; Summers & Volet 2008) attempt to link teachers' pedagogic interventions, such as the use of group work in culturally diverse cohorts, to students' enhanced intercultural capability and sense of belonging.

This latter aspect resonates well with social exchange theory (SET), which postulates that human behaviour, or social interaction, is an exchange, with exchange defined as social interaction characterised by aspects including reciprocal stimuli and enduring long-term social relations (Buchan, Croson & Dawes 2002; Zafirovski 2005). A study by Yamazaki and Kayes (2004) revealed that 73 intercultural competencies are required for successful international managers. Some significant skills and abilities identified in their study included interpersonal skills, the ability to use humour, interaction management, relationship building and cultural empathy. Could the foregoing, therefore, when extended to the context of a highly international and multicultural student group with a strong digital divide (Prensky 2001), be construed to mean that more face-to-face interactions and hence reduced blended learning is the way forward to allow for more social interaction and more reciprocal stimuli and, therefore, more ICC learning?

An interesting parallel development is the growing organisational demand for cross-culturally capable employees who work within increasingly multicultural workforces (Goltz et al. 2008; Pillay & James 2013) to be equipped with skills including problem-solving and advanced interpersonal skills (Avery & Thomas 2004; Yamazaki & Kayes 2004). Specifically, within the Australian context, the White Paper released by its government (Chakraborty & Walton, 2020) clearly details the need for the nation to broaden and deepen its understanding of Asian cultures and languages as a route to becoming more Asia capable and literate. Some scholars argue that an effective solution to meeting ICC-relevant demands is achieved through universities training students prior to their entering the workforce (Freeman 1995). Supporting such thinking are others who maintain that the increasing cultural, socio-economic and age-related diversity seen within universities (resulting from a greater demand for education) makes them a valuable resource and an ideal training ground for imparting intercultural competency and allied skills within a low-risk environment (Azriel et al. 2005; Leask 2009).

However, flowing from the aforesaid is a somewhat interesting and apparently ironic scenario wherein universities, on the one hand, are being pressured to mould students into interculturally competent employees of the future, while on the other hand they are being required to do so with reduced face-to-face contact given the exponential increase in the adoption of online, technology-enhanced delivery modes. It is possible to reason that this sustained push towards the adoption of blended learning reflects a one-size-fits-all mentality that somewhat disregards the fact that individuals from different cultural backgrounds have different learning style preferences (Holtbrugge & Mohr 2010; Kayes 2002; Kolb 1984; Kolb & Kolb 2005; Yamazaki & Kayes 2004). This potentially creates a contentious situation with tensions and, arguably, a trade-off in that a reduction in face-to-face delivery equates with diminished ICC development of students. Implicit within this

contentious scenario, and observable in its violation, is the assertion of Dewey (1916) that there is an inextricable link between what is taught and the method of teaching it. While extending this premise further in the following sections, there is indeed the case for maintaining the principles of SET and developing students' ICC traits and harnessing the benefits of the diversity available within university student communities, as is the case for enhanced face-to-face contact to facilitate the nurturing of these traits.

Several scholars argue that the benefits that accrue from effectively tapping into the diversity within today's HE settings cannot be overemphasised (Bledsoe, Oatsvall & Condon 2010; Garcia et al. 2001; Milem, Chang & Antonio 2005). While claiming that institutions that deliver programmes with strong diversity benefit students, including enhanced cognitive and critical thinking skills, such scholars also maintain that students of such environments are more likely to recognise inequality and act on resolving it. They are also better prepared for life in an increasingly complex and diverse society and are more open to living in racially diverse neighbourhoods after graduation. Others (Briguglio 2006a, 2006b) maintain that time allocated within classrooms to aspects such as icebreaking, sharing expertise and social interaction creates a climate of interaction that results in valuing cross-cultural skills and knowledge.

On the other hand, however, are forceful arguments (Anderson 2008; Fincher et al. 2009) that merely being part of a common campus or class does not make up for successful peer interaction. Perfectly mirroring this is the HE tapestry in Australia, rich in the cultural diversity of its student population, with a dramatic increase in the absolute number of international students studying in its universities in the last decade; however, there has been no corresponding increase in terms of the interaction levels between local (Australian) and overseas students over the same period (Leask 2009). Arguably, the key to the dilemma of optimising the benefits of interaction lies in its being 'planned and incorporated' within curriculum design, according to a research project examining the benefits and hindrances to interaction among students from diverse cultural and linguistic backgrounds, which was conducted in Australia between 2008 and 2010 (Arkoudis et al. 2010). Interestingly, this research found that while the potential obstacles on the teaching side included 'limited time' available to foster interaction, a key barrier identified on the learning side was limited time spent on campus. It could be argued that both responses are clearly indicative of more, not less, face-to-face interactions needing to be planned and incorporated within the curriculum.

While research by Ledwith et al. (1998) suggests that diverse groups take much longer to become effective, Summers and Volet (2008) indicate six months as being the approximate minimum time necessary for culturally heterogeneous groups to work effectively. Viewed in this light, the case for

the reduction of the face-to-face interface via the enhancement of blended learning has worn thin. Intercultural competencies and understanding evolve through interactions with others (Barro, Jordan & Roberts 1998). According to Barro et al. (1998:83), 'culture is not something prone, waiting to be discovered but an active meaning-making system of experiences, which enters into and is constructed within every act of communication'. Through interaction, individuals become more aware of (their) own cultural norms and make them explicit, a process that can be described as making the familiar strange.

## ■ Social exchange theory

In addition to earlier argument - and adding further credibility to the enhancement of ICC development - are several aspects of social exchange theory (SET) developed by Thibaut and Kelley (Wallenburg & Handfield, 2022). Social exchange theory is a broad approach used to explain and predict three dimensions to developing ICC such as relationship maintenance, exchange processes and social interaction.

Further, the noted SET theorist Homans (1958:600) maintains 'the more one is likely to engage in an action, the more valuable its reward'. While proponents of technologically mediated learning might argue that contact time and overall hours of faculty-student interaction are not necessarily negatively impacted, research by Meyer (2007) highlights three distinct advantages of face-to-face discussions in scenarios involving multicultural student groups: (1) the emotion, energy, fluidity and ease of face-to-face exchanges, which capture very real advantages of face-to-face exchanges, (2) the ability to read nonverbal signs (body language, facial expressions) are seemingly critical to some students and (3) immediate feedback (through nonverbal cues or verbal responses from their classmates); that is, the students' points of view are immediately evaluated and in a way that is more memorable and also easier to respond and react to in the face-to-face discussion. Socially and emotionally, face-to-face oral communication is a rich medium, as maintained by Garrison and Anderson (2003).

While SET and ICC are not meant to be interpreted as one and the same, they do complement each other. The underlying premise of both SET and ICC is that social relations are a phenomenon permeating all aspects of behaviour and social exchanges. The concepts of exchange and cultural competency are interdependent and closely intertwined.

## ■ Conclusion

This chapter has presented the argument that internationalisation has prompted changes in various aspects of academic, social and work life over the years. People across different spectrums engage and work with

others across multicultural teams, which requires intercultural skills and competencies. This requires managers especially to rethink the role of national culture in organisational settings. As the work landscape becomes dynamic and complex, there is an urgency for organisations to proactively engage in initiatives around developing competency in ICC.

While academic institutions have taken great strides in incorporating graduate attributes to reflect intercultural competencies, there still exists an underexplored area around the moderating elements of academic programmes on students' cross-cultural competency (Eisenberg et al. 2013). This chapter has attempted to add to the debate on the effects of academic interventions through curriculum design on cultural competencies and skills.



# Rationale for internationalisation of higher education and associated challenges

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## ■ Introduction

International higher education (HE) has to be dynamic, competitive and sustainable and contribute to educational development both locally and internationally. This is in response to a global market requiring graduates with technological and discipline-specific knowledge. Additionally, higher education institutions (HEIs) must respond to the needs of international students across various modes of internationalisation of HE. In this regard, Knight (2004) asserted that the internationalisation of HE embeds integrated intercultural, international and global dimensions into the teaching and learning pedagogy. Similarly, Garson (2016) argued that any rationale to internationalise HE must ensure that inequitable and unethical ideologies

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and practices are addressed. Accordingly, Beelen and Jones (2015) posited that HEIs should not be driven by any exclusive model of internationalisation, which does not ensure that HE is aligned to global equity, pedagogical innovation for the inclusion of intercultural dimensions into the formal and informal curricula, inclusivity and global learning outcomes.

Generally, HEIs are seen as being driven by an economic or educational agenda. For example, the university ranking system is based on the international reputation of universities, the competitive quality of programmes offered in a market-oriented education environment, generation of income from the enrolment of international students and employment of highly profiled researchers. Likewise, Holmes (2014) posited that an international profile for HEIs is fundamental to building their international excellence, outstanding academic standards and strengthening their competitiveness and economic growth. However, political and institutional rationales can also be drivers for HE internationalisation, such as nation-building, national security and reputation (Phipps 2014).

Despite diverse agendas, internationalisation can be abroad and local wherein students may go abroad to gain international exposure and students may come in to gain local experience. However, with virtual internationalisation, students may gain international exposure but remain in their local environment. Despite the mode of internationalisation, internationalisation of HE has brought with it new needs, attitudes and demands that teaching and learning pedagogy has to consider. Apart from benefits such as national and international citizenship, internationally-orientated academics and students, brain accumulation, coproduction of knowledge from different cultures and revenue generation, emerging challenges are associated with the internationalisation of HE being associated as a commodity to be sold on a competitive global market (Estacio & Karic 2016). Added to these considerations are the challenges accompanying multicultural exchange and exposure (De Vita & Case 2003). Therefore, as a complex process, the internationalisation of HE has to focus on all the elements of a multicultural pedagogy at local, national and international levels.

The objective of the chapter is to explore the purpose of internationalisation within HE and the challenges associated with internationalisation. The chapter covers the underpinning factors supporting internationalisation and the challenges facing HEIs to ensure that internationalisation responds to global imperatives.

## ■ Rationale for internationalisation

Internationalisation of HE attracts international students and academics, offers globally relevant programmes, increases mobility, improves global

profiles of HEIs, promotes international partnerships, increases global investments in HE, stimulates growth in IT and promotes the development of internationally qualified scholars and scientists.

## ■ Globalisation imperatives

Globalisation has motivated HEIs to transform knowledge into products that can be exchanged in an open international market. This has been shaped by new communications, integrated economies and international knowledge networks. In this regard, internationalisation theory advocates that globalisation has impacted a shift in the patterns of production and distribution among businesses (Albidewi & Tulb 2014). In aligning this to HE, HE systems have internationalised human capital development through curricula that address local and international global labour market needs. Relatedly, the internationalisation of HEIs cultivates global virtual classrooms of diverse academics and students who cooperate and collaborate in the context of international standards and competencies. Also, this has been necessitated by increasing demand for graduates with global market qualifications to fit into the global market and knowledge-based economies. The internationalisation of HE also helps countries to develop and retain local talent while reducing dependence on global talent. Some argue that reliance on imported labour can be a national security threat to local economies (Gribble & Tran 2016). Therefore, local graduates should be developed with internationally recognised standards of competencies so that they can be part of a globally competitive labour force. On the contrary, Bohman (2014) argued that some countries prefer international students as part of their labour force, which augers well for international students seeking education in other countries because of quality, economic and political conditions and varied resource availability. For example, Australia is the third most significant destination for international tertiary students, behind the US and the United Kingdom (UK) (Arrowsmith & Mandla 2017). One such programme is the New Columbo Plan that allows the exchange of Australian and Asian students between Australia, Asia and the South Pacific. One such example is the internationalisation programme between Royal Melbourne Institute of Technology (RMIT) (Australia) and RMIT Vietnam (Vietnam's first foreign-owned university), which includes exchange options, internships and summer, winter and volunteer programmes. The numerous benefits include funding from international students who pay full fees, strengthening relationships in Asia through financial aid for Asian students in Australia and to acquire indigenous knowledge from foreign countries (Lowe 2015). Internationalising HE requires HEIs globally to ensure that their programmes augment credit transfer and vertical and horizontal articulation. For example, Australia practices its own accreditation system for their international programmes, as their graduates are internationally recognised. This is important for increasing

the visibility and ranking of HEIs, which is a driver for attracting international students.

Relatedly, a need has emerged for the internationalisation of HE that transcends borders by interconnecting with other universities to facilitate academic, teaching, learning and research initiatives (Tuisk, Nekrassova & Miller 2015). Therefore, creating relevant and competitive HE learning products that address international labour needs is fundamental to internationalisation. Further, an integral part of internationalisation initiatives among HEIs is the generation of revenue from a differentiated fee system for international students (Garson 2016).

Internationalised HEIs have to prepare internationally recognised graduates to compete in a competitive international labour market requiring global awareness and skills. Further, remaining internationally competitive requires universities to use technological platforms that reflect diverse networks, virtually accessible by academics and students. Mass accessibility of HE not only boosts the student population but also increases skills development, global perspectives and cultural awareness (Weigel, Cegielski & Hall 2014). Regarding cultural awareness, the internationalisation of HE exposes students to alternate teaching and learning methodologies without undermining their own personal and social cultures. Internationalisation of HE does not seek homogeneity in language, lifestyle or ways of thinking.

Internationalisation not only increases cooperation and collaboration among HEIs across borders but also strengthens competition in areas like research. Such research is invaluable for finding solutions to local and global challenges relating to societies, economies, labour markets and nature (Tuisk et al. 2015). Virtual research is also accompanied by financial benefits for researchers who produce profitable knowledge for export. The dissemination of knowledge not only improves the quality dimensions of life but also increases the economic competitiveness of countries. Additionally, through internationalisation, the research competency of students can be expanded both locally and internationally. One such example is the collaborative effort by Collaboration Across Borders WEB (CABWEB), which is a network collaboration for academics and students across Europe and Asia. The CABWEB has synchronous and asynchronous tools.

Virtual internationalisation of HEIs also encompasses partnerships, with HEIs establishing satellite campuses across the world. For example, HEIs from the United States have campuses in China and Vietnam, which fosters the internationalisation of the curriculum, staff and students. The US and UK curriculum has been adopted in the United Arab Emirates (UAE), while partnerships between UAE and foreign universities have been forged to offer joint degrees. Additionally, scholarship opportunities through partnerships allow academics and students to engage in mobility programmes. For example,

the Collaborative Online International Learning (COIL) Centre at the State University of New York provides for an international pedagogical approach to teaching and learning for transnational students. However, the content of virtual internationalisation programmes must fit the cultural, social and linguistic learning environments of international students (Tuisk et al. 2015). This can be more easily adjusted in a virtual teaching and learning environment than in a traditional contact classroom. For example, virtual programmes use multiple approaches like simulations and graphics to build innovation into teaching and learning.

## ■ Institutional reputation and legitimacy supporting internationalisation

Cattaneo, Meoli and Vismara (2015) used organisational theory to argue that reputation is an inherent dimension of internationalisation driving both ranked and non-ranked universities. Indeed, building reputation includes constructs like branding, academic standards, high calibre students, high profile projects and status, which constitute organisational theory. On the one hand, Bitektine (2011) claimed that the globalised market for HE has created a necessity for HEIs to expand internationally and gain visibility. Further, the internationalisation of HE is also a key to research on global problems, thereby contributing to high-quality and expanded research production. This helps to maintain ongoing research collaboration, research performance and up-to-date technologies while attracting the attention of international governments and industries in cases of innovative research outcomes (Chen 2019). Internationally recognised research is a core factor for the worldwide ranking of universities, which enables them to compete globally. On the other hand, independent of world ranking, universities have also pursued internationalisation for purposes of reputation and legitimacy at national levels. This is especially the case when institutional-level rationales support internationalisation (Cattaneo et al. 2015). While HEIs attempt to be different in establishing their reputation, their legitimacy is based on their similarity to other HEIs.

One of the institutional rationales mentioned by Knight (2004) is the goal to produce a local labour market with competencies to access a global market. Additionally, in positioning itself at a national level as an HEI with high-quality education, cross-border partnerships and high-ranking academics, the university builds a national reputation that can act as a catalyst to attract international students (Cattaneo et al. 2015).

Other authors assess reputation in terms of quality and prestige, which are needed to strengthen the organisation's status (Shenkar & Yuchtman-Yaar 1997). In terms of ranked universities, they attract students for reasons of quality of instruction, opportunities for jobs, recognised academics and access to resources. In such cases, ranked universities establish a reputation

in the global HE marketplace. Their internationalisation strategy is driven by cross-border collaboration that allows them to increase their ranking, ensure a higher level of performance and make them globally competitive (Knight 2004).

In terms of legitimacy, Cattaneo et al. (2015) posited that normative and cognitive legitimacy are pivotal in HE systems. By adopting the norms of the social and institutional environment and adhering to commonly shared beliefs within the HE environment, HEIs could demonstrate their appropriateness within international networks, gain access to external resources, create appropriate and authentic knowledge basis and build trust through valuable service provision (Cattaneo et al. 2015). In the context of non-ranked universities, they can legitimise themselves by advancing themselves in the national context that sets them apart from locally competing HEIs. De Wit, Ferencz and Rumbley (2013) argued that while ranked universities exploited internationalisation to access valuable resources, non-ranked universities sought legitimisation in the local system. Such legitimisation, based on the internationalisation strategy of non-ranked HEIs, enables them to become HEIs of reference in the national and local contexts.

## ■ **Virtual learning environments supporting internationalisation**

With the emergence of ICT, HE programmes can be dispensed through virtual internationalisation. This is supported by the diffusion of innovation theory, which purports that knowledge of the advantages and compatibility of an innovation provides the motivation for its adoption (Albidewi & Tulb 2014). Hence, knowledge of the value of ICT infrastructure for the internationalisation of HEIs has prompted HEIs to adopt virtual internationalisation approaches. However, this has to be underpinned by knowledgeable ICT support staff, academics and students who can successfully adopt innovative practices. This facilitates teaching and learning in virtual and mobile international contexts, where academics and students are brought together from diverse international backgrounds. Online interaction exposes students to multiple media platforms, which allows students an exchange of ideas, feedback and rich multicultural experiences through synchronous and asynchronous virtual mobility tools.

ICT provides infrastructure such as e-learning tools for global connectedness. Online platforms such as learning management systems (LMSs) and virtual learning environments (VLREs) facilitate the dissemination of teaching and learning modes that are critical for the global flow of information and knowledge. The VLREs like Zoom, emails

and Blackboard support the virtual mobility of students and HEIs, enrolment of international students as a more affordable alternate and real-time student-centred education delivery. Additionally, the Massive Open Online Courses (MOOCs) platform has been adopted by many HEIs to expand accessibility to local and international programmes. Likewise, the Association of International Educators in the US offers international programmes in foreign languages and exchange programmes. Relatedly, the UAE has the highest number of foreign HEIs in the world, reflecting a deregulated environment affording opportunities for accessibility to quality international HE (Tuisk et al. 2015). E-learning platforms grant students access to international curricula without geographical migration. In such instances, a continuously active ICT network allows virtual internationalised education, without time and place inhibitors (Weigel et al. 2014). In terms of national network support, virtual programmes are driven by real-time approaches like video and voice recording. Further, some of the LMS include Blackboard, Moodle, Zoom and Microsoft Teams.

Advanced ICT has increased the creation of VLREs for the integration of global dimensions of the internationalisation of higher learning. With the enhanced mobility of students beyond geographical boundaries through virtual internationalisation, HEIs have been able to increase student enrolment from across the globe. Considering the associated costs for contact HE programmes, virtual internationalisation programmes can be implemented on a larger scale with a higher return on investment for both institutions, staff and students (Tuisk et al. 2015). Further, internationalisation has contributed to enhanced diversity and quality of programmes delivered by individual HEIs or international partnerships. Likewise, virtual classrooms promote a learner-controlled environment, supported by self-regulated learning, real-time feedback, sharing of ideas and guidance and continuous learning. Therefore, virtual internationalisation of HEIs is based on programmes fitting international standards, thereby equipping them with skills to compete in an international labour market.

## ■ Promoting intercultural experiences

Academic joint ventures can allow inward and outward mobility of academics and students as part of an exchange platform for cooperative teaching and learning. Such exchanges foster intercultural experiences, integrated pools of research from different HEIs and diverse learning initiatives. Joint ventures benefit students in that they are exposed to a variety of instructional designs and content that supports learners in broadening their global knowledge (Weigel et al. 2014). Likewise, Bruhn (2017) argued that networking contributes to the growth of the emotional and social skills of academics and students.

The benefits of this include establishing and sustaining international contacts, professional development, interpersonal and intercultural awareness, global consciousness and the preservation of indigenous experiences and value systems. Additionally, HEIs can open international satellite campuses using local and international academic and support staff to provide local students with international HE in a contact mode.

In terms of global social responsibility, many countries have embraced multiculturalism and inter-culturalism through real-world projects, global research and international student and academic exchanges (Chen 2019). Similarly, Harrison (2015) argued that global citizenship encompasses traits like an appreciation of cultural and social diversity, international awareness and openness to the world, respect for dignity and human rights, understanding of environmental and economic sustainability, appreciation of leadership capacity and acceptance of social responsibility. It can be argued that such traits extend beyond mere employability and the acquisition of skills.

## ■ Challenges

The internationalisation of HE locally and internationally has two dimensions. Locally, HEIs must ensure that their curriculum, teaching and learning pedagogy and co-curricular activities are aligned to internationalisation imperatives (Weigel et al. 2014). Internationally, HEIs must adopt activities that promote cross-border education both through virtual and mobility programmes.

### ■ Inadequate resources

Not all HEIs have the financial resources to access e-infrastructure, which is pivotal for quality e-learning. This problem can be accentuated by financial constraints within HEIs to pursue internationalisation. Higher education institutions need to adopt a centralised system for providing international education. Coherent internationalisation goals and plans coupled with capacity support are important for international education (Knight 2013). Further, internal delays in the approval of international programmes also impact the rate of virtual internationalisation. For example, Lemoine, Jenkins and Richardson (2017) posited that inadequate resources like administrative, financial and ICT support are primary deterrents for the effective and efficient implementation of internationalisation in HEIs. Relatedly, without collaboration between HEIs and government agencies, the visibility of HEIs on the international terrain could be inhibited. With the help of state resources, HEIs can boost their international programmes.

## ■ Training

Relatedly, Arrowsmith and Mandla (2017) argued that the training required for international collaboration and the time and costs associated with the development of quality and marketable internationalisation curricula initiatives are some of the challenges facing internationalisation by HEIs. Likewise, academics and students need technical skills to ensure timeous interactivity and engagement with students. Further, additional IT support may be required in the e-learning production processes. Feedback to students can be time-consuming compared to face-to-face classrooms (Tuisk et al. 2015). Further, Cheng et al. (2018) argued that increased awareness of HEI internalisation is often not accompanied by guidance on how to teach, what to teach and who should teach in an international curriculum. An additional barrier is the differentiated understanding among academics on the purpose, meaning, relevance and cohesiveness of internationalising the curriculum.

Apart from variations in discipline-specific content like legislation and professional requirements, variations in learning styles must also be considered. The study by Estacio and Karic (2016) found that HEIs need to prepare academics and students to adapt to an internationally and culturally diverse environment. According to Hodgson (2019), academics need to create a learning environment based on student thinking in terms of openness, critical thinking and global citizenship. Such an international focus requires academics to have intercultural competence, practical experiences, skills in intellectual engagement and the ability to meet the expectations of new systems and cultures (Knight 2013). For example, Dwyer, Hogan and Stewart (2014) contended that learners might be dependent on academics as mentors, prefer nonparticipatory modes of learning and may be reluctant to share their ideas. It is incumbent on academics to understand the student learning culture and adopt teaching and learning methodologies that promote a congenial learning environment. Additionally, Hodgson (2019) suggested that teaching without incorporating real-world problems prevents students from developing critical thinking skills and engaging with academics at higher cognitive levels. This is important not only for improving their knowledge but also for their personal growth.

Additionally, Dwyer et al. (2014) argued that the failure of HEIs to have both international and local academics hinders critical reflection on existing curriculum practices and pedagogy. Rich and authentic international experiences of academics potentially provide valuable learning experiences for local learners who may not be able to afford to study abroad. On the contrary, if local students are not prepared for global perspectives and intercultural competence, they will experience professional and personal difficulty fitting into the global and local economy.

Further, Kirk et al. (2018) argued that the lack of awareness of the background of international students in the classroom discourages engagement with broader issues of connection and differences. This lack of awareness can be linked to a lack of training in intercultural skills, which can create a disjuncture in how academics engage with internationalisation discourses (Clifford & Montgomery 2014). A lack of understanding on how to embed and develop graduate attributes into teaching can cause a disconnect from institutional directives and critical thinking about global citizenship.

## ■ Exclusive assessments

The internationalisation of HE has to ensure inclusion for all students to facilitate academic, personal and social growth. However, such endeavours have remained with various challenges associated with the effective implementation of inclusive teaching and learning (Kaur, Noman & Awang-Hashim 2015). One of the challenges explored by Kaur, Noman and Nordin (2017) is the development of creative and innovative assessments to engage students with diverse skills, abilities, experiences and cultures. Inclusive assessments can widen successful participation in heterogeneous learning environments as supported in the social development and cognitive development theories (Kaur et al. 2017). While the social development theory advocates sharing as contributing to identity development growth, the cognitive theory purports that discontinuity promotes cognitive growth. Therefore, if assessments are exclusively influenced by practices in the HE system of the host country, then students may be hindered from experimenting with new ideas and relationships, resolving social and psychological conflicts and developing critical thinking skills (Smith et al. 2013). Relatedly, Deeleya and Bovill (2015) argued that students who participated in diversity activities reported higher learning growth and collaborative learning.

Further, Kaur et al. (2015) posited that exclusive assessments are generally associated with neglecting to understand the linguistically, culturally and racially diverse backgrounds of students. This exclusion does not consider a broader range of opportunities and learning styles for diverse students to master content. Likewise, Smith et al. (2013) argued that exclusive assessments are an unfair means for assessing the achievement of learning outcomes, as such assessments do not recognise diversity and different learning styles of heterogeneous students. On the contrary, inclusive assessments provide fair and equal opportunities and informative, authentic and wider assessments of skills and promote relevant education for diverse students (Kaur et al. 2017).

Further, Smith et al. (2013) argued that one of the reasons for exclusive assessments is the exclusion of students in the assessment process. Student inclusion can promote collaborative and shared responsibility in various pedagogical processes, which is fundamental for learning through

social interaction. However, it can be argued that without student involvement in the assessment process, there is the possibility of them not developing the skills, competencies and knowledge associated with assessments, lack of understanding of the alignment between the assessment approaches and learning outcomes and not appreciating the relationship between assessments and learning (Kaur et al. 2017). Therefore, students' voices in the assessment process are tantamount to inclusive pedagogy, embedded in the principles of empowerment, accountability, responsibility, lifelong learning and equity. In the absence of such considerations, standardised assessment approaches steeped in the inequitable measurement of learning outcomes and contextual insensitivity will continue to perpetuate the marginalised internationalisation of HE. Standardised assessment approaches are generally not flexible in terms of language and mode of presentation, as are unilateral assessment practices that do not consider the students existing knowledge and understanding of content.

## ■ Institutional planning

There is also a need for university-wide coordination of international programmes. Therefore, in preparation of HE for the global world, it is important to understand issues of sustainability like equity of access and rights, advancement in research, transcending borders and integrated transnational knowledge. For example, planning for virtual internationalisation requires the involvement of a wide network of role players, both internal and external to HEIs (Chen 2019).

Likewise, Knight (2013) reported that it is common to find uneven responses to internationalisation, with disconnected pockets of excellence from broader institutional strategies. Clifford and Montgomery (2014) also posited that staff engagement in course development is integral for an effective and sustained internationalised curriculum. Staff with experience can provide the appropriate contextualisation rather than a top-down approach adopting a one-size-fits-all paradigm. Similarly, Clifford and Montgomery (2014) claimed that bridging top-down imposition with bottom-up initiatives is crucial for the empowerment of staff. Often, this is the result of piecemeal planning that is not integrated across the institution. Similarly, Kirk et al. (2018) argued that research consistently highlighted that poor planning for internationalisation often resulted in gaps between strategy and practices, weak levels of buy-in for internationalisation, lack of communication between HEIs and staff and the failure to articulate organisational goals context and culture.

## ■ Language barriers

Language barriers can also be another setback for countries in which English is not the main language of communication. The use of English only in

educational contexts often hinders students from improving their language proficiency. Another challenge is the failure to differentiate between language and speech in virtual internationalisation programmes (Maringe & Jenkins 2015). Additionally, international students not only face the challenge of developing language proficiency but also learning the content. For example, in the health sciences, thorough knowledge is required of the written and spoken technical medical terminology in English. The problem can be accentuated by diverse accents. In this regard, Dwyer et al. (2014) cited challenges facing academics from Western countries teaching students who are not proficient in English to comprehend the content and write in an appropriate style. Therefore, a focus on communication competencies within the curriculum is important. Academics who fail to acknowledge diverse speech and language patterns run the risk of monopolising the transmission of information, which can lead to psychological misinterpretation of verbal and nonverbal communication (Weigel et al. 2014). Relatedly, Lowe (2015) further cited that non-English-speaking postgraduate students often experience undue pressure to complete their research in minimum time.

Similarly, Friedman (2018) claimed that English as a global language raises many ethical concerns in the internationalisation of HE. For example, the internationalisation of HE in predominately English-speaking countries is distinguished from those who have to adapt to using English as their medium of instruction. Lewin-Jones (2019) sees the shift in the language ecosystem of HEIs with English as an additional language as disadvantaging non-English-speaking academics and students. In the absence of using different socially acceptable languages, internationalisation will fail to successfully transcend borders through effective intercultural communication. However, some HEIs have enhanced inclusivity by integrating ICT-based content management tools to provide international programmes in several foreign languages.

## ■ **Teacher-centredness**

Another challenge is teacher-centred instruction in web-based programmes, which are not supplemented with student-centred teaching and learning like videos and graphics. Traditional teaching styles inhibit innovative learning. Without a student-centred teaching approach, students are not engaged in the hands-on application of abstract content for practical problem-solving and critical and deep-level understanding (Albidewi & Tulb 2014). Further, it can be challenging for students who are not accustomed to accessing lectures individually, who may then not enjoy the benefits of virtual classrooms.

Often the internationalisation of HE neglects to consider factors like academic preparedness, social adjustment and support services. Often HEIs are not positioned to respond to the emerging needs of international students,

academics and support staff regarding the dynamics associated with international teaching and learning. Arthur (2017) therefore posited that the context and macro factors impacting the experiences of international students must be given attention. For example, academics, as the custodians of the curriculum, need to include international perspectives so that international students are exposed to international education that is not biased towards local practices. Additionally, international students adjusting to new pedagogical practices may require additional consultation, specific feedback and more scaffolded learning activities (Beech 2014). In this regard, De Wit et al. (2013) claimed that academics often do not undergo training in pedagogical practices for supporting international students. The authors claimed that academics need to build inclusive learning environments whereby diverse students and staff engage in deep social and intellectual collaboration. This promotes a sense of belonging, motivation through connectedness and a sense of career direction (De Wit et al. 2013). Likewise, Beech (2014) asserted that international students rely on academics to learn about employment markets and research opportunities and support in the development of transferable skills and knowledge. Garson (2016) also cited the lack of social support as another challenge, as international students endure psychosocial demands such as making friends, feelings of isolation and personal failure, culture shock and the lack of interpersonal skills. In this respect, Arthur (2017) claimed that student counselling services are not uniformly considered, as cultural differences exist in the provision of mental health care services, which may vary considerably across cultures. Relatedly, Maringe and Jenkins (2015) argued that apart from HEIs needing to engage international students when planning psychosocial interventions to ensure the relevance of psychoeducational support, they also must ensure culturally responsive counsellors who are capacitated to respond to acculturation stress and connection.

## ■ Quality assurance

In internalising HE, HEIs are accountable in supporting quality teaching and learning and that their institutions are providing resources of acceptable standards. Therefore, HEIs are compelled to adopt a quality management philosophy that is committed to continuous improvement so that they remain competitive in a global HE environment. The quality management of e-courses is critical for benchmarking against international standards. As developing web-based programmes is complex, HEIs must be accountable for quality virtual programmes that adhere to rules of accreditation and international benchmarking. This necessitates quality assurance mechanisms to ensure effective and efficient HE that meets the diverse needs of internationalised HE (Khalid 2018).

Relatedly, without monitoring the quality of online courses; the practice and experience of academics; ICT skills among academics, students and support staff, it would be difficult to assess the effectiveness of the internationalisation of HE programmes. In this regard, Jibeen and Khan (2015) asserted that the accreditation of programmes impacts the local and international ranking of HEIs. This requires vetting by government agencies to ensure that quality international programmes serve the needs of a highly educated and skilled labour market.

According to Teixeira-Quirós and Justino (2013), HEIs, which choose innovative pedagogical, methodological, technological and educational practices, often become competitive leaders in the international educational arena. For example, the EU Erasmus programme has responded to the dynamics of internationalisation, such as academic and student mobility and programmes that respond to international issues, market needs and customer satisfaction (Antunes, Teixeira-Quirós & Justino 2017). Likewise, Ebrahimi and Sadeghi (2014) posited that HEIs that adopt innovative educational programmes not only become competitive leaders in the international education market but are also capable of adapting to a dynamic teaching and learning environment. Often, the outcome is quality education that provides graduates with the requisite skills and knowledge for a global labour market. Such innovative practices require an established organisational structure that addresses dimensions like operational, financial and human resources. Embedded in such dimensions are accreditation and evaluation processes, which are critical for maintaining the competitive advantage of HE programmes and HE performance. While accreditation focuses on compliance with certification from an official authority, evaluation focuses on the systemic enhancement of the HE environment to support quality programmes (Ebrahimi & Sadeghi 2014). Such quality management processes aim at continuous improvement of HE performance and student and societal satisfaction. Relatedly, Antunes et al. (2017) argued that such processes are driven by an increasingly competitive HE environment characterised by flexibility, adaptation, quality and constantly evolving structures.

## ■ Lack of intercultural connectedness

De Vita and Case (2003) suggested that internationalisation is also capable of producing effects that run counter to making HEIs more multicultural, open to the 'other' and culturally accommodating. Therefore, Mak and Kennedy (2012) claimed that HE internationalisation has to include an international and intercultural dimension into the curriculum, teaching and learning and support services. Leask and Carroll (2011) refer to the hidden curriculum that is often neglected in terms of norms, cultures and the socialisation process that impact

critical pedagogy. Internationalisation by HEIs has to adopt tolerance, equality, dignity, respect and a common purpose between individuals with diverse cultural, ethnic, religious and linguistic backgrounds.

Similarly, Leask and Carroll (2011) asserted that without promoting a cross-cultural learning environment, some of the consequences include cultural stereotyping, fragmented class groups and intercultural inequality. Mak and Kennedy (2012) suggested that employing staff with international teaching and learning experience, professional development of staff in curriculum transformation and incorporating cultural elements into curriculum content are critical considerations for curriculum internationalisation. According to Phipps (2014), this is fundamental for open dialogue, mutual understanding, willingness to listen to different viewpoints and the overall social, political, economic and cultural integration of diverse individuals within the HEI international environment. More so, the international mobility of students across borders creates many challenges associated with cultural, ethnic, religious and linguistic differences.

According to Holmes (2014), there has to be a commitment to cooperation between individuals on an equal basis in the face of differing and sometimes conflicted values. In providing academics and students with professional and personal growth opportunities, internationalisation has to weave intercultural competence into such opportunities. In this regard, intercultural pedagogy for academics and students must be oriented towards establishing citizenship, cultural, social and community development (Castro et al. 2016). Through the integration of intercultural skills development into teaching and learning practices, HEIs can ensure systematic intercultural integration. For example, Woodin, Lundgren and Castro (2011) argued that the lack of consistent support for incoming and outgoing students prevents the nurturing of intercultural experiences, intercultural communication, cultural awareness and intercultural relationships between academics and students. Relatedly, the study by Cheng et al. (2018) found that teaching and learning dominated by Western cultures did not encourage international awareness, productive power sharing, intercultural interaction and critical thinking.

Holmes (2014) argued that often the quality and content of inter-culturalism in international teaching and learning were not addressed at the institutional level. More so, in the absence of critical, committed and active involvement of all in intercultural dialogue in teaching and learning, transformative and enriching experiences can be missed. Relatedly, Dunne (2009) refers to the importance of understanding that as knowledge emerges from multiple cultures, cross-cultural interaction enhances international competence. Culturally inclusive pedagogies should embrace diverse and pluralistic learning styles such as interactive and reflexive learning, lecture-based teaching, group and action learning and visual imagery. Bailey (2000) argued that the

pedagogic paradigm should be facilitative and open to transmitting and constructing knowledge that is representative of various voices. Such an approach, according to Singh (2017), would lead to a student-centred approach, which is participative, critical, enquiring and questioning. This is critical for promoting multiple cultural perspectives across all forms of learning, such as assessments. In this regard, De Vita and Case (2003) contended that assessments should be flexible, culturally fair and linguistically objective.

While HE is increasingly being traded as an international commodity, internationalisation cannot be infused into the curriculum on a piecemeal basis. Often this results in knowledge being exclusive within a Western learning pedagogy; non-reflexive formal education; learning that is inflexible, non-interactive and not deep and the non-activation of intercultural learning (Ryan 2011). Additionally, Dunne (2009) argued that the internationalisation of HE requires active learning that encompasses authentic experiences, intellectual and emotional participation and sources of knowledge that should not be based on Western constructions. The study by Holmes (2014) found that international students' experiences in HEIs in the UK highlighted that their courses were Anglo-centric prejudiced, uncritical and of limited value. Therefore, it is important that HEIs avoid adopting power mechanisms like controlling students through institutional rules and language that are culturally dominant.

## ■ Exclusive curriculum

International students constitute a heterogeneous group who have been previously exposed to diverse pedagogical practices (Harrison & Ip 2013). This perspective demonstrates that the internationalisation of curricula cannot assume that international students must adjust to the culture and pedagogical practices of the host country. In terms of organisational theory, HEIs need to be socially inclusive regarding the limited knowledge and skills of international students to be culturally responsive (Chou & Ravinet 2017).

However, Ryan (2011) claimed that international curricula have adopted a deficit-based approach where international students with critical, independent and learning skills problems need to be helped. Such a flawed positioning fails to interrogate basic assumptions by host countries regarding the language, learning and socio-cultural needs of international students. In response, Felton and Harrison (2017) asserted that learning environments must be inclusive communities of practice, where international students are capacitated with skills to manage unarticulated cultural expectations from the host country. This is fundamental to addressing the misconception that international students with poorer language and cultural competency skills

tend to be more problematic (Marginson 2012). Often this perspective is quite pervasive when international students serve practicum in environments that are unsupportive and hostile to transcultural learning (Felton & Harrison 2017). In this regard, Ryan (2011) argued that this is frequently the case when HEIs do not adopt institutional support for diversity, internationalisation and inclusion.

Interestingly though, the study by Garson (2016) found that intercultural tensions were evident among international students being dissatisfied with interacting with students from their host country, while local students had very few international students as friends. Further, Beelen and Jones (2015) posited that when cultural superiority is built into international curricula, it fails to recognise social consensus, legitimate knowledge and biased historical assumptions. Garson (2016) argued that if the curricula intentionally promoted learning across cultures, then stereotyping and prejudices among graduates could be controlled.

## ■ Marketisation of higher education

De Vita and Case (2003) argued that within the HE context, education is increasingly being treated as a commodity sold on the international market. As the vision of a global village and citizenship has become a reality, the internationalisation of HE is seen as driving this agenda. Students as consumers are demanding more HE programmes from across borders from HEIs as suppliers. In this regard, Lewin-Jones (2019) argued that economic benefits may prevail in HE environments becoming highly competitive.

However, with declining public funding of HE, most HEIs have adopted the internationalisation of their programmes to bolster their financial coffers. Overseas fee-paying students are being targeted in a climate of budgetary constraints. This differential fee policy among HEIs has been a driver for attracting international students, as foreign currencies constitute an important dimension of financial gain. In this regard, Alsharari (2018) argued that the increasing demand for HE has led many HEIs to realise the market value of exporting their academic programmes to other countries through virtual or mobility programmes. Similarly, Singh (2017) posited that the internationalisation of HE had moved more towards financial gain and competitiveness and less towards international altruism. Likewise, Garson (2016) argued that profit maximisation and the marketisation of HE at any cost run the risk of dissipating global and intercultural learning into social injustices. Relatedly, Santos (2012) posited that HEIs cannot remain accountable if their internationalisation agenda is driven by an exclusive free market rationale and revenue generation strategy. Some of the

consequences include increased inaccessibility by those who cannot afford HE, increased inequity in access to resources by academics from less affluent HEIs, perpetuation of superior education by advantaged HEIs and the continuation of imperialist mindsets.

It can be argued that while HEIs need to attract students as invaluable customers, the quality of the product cannot be compromised. The move towards the marketisation of internationalised HE programmes has raised concerns like relevant quality assurance for local contexts, cultural compatibility and meaningful transfer of knowledge. For example, culturally specific accreditation systems may not be relevant for foreign local education systems. Such imported quality assurance systems, according to Craciun (2015), can mitigate against cultural sensitivity and constraints diversity. Further, Forsey, Broomhall and Davis (2012) argued that the adoption of a market and competitive orientation by HEIs can push them towards becoming profit-driven businesses whose existence depends on financial autonomy. More so, Owens and Lane (2014) added that the associated costs for comprehensive internationalisation disadvantage lesser developed countries from competing in the global knowledge economy. As noted by De Vita and Case (2003), the reduction of programmes among HEIs in the UK showed the failure of the market model to place education and social service above profitability. It stands to reason that profitability should not be above HE as a social investment in the communities they serve.

Bailey (2000) posited that when students are seen as customers, they should get what they want; therefore, they have the right to get a qualification that they purchased and receive value for money from their transactions. However, De Vita and Case (2003) argued that a consumerist approach to the internationalisation of HE is not compatible with all cultures and religious orders such as Hinduism and Islam that view the learner as seeking intellectual and moral competencies and taking active responsibility for personal learning. Therefore, the market model of HE that sees the student as the customer potentially clashes with views that education should be morally and intellectually inspiring. In saying so, the internationalisation of HE must incorporate diverse social pedagogy that addresses the multicultural needs of international students.

Effective teaching and learning within the internationalisation context must extend beyond merely satisfying customer needs, spoon-feeding by academics, culturally exclusive pedagogy and standardisation of content and delivery modes. Further, Marginson (2011) argued that the marketisation of HE has shifted focus away from developing graduates who are socio-politically committed citizens, conscientious and globally knowledgeable. Rather, students are increasingly perceiving the internationalisation of HE in the context of mobility, employability and shareholders in the global market.

## ■ Global citizenship

Tilak (2008) claimed that neo-liberal sentiments have promoted global market interests, employment and mobility rather than global citizenship. In the interest of global public good, HEIs must take cognisance of what they teach and how they teach so that graduates have a global understanding of the world (Schoorman & Bogotch 2010). Such a global understanding should encompass elements such as connectedness, interdependence and perspectives within an international curricula framework. Additionally, Tilak (2008) asserted that HEIs must inculcate global-mindedness in their internationalised education agenda. Accordingly, Santos (2012) argued that without the inclusion of epistemological pluralism in the curricula, imperialist subjugation will prevail. In support, Garson (2016) argued that global citizenship cannot be promoted if critical global thinking does not constitute specific internationalisation outcomes.

The impact of globalisation has necessitated the need to enhance the learning experiences of students so that they become sought-after employable global citizens (Clifford & Montgomery 2014). Relatedly, Ilieva, Beck and Waterstone (2014) posited that graduates must be capable of working with colleagues from diverse backgrounds if they intend to succeed in a globalised labour market. Additionally, Kirk et al. (2018) posited that students, as global citizens, should also be able to contribute to societal needs. Therefore, internationalisation as a goal must embed the acquisition of skills and knowledge that will empower graduates to navigate through global issues within a multicultural context. This is becoming increasingly important as societies are becoming more multicultural with diverse educational and social needs.

Considering the ever-growing multicultural contexts, there is an imperative for HEIs to steer away from monolingual and monocultural methods of teaching and learning within an internationalised curriculum, as such practices inhibit student learning. Global citizenship calls for a move away from the economic and marketability model to a more transformative approach. This signifies a shift away from solely focusing on employability to social and cultural aspects of global citizenship (Harrison 2015). This more expansive understanding of global citizenship implies that internationalised curricula require students to challenge typical practices, beliefs and values with a Western bias.

Additionally, Garson (2016) advocated multiple epistemologies that do not perpetuate inequities surrounding global citizenship and global-mindedness. It can be opined that global citizenship is critical for graduates with global learning outcomes linked to curricular transformation, pedagogy and academic excellence to be effective citizens in an interconnected world. According to Santos (2012), internationalisation can make an important

contribution to such student outcomes. This is dependent on internationalisation efforts pursuing equity, inclusion and social justice instead of hegemonic frameworks supporting monolingual and monocultural methods of teaching and learning.

## ■ Constraints facing partnerships

Higher education institutions in developing countries face significant constraints in preparing their students for global citizenry. One of the responses to these challenges is the establishment of partnerships with HEIs in developed countries. However, the success of such partnerships is often impeded by several factors. For example, Easterly (2006) indicated that mutual benefit is compromised when the HEI from the developed country respond to grant opportunities to serve their own agendas and are limited in time and scope. Further, Fischer and Lindow (2008) argued that partnerships based on a transaction approach have a limited impact on partners, prevent local ownership of international initiatives and do not contribute to sustainable development. Additionally, short-term partnerships are based on limits set by donors and research priorities that are identified in advance, often not responding to developmental needs. Limited and exclusive participation; the adoption of a one-size-fits-all approach; non-alignment of national, institutional, donor and individual goals and inflexibility in responding to partner needs have also been cited as some mitigating factors by Easterly (2006). Likewise, Easterly (2006) contended partnerships with HEIs in developing countries should be driven by reform, professional development, empowerment and local ownership. One such programme that has responded to this is the partnership between the University of Georgia and the HE system of Tunisia. The UGA-Tunisia Educational Partnership was driven by building the capacity and improving the quality of life in Tunisia through collaborative thinking, expectations and integration involving an extensive constituency across borders (Hamrita 2011). Such coherently established institutional and national goals are critical to avoid marginalised and fragmented partnerships serving personal interests (Fischer & Lindow 2008). However, Easterly (2006) claimed that such marginalisation and fragmentation often arise because HEIs are often highly bureaucratic, not structured to support collaborative functioning for international partnerships, fail to adopt a comprehensive multidisciplinary approach to international partnerships and lack communal dedication to international collaboration. Relatedly, Hamrita (2011) argued that partnerships also fail because personal interest rules over integrating resources for the common good, especially for altruistic international work.

Another factor impeding successful HE partnerships is the lack of sustainability (Hamrita 2011). Often sustainability is impacted by: the failure to

identify the real-time needs of the developing country, a fragmented picture of expertise, the transfer of knowledge in silos, the inability to build lasting connections beyond the project lifetime and the absence of mechanisms to assess quality (Easterly 2006). For example, increasing demand for HE requires developing countries to build their e-learning capacity. Hamrita (2011) argued that HEIs in partnerships need to strategically focus on investments in e-learning leadership to ensure the sustainability of technological, pedagogical, local expertise of developing countries and administrative e-learning dimensions. Therefore, sustainable international partnerships are fundamental for HEIs becoming agents of change amidst social, political and economic challenges.

### ■ International students as the ‘other’

Brooks (2017) and Friedman (2018) referred to the internationalisation of HE as frequently constructing international students as ‘other’, depowered, subordinate and non-citizens who are in need of support and need to be ‘fixed’. Similarly, Brooks (2017) argued that while many studies identified the benefits of recruiting international students, negative connotations associated with international students include the complications and barriers they bring with them, induction and adaptation needs in new learning environments, poor integration between them and local students and additional burdens faced by academics in terms of academic support. Such negative connotations emphasise that HEIs need to do more to support the deficiencies experienced by international students. Lewin-Jones (2019) argued that if internationalisation does not focus on the ‘encounter’, then HEIs will continue to polarise local and international students, especially when Western HE is seen as a privilege to the deficient non-West. Additionally, Holliday (2017) stated that the ‘othering’ of international students perpetuates the belief that Western HE is a high-premium commodity that is sought by non-Western international students. In such an instance, diversity and interaction as learning resources are not promoted, pedagogical tasks are not redesigned and the comprehensive version of internationalisation is marginalised. Additionally, Lorente-Catalan and Kirk (2014) claimed that a sense of ‘otherness’ is eroded when a learning environment facilitates acceptance, participation, equal opportunity, belonging, inclusion, interpersonal support and sensitivity among diverse students. Such a nurturing and inclusive learning environment is a predictor of engagement, understanding, academic achievement and the development of competence.

Further, Bloch and Mitterle (2017) asserted that ‘othering’ has been influenced by the marketisation and commodification of HE discourse, which has not placed international students as part of the broader agenda.

From the economic gain perspective, the focus is on recruiting international students as cash cows rather than viewing international education as producing pedagogical gain (Lewin-Jones 2019). Further, Friedman (2018) argued that 'othering' differs among HEIs, depending on their status, specific student populations and cosmopolitan capital. As argued by Brooks (2017), HE internationalisation strategies that focus on recruitment, employment and commodification rather than internationalised curricula, knowledge and public good contribute to a discourse of the student as the 'other' consumer.

## ■ Conclusion

While the internalisation of HE provides many benefits for HEIs, academics and students, the inherent challenges must be addressed to ensure inclusive educational reform. Relatedly, Schoorman and Bogotch (2010) argued that comprehensive internationalisation should incorporate all aspects of institutional teaching, learning, research, governance, leadership, values, external relations and support as imperatives for inclusivity. Similarly, Santos (2012) argued that while the internationalisation of HE procures economic benefits and embraces opportunities for developing global citizenship, there is also the need to consider accompanying social and academic challenges associated with skills, knowledge and values required for effective participation in multicultural, global contexts. Therefore, despite the various rationale supporting the internationalisation of HE, comprehensive internationalised HE should be prioritised.

However, sustainable and successful internationalisation of HE requires a balanced approach that should not exploit any one rationale for internationalisation exclusively, but rather comprehensively consider accompanying dynamics to internalisation such as learning outcomes, cross-cultural pedagogy, assessments and internationalised faculty. This is important to ensure that internationalisation is the goal, rather than a means to a goal.

# Driving success after access: Support for equity group students

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## ■ Introduction

While equity of access can be secured through various mechanisms, success is dependent on a university environment that supports innovative and appropriate teaching and learning strategies. In the absence of this, it can be contended that equity students may experience barriers to assimilating skills, competencies and knowledge necessary for a successful career and as equal citizens. Responsive pedagogy that nurtures and supports the values, language, communication, learning styles, cultural wealth and behaviour of equity group students can increase their willingness and motivation to succeed (Harper, Patton & Wooden 2009). A dynamic university system that is dedicated to multiple means of ensuring the social, emotional, academic, cultural, physiological and psychological well-being of equity group students is a great start to addressing inequities within the higher education (HE)

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system that may hinder the success of such students. Therefore, universities need to provide opportunities for equity group student success, which extends beyond access. For example, such students need to be part of inclusive social groups that contribute to the production and dissemination of knowledge.

The chapter explores the antecedents driving success among equity group international students within higher education institutions (HEIs). The focus is on the responsibilities of HEIs in supporting inclusive and transformative educational experiences that enable all students with differing academic potential to succeed.

## ■ Equity in higher education

Higher education systems are simultaneously influenced by local, national and global trends. Universities are being increasingly compelled to respond to the demands of a complex external environment. In a global era, development imperatives are no longer contained as national or local priorities, as nation-states are compelled to secure a competitive advantage in a global knowledge economy that is largely dependent on knowledge workers. As such, the developmental role of the university has been considered an important driver in serving social needs across borders by contributing to education for all. An inclusive and fair HE system is integral for an equitable society. This is reinforced by the education for all philosophy, which recognises that quality education is a human right that should be inclusively available, accessible and adaptable to all (UNESCO 2015). Therefore, universities need to ensure that apart from the various services to society, they must ensure that equity groups are given opportunities to access and succeed in HE (Buckner 2017). Global values like equity have filtered into the educational purpose of universities, such that addressing access and success of equity group students at universities has become a strategic focus of many universities. While high-quality HE is considered a human right, universities have a commitment to ensure that everyone has equal opportunity and access to education.

Equity generally draws on issues relating to fairness, inclusiveness, redistribution and recognition. Equity policies seek to ameliorate the negative influences associated with marginalisation, discrimination, underachievement and under-representation in differing socio-economic backgrounds that generally impact access to HE. Besides facing inclusive and redistributive social justice equity issues, many universities are further compelled to pursue high-quality teaching, learning, research and knowledge production in the face of financial constraints (Altbach & Knight 2007). The politics of equity regarding student access to HE hinges on expanding their access to educational opportunities irrespective of their race, gender, age, creed, class, sexual orientation and any other form of discrimination. Apart from access, it is important that equity group students

learn and translate their learning into meaningful experiences after their studies.

The effects of globalisation within a HE landscape have necessitated the fusion of economic, social and educational equalisation (Barrow & Grant 2019). This has been underpinned by a rise of a knowledge economy, intellectual discourse and critical inquiry driving global competition (Thomson 2013). Further, it can be argued that equity in HE also shares commonalities with social justice and utilitarian issues affecting a large proportion of unequal societies.

While universities worldwide are attempting to massify HE through the provision of equal access so that all students have opportunities to pursue basic qualifications, there still remains the dilemma of filtering staff and students so that branded universities remain competitive and of high international standing. This dilemma challenges any commitment to equity in HE. Relatedly, it is often argued that while equity is being pursued, not all students have the highest academic potential when entering universities. Yet, universities argue that a high-quality learning culture ensures that equity will not lower standards of excellence. By implication, equity has to be complemented by inclusive and transformative educational experiences that enable all students with differing academic potentials to succeed.

While equity policies and programmes are imperative for achieving equity goals, a focus on the specific role of equity of opportunity requires consideration. In terms of driving equity, academics play a critical role in ensuring that teaching, learning and related support are core elements of student performance. In creating an equitable opportunity environment, academics can aspire towards excellence among equity group students (Savage 2013).

## ■ Nexus between student equity and branding as a success measure

Universities differ in their student and staff profiles, organisational culture, brand identity and resources. Such a diverse environment requires a multi-pronged approach for strategic alignment to differing and complex issues. More so, technological and blurred global boundaries have forced HEIs into a highly competitive environment. Thus, HEIs have turned to brand strategies to cope with global challenges. One such strategy is to intensify international educational service offerings (Khanna, Jacob & Yadav 2015). While HE marketing is needed to boost its reputation, HEIs also need to ensure that no group or groups of potential students are alienated. Therefore, while universities are increasingly competing for top academics and international students in response to globalisation and maintaining their brands, the growing importance of equity is further driving universities to develop and articulate their equity

policies (Robertson & Khatibi 2013). As students are the customers, with heterogenous needs and expectations, educational offerings by HEIs that adapt to different demands, such as those from equity groups, can play a critical role in attracting such students. As such, Ng and Forbes (2009) argue that core academic service cannot function effectively without supporting services; as such, services play a pivotal role in facilitating the core service experience. From the perspective of equity group students, the dynamic interaction of core and supporting services are fundamentally important in building strong student experiences, with equity groups being an important consideration in an internationalised environment (Polkinghorne, Roushan & Taylor 2017).

In a growing competitive global environment, equity is becoming an important indicator of any universities image and reputation (Hemsley-Brown et al. 2016). Amidst such intense competition both nationally and globally, universities are increasingly pressurised to operate in an inclusive environment. This means competing not only for local students but also for international students. The globalisation of universities through a diverse student population can focus universities more directly on their brand identity. More specifically, a diverse student population underpinned by equity issues like fairness, redistribution and recognition can significantly influence how stakeholders favourably perceive the university. As argued by Hemsley-Brown et al. (2016), a strong stakeholder identification with any university is important to support university goals, values and strategy. Overall, this drives support through university brand loyalty. Relatedly, Abu-Bakar and Abdu-Talib (2013) claimed that universities that focus on equity group students will be more effective in developing their brand, which over time can strengthen brand loyalty.

Additionally, Robertson and Khatibi (2013) asserted that brand experiences with universities influence how stakeholders create meaning. Positive brand experiences influence stakeholders becoming brand representatives, which is critical for brand co-creation and enhancement. Commensurately, university branding influences student perceptions of the university and their choice of university to enrol in. Even before entering university as undergraduates and postgraduates, students with a deep understanding of the university brand can positively affect the brand positioning strategies of the university. More especially, students who are part of the equity groups can play an influential and authentic role in extending the university brand both nationally and globally. Therefore, marketing exposure with a national and global focus on the experiences of equity group students not only strengthens the university brand but also enhances its competitive status within a globalised HE environment.

From the perspective of academics, adherence to realistic brand features such as involvement in equity activities for students can be an important antecedent for brand loyalty. Therefore, commitment to and satisfaction with equity issues affects the loyalty of academics towards the university brand.

## ■ Benefits of equity of access

From an internationalisation and economic development perspective, HEIs are increasingly challenged to produce relevant knowledge and skills needed for global competitiveness (Jorgenson & Shultz 2012). Such agendas require diverse flows of knowledge from national and global actors. Relatedly, Clarke (2014) refers to the democratisation of knowledge, whereby all students not only contribute to the production of knowledge but are also empowered to critically analyse existing knowledge. In this regard, equity of access plays a crucial role in driving inclusive and integrated knowledge production for international public good (Hammond 2016). Similarly, Marginson (2011) argued that public good should not discriminate against any population group, hence motivating for every group of students to contribute to and benefit from the transfer of knowledge and the collective good of a global economy.

With students from diverse socio-economic grounds, Grant (2016) argued that universities can benefit from diverse understanding, learning, intellectual development and educational experiences that contribute to institutional development and branding. Without such diversity, educational experiences are limited, as students are only exposed to lessons taught in a restricted social and intellectual environment. Relatedly, Robertson and Khatibi (2013) opined that the quality of education is impeded by limited educational opportunities and experiences, poor intellectual robustness and restricted knowledge production. Equitable education systems need to adapt by personalising learning that empowers equity group students to learn, progress and succeed.

Additionally, equity group students need opportunities to critically examine their own and other cultures. This is important in facilitating a holistic and unprejudiced understanding of citizenship and humanity, which is crucial for forging greater social cohesion in societies deeply afflicted by social equity issues. By implication, such facilitation should not be driven by irrational compensation for past injustices, as this merely perpetuates further social inequality. Such a revolving door syndrome is counter to any attempt to create equal opportunity and success for equity students seeking to accomplish their achievements through HE.

Any attempt to improve success in equity of access outcomes requires an enabling environment that drives real learning, respect, acquisition of academic and social skills and the establishment of a sound foundation of knowledge, which is free of any social inequity ideologies.

## ■ Needs of equity group students

Without access, equity group students face barriers like failing to emerge out of poverty because of inadequate investment in their HE, inability to compete globally for jobs and being excluded from social, material and

academic capital growth needed for economic development (Van Den Berg 2015). Further, equity group students often emerge from school systems that do not emphasise higher-order learning focusing on developing critical thinking and problem-solving skills (Grayson 2004). According to Gale (2015), social systems like universities produce unequal outcomes because students, especially those from equity groups, enter university with unjust social and economic means. According to the OECD (2006), some of the challenges facing students from low economic, migration and minority backgrounds include poor mathematics performance and reading skills. Such students often lose out in either not entering HE or performing poorly within the system, often risking dropout. These challenges may hinder success within the HE system if there is no additional support for such students. Transformation driven by equity must not only be based on initiating changes in fair admission opportunities but also changes in policies and practices that empower the disadvantaged groups within the university environment (Clarke 2014). This implies that universities need to provide opportunities for social equity and the advancement of equity group students. Relatedly, McCowan (2016) claimed that disadvantaged groups should not be confined to vocational courses, but rather by giving them access to content-independent knowledge they can gain a footing in becoming advantaged in society.

The social agenda of universities is concerned with social justice, especially initiating the means to widen access for equity group students (Clancy & Goastellec 2007). Despite this agenda, according to Van den Berg (2015), inequalities are still reproduced within the university structure. Ilie and Rose (2016) argued that inequalities in education systems before HE is also a contributory factor to the under-preparedness of equity group students. The few who reach HE are further challenged to participate successfully in higher-quality universities. This can give rise to high levels of stress, which impede the regulation of emotions, working memory, attentional control and cognitive flexibility. Relatedly, this can negatively impact the ability to succeed in the academic context. Therefore, support services are needed to help students reappraise their stressors, such that they are helped to develop coping skills and given resources to manage the stressor as a challenge rather than a threat. Such interventions can positively impact their ability to persevere and engage with their studies. This implies that access has to be augmented by equity support opportunities, as diversity handicaps in terms of family, school and community experiences need to be addressed for equity group students.

Accordingly, Bok (2010) refers to ensuring that equity group students achieve their own aspirations and personal goals rather than pursuing the ends of the university agenda. Serving university interests at the expense of student freedom may likely result in increased student participation, not

necessarily resulting in student success. Therefore, Gale (2015) claimed that raising the aspirations of equity group students also hinges on promoting support to address persisting inequalities such as navigational capabilities and differentiated access to resources, which may also require psychological solutions. Referred to as 'private troubles' of equity group students, universities need to provide the support that enables them to get in the 'know' so that their university journey is based on sound conceptions of what constitutes a good-quality university life (Bok 2010).

Apart from academic support for such students, they may require foundational skills like social and emotional skills, self-regulation and the ability to transfer skills and knowledge to new contexts, as well as to empower them to make decisions. Feelings of being less competent and prepared or of being disconnected from the lecture mode of teaching and alienation from the educational community may invoke stress; consequently, some students may be unable to cope.

Additionally, emotional safety in unfamiliar contexts can cause trauma for equity group students. For example, such students may need to feel safe, respected and trustful to counteract the effects of trauma on their learning. Relational support from peers and academics is also imperative for social learning, as interaction with different people can help to identify biases and stereotypes that hinder growth and understanding. Therefore, non-academic systems of support are also important to help students succeed in their personal learning pathways. Such support can empower students to become independent learners. This implies appreciating the situation of equity group students; giving them the opportunity to choose between alternatives; increasing their capacity to access financial, social and cultural resources and acknowledging that inclusive social norms can achieve the desirable equity outcomes (Gale & Hodge 2014).

Additionally, Altbach and Hazelkorn (2017) argued that equity-group students are negatively impacted by HE systems, which are under-resourced to support student success. For example, such students are more likely to be disproportionately enrolled in less selective universities where remedial education may be necessary to earn credits before enrolling in a degree. Often, such under-resourced institutions do not adequately serve additional student support. Further, the pathway to the degree becomes long and costly. A potential game-changer may be co-requisite remediation, whereby remedial support is provided concurrently with the degree coursework.

In terms of graduate employability, common factors cited as barriers include the lack of language proficiency and communication skills, which is a common challenge for equity group students (Lee 2016). Therefore, the challenge for HEIs is to provide extended opportunities for the acquisition of the right skills through multidisciplinary and innovative teaching approaches (Gunn 2018).

Considering the diversity among inclusive groups of students, Lee (2016) argued that from a social perspective, HE should embrace national unity, cooperative learning, self-reliance, conflict resolution and non-discrimination. Relatedly, Lumby and Foskett (2016) argued that different cultures carry varying levels of perceived superiority and may provoke anxiety. In this regard, equity group students, whether local or international, should not be subjected to the 'we and them' markers. Rather, while they may encounter and take cognisance of cultural differences, they should be integrated throughout the system. For example, imposing only English-language courses on foreign students while allowing local students to pursue their studies in their home language may perpetuate anxiety among non-native English students. This may imply setting a ceiling on the level of 'otherness' that universities are willing to accept, as too much heterogeneity can be perceived as generating negative effects (Rivers 2010). From the perspective of international and local students belonging to equity groups, 'otherness' may invoke negative experiences (Lumby & Foskett 2016). Therefore, as supported by Education for Sustainable Development, the acquisition of knowledge, attitudes and skills towards a sustainable future should embrace togetherness rather than 'otherness' within the teaching and learning pedagogy (Leask & Bridge 2013). This is crucial to invoke a sense of belonging within the university.

While there may be anticipated tension between the complex and interrelated university goals, the imperatives for equity group students do not imply an inevitable compromise of standards of excellence in terms of the core features of a university. According to Du Toit (2000), in pursuing the dissemination of social and natural knowledge, developing effective and critical thinkers, being committed to a universe of truth and developing institutional autonomy, universities have to ensure that equity policies and procedures do not erode standards of excellence. Relatedly, Clarke (2014) argued that social equity and quality should be simultaneously pursued as university goals, as poor quality teaching, learning and research distorts the notion of equity as equity group students will not be empowered to contribute to the social and economic development of society. This invariably erodes any expected meaningful outcomes associated with student equity of opportunity.

Further, in ensuring that exclusive focus is not placed on either quality or equity group students in the face of scarce financial resources, universities need to cautiously manoeuvre between goals and strategies, such that high-quality graduates, social equity, equity of opportunity and redress are simultaneous outcomes.

## ■ Nurturing equal opportunity success

The effects of globalisation require educational and human resource capacity to enable any country to compete in the development arena. In terms of higher

education, teaching and learning processes must adjust to multi-skilling content and goals needed for global competitiveness. In this regard, Li and Carroll (2019) argued that HE plays an important role in developing learning, innovative, life, information and technology skills.

While redressing equity can be viewed as part of the transformation agenda of HE, access for success extends into a focus on offering all aspects of support at university to ensure that underprepared equity group students have an increased possibility of success (Altbach & Hazelkorn 2017). Most often, equity group students enter university quite underprepared regarding issues like their academic skills, cognitive competencies and inaccessibility to free educational resources and technological devices. For example, the OECD (2006) suggested that equity group students should be subjected to career guidance and counselling so that they are aware of various career pathways to the world of work.

Further, Lee (2016) suggested that such students need intrusive guidance to choose the right or default pathways, which should include advice on time to complete and requirements to achieve the qualification even if they do not complete it on time. Additionally, alerting students to important sources of information such as education plans, degree completion requirements and services available is important for initiating a clear pathway to reach their goals. This can make education attractive to students who are not part of an academically inclined elite. As argued by Lee (2016), equity is not only about making HE accessible for all but also proactively identifying and removing barriers once such students access opportunities for quality HE.

Goastellec (2008) accordingly argued that as HEIs were historically established by an elite for specific purposes and restricted to urban groups, equity access needs to not only ensure a move away from minority domination but also the success of such 'at-risk' groups who do not enjoy inherited merit. In support, Altbach and Hazelkorn (2017) asserted that while some students from disadvantaged backgrounds may access HE, they have lower rates of completion because of financial and non-financial inequalities that impact their performance. Therefore, it is important to bridge the gap between 'have' and 'have not' learners. Any time-based system of curriculum delivery driven by a one-size-fits-all approach does not consider students' previous experiences. Success outcomes must convene around strategies that respond to students as individuals who have access to resources to ensure success at university. This may require additional support along different learning pathways so that educational expectations are achieved within differing historical and social contexts. Thus, universities need the flexibility to support students with different needs and experiences to achieve success.

Schooling deficiencies can be considered a hindrance to optimal performance for such students. Similarly, Clancy and Goastellec (2007)

asserted that as the influence of socio-economic determinants on academic achievement cannot be denied, it is imperative that equity group students are provided with the tools to address inequalities that may compromise success at university. This has to be considered by any university that is committed to social equity being a successful outcome through the provision of opportunities that address underprepared students entering HE. In the absence of such focus, the satisfaction, success, retention, completion employment and postgraduate participation of equity group students can be compromised (Harvey, Cakitaki & Brett 2018).

While many universities have made significant changes in their equity policies, unequal opportunities continue to challenge equity students successfully participating and performing at university (Bhopal 2017). For example, universities often become profit-making centres by sourcing students who pay full fees. Further, with higher levels of decentralisation and institutional autonomy, HEIs may well be driven by market-related activities rather than social responsibilities. This can widen the gap in educational opportunities for equity-group students. It can be pointed out that unless there is a regulated focus on equity of access and success for students, there are no effective mechanisms to strengthen student equity opportunities.

Further, Warikoo (2016) argued that equity policies are inadequate to ensure that disadvantaged groups can succeed without support to achieve meritocracy in universities. Bhopal (2017) added that disadvantaged groups enter a university system where meritocracy is legitimised by advantaged groups who pass it down. Hence, disadvantaged groups need explicit exposure to programmes that not only deepen their understanding of the complexities associated with student diversity but also provide an enabling university environment that does not perpetuate inequalities that may prevent them from achieving meritocracy. For example, Lowery et al. (2006) argued that equity is part of a process of engaging all students in dialogue on equity issues so that students are equipped with the tools to manage the biases associated with inequity. Relatedly, Bhopal (2017) asserted that issues like hate crime, biased marking practices and unconscious biases may cause equity group students to feel rejected by universities. In this regard, McCowan (2016) refers to 'epistemological access', whereby equity group students should be given support for meaningful access to the curriculum and the wider society, as university cultures appear to marginalise minority groups and subsequently fail them within the system. Without having strategies in place to address these issues, the social and academic structures of universities will remain untransformed and unresponsive to the needs of equity students.

For example, programmes focusing on literacy, numeracy and writing skills development are critical for students who are not taught in their mother tongue. Most often, students who are underprepared in such areas cannot optimally participate in academic programmes. For example, in terms of

language barriers, it is commonly observed that developing educational resources only in one language can impede the impact of such resources on learning success, especially if English is not the first language of students. In this regard, Dutta (2016) recommended that multilingual diversity of learning resources can have a wider impact. Additionally, Hammond (2016) argued that the global positioning of universities is influenced by the inclusion of English in their instruction activities. This is important for students with linguistic constraints that can hinder their participation in the global arena. As such, academics and students may require additional support to address linguistic constraints.

However, Clarke (2014) claimed that academic support should not be additions to the existing curriculum but rather infused into a reconstructed academic programme. Infusing appropriate teaching and learning methodologies into a curriculum development approach that embraces equal opportunity is pivotal to not only address student needs but also ensure quality. One such example is the introduction of extended programmes, augmented courses and foundational modules that enhance student learning within the context of under-preparedness. Such initiatives are dependent on financial, human and physical resources. Connectedly, Jorgenson and Shultz (2012) claimed that global competitiveness and a global knowledge economy require skill sets inclusive of critical thinking, cross-cultural awareness, reinterpretation of knowledge and active learners who can question and contest their education. As such, underprepared equity group students may require additional teaching and learning interventions to encourage reflection on their responsibilities and cooperation in a diverse learning environment, develop competencies for employability in a global knowledge economy and be empowered to serve society in areas outside the humanities and social science (Marginson 2011). Such interventions are more likely to provide such students with quality education that addresses their under-preparedness compared to affluent student groups (Hammond 2016).

According to Molla and Gale (2014), rethinking equity is about questioning what is being accessed once students enter university. For example, university support services like student decision-making support and career guidance services are important indicators of how equipped equity group students are regarding successful participation at university (Gale 2015). Thomas et al. (2014) also suggested programmes having embedded coaches who can assist students in managing course loads, developing study skills and learning how to access information. Feelings of belonging and caring are important milestones for equity group students to succeed. Additionally, Gale and Hodge (2014) argued that through support services there is a better understanding of who are equity group students, what is their understanding of the world and the capabilities that they bring in their interactions with diverse groups. Such a qualitative assessment of equity group students is fundamentally important for creating relevant spaces

where knowledge can coexist inclusively from multiple sources, more importantly, the production and recognition of knowledge from underrepresented groups. In this regard, Gale (2015) asserted that excellence without equity is questionable, as knowledge from privileged groups dominates knowledge spaces.

Additionally, technology has influenced the teaching and learning process, necessitating the adoption of open education resources so that teaching and learning resources are reachable to all users. This is becoming increasingly important in the face of attracting high-quality academics, restricted funding and sound educational resources. From the perspective of underprepared students, access to a variety of open learning resources provides opportunities for the widespread diffusion of information, access to information anytime and anywhere, learning at their own pace and improved quality of learning (Smith & Casserly 2006). Providing access to such learning opportunities not only ensures high-quality education but also enhances knowledge on how to access global educational resources, which is pivotal for capacity development and knowledge sharing in an interactive global environment (Jorgenson & Shultz 2012). In encouraging interaction among diverse student groups, access to open learning resources facilitates connectivity between teachers and learners who can collectively collate their wisdom. In the absence of this, it is more likely that equity group students may have limited opportunities to be reached beyond classrooms, face-to-face teaching and textbooks.

Further, Chang (1999) argued that student feedback is another source of determining whether teaching and learning approaches are addressing the needs of equity group students. Student surveys are an important source of determining their satisfaction with student support initiatives apart from the fundamentals of teaching and learning. Such surveys should also include feedback on learning gains, diversity interactions and cognitive development. Such indicators are crucial to hearing their voices as equity group students. Positioning the students at the centre of equity policies explicitly includes their voices in assessing the extent to which university equity objectives have been achieved (Altbach & Hazelkorn 2017).

In terms of using student success rates to measure the quality of teaching and learning, Gunn (2018) argued that other factors like less rigorous assessments and unconscious bias from academics may also be influencing factors. Therefore, when assessing the success rates of equity group students, Harvey et al. (2018) recommended that the integration of value-adding initiatives into programmes must also be examined as these impact retention, success and completion rates. For example, equity group students may have diverse financial and achievement potential. Therefore, learning opportunities must promote equity of opportunity throughout the HE system, focusing on inclusive excellence, which harnesses all equity issues so that intellectual and social cohesiveness contributes to the success, retention and completion rates of equity group students.

## ■ Success and learning in social contexts

For most equity group students, access to university represents a transition from the familiar to the unfamiliar, often resulting in challenges and setbacks. Besides not being knowledgeable about the nature of change within the university environment, they often lack the capacity to navigate through change. They need to build their self-efficacy to overcome difficult situations and persist with their learning. Such conditions may give rise to anxiety and fear about performing tasks successfully. Such perceived self-inefficacy can weaken their belief that they will be able to perform well and possibly trigger inadequate performance. According to Bandura (1977), the reciprocal interaction of cognitive, environmental and behavioural factors impacts learning. Positive interaction among these factors can influence the belief in one's capability and motivation to learn. This is a significant part of self-efficacy, which is imperative for learning. In terms of academic self-efficacy, equity group students need the self-confidence to execute tasks that produce successful achievements. Confident students are more inclined to pursue difficult tasks with greater effort despite difficulties, persist longer, display greater interest in learning and work harder (Bandura 1997).

Further, the provision of emotional support for equity group students is an effective approach, as students with a strong sense of self-efficacy are more inclined towards academic success (Bandura 1977; Frawley et al. 2017). As postulated by Bandura (1977), learning occurs in social contexts and equity group students need a sense of well-being and belonging. West et al. (2014) claimed that a supportive environment based on relationships and networks can help such students to gain affirmation from reliable sources, building positive emotions, self-confidence and belief in their capabilities. Feelings of threat, anxiety and nervousness draw on a negative outlook, emotional state and well-being. Therefore, equity group students need a supportive environment to build on their confidence to successfully navigate through difficult situations rather than seeing their ability as a threat to success.

Additionally, Barouch-Gilbert (2016) argued that when significant others affirm belief in one's capability, self-efficacy can be sustained and contribute towards strengthening academic success. These are critical elements of self-efficacy needed to effectively perform their tasks and successfully negotiate obstacles. However, when individuals are not motivated by others to succeed, they are less likely to maintain efforts over time and do not believe in their capability to succeed (Bandura 1997).

## ■ Equity work of academics

A supportive university culture must cater for academic development initiatives that are inclusive of robust teaching and educational expertise, as this is imperative for improving educational outcomes targeting diverse equity

group students. Development initiatives are necessary for academics to equip them with the skills and competencies needed to address under-preparedness in areas like numeracy, literacy and conceptual knowledge. As posited by Bhopal (2017), underdeveloped universities and academic capabilities compromise the achievement of any goal to achieve equal opportunity. In this regard, Harvey et al. (2018) opined that any strategy driving student equity has to be underpinned by a commitment to teaching and learning plans that support academic development, which is an important contributor to teaching quality, especially for equity group students. Further, university cultures that continue to have historical gender and race-dominated academics and administrators can be seen by equity group students as a perpetuation of exclusion and alienation. This can have adverse consequences for successful equity of opportunity outcomes. Further, academics may need training in unconscious bias, as such mindfulness can help to dismantle equity challenges like valuing class, status and entitlement (Van der Wende 2007).

Professional development opportunities for academics can promote positive experiences in a multicultural environment, especially being mindful of how equity group students experience the university environment. From the perspective of academic professional development, such challenges may require special approaches relating to multiculturalism. This is important, as socio-economic differences have been cited as an obstacle to educational success and require intervention measures from academics to identify at-risk students, monitor their attendance and provide the relevant support to improve outcomes. In fostering success for equity group students, academics need to engage in their own learning in response to the needs of students. This may entail new classroom management practices, developing lifelong learning skills and collaborative peer education development.

Barrow and Grant (2019) claimed that professional learning relating to equity group student issues can play a powerful role in identifying and addressing biases. Additionally, new ways of thinking that support growth and inclusivity in different contexts may ensure that academics hold a mindset which is developmental and open to continuous learning. For example, Oliver et al. (2015) suggested that professional development for academics should be contextualised to include a problem-based community of practice aimed at improving the success of equity group students. Furthermore, embedded tutoring not only provides out-of-classroom support but also creates equity group student communities that can be supportive.

Lee (2016) further argued that equity group students are less likely to choose fields of study relating to engineering, mathematics, science and technology. Such disparities can be addressed through the use of information and communication technology in the delivery of quality teaching and learning. In this regard, Grayson (2004) opined that such support should be included in the professional development of academics, curriculum renewal,

extended support programmes focusing on cognitive and noncognitive skills, additional teaching and learning resources and international benchmarking to ensure curriculum relevance. Additionally, academics should be subjected to specific training workshops and support from advisors and peer consultations to enhance their capacities in diverse teaching environments.

Relatedly, academics also need collective efficacy to act on equity issues that result in positive outcomes for equity group students. For example, academics can collectively organise initiatives that help students to believe in themselves and master content. Further, academics may expose themselves to pastoral care activities within university committees that support equity group students. Even as professionals, they can get involved in activities within disadvantaged communities. Such collective efficacy can motivate academics to try creative approaches to encourage student autonomy, engage more closely with at-risk students and influence students' belief in their capabilities (Derrington & Angelle 2013). For example, academics can provide verbal motivation and encouragement and constructive feedback as forms of persuasion for equity group students to succeed. Even learning techniques to help students develop self-efficacy can potentially improve student academic performance, as positive self-beliefs are beneficial for developing the skills and knowledge needed for successful learning and performance (Zimmerman 2000). Additionally, programmes that foster social support networks can provide students with academic and peer mentoring networks that can enhance coping styles, persistent approaches to pursue challenges and retention.

Feeling accepted and respected by not only their peers but also academics is crucial for overall well-being of equity group students. If academics can create environments where students can connect and engage, a sense of belonging and relatedness can develop. According to Bandura (1977), such needs are strong predictors of motivation, persistence and autonomy to complete challenging tasks.

However, Barrow and Grant (2019) argued that equity activities by academics appear to be dubious, as it can be construed as closing the gap for inadequate academic productivity relating to research, a move away from core university business and often not a promotion criterion. Furthermore, while there may be support for equity work, prioritising it can impact the workload and other responsibilities of academics.

Additionally, Grant (2016) opined that measuring the outcomes when addressing equity issues in the curriculum, teaching pedagogy and in front line work with students is difficult.

## ■ Conclusion

The success of equity group students depends not only on classroom support but rather support from the entire HE system that comprehensively

addresses all their needs, both academic and non-academic. Therefore, assessing the practices at universities is imperative for the success of any equity policy. A holistic and integrated approach that serves students in all aspects of their lives can potentially promote student success. Higher education institutions need the tools and personnel to work with equity group students to yield the highest return on investment.

Developing their professional and personal skills not only helps students in the academic setting but also empowers them to manage their obligations outside academic contexts. More so, differentiated levels of preparedness for HE require diverse intervention mechanisms that vary in impact according to the needs of equity group students (Preston 2017). Therefore, the one-size-fits-all approach after equity of access to HE can be detrimental to the varying academic and non-academic needs of students.

# Accountability in higher education

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## ■ Introduction

Accountability, from a theoretical perspective, is defined as a social relationship between an actor and a forum, which requires the actor to account for their actions (Bovens 2007; Dubnick & Frederickson 2010; Romzek 2000). The actor is accountable to a number of stakeholders that *inter alia* includes authorities, regulatory agencies, students, its own faculties and departments, the public, business and the international community (Bovens 2007; Dubnick & Frederickson 2010; Romzek 2000). In this regard, the university has to ensure that it meets the expectations of all these stakeholders (Leveille 2005).

In recent decades, especially from 2000, the internationalisation of (HE) has come with it renewed interest in accountability and quality issues with a view to unleash potential and improve the performance and productivity of HE (Stensaker & Harvey 2011). Universities have been identified as critical enablers for economic transformation by various governments around the world. As a result, governments and key stakeholders such as the World Bank and United Nations (UN) have placed emphasis on the need for universities to

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function efficiently so as to stimulate the economy. In addition, with globalisation, universities have internationalised, thereby bringing a new scope for the need for universities to place more emphasis on accountability. The significance of accountability in HE is centred on the fact that accountability is an *a priori* requirement for quality, which leads to development (Stensaker & Harvey 2011).

In this regard, as noted by Leveille (2005), accountability measures and quality assurance schemes are complementary for two reasons. Firstly, accountability measures and quality assurance schemes are means to provide information about how HE manages to deliver with respect to these aims. Secondly, they mean that it may change both the structure and content of HE. The legitimacy of HE is addressed in the first of these functions. The adaptability of the sector (whether and how it is responsive towards the new societal demands put upon it) and the potential consequences of such a change on the cultural and historical role of universities, especially in the context of the internationalisation of HE, are addressed in the second function.

Traditionally, accountability in tertiary institutions has been viewed as a national responsibility; that is, accountability has been largely viewed and applied in the national context (ed. Burke 2005; Trow 1996). However, in recent years, as a result of the increasing importance of internationalisation and globalisation, accountability in HE underwent transformational changes with a view to accommodate this order. Because of the wave of internationalisation, higher education institutions (HEIs) are now accountable to the international community over and above their own national stakeholders (Stensaker & Harvey 2011).

Notably, the increasing influence of international businesses and industry, steady increase in the number of international students, international academics or visiting professors, ranking of universities by global newspapers, setting up of global quality assurance schemes, exchange programmes, strategic partnerships and joint degrees have resulted in universities increasing their interest towards a more 'globally' embedded form of accountability.

In view of the new phenomenon that has seen the expansion of HE taking place in the international arena, tertiary education institutions, HE regulators and various stakeholders have placed more emphasis on the need to raise the level of accountability to accommodate emerging issues that come with the internationalisation of HE (Stensaker & Harvey 2011).

As the wave of internationalisation of HE is unstoppable, there is no scope for avoiding mainstream issues of accountability with the globalisation agenda (Gumport 2001). Rather, to a greater extent, institutional leadership in universities is challenged to deal decisively with these latest developments.

For example, the internationalisation of HE comes with the need for accountability and transparency that places more emphasis on the need to place universities' processes and governance under both local and international scrutiny (Stensaker & Harvey 2011). This is in direct contrast to the opaque governance and accountability structures of universities in developing countries in particular. This chapter is organised as follows: 'An inventory of forms of accountability' section discusses an inventory of accountability; 'Drivers of accountability in higher education' section discusses global perspectives on accountability of HE; 'A global perspective on accountability schemes in higher education' section discusses international trends, challenges and responses to accountability initiatives; 'Accountability in cross-border HE' section discusses accountability in cross-border HE and 'Accountability in cross-border higher education' section presents concluding remarks.

## ■ An inventory of forms of accountability

Bovens (2007), Dubnick and Frederickson (2010), Romzek (2000), Leveille (2005) and Trow (1996) provided two dimensions to accountability, that is, accountability between external and internal and legal/financial and academic accountability.

With respect to internal accountability, Bovens (2007), Dubnick and Frederickson (2010), Romzek (2000), Leveille (2005) and Trow (1996) argue that tertiary institutions have an obligation to account to their supporters and funders. In the same vein, external accountability is concerned with the overall performance of the tertiary institutions with a specific focus on productivity, aligning individuals' work with the mission and the quality of the education system.

On legal/financial accountability, Trow (1996) underscored that universities have obligations to account for the resources used and to act in line with the provisions of the rule of law. On academic accountability, universities have obligations to inform various stakeholders about their teaching and learning activities.

However, Harvey and Knight (1996) and Bovens (2006) argued that the dimensions of accountability presented by Trow (1996) are old-fashioned, as they do not address the demands of today, which come with the internationalisation of HE.

In particular, Harvey and Knight (1996) argued that tertiary institutions face delegated accountability. For instance, state universities that were previously regulated by the government have seen their systems come under the responsibilities of new actors and agencies under what is called a 'ubiquitous accountability mode'.

In line with Harvey and Knight's (1996) observations, Bovens (2006) argued that governance systems in HE have undergone transformational changes that have seen the expansion of the traditional forms, as argued by Trow (1996), into modern forms that have seen the establishment of an ecosystem of various agencies and bodies with a balanced representation from both academic, legal/financial, external and internal constituencies.

## ■ Drivers of accountability in higher education

The desire to foster efficiency, market orientation, quality, technology and governance has been the main driver that triggered the need for accountability in HE across the globe.

### ■ Efficiency

Universities aim to improve performance, keep operation costs and tuition fees low and improve administrative efficiencies in HEI, especially in the areas of IT, faculties and provision of greater value in terms of service delivery (Burke & Minassians 2002; Hoffman 2013; Huisman & Currie 2004; Kniola 2013; Lahey & Griffith 2002; Taylor 2013; Varghese 2004).

Incomes and proficiency have been used by various authorities as key aspects of efficiency and then in turn used as a barometer for funding of universities (Corbett 2016; Regehr 2013; Shin 2010; Taatila 2017). Similarly, a total number of publications, income-generating projects and students enrolled are used as key performance measurement indicators, and these are regularly used with a view to fostering increased efficiency in universities (Feller 2009; Marginson 2018; Vidovich, Yang & Currie 2007).

### ■ Market orientation

The marketisation of universities, which is a phenomenon of neo-liberalism and globalisation, has forced HEIs to pay extra attention to accountability for a number of reasons.

Firstly, based on benchmarking, harmonising teaching with other universities and developing student services (e.g. market orientation) pushes universities to adapt to student demands (Kalpazidou Schmidt & Langberg 2008; Levy & Ronco 2012; Locke & Guglielmino 2006; Marginson 2018; Porter & Vidovich 2000; Taatila 2017; Trow 1999; Vidovich et al. 2007; Woodard, Shepherd & Crain-Dorough 2011).

Secondly, as a result of marketisation, universities are viewed as producers while students are viewed as consumers (Buckley & Hurley 2001; Marginson 2018).

Thirdly, with the marketisation of HE, the operations of universities are influenced by market conditions and market forces, and as such they face massification of education and intense competition (Conner & Rabovsky 2011; Huisman & Currie 2004; Milliken & Colohan 2004; Murphy 2011; Olssen 2016; Woodard et al. 2011).

Fourthly, universities are forced to adapt education programmes to be in line with the labour market because market orientation interacts with changes related to business orientation (Carney 2006; Murphy 2011; Waugh 2003). Similarly, budgeting, daily administration and academic planning have changed from a public sector setup to processes that are synonymous with the private sector as a result of marketisation (Murphy 2011; Carney 2006; Waugh 2003).

## ■ Quality

Across the globe, as a result of globalisation, most universities have been pressured to implement various quality assurance measures that have resulted in a number of transformational changes in the way HEIs are managed (Beach 2013; Buckley & Hurley 2001; Hoffman 2013; Milliken & Colohan 2004; Rowlands 2012; Vidovich 2002).

The quality of academic and other services offered by universities has been guaranteed by accreditations and rankings that have been religiously used as instruments of quality assurance measures (Eaton 2007). Interestingly, these instruments are used by students and administrators as an important dashboard for institutions' futures, such as furthering education and access to funding opportunities (Hoffman 2013).

## ■ Technology

A number of scholars have argued that the bureaucratisation of university operations has been increasingly affected by the use of technology in universities (Buckley & Hurley 2001; Hoffman 2013; Huisman & Currie 2004; Woodard et al. 2011). As observed by Cervone (2015), support structures in the education system such as libraries witnessed massive changes in their operation as a result of a change in technology.

Similarly, the revolutionised changes caused by the Internet and digitalisation have also impacted students and lecturers (Regehr 2013; Soares 2013). For example, in recent years, that is, from 2020, as the world instituted measures aimed at coping with the COVID-19 pandemic, online education has been adopted as an effective vehicle to provide education in light of lockdowns that are being witnessed (Regehr 2013; Soares 2013). As universities move more and more towards online, distance and e-learning, new sets of accountability

measures, especially with specific reference to quality assurance, are required as most existing regulations relate to face-to-face education (Regehr 2013; Soares 2013).

## ■ Governance

The way universities are run and how they justify their existence has been under pressure as a result of globalisation (Beach 2013; Kalpazidou Schmidt & Langberg 2008; Salter & Tapper 2002; Shin 2010; Taatila 2017).

Greater emphasis has been placed on the need to redefine the roles of the university leadership, the importance of stakeholders and actors (such as students and business leaders) and improved managerial competency as part of the governance-related changes in accountability (Arntzen 2016; Magalhães, Veiga & Amaral 2018; Reddy 2008; Rodgers et al. 2011; Varghese 2004).

In addition, as part of their governance-related changes, from an accountability perspective, most universities have included the need to quickly respond to changes based on shorter decision-making periods as they respond to increased competition and technological developments (Kalpazidou Schmidt & Langberg 2008; Lahey & Griffith 2002; Taatila 2017). In these universities, as part of governance changes, the organisational structure of universities has been changed, placing more emphasis on the increasing role of external stakeholders while reducing the role of faculty in university governance and professionalisation (Carney 2006; Lahey & Griffith 2002; Magalhães et al. 2018; Rowlands 2012; Waugh 2003).

## ■ A global perspective on accountability schemes in higher education

This section showcases international perspectives on the accountability of HE by drawing lessons from Australia and Africa.

### ■ Accountability in Australia

The Australian Federal Government places emphasis on stronger institutional accountability as a minimum requirement to improve student learning outcomes. The Australian Federal Government uses various forms of accountability measures, such as audits and evaluations, as instruments to come up with indicators of direct quantitative accountability (Vidovich & Slee 2001). The rationale behind accountability is that higher learning institutions can be significantly held to account if they are benchmarked with comparator institutions within and outside Australia (Stensaker & Harvey 2011).

In succeeding sections, the national regulatory framework, together with various forms of accountability, such as the use of incentives and external quality assurance, is discussed.

## □ National regulatory framework

The establishment of National Protocols for Higher Education Approval Processes in 2000 is one of the most significant developments in Australia that is now informing the current and future accountability in the HE sector (Stensaker & Harvey 2011). The Protocols provide a means to harmonise, or in some cases to establish, federal, state and territory legislation to regulate the establishment of new universities and, most importantly, regulate the title 'university' (Stensaker & Harvey 2011).

The National Protocols for Higher Education Approval Processes led to the establishment of a new national quality assurance agency called the Australian Universities Quality Agency (AUQA). The AUQA's mandate is to audit universities as well as the state and various authorities responsible for implementing the Protocols and administering the registration and accreditation of non-university providers (Stensaker & Harvey 2011). The AUQA provided accountability with the relevant Ministerial Council for the operations of the state and territory authorities.

From the outset, AUQA emphasised the role of collegial and peer reviews. In order to build relations of trust with the universities, the AUQA used the perceived credibility of its processes, as most universities placed the value of an external audit as a key input for their own improvement processes.

An assessment of the perception and role of AUQA in 2006 and AUQA's own experience has shown that universities and various stakeholders in Australia endorsed the AUQA as a fitness-for-purpose model that provides a reliable dashboard for accountability of HEIs (AUQA 2006; Stensaker & Harvey 2011). Because of the gained credibility, audited results and progress reports produced by the AUQA were used by various stakeholders such as firms to rank universities as well as universities to work on quality assurance strategies.

Observers noted that AUQA audits forced universities to review their quality assurance processes. However, vice-chancellors from several universities raised concerns that were two-pronged. Firstly, they argued that AUQA audit reports are unjustifiably very harsh, thereby making it difficult for Australian universities to attract students. Some vice-chancellors underscored that the AUQA lacks 'teeth' or the ability to impose sanctions on failing universities (Stensaker & Harvey 2011).

In response, in 2003, in order to provide a legally binding justification for funding tertiary education as well as enforcing accountability in universities, the Federal Government enacted the *Higher Education Support Act*. With respect to the enforcement of accountability in HE, the Federal Government set minimum quality and accountability standards for all HE providers in order to receive Federal funding. The legislation made it mandatory and compulsory for universities to be audited by AUQA and that the Federal Minister should consider findings from AUQA in making their decision to release funds for HE providers (Stensaker & Harvey 2011).

## □ Use of incentive schemes

The Federal Government used various incentives to promote accountability and performance in HE. For example, the research infrastructure funding schemes and Learning and Teaching Performance Fund (LTPF) were used as schemes to promote accountability in HE (Stensaker & Harvey 2011).

Although there is an unending debate as to whether the research infrastructure funding schemes can be considered as accountability measures as they are basically structured to allocate infrastructure funding on the basis of need. This may mean that the total costs of research in the fiscal year may not be covered by grant funding because the process calls for transparency in handling such funds. The research outputs of universities provide a framework for accountability on overall research performance, output and quality (Stensaker & Harvey 2011).

The LTPF, which is undoubtedly a clear measure of accountability, was used by the Federal Government between 2006 and 2009 to reward outstanding universities in learning and in teaching undergraduate students. In this regard, during the 2006–2009 period, around \$300 million was awarded to the best universities (Stensaker & Harvey 2011). While the LTPF scheme raised the profile of the so-called ‘outstanding universities’, concerns were raised over the methodology that was deemed manipulative and was seen to be punishing others while rewarding some (DEEWR 2008). This resulted in the erosion of trust between universities and the Federal Government (Stensaker & Harvey 2011).

## □ Accountability and trust from 2008

The new Federal Labour Government, which was elected in November 2007, pronounced significant announcements such as the need to protect academic freedom and the need for improved funding and review of research and innovation of HE. This inevitably bolstered trust relations between the Federal Government and universities immediately (Stensaker & Harvey 2011). In line

with its symbolic pronouncements, in early 2008, the new government removed financial sanctions from the National Governance Protocols as per the requirement of the *Higher Education Support Act* (Stensaker & Harvey 2011). This reinforced trust relations between universities and the labour governments (Stensaker & Harvey 2011).

However, in order to pursue the agenda on accountability in HE, in May 2009, through the Federal Budget, the government proposed new accountability schemes for HE:

- Government introduced the use of ‘compacts’, that is, negotiated funding agreements, with a view to negotiate performance targets with universities.
- Government guaranteed a minimum allocation of core funding-based learning and teaching performance.
- Government repealed the AUQA and replaced it with the Tertiary Education Quality and Standards Agency (TEQSA), whose mandate was to accredit and audit all HEIs provide recommendations on funding based on learning and teaching performance and undertake public awareness and dissemination on university performance.
- Government directed that effective from 2012 all state universities would receive funding for students on the basis of student demand (DEEWR 2009).

Because these new measures improved transparency and simplification of accountability measures, there has been an improvement between public trust in the Australian HE system and consensus on the need to improve accountability (Stensaker & Harvey 2011). For instance, in order to widen the participation of tertiary institutions, the Federal Government ensured inclusivity and consensus building. The Federal Government undertook these measures to assure citizens that it holds itself accountable for the provision of education for all (Huisman & Currie 2004; Stensaker & Harvey 2011).

## ■ Accountability in Africa

Accountability of HE in Africa is a mixed bag. In some countries in Africa, accountability initiatives were established as early as 2000, while in other countries, the use of external accountability in HE remains elusive (Huisman & Currie 2004; Stensaker & Harvey 2011). Some HE systems still do not have external accountability mechanisms.

Because the main objective of external accountability initiatives is to ensure that tertiary education institutions satisfy the needs, aspirations and expectations of its stakeholders (i.e. parents, students, government, professional bodies, employers and funding organisations), this section reviews accountability initiatives in Africa.

Given the context in Africa characterised by heterogeneity in language, culture and the large size of countries, this section utilised five case studies (Mozambique, South Africa, Kenya, Nigeria and Zimbabwe) to showcase the application of external accountability in tertiary education in Africa.

This section provides an analysis of trends of accountability initiatives in tertiary education in Africa. The trends discussed basically cover key drivers of accountability in tertiary institutions in Africa. In the same vein, various relationships between tertiary institutions in Africa and respective stakeholders with respect to accountability issues are discussed.

## □ Challenge of excellence

In recent decades, questions have been raised with regard to the developmental role of African universities. The questions were based on the fact that African economies have remained underdeveloped notwithstanding the fact that the number of universities has increased substantially in recent years. Because the contribution of tertiary institutions in the development process of the African continent remained elusive, various stakeholders ranging from African citizens and their respective governments, development partners and various experts questioned the relevance and responsiveness, quality and internal and external efficiency of tertiary education in Africa (Wangenge-Ouma & Langa 2010).

Over the years, evidence has shown that the quality of tertiary education in Africa that was characterised by curricula that are irrelevant (thereby contributing to the production of skills that are not fit for purpose in as far as the continent's development needs and challenges are concerned) is the major contributor of the dismal failure of universities to contribute to development in Africa (Wangenge-Ouma & Langa 2010; World Bank 1986, 1988, 1994). Scholars such as Aina (1994), Ajayi, Goma and Johnson (1996) and Wangenge-Ouma and Langa (2010) put the blame on tertiary education institutions for designing curricula that fail to respond to the ever-changing needs of business, society and professions. To make matters worse, university research output is negligible and, in a number of cases, not relevant to the developmental needs of the continent (Mouton 2008; Wangenge-Ouma & Langa 2010).

The foregoing discussion shows the failure of HE in Africa relevant to the developmental needs of the continent and hence the need of corrective measures. The World Bank, in particular, underscored the need for tertiary education to be put under scrutiny through external accountability initiatives if they are to become the citadels of excellence and serve efficiently and effectively as a public good for development in Africa (Stensaker & Harvey 2011; Wangenge-Ouma & Langa 2010).

In this regard, in the early 1990s, the World Bank came up with a number of reforms that were aimed at restructuring African universities, provisioning of technical assistance in planning, introducing new technologies aimed at managing finances, assisting in redesigning course structures and pedagogy and revolutionising governance processes and practices in HE (Manuh, Gariba & Budu 2007; Mário, Fry & Chilundo 2003; Stensaker & Harvey 2011). Further, privatisation, commercialisation, financial decentralisation and independence for revenue-earning units inside universities, curriculum reform and quality assurance schemes were established as terms of reference for reshaping HE sector in Africa. This marked the beginning of accountability of HE in Africa.

## □ The rise of the evaluative state

An evaluative state is conceptualised as a set of instruments or agents of social or economic change that acts as enforcers of socio-economic policy. Building on the experience from the World Bank reform agenda that emphasised the need for accountability of HE in Africa, the turn of the new millennium witnessed the emergence of the evaluative state that saw the need for setting benchmarks and various performance indicators for all aspects of university activities and programmes and the introduction of a wide range of performance indicators.

From an institutional perspective, as noted by Westerheijden, Stensaker and Rosa (2007), a number of African countries established commissions or councils of HE whose mandate is to 'ensure' accountability by tertiary education institutions in Africa. For example, quality assurance agencies established in various countries include Kenya (Commission for Higher Education), Ghana (The National Accreditation Board), Mozambique (National Commission of Accreditation and Evaluation), South Africa (Council on Higher Education [CHE]), Nigeria (National University Council), Tanzania (Higher Education Accreditation Council), Ethiopia (Higher Education Relevance and Quality Assurance Agency) and Zimbabwe (Zimbabwe Council for Higher Education) (Materu 2007).

Although global trends have shown that the mandate of quality assurance agencies is threefold (i.e. institutional accreditation, programme accreditation and institutional audits), the mandate of quality assurance agencies is mainly a mixture of the following (Materu 2007):

- assessment of institutions or programmes
- approval of new academic programmes and courses
- approval of new HEIs
- set minimum academic standards
- ranking of institutions, as in the case of Nigeria
- annual performance monitoring.

The subsequent sections discuss institutional accreditation in Mozambique, programme accreditation in Nigeria and institutional audits in South Africa.

### □ ***Institutional accreditation: The case of Mozambique***

In order to ensure that new suppliers of HE, especially private institutions, met minimum standards, Mozambique introduced institutional accreditation of HEIs mainly as an instrument to guarantee quality assurance (Langa 2006, 2009; Mário et al. 2003). The country witnessed an increase in the establishment of HEIs after the adoption of a neo-liberal and market-oriented economy in the 1990s following the failed attempt to build a socialist post-colonial society that necessitated the need to accredit institutions of HE (Langa 2006, 2009; Mário et al. 2003). In essence, institutional accreditation is a process used by the government to evaluate new entries into HE, that is, both private and public HEIs that operate in the country.

As observed by Mário et al. (2003):

Up to the early 1990s the Ministry of Education supervised the higher education subsystem. In 1993 the Higher Education Law was enacted, establishing the autonomy of existing HEIs and setting up mechanisms for approvals of new HEIs, including, for the first time, private institutions. (p. 92)

In order to effectively undertake institutional accreditations, the government established an institutional framework that saw the establishment of the National Council for Higher Education (NCHE) as an advisory body that is made up of rectors or vice-chancellors of all HEIs to advise the Council of Ministers on matters of the subsystem (Mário et al. 2003). In addition, as a result of an increase in the number of private universities, in 2000, the government established the Ministry of Higher Education, Science and Technology (MESCT), whose mandate is to coordinate the increasing complexity of the subsystem. As noted by Mário et al. (2003), the mandate of MESCT included:

- in view of the changing circumstances, review of existing statutes, HE laws and regulations
- defining norms for the establishment of HEIs and courses
- defining an accreditation system for HE
- harmonising HE statutes and regulations with national policies with a view to guarantee institutional autonomy and accountability, financing and quality assurance
- making it mandatory that all HEIs submit regular strategic plans and reports to the MESCT.

The institutional accreditation process consists of three phases: application, assessment and evaluation and the decision phase. Other than determining the application's compliance with the requisite legal requirements, the

assessment and evaluation phase also considers the relevance of the proposed institution in relation to national need, alignment with government policies on HE and training, location of the proposed institution, review of curricula, availability of academic staff, financial viability, proposed number of students and infrastructure (e.g. laboratories, computers and libraries). The accreditation committee is expected to visit the premises of the proposed institution to establish their suitability and adequacy for an institution of higher learning.

However, notwithstanding the good intentions of institutional accreditation, the implementation of the accreditation procedures has mostly been haphazard. In a number of cases, especially where private universities are connected to powerful politicians, the minimum standards had not been required (Langa 2006). Resultantly, the number of HEIs grew drastically from less than five to more than 25 in the space of ten years, from 1995 to 2005 (Langa 2006).

In addition, there are no mechanisms for continuous inspection after institutional accreditation has been granted. In this regard, no further inspection or any kind of assessment or evaluation was done. Resultantly, there were serious deficits in the quality of education that prompted students to carry out massive strikes (Lang 2006). The government's response to this by tightening of the accreditation process and improvements in university inspections seems to signal the end of the *laisser faire, laisser passer* period.

### □ **Programme accreditation: The case of Nigeria**

Programme accreditation implies the validation of academic degrees and diplomas and determination of minimum standards (Sterian 1992; Udom 1996). As in the Nigerian case as well as international experience, programme accreditation is compulsory for all universities in Nigeria (Udom 1996). In 1989, the Nigerian government established the minimum academic standards (MAS) as a basis for the accreditation of all degree programmes taught in Nigerian universities (Okoiye 2008).

In this regard, the process is done by the accreditation committee that considers various criteria ranging from the admission requirements, curriculum, course evaluations (examination and continuous assessment), external examination system, student course evaluation, physical facilities, staffing, books, journals and other resource materials for the programme to employers' rating of graduates, if any (Okoiye 2008; Sterian 1992; Udom 1996).

In this regard, as noted by Okoiye (2008), Sterian (1992) and Udom (1996), Nigeria grants three types of accreditation. Firstly, full accreditation, that is, degree programmes approved for a period of six academic sessions and a mid-term review performed after three years. Secondly, where minor deficiencies are observed and the university is required to rectify them within

a stipulated period, an interim accreditation is given to such degrees or other academic programmes of that nature. In this regard, interim accreditation status is granted for at most two academic sessions, after which the programme is automatically due for review. If the university fails to address the identified inadequacies within the stipulated period of two academic sessions, the programme's accreditation status is automatically denied. Thirdly, non-accreditation or denied accreditation takes place if the requirements for minimum standards are not met. In such a situation, the university in question is not allowed to enrol students and all subsidies are withdrawn.

The first programme accreditation exercise in Nigeria took place in 1990. Interestingly, in the history of programme accreditation in Africa, Nigeria was the country to undertake programme accreditation in HE in Africa (Okoiye 2008). In 2000, most university programmes were granted interim accreditation when a second accreditation exercise of academic programmes in Nigerian universities was undertaken. Further, in 2005, 48 universities with 1 343 academic programmes were evaluated for accreditation, whereas some universities were denied accreditation (especially highly regarded universities offering law programmes such as University of Ibadan, University of Nigeria, Nsukka and Obafemi Awolowo University), Ifelife and a significant number of programmes received full accreditation (Okoiye 2008). This is in direct contrast with the observations made in Mozambique where the regulatory authority was not strict.

The withdrawal of accreditation or denial of accreditation, especially for reputable universities in Nigeria, demonstrated the seriousness and commitment the regulator has toward enforcing discipline and quality assurance in the HE sector in Nigeria. Resultantly, the leading Nigerian universities can no longer comfortably live on their historical reputation as a result of the unflattering accreditation results. Rather, quite often, in order to re-assert their positions of dominance and prestige, they now have to compete with the more recently established private and public universities (Stensaker & Harvey 2011).

As noted by Udom (1996), programme accreditation in Nigeria has three main objectives. Firstly, to ensure that MAS is achieved, maintained and enhanced. Secondly, within the root of accountability, to assure employers and other members of the community graduating from Nigerian universities have achieved a minimum body of knowledge or have attained an acceptable level of competency in their areas of specialisation. In guaranteeing this outcome, as part of the accountability process, results of the accreditation exercise, in particular those denied accreditation, are published, and relevant bodies that include Nigerian Employers Consultative Association, the Joint Admissions and Matriculation Board, Nigerian Students Loans Board

(Education Bank), State Scholarship Boards and various Federal are informed (Okoiye 2008). Thirdly, to certify or guarantee to the international community that academic qualifications offered by HEIs in Nigerian universities are of high standards, and their respective graduates are adequately trained for further studies and fit for employment.

Undoubtedly, as noted in the foregoing discussion, Nigeria places more emphasis on the importance of provision of information to relevant stakeholders over and above the desire to guarantee that MAS are met (Stensaker & Harvey 2011). Provision of information is one of the important goals of accountability mechanisms (Stensaker & Harvey 2011). In doing this, the Nigerian government explicitly aims to attract trust and confidence in its HE from both local and international stakeholders.

### □ ***Institutional audits: The case of South Africa***

As part of quality assurance and academic accountability, institutional audits aim to monitor the performance of universities by producing organisational report cards (Stensaker & Harvey 2011). In South Africa, in order to ensure that HEIs implement measures aimed at ensuring that the quality of student learning and the standard of academic qualifications is upheld, academic audits are used as one of the new forms of academic accountability (Dill 2000).

In South Africa, a permanent committee of South Africa's CHE, that is, the Higher Education Quality Committee (HEQC), is the institution mandated to conduct institutional audits in South Africa's HE (Stensaker & Harvey 2011). In South Africa, institutional audits seek to establish that universities are achieving the transformation policy imperative in HE. For avoidance of doubt, the transformation focus in the South African education sector is integrated into the assessment of the quality of research, teaching and learning and community engagement (Botha, Favish & Stephenson 2008). Because HE transformation goals in South Africa seek to increase access and equity opportunities for previously marginalised groups, especially women and black students and staff, they are conceived as quality-related goals (CHE 2004). Thus, institutional audits are 'an accountability check on the extent to which institutions' quality management systems enable the institutions to meet national goals for the transformation of HE (Botha et al. 2008).

In South Africa, in 2004, HEQC started its institutional audits. It audited 26 HEIs by 2008, which included 15 public universities such as the University of the Western Cape, Nelson Mandela Metropolitan University, University of Cape Town and University of Fort Hare (Stensaker & Harvey 2011).

The process of institutional audits is inclusive and, as such, involves each institution conducting a comprehensive self-evaluation and responding to 19 HEQC audit criteria, which include academic support services; certification; management of assessment; recognition of prior learning and fitness for purpose of institutional mission, goals and objectives in response to local, national and international context (including transformation issues) (CHE 2004).

In this regard, the institutional audit process begins with the university preparing a self-evaluation report or an audit portfolio that is discussed by an external panel of peers (Botha et al. 2008). The external panel of peers then visits the university and interviews a diverse group of students, staff, council members, alums, community representatives and civic organisations.

After the audit, from a process flow, the regulatory authority would give a chance to the university to review or comment of key observations made. This is followed by a final audit report that contains commendations and recommendations. For transparency purposes, and again with a view to ensure accountability, an executive summary of each audit report is made publicly available by publishing it on the HEQC's website and each institution. Likewise, the audited institutions are required to respond to the recommendations from the regulator within five months of publication of the report and are required to provide an improvement plan to the HEQC (Botha et al. 2008).

In South Africa, institutional audits have remained an important tool for monitoring and assessing institutional performance in HE, notwithstanding the fact that institutional audits have some limitations, such as bias.

## ■ **Accountability in cross-border higher education**

The internationalisation of HE brings with it challenges of accountability that are two-pronged. Firstly, the conditions of transnational education (TNE) that are characterised by rapid change, novelties and volatilities make it difficult for universities to cope and institute rightful accountability measures. Secondly, cross-border HE comes with it challenges that demand accountability to deal with problems that are diverse, multifaceted, multilevel and multilayered (Stensaker & Harvey 2011). The foregoing challenges can be summarised as follows.

Firstly, cross-border education brings with it the need to reconcile and harmonise accountability standards and practices, as well as the curricula of individual nations, with a view to attaining minimum standards that satisfy

the expectations of various nations and regulatory bodies involved. In short, TNE demands an international agreement; that is, supranational agreement on principles of accountability that universities must embrace. This has been observed as hard to attain because of turf and silo mentalities among universities involved (Stensaker & Harvey 2011).

Secondly, inequalities between 'net importers' and 'net exporters' of TNE, competition for skilled labour, economic benefits and academic prestige between trading nations and universities present serious challenges on accountability (Stensaker & Harvey 2011). For example, the different levels of development between trading nations bring with it an uneven playing field where a more advanced nation naturally has more bargaining power, resulting in the weaker one ending up accepting accountability initiatives that are inferior to already existing national standards.

Thirdly, the use of ICTs, which has been phenomenal in recent years, has come a paradigm shift in the way teaching and learning can be delivered. In addition, the use of ICTs has enabled universities to unbundle educational processes, specifically in the design of courses, by separating them from teaching processes and showcasing that teaching can be separated from learning, while students' support and guidance can be separated between universities and other service providers (Stensaker & Harvey 2011). This status quo demands that the accountability agendas be redesigned to take into account the complexities that come with the digitalisation of HE.

Fourthly, because the accountability agenda in tertiary education institutions seeks to meet the expectation of stakeholders in the provision of HE, the broad socio-economic, political and cultural differences that exist at national and international levels bring difficulties in meeting the minimum standards that are required to build the public trust of a HE system that is internationalised (Stensaker & Harvey 2011). Traditional problematic areas include the provision of transnational HE and immigration requirements and expectations that tertiary education institutions should provide social and cultural cohesion nexus the international view that education provision should be demand-driven and different views on the pricing of education. In recent years, with difficulties, nations placed significant emphasis on the need for the accountability agenda to provide remedial measures to these dynamics (Middlehurst 2010; Stensaker & Harvey 2011).

Because the wave of transnational HE is unstoppable, there has been an increase in the manner in which universities and their respective agencies have reciprocally exchanged information. This undoubtedly demands the need for harmonisation and standardisation of processes, systems and accountability mechanisms. This will call for a paradigm shift from the status quo, where the current accountability mechanisms are largely designed to

serve the existing context at a national level to one that takes into account the international demands on accountability. Going forward, there is need to internationalise accountability initiatives by developing new ones that are harmonised with international trends and test them through international networks such as the International Network of Quality Assurance Agencies in Higher Education (INQAAHE).

The complexity and breadth of accountability mechanisms for transnational HE and rising tensions between ‘market-based’ accountability, ‘government-determined’ accountability and ‘professional accountability’ have had significant implications on the internal accountability processes of conventional universities. In view of this, the following considerations must be taken into account with a view to mainstream accountability with the internationalisation agenda in HE.

Firstly, in crafting new guidelines for accountability, there is the need for clarity on oversight, governance, leadership and management of both the academic and educational and business operations.

Secondly, in view of the fact that cross-border operations in HE are high risk, there is a need for governments to build the capacities of professionals through training, information and knowledge management.

Thirdly, there is a need for governments to have remedial measures on problematic areas such as terrorism, immigration and fraud, as well as repositioning education practitioners to be able to respond to increasing volatility and competition involved in cross-border activity.

Finally, building on experience from the UK, Australia and United States where transnational HE has flourished, there is a need for government to provide sufficient resources required to deal with multilayered and multilevel accountability. This may also require governments to establish institutions that deal with accountability in an internationalised HE system that will take the form of the UK Higher Education International Unit or the International Education Association of Australia.

## ■ Conclusion

In recent decades, governments have placed significant emphasis on the need to ensure accountability and stimulate public trust in HE. For example, through more transparent and simplified accountability regimes and clearer policy directions (e.g. setting targets to widen participation in HE), the Australian government has transformed its HE system.

Consequently, there has been continuous improvement in the international perception of Australian education as well as public trust in the country’s HE.

As expected, the instrumentalisation of tertiary education was also observed in Africa. This is mainly because of the fact that universities the world over, by becoming more 'responsive' especially to national socio-economic needs, are being called upon to justify their existence. In Africa, because of abject poverty and other ills affecting society, there is even more demand for universities to justify their existence and hence the need for accountability. Because of this, the call for accountability in African HE became more defined.

Stensaker and Harvey (2011) argued that the breadth and complexity of accountability arrangements for cross-border HE, as well as the tensions that arise between 'professional accountability', 'market-led' accountability and 'government-determined' accountability have had considerable implications for the processes of traditional universities operating as exporters, as well as for other kinds of providers and partners and for the internal structures.

Firstly, there needs to have clear oversight about leadership, management and governance for both the academic and educational operations and the business operations.

Secondly, cross-border operations are high risk and require new forms of professional practice, while the area of accountability requires well-trained, well-informed and specialist professional staff.

Thirdly, practitioners and managers need to be agile and well 'plugged-in' to international networks to take into account the volatility and increasing competition involved in cross-border activity. Likewise, while being mindful of the consequences when education intersects with other serious issues such as immigration, terrorism and fraud, HEIs and policy-makers must be aware of developments in neighbouring sectors, for example, in media houses and the for-profit education sector.

Fourthly, in order to deal with these challenges, multilevel and multilayered accountability needs to be factored into cross-border operations, and governments must put in place adequate resources. For example, the United Kingdom (UK), Australia and the US, where cross-border education has grown and flourished, the respective governments have developed new agencies (the International Education Association of Australia or such as the UK Higher Education International Unit), guidance as to how institutions are managing their international activities (several publications by the American Council on Education as well as the UK's Higher Education International Unit) and the publication of research on internationalisation strategies at institutional and national levels (such as the International Association of Universities regular surveys) as a way of dealing with the demands for accountability in a highly globalised HE sector.

Finally, the professionals involved need to be prepared for a continuing movement from 'soft' to 'hard' forms of accountability, given the importance of cross-border provision, capacity building, training skilled labour, mobility and increasing access where demand outstrips supply for universities. In the interests of comparability and measurement of outcome and 'enforced' compliance because the risks and the stakes are so high for students and families, governments, employers and providers themselves, the direction of travel is likely to be towards greater standardisation. Higher education institutions will need both to develop new forms of professional practice and to stay abreast of the macro-drivers of change that lie outside educational systems and beyond nation-states if their respective authorities, agencies and institutions wish to have a continuing say in shaping the agenda and forms of accountability in cross-border education within this evolving and multidimensional context.

# Internationalisation and governance issues in higher education

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## ■ Introduction

Internationalisation by higher education institutions (HEIs) through the provision of world-class education and research across borders is recognised as an essential way of participating in the global higher education (HE) system. Many governments strive for their universities to be top academic and research institutions that bring about innovation, change and investment. The selection of HEIs based on performance for international competitiveness of research units the world over has now become the norm. Many countries have seen increases in both private and public HEIs in order to improve education systems and levels, with others going international. Governments have driven top HEIs to become internationally competitive education institutions through the recruitment of international world talent.

Yonezawa and Shimmi (2016) noted that most governments still influence the operations of many universities the world over through specifying

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university mandates, number of faculties, nature of degrees to be provided, government grants to be allocated, nature of research to be conducted and level of students' enrolment both locally and internationally. In order to achieve international status, some governments have even started massive rehabilitation and upgrades of top local universities into world-class institutions (Huang 2005; Moon & Kim 2001). Such developments are expected to enjoy world-class status through autonomy status, government-supportive financial and regulatory framework, a culture of academic freedom and excellence and top-class industry-related innovations and industrialisation initiatives. It is noted that world-class status is always reflected by three things: favourable and up-to-standard governance, world-class talent and the ability to generate revenues (Salmi 2009).

Favourable or good governance in HEIs is exemplified by a well-structured strategic vision, culture of excellence, proper regulatory framework by government, autonomy of academic institutions, presence of academic freedom and a well-structured leadership team (Salmi 2009). Given that countries have diversified and complex social contexts of HE systems because of private and public ownership of such institutions, which causes differences academic and intellectual values, there is a need to ensure that both public and private HEIs operate as public corporate bodies with well-developed strategic visions that enhance the national development strategies.

Higher educational institutions globally are revolutionising their operations in order to meet the demands of society, meet social developments and enhance economic contribution to the economy. The thrusts of HEIs are to generate goods and services, improve equity, respond to students' needs and creation of knowledge. As such, they have undergone some massive upgrading and transformations that include increasing student enrolments, attraction of talents (local and international), a massive decline in public funding, accelerated focus on research, innovation and industrialisation and allowing fierce competition from local and global HEIs. Consequently, these developments require a vibrant governance system to be enforced in order to ensure effectiveness in the operations of HEIs (Fieden 2008). Thus, effective governance systems are becoming critical in HE systems (Jones 2011).

## ■ What is governance in internationalised higher educational institutions?

Governance simply means the act of steering an appropriate entity or government. Governance captures how country administrators exercise their power in managing the nation's resources (Santiso 2011). The World Bank (2000a) defined governance as the manner in which the government

manages the country's resources (economic and social) for development. Such exercise includes how the government plans, implements and controls its functions.

Within the context of many HEIs, governance has been used to refer to the way in which education institutions are organised and managed. It is considered as the planning, implementation and control that allow HEIs to make decisions. In other instances, there are also informal governance procedures followed by HEIs. This informal governance is comprised of unwritten rules and regulations that guide how people (students and staff) within HEIs relate. In this chapter, governance relates to both formal and informal practices employed by HEIs.

In HEIs, there are two levels of governance: internal and external. The internal is also referred to as institutional governance (OECD 2008). These are institutional procedures required for the efficient running of HEIs. They include internal aspects such as lines of authority, staffing issues, reporting structure, internal policies, institution financing mechanisms and decision-making processes. On the other hand, external governance is referred to as macro-level governance. It is the governance from the country's constitution and legal control of HEIs, which entails the laws, decrees, mandate of the institution, funding mechanisms and evaluations (Eurydice 2008; OECD 2008). Therefore, HEIs should balance these two forms of governance.

## ■ Does higher educational institutions' internationalisation need governance?

It is clear that HEIs need some form of governance arrangements in order for them to achieve their mandates and operate within the constitution of the country. Governance is critical to enhancing institutional performance within the required framework. It is important to note that HEIs faced or are facing abrupt changes that, if no proper governance is followed, may lead such institutions astray (World Bank 2009). Firstly, it is critical to understand that HEIs are becoming more exposed to changes in world dynamics of the 21st century, such as technological developments, diversified student enrolments with the increasing number of foreign students, drive towards self-sustenance as experienced by many government budget cutbacks, increasing demand for research output, innovations and improved learning environment. Secondly, there is diversification of HE provision: there are new ways of providing lectures to students (blended learning systems), new HEI types have come into existence and private institutions have expanded to fill the gap left by public institutions. In addition, the new modes of delivery have offered more flexible learning for students.

Thirdly, there is accelerated HE internationalisation with a lot of cross-border education provision. Fourthly, there is increasing development of

student participation in academic student bodies: heterogeneous student representative bodies (female student participation has been on the rise) and increase postgraduate students' enrolment in HEIs. Because of internationalisation, student representation has also become heterogeneous socially, economically and ethnically, as they come from different socio-economic backgrounds, ethnicity, country and education systems.

It is also important to note that different funding mechanisms have been achieved through diversification, research and internationalisation (OECD 2007). Firstly, diversification of funding sources means having funding from many sources other than relying on government grants and handouts. Secondly, government funding is now based on competitive procedure (because of many public universities), performance-based (i.e. innovation and new product development) and targeted resources based on different research sanctioned at the national level. Thirdly, quite a number of HEIs have internationalised their services. These brought challenges to the governance of HEIs. As such, HEIs that rely heavily on public funding have to adjust to the new demands, improve efficiency to survive and adapt to changing demands of the labour market and society (OECD 2008). Therefore, HEIs should have proper institutional governance, especially in how they attract research funding and make such research funding relevant to society and the economy.

In addition, the interaction of HEIs' members with managers, external stakeholders and influential key players such as local and international students has a bearing on HEIs' governance currently and even in years to come. It is therefore important that countries put appropriate governance frameworks in place in preparation for the future.

## ■ Regulatory frameworks in higher educational institutions' internationalisation

In general, the government is responsible for the governance of HEIs through well-crafted regulatory frameworks. Such frameworks should be aligned with societal expectations, institutional goals and national mandates. The regulation framework is critical to influencing administrators, students and stakeholders (OECD 2006). The regulations affect HEIs as it influences (OECD 2006a):

- planning processes
- policy formulation
- leadership capabilities
- management structure
- institutional governance
- resource mobilisation, allocation and subsidies
- financing of institutions

- the procedure of providing incentives (monetary and non-monetary)
- information dissemination to stakeholders (e.g. communication and reporting)
- ordinances, decrees and laws.

Governments should develop regulatory frameworks that balance institutional autonomy and governmental control. In this dynamic environment and the move for internationalisation by HEIs, the framework should allow HEIs to be held accountable to the governmental regulations and, at the same time, be given sufficient autonomy in their operations such that they remain competitive in their operations (OECD 2008). For many countries, the structure of governance frameworks is as articulated by OECD (2012a) as having different actors.

## ■ Models of governance structures in higher educational institutions' internationalisation

Models of HEIs' administration can be depicted by the methodology of control in the institution, the country and religious government (Olsen 2007). The models used are settled in the genuine beginnings of the colleges (Dobbins, Knill & Vögtle 2011). The recommended models by Dobbins et al. (2011) are explained in the following sub-sections.

### ■ The state-centred model

This model of HEI governance is dominated by high government control, with the HEI leader being appointed by the government (Dobbins et al. 2011). In this model, the government arm, or the Higher Education Authority, or the Ministry of Higher Education, develops a national higher education research plan/policy (Bridges et al. 2014). The plan or policy provides decisions on how the institution is run, including even career paths of staff for the HEI. The Ministry then appoints a trustee or council for a specified period to have overall control over the processes and operations of the institution. In addition to the council, the minister appoints the chancellor/vice-chancellor/rector/principal to run the affairs of the institution for a specific period. The government monitors the HEI through the Minister, who has the overall role of checking and reporting on the institution. The minister monitors the HEI's internal affairs and its external relationship with the government and stakeholders (Dobbins et al. 2011).

Funding is mostly from fees, the government and government research grants. Fees for local students are determined by the government while, for international students, fees may be determined by the institution but requires approval from the government. The Office of the Comptroller and Auditor-General comes in to audit the use of funds for transparency

and accountability purposes. Development and opening of new academic activities are under the control of the Higher Education Institution Council Committee and National Higher Education Council. Such developments always restrict internationalisation, as the institutions always seek the minister's approval. Where the political situation seems to be compromised by internationalisation, foreign students come under a lot of scrutiny, which might reduce the number of international students.

## ■ The self-rule model

In this model, the HEI is a privately owned institution with its own mandate and goals (Olsen 2007). There is less interference in the HEIs' methods of administration from the political administration in the country (Dobbins et al. 2011). Research and learning are designed to achieve institutional values and not values necessarily compatible with the nation. Higher educational institutions of this nature are those mandated by churches, private organisations or international funding institutions with specific mandates. Such HEIs may receive budgets from the state as grants and funding for the role that they play in educating the nation, without being subjected to the government's strict regulatory measures (Carmon, Dagan & Kremnitzer 2014).

Such HEIs have a high degree of autonomy as they have their own internal governance style that they follow, only adhering to limited external governance, as it is the government that has the overall governance over HEIs. However, in such HEI models, there is no proper coordination between education institutions' strategies and political strategies. Higher education is conducted with no plans for human resources (Dobbins et al. 2011). As governments always want to control universities in developing countries, there are few such HEIs, as they are wary of institutions with opposition party ties.

## ■ The market-oriented model

It is also referred to as the entrepreneurial institution model. In such a model, there is no framework from the government, control is limited through external governance and there is competition in HEIs (Davidovitch & Iram 2015). The underlying principles of governance behind this model are efficiency and competitiveness. In this model, HEIs are cash-related associations created to turn a profit (Carmon et al. 2014). Higher educational institutions following this model are profit maximisers. Higher educational institutions compete for a number of students to generate more revenue.

Subsequently, the government's administration is indirect through the National Higher Education Council's external influence on mandates and programmes, as specified in the institution charter or act that formed

the institution. Legislation can only be included to impact such HEIs through the coordination of quality measures. This approach is common in developing countries and the nature of governance is controlled by the council or board of management, depending on the creators/funders of the institutions. For religion-based institutions, governance is from the superiors of the region, and for for-profit institutions, the control is from the shareholders.

## ■ Quality guidelines in higher educational institutions' internationalisation

Quality assurance processes differ widely between continents, regions, countries and states. The processes range from HEI:

- assessment, which includes evaluation and outputs
- system audits, which include a qualitative description of processes
- system accreditation, which focuses on the comprehensiveness of programmes/systems.

A summary of reviewed quality guidelines from different continents, regions, countries and states revealed that the quality guidelines could be compressed to the one provided by the OECD and UNESCO. In quality-related issues, there are five critical stakeholders involved, namely, HEIs, governments, academic and professional bodies, student representations/bodies and the National Higher Education Council/body. From the guidelines, the main key principles are (Hénard & Mitterle n.d):

- comparability
- transparency
- communication and co-operation.

While these are broad aspects of quality, particular issues are specified in different principles and bodies in a country, with some being borrowed from international organisations such as the OECD.

Higher educational institutions should build networks with other HEIs, agencies and academic recognition bodies (OECD 2005b). It is also important for HEIs to communicate and cooperate with other stakeholders (OECD 2005).

Furthermore, it is important to note that continents, regions, countries and states may have their own quality guidelines in terms of HE. These have to be followed by those HEIs that are under those jurisdictions. Examples include INQAAHE Guidelines of Good Practices, the UK Quality Assurance Agency for Higher Education, the South African Council of Education, and others, to mention a few.

## ■ Quality guidelines and governance for higher educational institutions' internationalisation

Governance and quality assurance issues are closely entwined. Quality guidelines focus on the nature of delivery or teaching (face-to-face tuition or distance learning, or online), the curricula, levels of qualification for teachers (e.g. PhD or doctorate as minimum entry qualification unless otherwise), safety and health care issues and other extra curricula activities such as sports facilities and maintenance of grounds. Detailed quality guidelines address every HEI structure, and those guidelines are a way of governance arrangements.

Quality assurance encompasses the multifaceted aspects of governance that are put under scrutiny by audits or programme accreditation (OECD 2016). It is therefore noted that the bottom line of good governance is quality.

## ■ Culture of excellence and higher educational institutions' internationalisation

A culture of excellence is defined as an encouraging behaviour of improving performance in an organisation (Mintrom 2014). A culture of excellence combines organisational and business notions of excellence (Nixon 2007; Schein 1990, 2010). Schein (1990) proposed that organisational culture and values are the basic assumptions designed or developed by an organisation to assist in governance. Once a group has understood the designed values and norms, these values and norms result in perceived behaviour, thinking and feeling that automatically provide comfort to members, stability in the group and meaning for right or wrong. Such notions of excellence result in people becoming what they are expected to (Nixon 2007). Therefore, excellence becomes a daily habit for everyone in the institution.

It is assumed that the behaviour of teachers influences the actions of their students and, in turn, generates values based on those actions. Hence, such teaching practices and strategies are influential to students as they shape how they create a culture of excellence. Thus, the creation of cultures of excellence could be initiated in the teaching of students for all the teaching units. Where the focus of an education system is meant to produce employees (i.e. in developing countries), a culture of excellence might be difficult to achieve. With a shifting focus toward research, goods production, services provision and industrialisation/commercialisation in many countries, HEIs are now drifting towards achieving a culture of excellence.

## ■ Tapping individual motivation

To achieve a culture of excellence, the learning and working environment for HEI should be motivating. The characteristics of those in the learning

environment should display good leadership and autonomy (Mintrom 2014). It is noted that high levels of autonomy exhibit high levels of motivation in those teaching at HEIs. Therefore, international and local teachers should offer international and local students liberty in determining the topics or approaches to use in their studies.

## ■ Guiding work habits

Higher educational institutions must not overlook the benefits of some basic learning and work habits that should be acquired by both international and local students. The learning environment must consider ways to guide both international and local students in terms of learning and working habits, which are critical skills to students in general (Justice, Rice & Warry 2009; Mintrom 2014). As noted in most US HEIs, there is the teaching of American History to anyone studying in their institutions, regardless of level or programme. Teachers should guide students to prepare ahead of lectures.

## ■ Promoting deliberate practice

Practice is the best teacher. Practice is the way of building a culture of excellence. Students who will be practising will bring a culture of excellence as they will be working to improve things in a practical approach. This can be achieved by having both international and local students learn practical knowledge with the application of concepts. This can quickly impart practical knowledge and skills as they are applied. This makes students acknowledge their mistakes and figure out how they can correct them.

## ■ Giving effective feedback

Teachers should immediately give feedback to students for work done. Such feedback acts as an incentive or driver of improvement, as the students quickly know what they have not done well or where there is a need for improvement. Some students or teachers often do not understand how feedback brings about the best in terms of effort of students; therefore, teachers should be mandated to give early feedback (Bailey & Garner 2010; Orrell 2006). As such, effective feedback is the best weapon for improving students in a learning environment. Literature has shown that feedback is powerful because it allows students to understand where they have understood the concepts and where they have not, as well as the areas that require improvements or corrections (Mintrom 2014).

## ■ Creating transparency

In HEIs, having both international and local students is a proper way of establishing the cross-pollination of ideas from different countries, thereby

creating a diversified knowledge base. Learners can educate each other from their different experiences, thereby creating transparency. Transparency can also be created by making students read and understand the work of others, especially those in the same class or course (Parker 2009). This may allow them to support and learn from one another, as they would be coming from different environments. In addition, both international and local senior academics and practitioners can promote transparency by sharing materials and work attributes.

## ■ Scaffolding teamwork

Teamwork in whatever students do, such as in courses or socialising, is valuable, as it provides learning opportunities for students from their peers. This is considered an informal way of learning from each other. Teamwork builds support networks and emotional bonds among students and helps in the development of skills (Drake, Goldsmith & Strachan 2006). Teamwork enhances a culture of excellence in the students; hence the institution may produce high-quality students and high-quality products and services.

## ■ Ethics and values in higher educational institutions' internationalisation

Cultural excellence entails good norms, values and ethics. Norms, values and ethics underpin any human relationship for any organisation. These influence the basis of every action that is considered acceptable or unacceptable from a moral perspective (Ismaili et al. 2011). Internationalisation is considered a way of inducing different norms, values and ethics in HEIs, as a multiplicity of these come from different countries and students. Such norms and values have an effect on the teaching and learning environment for both students and teachers, as well as on how research is conducted.

Internationalised HEIs may encounter ethical questions and conflicts regarding students coming from backgrounds with different standards, learning approaches, communication systems, feedback determination and grading systems (OECD 2012). While some behaviours are ethically acceptable in some countries, some might be unacceptable in others. This might result in different ways of defining norms and ethical standards in HEIs. In an attempt to solve these challenges, HEIs are encouraged to adopt frameworks of principles of corporate governance, which are applicable to the countries as they are the laws governing the country and their institutions. According to OECD (2012b), such adoption and affirmation preserve the integrity of HEIs. Other guidelines that might be of importance are those specified in different guidelines like the UNESCO or OECD guidelines.

## ■ Leadership and strategic vision in higher educational institutions internationalised

It is noted from the literature that leadership is the influential relationship between those being led and those leading toward a mutual goal. Davis (2003) defined leadership as the movement of an organisation through taking a direction that improves problem-solving, decision-making, being innovative, setting proper structures and enhancing quality. It is clear that leadership is a 'collaborative endeavour', that is, leadership is not about the leader themselves but about the relationship that exists between those being led and the leader. The main focus of leadership is sharing power, empowering and cooperating with others. The leader should focus on people and show interest in everyone. The leader must motivate and earn the trust of others.

Achievement of good governance depends on the type of leadership. These types are either participative, transformative, inspirational, transactional or distributed leadership (Gous 2003). A leader who is transformational is someone who motivates others by sharing a vision of the institution. The leader is able to delegate duties, monitor how subordinates are carrying out duties and inform them of what they are expected to do. The leader always learns from others, identifies the needs of those being led and shares power with others to achieve goals. The leader guides followers in confronting the status quo of the institution. This type of leadership is change-oriented.

Participative leadership is a style of leadership where the leader involves everyone in the activities of the organisation. Such a style of leadership involves the participation of everyone in decision-making, especially on things that influence how they work to achieve their goals (Diamond 2006). Such involvement makes people own what is being created and what affects them.

An inspirational leader is a leader who energises and creates a sense of direction and purpose for employees and excitement and momentum for change. Such a leader uses situational approaches and adopts different styles of leadership depending on the situation and what makes those being led perform. Thus, it is a leadership style that fits the situation at the right time.

A transactional leader is one concerned with work and productivity rather than changing the environment (Basham 2010; Connor 2004). This type of leader is more authoritarian; they want the objectives to be achieved, following specified guidelines. The leader does not appreciate others' creativity and resourcefulness or give others space to be creative (Connor 2004). Distributed leadership involves leading through others. Individuals with diverse skills that enable the achievement of goals are incorporated into decision-making. The leader is of the opinion that there are no individuals who know everything and that goals are achieved by involving everyone with the required skills.

This type of leadership has been associated with higher performance because of the collective sense of ownership and belonging to the organisation (Diamond, Halverson & Spillane 2004). Hence, this type of leadership results in better achievement of goals compared to the leader-dominated leadership types.

In some HEI systems, good leadership is a solution to organisational challenges (Boyett, Currie & Suhomlinova 2005:268). In HEIs, leadership is based on the governing body's expectations.

The quality of governance in HEI is a reflection of the quality of the leader. It is common for many individuals who occupy leadership positions in HEIs to be accomplished scholars, but many of them lack managerial skills, especially in developing countries, as appointments are based on political grounds (Reisberg 2010). In addition, many HEIs rely heavily on the vision of a single individual at the helm of the institution (vice-chancellor, rector or principal) who is the super-leader and is politically connected (Bolden, Petrov & Gosling 2008). Higher educational institutions' leaders must communicate effectively with different stakeholders (lecturers, students and external stakeholders). Some of the top leaders are associated with poor management, occasional misuse of resources or even personalising institution resources.

It is critical to note that strategic vision leadership is a must for HEIs in the current environment. The ordinary traditional manager who is focused on efficiency and effectiveness within a short-term perspective is not enough anymore. Higher educational institutions must develop decision-making systems oriented towards the future. Higher educational institutions should develop two thinking systems: one that is for the operatives and the other for strategy. The operational thinking system should be one devoted to short-term decision-making, routine and well-structured problem-solving. Strategic thinking should be for long-term decision-making and solving emergent and incompletely structured problems. In this case, short-term decision-making is embedded into the management process. Strategic and operational thinking systems should interact continuously and adjust their range of problems according to the specifics of the university and its mission.

Leadership styles applicable to HEIs depend on the style or model of governance, sponsors or funders and the influence of government in such institutions. State or government-controlled institutions tend to follow autocratic leadership styles, while market-oriented institutions tend to follow transactional leadership styles.

## ■ Governance and leadership for higher educational institutions' internationalisation

Governance is always considered as leadership or vice versa (World Bank 2000). However, leadership is about how the leader manages the people

behind them and influences them to achieve goals. Thus, leadership is part of governance in HEIs because it provides ways of managing the institution. Governance puts structures in place in terms of policies, goals and procedures.

Leadership plays an important role in (effective) governance as it provides guidance through giving direction and promoting clarity of roles and responsibilities between the leader and the team (Brookes 2006; Craig 2005; National College for School Leadership [NCSL] 2008b). On the other hand, governance supports leadership by setting proper arrangements and frameworks in HEIs. Such frameworks provide platforms for ensuring that the right goals and procedures are met. Therefore, the right person must be appointed by the governing body to make the right decisions for the institution. Effective leaders are creative guarantors of good governance (NCSL 2008b).

## ■ Good governance for higher educational institutions' internationalisation

Good governance and leadership are attributes that have a bearing on HEI success. Thus, they enable HEIs to carry out their mandates and achieve the institutions' visions and goals. Therefore, good governance is important for HEI performance. Good governance simply means the most effective way of making decisions in institutions. It is about crafting and implementing proper decisions (Santiso 2001; World Bank 2000a). Good governance entails proper administration of HEIs.

## ■ Overall characteristics of good governance

The following are the profiled overall good governance characteristics:

1. **Participation:** Good governance entails that all stakeholders participate in decision-making and their that there interests are represented through the proper channels (Santiso 2001). Any HEI stakeholder whose interest is affected is free to report to decision-makers as part of the decision-making process (World Bank 2000). Participation of members is mostly through meetings or delegated responsibility from leaders. Leaders delegate responsibility when the institution is large, as they cannot oversee every aspect of the institution.
2. **Consensus orientation:** Good governance should consider the differing interests of stakeholders on policies and procedures and how the effect of these is understood and appreciated (World Bank 2000).
3. **Accountability:** Good governance entails that decision-makers are answerable to institution stakeholders. Accountability means that leaders are obliged to report or be answerable to the institution stakeholders they represent, in this case, governing body, government, minister or owners (World Bank 1994, 2000).

4. **Transparency:** Transparency refers to doing the processes in a manner so that every stakeholder can easily follow what the institution is doing without problems. It refers to following procedures and processes in line with set standards and reporting to relevant stakeholders (World Bank 2000). Transparency is said to exist in HEIs if stakeholders are able to clearly follow the processes and see how and why a decision was made without problems. The leader reports every stage and process followed clearly. Where there is transparency, enough information is provided to understand how the processes are going and it is more easily monitored by stakeholders.
5. **Responsive:** Responsiveness ensures that the stakeholders' needs are addressed at the right time, in the right manner and for the right cause (World Bank 2000).
6. **Effective and efficient:** This means that institutions' processes meet the needs of the organisation and make the best use of available organisation resources (World Bank 2000).
7. **Equity and inclusivity:** This means stakeholders feel that decisions are made fairly for everyone, and everyone is satisfied with that decision. Inclusivity means including all relevant stakeholders in decision-making who have an interest in the institution, whether directly or indirectly (World Bank 2000). Thus, every interested stakeholder should be included and their views considered.
8. **Adherence to the rule of law:** Good governance entails that there is fairness and impartiality in enforcing the legal frameworks, especially in line with laws on human rights (World Bank 2000).

Attention to governance issues is important in many HEIs, with special attention to African institutions that are highly influenced by the political environment (Petlane 2009). Such institutions have been affected by those common challenges of management problems associated with the ruling party. Leaders' decision-making is influenced by those in political positions through national visions. Leaders have to follow these visions in terms of any developments on HEIs. As such, the internal governance of HEIs is also compromised (Petlane 2009; Sifuna 2013).

## ■ Principles and tools of governance in higher educational institutions' internationalisation

The principles and tools of governance are explained in the following sub-sections

### ■ Principles of governance in internationalised higher educational institutions

Principles of good governance in HEIs usually entail meritocratic selection, academic freedom of opinion, shared governance, clear responsibilities,

meritocratic selection, financial stability and accountability. Not all of these principles apply with equal force to all institutions. For internationalised HEIs, it is critical to note that these principles and tools may also be influenced by political, academic and legal forces in different countries and governments as they follow different models of governance structures. External and internal stakeholders' engagement in decision-making may also have a bearing in the achievement of good governance for internationalised HEIs.

### □ Academic freedom

Academic freedom is the right of scholars to do their work (research, teach and publish) without restraints from the institution's stakeholders (governing body, politicians, trustees, owners, etc.) (Kauffeldt 2009; Mulinge & Arasa 2017). Academic freedom promotes the quality of education delivered by lectures and the quality of the institution too. Such freedom is common in developed nations and in highly democratic countries as they allow students to express their views and there is no fear of opposition political parties. The absence of academic freedom is more common in developing countries and in government or state-controlled institutions and in countries where there is no democracy, as HEIs are always associated with opposition parties.

### □ Shared governance

It is also referred to as cooperative governance. It involves decision-making through various stakeholders' representation. It allows certain groups of stakeholders to exercise primary responsibility for decision-making. The principle of shared governance came out of the recognition that stakeholders' participation in decision-making improves the level of commitment by employees and the time invested by the employee in institutional business. Such commitment to the institution improves institution productivity and resource generation through research and income generation activities (OECD 2004). In HEI's settings, shared governance means that all stakeholders (i.e. leaders, students and governing bodies) participate in decision-making that influences the institution (Kauffeldt 2009). This, therefore, ensures that everyone has a voice in decisions that influence them (Task Force on Higher Education and Society 2000).

The concept of shared governance in decision-making is a concept that is now being embraced by HEIs worldwide (Mulinge & Arasa 2017). The main reason is its ability to bolster the inclusivity of stakeholders in decision-making and high productivity levels of institutions staff and students, as everyone is aware of the goals to be achieved as everyone was involved in decision-making (Mulinge & Arasa 2017). Thus, this principle is the opposite of the old traditional model that mainly focused on the leader making decisions, which is more common in state-owned institutions. In such institutions, the government regulates and controls everything, including policies, procedures,

rules and regulations. However, the principle has its own challenges, for example, people with some interest in something in the HEI might not participate in a certain decision-making meeting or might participate in favour of their own decision (Kauffeldt 2009; Obondo 2000). In addition, HEIs tend to have an institutional culture that may hinder openness and indirectly influence discussions and progress in departments, faculties and institutions at large (Mulinge & Arasa 2017). In such cases, stakeholders usually decide not to be part of the decision-making process and choose not to embrace any decision made, whether it is beneficial or not, just for the sake of not wanting to embrace such decisions. Many HEIs in Africa have tried to shift from traditional to new models where the practices are still in the traditional governance because of government controls (Eurydice 2008).

### □ **Clear rights and responsibilities**

It is common practice that every HEI should have its own rights and responsibilities that are clear to stakeholders. To achieve good governance, HEIs should have mutually agreed on rights and responsibilities for all stakeholders (Kauffeldt 2009). Good governance results in both implicit and explicit contracts existing between HEIs and stakeholders in order to enforce rights and responsibilities. External stakeholders (such as the government, sponsors, etc.) and internal stakeholders (such as departments, faculty administrators and students) are expected to have a clear grasp of the rights and responsibilities either at the departmental or the faculty level, as these influence their day-to-day decision-making in the institution. In most HEIs, such rights and regulations are reflected in students' textbooks or prospectuses, faculty regulations, departmental regulations, institutional textbooks, institutional laws and charters. In HEIs, rights and responsibilities are necessary conditions for effective institutional operations, thereby achieving improved productivity and resource generation without compromising the function of the HEI. Even if HEIs have drafted and passed legislation through students' textbooks or prospectuses, faculty regulations, departmental regulations, institutional textbooks, institutional laws and charters to delineate stakeholder rights and responsibilities, sometimes institutions may implement something outside these known regulations. This creates uncertainty in the institution, and hence some of the stakeholders may lack direction in terms of what to follow and what not (Kauffeldt 2009). Most of the internal stakeholders' rights and responsibilities are not adequately formalised.

### □ **Meritocratic selection**

This is about merit systems in the HEI. Each HEI, through following the governing body framework, should clearly define a merit system that is

followed in the selection and promotion of staff, administrators and students for the institutions to function effectively (Kauffeldt 2009). Institutions without a clear merit system are associated with practices such as nepotism, favouritism and intimidation, as everything depends on what the leader says; therefore, the leader determines the selection and advancement of staff (Mulinge & Arasa 2017). In addition, in such HEIs, decision-making is mostly determined by the powers of politicians and the legal powers of the governing body or minister. Such powers may stand in the way of deserving members of staff that may cause frustration, hence affecting a culture of excellence in the institution. Failure to recognise such merit has a bearing on the research output of the institution. Studies have also shown that the lack of implementation of proper meritocratic selection principles in HEIs has been caused by political influence in most African countries, as what politicians say is what will be followed. In addition, there is also a culture of 'them and us', as some promoted members of staff have the political power to maintain their own league. This ends up negatively affecting those others who want to join such leagues; for example, senior lecturer, associate professor or professorship leagues (Kauffeldt 2009). In addition, in many African countries, political interference in HEIs is high as leaders fear that political parties may emanate from such institutions. As such, the implementation of meritocratic selection is compromised as the promotion of staff is regarded as a threat in some instances, especially if the member of staff is of high regard in society. Such developments may even extend to the admission of students and underserving students may end up being enrolled in HEIs (Kauffeldt 2009).

## □ Financial stability

Financial stability means the ability of the institutions to meet their obligations. It is imperative for HEIs to function efficiently (Kauffeldt 2009). Such provisions enable HEIs to deliver quality and relevant education without challenges (Mulinge & Arasa 2017). However, such provision is lacking in many HEIs, especially those run and controlled by governments, because of lack of funding. In addition, financial stability is also negatively affected by turbulent financial conditions, as resources available are limited because of financial repression, recessions, competing demands of financial resources and lack of resources, especially for public institutions (Munene 2016; Mutula 2002; Nganga 2014; Nyangau 2014). Higher education institutions that rely heavily on donations from abroad are also negatively affected as a result of financial challenges being experienced by the sources of donations. Many HEIs have expanded their enrolments as a way of boosting revenues, especially in public institutions without a corresponding growth in the funding for the required infrastructure to accommodate such enrolments, which has caused other challenges of compromising the quality of the education system in the institutions. Limited funding has resulted in some institutions developing

some entrepreneurial practices to expand their revenue base (Munene 2016; Mutula 2002; Nganga 2014; Nyangau 2014).

## □ **Accountability**

All HEIs, regardless of being public or private, have to be accountable to all respective stakeholders. In such a case, HEIs should periodically report their actions to the authorities such that their successes or failures are examined (Mulinge & Arasa 2017). Accountability is important to monitor the performance of the institution (Brookes 2006; Department for Education and Skills 2006; Thompson & Uyeda 2004). By so doing, this ensures that the HEIs' decisions are communicated to agencies and stakeholders. Clearly agreed rights and responsibilities should guide interactions between HEIs and stakeholders. There is also a need to balance autonomy and accountability. Some governments set up commissions to instil a sense of accountability to regulate HE. However, it is noted that state, political and legal interference leaves little space for accountability by HEIs.

## ■ **Tools of achieving good governance in higher educational institutions' internationalisation**

For HEIs to achieve good governance, they must have the following tools:

### □ **Faculty councils and senates**

These are representative boards in HEIs represented by faculty members that make decisions about the faculty, especially for academic matters such as admission, degree programmes, curriculum review and specific requirements. Having such boards reflects the delegation of power by the leader, and this promotes the principle of shared governance. Thus, there is a bottom-up approach in decision-making other than merely a top-down one. Such committees or boards are critical as they feed into the HEI boards in terms of overall decision-making. They help insulate HEIs from excessive external interference as they help to beef up information to external stakeholders and improve the accountability of the university to external stakeholders.

### □ **The governing council**

This is the overall management board in any HEI. The council is responsible for the development of the strategic plan and vision of the HEI. The strategic plan gives the long-term plan for the institution. The governing council also monitors the implementation of the strategic plan. The governing council ensures that the HEI is accountable, follows the rules and regulations and has clear roles.

## □ Institutional charters

In most governments or states, HEIs are established by charters. Charters establish the legal basis of an HEI's existence and provide the mandate for the existence of the institution. Charters may also specify some internal rules of operation too.

## □ Faculty textbooks

These are textbooks that provide guidance to the faculty procedures in terms of the constitution of meetings, representation in meetings, the conduct of teaching and research and how to monitor departments and their students. They provide internal governance by providing articulate faculty rights and responsibilities. As they are for the operatives, such textbooks must be elaborated in explanations for them to be easily interpreted by members and timeously updated.

## □ Students' textbooks

The main purpose of these textbooks is to regulate students' academic lives in the HEI. They provide guidance to students in terms of regulations of programmes, reporting channels, courses on offer and for which level, credits required, fee structure and exemptions. Such textbooks may differ depending on the programmes in which the students are enrolled; for example, hard sciences students require more than soft science students.

## □ Visiting committees and accreditation

Visiting committees and HEI accreditation are forms of performance measurement checks to ascertain whether the institution maintains the mandate and maintains high-quality academic standards (Task Force on Higher Education and Society 2000). Visiting committees perform regular checks on the institution. These are regular audits and evaluations of academic services by independent academics from local and international academic institutions. Such committees are important in fostering excellence in HEIs. They provide an assessment of programmes, standard operating procedures and academic staff qualifications that are necessary to improve the education quality of the institution. In most cases, the exercise is conducted by the local higher education governing body. Accreditation is a process of affiliating an institution's programmes to international boards for the programmes to be internationally accepted. It improves the international exposure and credibility of the HEIs, and this helps to attract foreign students. This helps HEIs attract more students, even international ones, which may help the faculty and institution attract more resources and revenues. In most countries, there is more internal accreditation that involves registering all the programmes to

the governing body for approval before launching as a quality control measure (Task Force on Higher Education and Society 2000).

### **□ Budget practices and financial management committee**

Every HEI should have a functioning budget and financial management committee to check on the financial affairs. Such committees reveal the transparency of the institution in running its financial affairs. This encourages flexibility, financial stability and transparency, thereby strengthening the institution's culture of good governance.

### **□ Data for decision-making**

Data are information available for use, though sometimes in an unorganised manner. In order to improve decision-making, teaching and research by any HEI, there is a need to have sufficient data to process (Task Force on Higher Education and Society 2000). Data analytics have become critical in most HEIs as decisions are anchored on available data. Such decisions are likely to be well-informed and acceptable to stakeholders. This reduces misunderstandings between the HEIs and the stakeholders. This also improves transparency, accountability and honesty in HEIs. Such processes that are informed by available good data help the institution to achieve good governance practices.

### **□ Leadership placement**

The style of coming up with the institution leader influences good governance. It is critical to have good leadership in HEIs. Such leaders should be appointed based on merit, as it is important to have a leader who gives good guidance and direction to the institution. A good leader will help the institution achieve its intended goals. A leader should be chosen based on a set academic criterion and should go through the normal engagement process. By so doing, this promotes shared governance. Having elected leaders, however, often results in weak leadership as the leader would be more responsive to the politician that prejudiced the HEI status quo (Task Force on Higher Education and Society 2000). Also, in other instances, appointed leaders have been seen to make unpopular decisions where constructive decisions are required. They often lack support from members of staff which compromise the shared governance principle. Regardless of the style, there is a need to have an in-depth consultation with all stakeholders in order to have a good leader.

### **□ Faculty appointments and promotion decisions**

Appointments and promotion of staff should emanate from the specific departments or faculties as they are operatives on the ground. Good

appointments in the faculty are critical as it influences the quality of teaching and research. Such appointments should not be compromised by nepotism and or inbreeding. Therefore, appointments should be based on merit. Promotion is the process of moving from one level to another level in the same institution. In the academic context, the ranks are almost the same: namely, junior lecturer, lecturer, senior lecturer, associate professor and full professor. Therefore, promotion is moving from one grade to the other based on meeting merit requirements. Openness in promotion procedures, following set guidelines and regulations, helps improve transparency in faculties and departments.

### □ Security of employment

Staff always expect security of employment for their jobs. Staff should be given specific contracts that specify the conditions of service and time period of employment. In addition, academic staff should be allowed to exercise academic freedom while being protected by the institution and the law. Exercising academic freedom entails the achievement of good governance in the institution. This is highly dependent on academic freedom in academia. Having such job security reduces turnover among talented academics.

## ■ Autonomy in higher educational institutions' internationalisation

Autonomy means self-governing in terms of principles adopted and decisions made with no interference from outside stakeholders or powers (Warwick 1992). An autonomous HEI is able to make good decisions with regard to the operations of the institution. Autonomy is critical in improving the performance of HEIs as it enhances the quality of academics. Research has shown that institutions with greater autonomy are always better performers. Major issues affecting autonomy for HEIs are categorised (Bandyopadhyay 2018) either as regulations, restrictions and limitations or as operational decision-making.

It is often difficult to achieve autonomy in state-funded institutions or government-owned institutions. This is because of the fact that the government influences several decisions in the institutions, for example, the appointment of the leader, students' enrolment, nature of programmes, introduction of new programmes, etc. Mulinge and Arasa (2017) note that autonomous concerns arise when political interferences confront the institution. This usually changes the direction of all decisions as they will be re-aligned to political policies.

## ■ Governance challenges of higher educational institutions' internationalisation

Despite the drive to achieve good governance for most HEIs, the aspect is still a challenge to some continents and developing countries. In Africa, for

example, most HEIs are facing a governance crisis (Mulinge & Arasa 2017). Governance crises manifest from several conflicts that may arise in the institution. Such conflicts usually arise between leadership academia, students and academia and leadership and external stakeholders. Conflicts are always viewed negatively because they disrupt the achievement of institutional goals. However, some conflicts are good for adherence to good governance by the institution. Conflicts are also a result of political interference. This disrupts good governance in the institution, as all decisions made are based on political drive and the need to satisfy political leaders (Kauffeldt 2009).

## ■ Conclusion

Because of diversity in HEIs' structure and ownership in many countries, HEIs usually do not have the same academic excellence drive. Differences in ownership and structures result in different levels of adherence to good governance. The internationalisation of HEIs may cause a challenge in achieving good governance because of the different norms, values and ethics of diversified students. Higher educational internationalisation through massification, globalisation and explosive Internet development has brought challenges in HEI governance. Higher education institutions' governance is the structural and functional framework that underpins the decision-making of academic leaders.

Higher education institutions' governance requires academic freedom, full institution autonomy and new instruments for public accountability and quality assurance. Good leadership with proper strategic thinking is a dynamic capability of the HEI that also depends directly on its degree of autonomy. If the HEI autonomy is low, major decisions are made at the Ministry of Education level, and then the institutional governance is reactive to government demands. It is difficult to talk about good HEIs governance in countries where there are very centralised education systems coordinated by the government's Ministry of Education and where HEIs are reactive and executive entities.

# Internationalisations and financial sustainability in higher education institutions

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## ■ Introduction

It is clear that financial and environmental dynamics are causing turbulence and instabilities in higher education institutions (HEIs) like in any other organisation. For many years, HEIs' major source of funding has been government (grants and support), industry stakeholders (grants and research funds) and fees. However, because of changes in the economic landscape, many governments have been facing financial constraints. Many HEIs are facing challenges that are putting financial performance and sustainability under pressure. The ability to strengthen HEIs through internationalisation has provided additional sources of income, which is necessary for the competitiveness of HEIs. In many countries, this effort is also in line with many governments in transforming HEIs to become international higher learning hubs of excellence.

Financial sustainability simply means financial independence, meaning the ability to identify total cost against income sources as specified in the

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financial theory. Therefore, it means that HEIs should meet their current and future obligations without any challenges for them to be HEIs of the 21st century. Currently, HEIs in different countries of different structures, ownership and level of operations are facing financial sustainability challenges because of the rising cost of education provision and limited financial resources because of limited sources of funding (Lapovsky 2014). Therefore, the main aim of the financial sustainability aspect in HEIs is to ensure that such institutions have sufficient financial resources to meet goals and research activities. Hence, financial sustainability is important for HEIs as it provides the impetus for existence. The continuity of HEIs in any country is a major part of their financial sustainability, as it results in the institution meeting day-to-day financial needs that are essential for achieving the institutional goals. As such, HEIs with stable financial resources from stable income sources are able to sustain and fulfil their desired goals of providing quality education and maximising research output (Sazonov et al. 2015).

Some HEIs have adopted internationalisation as a strategy to diversify incomes, but this has come with additional costs because of increased demands and costs from international students. Higher education institutions' internationalisation has become a new way of raising funds for most HEIs as it guarantees a stable income source for a specified period. Attracting foreign students is now one of the key considerations of the international offices or communication and international relations offices in most HEIs. Neema-Abooki and Kamanzi (2019) revealed that many quality HEIs are earning money from exporting education through either international representation (international offices or campuses), cross-border students, online export of education systems and services and physical provision of the same services as in local universities through international collaborations. Thus, internationalisation is also referred to as the provision of a local higher education (HE) system to students in another country through face-to-face tuition where lecturers have to be moved across borders or students, whichever way (OECD 2012). Online and distance learning have also been increasing in popularity because of reduced cost elements and direct contact, especially with online learning.

## ■ What is financial sustainability?

According to Ng'ang'a and Kibati (2016), financial sustainability is the ability to meet expenditures or costs from annual budgets without constraints. Hence, financial sustainability is about ensuring that the HEIs continue to exist for a long time (Leon 2001). In the context of HEIs, financial sustainability implies the ability of the institution to generate revenue that is more than the operating cost involved in education provision. In simple terms, it means revenue or income sources of the institution are more than the cost required to cater for overheads in the form of salaries or wages, staff allowances, procurement of educational materials and services and any other overheads incurred in the

management of the institution. Therefore, a financially sustainable institution is one that can generate enough revenue to meet its cost.

Savitskaya (2003) defines financial sustainability as the ability of HEI to balance assets and liabilities. This is critical for any institution as it makes the existence of HEIs without insolvency problems, given the dynamic and volatile environments across the world. Institutions that can achieve this status are considered sound and stable and are able to attract international students and researchers. As such, financial sustainability ensures that the HEI is able to discharge its duties efficiently from its available income sources. Accordingly, there are several ways of achieving financial sustainability that is either cost-based or revenue-based. The major way of achieving a cost-based approach is to focus on reducing the costs of doing business by HEI. Such a strategy may include using low-cost education delivery methods, such as online or distance learning, which may result in a massive delivery of service by one person for a large number of students at the same time. Other cost reduction strategies that can be adopted may include reducing enrolment and using cost models that make the institution cover cost and remain with reserves. On the other hand, the revenue-based approach involves expanding sources of revenue generation. This may include attracting a diversified student base, expanding networks of donors and attracting research grants. In addition, for HEIs to be financially sustainable through a revenue-based approach, it is required for them to develop overall capacity, both technical and managerial. Therefore, as noted by Mugo and Ngahu (2015), it is fundamental for HEI to be financially sustainable both in the short and long term.

## ■ Financial sustainability and nature of higher education institution

Higher education institutions may be classified into two classes in terms of financial sustainability issues, that is, for-profit HEIs and traditional public HEIs. Higher education institutions that are for-profit are more of private institutions that have the motive of profit maximising. Their aim is to satisfy their shareholders' or owners' wealth and not mainly to provide education services. That is, they are more concerned about increasing wealth to their shareholders than providing education services. Education service provision is always considered to be secondary. Such institutions are listed on the stock exchange, where their shares are publicly traded, with stockholders seeking maximisation of the share price. Institutions of this nature came into existence recently with the aim of providing education for those with the capacity to pay, even if they are intellectually not sharp but require HEI's qualifications for them to run their businesses. They are there to fill the gap that is left by public institutions in terms of education provision. These institutions are more likely to achieve financial sustainability. They mostly include privately owned and some church-owned HEIs. These institutions also attract many students from

abroad, as they emphasise more on the ability to pay than academic qualifications at the secondary school level.

Public HEIs are those established to provide education or training as a public service to the nation or other nations. They are mostly owned by the government, with a few being owned by private individuals. They rely heavily on government or church support. Private sector support mainly comes through research funding for specific research or private sector scholarship to deserving or less privileged students. More so, they focus strongly on the quality of students' education and aim to provide all kinds of services to facilitate students' success. These institutions struggle to achieve financial sustainability. These only benefit from internationalisation as they have many years of experience and lean on a good brand image.

Both for-profit and public HEIs provide HE services for school leavers. Smith et al. (2002) stressed that in the past, regardless of the nature of the institution, the objective of HEIs was to provide education or training to students that are imparting knowledge, skills and training. This prepares the students with required skills to be able to think independently and improve production and productivity in the industry. Therefore, they were considered a factory of skills and knowledge. However, the factory of skills and workers concept is no longer applied as HEIs are now considered sources of research, innovation and industrialisation. This new trend has shifted HEIs to a new approach to the ability of graduates to innovate and enterprise. Graduates should now be able to create employment for themselves and for others and not be employed only. Their established businesses should be able to produce more goods and services, some of which can be exported. However, financial stability has been threatened by a change in the financial landscape in different countries, new trends and approaches in HEI in both for-profit and traditional public HE. The drive for many HEIs is now self-funded with less or no government support. As a result, HEI internationalisation has been considered one of the approaches to achieving financial sustainability.

## ■ Theories of financial sustainability

This section discusses theories of financial sustainability. Included in the discussion are the pecking order theory, resource-based view and financial sustainability model.

### ■ Pecking order theory of capital structure

The theory was put forward by Myers and Mailuf (1984) and is premised on the hypothesis that there is a hierarchy in all forms of financing. The theory is based on the fact that, given internal and external funding sources, most firms prefer internal funding over external funding. This preference is mostly based

on the ability of the institution to control costs. Pecking order theory is also based on the concept of asymmetric information that exists in the market. Accordingly, investors are always said to have weaker information than managers of institutions (Horvatinovic & Orsag 2018). Information sent to the public by managers is sometimes misleading, for example, information about retained earnings, which is regarded as the best signal by the public, might be jeopardised in order to attract the interest of the public. In addition, acquiring debt also carries different signals, positive or negative. Positive signals are if the institution is able to acquire debt as a result of valuable guarantees from the government or acts of such HEI, and negative signals are if those are misinterpreted as signs of mismanagement and future disaster of such HEI.

However, if external funding is used, the HEI prefers the safety and security for the institution first, hence considerations of debt over equity. Thus, the theory posits that the more asymmetric the information, the higher the cost of financing. The origin of the theory is mainly based on the notion and perception of avoiding losing control to external actors by the founders or entrepreneurs (Silver, Berggren & Fili 2016). Most HEIs consider this aspect seriously, as they fear losing their grip on external stakeholders that may affect them in delivering their services.

## ■ The resource-based view

The central focus of the resource-based view (RBV) is the exploitation of institutional resources to gain a competitive advantage. The RBV alleged that an institution competes based on unique resources that are rare, valuable and difficult to substitute. The RBV provides an overview of how an institution's resources and capabilities can make it achieve a competitive advantage (Terjesena et al. 2011). Capabilities are commonly described as complex bundles of skills and amassed knowledge that allow institutions to organise activities and make use of their assets.

Barney (1991) considers that all the institutions in the same sector own the same resources. Collis (1991) concurs with these assertions and further argues that institutions in the same sector have different resources and that these resources are not perfectly exchangeable. The RBV theory is therefore seen as suitable when considering aspects of the business strategy process because it attempts to find sources of sustained competitive advantage within businesses.

The RBV is premised on the strength that the survival of institutions and achieving competitive advantage occurs not from imitating other institutions but from doing something unique and different from other institutions (Grant 2013). An institution's resources in this context can include, for example, expertise, copyrights and the institution's reputation, corporate image and culture, technological knowledge, the capabilities of the employees and the

management skills that can be used to gain a cost or differentiation advantage. At the same time, the capabilities of the institution will define, for instance, how fast a product/programme is delivered to customers better than how competitors do it. As a result, an institution can develop its business strategy by organising its assets and capabilities to position itself. In the same vein, the strategy pursued by each institution will depend on the resources they possess. Therefore, the strategy chosen by an institution should support the intangible resources of that institution that provide a greater factor of distinction from others as such resources are unique to that specific firm.

Resources are defined as the assets available within the institution that are transformed to create valuable outputs (Morgan 2011). These valuable outputs will serve as bases from which an institution's competitive advantage will be built (Barney 1991). Resources provide the inputs for the institutions' strategies (Morris et al. 2006). These resources will make an institution unique in the industry as it does not have strategic equivalent substitutes. When it comes to financial strategy, RBV posits that the appropriate deployment of resources enhances the effective formulation of strategy.

The RBV theory is important for HEIs that are operating in an increasingly ever-changing operating environment. The theory provides insight into what HEIs should be doing to ensure that their institutions survive and their market share grows despite the volatile environment, achieving financial sustainability. However, although the RBV theory provides an insight into the internal factors that affect the institution's performance and an understanding of reasons for the failure or success of the institution, it completely ignores the external environment and interaction with competitors and other stakeholders. The RBV also does not give a complete image of the business strategy. As a result, the dynamic capability of an institution has emerged as a crucial model of competitive advantage that is both focused on conditions of environmental change and also as a strategic tool used by institutions facing a rapidly changing environment.

## ■ Financial sustainability model

The model was propounded by Jackson and McConnell (1980) based on classical macroeconomic theory. In terms of the theory, HEI financial sustainability is assessed or modelled based on the marginal-revenue or marginal-cost approach. Thus, to determine stability, each HEI has to establish the additional revenue or cost of enrolling an additional student or of engaging in additional research. In this case, the additional revenue is the marginal revenue (MR), and the additional cost is the marginal cost (MC). From microeconomic theory, any prevailing situation that shows MR being above MC is favourable and will result in the financial sustainability of the HEI. On the other hand, a situation that shows MC being greater than MR is unfavourable

and results in the financial instability of the HEI. The equilibrium of the two ( $MR = MC$ ) always provides the minimum decision-making in terms of financial sustainability, as the HEI neither makes a profit nor a loss. It is actually considered the profit-maximising condition in classical microeconomics.

From MR and MC consideration, the HEI is said to charge a minimum fee that is at the equilibrium of the two for the institution to remain financially stable. Any fee charge below the equilibrium condition will result in the institution not being financially stable. Under such conditions, the HEI will charge a fee above the minimum average variable cost (AVC) in the short run. For any HEI, the variable cost includes costs such as labour and materials required to provide the education service (Jackson & McConnell 1980). From economic theory, if MR falls short of the minimum AVC, it is advisable that the institution will minimise its losses by shutting down operations. This is because the number of students enrolled cannot cover the cost of running the HEI. As such, it is considered financially unstable (Jackson & McConnell 1980).

However, the application of such a theory is more for private or for-profit institutions. It is clear that it reflects decision-making in HEIs, but there are other decisions for such institutions that are made not based on financial sustainability but on the need to offer education services to the populace, which is common with public institutions.

## ■ Income generation by internationalised higher education institutions and financial sustainability

Traditionally, HEIs' source of funding has been the government, founder churches or shareholders and fees (Teferra 2013; World Bank 2010). In most developing countries, it is common that student fees have been the major financial contributions to HEI financial resources, with little coming from government funding (OECD 2015; Oketch 2016). Most HEIs are based on international students, as they pay full fees in foreign currency. Some HEIs have opened campuses in other countries as a way of boosting income generation by offering degrees. This is regarded as a strategic way of attracting foreign students to enrol with international universities.

Diversification of funding sources is critical as it describes a number of funding activities that are required. Such diversity may come from sources such as attracting research funds, donors or income-generating activities from HEI industrialisation efforts and internationalisation of programmes. As most HEIs are faced with limited government funding and subsidies, HEIs should engage in aggressive marketing and pursue alternative revenue streams (Rohayati, Najdi & Williamson 2016).

Advocates of internationalisations proposed that HEI can achieve sustainability by offering education services outside their national boundaries. This is evidenced by the research carried out by OECD (2015) in 2013, which spells out a significant number of students studying outside their country. Countries such as the UK Malaysia, Australia, New Zealand and Switzerland were countries of the most preferred for many international students. Most of these countries are assumed to have better education systems, and the language barrier is not too problematic as some are mainly English-speaking. Of the international students, Asia represented 53% of the enrolment worldwide, the bulk being Chinese citizens. In most HEIs, most international students' enrolments are significantly on higher or advanced levels of tertiary education than lower levels.

Sources of income generation for HEIs include the internationalisation of education services, the sale of institutional goods and services (wares and software programmes), intellectual property (IP) and income generation through corporate alliances (Neema-Abooki & Kamanzi 2019).

## ■ Contributions to a trust or endowment fund

This involves getting funding as gifts, either in the form of money or property that can be used for income generation for an HEI. Such gifts usually come in the form of funds for scholarships and funds or equipment for research. If it comes in the form of an endowed asset, such assets should be kept intact and should only be used for income generation as specified in the agreement. Any misuse of assets may attract withdrawal of the assets or termination of the agreement.

## ■ Fundraising for institution building or operations

Fundraising is the practice of securing assets and resources from targeted sponsors to support HEIs in providing education services (AFP 2003). This is, in actual fact, where HEI would seek those generous individuals, corporations or agencies to donate money, equipment or services that support the provision of education services (Frølich, Schmidt & Rosa 2010; Thelin & Trollinger 2014). Such donations may result in increased financial resources, reduced costs of acquiring equipment and the cost of providing education services by HEIs (Frølich et al. 2010). This may result in HEIs moving towards financial sustainability (Chan 2016). In today's world, fundraising is now critical for HEIs as it results in increasing income levels or a reduction in operating costs (Speck 2010).

## ■ Internationalisation of services

One of the emerging ways of raising funds by HEIs is trade in education with foreign sources. Neema-Abooki and Kamanzi (2019) note that many

international HEIs are earning money through exporting education services. Such exportation of education services is being enhanced through a number of models such as cross-border channels, online, self-study modular systems and distance learning. The OECD (2012) added that cross-border education is achieved through the direct or indirect movement of students or academics, international representative offices or campuses, online distribution systems and modular distance learning. Internationalisation is common as foreign students always pay higher fees in foreign currency, which is always more than local ones depending on the international popularity of the HEIs and the country (UNESCO 2011, 2016). As consumers of such goods are foreign students, this increases the income of the host HEI (OECD 2014). If they are for-profit institutions, this means more direct revenues for the institution.

## ■ Income generation through the sale of goods and services

Many HEIs have developed some goods and services that they sell to students, the public or external stakeholders for a price or fee. The actual goods come in the form of branded (t-shirts, posters, ups, tracksuits, etc.) and services in the form of scientific tests (soil test, ore test, water test, etc.). Higher education institutions provide consultancy services to stakeholders. In addition, HEIs may offer short-term courses to a specific group of people or organisations during vacations, evenings or weekends. Higher education institutions may rent out an institution's premises during holidays or vacations as a way of local revenue generation.

## ■ Intellectual property

This includes innovation patents, copyrights and trademarks on software, goods and services that are created by HEI's intellectuals from their research and development (Kamanzi & Neema-Abooki 2018). These IPs can create revenues if they are registered as industries and other institutions make use of them by acquiring the software, producing goods designed by HEIs and from the provision of services with those IPs (Baker, Jayadev & Stiglitz 2017; Financier Worldwide Magazine 2014). These mainly come through research collaborations, contract research and consultancy work. The commercialisation of IP by HEIs is resembled by the creation of goods and services that would be available in the markets (Wellings 2008). Thus, IPs' commercialisation generates income for the HEI (Debackere & Veugelers 2005). The major source of these incomes is license fees (software), royalties (goods and services) and any other spin-off that the HEI can generate.

## ■ Income generation through corporate alliances

This involves partnerships that are created by the HEI with outside stakeholders and the corporate world. Such partnerships can generate income for the HEI through marketing, training and research. The partnerships may be aimed at producing products, services, models or even images. The outside or corporate world would be trampling the good brains coming out of HEIs. As such, the partnerships or alliances may become commercial activities that the HEI and the corporate world may benefit from whatever is being produced. Strategic alliance by partners comes through project funding, knowledge, expertise, manufacturing capability, capital equipment, products, distribution channels or IP. The income depends on the contract, which might be a percentage of goods sold, a specific amount for each unit sold or units of goods or a combination of any of these contract agreements (Kamanzi & Neema-Abooki 2018).

## ■ Income generation through financial management

Financial management involves using financial resources in the HEI to generate more revenue. Income generation through financial management comes from appropriate management or sweating of HEI's assets for financial benefit (Leon 2001). Such management may include investing in interest-bearing accounts for excess funds, renting out unused assets and disposing of unnecessary assets.

## ■ Cost structures of internationalised higher education institutions

One of the challenges involved with HEIs and the internationalisation of these institutions is the complexity of the costing approach. Most of the HEIs are income-oriented rather than cost oriented. This makes it difficult for them to manage the cost of providing the education service because of the lack of knowledge of cost items. As a result, HEIs struggle to cost some of the programmes or services. Higher education institutions' staff remuneration forms most of the current expenditure. Personnel costs within institutions range between 44% and 73%. These personnel costs comprise salaries and wages, associated costs or fringe benefits to employees comprising of bonus payments, holiday pay, pension contributions and other socially related benefits.

Some of the cost comes from providing the services themselves. This involves running a fleet of vehicles and buses and maintaining laboratories, students' educational consumables and payment of licenses for software, among other administrative costs. Some of these costs are difficult to actually pin to specific programmes at the institution.

## ■ Costing and fees determination method by internationalised higher education institutions

One major challenge for HEIs that emanates from the cost challenge is tuition the determination of fees for programmes. In most developing countries, tuition fee determination is a political issue as it is determined by parliamentarians. Their motive will be to provide education to the populace. As a result, fees for the locals may be set very low such that the majority can afford to pay. In addition, increased competition from international HEIs may drive fees downwards as local HEIs may want to remain afloat. This is against the increase in education costs and facilities maintenance (Jaafar et al. 2017). Several studies have determined the cost of producing a graduate, that is from the first year to graduation, in order to come up with an exact tuition fee to be charged for the higher learning institution, but it is still difficult to determine the exact fee. Several models have also been developed, but the problem remains that it is difficult to come up with such costs. One of the models developed includes the tuition elasticity model. This model was based on the revenues that the HEI is capable of generating from fees and the cost involved in educating the graduate.

For most internationalised HEIs, there are several fee determination strategies that are used that are in the nature of student pricing (foreign vs local), demand-based pricing, need-based pricing and competition-based pricing (Jaafar et al. 2017). The nature of student-based pricing is used when the HEI is able to attract foreign students. Foreign students are always priced high and local students low, mainly for political reasons and the drive to educate the nation. Need-based pricing is used when there is a need to promote certain programmes or certain skills. As a result, such programmes may be priced low such that it attracts many students, for example, many students taking programmes that make them capable of working in government, especially in developing countries. In terms of competition-based pricing, the HEIs charge fees based on what is being charged by other institutions. Therefore, the price is not determined by the cost of providing the service but by what other institutions are charging. The HEIs may charge fees below those of competitors in order to attract students, or they may charge higher fees in order to make their institution 'elite'. Demand-based pricing considers the attractiveness of the programme to the local and international world. If a programme is in high demand, it would also attract high fees as a strategy for rationalising or streamlining the numbers in the programme. The higher the demand for education programmes at an HEI by international students, the higher the tuition fees charged. This is likely to drive such HEIs to achieve financial sustainability.

In practice, especially in developing countries, the fixed-tuition pricing method has been used and applied in many HEIs (Morphew 2007). The basis

for this method is that there is the same cost for students in the institution as there is for all students. Such pricing avoids discriminating against students in particular programmes. It is based on using the same average cost of providing the education service, based on the total costing approach. However, some studies have shown that there are other programmes that are in demand and students in those programmes require many consumables (in labs and practicals), while some involve a lot of travelling to conduct field practicals – such programmes cannot be costed or priced the same, hence the difference in pricing of programmes in different HEIs.

## ■ Key pillars of higher education institutions' financial sustainability

Key pillars are provided by Estermann and Pruvot (2011) as:

- ability to generate own income
- proper costing of all activities
- diversified income sources
- dependable public funding with accountability measures.

### ■ Ability to generate own income

The ability to generate own income for any HEI means an investment or business activity that makes money using internal resources. The ability of the HEI to generate income independently is therefore one way to meet operational costs from its sources of revenue. Higher education institutions with their own strong income sources are financially sustainable.

### ■ Proper costing of all activities

One of the challenges HEIs face is an inability to properly cost education activities. Given the rising costs of providing services and the drying up of public funding by most governments, most HEIs are experiencing financial instability (Rohayati et al. 2016). Therefore, HEIs are increasingly being challenged by cost pressures that have resulted in costs outrunning available revenues (Frølich et al. 2010). As a result, this is driving most public universities in the world to reduce costs, increase enrolments and diversify revenue sources (Woodhall 2007; World Bank 2010).

### ■ Diversified income sources

Income diversification, referred to as revenue diversification, involves increasing the number of income sources to include multiple internal and external sources. Higher education institutions remain vulnerable if they depend heavily on few sources of income, even if an organisation has multiple donors. Any change in donors' decisions is likely to induce a major financial crisis.

## ■ Dependable public funding and accountability measures

Most governments used to be major funders of HEIs. However, with the growing numbers of student enrolments as a result of internationalisation by institutions, constrained financial resources for governments because of national and political demands have resulted in governments being left with no option but to cut funding to HEIs. Because of the increased demand for HE, most governments have resorted to fee payment as a strategy to meet HEI funding needs. In this case, there is sufficient, reliable and sustainable public funding that reduces stressing the financial sustainability of HEIs, even with the internationalisation of institution services.

## ■ Challenges of financial stabilities in internationalised higher education institutions

According to the KPMG (2018), challenges of financial sustainability in HEI are mainly from:

- changing demands on estates
- HEI workforce is not static
- value for money service delivery
- shifting funding and increased costs of service delivery.

### ■ Changing demand on estates

In this dynamic world, there are also dynamic demands. Changing demands on estates came as a result of different demands on university estates that have emerged from technology-driven changes to learning and research methods. ‘Lecture theatres and libraries’<sup>2</sup> are making way for collaboration spaces, group-work areas and inadequate or ageing estates and IT infrastructure that do not meet changing needs and expectations are being replaced.

### ■ Higher education institutions’ workforce is not static

Changing demands because of changing environmental demands also leads to HEI workforces increasing their demands. These changes come through high expectations by professionalised HEI workforces for more pathways and support, HEI imbalance between research and teaching resources and the increasing

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2. Cf. Lambet al. (2022).

inflationary pay costs and pension liabilities. These have made achieving financial sustainability in staffing and associated costs for HEI a challenge in recent years.

## ■ Value for money service delivery

Demands from students are rising as a result of changing learning environments the world over. These pressures come as a result of students expecting a significant return on investment for their tuition fees in terms of academic quality, facilities and employability, new regulation policies and regulatory bodies reflect greater government expectations. A review of tuition fees in many countries will add further complexity to the students and needs government approval, along with the removal of student number caps by many countries offering students more choices than ever, making planning more difficult and unpredictable.

## ■ Shifting funding and increased cost of service delivery

In many countries, funding HE has become a challenge as governments are also finding it difficult to sustain their expenditures. Some governments are actually withdrawing government grants to HEIs and expect them to fund their operations. Coupled with changes in student expectations and academic needs that require investment in infrastructure, as well as teaching and career support, these changes are impacting cost pressures on HEIs. Funding these investments results in more financial sustainability for academic institutions.

## ■ Indicators of financial sustainability in higher education institutions

In general, an indicator is a measure of something. That measure depends on the assumption made by the person developing that indicator. In practice, that indicator provides a guide in decision-making, as achieving that measure will be considered as good and not achieving it as bad (Gallopín 1996, 1999; Quiroga 2001). Thus, such indicators are measures used to evaluate progress in institutions (Belcher et al. 2015). In general, financial sustainability is indicated by income being greater than cost (Pollinger, Outhwaite & Cordero-Guzman 2007).

## ■ Profit

This is just the general measure of the financial sustainability of the institution. From accounting terms, profit is the excess of revenues over the costs or expenses of any institution for a period. The higher the profit, the more financially sustainable the institution is. Higher education institutions that report huge profits are regarded as financially sustainable. Internationalised HEIs are able to

achieve huge profits as they always charge high fees to international students, and these students are expected to make full payments in advance before receiving any form of instruction. The income may also be invested in other investment vehicles such as trust funds before the draw-down of expenses as they are experienced during the semester. The chances of them defaulting to pay are lower because of these demands. Therefore, internationalised HEIs are likely to be financially sustainable. However, huge demand from internationalisation may reduce profits if improper full costing is done by the HEIs. These are more likely to lead to losses that may result in failure to achieve financial sustainability.

## ■ Accounting ratios

Further, in accounting, financial sustainability is measured by using different accounting ratios that are an extension of the profitability measure. These will make use of the full accounting data in the HEI financial book records such as the Comprehensive Income Statement and Statement of Financial Position. These ratios include liquidity ratios, activity ratios, financial sustainability ratios and profitability ratios. The criteria for assessing the financial sustainability of HEIs are illustrated in Table 7.1.

**TABLE 7.1:** Criteria for assessing financial sustainability of higher education institutions.

Criteria	Ratio	Formula	Recommended
Liquidity ratios	Current ratio	$\frac{\text{Current assets}}{\text{Current liabilities}}$	> 1
	Quick ratio	$\frac{\text{Current assets} - \text{inventories}}{\text{Current liabilities}}$	From 0.3 to 1
Activity ratios	Total assets turnover	$\frac{\text{Net sales}}{\text{Average total assets}}$	Higher is better
	Fixed assets turnover	$\frac{\text{Net sales}}{\text{Non-current assets}}$	Higher is better
	Accounts receivable turnover	$\frac{\text{Net sales}}{\text{Average accounts receivable}}$	Lower is better
	Days payable outstanding	$\frac{\text{Average accounts payable}}{\text{Net sales}} \times 365$	60–90 days is desirable Lower is better
Financial sustainability ratios	Debt to equity ratio	$\frac{\text{Total liabilities}}{\text{Total equity}}$	< 0.45
	Equity ratio	$\frac{\text{Total equity}}{\text{Total assets}}$	> 0.55
Profitability ratios	Net profit margin	$\frac{\text{Total equity}}{\text{Total assets}}$	> 1 Higher is better
	Return on equity (RoE)	$\frac{\text{Net income}}{\text{Net sales / revenues}}$	> 0.2
	Return on assets	$\frac{\text{Net income}}{\text{Total equity}}$	> 0.15

## □ **Liquidity ratios**

Sufficient liquidity ratios provide information about the ability of the HEI to meet immediate costs or obligations. The internationalisation of HEIs is likely to improve the liquidity position of such institutions as it increases the inflow of revenues through student fee payments with lower chances of default. Higher education institutions with high liquidity ratios are more financially sustainable than those with lower ratios.

## □ **Activity ratios**

This group of ratios provides information about how the HEI is sweating the assets to generate income. For most HEIs that mostly depend on local students, their revenues are low, and as such, the ratios are low. With internationalisation, these ratios are expected to be higher as most international students pay in advance. This would also lower accounts receivable turnover and the number of days payable outstanding. Hence HEIs are more likely to be financially sustainable.

## □ **Financial sustainability ratios**

Most HEIs, are independent of financing from external sources as they rely mostly on governments, church grants or subsidies, with the exception of private or for-profit institutions. The larger part consists of internal funds; hence the ability of HEIs to generate their own income is likely to reduce the debt-to-equity ratio and increase the equity ratio. This would reflect a financially sustainable HEI.

## □ **Profitability ratios**

Most HEIs aim to work profitably. Higher average indicators of profitability ratios than the recommended ones would reflect a highly profitable HEI. This is common with internationalised HEIs and reflects a financially sustainable HEI. However, the greatest difficulties are encountered by HEIs when they have lower student enrolment; the institutions fail to attract enough foreign students; there is large-scale withdrawal of foreign students because of failures by the government or funders to continue with the funding; the institution suffers because of resistance from students to pay the stipulated fees; political interference in student fees; and the government fails to pay students' fees as stipulated in certain HE policies. These are likely to drive HEIs into challenges around achieving financial sustainability.

Financially sustainable HEIs meet timely repayment of the payables, quickly adapt to changing market conditions and are able to finance operations.

Financially sustainable HEIs have stable and sound income inflows and are able to fulfil their missions and remain afloat.

## ■ Strategies for achieving financial sustainability in internationalised higher education institutions

The aim of any HEI is to achieve financial sustainability while ensuring that the institution achieves its mission of delivering education and research services to the nation. Financial sustainability for most public HEIs is influenced by sustainable growth, changing journey, institutional capacity, efficient utilization of resources, strategic planning, ability to map out full cost, authentic leadership, good organisational culture and public relations, portfolio of investment, etc. (Bell, Masoak & Zimmerman 2010).

### ■ Sustainable growth

Sustainable growth is the rate at which an institution improves growth with its financial policies and profitability remaining unchanged or improving service delivery while its revenues are increasing at a faster rate than its cost (Soppe 2006). To achieve financial sustainability, HEIs firstly need to sustain the growth of finances. Therefore, HEIs must design ways of cutting costs in order for their own resources to meet expenditures. To achieve sustainability, HEIs must be self-supporting and free from government subsidies for operational needs (Bertels, Papania & Papania 2010). This means that HEIs must operate with funding sources (Brau & Woller 2004). According to Woller, Dunford and Woodworth (1999), financial self-support is a necessary condition for HEI to be financially sustainable. Thus, financial sustainability requires HEIs to be able to meet all costs, achieve favourable returns and be able to function without subsidies (Sharma 2008).

### ■ Changing journey

Any HEI that is changing its journey needs guiding principles and effective communications to achieve engagement with all stakeholders. This changing journey may involve an institutional change in the programme that needs to be underpinned by principles and complemented by an effective communication and engagement process. The institution should treat each relationship with stakeholders as a partnership for change. Treating each relationship as a partnership is key to delivering a change programme. This ensures institutional ownership for each solution while working collegiately to deliver success. This is a fundamental way of working and is considered essential in making change stick. The success of change is likely to have far

more to do with whether students, staff and academics are bought in than whether or not the solution is correct.

## ■ Institutional capacity

Higher education institutions should develop the capability to deliver independently. Developing the in-house capability to manage change is key for HEI to remain sustainable and continually self-assess to maintain and improve performance. Developing institutional capacity involves answering three questions.

### **Where are the gaps in capability?**

- Tailored online learning modules.
- Understand the range of approaches in programme management that helps balance pace and oversight with being empathetic to stakeholder needs.
- Assess current gaps in capability and cultural perception of change.
- Ownership for contributing to the development of institutional solutions.

### **What are the learning needs across the institution?**

- Identify the learning and coaching needs of teams at all levels of the institution.
- Define what the ideal learning environment would be.
- Develop an approach to 'watch one, do one, teach one'.

### **What methods and tools are best suited to developing our people?**

- Formal classroom-based training.
- Access to external subject matter experts to act as a sounding board.
- Templates, for example, benefit frameworks, approaches to document management/information bespoke learning platforms and digital content.

Building institutional capacity helps in developing personalised plans based on learning needs, helps begin culture change, supports what can be 'on demand' or more sustained, empowers staff to own change, development for all levels at the institution, tailored tools and templates for the institution, reduces reliance on external support and demonstrates a long-term commitment to continuous improvement.

## □ Efficiency in the utilisation of resources

In order to achieve financial sustainability, HEIs should efficiently use revenue resources in the delivery of education and services with increased demands because of foreign students as a result of internationalisation. The World Bank (2010) notes that efficiency in operation by HEIs implies cost reduction. This is now the trend observable in many HEIs. Surging enrolments with the drive

to maximise revenues have compromised service delivery as evidenced by inefficient staff/student ratios (World Bank 2010). In fact, many HEIs are associated with overcrowding in many campuses. In addition, the World Bank has also noted that this was further worsened by low staff recruitment and retention difficulties as ways of managing costs (World Bank 2010).

## □ Mapping the status of full costing

It is critical for each HEI to have an institutional drive to explore the status of full costing by looking at how the costs were determined in the accounting system. There are growing complexities and multiple functions of HEIs with internationalisation (EUA 2008). It is important to note that HEIs' activities include both teaching and researching. Research and innovation are growing; as such, HEIs should consider all costs involved in research. Higher education institutions are competing in research; therefore, there is a need to cost according to such that all activities are accounted for when bidding. Community engagements have also brought some cost to HEIs. As a result, HEIs that have internationalised should assess their full cost by the following (EUA 2008):

1. **Determining average cost per student:** Different models can be used to estimate the cost of producing a graduate. Both direct and indirect costs associated with the provision of education services need to be mapped out.
2. **Estimating the costs and income per each HEI activity:** This involves allocating both direct and indirect costs based on specific cost drives.
3. **Predicting full costs at programme or project level:** This involves estimating the total cost of the services provided and attaching all indirect cost elements for the institution.
4. **Projecting the cost of a study place:** This involves estimating The cost of providing a service for a programme from a certain mode of delivery or campus where the service is being provided from.
5. **Calculate the full costs:** This involves summing up all the costs of the programmes or research projects being provided and the indirect cost involved in financing such activities.

By following these steps, HEIs are able to ascertain the direct and indirect costs of providing education services. These costs are able to be allocated to different cost centres for proper accounting and costing. Such an exercise of tracking the full cost is important for HEIs to allocate costs accordingly and makes it easier to recover such costs. Thus, full costing should be considered an obligation for HEIs if they are going to achieve financial sustainability.

At the national level, the pressures on public expenditure in HE and research have led to the implementation of full costing systems in HEIs (The European University Association 2008). Such pressures require HEIs not only to increase their efficiency but to introduce tools to demonstrate increased efficiency and

to prove to governments and funding agencies the extent to which their funding schemes fall short of real costs. Full costing provides the HEIs with a tool to make their cost structure transparent and eases budget allocation and negotiation with the government and agencies.

## □ Authentic leadership

According to Leon (2001), an authentic leader of an HEI is someone who knows how to manage resources and how to generate income. It is noted that good leadership is vital for HEIs to achieve financial sustainability (Avolio & Gardner 2005). In addition, authentic leadership builds in a culture of good reporting and use of institutional resources (Avolio et al. 2004). Such culture reduces waste and fosters efficient use of resources. This results in the achievement of financial sustainability in the institution.

Authentic leadership for financial sustainability is associated with blended leadership characteristics (Afriyie 2015). The quest for financial sustainability for HEIs should be anchored by the leaders of such institutions (Thomason & Marquis 2010). By being exemplary and setting realistic goals, followers may easily emulate and may also strive to achieve the same. Therefore, developments towards achieving financial sustainability must begin with the leaders themselves.

## □ Organisational culture

Organisation culture should be aimed at achieving financial sustainability. Higher education institutions should build a culture in the institutions that reduce cost and increases resources. Such culture can be easily shared by employees and can be transmitted to students (Berger & Luckmann 1966:404). In HEIs, culture is created by the founders of institutions. The culture affects the sustainable growth rate. In fact, HEIs, through their internal culture, should thrive to achieve sustainable growth. Such achievement is critical for financial sustainability (Bertels et al. 2010). In addition, HEIs should develop a culture of teamwork and belonging. Teamwork and a sense of belonging reduce waste and increase accountability in the teams. It also develops team spirit, which helps to share the available resources and thereby work towards financial sustainability. More so, HEIs must collaborate with other institutions such that there is sharing of ideas in terms of how to improve service delivery (Bertels et al. 2010). Such practices foster the instilling of teamwork, build a culture of sharing and institute commitment in the institution.

## □ Public relations

Public relations is defined as the art or management aspect of analysing trends, counselling organisational leaders, assessing consequences, planning

and implementing action that serve the interest of both the institution and the stakeholders or public. Thus, public relation provides a cost-effective way of having HEIs get messages out through media. In addition, building such relationships with media will enhance HEI exposure and prestige (Rose 2008:2). This usually results in long-term benefits that contribute positively to the financial sustainability of HEIs while reducing the cost of advertising.

Good public relations structures in HEIs enable them to partner with other, different stakeholders, which in turn helps the institution to easily and quickly disseminate information and communicate with stakeholders at a lesser cost (Bertels et al. 2010). Therefore, institutions should adequately balance public relations and sustainability (Park & Pavlovsky 2010). Such development enables the HEIs to achieve goals at a lesser cost, with stakeholders having strong positive perceptions about the institution.

## □ Investment portfolio

An investment portfolio is a basket of investment instruments. It is also considered diversified investments because it gives a range of investment instruments that the investor aims to make money or income from while preserving the invested amount (Markowitz 2002:486). This includes investment in either equity or debt securities at the same time and excludes any instruments classified as direct investment or reserve assets (OECD 2004).

Good portfolio investment management positively influences the financial sustainability of an institution (Nasution 2003). It is critical to note that sometimes sustainable investment may result in lower financial return in the short term but be more sustainable in the long run for the same investment. Higher education institutions, as they do not want risks, can invest in such sustainable investment portfolios and manage their risks (OECD 2004).

## □ Networking

Networking is the ability of HEIs to be able to work with other institutions and other stakeholders in different collaborations or business endeavours. It is believed that good things are achieved by working in cooperation with other institutions rather than being selfish (Borrini-Feyerabend et al. 2004:1). Therefore, through networking, HEIs may learn how the same activities can be done at lower cost and or in a more efficient way. By reducing costs and improving efficiency, financial sustainability can be achieved (Rockland 2005). Internationalised HEIs have accepted this notion of partnership, and this is what makes them financially sustainable. The development of partnerships or associations between HEIs and the stakeholders has become critical for HEIs' strategy (Geis & Geis 2001:5). This is because of benefits that accrue from such partnerships that can help the institution increase revenues and achieve financial sustainability.

## □ Advertising in foreign countries

HEIs should extensively advertise their services and programmes in foreign countries in order to attract more foreign students. This would enable them to generate more revenue through large international student bases. In addition, HEIs should offer discounts in terms of tuition fees and accommodation in order to sweeten foreign students into considering them. Some international institutions attract more foreign students by offering part tuition scholarships.

## ■ Conclusion

This chapter looks at how financial sustainability can be enhanced by the internationalisation of HEIs. Financial sustainability is critical in improving education service as the institution would have enough resources to meet day-to-day activities of operations. Financial sustainability helps to close the gap between increasing student enrolment and expected resource requirements to provide the education service. In simple terms, HEIs should be able to balance the resources available and the cost involved in providing the education service.

Cross-border provision of HEI is seen as a cost-sharing means and attraction of additional income that enables further expansion of HEIs the world over. Most HEI's financial sustainability is dependent on government support and strategic partnership keen on research. Public funding by governments has drastically declined in most developing countries; therefore, HEIs resources have declined, which threatens financial sustainability. As a result, most governments have involved nationals in contributing to the provision of HE through the payment of fees. By so doing, this enables institutions to meet the growing demand for HE and meet the financial sustainability of the institutions. Therefore, innovative means of financial sustainability need to be investigated. Studies have shown that internationalisation drives many HEIs to be financially sustainable through increased income generation.

# Sustainable funding in higher education

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## ■ Introduction

While it is undeniable that tertiary education is *a priori* requirement developmental, for several decades, there has been less emphasis on large investments into tertiary education. As a result, development partners, in particular multilateral and bilateral donor agencies, placed more emphasis on funding basic education as exposed to tertiary education systems in developing countries. However, in recent years, the tertiary education sector has changed significantly. Developing countries in particular witnessed tremendous enrolment growth from high school, thereby exerting pressure on the tertiary education system that witnessed decades of limited funding.

The rest of the chapter is organised as follows: Section 8.2 discusses opportunities and challenges in funding higher education (HE); Section 8.3 discusses the role of donor funding in HE; Section 8.4 provides a discussion on the sustainable funding model for the HE sector and Section 8.5 provides concluding remarks.

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## ■ The changing context: New challenges and new opportunities

The COVID-19 pandemic, like the global financial crisis of 2008, has further strained the already underfunded education sections as countries are committing more resources to the health care sector (Ward et al. 2020). Ironically, as a result of the closure of campuses and instituted lockdown measures, most universities in the European Union (EU), for example, lost significant income from contractual research income and tuition fees, philanthropic funding, commercial services, which are traditionally generated from student accommodation, room rentals, sports facilities and consultancy services (Pruvot et al. 2020).

In the United Kingdom (UK), studies show that almost £19bn of revenue was lost from slowdowns witnessed in contractual research income and tuition fees, philanthropic funding and commercial services as a reduction in student demand and economic downturn (Pruvot et al. 2020).

For Africa, as a result of the absence of adequate funding and robust policies aimed at producing graduates exhibits mismatches between the needs of employers in Africa and the skills and education of the workforce (African Development Bank 2020). Unlike their peers in other regions, in most cases, employed youth in Africa are more likely to have skills and education poorly matched to their job requirements and job opportunities, which reduces productivity, job satisfaction and job stability (African Development Bank 2020).

The African Development Bank (2020) argued that the education system in Africa is characterised by low-quality education caused by limited investment in education quality that *inter alia* includes poor teacher training and teaching methods, shortage of textbooks and teaching materials, high school dropouts at both secondary and tertiary level that totalled 33 million in 2018 in sub-Saharan Africa against a global figure of 61 million and limited uptake of science, technology, engineering and mathematics (STEM) programmes (African Development Bank 2020). In short, as noted by African Development Bank (2020), as opposed to the quality of education, the education system in Africa mainly focused on the quantity of education.

The current state of education in Africa, coupled with the negative impact of COVID-19, from a funding perspective, combined with the noticeable and increasing role of the influence of knowledge and innovation as a key driver of growth in the global economy, places the African HE system under a spotlight (African Development Bank 2020; OECD 2015a). With innovation, economic growth is spurred as new industries are established, productivity is enhanced and new jobs are created. Because they are better able to sustain higher living standards and reduce poverty on the back of competitive edges, in times of

crisis, innovative economies are more resilient and have a stronger ability to transform themselves (OECD 2015a).

The recent surge in the use of artificial intelligence, machine learning, nanotechnology, 3D printing, biotechnology, robotics and genetics, which are the packages of the Fourth Industrial Revolution (4IR), is likely to cause serious disruptions in the labour markets that therefore call for right response from HE's programming (World Economic Forum [WEF] 2016).

The World Economic Forum (2016) notes that as the 4IR becomes more defined, available human beings will be substituted as most jobs will be redundant. A study by Frey and Osborne (2013) shows that, in the next 10–20 years, as a result of the increasing integration of robotics, artificial intelligence and IT, 700 professions are at risk of disappearing. For example, as noted by Frey and Osborne (2013), as a result of job computerisation brought about by progress in robotics and machine learning, 47% of total employment in the US labour market is under threat.

In this regard, going forward in view of the 4IR, tertiary education institutions have been presented with an opportunity to redesign their current programmes and future programmes and courses in a manner that takes into account the fact that the labour market is going through transformational changes that come with the digital era (Salmi 2016). The digital era comes with a new skills gap that needs to be accommodated by the new curricula.

## ■ Role of the donors in funding higher education

This section discusses the role of donors in funding the HE sector. Of particular interest is the role of donors in guaranteeing the sustainability of funding in HE is discussed.

The contribution of development partners towards HE in Africa has been traditionally skewed towards funding African students in foreign universities. For example, as noted by the World Bank (2010), of the US\$600 million allocated to sub-Saharan Africa between 2002 and 2006, less than 30% of this amount directly benefited African universities. More than 70% of the aid never reached sub-Saharan Africa but was predominantly spent in donors' universities with a view to compensate them for the cost of educating African students (World Bank 2010). Thus, as a result of this imbalance in the funding of HE, the impact of aid on HE has remained elusive.

Of interest, the funds that were channelled as direct aid to HE in Africa are traditionally targeted at supporting universities' teaching programmes and research centres (World Bank 2010). In supporting the teaching programmes, funds were channelled towards procurement of equipment (IT, textbooks), financing of technical assistance to develop programmes and curricula and building of infrastructure (Salmi 2016; World Bank 2010).

Of concern, as noted by the World Bank (2010) and Salmi (2016), instead of placing emphasis on supporting programmes aligned to STEM, most donors focused on promoting their languages with partnering universities by putting a strong emphasis on language programmes.

In view of the foregoing discussion, Salmi (2016) argued that there is a need to differentiate between first- and second-generation reforms when deciding on priorities for reforms that can be supported by donors.

In order to build the foundation for sustainability, the first-generation reforms must address core problems of tertiary education systems, that is, financing, governance, equity, quality and efficiency. The first-generation reforms considered here are centred around the liberalisation of the HE system and strengthening of the regulatory system, that is, marketisation of HE and enforcing accountability of HE (see ch. 12 and ch. 5, respectively).

Second-generation reforms are a follow-up to the first-generation reforms and are implemented by countries that have already addressed many of their basic problems but need to correct unintended effects or fine-tune existing arrangements to take first-generation reforms a step further. These second-generation reforms are centred on fostering financial sustainability in HE while enforcing quality assurance.

As these reforms are supported by donors, OECD (2003) underscored that, in order to guarantee the effectiveness of donor support in HE, donor coordination brings better returns. Lack of coordination, as noted by Salmi (2016) and OECD (2003), has two potential problems. Firstly, donors' support may not be aligned with the priority areas of the universities targeted. Secondly, the projects and programmes supported by the donors may not be compatible with targeted universities' systems that may result in system failure and wastage of resources.

To mitigate these risks, Salmi (2016) argues that, in order to ensure that various donor programmes and projects fit coherently in the government's own list of development priorities, the Ministry of Higher Education must play a proactive role in orchestrating donor coordination for HE funding. In addition, a well-crafted and credible strategic plan with a clearly outlined vision and priorities will help in aligning donor support with HE needs.

## ■ A sustainable funding model for higher education

The World Bank (2010) and Salmi (2016) argued that most developing countries had adopted innovative budgetary frameworks that are largely dependent on four main sources of funds: that is, cost-sharing, public budget, income generation, student loans and donor support. However, the World Bank (2010) and Salmi (2016) underscored that, because of resource

constraints on the majority of developing countries, the scope for mobilising more resources among the four sources largely depends on country-specific situations and characteristics.

As there is no universal rule that stipulates the minimum share of gross domestic product (GDP) that must go towards funding in HE, developing countries, because their development challenges must strive to allocate significant resources towards HE (Salmi 2016).

There are serious disparities in funding education around the world. For example, Central Asia and Eastern Europe, as well as several countries (which include former members of the Soviet Union and the former Yugoslav republics) spend at most 0.3% of GDP. This is quite low and makes them an outlier in the EU, considering the fact the European average is 1.1% of GDP (Salmi 2016).

In sub-Saharan Africa, in 2016, a number of countries spend less than 0.5% of GDP. On the contrary, countries such as Benin, Angola, Cameroon, Liberia, Congo, the Gambia, Mozambique, Mauritius and Swaziland spend close to 10% of their budget on HE (Darvas et al. 2016).

In view of limited funding by national governments, various funding models such as cost-sharing and student aid, income generation and donor support are being used across the world.

## ■ Payment of tuition fees

At the turn of the new millennium, the number of students accessing HE in sub-Saharan Africa increased by more than four times (Oketch 2016). Interestingly, during the same time, the HE sector in sub-Saharan Africa witnessed a considerable increase in diversity in the number of universities and as well as programmes on offer (Oketch 2016).

The resurgence of demand for HE forced national governments to liberalise HE which saw the payment of tuition fees as one of the tenets of the reforms in tertiary education (Oketch 2016). In sub-Saharan Africa, governments adopted a discriminatory price strategy where underprivileged students are fully subsidised while some students are required to contribute to the cost of HE.

At its inception, in the 1990s, in a number of African countries such as South Africa, Kenya, Ghana and Uganda, tuition fees were met with fierce resistance and strikes, but in recent years payment of fees is now widely accepted as a means of redress and access HE (Oketch 2016). The same trend was observed in a number of countries around the globe such as Canada, South Korea, South Africa and Chile. In Canada, for example, efforts by the provincial government of Quebec to raise fees in 2012 were hampered by

student protests against the same. Likewise, South Africa, in recent years, although very intense in 2015, faced massive strikes from students under the 'fees must fall' banner, which resulted in the government backtracking on proposed fee increases (Salmi 2016). In Asia, the South Korean government, in 2013, was forced by student riots to cut fees by 15%. In Latin America, Chile witnessed ugly student riots in 2011 and 2012, which forced the government to scrap the payment of tuition fees in both public and private universities in 2013 (Darvas et al. 2016).

Of concern, most governments in Africa, especially in East Africa and West Africa, such as Uganda, Kenya and Ghana, have drastically reduced their financial support, thereby giving the full burden of financing HE to universities. In view of low funding from the state, public universities in Kenya, Uganda and Ghana run a teaching arrangement called 'dual-track model' where a few students are registered for government-funded programmes while a larger group, that is, more than twice the stated-funded group, is enrolled to pay the full economic cost of HE cost on their own (Oketch 2016).

From a business perspective, universities use already existing infrastructure and teaching staff, which are fully subsidised by the state, to teach both full-fee-paying students and students funded by the state (Court 1999; Oketch 2016). This has compromised the quality of the education system as lecturers are given excessive workloads that leave little room for research, and supporting infrastructure such as teaching space and library resources fail to cope (Court 1999; Oketch 2016).

On the contrary, evidence from Salmi (2016) shows that the contribution of students to the cost of HE has remained fairly low in comparison with public funding. For example, in China in 1997, undergraduate students were asked to pay 20% of the cost of their studies (Darvas et al. 2016). In Latin America, Chile, with students paying up to 30% of the total cost of HE, was the only country in Latin America that managed to significantly share the burden of funding public universities (Darvas et al. 2016).

Global economic pressures worsened by the COVID-19 pandemic, resulting in economies sliding into recessions and prompting governments to use stimulus packages in order to save their respective economies. This will certainly shrink the resource base and make it difficult for national governments to adequately fund HE. Hence, this calls for the need to carefully reconsider the need for cost-sharing in HE. One way to go around stiff resistance from the students is to carry out an extensive and inclusive national dialogue with a view of building a national consensus on the need to share the cost of HE.

In driving the dialogue for the need to move towards increased contribution of students to the cost of HE, as noted by Salmi (2016), national governments

must argue the move based on four reasons: (1) the need to increase access, (2) the modernisation agenda, (3) efficiency considerations and (4) the equity imperative.

Firstly, in many developing economies, in particular, because of the demographic bulge and the need to meet the education for all goals under the UNESCO sustainable development goals (SDGs), there is increasing pressure to scale up HE opportunities. In meeting this increasing demand for HE, more resources are required to increase the enrolment rate in response to increasing demand from high school graduates.

Secondly, the majority of HE systems, in third-world countries in particular, are underfunded, and as a result, the quality of teaching and learning is compromised. This has the net effect of reducing the relevance of programmes offered as well as inhibiting research output.

Thirdly, resources in a number of cases are inefficiently used. Evidence from OECD (2012) and the World Bank (2012) shows that in many incoming students are not well prepared academically in open-access and tuition-free HE systems. This results in high dropout rates, particularly for students in their first year of study. In addition, because of the perceived low cost of HE, students have little motivation and incentives to complete their studies on time. In Colombia, for example, the completion rate of the students on state scholarship is 48%, while the completion rate of students on loan schemes is 64% (OECD 2012; World Bank 2012).

Finally, there is a consensus that equity can be enhanced by increasing the cost-sharing ratio. Setting the need for more resources aside, the desire to achieve equity alone is enough justification to increase the cost-sharing ration in HE. As Salmi (2016) argued, funding of HE will be more equitable if and only if students from middle and high incomes contribute a significant share of the cost of tertiary education.

In driving the cost-sharing agenda, as suggested by the World Bank (2010) and Salmi (2016), in order to come up with effective and equitable cost-sharing policies, policy-makers should consider the following principles:

- **Universal:** When governments introduce cost-sharing, tuition fees should be applied to all students without any discrimination on the basis of grades or type of institution enrolled.
- **Removing economic barriers:** All the students who qualify to enrol at tertiary institutions must be given access regardless of any economic reasoning.
- **Sequencing:** Comprehensive and effective student aid systems must be put in place before cost-sharing schemes are implemented. In addition, when allocating student aid, governments must carefully take into account the net cost to students.

- **Dealing with resistance:** From a technical consideration, governments must have a strategy to address possible opposition to cost-sharing. In this regard, policymaker strategies must be coined around the need for increased access, the modernisation agenda, efficiency considerations and the equity imperative.

Using international experience, Salmi (2016) strongly argued that there is a need for thorough and robust consideration of the level of tuition fees to be paid, monitoring and evaluation and financial aid if the cost-sharing model is to be successful.

## ■ Income generation

Income generation is a resource mobilisation strategy that universities in developing countries can use to raise funds. In order to diversify income streams beyond tuition fees, there is a need for policy-makers to encourage HEIs to use a wide range of income generation strategies. In doing this, it must be underscored that in as much as potential is limited for third-world countries as compared to emerging and advanced economies, HEIs can aggressively search for additional revenue resources through contract research, donations, consultancies, continuing education, alums and commercial services, which is traditionally generated from university enterprises, student accommodation, room rentals, sports facilities and consultancy services (Pruvot et al. 2020; Salmi 2016).

In the US, for example, on average, evidence shows that at 4-year institutions, the major sources of revenue for universities are tuition and fees (20%), government appropriations (18%), sales and services from hospitals (15%) and operating grants and contracts (13%) (Ward et al. 2020) (see Table 8.1).

The evidence presented in Table 8.1 shows that, in order to foster financial sustainability, universities must operate as university cities, not ivory towers as is the case in Africa. In this example, tuition fees contribute to only 20% of

**TABLE 8.1:** Sources of revenue for public four-year institutions in the United States.

Revenue source	Average amount (US\$ million)	Share of total revenue (%)
Tuition fees	72.5	20
Government appropriations	62.2	18
Sales and services of hospitals	53.6	15
Operating grants and contracts	48.0	13
Other non-operating revenue	32.0	9
Sales and services of auxiliary enterprises	27.6	8
Other operating revenue	23.6	7
Endowments funds and investment income	17.0	5
Non-operating grants and contracts	16.8	5
<b>Total</b>	<b>353.3</b>	<b>100</b>

Source: Ward et al. (2020).

the total revenue in US universities and a significant share of revenue is derived from commercial activities offered by the universities.

The potential of income streams varies from source to source. For example, contrary to the assumed belief that technology transfer is one of the major drivers of incomes in universities, evidence has shown that income from technology transfer licences is insignificant (Salmi 2016). For example, the contribution of income from technology transfer licences to Harvard University's annual fundraising receipts is 1%, notwithstanding groundbreaking technological innovations undertaken by the same (Salmi 2016).

On the contrary, evidence has shown that the provision of continuing education, business enterprise, financial contributions from alums and philanthropists and corporations are significant sources of revenue for universities under the income generation banner (Salmi 2016).

## ■ Fundraising experience from Europe

Because most European universities have started to undertake income-generating activities in recent years, notwithstanding the fact that the economic environment is totally different from developing countries, lessons from the EU are relevant to developing countries and third-world countries in particular (see Box 8.1).

### **BOX 8.1:** Lessons from fundraising efforts in Europe.

In 2011, the European Commission undertook a survey on the fundraising efforts of universities in Europe and observed that there was success, which was linked to three main factors. The first factor is what is expressed as institutional privilege, that is, the pre-existing relationships with potential donors, wealth and status of the university. Secondly, research staff and senior academic leaders showcased total commitment to fundraising. Thirdly, the environment, location and the geo-political situation in which the HEI operates made a significant contribution to the universities' success in fundraising.

Evidence from the survey shows that the contribution of alums was insignificant while a significant share of funds was raised from private corporations. Based on the EU experience, evidence shows that successful fundraising takes into account the following aspects:

- total commitment by governing bodies and management
- full participation of academic staff
- fundraising activities must be supported with adequate resources, that is, both financial and human resources
- provision of incentives and rewards for staff who successfully attract donations or funds
- production and dissemination of materials that are used for fundraising purposes, for example, website, brochures and leaflets
- maintaining an updated record and database of interactions with sponsors
- include contributions of sponsors such as philanthropy in universities' annual financial reports.

*Box 8.1 continues on the next page →*

**BOX 8.1 (continued):** Lessons from fundraising efforts in Europe.

In the EU, the UK is one of the leading countries in promoting income generation in universities. As noted by Salmi (2016), in 2008, in line with experiences from Singapore and Hong Kong, the UK government-sponsored matching funding scheme. Between 2008 and 2011, the government matched any eligible gift made to a participating tertiary education institution. Building on this experience, Salmi (2016) argued that in order to facilitate diversification of resources at a university level, governments in developing countries must fulfil the following two conditions.

Firstly, government must signal that success in fundraising will be matched with rewards rather than punishments. Countries such as Hong Kong, Canada, the US and Singapore have put in place effective matching grant programmes as an incentive for fundraising. Because of lack of resources in low-income countries, it makes it extremely difficult for governments to design similar matching programmes, at the very minimum, they must not punish universities that are successful in fundraising. Evidence as noted by Salmi (2014, 2016) has shown that in a number of occasions, Ministries of Finance reduced budget allocations to HEIs that are successfully raising funds from their initiatives such as undertaking business enterprises, engaging private sectors and philanthropists. This behaviour of reducing budget allocations to these universities has been observed as self-defeating and demotivating as it punishes high-performing universities and rewards underperforming tertiary institutions.

Secondly, national governments must put in place fiscal incentives such as making donations as tax deductible as a way of encouraging businesses and individuals to make donations to HEIs. International experience as noted by the World Bank (2002) and Salmi (2016) shows that fiscal incentives have a causal link with donations in HE. For example, in 2015, the US HE sector raised US\$40 billion from donations coming from firms and philanthropists that saw Stanford University and Harvard University mobilising US\$1.6 billion and US\$1.1 billion, respectively. Countries such as Canada, Hong Kong and European countries as well as the UK offer generous fiscal incentives to encourage donations to HEIs. Although Brazil, Colombia and Chile allow income tax deductions, among developing economies, India tops in terms of provision of generous fiscal incentives to individual and business donations to HEIs (World Bank 2002).

Source: Salmi (2016).

## ■ Innovative models: Social innovation and tertiary education funding

Evidence has shown that a combination of performance-based budget allocation, which will be used for the provision of financial incentives to HEIs with impressive results and better alignment with national policy priorities of leads to better use of public resources and encourages healthy competition among universities (Ketkar & Ratha 2009; OECD 2007; Panigrahi 2018; Salmi & Hauptman 2006). In order to achieve this, OECD (2007) and Salmi (2016) outlined four innovative resource allocation mechanisms that must be considered by national governments when allocating resources are formula funding, performance contracts, competitive funds and vouchers.

### □ Formula funding

Output-based funding formula is used to provide funding to universities based on agreed output or outcome measures (Auranen & Nieminen 2010; Nagy, Kováts & Németh 2014; World Bank 2010). For example, universities are rewarded for every student graduate. In a number of cases, higher prices are awarded for graduates' some special field or critical skills. Because it uses a

formula to link the amount of funds awarded to a university based on performance indicators such as graduates, it was found to be a very objective and transparent means of distributing resources for recurrent expenditures to HEIs (OECD 2007; Salmi 2016; Salmi & Hauptman 2006; Sorlin 2007). The Netherlands, Denmark, South Africa and Australia are notable countries that successfully used formula funding:

- Denmark, in order to encourage the performance of students, uses a 'taximeter model' in which 30%–50% of the recurrent funds are paid in relation to the number of students who pass their examinations in every academic year.
- In the Netherlands, in order to improve internal efficiency in universities, 50% of the recurrent funding is paid based on the number of degrees awarded by the university in a given year.
- South Africa uses a funding formula based on a combination of both the total number of students enrolled and number of graduating students (see Box 8.2).
- Australia issues funding for doctoral students based on research outputs (10%); their research income includes winning competitive bids (50%) and graduates (40%).

**BOX 8.2:** Formula-based funding in South Africa.

Unlike other formulas that cover institutional needs or levels of costs, the South African system pays HEIs for delivering research services and teaching specified in their plans. As noted by the World Bank (2010), South Africa's formula funding combines block grants, earmarked funding and performance-based formulas.

Block grants include (1) teaching funds calculated by a number of students enrolled and estimated cost per student per programme, (2) teaching funds based on agreed teaching output such as improved pass rates, (3) research funds based on the number of publications and (4) institutional factor funds for registering students from disadvantaged groups in line with government-designated priority areas. In South Africa, universities are advised in advance of the total amount of block grants they are expected to receive.

Earmarked funds are resources assigned for specific purposes such as research and development, development of new curricula, student financial aid schemes, interest payments on approved loans and capital projects approved by the government.

Although at the inception, there were fears that the budget to HEIs would be reduced under the new formula, a consultative process with the Ministry of Education and the South African Vice-Chancellors Association allayed the fears and fostered a positive attitude in adopting the model. The merits of this approach *inter alia* include capacity to operate within tight budgets and enhancement of institutional autonomy and ensure predictability and efficiency.

Four lessons that were noted by the World Bank (2010) from the South African experiences are (1) simplicity as important so that the new funding model is comprehended by the entire education community and its ecosystem; (2) consultation and training of key university staff is important as it helps stakeholders to build understanding and consensus as well as easy implementation; (3) effective data management systems within government and institutions is key to ensure that the formula is correctly and transparently implemented; and (4) linkages between the labour market and universities must be established with a view to monitor the relevance of outputs and outcomes from HE.

Source: Pillay (2004, 2008).

Evidence has shown that formula-based funding, if properly designed and implemented, can help national governments make significant savings. For example, in Malaysia, a feasibility study, which was carried out to establish the impact of formula-based funding, shows that country could save between 10% and 30% of the operating budget of the state universities (Orr 2002, 2005; Sorlin 2007).

## □ Performance contracts

Performance-based contracts entered between universities and national governments, although non-binding, defines a set of mutual obligations for both parties (OECD 2007; Salmi 2016; Salmi & Hauptman 2006). Governments provide additional funding to universities that show commitment and meet agreed performance targets. These kinds of agreements may be done with a single institution, a number of universities or all the universities.

Most OECD countries have performance contracts in place (OECD 2020). Evidence shows that shares of block funding that are subjected to performance contracts vary from country to country, that is, Finland (100%), Latvia (7%), Austria (94%–96%), France (4%) and Denmark (1%) (OECD 2019).

Indicators and parameters used in performance contracts vary from country to country. However, OECD (2020) underscored that there is consensus around the use of input indicators (e.g. student/staff ratio, number of students enrolled in each programme, etc.), activity (e.g. examinations passed), output (e.g. degrees obtained) and outcome (e.g. graduate employment rate) (see Table 8.2).

## □ Competitive funds

Competitive funds have been used as effective and flexible mechanisms in allocating resources in universities. In order to improve quality, promote pedagogical innovations and promote better management in HE, evidence has shown competitive funds were used in Egypt, Chile and Indonesia (OECD 2007; Salmi 2016; Salmi & Hauptman 2006).

In addition, competitive funds as a mechanism for allocation of resources have gained international recognition because it fosters transparency and fair play because of the fact that the evaluation of proposals is done by an independent committee (OECD 2007; Salmi 2016; Salmi & Hauptman 2006). Moreover, other benefits of competitive funds are that because project proposals are supposed to be formulated on the basis of solid identification of needs and require rigorous action of plan, they encourage HEIs to carry out strategic planning activities (Chernova et al. 2017).

Competitive funds, if designed properly, can be used as powerful vehicles for transformation and innovation, which is key in stimulating the performance

**TABLE 8.2:** Selected indicators.

Focus areas	Input	Activity	Output	Outcome
Teaching	Number of students enrolled	Students taking exams	Degrees obtained	Skills obtained, employment rate of graduates
	Number of senior academics (e.g. professors)	Credits earned Exams passed	Number of publications per academic staff	Skills
Research	Number of enrolled doctoral students	Number of patent applications made	Number of doctoral degrees awarded	Improvement in university ranking
			Secured external research funding	Increase in uptake of university research outputs
			Successful patent applications	
			Publications and citations	
Community service and engagement	Number of staff undertaking Community service and engagement activities		Secured external funding	Improvement in university ranking
			Ranking of outcomes	Improvement in the visibility of university in community
				Improved staff quality

Source: Pruvot, Claeys-Kulik and Estermann (2015).

Note: OECD (2020) underscored that widespread adoption of performance-based funding is driven by the positive contribution of the funding mechanism to institutional performance (see Box 8.3).

**BOX 8.3:** Performance contracts and institutional performance.

Most governments such as the UK, Denmark, New Zealand, Canada, Finland and Austria have adopted performance contracts because the model has the potential to foster improvements in organisational efficiency and productivity in research, teaching and community service (OECD 2020). Several studies carried out in the US, Hong Kong and Europe (i.e. Switzerland, UK, Denmark and Norway) showed that performed contracts fostered improvements in research productivity (Dougherty & Natow 2019; Dougherty et al. 2016; Smart 2013). Empirical evidence shows that both Denmark and the US showed significant improvements in the instructional effort as universities increased their spending on instruction and improvements on various degrees and other services on offer (Dougherty et al. 2016; Jongbloed & Vossensteyn 2016). In this regard, in order to improve students' success, as noted by Dougherty et al. (2016) and Jongbloed and Vossensteyn (2016), overhauling advising and counselling services, redesigning developmental education, improvement of academic pedagogy and revamping advising and counselling services were used as effective strategies in developed countries.

Source: OECD (2020).

of universities. Argentina's Quality Improvement Fund (FOMEQ), which was established with the support from the World Bank, is a good example of competitive funds that are being used to encourage universities to undertake strategic planning for the purpose of strengthening existing programmes and the development of need degree programmes (World Bank 2002). This promoted inter-faculty cooperation as faculties were required to work together in the design and implementation of joint projects.

## □ Vouchers

Some governments in OECD countries such as the UK have created quasi-voucher funding system where the students are not given a coupon to redeem in order to meet the cost of education but are given a demand-driven lending scheme that allows them to study at any of the recognised universities for free (Bekhradnia & Massy 2009). The proponents of the demand-driven lending scheme such as Bekhradnia and Massy (2009) argued that this model can foster the responsiveness of universities to students' needs, encourage diversity and incentivise delivery of services in the HE sector.

However, in turn, critics of the demand-driven lending system such as Jongbloed and Koelman (2000), argued that the model is associated with problems such as fluctuations in the number of admitted students and eventually underutilisation of resources and may force closure of high-value programmes such as culture and heritage and science and technology fields. As these challenges unfold, for the shelved degrees, staff in the affected programmes will be laid off, and the overall quality of HE will be seriously compromised (Jongbloed & Koelman 2000).

With respect to vouchers, some governments give students coupons with the financial value that enables them to pay for their education at universities (Auranen & Nieminen 2010; Nagy et al. 2014). Grants, student loans and vouchers have been used by governments with a view to introduce competition in their HE system. These approaches, which are based on student demand, were successful in several Eastern European and Central Asian countries, which *inter alia* include Kazakhstan, Georgia and Azerbaijan and Lithuania (Salmi 2016). The primary goal of the demand-based funding is to encourage stiff competition among universities as they have to respond to student preferences by giving financial support indirectly through students as opposed to giving the money to the universities directly (Salmi & Hauptman 2006). A good example of this kind of arrangement is found in Kazakhstan, where 20% of the students receive voucher-like education grants aligned to programmes addressing national development priorities that they redeem at the university of their choice, either private or public.

Evidence from OECD and the World Bank (2007) shows that the Kazakh voucher system functions effectively in allocating resources as it rewards universities that offer degrees that address national development needs and perform well. Because of the competitive aspects brought by the vouchers system, all universities (i.e. both private and public) pay extra attention to quality and service delivery so as to attract beneficiaries (Salmi 2016). The voucher scheme in Kazakhstan provided a powerful tool for the promotion of quality and growth private universities that resulted in increasing grant beneficiaries (OECD 2007; World Bank 2007).

As vouchers are an instrument used to advance student loans to HE, building on experience from developed countries, due care should be taken in designing these loans. In this regard, as argued by the World Bank (2008), student loans should have three core features: they should be large enough to cover tuition fees, should have income-contingent repayments and charge an interest rate related to the government's cost of borrowing.

In contrast with the trends in developing countries where bank loans are used to fund HE, the World Bank (2008) fell in line with Friedman's argument that bank lending is the wrong model for loans to finance investment in human capital, notwithstanding the fact that it is the right model for home loans. The argument is premised on the fact that, because of capital market imperfections, human capital cannot act as collateral; hence because of risk aversion, borrowing will be inefficiently low (World Bank 2008).

Although this is applicable to developed economies, in order to promote access and equity in HE, the second feature of a well-designed student loan is that the loan must be sufficient enough to cover tuition fees and associated living expenses (World Bank 2008). This view is based on the argument that, in countries where the learners can easily access employment after graduating, in financing their own human capital, students must be able to borrow against their future earnings. On the contrary, learners will not be able to fulfil their efficiency functions if the loans are too small (Barr 2001).

Finally, international experience has shown that the interest rate on loans attracts broadly equal to the government's cost of borrowing (World Bank 2008). For example, in countries such as the UK and Australia, loans are offered at a zero real interest rate, that is, representing a blanket interest subsidy (World Bank 2008).

In sum, in order to protect lenders from the uncertainty of a loan that is not secured by physical collateral and guarantee the sustainability of HE funding, monthly repayments are calibrated to subsequent earnings (World Bank 2008). In addition, because the loan has built-in insurance against inability to repay, income-contingent repayments also protect access (Barr 2001).

## □ Loans

Loans became a permanent feature of university funding across the world because of the several advantages they come with, which *inter alia* include increased access to HE, increase student commitment and reduce dropout and promotion of equity and social inclusion (Barr 2004; Callender & Jackson 2008; Ziderman 2004). Resultantly, in countries such as the US and UK, education students widely accept education loans, and it has become a way of life (Oketch 2016).

In Africa, for example, the loan schemes existed for more than 60 years. To be specific, in Lesotho and Botswana, loan programmes were established in 1952 and 1966, respectively (World Bank 2010). In Nigeria and Kenya, loan programmes were launched in 1973 and 1974, respectively (Woodhall 1991). As of 2008, more than 14 African countries, which *inter alia* include Zimbabwe, Burundi, Mozambique, South Africa, Mauritius and Uganda have loan programmes in place (World Bank 2010). These loan schemes are established with a view to a shared responsibility between families and government in financing HE (World Bank 2010).

In terms of sustainability of these loan schemes, Ziderman (2004) and the World Bank (2010) noted that student loan recovery in sub-Saharan Africa, in particular, is extremely poor.

Evidence shows that education loans face multiple problems because governments rushed to introduce student loans without considering their context and complexity (Oketch 2016). Some of problems encountered include high default rate, absence of an effective system to chase defaulters, poor administration, inadequate funds from the government to finance student loans and limited participation of banks (Arrow 1993; Colclough & Lewin 1993; Oketch 2003, 2016; Tilak 1992).

With specific evidence from Africa, Box 8.4 provided a detailed explanation of why loan recovery in Africa is poor.

**BOX 8.4:** Major causes of poor loan recovery in Africa.

- a. **Insufficient means testing:** Thirteen countries in Africa use means testing as a mechanism to award loans. Evidence from the World Bank (2010) shows that means testing has been largely criticised for its failure in targeting the needy. In addition, the means testing scheme makes the loan programme 'generally available' to all students regardless of their financial needs, thereby exposing the loan scheme to abuse.
- b. **Low interest rates:** Evidence shows that in some cases, as in Botswana, Malawi, Lesotho and Tanzania, loan programmes attract no interest rates as politicians fear student uprising (World Bank 2010). In cases like this, it is very difficult for these countries to recover the full cost of the loans and guarantee the sustainability of the loan schemes.
- c. **Long grace periods and repayment periods:** In a number of cases, the repayment periods are unnecessarily long and in some cases indefinite, as in the case of South Africa. This makes it difficult to recover the loans or guarantee their sustainability; especially taking into account the fact that the interest rates charged are sub-optimal (Shen & Ziderman 2007).
- d. **Macroeconomic instability:** Most African economies are characterised by volatile macroeconomic fundamentals like high unemployment and economic contraction that cannot guarantee jobs for the graduates, thereby rendering it difficult for the students to pay back the loans. Resultantly, most of the loan programmes have been placed under deferment and forbearance options and in some cases debt forgiveness, as in the case of Zimbabwe, Kenya, Botswana, Rwanda and Namibia.
- e. **Weak legal systems:** In most African countries such as Kenya, Ghana, Tanzania, Zimbabwe and Rwanda, the legal system on loan programmes is either weak or non-existent. Because of this, as noted by Some (2006) and the World Bank (2010), even if the debtors are employed, most African governments have no legal recourse to force them to repay or force employers to deduct repayments from the borrowers' wages.

Source: World Bank (2010).

## ■ Conclusion

The current state of education in Africa, coupled with the negative impact of COVID-19, from a funding perspective, combined with the noticeable and increasing role of the influence of knowledge and innovation as a key driver of growth in the global economy, places African HE system under the spotlight (African Development Bank 2020; OECD 2015a). With innovation, economic growth is spurred as new industries are established, productivity is enhanced and new jobs are created. Because they are better able to sustain higher living standards and reduce poverty on the back of competitive edges, in times of crisis, innovative economies are more resilient and have a stronger ability to transform themselves (OECD 2015a).

The contribution of development partners towards HE in Africa has been traditionally skewed towards funding African students in foreign universities. For example, as noted by the World Bank (2010), of the US\$600m allocated to sub-Saharan Africa between 2002 and 2006, less than 30% of this amount directly benefited African universities. More than 70% of the aid never reached sub-Saharan Africa but was predominantly spent in donors' universities with a view to compensate them for the cost of educating African students (World Bank 2010). Thus, as a result of this imbalance in the funding of HE, the impact of aid to HE has remained elusive.

Of interest, the funds that were channelled as direct aid to HE in Africa are traditionally targeted at supporting universities' teaching programmes and research centres (World Bank 2010). In supporting the teaching programmes, funds were channelled towards procurement of equipment (IT, books), financing of technical assistance to develop programmes and curricula and building of infrastructure (Salmi 2016; World Bank 2010).

In the last two decades, there has been remarkable growth on the level of enrolment in the tertiary education sector across the globe. This growth was noted in all continents, and interestingly, several developing countries have shown tremendous progress in the quality of teaching and research. Innovative features, which *inter alia* include national assessments of student learning outcomes, labour market observatories, student loan agencies and risk-based quality assurance approaches, were implemented by a number of countries in the HE sector.

However, notwithstanding programmes made in these innovative mechanisms on the funding of HE, in most developing countries, the overall situation of tertiary education systems shows a bad state of affairs characterised by the poor quality of teaching and learning, severe access and completion disparities, low research production, lack of relevance, insufficient funding and inadequate governance (Chernova et al. 2017).

In addressing this anomaly, reforms in HE were noted as a key strategy that can successfully induce tertiary education institutions to become more responsive to the evolving needs of students and the economy in general.

Evidence has shown that reforming the way HE is financed by substituting public financing with innovative financing mechanisms is one of the most difficult reforms and was met with stiff resistance from both students and general stakeholders (World Bank 2007). This has been worsened by the fact that, in most developing countries, the acceptability of reforms on public financing has been worsened by the fact that there are toxic politics caused by bi-partisan politics.

Interestingly, in the long term, there is no tertiary education system that is guaranteed to experience notable improvements in its performance without a sustainable funding strategy. Likewise, as argued by Salmi (2016), in the absence of sufficient resources and appropriate financial incentives to encourage innovative approaches in the pursuit of better results, there is no country that can successfully balance the need for improved quality and relevance and quantitative growth imperative.

Sustainable innovative resource mobilisation and allocation mechanisms that were successfully used by a number of countries and can be copied by developing countries, in Africa in particular, are formula funding, performance contracts, competitive funds and vouchers (OECD 2007) and Salmi (2016).

# Entrepreneurship in higher education institutions

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## ■ Introduction

Being multifaceted and embedded in different disciplinary fields, entrepreneurship is considered as the creation of something new and receiving the rewards thereafter, identifying and exploiting opportunities in the marketplace for personal gain and a holistic approach to thinking and acting upon opportunities for innovation (Alsharief & El-Gohary 2016). Entrepreneurship education has been defined in narrow and broad terms. In a narrow context, entrepreneurship education can be considered as formal tuition geared towards students interested in business creation. However, in the broader context, it prepares students both to be self-employed and exhibit entrepreneurial behaviour for the modern labour market, which is flexible and borderless (Almobaireek & Manolova 2012). Over the years, entrepreneurship education in higher education institutions (HEIs) has shifted from a strong new business venture focus to developing entrepreneurial competencies within students (O'Brien & Cooney 2016). It is argued that developing such competencies through comprehensive lifelong learning promotes an entrepreneurial mindset (European Commission 2013). Accordingly, while Drucker (1985) argued that entrepreneurship can be taught and learned like

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any other discipline, other authors opined that people cannot be taught to be entrepreneurs, but through the acquisition of more skills, experience and knowledge their entrepreneurial ability can be enhanced (Gedeon 2014).

Entrepreneurial education is often cited as a response to the empowerment of citizens, especially in developing countries with high levels of unemployment and population growth rates. The UNESCO Report of 2008 (UNESCO 2008) highlighted that HEIs play an important role in cultivating entrepreneurial skills for students as part of a developmental strategy supporting economic, social and political growth. Such an entrepreneurial strategy provides students with the ability to explore and transform opportunities for business and job creation, especially in emerging economies saddled with escalating unemployment. It is against this backdrop that entrepreneurial education within HEIs is expected to drive social and economic reconstruction. In this regard, Agbonlahor (2016) claimed that HEIs are increasingly repositioning themselves as centres for entrepreneurial education, focusing on building the self-sustaining business skills of graduates needed to drive economic growth through business investments. As asserted by Sirelkhatim and Gangi (2015), HEIs can have a positive impact on students' and graduates' entrepreneurial ability, attitudes and intention towards self-employment. The study by Moriguchi et al. (2014) reported that combining marketing and entrepreneurship courses stimulated the attitudes, behaviours and involvement of students in new product innovation. Additionally, Sirelkhatim and Gangi (2015) argued that entrepreneurial education and support at HEIs stimulated entrepreneurial behaviours. Such investigations support the role of entrepreneurial education in building awareness and knowledge among students.

Singh and Sharma (2011) describe an entrepreneur as someone who enters into a business venture to produce goods or render services to earn a profit. Such a venture entails managing resources to convert new ideas into innovative outputs and taking risks. However, training and familiarity with the business environment for entrepreneurs inform such ventures.

The objective of the chapter is to examine the various dimensions of entrepreneurship education within an internationalisation framework underpinning higher education (HE). The chapter focuses on an examination of entrepreneurship education within the context of internationalisation, the role of HEIs in advancing entrepreneurship education, the imperatives for entrepreneurship education and drivers of successful entrepreneurial education.

## ■ Entrepreneurial education and internationalisation

The internationalisation of HE has been influenced by worldwide political, social and economic changes. As with other programmes, entrepreneurial programmes must adopt innovative teaching and learning methodologies so that academics

and students from anywhere in the world can benefit from multimodal types of teaching and learning. The emergence of a global nation intertwined with technological developments, economic improvements, industrial growth and mobility of labour has necessitated the need for HEIs to reform their teaching, learning and research pedagogy in their educational curricula. Central to internationalisation is the implicit and explicit preparation of students for global markets, either as entrepreneurs or as employees. Accordingly, Cai and Kon (2017) posited that entrepreneurial education should be internationalised in view of the need to construct an innovative global nation, spurred on by the urgency to intensify pedagogical reform pertaining to entrepreneurial education that extends far beyond merely building business skills for self-employment.

Additionally, reworking global economic structures and encouraging individuals to be innovative to support economic development requires international collaboration among HEIs so that theoretical knowledge, operational skills and high standard cultivates entrepreneurial capacity in graduates, without pursuing a force-feed pedagogical model. Thus, it is reasonable to assume that HEIs need to engage in careful planning of different teaching and learning pedagogies, which are inclusive of the cultural awareness of target groups and their collaborative behaviours, knowledge about technical and infrastructural capacity of international students engaged in online programmes, asynchronous and synchronous communication across time zones and between institutions and harmonisation of teaching and learning practices between various stakeholders involved in the internationalisation of HE programmes (Steiner et al. 2018).

Internationalisation of entrepreneurial education can ensure that programmes actively engage students across the globe in educational activity, teach students how to do things and function as human beings, understand the connectivity between different disciplines and cultivate innovative talent an ability. Further, internationalisation can expand innovative awareness, thinking and ability through a global lens. These are critical factors for an objective personal evaluation of strengths and weaknesses, optimising professional identities and promoting international collaboration. However, the facilitation of international entrepreneurial programmes needs to take cognisance of divergent abilities and thinking, teamwork skills and technology competency of students across cultures. Additionally, social-constructivist learning can differ among students, as students from different cultures differ in their communication norms (Vercellotti 2018). Likewise, Steiner et al. (2018) posited that apart from focusing on the functioning of teaching and learning materials and techniques, awareness of the perceptions and expectations of students is critical for successful support of divergent students.

Therefore, with escalating HE costs and a widening consumer-oriented approach to HE, the quality of internationalised entrepreneurial programmes impacts student satisfaction both locally and globally. Overall student

satisfaction is a critical factor associated with the success of internationalised entrepreneurial programmes. Thus, on an international scale, entrepreneurial education can be a potential way of repositioning entrepreneurial education, structurally renovating entrepreneurial pedagogy and achieving global breakthroughs in the cultivation of holistic entrepreneurial competencies and knowledge.

## ■ Education for, in, through and about entrepreneurship

According to Hoppe, Westerberg and Leffler (2017), complementary pedagogies supporting for, in, through and about entrepreneurship are necessary, as different needs for knowledge necessitate tailoring different education processes and activities for different entrepreneurial pedagogical objectives and competencies. According to Fayolle (2013), entrepreneurship education has to be embedded in a broader context. It has to consider that entrepreneurship extends beyond the economics of self-employment. The rationale is that entrepreneurship is not constrained by opportunity exploitation and creativity. Rather, an enterprising culture, accompanied by civic responsibilities should also be incorporated into entrepreneurial education.

Relatedly, Hoppe et al. (2017) refer to the following four dimensions of entrepreneurial education:

- **For entrepreneurship:** When entrepreneurship education narrowly focuses on developing the ability to run a business, then education for entrepreneurship will encompass promoting competencies like budgeting and business planning. Education for entrepreneurship is not action-oriented and does not support the development of an entrepreneurial approach. The development of innovative solutions to technological and societal problems as well as business processes for new services and products are given attention.
- **In entrepreneurship:** In entrepreneurship is action-oriented, focusing on making students act entrepreneurially. Students are encouraged to reflect on their actions and learn how to create social, cultural, economic and financial value from entrepreneurial competence. The focus tends to be on promoting practical elements with visible action.
- **Through entrepreneurship:** Through entrepreneurship focuses on what human competencies and societal goals can be achieved through education. This approach is linked to learning achieved through entrepreneurship, which enables anyone to act entrepreneurially.
- **About entrepreneurship:** This approach focuses on a theoretical understanding of entrepreneurship as a concept and phenomenon in the social context. A more analytical approach is promoted, with entrepreneurship as a societal phenomenon of interest.

In response to criticisms about a very theoretical focus on entrepreneurship that students found did not help them to solve real-life, complex, unstructured and multidisciplinary problems, pedagogical approaches were developed to help the student act as an entrepreneur and learn how an entrepreneur learns, such as creating and effecting business plans (Volles 2016). This became the basis of learning entrepreneurship through doing something. Therefore, education programmes in entrepreneurship should be aimed at theory and practical applications, developing innovation, risk taking and decision-making and problem-solving skills. The reason is that entrepreneurship is multifaceted and not based on one correct approach but rather tests different pedagogies in the pursuit of helping students to constantly learning in order to become entrepreneurial.

Further, entrepreneurs are constant learners, learning outside the planned curriculum in space and time. Hence, entrepreneurship education cannot be prescriptive if it is aligned with lifelong learning, which is constantly evolving and dynamic. Relatedly, globalisation has impacted business, labour and society, thereby requiring education to respond to continuous changes. Likewise, Drucker (1985), as an early debater, noted that an uncertain future makes it impossible to structure entrepreneurship education in any optimal mode, thereby necessitating individuals to take responsibility for their lifelong learning. Accordingly, the European Commission (2013) posited that entrepreneurial skills and capabilities are two of the eight key competencies to be fostered through lifelong learning, as students need to be qualified with such skills and capabilities to manage unpredictable environments. Therefore, no one educational practice can be constructed because of varying learning contexts and objectives. This was identified quite early by the OECD report by Ball (1989), which expressed the need for individuals to acquire entrepreneurial abilities not only for the labour market but also as a response to societal needs. Therefore, entrepreneurial learning should stimulate the student's self-knowledge, self-confidence, creativity, responsibility and ability for employability and self-employability. Hoppe et al. (2017) argued that entrepreneurship and entrepreneurial learning is shifting from specific connections to commercial enterprising and economic value towards a more holistic process, encompassing both the establishment of businesses and preparing students for the processes of change. Such a strategy embodies a variety of educational modes and pedagogical elements for and through entrepreneurship rather than focusing on narrow and specific education in and about entrepreneurship. In this way, an entrepreneurial teaching and learning approach embodies emotions, theory and practice linked together to support active learning (Hoppe et al. 2017). Additionally, new types of entrepreneurship education may emerge through the different dimensions of entrepreneurship education being combined in different ways and in different contexts with differing goals. In support, the study by Hoppe et al. (2017) reported that as entrepreneurship education is diverse, HEIs should be

challenged to embrace pedagogical practices that extend beyond the narrow perspective of educating students for business only. This broad perspective challenges HEIs to be innovative in promoting the reflexive action of citizens in building a society for the common good of all.

## ■ Role of higher education institutions in promoting entrepreneurial intention

Recent decades have witnessed a closer alignment between HEIs and society, with many HEIs embracing entrepreneurial education as a social responsibility mission. As entrepreneurship is one of the key drivers of economic and societal growth and development, HEIs can play a vital role in promoting entrepreneurial education. However, Vorley and Williams (2015) claimed that as a complex phenomenon, entrepreneurship education should move beyond a narrow focus on entrepreneurial traits and economic functions. Previous studies have referred to entrepreneurial intentions as becoming self-employed, acquiring broader personal orientations, desires, dispositions and interests that might lead to a business venture and taking specific steps to establishing an own business. In recent times, entrepreneurial education is holistically embracing the societal phenomenon as well. Fayolle (2013) highlighted this perspective in their assertion that entrepreneurship has multiple forms of economic and social value. Similarly, O'Brien and Cooney (2016) posited that entrepreneurship can be considered as a way of behaving and thinking within the societal and economic ambits. According to O'Brien and Cooney (2016), entrepreneurial education is about creating awareness of entrepreneurship through theory, developing skills to encourage future entrepreneurship and developing entrepreneurial competencies. This gives way to developing a wide range of entrepreneurial skills, attributes and behaviours that can be used in various contexts (Fayolle 2013). From a social perspective, Vorley and Williams (2015) argued that such a pedagogical approach fosters wider and more inclusive participation as well as social and economic regeneration.

Therefore, developing an inclusive entrepreneurial mindset requires a focus on seeking, recognising and pursuing the best opportunities; acting under uncertain conditions; risk and time management; a positive attitude towards change; tolerance of uncertainties; flexibility and adaptability; critical thinking and problem-solving and collaboration (O'Brien & Cooney 2016). This is aligned to the EU's 'Europe 2020 Strategy' of nurturing entrepreneurial mindsets inclusive of business skills; essential skills like creativity and risk taking and responsibility in the home, workplace and society (European Commission 2013). Likewise, O'Brien and Cooney (2016) referred to entrepreneurial education as a third mission of HE, providing opportunities for high technology transfer and spin-outs, economic regeneration projects, innovation, continuing education and cultural

and social activities. Relatedly, Vorley and Williams (2015) claimed that this third mission of HEIs is a powerful value generator for HEIs, students and society. In this regard, entrepreneurial education in HE has a vital role to play in developing entrepreneurial mindsets.

Relatedly, entrepreneurial mindsets share commonality with entrepreneurial intentions. Extant literature points to entrepreneurial intentions being a catalyst for individuals to commit themselves to start new businesses (Guerrero, Urbano & Fayolle 2016). The theory of planned behaviour purports that attitude, behaviour and subjective norms are three dimensions linked to entrepreneurial intentions (Soria-Barreto et al. 2017).

As claimed by Thompson (2009), entrepreneurial intention is a conscious endeavour by an individual to plan to set up a business. However, Hamzah et al. (2016) argued that one of the ways to enhance is through educational support. Similarly, the study by Cai and Kon (2017) reported that entrepreneurship training and knowledge had a significant impact on the entrepreneurial intention of students compared to those who did not participate in entrepreneurship education. According to Kariv, Cisneros and Ibanescu (2019), when individuals believe that they have the capability to execute and manage situations, this is an important antecedent for entrepreneurial action. This argument was strengthened by Kautonen, Gelderen and Fink (2015) who argued that self-efficacy is a robust predictor for actual and future entrepreneurial performance. Therefore, HEIs, through education, can influence the level of entrepreneurial self-efficacy among students.

According to Soria-Barreto et al. (2017), the HE environment is ideal to champion entrepreneurial intention among students. The learning provided by HEIs via curriculum content, teaching approaches and assessment methods can positively impact the entrepreneurial inclination of students. Likewise, Guerrero et al. (2016) argued that the organisational and social HE environment positively impacted entrepreneurial activity. Relatedly, the entrepreneurial culture at HEIs can significantly impact startups or spin-off companies by graduates. Considering this, there is an increasing call for HEIs to become part of the entrepreneurial ecosystem by introducing entrepreneurial education and support to encourage entrepreneurial intentions (Bergmann 2017).

According to Astebro, Bazzazian and Braguinsky (2012), HEIs can influence and sensitise students for entrepreneurship. Higher education institutions can make significant contributions to entrepreneurship through education, training and support to apply knowledge. Such contributions promote the basis for successful economies and global economic stability in the face of reduced public spending on social programmes and increasing unemployment. According to Siegel and Wright (2015), HEIs are more likely

to develop a positive entrepreneurial climate when students feel supported and inspired by entrepreneurial activity. One of the important factors is a positive entrepreneurship culture inclusive of practices, policies, support and service associated with entrepreneurial activities (Siegel and Wright 2015). Apart from such objective properties of HEIs, the way in which students experience and interpret the HE setting is also often a manifestation of their cognitive construction on their environment. In this regard, Liñán and Fayolle (2015) argued that cognitive construction is influenced by an individual's knowledge and value systems. However, apart from individual perceptions of organisational culture, members within an organisation may perceive practices, policies, support and service associated with entrepreneurial activities similarly. In this regard, Sieger and Monsen (2015) claimed that confrontation with the same organisational policies and procedures, interaction and communication within the organisation and social sense-making may influence the development of similar culture perceptions. Therefore, the HE culture is crucial for fostering entrepreneurial thinking, attitudes and behaviour among students.

The study by Bergmann (2017) reported that HEIs with a better reputation are assumed to provide higher-quality education to their students. Accordingly, Morris et al. (2013) reported that entrepreneurship education correlated with entrepreneurial intentions for three reasons: students are helped to learn and identify new and innovative business opportunities through the acquisition of entrepreneurial skills and competencies; students are socialised into entrepreneurial careers; students acquire knowledge about starting business ventures much faster, thereby creating more value. As such, students equipped with formal human capital in entrepreneurship will feel better equipped to choose entrepreneurial careers. Further, the reputation of HEIs, such as MIT in the United States, can attract higher-performing students, which can foster a more stimulating entrepreneurial environment. Thus, high-quality entrepreneurial education can be perceived as predicting student decisions to become entrepreneurs.

## ■ Impetus for entrepreneurial education

### ■ National development

Education is often seen as a lifelong process championing economic and social transformation. Education can be seen as an instrument propelling change and equipping individuals with the skills and competencies consistent with the developmental goals of society (Guerrero & Urbano 2012). Zhou and Xu (2012) asserted that a global knowledge economy requires individuals to develop their self-worth so that they can contribute to social, economic and political development at local, national and international levels. The significant impact of entrepreneurship on economic development and growth cannot

be underestimated. Students, as the future determinants of the economic viability of any nation, constitute an important class of contributors for the development of entrepreneurial activities.

The entrepreneurial curricula of HEIs' education have the educational niche to drive economic development and job creation especially in less developed areas; develop the entrepreneurial mindset and orientation of students; provide meaningful education towards self-reliance in the vocational, professional and business world; promote creativity and innovativeness in identifying business opportunities and provide risk management training (Zhou & Xu 2012).

Entrepreneurship education can foster an entrepreneurial culture among graduates to recognise and exploit business ventures. With the acquisition of social and economic competencies, individuals can continuously upgrade their knowledge, attitudes and skills to support self-reliance through sustainable business ventures (Agbonlahor 2016). In this regard, entrepreneurial education empowers students to become job creators through capacitating them to collate and analyse information for effective business making. Value-adding innovations and creativity often emerge from entrepreneurial capacities and mindsets of students involved in entrepreneurship education.

Additionally, job creation through investment in the private sector is an important avenue to address growing unemployment, declining government revenue, decreasing public investments, slow economic growth and diminishing private businesses. Guerrero and Urbano (2012) reported that entrepreneurial education not only contributes to individual empowerment and societal growth but also is a significant contributor to a more robust and sustainable global economy. Singh and Sharma (2011) reported that entrepreneurial education is an important catalyst for sustainable private sector growth and national development.

## ■ Human capital investment

Individuals acquire human capital in the form of knowledge and skills through education and experience. According to Minola, Criaco and Cassia (2014), as the human capital theory purports that knowledge and skills are acquired through a learning process, entrepreneurial learning fosters the development of entrepreneurial knowledge and skills for social and economic development. Higher education institutions can champion entrepreneurial education and learning in an attempt to promote an entrepreneurial society.

Relatedly, Korosteleva and Belitski (2017) argued that the effect of HEIs extends beyond human capital development into human capital investment. This effect of entrepreneurial education by HEIs on entrepreneurial human capital investment is pivotal for social and economic development in a highly

competitive and globalised environment (Bae et al. 2014). This is increasingly important especially in developing nations, where entrepreneurship is construed as a fundamental developmental instrument to drive economic advancement (Gedeon 2014).

Likewise, Hahn et al. (2017) argued that investments in human capital such as entrepreneurial education connect knowledge to skills that capacitate students to engage in exploring and seizing business opportunities that motivate them to act upon. However, human capital theory also posits that students must be exposed to continuous and diverse building of knowledge and skills to avoid diminishing returns on investment (Minola et al. 2014). In the absence of continuing multiple modes of entrepreneurial education, students will not be able to continue constructing entrepreneurial knowledge and skills (Bae et al. 2014). Considering the dynamics of innovation, globalisation and competition, reality is continuously evolving. This impacts the relevance of previous learning, thereby creating a need for further learning. From the perspective of entrepreneurship education, students can reflect on what has been learnt and what still needs to be learnt to ensure that they are ready for entrepreneurship (Hahn et al. 2017).

## ■ Knowledge-based economies

With knowledge increasingly becoming the driver of competitiveness, profitability, good governance and effectiveness, HEIs are compelled to meet the human capital needs of globalised knowledge-based economies (Jessop 2017). This has necessitated the reorientation of HE teaching and research towards enhanced contact with economies, governments and communities in the co-creation of knowledge (Herndon 2016).

The knowledge-based economy is deemed crucial in the wake of competitive pressures, disruptive technologies and economic crises. In this regard, HEIs are expected to engage with hosting incubations, managing technology transfer and enabling commercial spin-offs and spin outs. This is reflected in the European Commission's (2013) assertion that HEIs hold the key to developing knowledge-based economies and societies. Similarly, Jessop (2016) opined that HEIs are strongly embedded in national systems of innovation, learning, entrepreneurial culture and economic competitiveness. Accordingly, Van der Zwan (2014) posited that HEIs have reoriented themselves towards serving the knowledge-based economy through transferring knowledge internally and externally, enterprise resource planning and business process re-engineering.

HEIs have endorsed the entrepreneurial spirit towards developing the knowledge-based economy through some of the following initiatives (Jessop 2017):

- Provision of cutting-edge new programmes reflecting new waves of social and economic growth.
- New methods of teaching and research, adopting best practices from other public and private organisations, exploiting new information and technology infrastructures and commoditising education.
- Internationalisation of education, validating degrees from other international organisations and opening international satellite campuses.
- Recruiting world-class or international faculty, signing international partnership agreements with high-ranking global universities and attracting foreign direct investment.

Relatedly, Herndon (2016) claimed that the adoption of the knowledge-based paradigm by HEIs not only focusses on entrepreneurship oriented towards students but also academic capitalism generating profit for internal profit centres and commercialisation.

## ■ Value creation for others

Fayolle (2013) identified value creation for others and the impact on the individual as important dimensions of entrepreneurial education. Value creation for the self is self-oriented in terms of developing self-insight, self-reliance, self-efficacy and initiative taking. However, value creation for others is oriented towards social, relational, cultural and personal values developed through entrepreneurial processes (Lackéus 2014). Fayolle (2013) argued that the entrepreneurship is influenced by the more value created and the impact the process has on the individual. Therefore, entrepreneurship is about the learning and change experienced by the entrepreneur, as well as the new value creation through entrepreneurial actions. In this way, the individual is influenced by and influencing others in a networked environment.

While Sarasvathy and Venkataraman (2011) argued that tools for value creation should be taught extensively, the Danish Foundation for Entrepreneurship (Lundqvist, Middleton & Nowell 2015) stated that entrepreneurship education should entail transforming opportunities into value for others such as economic, social, ecological, financial and cultural value creation. For example, Lackéus (2014) stated that when students learn through value creation for the world, they engage in social and economic activities that produce utility for external stakeholders. Additionally, Jones

and Penaluna (2013) indicated that the development of students' value-creation capabilities for others is beneficial for serving the needs of neglected communities. According to Fayolle (2013), high levels of student motivation, altruism and engagement are triggered when creating value for others through entrepreneurial education. Additionally, Lackéus (2014) reported that value creation for others emphasises collective values rather than individualist values prompted by egoism.

## ■ Drivers of successful entrepreneurial education

### ■ Institutionalisation of entrepreneurship

Entrepreneurial activities emerge when individuals perceive the existence of market and business, as well as the economic viability of such opportunities. Apart from entrepreneurial countries providing the business opportunities, environment and infrastructure for new entrepreneurs to set up new business ventures, HEIs play an important role in providing entrepreneurial knowledge and training. The institutional policies and strategies of HEIs play an important role in supporting and shaping entrepreneurial development within and external to such institutions. Relatedly, Pinto and Blue (2016) asserted that this should be inclusive of community engagement and industry-funded research, as immense value can be created through such interactions.

Stable and enduring entrepreneurial characteristics form the basis for entrepreneurship being institutionalised within HEIs (Kariv et al. 2019). For example, HEIs with a chair for entrepreneurship are a strong signal of an entrepreneurial culture creating awareness of courses and support offered (Estrin, Korosteleva & Mickiewicz 2013). Additionally, support staff providing advice and coordinating entrepreneurship courses provide visibility of an entrepreneurial culture. According to Bergmann (2017), the availability of entrepreneurship courses encourages students to engage in entrepreneurial activities, think about business ideas and raise awareness of entrepreneurial thinking. Further, high student enrolment in entrepreneurship courses also signals a positive entrepreneurship learning culture being championed by the HEI. In such instances, being entrepreneurial may be perceived by students as a desired intention (Astebro et al. 2012).

### ■ Functional curriculum

According to Agbonlahor (2016), a functional entrepreneurial curriculum should capacitate students with the skills and competencies to create and expand economic activities, identify and exploit new markets and strengthen their self-reliance on job creation. Additionally, Esmi, Marzoughi and Torkzadeh (2015) claimed that developing essential entrepreneurial skills and knowledge

is not adequate to influence new business ventures, as attitudes such as entrepreneurial behaviour, spirit and awareness facilitate the emergence of new businesses. Entrepreneurial education has to constantly reflect progressive modes of technology, production and business dynamics amidst new innovations. Walter and Block (2016) argued that individuals are not adequately prepared for entrepreneurial training through incubators, co-working spaces, impacts hubs and digital accelerators among others. Students must be empowered with the requisite skills, abilities, knowledge and mindsets to enable them to implement new innovations into entrepreneurial business ventures (Fayolle & Gailly 2015). Therefore, HEIs' curricula for entrepreneurial education must be driven by multiple approaches to entrepreneurship education. Arguably, Bugaian (2018) posited that the entrepreneurship curriculum should include aspects like business, commercial and economic content; evaluation of business opportunities and skills to run a business. To inculcate the appropriate skills and competencies, training has to be of a practical-oriented approach, impacting individual, society and the economy as a whole. Gideon (2014) suggested that the theory-practice nexus should include updated theory and real-world methods of instruction like simulations, role-playing, identifying business opportunities and student-run businesses. Such an approach must be suitable for the academic, student, institution and subject content.

Contrary to a textbook-focused approach, entrepreneurial education should be experiential, action-oriented and hands-on so that students are exposed to real-world experiences. In this regard, Zhou and Xu (2012) reported that through engagement with real-life business strategies, successes and failures, the experiences of students are made as authentic as possible. Additionally, Agbonlahor (2016) argued that entrepreneurial education must emphasise the practical components of the business terrain. Aspects like internships, entrepreneurship clubs, business plan competitions and venture incubators were cited by Zhou and Xu (2012) as important co-curricular activities driving non-mechanistic delivery. This value-adding dimension surpasses textbook learning. It further requires problem-learning activities, integration across disciplines and continuous upgrading of content to ensure relevant and impactful pedagogical delivery.

## ■ Co-creation of knowledge

In view of globalisation, knowledge creation has to be pursued collaboratively for the mutual benefit of all parties. The co-creation of knowledge can provide an impetus for shared ownership of entrepreneurial initiatives and achieving the economic and social needs of all stakeholders involved (O'Brien & Cooney 2016). In this regard, Vorley and Williams (2015) referred to the collective impact of HEIs as partners in systemic approaches to entrepreneurship. In this

paradigm, HEIs can develop programmes in consultation with industry, economic and social partners, professionals and professional associations and communities to promote entrepreneurial mindsets.

Effective collaboration among academics, students and entrepreneurs contributes to the transfer of theoretical knowledge to entrepreneurs and the transfer of practical knowledge to academics and students. John-Geldhof, Weiner and Agans (2014) asserted that long-lasting relationships between HEIs and entrepreneurs can benefit students by involving them in the activities of the enterprise such as marketing and innovative research.

## ■ Integrated regulative, cognitive, normative and conducive pillars

Stenholm, Acs and Wuebker (2013) claimed that HEIs function in a regulative, cognitive, normative and conducive environment. While HEIs are mandated and regulated by legislation to provide education, they are increasingly constructed within the cognitive, normative and conducive pillars to nurture entrepreneurship dynamics. Stenholm et al. (2013) indicated that the regulative environment together with the following three pillars through multiple embeddedness within HE enables HEIs to successfully drive entrepreneurship education.

- **Cognitive:** Public perceptions of the skills and knowledge to start a business venture are generally learned and adopted through social interactions. Such perceptions direct the potential of entrepreneurs to identify and exploit business opportunities. However, as educational capital predicts perceived skills and knowledge, specific entrepreneurial education is generally associated with positive entrepreneurial outcomes.
- **Normative:** Higher education institutions can influence social behaviour through a system of beliefs, values and norms that may be embedded in broader social contexts and cultures. Such standards of behaviour can influence entrepreneurial intentions. Higher education institutions can cultivate such intentions through extensive active learning, critical thinking and risk taking. Therefore, through entrepreneurial activities making entrepreneurship more socially desirable, value systems can be influenced towards entrepreneurship.
- **Conductive:** A conducive environment shapes the quality of institutional support for skills, knowledge, innovation and resources. Such an ethos promotes creative ideas, productivity, collaboration, competitiveness and sustainable wealth creation.

Relatedly, Korosteleva and Belitski (2017) argued that through investment in entrepreneurial education, HEIs are well positioned to accelerate the emergence of an environment conducive to positive entrepreneurial dynamics.

## ■ Entrepreneurship orientation

Herman and Stefanescu (2017) argued that entrepreneurship education, by stimulating entrepreneurial activity, can be a driving force in sustainable economic and social development. Thus, the entrepreneurial intentions of graduates from entrepreneurial programmes are triggered through awareness creation of the entrepreneurial path (Støren 2014). Korosteleva and Belitski (2017) added that orienting students on the distinctiveness of a programme is important for creating a competitive edge in not only attracting students but also triggering for entrepreneurial intention. Entrepreneurial orientation is an important instrument to help students to form and reform mindsets, which are crucial for guiding behaviours, thoughts, the propensity to scan and pursue opportunities and acting under uncertain conditions (Hockerts 2017). Therefore, the university context is an important instrument for the formation of entrepreneurial intention (Walter, Parboteeah & Walter 2013).

HEIs can provide both academic and non-academic programmes to impact entrepreneurial intentions. Academic programmes generally are content-based knowledge and skills based to provide a conceptual understanding of entrepreneurship. Non-academic programmes provide support and mentoring services; access to funding and networks, incubators and accelerators and the development of intangible resources like confidence, resilience, risk tolerance and productivity (Douglas 2013). Therefore, considering that not all students have an affinity for entrepreneurship, new students should be sensitised towards entrepreneurship courses and its relevance. Triggering such discussions can act as a springboard to initiate discussions on the relevance of this subject. Such students can also be exposed to those who have an affinity to broaden their knowledge and explore their intentions (Cai & Kon 2017).

## ■ Teaching pedagogy

Teaching entrepreneurship cannot be the same as teaching methods as other academic disciplines, as this discipline requires an integration of disciplinary and active training competencies. The teaching method should be oriented towards learning about entrepreneurship and training for entrepreneurship, with greater use of training than teaching. (Bugaian 2018). Similarly, Steiner et al. (2018) suggested that educational forms that intertwine cutting-edge knowledge with real-world, active and experience-based learning processes are critical for flexible and customised entrepreneurial developments in broader learning spaces. Additionally, incremental adjustments to existing pedagogies will hinder innovative entrepreneurial programmes.

Entrepreneurship education more recently encompasses not only developing or strengthening the entrepreneurial attitudes, skills and traits as a catalyst for economic prosperity through business ventures but also preparing students to think and behave in a proactive entrepreneurial way

for success in the labour market (Hahn et al. 2017). In this regard, the academic has to shift from merely transferring knowledge to facilitating and stimulating students to find and evaluate solutions in business practice. In this way, there is knowledge transfer from academic to student and from student to academic. This is aligned to the argument that entrepreneurs create new products and services by identifying opportunities that can lead to self-improved economic conditions and national economic growth. Individuals who do so are prepared to take risks and invest their resources in an endeavour to create wealth through business continuity (Hamzah et al. 2016). Relatedly, Hoppe et al. (2017) argued that an entrepreneurial approach requires academics to be aware of their own values, reflect on their function as teachers, be prepared to take risks and be involved in the learning of students. This is connected to the pedagogical question of how, who, what and for whom is knowledge and meaning being created. Thus, it can be argued that entrepreneurial learning should encompass the know-what (knowledge about what needs to be done), know-how (practical abilities and skills), know-why (values and motivation of entrepreneurs), know-who (awareness of social networks and ability to use them) and know-when (experience and intuition about when to take action) (Brooman & Darwent 2014). This breadth and depth of entrepreneurial skills and knowledge serve a valuable educational purpose in inspiring students towards entrepreneurial careers or alternate career paths (Honicke & Broadbent 2016). Therefore, entrepreneurship has manifold aspects that do not only encompass those in business but also those who have characteristics of entrepreneurship but may not be business or social entrepreneurs.

Additionally, Shinnar, Dan and Powell (2014) opined that students from different disciplines should be jointly subjected to entrepreneurial training as it motivates students to learn from each other; be exposed to varied thinking, analytical, problem-solving and decision-making skills within different disciplines and develop effective teamwork and communication skills. Likewise, Gemmell (2017) posited that a fusion of students from different sectors and levels adds to the diversity and enrichment of the educational process. Therefore, a compounded manifestation of entrepreneurial education can predict high-level learning outcomes (Walter & Block 2016). Similarly, Obschonka, Silbereisen and Schmitt-Rodermund (2012) asserted that it is crucial for teachers of entrepreneurship to focus not only on imparting theoretical knowledge to potential entrepreneurs but also on the development of social networks and the facilitation of an entrepreneurial culture.

Agbonlahor (2016) argued that lecturers with practical experience in entrepreneurship are crucial for quality delivery of the curriculum. Additionally, Guerrero and Urbano (2012) reported that lecturers teaching entrepreneurship education should have the appropriate qualifications, be entrepreneurially conscious and be exclusively committed to such education.

However, as many academics teaching entrepreneurship courses do not have business practices, it would be good practice to involve those with business experience in entrepreneurship training. Additionally, academics with appropriate skills and knowledge can serve as instructors in the practical work of enterprises. The entrepreneur, student and academic can learn from concrete case studies and theoretical application and benefit from valuable experience in improving teaching methods and techniques and applying best practices.

## ■ Learner-centredness

Learner-centredness encompasses driving change, which is counter to conformity and standardisation. Students should be challenged to explore their entrepreneurial intentions and personal capacity. According to Gedeon (2014), value creation initiatives for students should embody holistic transformation and personal growth, which empowers them with entrepreneurial passion, thinking and action to apply in new ventures and in their lives, jobs and communities. Broadly inclusive skills, knowledge, attitudes and behaviour must motivate students to think in terms of value creation, irrespective of their ultimate careers. Academics must provide the resources for students to initiate the transformation process, such as relinquishing excessive control, allowing trials and discomfort through active learning and trusting a process in which all students will not be successful (Gedeon 2014). In this way, the preparedness of entrepreneurship graduates will extend beyond mere conceptual knowledge.

Relatedly, Von Graevenitz, Harhoff and Weber (2010) argued that practice-oriented approaches not only help students connect theory to practical knowledge but also facilitate the acquisition of entrepreneurial expertise from diverse and concrete entrepreneurial activities. In practice-oriented entrepreneurship pedagogies, students construct their learning through experience (Bae et al. 2014). The direct entrepreneurship experience of students can promote tacit knowledge, which formal theoretical orientation may struggle to achieve (Hahn et al. 2017). Similarly, Hahn et al. (2017) reported that students achieved consistently higher entrepreneurship learning outcomes when HEIs used a more practical-oriented rather than theoretical-oriented pedagogy. Hoppe et al. (2017) argued that teaching orientation should support the belief that all students want to learn and can learn. In doing so, academics can support the development of competencies like seeking opportunities, creativity, problem-solving and innovativeness. Implementing concepts like cooperation, communication and co-workshop promotes the growth of mindsets and an affirmation that there are many wrong and right ways of thinking and answers. This orientation is aligned to Dewey's (1897) claim that learning and securing of knowledge occurs by doing, action, experience and reflection.

## ■ Cultural connectedness

Hahn et al. (2017) claimed that the beliefs of students regarding the benefits of entrepreneurship are generally context-specific because of the environment in which they function. Likewise, Hockerts (2017) claimed that the beliefs and perspectives of students are influenced by their cultural environment, implying that the desirability and decision to become entrepreneurial is a reflection of environmental factors. Some research has concluded that as the national culture of a country influences the entrepreneurial spirit, the personality traits associated with entrepreneurial spirit must be developed so that entrepreneurial action can be promoted (Roman & Maxim 2017). Thus, the socio-cultural elements impacting the development of the business environment must be considered, as such elements are linked to an individual's development from an early stage. Accordingly, Amorós and Bosma (2014) argued that an individual's actions are influenced by social norms specific to their cultural contexts. Therefore, as the HE environment is favourable for the development of entrepreneurial abilities, the development of the entrepreneurial spirit should be strongly supported. Research by Hofstede (1980) reported that the national culture impacts on the motivation and needs of entrepreneurs, their beliefs, knowledge and cultural values. It is argued that entrepreneurs connect with the environment and national culture, resulting in entrepreneurial action.

As the dimensions of national culture induce specific entrepreneurial decision-making behaviours, attitudes and risk-taking, it is imperative that HEIs recognise, support and implement entrepreneurial programmes (Roman & Maxim 2017). Such rigorous attempts can significantly contribute to a national culture that promotes entrepreneurship. Likewise, cultural views and beliefs about entrepreneurship are influenced by the type of activities students exposed to. In this regard, Bae et al. (2014) argued that cultural views of entrepreneurship can be driven by either necessity or opportunity. In terms of necessity, especially in developing economies, entrepreneurship is driven by job opportunities, while opportunity-driven entrepreneurship is underpinned by perceived business opportunities, especially in developed, high-income economies. Relatedly, Minola et al. (2014) claimed that opportunity-driven entrepreneurship requires more than the acquisition of entrepreneurial knowledge in the classroom. Additionally, Støren (2014) reported that in countries with lower levels of development, traditional courses like business planning, entrepreneurial marketing and financing were offered from an efficiency-driven perspective, while in countries with higher levels of development, more specialised courses like innovation, networking, technology entrepreneurship and social entrepreneurship were offered from an innovation-driven perspective. In this regard, Minola et al. (2014) recommended that in developing economies, entrepreneurship education should serve as a catalyst

to overcome limited learning opportunities, while in developed economies entrepreneurship education should transform traditional teaching and learning methodologies with advanced and innovative pedagogies. Relatedly, Støren (2014) opined that as contextual factors influence entrepreneurial perceptions of individuals, a higher level of entrepreneurial education can positively influence intentions, but at different levels of intensities and types of learning pedagogy.

## ■ **Generic distinctiveness**

According to Holdsworth (2018), enterprising students should aspire to be autonomous and self-regulated to conduct themselves in the business of life. The capacity to become responsible for one's own future can be developed by the curricula of HEIs. In this regard, Holdsworth (2018) argued that HEIs can promote generic distinctiveness in their curricula. Thus, entrepreneurship education should move outside the traditional realm of being applied only to business. In incorporating all the elements of entrepreneurial education inclusive of entrepreneurial passion, motivation, thinking and action orientation, a more holistic philosophy of personal development and growth can be garnered (Gedeon 2014). Thus, entrepreneurial skills and knowledge are more fundamental than merely business skills. Such generic distinctiveness enables graduates to acquire the attributes and skills to compete in the labour market, thereby making them entrepreneurs of their own human capital. Being entrepreneurs of their own labour requires them to maximise their personal interests, competitiveness and training through self-promotion initiatives (Holdsworth 2015). For example, the Higher Education Achievement Report (HEAR) in the United Kingdom (UK) advocates the ethos of learning gain, whereby students improve their skills, knowledge, work preparedness and personal development during their time within HE (Holdsworth 2018). Therefore, HEIs play an important role in facilitating the self-development and self-promotion of students through activities like community engagement, volunteering and enterprise experiences. Thus, the development of responsible self-management and individual autonomy can help students to seek diverse forms of enterprise (Shuker 2014). However, HEIs need to provide the guidance and structures to facilitate being entrepreneurial. In doing so, Holdsworth (2018) argued that students are able to cultivate their enterprise selves that will promote self-expression of innovation and creativity.

## ■ **Mentoring for self-confidence**

According to Noble (2015), pedagogical models inclusive of academic rigour, practicality and an entrepreneurial-centred approach are crucial for entrepreneurial learning. Within this paradigm, the use of mentors to

provide career, psychological and role model functions reinforces the much-needed multifaceted approach to entrepreneurial education. Mentoring positively linked with aspirations, attitudes and self-efficacy that lead to higher entrepreneurial intentions, as the study by Henry and Foss (2014) reported that mentors provided a more authentic learning opportunity for social and cultural capital. However, mentoring requires time, networking, connections and money to improve entrepreneurial education. According to Holdsworth (2018), mentoring can provide the platform for the enculturation of entrepreneurial selves, especially those who need support and self-confidence to fit in. Providing mentoring support through the navigation of entrepreneurial self-development is increasingly being seen as a source to deal with anxiety, tension and uncertainty (Bröckling 2015). Such negative emotions can become causal factors of poor self-confidence. In this regard, Bröckling (2015) claimed that poor self-confidence impacts poor self-beliefs about securing employment, being innovative and creating networks. Thus, young people who lack confidence need support to promote confidence so that they take responsibility for their self-development.

## ■ Real classrooms

According to Gedeon (2014), real classrooms require active student participation. Herein lies the importance of the 'how' of teaching rather than what is taught. Similarly, Nabi et al. (2017) argued that pedagogical methods in entrepreneurial education must shift from behaviourism, which is the primary transfer of knowledge from the academic to the student, to constructivism, in which learning involves the active participation of the student in the construction of understanding. The shift from 'what' to 'how' facilitates transformational learning, in which students reflect on their value systems, experiences, self and perceptions of the world. According to Bröckling (2015), realistic classroom spaces stimulate continuity of reflection; connect knowledge and experience; links real-life situations to context; challenges student's perceptions and provide mentoring.

Real classrooms acknowledge that not all students are engaged, accountable and transparent. Hence, a redesigned classroom must explore what students bring to the table, thereby challenging their ability to undertake tasks in an endeavour to produce actionable deliverables. In this regard, Gedeon (2014) posited that the adoption of the worldview approach in real classrooms helps students understand how and why they view the world from certain perspectives. Understanding themselves and their values is the basis on how they view and treat others. Therefore, in the entrepreneurship classroom, worldviews impact deep learning when students extract meaning and build understanding by a combination of theory and experiences, rather than surface learning of general concepts.

## ■ Risk-taking and uncertainty

Higher education programmes need to inculcate an entrepreneurial culture that extends beyond the fear of failure and risk. The element of taking risks and uncertainty is commonly associated with fostering entrepreneurial mindsets. Indeed, taking risks is an integral element of entrepreneurship, with continuous attempts to minimise its effects (Jones & Penaluna 2013). Apart from business risks, entrepreneurs need to deal with the availability of insurance, social protection and work-life balance. In trying to establish value for new products and services, entrepreneurs risk their capital, time and commitment.

Additionally, Lundqvist et al. (2015) purported that entrepreneurial decision-making takes place under risk conditions, partly attributable to the uncertainty of the environment in which the entrepreneur functions. Likewise, Fayolle (2013) argued that under the willingness to face uncertainty, entrepreneurs cannot predict the probability of outcomes, which cannot even be mitigated by managerial expertise and knowledge. Therefore, risk-taking can occur under conditions of known risk or uncertainty. Known risks can be reduced or eliminated, while, under uncertainty, negative outcomes are highly probable.

Thus, Jones and Penaluna (2013) claimed that entrepreneurs need specialised knowledge to assess the true nature of risks and uncertainty, so that deep thinking is applied before taking action. This has to resonate with managing the fear of failure and the need for self-protection. As such, cautious decision-making is an integral part of entrepreneurial attitude, signalling that manageable risks and unmanageable uncertainty are part of an intricate entrepreneurial process.

## ■ Development of soft skills

The importance of soft skills is steadily being recognised as a key dimension of the entrepreneurial learning process. In this regard, Rae et al. (2012) posited that an integrative pedagogy model and socio-constructivist view for entrepreneurship should be included. Accordingly, Sousa (2018) stipulated that soft skills act as the behavioural skills needed to apply hard skills in organisations. Soft skills like social and interpersonal skills are integral for coping with cultural diversity, impact of technology, product and service quality and communication problems. Relatedly, soft skills in entrepreneurship are inclusive of the capacity to be creative and innovative, manage cultural differences among colleagues, adapt to new methods of work processes like teamwork and flexibility and the ability to enhance job satisfaction (Sousa 2018).

## ■ Networking support

According to Gedeon (2014), networking provides linkages to information and resources, which are vital for starting business ventures and the growth of

entrepreneurial businesses. Such networks can be formal, such as networks of accountants and bankers, while informal networks may be composed of family and colleagues. Lundqvist et al. (2015) reported that awareness of entrepreneurial communities can encourage students to take advantage of entrepreneurial opportunities. Without an enabling policy environment supporting the establishment of businesses, it is very likely that business investments can be slowed down. Both direct and indirect support is needed to encourage entrepreneurs in a highly volatile and risky business environment (Bosma & Sternberg 2014). Entrepreneurial education can serve as a catalyst for job creation, economic growth, improvement in social welfare and innovative business ventures.

## ■ Funding

Entrepreneurship is dependent on research support and real-life adoption. As implementing participative and innovative pedagogies requires investment in additional resources for entrepreneurial education, HEIs must consider the trade-off between costs and investment benefits. Funds to support entrepreneurial education are an indicator of entrepreneurial orientation within the HEI. For example, research funding, capacity and opportunities are key drivers for harnessing commercial goals. Relatedly, most universities in China maintain an entrepreneurship fund to assess students' business plans and finance those that show commercial and economic promise (Zhou & Xu 2012).

## ■ Conclusion

Increasing unemployment and population growth amidst declining economic growth are critical drivers for entrepreneurship development. In an era of dynamic changes in economic liberalisation, globalisation and technology, entrepreneurship is increasingly considered a skill to nurture innovation, turn business ideas into action, create job opportunities, promote self-reliance and sustain business ventures (Hamzah et al. 2016). In reorienting individual mindsets, behaviours and lifestyles, entrepreneurial education is often cited as a panacea for economic and social reconstruction and sustainability. Additionally, the surge in entrepreneurial education is closely linked to a means of enhancing the quality of life, solving societal problems, stimulating economic growth and promoting investments in innovative research and development (Noble 2015). Considering that entrepreneurship is the engine driving global economies and societies, HEIs currently play an essential role in transferring entrepreneurial skills and knowledge.

Over the years, defining entrepreneurship has been controversial, with differing views on what should be taught in entrepreneurial education.

Any attempt to embrace a broad view of entrepreneurship education should focus on value-added transformation and growth of the student, empowering them with entrepreneurial motivation, thinking, behaviour and action, which can be applied in their business ventures, communities, lives and jobs (Gedeon 2014). Therefore, the diversity of entrepreneurial education modes demonstrates the need to adapt HE and the graduates to the requirements of the current changing, challenging and unpredictable business terrain. As the pathways that lead to entrepreneurship are limitless, there is no one way through which entrepreneurs become entrepreneurs. Likewise, entrepreneurial education can contribute to meaningful experiences through a continual process of knowledge creation and training for sustainable business ventures, as well as for innovativeness as an employee.



# Repositioning higher education as an export sector: A global perspective

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## ■ Introduction

The objective of this chapter is to motivate the benefits of commercialising higher education (HE). Setting HE as a champion to export revenue, isolating the means to the end, is imperative. Many universities around the world regard the internationalisation of HE as the recruitment of fee-paying international students (so-called export education) for primarily commercial reasons. Across the globe, education is now being regarded as a commodity that can be exported for commercial gain and a for-profit motive. Priority is now being given to foreign students as they pay higher tuition fees as some may be on scholarship funding. After decades of under-investment, there has been renewed interest in strengthening HE in developing countries. This is not merely for international relevance but also to make money out of it. Such a focus is related to the ascendance of what has been termed the knowledge economy. The debate and

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importance on value-addition in goods and services depend on research and innovation of HE. It can therefore be concluded that internationalised higher education institutions (HEIs) contribute immensely, directly and indirectly to export of a country. The developing countries are lagging behind in financing research and development, which has benefited well-funded nations. As a result of globalisation, foreign currency is well sought after that can come from internationalised HEIs. The internationalisation of HE has commodified goods and services locally and abroad among global stakeholders. However, an examination of the condition of HE in poor nations has shown some impediments to attaining this goal, such as lack of money and competence.

The observation that HE is a driver of exports has motivated countries to invest some fortunes. Many countries have realised spin-off returns and visibility in the export market from research, innovation and commercialisation of goods and services at internationalised HEIs. The internationalisation of HE has become a major objective in many universities around the globe.

## ■ What is export in higher education?

Kantola and Kettunen (2012) explain export in HE as an innovation in the facets of education that foster and stimulate international trade, directly or indirectly. Innovation in curriculum, pedagogy, research, extension services or community engagement will lead to market-pull commodities being produced for the export market.

The objectives of universities have changed as a result of the internationalisation of HE. The traditional objectives of teaching, research, extension service, innovation and commercialisation have been transformed to export services. The inbound and outbound of stakeholders in HE have created in the industry an export market where their goods and services are exchanged beyond the borders. Teaching has been fused with teaching and instructional methods that are traded on the export market. The internationalisation of HE is regarded as a source of innovation and commercialisation in the global market. Higher education as a service is now being exported by nations through higher learning institutions in the country. As foreign students come to acquire HE in the host country, they are liable to pay fees. Hence this is regarded as the exportation of education. As students migrate for education to other countries, their products and technology follow them, thereby creating an opportunity for trade in these products and services.

## ■ The rationale for export education

The reasons why education is being exported vary from both the supply and demand-side factors. These elements contribute to commodification

pressures, which refers to the growth of university activities like teaching and research within the context of commercial connections. Academic procedures and products are evaluated for their intrinsic value rather than for their inherent use value. Just like any other commodity, education is regarded as commercial in that one has to pay for it. Traditionally and in the past, HE was limited to teaching with no export interest, but now the core objectives have been inverted to accommodate activities with an export flair. As a result of the internationalisation of HE, most stakeholders are aligning themselves to institutions with products and services earning foreign currency to support the tastes of foreign stakeholders residing at their institutions.

The following are some of the reasons why HE services are exported:

- In HE, there is a surplus of national capacity, which drives HEIs to go for international markets so that they can attract foreign students. Mainly, this is so in developed countries where there is a lower population as compared to their capacity.
- Income generation: lately, HE has proven to be a well-paying business; thereby, institutions are now making money out of it. Foreign students are normally required to pay more than the locals; hence institutions are making much money by enrolling foreign students.
- International recognition and branding: For institutions, some are working hard to acquire top world rank status, while others are still striving to make a name for themselves to attract top students. Learners, on the other hand, are striving to be enrolled at top universities in the world. Internationalisation is therefore seen as a strategy that many institutions are adopting to achieve their goals as far as being on top is concerned. Learners are also moving from their country of citizenship to other countries in search of better-ranked universities or more reputable ones.
- Strategic cultural, political, economic and educational alliances: International Strategic Alliances are defined as, long-term commitments of resources to relationships that support the strategic aims of two or more organisations headquartered in separate countries, or whose joint activities take place in a country other than their headquarters. (Jongwe et al. 2020:10).
- Institutional strengthening and innovation: Strengthening institutional capacity for research and improved science education and other areas of study, including earth science, in tertiary levels has become of paramount importance. This also entails identifying priority areas for improving national and regional research capacity, as well as architecture for engineering and technology and developing new state and international institutional policies.
- Government budget cuts may have been the catalyst for several institutions in the United Kingdom (UK), Australia, Scandinavia and the Netherlands becoming more enterprising.

## ■ Other rationale factors in international higher education

Jones (2009) discovered the benefits of exporting HE by HE actors at all academic levels. At undergraduate, the host country earns tuition fees, diplomatic administration fees of visas and living expenses. Jones further notes that postgraduate international education has abstract long-term benefits in the export matrix. Postgraduate students are involved in research, innovation and commercialisation of goods and services for the export market. A solid manufacturing export base is underpinned in the university's research and innovation whose participation involves international students. Most international students return home after their postgraduate studies to support their local industries to industrialise and export. The residual students who remain in the country of studies offer trade links recourse in international trade and technology transfers.

Revisiting the trade and export theory of comparative advantage, Chen (2021), isolated international education as the major factor driving exports. The United States (US) has the largest comparative advantage in the export of education the world over. For instance, during the period 2019–2021, the US is expending around 3% of the budget on HE where an international student pays direct and indirect costs 2.6% more than the locals.

## ■ What motivates universities to participate in export education?

Some of the considerations why governments pursue export education are summarised by Healey (2017:122–123), as follows:

- **The HE sector has been commodified for a while now, with the attempt to develop the economies of lagging continents:** Trade between countries was done in different forms. Scholarships were offered mainly to developing countries to attain HE in degrees that were meant to develop their countries. Therefore, many students abroad were encouraged to go and study in science, technology, engineering and mathematics programmes as they were meant to develop their countries. Staff mobility also led to export education in HE. Lecturers were sent abroad on exchange programmes, complete relocation for jobs, research and consultancy. These activities will improve the economies of developing countries.
- **Strategic relationships:** Countries have strategically positioned themselves by exporting education. This trend has been common in emerging economies. Examples are China, Japan and Singapore where many scholarships

have been awarded. In its form, this has spread the languages of these emerging countries, which they use as a tool to penetrate markets. Students abroad will be exposed to products and services in those countries that will, in turn, be transferred to their home countries.

- **Talent acquisition:** It is not surprising that intelligentsia is concentrated in HEIs. Therefore, by transitivity, countries with a more internationalised education have a greater concentration of skills. Imagine the skill sets concentrated in universities of export repute like Harvard, Yale and Oxford University. Even in Africa, most gifted talents have passed through South African universities, especially at a HE postsecondary education level. There is an argument that the most talented Africans will eventually find themselves in Europe or the US: learning, researching, training or teaching. Unfortunately, these services will, later on, be exported back to Africa at a higher cost.
- **Improve the university's performance:** A good university ranking is attained mainly using the characteristics of an exporting international university. Academic performance is improved by offering scholarships that will attract the best students. Teaching performance is triggered by the ability to pay more owing to securing lucrative grants. The worldwide profile of an institution is connected to a number of the major variables that determine university rankings. For example, to calculate league table position, both the QS (Quacquarelli Symonds) and THE (Times Higher Education) rankings use an intellectual and employer reputational poll (Healey 2017:121).
- **Revenue argument:** This is the most common reason for universities exporting their services. They do it in the quest to attain revenue and more so in foreign currency. Most governments are faced with funding challenges to support not-for-profit activities in HE, as was the case ages ago. Exporting HEIs will get revenue from tuition fees, research grants, research and training retention fees by its students and staff. Healey (2017) postulates that universities have been encouraged to recruit massive groups of full-cost international students in countries that have restricted international student enrolment (i.e. removed both tuition and enrolment caps), effectively cross-subsidising the teaching of domestic students in high-cost courses (e.g. science and engineering) as well as research. Universities in Australia, the UK and New Zealand rely substantially on overseas tuition money, yet they have thrived since deregulation. According to West (2013), governments in continental Europe have taken note of the high global rankings of English-language universities, and some, such as Denmark, Finland and Sweden, have concluded that charging international scholars full rate is the only way to balance the demands on the government coffers with academic reputation.

## ■ The drivers of internationalisation in higher education

The internationalisation in HE agenda is driven by the conditions in the economy. Increasingly countries are crafting policies that directly or indirectly influence internationalisation in HE.

The knowledge economy, which has become increasingly important in the 21st-century economy, is fuelled by trade in services and technological university advancements. Knowledge policies govern the knowledge economy at the regional and international levels. They are in charge of tertiary education services as well as technology and development policy.

Studying abroad is a driver for internationalisation for outbound students to developed countries. As the students and lecturers participate when studying abroad, they participate in the export market buying goods and services of international taste. There are major programmes like the science, information and technology and engineering that drive the internationalisation of HE in order to place education as an export sector.

Education has traditionally been viewed as a non-tradable service to grow human capital for centuries, but with emerging advancements in the globalised world, education is finally commercialising. Teaching, research, community engagement, research, innovation and commercialisation have a business agenda, which has brought realisation to foreign currency on the international market. Developed countries are no longer emphasising student recruitment and teaching but product innovation, commercialisation and trade.

Knight (2006) observed that the internationalisation of HE is benefiting developed countries more than developing countries as the movement of students is from developing countries. Developing countries are importing goods produced by their own students through research and innovation in their studies. Brain gain through the internationalisation of HE has given birth to spin-off companies for universities.

Since 1980, more and more people around the world are choosing to enrol in HE. For the rapid globalisation and trade liberalisation, educational institutions are also following the new trend of internationalisation. A few decades ago, and still now in many parts of the world, governments and institutions believe educational institutions cannot be a profit-making firms and should remain welfare organisations only to develop human resources. In many countries, the education became one of the most successful export sector and contributing a good cash flow in the economy, for example, in the US, the UK, Australia, Canada and New Zealand (Ahmed 2010:10).

Opportunities to provide education, professional counsel and scientific information in exchange for large quantities of money are rapidly expanding. The expansion of money-making opportunities goes beyond colleges

as institutions. Individual academic members, particularly at the finest colleges, discovered new methods to boost their earnings by engaging in profitable side enterprises. As biotechnology grew in popularity, life scientists began to not only seek patents for their findings and accept lucrative consulting jobs but also to obtain stock from new companies eager for their assistance and even to create their businesses based on their discoveries. School of business professors goes to businesses ready to pay large sums for days spent consulting or training their Chief Executive Officers (CEOs) outside of the sciences. For counselling law firms or their business customers, legal experts began to charge hefty fees. Economists, political scientists, psychologists and a slew of other experts realised that their advice was valuable to businesses, consultancies and other private entities. The curriculum has a bearing on the appropriate drivers of education as an export product through constructing an ideal research agenda fit for internationalisation and export capacity.

Bok (2009) identified universities as a marketplace. The future workers of any trading business are trained at the university ready to work. Research efforts that keep an innovative edge are exchanged at the university. In an attempt to solve global problems, the dimension of internationalisation of HE is embraced by trending universities. Versatile companies are offering scholarships abroad as a way to keep themselves competitive with modern product and service developments.

Collaborations demonstrate that the solution will be broad and inclusive at the national level. Collaborative efforts have led to a better product produced at the least cost as collaborative members bring in their expertise. It brings knowledge sharing voluntarily to solve global challenges in product provision. Fulford (2016) identified collaboration as a new order of economics at the centre of the university to participate in trade of goods and services. Knowledge transfer on the production of goods and services is voluntarily transferred at the collaboration level under the pretext of the internationalisation of HE. According to Fulford (2016), industrialists should guard against collaborative silo mentality, which is fostered by scholarships. Funding institutions tend to own property rights in a collaborative arrangement.

Collaboration necessary for trade benefits is not about student-student, lecturer-lecturer or university-to-university collaboration only. The most appreciated collaboration that drives HE as an export market is the university-industry collaboration. Industry contains a lot of disaggregated data necessary for research and innovation in universities. Collaboration with industry is required in some fields of work, such as the development of new drugs because businesses often have records, vast libraries of relevant literature, sophisticated computer models and other online resources that university laboratories lack and that researchers must be able to use to

complete their work. As collaboration grows, resulting in huge successes, such as Silicon Valley in the US, the Research Triangle and the Austin Miracle, advocates for more aggressive measures to enhance and strengthen infrastructure development may be heard. The result of collaboration between university and industry is the creation of accepted products internationally. This result drives the internationalisation of HE agenda through the sales of the products.

## ■ Types and composition of education exports

Exports of education services can be delivered either offshore via the Internet, correspondence, or country professionals travel overseas, or onshore by foreign students entering a country for study. Overseas student income through own tuition and scholarships is one of the major types of education exports.

Many institutions have generated money in recent years by selling patents, copyrights and other IP rights. In many developing countries, businesses rely on universities to develop products and services. Many companies have cut their research and development costs by collaborating with universities on a scholarship basis. Lecturers have been conferred titles, such as 'Yahoo Professor of Computer Science' or 'K-Mart Professor of Marketing'. The University of Tennessee sold their school colour to a painting company in the hopes of finding customers who wanted to paint their homes with 'Tennessee Orange' to match the excitement of the college's football squad. Advertisers were even willing to pay for the privilege of having their signage displayed above the men's restrooms at one entrepreneurial university. As a result of outstanding teaching and research resources, as well as tuition fees and scholarship money from international students, South Africa has succeeded in becoming Africa's education export centre.

As the world evolves, global educational marketplace students are accustomed to instant access to education, any time, any place (Jones & Skinner 2014). Ever-present anytime, anywhere learning is attractive to adult learners who balance both homes and careers (Barton & Ryan 2014). With technological innovations creating broader access to HE, there are increasing opportunities for postsecondary institutions to expand revenue sources by selling knowledge (Altbach 2015). Accordingly, HEIs are positioning themselves in the national and international markets as entrepreneurial models (Altbach & Knight 2007; Altbach & Reisberg 2018; Altbach, Reisberg & Rumbley 2009; Barnett 2011). Change is necessary for postsecondary education institutions to remain viable and globalised (Khan 2015). Nuninger (ed. 2016) suggests that survival for institutions necessitates adaptation and a move away from traditional educational paradigms. The physical university is now a combination multidimensional education model: physical and online

(Tapscott & Williams 2010). Ilieva, Beck and Waterstone (2014) identified technology as the medium and driver of education export as students and lecturers can interact on e-learning platforms. Although globalisation and technology improvements have created considerable issues, they have also created great opportunities for education export. Globalisation, for example, considerably expands the number of potential customers for products and services. Niche abilities that were previously just of interest to a small percentage of the population may not be of much use locally because of the small population of a town. In today's globalised culture, seven billion people might be prospective customers. Even a small portion of the seven billion people might have a significant impact. Furthermore, abilities that are devalued in one location may be highly sought after in another.

The quality and quantity of education are vital in determining economic growth and trade the world over. Hanushek and Wößmann (2007) identified that the diversity of the skills attained through the internationalisation of HE has driven trade in goods and trade in itself. Therefore, it is important to commodify HE as an instrument for permitting enhanced social participation of people and demonstrating the economic function of trade. Even though trade in HE is difficult to quantify as a qualitative consequence (Broadbent & Laughlin 2007), the movement or trade of commodities and services across international boundaries, including educational services, is seen as a critical economic outcome of globalisation (Ball, Dworkin & Vryonides 2010; Khan 2015). Higher education is viewed as a marketable commodity, as well as a social service and frequently a luxury, by important global decision-makers, policy-makers and politicians (Tomasevski 2005, 2006). International competitiveness factors have been a major driving force behind the globalisation of education (Dhakal, Adhikari & Rasali 2010). Along with the movement of commodities and general services, the movement of educational services and products has improved substantially in many developing nations over the last decade as a result of education transfer and global tastes. Education is increasingly viewed as a crucial national brand for a country's knowledge competency, rather than just an export commodity (Bano & Taylor 2015). Knowledge institutions, whether commercial or governmental, are viewed as key players in a country's trade and competitiveness (Tjeldvoll 2010). Youngs (2013) predicts that as learning becomes more transnational, HE policy will become more prominent on trade agendas. This is the outcome of property rights being transferred to researchers and students. Many students and researchers travel abroad to share their thoughts and findings. Developing nations see increased participation in HE as critical to their transition to become a developed country in terms of IP commerce (eds. Amaral et al. 2003). In an increasingly knowledge-driven global economy, the idea that HE is a significant driver of trade competitiveness is now universally recognised (Brennan 2008).

Higher education has entered a new age, especially in the global market, because of technological advancements (Goldin & Katz 2008). From a local and global viewpoint, managers of HEIs must understand modern information and communication technologies (Zhao et al. 2009). Higher education institutions are more vital than ever as a medium for a wide variety of contacts and a continual flow of resources to open numerous global marketplaces (Zhu 2015). Technology is altering HE, according to Culp, Honey and Mandinach (2005), by giving a worldwide emphasis and therefore strengthening global interconnectivity.

Online HE, research, community engagement, commercialisation and innovation have been commodified through different forms of technologies. Technology has now become central to global changes: reshaping social, economic and cultural life. International universities were not established by technology, but they are all influenced by the conceptual and real-world impact of globalisation, both in terms of education (teaching) and resources (students) (Devi, Bimol & Saikia 2014). Technical advancements have changed the skills and knowledge required to thrive in the workplace, as well as the production of goods and services for export, during the last decade (Garrison & Akyol 2009). Creating technically educated and talented workers is critical for the United States and other nations' commerce, and schools and businesses must pay close attention.

## ■ Forms of traded services in education

In the last few decades, international HE has been increasingly perceived as a commodity that can be freely traded between nations (Altbach & Knight 2007). Under these assumptions, commercial factors play a prominent role in HE (Altbach 2002; Kirp 2003). Recognising these assumptions, the World Trade Organisation (WTO) has provided a regulatory framework that encourages international trade in education under the General Agreement on Trade in Services (GATS) (Altbach & Knight 2007). These services can take four different forms, namely:

- consumption abroad
- commercial presence
- cross-border supply
- presence of natural persons.

## ■ Consumption abroad

This refers to student mobility. The consumer has to move to economies that are providing the training, research, internship and degree programmes they prefer. This service of migrating for education will result in the student being an export and those teaching/treating the student as imports.

Economies are tirelessly providing goods and services that attract students to their territories physically. This consumption abroad is what is sustaining education as a commodity. Consumption will be witnessed in entertainment, uniforms and food and education ancillaries. In European countries, students contribute a large percentage to their tourism sector. All the students will need permanent or temporary accommodation during their stay. Food is autonomous and international students contribute to the food industry by assisting the diversification of food items based on their preferences and tastes. Close to many international universities, there are regional, ethnic or culture-based food outlets. Instant trade creation is realised in the host country with benefits to the country of origin expected in the future.

### ■ Commercial presence

Commercial presence as an export product refers to the physical structure relocated beyond the students' borders of origin. It is a common practice whereby universities are internationalising by having accreditation in another country and an established physical presence. The product has relocated to a place beyond its borders where there is demand. Most African students prefer having postgraduate studies in Europe and the US, but to shorten the customers' movements, overseas universities have established themselves; in Africa, for example, Monash University in South Africa and UNICAF University in Zimbabwe and Zambia. This is internationalisation at home, or simply put, 'importing without crossing the border'.

### ■ Cross-border supply

Cross-border supply emphasises trending remote learning done using the online medium. Technology is the medium that supports trade in this arrangement, where the student will be learning virtually. This can be loosely referred to as virtual trading. Franchising courses is one main form of exporting courses virtually to students who will be *in situ*. Export revenue is obtained by franchising courses online to other universities; thus by transitivity, the courses are accredited. Under franchising, it is not all courses that are borrowed, and there is a difference in non-teaching activities like entertainment and food.

### ■ Presence of natural persons

This is when academic staff travel to other countries to provide educational services (Altbach & Knight 2007; Cai & Kivistö 2013). In simple terms, this is the export of labour. There are foreign lecturers in faculties who are adding value back in their countries. A lot of foreign currency is generated by lecturers dotted the world over.

## ■ The Uppsala internationalisation model/ internationalisation of higher education as an export business

The Uppsala Internationalization Model distinguishes among four different steps or phases of entering an international market, which cannot be viewed independently of a company's situation, market and market knowledge:

- Step 1: No regular export activities (sporadic export).
- Step 2: Export via independent representatives (export mode).
- Step 3: Establishment of a foreign sales subsidiary.
- Step 4: Foreign production/manufacturing.

Direct establishment of a subsidiary in the host country. Companies usually begin their expansion in a psychically and culturally close market, according to Johanson and Vahlne (1977). The fundamental focus of the Uppsala model is the firm's internationalisation effort, which will be gradual in several phases, as stated in the model's pillars. This well-known literature's imprint may also be discovered in the educational services industry. Healey (2008) looked at whether HE is truly internationalising through the use of current commercial models. Some stages in the globalisation of educational services are mentioned:

1. exporting
2. licensing production
3. joint venture
4. sole venture.

*Exporting.* When overseas students enrol to the home universities and pay fees or are supported by scholarships, this is referred to as HE export (Healey 2006). Education export, unlike other exports such as the commodities and service trade, occurs when students from other nations enrol on home campuses.

*Licensing production.* When a HE service provider franchises a programme with a foreign partner school, the phrase licensing production is typically referred to as 'franchising'. Partnerships with well-known institutions, mainly from OECD nations, are often made by institutions of HE. 2 + 2 or 2 + 1 + 1 are common terms for franchising agreements. Foreign students who study for a length of time at their home universities enrol in foreign institutions for a specific amount of time. Occasionally, franchising schools provide 4 + 0, which means that a whole degree is franchised (Healey 2006). Universities with a good reputation have had problems with franchising partners accepting them for their lack of quality; therefore the UK reacted with a quality assurance programme for the franchising partners. Between 1996 and 2005, the Quality Assurance Agency (QAA) conducted quality inspections on several aspects of the franchising scheme (Healey 2006).

Firms establish a production capability with a local partner in this phase. In the educational sector, institutions collaborate with local governments or institutions to establish campuses in other countries. As a result, a joint venture might be considered the Uppsala model's third wave. As the need for HE grows in Asian countries, Singapore and Malaysia encourage foreign investors to build branch campuses to fulfil domestic demand while also attracting international students; mostly from neighbouring countries, according to Healey (2006). Singapore and Malaysia changed their policies in 1977 and 1998, respectively, to encourage well-known colleges and institutions to invest in this sector. Monash University, for example, collaborated with local partner Sunway College to establish a branch campus in Malaysia. In Malaysia, the University of Nottingham is a joint venture initiative with the Malaysian Boustead business, which owns the majority of the shares. Swinburne and Curtin University have joint venture campuses with the Sarawak government in the province of Sarawak. China, as the largest market for educational sector investors, is spending heavily to establish joint venture educational centres and campuses, which began in 2003 with China and was quickly followed by Singapore and Malaysia. Well-known Western institutions have recently established joint venture campuses in Dubai and other Gulf regions. Murdoch University and the University of Wollongong have just entered the market.

*Sole venture.* The single venture, the fourth and final wave of the Uppsala model, is a stage in which a company establishes wholly owned manufacturing facilities in another nation. Opening campuses and research facilities completely owned by the home school in another nation might be considered a single venture in the HE business. In the OECD countries, there are several instances of sole venture campuses. According to Ahmed (2010), there is a trade barrier in developing nations for Western universities to establish a sole venture campus comparable to the Uppsala model; however, there is an increasing trend of sole venture campuses being established in Asian countries as well. Royal Melbourne Institute of Technology in Vietnam is the first fully foreign-owned university in Vietnam.

## ■ Global trends in higher education as an export sector

According to UNESCO, there were over 5.3 million international students in 2017, up from two million in 2000 (Portal 2018). More than half of them were enrolled in educational programmes in six countries: the US, the UK, Australia, France, Germany and the Russian Federation. China, India, Germany, the Republic of Korea, Nigeria, France, Saudi Arabia and numerous Central Asian nations are all major foreign student-sending countries.

The number of globally mobile students is growing, and their itineraries are becoming more diverse. Non-resident visa status (sometimes known as a

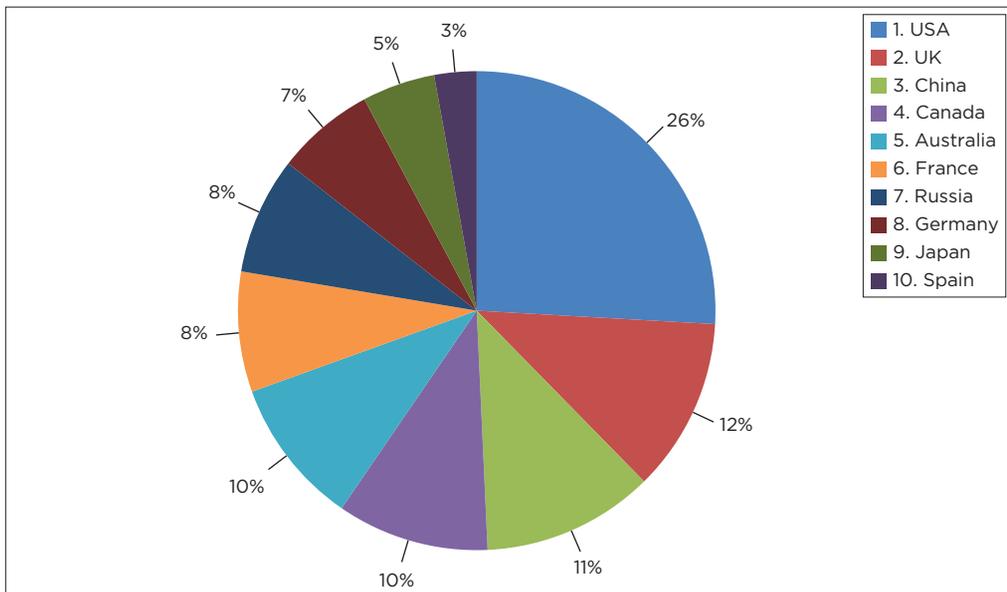
student’s visa) is generally held by ‘internationally mobile students’ who are pursuing a postsecondary degree (or higher) in the receiving country. These scholars are also referred to as ‘degree-mobile students’ to underline the fact that they will receive a foreign degree and to separate them from ‘credit-mobile students’ who are on brief exchange or study-abroad trips.

Students received a total of US\$1,229m in government development assistance in 2016 (United Nations Department of Economic and Social Affairs [UNDESA] 2018). By tracking expenses incurred on global scholarships, these data may be used to track UNESCO SDG commitments to student mobility.

Studies of globally foreign students tend to concentrate on the situations (push and pull variables) that encourage international students, but authorities are also interested in international students as they may one day become highly qualified immigrants.

Credit-mobile students are known as ‘study-abroad’ or ‘exchange’ students, as are those who participate in the EU’s Erasmus Mundus programme. While earning a modest number of credits from international schools, some students stay enrolled in their native nations (Van Mol & Ekamper 2016). Most data on overseas students exclude credit-mobile scholars because of their fluctuating enrolment status.

Educational service exports ranked sixth among service exports in 2019, according to statistics provided by the US Department of Commerce’s Bureau



Source: Adapted from Project Atlas (2019), Institute of International Education.  
 Key: USA, United States of America; UK, United Kingdom.

**FIGURE 10.1:** International students’ population in 2019.

of Economic Analysis. During the 2018–2019 academic year, the United States welcomed over one million students and recorded US\$44.04bn in education exports, supporting over 458,000 employees in the US. Colleges and universities in the US play a critical role in assisting foreign governments in partnering with private businesses to meet critical education and training needs. According to the OECD, eight million students will study abroad by 2025.

The information deduced in the pie chart shows the top ten countries with international students' population. The 26% of HE students in the US are international students. The UK, China, Canada and Australia contain over 10% of total international students among their HE students. As individual countries, France, Russia, Germany, Japan and Spain have less than 10% of total international students among their HE students.

## ■ Trends in higher education exports

To better understand HE exports and student mobility, it is worth looking at HE and student mobility developments over time, top origin and destination countries, as well as the most popular fields of study. Student mobility has significantly increased over the past few decades. In 1975, the number of international students worldwide equalled 0.8 million, while in 2012, it had increased more than fivefold to 4.5 million. Moreover, between 1990 and 2011, there was a greater increase in internationally mobile students than the overall increase in demand for tertiary education. Additionally, conversely to what might have been anticipated, the demand for education abroad did not decrease during the global economic crisis. The growth in student mobility reflects an overall increase in HE demand and the 'globalization of economies and societies' (OECD 2013).

The mobility of international students has increased the world over as a result of anticipated benefits. The high demand for HE has led to students moving around internationalised institutions. Some institutions drive international student mobility, for instance, governments, development institutions and non-governmental organisations and business firms. Scholarships have been the main incentive for student mobility. Staff welfare in government and private firms has seen students scattered in HEIs the world over. Infrastructure availability and high-status degrees are sought after by mobile students internationally. Job market searches in the future, a good life and state instability from social, economic, political problems have supported the export in HE.

Data from UNESCO and the OECD in 2019 show that 73% of students in international HEIs are in OECD countries (e.g. Germany, Australia and the UK, among others). In this list, the EU has a bigger number of international

Most represented countries in international higher education									
China, India, South Korea	China, USA, India	S.Korea, Thailand, Pakistan	India, China, France	China, India, Nepal	Morocco, Algeria, China	Kazakhstan, China, Turkmenistan	China, India, Austria	China, Vietnam, Nepal	Italy, France, USA
5.50%	20.90%	1.20%	21.40%	28%	12.80%	8.60%	9.90%	5.70%	7.60%
<b>USA</b>	<b>UK</b>	<b>China</b>	<b>Canada</b>	<b>Australia</b>	<b>France</b>	<b>Russia</b>	<b>Germany</b>	<b>Japan</b>	<b>Spain</b>

Source: Adapted from Project Atlas (2020), Institute of International Education.  
Key: USA, United States of America; UK, United Kingdom.

**FIGURE 10.2:** Most represented countries in international higher education.

students, showing how good its policies are for international students. The largest number of students from a particular country studying abroad (outbound mobile student flows) has been the largest for some time from countries like China, Germany and France. The fastest-growing countries in outbound mobile student flows are China and India. Conversely, outbound student mobility ratios come from developing countries, with countries like Botswana, Zimbabwe, Sri Lanka and Angola top the list. Inbound student mobility is equally high in countries with high outbound student mobility. China to the US and India to the US offer the most common bilateral student mobility in the world.

The interpretation of the information is that 5.5% of the international students in the US originate mainly from China, India and South Korea. The 20.9% of the international students in the UK originate mainly from China, the US and India. In China, 1.2% of the international students originate mainly from South Korea, Thailand and Pakistan. In France, 12.8% of the international students originate mainly from Morocco, Algeria and China. France has interesting statistics where African international students are recruited. China has the most presence of international students the world over.

## ■ Most popular fields of study

The most popular fields of study pursued by international students are business, the social sciences and STEM (OECD 2015). On average, more than one-third of the international students in the OECD countries choose to study business, law and the social sciences. This is followed by 14% of international students following the engineering, manufacturing and construction tracks;

13% specialising in the humanities and arts and 11% pursuing science degrees. The study fields with the lowest percentage of international students, on average, are agriculture (2%), education (4%) and services (4%) (OECD 2015). Several reports indicate that popular fields differ across countries. For example, in countries such as Australia, Estonia and Luxembourg, most international students choose to study social sciences, business and law (OECD 2015). In the US, more than 50% of international students coming from India, Iran, Kuwait, Nepal and Nigeria study in the STEM fields. The governments of these developing countries support their students as part of the country's broader development plans. Furthermore, around 25% of international students studying in the US while originally coming from China, France, Germany, Indonesia, Venezuela and Vietnam choose to study business or management.

The data Figure 10.2 show the popular destinations of international students' destinations by areas of study. The US tops the list in all the study areas except in health promotions.

Most international students took up science-related study areas with engineering topping the list in the United States, Germany and Russia. Business management tops the list in Australia, the UK and Japan. This shows that engineering and business management are the top programmes for international students.

Besides the large numbers of international students in these areas of the study showing the intensity of HE as an export commodity, it shows the high appetite for innovation and commercialisation meant for export. For instance, engineering is the bedrock for producing goods and services, which will be fused with business management skills to facilitate exports.

In 2018–2019, over two-thirds of the one million associate's degrees conferred by postsecondary institutions within the US were concentrated in three fields of study: liberal arts and sciences, general studies and humanities (410,600 degrees); health care professions and related programmes (182,600 degrees) and business (116,800 degrees). Of the two million bachelor's

**TABLE 10.1:** Most popular fields of study for international students.

Country	Mathematics and computer science	Engineering	Health care promotion	Business and management
United States	203,461	230,780	35 446	182,170
Australia	55 416	44 446	31 225	170,470
United Kingdom	32 835	54 665	32 835	132,770
Germany	30 422	74 568	14 887	44 133
Russia	12 648	73 092	52 610	62 378
Japan	4 709	29 464	5 027	52 303

Source: Adapted from Project Atlas (2016), Institute of International Education.

degrees conferred in 2018–2019, some 58% were concentrated in six fields of study: business (390,600 degrees), health care professions and related programmes (251,400 degrees), social sciences and history (160,600 degrees), engineering (126,700 degrees), biological and biomedical sciences (121,200 degrees) and psychology (116,500 degrees) (National Center for Education Statistics 2021:1).

In 2018–2019, over half of the 833,700 master's degrees conferred by postsecondary institutions within the US were concentrated in three fields of study: business (197,100 degrees), education (146,400 degrees) and health care professions and related programmes (131,600 degrees). Of the 187,600 doctoral degrees conferred, 63% were concentrated in two fields: health care professions and related programmes (82,900 degrees) and legal professions and studies (34,400 degrees) (National Center for Education Statistics 2021:1).

## ■ Transnational education

Transnational education is a new phenomenon with its global expansion and recognition. It resembles 'distance education' and will probably develop more and more in the future. It embraces large student bodies the world over, catering to the domestic needs of developing countries that require high-level expertise. The new information and communication technologies have facilitated students in their studies, providing a global competitive environment. It may provide the students and academicians the opportunity of achieving the international standards of education. There will be concerted and deliberate efforts to ensure the quality standards and worldwide qualification recognition through TNE in the future (Hussain 2007:171).

Transnational education is an export product lucrative to students who have high regard for foreign qualifications while domiciled in their countries of origin. There is virtual travel in terms of learning, but other settings remain static to the countries of origin. This is why others review TNE as not being a comprehensive export product. This export product works well where both countries and their stakeholders are complemented by an effective framework for TNE. The most common degrees under TNE are commonly from the business, science and engineering faculties. Pioneer countries of TNE are France, Italy and Germany. It is a fact now that branch campuses have increased vastly the world over, including in Africa, with Nigeria and South Africa.

## ■ International research collaboration

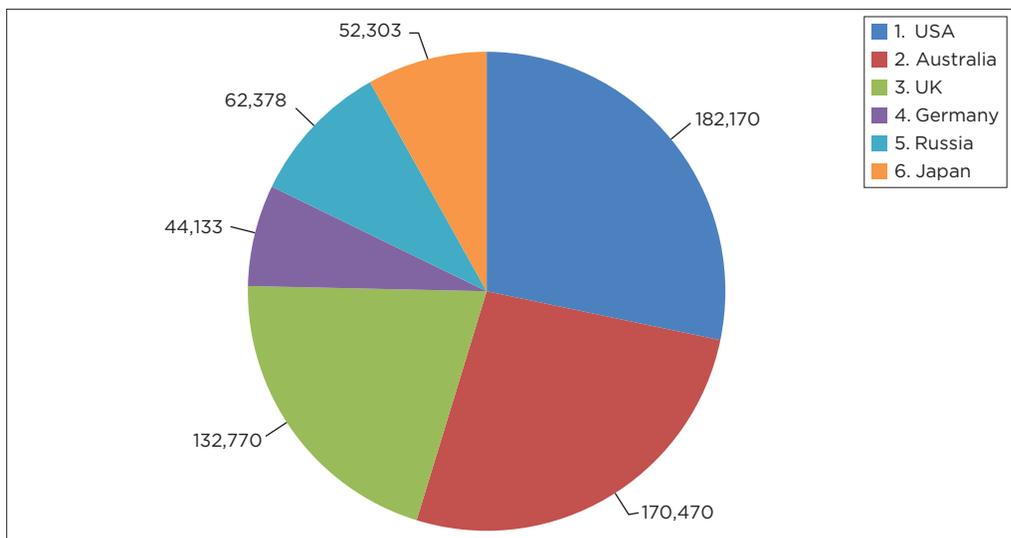
Massive international research collaboration can be viewed as a self-organising, networked system in which researchers select colleagues and study locations

(Wagner 2018). Because of changing performance outcomes and great possibilities afforded by information and communication technologies, independent researchers are increasingly cooperating internationally in what can be described as a process of ‘selective attachment’, in which certain participants are admitted to an increasingly elite circle.

The US is highly ranked in terms of research collaborations, followed by China. Population demographics also seem to favour these two countries together, coupled with them being economic powerhouses. Growth rates in research collaborations are high in developing countries, with a few Africans whose education is linked to high-ranking countries.

## ■ Business research

Research collaborations with business and the institutions of HE are the engine of research and development in first-world countries. Commercial involvement opportunities will continue to expand, with the most promising countries being those that invest heavily in technology and research. The leading HEIs in business research are concentrated in the Nordics, with Sweden and Norway at the top. This analysis not only confirms Japan as a key player in technical development for international commercial applications, but it also shows that China, although starting from a long distance behind its more established competitors, is rapidly expanding its knowledge. Patent and intellectual rights acquisition among lecturers in the Nordics, Japan and China is high.



Source: Adapted from Project Atlas (2016), Institute of International Education.  
Key: USA, United States of America; UK, United Kingdom.

**FIGURE 10.3:** International students in business and management.

Subsequently, the lecturers in these countries will join the business sector or double on both.

The pie chart shows the number of international students in the business and management programmes who can champion business research. It also follows that the countries mentioned also are champions in research and innovation too.

## ■ Implications and recommendations in higher education as an export sector

Higher education as an export sector has led to improvements in the education sector. This is because the more international students are targeted, the more investments within the sector take place. This improves the quality of education because of improvements that take place to meet international standards. The growth of online degree programmes that are being offered implies that more people are now able to acquire education from the countries of their residence. This reduces the movement of people from one country to another for the reason of learning, which is a good and cost-cutting development.

There is a risk that even countries and institutions that cannot accommodate foreign students can still go on to enrol them. There is no formal regulation in place to make sure that standard education is offered across the globe and implies that some may be offering sub-standard education, which will have future consequences that may be very difficult to correct once left to go on.

International education should be regulated so that the quality of education is not compromised. Institutions should meet certain standards before they are allowed to offer international programmes. Exportation of HE is important; however, the quality and the value of it should always be preserved.

The commodification of HE through internationalisation of HE by creating corporate or export universities has been met with mixed feelings. Hard core educationists bemoan the death of traditional teaching, which has been transformed to product and service teaching. Professors who failed to join the change to an export university agenda have lost their jobs or relevance. Sadly, the financial gain from export universities is given visibility by governments who have also reduced university funding. Unfortunately, the corporate universities operate at the mercy of market forces who now have massive controls over the facets of education. In some instances, the market forces are ignorant and devoid of academic principles while glued to profit returns.

No doubt, the corporate universities have subrogated their roles as a learning institution and joined the industry as university spin-off companies. Assessment of universities has been transformed and measured in monetary and further in profit values other than the known education assessment variables like graduate and quality of passes. Learning and studies have 'come to be valued in terms of its ability to be converted into income or products and not in any other manner, such as aesthetic or recreational pleasure', according to cultural anthropologist Wesley Shumar.

## ■ Export promotion strategies in higher education

The report from Hanover Research (2020:5) provided the following export promotion strategies in HE:

1. **Conduct outreach to new international markets:** Differentiation methods that extend recruiting outreach to develop foreign markets are becoming increasingly popular among institutions. Bangladesh and Ghana, both of which have a fast-growing middle class and market, are particularly promising. Nepal and Kuwait are two more growing markets (Hanover Research 2020:5).
2. **Reduce reliance on oversaturated international markets:** Many reasons influencing the fall in foreign student enrolments are outside the institutions' control, including some foreign countries, such as Brazil and Saudi Arabia, have cut back on grants that used to send teachers to the US, but China's attempts to strengthen its local university system have kept more students at home. Institutions are progressively deprioritising these oversaturated areas to focus their efforts on other promising markets. (Hanover Research 2020:5)
3. **Provide additional visa and international support services:** While social and political pressures in the US are identified by 60% of schools with falling foreign enrolments as contributing reasons, the visa application procedure or visa issues/delays are highlighted by 83% of schools. Institutions have responded by establishing extra immigration-related legal services or student support programmes to assist students in navigating the process.
4. **Foster post-study work opportunities:** A substantially significant positive relationship has been discovered between the provision of temporary post-study job possibilities and the rise in foreign enrolments, according to research. Developing ties with companies that enable the transition from college to employment easier may make schools more appealing.
5. **Develop student services that acclimate international students to campus:** Providing assistance that concentrates on the particular problems that international students face while studying in the US (such as

communication difficulties, culture shock, lack of understanding with the US educational system and more) can help institutions establish a reputation for being especially welcoming to international students. To ensure that students feel understood and at peace, the University of Maryland-College Park's counselling centre employs psychologists who understand several languages, including Spanish, Mandarin, Cantonese, Hindi and Gujarati.

## ■ Conclusion

Colleges have been considerably more active in marketing what they know and do to individuals and companies in the 21st century. This type of commercialisation is not new; it began many decades ago with the rise of intercollegiate athletics. According to Bok (2003), Yale's football team brought in more than \$1 million in revenue as early as 1915. Colleges, on the other hand, have been considerably more active in seeking to gain money from their research and instructional operations since 1975. Many schools have begun aggressive patent licensing operations, for-profit online education companies and a range of other commercial endeavours.

The commodification of education for export can infringe on these scientific canons in several ways. The emphasis of profit benefits to researchers has a possibility of moving away from the traditional objectives of education and only concentrate on market-based education. It has been observed that teaching and learning can result in boredom and inertia, which can be removed by the commercial motivation embedded in corporate universities. Teaching and learning have been left for pre-secondary education.

College export can erode collegiality and trust among academic communities by causing previously unnoticed divides and conflicts. Professors who put in long hours on typical academic responsibilities would hate colleagues who establish a new business or spend a lot of time consulting for extra money. Humanists will be treated as second-class citizens. Faculty and administration will clash over the correct distribution of patent royalties or the management of a firm started by a professor but partially supported by the institution. Graduate students may also accuse their supervisor of using their ideas for the advantage of a firm in which the professor has a financial stake. The chapter managed to tease out the hidden treasure in HE as a commodity, lucrative for export. The export of HE is therefore one of the largest foreign currency earners and a vehicle for globalisation that most developing countries aim to achieve. Countries should strive to establish terrific promotional strategies to enter the HE sector market.

# Competition in higher education

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## ■ Introduction

In recent decades, especially at the turn of the new millennium, competition and competitive schemes among universities have dramatically developed. Competition has evolved from competition for students to competition for professors and competition for budgets (Musselin 2018). Interestingly, as a result of internationalisation of HE, the nature of competition has also evolved from teaching to new forms of competition such as research universities and innovation (Musselin 2018). Competition in higher education institutions (HEIs) is in multilevel form, globalised, institutionalised and as universities becomes competitors, it takes place between individuals and countries. Universities have also reshaped their curricula to enhance quality of education and corporate competitiveness. One key aspect, among others, which has been used as a yardstick of the level of competitiveness among universities is the global ranking or rating of universities. In order to become world-class institutions, universities always strive to improve their ranking. Thus, global rankings of universities are perceived by many as an ultimate tool for assessing the level of competitiveness in HEIs. In order to unpack competition in HE, this

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chapter discusses forms of competition in HE, multilevel competition; equipped, organised and visible competition; competition nexus of quality of education; competition, norms and cooperation and competition nexus global university ranking.

## ■ Three forms of competition in higher education

Marginson (2004) argued that competition in HE involves universities as producers and students as consumers and it takes place at three levels, that is, economic market competition, status-only competition and capitalist market. As noted by Marginson (2004), at all levels, HE is classified as a commodity that can be acquired by consumers, that is, students, to advance their private interest. The commodity, in the first instance, is status.

Over and above the mode of production shown in Table 11.1, the location of producer institutions within the status hierarchy influence the operations of competition within universities, in particular, the behaviours and motivations of producer institutions (Marginson 2004). According to options available to them, in systems organised on the basis of market competition particularly in Latin America, Asia and English-speaking universities, universities are more or less status driven, that is, more or less driven by revenues and market share.

At an international level, networked relationships between different national education systems and the individual institutions within them define competition in HE (Marginson 2004). In its geographical and disciplinary coverage, the network is incomplete and uneven but is continuously expanding as a result of globalisation. For example, globally, the global ideoscapes are constituted by leading United States (US) research-intensive universities (Braudel 1981; Castells 2000; Marginson 2004). In this regard, the US universities' role of HE is powerfully reinforced by direction, weight and the amount of resources. Braudel (1981) and Castells (2000) argued that world leading powers dominate global networks of universities. In recent years, especially from 2000, because of the increasing wave of globalisation,

**TABLE 11.1:** Features of three levels of competition in higher education.

<b>Output in the form of individualised commodities</b>	<b>Status - only competition</b>	<b>Market competition</b>	<b>Capitalist market</b>
Competition between consumers for status	Yes	Yes	Yes
Competition between producers for status	Yes	Yes	Yes
Buyer-seller monetary exchange takes place	No	Yes	Yes
Competition between producers for relevance	No	Some	Yes
Revenue accumulation for accumulation sake	No	No	Yes

Source: Marginson (2004).

competition in HE is influenced and reinforced by global competition, notwithstanding the fact that the majority of students receive their education from within their national systems (Braudel 1981; Castells 2000). In addition, as noted by Braudel (1981), Castells (2000) and Marginson (2004), in the capitalist form of tertiary education, competition has been largely characterised by dynamism and has become global.

Progressively, in some academic fields such as science, engineering and technology, global competition has become more defined and, in a number of cases, has detected and superseded local competition (Marginson 2004). In doctoral training, in particular, global competition has displaced local competition (Braudel 1981; Castells 2000).

In HE, as noted by Braudel (1981) and Castells (2000), global competition has two roots.

Firstly, the provision of scholarships aimed at enabling students from third-world countries to undertake studies in the US and Europe. These scholarship schemes date back to the 1950s and 1960s as cold war foreign policy and decolonisation programmes and, as such, have accustomed a growing number of families from the business, governmental and professional elites from developing countries to the idea of foreign study as a means to individual distinction and self-actualisation.

Secondly is the exodus of private students from the developing nations, especially from China, to study in the OECD sphere. In the OECD countries, private students constituted a larger group than the scholarship students, notwithstanding the fact that there was no policy on private students from the receiving countries (Marginson 2004). Subject to quotas aimed at restricting numbers, in a number of cases, private students paid full fees, but in some cases, their places were fully or partly subsidised by the host nation (Marginson 2004). Evidence shows that students under scholarships were regularly enrolled in research intense degrees and professional programmes that are expensive, such as medicine, while private students (i.e. students who pay their own fees in full) were largely found in coursework degrees such as commercial degrees (Braudel 1981; Castells 2000; Marginson 2004). These two categories of students have continued to dominate the international movement of students. In this process, they have redefined the market for HE from a localised one to a transnational market. As noted by Marginson (2004), competition in HE and globalisation is shaping the development of TNE in a number of ways.

Firstly, the exchange programmes that exist among universities across their national borders have demand for foreign qualifications and improved learning experience of the students. This in turn has accelerated the movement of people across the globe and the growth of an internationally mobile labour force, especially in the field of technologies, arts, business and finance and

scientific research. Ironically, some of these movements have fed directly into universities.

Secondly, the difficulties that are traditionally associated with moving across borders have been eased by instantaneous communications and more open information environment. As a result, this has made it easier for students to remain in touch with their families and increase flexibility (Marginson 2004). In addition, the establishment of worldwide network of universities has resulted in the development of a restricted transnational market in commercial business education and the elite HE although their systems are accessible to all (Frank & Cook 1995).

Thirdly, as a result of globalisation, in the absence of intermediation from national governments, international electronic networks are used by countries to coordinate TNE (Marginson 2004). Resultantly, in recent years, especially on the turn of the new millennium, at any point in time HEIs have been able to manage multiple and busy relationships across borders (Beerkens 2004). As observed by Beerkens (2004), driven by established formal networks, dealings between universities on a one-on-one basis have becoming more intensive and extensive. Interestingly, these networks have been reinforced by an emerging trend of marketisation in HE (Marginson 2004; Marginson & Rhoades 2002; Marginson & Sawir 2004).

## ■ Multilevel competition

The history of competition among universities shows that, at the beginning, competition in HE was centred on research. Later on, research teams and very few individuals participated in this kind of competition. With the passage of time universities entered the fray and began to compete with each other. At the same time, a number of institutions in the education sector also joined in and become competitors. In this regard, academics and universities have become active players competing for quality and status (Musselin 2018).

## ■ Competition with individual, institutional, national and international stakeholders

During the 19th century, in the field of science, France used academic visiting scholarships and exchange programmes to spy on Germany. France, from 1896, used the information secured by their scientists and associated reports they generated to promulgate a HE act, which radically transformed the tertiary education in France (Charle 1994).

Likewise, in order to strengthen its HE system, the Russians, after their defeat by the Germans in Crimea in 1856, sent young scientists to go and further their study in the area of chemistry at the Heidelberg University

(Gordin 2008). These scientists, who included Mendeleev, developed a Russian nationalist way of developing chemistry, which was adopted by the Russian government. These two classical examples demonstrate how competition takes place both at individual and national levels of competition in science in tertiary education.

In Europe, competition in HE was largely regulated by the academic profession, but rules were set by the state while tertiary education institutions played secondary roles. In France, for example, until 1968, the discipline-based faculties, together with the National Council of Universities, provided the regulatory framework for competition in France (Musselin [2001] 2004). The same situation was observed in Germany in the mid-1990s where strong competition among professors and universities was noted as the same (Enders & Teichler 1995).

On the contrary, in the US, the way competition in HE was regulated was quite different from the European case. This was particularly so because the US tertiary education institutions were established through the initiatives of private individuals that saw the development of strong institutions (Clark 1987). Expectedly, towards the end of the 19th century, the first university rankings were established in the US by the Commission of the US Bureau of Education (Salmi & Saroyan 2007). Again, in 1957, the universities' rankings were published by James Catell and the Chicago Tribune, and these rankings were used as a barometer of competition among universities. In the subsequent years, which ensued, that is, in 1983, an improved university ranking system used to rank universities globally was published by the US News and World Report. The editors of the US News and World Report invested in university rankings with a view to show the most competitive universities. Over the years, the US News religiously published university rankings yearly (Espeland 2015).

This practice gradually spread to Europe. The university ranking was preceded by reforms that were implemented by most countries in Europe with a view to transform universities into organisations as well as increasing both their managerial and institutional independence (Berdahl 1971; Krücken & Meier 2006). The establishment of accreditation and evaluation agencies in Europe further strengthened the concept that training and research were not only individual based but also institution based (Schwarz & Westerheijden 2004).

As part of the reforms, the United Kingdom (UK), in 1980s, introduced the Research Assessment Exercise whose mandate was to evaluate university departments that resulted in ranking of universities based on grades produced. In Germany, Center for Higher Education, a tertiary education think-tank, was established in the late 1990s with a mandate to publish the first rankings of German universities as a dashboard of their competitiveness.

The sustained increase of rating agencies as well as their refinement demonstrates a clear reinforcement of the argument that competition in universities is no longer confined to individuals and countries but has become multilevel and global. Based on this trend, there has been a consensus that competition in HE is no longer solely taking place at an individual level and is multifaceted as it is simultaneously taking place at the individual, national and institutional levels (Lazega & Snijders 2016).

In recent years, evidence has shown that competition between research universities has increased and shifted the locus from the national to the supranational level (Schwarz & Westerheijden 2004). In this regard, successful universities have broken the tradition of concentrating competition in the domestic market to competition in the international market. Interestingly, the focus of teaching of these successful universities is no longer solely targeted at local nationals, but global citizens (Schwarz & Westerheijden 2004).

In the same vein, the composition of the student body of these most successful universities as well as their faculties are now largely constituted by global students. Likewise, research areas of these universities address international development discourse as opposed to national issues. From a funding perspective, because they have a large population of international students whose tuition fees are pegged at a premium, they are less dependent on local funding.

## ■ Universities as competitors

Universities are responding to growing competition in HE through the adoption of competitive behaviour and reviewing their strategic approach (Hasse & Krücken 2013; Krücken 2017). University rankings have remained a permanent feature and the most trusted barometer of competition among universities, notwithstanding extensive criticism by some universities (Hazelkorn 2015).

In Europe, the reforms that were undertaken by governments in the 1980s created the platform for competition among universities. Experience from these reforms is that the transformation agenda aimed at repositioning universities to be competitive has evolved from only concentrating on identified fields of specialisation to a redefined role of university leadership, such as university vice-chancellors as competitors (Chatelain-Ponroy et al. 2012; Musselin et al. 2012). Empirical evidence has shown that the importance of competition among presidential teams (i.e. the president, vice-presidents and registrars) showed strong reservations on their institution's ability to win competitive grants from the French government (Chatelain-Ponroy et al. 2012; Musselin et al. 2012). University leaders are of the view that it is important that, instead of only evaluating the universities as institutions for

the purpose of awarding national grants, it is important to assess them with their peers in other universities and then award grants based on their competitiveness. Based on this view, these university leaders are convinced that the outcome of these assessments that will be positively identified with them is more legitimate, which can be used to make strategic decisions and to set priorities such as budget allocation, redeployment of personnel and closing units.

In addition, although disputed by some academics, it is expected that when university leaders become competitors, they are expected to develop a new understanding of their role and become more interventionistic. However, this new role is often contested by members within the institution (Musselin 2014). This stream of academics who believe in competition among the university leadership still see the relevance of competition of their respective institutions but as steering instruments helping them be more strategic and legitimise their strategic thinking.

Competition among universities, because it forces universities to continuously enhance their quality, helps in the evolution of universities into citadels and centres of excellence (Brunsson & Sahlin-Andersson 2000; Espeland & Sauder 2016; Musselin 2013, 2014).

## ■ Global competition in a global higher education: A neo-liberal perspective

Global competition in HE can be easily described using the neo-liberal imagery (Johnstone 1998; Naidoo 2011; Rizvi & Lingard 2009). Competition in HE has been driven by the notions of marketisation and commodification of HE, which started to dominate policy discussions around the world in the 1980s (Johnstone 1998; Naidoo 2011; Rizvi & Lingard 2009). Both the conceptual framework and policy guide on establishing HE as a capitalist market were informed by neo-liberal principles (Johnstone 1998; Levidow 2002; Marginson 2012).

Firstly, with limited government interference, HE is viewed as a commodity-produced HEIs that compete in the free market. Secondly, the relationships between the universities and students are redefined in business terms, that is, learning as buying, teaching as selling, universities aims to increase market share and guarantee profit. Thirdly, in HE, power in decision-making, under a marketised environment, shifts from governments and universities to clients and consumers – businesses and students.

As all capital markets are capital in scale, universities, in theory, are anticipated to compete in the global market of HE. In this regard, these HEIs operate in a similar fashion like multinational corporations in IT, retail or

pharmaceutical sectors (Salmi 2009). However, in the real world, Salmi (2009), Altbach and Balán (2007), Altbach and Salmi (2011) observed that only universities with capacity, especially 'world-class universities' or at least aspiring 'world-class universities' participate in global competition. In economic terms, 'world-class universities' are universities that produce cutting-edge research, lead in the development of innovations and produce well-qualified graduates who are in high demand on the labour market globally (Altbach & Balán 2007; Altbach & Salmi 2011; Salmi 2009). From competition in HE perspective, these 'world-class universities', in order to concentrate talent in faculties, always win the global competition for both students and lecturers. In addition to competition for students and staff, in order to cover huge costs involved in running a research intense university, global universities also compete for abundant resources (Altbach & Balán 2007; Altbach & Salmi 2011; Salmi 2009).

Salmi (2009) underscored that the idea of a global HE market has been marked by several important developments or reinforcements. In particular, globalisation has changed the landscape of competition in HE from a localised one to a global one. For example, as a result of globalisation, cross-border mobility both among students and faculties has increased (Salmi 2009). Resultantly, most universities especially in the UK, US, Australia and Canada charges higher fees to international students, thereby earning huge profits in the process (Altbach & Balán 2007; Altbach & Salmi 2011).

## ■ Organised, equipped and more visible competition

Competition among universities has been further reinforced by the establishment of organisations such as research councils, evaluation agencies, funding agencies or councils, because these organisations are entrusted with formal mechanisms, procedures have further transformed competition in HE (Musselin 2018). In this regard, the role of big data, bibliometrics and the private sector as well as government is discussed in subsequent sections.

## ■ The role of big data, bibliometrics and the private sector

The evolution of evaluation academics and universities changed remarkably after the US librarians established and categorised scientific journals in order to create a framework used to choose the best publications to buy (Pontille & Torny 2015).

The creation of ISI (later, Scopus) by Eugene Garfield in 2004 is all dedicated to the Web of Science and is being used as the collection of information about paper citations (Pontille & Torny 2015).

Further, the development of the Internet and increasing access to various data and research search engines such as Google further increased the accessibility of books, conferences and all kinds of scientific literature papers published in academic journals (Musselin 2018). Quite frequently, Scopus, Web of Science and Google scholar are used to compare individuals, journals and institutions especially in ranking universities.

## ■ Competition organised by government

In order to foster competition in HE in Germany, in 2000, the German Monopolies Commission presented a report that underscored that HE policy should be centred around the principles of competition (Müller-Böling 2000). As opposed to state-run universities, German Monopolies Commission argued that, if liberalised, HEIs will be more effective in their operations and communication with their stakeholders, especially the students (Müller-Böling 2000).

Resultantly, Germany reinforced and expanded HE reforms, which were initiated in the 1970s. In this regard, the government of Germany reduced the dominance of the state in the HE sector and allowed an expanded role of the private sector. In this regard, the government of Germany reduced fiscal support given to the HE sector, introduced tuition fees and undertook restructuring exercise in universities (Müller-Böling 2000).

Research councils in some countries, which have increased in recent decades, have been instrumental in fostering competition in HEIs (OECD 2011). In this regard, in order to access financial resources from the research councils, academics and universities participate in competitive research programmes.

With the organisation of competition, procedures and organisations were deliberately created to foster competition among universities (Musselin 2018). The competitive processes especially in the selection of bids for research funds, for example, have been developed by various research councils, accreditation agencies and ad hoc processes like the research excellence framework (REF) in the UK (Musselin 2018).

In this regard, as part of the competitive processes in HE, competition is actively organised by these agencies. In addition, evidence shows that financial resources are awarded based on rigorous performance and achievement of

set quantitative targets as opposed to ad hoc peer reviews and interpersonal relationships (Gozlan 2016).

With the aid of national governments, evidence has shown that student mobility has drastically increased in recent years, that is, from 2000 (Lu, Zong & Schissel 2009; OECD 2019). As part of government strategies aimed at attracting students to their universities, various governments, especially in the UK, South Africa and US, have come up with flexible or accommodating visa requirements, which will make it easy for students to undertake studies and also stay in their countries after graduation (Lowell, Bump & Martin 2007). In OECD countries, in particular, as noted by Chalo and Lemaitre (2009), student visas are used as an effective instrument aimed at attracting international students who play critical roles in 'subsidising' education for the local students.

## ■ Competition and quality of education

Competition in HE is no longer solely research driven but is driven by several factors, such as students, academics, competition for grants, discoveries, patents, public and private resources (Musselin 2018). From a competitiveness perspective, these factors have been used to compare universities.

In this regard, various scholars such as White (1981, 1992), Lamont (2009) and Musselin ([2005] 2009, 2018) argued that although competition in HE is now more biased towards competition for quality as opposed to price wars, competition remains for students and grants. The argument of these scholars is premised on the fact that products produced by research intense universities are difficult to compare as they are different. Resultantly, price wars seldomly occur in these universities. Rather, in research universities, competition on the quality of research and its impact is intense.

In short, as noted by Brunsson and Wedlin (2016), in research intense universities, competition for quality is competition for status. For example, when universities compete for the 'most renowned researcher' or the 'best students', they do not only compete for resources but also compete for the status attached and derived from the resources. Evidence from Brunsson and Wedlin (2016) shows that reputation derived from resources differs from one resource to another.

For example, in Europe, it is more prestigious to receive a highly competitive grant from the European Research Council (ERC) as compared to winning a grant from a national agency. Winning a grant from the ERC demonstrates the competitiveness of a European university among its peers and thus comes with significant reputational gains.

Likewise, it is more prestigious to employ a professor who has numerous awards in top journals as opposed to recruit an academic without any awards. Hence, universities always compete to recruit highly rated academics as this has a causal link with quality.

## ■ Norms, competition and cooperation

In recent years, a new trend has shown that, contrary to yesteryears, from academic competitiveness perspectives, competition in HE has transformed from rivalry between academics to a more global and institutionalised competition. This has happened because of two reasons.

Firstly, as required, like all other forms of competition, competition among research intense universities depends on classifications. Interestingly, because of globalisation, there has been an increase in new forms of classifications that have resulted in the formation of new alliances of research universities. Because they belong to the same classification, there has been rising collaborative work, networking and sharing of information that have resulted in the development of close relationships as opposed to confrontational competition of yesteryears.

Secondly, new forms of common social norms and cooperation have been necessitated by the emergency of alliances of competitors.

Through alliances, universities, like private companies, explicitly agree to work together on defined areas of cooperation so as to reduce rivalry and its associated uncertainties (Cyert & March 1963). This is the real reason why alliances have surged drastically in recent years in line with the increase global competition for academic talent (Beechler & Woodward 2009; Healey 2008; Taylor & Braddock 2007).

In this regard, in South Africa, as noted by Botha, Fourie-Malherbe and Dorothy Stevens (2016), Stellenbosch University, in order to close the gaps in academic staff, entered into a strategic alliance with international universities in postgraduate supervision (see Box 11.1).

Using alliances and collaboration as vehicles of retaining its competitiveness, Monash University entered into a strategic collaboration with various countries, which *inter alia* include Malaysia, South Africa, Italy, the UK and India (Beerkins 2002). In China, near Shanghai, Monash University partnered with Southeast University and created a purpose-built campus that is being used to teach postgraduate studies (Gunn & Mintrom 2013). In the UK, for example, in collaboration with the University of Warwick, Monash University established a network of global universities

**BOX 11.1:** Joint doctoral degrees at Stellenbosch University.

Stellenbosch University in 2016 started a process aimed at developing joint and double degree programmes with a view to address two imperatives. Firstly, the university was faced with a fundamental void of top academics who had emigrated to overseas universities. Hence, in order to continue with formal engagement with these professors, the university mooted the need for joint doctoral degrees with foreign universities hosting these professors. In doing this, Stellenbosch had twin objectives, that is, to sustain the postgraduate studies and to raise its reputation as it derives positive spin-offs from working with highly rated Western universities. Because of this, this strategy was and remains desirable considering the fact that South Africa has a shortage of skilled academics. Secondly, Stellenbosch University's thrust has always been to establish collaboration with foreign universities as well as industry. Hence, undertaking joint doctoral degrees is an easy and tested means of fostering collaboration and has been successfully used globally. Further, in line with national development imperatives, the joint doctoral programme exposes South African graduates to international experience on research, which will result in the enhancement of their skills and expertise in their respective fields.

Based on the second imperative, Stellenbosch University developed its own institutional policy for international joint degrees in 2007. Because national policy and regulations did not provide provisions for joint or double degrees, Stellenbosch University engaged the Department of Higher Education and Training (DHET) with a view to get approval for joint doctoral degrees. The DHET approved the Stellenbosch University Policy on Joint Doctoral Degrees in 2008. Because this policy is limited in scope, as it covers joint PhDs only, it has undergone two major revisions in 2010 and 2012. The 2010 revision made provisions for joint and double MA degrees with foreign universities while the 2012 revision was done to provide further clarification and definitions, as well as adding provisions to include the need to provide lessons learnt during implementing the joint or double degree programmes with foreign universities.

Evidence from Botha et al. (2016) shows that South Africa, contrary to the conventional views of competition in HE, has been seen as a mechanism where universities with better facilities and capacities to train postgraduate students collaborate with universities with shortages of skills in the process that helps with exchange of skills and knowledge. At a university level, these kinds of collaborations were observed as effective tools for promoting internationalisation in HE, as well as academic mobility and inter-institutional collaboration. Collaboration programmes of this nature have been seen contributing to the enhancement of universities' capacity to attract a diverse, highly committed student population and improvement in quality to the participating universities (Botha et al. 2016).

For students, as noted by Botha et al. (2016), collaborative programmes have a number of advantages, which *inter alia* include (1) access to high-ranked academics and strong research teams at the partner university; (2) access to facilities such as libraries with unlimited e-resources and research funding that are naturally not available at a local university; (3) because these programmes come with exchange programmes, students have opportunity to participate in international forums that will give them exposure; and (4) collaborative educational programmes present opportunities to students such as experiencing a different institutional and intellectual tradition in a different country, over and above traditional advantages of studying abroad such as experiencing new of cultural diversity, exposure to new languages and exposure that comes with living in foreign country.

Source: Botha et al. (2016).

(Gunn & Mintrom 2013). The University of Warwick and Monash University was established as a strategic move to address complex challenges that one university cannot address and is centred around producing graduates with global education produce research outputs that are aimed at addressing global challenges and meeting the general expectations of stakeholders such as students, government and industry (Gunn & Mintrom 2013). As a result of these ventures, the ranking of Monash University on Academic Ranking of World Universities (ARWU) improved significantly (Gunn & Mintrom 2013).

## ■ Competition and global university rankings

Ranking of tertiary education institutions has been used as an effective tool for assessing the competitiveness of universities. Using evidence from the global ranking, results show that, out of the 94 countries' HE systems, highly industrialised countries such as the US, the UK, Germany, Australia, Japan, France, the Netherlands, Switzerland and Canada and new industrialised economies like Singapore, Hong Kong, Korea and China have the best performing universities (Antoniuk et al. 2019).

Global competition among universities has also been influenced by how countries view high-tech industries' contributions to the long-term economic competitiveness, as well as the role of knowledge economy on international competitiveness (Douglass 2008). As a result of this view, in order to stimulate growth in innovations, most governments have invested significant resources and created favourable environments. Because of differences in funding capabilities, English-speaking countries and research intense universities from the US dominate rankings by research output and attract the most talented students and scholars (Douglass 2008; Marginson 2010a).

Overall, evidence shows that only 18 countries' HE systems dominate the world in the area of innovation, research and student enrolment. For example, universities from these 18 economies with 75% of scientific publications constitute over 70% global research work and recruit 80% international students, 75% of scientific publications and represent 95% of the top 100 world-class universities (Antoniuk et al. 2019).

University rankings have been widely used as an effective instrument for measuring the performance of university staff, competitiveness of the university and decision-making when choosing a university (Thakur 2007). For example, the vice-chancellor of the University of Malaysia was fired when the university dropped 80 places in THE rankings, notwithstanding the fact that there were noticeable changes in performance (University of Malaya 100 Years 2005).

Likewise, national governments use university rankings in the allocation of financial resources to the institutions of HE (Thakur 2007). For example, in the UK and New Zealand, the Research Assessment Exercise (RAE) and the Performance-Based Research Fund (PBRF), respectively, were introduced with a view to ensure that excellence in research is encouraged and rewarded.

In addition, evidence shows that students' decision-making process in the selection of the institution of HE is informed by the university rankings (Bhandari 2006; Federkil 2002; Filinov & Ruchkina 2002; Vaughn 2002). Likewise, studies by Roberts and Thomson (2007) show that there is a strong correlation between university ranking and the quality of students

being enrolled, which implies that the best students go to the best universities.

In the UK and New Zealand, the staff's decision in choosing the university to work for has been largely informed by evidence from the RAE and PBRF reports (Grayling 2004; Illing 2006). Employers in the UK and US use university ranking as one of the top eight decision factors for hiring graduates (Smith 2006).

## ■ Conclusion

This chapter has shown that competition in HE has evolved from competition for students to competition for professors and competition for budgets. Interestingly, as a result of internationalisation of HE, the nature of competition has also evolved from teaching to new forms of competition, such as research universities and innovation. In addition, because of globalisation, there has been an increase in new forms of classifications that have resulted in the formation of new alliances of research universities. Because they belong to the same classification, there has been rising collaborative work, networking and sharing of information, which has resulted in the development of close relationships, as opposed to the confrontational competition of yesteryears.

Most importantly, this chapter revealed that competition in HEIs is in multilevel form, globalised, institutionalised, and as universities become competitors, it takes place between individuals and countries. Universities have also reshaped their curricula to enhance the quality of education and corporate competitiveness. One of the key aspects, among others, which has been used as a yardstick of the level of competitiveness among universities, is the global ranking or rating of universities.

The sustained increase of rating agencies as well as their refinement demonstrates a clear reinforcement of the argument that competition in universities is no longer confined to individuals and countries but has become multilevel and global. Based on this trend, there has been consensus that competition in HE is no longer solely taking place at the individual level as it is multifaceted, simultaneously taking place at the individual, national and institutional levels.

This chapter shows that national governments reinforced competition in HE through marketisation of HE and establishment of regulatory agencies with a view to foster quality.

Competition in HE has been driven by the notions of marketisation and commodification of HE, that is, commercialisation and the opening up of the HE sector to the private sector. The wave of marketisation of HE has changed the landscape of competition in HE from a localised one to a global one. For example, as a result of globalisation, cross-border mobility

among students and faculties has increased. Resultantly, most universities, especially in the UK, the US, Australia and Canada, charge higher fees to international students, thereby earning huge profits in the process.

Competition among universities has been further reinforced by the establishment of organisations such as research councils, evaluation agencies, funding agencies or councils, and because these organisations are entrusted with formal mechanisms, procedures have further transformed competition in HE. As a result, competition in HE is no longer solely research driven but is driven by several factors, such as students, academics, competition for grants, discoveries, patents, public and private resources. From a competitiveness perspective, these factors have been used to compare universities.



# Marketisation of higher education

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## ■ Introduction

As a result of globalisation, higher education (HE) around the world has undergone massive institutional restructuring and transformation (Burbules & Torres 2000; McCaig 2010; Mok & Tan 2004; Stromquist 2002; Wong 2000). The reconstituting and transformative process has been driven by the marketisation of HE, which is a process where institutions of HE are required to operate as businesses and views students as consumers (Fairclough 1993). Marketisation involves a process of commodification of academic education, which entails transforming HE into a profitable venture (Teo & Ren 2019). In addition, marketisation of HE also redesigns the relationship between students and academics into a transactional exchange of academic's knowledge as a commodity between customers and service providers (Furedi 2010; Nixon, Scullion & Hearn 2018; Tomlinson 2017).

The organisation of this chapter is as follows: Section 12.2 discusses a neo-liberal capitalist agenda of HE marketisation; Section 12.3 discusses structural adjustment programme and marketisation of HE in Africa;

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Section 12.4 discusses thinking beyond marketisation of HE and Section 12.5 provides concluding remarks.

## ■ Higher education marketisation

This section discusses grounded theories and philosophies underpinning marketisation in HE. Likewise, higher education institutions' (HEIs') strategic responses to marketisation are also discussed.

As noted by Lynch (2006), marketisation of HE is rooted in neo-liberalism, which is where governments develop policies aimed at moving towards market-based norms and production in HE towards (Brown 2013; Djelic 2006; Eikenberry & Kluver 2004; Vujnovi 2012; Wedlin 2008). Indeed, Godwin (2011) suggests that marketisation offers no meaningful deviation from neo-liberal principles that are rooted in globalisation and internationalisation of HE.

In short, as noted by Amthor and Metzger (2011), marketisation can be equated as driving HE pedagogy into capitalism where the role of the invisible hand, as argued by Adam Smith regarding market forces, plays a critical role in the allocation of resources as well as production.

Thus, the interactions between HEIs and student mobility take place under the tenants of a free market regime with limited regulation by governments (Harvey 2010).

Rizvi (2013) and Ball (2003b) argued that marketisation of HE represents a total departure from a socialist system towards capitalism in HE, and this transformation of educational governance techniques as well as a paradigm shift collaborative approach to a thrust based on managerialism with a view to foster efficiency and accountability in HE. In summary, a marketised HE system is characterised by three policy technologies, that is, the market, managerialism and performativity (eds. Brown 2011a; European Commission 2005). Marketisation offers an alternative policy dimension in the provision of HE. The new thrusts coming with marketisation of HE were noted by Ball (2003b) as a process of setting into motion the privatisation and commodification of HE systems.

Munene (2008) argued that both marketisation and commoditisation of academic knowledge are inextricably interwoven. As globalisation has taken shape, in order to tap into the emerging education market, universities have transformed their academic programmes.

In the same line of thinking, globally, in order to expand HE and ensuring equity, governments are promoting privatisation as a marketisation strategy

(Bowes et al. 2013; Munene 2008). Because the marketisation strategy conforms with new public management, which is being propagated by geopolitical ideology with a view to widen access and participation. Evidence shows that marketisation of HE has contributed significantly in reducing governments' burden in funding HE (Brown 2011b; Foskett 2011; Simpson & Marinov 2016).

Based on the foregoing, it can be concluded that marketisation of HE, because it serves as a neo-liberal agenda, shifts funding and financing of universities from the public to the private sector (Brown 2018; Lynch 2006; Olssen & Peters 2005; Saunders 2010).

Evidence shows that marketisation has become a global phenomenon (Bowes et al. 2013; Munene 2008). Although there is no HE that is fully marketised, the US education system is highly liberalised or marketised (Molesworth, Scullion & Nixon 2011). To be specific, HEIs in the United States (US) institutions are characterised by a diverse range of institutions, liberal entry regime, high degree of autonomy and stiff competition (Molesworth et al. 2011). The liberal entry regime, in particular, gives students access to a wide range of choices among available universities. As a result of marketisation, HEIs compete in tuition fees and federal research funds and donations (Molesworth et al. 2011).

Likewise, in the United Kingdom (UK), HEIs are largely autonomous and aggressively compete for both research funds and students (Molesworth et al. 2011). With the liberalisation of the education system, HE is no longer monopolised by public institutions but by private players who have entered the market. In addition, the marketised system witnessed the introduction of tuition fees in 1998 that now constitute about 40% of income for teaching students (Molesworth et al. 2011).

Likewise, in India, with the help of the World Bank and International Monetary Fund (IMF), policy-makers marketised their education system with a view to meet market demands and reduce financial budget on the government (see Box 12.1).

## ■ Marketisation of higher education and its dimensions

In practice, evidence has shown that marketisation of HE has inspired the private sector to participate in a liberalised environment, which is profit oriented and thus poses risks of deprivation of the disadvantaged group from accessing education (Leeuwen, cited in Ball 2008).

As noted by Lynch (2006) and Idumange (2000), marketisation of HE is synonymous with liberalisation and deregulation of state-owned universities,

**BOX 12.1:** Marketisation of higher education in India.

In responding to the market demand of HE and the need to commercialise the HE sector in India, policy-makers in India reformed a 150-year-old education system (Gupta 2018). In this regard, in 1991, in particular, the Indian government implemented economic reforms that resulted in the liberalisation of most sectors of the economy, including tertiary education (Panikkar 2011). The structural adjustment reforms became the main feature of marketisation of HE in India. In this regard, educational policy that accompanied the economic reforms had three distinct features, that is, privatisation, centralisation and free entry of foreign education providers (Gupta 2018). With the support of the IMF and World Bank, the Government of India instituted extensive commercialisation, privatisation and deregulation of the HE sector (Gupta 2018).

In India, the marketisation of HE resulted in the creation of the real characteristics of a market in HE where consumers (i.e. students) have the freedom to choose a product and service provider and have information symmetry regarding prices, quality and cost of production (Chattopadhyay 2009; Gupta 2018). With marketisation of HE in India, Gupta (2018) made four interesting observations: (1) marketisation of HE makes education a commodity whose quality is largely dependent on student's ability to pay; (2) the invitation of the private sector to enter HE sector in India and reduction of state funding is indicative of the extent to which academic autonomy within universities has been extremely compromised by the neo-liberal agenda; (3) the character of the HE sector in India has been radically altered by commercialisation as universities and colleges have placed more emphasis on the private needs of students, especially their monetary and vocational needs; and (4) the main thrust of HE system in India is to serve the vested interests of shareholders and students.

Universities and colleges have been transformed into 'entrepreneurial universities' and 'commercial universities' as a result of privatisation of HE (Tilak 2004). Resultantly, the share of government funding towards HE plummeted significantly (Gupta 2018). The twin challenges of equitable access and quality have worsened, notwithstanding the fact that access to HE has expanded manifold since independence (Gupta 2004, 2018; Panikkar 2011; Sharma 2007). Gupta notes (2018) disparities in educational opportunities and educational attainment by the 'rich' and the 'poor' have worsened as a result of marketisation of HE in India, which has been largely driven through the private sector. If left unattended, marketisation of HE poses a serious threat to divide the society into the 'rural poor', 'rural elite', 'urban poor' and the 'urban elite' (Gupta 2018). With the dominance of the neo-liberal market ideology in HE in India and notwithstanding the fact that the Indian constitution does not support commercialisation and privatisation of education, achieving inclusivity and excellence in HE would be daunting (Gupta 2018).

*Source:* Gupta (2018).

which results in the transfer of control and ownership of these universities to the private sector. Idumange (2000) provided four distinct characteristics that differentiate traditional universities from marketised universities.

Firstly, traditional universities' model is conservative and reactive, while the marketisation model is proactive, market-driven and strategic. Secondly, in terms of funding, marketised universities rely on portfolio financing, which is hinged on investments, while in traditional universities the government is the major financier. Thirdly, under the marketisation regime, HEIs are operated like business enterprises, with in-built norms of business management, but under the traditional system shared governance, anti-authoritarianism is encouraged. In a marketised system, universities are run like corporations and their mission, like a private business, is to serve the interest of the clients (students) and proprietors. Finally, while government meets the significant share of the cost of running public universities, the traditional system encourages sharing of the cost of education through payment of tuition fees and associated levies. However, in a marketised system, universities largely depend on tuition fees

and other private sources income such as commercial activities, research grants, research contracts and endowments funds (see ch. 8).

As early as 2000, Bimbaum (2000) noted that the move towards a marketised HE system had become popular and was moving very fast. For example, as noted by Bimbaum (2000), in countries such as South Korea, Japan, China, Taipei, Indonesia, Philippines, Ghana, Uganda and Ethiopia, private universities have exceeded state-owned universities. This momentum has been built on the marketisation guarantee as the basis of sustainability of HE because universities are expected to be run on a business line, thus guaranteeing the capacity to recover economic costs fully and investment in university infrastructure at a rate adequate enough to maintain future productive capacity (Bimbaum 2000).

Lynch (2006), Bimbaum (2000) and Idumange (2000) outlined five basic dimensions of marketisation as:

1. Privatisation of the financial affairs of the universities where stakeholders are involved in the financing of the HE sector while government's focus is largely on regulation.
2. Transfer of ownership of state universities to the private sector.
3. Formation of private universities.
4. In private universities, the HE sector is self-funded.

Private universities, like corporate enterprises, are profit-making institutions.

Based on the foregoing observation, it can be argued that, in a marketised system, the most critical elements cover a broad range of issues such as sources of revenue, purpose of university and management and role of government.

In addition, Marginson (1999) argued that the marketisation of HE comprises of six repeating features and facets, which *inter alia* include inter-institutional competition, customer-oriented attitudes, marketing-led management of HE institutions and the importance of external relations and rational choice decision-making.

**Rational choice decision-making:** Governments believe that one of the key outcomes of marketisation is improvement in the quality of HE, which will be used by students as of the critical variable used to make decisions on institutions and programmes of study (Baldwin & James 2000). Ironically, research into the choice of the HE and its programmes, although not exhaustive, has largely been motivated by the HEIs' desire to understand major factors influencing students' choice and long-term implications of the choice (Foskett & Hemsley-Brown 2001).

**Inter-institutional competition:** The process of marketisation in HE was observed by scholars such as Hemsley-Brown and Oplatka (2010) as

intensifying competition among institutions of HEIs. The degree of threat of rivalry among HEIs depends on variables such as quality of service or product, distance to the nearest alternative, entrance policies and marketing strategies (Hemsley-Brown & Oplatka 2010). In a marketised HE sector, in order to foster success and guarantee going concern, individual universities compete to attract and retain students (Maringe & Gibbs 2009). In this regard, competition is mainly centred around the improvement of efficiency and product offerings by HEIs. Thus, in a marketised education sector, in view of declining contribution of public funds, internationalisation and services offered by universities are regarded as major sources of income (King 2004).

**Customer-oriented attitudes:** The student, that is, the consumer, receives greater attention from HEI (Foskett 1998b). In this regard, in line with the marketing ethos, a HEI strives to meet the needs and wants more efficiently and effectively than its rivals (Kotler & Armstrong 1999). In doing this, in order to meet the needs and demands of the consumers more precisely HEIs are required to acknowledge the importance of customer needs in shaping its plans, curricula, other educational activities and the complexity of the marketplace (Gray 1991).

The complexities of the marketplace are largely characterised in the research, that is, knowledge production that is largely driven by the wave of globalisation. In a marketised education sector, HEIs are expected to be responsive to the demand of research and its usability (Maringe & Gibbs 2009). With globalisation, universities have been transformed into a distributed knowledge production system where HEIs are involved in several partnerships and alliances with a view to acquire the latest knowledge and commercial research with various stakeholders, ranging from the private sector, civil society and development partners that have become top consumers of university research (King 2004).

**Marketing-led management:** Under the marketised regime, HEIs give priority to marketing of their services and strengths (Hemsley-Brown & Oplatka 2006; Maringe & Gibbs 2009). In addition, promotion and public relations have become more and more important for both local and international audience because the survival of universities is now dependent on their capacity to retain and attract more students from local and international markets (Hemsley-Brown & Oplatka 2010).

Likewise, in order to equip themselves from stiff competition from both local and international markets for HE, HEIs, like a business enterprise, undertake regular market intelligence (Binsardi & Ekwulugo 2003). Marketing is used as a tool aimed at fostering the process of building relationships between students and universities and delivery of value between universities

as producers of educational service and students as consumers of the service (Maringe & Gibbs 2009).

**Importance of external relations:** Globalisation has come with incessant turbulence and rapidly changing environments in the HE sector, which calls for a robust external relations strategy (Hemsley-Brown & Oplatka 2010). In this regard, in order to achieve organisational effectiveness, efficiency and competitiveness, as part of their external relations strategy, universities are required to display independent initiatives and showcase dominion over their environments (Foskett & Hemsley-Brown 2001). As noted by King (2004), like business enterprises in the globalisation era, universities must aggressively invest in defined areas of specialisation and competencies and build a name around those areas such as medicine and science fields.

## ■ Strategies used by governments to foster marketisation in higher education

In order to foster marketisation in HE, governments have used four major approaches that are aimed at strong market rewards for institutions in HE towards improved performance. These are reduced funding from government, charging of tuition fees, opening HE to the private sector and developing performance-based funding system.

### □ Reduction of government funding

From the mid-1990s to early 2000, there has been a drastic reduction of government funding, especially from developed countries such as the UK, the US, Canada and Japan (Wang 2008) (see Box 12.2).

**BOX 12.2:** Marketisation of United Kingdom higher education.

In the mid-1990s, as part of austerity measures to the tough economic environment, the UK gave into pressures of reduced public funding by reducing funding per student or reducing the number of students enrolled (Banwait 2017). These measures alone, as noted by Willetts (2013), would have a lowered proportion of young people to go on to HE while damaged the quality of education. As a complementary policy measure, the UK government marketised the HEI sector. In this regard, the UK undertook a radical shift in the funding of HE from government dominance to a scenario dominated by private players (Willetts 2013). The move to reform the HE sector was carried out with the spirit of the Robbins principles, which underscore that HE is for all so that those who are qualified and want to pursue it must be able to do so uninterruptedly (Willetts 2015). Willetts (2015) argued that, in order to sustainably finance and maintain the quality of richness and diversity of HE in the UK, funding reforms were the only sustainable way. The marketisation of HE in the UK was largely motivated by the belief that reforms will not only reduce the burden of financing HE using public funds but also ensure adequate funding to the UK universities (Willetts 2013, 2015). As a result of the marketisation of HE in the UK, Willetts (2015) observed that funding of graduates from public universities shifted from 60% to 40% as financing from the private sector increased to 60% from 40% before marketisation of the HE sector.

Source: Banwait (2017).

## □ Payment of tuition fees

In responding to a surge in the costs of university education and increasing number of students, from the 1980s, governments from developed countries such as the US, Australia, Japan and Korea started charging tuition fees with a view to subsidise the cost of HE (Wang 2008). For example, as noted by the OECD (1998), in the US, 40% of the cost of HE was met by households; one-third of the cost of HE is covered by students in Australia and in Japan and Korea, households contribute to over 50% of the cost of HE.

## □ Developing private higher education

In responding to ever-increasing demand for HE, with the public education alone failing to cope, governments around the world opened up the education market for private sector participation (Wang 2008). In this regard, since 1980, many governments across the globe have used market competition as an important incentive to open up the HE sector for effective participation of the private sector (Arimoto 1997; Meek & Wood 1998).

Resultantly, more than 50% of students in Latin American countries such as Mexico, Brazil, Colombia and Venezuela are enrolled in private universities (Gonzalez 1999). Likewise, private HE is the fastest-growing sector in many countries in Central and Eastern Europe especially in Poland, Hungary, Estonia and Romania (Slantcheva 2005). In Asian countries, such as the Philippines, Japan, Thailand, Indonesia, Malaysia and South Korea, the HE sector is now dominated by the private sector (Lee 1999).

## □ Establishment of performance-based funding system

Performance-based funding has been adopted by a number of countries that include Australia, the UK and US with a view to foster quality assurance and promote academic excellence among academic staff and their respective universities (Geuna & Martin 2003).

Scholars such as Wang (2008) and Brennan and Shah (2000) argued that evidence on the direct impact of performance-based funding is more often indirect and is observed through reputational gains, employability of graduates and increase in research funding (Brennan & Shah 2000).

Performance-based contracts entered between universities and national governments although non-binding defines a set of mutual obligations for both parties (OECD 2007; Salmi 2016). Governments provide additional funding to universities that show commitment and meet agreed performance targets. These kinds of agreements may be done with a single institution, a number of universities or all the universities.

Most OECD countries have performance contracts in place (OECD 2020). Evidence shows that shares of block funding that is subjected to performance contracts vary from country to country, that is, Finland (100%), Latvia (7%), Austria (94%–96%), France (4%) and Denmark (1%) (OECD 2019).

Indicators and parameters used in performance contracts vary from country to country. However, OECD (2020) underscored that there is consensus around the use of input indicators (e.g. student/staff ratio, number of students enrolled in each programme, etc.), activity (e.g. examinations passed), output (e.g. degrees obtained) and outcome (e.g. graduate employment rate).

## ■ Structural adjustment policies and higher education marketisation in Africa

On the back of the worsening economic and financial crisis in the 1980s, sub-Saharan Africa (SSA) governments were compelled to undertake structural economic reforms across all sectors of the economy including HE systems (World Bank 1994). The structural adjustment programmes carried policy measures that were synonymous with marketisation of the HE sector (see Box 12.3).

Before the introduction of the SAPs, SSA governments took a nationalist and developmentalist approach in the provision of HE through the provision of free education resulting in the majority of SSA countries witnessing excessive expansion in HE (Lumumba 2008) (see Box 12.3). African governments' views were that HE serves a public good, and as such, it must be affordable and equitably available to everyone so as to promote economic development.

### **BOX 12.3:** Structural adjustment programmes in Africa.

In the mid- to late-1980s, the World Bank noted that most countries in sub-Saharan Africa were experiencing massive economic decline as a result of misguided policies, which were characterised by socialism (Surin 2003). In the HE sector, governments in SSA monopolised the ownership of the HE sector (Ochwa-Echel 2013). As part of the structural adjustment programmes, through a policy paper called 'Education in sub-Saharan Africa: Adjustment, revitalization and expansion', in the area of university education, the World Bank called for retrenchment or austerity (Ochwa-Echel 2013). In this policy paper, the World Bank called for serious austerity measures as well as reforms in HE (World Bank 1988). In particular, the World Bank (1988) argued that in view of the fact that most SSA countries face serious budgetary constraints, there was a need for reforms aimed at achieving three objectives: (1) reduction of costs through improvement of efficiency, (2) increase participation of the private sector in HE and (3) shift HE funding from the government to parents/guardians and students (World Bank 1988). Six years later, after implementing these recommendations through a pilot process, the World Bank issued its 'Higher education: The lessons of experience' position paper (World Bank 1994). Here, with greater emphasis on the neo-liberal agenda and marketisation of HE in SSA, the World Bank reaffirmed its 1988 policy recommendations.

Source: Ochwa-Echel (2013).

As a result, access to university was the most desirable achievement and a pre-requisite socio-economic attainable and was considered a right, not a privilege (Lumumba 2008). In this regard, HE in public universities was considered as a service to the nation and as such was managed by public administration and was fully funded government (Lumumba 2008).

However, in the 1980s, the HE sectors faced significant challenges, which *inter alia* included financial constraints, physical infrastructural challenges and drought of governance (Sawyerr 2004). These challenges were caused by excessive budget deficits, low staff motivation, increased social demands and massification of education where enrolments surged beyond universities' capacity (Sawyerr 2004).

So dire was the situation that demand for HE continued against a background of constrained resources in most countries in SSA (Sawyerr 2004). SSA countries were left with no choice except to expand access to HE through deliberate policies such as promoting privatisation and the marketisation of HE, as there was evidence that these measures were successful in other regions such as Asia (Teixeira & Dill 2011).

This drive resulted in the emergence and growth of private universities and departure from the status quo where HE was monopolised (Munene 2008; Sawyerr 2004). Based on the foregoing discussion, arguing from a social policy perspective, it is undeniable that SSA countries, in line with neo-liberalism, instituted market solutions to social and economic challenges and a radically minimised the role of government in the HE sector (Sawyerr 2004). This heralded the adoption of the neo-liberal ideology of marketisation of HE system in SSA. Evidence from Sawyerr (2004) and Munene (2008) shows that this development has continued in most African universities to the present day. As expected, this has caused a paradigm shift from a HE system, which was dominated by the state towards a market philosophy as demonstrated by the increase in private sector HE (Sawyerr 2004).

Based on the foregoing discussion, it is undeniable that that governments in SSA, contrary to the views of Lumumba (2008) of designating HE as a public good and service to the greater society, have prescribed to the idea that education is private good, which can only be accessed through payment of prescribed prices. This viewpoint has encouraged the application of market-type mechanisms in HE, promotion of entrepreneurship in universities and diversification of revenue in the HE sector.

One distinctive positive outcome of SAPs is the creation of intense competition among and between public HEIs as well as with private universities (Ochwa-Echel 2013). In addition, SAPs have helped African economies to expand the access of HE, which in a way helped governments in SSA to deal with problems of massification against a constrained resource base (Nwadiani 2000) (see Box 12.4).

**BOX 12.4:** Structural adjustment programmes in Nigeria.

In Nigeria, as noted by Nwadiani (2000), the structural adjustment programme (SAP) led to a drought of funding in HE, which *inter alia* resulted in poor and frustrating working conditions for staff, demotivation of teaching staff, decaying infrastructure and reduced productivity. In addressing this anomaly, the HE sector in Nigeria used the following strategies:

*Executive MBA and part-time programme:* In Nigeria, the marketisation of universities has seen the establishment of several professional and part-time programmes, which *inter alia* include MBA, sandwich programmes and short courses, which are charged exorbitant fees (Nwadiani 2000). Because these programmes are more expensive than regular courses, universities generate huge sums of money that are used to 'subsidise' traditional programmes.

*Increase in tuition fees:* As a cost recovery measure, governing councils of most institutions have recommended an increase in tuition fees. Between 1990 and 2000, in a number of state-owned universities, tuition fees increased by more than 700% (Nwadiani 2000). In addition, on tuition fees, in state-owned universities, there were massive differentials between indigence and non-indigence. These tuition fees differences used to cross-subsidise HE vary from school to school.

*Satellite campuses/outreach centres:* In order to generate funds to meet institutional costs, satellite campuses were established by at least 80% of Nigerian universities, and in these campuses, students are required to pay exorbitant fees (Nwadiani 2000). However, of concern, some of these campuses face a serious shortage of lecturers in terms of quality and quantity as university leadership aims to reduce operational costs (Nwadiani 2000).

*Consultancy service units:* As a response to calls for internal revenue generation, Nigerian universities established consultancy services units. Universities provide consultancy services for development partners, companies, corporate bodies and individuals (Nwadiani 2000). These consultancy units also run various short courses. As observed by Nwadiani (2000), these consultancy units generate massive profits for HEIs in Nigeria, which has helped to subsidise the recurrent cost of education.

*Marketisation of hostels, business centres and cafeterias:* Nigerian universities have entered into various joint ventures with private businessmen to open business centres, and build hostels and cafeterias purely on a commercial basis. The university authorities are paid meagre levies by the operators while they make profits to sustain their businesses.

Source: Nwadiani (2000).

In addition, SAPs were criticised for creating a fertile ground for uneven and unequal access to HE (World Bank 1994). Evidence shows education inequalities caused by the marketisation of HE are the major driver arising from education inequalities (Ochwa-Echel 2013). This is worsened by the fact that universities in SSA suffer from poor implementation and complications of neo-liberal HE reforms within the context of marketisation of HE, thereby causing 'legitimised' social stratifications and socio-economic inequities (Ochwa-Echel 2013; Sawyerr 2004) (see Box 12.5).

For example, increases in tuition fees and costs related to academic provisions, which is in line with HE marketisation, while it has largely economically motivated increase in enrolments and access, there was limited improvement in equity and access. As noted by Musisi and Muwanga (2003), because of the cost barrier, the expansion of the HE system benefited the rich while the poor faced exclusion, thereby worsening inequality and social exclusion.

**BOX 12.5:** Implications of structural adjustment programme on higher education in sub-Saharan Africa.

As a result of reforms that were implemented in the HE sector under the structural adjustment programme, most SSA countries undertook serious budget cuts that negatively affected university education in SSA (Ochwa-Echel 2013). To be specific, as a result of SAPs, countries eliminated subsidies for food, housing and books and undertook massive privatisation of the HE sector, leading to worsening inequities in HE in SSA (Ochwa-Echel 2013). Ochwa-Echel (2013) observed that universities witnessed incessant dropouts and fall in enrolment numbers as students from poor background failed to meet the cost of education. For example, in Kenya, in 1996, Mazrui (1997) observed that at least 2000 students were deregistered from Moi and Egerton Universities because of non-payment of tuition fees. Similarly, in Uganda, Musisi and Muwanga (2003) carried out at Makerere University and noted that 65% of students interviewed argued that the introduction of tuition fees, which was part of the packages of SAPs, adversely impacted equity.

Scholars such as Sawyerr (2004) argued that over-reliance on the neo-liberal-modelled SSA may result in countries facing what Sawyerr (2004) called the 'Makerere miracle'. As noted by Sawyerr (2004), in Uganda, Makerere University privatised sections of the university, thereby leading to increased enrolment and revenue that was used to improve staff salaries and general working conditions. In the short term, this improved the going concern of the university and somehow rescued it from the siege, hence the 'miracle' (Sawyerr 2004). However, like other universities in SSA, the increase in student enrolment was not matched with critical infrastructures. To make matters worse, the university did not have a development plan, which is key in responding to the increase in student enrolment. Rather, like other universities in SSA, Makerere University, rather than serving the interests of the nation or its citizens, placed more emphasis on market forces that considered education a 'commodity' that could be sold to individual consumers; thus, the 'miracle' turned out not to be real (Sawyerr 2004).

In most universities in SSA, a study by Musisi and Muwanga (2003) shows that due to the privatisation of HE, student enrolment increased, but the supply of critical facilities such as laboratories and equipment for science-based subjects, libraries, lecture halls and seminar rooms are lacking. Resultantly, in some subjects, as noted by Musisi and Muwanga (2003), more than 50% of registered students in some programmes failed to attend lectures transpose word order audibility and shortage of seats. Coupled with the fact that facilities were insufficient and student-lecturer ratio was unreasonably high, and the the academic quality was compromised (Musisi & Muwanga 2003).

*Source:* Ochwa-Echel (2013).

The United Nations Development Programme (UNDP), after reviewing the impact of SAPs on inequality over three decades argued that, SSA with Gini coefficient having declined by 3.4% points between 1991 and 2011, is one of the most unequal regions in the world (UNDP 2017).

Resultantly, based on the foregoing discussion, on the contrary, conventional wisdom, which argues for marketisation of the HE system as an effective strategy to enhance equality, failed to hold in SSA as the implementation of the neo-liberalised marketisation strategy is causing the intensification of social inequalities (Rizvi 2017). Because HE, as argued by Lumumba (2008), is regarded as elitist and a sign of achievement alternative to high school education, any reform that creates socio-economic inequalities and widens inequality gaps defeats the logic of undertaking it in the first place (Ilie & Rose 2016; Mamdani 2008).

## ■ Rethinking higher education marketisation: Widening access and participation

Within the context of diversification theories, this section reviews the implications of marketisation of HE. On a positive note, massification and marketisation of HE have significantly produced innovations, diversity and necessitated changes associated with pedagogy and modes of learning (Altbach 2017; Levy 2013). This has contributed to the diversification of revenue streams for HEIs (Naidoo 2011).

However, marketisation of HEIs in SSA was met with several challenges, which *inter alia* include reduction of quality, increase in tuition fees and widening inequalities (Afeti 2017).

In order to enhance effective implementation of marketisation, foster social justice, fairness, justness and impartiality in the provision of HE to all citizens, at a government level, the policy goal must be to remove socio-economic factors, which *inter alia* include competitive selection mode, barriers to enrolment in HE of choice and meritocratic and high tuition fees that are likely to contribute potentially to the overall socio-economic disadvantage (European Commission 2005). These impediments must be eliminated and substituted by policies and other interventions aimed at providing information, raising aspirations and ensuring adequate preparation. Again, in addressing the challenges of social injustice, from a policy perspective, there is a need to combine marketisation and equity ethical dimension in the HE sector.

In the same vein, in addressing challenges associated with poor quality and emergency of 'degree mills', there is need for strengthening the quality assurance framework of the HE sector in Africa (European Commission 2005).

In addition, in order to foster social justice in education and widen participation in HE, HEIs are required to undertake academic responsibilities, which are informed by their unique strategic characteristics (Tooley 2000). For example, some of the academic responsibilities *inter alia* include services rendered to underperforming students, graduate's placements, provision of scholarships to disadvantaged students with a specific focus on females, disabled students and professional development (Tooley 2000).

In view of the foregoing discussion, in order to foster social justice, from a policy perspective, there is a need to redefine efficiency beyond the neo-classical economic definition, which is profit-centric to one that is in pursuit of diverse goals, such as stabilisation, equity, sustainability and social oriented.

## ■ Conclusion

The move from government-controlled HE sector to a more liberal one has brought about increased participation of the private sector in the management and funding of HE. Evidence has shown that marketisation of HE was successful in developed countries and emerging markets, which *inter alia* include the UK, Australia, US, Japan, Malaysia, Thailand and South Korea, Poland, Hungary, Estonia and Romania (Lee 1999; Slantcheva 2005; Wang 2008; Willetts 2015).

On the contrary, evidence shows that the marketisation of HE dismally failed in SSA as evidenced by rising inequality and social injustice in HE (Nwadiani 2000; World Bank 1994). To be specific, the marketisation of HE in Africa, which was implemented through SAPs was criticised for creating a fertile ground for uneven and unequal access to HE (Rizvi 2017). Evidence shows education inequalities caused by the marketisation of HE are the major driver arising from education inequalities (Apple 2004; McLaren & Farahmandpur 2005). This is worsened by the fact that universities in SSA suffer from poor implementation and complications of neo-liberal HE reforms within the context of marketisation of HE, thereby causing 'legitimised' social stratifications and socio-economic inequities (Apple 2004; McLaren & Farahmandpur 2005)

In order to enhance effective implementation of marketisation, foster social justice, fairness, justness and impartiality in the provision of HE to all citizens, at a government level, the policy goal must be to remove socio-economic factors, which *inter alia* include competitive selection mode, barriers to enrolment in HE of choice and high tuition fees that are likely to contribute potentially to the overall socio-economic disadvantage (European Commission 2005).

Again in addressing the challenges of social injustice, from a policy perspective, there is a need to combine marketisation and equity ethical dimension in the HE sector.

In the same vein, in addressing challenges associated with poor quality and emergency of 'degree mills', there is a need for strengthening the quality assurance framework of the HE sector in Africa.

In addition, in order to foster social justice in education and widen participation in HE, from a policy perspective, HEIs must be compelled to undertake academic responsibilities that are informed by their unique strategic characteristics. For example, some of the academic responsibilities *inter alia* include services rendered to underperforming students, graduate placements, provision of scholarships to disadvantaged students with a specific focus on females, disabled students and professional development.

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## Chapter 6

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This book argues that international higher education has to be competitive, sustainable and contribute to educational development both locally and internationally. This book shows that higher education institutions (HEIs) are seen as being driven by an economic or an educational agenda. For example, internationalisation can be influenced by the university ranking system which is based on the international reputation of universities, the competitive quality of programmes offered in a market-oriented education environment, generation of income from the enrolment of international students, and employment of highly profiled researchers. Likewise, the book contributes to the production of knowledge by positing that an international profile for HEIs is fundamental to building their international excellence, outstanding academic standards, and strengthening their competitiveness and economic growth.

Although virtual internationalisation can be used as an effective vehicle for students to gain international exposure, a majority of students have remained in their local environment. This book provides a detailed view of new needs, attitudes and demands which teaching and learning pedagogy has to consider, with a view towards fostering internationalisation of higher education. In addition, this book also argues that HEIs must ethically and pedagogically respond to the needs of international students and other stakeholders across various modes of internationalisation of higher education. The book argues that any rationale to internationalise higher education must ensure that inequitable and unethical ideologies and practices are addressed. In the same vein, this book also places emphasis on the importance of institutional quality assurance mechanisms, accreditation, learning outcomes, and multicultural connectivity through an inclusive curriculum.

Lastly, in providing thorough strategies for comprehensive internationalisation of higher education, this book provides pertinent discussions on the sustainable funding models for HEIs, repositioning the higher education sector as a vibrant export sector, reforms in higher education, governance in HEIs, entrepreneurship in higher education and competition in higher education.



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