

Internationalization Rationales, Obstacles and Drivers: A Multiple Case Study of Spanish
Higher Education Institutions

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Cristina Grasset

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Dr. R. Michael Paige, Advisor

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After completing undergraduate (Loyola Marymount University) and graduate (Saint Leo University) degrees in the US, I was still the ethnocentric Spaniard with a tendency to believe that everyone is odd but us. So, I was not thrilled with the prospect of three years of coursework—including intensive summer sessions in Minneapolis—with a cohort of US students. Forgoing the many good stories that have preceded this dissertation, I must acknowledge there could not be a better, more diverse, supportive, qualified and gifted group of individuals, both students and professors, than those with whom I have shared this program at the Department of Organizational Leadership, Policy, and Development of the University of Minnesota. My sincere thanks, especially: to Dr. Gerald W. Fry for sharing his talent and inspiration; to Dr. Deanne L. Magnusson for her robust guidance, and epic thoughts preserved on paper napkins; and to Dr. R. Michael Paige for his wisdom, expertise and relevant role as my advisor. I would also like to acknowledge Dr. Darwin D. Hendel, for his support, input and time.

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Dedication

This type of venture cannot be completed without the unconditional support of those with whom you share your personal life. First and foremost this dissertation is dedicated to Ramiro my breathtaking husband of 22 years who has accepted my increased absences and escalating golf handicap, for his continuous support, his patience, his faith in my ability, and never questioning my decisions. It is also dedicated to my parents, Juan Manuel and Maria Carmen, to whom I owe my international education and knowledge of foreign languages, for their lifelong encouragement to pursue my passions. To my sister Berta and my brothers Jose Luis and Enrique who have, through life, always been there when I needed them. And, to many previous generations of family members who have set high professional and personal standards pushing us to strive for excellence.

Abstract

This research examined the cases of three diverse Spanish universities, making inferences about the factors influencing the internationalization processes of higher education institutions in response to the broader forces of globalization. Data were collected from a panel of experts and multiple public and institutional sources utilizing a mixed methods approach to build portraits of international engagement, produce internationalization indexes and analyze rationales, obstacles and drivers. The Horn, Hendel and Fry (2007) method was adapted and used to assess the international dimension of universities in the Spanish context. A comparison and contrast of themes from the three cases provides evidence of universal institutional internationalization rationales, coinciding with those identified by Knight (2006) as of emerging importance; and unveils six factors, or categories of obstacles and drivers, influencing the internationalization of Spanish higher education institutions, including: governance, cultural traits, the economic scenario, applicable legislation, human resources, and branding.

Table of Contents

Acknowledgements.....	i
Dedication.....	ii
Abstract.....	iii
Table of Contents.....	iv
List of Tables.....	viii
List of Figures.....	x
List of Acronyms.....	xi
Chapter I.....	1
Statement of the Problem.....	2
Statement of Study Purpose.....	3
Definition of Terms.....	4
Context of the Study.....	5
Significance of the Study.....	7
Limitations of the Study.....	11
Organization/Methods.....	8
Summary.....	11
Chapter II: Literature Review.....	14
Globalization and Internationalization of Higher Education.....	14
The European Higher Education Area: Supra-national and National Policies.....	16
Institutional Internationalization.....	17
Empirical Research on Internationalization.....	20
Internationalization as Organizational Change.....	25
Internationalization Actors.....	28
Leadership for Change.....	30
Rationales for Internationalization.....	32
Assessment of Internationalization.....	42
Summary.....	51

Chapter III: Methodology and Methods	52
Methodology and Methods	52
Sampling	53
Research Design and Rationale	57
Adapting the Horn, Hendel, and Fry Model to the Spanish Higher Education Context	58
Data Collection at Participating Institutions.....	69
Data Analysis.....	73
Summary.....	76
Chapter IV: The Spanish Higher Education Context.....	77
Historical Background of Higher Education in Spain	77
The Current Spanish Higher Education Scenario	81
The Autonomous Community of Madrid (CAM).....	89
Higher Education and Education Abroad Costs	91
Chapter V: Case Study of the Universidad Europea de Madrid (UEM).....	93
Institutional Background.....	93
Horn, Hendel and Fry Categories Relevant to the International Dimension of the UEM	95
Knight's Factors Influencing Internationalization Rationales at the UEM	104
Summary of Implementation of Internationalization at the UEM.....	113
Analysis of Rationales, Obstacles and Drivers Influencing Internationalization at the UEM.....	113
Summary.....	121
Chapter VI: Case Study of the Escuela Tecnica Superior de Ingenieros de Caminos, Canales y Puertos de Madrid (ETSC).....	123
Institutional background	123
Horn, Hendel and Fry Categories Relevant to the International Dimension of the ETSC	126
Knight's Factors Influencing Internationalization Rationales at the ETSC	134
Summary of Implementation of Internationalization at the ETSC	139

Analysis of Rationales, Obstacles and Drivers Influencing Internationalization at the ETSC.....	139
Summary.....	146
Chapter VII: Case Study of the Universidad Rey Juan Carlos (URJC).....	147
Institutional background.....	147
Horn, Hendel and Fry Categories Relevant to the International Dimension of the URJC.....	148
Summary of categories relevant to the international dimension of the URJC.....	153
Knight’s Factors Influencing Internationalization Rationales at the URJC.....	154
Summary of Implementation of Internationalization at the URJC.....	161
Analysis of Rationales, Obstacles and Drivers Influencing Internationalization at the URJC.....	162
Summary.....	169
Chapter VIII: Cross-Case Analysis.....	170
Aggregate Internationalization Rationales.....	170
Aggregate Obstacles Influencing the Internationalization Process.....	175
Aggregate Drivers Influencing the Internationalization Process.....	182
Summary.....	189
Chapter IX: Conclusions.....	190
How is Internationalization Being Implemented?.....	191
What are the rationales influencing internationalization?.....	197
What are the obstacles and drivers influencing the internationalization process?.....	202
How do these Factors Compare and Contrast Across Institutions?.....	209
Conclusion.....	212
References.....	215
Appendix A.....	234
Appendix B.....	237
Appendix C.....	239
Appendix D.....	240
Appendix E.....	241

Appendix F.....	243
Appendix G.....	244
Appendix H.....	245

List of Tables

Table		Page
Table 1.	Elements composing the descriptive framework employed to portray the implementation of internationalization at each of the cases	11
Table 2.	GLOSSARI Project: Comparison of outcomes between study abroad participants and non-participants	24
Table 3.	Effective leadership roles and processes: Bolman and Deal (2003)	30
Table 4.	Horn, Hendel and Fry (2007) Categories and Indicators	60
Table 5.	Revised Horn, Hendel and Fry Categories and Indicators – For the Spanish Context	61
Table 6.	International Education Experts who Participated in the Weighting Process	63
Table 7.	Experts' Rating of Indicators: Relevance in the Spanish Context	65
Table 8.	Indicators used towards the Internationalization Index	69
Table 9.	UEM Datasets used for Analysis	94
Table 10.	UEM Internationalization Index	96
Table 11.	UEM's Internationalization Rationale 1, 'Including Internationalization as an Essential Component of a Quality Education'	114
Table 12.	UEM's Internationalization Rationale 2, 'Gaining Competitive Advantage Through Strategic Alliances'	116
Table 13.	UEM's Internationalization Rationale 3, 'Branding of a New Institution'	118
Table 14.	UEM's Internationalization Rationale 4, 'Student and Academic Staff Development'	119
Table 15.	UEM's Internationalization Rationale 5, 'Developing the Social Responsibility of Students'	121
Table 16.	ETSC Datasets used for Analysis	124

(continued)

Table		Page
Table 17.	ETSC Internationalization Index	127
Table 18.	Subjects Taught in English 2011-2012 Academic Year, First Semester	131
Table 19.	Subjects Taught in English 2011-2012 Academic Year, Second Semester	133
Table 20.	ETSC's Internationalization Rationale 1 'Preparing Students for the Demands of a Global Market'	140
Table 21.	ETSC's Internationalization Rationale 2 'Building High-quality Academic Alliances'	143
Table 22.	URJC Datasets used for Analysis	148
Table 23.	URJC Internationalization Index	150
Table 24.	URJC's Internationalization Rationale 1, 'Human Resources Development, in the CAM'	163
Table 25.	URJC's Internationalization Rationale 2, 'Income Generation'	166
Table 26.	URJC's Internationalization Rationale 3, 'International Profile and Reputation'	168
Table 27.	Rationales and their Articulation by Institution and Type	172
Table 28.	Aggregate Obstacles by Institution	176
Table 29.	Organization of Aggregated Internationalization Obstacles into Categories	178
Table 30.	Aggregate Drivers by Institution	183
Table 31.	Organization of Aggregated Internationalization Drivers into Categories	185
Table 32.	Relevant Differences in the Implementation of Internationalization and Internationalization Indexes	192
Table 33.	Knight's (2006) Institutional Rationales of Emerging Importance	199
Table 34.	Ranking of Categories Influencing Internationalization: Number of Obstacles and Drivers	204

List of Figures

Figure		Page
Figure 1.	Conceptual map of factors influencing internationalization	9
Figure 2.	The interconnections between institutional perspectives, domains and international education activities	19
Figure 3.	Research design and rationale: Research questions, instruments and methods, type of analysis, purpose and phases	58
Figure 4.	Evolution of enrollment at the CAM universities by institution type	90
Figure 5.	Enrollment growth at the URJC	155
Figure 6.	Aggregate emerging rationales	198
Figure 7.	Correlation between internationalization index points and the number of internationalization rationales	200
Figure 8.	Number of rationales obstacles and drivers by institution	210
Figure 9.	Factors influencing internationalization and their relevance in the Spanish higher education context	212

List of Acronyms

ACE	American Council of Education
APUNE	Association of North American programs in Spain
CAM	Community of Madrid
CEFR	Common European Frame of Reference
CEI	Certificate of international excellence
CICUE	Internationalization and cooperation committee of the conference of Spanish university rectors
CRUE	Conference of Spanish university rectors
EHEA	European higher education area
ETSC	Escuela técnica superior de ingenieros de caminos, canales y puertos
IaH	Internationalization at home
IAU	International association of universities
IIE	Institute for international education
INE	National institute of statistics
LCTL	Least commonly taught language
LIU	Laureate international universities
MED	Ministry of Education (Spain)
PI	Performance indicators
QDAS	Qualitative data analysis software
SAGE	Study abroad for global engagement
SIO	Senior international officer
UEM	Universidad Europea de Madrid
UPM	Universidad Politécnica de Madrid
URJC	Universidad Rey Juan Carlos

Chapter I

Since the early 1980s technology has been a powerful force driving “the world toward a converging commonality”(Levitt, 1983, p. 92), contributing to a transformation of communication, transportation, commerce, and capital flows (Sun-keung Pang, 2006). Globalization, an outcome of this transformation, is the increased interconnectedness (Marginson & van der Wende, 2007) and interdependence (de Wit, 2002) of nations, promoting higher education’s “greater international involvement” (Altbach & Knight, 2007, p. 290). This study examines the factors influencing the internationalization processes of higher education institutions, responding to the broader forces of globalization.

Acknowledging that “no academic system can exist by itself in the world of the 21st century” (Altbach, 2005, p. 72), leaders of supra-national alliances and nations are promoting educational reforms toward the internationalization of their higher education systems (Childress, 2009a). Among these are the 49 countries that have adhered to the European Higher Education Area (EHEA). At the national level, governing authorities recognize the relevance of higher education institutions producing highly qualified workforces (Altbach, 2005) prepared for global contest (Friedman, 2005), contributing to their country’s economic competitiveness (Wagner, 2006). At the institutional level, colleges and universities strive to prepare “students to live and work in the global setting of the future” (Mestenhauser, 2002, p. xx), promoting competencies such as “broad international knowledge and strong intercultural skills” (Paige, 2005, p. 101). In sum, the *globalization environment* (Knight, 2004) is driving higher education supra-national alliances, national systems, regional structures and individual institutions toward

internationalization, defined for the purpose of this study as “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education” (Knight, 2003, p. 2). This research examines the cases of three diverse Spanish higher education institutions, approaching internationalization in various ways and implementing the process to different degrees, within the larger context of the EHEA.

Statement of the Problem

In the year 2011 the Spanish government hired a committee of international education experts to evaluate the status of the country’s higher education system, requesting recommendations to increase the quality and competitiveness of institutions at the international level. Among other calls for reform, the committee highlighted the insufficient internationalization of universities as a major weakness that needed to be addressed urgently (Tarrach, Egron-Polak, de Maret, Rapp, & Salmi, 2011). While Tarrach, et al. (2011) describe a general scenario of insufficient internationalization, other leaders in international education argue that “Spanish universities are at very different stages of internationalization,” ranging from those where international activity is limited to hosting EHEA exchange students, to those implementing a well-structured strategy incorporating a global dimension into all areas of the institution (S. K. Trooboff, personal communication, July 20, 2011).

Knight (2004) argues that while the international dimension of universities is influenced by the nation, the real process of internationalization takes place at the institutional level. Mestenhauser and Ellingboe (2005) concur, asserting that embarking in and advancing the internationalization process “throughout and across entire

institutions, is ultimately a venture approached differently and with varying degrees of success by each university” (p. 25). Thus, it is at the institutional level where internationalization needs to originate and be implemented.

The rationales for an institution to address and advance internationalization are at the core of the process, determine policies and programs, and dictate the expected outcomes (Knight, 2006). International education experts argue on the importance of institutional motives in the drive for and implementation of internationalization (de Wit, 2002; Knight, 2004; 2006; S. K. Trooboff, personal communication, July 20, 2011), and agree on a lack of research on the rationales steering this process (de Wit, 2002; Ollikaninen, 1996). This vacuum exists also in Spain, where the focus on the internationalization of the higher education system is coupled with a lack of knowledge and understanding of the rationales of universities to embark and evolve in this process. In sum, there is a need for research analyzing the institutional motives for internationalization and how these impact implementation, as relevant to a number of stakeholders in the Spanish higher education context.

Statement of Study Purpose

The purpose of this study is to analyze the factors influencing the internationalization of three diverse Spanish higher education institutions, using the following research questions to address this topic:

1. In what ways is internationalization being implemented at the selected institutions?
2. What are the rationales influencing internationalization?

3. What are the obstacles and drivers influencing the internationalization process?
and
4. How do these factors compare and contrast across three diverse institutions?

Definition of Terms

1. **Globalization.** For the purpose of this study, globalization is the impact on higher education of the increased interconnectedness and interdependence of nations.
2. **Internationalization.** As defined by Knight (2003), internationalization is “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education” (p. 2).
3. **Bologna process.** According to Papaptsiba (2006), the Bologna process stands for multi-national reform “and changes currently undertaken by European states, with varying scope and pace, in order to implement the goal of creating a barrier-free EHEA characterized by ‘compatibility and comparability’ between the higher education systems of the signatory states” (p. 95).
4. **Rationales.** Rationales are institutional ”motivations for integrating an international dimension into higher education” (de Wit, 2002, p. 224). For the purpose of this study, rationales, institutional motives and motivations are used as equivalent terms.
5. **International educators.** For the purpose of this study, international educators are defined as those members of the faculty, administration and or staff with direct responsibility in the implementation of a university’s actions, contributing to the internationalization process.

6. **Governance.** Governance refers to external bodies or agencies and internal governing structures shaping and overseeing the mission, vision and outcomes of a higher education institution and or establishing regulations shaping its international strategies, whether this be a hierarchical or a more cooperative model (Enders, 2004, p. 372).
7. **Senior international officer (SIO).** For the purpose of this study, the SIO is the most senior campus administrator with authority to prioritize and articulate rationales for internationalization and with decision-making power in regard to the duties, means and competencies of international educators.
8. **Ministry of Education (MED).** While the name and structure of this entity has changed with successive governments, MED is employed throughout this study as a standard acronym for this ministry.

Context of the Study

The internationalization of higher education is a goal of the current Bologna process reform, with the educational leaders of the 49 EHEA countries establishing priorities, including: (a) further internationalization of universities' activities; (b) alignment with European standards for quality assurance; and (c) an increase in student mobility, to include 20% of the graduating class by 2020 (European Higher Education Area, 2009). Within the EHEA countries, ministers of education are responsible for promoting compliance with the agreed goals, adopting national policies that will provide support and funding for institutions to cooperate and compete at the global level (Horta, 2009; Smith, 2007).

The current Spanish university system is the product of three successive reforms of the past thirty years. The 1978 Constitution, passed under the post-Franco first democratic government, spurred a reform guaranteeing each of the 17 Spanish states freedom and authority to administer its educational resources and regulate departments, curriculum, and research. With the sanctioning of the Constitution, a significant number of prerogatives transferred from the centralized national government to state governments. With higher education under the authority of each of the autonomous communities, the number of institutions doubled in less than three decades, increasing from 33 (academic year 1982/83) to 76 (academic year 2010/11) (Universidades de España, 2010b).

In the second reform, the national government mandated that all Spanish universities comply with Bologna process directives by the year 2014, demanding changes be made to the existing higher education structures ("Focus on HEd in EU," 2010): synchronizing academic calendars, aligning degree designations and modifying curricular structures (Gaston, 2010). As the country moved towards the "new set of structures" (Rosenau, 1980, p. 11) mandated by the EHEA reform, the Spanish higher education scenario was merged into what Engel and Hinderliter (2009) describe as a complex relationship between supra-national, national, and regional actors.

The third and current reform was steered by two trends. First was the recognition, of two differing successive governments, for the need to increase the quality of the Spanish higher education system and strengthen its presence in world university rankings. Second was the economic crisis in which the country is presently merged, with government leaders imposing a revision of the funding system for public universities.

The socialist government of President Rodriguez Zapatero acknowledged the first of these two trends, hiring a group of international experts to make recommendations for quality improvement to the Spanish higher education system. In their results, presented in a report published in 2011 titled *Daring to Reach High*, Tarrach et al. identify a pressing need to internationalize the Spanish higher education system, making specific recommendations for necessary changes. The conservative government of President Rajoy Breil, elected in November 2011, acknowledged both developments, recruiting a panel of Spanish experts to propose actions promoting the quality and efficiency of the system and approving measures to address its present and future economic contests.

In the current scenario, leaders of Spanish universities face a number of challenges, including diminishing sources of funding from state and national agencies for public institutions and from less financially-able families for private institutions; greater pressure to demonstrate quality; and increased accountability for the preparation of students for professional success in a global economy. Within this context, SIOs will need to define and assert internationalization rationales for their institutions, shaping the implementation and expected outcomes for the process.

Significance of the Study

It is of fundamental importance for an actor—whether it be an institution, provider, public or private stakeholder, NGO, governmental department, or intergovernmental agency—to be very clear in articulating its motivations for internationalization, as policies, programs, strategies, and outcomes are all linked and guided by explicit and even implicit rationales. (Knight, 2004, p. 28)

Institutional rationales are the force guiding internationalization, determining programs and policies and dictating expected outcomes (Knight, 2006), responding to the question “why” and implying “different means and ends” (de Wit, 2002, p. 223) to the process. Identifying institutional motives and exploring the obstacles and drivers associated with these could: inform practice on the alignment of mission vision and outcomes for universities in Spain and in other regions and or nations (Paige & Mestenhauser, 1999); inform policy by identifying barriers to be removed and forces to be enhanced toward greater internationalization; promote accountability by informing stakeholders on the institutional motives guiding the process toward specific outcomes; and “contribute to the improvement of the theoretical basis for analysis and research methods of internationalization of higher education” (de Wit, 2002, p. 83). Ultimately, an analysis of the factors influencing the internationalization of Spanish higher education institutions is a topic of interest to a number of stakeholders.

Organization/Methods

I approach this research project from a pragmatic philosophical worldview (Creswell, 2009), seeking to uncover what rationales, obstacles and drivers are influencing the implementation of internationalization at diverse types of Spanish universities. Mestenhauser’s (2002) *systems perspective* approach to international education, as “a comprehensive system which can be understood only through an analysis of its parts and their relationship to each other” (p. 168), provides the theoretical framework for this study. The conceptual framework, displayed in Figure 1, is based on Knight’s (2004) *rationales approach* to internationalization, at the institutional level, describing *rationales* as “motivations for integrating an international dimension into

higher education” (de Wit, 2002, p. 84), and defining *approach* as “the manner in which the implementation of internationalization is addressed” (Knight, 2004, p. 18). I use Knight’s (2003) definition of *internationalization* as “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post Secondary [sic] education” (p. 2).

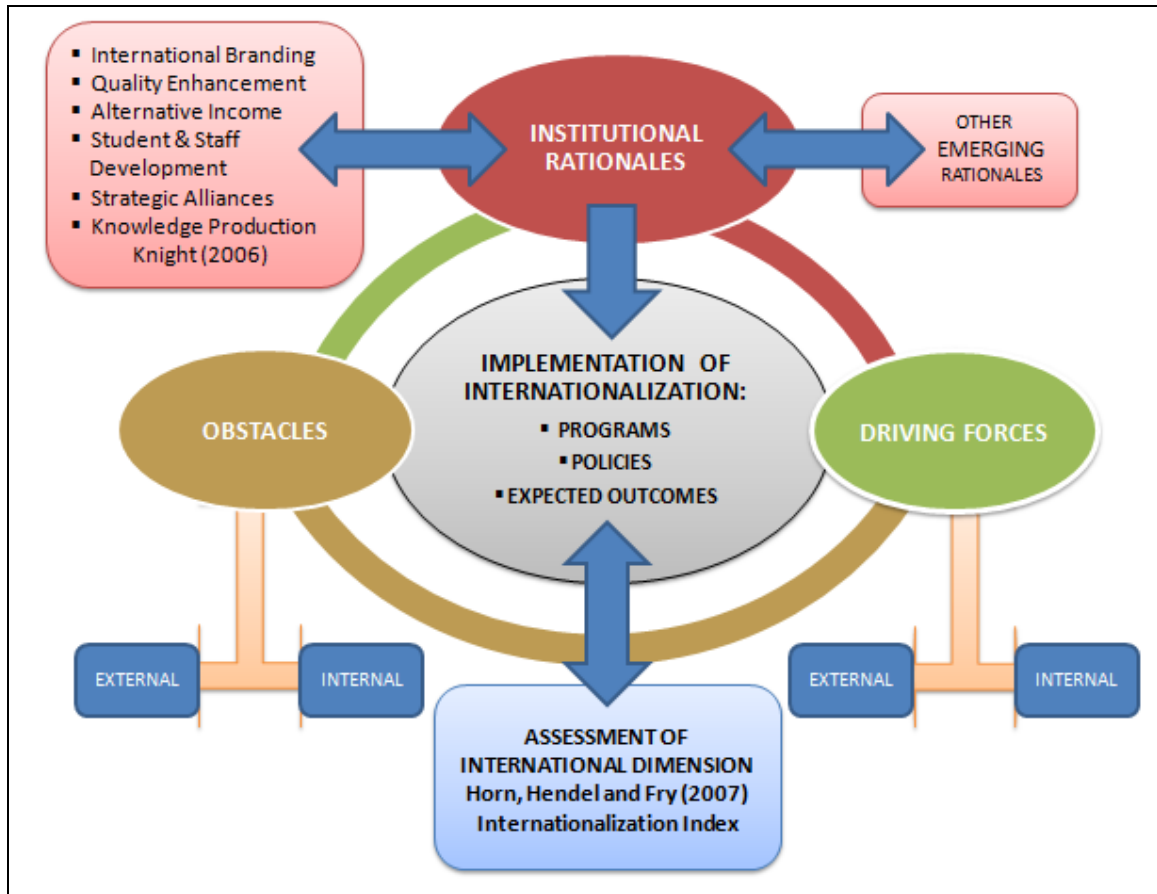


Figure 1. Conceptual map of factors influencing internationalization. Based on Knight’s (2004) rationales approach, institutional motives of emerging importance (Knight, 2006) and Horn, Hendel and Fry’s (2007) method to assess the international dimension of universities.

The study includes three phases: the first two are implemented within each of the cases, while the third addresses a cross-case analysis. The first phase employs a descriptive framework to build a portrait of internationalization. This framework, shown in Table 1, combines the following: Horn, Hendel and Fry's (2007) categories, relevant to the international dimension, and their indicators; Knight's (2004) factors influencing internationalization rationales; and an internationalization index produced by applying a version of the Horn, Hendel and Fry model as adapted to the Spanish context.

The second phase identifies institutional rationales and the obstacles and drivers associated with them, employing qualitative data analysis software (QDAS). Data sources for the analysis include interviews, observations, documents and web sites. Relationships between rationales, obstacles and drivers are presented in conceptually clustered matrices (Childress, 2009b), using a standard format for the three cases. The third and final phase employs these matrices to compare and contrast themes using the cross-case synthesis analysis technique proposed by Yin (2003) toward theory-building (Childress, 2009b).

The case study design grants a deep understanding of internationalization in the Spanish higher education context and of what it means for those involved in it (Merriam, 1988), being a "particularly suitable design if you are interested in process" (p. 33), with the potential for findings to "influence policy, practice, and future research" (p. 19). A multi-site study, including three universities, strengthens the external validity of findings (Merriam, 2009). The higher education institutions participating in the study have been selected as a maximum variation sample (Merriam, 1988), representing public and private universities of different types and sizes, in an attempt to enhance transferability of findings (Merriam, 2009).

Table 1

Elements composing the descriptive framework employed to portray the implementation of internationalization at each of the cases

Authors	Elements	Type of data
Horn, Hendel and Fry (2007) categories relevant to the international dimension of universities	Student characteristics Faculty and scholar characteristics Research and grants Curriculum Institutional characteristics and organizational support	Quantitative and qualitative
Knight's (2004) factors influencing internationalization rationales	Mission Student population Faculty profile Geographic location Funding sources Level of resources Local/national/international focus	Quantitative and qualitative
Horn, Hendel and Fry's (revised) method	Internationalization Index	Quantitative

Limitations of the Study

Given the diversity of higher education institutions in Spain, operating under different state authorities within autonomous communities with unique cultures, the study would need to include a vast number of cases to comprise universities of all types. There are public and private institutions of various enrollment sizes, in diverse locations and demographic settings, and specialized private colleges receiving their accreditation

through local public universities. Selecting for the study a diverse sample of institutions representing a significant number of universities poses important challenges. In addition, convincing institutional leaders to accept the invitation to participate in the study was a complex task, as public and private universities' international initiatives are under the scrutiny of national and regional governments, students, parents and other stakeholders.

Producing a composite internationalization index for each of the institutions in the quantitative phase of the study provides a cross-sectional picture of internationalization at a specific point in time. This method considers what has happened in the past that led to the present status, but will not provide a picture of future progress. Biddle (2002) argues that “taking into account the trajectory from past to present, but excluding consideration of subsequent developments, is not without limitations” (p. 110). A mixed methods approach, including descriptive and analytical qualitative phases attempts to inform the internationalization index, thereby helping to identify themes and draw inferences on whether the internationalization process will evolve, stop, or decay at that particular institution.

Finally, the availability and or accessibility of data could be an additional limitation of the study. Historical and contextual factors that are likely to promote differences in the data that universities collect and keep include the following: isolation from the rest of Europe during the four decades prior to the passing of the 1978 constitution (Peach, 2001); considerable growth in the number of institutions, from 34 in 1984 to 76 in 2009 (Universidades de España, 2012); and different regulations in each of the autonomous communities.

Summary

Chapter I introduces the topic and context of the study. Chapter II is a comprehensive review of the literature on the impact of globalization in higher education, internationalization, rationales, actors and the assessment of the international dimension of universities. Chapter III details the methodology, the specific data collection and analysis methods, and describes the choice of case study subjects. Chapter IV is a description of the historical background and contemporary context in which the study takes place. Chapters V, VI and VII address the case studies, describing the implementation of internationalization, and analyzing rationales, obstacles and drivers at each of the participating universities. Chapter VIII accomplishes the cross-case analysis, comparing and contrasting findings from the previous three chapters. Chapter IX depicts conclusions and their potential for generalization.

Chapter II: Literature Review

This chapter begins with a conceptual overview of globalization and the internationalization of higher education, establishing a distinction between the two terms, describing their impact on the EHEA at the supra-national, national and institutional levels. The sections that follow include a review of empirical research on internationalization, a description of the types of rationales identified by various authors and an account of the most relevant institutional actors involved in this process. The second part of the chapter focuses on the review of contemporary methods for the assessment of internationalization, in the higher education context, introducing relevant conceptual frameworks and models, briefly describing their stages, instruments, categories and indicators.

Globalization and Internationalization of Higher Education

Van der Wende (2007) suggests that although internationalization is not the only option in response to globalization trends, an analysis of globalization is essential when exploring “the future opportunities and challenges for internationalization” (p. 275). Differing arguments on the impact of globalization on the social, economic, and cultural dimensions affecting nations and their individual citizens suggest the quantity and complexity of globalization’s effects and highlight the contrast between positive and negative outcomes. Milanovic (2002) distinguishes a benign face—based on voluntary exchanges and free circulation of people, capital, goods and ideas—from a malevolent face based on coercion and brute force. Castells (2000) argues for the divergent categorizations of development and underdevelopment and inclusion and exclusion. Gray (2000) asserts the damaging effects of “American-led transnational organizations” (p. 7),

spreading a global free market that has had negative effects in the US, including the weakening of social institutions and an increase in economic inequalities. Friedman (2005) counters that the current phase of globalization will provide opportunities for individuals to make a difference by cooperating and competing globally.

According to Altbach and Teichler (2001), “Internationalization in higher education is an inevitable result of the globalized and knowledge-based economy of the 21st century” (p. 5). In a 2004 article, Jane Knight addresses internationalization at the institutional and national levels, arguing for the definition of a term that “is interpreted and used in different ways in different countries and by different stakeholders” (p. 6). Knight (2006) states that a current working definition must be “objective enough that it can describe a phenomenon that is universal, but which has different purposes and outcomes, depending on the actor or stakeholder” (p. 214). Internationalization can be defined from four different approaches (Knight as cited in Jang, 2009): the activities it encompasses, the competencies it promotes, the ethos on which it is supported, and as a continuous process. Knight (2003) adopts the latter approach, defining internationalization as “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education” (p. 2).

Internationalization is shaping the higher education scenario in a number of ways. Enders (2004) asserts that this trend challenges the role of “the nation state as the main determinant of the character of universities and colleges, and of the experiences of their students, their graduates and those who work in them” (p. 361). This series of complex and dynamic processes (Paige, 2005) according to Teichler (as cited in Enders, 2004), induces two different types of change:

1. an increasingly wide range of border-crossing activities initiated at the institutional level; and
2. “more substantial changes towards systematic national or supra-national policies, combined with a growing awareness of issues of international co-operation and competition in a globalising higher education market” (Enders, 2004, p. 363).

The European Higher Education Area: Supra-national and National Policies

The evolution toward the adoption of supra-national policies and an increase in co-operation and competition are relevant change tendencies (Grünzweig & Rinehart, 2002; Horta, 2009; Huisman & van der Wende, 2004; Lopez & Sanmartin, 2004; Luijten-Lub, van der Wende, & Huisman, 2005; Marginson, 2006; Stensaker, Frølich, Gornitzka, & Maassen, 2008; Vaira, 2004; van der Wende, 2007), identified as such by Teichler (1999) and more recently addressed by Enders (2004). In his analytical study of two prominent institutions, Horta (2009) discusses the role of the state, within the European context, in promoting a greater internationalization and competitiveness of national universities, concluding that “public funding and support is critical” (p. 387) for these universities to be able to compete at the global level.

In 2004 Huisman and van der Wende’s study of the reaction of European Union governments to supra-national agreements on higher education inferred that “the presumed lack of national government acceptance of inter- or supranational interference in higher education is not as deep as was expected” (p. 355). These authors attribute the acceptance of supra-national policies to positive experiences, including “the integration of internationalisation [*sic*] into mainstream higher education policy, the increasing student and staff mobility, the supportive approach — in terms of financial assistance —

of the European Commission, and the considerable political leeway for governments in the Bologna process” (Huisman & van der Wende, 2004, p. 355). Governments have developed policies aligned with the EHEA’s agenda, steadily advancing toward “converging systems of higher education” (Huisman & van der Wende, 2004, p. 355), using different approaches and outcomes for the process and despite some problematic issues such as the language of instruction.

One of the promised priorities of the EHEA’s members is to promote the increased mobility of researchers, staff and students, having stipulated that at least 20 percent of the graduating class will have studied abroad by the year 2020 (European Higher Education Area, 2009). Papatsiba (2006) analyzes the role of student mobility in the European Union as a stimulus for “the convergence of diverse higher education systems” (p. 93), arguing that this initiative is an attempt to establish the foundation for a European system of higher education. Among the many benefits derived from mobility, a European Commission 2009 communication states that “it increases cooperation and competition between higher education institutions” (p. 4). In this same document, the Commission encourages the institutions to “further internationalise their activities” (p. 3) through global collaboration for sustainable development and competition on a global scale, complemented by enhanced policy dialogue and based on partnerships with other regions of the world.

Institutional Internationalization

While globalization is a world trend, internationalization is a multi-dimensional, dynamic change process, taking place at the institutional level (Paige, 2005). Universities in Europe are increasingly responsible for internationalization in an environment of

growing pressure for diversity, managerialism, and de-nationalization processes (Teichler, 1999). Not all universities are necessarily international, but all are subject to “the same processes partly as objects, victims even, of these processes, but partly as subjects, or key agents” (Scott, 1998, p.122), while each institution establishes its own priorities and strategies in response to the EHEA policies (Bonaccorsi & Daraio, 2007).

Mestenhauser (2002) proposes a systems perspective, a strategy combining knowledge about and insight into international education as a whole versus the more common approach of individual fragmented efforts. He distinguishes between *international education*, “something colleges and universities say they are doing” (p. 169), and *internationalization* as “a program of educational change and reform that needs to happen” (p. 169) in response to global trends. This change process--“moving towards system-wide internationalization programs”--requires a strong commitment to prevalent international education and the acceptance of “internationalization as a mega-goal” (Mestenhauser, 2002, p. 196). Mestenhauser (2002) identifies seven *learning domains*, or categories encompassing a university’s activities in international education, and five perspectives providing “a comprehensive understanding of the field’s seven domains” (p. 174). All learning domains and perspectives are integrated with international education activities, as reflected in Figure 2. He highlights the relevance of institutional self-knowledge of international activities, where “all parts of the system influence other parts” (Mestenhauser, 2002, p. 189) and are perceived to be mutually interdependent.

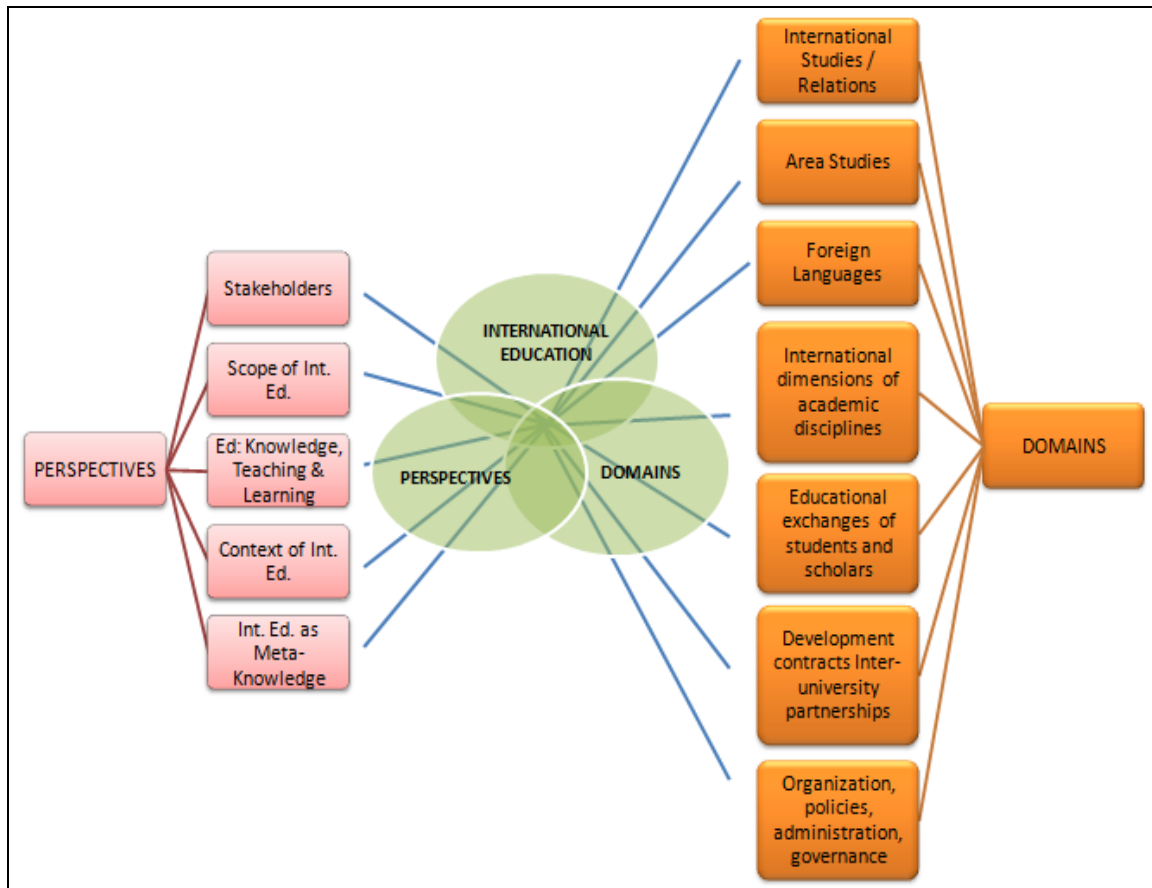


Figure 2. The interconnections between institutional perspectives, domains and international education activities. Based on Mestenhauser's (2002) systems perspective.

Researchers and leaders of international education organizations align their discourse with Mestenhauser's systems perspective. Soderqvist and Parsons (2005) explore the *Effective Strategic Management of Internationalisation*, advocating the need for a "shared view within an individual institution on how internationalisation [*sic*] is to be defined" (p. 3) to prevent a "fragmentation of the international effort" (p. 3) that could make the process unmanageable. In a recent article describing the internationalization efforts of Northeastern University, in the USA, Fisher (2011) quotes Peggy Blumenthal, of the Institute of International Education (IIE), as stating that "Institutions with

successful global strategies understand that they cannot rely on a single approach.....They know they've got to innovate across the campus and across the curriculum” (para. 49).

Empirical Research on Internationalization

A number of researchers have completed empirical studies on internationalization from different approaches and using diverse methodologies. Ellingboe (1999) presents a comparative case study on “the direction that internationalization takes” (p. v) at five liberal-arts colleges, exploring internationalization components, describing strategies employed by actors leading the process, and listing recommendations for similar institutions. The results of her study show comparable rationales, faculty involvement and student participation, and different “curriculum, numbers of international students, strategic planning efforts, goal setting, resource allocation, stakeholder involvement, and strategies used to achieve goals” (Ellingboe, p. v).

Nilsson (2003) and Paige (2003) conduct case studies focusing on *Internationalization at Home* (IAH), a concept developed by the former in 1998 promoting a process that embraces a whole university community and not only individual students and professors who participate in mobility programs. Nilsson (2003) describes its implementation at the University of Malmö, presenting strategies, solutions, problems and obstacles of the process. He contends that all students should be affected by the benefits of internationalization, including “open minds and generosity toward other people; know how to behave in other cultures and how to communicate with people with different religions, values, and customs; and not be scared of coping with new and unfamiliar issues” (Nilsson, 2003, p. 39). Paige (2003) portrays the history of

internationalization at the University of Minnesota, spanning over 30 years, while addressing the six dimensions of Ellingboe's (1998) conceptual model including the integration of international students and scholars, curriculum internationalization, faculty involvement, co-curricular units and infrastructure, leadership support and availability of study abroad programs. He concludes that the components of internationalization are numerous, that IAH is a continuous *holistic process* and asserts that even in optimal circumstances "certain colleges are invariably more internationalized than others" (p. 61).

A number of the more recent studies are focused on students learning outcomes, acquired competencies, and or career and life impact resulting from their participation in international education programs. *Beyond Immediate Impact: Study Abroad for Global Engagement* (SAGE) is a retrospective tracer study led by two researchers, Dr. G. Fry and Dr. R. M. Paige, of the University of Minnesota, seeking to

examine the long-term personal, professional, and global engagement outcomes associated with study abroad experiences that occur during the college years . The researchers define global engagement as the contributions a person makes to the common good by means of civic engagement, knowledge production, social entrepreneurship, and philanthropy. (Study Abroad for Global Engagement, 2013 para.1)

The SAGE project shows that study abroad participants consider their time overseas to have been the most important among all of their college learning experiences. The respondents also reported that study abroad during the college years influenced their later global engagement (Paige, Fry, Stallman, Jon, & Josić, 2009).

In *Study Abroad and Its Transformative Power*, a study underwritten by the Council for International Education Exchange (CIEE), researchers express “a strong interest in determining how and in what ways study abroad experiences influence students’ learning and their subsequent lives” (Fry, Paige, Jon, Dillow, & Nam, 2009, p. xi). This mixed-methods study explores how education abroad influences the lives of 648 individuals, examining their career development, educational attainment, knowledge and skills, and basic values and world views. Among their relevant findings, the authors highlight a significant number of participants who identify study abroad as one of the best experiences in their lives, suggesting that it “should be available to everyone” (Fry et al., 2009, p. 53). The study also reveals the influence of the international experience on enhanced personal efficacy, expanded “world views and sense of the possible” (Fry et al., 2009, p. 53) and its impact on students’ lives and their academic and or career choices.

The *Georgetown Consortium Research Project* is a “large-scale, multi-year study of U.S. student learning abroad” (Vande Berg, Connor-Linton, & Paige, 2009, p. 1), with three goals. First, researchers compare language and intercultural and disciplinary learning of US students enrolled in education abroad programs with that of a US-based control group. Second, they explore the potential relationship between “student learning, specific program components (e.g., duration of program, type of housing) and learner characteristics (e.g., gender, prior study abroad experience, the amount of target language completed prior to departure)” (Vande Berg, et al., p. 1). Third, they study the association between target language improvement and intercultural learning. Students in the study had enrolled in education abroad programs, studying and or taking academic courses in a target language or attending programs conducted in English. Individuals studied were

tested for target language and intercultural learning, both prior to and after their participation in a program abroad or as part of a control group. The three broad conclusions of this study are especially relevant for their implications in the design and administration of study abroad programs. Students attending programs abroad, especially females, show larger gains in intercultural learning and oral second-language proficiency than their peers in the control group. Learner characteristics and program features influence intercultural and language learning abroad, confirming that better program design can positively impact student learning. Finally, there are significant, although indirect, relationships between gains in target-language oral proficiency and intercultural development.

The *GLOSSARI Project* is a system-wide initiative implemented at the University System of Georgia, seeking to document student learning outcomes derived from participation in education abroad programs (Sutton & Rubin, 2004). In 2004, Sutton and Rubin published an article focusing on one of the elements of this initiative, a comparison “between study abroad participants and non-participants” (p. 65) based on seven learning outcomes, as follows: functional knowledge, knowledge of global interdependence, knowledge of cultural relativism, verbal acumen, knowledge of world geography, interpersonal accommodation, and cultural sensitivity. Study abroad students reported a higher level than their peers who had remained in the US in four of these seven dimensions (see Table 2). One of the strengths of the GLOSSARI project is that it studies a sample of students from 16 diverse institutions and their programs.

Maddux and Galinsky (2009) studied the association between creativity and living abroad, systematically employing a multimethod approach across five different studies. Their research is relevant to international education in that it established a significant connection between these two variables (creativity and living abroad) at a time when countries need globally-oriented creative professionals capable of facing novel challenges. Two characteristics of the study demonstrate the robustness of the relationship between creativity and living abroad: its manifestation “across a number of creativity measures” (Maddux & Galinsky, 2009, p. 1047) and its consistency across graduate and undergraduate samples in Europe and the US.

Table 2

GLOSSARI Project: Comparison of outcomes between study abroad participants and non-participants

Learning outcome	Affected by study abroad	Unaffected by study abroad
Functional knowledge	X	
Knowledge of global interdependence	X	
Knowledge of cultural relativism	X	
Verbal acumen		X
Knowledge of world geography	X	
Interpersonal accommodation		X
Cultural sensitivity		X

In 2006, the lead management at CIEE designed and completed a study on the impact of study abroad on employability, addressing two questions: whether students who attend education abroad programs have a competitive advantage over those who do not in accessing their first job upon graduation; and whether human resources professionals value study abroad experiences as much as the CEOs and presidents of their firms (Trooboff, Vande Berg, & Rayman, 2007). Findings of the study indicate that employers value education abroad experiences when making hiring decisions, and that human resources professionals are “more likely to value study abroad than are CEOs and presidents” (Trooboff, et al., 2007, p. 18).

Internationalization as Organizational Change

Mestenhauser (2002) defines internationalization as “a program of educational change and reform that needs to happen if our educational institutions are to respond to the dramatic changes in the world of today” (p. 169). Under his proposed *systems perspective*, he argues that this change entails the integration of international education into governance and policies, and the active involvement of institutional and external stakeholders. Higher education institutions--as complex organizations (Heyl, Thullen, & Brownell, 2007; Taylor, 2004) with varied academic and extra-academic units operating within a decentralized structure and comprised of multiple constituencies with diverse perspectives and attitudes (Childress, 2009a; Eckel & Kezar, 2003)--pose unique transformation challenges. Among a number of respected theories developed to explain organizational change, Heyl, et al. (2007) propose two as more suitable to the higher education setting: Bolman and Deal’s (2003) model, looking at organizations through

four different frames; and the American Council of Education's (ACE) approach to institutional internationalization as transformational change (Kezar & Eckel, 2002).

Bolman and Deal (2003) suggest using frames as mental models to assemble data into coherent patterns to help leaders understand the full picture of their organizations. In a *structural* frame the traits of the organization are “rationality, appropriate goals and objectives, efficiency and coordination” (Heyl, et al., 2007, p. 6). Leadership challenges, in this type of organization, relate to the differentiation and integration among parts within the structure. In a *human resources* frame, the organizational structure is guided by the personnel's human needs, such as promoting employee empowerment, providing resources for conflict resolution and establishing mediation protocols. A third frame is *political*, with organizations seen as coalitions of diverse individuals and groups, where enduring differences and scarce resources lead to constant conflict resolved through continuous negotiations. The fourth frame is *symbolic*, where myths, values and vision form a structure bonding the organization's members. All four of these frames emerge in the university setting at different times and in different areas and often coexist, requiring a broad perspective and range of leadership skills to “initiate and sustain change” (Heyl, et al., 2007, p. 7).

The ACE sponsored a series of studies through its Project on Leadership and Institutional Transformation, addressing campus internationalization as a stimulus for institutional change (Heyl, et al., 2007). Within the ACE project, Kezar and Eckel (2002) used a multiple-case study to develop a theoretically and empirically grounded framework of successful institutional transformation, focusing on the “type of change more institutions most likely will be undertaking” (p. 317). They defined core strategies,

essential sensemaking characteristics and “the interrelationship among core and secondary strategies” (Kezar & Eckel, 2002, p. 317). In a later study Eckel and Kezar (2003), acknowledged transformational change at universities as a complex, far-reaching process, modifying the “attitudes and beliefs of individuals across the organization” (Mullen, 2011, p. 52).

Other relevant perspectives on higher education internationalization as a change process, focusing on organizational culture, are those of Bartell (2003) and Burnett and Huisman (2010). Bartell developed a framework “to assist in the understanding of the process of internationalization of universities” (p. 43), approaching it as a course of organizational adaptation, using two juxtaposed examples to illustrate the relevance of aligning internal culture with objectives and strategies. He asserted that this framework promotes the understanding of different approaches to internationalization, with future uses in management and research. Burnett and Huisman (2010) studied the cases of four Canadian higher education institutions in an attempt to assess how a university’s organizational culture shapes its reaction to globalization, concluding “that responses to globalisation are optimised” (p. 117) within a more entrepreneurial culture.

Childress (2009a) focused on strategic planning and its impact on the internationalization process. In her study of 31 US universities, she argued that internationalization plans are critical “to the operationalization of institutions’ internationalization goals” (p. 306). She acknowledged the obstacles that need to be overcome in order to determine the type of plan that best fits an institution needs, suggesting the options of internationalization strategic plan, distinct document, or unit plan. Childress argued that future research on the relationship between the development

of these plans and their diffusion to key stakeholders could help promote internationalization “into the classrooms and beyond” (p. 307).

Internationalization Actors

Internationalization requires the involvement of multiple stakeholders (Childress, 2009a; Eckel & Kezar, 2003; Ellingboe, 1998; Knight, 2006; Mestenhauser, 2002) “at all organizational levels and functions of the institution” (Soderqvist & Parsons, 2005, p. 42). Paige and Mestenhauser (1999) discuss the relevance of three challenges faced by educational administration in the internationalization process. First is a lack of balance between the production of knowledge and its dissemination, hindering the access to potential solutions for universal problems and a better understanding of contextual “influences on educational development” (Paige & Mestenhauser, 1999, p. 500). Second is the dimension and amount of immediate pressure faced by educational administrators, possibly promoting their resistance to internationalization. Third is an *international mindset* (Paige & Mestenhauser, 1999) required for educational leadership, characterized by recognition of the importance of cultural variables, interdisciplinary thinking, and understanding of the impact of global forces on educational practice. Brustein (2007) argues for the role of international educators as advocates for campus internationalization, responsible for tasks including curriculum integration, faculty development, finances, and student participation and outcomes. Mestenhauser and Ellingboe (2005) concur, describing a number of leadership functions performed by international educators in the US, including writing strategic plans, supervising staff and students, and participating in conferences and organizations.

In the European context, ministers of the EHEA countries acknowledge the relevant role of stakeholders in the implementation of reform, including “the academic community—institutional leaders, teachers, researchers, administrative staff and students” (European Higher Education Area, 2010, p. 2). Soderqvist and Parsons (2005) assert that many middle managers in international relations offices act as apostles, often “willing to work long hours and to sacrifice their own health and neglect their family life” (p. 40) to promote internationalization. These authors suggest adopting a “holistic management model” (Soderqvist & Parsons, 2005, p. 39) when creating an institutional internationalization strategy, where commitment is shared by managers at all levels “if results are to be achieved” (p. 40).

While the numerous parties involved in institutional internationalization reform have relevant and differing perspectives and rationales to internationalize (de Wit, 2002; Knight, 2004), this study focuses on the views of senior international officers, or SIOs, as key institutional actors. For the purpose of this study, the SIO is the highest-ranked campus administrator with authority to define and prioritize rationales for internationalization, holding decision-making power on the duties, means and competencies of international educators. Thus, the level and label for this position could be different at each of the institutions in the study, but all SIOs have leading roles in the advance of the internationalization process and act as managers who must overcome resistance to change (Dent & Goldberg, 1999). Implementing an internationalization reform, transforming higher education institutions, and engaging their multiple constituencies, require that SIOs be effective change advocates (Ginsberg & Abrahamson, 1991; Taylor, 2004), promote learning in scenarios of complex rapid change (Fullan, 2001), and do so effectively during times of increasing global cooperation and competition (Heyl, et

al., 2007). While this strong visionary leadership needs to exist throughout academic ranks (Ellingboe, 1998) and in all “organizational levels and functions of the institution” (Soderqvist & Parsons, 2005, p. 42), the SIO, when perceived as a legitimate expert (Heyl, et al., 2007), is the individual with the utmost capacity to promote and embrace institutional transformation toward internationalization.

Leadership for Change

Bolman and Deal’s (2003) four frames for looking at organizations, “rooted in both managerial wisdom and social science knowledge” (p. 21), can help senior international officers understand the multiple realities of their institutions and identify levers for effective change (Heyl, et al., 2007). Each of the four frames or a blend of them, present in a university setting, can be best addressed using specific positive leadership skills and processes, as shown in Table 3. According to Bolman and Deal (2003), using the appropriate frame or combination of frames allows leaders to look at their organizations from multiple perspectives and provides them with the opportunity to *reframe*, “a powerful tool for gaining clarity, regaining balance, generating new options, and finding strategies that make a difference” (p. 22).

Fullan (2001) draws on a growing knowledge base of the components of success in complex conditions and numerous examples of broad transformation, in business and education, to propose a framework for more effective leadership in a changing environment. Schools and companies face increasingly similar challenges, sharing the need to become *learning organizations* to survive in the current knowledge society (Fullan, 2001.). Fullan (2001) focuses on five components representing “independent but mutual reinforcing forces for positive change” (p. 3): pursuing moral purpose, understanding the change process, developing relationships, fostering knowledge

building, and striving for coherence. Continued work on these five themes, combined with “energy, enthusiasm, and hopefulness” (p. 11), will increase leaders’ effectiveness, producing enormous rewards and benefits.

Table 3

Effective leadership roles and processes: Bolman and Deal (2003)

Frame	Effective Leadership	
	Leader is:	Leadership process is:
Structural	Analyst, architect	Analysis, design
Human resources	Catalyst, servant	Support, empowerment
Political	Advocate, negotiator	Advocacy, coalition building
Symbolic	Prophet, poet	Inspiration, framing experience

Note. Based on the Four Frame Model in *Reframing Organizations: Artistry, Choice and Leadership* (3rd. ed.), by Lee G. Bolman and Terrence E. Deal (2003).

Kezar (2008) concurs with Fullan (2001) on the relevance of effective leadership toward the “health and future of higher education” (Kezar, 2008 p. ix), and contrasts the abundance of research on leadership development in business and other fields with a void for similar publications in higher education. She argues that the lack of training programs hinders the future of higher education, failing to prepare and provide leaders who will embrace new concepts and abilities to bring about change and innovation. Kezar’s (2008) book focuses on educational leadership training programs in North America, where a number of prestigious universities offer graduate and doctoral degrees in organizational leadership, administration and policy development in higher education, with an international focus. Among the institutions offering graduate and doctoral degrees

focused on educational leadership development are: the University of Minnesota, Department of Organizational Leadership, Policy and Development; New York University's Steinhardt School of Culture, Education and Human Development; Columbia University Teachers College; and Pennsylvania State University, College of Education. Similar educational leadership training programs, with an international focus, are non-existent in Spain, where it is uncommon for university rectors and senior international officers to hold doctoral degrees in fields related to transformation, in business and or education.

Drawing from these respected theories on leadership for organizational change, effective senior international officers must understand the multiple realities of their institutions (L.G. Bolman & Deal, 2003), commit to the development of their core capacities with “energy, enthusiasm, and hopefulness” (Fullan, 2001, p. 11), and be equipped with new concepts and abilities (Kezar, 2008) that have proved valuable in transforming education and business organizations.

Rationales for Internationalization

It is important to understand which of the multiple rationales for internationalization drive an institution to embark and progress in this process (Childress, 2009b), as this will impact the approach and purpose of each university (de Wit, 2002; S. K. Trooboff, personal communication, July 20, 2011). According to Taylor (2004), “For most institutions, the drive toward internationalisation reflects both their core ideals and philosophies of higher education and a firm grasp of practical and competitive realities in the contemporary world” (p. 6). Knight (2006) concurs, stating that it is of key importance for a university “to clearly articulate its motivations for internationalization,

as policies, programs, strategies and outcomes are all linked and guided by explicit and even implicit rationales” (pp. 220-221).

A significant number of studies adopt the four broad categories of internationalization rationales proposed by Knight and de Wit in 1999: political, economic, academic and cultural/social. In a more recent work, Knight (2006) lists new emerging rationales, at the institutional level, as follows:

- *International Profile and Reputation*, striving to gain status as high-quality institutions, enabling universities to compete for students, researchers and research projects at the national and global levels;
- *Quality Enhancement*, with institutions seeking internationalization as a means towards increased quality of education;
- *Student and Staff Development*, enhancing the international and intercultural competencies of students, faculty and staff, towards their personal and professional success;
- *Alternative Income Generation*, approaching international education as a source of additional revenue for the institution;
- *Networks and Strategic Alliances*, as joint ventures and networks are approached with a focus on purpose and outcomes, towards “academic, scientific, economic, technological, or cultural objectives” (Knight, 2006, p. 27); and
- *Research and Knowledge Production*, applied to collaborations addressing trans-national issues and challenges.

This section examines Knight and de Wit's (1999) four broad categories and the additional emerging institutional motives identified by Knight (2006), as they apply to the contemporary Spanish higher education context.

Political rationale.

A relevant political rationale for internationalization, at the supra-national level, is the aspiration to establish Spain as one of the leading *developed countries* (Wallerstein, 1974), seeking a place among the advanced and emerging economies of the G-20 ("España será invitado permanente en el G-20 [Spain will be a permanent guest in the G-20]," 2010; Martinez, 2009). In addition, the country's monarchy and political leaders strive to maintain an influential position within the European Union and aim for an increasingly relevant role as a liaison between Europe and Latin America. The desire to strengthen this connection transcends the borders of the political rationale, as Spain benefits from the multinational expansion of its corporations with some of their more profitable overseas operations based in Latin American countries (Casilda Béjar, 2012). Behind a stronger link with this world region is also an academic rationale, as increasing educational joint initiatives (Cortina & Sánchez, 2007) exploit historical ties, such as the founding of the first university in America by a Spanish religious order and more than one hundred years of shared academic publications (de Buen, 1896).

Another political rationale, this at the national level, is the widespread perception that international education is the solution to some of the country's most pressing issues. Improving human capital is one of the measures that could contribute to rebalance the receding economy (OECD, 2010), attracting investors from other countries and improving the competitiveness of Spain-based corporations. Promoting university and

workforce access to an increasingly diverse population (Pérez, 2003; Zapata-Barrero & Cristiani, 2009) requires faculty and staff equipped with international and intercultural competencies. In addition, an international education component would enhance the ability of Spanish graduates to access jobs in other European countries (Mendez, 2012). Increased access to more diverse higher education environments and an international education component could contribute to lowering the extremely high level of unemployment in the 17 to 24 age group, currently at 46.4% ("Unemployment statistics," 2012).

Economic rationale.

The economic motive appears throughout the literature on national and supra-national internationalization rationales in the US (Atkinson-Grosjean & Grosjean, 2000; Biddle, 2002; Lee, 2008; NAFSA, 2008), in the European Higher Education Area countries (de Wit, 2009; Enders, 2004; Luijten-Lub, et al., 2005; Taylor, 2004) and in Asia (Huang, 2007), where “calls were made for better interaction between universities and industry and integration of university research with economic activities” (Altbach & Balán, 2007, p. 41). Included in the economic rationale are universal issues, such as the need to graduate students who are capable of competing and performing in a global workplace, the capacity to recruit fee-paying students from other world regions, and the advancement of universities in quality world rankings. All of these economic concerns are present in the Spanish higher education context and have gained exponential relevance in a worsening economic scenario.

In a scarce job market, with one of the highest unemployment rates of the European Union ("Unemployment statistics," 2012), Spanish university graduates and

young professionals are obliged to seek jobs abroad (Sills, 2012), competing with graduates from all European Higher Education Area countries for positions requiring command of a foreign language and international and intercultural competencies. This migration trend is unlikely to change until the Spanish economy evolves from the current recession to a scenario of growth, possibly years from now.

As public funding decreases, Spanish universities look for alternate sources of revenue, attempting to increase their capacity to recruit fee-paying students from other world regions. Three different cohorts are generating revenue for institutions and their local and regional communities

- 65,568 international degree-seeking students, coming from countries in Europe, North Africa, and South America, as traced in the Atlas of Student Mobility of the Institute of International Education (IIE) ("Spain," 2010);
- 25,965 US study abroad students, according to the *Open Doors* report (Institute of International Education, 2012), with Spain appearing as the third leading SA destination in the academic year 2010-2011, receiving 9.5 percent of the total number of U.S. students who studied overseas; and
- 33,172 ERASMUS students, with Spain as the EHEA country hosting the largest number of students ("Outgoing and incoming Erasmus student mobility in 2008/2009," 2009).

Spanish higher education institutions, both private and public, will likely continue to exploit and explore these and other potential sources of international fee-paying students, from countries outside the EHEA.

Promoting the quality and international reputation of Spanish universities, advancing their positions in supra-national rankings, is one of the goals of past and present Spanish administrations. In 2009 a socialist government created the *Certificado de Excelencia Internacional*, an international excellence award, recognizing and funding selected initiatives of public and private universities, contributing to increased quality and international prestige (Ministerio de Educación, 2011). The program was discontinued in 2011, due to a lack of funding, but subsequent initiatives are addressing similar goals. Shortly after winning the national elections, in November 2011, the conservative government formed a council of experts to evaluate the status of the higher education system, making recommendations for its improved quality and increased efficiency ("Wert reformará la universidad ante la 'desproporción entre resultados e inversión' [Wert will reform the university system, faced with a lack of proportion between cost and outcomes]," 2012). This quest for efficiency, quality and prestige aligns with economic rationales, seeking a better-prepared workforce and enhancing a university's opportunities to compete for international students, and is an example of blurred borders between economic, academic and political-social rationales.

Academic rationale.

The academic rationale focuses on the need to internationalize the curriculum to promote the development of intercultural and international competencies of students. Intercultural competencies are defined as "a set of cognitive, affective, and behavioral skills and characteristics that support effective and appropriate interaction in a variety of intercultural contexts" (Bennett, 2009, p. 97). International competencies provide

students with the ability to live and work efficiently in an international setting and can be promoted through international education initiatives, such as the following:

- internationalizing a substantial number of required courses;
- developing motivational policies to encourage students to enroll in courses devoted to international and intercultural education;
- supplementing these policies with study abroad; study of foreign languages (beyond typically required contact hours); and the cultivation of intellectual, professional, and personal associations with people of other cultures; and
- getting the message across to students that working with other people, understanding them, and having empathy for them does not lead to a loss of identity (Mestenhauser & Ellingboe, 1998).

Within the EHEA, there is an additional academic rationale for internationalization, derived from the intent to create a supra-national common higher education milieu. The EHEA requires a curriculum reform (European Higher Education Area, 2010) to advance toward common goals of increased mobility (Huisman & van der Wende, 2004) and student-centered learning (European Higher Education Area, 2009). This reform, to which all EHEA nations have committed, poses considerable challenges in higher education environments with rigid top-down imposed curriculums, traditionally centered on mastery of content and direct instruction, such as the long-established Spanish model.

Social and cultural rationale.

A social and cultural rationale for internationalization, the least cited in the relevant literature, includes promoting “students’ abilities to live in an increasingly

multicultural environment and to contribute to international understanding” (Childress, 2009b, p. 14). In the year 2005 the Council of Europe published and distributed among its members a document promoting education toward democratic citizenship (Weber & Bergan, 2005). The document included recommendations to develop all educational policies from the perspective of lifelong learning, defining several objectives that included a focus on promoting “skills and attitudes necessary for life in multicultural societies as well as competences such as those of listening to, understanding and interpreting other people’s arguments, recognising and accepting differences or shouldering shared responsibilities” (Aguilar, 2009, p. 243). The objectives of this European program are within the social and cultural rationale for internationalization, addressing four areas that are relevant to contemporary Spanish higher education, including promoting inter-cultural communication skills, planning with sustainability, encouraging cooperation and development, and approaching higher education as a life-long learning activity (European Higher Education Area, 2010).

International profile and reputation.

The lack of international reputation of Spanish universities has been a source of concern for national and regional authorities, aware of the relevance of recognized prestige beyond national borders. During the second half of 2011, high-ranked officials at the MED hired a group of international education experts to consult on the lack of Spanish presence in world university rankings. The result was the *Daring to Reach High* (Tarrach, et al., 2011) report. Minister Wert, appointed in November 2011 by a newly elected Spanish president, shortly after the report had been published, has continued to explore opportunities to maximize learning outcomes and improve quality with a group

of Spain-based experts. These initiatives have contributed to raise awareness, both at the institutional level and among stakeholders, on the importance of an international reputation when competing for students, researchers and research projects at the national and global levels

Quality enhancement.

Conventional wisdom in Spain associates the strength of an institution's international dimension with its quality. While there is no research-based evidence of this in the Spanish context, Jang (2009) addressed this topic in the US, finding a positive correlation between internationalization and the quality of higher education. Including an international component as part of a higher education degree has become especially relevant in the current economic scenario, where limited job opportunities are likely to be more accessible to graduates from institutions of high standards. In addition, private universities seek quality as a competitive advantage over their public competitors, compensating for significant differences in tuition amounts. Thus, the quest for quality could be an important motivation for Spanish universities to advance in their internationalization process.

Student and staff development.

Two relevant trends in Spain place student and staff development at the forefront of institutional motivations for internationalization. First is an economic scenario of high and rising unemployment rates, currently above 25 percent ("Unemployment statistics," 2012), where candidates with "demonstrated abilities to work and live in a culturally diverse or different environment" (Knight, 2006) are more likely to access job opportunities. Second is the pressure for increased accountability, for public universities

to demonstrate that students' learning outcomes correspond with the funding received from public sources and for private institutions to prove the value of their degrees.

Alternative revenue generation.

This rationale has gained relevance as higher education institutions compete for a decreasing pool of students, with shrinking funding sources both for public and private universities. Public institutions are facing significant budget cuts and pressures to raise their tuition, while private institutions recruit from middle and high socio-economic classes whose incomes have been reduced by the economic crisis. In these circumstances institutions are likely to view international programs and recruitment of foreign students as an alternative source of revenue.

Networks and strategic alliances.

Becoming a member of a network and or establishing academic alliances with other institutions is a motivation for Spanish higher education institutions, as a means to provide study abroad and joint program opportunities for their students and to provide international experiences and or collaborations for their faculty and staff . The ERASMUS student and faculty exchange programs have fueled institutional alliances among institutions in the EHEA member countries. Another initiative promoting these alliances is Atlantis, a program participated by the European Commission and the US Department of Education, for joint educational ventures between three or more institutions in different US regions and European Union countries. When Atlantis was temporarily suspended “due to severe cuts in the 2011 US budget meaning that the funds needed to match the EU contribution are not available” (US Department of Education, 2011a), 26 programs had already received funding including nine transatlantic degrees,

10 excellence-in-mobility projects and seven policy oriented actions. Other strategic alliances, such as exchange agreements, pursue international opportunities for students, faculty and staff within a pre-established economic, academic and or work frame.

Research and knowledge production.

The Certificado de Excelencia Internacional (CEI), a program launched by the Spanish government in 2009, is a reflection of how the research and knowledge production motivation has lately gained relevance in the Spanish context. The CEI is a government award recognizing quality international centers and or campuses, developing programs linking research and its impact on their local communities. The initiative acknowledges the relevance of interdisciplinary international collaboration to address global problems faced by local communities, while raising awareness of the role of universities as centers for research and knowledge production. The CEI program was temporarily discontinued as the result of budget reductions in 2011, but a majority of the 76 Spanish universities had designed and presented specific programs aspiring to obtain the award in the years 2009 through 2011.

Assessment of Internationalization

Internationalization is used as a measure of quality and competitiveness for all institutions in a global higher education market (de Wit, 2009; Jang, 2009; Knight & de Wit, 1999). In 2009 a task force of the the NAFSA Teaching, Learning, and Scholarship Knowledge Community created a resource for international educators, providing examples of practice and listing existing resources for the assessment and evaluation of international education,

Assessment of quality, effectiveness, and impact involves using the judgments based on available evidence and analyses that stakeholders use to fulfill a number of responsibilities, most often classified into two major functions: for improvement of what is evaluated and for demonstration of accountability.

(NAFSA, 2010, p. 3)

On the assessment function, cited in the NAFSA document, Paige (2005) contends that “The ultimate purpose of the assessment process is to improve the performance of the institution relative to its goals and objectives” (p. 102). Paige and Stallman (2007) address the second of these functions, demonstrating accountability, arguing that higher education institutions are increasingly responsible for advancing the internationalization process, with stakeholders demanding evidence that investments in education abroad are producing the desired institutional and individual outcomes. Atkinson and Grosjean (2000) discern the accountability of public institutions, which are obliged to respond to performance-based state agendas. In her study on the relationship between internationalization and quality in higher education, Jang (2009) also differentiates between assessment and accountability, arguing that the first focuses on process while the latter is more related to outcomes.

Instruments for assessing internationalization.

The assessment of higher education internationalization is a complex task, addressed by a number of researchers, which can be undertaken via different approaches, methodologies, and objectives. Some of these methods are described in the following paragraphs, including those designed to be used across borders, others to be applied in a

specific national setting, and one focusing on the quality of specific education abroad programs.

The International Association of Universities has carried out three global surveys of internationalization for higher education institutions and national university associations, the last of which was completed in 2010. A report with the survey results was published under the title, *Internationalization of Higher Education: Global Trends, Regional Perspectives*, written by Egron-Polak and Hudson (2010). These results are of special relevance in this literature review, as they concern factors coinciding with the focus of this study, including: rationales, internal and external drivers, and internal and external obstacles to internationalization. Compiled data for European respondents is as follow:

- The most important rationales for internationalization are: to improve student preparedness (27%), enhance international profile (20%), and internationalize curriculum (16%).
- The most relevant internal drivers for increased internationalization are the president or rector of the institution (32%) and the international office staff (28%).
- The most significant external drivers are government policies (38%) and the demands of business and industry (28%).
- The most important internal obstacles to advancing internationalization are insufficient financial resources (25%) and limited faculty interest (13%), closely followed by limited expertise and command of foreign languages of staff (11%).
- The most relevant external obstacles in the internationalization process are limited funding to support home initiatives and market the institution abroad

(23%) and difficulties in the recognition of study programs (17%), closely followed by language barriers (15%) (Egron-Polak & Hudson, 2010).

Respondents to the survey included 745 higher education institutions throughout the world, of which 44% are European universities or national higher education agencies.

The *Internationalization Quality Review Process* (Knight & de Wit, 1999) was developed for the Organization for Economic Cooperation and Development Programme on Institutional Management in Higher Education and the Academic Co-operation Association,

To help individual institutions of higher education assess and enhance the quality of their international dimension according to their own stated aims and objectives.

The review process includes procedures, guidelines and tools to be adapted and used in both a self-assessment exercise and an external peer review. (Knight, 1999, p. 3)

Paige's (2005) *Internationalization of Higher Education: Performance Assessment and Indicators* proposes a model with "ten key performance categories and the related performance indicators" (p. 99). The indicators in this model can be employed to determine whether a specific resource exists or not (e.g., an international office), as a benchmark to measure growth or to assess the quality of a specific element (e.g., the international section of a university's web site) (Paige, 2005). This framework is the product of a literature review on the performance assessment of internationalization, and the identification of commonalities in research-based models that could be used "across countries and organizations" (p. 104).

In the current European scenario, a number of higher education institutions are questioning their own internationalization performance, with the leaders of these

universities “clearly looking for a frame of reference or a comparative framework” (van Gaalen, 2009, p. 77). Three instruments for assessing internationalization, developed in the European context, are described here.

Brandenburg and Federkeil’s (2007) *Indicators for Mapping and Profiling Internationalisation* is a European-based project suggesting the use of 186 figures and indicators divided into three areas of concern:

- overall aspects, or indicators located at the “level of the university as a whole and/or other structural units, such as the faculties” (p. 70);
- research, including scholarships, publications, recruitment, and international collaborations and networking; and
- teaching and studies, including a mix of indicators “such as the quality of teaching and teaching conditions, as well as the composition of the body of students” (p. 72).

The authors of this method distinguish between a key figure, or “a value without any reference to other values (e.g., the number of international doctoral candidates)” (Brandenburg & Federkeil, 2007, p. 9), and an indicator, or the description of a “key figure in relation to another figure (e.g., the proportion of international doctoral candidates in relation to the total number of doctoral candidates at a HEI [Higher Education Institution])” (p. 9). These same authors divide indicators into two kinds, input and output, where input indicators are “factors contributing to the creation of findings (such as staff structures, curricular questions, allocation of resources)” (p. 9) and output indicators “measure findings at the end of academic processes (e.g., graduates or research findings)” (p. 9).

Van Galen's (2009) *Mapping Internationalisation* tool was developed by the Netherlands Organisation for International Cooperation in Higher Education in collaboration with a group of Dutch institutions. According to van Galen (2009) "The use of this tool provides institutions with a clear overview of the current state of their internationalisation policy, activities and support structures" (p. 81). Mapping internationalisation focuses on creating an institutional self-evaluation internationalization profile, but also develops benchmarks for comparison with other institutions or among faculties, helping set an agenda for improvement (van Gaalen, 2009).

The ORIS-ANECA instrument for the self-assessment and quality improvement of international relations activities of Spanish universities (ANECA, 2007) was developed by the National Agency for Quality Assessment and Accreditation of Spain (ANECA), "a Foundation whose aim is to provide external quality assurance for the Spanish Higher Education System and to contribute to its constant improvement" (ANECA, 2012), with the collaboration of five Spanish universities (Proyecto ORIS-ANECA, 2007). A pilot of this model, focusing on the assessment of international relations activities, was completed at the University of Salamanca in 2005.

Two models for the assessment of internationalization have been developed in the US, conveying additional perspectives, one designed to produce an internationalization index toward the ranking of universities and another aiming to evaluate education abroad programs towards their increased quality. Horn, Hendel, and Fry's (2007) "method of assessing the international dimension of research universities" (p. 331) is a quantitative cross-sectional survey, designed to define the status of the institutional

internationalization process, with nineteen indicators grouped in five categories, including: student characteristics, faculty and scholars characteristics, research and grants, curriculum, and institutional characteristics and organizational support. The Forum on Education Abroad, a non-profit organization developing and disseminating “comprehensive Standards of Good Practice for the field of education abroad” (Forum on Education Abroad, n. d., para. 1), created the *Quality Internationalization Process* focusing on international programs’ assessments towards their improved quality. The Quality Improvement Program includes a self-review and peer review, evaluating the quality of education abroad programs as measured against the Forum’s nine standards of good practice.

Performance indicators.

The clever use of performance indicators: performance indicators are needed but not 50 different ones, whose use only leads to endless discussions of what weight to assign to each, eventually making it impossible to reach clear conclusions. A few, relevant, and easily measurable – with small margins of error – indicators are much better. (Tarrach, et al., 2011, p. 44)

The first of the actions suggested by the committee of experts hired by the Spanish government, in their 2011 report, is the use of indicators to assess the performance of universities “on the basis of their academic, scientific and social performance” (Tarrach, et al., 2011, p. 43).

According to Cave (1997), performance indicators (PIs) were initially imposed by external government regulations in the UK, but have now been adopted and developed, for internal management purposes, at a number of levels in higher education. Paige

(2005) defines PIs as “operational units of analysis, ways of measuring in discrete ways the performance of the institution” (p. 103). In the UK, in 1997, the National Committee of Inquiry into Higher Education, published the *Dearing Report*, making two recommendations. First is the development of PIs for higher education by the Performance Indicators Steering Group ("Review of performance indicators: Outcomes and decisions," 2007), providing “information about the performance of institutions, and the sector, over a range of areas” (p. 5). Second is the production of “benchmarks for families of institutions with similar characteristics and aspirations, to allow comparison between them” (p. 5). These indicators and benchmarks have been revised several times, with input from stakeholders, from 1999 until 2007.

In their study of higher education in the Spanish context, Garcia Aracil and Palomares Montero (2010) review the literature on the PIs used in Europe, “based on quantitative or qualitative empirical data” (p. 219) used to assess the achievement of institutional goals and objectives, and the opportunities to assess productivity and or efficiency when data on these indicators is collected systematically (García-Aracil & Palomares-Montero, 2010). According to these researchers, evaluations can be used for horizontal comparisons between institutions and vertical comparisons within an institution (i.e., among its divisions and or services).

Selection of an internationalization assessment model.

While the ORIS-ANECA project provides an instrument designed specifically for the Spanish context, it focuses exclusively on the activity of international relations departments, excluding international components related to research, foreign language centers, and the implementation of the EHEA reform (Proyecto ORIS-ANECA, 2007).

Adopting this method would have restricted the scope of the evaluation to one single department in contradiction with Mestenhauser's (2002) systems perspective. And since the theoretical framework for this study establishes that internationalization must involve all perspectives and domains of the university, its use was discarded.

In lieu of an instrument designed specifically for the Spanish context, the following criteria guided the selection of another method. First, in line with the recommendation of Garcia-Aracil and Palomares-Montero (2010), there would need to be clear categories, facilitating the consensus of Spanish reviewers on their applicability and relevance. Second, adhering to Tarrach, et al.'s (2011) suggestion, the method would employ "a few, relevant, and easily measurable—with small margins of error—indicators" (p.44). This point is of special importance in Spain where, in the course of the past two decades, numerous challenges have derived from a widespread vacuum of data on higher education institutions in general, and likely to concern also internationalization indicators. Finally, the instrument would have been applied to assess the international dimension of institutions in a higher education setting, where issues on validity and reliability of indicators would have been addressed.

Applying these criteria, Horn, Hendel, and Fry's (2007) emerged as the more suitable model, offering advantages, including the following: clear applicable categories, *a priori*, relevant to the Spanish higher education context; nineteen easily measurable indicators, improving the odds for access and accuracy of data; use of a panel of experts to weight indicators, a process that could be replicated to adapt the tool to the Spanish context; and the potential to successfully apply the model to assess the international dimension of a number of higher education institutions.

Developing a totally new instrument specifically designed to measure internationalization in the Spanish context and including a larger number of indicators of multiple types (e.g., inputs, outputs and outcomes) could have produced a more comprehensive internationalization index. Although desirable, this would have required resources beyond the scope of this study.

Summary

This chapter has addressed the definition of globalization and its impact on internationalization. Internationalization is conceptualized in the literature as a complex, continuous, multi-dimensional process evolving under the influence of supra-national, national, and regional actors, where each higher education institution is responsible for establishing its own goals and implementing a process towards achieving them. The final part of the chapter attempts to identify key internationalization actors, review assessment of internationalization methods, and define the role and relevance of performance indicators. Chapter III presents this study's research methodology and methods, including the selection of cases, descriptive frameworks, review and adaptation of the assessment model to the Spanish context, and data gathering and data analysis processes.

Chapter III: Methodology and Methods

The purpose of this study is to analyze the factors influencing the internationalization of three Spanish higher education institutions. Chapter I describes the problem, delineates the context in which the study takes place and introduces the theoretical and conceptual frameworks used to address this topic. Chapter II includes a review of relevant literature on internationalization of higher education at the global, national, regional and institutional levels, rationales and assessment models. This chapter describes the methods employed, including sampling, research design and rationale, data collection and analysis procedures.

Methodology and Methods

The methodology used is a *multisite case study* (Merriam, 2009), where data is collected and analyzed from three diverse cases sharing the condition of higher education institutions located in the same Spanish autonomous region, with the potential for “a cross-case analysis suggesting generalizations” (Merriam, 2009, p. 49). A mixed methods research design (Creswell, 2009), with an exploratory approach (Creswell & Plano Clark, 2007; Yin, 2009), provides quantitative and qualitative data collected through multiple sources, including interviews, documents, web sites and observations, to examine a new field of research in absence of an existing theory (Yin, 2009). Using this combination of methodology and methods the study attempts to understand why diverse institutions seek greater internationalization and how they accomplish this in the unique context of Spanish higher education.

Horn, Hendel and Fry’s (2007) method, developed to assess the international dimension of US research universities, is used as a quantitative method to produce an

internationalization index for each of the participating institutions. This model is adapted to the Spanish context under the supervision and counsel of organizations and individuals representing relevant Spanish stakeholders. Two international education organizations intervene in the adaptation process: the Association of North American Programs in Spain (APUNE), and the association of Spanish education institutions and organizations EDUESPAÑA. An additional eight individuals contribute their views on the relevance of the model's indicators in the Spanish context.

Data were analyzed employing NVivo QDAS—from multiple sources including interviews, observations, documents and web sites—to produce conceptually clustered matrices that describe associations among rationales, drivers, and obstacles, using a standard format for the three cases.

Sampling

This study focuses on three Spanish universities as *bounded systems* (Merriam, 2009) limited by the organizational structure of each individual institution. The terms *multisite* or *multicase* study indicate that this research includes multiple cases. Participating institutions were selected using *maximum variation* sampling, defined by Patton as purposefully choosing cases of great diversity, where shared patterns across cases “derive their significance from having emerged out of heterogeneity” (Patton as cited in Merriam, 1998, p. 172). Creswell (2007) argues that the purpose of maximum variation sampling is documenting variations and identifying relevant common patterns. Thus, this sampling approach was chosen to draw inferences from comparing and contrasting internationalization across institutions of diverse types.

Sampling criteria.

The number of higher education institutions in Spain escalated from 34 in 1984 to 76 in 2011 (Universidades de España, 2012), with new campuses established in a majority of Spanish cities with more than 50,000 inhabitants. Independent private universities were first authorized by law in 1984, with the number of institutions of this type also rising significantly in the past two decades. Currently, there is a combination of older public, newer public, and private universities, the latter either independent or ascribed to a public institution. The sampling criteria applied to achieve maximum variation in this scenario are: selecting private and public institutions, with different establishment dates (newer and older), and varied enrollment sizes.

All institutions are based in the Madrid autonomous community (CAM) for multiple reasons. First, it is an autonomous community with a large number of higher education institutions (16 public and private entities) and including a varied range of university types and sizes. Second, the official language of instruction in the Madrid state is Spanish, making findings potentially applicable to other states where Spanish is also the official language and avoiding confounding variables in autonomous communities with other official languages of instruction. Third, the large number of institutions in this region would improve the confidentiality of a university's identity had its SIO requested anonymity. Maintaining this confidentiality would have been a challenge in autonomous communities where there are only one or two higher education institutions. Finally, a prior work relationship with two of the universities and a long line of family alumni of the third facilitated access to data needed to complete the research. Without these

relationships, gaining desirable “trust and credibility at the field site” (Creswell, 2007, p. 138) would have posed a significant challenge.

Selected institutions.

The sample used for this study includes one private and two public entities as exemplary cases in the CAM. The private university, founded in 1989, has one of the largest enrollments of Spanish institutions of this type (11,000 students). The larger public university, with an enrollment exceeding 30,000 students (C. Gonzalez-Quijano, personal communication, January 20, 2012), founded in 1996, is the newest of this type in the CAM. The other public university is a smaller (1,400 students) specialized engineering school, founded over 200 years ago. It was an independent higher education institution until 1978, when it became part of the Universidad Politécnica de Madrid (UPM), and is included as an example of the numerous schools and faculties, both public and private, folded into larger public universities. A fourth, private institution, with an enrollment of approximately 2,000 students declined the invitation to participate, a few months into the study, and was not replaced. Participating institutions are described in more detail in the following paragraphs.

Universidad Europea de Madrid (UEM), is a private for-profit university with 11,000 students, one of the largest enrollments in the country for non-public institutions. It is located in a residential area on the outskirts of Madrid with a second campus in Valencia, a city on the Mediterranean coast. The UEM was inaugurated in 1989 as an affiliate institution of the Universidad Complutense de Madrid and was later recognized as an independent private university by the Spanish parliament in 1995. It is a member of the Laureate International Universities (LIU) network, which brings together higher

education institutions in 20 different countries, with an aggregate enrollment of over 650,000 students. (Universidades de España, 2010a)

The Universidad Rey Juan Carlos (URJC) is a large public university with over 29,000 students (URJC, 2012e) enrolled on its four campuses located in cities surrounding the capital. It is the newest of the six public universities located in the CAM and offers undergraduate and graduate degrees in seven schools and faculties: the Faculty of Communication Sciences, the University School of Tourism, the Technical School of Telecommunications Engineering, the Faculty of Health Sciences, the School of Experimental Sciences and Technology, the School of Computer Engineering, and the Faculty of Legal and Social Sciences (Universidades de España, 2010b).

The Escuela Técnica Superior de Ingenieros de Caminos, Canales, y Puertos de la Universidad Politécnica de Madrid (ETSC) is a small, select engineering school, with an enrollment of 1,400 students. Although the school is now a part of the UPM, the previously independent institution preserves its own identity and has specific internationalization rationales and a distinct implementation of the internationalization process. Founded in 1802, it was modeled after the renowned *Ecole des Ponts et Chaussées* in Paris, founded 40 years earlier. This is one of the more prestigious institutions in the history of Spanish higher education, graduating numerous generations of engineers with relevant roles in the political, entrepreneurial, and social arenas of the nineteenth, twentieth, and twenty-first centuries. With a history of more than 200 years, this is the oldest school of civil engineering in Spain, with alumni including a literature Nobel laureate, and several presidents of the country. The ETSC is located in the university area, within the city of Madrid (Universidad Politécnica de Madrid, 2011).

Research Design and Rationale

This study analyzes the factors influencing the internationalization of diverse higher education institutions in Spain, adopting Knight's (2004) rationales approach, describing rationales as "motivations for integrating an international dimension into higher education" (de Wit, 2002, p. 84) and defining approach as "the manner in which the implementation of internationalization is addressed" (Knight, 2004, p. 18).

The study is organized in three phases (see Figure 3), two implemented within each of the cases and the third engaging in a cross-case analysis. The first phase, addressing research question one--in what ways is internationalization being implemented at the selected institutions?--uses a descriptive framework to compose a portrait of internationalization implementation. The descriptive framework is a sum of three elements: Horn, Hendel and Fry's (2007) categories and indicators relevant to the international dimension of universities; Knight's (2004) factors influencing institutional rationales; and an internationalization index, produced using an adapted version of the Horn, Hendel and Fry (2007) method to assess the international dimension of universities. Adapting the Horn, Hendel and Fry (2007) categories and indicators (see Table 4) to assess the international dimension of Spanish universities entailed a lengthy process, described in detail in a later section of this chapter.

The second phase is designed to respond to research questions two and three— 'what are the rationales influencing internationalization?' and 'what are the obstacles and drivers influencing the internationalization process?' QDAS is employed to examine multiple data sources, including interviews, observations, documents and web sites, thereby producing conceptually clustered matrices that adhere to a standard table format

for the three cases and display rationales and the obstacles and drivers connected with them.

The third phase employs cross-case synthesis analysis, a technique proposed by Yin (2009), which aggregates findings from the cases' conceptually clustered matrices and compares and contrasts themes toward theory-building, in order to respond to research question four--how do these factors compare and contrast across three diverse institutions?

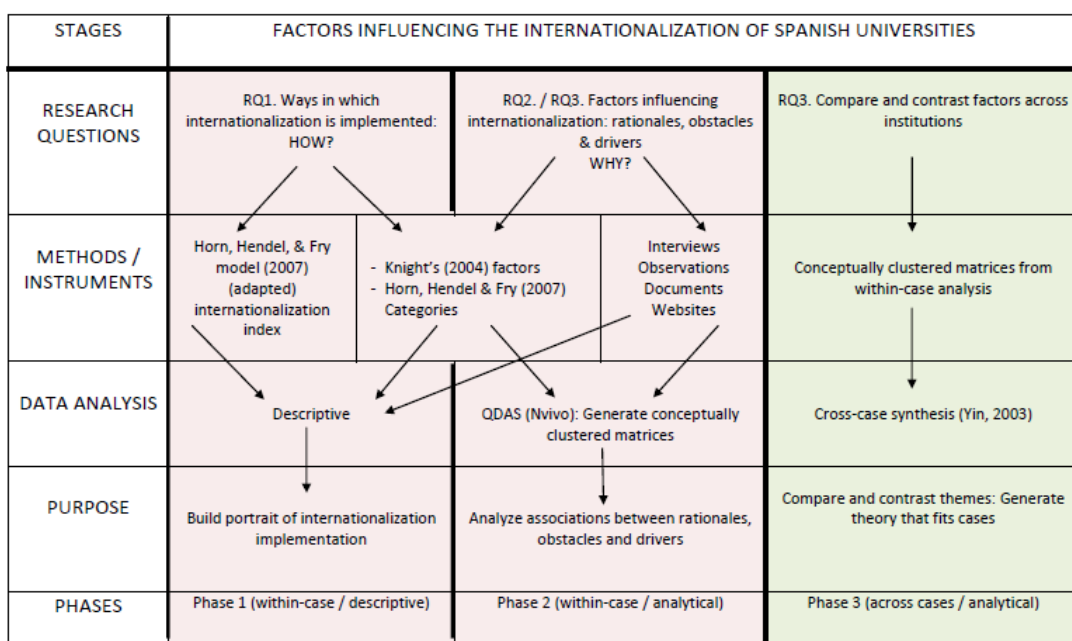


Figure 3. Research design and rationale: Research questions, instruments and methods, type of analysis, purpose and phases.

Adapting the Horn, Hendel, and Fry Model to the Spanish Higher Education

Context

The adaptation of this US model to the Spanish context was completed using a two-stage process, with the support and counsel of administrators at three international education organizations and a panel of experts. First, the indicators not applicable needed

to be identified and eliminated or substituted. Mr. Oscar Berdugo, President of EDUESPAÑA, an association of 160 Spanish international education institutions and organizations, and Ms. Monica Perez-Bedmar, Coordinator of APUNE, inspected and approved the criteria used and the outcomes of revisions performed removing and or substituting indicators deemed as not applicable in the Spanish higher education context. Second, both of these representatives and a member of the Commission for Internationalization and Cooperation of Spanish Universities (CICUE) contributed to the nomination of experts that would be invited to rate the relevance of each indicator in the Spanish context.

Indicators applicable to the Spanish higher education context.

An initial review of the original indicators (see Table 4) was conducted to assess whether these existed and or if there was a local marker to substitute or add to the original item. This process determined that four of the 19 are absent in Spain, including: number two (i.e., Marshall and Rhodes scholars); number four (i.e., Peace Corps volunteers); number 10 (i.e. Title VI centers); and number 11 (i.e., Ford Foundation grants). The APUNE and EDUESPAÑA representatives concurred with this review, eliminating the non-existent four indicators, and suggesting that the following components be added to the remaining items: faculty members who have received ERASMUS scholarships, to be added to indicator seven; number of ERASMUS scholars from other countries, to be added to indicator eight; and campus and or centers having received the CEI award, to be added to indicator 13. The revised version of the Horn, Hendel and Fry (2007) indicators, with their re-assigned item numbers, is displayed in

Table 5, and further data on the criteria used to assess the existence or broadening of items is available in Appendix A.

Table 4

Horn, Hendel and Fry (2007) Categories and Indicators

Categories	Indicators
Student Characteristics	1. Percentage of international students on campus
	2. Number of Marshall and Rhodes scholars
	3. Number of student Fulbright Fellows
	4. Number of Peace Corps volunteers
	5. Percentage of study abroad participants
	6. Percentage of foreign language graduates
Faculty and Scholar Characteristics	7. Number of faculty who have been Fulbright scholars
	8. Number of Fulbright scholars from other countries
	9. Percentage of international faculty, instructors, and research associates on campus
Research and Grants	10. Number of Title VI centers
	11. Number of Ford Foundation grants
	12. Number of FIPSE international education grants
Curriculum	13. Number of centers focused on international research
	14. Number of Least Commonly Taught Languages (LCTL)
	15. Language requirements for the bachelor's degree
Institutional Characteristics	16. Bachelor's degrees requiring an international perspective
	17. Visibility of international content on an institution's website
	18. Presence of a senior administrator for international activities
	19. Number of books in the library's international collection

Table 5

Revised Horn, Hendel and Fry Categories and Indicators – For the Spanish Context

Categories	Item	New Item Number / Remaining Indicators
Student Characteristics	1.	1. Percentage of international students on campus
	3.	2. Number of student Fulbright Fellows
	5.	3. Percentage of study abroad participants
Faculty and Scholar Characteristics	6.	4. Percentage of foreign language graduates
	7.	5. Number of faculty who have received ERASMUS scholarships and or been Fulbright scholars
	8.	6. Number of ERASMUS and or Fulbright scholars from other countries
Research and Grants	9.	7. Percentage of international faculty, instructors, and research associates on campus
	12.	8. Number of FIPSE or Atlantis Program grants
	13.	9. Number of campus centers focused on international research and or with the CEI award
Curriculum	14.	10. Number of Least Commonly Taught Languages (LCTL)
	15.	11. Language requirements for the bachelor's degree
	16.	12. International perspective requirements for degrees
	17.	13. Visibility of international content on an institution's website
Institutional Characteristics	18.	14. Presence of a senior administrator for international activities
	19.	15. Number of books in the university library's international collection

Selection of Spanish international education experts.

The procedure used by the authors was replicated to assess the weight of each indicator in the Spanish context, employing a “panel of experts to identify the relevance of particular variables for assessing internationalization” (Horn, et al., 2007, p. 350). The

experts' input is acknowledged as a "valuable source of scientific data" (Goossens, Cooke, & Kraan, 1998, p. 1937), enhancing content validity and promoting insightful allocation of resources (Horn, Hendel and Fry, 2007). But, according to Bolger and Wright (1992), there are significant challenges in the definition and selection of experts.

The criteria proposed by Davis (1992) guided the selection of experts meeting one or more of the following conditions: documented experience in international education; achieved professional certification in a related topic area; presented professional papers on the topic area at professional meetings; published papers on the topic area in regional, national, or international resources; and or initiated research on the topic area.

As for the panel's selection process, three representatives of international education organizations contributed, nominating experts including: Ms. M. Perez-Bedmar, Coordinator of APUNE; Ms. M. Gomez Ortueta, member of the CICUE; and Mr. O. Berdugo, President of EDUESPANA. Employing Davis' (1992) criteria, these individuals were asked to nominate up to fourteen international education experts.

APUNE and EDUESPAÑA representatives provided lists of suggested experts, while the CICUE member identified an additional two individuals. Three guidelines were used to produce the final list of experts to be invited:

1. Individuals appearing both in the APUNE and EDUESPAÑA lists were automatically included;
2. When choosing representatives of public administrations, the selection favored those in higher positions; and

3. For private and public organizations, individuals representing those with more of their activity taking place in international settings were selected ahead of those with a more local, regional or national orientation.

Mr. Berdugo (EDUESPAÑA), Ms. Perez-Bedmar (APUNE) and Ms. Gomez-Ortueta (CICUE), who had nominated experts, and Dr. Sierra (Universidad San Jorge,) a researcher on internationalization topics, were asked to join the panel (see Table 6) based on their documented experience in international education.

Table 6

International Education Experts who Participated in the Weighting Process

Expert	Organization	Nominated By	Stakeholder
S. Alias	Universitat Autònoma de Barcelona	APUNE EDUESPANA	Public university
M. Frain	Council for International Education Exchange (CIEE)	APUNE	Program provider
P. Alcover	Universidad Nebrija	EDUESPANA	Private university
O. Berdugo	EDUESPANA	C. Grasset	Spanish association
M. Perez-Bemar	APUNE	C. Grasset	US association
M. L. Sierra	Universidad San Jorge	C. Grasset	International scholar
J. Eguiluz	International Studies Abroad	EDUESPANA	Program provider
M. Gomez-Ortueta	CICUE	C. Grasset	Spanish association

The resulting group of experts is a purposeful sample representing a wide spectrum of stakeholders in the internationalization of higher education, including public and private administrations, organizations, associations, program providers and universities. Eighteen experts received invitations to participate in the weighting process; of these, eight completed the questionnaire for a response rate of 44%. Those who responded represent Spanish and US international education associations, public and private universities, program providers with a significant volume of operations in Spain and international education researchers (see Table 6). Their brief biographies and information on the organizations and institutions they represent are included in Appendix B.

Rating of indicators and data analysis.

Experts in international education who agreed to participate received an e-mail with the survey and instructions for completion, thereby replicating the process used by Horn, Hendel and Fry (2007) when applying their model. The experts were asked to distribute 100 points among the indicators, according to their relevance, with no more than four items receiving a score of zero. The survey was displayed in an Excel spreadsheet, where the only modifiable cells were those for the indicators' scores. A "false" legend appeared if the sum of all values did not equal 100 points. A copy of the form used is included as Appendix C. Upon receipt of all completed surveys, data was analyzed as done by Horn, Hendel and Fry (2007) when applying their model, calculating the mean weight (M) for each indicator and finding the standard deviation (SD) for the weights assigned. The results of the survey are presented in Table 7.

Table 7

Experts' Rating of Indicators: Relevance in the Spanish Context

Indicator	<i>M</i>	<i>SD</i>
1. Percentage of international students on campus	10.67	2.16
2. Number of student Fulbright Fellows	2.33	1.86
3. Percentage of study abroad participants	10.67	2.16
4. Percentage of foreign language graduates	7.00	3.46
5. Number of faculty who have been Fulbright scholars	3.17	2.14
6. Number of Fulbright scholars from other countries	3.00	1.90
7. Percentage of international faculty, instructors, and research associates on campus	6.50	3.51
8. Number of FIPSE / Atlantis Program Grants	2.83	2.14
9. Number of campus centers focused on international research, and Certificado de Excelencia Internacional Campuses/Centers	7.17	3.13
10. Number of Least Commonly Taught Languages (LCTL)	6.83	3.54
11. Language requirements for the bachelor's degree	10.83	2.04
12. International perspective requirements for the bachelor's degree	8.83	1.83
13. Visibility of international content on an institution's website	8.17	4.45
14. Presence of a senior administrator for international activities	8.33	4.32
15. Number of books in the library's international collection	3.67	2.80

Note. *M* = Mean weight assigned by experts; *SD* = Standard deviation. Values rounded to nearest hundredth.

Indicators' data collection.

The challenges faced while collecting data at participating institutions, and the criteria on how and whether to use these data impacted the final list of indicators employed to compute the internationalization index. The issues faced and decisions made are described in the following paragraphs for each of the five Horn, Hendel, and Fry (2007) categories.

Student characteristics category.

The 'percentage of international students on campus' reflects the number of non-Spanish individuals currently enrolled at the institution, whether visiting for a semester or a year or attending the university to obtain a degree. Two of the institutions in the study did not have separate figures for undergraduate and graduate international students, so numbers used for all cases are the sum of both groups. The 'number of students who are Fulbright Fellows' is published by the Fulbright Commission in Madrid. Data for 2010-2011 shows no Fellows at UEM and URJC and seven Fellows at the Universidad Politécnica de Madrid (UPM) but does not specify whether any of the latter are based at the ETSC. So this indicator was not used toward the internationalization index. The 'percentage of study abroad participants' includes all students temporarily obtaining university credits at institutions outside of Spain, whether attending a study abroad program as part of an exchange agreement or completing an internship that will count toward their degree. The 'percentage of foreign language graduates' was broadened upon the request of international departments at participating institutions to include: (a) Spanish students completing a degree partially or totally in English; and (b) students who are majoring in a foreign language, as both groups are completing a degree in a language other than their own.

Faculty and scholar characteristics.

None of the institutions was able to make data available on the number of faculty who have been Fulbright scholars and the number of Fulbright scholars from other countries, the first two indicators in this category, while only one of the universities had access to the third item (i.e., 'percentage of international faculty, instructors and research

associates on campus’). Thus, none of the indicators in this category was used toward the computation of the internationalization index.

Research and grants category.

The ‘number of Fund for the Improvement of Postsecondary Education international grants’, the first indicator in this category, was altered as suggested by international education experts to include *Atlantis*, a program providing “grants for four to five years to add a European Community-United States dimension to international curriculum development and related student exchange” (US Department of Education, 2011a). The ‘number of campus centers focused on international research’ was expanded to include higher education institutions that had received CEI recognition from the MED, awarded to universities developing notable strategic international initiatives (Ministry of Science and Innovation, 2009).

Curriculum characteristics category.

This category addresses characteristics of the curriculum, starting with the ‘number of Least Commonly Taught Languages (LCTLs). There was a unanimous request by the international relations staff at participating institutions to modify the criteria used by the model’s authors to define LCTL. While Horn, Hendel and Fry (2007) exclude English, French, German and Spanish from the LCTLs, international relations personnel at the three universities in the study concurred that the vast majority of students take English as a foreign language with French and German taken by a minimal percentage of students. They then requested that the two latter be considered LCTLs. Thus, all languages except for English and Spanish were considered to be LCTLs. Every institution had ‘language requirements for the bachelor’s degree’ for all degrees; so this

indicator was excluded from the computation towards the index. All institutions were able to provide data on the final item in this category (i.e., ‘number of bachelor’s degrees requiring an international perspective’).

Institutional characteristics and organizational support category.

Indicators within this category demonstrate organizational support for internationalization. A five-point Likert scale was employed to assess values for the first two items (i.e., the ‘visibility of international content on an institution’s web site’ and ‘the presence of a senior administrator for international activities’) following the criteria proposed by Horn, Hendel and Fry (2007). Data on the third indicator in this category (i.e., ‘the number of books in the university library’s international collection’) was provided by the universities’ librarians. While Horn, Hendel and Fry used the total number of volumes, this did not seem adequate when comparing universities of very different sizes. It would be logical to assume that the smaller institution, the ETSC, with 1,400 students, would not have as many international volumes as the URJC, with four campuses and an enrollment of approximately 30,000. Thus, the number of volumes was substituted by the percentage of international volumes in the libraries’ collections as the value for this indicator. Applying this criterion, the ETSC, the smallest of the three institutions, showed a larger percentage of international volumes than the other two universities.

In sum, of the fifteen indicators for which data collection was attempted, ten were finally used to produce the internationalization index (see Table 8).

Table 8

Indicators used towards the Internationalization Index

Original item #	Revised ítem #	Indicator
1.	1.	Percentage of international students on campus
3.	2.	Number of student Fulbright or ERASMUS Fellows
5.	3.	Percentage of study abroad participants
6.	4.	Percentage of foreign language graduates
13.	5.	International research and CEI campuses/centers
14.	6.	Number of Least Commonly Taught Languages (LCTLs)
16.	7.	International perspective requirements for the bachelor's degree
17.	8.	Visibility of international content on an institution's website
18.	9.	Presence of a senior administrator for international activities
19.	10.	Number of books in the university library's international collection

Data Collection at Participating Institutions

An introduction to the study was emailed to the international relations or internationalization offices of the selected institutions, asking that the invitation to participate be transmitted to the SIO of the institution. In the case of the UEM, the request was sent directly to the Rector, due to a previous work relationship with the university. The invitation to participate in the study was accompanied by a letter of introduction (Appendix D), an informed consent form meeting the requirements of the University of Minnesota Institutional Review Board (Appendix E), and a flyer with basic information on the research purpose and procedure (Appendix F). Prior to the beginning of data gathering, each of the entities participating designated a point person, normally an administrator from an international office, to assist in the research process. Ms. Patricia

Hevey, an intern graduate student, provided additional support in this process, communicating with institutional liaisons and pursuing missing data.

Data sources employed include:

- institutions, public agencies and ministries' websites;
- personal communications with institutional point persons;
- documentation including promotional materials, internal reports, public documents, legislation, and media communications;
- archival records such as organizational charts and registrar's files;
- direct observations, performing casual data collection during field visits to the study sites;
- semi-structured interviews with SIOs; and
- unstructured interviews with staff at international relations or internationalization offices.

SIOs had the opportunity to review their institution's case study, with the right to amend or exclude data. This step, required by Spanish legislation, could enhance the credibility and dependability of findings through member check (Childress, 2009b), but it could also be a source of bias allowing representatives of the institutions to request the alteration of data. However, none of the institutions requested changes to the data collected or to results of the analysis performed other than minor edits.

Interviews.

Semi-structured interviews with the SIOs, top decision-makers in internationalization matters at each of the participating institutions, represent one of the most important sources of inductive and more-open data in case study information (Yin,

2003) and were of special relevance in addressing research question two--‘what are the rationales influencing internationalization at each of the four universities?’ SIOs interviewed were: the UEM Rector, Dr. Agueda Benito; the ETSC Director, Dr. Juan Antonio Santamera; and the URJC Vice-Rector for International Relations and Cooperation, Ms. Ana Maria Salazar.

All interviewees responded to the following questions, asked in the same order:

1. When you hear internationalization discussed in higher education, what does it mean to you in the context of your university?
2. Given this meaning of internationalization, what would you say is the status of internationalization at this university?
3. Some key researchers have described five groups of rationales/motives for the internationalization of universities: social/cultural, academic, political, economic and, more recently, branding. Could you describe the key rationales for internationalization at this institution? and
4. Given the specific rationales for internationalization at this university, what are the most important internal and external obstacles and drivers of the internationalization process?

In addition, unstructured interviews with administrators responsible for international education offices at each of the universities included: Ms. Paloma Paramo, Director of Internationalization at the UEM; Ms. Covadonga Gonzalez-Quijano, Director of the Office of Promotion and Welcome of International Students (“Promoción y Acogida del Alumno Extranjero”) at the URJC; and Dr. Luis Garrote, Deputy Director of International Relations, at the ETSC. Two unstructured interviews were held with each of

these administrators, one during the earlier stages of data collection to introduce the study, advance the data that would be requested, and agree on timelines and process; another during the data collection process to discuss issues faced and progress made.

Interview protocol.

Semi-structured personal interviews took place in SIOs' offices between the months of September 2011 and April 2012. Dates for these interviews were scheduled with assistance from international relations staff. An effort was made for meetings to coincide with data gathering at each of the locations in an attempt to complete the within-case studies one institution at a time. Spanish, the mother language of all interviewees, was used for all interviews. These were taped in a digital recorder and transcribed and analyzed in Spanish using QDAS, with emerging themes translated into English. Avoiding translations would have diminished the risk of reduced validity of research results (Birbili, 2000; Ervin & Bower, 1952) and of inferential errors (Reiche & Harzing, 2007; Singh, 1995), but not all university SIOs had a sufficient command of English to use precise linguistic data (Birbili, 2000). Thus, the decision was made to interview in Spanish. SIOs were given the opportunity to keep the identity of their institution confidential, which all of them declined.

During the semi-structured interviews, I used two sets of prompts. The first (Appendix G) combines suggested internationalization rationales from various sources, including survey items from de Wit (2002); the International Association of Universities' (IAU) *Global Survey* (2010); the five categories discussed by Knight in 2004; and her more-recent rationales of emerging importance (2006). The second (Appendix H)

includes lists of internationalization external and internal drivers and obstacles from the IAU (2010) survey.

Direct observations.

Site visits to the three institutions were also used to make direct observations of spaces, facilities, equipment, furnishings, rooms, lighting, climate control, and student interaction, flow, and numbers. In addition, at the ETSC, an observation took place at a meeting between the Director of the School, the Deputy Director of International Relations, and a student's father, also an alumnus. The father sought information about study abroad and double degree opportunities for his daughter, a third-year student. These observations provided additional data used both in the descriptive and analytical phases and improved understanding of the contexts of the study (Yin, 2003).

Data Analysis

Different data analysis techniques were employed in each of the three phases of the study, as described in the following paragraphs.

Within-case descriptive phase.

Creswell (2009) argues that analysis of a case study “consists of making a detailed description of the case and its setting” (p. 163). Horn, Hendel and Fry's (2007) five categories defining the international dimension of universities, Knight's (2004) seven factors influencing internationalization rationales, and an internationalization index produced applying the adapted version of the Horn, Hendel and Fry (2007) model combined to provide the descriptive framework organizing the study. Multiple data sources, listed in the data collection section of this study, are used to compose a thorough

description of the three cases, defining how participating institutions are implementing internationalization.

Descriptive framework.

Horn, Hendel and Fry (2007) propose their five rubrics adhering to Mestenhauser's (2002) systems perspective, which provide the theoretical framework for this study. The five categories combine "learning domains and variables" (Horn, et al., p. 333) related to the international dimension of higher education institutions, including student characteristics, scholar characteristics, research orientation, curricular content and organizational support. These categories and their indicators are relevant to the descriptive framework as they address the institutional areas that need to be included when universities "embrace a comprehensive approach to internationalization" (Horn, et al., p. 334). Knight (2004) lists a number of "factors influencing the institutional-level rationales" (p. 25), including: mission; student population; faculty profile; geographic location; funding sources; level of resources; and orientation to local, national or international interests. The purpose for incorporating these factors into the descriptive framework organizing the study is twofold: they contribute to the representation of the cases by focusing on system-wide elements not addressed by Horn, Hendel and Fry's categories; and they target aspects related to the institutional motives driving internationalization. Including both sets of elements, (i.e., Horn, Hendel and Fry's categories, and Knight's factors) helps construct a system-wide image of the implementation of internationalization, further informed by each institution's quantitative internationalization index.

Within-case analytical phase.

This phase addresses research questions two and three--‘what are the rationales influencing internationalization?’ and ‘what are the obstacles and drivers influencing the internationalization process?’ Data from sources used in the descriptive phase are processed using QDAS, that is, identifying internationalization rationales, obstacles and drivers and the connections among these factors.

Data is analyzed from a *thematic analysis* approach, focusing on “identifying and describing both implicit and explicit ideas” (Namey, Guest, Thairy, & Johnson, 2007, p. 138), where the outset is in internationalization rationales and documents are coded linking nodes of data to these categories. This is what Gibbs (2008) describes as a concept-driven node structure, where categories are determined a priori, before examining the data. However, using thematic analysis does not exclude an open-minded attitude during the data coding process by constructing additional nodes “through the close reading of the text” (Gibbs, 2008) and adopting Creswell’s (2009) recommendation that when using a prefigured coding scheme the researcher remains “open to additional codes emerging during the analysis” (p. 152). Themes are presented in conceptually clustered matrices (Childress, 2009b) using a standard format for the three cases.

Cross-case analytical phase.

This phase addresses research question four--‘how do these factors compare and contrast across the three cases?’ Themes emerging from the analysis of internationalization rationales, obstacles and drivers, are compared and contrasted across cases in this last phase (Childress, 2009b). Conceptually clustered matrices (i.e. standard-format word tables, created to address research questions two and three) are used to

aggregate findings using *cross-case synthesis*, an analytic technique proposed by Yin (2003) as being specifically suitable to multiple case studies. Themes on rationales, obstacles and drivers are aggregated in an attempt to draw findings leading to theory-building.

Summary

This chapter describes the instruments used, how these applied in the context of the study, the rationale for using these tools and the processes of data collection and analysis. One of the instruments, Horn, Hendel, and Fry's (2007) method for assessing the international dimension of US research universities, was adapted using applicability criteria (see Appendix A) and undergoing an item relevance-rating process by a panel of Spanish international education experts.

Chapter IV: The Spanish Higher Education Context

Chapter III described the study's methodology, including the research design and rationale, instruments used, data collection and analysis procedures. This section provides an overview of the historical and contemporary Spanish higher education milieu, highlighting both its exceptionalities and the common challenges with other national and institutional contexts.

Historical Background of Higher Education in Spain

Hans de Wit (2002) argues that a comparative historical account of internationalization in the US and Europe is relevant to identifying “the specific character of the internationalization of higher education as currently encountered” (p. 3). Likewise, it is important for a study taking place in the Spanish context to address the history of internationalization of higher education in Spain in order to provide comparative data with the European university scenario.

Spanish universities have their origin in the 10th and 11th centuries, with the creation of craft or trade schools integrating individuals whose interests centered on the production and distribution of knowledge for a specific profession (Bevis & Lucas, 2007; Rodriguez-San Pedro, 2011). These schools often attracted students from other nations seeking to acquire the knowledge and skills of a specific guild, in what was probably the first form of international education under a pre-university organizational structure. Rodriguez-San Pedro (2011) argues that the university was born as a *universitas magistrorum et scholarium*, a forum of collaboration and support for learning, as trade union schools where teachers and apprentices would use the new instructional methods of the 12th century based on: a *quaestio*, or problem to be resolved; a *disputatio*, or

argumentation toward a problem's solution; and the quest for a *sententia conclusio*, or stated conclusion. This new instructional approach would then be applied to teaching the disciplines of canon and Roman law, philosophy and theology (Rodriguez-San Pedro, 2011). The teachers' guild had its own admissions criteria, promoting accepted apprentices to the status of *universitas magistrorum*, once they had met graduation requirements. The graduation degree, *licentia ubique docendi*, was a "license to teach in any institution under the Pope's jurisdiction" (Amaral, 2006, p. 1) and was recognized throughout the territories of Roman Christianity. Graduates bearing this transnational degree would prosper under the protection of kings and emperors who required their bureaucratic and legal expertise, granting these *universitas magistrorum* a certain level of independence from local civil powers and municipal boards. The corporations of *universitas magistrorum* resemble contemporary international education programs, sharing with them traits such as these:

- bearing the recognition of multiple transnational powers (i.e. the Pope and the royalty);
- *transnational mobility* (Altbach & Teichler, 2001) within the territories of Christianity;
- the use of a common language for publications and instruction (i.e., Latin);
and
- common academic curriculums shared by universities in different countries.

According to Altbach and Teichler (2001), "Perhaps at no time since the establishment of the universities in the medieval period has higher education been so international in scope" (p. 24). The establishment of the first five universities of the Iberian Peninsula

took place in the 13th century with the support of the royalty. All of these institutions had gained the Pope's approval by the year 1346 (Rodriguez-San Pedro, 2011). The first five universities founded were: Palencia, in 1208; Salamanca, in 1218; Valladolid, towards the middle of the 13th century; Lerida, in 1279; and Lisbon, in 1288.

Rodriguez-San Pedro (2011) differentiates four phases in the development of the Spanish higher education system. The first, *medieval* phase, includes the foundation and consolidation of the institutions under one of two different models: Bologna's, centered on students' corporations and focused on legal studies; or Paris and Cambridge's, centered on professors' corporations and the progressive increase in weight of collegial organizations and focused on liberal arts and theology. During the medieval stage, there were minimal numbers of students from other nations attending Spanish universities but national students, seeking a more solid education, would often complete their studies abroad. Theology students typically attended Paris, law students went to Bologna, and doctors enrolled in Montpellier.

A second phase, named *plethora and diversity* (Rodriguez-San Pedro, 2011), took place between 1475 and 1625. By the end of this stage, the number of universities had grown to 32, and the model had shifted towards the Parisian and away from Bologna's. Among the 32 universities, three (Salamanca, Valladolid, and Alcala) became larger and gained the support of the monarchy, while the rest remained "universidades menores" (Rodriguez-San Pedro, 2011, para. 8; i.e., minor institutions). During this same phase, the Spanish monarchy promoted the founding of two universities overseas: *Universidad Nacional Mayor de San Marcos* in Lima, Peru, in 1551, the first higher education

institution of the Americas; and the *Real y Pontificia Universidad de México*, in 1553 (Pontificia, n.d.), the first university in North America.

Rodriguez-San Pedro (2011) identifies the third phase as *liberal centralism*, including in it reforms that take place between 1769 and 1943. During this phase there was a series of oscillations between liberal and absolutist political restructurings, contributing to the disintegration of the traditional previous structure. There was also an attempt to apply a standard model to all official institutions and a shift towards a liberal, uniform model whereby the funding and leadership are controlled by the central government, and professors become employees of the state. Towards the end of this period, Madrid develops into a central primary district where university schools cover all academic areas, while students in the remaining ten territories have access only to a few disciplines with these regions becoming sources of enrollment for the central district. During the later period of this phase, while Spanish authorities focused on centralizing political control of the higher education system, the US and the Soviet Union were developing international exchange programs aimed at expanding their political influence on other world regions (Knight & de Wit, 1995).

Multiplicity and the autonomous state is the final phase identified by Rodriguez-San Pedro (2011), beginning with the post-civil-war university law of July 1943 (i.e. Ley de Ordenacion Universitaria), and setting the foundation for the current scenario with the passing of additional legislation in 1983 (i.e. Ley Orgánica 11/1983, de 25 de agosto, de Reforma Universitaria). Between 1985 and 1996 responsibility for public higher education shifted from the central authorities to the governments of the 17 Spanish autonomous regions, in a decentralization process favoring reflection on the best funding

mechanisms for a more rational allocation of resources. Published a few years later, the Brucall Report of 2000 comprehensively studied the Spanish university system, reinforcing the need to improve the higher education funding apparatus (Gonzalez López, 2006). Legislation passed in 2001 allowed institutions to prepare long-term plans, including the approval of agreements and contractual programs by autonomous governments “in which objectives, funding and performance evaluation criteria were clearly established” (Gonzalez López, p. 590). Neave (2003) analyzes the transfer of higher education responsibilities to the autonomous communities (i.e., states), arguing that “in addition to funding HED within their bailiwick, the Autonomous Communities also developed regional evaluation agencies, although whether this is a good thing has yet to be determined” (p. 159). These four phases identified by Rodriguez- San Pedro (2011) serve as an introduction to the current higher education scenario.

The Current Spanish Higher Education Scenario

The challenges faced by the Spanish university system are on the whole common to other EU countries, although some are specific to Spain due to the largely decentralised administrative structure of the country, as university education competences have been transferred to the regions (Autonomous Communities).

The Bologna process called for a common framework for university education within the European Higher Education Area (EHEA). Although many Spanish universities have almost accomplished this curricular reform, other reforms under the Modernisation Agenda for Universities, involving, for example, governance reform, business links, internationalisation, social dimensions, quality and funding reforms, have still to be completed. (Rubiralta & Delgado, 2010, p. 1)

The decentralization reform, taking place during the last of Rodriguez-San Pedro's (2011) historical phases, produced a higher education scenario where 76 public and private universities share the common obligation to comply with regulations for governance and the granting of official degrees, but do so under differing autonomous states' legislation influencing relevant aspects such as university-business links, internationalization, language of instruction and quality and funding reforms. The latter have become especially important in the current economic crisis in which Spain is submerged, where the national government must reduce its levels of public debt, thereby imposing spending restrictions on the autonomous communities and affecting the funding of higher education institutions.

The funding of higher education institutions.

The Spanish economy is currently facing the fifth year of one of the deepest and longest lasting crises in its recent history. The factors setting the scene for the crisis were the bursting of an unprecedented property market bubble, historic levels of private-sector debt, and a loss of competitiveness relative to the euro area's most advanced economies. (Laborda & Fernandez, 2012)

Public universities in Spain receive 70% of their funding from their autonomous communities, while approximately 8% of their income comes from the Spanish government and the remaining is raised combining contributions from their townships, tuition and loans (L. Garrote, personal communication, February 3, 2012). Tuition fees, between 535 and 1,280 Euros per academic year for undergraduate studies (Universidades de España, 2011), are regulated by laws passed by each of the autonomous states, while academic fees for masters' and doctoral studies are established

by the national government at “between 995€ and 1,920€” (Universidades de España, 2011). These amounts cover approximately 10% of the actual per-student cost (“Wert reformará la universidad ante la 'desproporción entre resultados e inversión' [Wert will reform the university system, faced with a lack of proportion between cost and outcomes],” 2012).

The current Minister of Education, Science and Sports, Mr. José Ignacio Wert, has initiated a reform encouraging autonomous communities to raise public institution undergraduate tuition to cover 20% of the actual per-student cost. Internationals, whether they attend the university for a full degree or as visiting study abroads, generally pay the same tuition as Spanish students. Under this funding scheme, taxpayers cover up to 90% of the tuition cost both for national and international students. The economic crisis is steering a reform towards more realistic fees, with the Minister encouraging states to do the following: raise the EHEA students’ contribution to amounts covering 20% of the actual cost, and charge students from outside the EHEA the full cost of their tuition. Some of the governments of the autonomous communities have publicly refused to adopt these measures.

Private universities authorized to operate as independent entities, upon passing of the Ley Orgánica de Reforma Universitaria in 1983, are self-financing. Until the passing of this legislation private higher education institutions could only grant official university degrees under the status of affiliates of a public university, but the 1983 reform initiated a recognition process for entities to meet requirements that would lead to official recognition from the national government. Some of the higher education institutions requesting private official status had been operating in association with public

universities for decades, but legislation now opened the doors to new universities with more modern flexible structures than those of their public counterparts. Some of the private higher education schools (escuelas universitarias) opted to continue to operate under their affiliations with public universities, which grant them accreditation and confer official status to their degrees.

A number of the new private universities were founded after 1983 as for-profit or non-profit organizations, at a time when both the economy and the demographic trends were growing. Others were founded before 1983, as non-profit organizations or foundations, often by religious orders, and operated as centers ascribed to local public universities until they gained official independent status. Regardless of their origin, private higher education institutions rely heavily on tuition as their primary source of funding with undergraduate registration fees ranging “between 5,335 and 12,805 Euros per academic year, depending on the degree, the institution, and a student’s academic performance” (Universidades de España, 2011). Attending one of these 26 private institutions costs between four and 12 times more than enrolling at one of their 50 public counterparts, so the first must ensure an education with enough added value to attract students.

One of the exceptionalities of the higher education system in Spain is that universities do not normally offer extra-academic services. It is common for students to commute from home or live in a privately-run dormitory hosting residents from a number of different universities. Although some of the private universities have built residence halls and provide other revenue-generating services, tuition remains the only or principal source of income for a significant number of higher education institutions. Thus,

enrollment is crucial for the financial health of private universities, while national and state funding is vital for public institutions.

Governance of public higher education institutions.

At the University-Business European Forum of 2009, Lopez de Silanes argued that Spanish legislation has created a governance model that promotes heavy bureaucracy and limits the possibilities for institutional leadership to address reforms required by the changing needs of the current environment. An example is a rector's election process, using a mechanism that includes voting by professors, students and staff, which enforces a democratic system resulting in convoluted and inefficient decision-making processes (Lopez de Silanes, 2009; J. A. Santamera, personal communication, February 3, 2012), thereby complicating the politics of change (S. K. Trooboff, personal communication, July 20, 2011).

Legislation requires that rectors be internal candidates, while experts suggest that hiring rectors "after an extensive international search" (Tarrach, et al., 2011, p. 39) ensures a means of addressing the current insufficient internationalization of Spanish higher education institutions, where

all senior positions (professors, deans, senior administrators and rectors) should be published not only at the national, but also at the European/international level and selection committees should include external members, drawn from i) the institution but outside the discipline, ii) the discipline but outside the institution, seeking members both within and outside the country. (Tarrach, et al., 2011, p. 9)

Governance of private higher education institutions.

Whether private universities operate as non-profit foundations or as for-profit corporations, these entities are obliged to balance their budgets through revenue from enrollment and services. The hiring of a president and or a rector at a private university is similar to the equivalent process in the US, “where Boards hire leaders and challenge them to change” (S. K. Trooboff, personal communication, July 20, 2011). In the current scene of increased competition while recruiting from a smaller pool of affluent students, with an overall unemployment rate of 25% where “young people are three times more likely to be unemployed than adults” (International Labour Organization, 2012), academic institutions must seek leaders with the professional and educational background to address both educational and financial challenges.

Human resources at public higher education institutions: Faculty and staff.

According to Mora (2001), the Spanish higher education reforms of the past two decades have changed working conditions at public institutions of both tenured (holding civil servant positions) and non-tenured academic staff. One special characteristic of the public Spanish university is that a number of management positions at various levels within the organizational structure are occupied by academic staff (J.-G. Mora, 2001). These academics receive salary bonuses and a decrease in the number of teaching hours as compensation for their management responsibilities. Mora (2001) argues that the enrollment growth experienced in the past two decades has ended, with relevant implications for both qualified non-tenured and tenured staff. Increasing the number of civil servants is not an option when decreasing enrollments are coupled with inevitable spending cuts, and this creates tension between the non-tenured staff and administration

(J.-G. Mora, 2001). Hiring and promoting at public institutions are under public scrutiny, with some regional governments establishing criteria favoring local candidates. In the state of Catalonia new permanent professors are required by law to speak Catalan, the official state language. Associated professors and lecturers are allowed two years to demonstrate their knowledge of Catalan, while international (non-Spanish) professors will be required to demonstrate their command of Spanish. The regional government promotes this measure by awarding additional funding to those universities applying the stricter version of the new legislation. The passing and implementation of these legal norms has upset faculty in other states, who argue that this criterion will restrict recruitment and selection processes (Tobarra, 2010).

Fernandez Diaz, Santaolalla and Gonzalez (2010) studied the attitudes towards internationalization of 257 faculty members at 10 different schools of Universidad Complutense de Madrid in an attempt to identify the professional development and training needed to succeed in completing the Bologna process reform at public institutions. The findings of their study indicate both “a degree of ignorance regarding changes in European higher education” (p. 101) and a feeling of resistance to new trends. From the authors’ perspective, the resources for professional development and training of faculty need to be made available by “university managers and policy makers” (Fernandez Díaz, et al., 2010, p. 101). Applying these findings tells us that SIOs, as the highest-ranked academic administrators, and international educators serving as advocates and liaisons between external and internal internationalization agents, are the key actors in promoting the internationalization of higher education institutions.

Human resources at private higher education institutions: Faculty and staff.

As in other areas discussed, the recruitment and hiring processes for faculty and staff differ significantly between private and public universities. While public entities must comply with guidelines issued by the MED and the governments of their autonomous communities, private institutions have much more freedom to hire professors and staff. A significant degree of autonomy in defining the profile of future employees enables private universities to align their recruitment, hiring, and contracting practices with strategic planning towards internationalization.

One of the factors influencing human resources and their impact on the international dimension at universities of all types is the lack of graduate programs preparing students for careers in international education. Kezar (2008) suggests that academic leadership programs should embrace “revolutionary concepts of leadership” (p. 2), including constructs such as “complexity, globalization and team-based leadership” (p. 2) that have already become relevant in business leadership development programs. While this might be an issue in the US, it holds still more relevance for Spain, where there are no masters or doctoral degrees focusing on higher education administration with strong contemporary leadership and or international components, thereby creating an obligation for Spain to address a major structural and institutional reform. In Spain, administrators and staff hired for international positions are often selected based on their experiences abroad and or command of foreign languages, a significant difference from other countries such as the US where candidates for international education jobs are often expected to hold graduate degrees in related fields.

The Autonomous Community of Madrid (CAM)

The City of Madrid covers an area spanning 604.3 square kilometers and is divided administratively into 21 districts. The area is served by highly-developed communication infrastructures, making the Spanish capital the leading logistics hub for both Spain and all of southern Europe. It also boasts an impressive network of motorways, encompassing both ring roads and radial roads, and provides the backbone for Spain's railway network, thereby providing effective connections with not only other parts of the region, but also the rest of Spain and Europe as a whole. Madrid is also home to the Madrid-Barajas airport, Spain's flagship airport and one of the largest to be found worldwide. ("Madrid economy 2010," 2010)

Hosting Spain's capital city, the CAM is one of the smallest geographical autonomous regions in the country but is home to the largest and most diverse population, 6.5 million including 15.6% of internationals and 84.6% under the age of 65 ("Gazeta estadística," 2012). Economic indicators for the CAM show a greater degree of resilience than other autonomous communities during the current financial (CAM, 2010), including: lower inflation than the rest of the country; an unemployment rate four points below the national average; capturing 60% of the total international investment in Spain; hosting multinational corporations generating 53% of all Spanish investments abroad; and leading in the total number and net worth of new businesses.

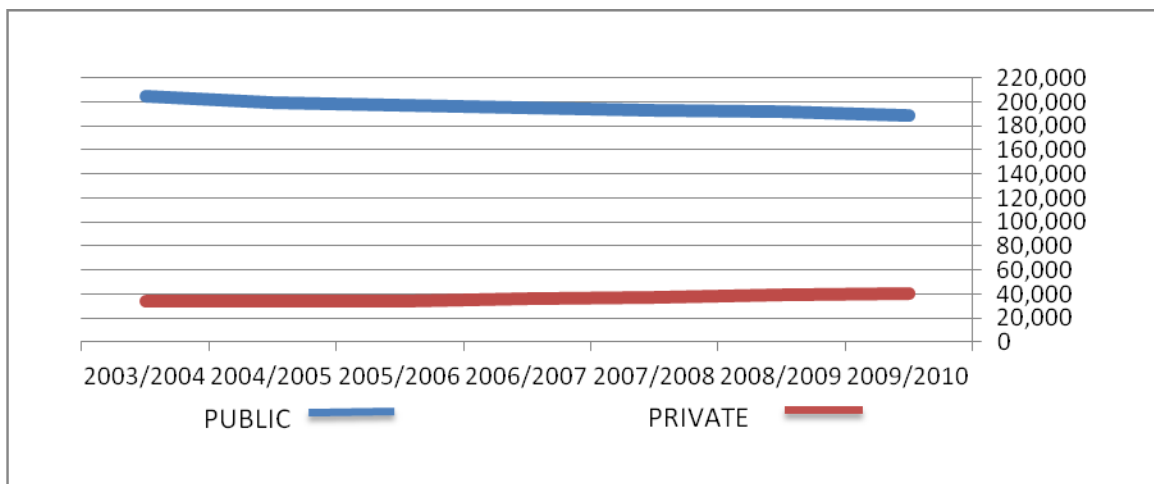


Figure 4. Evolution of enrollment at the CAM universities by institution type. Based on data from Instituto de Estadística de la Comunidad de Madrid: Estadísticas de enseñanza universitaria

The CAM is host to more higher education institutions than any other state in Spain, with a total of 16 universities, half of them private and half of them public (Universidades de España, 2012). The most recent statistics, for the academic year 2009-2010, show a total enrollment of 188,685 students at public universities and 40,280 at private institutions, making a total of 228,965. Enrollment trends show a decrease in the number of students attending public institutions, from over 200,000 (in 2003-2004) to 188,685 (in 2009-2010), while showing a steady increase in the number of students registered at private universities from under 40,000 (in 2003-2004) to 40,280 (in 2009-2010). While these have been stable trends (see Figure 4), it would be interesting to have data for the past two academic years (2010-2012) when the effects of the economic crisis have been felt more severely (Laborda & Fernandez, 2012).

Higher Education and Education Abroad Costs

One additional relevant characteristic of the context in which the study takes place is the financial aid available to students. Tuition fees at public universities remain at what could be considered a reasonable percentage of the average spending per home, i.e., 35.353 Euros in 2010 ("Gazeta estadística," 2012), between 1.51% and 3.62% per academic year for undergraduate students (Universidades de España, 2011). In addition students demonstrating need have access to financial aid awarded by the MED, up to a maximum amount of approximately 6,000 Euros (Ministerio de Educacion, 2011). Private universities are self-financing and have limited financial aid, which is normally awarded based on a combination of academic merit and need.

ERASMUS mobility scholarships.

The ERASMUS program is an EHEA initiative to promote the mobility of students and faculty between institutions of member countries. Students studying abroad pay the home institution's tuition, and their regional and or national education authorities provide funding to offset transportation and living costs. The Spanish MED provides funding for participants in ERASMUS programs of three different types ("Presentacion [Presentation]," 2012). The first type applies to individual mobility options, such as: students enrolling in academic programs or completing internships; faculty teaching or enrolling in professional development programs abroad; students or staff attending intensive academic or language programs; and faculty and staff travelling on preparatory visits that explore potential collaborations with other EHEA institutions. A second type of funding is available to promote modernization projects, virtual campuses, and multilateral projects of collaboration between universities and or with businesses. The

third type of sponsorship makes funds available to create theme-focused networks of institutions.

Summary

Almost 700 years after the first higher education institutions were founded, Spanish universities face significant financial, governance, and human resources challenges. Since 2008 the effects of these challenges have deepened and become more evident, especially for public institutions heavily dependent on national and state funding. This is the scenario wherein the present study analyzes why and how different types of institutions engage in the process of internationalization.

Chapter V: Case Study of the Universidad Europea de Madrid (UEM)

The purpose of this chapter, a case study of the Universidad Europea de Madrid (UEM), a flagship Spanish private university, is twofold. The first is to describe how the UEM executes internationalization by responding to the research question, ‘in what ways is internationalization being implemented at the selected institutions?’ The framework for this description combines Horn, Hendel and Fry’s (2007) categories relevant to the international dimension of universities; Knight’s (2004) factors influencing internationalization rationales; and a quantitative internationalization index produced using an adaptation of the Horn, Hendel and Fry model. The second purpose is to analyze internationalization rationales and the obstacles and drivers associated with these institutional motivations by using QDAS to address the research question, ‘what are the obstacles and drivers influencing the internationalization process?’ The multiple datasets employed in this case study to answer these research questions are listed in Table 9.

Institutional Background

The UEM was inaugurated in 1989 as an institution affiliated with the Universidad Complutense in Madrid, receiving the Spanish parliament’s certification on July 17, 1995, to become a private independent university. It was one of the first officially-recognized higher education entities, after the passing of legislation allowing the creation of private universities in Spain in 1983 (Ley Orgánica de Reforma Universitaria 11/1983). Compared to some of the public universities with origins in the 12th and 13th centuries, this is a young institution created approximately 23 years ago and operating as an independent entity for less than 17 years. A description of the UEM highlights its strengths as “one of the pioneers in the construction of the European Higher

Education Area” (Universidades de España, 2010a), leading in the development and implementation of the new Bologna-Process *grado* degrees, and piloting the adoption of innovative teaching methods based on student-centered learning.

Table 9

<i>UEM Datasets used for Analysis</i>		
Document Title	Source	Type of Data
Spain’s universities	Universidad.es web site	
Designed for the Real World	Brochure	
Social Responsibility Network	Internal memorandum	
Reconocimiento legal a la UEM	Archival records	
The University	UEM web site	
Social Responsibility	UEM web site	
Facilities	UEM web site	Quantitative and qualitative
Internationality	UEM web site	
The UEM Experience	UEM web site	
Undergraduate	UEM web site	
English Offer	UEM web site	
Academic Programs for Prospective Students	UEM web site	
Reglamento Estancias Internacionales	Internal memorandum	
Director of Internationalization	Unstructured interviews	
University Rector	Semi-structured interview	
Campus Visits	Informal observations	

UEM is a member of the Laureate International Universities (LIU) global network, a for-profit corporation connecting higher education institutions in 28 countries, with a combined enrollment of 675,000 students distributed across 100 campuses

(Universidades de España, 2010a). The university's identity and approach to higher education is shaped by its membership in LIU (Carmelo, 2011).

All the universities in the network share the same sign of identity: the Laureate seal, a model that is based on integrating English as a second language by exploiting the new information technologies to the full and creating a highly practical, internationally recognized curriculum. The UEM's primary mission is to become a reference point for university quality, forming leaders and professionals able to respond successfully to the needs of the new global society. (Universidades de España, 2010a)

Horn, Hendel and Fry Categories Relevant to the International Dimension of the UEM

Categories and indicators relevant to the UEM's international dimension in the Horn, Hendel and Fry (2007) model serve as follows: to compose a description of how internationalization is being implemented; and further, to inform that description with a quantitative index suggesting the current status of internationalization. The five categories and 15 indicators considered applicable to the Spanish context by the review panel are described in the following sections. Quantitative values for the ten variables used to compute the internationalization index and the calculations results are displayed in Table 10.

Student characteristics category.

The first rubric in the Horn, Hendel and Fry (2007) model assembles "student variables within the domains of international exchanges and academic concentrations" (p.

333). The status at the UEM of the four indicators in this category is described in the following sections.

Table 10

UEM Internationalization Index

Indicator	UEM			Weighted
	Score	<i>z</i>	M	<i>z</i>
1. Percentage of international students	16.00	1.09	9.88	10.80
2. Number of student Fulbright Fellows	0	-0.71	1.75	-1.24
3. Percentage of study abroad participants	3.00	1.41	10.5	14.85
4. Percentage of foreign language graduates	100.00	1.39	5.88	8.20
9. International research and CEI Campuses/Centers	2.00	-0.71	5.88	-4.16
10. Least Commonly Taught Languages	5.00	0.71	5.75	4.07
12. International perspective requirements for the bachelor's degree	100.00	0.71	8.88	6.28
13. Visibility of international content on an institution's website	5.00	0.98	9.88	9.69
14. Presence of a senior administrator for international activities	4.00	0.71	10.38	7.34
15. Number of books in the university library's international collection	23.00	-1.15	5.25	-6.05
Sum				49.77
Plus 100				149.77
UEM Internationalization Index				150.00

Note. UEM Score = indicators' values at UEM; *z* = UEM's standardized score; M = mean weight assigned to indicators by the panel of experts; Weighted *z* = *z* multiplied by M. For each indicator "z scores were calculated to obtain standardized institution-specific data. Those *z* scores were then multiplied by the weights. The resulting weighted *z* scores were then summed, transformed by adding a constant of 100 (to eliminate negative values), and rounded to the nearest whole number" (Horn, et al., 2007, p. 345), yielding an internationalization index of 150 for the UEM. All values are rounded to hundredths.

Percentage of international students.

With internationals representing 16%, of its 11,000 students, UEM has the greatest overall international enrollment of all Spanish private institutions. The University hosts a mix of study abroad students: from institutions within the LIU network through the EHEA's ERASMUS program and from bilateral agreements with other universities. Additional international students attend the UEM for the full length of their academic degrees, with large undergraduate populations concentrating in specific majors. An example is the dentistry major, where the number of Italian students in the 2011-2012 academic year exceeded 300.

The UEM offers academic courses taught in English in all of its schools, a condition likely contributing to these high figures as students can enroll in academic programs without prior knowledge of Spanish. All international students enroll in the same academic courses as their Spanish peers.

Number of student Fulbright Fellows.

There are no Fulbright Fellows attending the UEM in the academic year 2011-2012.

Percentage of study abroad participants.

With 3% of students participating in study abroad programs, this is an area where efforts are currently focused on raising numbers (A. Benito, personal communication, November 15, 2011). The commitment to make international education opportunities accessible to all students with large numbers and a broad range of options available is a recurring theme across the UEM's documents. The university's promotional materials focus on the accessibility and broadness of opportunities, stating "Students can carry out

professional internships or studies abroad, earn dual degrees in numerous universities around the world, benefit from an Erasmus grant, or course their studies partially or entirely in English” (UEM, n.d., p. 20).

Percentage of foreign language graduates.

The criteria for cohorts to be included in this variable were adapted following recommendations from the panel of experts, who contributed to rating the relevance of the indicators, and the international relations staff at participating institutions. These stakeholders shared a concern that the item should encompass all of the following students: those completing a bilingual degree, where a significant number of required courses are taught in English; foreign language majors; and those enrolled in degrees requiring a proficient level in a foreign language for graduation. At the UEM this indicator includes 100% of its students.

Faculty and scholar characteristics.

The *scholar characteristics* category in the Horn, Hendel and Fry (2007) model intends to measure the “ international dimension of an institution’s faculty, instructors, and research associates” (p. 341), considering their background, education, research and or professional experiences. This study uses three indicators in this category: the number of faculty who have received ERASMUS scholarships and or been Fulbright scholars; the number of current ERASMUS and Fulbright scholars from other countries; and the percentage of international faculty, instructors, and research associates on campus.

Nine faculty members were Fulbright scholars or recipients of an EHEA scholarship in the past, while there are no scholars with either of these awards teaching or researching at the UEM in the academic year 2011-2012. The institution employs hiring

policies designed to create an international workforce (A. Benito, personal communication, November 15, 2011), resulting in a faculty body of 10% of professors born abroad and an additional 7.5% holding higher education degrees obtained outside Spain. The 17.5 value for the percentage of international faculty, instructors, and research associates on campus indicator has been computed adding foreign-born and foreign-degree faculty members.

Research and grants category.

Two of the four original indicators in the Horn, Hendel and Fry (2007) model exist in the Spanish higher education context: this category assesses the relevance and external recognition of international research, programs and centers.

Number of FIPSE international education and or Atlantis program grants.

The fund for the improvement of postsecondary education (FIPSE) includes collaboration programs “among the U.S. Department of Education's Office of Postsecondary Education and foreign government agencies to fund and coordinate federal education grant programs” (US Department of Education, 2011b). One of these collaborations with the European Commission is Atlantis, a program providing grants to US and European institutions collaborating in exchange, joint, and double degrees.

None of the UEM’s international programs are part of the FIPSE initiatives for collaboration between the US Department of Education and the Spanish government; neither did they file for Atlantis Programs Grants for the 2011-2012 academic year. Thus the value for this indicator is zero.

Number of international research and CEI campuses/centers.

The Center for Excellence in Educational Innovation is a unit within the UEM, promoting research in areas identified as being of strategic relevance. One of these areas is *the Multicultural and International Classroom*, a research topic focusing on using the environment to maximize its positive impact on the development of students (UEM, 2011d). In addition, all UEM faculties list on-going international research studies on their websites as part of an unstated norm wherein departments are expected to embark on cross-border projects. This indicator is assigned a value equivalent to two international research units, reflecting the existence of the Center for Excellence in Educational Innovation and international research projects that span departments and faculties, even if the latter are not under the common roof of a designated center.

Curriculum category.

This fourth category in the Horn, Hendel and Fry (2007) model assesses “the provision and requirement of courses relevant to the development of intercultural competence” (p. 335). The UEM is a unique private institution in the number of courses taught in English and the number of bilingual degrees offered “internationality is one of our goals, and for us bilingualism is an obligation” (UEM, 2011b).

Number of Least Commonly Taught Languages (LCTL).

There are seven languages taught at UEM, including Arabic, Chinese, English, French, German, Italian and Spanish. The criteria used to define LCTLs by Horn, Hendel and Fry (2007) was modified upon request by all participating universities to exclude only English and Spanish, thus assigning a value of five to this indicator at the UEM.

Percentage of bachelor's degrees with language requirements.

At the UEM 100% of degrees require completion of English language courses, demanding minimum graduation levels equivalent to those generally granting international student access to higher education institutions in the US (e.g., the equivalent to a 220 computer-based TOEFL score is required for graduation in 90% of UEM's degrees) (UEM, 2012b). University policies also demand successful completion of academic courses taught in English for all degrees and majors. The UEM Lab is the English language center, coordinating teaching and learning strategies across faculties and departments, defined as "a place to learn English and broaden your international perspectives" (UEM, 2012b). The system-wide language requirement is explained in the center's web site: "In the UEM, we believe that English is not just a subject which complements the others, but is actually a fundamental component which runs through all areas of study, and which must be present inside and outside classes" (UEM, 2012f). UEM Lab uses an IT-supported teaching system, grants open access to a computer facility equipped with special software and multimedia resources, offers walk-in lessons with major-specific and level-specific tutors, organizes extra-academic activities and runs two small-group programs: encounters, and complimentary classes.

Percentage of bachelor's degrees with international perspective requirements.

"At the UEM 100% of all bachelor's degrees require an international perspective, promoted in all faculties and departments across the institution" (P. Paramo, personal communication, November 12, 2012). In spring 2011 the UEM offered 93 academic courses taught in English (UEM, 2011f), open to UEM students who chose to enroll in an English section vs. completing the same course in Spanish. All courses, from those taught

in the bilingual degree programs to the ones taught in Spanish, systematically include a global and or comparative perspective.

Within this framework, the *Talented Outstanding People* (TOP) is a 30-week program for undergraduate students with the following components: an academic tutor for each student; workshops, including one on leadership; Chinese language courses; a research project in a student's major; peer mentoring; the design of a cooperation, volunteering or entrepreneurial project, capped with an international stay in a developing country; a prestigious professional mentor, guiding the student in the development of competencies towards her or his career; and individual coaching sessions. This is one additional example of a transversal program with a prevalent international perspective requirement.

Institutional characteristics and organizational support category.

Three indicators in this category attempt to “measure organizational commitment and academic resources” (Horn, et al., 2007, p. 342) allocated to internationalization at the UEM. These indicators are discussed in the following paragraphs.

Visibility of international content on institution's websites.

The “level of visibility of international programs and activities” (Horn, et al., 2007, p. 342) is employed as a measure of institutional commitment and organizational resources, using a five-point scale to assess the presence of international initiatives as indicated on a university's website. One point reflects absence of information and five points are allocated when there are multiple links to international topics, thereby replicating criteria from the original Horn, Hendel and Fry (2007) method. The four-point value assigned to the UEM is based on a home page link to the international section and

an additional link to an English version of the site. A maximum five-point score would require a more relevant presence of sections on international education opportunities for enrolled and future students; broader content; and additional pages available in English.

Presence of a senior administrator for international activities.

This indicator is also rated using a five-point scale according to the original design of the method's authors "identifying the presence and level of a campus administrator charged with responsibilities for international programs and services" (Horn, et al., 2007, p. 343). One point would reflect the lack of an administrator in charge of international matters and five would indicate a vice presidential position. UEM's score of four points reflects the active involvement of the university rector in the internationalization process and the existence of a director of internationalization with transversal authority across faculties and campuses, reporting directly to the top academic authority. A maximum score of five points would require the additional existence of a position of vice president for internationalization.

Percentage of books in the university library's international collection.

The criteria to rate this indicator was modified from that used by Horn, Hendel and Fry (2007) to look at the percentage vs. the number of books in the international collection. This was deemed a more adequate measure when comparing large universities with smaller colleges (e.g., the ETSC). According to UEM sources, approximately 23% of all volumes in the university library are written in a language other than Spanish.

Summary of categories relevant to the international dimension of the UEM.

A number of the Horn, Hendel and Fry (2007) indicators show the highest possible values with no room for improvement, as follows: second language

requirements; international perspective requirements; and percentage of international language graduates. Additional indicators show positive values, with differing degrees of room for improvement, including: the percentage of international students on campus; the percentage of study abroad participants; the presence of a senior administrator in the internationalization structure; the visibility of international content on the website; the percentage of international faculty; the percentage of faculty who have been Fulbright or EHEA scholars; the number of campus centers focused on international research; the number of least commonly taught languages; and the percentage of international books in the library. A final group of indicators with significant room for improvement includes the number of students who are ERASMUS or Fulbright Fellows; the number of ERASMUS or Fulbright scholars from other countries; and the number of FIPSE and Atlantis international grants.

Knight's Factors Influencing Internationalization Rationales at the UEM

The following sections continue describing the implementation of internationalization at UEM, addressing each of Knight's factors influencing internationalization rationales.

Mission.

The first sentence in the UEM's mission statement addresses the relevance of educating for the requirements of a global world,

To provide our students with a holistic education, shaping leaders and professionals prepared to respond to the demands of a global world, who will add value to their professional fields and contribute to social progress with their entrepreneurial spirit and ethical values. To generate and transfer knowledge

through applied research, contributing in the same way to social progress and positioning ourselves at the cutting edge of intellectual and scientific development. (UEM, 2012g)

The UEM's mission statement cites preparing students for a global world converging with its aim within the LIU network: "A professionally-oriented education with an international perspective helps prepare Laureate students to achieve and succeed in the global marketplace" (Laureate International Universities, 2012, para. 2). So, the international component is explicit in both the institutional and the network's mission statements.

Student population.

The UEM has one of the largest enrollments among private universities and hosts one of the greatest percentages of international students (i.e., 16%) of all institutions in Spain. In the 2011-2012 academic year, tuition averaged 12,000 Euros per year (P. Paramo, personal communication, 2012), ranking as second highest for undergraduate degrees. With attendance costs approximately ten times higher than the national average for public institutions, at 1,200 Euros, UEM's enrollment likely represents the most affluent sectors of the Spanish population. Traditional students--those joining the university directly from high school--are a majority but the university has also managed to attract a significant number of non-traditional students (A. Benito, personal communication, November 15, 2011).

The institution runs two parallel programs for working professionals, the *Personal University* and *Access for Students Over 25*. UEM's Personal University combines on-site and on-line courses, allowing working students to design an individual learning plan

that fits their needs and schedule. Access for Students over 25 prepares non-traditional students to pass the MED exam required to access official university degrees. According to Rector Benito, students in both of these programs are also able to access international education opportunities through IAH components or by means of short courses abroad especially designed for them.

Four years ago the university launched the TOP program, providing scholarships and an enhanced academic and training track for students with exceptional academic records, strong command of the English language, and excelling in personal competencies (UEM, 2011g). The TOP recruits outstanding individuals interested in a global education and training for leadership positions, granting access to a cohort of students who would otherwise be unable to afford private tuition.

Faculty profile.

Two traits shape the profile of UEM faculty. The first is the character of the contractual relationship between staff and the institution. As in other private universities, governing bodies and administrators are able to define the number of faculty and staff to be hired, their academic backgrounds and credentials, their role within specific schools and departments, and their compensation. This scenario contrasts with that of public universities (Universidades de España, 2012), where the hiring of full-time faculty follows a standard process of selective examinations. Once a candidate is selected, contractual conditions also differ in the private and public sectors. At the UEM individual contracts and salary are commensurate with a hiree's curriculum vitae, while at public universities there are pre-determined salaries for each level within the organizational structure. The flexibility in recruitment and hiring allows the UEM to attract faculty and

scholars who are successful professionals in their field of expertise: “the UEM boasts a solid base of professional teachers whose teaching activities are directly connected to their work experience, creating a strong tie with the real world which is seldom to be found in other universities” (UEM, 2011c, para. 2). A second trait shaping the profile of UEM faculty is the promotion and recognition of faculty mobility, through a broad range of resources and policies publicized in the *Academic Staff* web page, stating as follows: “we put programs into practice at a national and European level to aid mobility” (UEM, 2011a). This section, listing national and supra-national funding sources and providing information on additional public and private initiatives (UEM, 2011a) highlights the two major channels for faculty mobility: internal, through the LIU; and external, through the Socrates-Erasmus programs. Initiatives of faculty members to arrange a professional exchange with a US colleague are also promoted through funding, benefits and recognition of professional merit.

Geographic location.

UEM is located in a residential area in Boadilla del Monte, a city 14 kilometers from Madrid’s center. The area connects with the capital by private car through the freeway belt system and by public transportation, with buses stopping at the university’s main entrance. The US-style suburban campus includes well-landscaped areas around different sets of buildings encircling a central lake. The A, B, and C structures, holding classrooms, labs and offices, are limited to the south by a high-performance tennis complex and to the north by a gym, athletic fields and two student residences. The campus has ample parking spaces to accommodate a seemingly vast percentage of students who commute using their own vehicles.

Funding sources.

Unlike in the US, a significant number of Spanish private universities are for-profit institutions, including half of the privates located in the CAM. This is the case of the UEM, operating as a company whose parent corporation is LIU, based in Baltimore, US. The sole sources of income for private universities in Spain, regardless of their for-profit or non-profit status, are student tuition and their own resources. Public funding is available for specific programs only, such as individual student mobility through ERASMUS ventures, provided by the national government; the CEI award, granting public funds for the promotion of campuses and or centers considered to be of excellent quality; and national mobility scholarships, granted by the MED to students attending institutions outside their autonomous community.

Level of resources.

Universidad Europea de Madrid has the most complete and advanced facilities which are ideal for study, participating in your favorite sports and making the most of your free time. The university's academic and technical structure is especially designed for the practical learning of your future profession. Laboratories and facilities furnished with the latest technology to facilitate practical learning, and fitted with the tools and applications that are currently used in each respective field of knowledge. (UEM, 2011e)

The university resources in this case study can be differentiated into five groups. The first includes campuses and physical setup. UEM's Villaviciosa de Odón is the largest of the campuses and stands out for its facilities, being tailored to academic disciplines, and its extra-academic activities. The campus is a gated complex, with a

series of modern structures including three academic and administrative buildings, two athletics complexes and two student dormitories with the capacity for 500+ residents (UEM, n.d.), in a setup that resembles many US higher education institutions. The university has two additional campuses in modern and attractive settings, one in La Moraleja, another residential area near the capital, and a third in Valencia, a city on Spain's eastern coast. This descriptive phase focuses on the Villaviciosa campus, which most of the students attend. Overall UEM facilities are modern, well equipped, and seem to provide a comfortable setting for students and faculty. The entire campus is equipped with wireless internet access, all buildings host food and beverage services, and provide areas for students to study and or meet. Faculty offices are also modern and well furnished. Spaces are well-lit and air-conditioned, the furniture is modern and comfortable. Language labs, television sets, audio-mixing rooms, auditoriums, cafeterias, medical and dentistry labs, workshops and a court room display state-of-the art equipment.

The second group of resources supports student learning, with two centers occupying a significant amount of space: the UEM Lab for English teaching and learning; and the Dulce Chacon Library. The UEM Lab facility and its resources serve as a transversal nexus across diverse units of the institution, providing information and support in areas such as study abroad opportunities, successful completion of academic courses taught in English, developing professional skills and meeting peer international students (UEM, 2012b). The UEM Lab is open 69 hours per week, Monday through Saturday, offering unlimited access for all enrolled students and professors to resources including the following (UEM, 2012f): multimedia language-learning software; walk-in

English classes in small groups; support classes; and discipline-specific tutoring for students completing degrees with subjects taught in English. The Dulce Chacon Library occupies three floors in one wing of the C building, offering spaces for students to work individually and in groups. In addition to its main facility, the library has two working areas, one in the A building and another in the athletics facilities structure, on the north and south sides of the campus,

The library collection ranges from the most traditional bibliographic material to the most cutting-edge. It is comprised of more than 87,000 volumes, more than 700 e-books, 1,300 titles of series publications, more than 4,000 multimedia materials (audio books, DVD's, audio CD's, etc.) and more than 17,500 digital publications encompassing all areas of knowledge. It has a free access configuration, according to the Washington, D.C. Library of Congress (LCC) and can be consulted entirely through the automated Catalog iLink, available via Internet 24 hours a day, 365 days a year. It also has several reading areas, group meeting rooms, free access computers, and equipment to search for multimedia materials. The Library on-site resources, including books, journals, periodicals and graphic materials, can be accessed seven days per week. In addition, Dulce Chacon offers 24-hour access to 100 different digital resources, grouped under the name *Digitalium*. (UEM, 2012a)

The third group of resources includes departmental labs and practical training facilities. All of UEM's faculties provide access to practical training, supporting the institutional approach that this experience will prepare graduates to succeed in their professions (UEM, 2012c). These spaces are equipped with state of the art equipment and

are of special relevance to students in health sciences. During the informal observations, the dentistry labs were always busy with students from a number of different countries attending practical sessions.

The fourth group includes the athletic facilities, with two large on-campus areas: the Sports Complex, and the High Performance Tennis Center. Informal observations also revealed state-of-the-art structures, modern and well-equipped gyms, practice areas tended by uniformed professional staff, and interaction among students of different nationalities. The description of the Sports Complex displayed in the university web site provides accurate data, as follow,

The University Sports Complex houses gyms and specialized areas for every discipline, including cutting edge mobility, exercise physiology, and biomechanics movement laboratories. The 14,000 m² that the complex dedicates to sports reflects the value placed on sports as part of a university education. These facilities boast the latest technology, including an automated management system and electronic card access, so that students can reserve courts and plan their sports activities according to what is most convenient to their schedules. (UEM, n.d.)

The fifth group of resources supports international education. Government funding to attend ERASMUS programs abroad is available at all higher education institutions in Spain and the majority of universities have exchange agreements with differing levels of activity. At the UEM, the LIU institutional affiliation increases the number and broadens the range of international education and exchange opportunities. The international relations offices of LIU institutions promote education abroad

opportunities within a far-reaching system (UEM, 2012d): it operates in over 24 countries on five continents; it comprises up an international network of 58 institutions; and it accounts for over 675.000 higher education students.

In addition to facilities and resources that are exceptional in Spain's higher education scenario, the UEM has other opportunities that are particular to the university. The institution regularly hosts important visiting lecturers, including: Bill Clinton, former President of the US; Dr. Konrad Meyenberg, a renowned Swiss expert in dental implants; Mr. Ma Yansong, a well-known Chinese architect; and other international and Spanish figures in the arts and sciences. These lectures expose students to the opinions of contemporary leaders in a number of professional fields. In sum, the UEM offers a range of facilities, resources and services exceeding those available at other Spanish institutions.

Orientation: Local, national, and or international interests.

The university has an international orientation, where *internationality* is a theme appearing in documents and websites across schools, departments and administrative units. The interests of the university are aligned with its LIU membership, taking advantage of the opportunities provided by a supra-national network. The bilingual academic structure produces a classroom setting where internationals have the opportunity to take courses with locals, in line with a multicultural experience concept. These mixed classrooms benefit multiple cohorts in various ways. They provide international students the opportunity to study alongside Spanish peers. They prepare Spanish students for stays abroad, by familiarizing them with an English-speaking

academic environment. And, they allow Spanish students who will not study abroad to profit from an IAH experience (Nilsson, 2003).

Summary of Implementation of Internationalization at the UEM

The indicators of internationalization, (Horn, et al., 2007), Knight's (2004) factors influencing internationalization rationales and the internationalization index computed using a modified version of the Horn, Hendel and Fry model, reveal a university immersed in system-wide continuous implementation of internationalization. All of the university factors addressed connect to a prevailing international perspective, especially the student population and the faculty, both with their strong international presence, the level and range of resources allocated to increase the institution-wide involvement, and the advantages of modern facilities designed to promote a multicultural environment as noted across university data sources.

Analysis of Rationales, Obstacles and Drivers Influencing Internationalization at the UEM

Datasets from multiple sources are analyzed using QDAS in order to identify the UEM's "motivations for integrating an international dimension into higher education" (de Wit, 2002) and their association, if any, with internal and external obstacles and drivers influencing the internationalization process. Five internationalization rationales emerge from this analysis and are discussed in the following sections.

Including internationalization as an essential component of a quality education.

The inclusion of an indispensable international component for educational quality is a recurring theme in all UEM data sources, appearing early with both clarity and

intensity in the interview with Rector Benito: “For us the key internationalization rationale is the quality of education. You cannot have an excellent university education, preparing students to succeed in a global world, without a strong international component” (A. Benito, personal communication, November 15, 2011). Throughout this and other data sources the pursuit of educational quality emerges as UEM’s primary rationale. A number of researchers have established links between internationalization and the quality of higher education (Knight & de Wit, 1995, 1999) and identified a positive correlation between the two variables (Jang, 2009), thus providing a foundation for this rationale.

Table 11

UEM’s Internationalization Rationale 1, ‘Including Internationalization as an Essential Component of a Quality Education’

Rationale 1	Obstacles	Drivers
Internationalization towards quality of education	Challenges in attracting international faculty	Importance of quality seals (in the absence of rankings) Relevance of foreign languages Autonomy in recruitment and hiring of faculty

From the analysis emerge a series of driving forces and obstacles associated with this institutional motive (see Table 11), in what Creswell (2009) describes as a correspondence between several categories. A first driver is the relevance of quality seals, of particular importance in the Spanish university system, where rankings have

appeared only recently and are not considered a solid measure of excellence (A. Benito, personal communication, November 15, 2011). In this scenario supra-national quality certificates connote prestige and reputation, driving the UEM towards further internationalization. A second propelling force is the relevance of English, both in academia and in business, with its proficiency understood as a key component in accessing the international job market—this at a time when national unemployment rates are at a record high ("Unemployment statistics," 2012). As Crystal (1997) predicted, “the position of English as a global language is strong and likely to become stronger” (p. 27). The third and final element driving internationalization as an essential component of a quality education is the university’s autonomy in faculty recruitment and hiring processes. As Van Damme (2001) argues, the challenges of internationalization are driving institutions towards new efforts and policies serving an array of objectives, including “the enhancement of the quality of education and research by bringing students and staff in the realm of international competition” (p. 417). Faculty are crucial to the internationalization and quality of the UEM and having the freedom and resources to seek and contract the best candidates facilitates the pursuit of this rationale. During her interview, Rector Benito mentioned challenges in the recruitment and hiring of qualified faculty, while acknowledging a good degree of success achieved. Therefore, the recruitment of faculty contributing to the internationalization and quality of the institution seems to be both a driver and an obstacle for this particular rationale.

Gaining competitive advantage through strategic alliances.

A second internationalization rationale at UEM aligns with what Knight conveys as “gaining a competitive advantage through strategic alliances” (2004, p. 27). Rector

Benito refers to the “extension of the academic horizon” (personal communication, November 11, 2011) throughout a network of universities with an international focus, providing global opportunities and resources to students, faculty and staff, as an institutional motive. The competitive advantage of membership in an international network of higher education institutions, such as LIU, is a recurring theme emerging across UEM data sources.

Table 12

UEM’s Internationalization Rationale 2, ‘Gaining Competitive Advantage Through Strategic Alliances’

Rationale 2	Obstacles	Drivers
Competitive advantages of strategic alliances (LIU network)	None	LIU membership Spain as a gateway between Europe and Latin America

The university’s geographic location as a gateway between Latin America and Europe (A. Benito, personal communication, November 15, 2011), influences its strategic alliances within and outside the LIU group, appearing as a driver for this rationale. According to Rector Benito, LIU membership is per se an additional driver for internationalization, perceived within the corporation as an on-going process, with opportunities for continued growth. The LIU, with headquarters in Baltimore, US, was created as an international group with the strategy of incorporating universities worldwide. Its approach to education focuses on quality, state of the art resources and the effective placement of graduates. Data analysis depicts a correspondence between the

strategic alliances rationale and the two drivers emerging as linked to this motivation (see Table 12).

Branding of a new institution.

University branding is another institutional motive for greater internationalization at the UEM,

Being such a new institution and having had internationalization as a priority since inauguration, we are inevitably associated to international education. This is probably a unique characteristic of our university, in Spain, and that is relevant to the branding of the institution. (A. Benito, personal communication, November 11, 2011)

The branding motivation is related to a higher education scenario of increased international competition (Huisman & van der Wende, 2004; Knight, 2004; Luijten-Lub, et al., 2005; Stensaker, et al., 2008; Van Damme, 2001). First, at the international level, where universities “are undertaking serious efforts to create an international reputation and name brand for their own institution or for a network/consortium to place them in a more desirable position for competitive advantage” (Knight, 2004, p. 21). Second, at the national level, where the UEM is a new institution with less than two decades of history striving to establish its reputation as a prestigious international entity among larger universities of long tradition. Third, within the CAM, where sixteen private and public institutions, all but one with lower price tags than the UEM, compete to attract fee-paying students.

The branding rationale is tied to three driving forces: the LIU network, and the group’s *distinct international perspective* (UEM, n.d.) shared by all its member

institutions; the fact that the UEM was founded with a core international component, with an organizational structure, staff, facilities and services designed to propel internationalization as a continuous process; and the brief history of the institution and its alumni, calling for added strategic efforts for the development of a strong international reputation (Knight, 2004). The correspondence among this rationale, obstacles, and drivers is reflected in Table 13.

Table 13

UEM's Internationalization Rationale 3, 'Branding of a New Institution'

Rationale 3	Obstacles	Drivers
		LIU membership: A distinct international perspective
Branding	None	International in UEM's DNA New institution

Student and staff development: Including an international component as a requirement for a successful professional career.

A fourth rationale emerging from the UEM's case relates to providing students with the competencies that will qualify them for jobs in an increasingly globalized market, a subject of growing concern shared by universities and students throughout Europe (Weber & Bergan, 2005). Staff and student development converge at the UEM when institutional initiatives provide resources to promote faculty mobility, contributing to the development of professors' international and intercultural competencies, and ultimately influencing students who profit from courses taught from a global perspective. While Rector Benito did not specifically identify student and staff development as an

institutional motive, she states “we consider that, for a successful career, professionals need this component as part of their education. So we ensure that all our students are exposed to international experiences” (A. Benito, personal communication, November 11, 2011).

Table 14

UEM 's Internationalization Rationale 4, 'Student and Academic Staff Development'

Rationale 4	Obstacles	Drivers
Student and Staff Development	Spanish students' attitude towards study abroad	<p>Job market: IE as a requirement for professional success</p> <p>Financial and social profitability of research</p> <p>Connections to the corporate world</p> <p>IAH opportunities</p> <p>The multicultural classroom</p>

From the qualitative data analysis, there emerged one obstacle and five drivers related to student and academic staff development (see Table 14). The sole obstacle is the negative attitude towards studying abroad on the part of Spanish students for whom it is difficult to separate from family and friends “Changing students' attitude towards study abroad has been one of the more difficult things because it's part of the Spanish culture, where students are very static and often their parents don't want them to go away either” (A. Benito, personal communication, November 15, 2011). Five drivers appeared in connection with this rationale, including: stakeholders' recognition that an international experience is a requirement to access the job market; the relevance placed on research,

acknowledging its financial and social benefits and rewarding faculty who participate in international studies; the institutional connections with the corporate world, a common trait throughout the LIU network; the intent to provide IAH opportunities, especially for non-traditional student populations; and the multicultural classroom as a research area of focus at the Center for Innovation in Educational Excellence.

The strong connection of the institution with the professional world, one of the drivers for this rationale, emerged across UEM sources of data present in actions such as recruiting successful professionals to teach courses in their area of specialization (UEM, 2011a, n.d.); inviting recognized international guest lecturers (UEM, 2012d); promoting the corporate connections of the career placement office (UEM, 2011c); enhancing access to internships abroad (UEM, 2011c); and designing a highly practical curriculum (Universidades de España, 2010a)

Fostering the social responsibility of students.

A final internationalization rationale is promoting social responsibility as a particularity of UEM's education, a theme appearing across data sources and specifically connected to the university's mission. Two drivers propel this rationale (see Table 15), as follows: UEM's educational philosophy, with the Office of Volunteering and Cooperation playing a key role in promoting social responsibility and ethical values throughout the university community (UEM, 2012e) across schools and departments; and the LIU corporation's commitment to social responsibility, through its *Youth Action Net* program, organizing and funding events that reward the actions of young entrepreneurs in partnership with the International Youth Foundation.

Table 15

UEM's Internationalization Rationale 5, 'Developing the Social Responsibility of Students'

Rationale 5	Obstacles	Drivers
Developing the Social Responsibility of Students	None	Educational philosophy LIU commitment to social responsibility

The lack of an income generation rationale.

A final relevant theme emerging from the analysis is the apparent lack of an economic rationale to internationalize, one that could be expected in a for-profit institution. In the interview with Rector Benito (personal communication, November 15, 2011), she stated that income generation is not a rationale for the UEM, where international programs create additional costs for the institution. The university often covers additional expenses generated by the study abroad experiences of its students in order to maintain costs equal to what they would pay if they remained in Madrid. This becomes apparent in the documents analyzed, including the website, where there are no references made to the cost of international education. In some instances the institution covers not only additional tuition costs but also housing fees for UEM students attending programs abroad.

Summary

This chapter started with a portrait of the implementation of internationalization at the UEM, using the descriptive framework adopted for this study. The second part of the chapter presented an analysis of data from multiple sources, identifying five

internationalization rationales and the emerging drivers and obstacles associated with these rationales.

Chapter VI: Case Study of the Escuela Técnica Superior de Ingenieros de Caminos, Canales y Puertos de Madrid (ETSC)

The first part of this chapter presents a portrait of how the ETSC, the oldest and most prestigious engineering school in Spain, addresses internationalization, employing the descriptive framework adopted for this study (see Table 1). This framework combines Horn, Hendel and Fry's (2007) categories relevant to the international dimension of universities, Knight's (2004) factors influencing internationalization rationales and an internationalization index produced using an adapted version of the Horn, et al. method. The second part of this chapter employs QDAS to examine multiple sources of data (see Table 16), identifying rationales, obstacles and drivers influencing internationalization and using conceptually clustered matrix displays (Childress, 2009b; Miles & Huberman, 1984) to present results.

Institutional background

The historical origin of the ETSC dates back to the late XVIII century when “The Corps of Civil Engineers was created by King Charles IV, who, through a royal order issued in Aranjuez on June 12, 1799, created the title of General Inspector of Roads, designating the Count of Guzman to occupy this position” (J. F. Mora, 2011, p. 27). The School was inaugurated in 1802, at the Buen Retiro Palace, in Madrid, by Agustín de Betancourt, an engineer of great reputation who had been called to assist the Count of Guzman (J. F. Mora, 2011). Eleven candidates took the entrance examination that year, of whom seven were accepted and five started their studies, constituting the first class of what is now known as the Escuela Técnica Superior de Ingenieros de Caminos Canales y Puertos de Madrid (J. F. Mora, 2011).

Table 16

ETSC Datasets used for Analysis

Document Title	Source	Type of Data
Spain's universities	Universidad.es web site	Quantitative and qualitative
Reseña histórica	Book (J. F. Mora, 2011)	Qualitative and quantitative
<i>Grupos de Investigacion</i> , CEI Campus Deputy Director of International Relations	UPM public document Unstructured interview	Qualitative Qualitative and quantitative
Escuelas y facultades de la UPM	Web site / UPM.es	Qualitative and quantitative
Baremo a emplear en los procesos de selección de los profesores contratados	UPM's public document	Qualitative
Exchange programmes	Web site / Escuela de Caminos	Qualitative and quantitative
Volumenes en la biblioteca	Archival records	Quantitative
<i>Caminos</i> Student Magazine	Publication	Qualitative
Exchange Programmes	Promotional materials	Qualitative and quantitative
Courses in English 2011 – 2012		
Director of the ETSC	Semi-structured interview	Qualitative
Directors' meeting with parent	Informal observation	Qualitative
Visits to the ETSC	Informal observation	Qualitative
Student interview	Unstructured int.	Qualitative

The history of this institution runs parallel to the country's past 200 years of shifting between times of buoyancy and hardship, moving locations within the growing city of Madrid, and closing temporarily during wars. The account provided by Professor Jesús Fraile Mora (2011) in his book *Reseña histórica de las Escuelas de Ingenieros de*

Caminos, Canales y Puertos y de Obras Públicas de Madrid provides comprehensive details on the history, relevant legislation, curriculum, graduates and faculty of the past 200 years, illustrating how the institution has often enrolled consecutive generations of the same families. A close network of graduates with ties often transcending age groups contributes to the *esprit de corps* among alumni of the ETSC, a recurring theme appearing in interviews, personal communications, books and internal documents.

High admission standards and demands for excelling academic performance have been traits of the ETSC throughout its history. Until the second half of the 20th century high school graduates had to take a rigorous entrance examination, with outstanding students passing in three to five years and more ordinary candidates abandoning after a number of failed attempts. A rigorous selection method of testing students on a broad range of subjects promoted the image of a highly-demanding institution enrolling some of the most brilliant minds in the country.

The School became one of the most prestigious centers in Spanish society in the 19th and 20th centuries. It was a training centre for the elite general engineers which had a great influence on the social and political life in Spain in the last two centuries. Renowned luminaries such as Echegaray, La Cierva, Torres-Quevedo, Saavedra, Cerdá, Torroja, Aguirre, Fernández Casado and numerous others who formed part of the technical, industrial and intellectual vanguard of the country for many years all studied at the School. (ETSC, 2011)

The inauguration of other civil engineering schools and a loss of autonomy upon adscription to the Universidad Politécnica de Madrid might have contributed to less demanding entrance requirements but students who choose to study at the ETSC today

still expect a challenging academic environment where they will be required to perform at high levels (D. Alonso, personal communication, March 22, 2012).

For the purpose of this study, there are two facts of particular importance in the institution's background. First is the great prestige acquired and maintained throughout two centuries, reinforced by the public relevance of alumni, including the first Spanish Nobel laureate, José de Echegaray (who received the literature award in 1904); several presidents of Spanish governments; government ministers; mayors of the Spanish capital; and successful entrepreneurs leading multinational corporations. Second is a shift in the level of institutional independence, regressing from autonomy at inauguration, to compliance with the MED regulations after the legislative reform of 1964 and concluding in the current dependence from the Universidad Politécnica de Madrid since 1970.

Horn, Hendel and Fry Categories Relevant to the International Dimension of the ETSC

Horn, Hendel and Fry (2007) categories and their indicators represent a part of a system-wide portrait of internationalization at the ETSC. Indicators are explained in the context of their categories, and their values are used to compute the school's internationalization index employing the Horn, Hendel and Fry survey adapted to the Spanish context (see Table 17).

Student characteristics category.

This rubric, in the Horn, Hendel and Fry (2007) model, refers to the academic concentration of students. Archive records show indicator values as follow: 2.46% of students are international; there are no Fulbright Fellows; and study abroad participants represent 2.11% of the population. All majors offered are within the field of civil

engineering and 35% of students are considered to be foreign language graduates, including those in the bilingual Materials Engineering degree program and all non-Spanish students seeking to obtain a higher education degree at the ETSC.

Table 17

ETSC Internationalization Index

Indicator	ETSC		Weighted	
	Score	<i>z</i>	M	<i>z</i>
1. Percentage of international students	2.00	-1.32	9.88	-13.08
2. Number of student Fulbright Fellows	0	-0.71	1.75	-1.24
3. Percentage of study abroad participants	2.00	-0.71	10.5	-7.42
4. Percentage of foreign language graduates	35.00	-0.49	5.88	-2.90
9. International research, and CEI Campuses/Centers	2.00	-0.71	5.88	-4.16
10. Least Commonly Taught Languages	0	-1.41	5.75	-8.13
12. International perspective requirements for the bachelor's degree	0	-1.41	8.88	-12.56
13. Visibility of international content on an institution's website	1.00	-1.37	9.88	-13.56
14. Presence of a senior administrator for international activities	2.00	-1.41	10.38	-14.68
15. Number of books in the university library's international collection	66.00	1.29	5.25	6.75
Sum				-70.98
Plus 100				29.02
ETSC Internationalization Index				29.00

Note. ETSC Score = indicators' values at ETSC; *z* = ETSC's standardized score; M = mean weight assigned to indicators by the panel of experts; Weighted *z* = *z* multiplied by M. For each indicator "z scores were calculated to obtain standardized institution-specific data. Those z scores were then multiplied by the weights. The resulting weighted z scores were then summed, transformed by adding a constant of 100 (to eliminate negative values), and rounded to the nearest whole number" (Horn, et al., 2007, p. 345), yielding an internationalization index of 29 for the ETSC. All values rounded to hundredths.

Indicator figures in the student characteristics category are further informed by the interviews with the SIO (i.e., the director of the school) and the deputy director of international relations, illustrating their perceived value of education abroad experiences “An international experience is, in a certain sense, overrated--not necessary if you intend to work for a public administration--but it does have benefits for students who would otherwise not leave home” (L. Garrote, personal communication, February 3, 2012). However, the director of the ETSC acknowledged that an education abroad experience “provides a competitive advantage with a significant number of Spanish corporations seeking to hire graduates for their overseas operations” (J. A. Santamera, personal communication, February 3, 2012).

Faculty and scholar characteristics category.

Indicators in this category reflect the international traits of faculty and scholars, assuming that the perspectives and experiences of educators shape the experiences of their students and “constitute an important resource for the success of the internationalization process” (Horn, Hendel and Fry, 2007, p. 335). There is no data available at the ETSC for any of the three indicators in this category, including the number of faculty who have been Fulbright or ERASMUS scholarship recipients; the number of Fulbright scholars from other countries; and the percentage of international faculty, instructors, and research associates on campus. However, there are faculty members who have studied abroad (e.g., the deputy director for international relations holds a graduate degree from the Massachusetts Institute of Technology). This and other cases of current professors who have completed degrees abroad, some of them earning

prestigious scholarships to fund their tuition, indicate that the value for these indicators is not necessarily null but the data vacuum hinders the assessment of this dimension.

Research and grants category.

The value for the first indicator in this category, the number of FIPSE or Atlantis grants, is zero as there is neither at the ETSC. Regarding the second indicator, ‘number of centers focused on international research,’ the ETSC does not have such institutes but the school has an active role in two centers focused on international research initiatives. The first is as part of the Moncloa Campus of the UPM, recognized by the MED as a CEI receiving public grants for a number of its projects. Within the Moncloa Campus there is a series of thematic clusters hosting the research initiatives of some of the UPM schools. Four ETSC research projects are part of one of these thematic clusters addressing computational mechanics; advanced structural materials and nanomaterials; marine, coastal and port environments, and other sensitive areas; and technology of construction and materials science for building and civil construction. The second international research initiative involves the Betancourt Foundation, an entity created by four alumni to promote research in engineering and hosted at the ETSC campus. Two aspects of this foundation have a clear international orientation:

- a focus on participation in European research projects in cooperation with other higher education institutions, companies and organizations; and
- the funding provided to promote the presence of international experts, especially from America, in specialized courses taught at the foundation.

Curriculum characteristics category.

This rubric includes “ both the provision and requirement of courses relevant to the development of intercultural competence” (Horn, et al., 2007, p. 335). A common characteristic of all ETSC degree programs is the vast number of contact and work hours they require. Students have a morning (8:00 am through 2:00 pm) or an afternoon schedule (3:00 pm to 9:00 pm) Monday through Friday, with additional mandatory lab hours varying per semester and year, and additional work time expected outside class hours. A system-wide Bologna-mandated curriculum reform was put into practice in the academic year 2010-2011, shifting from annual to semester courses following a calendar running from September through January and from February through June, but there is no indication that students’ workload has diminished as a result of this reform.

All of the ETSC’s bachelor degrees require successful completion of two semesters of a foreign language, English I and English II. Thus, the value for the ‘foreign language requirements’ indicator is 100%. The entry level for these courses is intermediate, based on the premise that freshman have already had mandatory foreign language instruction through high school, and students attain a minimum level of B2 (Europass, 2012) in the Common European Frame of Reference (CEFR) upon completion of these subjects. Foreign-language-required courses are also offered in French, so the value for LCTLs, excluding English and Spanish, is one. The fact that there are no more LCTL courses at the ETSC should be put in perspective. The rationale behind the focus on English is the prevalence of this language in multinational engineering projects. Offering additional languages at a discipline-specific public institution of this size would pose significant challenges furthered by a strict and demanding curriculum. The Materials

Engineering major offers a third year with all of its courses taught in English (see Tables 18 and 19). Professors teaching these courses, which have been condensed into two consecutive semesters to attract students from other countries, have had international education and or professional experiences and teach these courses for an international enrollment. This degree, enrolling 35% of ETSC students, is the only one with ‘international perspective requirements for the bachelor’s degree’. Thus, the value for the last indicator in this category is 35.

Table 18

Subjects Taught in English 2011-2012 Academic Year, First Semester

Subject	N ECTS	Topics
Mechanical Behavior of Materials III	6	Plasticity. Viscoplasticity
Properties of Materials II	6	Magnetic properties. Thermal properties
Composite Materials	6	Classification. Fabrication. Macro / Micromechanics. Performance in service
Numerical Simulation in Materials Science and Engineering	6	Numerical methods. Graphic representation. CAD
Obtention of Materials	6	Extractive metallurgy. Siderurgy. Obtaining of non-metallic materials
Workshop on Functional Materials: Structure	6	Characterization of semiconductors: Profilometry, SEM, AFM, XRD
Biomimetics	6	Self-assembly. Hierarchical materials. Smart materials. Biosensors

Note. ECTS= European Credit Transfer System, i.e EHEA credits indicating the amount of classroom time and additional work time required to successfully complete a university course, where one credit corresponds to 25-30 hours of work. N ECTS= number of EHEA credits.

Institutional characteristics and organizational support category.

This final rubric evaluates “the institution’s organizational capacity and espoused values for supporting the internationalization process” (Horn, et al., 2007, p. 336), specifically looking at the presence of international content on the website, relevance of the highest international administrative position, and the size (percentage-wise) of the international collection in the institution’s library.

International content is not in a prominent location on the ETSC website but there is a section in English featuring comprehensive information on the history of the institution courses offered, syllabi and contact information. Given the limited visibility and restricted content, this indicator is assigned a value of one point within a five-point scale. There is a deputy director for international relations with a solid international background, holding a graduate degree from MIT and demonstrating a clear understanding of the opportunities and challenges of the current higher education scenario. The deputy director reports directly to the director of the institution (i.e., the SIO) with whom he seems to have an aligned vision and excellent communication channels. The SIO is the institutional leader and the deputy director’s position is depicted in the second tier of the institution’s organizational chart. Although the resources available seem minimal and the international relations department operates with no budget, this indicator is assigned a value of two points on a scale of five, given the organizational ‘relevance of the highest international position’. Books in the ETSC international collection amounted to 66% of the total number of volumes, a value exceeding that of all the other institutions in the study, supporting the assumption that English is the *lingua franca* of the civil engineering profession.

Table 19

Subjects Taught in English 2011-2012 Academic Year, Second Semester

Subject	NECTS	Topics
Quality And Quality Management	6	Components. Systems and Processes. Projects. Standardization. Certification
Mechanical Behaviour Of Materials IV	6	Fracture. Fatigue. Creep. Structural Integrity
Nanotechnology	6	Structures. Fabrication. Characterization
Surface Engineering	6	Semiconductors. Epitaxy. Doping. Characterization
Materials Recycling	6	Environment. Recycling. Recovery. Inerting

Note. ECTS= European Credit Transfer System, i.e EHEA credits indicating the amount of classroom time and additional work time required to successfully complete a university course, where one credit corresponds to 25-30 hours of work. NECTS= number of EHEA credits.

Summary of implementation of internationalization at the ETSC.

This institution does not have indicators with high values, except for the percentage of volumes in its library's international collection. All of the indicators weighted as standardized scores and used toward computing the internationalization index, except for one, are negative in value (see Table 17). The description of the categories relevant to the international dimension of the institution, the indicator values and the resulting internationalization index portray an institution with limited implementation and slim opportunities and motives to advance in this process.

Knight's Factors Influencing Internationalization Rationales at the ETSC

The following sections continue describing the implementation of internationalization at the ETSC, addressing each of Knight's Factors (2004) influencing internationalization rationales.

Mission.

The ETSC does not have an official mission statement but there is a sentence quoted across publications and communications reflecting the spirit of the school, stating that “the activity of the school, taking place within the Universidad Politécnica de Madrid, pursues, as it did two centuries ago, the objective of preparing civil engineers to respond to the demands of society” (ETSC, 2012b). One of the recurring themes throughout the ETSC documents and sources of data is the relevance placed on providing students with hands-on experience in that they learn from professors who are also successful civil engineers.

Student population.

Half of the ETSC's Spanish students come from Madrid, the other half are from other provinces in Spain and 180 spaces are allocated to international students. Enrollment is primarily students of traditional university-age, 70% are male and 30% female, who attend immediately after completion of high school.

Faculty profile.

The norms and conditions for the selection of candidates for faculty positions at the ETSC are defined and implemented by the governing board of the UPM, designed in compliance with the CAM legislation on this matter and regulated by the Convenio Colectivo de Personal Docente e Investigador de las Universidades Públicas de Madrid,

the unions' collective bargaining agreement. The CAM legislative materials describe the criteria used to assess a faculty applicant's academic background, additional preparation and credentials. These criteria list merits attained in prestigious foreign universities to be considered, including holding double degrees or having obtained academic credit; completing a capstone project; and holding a doctoral degree ("Baremo a emplear en los procesos de selección de los profesores contratados [Benchmaks for the selection of full-time faculty]," 2005). According to Dr. Santamera, Director and SIO of the ETSC, this selection system restricts the autonomy of the ETSC in the recruitment and hiring of adequate academic staff (personal communication, February 3, 2012), as it has shifted to reward research and publications over professional experience (L. Garrote, personal communication, February 3, 2012). Some of the most relevant and respected faculty at the ETSC are engineers with successful professional careers, but the current hiring system will no longer allow for professors of this profile to teach at the school (J.A. Santamera, personal communication, February 3, 2012). The hiring of faculty and staff are centralized under the authority of the UPM rector, beyond the control of the ETSC director whose powers are limited to requesting personnel to fill vacancies or the creation of additional positions:

We are not able to hire our own faculty. When a position opens, we place a request for a professor with the UPM, and they do the recruitment and selection. The best faculty members have always been alumni from the school, engineers who had professional experience, but with the current selection criteria our professors are likely to be from other academic disciplines and lack field experience. (J.A. Santamera, personal communication, February 3, 2012)

Geographic location.

The ETSC is located in the university area within the city of Madrid, between the faculties of Communication and Philosophy of the Universidad Complutense de Madrid, and across from the Spanish presidential palace (“Palacio de la Moncloa”). The area is easily accessible by public transportation, with nearby bus and subway stops.

Geographically the CAM is one of the smallest autonomous communities in Spain, but the capital “is the 3rd European city and the 7th worldwide in number of multinational companies with operations headquarters” (Promomadrid, 2011, para. 2). The region is a preferred destination for over 5,000 foreign companies and hosts a vast majority of the Spanish construction multinational corporations (J. A. Santamera, personal communication, February 3, 2012), including Acciona, ACS, Ferrovial, and OHL. In the current economic crisis, the CAM has managed to perform better than a majority of the other autonomous regions in Spain, further encouraging high school graduates to enroll in a prestigious public institution located within the hub where most of the engineering jobs are likely to be created.

Funding sources.

The ETSC receives all its financing from the UPM, under a characteristic Spanish public higher education financing system where there is no direct correlation between the number of enrolled students and the funds granted. The system establishes no additional financial compensation or rewards for schools enrolling international students, thus creating a scenario where the staff often shuns initiatives attracting cohorts who generate additional work without rising funding (L. Garrote, personal communication, February 3, 2012). According to the deputy director of international relations, 8% of the UPM

funding comes from the Spanish government, 70% from the CAM, 3% from the township of Madrid, and 18% are loans. The tuition amount paid by students, approximately 1,000 Euros per year for undergraduates and 1,500 Euros per year for graduates, covers a fifth of the actual per-student cost. International students, whether they attend the institution for a full degree or as visiting study abroads, pay the same tuition as Spanish students.

Level of resources.

The institutions forming the UPM have both individual and shared resources, with their locations spread in four areas of the region shaping the services available to students in each of the schools and faculties. Fourteen schools, several research centers, and the rector's offices are extended over a broad area within the Ciudad Universitaria of Madrid, with each of the institutions situated in separate locations. The ETSC occupies one independent building in this area, surrounded by a large parking lot, and some athletic facilities. There are four additional schools, plus a Center for Industrial Electronics and a Nuclear Fusion Institute, at different locations within the center of the city of Madrid. An additional eight schools, centers and institutes, are grouped in the Montegancedo Campus, in Boadilla del Monte, a residential city in the northwest outskirts of the capital. And six more schools, centers and institutes are at Campus Sur, located nearby the Valencia freeway, southeast of the capital city.

Resources such as libraries, language learning centers and athletic facilities are independent for each of the schools, except for those in the Montegancedo and Sur more-modern campuses. The ETSC library was founded in 1834, and specializes in the disciplines related to civil engineering, including a notable section of antique books and journals on the history of science and technology, focusing on XIX century texts (ETSC,

2012a). In addition to the on-site library, students can access the IngeBook e-book platform, through an agreement between this database and the UPM (ETSC, 2012a). The School has two computer labs, with a total of 64 computers, a wireless network and virtual classrooms where professors communicate with students, providing course-related materials and interactive support (ETSC, 2012c). Languages taught at the ETSC are English and French, and there are two resources available for students to make progress in the command of these: a language lab, and a multimedia room. There is a bookstore, within the ETSC building, where students can purchase books, class notes, course-related exercises and blueprints, and make copies. Additional on-site facilities and services include lockers, a medical room, a cafeteria, lost and found storage, a study room, a gym, and a chaplain's office. There are athletic courts, located on the south side of the building, which are used for soccer and basketball games. Students make negative remarks on the state of the sports facilities, both during one of the informal observations and in an article published in their newspaper describing a sport particular to the ETSC fields which they have named "foothole".

Through the UPM, ETSC students have access to scholarships available to other private and or public university students in Spain, such as those granted by the MED, the CAM, Banco de Santander, Bancaja, Fundacion Carolina, Goya-Mundus, and the EHEA mobility programs. In addition there is a limited number of UPM scholarships funding education abroad. The ETSC has a significant number of additional scholarships, but none of these are specifically established to promote international experiences.

Orientation: Local, national, and or international interests.

Although the ETSC does not show high values for some of the indicators used to measure internationalization under the Horn, Hendel and Fry (2007) model, there is evidence that the institution prepares its students to succeed in a professional field where Spanish corporations have a significant volume of global operations. First is that graduates are recruited to work for multinational engineering firms where they will likely participate in transnational ventures. Second is that with rising unemployment rates in Spain, graduates are securing employment in other European Union countries, where the prestige of the school increases their opportunities to find jobs.

Summary of Implementation of Internationalization at the ETSC

The description of internationalization implementation at the ETSC portrays an institution of long history and prestigious reputation facing the challenges of two simultaneous reforms: one internal, to adapt to the Bologna degree-structure and adopt student-centered approaches to teaching and learning; and another enforced by the Spanish government, to promote the academic quality and international reputation of Spanish institutions. Both of these reforms coincide with a state of economic crisis, further complicating the situation for institutions funded by autonomous governments with inescapable pressures to diminish their levels of debt.

Analysis of Rationales, Obstacles and Drivers Influencing Internationalization at the ETSC

QDAS is employed to analyze the ETSC's multiple sources of data, defining internationalization rationales and identifying obstacles and drivers associated with institutional motives.

Preparing students for the demands of a global market.

The primary internationalization rationale emerging from the analysis of the ETSC data is the preparation of students to succeed in the current global market (see Table 20). This motivation falls under the student and staff development (Knight, 2006) internationalization rationale, where “the mobility of the labor market, and the increase in cultural diversity of communities and the workplace, require that both students and academics have an increased understanding and demonstrated abilities to work and live in a culturally diverse or different environment” (Knight, p. 219). This rationale emerges as connected to the institutional aim to prepare “civil engineers to respond to the demands of society” (ETSC, 2012b), a goal that has guided the institution for the past 200 years.

Table 20

ETSC's Internationalization Rationale 1 'Preparing Students for the Demands of a Global Market'

Rationale 1	Obstacles	Drivers
Preparing students for the demands of a global market	Perception of lack of value of international experience	International education required for a global job market
	Focus on academic strength vs. intercultural competence	Success of Spanish construction companies abroad / university-business connection
		Spain unemployment rates
		Diverse, multicultural student population
		Faculty-led international education initiatives
		ERASMUS funding
		Multinational corporations based in Madrid

The success of Spanish multinational construction companies, connected with ETSC, and high in-country unemployment rates emerge as two factors driving graduates to seek international positions, and are linked to the student development rationale. According to Sills (2012), “68 percent of young Spaniards are considering emigrating, an EU survey showed last year” (para. 7). In contrast, the perception that “graduates who will work within Spain will not benefit from an international experience” (L. Garrote, personal communication, February 3, 2012), emerges as a related obstacle. Four additional drivers and one more obstacle emerge from this case as related to the student development rationale (see Table 20). With almost 50% of students coming from culturally diverse autonomous regions outside the CAM, ready to embark on a professional career likely to start abroad, the character of the ETSC student population emerges as a factor driving the ‘student development’ internationalization rationale. Individual faculty initiatives also emerge as a driver for this institutional motive, including working to establish and maintain double degree and study abroad programs with engineering schools of comparable academic standards; developing programs, such as the third year of Materials Engineering in English; promoting international exchange opportunities for students (ETSC, 2011); and steering education abroad initiatives through administrative positions, such as that of the deputy director for international relations. One emerging obstacle related to ETSC faculty is the focus placed on academic strength leading to a potentially excessive scrutiny of programs abroad. This discipline-centered approach contrasts a trend present in the EHEA and the US, where relevance is placed on developing the cognitive, behavioral and affective competencies of students (Bennett, 2009), thereby promoting their multicultural or intercultural abilities (Landis,

Bennett, & Bennett, 2004; Paige, Fry, Stallman, Josić, & Jon, 2009; Schaetti, Ramsey, & Watanabe, 2009; Ting-Toomey, 1999) versus focusing exclusively on their grasp of academic disciplines. ERASMUS scholarships, funding education abroad opportunities for ETSC students, also emerged as a driver connected to the student development rationale: “ERASMUS agreements are fairly uncomplicated to set up and provide simple access to funding for participants” (L. Garrote, personal communication, February 3, 2012). Finally, the institution’s location, in the city with the largest volume of economic activity, trade and foreign investment in the country (“Madrid economy 2010,” 2010), drives the student development rationale by facilitating access to events and actions of corporations based in Madrid, thus providing a network of contacts that could contribute to graduates’ future employment.

Building strategic alliances.

Another institutional motive emerging from the ETSC case is the aim to build high-quality academic alliances (see Table 21) in order to preserve the national and international prestige and reputation that the school has had since its inauguration more than two hundred years ago. One of the factors driving this rationale is “the *esprit de corps* among ETSC engineers, which bonds alumni who remain in contact with their alma mater as benefactors, as faculty or lecturers, and or in promoting the recruitment of recent graduates from the organizations they lead” (J. A. Santamera, personal communication, February 3, 2012). This *esprit de corps* and emphasis on the academic prestige of the institution, present at the ETSC, is exceptional among alumni of Spanish public universities. However, the criterion prioritizing academic excellence in strategic alliances

acts also as an obstacle, as the school's demanding curriculum is matched by few institutions, thus restricting opportunities for international exchange.

A number of aspects of the ERASMUS programs emerge as connected to the strategic alliances rationale, including

- propelling internationalization by promoting the establishment of agreements (L. Garrote, personal communication, February 3, 2012) and providing funding for participating students and faculty; and
- Hindering the internationalization process, given the vast number of contact hours required by the civil engineering curriculum and as international educators at the ETSC perceive that it focuses on numbers versus quality.

Table 21

ETSC's Internationalization Rationale 2 'Building High-quality Academic Alliances'

Rationale	Obstacles	Drivers
Building high-quality academic alliances	Rigorous, demanding curriculum	Esprit de corps
	Finding quality vs. available partners	Focus on quality alliances ERASMUS funding

The concern that courses abroad be of comparable content and quality emerges throughout sources of data and is articulated by the deputy director of international relations: "We expect our students going abroad to successfully complete a comparable content to that of the equivalent courses at the ETSC if we are to grant credits towards their degree" (L. Garrote, personal communication, February 3, 2012). The ETSC faculty

call for ERASMUS programs to focus on the quality and outcomes of education abroad vs. on the number of participants is somehow aligned with worldwide trends focusing on accountability and standards, shunning assumptions that larger numbers of international education opportunities indicate a higher degree of internationalization.

Additional obstacles influencing the internationalization process.

A number of factors hindering internationalization, not associated with specific rationales, emerged in the ETSC case. These are described in the following sections as they inform the present and future internationalization process at the institution.

Lack of incentives for income generation.

While Knight (2006) identifies the generation of alternative income as one of the “rationales of emerging importance at the institutional level” (p. 216), analysis of the ETSC datasets reveals how the lack of a direct correlation between the number of enrolled international students and the school’s revenue becomes an obstacle for the internationalization process. ETSC operates in a scenario where all its funds are received from the UPM, regardless of international enrollment numbers. This financial setup becomes an obstacle as “enrolling internationals requires additional work, at an institution with limited resources to tend to the needs of these students” (L. Garrote, personal communication, February 3, 2012)

The system-wide enrollment software—common for all schools and campuses of the UPM—does not provide an option to reflect study abroad terms, so all international records for incoming and outgoing students must be annotated manually by members of the staff. In addition, the registrar does not speak

English and refuses to work with and or approve documents that are not translated to Spanish. (L. Garrote, personal communication, February 3, 2012)

Lack of student services resources.

With few exceptions among some of the newer institutions, Spanish and other European public universities do not normally offer student services such as housing and extra-academic activities. Students make their own housing arrangements to live at privately-run dorms or shared apartments, and athletic and cultural activities are normally run by student organizations in lieu of institutional departments. This lack of extra-academic structures emerges as an obstacle influencing the internationalization process, when study abroad students need support services that generate additional workloads for ETSC administrators, faculty and staff outside of their areas of competence.

Democratic election of candidates.

Tarrach, et al. (2011) recommend that the election process for leadership positions in the Spanish higher education system be changed, to “improve the quality and diversity of university leadership and academic staff” (p. 9). Other relevant sources argue that the current democratic system complicates change processes (Lopez de Silanes, 2009) and the ETSC SIO concurs, explaining that “decisions need to be made in consensus with department heads, administrators faculty members and staff” (J. A. Santamera, personal communication, February 3, 2012). An organizational structure where the director is a faculty member returning to his teaching position once another faculty member is elected is an obstacle to the changes that must accompany an internationalization process.

All senior positions (professors, deans, senior administrators and rectors) should be published not only at the national, but also at the European/international level

and selection committees should include external members, drawn from i) the institution but outside the discipline, ii) the discipline but outside the institution, seeking members both within and outside the country. (Tarrach, et al., 2011, p. 9)

Lack of clear authority structures.

The lack of clear authority structures is an obstacle that emerges both as characteristic of the Spanish public higher education system and as particular to the ETSC case as an institution with a strong organizational culture operating under the authority of the UPM. Lopez de Silanes (2009) discusses the complexities of the Spanish model with too many institutional governing bodies, immersed in heavy bureaucracy and restrictive of leaders' options to address the challenges of an evolving environment. In the ETSC case the lack of clear authority structures is further complicated by the schools dependence on the UPM, especially in financial matters, admissions standards and hiring decisions.

Summary

This case study describes an institution of long history and great national and international prestige immersed in an important Bologna structural reform process, under the effects of the broader challenges faced by Spain's public higher education system and lacking explicit motives to develop its international dimension. This void of clearly articulated rationales and a number of low internationalization indicator values contrast with the long transnational tradition of the field of engineering. The apparently null motivation for greater internationalization at the ETSC is a paradox, inconsistent with the success of Spanish civil engineering companies abroad led by alumni and the relevant positions that graduates hold in international corporations.

Chapter VII: Case Study of the Universidad Rey Juan Carlos (URJC)

Using the descriptive framework adopted for this study (see Table 1)—combining Horn, Hendel and Fry’s (2007) categories relevant to the international dimension of universities, Knight’s (2004) factors influencing internationalization rationales, and an internationalization index produced using an adapted version of the Horn, Hendel and Fry model—this chapter describes how the newest public university in the CAM addresses internationalization. Data from multiple sources (see Table 22) are analyzed using QDAS to identify internationalization rationales, drivers, and obstacles influencing the internationalization process. Results of this analysis are presented using conceptually clustered matrix displays within the same format employed in the two previous cases illustrating correspondences among categories, as proposed by Yin (2003, 2009) for his cross-case synthesis technique.

Institutional background

The URJC “was created by Law 7/1996 on July 8, at the behest of the Government of the Comunidad de Madrid. Its medium term goal is to enrich students’ individual and social opportunities in the region of Madrid, with a clear emphasis on international and research matters” (URJC, 2012i, para. 1). The institution has four campuses in the cities of Mostoles, Alcorcon, Fuenlabrada, and Vicalvaro, and a foundation in the center of the capital. The URJC’s objective is “offering high quality education and academic and scientific excellence” (URJC, 2012i, p. para. 3), with an all-around preparation combining theoretical teaching with practical training, thus facilitating rapid access to the labor market. In 2012 the university is expected to reach an enrollment of 25,000 students (URJC, 2012g).

Table 22

URJC Datasets used for Analysis

Dataset Name / Title	Source Type	Type of Data
Spain's universities	Universidad.es	Qualitative and quantitative
Ficha URJC	Promo. materials	Qualitative and quantitative
International full-degree students	Archival records	Quantitative
Enrollment in English degrees	Archival records	Quantitative
International Students' Statistics	Archival records	Quantitative
International / Exchange Students	Archival records	Quantitative
Head of promotion and reception of international students	Unstructured interview	Qualitative and quantitative
General description of the URJC	www.URJC.es	Qualitative and quantitative
Students	www.URJC.es	Qualitative and quantitative
Academic staff	www.URJC.es	Qualitative and quantitative
Scientific and academic excellence	www.URJC.es	Qualitative and quantitative
Industrial cooperation	www.URJC.es	Qualitative and quantitative
International dimension	www.URJC.es	Qualitative and quantitative
Memorias Academicas	Public documents	Qualitative and quantitative
Economic-financial activity report		
Vice-rector of international relations	Semi-structured interview	Qualitative
Campus visits	Direct observations	Qualitative

Horn, Hendel and Fry Categories Relevant to the International Dimension of the URJC

As in the previous two cases, Horn, Hendel and Fry's (2007) categories and indicators relevant to the international dimension of universities are used to describe the implementation of internationalization at the URJC. Quantitative values for each of the

indicators, as well as the resulting internationalization index, are displayed in Table 23 and described in the following paragraphs.

Student characteristics category.

This category reflects percentages of students with an international academic concentration and those who participate in an international or exchange program. The university has focused on attracting international students since its inauguration (A. M. Salazar, personal communication, April 23, 2012), achieving a percentage of international students on campus exceeding 11% of the total enrollment. Among 133 Fulbright Fellows in Spain and 56 in the CAM's institutions, two had completed their scholarships at the URJC in the year 2011 (Fulbright España, 2011). The percentage of study abroad participants is considered low (A. M. Salazar, personal communication, April 23, 2012) at 2% but there are a number of initiatives promoting international experiences: the *Magical Opportunity* program provides students with the opportunity to study and work in California and Florida during a six-month term. Enrollment for this program—now in its seventh edition—has consistently grown since its first year (C. Gonzalez-Quijano, personal communication, March 12, 2012). Both international students enrolled at the URJC for a full degree and Spanish students completing undergraduate and graduate degrees with all courses taught in English were considered foreign language graduates, producing a 21% value for this indicator.

Faculty and scholars characteristics category.

This category includes the current and past number of Fulbright faculty and scholars and the percentage of international faculty. While data on these indicators were not available at the URJC, the university offers academic courses and several

undergraduate and graduate degree programs taught in English by qualified faculty with international backgrounds. So, while there are indications that a number of the URJC faculty have studied, worked and or researched abroad, data are not available for the indicators in this category.

Table 23

URJC Internationalization Index

Indicator	URJC			Weighted
	Score	<i>z</i>	M	<i>z</i>
1. Percentage of international students	11.00	0.23	9.88	2.27
2. Number of student Fulbright Fellows	2.00	1.41	1.75	2.47
3. Percentage of study abroad participants	2.00	-0.71	10.5	-7.42
4. Percentage of foreign language graduates	21.00	-0.90	5.88	-5.30
9. International research/CEI campuses/centers	4.00	1.41	5.88	8.32
10. Least Commonly Taught Languages	5.00	0.71	5.75	4.07
12. International perspective requirements for the bachelor's degree	100.00	0.71	8.88	6.28
13. Visibility of international content on the institution's website	4.00	0.39	9.88	3.88
14. Presence of a senior administrator for international activities	4.00	0.71	0.38	7.34
15. Number of books in the university library's international collection	41.00	-0.13	5.25	-0.69
Sum				21.21
Plus 100				121.21
URJC Internationalization Index				121.00

Note. URJC Score = indicators' values at URJC; *z* = URJC's standardized score; M = mean weight assigned to indicators by the panel of experts; Weighted *z* = *z* multiplied by M. For each indicator "z scores were calculated to obtain standardized institution-specific data. Those z scores were then multiplied by the weights. The resulting weighted z scores were then summed, transformed by adding a constant of 100 (to eliminate negative values), and rounded to the nearest whole number" (Horn, et al., 2007, p. 345), yielding an internationalization index of 121 for the URJC. All values rounded to hundredths.

Research and grants category.

Four URJC initiatives qualify as international research campuses or centers within this category, demonstrating “the extent to which research activities are directed toward the international arena” (Horn, et al., 2007, p. 341).

- The submission for the CEI award, in a joint project with entities including (URJC, 2011b) the universities of Alcalá, Extremadura, Murcia and Politechnic of Cartagena; the Spain-based international corporations Ferrovial and Repsol; the Center for Energy, Environment and Technology Research; and the institutes for the diversification and conservation of energy. The CEI award, which recognizes and funds excelling international initiatives deemed to have a positive impact on their local communities, was suspended in 2012 as the result of budget reductions. But the continued effort of the URJC’s rector to develop this project is an indication of institutional focus on international research;
- The university hosts the Institute for International Legal Studies Conde de Aranda with a mission “to promote and divulge knowledge, practice and research on international, European, and comparative legal systems of Spain, Europe and the US, while supporting the strengthening of legal institutions in Africa, Asia and Latin America” (URJC, 2011a, p. 112);
- The BIOCOM project, for which the Institution has been granted 1.4 million Euros by the European Union’s “VII Programa Marco” (URJC, 2011a, p. 14); and

- The *Centro de Estudios Iberoamericanos*, an institution that publishes updates and distributes an informative guide that promotes collaboration among international institutes and centers on the topics of peace, safety and defense in areas of shared Iberian American interests (Barrado & M, 2011).

Curriculum characteristics category.

The curriculum at URJC reflects the relevance that the institution places on preparing its students for the current demands of a global job market (C. Gonzalez-Quijano, personal communication, January 18, 2012). All bachelor's degrees require completion of foreign language courses, with students able to choose from English, French, German, Italian, Chinese and Arabic, five of which (i.e., except for English) are considered LCTLs, according to the criterion adopted for this study. A majority of students choose to take English (C. Gonzalez-Quijano, personal communication, January 18, 2012), emphasizing its importance as a global language (Crystal, 1997) required for an increasing number of jobs in Spain. All URJC degrees provide students with an international perspective (C. Gonzalez-Quijano, personal communication, January 18, 2012) through strategic actions, including (URJC, 2012i) pursuing specific European Union agreements and programs; increasing exchanges with American, North African and Asian institutions; participating in *Research Framework Programmes*; promoting the teaching of foreign languages; and fostering virtual mobility with the aid of multimedia technologies. In addition, seven university degrees are taught in English, four academic programs require study abroad at a partner university, and there is a Spanish language and cultural immersion program targeting Chinese students. All of these strategic actions demand participants' extensive use of a foreign language.

Institutional characteristics and organizational support category.

This dimension of the Horn, Hendel and Fry (2007) model assesses an institution's organizational capacity to support the advance of the internationalization process by evaluating its website, the relevance of their highest international position, and the number of international volumes in its library. On its home page, the URJC website provides a link to international relations from which visitors have the opportunity to access information in English, Russian and Chinese. While there is a significant amount of content in these three languages, a direct access from the home page would advance these data to a more prominent location. Thus the indicator was assigned 4 points instead of the maximum rating of 5. The highest international position is that of vice-rector for international relations and cooperation, working directly under the rector. While the rector is not directly involved in international initiatives, the vice rector has his support and approval (A. M. Salazar, personal communication, April 23, 2012) and the assistance of a staff of 17 professionals, most of whom are full-time. The vice-rector's status and level of organizational support justify awarding the URJC the maximum five points for this indicator. International volumes in the library constitute 41% of the total number of books.

Summary of categories relevant to the international dimension of the URJC

Two of the Horn, Hendel and Fry (2007) categories show very high indicators' values at the URJC (i.e., curriculum and organizational support) suggesting that internationalization is being implemented at the core of the institution. The number of incoming and outgoing students leaves room for improvement, while acknowledging the financial challenges involved in sending abroad students whose home fees are below

1,000 Euros per year. The university also performs well in the international research category, with a series of ongoing projects and centers and contending to receive the CEI award. There is a lack of data on the international background of the faculty but the combination of degrees offered in English denotes that a number of professors have had academic and or work abroad experience.

Knight's Factors Influencing Internationalization Rationales at the URJC

As in the other two cases, I use Knight's (2007) factors to assess internationalization rationales as a component of the descriptive framework.

Mission.

The Institution states its mission in terms of objectives and medium term goals, focusing on developing the competencies of students preparing them to face contemporary challenges toward the development of the Madrid region.

Its medium term goal is to enrich the students' individual and social opportunities in the region of Madrid, with a clear emphasis on international and research matters. The URJC was created with the objective of offering high quality education and academic and scientific excellence. These objectives are being attained: it is a University open to the challenges of the 21st Century, promoting intellectual development, advanced research, new technologies, professional excellence and the cultural, economic and social development of our region (URJC, 2012d).

Student population.

It is an aim of the Rey Juan Carlos University to guarantee the principle of equal opportunities and promote the permanence in its courses of those students that are

seriously committed to achieving our requirements and demand for excellence. A grant policy has been implemented so as not to exclude any talent due to lack of financial support, simultaneously ensuring that resources are effectively and efficiently used. (URJC, 2012h)

The URJC has an enrollment of 32,000 students of whom internationals from over a hundred countries surpass 3,200 (URJC, 2011c). Enrollment has increased steadily, from 18,618 (in 2005-2006) to 31,509 (in 2010-2011) (see Figure 5), at one of the highest growth rates among the 76 Spanish higher education institutions. Less than two decades after its inauguration, the URJC attracts 20% of the higher education students in the CAM, in competition with the other 15 universities in the region (URJC, 2011c).

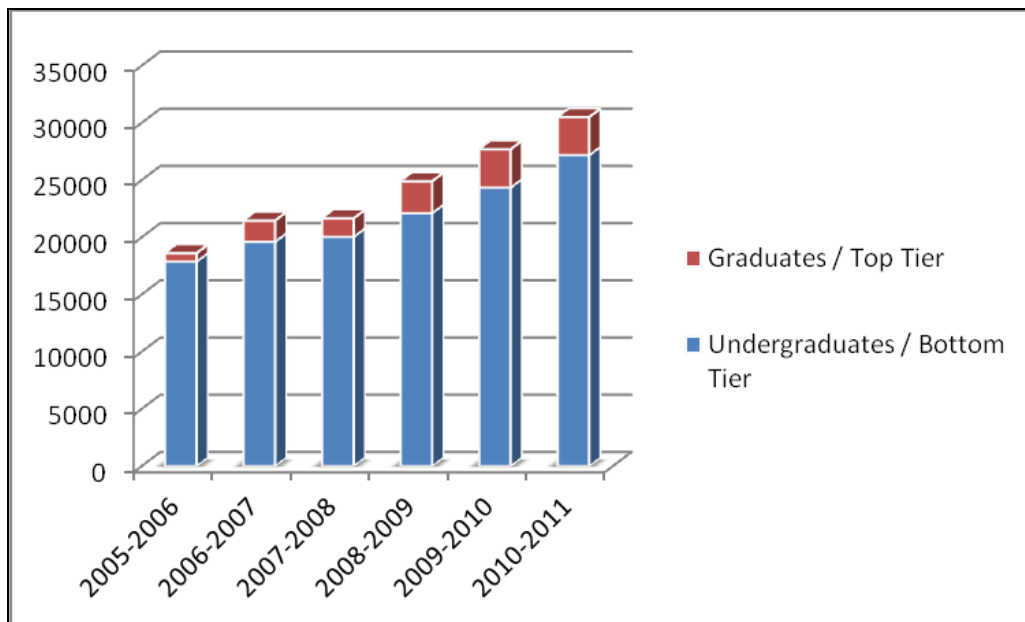


Figure 5. Enrollment growth at the URJC. Based on figures from the *Report on the economic and financial activity of the universidad Rey Juan Carlos* (Camara de Cuentas CAM, 2010).

Faculty profile.

The Rey Juan Carlos University relies on academic staff of great prestige and scientific competence, which is a fundamental guarantee to assure quality education. The academic staff has been incorporated through transfers or via open competition. These systems allow for the selection of the curricula that best adapt to the degrees being taught. At the moment there are nearly 2000 lecturers, which actively contribute to first class research and education. (URJC, 2012a)

The URJC has designed faculty hiring policies that allow them to seek candidates with competencies aligned with the university's medium term goals of enriching student opportunities through internationalization and research (URJC, 2012d) within the boundaries of legislation regulating the hiring of university professors for the public universities of the CAM. Requirements included in a recent public convocation for the hiring of associate professors state that a new hire must be a specialist of renowned competence in her or his professional field; and have a command of English at the B2 level (Europass, 2012) ("Bases de convocatoria para la seleccion de personal laboral [Rules for the seleccion of URJC personnel]," 2011). The level of English required for a position is equivalent to a 171-220 score on the standardized TOEFL computer-based test (R. Green, personal communication, March 2010), whereas the highest scores in the range would meet the international student admission requirements of a number of US accredited universities. For this same hiring process, the university cites international education, research and or professional experience as a merit contributing to the selection of candidates.

Geographic location.

The URJC has four campuses in the municipalities of Alcorcón, Fuenlabrada, Móstoles and Vicálvaro and a foundation with headquarters in the city of Madrid (URJC, 2012d). The four campuses are distributed east (Alcorcon), south (Fuenlabrada and Mostoles), and west (Vicalvaro) of the capital city (URJC, 2011c), with each of the locations hosting different schools, institutes and centers.

Alcorcon, located 13 kilometers from Madrid's center, has hosted the School of Health Sciences since 1998. The area has a steadily-growing population of approximately 168,523 inhabitants (Instituto Nacional de Estadística, 2012), most of whom come from other regions in Spain, and is well-connected to the capital by subway, train and bus. In addition to the academic building, which accommodates classrooms and offices, the URJC's Alcorcon facilities include a university clinic, restaurant, library, lab building, administration building, athletic area and ample parking.

The Fuenlabrada campus hosts the departments of Communication Sciences and Tourism, the School of Telecommunications Engineering, and the Dance College Alicia Alonso. Fuenlabrada has evolved from an agricultural village, in the 1960s, to a dynamic city of 204,838 in 2011 ("Poblacion de Fuenlabrada [translated title]," 2012). One of the unique traits of Fuenlabrada is the youth of its population, with demographics showing 40% of resident under the age of 20 and less than 7% of seniors (i.e., persons over the age of 65). Campus facilities include classrooms, laboratories, a restaurant and a coffee shop, administration offices, sports tracks, athletic facilities, and several parking lots.

The Mostoles campus hosts the Experimental Sciences and Technology School and the Computer Engineering Technical School, as well as the rector's offices.

Following similar growth patterns as those of other URJC host cities, Móstoles, a small village a few decades ago, is now the second-largest city in the CAM (Instituto Nacional de Estadística, 2012) with a population exceeding 206,000 and representing 132 countries ("Estadísticas del municipio [insert translated title]," 2012). Campus facilities at this location include two buildings for the rector and vice-rectors' offices, a library, department buildings hosting faculty offices, administration offices, classrooms, a Technological Support Centre, sport facilities, conference halls, coffee shops, copy stores, a bank and several parking lots.

The Vicalvaro campus, used by the URJC since 1998 in one of the municipal districts east of the capital, hosts the Legal and Social Sciences School, the Office of Promotion and Reception of International Students, welcoming day events for all international students attending the university, intensive Spanish courses taking place at the beginning of each academic year, an administration building, classrooms, a departmental building, a library, athletic facilities, and a gymnasium (URJC, 2011c).

The URJC Foundation, created in 2001, occupies a building in downtown Madrid, with the mission of cooperating in pursuit of the university's objectives and focusing on the promotion of the connection between the institution and society. To this end the foundation maintains a permanent collaboration with renowned professionals and relevant entities in education, culture, industry, commerce, finances, fine arts, and in any area which might contribute to the pursuit of the foundation's mission (URJC, 2012c).

Funding sources.

The main source of funding for the URJC, as for the rest of the public institutions in the region, is the CAM government. In 2010 the rector publicly requested a change in

the current system in which the CAM distributes funds among all public institutions. Instead, the rector claimed that universities need additional funding while acknowledging that measures need to wait until the end of the current economic crisis ("El Rector de la URJC pide mas financiacion para las universidades [The URJC rector demands increased funding for universities]," 2010). Additional sources of funding for the URJC include revenue generated by its foundation and by offering non-official degrees, certificates and summer session courses.

Level of resources.

Physical resources at the URJC seem comparable to those of the best public and private universities in the EHEA, with libraries, a hospital and health centers, wifi networks, computer labs, career placement departments, athletic facilities and well-equipped classrooms and offices. Most of its facilities were built less than two decades ago and seem well-maintained. University sources mention plans to build on-campus housing, which will likely be postponed until Spain's economic situation improves (C. Gonzalez-Quijano, personal communication, March 12, 2012). The resources supporting international education opportunities are also ample. The vice-rector for international relations and cooperation oversees a staff of 17 people, distributed throughout the campuses. These staff members occupy positions in the Office of Promotion and Reception of International Students, in Vicalvaro, and at four offices of International Relations, one at each of the four URJC locations.

The figure of the rector appears across data sources as strongly supportive of the internationalization process, with his direct involvement in a number of actions leading to increased resources. Specific outcomes of leadership intervention are the hiring of

Chinese personnel at one of the international offices and the opportunities for staff to access international experiences, positively impacting the university community in a number of ways (A. M. Salazar, personal communication, April 23, 2012). Personnel who participated in a work exchange with colleagues from a Norwegian university, as part of a staff international week, evaluated the event as a life-changing experience.

In addition to physical and human resources previously described, there are other opportunities for students to take advantage of internationalization, such as the Buddy Program and the ERASMUS Alumni Club. The first was launched by the office responsible for welcoming international students to promote their assimilation at the URJC by pairing them with local volunteers throughout the academic year. Local students provide support and assistance to visitors, while the office provides mentors to guide their intercultural communication process. The second was founded by Spanish students who had attended ERASMUS programs to provide guidance and support both to outgoing and incoming participants. The ERASMUS Alumni Club, part of the broader International Exchange Erasmus Student Network, is a resource created by students and funded and supported by the URJC to promote both study abroad participation and IaH opportunities. It is billed as “a nonprofit association, formed by students who, voluntarily, try to help as far as we can to exchange students” (URJC, 2012f, para. 4).

Orientation: Local, national, and or international interests.

One of the main priorities of the Rey Juan Carlos University is the close cooperation with the international scientific and academic community. Within a society increasingly dominated by knowledge circulation and the constant

exchange of goods and services at an international level, the external image of the University is especially important. (URJC, 2012d)

The university is strategically located in one of the greatest population growth areas in the CAM to serve students from this autonomous region. There is a local focus on enriching the students professional and social opportunities toward the social and economic development of the region (URJC, 2012d) combined with “the awareness that internationalization is a core component to achieve the overarching institutional goal” (A. M. Salazar, personal communication, April 23, 2012). The result is a blurred border between local and international interests in progress towards the social and economic development outcomes as articulated in the institutional goals.

Summary of Implementation of Internationalization at the URJC

The description of the implementation of internationalization at the URJC reveals a university with a supportive organizational structure, devoting resources to increase the number of opportunities available to students, faculty and staff while facing contemporary challenges common to institutions in the Spanish higher education context. These challenges include funding reductions coupled with increased fees, as mandated by national and regional governments. Even with access to ERASMUS and other scholarships, education abroad experiences require additional disbursements by participating students. Inevitably the combination of funding cuts and tuition increases will have a negative impact on numbers. However, efforts to attract faculty with international backgrounds, a significant number of international centers and research projects, undergraduate and graduate degrees with all courses taught in English, and

considerable percentages of international enrollment indicate that internationalization is at the core of this institution.

Analysis of Rationales, Obstacles and Drivers Influencing Internationalization at the URJC

As in the cases of the UEM and the ETSC this analysis is performed using multiple sources of data and employing QDAS to identify the institutional "motivations for integrating an international dimension into higher education" (de Wit, 2002) and establish if and how these rationales are associated with obstacles and drivers.

Human resources development, in the CAM.

The development of human resources emerges as a key URJC rationale deriving from the institutional mid-term goal of enriching "students' individual and social opportunities in the region of Madrid, with a clear emphasis on international and research matters" (URJC, 2012d, para. 1). Knight (2004) identifies "Human Resources Development: Brain Power" (p. 22) as one of the national-level rationales for internationalization, with countries recruiting human capital through international education initiatives. In this case the CAM founded the URJC to provide opportunities for local individuals to access high-quality higher education, thereby promoting the development of brain power within the region. This motive is a region-specific articulation of the broader student and faculty development rationale as included by Knight (2006) among those of emerging importance at the institutional level.

Several obstacles and drivers, often connected, emerge from the URJC as associated to this rationale (see Table 24). The short history of the institution, therefore lacking a reputation that would entice students to enroll, appears as the first of these

obstacles. From the perspective of the vice-rector for international relations and cooperation “the University is now well-established and this is no longer an issue at the regional and state levels, although it remains a pending matter at the international level” (A. M. Salazar, personal communication, April 23, 2012).

Table 24

URJC’s Internationalization Rationale 1, ‘Human Resources Development, in the CAM’

Rationale 1	Obstacles	Drivers
Improve human resources through student and staff development in the Madrid State (CAM)	New institution: lack of a reputation during early years	Student development at the core of the mission
	Internal resistance to change	Staff international week
	Professional challenges for faculty and staff	International experience as professional merit
	Commuter enrollment	Buddy program
	Negative perception of diversity	Level of autonomy
	Sustained on local funding sources	Internationalization present since inauguration
		Leadership support
		On-going growth and change process
		Diversity of local population

Another set of obstacles and drivers relates to the resistance to change from a number of faculty and staff members who consider that public institutions should focus

on local and not international interests and or who are unwilling to accept the professional challenges they are asked to face. Some “perceive internationalization as an uncompensated increase in their workload, highlighting their lack of command of foreign languages and intercultural communication skills” (A. M. Salazar, personal communication, April 23, 2012). The vice-rector for international relations and cooperation acknowledges a lack of institutional policies that promote and reward the international activities of faculty but argues that both research and work-stays abroad are recognized as merits towards promotion by national and state legislation. The *Erasmus Staff International Week* has been developed to address this resistance by providing university personnel with opportunities to have a work experience at partner institutions abroad (URJC, 2012b). The influence of this initiative in gaining support for internationalization among the URJC personnel is manifest in the participants’ evaluations.

Other factors are related to the largely commuter enrollment who seem unconcerned with extra-academic activities, and who limit the opportunities for international and local students to interact. The URJC has addressed this challenge by creating the *Buddy Program*, which encourages local students to mentor an international peer. The program has been successful, raising the number of local participants on a yearly basis (C. Gonzalez-Quijano, personal communication, January 18, 2012).

A final set of obstacles and drivers emerge in relation to a cultural perception: that the presence of international students on campus is not a benefit to the university community. This obstacle appears to be linked to the regional funding of the institution and the concern that the CAM’s resources be allocated to benefit the local population.

This negative perception of diversity is an obstacle hindering especially IaH initiatives (A. M. Salazar, personal communication, April 23, 2012).

Five additional factors linked to the students and staff or human resources development rationale emerge as positively influencing internationalization: the institution's ability to operate with a certain degree of autonomy, even though it is subject to the legislation of the national government, the CAM regulations and the norms established by the Spanish Conference of University Rectors (CRUE); the adoption of internationalization dating from the institution's inauguration as an essential dimension implemented through transversal policies; the support of the university rector "allocating a significant amount of resources, including 17 staff members some of whom are not Spanish nationals, and placing internationalization at the forefront of the institutional agenda" (A. M. Salazar, personal communication, April 23, 2012); an exponential growth of enrollment, fostering a continuous state of change that has positively influenced the internationalization process; and its mission to serve the Madrid population, a diverse region with 8% of officially-accounted-for international residents.

Income generation.

A second emerging rationale at the URJC is the potential to generate additional income from fees charged to international students from countries outside the EHEA. Students from EHEA countries normally attend the URJC through Erasmus programs, paying tuition at their home institutions. Enrollment costs for international students from outside the EHEA are currently the same as rates charged to local students. However, in November 2012, the new Spanish MED approved measures encouraging the autonomous communities to raise tuition to cover 25% of the actual per-student cost and prompting a

debate for non-EHEA nationals to be charged the full per-student cost ("Wert reformará la universidad ante la 'desproporción entre resultados e inversión' [Wert will reform the university system, faced with a lack of proportion between cost and outcomes]," 2012). This increase in tuition, favored by some of the top administrators at the URJC (A. M. Salazar, personal communication, April 23, 2012), emerges both as an obstacle and a driver for internationalization (see Table 25).

Table 25

URJC's Internationalization Rationale 2, 'Income Generation'

Rationale 2	Obstacles	Drivers
Income generation	Lower numbers of international students if tuition raised	Increased & easier to account revenue from international students
	Visa issues	Economic crisis, new economic approaches
	Rigid curriculum	

Significantly higher tuition, rising up to 400%, would obstruct internationalization, as a number of students currently choosing the URJC from countries outside the EHEA would be unable to afford the new fees. At the same time it would drive internationalization as non-EHEA students would become a revenue-generating cohort currently unaccounted for, creating income that, in part, could be reinvested in internationalization initiatives. The funding of these initiatives is currently an issue at the URJC where the international budget is often contested by other departments within the university (A. M. Salazar, personal communication, April 23, 2012). In sum, an increase

in tuition for non-EHEA students emerges as a driver with the potential to resolve some of the internationalization funding issues.

One additional obstacle appearing in connection with this rationale is the lack of cooperation among the Spanish administrations to agree on an effective visa request procedure for students from non-EHEA countries, a process involving the Ministries of Interior, Foreign Affairs, and Education. A myriad of endlessly-changing requirements for the request of such visas have encouraged students to attend education abroad programs in other countries, not Spain. A final obstacle linked to this rationale is the rigidity of the academic curriculum, posing difficulties for students from outside the EHEA to find comparable courses that will transfer and apply towards their degrees (A. M. Salazar, personal communication, April 23, 2012).

International branding and profile of the URJC.

Establishing the URJC's "strong worldwide reputation as an international institution" (Knight, 2006, p. 218) is the final rationale emerging from this analysis. As stated on the URJC web site "within a society increasingly dominated by knowledge circulation and the constant exchange of goods and services at an international level, the external image of the University is especially important" (URJC, 2012d). The international branding and profile rationale is also articulated by the vice-rector for international relations and cooperation, who emphasizes that "placing the URJC in the world rankings is a key issue" (A. M. Salazar, personal communication, April 23, 2012), which would provide a competitive advantage in a country with only one institution among the best-ranked 200 worldwide ("World university rankings," 2012). According to the vice-rector, there are both internal and external campaigns encouraging stakeholders,

especially faculty, to help promote the prestige of the URJC abroad, but the short history of the institution emerges as an obstacle in the advance toward a reputation beyond Spanish borders (A. M. Salazar, personal communication, April 23, 2012).

The leadership's strive for quality in the URJC's internationalization ventures emerges as the main driver associated with this rationale (see Table 26). An example of this pursuit is a directive in the selection of international partner schools, seeking prestigious associations beyond the traditional alliances with European and Latin American universities. The enforcement of higher standards in language requirements for ERASMUS programs also illustrates the leadership's quest for international prestige. With more demanding language requirements enforced in the academic year 2010-2011, a significant number of students failed to access study abroad opportunities. In spite of the public protests of a number of stakeholders, the policy held and as a result students representing the URJC at partner institutions now demonstrate a higher command of the host language, and candidates are encouraged to raise their levels.

Table 26

URJC's Internationalization Rationale 3, 'International Profile and Reputation'

Rationale 3	Obstacles	Drivers
International branding and profile	Short history of the Institution	Leadership's strive for quality Regional development (cultural, economic and social) Number and relevance of multinational companies based in the CAM

The cultural, economic and social development of the CAM's region emerges as another driver for this rationale and is linked to the policies promoting the stronger foreign language competencies of students. Graduates with a better command of other languages constitute a better-qualified workforce and are likely to attain higher levels of intercultural development during their study abroad experience (Vande Berg, Balkcum, Scheid, & Whalen, 2004).

An additional driver associated with this rationale is the number and relevance of multinational corporations based in the CAM, validated by a volume of business in the Spanish capital exceeding that of all European cities but London and Paris ("Madrid economy 2010," 2010). Graduates from a university with a profile transcending Spanish borders are likely to be more competitive in applying for positions with multinational corporations than those from an institution lacking an international reputation.

Summary

This chapter begins with a portrait of the implementation of internationalization at the URJC, using a descriptive framework combining Horn, Hendel and Fry's (2007) categories and indicators relevant to the international dimension of the university; Knight's (2004) factors influencing internationalization rationales; and an internationalization index computed using an adapted version of the Horn, Hendel and Fry method. The second part of the chapter presents an analysis of data from multiple sources, identifying three internationalization rationales and the obstacles and drivers associated with these institutional motives. The following chapter is a cross-case analysis of the three institutions in this study, adopting the cross-case synthesis approach developed by Yin (2003).

Chapter VIII: Cross-Case Analysis

The previous three chapters have portrayed the higher education institutions that are the subject of this study, describing how they are implementing internationalization and computing their composite internationalization index according to an adapted version of the Horn, Hendel and Fry (2007) method. Each of these chapters has also presented an analysis of the institutional motives, obstacles and drivers influencing this process. This chapter compares and contrasts findings of the three cases, using Yin's (2003) cross-case synthesis approach to draw abstractions towards theory-building. Data from conceptually-clustered matrices for all cases are used to aggregate rationales, obstacles and drivers in order to recognize "patterns of relationships among constructs within and across cases and their underlying logical arguments" (Eisenhardt & Graebner, 2007, p. 25).

Aggregate Internationalization Rationales

Aggregate emerging rationales are presented using a matrix display (see Table 27) distinguishing whether these are institution-specific or shared across cases. Comparable motives at different institutions are combined under a common articulation. In some cases the same rationale emerges from opposing perspectives, as a motivation for one institution and as a deterrent for another. The following sections describe emerging institutional motives for internationalization in the three cases and the obstacles and drivers associated with them.

Student and staff development rationale.

Student and staff development appears in the three cases as one of the key institutional motives to internationalize, with each of the universities having its particular

approach. At the new private university (UEM), the financial and social benefits of research (UEM, n.d.) and an aspiration to maximize outcomes from its multicultural classrooms drive faculty development efforts. Student development is an institutional motive articulated by the rector, “for a successful career, professionals need this (international) component as part of their education” (A. Benito, personal communication, November 15, 2011). At the ETSC, the student development motivation is articulated in its mission as “preparing civil engineers to respond to the demands of society” (ETSC, 2012b) and endorsed by the growth of Spanish civil construction companies abroad during a national recession. At the newer public university (URJC), this same rationale emerges in its founding goal of promoting the development of human resources within the CAM, acknowledging that research and internationalization are key aspects enhancing the individual and social opportunities of students (URJC, 2012i, para. 1).

Strategic alliances rationale.

Building strategic alliances is a rationale shared by the new private institution (UEM) and the older public school (ETSC), with differing purposes in each of the cases. For the UEM, belonging to the LIU network provides shared strategies and objectives with the rest of the member institutions. Internationalization is approached both as a means to advance toward the corporate mission of developing leaders and professionals for a global world, and as an end, as LIU institutions become both source and destination for international student education and exchange programs. At the ETSC, the focus is on the added quality of strategic alliances with schools of comparable reputation. Its long tradition as a prestigious institution and the esprit de corps among a strong alumni

network place the focus on the importance of preserving its quality through alliances with similarly prominent universities. Supporting this argument are the existing ETSC strategic alliances for study abroad and double degrees with some of the more prestigious civil engineering schools in Europe. So, while this rationale is shared by both institutions, the UEM focuses on the competitive advantages of these alliances, while the ETSC emphasizes the academic quality and reputation of partner universities.

Table 27

Rationales and their Articulation by Institution and Type

Rationale	Articulation	Institution	Type
Student and staff development	Student and staff development	UEM	All institutions
	Student and faculty development	URJC	
	Human resources development at the Madrid autonomous community (CAM)	ETSC	
	Preparing students for the demands of a global market		
Strategic alliances	Competitive advantages of network	UEM	Private and older public
	Building high-quality academic alliances	ETSC	
International branding and profile	Branding of a new institution	UEM	Private and newer public
	International profile and reputation	URJC	
Enhanced quality	Internationalization towards enhanced quality of education	UEM	Private and older public
Income generation	Income generation	URJC	Newer public
Social responsibility	Develop Social Responsibility of Students	UEM	Private

Branding and international profile and reputation rationale.

Both of the institutions sharing this rationale, the private UEM and the newer public URJC, were founded less than two decades ago and acknowledge that “high academic standards are key for branding purposes to compete domestically and internationally” (Knight, 2004, p. 24). The two universities are under the leadership of rectors striving for quality recognition outside the national borders, and internationalization has been at the core of these institutions since their foundation. In comparing this institutional motive for both universities, we find that their relatively short existence of approximately two decades is considered a driving force in one case (UEM) and an obstacle in the other (URJC). The approach at the UEM, in the words of its rector, is that “being such a new institution and having had internationalization as a priority since inauguration, we are inevitably associated to international education” (A. Benito, personal communication, November 15, 2011). By contrast, at the URJC the vice-rector acknowledges that “being such a new institution, we are not as well-known as other universities founded centuries ago, and this created some international reputation challenges that have now been overcome” (A. M. Salazar, personal communication, April 23, 2012).

Internationalization towards quality of education rationale.

The two cases where internationalization towards the quality of higher education emerges have contrasting perspectives on this rationale. At the UEM, its rector and SIO expresses her view on what is a core institutional motive:

You cannot have a quality university education, preparing students to succeed in a global world, without a strong international component. Quality higher education

today must be international. This has truly become an indispensable component of an excellent university education, and it is a key rationale for us. (A. Benito, personal communication, November 15, 2011)

In contrast, at the ETSC the SIO and the deputy director for international relations discuss a compound of factors influencing internationalization, expressing their concern that these could lower the school's quality rather than enhance it (J.A. Santamera, personal communication, February 3, 2012; L. Garrote, personal communication, February 3, 2012).

ETSC's lack of institution-specific human and material resources for internationalization, the school's financial dependence on the UPM, and a complex organizational structure immersed in heavy bureaucracy are among some of the challenges faced and are perceived as a menace to the school's quality.

Income generation rationale.

The "motivation of economic development" (Knight, 2006, p. 219), provided a unique perspective in each of the three cases. The UEM sponsors education abroad experiences for its students, faculty and staff. Students attend programs of higher tuition in the US while paying home fees, with the university sponsoring additional tuition and in some instances housing. Study abroad at other LIU's locations is accessible and affordable. Faculty and staff also have access to a number of funded opportunities to work and or enroll in professional development programs abroad. As a result, according to the UEM rector, internationalization bears an economic cost to the institution as opposed to being approached as a source of income. While this is certainly true, in the long term the accessibility of these education abroad opportunities could contribute to

enrollment growth and a better-qualified faculty and staff, eventually leading to economic benefits for the UEM and the LIU. Income generation is at the forefront of internationalization motives at the URJC, where government measures to address the economic crisis have reduced public funding vital to this institution. Renewed clearer accounting processes will contribute to identifying the revenue generated by international enrollment, regarded by some as an alternative source of funding. In contrast with the URJC, at the ETSC there is a disconnect between enrollment and revenue, as all fees are collected by the Universidad Politecnica de Madrid (UPM) which has the prerogative to redistribute the resources among its schools. With no student services, no bilingual staff and lacking a budget for the international relations office, an increase in the number of international students would place further strains on the school's scarce resources. So, income generation emerges as an institutional motive solely at the URJC, while it remains a potential outcome at the UEM and a deterrent for the ETSC.

Developing the social responsibility of students rationale.

This institutional motive appeared at the UEM, where the institutional mission refers to promoting the social responsibility of students, and this is a shared trait of all LIU members. A number of offices promote the interaction of international students with the local communities, through volunteer programs that impact both study abroad incoming and outgoing students.

Aggregate Obstacles Influencing the Internationalization Process

Two types of analyses are performed on the aggregate obstacles emerging from the three cases, using a merely quantitative perspective, i.e., disregarding each item's intensity and weight and the level of resources or actions required to eliminate it. The

first is implemented listing all obstacles and indicating the case or cases where these appeared and presenting the number of items at each of the institutions (see Table 28). This serves to identify shared vs. institutional challenges and compares the number of obstacles influencing the internationalization process in each of the cases.

Table 28

Aggregate Obstacles by Institution

Number	Obstacles	UEM	ETSC	URJC
1.	Challenges in attracting international faculty and staff	X		
2.	Spanish students' attitude towards study abroad	X		
3.	Perceived lack of value of international experience		X	
4.	Focus on academic content vs. students' competencies		X	
5.	Rigorous, demanding curriculum		X	X
6.	Finding quality vs. available partners		X	
7.	Lack of incentives for income generation		X	
8.	Lack of student services resources		X	
9.	Democratic election of internal candidates		X	
10.	Lack of clear authority structures		X	
11.	Lack of prior reputation and short history of the institution			X
12.	Internal resistance to change			X
13.	Sustained on local government funding sources			X
14.	Commuter enrollment eluding extra-academic activities			X
15.	Negative perception of diversity			X
16.	Professional challenges for faculty and staff			X
17.	Decreasing numbers of international students			X
18.	Visa issues			X
	Number of obstacles faced	2	8	9

The second analysis is performed organizing all obstacles into broader themes or categories (see Table 29), to assess the influence of each category on the internationalization process and determine whether the challenges faced originate outside or within institutions.

Shared across cases vs. institution-specific, and numbers of obstacles faced.

Of the 18 obstacles emerging from the three cases only one (i.e., rigorous demanding curriculum) is shared by the two public universities, while each of the other 17 items is particular to one of the institutions. Table 28 also highlights relevant differences in the numbers of obstacles faced: two appear at the private university UEM vs. eight at the ETSC and nine at the URJC. While this is a merely quantitative comparison, the contrast in the number of emerging obstacles between the private and the public institutions is noteworthy.

Categories and types of obstacles.

Table 29 displays six cross-case emerging categories ranked according to their number of obstacles as ordinal data, under the assumption that themes including more impediments are likely to have a greater influence on the internationalization process. Each of the obstacles is defined as internal (i.e., concerning a particular institution), external (i.e., created and controlled by entities outside the institution), or a combination of the two, identifying where the power to address that specific challenge resides. A sum of 10 internal and 12 external elements presents an overall balanced account of inner and outer barriers obstructing the internationalization process, further described in the following sections.

Table 29

Organization of Aggregated Internationalization Obstacles into Categories

Rank	Categories	Item	Obstacles	I	E
1st.	Cultural traits	2.	Spanish students' attitude towards study abroad	X	
		3.	Perceived lack of value of international experience	X	
		4.	Focus on academic content vs. students' competencies	X	
		14.	Commuter enrollment	X	
		15.	Negative perception of diversity		
2nd.	Governance	5.	Rigorous, demanding curriculum		X
		9.	Democratic election of internal candidates		X
		10.	Lack of clear authority structures		X
		12.	Internal resistance to change	X	X
3rd.	Applicable legislation / regulations	6.	Finding quality vs. available partners		X
		7.	Lack of incentives for income generation		X
		18.	Visa issues		X
4th.	Human resources	1.	Challenges in attracting international faculty and staff		X
		16.	Professional challenges for faculty and staff	X	X
	Economic scenario	8.	Lack of student services resources	X	X
		17.	Decreasing numbers of international students		X
		11.	Lack of prior reputation & short history	X	
	Branding	13.	Sustained on local government funding sources	X	X
			Sum		1
				0	2

Note. Item numbers from Table 28, assigned according to the order of appearance in the three cases. I = Internal obstacle; E = External obstacle

Cultural traits obstacles.

Addressing cultural traits obstacles, emerging across the three cases, would require institution-specific policies and actions. These items highlight characteristics and affective traits, including a negative attitude toward study abroad, the perceived lack of value of an international experience, a focus on mastery of academic content vs. the acquisition of competencies, a primarily commuter enrollment, and a negative perception of diversity. Among these, two require a further explanation. First is students' negative

attitude towards study abroad appearing at the UEM despite the fact that this is an institution stressing and publicizing its strong international character. Second is the perceived lack of value of an international experience, highlighted by the ETSC deputy director of international relations, acknowledging that education abroad is of little value to those who will hold positions at public administrations within Spain (L. Garrote, personal communication, February 3, 2012).

Governance obstacles.

Governance concerns the lack of independence and authority of leadership to rule and implement change, with four obstacles emerging from the cases of the two public institutions. The rigorous, demanding and rigid academic curriculum is imposed by external agents, including the MED and the Conference of Spanish University Rectors (CRUE). The democratic election of internal candidates, owing their temporary positions to multiple internal constituencies, hinders change processes (S. K. Trooboff, personal communication, July 20, 2011). The lack of clear authority structures, limiting leadership's capacity to implement change over an excess of institutional governing bodies (Lopez de Silanes, 2009), requires the intervention of the national government. Finally, the high degree of internal resistance of faculty and staff needs to be addressed internally (e.g., through professional development programs) and externally (e.g., through recognition of state employees' international experience and language competency as professional merit).

Applicable legislation and or regulations obstacles.

Applicable legislation group obstructions derived from supra-national, national and regional norms restricting the autonomy of institutions to structure their curriculum

and international programs and hindering the recruitment of non-European students. Three obstacles emerge from the cases of the two public institutions. At the ETSC, education abroad opportunities are restricted by the difficulties in finding partner institutions of equivalent quality and with comparable course workloads. While the ERASMUS program has been successful in facilitating mobility across the EHEA, ensuring “that credits students earn at approved institutions in other countries will transfer at full value to their home institutions” (Gaston, 2010, p. 23), the ETSC deputy director of international relations expresses his conviction that many of these exchanges are of limited academic quality (L. Garrote, personal communication, February 3, 2012). Thus, in the ETSC quest to preserve their prestige they perceive finding quality partners for international education programs as an external obstacle. A further obstacle emerging from the ETSC is the lack of connection between recruitment and funding, as revenue received through the UPM bears no correlation with the number of international students enrolled at the institution. Thus, there are no incentives to enroll increasing numbers of students who will require more additional resources than the school is able to provide. At the URJC, Spanish legislation on student visa applications for citizens of countries outside the European Union establishes a complex ever-changing process that discourages individual candidates.

Human resources obstacles.

The category of human resources encompasses obstacles related to the lack of international and intercultural background of administrators, faculty and staff, and the need for flexibility and opportunities to recruit and hire candidates with an adequate profile. The challenge in attracting faculty and staff with an international background

emerges from the UEM case connected to external factors (i.e., finding applicants with an adequate profile within the European Union) as immigration legislation restricts the hiring of individuals without an EU passport. The professional challenges posed by internationalization to members of the faculty and staff is both an internal and external factor at the URJC, where full-time employees must be hired under the Madrid state regulations, which do not require international experience and or knowledge of a foreign language. Prior research has highlighted the “lack of faculty interest and involvement” (Knight, 2005, p. 75) as an important obstacle in the internationalization process of 450 universities worldwide. Within Spain, Fernandez Díaz, Santaolalla and Gonzalez found a high degree of ignorance and resistance toward the Bologna reform among 257 faculty members surveyed at the Universidad Complutense in Madrid. Resistance to change is another obstacle emerging from the URJC case, in which it is also tied to the lack of professional preparation to address internationalization-related challenges, further described under the governance category.

Economic scenario obstacles.

Items in the economic scenario category are related to the impact of a global economic crisis that has stressed the financial flaws of the public university system. The lack of student service resources emerges as an external factor in the ETSC case, which needs to be addressed by the UPM as the entity making resource-allocation decisions. Decreasing numbers of international students are a challenge emerging from the URJC case as an effect of the economic crisis. The passing of new regulations requiring public universities to raise international student tuition (“Wert reformará la universidad ante la ‘desproporción entre resultados e inversión’ [Wert will reform the university system,

faced with a lack of proportion between cost and outcomes]," 2012) will likely contribute to a further decrease in international enrollment.

Branding obstacles.

There are two obstacles related to the difficulties faced in the branding of an institution at the regional, national and international levels, both emerging from the URJC case. First is the lack of prior reputation, requiring institutional initiatives to build an international profile from scratch (A. M. Salazar, personal communication, April 23, 2012). Second is a clash between URJC's accountability for immediate benefits to the local population and the long-term profits to the region derived from internationalization. This factor is both external and internal, as short-term local benefits are demanded by a number of the CAM stakeholders, while the institution could claim that research-based data shows that internationalization brings both mid and long-term benefits to the international prestige of the community.

Aggregate Drivers Influencing the Internationalization Process

The same analyses previously performed using the obstacles data are similarly executed for the aggregate drivers. Table 30 lists all the drivers, indicating the case or cases where these appeared and the number of items at each of the three institutions, in order to identify shared vs. institutional forces and compare the number of such forces among the three cases. Table 31 displays the broader themes or categories under which the drivers appear in order to assess the influence of each category on the internationalization process and determine whether these driving forces are external or internal (i.e., originating from without or within the institution).

Table 30

Aggregate Drivers by Institution

Number	Drivers	UEM	ETSC	URJC
1.	Relevance placed on quality, seals and alliances	X	X	X
2.	Relevance of foreign languages	X		
3.	Level of autonomy	X		X
4.	Geographical location	X	X	X
5.	Internationalization adopted since inception	X		X
6.	New institution	X		
7.	International education for a global job market	X	X	X
8.	Financial and social benefits of research	X		
9.	University-business connections	X	X	X
10.	Opportunities for internationalization at home	X		
11.	The multicultural classroom: diverse population	X	X	X
12.	Institution's educational philosophy and or mission	X		X
13.	Network's commitment to social responsibility	X		
14.	Spain's high unemployment rate		X	
15.	Faculty-led international education initiatives		X	
16.	ERASMUS funding		X	
17.	Esprit de corps		X	
18.	EHEA frameworks			X
19.	Leadership support			X
20.	On-going change process			X
21.	Specific international programs			X
22.	International experience as promotional merit			X
23.	Search for alternate sources of revenue			X
Number internationalization drivers		13	9	14

Shared across cases vs. institution-specific and numbers of drivers.

Of the 27 drivers initially emerging in the three cases, some are identified as equivalent items articulated differently and combined using the criteria described in this section. The relevance placed on quality seals at the UEM is a trait shared across the LIU network. It appears at the ETSC through its pursuit of selective alliances and at the URJC under the leadership's strive for quality, so those drivers are combined and listed as item number one, under *relevance placed on quality, seals and alliances*. International education required for a global job market appeared in the UEM and ETSC cases, and is combined with the URJC regional development's driver, as the latter is linked to intellectual development and professional excellence toward the creation of a better-qualified local workforce (URJC, 2012d). These are listed under item seven. The autonomy in recruitment of faculty and staff at the UEM and the level of autonomy at the URJC are combined under item three. Revenue generated by international students and the economic crisis, both emerging from the URJC case, have been combined as the economic circumstances force the institution to look at international students as an alternate source of revenue.

Over a third of the remaining 23 drivers in Table 30 coincide across cases, five concur for the three institutions and an additional three appear at the UEM and the URJC, an indication that some of the traits positively influencing internationalization are shared across very diverse institutions. The level of autonomy, having internationalization in their DNA and in their educational philosophy or mission, are shared traits of the two novel institutions, which bear more commonalities and list greater numbers of driving elements than the older public university, ETSC.

Table 31

Organization of Aggregated Internationalization Drivers into Categories

Rank	Categories	Drivers	I	E
1st.	Governance	1. Relevance placed on quality, seals and alliances		X
		2. Relevance of foreign languages		X
		5. Internationalization adopted since inception	X	
		6. New institution	X	
		8. Financial and social benefits of research		X
		19. Leadership support	X	
		20. On-going change process		X
		12. Institutions' educational philosophy or mission		X
		3. Level of autonomy		X
2nd.	Economic scenario	7. International education for a global job market	X	X
		8. Financial and social benefits of research		X
		9. University-business connections	X	X
		14. Spain's high unemployment rate		X
		16. ERASMUS funding		X
3rd.	Human resources	23. Search for alternate sources of revenue	X	X
		3. Level of autonomy	X	X
		15. Faculty-led international education initiatives	X	
		21. Specific international programs	X	
4th.	Branding	22. International experience as professional merit	X	X
		4. Geographical location: Madrid	X	X
		12. Educational philosophy and or mission	X	
	Cultural traits	13. Network's commitment to social responsibility		X
		10. Opportunities for IaH	X	
		11. The multicultural classroom	X	
	Applicable legislation	17. Esprit de corps	X	
		16. ERASMUS funding		X
		18. EHEA frameworks		X
		23. Search for alternate sources of revenue		X
		Sum	15	19

Note. Item numbers from Table 30, assigned according to the order of appearance in the three cases. I = Internal driver; E = External driver.

Categories and types of drivers.

Table 31 displays six cross-case emerging categories—which coincide with those used to classify obstacles in the previous section—ranked according to their number of items treated as ordinal data under the assumption that themes including more drivers are likely to exert a greater influence on the internationalization process. Each item is listed under one or more of the categories and identified as internal (i.e., concerning a particular institution), external (i.e., created and controlled by entities outside the institution) or a combination of the two, enabling the study to interpret wherein resides the power that originates that propelling force.

Several of the drivers are associated with two different categories and have been entered in both, using specific criteria in each case. Financial and social benefits of research pertain to governance, as a goal established upon the founding of the URJC; and they impact the current economic scenario where the institution is held accountable for having a positive impact on the Madrid region. ERASMUS funding is included in the applicable legislation and or regulations category, as a mobility program arbitrated by the European Commission, and within the economic scenario providing economic resources for students who would otherwise not be able to study in another country. The search for alternate sources of revenue emerges under economic scenario, as the URJC seeks to compensate for government funding; and it emerges within new applicable legislation, by forcing public universities to increase tuition for students from other countries. The institution's educational philosophy or mission emerges under governance, as the government-mandated URJC mission is to improve the economic and social opportunities of individuals in the Madrid region through research and internationalization; and it

emerges under branding at the UEM, as a distinctive approach to higher education shared by institutions in the LIU network. And the level of autonomy of the institution emerges under human resources at the UEM, deriving from the freedom to recruit and hire faculty and staff; and it appears concerning governance at the URJC, where the senior internationalization officer highlights a high degree of independence regarding internationalization-related decisions.

Governance drivers.

The category with a greater number of emerging drivers, appearing in the three cases, concerns the governing structures of institutions and the independence and authority of leadership to rule and implement change. Of the nine governance items, six are external, reflecting the existence of entities ruling over these universities (e. g., the CAM government for the URJC and the LIU corporation for the UEM). The remaining three drivers are internal and are related to the early adoption of internationalization, the short life of the institution at the UEM and the leadership's support for internationalization at the URJC. Only one of the governance drivers emerges in the ETSC case (i.e., the relevance placed on quality) as a shared trait with the other two institutions.

Economic scenario driver.

Items in the economic scenario category are related to the effects of globalization and the impact of the economic crisis—such as the need for international and intercultural skills for graduates to join a global workforce and the connections between institutions and multinational corporations—with a combination of internal and external driving forces emerging across the three cases. Spain's high unemployment rate

combined with better professional prospects abroad and public funding for ERASMUS programs emerge as external factors in the ETSC case, while a search for alternate sources of funding is an internal and external issue at the URJC.

Human resources' drivers.

This category includes drivers related to an institution's autonomy in the recruitment, selection and hiring of faculty and staff with international backgrounds as both an internal and external trait shared by the two newer institutions. Two types of efforts, those of individual faculty members at the ETSC and institutional initiatives at the URJC, appear as internal driving forces. And the professional merit awarded to faculty members' international experience is both an internal and external driver at the URJC, where this trait applies mainly to the hiring of part-time employees.

Branding driver.

This category includes items related to "the overall drive to achieve a strong worldwide reputation as an international institution" (Knight, 2006, p. 218). For different motives, Madrid's geographical location emerges as an internal and external branding driver across the three cases. An educational philosophy or a mission statement including internationalization appears as an internal cause associated to this theme at the two newer institutions (i. e., the UEM and the URJC). UEM's commitment to developing social responsibility in students emerges as an external driving force declared throughout the LIU network.

Cultural traits drivers.

This category refers to shared "culture patterns among human groups" (Hofstede, Hofstede, & Minkov, 2010, p. 7). Three drivers emerge as internal aspects: multicultural

student populations, appearing across the three cases; the opportunities for IaH, at the UEM; and an esprit de corps, as a unique trait of the ETSC.

Applicable legislation driver.

Items in this final category are related to supra-national, national and regional legislation and regulations contributing to the progress of the internationalization process. Three external drivers emerge from the cases of the two public institutions: two linked to supra-national European Higher Education frameworks and funding policies; and one resulting from the search for alternate sources of revenue in lieu of public funding, at the URJC.

Summary

The cross-case synthesis technique (Yin, 2003, 2009) is employed to compare and contrast internationalization rationales, obstacles and drivers across the three cases, in response to research question four, ‘how do internationalization factors compare and contrast across the three institutions?’ Rationales, obstacles and drivers are aggregated to analyze their isolation, i.e., appearing in a sole case, or concurrence across institutions. Obstacles and drivers are combined in six emerging categories, assessing the relevance of each of these themes and identifying whether they originate from internal institutional traits, or their roots and control remain outside the universities.

Chapter IX: Conclusions

The purpose of this study was to analyze the factors influencing the internationalization of three Spanish Higher Education institutions, using the following research questions:

1. In what ways is internationalization being implemented at the selected institutions?
2. What are the rationales influencing internationalization?
3. What are the obstacles and drivers influencing the internationalization process?
4. How do these factors compare and contrast across the three institutions?

The first research question was answered drawing a portrait of the implementation of internationalization in the three cases, using a descriptive framework combining Horn, Hendel and Fry's (2007) categories and indicators, as relevant to the international dimension of universities; Knight's (2004) factors influencing internationalization rationales; and an internationalization index, produced using an adaptation of the Horn, Hendel and Fry (2007) method. Research questions two and three identified institutional motives to seek greater internationalization and the obstacles and drivers influencing the implementation process, using QDAS to display findings in conceptually clustered matrices. The cross-case synthesis technique, proposed by Yin (2003), was employed to reply to research question four, enabling a comparison and contrast of internationalization rationales, obstacles and drivers across institutions. Findings of the study are described in this chapter.

In What Ways is Internationalization Being Implemented?

The overall purpose of the first research question was to understand how internationalization is being implemented in each of the cases, using two different approaches: detailed descriptions and quantitative internationalization indexes. This study found that implementation happens in unique ways and at very different levels in each of the three cases (see Table 32).

The private university UEM is embarked on a system-wide process where the rector works with the director of internationalization, exerting their authority across schools and departments. Throughout the case description, indicators (Horn, Hendel and Fry, 2007) and factors (Knight, 2004) depict coordinated actions and resources geared towards the advance of an on-going internationalization process. An international component consistently at the forefront of UEM's strategies is reflected in figures producing the highest internationalization index among the three institutions studied. The quantitative data used toward the index supports the qualitative data portraying UEM as a university where governance and leadership promote and support internationalization strategies, allocating strong resources to implement system-wide actions.

The younger of the two public institutions in the study, the URJC, has a vice rector for international relations and cooperation who is leading the effort to extend the implementation of internationalization across the institution. Her resilient leadership has the support of the rector, and this has helped navigate governance challenges and legislative restrictions imposed on public institutions. Achievements along this line include the hiring of international staff, thereby matching strategic needs; the allocation of resources to internationalization; and sustaining internationalization at the forefront of

the institutional goals. Both the qualitative data and the internationalization index match the vice rector's description of a university where "much has been achieved but a lot more needs to be done" (A. M. Salazar, personal communication, April 23, 2012).

Table 32

Relevant Differences in the Implementation of Internationalization and Internationalization Indexes

	UEM	URJC	ETSC
Institution type	New private	New public	Old public
Availability of data	All indicators (15)	13 indicators *	13 indicators*
Internationalization in mission	Yes	Stated as "medium term goal"	No
Present funding	Ample	Limited	Minimal
Future Funding	Ample	To be reduced	To be reduced
Level of resources	Excellent	Adequate	Minimal
SIO	Rector	Vice-rector	Director
Faculty characteristics (full-time)	External recruitment and position-specific contracts	State employees on unlimited contracts	State employees on unlimited contracts
Leadership characteristics	External recruitment, hired by board	Internal faculty member	Internal faculty member
Status of internationalization	System-wide	Ample, but still fractioned efforts	Resistance
Internationalization Index	150	121	29

Note. (*)=the number of faculty who have been Fulbright scholars and the percentage of international faculty were not available at this institution.

From a description of internationalization at the ETSC, a 200-year-old school ascribed to a large public university since the 1970s, there emerge immense challenges, including a lack of alignment of the school's mission and vision with the broader supra-national internationalization policies; insufficient resources to advance in the internationalization process; and a series of restraints including the lack of economic motivation and the perception that European mobility programs place more emphasis on numbers than on quality. Both administrators and students at the ETSC coincide in their perception that internationalization is not and should not be a priority. This is a paradox, as graduates of this institution continue to succeed in leadership positions at Spanish multinational corporations.

Therefore, these three diverse Spanish institutions are indeed at very different stages in their implementation of internationalization, ranging from a strong international dimension at the private university (UEM) to a few fractured efforts at the public school of engineering (ETSC). The descriptions of the cases align with the internationalization indexes, highlighting two trends: the greater level of internationalization of newer vs. older universities, and the stronger position of private vs. public universities in their quest for system-wide internationalization.

Institutions founded within the past two decades are more likely to incorporate internationalization in their mission and or goals than those founded centuries ago, prior to an increased awareness on the broad effects of globalization. According to Hudzik (2011), "by the 1980s and 1990s, if not significantly before, many in higher education were becoming acutely aware of the unlevel playing field created by an inward focus and inattention to looking and learning abroad" (p. 15). In addition, SIOs at the newer

institutions hold higher positions (i.e., rector and vice-rector) than at the older school (i.e., director) where international responsibilities needed to be added on to an existing organizational structure. Differences between older and newer institutions become apparent in the facts and figures used to compose these case descriptions and are reinforced, through triangulation of data, with the higher quantitative indexes of the newer universities. According to Jick (1979) multiple measures reaching equivalent conclusions “provide a more certain portrayal” (p. 602) of the internationalization phenomenon.

The comparison of data from the descriptive phase of the case studies highlights a second trend: the stronger position of private vs. public universities in their quest toward system-wide internationalization. Private institutions have more modern governance structures, are able to recruit their leadership and human resources from a broader pool of candidates beyond Spanish borders, and have more funding and better resources than their public counterparts. The divide between the internationalization of private and public institutions is likely to increase, unless the Spanish public university system undergoes a significant and urgent reform.

The process employed in this study to adapt the Horn, Hendel and Fry (2007) method to assess the international dimension of universities in the Spanish context, can be used toward the evaluation of institutional internationalization in other national contexts. Determining which of the original method’s indicators are pertinent under the counsel of local higher education institutions and organizations, and using a panel of experts representing multiple stakeholders to establish the relevance for each of the

applicable items, creates a functional instrument that evaluates universities' status of internationalization effectively.

The model employed to build the portraits of the three universities in this study can serve as a template for future case studies in internationalization. The descriptive framework combining the Horn, Hendel and Fry (2007) categories, Knight's (2004) factors influencing internationalization rationales, and the internationalization index addresses all elements relevant to the internationalization process, and provides a both broad and detailed qualitative and quantitative description of how each institution engages internationalization.

Challenges faced in the descriptive phase of the study.

In the first phase of the study, a panel of experts was invited to "identify the relevance of particular variables for assessing internationalization" (Horn, Hendel and Fry, 2007, p. 350). Eighteen experts were selected and invited to participate in the weighting process as a purposeful sample representing a wide spectrum of stakeholders including public and private administrations, organizations, associations, program providers and higher education institutions. Gathering responses from experts was a long and challenging process that future researchers will probably continue to face. This quest was further complicated by the fact that a number of individuals consulted held official positions that shifted after the November 11, 2011 change of government, a circumstance that hindered the contribution of some of those asked to participate.

From the data gathering process, in the descriptive phase of the study, emerged a significant difference in the availability of data between the private and the two public universities. While the UEM has accurate data on internationalization indicators with

updated figures for undergraduate and graduate students, both of the public institutions lacked several sorts of data, such as the number of faculty who have been ERASMUS and or Fulbright scholars and the percentage of international faculty, instructors and research associates on campus. In addition, the ETSC lacked data on the number of Fulbright and ERASMUS scholars on campus. Having access to data on relevant indicators enables institutions to assess their international dimension and evaluate their strategic outcomes and progress towards goals (Paige, 2005). Data on faculty and scholars with international backgrounds is important in a scenario of “increasing dependence on academic staff to initiate, or at least support, change and further developments in internationalization” (Soderqvist & Parsons, 2005, p. 1). The fact that neither of the international offices at the public institutions has this information is especially alarming at a time when:

- International education experts recommend Spanish universities recruit leaders and professors internationally (Tarrach, et al., 2011);
- “The reform and modernization of Europe’s higher education depends on the competence and motivation of teachers and researchers” (European Commission, 2011, p. 7); and
- Opportunities for faculty and staff mobility are increasing (European Commission, 2011).

This data vacuum, especially if widespread to other areas not addressed in this study, is “contrary to the increasing international emphasis on teachers and school leaders making educational decisions based on data” (Schildkamp, Lai, & Earl, 2012, p. 2) and is likely

to impair “key strategy and operational decisions” (Lawler III & Worley, 2006, p. 149), thus hindering the implementation of internationalization at public institutions.

What are the rationales influencing internationalization?

This research question sought to identify the institutional rationales for internationalization, defined as “motivations for integrating an international dimension into higher education” (de Wit, 2002, p. 84). Data gathered from semi-structured interviews with SIOs, from unstructured interviews with international educators, and from additional institutional and public sources were analyzed using QDAS in order to recognize both explicit and implicit rationales for each of the cases.

Aggregate rationales: Concurrence and particularities.

A total of six rationales emerged as influencing internationalization at the three institutions (see Figure 6):

- student and staff development, as a shared institutional motive approached with a unique perspective at each of the universities;
- strategic alliances, either through membership in a corporation of institutions where internationalization is a common attribute, at the UEM, or seeking partnerships with prestigious engineering schools, at the ETSC;
- international branding and profile as a common trait of the two newer institutions (i. e., the UEM and the URJC), seeking to establish their reputations beyond Spanish borders;
- internationalization toward enhanced quality of education, at the UEM, assuming that a stronger international dimension will further increase the quality of the institution;

- income generation, with the URJC foreseeing a potential source of revenue from international programs to compensate for the loss of funding from the local and national governments; and
- promoting the social responsibility of students, as a particularity of the UEM.

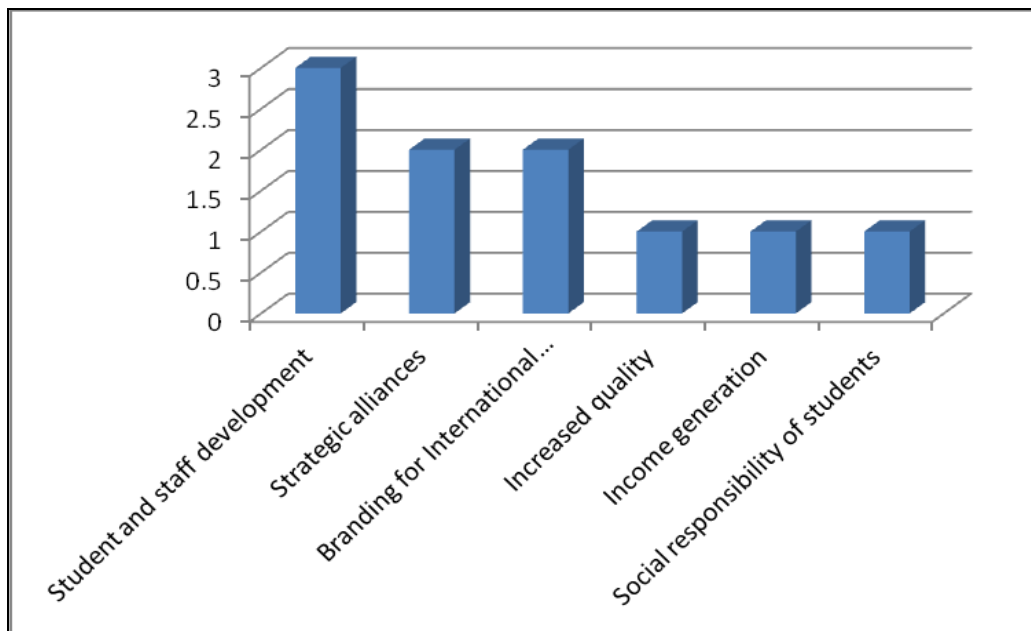


Figure 6. Aggregate emerging rationales.

Half of the aggregate institutional motives are shared, across two or more of these diverse cases, suggesting a commonality in the *raison d'être* for internationalization at Spanish universities. With one exception (i.e., developing the social responsibility of students at the UEM), these motivations coincide with Knight's (2006) institutional rationales of emerging importance (see Table 33), promoting empirical support for her research and indicating that reasons to engage internationalization transcend national borders. The fact that the majority of rationales in three diverse Spanish cases coincide with those identified by Knight in 2006 implies that universities must identify motivations aligned with their missions in order to establish their unique identity. This is

of special relevance in the Spanish higher education environment where a large number of public institutions offer identical degrees lacking a distinguishing academic area of specialization.

Table 33

Knight's (2006) Institutional Rationales of Emerging Importance

Institutional Rationales	UEM	ETSC	URJC
International Branding and Profile	X		X
Quality Enhancement/International Standards	X		
Alternative Income Generation			X
Student and Staff Development	X	X	X
Networks and Strategic Alliances	X	X	
Knowledge Production			

The number of institutional motives and the rank of internationalization.

There is a positive correlation for these three institutions between the number of rationales and the quantitative internationalization index. The institution with a greater Horn, Hendel and Fry (2007) index, the UEM, is also the one with a larger number of institutional motives (i. e., five). The URJC follows, with three rationales and the second highest internationalization score. The ETSC is third, both in the number of rationales and index points. For this particular sample, institutions with a greater number of explicit and implicit rationales for internationalization have a higher index than those with fewer motivations (see Figure 7). This finding aligns with the assumption that institutions with no explicit rationales are unlikely to seek greater internationalization, and that this will be reflected in their strategies, programs and outcomes. Universities claiming to prepare

students for the demands of contemporary society cannot ignore the effects of globalization and will therefore need to define their mission, articulate their internationalization rationales and ultimately establish the outcomes they seek for their students.

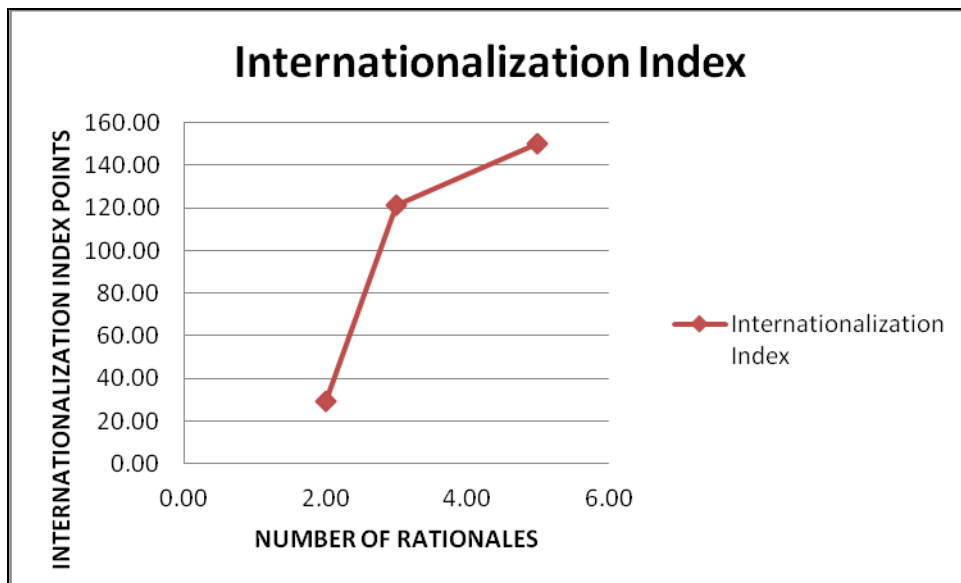


Figure 7. Correlation between internationalization index points and the number of internationalization rationales.

Articulation of rationales and the need for strategic internationalization plans.

When asked to describe their key rationales, none of the SIOs quoted a set of institutional motives as being part of a strategic internationalization plan, but rather presented their views on their organization's need or lack of need for greater internationalization. Three additional, implicit, rationales emerged from document analysis, one at the UEM and two at the ETSC. But, none of the three institutions has a strategic internationalization plan explicitly stating motives and or linking these to specific actions and outcomes.

The UEM rector discussed four rationales during her interview, while a fifth (i. e., promoting the social responsibility of students) emerged from the analysis of the case's qualitative data. While it is possible that the UEM has a strategic plan including a section on internationalization, this was not accessible for the purpose of this study; neither did it appear during interviews or in document analysis. At the URJC, three rationales were clearly identified by the SIO but these did not appear in other sources of data, with the exception of the student development motive stated in the university's goals. Interviews at the ETSC were unique in that the SIO and the deputy director of international relations did not articulate any rationales but rather expressed well-measured motives deterring them from seeking greater internationalization (e. g., the school's limited resources and lack of autonomy, and a concern for the quality of some education abroad programs). In sum, in none of the three cases did there appear a document explicitly stating the institutional motives for internationalization.

In her study of internationalization plans at 31 higher education institutions in the USA, Childress (2009a) concludes that "colleges and universities that incorporate the importance of international education into their institutions' mission statements and strategic plans create a strong foundation for operationalizing this commitment and intent" (p. 304), aligning with Knight's (1994) prior suggestions on the matter. In contrast, institutions without a strategic internationalization plan will likely lack explicitly articulated motivations guiding their "policies, programs, strategies and outcomes" (Knight, 2004, p. 28).

The two public universities in this study are without an explicit international commitment in their mission statements and none of the three institutions seems to have a

mid-term planned internationalization strategy. This vacuum of strategic planning is especially relevant to the overarching student development rationale, as it implies a disconnect among motives, programs, and outcomes. Why and how are these institutions preparing “students to live and work in the global setting of the future” (Mestenhauser, 2002, p. xx)? And how are the outcomes of their programs aligned with global employment trends? Responses to these core questions must be outlined in strategic internationalization plans, and outcomes for each institution must be measured against relevant updated indicators, e.g., the length of time between graduation and first employment. Addressing the void of internationalization plans is crucial to the further internationalization and increased quality of Spanish higher education institutions, and the assessment of outcomes will contribute to amending the current lack of comparative data available to stakeholders.

What are the obstacles and drivers influencing the internationalization process?

The purpose for this third research question was to discover the factors obstructing and driving the internationalization process, as associated with the explicit and implicit institutional motives. A total of 18 obstacles and 23 drivers emerged from an analysis of qualitative data at the three cases, within six broader categories. The fact that there are fewer aggregated obstacles than drivers in a scenario of change, with institutions still adapting their academic programs to the Bologna reform in a country where the economic crisis “adds a further dimension to these challenges” (“Focus on HEd in EU,” 2010, p. 45), is worth highlighting. While this is not conclusive evidence, it indicates a certain balance between the forces hindering and driving internationalization in the Spanish higher education scenario.

Shared obstacles and drivers.

Only one of the 18 emerging obstacles appeared in two cases, while eight of the 23 drivers are common to two or more institutions. So, while obstacles appear to be singular for each institution, one third of the factors driving internationalization are shared across cases. This is an indication that while each university faces different challenges which demand institution-specific strategies and actions, all share a scenario where a number of common local, regional, national and supra-national forces are promoting their greater internationalization. A combination of strategic planning and assessment would allow higher education institutions to minimize obstacles and maximize drivers, thus improving opportunities to achieve system-wide internationalization. But, in these three cases universities are neither planning nor assessing their advance toward greater internationalization, and are therefore becoming less likely to have an active role in a global higher education market of growing co-operation and competition (Enders, 2004; Luijten-Lub, et al., 2005; Marginson, 2006).

Obstacles and drivers' categories and their relevance.

Six categories of obstacles and drivers emerged from data analysis across cases as factors influencing the internationalization process at diverse Spanish higher education institutions, including governance, cultural traits, the economic scenario, human resources, applicable legislation, and branding or international profile. Obstacles and drivers within each of these themes were treated as ordinal data; ranking categories according to their number of items, as a potential indication of their degree of influence on the internationalization process (see Table 34).

Table 34

Ranking of Categories Influencing Internationalization: Number of Obstacles and Drivers

Rank	Obstacles	N. of items	Drivers	N. of items
1st.	Cultural traits	5	Governance	9
2nd.	Governance	4	Economic scenario	6
3rd.	Applicable legislation	3	Human resources	4
4th.	Branding	2	Branding	3
	Human resources	2	Cultural traits	3
	Economic scenario	2	Applicable legislation	3
	Total obstacles	18	Total drivers	23

Note. A total of 23 drivers emerged from the three cases, five of which appeared within two of the categories.

Governance.

Governance items concern the independence, authority and character of institutional leadership in implementing change toward greater internationalization by engaging itself and others (Mintzberg, 2004). Within this category there coalesced the largest number of drivers, appearing across the three cases, and the second largest number of obstacles surfacing at the two public institutions. Thus, leadership and its capacity to implement change is the factor bearing the greatest influence on the internationalization process of these three Spanish universities. This finding highlights three pressing needs for the greater internationalization of public universities. First is a change in the hiring process of public institution rectors, as recommended by Tarrach, et al. in their 2011 report, moving away from the democratic election of internal candidates. Second is a reform in the governance structures of public universities, ensuring clear

authority channels and eliminating bureaucracy, thereby allowing institutional leadership to effectively address the changing needs of the current environment. Third is the creation of graduate programs that will prepare leaders in Spain who will embrace new concepts and abilities in areas of education and business to bring about change and innovation (Kezar, 2008).

Cultural traits.

This category refers to shared “culture patterns among human groups” (Hofstede, et al., 2010, p. 7), and its items highlight the characteristics and affective traits of multiple stakeholders. The cultural traits factor is relevant for convening the largest number of internationalization obstacles and the fourth number of drivers, emerging across all three cases. Obstacles in this category will need to be addressed by these institutions in order to arrive at a state of greater internationalization, especially as they affect students, faculty, staff and local communities. Needing to be addressed with these constituencies are the following: negative attitudes toward study abroad, a perceived lack of value of an international experience, a focus on mastery of academic content vs. acquisition of competencies, problems of a primarily commuter enrollment, and negative perceptions of diversity. These negative attitudes are shared across groups of stakeholders, including students, parents, the communities where universities are located, and members of the faculty and staff. It is the responsibility of university leaders to promote a culture where diversity is valued and used as an asset, and have that culture transcend the walls of the institution and spread on to the broader university community.

Economic scenario.

The economic scenario factor concerns the impact of a global crisis, which has stressed the financing of the public university system and driven current and future graduates to seek jobs abroad. It also concerns the increasing connection between universities and businesses. Six elements driving the internationalization process emerge within this category across all the cases, while two obstacles appear at the two public institutions. The number of drivers in this category is revealing, as the effects of the economic crisis force a positive change in the attitudes of students and the orientation of institutions towards corporate alliances and alternative sources of revenue. The limited number of obstacles is also a surprise as more economic impediments could be expected, given the budget reductions and tuition increases at public institutions. But, while the pressures of the crisis are steering some positive change trends, public institutions face a bleak financial scenario where revenue from international sources is extremely unlikely to make up for the decrease in government funding. If the revenue and spending of public universities are not balanced the decrease in quality will be inevitable, raising further concerns on a potentially-growing divide between the value of private and public education to the detriment of less financially-able students.

Human resources.

This factor integrates four drivers and two obstacles related to an institution's capacity to recruit, select, hire and reward faculty and staff who have international backgrounds. The challenges in hiring international professionals were identified by Tarrach, et al. (2011) in their recommendations to improve the quality of the Spanish higher education system, stating that "human resources are the key success factor of any

university system” (p. 9) and proposing that calls for “all senior positions (professors, deans, senior administrators and rectors) should be published not only at the national, but also at the European/international level” (p. 9). Challenges in human resources are twofold and emerge at public and private institutions. There is a lack of personnel with international backgrounds, both faculty with studies and or experience abroad and staff who have international training and have acquired what Paige and Mestenhauser (1999) labeled as an *international mindset*. In addition, the acquired rights and compensation system for full-time employees at public universities deters motivation and does not recognize performance, e.g., a professor’s salary increases based on the number of years of teaching regardless of the quality of instruction, student evaluations, and learning outcomes.

Applicable legislation.

Items in this category are related to supra-national, national and regional legislation and regulations promoting or hindering the implementation of the internationalization process. While regulations associated with EHEA reforms toward a common higher education framework—such as funding for ERASMUS programs—seem to be driving internationalization, a relevant concern emerged from the two public institutions on the need for a greater focus on the quality of initiatives vs. on the number of participating students. At the URJC, the SIO personally fought to establish higher language requirements in order to access scholarships, and the deputy director of international relations at the ETSC expressed his concern for the academic quality of the programs. In addition, the complexity of obtaining Spanish visas for accepted students from outside the European Union emerged as a roadblock hindering the recruitment of

international students at the URJC. This issue is the result of a lack of alignment between various public administrations, and has been a continuous source of problems for Spanish universities of all types. Current Spanish legislation needs to be modified, shifting its focus from the numbers of participating students toward the quality of their experiences and encouraging international students to seek admission under less-complex immigration requirements.

Branding.

This category includes items related to “the overall drive to achieve a strong worldwide reputation as an international institution” (Knight, 2006, p. 218), and emerged at the two newer universities, both of which are concerned with establishing and increasing their reputation beyond Spanish borders. The national and regional pressure for public institutions in Spain to seek international prestige has escalated with the economic crisis, as governments and taxpayers have become aware of the lack of balance between cost and external perception of quality (e.g., international rankings). An international reputation is also relevant to private universities, which are obliged to demonstrate an added value that justifies higher tuition fees.

Internal and or external factors.

One of the cross-case analyses discussed in chapter VIII sought to determine whether categories influencing internationalization would have to be addressed within and or outside the institution. Two of the categories have clear characters: cultural traits as an internal factor and relevant legislation as an external factor. The other four categories display a mix of internal and external obstacles and drivers, indicating that the power to promote drivers and eliminate obstacles resides both within and without an

institution. While the real process of internationalization takes place at the institutional level (Knight, 2004; Mestenhauser & Ellingboe, 2005), public universities function under national and state government regulations that impact their governance, finances, human resources and their branding efforts abroad. A lesser degree of external intervention would promote the change processes at these universities.

How do these Factors Compare and Contrast Across Institutions?

Internationalization at the institutional level is driven by rationales, most of which are shared by a number of institutions across national borders and one which is specific to a single university. Student and staff development emerges as a shared overarching rationale shared by three very diverse Spanish institutions. The private university (UEM) has more explicit rationales aligned with strategies, resources, and outcomes than its public counterparts. The private university also encounters fewer obstacles and finds a greater number of drivers for the advance of its rationales. Among public universities, that with a more modern structure (URJC) is engaged in internationalization to a greater extent and allocates significantly further resources to the process than the older institution (ETSC).

The balance between rationales, obstacles, and drivers.

The combination of obstacles and drivers emerging from each case illustrates three different internationalization settings (see Figure 8). From the UEM case there emerged two obstacles and 13 elements driving internationalization, thus presenting a very positive scenario. The URJC's nine items hindering internationalization are outnumbered by 14 that are positively influencing the process. In contrast, at the ETSC there is a greater balance between elements obstructing (i. e., eight) and promoting (i.e.,

nine) the engagement in internationalization. Indexes for the three institutions align with the scenarios described, with the UEM attaining the highest score and the ETSC showing the lowest.

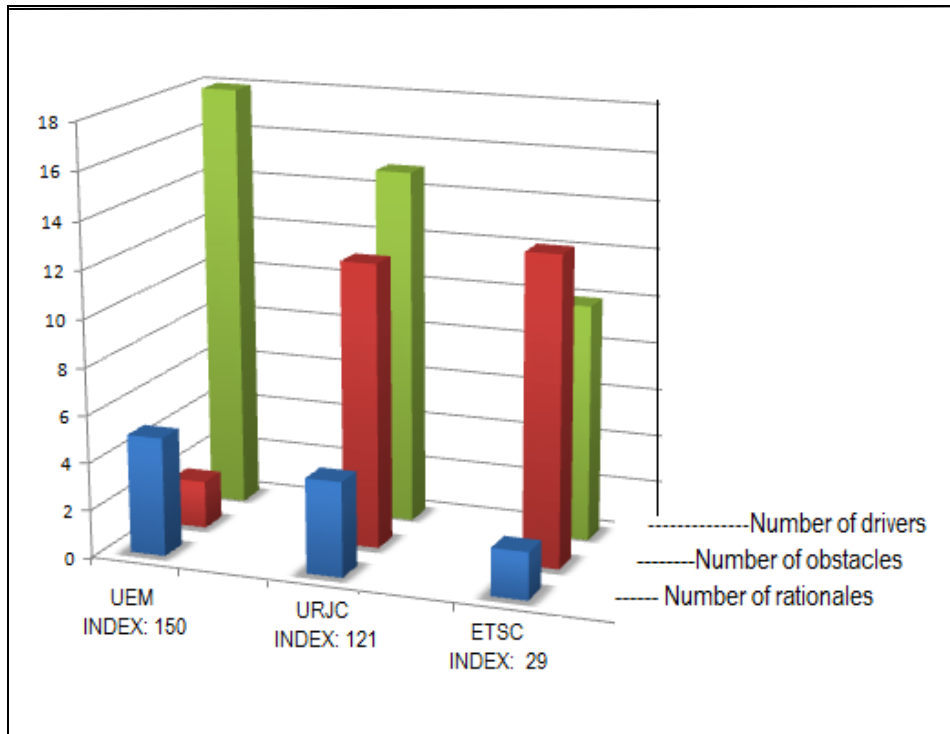


Figure 8. Number of rationales obstacles and drivers by institution.

Factors influencing the internationalization of Spanish universities.

There are six factors influencing the internationalization of these three Spanish higher education institutions: governance, cultural traits, the economic scenario, human resources, applicable legislation, and the branding toward international prestige. Across cases, governance, cultural traits and the economic scenario, seem to be the most relevant (see Figure 9) in terms of the number of items they include, but all of these six themes envelop case-specific drivers and obstacles.

Modifying the governance structure of public Spanish institutions en route for a more flexible and efficient model will be crucial toward their greater internationalization.

For public universities to be able to offer international education opportunities comparable to those of the private sector, a significant reform of the Spanish public higher education system is required, specifically related to autonomy, leadership, and academic and human resources elements. Changing the cultural traits of Spanish stakeholders will also be fundamental in positively influencing the internationalization process, and this will require internally-driven campaigns engaging all constituencies. While the economic crisis is creating funding challenges for universities of all types, this factor also emerges as a driver for institutions seeking alternative sources of revenue and or a competitive advantage for their graduates in the job market. However, the financial challenge is likely to be greater for public institutions with lesser resources and operating under governance structures that complicate change. The lack of personnel trained as international educators and or international faculty members is another factor that must be addressed. Spanish universities need to develop graduate programs to train a new generation of leaders for international education administration and management positions. Recruitment and hiring and firing processes need to be more flexible and efficient in order to allow international candidates to access selection processes and positions. The applicable legislation on personnel matters needs to be revised to ensure that it contributes to the advance vs. the regress of the internationalization process. Finally, these universities need to address branding factors, assessing how to enhance the quality of their programs and how to showcase these programs in international forums to promote the international prestige of the university.

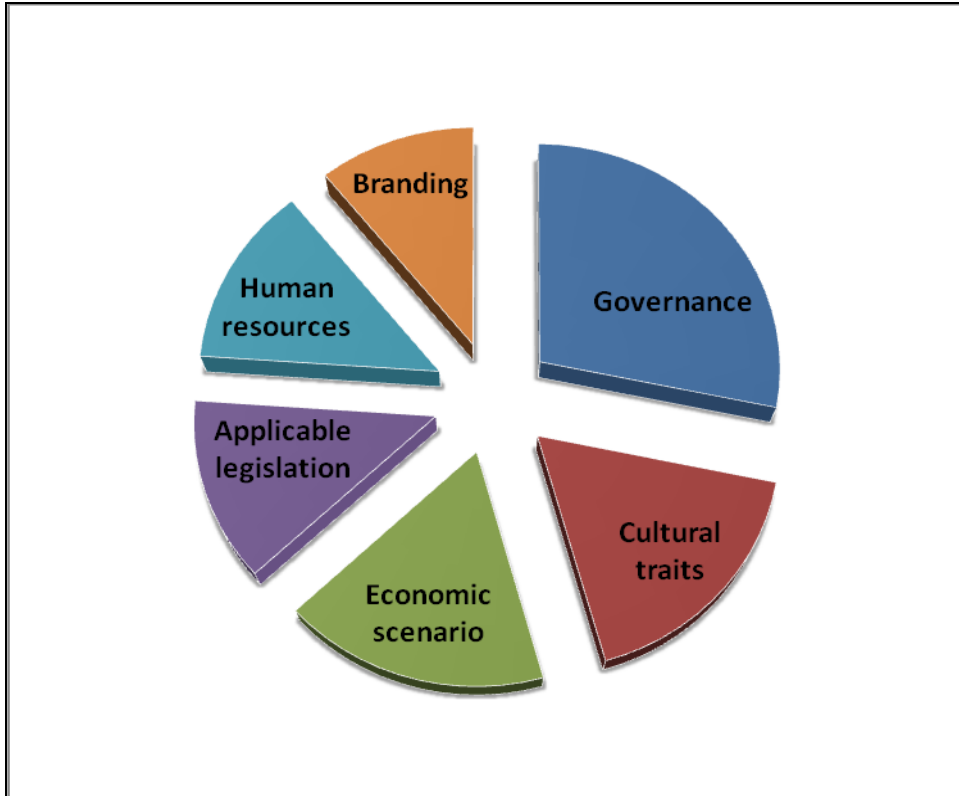


Figure 9. Factors influencing internationalization and their relevance in the Spanish higher education context.

Conclusion

It is this author's hope that the methodology employed in this study—using the Horn, Hendel and Fry (2007) method, revising indicators' applicability under the counsel of local organizations, and engaging a panel of experts to complete an indicators' weighting process—to produce a quantitative internationalization index, will contribute to the development of similar assessment tools for other regional and national contexts. While the accuracy and fairness of a cross-sectional quantitative index is limited, it can serve as an internal measure to test progress and as an external measure to rank institutions according to the strength of their international dimension.

Six of the seven institutional motives for greater internationalization emerging from these case studies coincide with those identified by Knight in 2006, providing empirical data that supports the accuracy of her rationales of emerging importance. However, this theoretical contribution suggesting the existence of a universal set of motivations does not entail identical student outcomes for all universities. The implications for practice of this finding, for higher education institutions attempting to enhance their international profile, is that SIOs will need to identify singular rationales aligned with their mission, articulate these motives, develop strategies towards specific outcomes, measure their success in achieving the expected results, and convey all of these to multiple stakeholders. The paradox of the ETSC—with its leaders stating motivations to avoid internationalization, while the school continues to produce alumni who direct the largest and most successful multinational corporations—must make us reconsider the outcomes of internationalization initiatives and how these need to be assessed in regard to their success in preparing students professionally and personally for a global world. While a positive correlation between internationalization and the quality of higher education institutions has been established (Jang, 2009), the two variables seem to be far from equal. In this same line Horn, Hendel and Fry's (2007) article highlights a disparity between certain universities' positions in national university rankings and their order according to the relevance of their international dimension (e.g., Princeton at number 18 or the Massachusetts Institute of Technology at number 67). A study of the relation between the international dimension of universities and their ability to prepare students for successful professional careers is a relevant topic for future research.

The six factors influencing the internationalization process of these universities are: governance, cultural traits, the economic scenario, applicable legislation, human resources, and branding. Within these factors, at each of the three cases, appeared unique institutional obstacles and both shared and singular drivers. Higher education institutions can use these factors as a roadmap to identify the obstacles and drivers that will shape the implementation and impact the outcomes of their international strategies. Without a prior evaluation of specific obstacles and drivers universities will lose opportunities to promote their assets and limit their liabilities in their quest for greater internationalization. Further research should address whether these are universal factors.

Why we go somewhere, how we get there and what we expect to find when we arrive are basic questions that apply both to individuals and organizations. The road is much longer and a lot less rewarding when we just drift.

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Appendix A

Review of Horn, Hendel, and Fry (2007) indicators' applicability in the Spanish higher education context

YES: the indicator exists in the Spanish higher education context

NO: The indicator does not exist in the Spanish higher education context

Student Characteristics

1. Percentage of international students on campus / YES;
2. Number of Marshall and Rhodes scholars / NO
 Marshall scholarships are awarded to US students to complete a term of study in the UK, with the objective of strengthening “the enduring relationship between the British and American peoples” (“Marshall scholarships,” 2011) (¶ 1). Rhodes scholarships were established in the early 20th century to recruit excellent students from several countries, providing them with the resources to attend Oxford University. Spain is not a part of either of these programs, so this item has been excluded;
3. Number of student Fulbright Fellows / YES
 According to the *Fulbright Spain 2010* report, 50 graduates of Madrid higher education institutions were awarded scholarships, through this program, to complete graduate studies in the US. This indicator applies to the Spanish context as it suggests which universities are producing graduates meeting the selection criteria of the Fulbright foundation;
4. Number of Peace Corps volunteers / NO
 The Peace Corps does not exist in Spain, neither does it have an equivalent in the Spanish context, so this indicator has been excluded;
5. Percentage of study abroad participants / YES
 The indicator “study abroad participants” is applicable in the Spanish HED context, especially as mobility has been one of the objectives of the Bologna Process. Different types of undergraduate study abroad programs include: ERASMUS, exchange programs, language programs, and intern programs, where students enrolled in Spanish institutions complete courses abroad approved by their home institutions;
6. Percentage of non-Spanish language graduates / YES

Faculty and Scholar Characteristics

7. Number of Faculty who have been Fulbright Scholars / YES

This indicator would apply best in Spain if it included, not only Fulbright scholars but, the total number of faculty who have completed graduate degrees abroad. The majority of the Spanish Fulbright scholars use their awards to complete degrees in the USA, but there are also faculty members who have completed graduate studies in other countries or in the US under sponsorship of other organizations, such as the Cajamadrid bank, or financing their degrees with personal funds. My suggestion is that this indicator be modified to include the total number of faculty who have completed degrees abroad;

8. Number of Fulbright scholars from other countries / YES

According to the *Fulbright Commission in Spain 2010* report, 9 of the 95 US grantees in Spain were hosted by Madrid higher education institutions;

9. Percentage of international faculty, instructors, and research associates on campus / YES;

Research and Grants

10. Number of Title VI centers / NO

This is a program sponsored by the US Department of Education, to support the teaching and learning of “less commonly taught languages” (US Department of Education, 2011c, p. 1) at US higher education institutions. While knowledge of foreign languages has been one of the goals of the Bologna Process (Ballesteros, 2009), at least since 1999, in Spain, the national government has focused on promoting German, French, English, Italian, and Portuguese. Spanish researchers, such as Ballesteros, highlight the lack of resources as one of the major obstacles in the achievement of foreign language fluency goals. There is no equivalent, in Spain, to US Title VI centers, so this indicator is not applicable;

11. Number of Ford Foundation grants / NO

Ford foundation grants are available to organizations and institutions in the Andean Region and Southern Cone, Brazil, Mexico and Central America, and China (Ford Foundation, 2011), but not to Spanish institutions;

12. Number of FIPSE international education grants / YES

FIPSE includes collaboration programs “among the U.S. Department of Education's Office of Postsecondary Education and foreign government agencies to fund and coordinate federal education grant programs” (US Department of Education, 2011b). One of these collaborations, with the European Commission, is Atlantis, a program providing grants to US and European institutions collaborating in exchange, joint, and double degrees. Some Spanish institutions are participating in Atlantis programs, and more are expected to apply even as the 2011 European application process has been cancelled “due to severe cuts in the

2011 US budget meaning that the funds needed to match the EU contribution are not available" ("Call for proposals," 2011, p. 3);

13. Number of campus centers focused on international research / YES

Several Madrid universities have international centers and or international faculties. The focus on research in Spain, where university professors are not necessarily required to publish, might not be as strong as it is in the US, but having an international center and or faculty would definitely be an indicator applicable in this context. The campuses and or centers having received the "Certificado de Excelencia Internacional" (CEI) award would be included in this indicator.

In the year 2008, the Spanish Ministry of Education launched a program to recognize internationalization efforts at Spanish public and private universities. Selected universities would be awarded the CEI seal, receiving funding to sponsor their international campuses and or centers. In the following years several universities have obtained the award, receiving a part of the 590 million Euros allocated by the national government to this program. The CEI is an indicator that a university has created a campus, faculty, and or center focused on internationalization, aligned with government's objectives, including (Ministerio de Educación, 2011): (a) increased mobility of students and university staff; (b) increase the percentages of foreign students, professors, and researchers at Spanish universities; (c) increasing the number of international graduate degrees; and (d) increasing the excellence and international allure of the best Spanish higher education institutions.

Curriculum

14. Number of Least Commonly Taught Languages (LCTL) / YES

15. Language requirements for the bachelor's degree / YES

16. International perspective requirements for the bachelor's degree / YES

This indicator should also include the number of university courses that are taught in English. Spanish universities are increasingly offering these courses, using them to apply the label "bilingual degree" to a number of their programs. In my professional practice I have found that the curriculum for these degrees could include as little as 10% of courses taught in English. Therefore, counting the number of academic courses taught in a language other than Spanish will produce a more accurate indicator than looking at degrees labeled as "bilingual".

Institutional Characteristics

17. Visibility of international content on institutions' websites / YES

18. Presence of a senior administrator for international activities / YES

19. Number of books in the university library's international collection / YES

Appendix B

List of International Education Experts and Description of their Institutions / Organizations

<p>Dr. Pilar Alcover is Director of the Hispanic Studies Center at Nebrija University</p>	<p>Ever since its creation, the Universidad Nebrija has pioneered a new concept of what a university should be: on the one hand, innovative and responsive to students' interests and concerns, and on the other, efficient and accessible, with a distinctive, modern teaching methodology adapted to the new European Higher Education Area (EHEA). The University's commitment to providing quality is reflected in its holistic approach to study that enhances its students' personal and professional development and prepares them for successful careers in today's plural, complex and globalized society.</p>
<p>Mr. Santiago Alias is Director of Study Abroad at the Universitat Autònoma De Barcelona</p>	<p>The UAB enjoys a key position in the European university system and is committed to the construction of the Europe of Knowledge. Acknowledged both for the excellence of the research and for the quality of its teaching, it is a reference point in the European university environment. With 40,000 undergraduate and postgraduate students, 5,000 lecturers, researchers and administration and services staff, the UAB is a university where studying, teaching, researching and living are made easy.</p>
<p>Dr. Juan Eguiluz Pacheco is the Academic Director of International Studies Abroad in Spain.</p>	<p>ISA established its first study abroad program in Salamanca, Spain in 1987 and currently offers study abroad programs in 9 cities and at 15 universities throughout Spain. With programs in Barcelona, Bilbao, Granada, Madrid, Málaga, Salamanca, Santander, Sevilla, and Valencia, ISA has sustained a reputation as a leader in study abroad in Spain, one of the most popular study abroad destinations for American students.</p>
<p>Dr. Mariteresa Frain is the Center Director for CIEE in Seville and US Consular Agent for the US State Department for Western Andalusia</p>	<p>CIEE is a nonprofit, non-governmental international exchange organization. For over 65 years, our mission has been: "to help people gain understanding, acquire knowledge, and develop skills for living in a globally interdependent and culturally diverse world." We develop and administer programs, advocate for the advancement of international education, and build knowledge through CIEE research, publications, and conferences.</p>

<p>Ms. Maria Gomez Ortueta is Director of the Office of International Relations at the Universidad de Castilla-La Mancha</p>	<p>The Universidad Castilla-La Mancha (UCLM) is a young, dynamic university that continues to grow and progress to meet the needs of its students. An extensive, varied range of academic courses taught, modern facilities and services, and highly qualified teaching and research staff, attract thousands of applicants for undergraduate and postgraduate study at the UCLM each year. Students can choose from a total of 50 degree programs, including 12 master's degrees, taught at the Cuenca and Toledo campuses and UCLM sites in the towns of Almadén, Puertollano and Talavera de la Reina.</p>
<p>Mr. Oscar Bedugo is President of the Association EDUESPAÑA</p>	<p>EDUESPAÑA, an association with over 166 members, has been promoting international education in Spain since 1996 and especially Spanish as a foreign language for international students. To accomplish its goals, EDUESPAÑA offers educational services to support and promote the internationalization of Spanish education providers through an ambitious program of activities that enables their participation in international education fairs and promotion activities worldwide.</p>
<p>Ms. Monica Perez-Bedmar is the Coordinator for the Association of North American Programs in Spain (APUNE)</p>	<p>The oldest association in Europe dedicated to the needs of American university programs abroad (founded 1968), APUNE (Asociación de Programas Universitarios Norteamericanos en España) is a cultural, not-for-profit organization that seeks to both further and facilitate international exchange between the U.S. and Spain.</p>
<p>Dr. Maria Luisa Sierra is a Professor at the Institute of Humanism and Society of the Universidad San Jorge whose research has focused on international education</p>	<p>The Universidad San Jorge (USJ) is a non-profit institution founded to promote the principles of Christian humanism. Its primary mission is to educate students as individuals and as future professionals so that they can take up leading roles in society. The University aims to train highly skilled graduates with the abilities to adapt to the demands of the rapidly changing workplace so that not only are they equipped to respond to the needs of the firm, but that they can also forge new paths in their professional field and within society.</p>

Appendix C

International Experts' Survey: Rating of Indicators' Weight

CATEGORIES	CATEGORY WEIGHTS	INDICATORS	ASSIGNED WEIGHTS
			Weight Assigned
STUDENT CHARACTERISTICS		1. Percentage of international students on campus	
		2. Number of student Fulbright Fellows	
		3. Percentage of study abroad participants	
	Category Weight	4. Percentage of foreign language graduates	
	0.00	SUM FOR STUDENT CHARACTERISTICS CATEGORY	0.00
FACULTY & SCHOLAR CHARACTERISTICS		5. Number of Faculty who have been Fulbright Scholars	
		6. Number of Fulbright scholars from other countries	
	Category Weight	7. Percentage of international faculty, instructors, and research associates on campus	
	0.00	SUM FOR FAC. & SCHOLAR CHARACTERISTICS CAT.	0.00
RESEARCH & GRANTS CATEGORY		8. Number of FIPSE international education grants / Atlantis Program Grants	
	Category Weight	9. Number of campus centers focused on international research, and Certificado de Excelencia Internacional Campuses/Centers	
	0.00	SUM FOR RESEARCH & GRANTS CATEGORY	0.00
CURRICULUM CATEGORY		10. Number of Least Commonly Taught Languages (LCTL)	
		11. Language requirements for the bachelor's degree	
	Category Weight	12. International perspective requirements for the bachelor's degree	
	0.00	SUM FOR CURRICULUM CATEGORY	0.00
INSTITUTIONAL CHARACTERISTICS CATEGORY		13. Visibility of international content on institutions' websites	
		14. Presence of a senior administrator for international activities	
	Category Weight	15. Number of books in the university library's international collection	
	0.00	SUM FOR INSTITUT. CHARACTERISTICS CATEGORY	0.00
TOTAL FOR ALL CATEGORIES	0.00	TOTAL FOR ALL INDICATORS	0.00
			FALSE

Appendix D

Letter of Invitation to Spanish University Rectors

«AddressBlock»

Estimada/o «GreetingLine»,

16/08/11

Estoy realizando mi tesis doctoral en el Departamento de “Organizational Leadership and Policy Development” de la Universidad de Minnesota, bajo la dirección del Dr. R. Michael Paige (<http://www.cehd.umn.edu/olpd/people/faculty/Paige.asp>), conocido internacionalista e interculturalista norteamericano. El estudio que estoy completando está enfocado desde la perspectiva de la dinámica de sistema propuesta por el Dr. Joseph Mestenhauser (2002) en la que todos los departamentos y programas de la universidad y los elementos que los integran se consideran factores interdependientes que deben incluirse en el proceso de internacionalización.

Me gustaría contar con su colaboración, como máxima autoridad en la universidad _____, para entrevistarle sobre su visión sobre los motivos que impulsan la internacionalización en la universidad que usted dirige. En el estudio participaran cuatro universidades Españolas, que hemos seleccionado por la diversidad de sus características. El nombre de la universidad que usted lidera será confidencial, a menos que usted decida lo contrario. En la hoja informativa adjunta se describe la investigación que realizo, en términos generales, y estoy a su disposición para cualquier información adicional que necesite. Le agradecería me confirmase si considera su participación, para que le envíe información adicional sobre las características del estudio.

Además de una entrevista con el rector de cada una de las universidades, el estudio de caso incluirá también un análisis de las características de la universidad y una evaluación de su grado de internacionalización. Esta última evaluación se hará aplicando el método desarrollado por Horn, Hendel, y Fry (2007), después de haber adaptado el modelo al contexto Español, con la colaboración de 18 expertos en educación internacional Españoles. Cada una de las universidades participantes recibirá un informe individualizado sobre el estado de su internacionalización que podría ser utilizado, como evaluación externa, para la continua mejora en este proceso.

El tiempo estimado para la entrevista es de cincuenta minutos y nos adaptaríamos a la fecha que le sea más conveniente.

En espera de sus noticias. Gracias por su atención y un cordial saludo,

Cristina Grasset / Doctoral Candidate/ EDDIE
 Department of Organizational Leadership and Policy Development
 UNIVERSITY OF MINNESOTA, Twin Cities
 9 Altozano, Madrid 28023
Grass058@umn.edu
 Tel. +34 607 200 187 / ESP

Appendix E

Informed Consent Form for Senior Internationalization Officers

Queremos solicitar la participación de la universidad que usted lidera en un estudio sobre la internacionalización del sistema universitario Español. El propósito de esta investigación es el de establecer cuáles son los factores que impulsan la internacionalización de las universidades Españolas. Para ello utilizaremos un estudio de caso de cuatro universidades con diferentes características (públicas y privadas, con mayor o menor alumnado). La identidad de las universidades participantes será confidencial, a menos que usted solicite que el nombre se haga público, en cualquiera de las fases del estudio. La confidencialidad se mantendrá, utilizando un seudónimo que solo conocerán la investigadora principal y la máxima autoridad de la misma universidad. Esta investigación incluye un análisis de los factores que influyen en la internacionalización de cada una de las universidades, utilizando:

- Datos sobre factores relativos a las características de la universidad, incluyendo su misión, las características del alumnado, las características del profesorado, la localización, la financiación, el nivel de recursos, el enfoque de sus iniciativas (regional, nacional, o supra-nacional), y u otros que puedan ser de interés
- Un indicador del estado de la internacionalización, que resulta de la aplicación del método desarrollado por Horn, Hendel, y Fry (2007) en los EE.UU. y adaptado al contexto Español por un panel de expertos en educación internacional, utilizando quince indicadores de internacionalización divididos en cinco categorías
- La opinión de los rectores de cada una de las universidades, con respecto a las motivaciones que promueven el avance de la internacionalización en su organización, y las facilidades que impulsan y los obstáculos que ralentizan estas motivaciones. Estas opiniones serán recogidas en una entrevista individual.

En una primera fase necesitamos recolectar datos sobre los factores de cada una de las universidades. La descripción de los factores relativos a cada una de las universidades se restringirá en los casos en los que la rectora o el rector decida que desea que la identidad de la organización se mantenga en secreto. Durante esta primera fase necesitaremos la colaboración de varias de las oficinas y departamentos de la universidad para la recogida de datos.

En una segunda fase queremos establecer el grado de internacionalización de cada una de las universidades participantes, utilizando el modelo creado por Horn, Hendel, y Fry (2007) que se ha utilizado ya en varios estudios de internacionalización en los EE.UU. Para la adaptación de este método al contexto Español hemos pedido a varios expertos en educación internacional que asignen un coeficiente de relevancia a cada uno de los indicadores de internacionalización incluidos en el modelo. En el estudio, para cada una de las universidades, se multiplicaran los valores de los indicadores por los coeficientes de relevancia correspondientes. La suma de los valores resultantes proporcionara una medida del grado de internacionalización de cada una de las universidades.

La tercera fase del estudio incluye entrevistas con rectores de universidades significativas, en la Comunidad de Madrid. El objetivo de estas entrevistas es el de identificar los motivos que impulsan el proceso de internacionalización de cada una de las universidades, así como los obstáculos y las facilidades asociadas a estas motivaciones, desde la perspectiva del rector como máxima autoridad académica y actor principal en la internacionalización institucional.

Puede usted ponerse en contacto conmigo (Cristina Grasset), para cualquier comentario, duda, o aclaración, en la dirección de correo electrónico grass058@umn.edu, o en el teléfono 607200187.

Los datos consignados durante cualquiera de las fases del estudio, anteriormente descritas, exceptuando aquellos datos que sean del dominio público, serán tratados para los fines propios de la investigación para la que se han solicitado, por parte de la investigadora responsable del fichero en el que se archivarán, siendo su única finalidad el análisis de la información proporcionada por los participantes. Los datos recogidos en formularios y o durante entrevistas, y todos los procesados y o utilizados para el análisis de la información, se incluirán en un fichero digital cuyo responsable es la investigadora principal, Doña Cristina Grasset, con domicilio laboral en Calle Altozano 9, Madrid 28023. Todos los datos relativos a la identidad del encuestado y o entrevistado se archivarán separados del mencionado fichero digital, de forma que en ningún momento se pueda asociar la información proporcionada en un cuestionario y o durante una entrevista con la identidad del entrevistado. De no manifestar fehacientemente lo contrario, el titular consiente expresamente el tratamiento automatizado total o parcial de dichos datos por el tiempo que sea necesario para cumplir con los fines indicados. En todo caso, el titular de los datos podrá ejercitar su derecho de acceso, oposición, rectificación y cancelación, conforme a la normativa vigente, pudiendo dirigirse a Doña Cristina Grasset, en la dirección de su domicilio laboral Calle Altozano 9, Planta Baja, Madrid 28023, o en la dirección de correo electrónico grass058@umn.edu.

Su participación en esta investigación es voluntaria y no será penalizado o perjudicado si rehúsa participar o decide dejar de participar.

La firma de este documento significa que las características generales de esta investigación, incluyendo la información que se encuentra arriba, le ha sido proporcionada, que accede a participar voluntariamente, y que autoriza a la investigadora principal a que procese y utilice los datos proporcionados por usted, respetando siempre las condiciones de confidencialidad que han sido pactadas.

Nombre y Apellido del Participante

Firma del participante

Fecha

Appendix F

Introduction to Study Flyer

Internationalization Rationales, Obstacles and Drivers: A Multiple Case Study of Spanish Higher Education Institutions



Estudio de caso sobre las motivaciones que impulsan la internacionalización en las universidades de la CAM

FORMATO:

Tesis doctoral, en la Universidad de Minnesota,
[Department of Organizational Leadership, Policy, and Development](#)

INVESTIGADORES Y COLABORADORES:

Da. Cristina Grasset / Investigadora Principal,
[Dr. R. Michael Paige](#) / Director de la Tesis
 Da. Patricia Hevey / Institutional Relations / Data Gathering

OBJETIVOS:

Análisis de las motivaciones que impulsan la internacionalización en las universidades Españolas. Se estudian tres instituciones de educación terciaria, de características muy diversas, buscando patrones comunes que permitan generar una teoría sobre factores que influyen en la internacionalización de las universidades Españolas.

MÉTODOS (*Mixed Methods*):

- Cuantitativo / "Horn, Hendel and Fry's (2007) method to assess the international dimension of universities", adaptado al contexto Español con el asesoramiento de varios expertos en educación internacional
- Cualitativo / "Knight's (2004) factors influencing internationalization rationales"
- Cualitativo / Análisis de documentos, incluyendo: pagina web, Fuentes del Ministerio de Educación, comunicaciones con departamentos de RR.II. , publicaciones informativas y de promoción, y entrevista con el Rector o Director del Centro

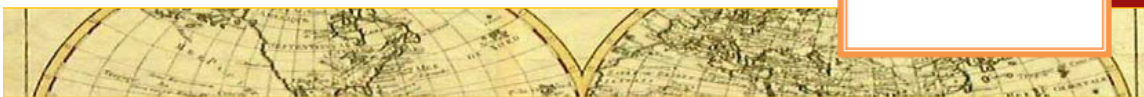
MUESTRA (*Maximum Variation Sampling*):

- Universidad Rey Juan Carlos, como representante de las nuevas universidades publicas
- Universidad Europea de Madrid, como representante de las universidades privadas
- Escuela Superior de Ingenieros de Caminos, Canales y Puertos, como representante de facultades pertenecientes a universidades publicas

DIFUSIÓN DEL ESTUDIO:

- Publicación digital en ProQuest Database
- Artículos en publicaciones de los EE.UU.
- Presentaciones en conferencias de educación internacional en los EE.UU. como FORUM EA, NAFSA, etc....

Cristina Grasset
 Doctoral Candidate
 UNIVERSITY OF MINNESOTA
 Department of
 Organizational Leadership,
 Policy and Development
Grass058@umn.edu
 Tel. +34 607 200 187
 Fax +34 91 3573790



Appendix G

Rationales survey items from de Wit (2002), IAU Global Survey (2010), and Knight (2004). To be used as a prompt in SIOs' interviews

POLITICAL	<input type="checkbox"/> Technical assistance to developing countries, development cooperation <input type="checkbox"/> Peace and mutual understanding <input type="checkbox"/> Regional identity
ECONOMIC	<input type="checkbox"/> Economic growth and competitiveness <input type="checkbox"/> The labor market <input type="checkbox"/> National educational demand <input type="checkbox"/> Financial incentives for institutions and governments <input type="checkbox"/> Income generation
CULTURAL AND SOCIAL	<p>Cultural</p> <input type="checkbox"/> Export of national and cultural and moral <input type="checkbox"/> Develop awareness of the interdependence of people and <input type="checkbox"/> Cultural centers (think-tanks), forums for learning, research, and social debate <p>Social</p> <input type="checkbox"/> Social learning / Personal development <input type="checkbox"/> Global-transnational-intercultural-international competencies <input type="checkbox"/> Social and community development
ACADEMIC	<input type="checkbox"/> Providing an international dimension to research and teaching <input type="checkbox"/> Extension of the academic horizon <input type="checkbox"/> Institution building <input type="checkbox"/> Enhancement of quality <input type="checkbox"/> International academic standards <input type="checkbox"/> Knowledge production
BRANDING	<input type="checkbox"/> Profile and status <input type="checkbox"/> International branding and profile <input type="checkbox"/> Student and staff development <input type="checkbox"/> Strategic alliances <input type="checkbox"/> Placement in university rankings
OTHER	<input type="checkbox"/> Other _____

Appendix H

Driving Forces and Obstacles / Internal and External

To be used as a prompt in SIOs' interviews

Based on IAUs 3rd Global Survey Report questionnaire

<p>INTERNAL DRIVING FORCES</p> <ul style="list-style-type: none"> <input type="checkbox"/> Students <input type="checkbox"/> Faculty Members <input type="checkbox"/> International Educators / International Office Personnel <input type="checkbox"/> Other Administrative Staff <input type="checkbox"/> President / Rector / Vice-Rector <input type="checkbox"/> Governing Board Members <input type="checkbox"/> Other _____ 	<p>EXTERNAL DRIVING FORCES</p> <ul style="list-style-type: none"> <input type="checkbox"/> Government Policy (national/regional/local) <input type="checkbox"/> Business and Industry demands <input type="checkbox"/> Demographic Trends <input type="checkbox"/> Lack of public/private funding for HEd <input type="checkbox"/> Demand from foreign HEIs <input type="checkbox"/> Other _____
<p>INTERNAL OBSTACLES</p> <ul style="list-style-type: none"> <input type="checkbox"/> Limited institutional leadership/vision <input type="checkbox"/> Absence of strategy/plan to guide the process <input type="checkbox"/> Administrative inertia, bureaucratic difficulties, and or lack of institutional policies and procedures <input type="checkbox"/> Lack of organizational structure / office responsible for internationalization <input type="checkbox"/> Limited faculty interest and involvement <input type="checkbox"/> Limited student interest <input type="checkbox"/> International engagement is not recognized for promotion or tenure <input type="checkbox"/> Insufficient financial resources <input type="checkbox"/> Limited experience and expertise of staff and or lack of foreign language proficiency <input type="checkbox"/> Too rigorous/inflexible curriculum to participate in internationally focused programs, including mobility <input type="checkbox"/> Other _____ 	<p>EXTERNAL OBSTACLES</p> <ul style="list-style-type: none"> <input type="checkbox"/> Visa restrictions imposed by our country <input type="checkbox"/> Visa restrictions imposed by other countries <input type="checkbox"/> Difficulties of recognition and equivalence of qualifications or study programs <input type="checkbox"/> Lack of interested partner higher education institutions <input type="checkbox"/> Limited recognition of the country/region as higher education systems of excellence <input type="checkbox"/> Limited public and or private funding to support internationalization efforts / to market our higher education internationally <input type="checkbox"/> Internationalization of higher education is not a national policy priority <input type="checkbox"/> Rigid rules for curriculum reform <input type="checkbox"/> Perceived insecurity in our country/city <input type="checkbox"/> Language barrier <input type="checkbox"/> Other _____