

# KEY GUIDELINES FOR MANAGING HIGHER EDUCATION INTERNATIONALIZATION STRATEGIES IN LATIN AMERICA AND THE CARIBBEAN



**Jocelyne Gacel-Ávila**  
*Coordinator*





# Key Guidelines for Managing Higher Education Internationalization Strategies in Latin America and the Caribbean



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## PRESENTATION

These *Key Guidelines for Managing Higher Education Internationalization Strategies in Latin America and the Caribbean* offer a methodological complement to the contents of two recent monographs: *The International Dimension of Higher Education in Latin America and the Caribbean*, published in 2018, and *Best Practices on Internationalization of Higher Education in Latin America and the Caribbean*, edited in 2019.

While in the two previous texts the authors set out to characterize the current state of the higher education internationalization process in Latin America and the Caribbean (LAC) from their position as partners in the project of the Regional Network for Promoting the Internationalization of Higher Education in Latin America (Red Regional para el Fomento de la Internacionalización de la Educación Superior en América Latina, RIESAL), these guidelines contain a series of experiences in managing different aspects of internationalization. The result is a collection of models that seek to systemize the management of different internationalization strategies and programs that have been implemented in the Latin American/Caribbean region.

These guidelines encompass twelve sections, each devoted to management models for programs such as international mobility, the internationalization of curriculum, dual degree, funding, governance, development-centered cooperation, strategic planning and models of internationalization offices, among others. All the authors are administrators and academics who have participated, or currently participate, directly in managing internationalization at higher education institutions (HEIs) in LAC.

Section I develops a model for the strategic planning of internationalization at HEIs, on the basis of an analysis of the institutional context,

mission and vision; academic activities; support services and resource management. The author, Fiona Hunter, emphasizes that hers is a model that can be adapted to the inevitable differences between different types of universities, while offering specific guidelines for implementing internationalization strategies.

Section II presents a model for managing public policies, implemented at the Universidad de La Habana (UH) and based on its internationalization strategy. The model includes detailed objectives and their corresponding road map, along with a diagram of internationalization processes that are carried out at UH and an inventory of the general functions of its Office of Internationalization and International Cooperation.

Section III looks at the management model adopted by one of the leading private universities in Uruguay: the Universidad ORT. It is based on an internationalization strategy that revolves around the institution's international projection. The model consists of four lines of action: academic visits, student exchange, international collaboration and language teaching. It functions under a well-defined organizational structure, headed by an Academic Vice President and an Office of International Affairs, which in turn has two coordinating offices, one focused on managing student exchange actions and the other on academic projects, plus a language center.

Now, since internationalization should have a direct impact on the management of HEIs' institutional policies and specifically on their governance and capacity for innovation, section IV insists that this requires the implementation of a model for the institutions' comprehensive internationalization. To back up the importance of such a model, it is pointed out that the region's internationalization efforts so far have concentrated primarily on implementing one internationalization strategy— student mobility—, even as the indicators under this heading are among the lowest in the world.

Section V focuses on finances, underscoring the fact that funding for higher education, its institutions, and its internationalization in particular, requires complex management models that can take advantage of today's diversification of opportunities and challenges. The management model for funding internationalization that is presented, based

on the experiences of the Benemérita Universidad Autónoma de Puebla (BUAP), looks at internationalization from multiple approaches by incorporating a variety of funding sources: public, private, civil society and international resources. The model encompasses five phases: institutional policy design, identification of needs, identification of funding sources, funding management, and results and accountability.

Section VI presents the model for attracting and managing international projects that has been developed by the Office of International Relations of the Universidad EAFIT, in Colombia. This model aims to attract international projects over five stages: self-knowledge (self-evaluation), opportunity mapping, identification of donors, preparation and postulation. The presentation of this model is complemented by guidelines for managing international projects.

Section VII formulates a model for managing international student and faculty mobility so that the individual impact and benefits obtained by students, faculty and administrative staff through their participation in international mobility programs spread proportionally throughout the entire institution and the community in general. To this end, the section begins with an operational definition of mobility, which includes these three groups of actors, and subsequently undertakes an analysis of the results that can be obtained from a comprehensive mobility strategy. It also sets forth the characteristics that HEIs' mobility offices should have, as well as a set of recommendations for the internal organization of internationalization offices.

Section VIII underscores the fact that the programmatic strategy that HEIs in the region implement the least is the internationalization of the curriculum. The Universidad de Pinar del Río Hermanos Saíz Montes de Oca, in Cuba, has implemented a management model called MOGIC to encourage it. The model is based on the concept of *methodological work*, a process of didactic formation of directors and professors, as described in detail in this chapter.

Section IX presents a management model for dual-degree and co-tutoring programs, developed by the Universidad del Norte (Uninorte), in Colombia. The administration of programs such as these poses special challenges, such as funding limitations and differences in academic

norms between HEIs from different countries. With these obstacles in mind, the chapter characterizes a management model that includes a number of stages, which are described in detail.

Section X presents a management model for international cooperation among HEIs that adheres to the concept of *sustainable development*, as proposed in the 2030 Agenda for Sustainable Development, of the United Nations, with its seventeen sustainable development objectives (SDOs). The section characterizes the particular features of this model as implemented at the Universidad de la República (UdelaR), in Uruguay.

Section XI, which looks at models for managing internationalization offices in LAC, undertakes an analysis of the characteristics and organization of these offices in the region on the basis of the main findings of the 1<sup>st</sup> Regional Conference on Internationalization Trends in Tertiary Education in Latin America and the Caribbean. The results are compared and contrasted with those of two other surveys conducted around the world by the International Association of Universities (IAU) in 2010 and 2014, and with those of a third survey, conducted by the Mexican Association for International Education (Asociación Mexicana para la Educación Internacional, AMPEI) in 2017. The analysis leads to specific recommendations for the organization of these university offices.

The section also includes a summary of the evolution that internationalization offices at HEIs in Brazil have undergone. The authors point out that even though these institutions do not follow a single model for their internationalization offices, the implementation of the new federal program CAPES PrInt demands more advanced management models.

Finally, section XII focuses on models for internationalizing HEIs with the intervention of regional international higher education associations that link HEIs with their international counterparts through inter-institutional cooperation programs. This section characterizes the models of the Montevideo Group University Association (Asociación de Universidades Grupo Montevideo, AUGM) and the Colombian University Association (Asociación Colombiana de Universidades, ASCUN). In the former case, the model is implemented through two management bodies: academic committees and disciplinary nuclei. The ASCUN model, for its part, operates through four components: interest groups, facilita-

tors, results, and continuous improvement processes, which see to the management of membership, funding, and inter-institutional programs.

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## SECTION 1

# MANAGEMENT MODEL FOR STRATEGIC PLANNING



# GUIDELINES FOR DEVELOPING AND IMPLEMENTING INTERNATIONALIZATION STRATEGIES

FIONA HUNTER

**A**s the Regional Network for Promoting the Internationalization of Higher Education in Latin America (Red Regional para el Fomento de la Internacionalización de la Educación Superior en América Latina, RIESAL) comes to an end, this chapter has been produced as a manual in order to provide a set of guidelines for developing and implementing an internationalization strategy. It is based on my experience in a large number of workshops and sessions held with universities, many of which were addressing internationalization and strategic planning for the first time.

The internationalization planning process does require a lot of work, and its implementation is almost always more complex than what people might imagine. Many cannot wait to reach the end of the plan, but in reality, of course, strategic planning does not have a natural end. Whatever the experience is with the plan and the implementation process, it is a good idea not only to work towards improving the current strategy, but to start thinking about the next cycle of strategic planning.

I hope this manual helps institutions, regardless of their experience with strategic planning, to reflect on how to develop a strategic approach to internationalization and to use the lessons learned in order to evolve towards their goals and find ways to overcome the unavoidable shortcomings encountered along the way.

I encourage you to regard internationalization as an opportunity to improve every aspect of your mission and institutional practice. By doing this, you can use every round of strategic planning to identify

new international aspirations and efforts. I wish you the best in these future endeavors.

## 1. General background. Trends and definition of the internationalization of higher education

### *Trends in the internationalization of higher education*

In a recent study published by the European Parliament on the internationalization of higher education, a series of key trends emerged, some of which can be detailed further here. There is a clear global trend, not only towards greater internationalization of higher education, but something broader in terms of the scope of activities it encompasses, with an increasingly strategic approach.

This trend appears as internationalization has become better identified as an answer to the challenges encountered by countries and institutions alike. In fact, there is a trend towards more national strategies for internationalization as Governments integrate broader strategies aimed at positioning their countries at the global level, bettering their economic condition or revitalizing and modernizing their higher education system.

These strategies flow down to the institutional level and influence the direction chosen by universities and institutions. However, even when there is no national strategy, institutions have developed their own proposals. It is clear that they are moving from an *ad hoc* approach towards a more strategic approach to internationalization, although this occurs at different speeds in different countries and institutions.

Of course, there is no *one-size-fits-all* approach to internationalization, as each one is influenced by a dynamic combination that is constantly evolving in its political, economic, sociocultural and academic foundations, taking on different shapes and dimensions in different regions and countries, in different institutions and their programs. All of this means that the institution must be very clear, at every level, about the motivations and expected results of internationalization.

### *How can we define the internationalization of higher education?*

Currently, the most commonly used definition of the concept of *internationalization of higher education* is that of Jane Knight, who describes it as “the process of integrating an international, intercultural and global dimension in the purpose, functions or provision of post-secondary education” (Knight, 2004, p. 11). This definition has served higher education well: it has allowed institutions to conceive it as a continuous process, and as a deliberately non-prescriptive concept, thus enabling a wide variety of understandings and manifestations according to diverse national and institutional contexts.

However, internationalization is often viewed as an objective in and of itself, instead of a method to improve the quality of education and research. There often is an excessive focus on quantitative results: how many exchange students, with how many associations, how many agreements, how much improvement in the rankings, etc. This focus is linked to a growing emphasis on economic factors, the trend towards privatization through the generation of income and the need to position the institution according to the parameters of international rankings. This does not mean that academic, political and sociocultural factors are no longer important, but that they risk losing ground and conflicting with economic priorities. A balance between them is hard to find.

The study conducted by the European Parliament revised Knight’s definition in an attempt to develop a concept of internationalization with a broader scope and impact, as well as to guide and inspire higher education institutions (HEIs) in their efforts towards internationalization.

Therefore, the parliament proposes that the internationalization of higher education should mean “the intentional process of integrating an international, intercultural or global dimension into the purpose, functions and provision of post-secondary education, with the aim of improving the quality of education and research for all students and personnel, and making a significant contribution to society” (de Wit, Hunter, Howard, and Egron-Polak, 2015, p. 281).

The revised definition has three key points:

1. It indicates that the process is planned and has a purpose, which creates a framework for its future direction, and that is designed to strengthen and improve the performance and quality of HEIs.
2. It reflects a broader awareness of the fact that the internationalization of higher education should be more inclusive and less elitist, and that mobility should be considered a core component of an internationalized study plan for all students. This also includes the personnel, as the process critically depends on the active participation and unconditional commitment of all the members of a particular HEI, who through their multiple academic and management functions will be the *foundation of the execution*.
3. It emphasizes the fact that the internationalization of higher education is not an objective in and of itself, but a method to improve the quality within and beyond the institution, which is why it should not revolve around economic reasons only.

Although the second revised definition is longer, and maybe more difficult to remember, it was developed with the intent of providing a useful starting point to structure international aspirations and ambitions and provide a clearer direction to the international dimension included in the institutional mission, in a broad array of national and institutional contexts.

## 2. Developing an internationalization strategy

### *How to begin*

#### *Achieve commitment from senior leadership*

It is essential that the process of developing an internationalization strategy be clearly promoted and backed by the institution's senior leadership. This is essential due to the fundamental nature of strategic planning as a process of change. An internationalization strategy may lead to changes in academic offerings, pedagogy, and research approaches, as well as to changes in organizational structures and practices. Without

commitment from senior leadership, the strategy may become too difficult to implement, be delayed or discarded, and actions may wind up without proper coordination or completion.

In this sense, senior members should implement the good practice of making an official announcement about the importance of internationalization for the institution and the need to develop a strategy to back its implementation. If all the phases suggested in this manual are followed, the process may take around six to nine months from the announcement of a new planning cycle to the approval of the internationalization strategy.

#### *Configure a planning group*

Once support has been secured from senior leadership, the next step is to establish a planning group to direct the planning process, coordinate different interventions and contributions, and produce the final document for approval. Normally, the group is made up of a small number of key staff members with experience in internationalization, or the areas on which the strategy focuses (meaning curricular development, research, etc.), as well as some of the leaders who have participated and advocate for internationalization. It is also good practice to listen to the students' voices.

#### *Conduct an internal and external context analysis (swot)*

It is always considered good practice to start the planning process with an exercise to identify the strengths-weaknesses-opportunities-threats (swot), and involve as many interested parties as possible. This means reaching out to academic and administrative personnel, the students, but also external interested parties to bring to a broad spectrum of points of view, not only on the current state of internationalization, but also on the institution and the realities of its environment. The swot exercise is also a way of promoting interest in internationalization and active participation in the activities to be developed.

The swot analysis helps identify the institution's internal strengths and weaknesses, as well as the opportunities and threats of its external context. The compiled information should be analyzed and systema-



tically categorized, which will aid in the selection of priorities, as not every aspect included in the SWOT analysis will necessarily be included in the strategy.

### *Generating appropriation*

The SWOT exercise offers an opportunity for the interested parties inside and outside the institution to express their assessment, but it is important to involve them in the entire process. This may be done by holding meetings with key individuals or groups in order to understand their priorities and concerns, but also by circulating drafts of the plan for a broader discussion and to obtain feedback.

It is key to develop the strategy by means of an authentic consultative and participatory process, with as many groups of interested parties involved as possible. This will generate the appropriation of the strategy and will improve the opportunities for success once it is implemented. The plan must not concern itself only with the senior leadership or be exclusive to the area of institutional internationalization: the vision of internationalization should be understood and shared by all, and the communication of the plan's progress should continue regularly.

### *Selecting a model*

#### *Identifying good practices*

Before drafting the plan, it might be a good idea to examine how other institutions have developed their internationalization plans. Many universities and institutions today publish their strategies on their websites, which makes for an unending list of examples. However, it is important to identify examples of internationalization strategies that align with the international ambitions, development stage, location and size of the institution. As we mentioned before, there is no *one-size-fits-all* approach when it comes to designing a strategic plan for internationalization. The strategies that have been developed in some national and institutional contexts may be inadequate – or even detrimental – in other contexts. Therefore, strategic internationalization strategies should be developed

considering the institutional mission and profile, as well as how internationalization may add value, instead of simply imitating other models.

The entire process should be guided by the key question: *why do we want to internationalize?* The answer to this question may influence *what* to internationalize and *how* to do it.

#### *A strategic plan model for internationalization*

Having said this, the present chapter offers a model for developing a strategic internationalization plan. It can serve as a starting point and be adapted to specific institutional needs. It offers the process, but does not propose content, as content will vary considerably according to the particular circumstances of each institution.

The proposed model includes a holistic approach to the strategic planning process and includes four core sections for the plan:

1. Context, vision and mission;
2. Academic activities;
3. Support services;
4. Resource management.

This means that:

- In Section 1, the plan explains how the vision of internationalization is justified in the institution's overall vision and mission. These in turn are derived from an assessment of the context in which the institution operates: its history, location and ethics, as well as from an evaluation of factors, both internal and external, that currently affect the institution (swot).
- In section 2, the plan describes the internationalization of academic activities (education, research and external participation) and shows how these activities will attempt to share the vision of internationalization and promote the institution's overall vision and mission.
- In section 3, the plan describes how support services will be internationalized to ensure they are capable of managing these academic activities.

- In section 4, the plan presents how the resources required for the effective development of these academic and internationalization support activities will be identified, managed and developed.

The information contained in sections 2 to 4 is mostly expressed as objectives and actions to take in order to achieve the vision of internationalization. An *objective* is a broader principle that guides decision-making during the plan's useful life, while an *action* is a specific means to contribute to the fulfillment of an objective. There may be many actions that support a single objective and constitute annual action plans. These actions generally have indicators that make it possible to monitor and measure progress. These indicators are often defined as:

- Specific: relating to an activity in particular and including a clear reason;
- Measurable: often in numbers, such as "from now until" or "within four years"; "increasing by x%" and "decreasing by x%"; or "carrying out a certain action by x date";
- Reachable: realistic, but extending beyond the institution's current capacity;
- Relevant: appropriate for the objective/action;
- Limited in time: with a clear calendar.

The *content*, as mentioned above, is subject to the institution's strategic options that aim towards internationalization. However, we recommend keeping it clear, simple and concise. The plan itself should be a relatively short document. Action plans will be developed on the basis of a strategic plan in the implementation stage.

Generally speaking, the appropriate *duration* of a plan is considered to be five years, which is enough time to achieve the objectives, but not long enough to lose sight of the current situation. The change in course is produced, and the plan is subject to continuous monitoring, with revised, refined and redefined objectives according to the emerging needs in the internal and the external institutional environment.

The selection of the *language style* for the plan should make it clear and positive-sounding. Given the fact that strategic plans are aimed at

the future, the simplest format includes “what we will do” or “what the institution will do”. Action verbs should be included, such as *improving*, *implementing*, *developing*, *reviewing*, *introducing*, etc., and reflective verbs should be avoided, such as *considering*, *exploring*, *thinking*. Such *considerations* should be thought through in the initial preparation stages, but the plan is about action. The message should be energetic and decisive.

The *number of pages* that make up the plan will vary, but it should be possible to present each section in two to four pages, which means the entire plan will amount to approximately ten to twelve pages.

### *Drafting the plan*

In order to draft the plan, the planning group must develop a production calendar for the different sections and assign responsibility to a smaller group of individuals with the proper level of knowledge and experience. As each section is completed, it can be shared with the rest of the planning group for comments, and then distributed to a broader audience for the same purpose. The individuals to be consulted may vary in the different sections of the plan, according to the knowledge and experience required. Each section is based on the previous one, which is why it is important to reach consensus on a section before moving on to the next one. This process can take between four and six months to complete.

Once a plan is completed, the planning group must ensure that the internationalization strategy:

- Is directly linked to the institution’s mission and vision;
- Has established clear objectives;
- Includes actions designed to achieve the objectives;
- Has appropriate units and policies in place, or in the planning stages, to carry out the corresponding actions;
- Has the financial and human resources in place, or in the planning stage, to allow the units to execute the actions.

In other words, it is important to assess whether the institution has the capacity and commitment to implement the internationalization

strategy. It is important to avoid developing proposals that cannot be implemented. Once the planning group is satisfied with the plan, it will be ready for ratification.

*An example for a strategic plan for internationalization*

The following is an example of a plan that develops the model presented here, and includes suggestions on how to structure content for each section. As mentioned before, this should be considered only a starting point, and each institution should develop a model that aligns with its own traditions or preferences.

STRATEGIC PLAN FOR INTERNATIONALIZATION  
NAME OF THE INSTITUTION  
DURATION: FIVE YEARS

SECTION 1. CONTEXT, VISION AND MISSION

Preamble

It is a good idea for the president/rector of the institution to give a few words at the beginning of the plan in order to show his or her commitment and support.

Then, the preamble can summarize any previous experience of the institution with internationalization, and how it fits with its history and development.

It may also include certain information about the local/national context that relates to key political documents, or with a few elements that emerge from the SWOT analysis.

If the institution has a strategic institutional plan, it should be referred to in the internationalization plan, with an explanation of how the latter serves broader institutional objectives.

Vision and mission

In this section, the institution can make a statement about its strategic vision for internationalization, including its relevance to the

institution's mission and broader vision, as well as to its underlying foundations. Why this particular vision for internationalization? What role does internationalization play in achieving the university's vision and mission?

#### External context and strategic imperatives

The institution may describe the challenges that the plan aims to address (or the opportunities it seeks to take advantage of) that result from the SWOT analysis, and should indicate the general direction of the response. It should also indicate how this response direction will support the general institutional strategy, if applicable. It is important to transform the SWOT results into a set of priorities for the plan, and to ensure that this part is not too long. It must inform the reader on the key problems that the plan will address in the next five-year period.

#### SECTION 2. ACADEMIC ACTIVITIES

The priorities may consist of curriculum (including mobility), research, collaborations, etc. For example, in the case of curriculum, how does an internationalized curriculum serve the institutional mission and what is the understanding of said curriculum? To achieve its objective, is it planning to introduce an international dimension to all the programs/levels or specific programs/levels? How will this affect learning results? Does this imply a change in the language of instruction? Will mobility opportunities be offered to all or some programs, to all students or only staff? Will it develop new international, dual or joint-degree programs? Is it aimed specifically at its own students, or does it plan to recruit international students, either through exchange programs or students seeking degrees, and which programs would be included? Is it using or planning to use the technology required to set up an international virtual classroom? In the case of research, how will a stronger international dimension enable the fulfillment of a mission? To achieve this, does it attempt to identify new international topics, develop joint research projects, joint authorship articles,

participate in international research networks, organize international conferences, or link research projects with teaching? In the case of collaborations, how does a more strategic and international approach to the development of associations enable the institution to fulfill its mission? To achieve its objectives, does it need to review current associations, look for new partners, or develop an association policy?

## PRIORITY 1. CURRICULUM

### Introduction

Write a short paragraph. What is the current situation and how does it appear to be developing throughout the term of the plan? (What is the reason for the change?)

### Objective(s)

Provide two or three general (long-term) objectives in short sentences. (What change is being pursued?)

### Actions for year one

Identify the actions to be developed in order to reach the objectives and express them in brief sentences or points. Make sure the numbered actions relate to the aforementioned objectives. (How will the objectives be achieved?)

Whenever possible, provide measurable indicators. How will the actions taken be recognized? As these actions are written down, the action plan for the first year will be in development.

### Actions for the following years

This may be very brief, as these actions are often unknown. You can indicate the future direction of the actions, or simply indicate that they will be developed according to the results obtained in year one.

**PRIORITY 2. RESEARCH**

Follow the same model as in priority 1.

**PRIORITY 3. COLLABORATIONS**

Follow the same model as in priority 1.

Add or eliminate priorities as needed.

**SECTION 3. SUPPORT SERVICES**

Support services are provided by administrative units to enable the effective functioning of academic activities. A key administrative unit is the international office, which should make sure that the appropriate support services are being offered for all academic activities, or whether some activities, such as research, will be managed through a research management office.

If the university is receiving international students through academic exchanges or students seeking a degree, student services (from the stage of initial consultation all the way alumni management) must be internationalized. Living is always a particular problem. This unit may also be responsible for extracurricular activities, and must consider how to involve international students if they are present on campus. There will also be implications regarding marketing and recruiting, which may initially be managed by the international office.

If study plans are being changed to provide an international dimension, offering study plans in other languages or online will have implications in terms of learning resources (library) and information technologies. If the institution has a quality assurance unit, it should also include international elements.

**PRIORITY 1. INTERNATIONAL OFFICE****Introduction**

Write a short paragraph. What is the current situation and how does it appear to be developing throughout the term of the plan? (What is the reason for the change?)



Objective(s)

Provide two or three general (long-term) objectives in short sentences. (What change is being pursued?)

Actions for year one

Identify the actions to be developed in order to reach the objectives and express them in brief sentences or points. Make sure the numbered actions relate to the objectives mentioned earlier. (How will the objectives be achieved?)

Whenever possible, provide measurable indicators. How will the actions taken be recognized? As these actions are written down, the first-year action plan is being developed.

Actions for the following years

This may be very brief, as these actions are often unknown. The future direction of the actions can be indicated, or simply that they will be developed according to the results obtained in year one.

**PRIORITY 2. STUDENT SERVICES**

Follow the same model as in priority 1.

**PRIORITY 3. MARKETING AND RECRUITING**

Follow the same model as in priority 1.

**PRIORITY 4. LEARNING RESOURCES AND INFORMATION TECHNOLOGIES**

Follow the same model as in priority 1.

**PRIORITY 5. QUALITY ASSURANCE**

Follow the same model as in priority 1.

Add or eliminate priorities as needed.

#### SECTION 4. RESOURCE MANAGEMENT

This final section examines the resources required to implement the activities identified in sections 2 and 3. This may include organizational renovation, human resources, financial resources and infrastructure. In terms of organizational renovation, it is very important to consider whether the institution has the adequate structures to deliver the plan and its constitutive parts. Does it need to reorganize parts of the institution, create different relations, or establish new offices or positions? Can the institution identify the individuals responsible for each section and priority included in this plan? Does it need an international committee? It is very important for the institution to be capable of delivering the plan and for the responsibilities and relations to be clearly defined.

In terms of financial resources, the institution must indicate how it will support the activities set forth in sections 2 and 3. How could it raise additional funds or redirect funds from other sources to support internationalization? Are there activities that could be carried out with an existing budget? Are there opportunities for volunteers, for students? It is important to point out in the plan that the institution has the resources required to conduct all the planned activities or knows how to procure them. This could imply, of course, that some activities may have to be reprogrammed if there are any delays in the identification of the required finances.

In terms of human resources, it is important to ensure that both the academic and the administrative staffs have the skills required to fulfill the plan's objectives. What staff development programs should be implemented in terms of language acquisition, intercultural competencies, new pedagogies, information technologies, etc.? How could incoming and outgoing mobility be used as a professional development tool? Are there incentives the institution could offer the staff to get them more involved with internationalization? How will this affect recruitment and promotion policies?

In terms of infrastructure, the institution should consider whether it is necessary to make some sort of change to support the objectives.

Does it require more lodging for students? Are new study spaces required, etc.?

## PRIORITY 1. ORGANIZATIONAL RENOVATION

### Introduction

Write a short paragraph. What is the current situation and how does it appear to be developing throughout the term of the plan? (What is the reason for the change?)

### Objective(s)

Provide two or three general (long-term) objectives in short sentences. (What change is being pursued?)

### Actions for year one

Identify the actions to be developed in order to reach the objectives and express them in brief sentences or points. Make sure the numbered actions relate to the objectives mentioned earlier. (How will the objectives be achieved?)

Whenever possible, provide measurable indicators. How will it be recognized that the actions have been taken? As these actions are written down, the first-year action plan is being developed.

### Actions for the following years

This may be very brief, as these actions are often unknown. The future direction of the actions can be indicated, or simply that they will be developed according to the results obtained in year one.

## PRIORITY 2. FINANCIAL RESOURCES

Follow the same model as in priority 1.

**PRIORITY 3. HUMAN RESOURCES**

Follow the same model as in priority 1.

**PRIORITY 4. INFRASTRUCTURE**

Follow the same model as in priority 1.

Add or eliminate priorities as needed.

*Implementing the plan*

Once an institution has formally ratified the internationalization strategy, it can begin the implementation process. This implies developing a yearly plan of action to transform the strategy into a detailed action program and coordinating multiple actions in terms of content and time, in order to enable the production of the change. The actions for the first year are already integrated into the strategy, but now it must include further details about roles and responsibilities.

A plan of action identifies five key elements:

1. What actions will be carried out? (prioritization).
2. Who will carry them out? (responsibility).
3. When will they be carried out? (calendar).
4. With what resources? (human and financial).
5. Who needs to know what? (communication).

A good plan of action guarantees that everyone involved knows who will do what when; it establishes a realistic calendar with short and long-term actions; assigns lines of responsibility and accountability for the scope of the actions; creates performance expectations; manages the performance of the actions and gives *credibility* to those who carry them out; organizes time, resources and energy, and leads to greater *efficiency*; motivates people to do what needs to be done, and creates *responsibility*. However, change can only be configured up to the present, and it is important to be prepared for unexpected challenges that will require the plan to be adjusted.

Once completed, the plan constitutes the base of institutional action for internationalization during the first year of operation, and it will require a meeting calendar. Institutions commonly develop excessively dense plans of action, which often leads to their reprogramming. The important thing is to identify the actions that represent *construction blocks* for the plan's future agenda, and to make sure they are carried out, or at least started, during the first year.

A key factor for success relates to having a staff that is willing to accept responsibility for the actions to be taken, has the appropriate resources, and acts responsibly. Taking part in internationalization activities should be a pleasant experience, which is why it is important to communicate and celebrate your successes!

### *Monitoring and review*

Once the plan of action has been designed, it is important to agree on the arrangements to monitor and review its implementation. This means identifying how this will be done, by whom and when. A monitoring team may have a series of different tasks, such as:

- Identifying dates to follow-up on the internationalization objectives and actions;
- Ensuring that accurate information is being collected on the multiple indicators;
- Planning the periodical review of objectives, timelines, reference points, performance indicators (progress achieved in contrast to expected progress);
- Establishing regular consulting sessions with the institution's community on the progress of the plan and any concerns about how to solve issues;
- Planning a long-term periodical reevaluation of the institutional environment in order to ensure that the strategy is still suitable.

Regardless of the monitoring team's responsibilities, it basically aims at responding to three key questions:

1. Are we doing what we planned to do?
2. Are we doing it well?
3. Is it aligned with our mission?

The answers to these questions will inevitably lead to adjustments, improvements and revisions when certain actions are no longer feasible or desirable, or when new opportunities and challenges emerge and require attention. The commitment to continuous review, evaluation and adjustments, as well as the capacity to be flexible in the course of implementation, are key elements for the implementation process. It is important to think about strategic planning as an instrument for facilitation, not for control. Unexpected and unintended events will occur, and the institution must rethink its strategy when facing such challenges.

If a monitoring and review approach is not currently part of the institution's culture, it is important to communicate that this will not be a process of control, but a process that enables adaptation and the capacity for response. It is not a *check the box* approach to say that a task has been completed, but a way to reflect on the achievements made and think in the future about continuous improvement and renovation.

## A few final ideas

The development of an internationalization strategy is a relatively simple process, but ensuring successful implementation takes considerable time, commitment, energy and resources. As strategic internationalization becomes a central part of an institution's mission, it will also be gradually integrated into the institution's academic activities, support services and resource management. It is a demanding enterprise, but also a very gratifying one, as the staff and students become active participants in a global community of higher education.

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SECTION 2  
MANAGEMENT MODEL FOR PUBLIC POLICIES





# PROPOSAL OF A PUBLIC POLICY MANAGEMENT MODEL FOR THE OFFICE OF INTERNATIONALIZATION AND INTERNATIONAL COOPERATION OF THE UNIVERSIDAD DE LA HABANA

ADIELA NEYDA BATISTA DELGADO  
MARIANELA CONSTANTEN MACÍAS  
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## Introduction

Public policy reflects the ideals and aspirations of society and, within it, of organizations. It should express objectives aimed at the collective good and clarify the alignment of any proposed development (and above all, how such development will be achieved) by distributing responsibilities and resources among the actors involved.

Public policies can be broadly defined as *anything Governments decide to do or not to do*, as defined by Thomas Dye, author of *Entendiendo las políticas públicas* (Torres-Melo, 2013). Certainly, public policies refer to the action (or inaction) of Governments aimed at solving collective problems. In other words, they consist of the decisions and actions of top institutional authorities aimed at solving problems. For the purposes of these guidelines, they represent a response from the university sector to the need to normalize the functions of internationalization offices at universities and human resource development centers.

As Gacel-Ávila (2000) suggests, the first objective of the internationalization process consists of designing and implementing an inter-

nationalizing policy that aligns with institutional interests, by means of a structure that guarantees professionalism, institutionalism and sustainability. Studies conducted by the Organization for Economic Cooperation and Development (OECD) show that the implementation of the internationalization process in a higher education institution (HEI) requires the establishment of two types of strategies: organizational and programmatic (de Wit, 1995).

University internationalization is conceived at the Universidad de La Habana (UH) as a cross-sectional and first-order process within the institution's political and ideological strategy, in order to introduce the international dimension into the university functions of education, research and extension. As Jesús Sebastián (2005) observes, the internationalization of higher education has multiple manifestations and two noticeable areas of action: within the university and outside of it, which gives the concept a dual nature. This way of approaching internationalization processes facilitates the understanding of its characteristics and enables the creation of strategies to accelerate and orient such processes.

HEIs need to define institutional policies for internationalization and, subsequently, the strategies to direct the development and implementation of the process. An internationalization process that is instituted in all university educational projects is not a marginal process, but a part of university life, which generates a real institutional culture of internationalization (Jaramillo, 2003).

In Cuba, recent efforts have failed to satisfy the needs for the opening of an academic community that is striving to become more competitive in a scenario that demands new skills and ways to interrelate. It is important to break with the relative isolation of international relations offices at Cuban universities, and although some progress has been made, the breach separating Cuba from the university internationalization models and processes implemented in countries at the cutting edge of this field is notorious.

Current reality calls for reconfiguring strategies and processes and creating new models that can transform the traditional structures that have been followed up to now. A public policy management model will

help to improve the quality and competitiveness of the university in compliance with the principles, values and regulations of the Cuban State.

## **1. Public policy management model for the Office of Internationalization and International Cooperation of the Universidad de La Habana**

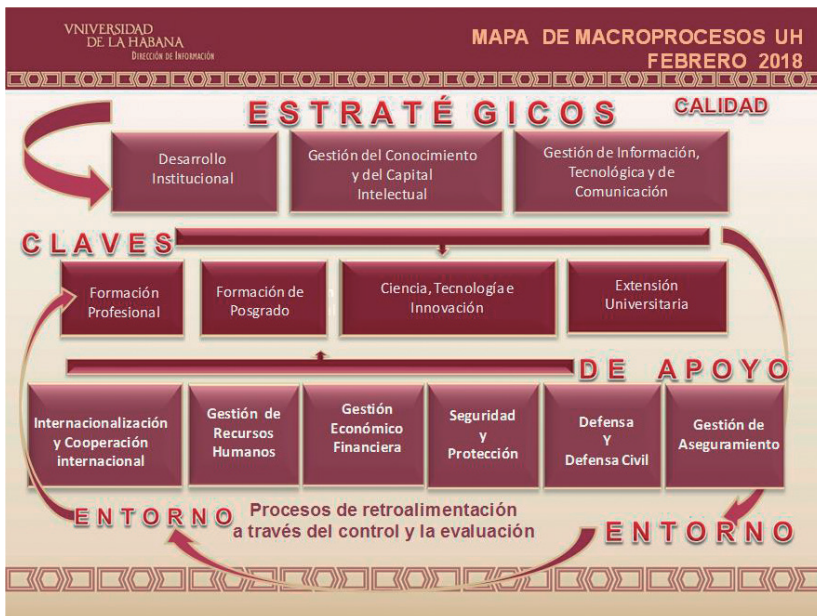
Currently, the concept of *internationalization* should not be seen as the organization and execution of international activities. Having international relations should not be confused with having a real internationalization policy and strategies, as the latter are designed to promote and increase the quality and relevance of higher education.

The public policy management model for UH's Office of Internationalization and International Cooperation included in this chapter is designed to strengthen institutional capacity to manage internationalization and international cooperation, with the latter constituting a key and effective component to enhance the management of knowledge and resources that the institution offers and to support the growth and development of its substantive processes, including infrastructure improvements, in order to contribute to the country's development and UH's international excellence and visibility.

### *Design of the proposal*

The model includes a process map (Figure 1), the general activities of the Office, a roadmap, strategies and strategic objectives.

Figure 1  
Map of the macro processes of the Universidad de La Habana (February 2018)



Source: internal documentation of the Universidad de La Habana.

### *General activities of the Office*

- Conducting an assessment of the current system to identify critical points.
- Enhancing the university quality evaluation and accreditation process according to international standards.
- Developing a training program on collaboration management.
- Developing joint-degree programs
- Promoting the international and intercultural dimension of the curriculum within the university's own programs.
- Increasing the number of foreign students and faculty members involved in the formation process.
- Managing graduate education at institutions of excellence.
- Promoting international mobility and exchange programs for education and specialization with institutions of excellence.
- Increasing foreign language competencies.
- Developing a project portfolio that gives priority to projects that support research, innovation, formation and institutional strengthening.
- Managing relevant integrative international projects that contribute to the excellence of substantive processes, with an emphasis on research, development and innovation (R+D+I).
- Developing an advisory program on managing international projects.
- Taking advantage of the opportunities offered by active membership in organizations, associations and international networks.
- Increasing the number of patents, licenses, awards and publications in internationally-renowned institutions.
- Promoting participation at international events.

## *Roadmap*

The roadmap is aimed at achieving a series of elements through its actions.

- High quality in the management of international collaboration and cooperation. Actions: conducting an analysis of the current system to identify critical points, the number of academic collaboration agreements per country, the current state of academic collaboration agreements, as well as the actions that originate from them; enhancing the university quality evaluation and accreditation system according to international standards; updating and implementing the internationalization strategy; and developing a training program on collaboration management and language, with trained professionals by geographical area and a number of training activities.
- Curricular internationalization. Actions: developing joint-degree programs, including a percentage of faculty members involved in joint-degree programs with demonstrable proficiency in a foreign language; promoting the international and intercultural dimension of the curriculum of programs within the university, with undergraduate and graduate programs having the participation of international academics and a certain level of student satisfaction with the programs; and increasing the number of foreign students and faculty involved in the formation process, indicating the number, their country of origin and the growth achieved between periods, as well as demonstrated learning results.
- Faculty of PhDs with internationally-renowned research and teaching capabilities. Actions: procuring graduate education at institutions of excellence, by determining the percentage of participation in foreign programs and increasing the participation in calls for strengthening graduate education; promoting international mobility and exchange programs for education and specialization to institutions of excellence, by recognizing the number of graduate students enrolled in mobility programs, their rate of increase and how many of them contribute to PhD formation, as well as the number of undergraduate students involved in these programs, their countries of destination and rate of increase; improving proficiency

in foreign languages, by determining how many faculty members have academic communication skills in a foreign language and the number of lectures given in English.

- Promotion and development of financial resource management for international projects, articulated with national and international priorities. Actions: developing a project portfolio that gives priority to projects that support research, innovation, formation and institutional strengthening, indicating the number of schools and research centers with a project portfolio for financial resource management, including percentages; managing relevant integrative international projects that contribute to excellence in substantive processes, with an emphasis on R+D+I, measuring the level of satisfaction of professors and students with the improvement of study and working conditions; developing an advisory program on managing international projects, with the number of courses taught by UH experts and external advisors.
- Increasing the number of approved international projects and international recognition and visibility. Actions: taking advantage of the opportunities provided by an active membership in international organizations, associations and networks, by following up on the number of the institution's memberships and the corresponding percentage of growth; promoting the candidacy of professors and directors to key positions in international organizations, associations and networks; elevating the number of patents, awards and publications at internationally-renowned institutions, as well as following up on the percentage of co-authored publications in comparison with overall publications; promoting participation in international events, registering the number of participants, their countries, institutions and growth percentage, as well as the number of foreigners participating in events per area, their countries of origin and growth in terms of percentage.



## *Internationalization strategy of the Universidad de La Habana*

The Ministry of Higher Education of the Republic of Cuba has identified internationalization as a priority for the development of Cuban HEIs within the period of 2017-2021. UH has taken this strategic framework to develop its planning process, and as a result has designed the corresponding strategy for the university up until 2021; therefore this chapter is presented while the process is being reviewed and updated.

The Internationalization Strategy of the Universidad de La Habana 2017-2021 (the Strategy), although adjusted to a specific institutional framework, is consistent with conditions outside the university, which are expressed in the legal and administrative framework of the country's higher education system and other dimensions of the national and international context related to science and technology, politics, socioeconomics, culture, international relations and security. Its design and implementation are particularly sensitive to changes in the international environment and the current state of the country's international relations.

The Strategy recognizes foreign institutions and organizations that maintain a respectful attitude towards Cuba and those whose quality is internationally renowned as academic peers, and abstains from designing, executing or supporting internationalization efforts with funds, individuals or international actors that affect the sovereignty and integrity of the nation. In this sense, the Strategy grows out of the principle of promoting the achievements of the Revolution, of Cuban science, innovation, research and culture.

The external emphasis of the Strategy does not exclude the national dimension, as internationalization will remain a strategic process as long as it complements and provides continuity in addressing national and territorial needs, interests and priorities, and therefore is grounded in inter-institutional relations.

In this context, the Strategy grows out of the need to adjust the objectives, measurement criteria and main lines of action to a gradual implementation, in the university environment, of the documents approved by the 7<sup>th</sup> Congress of the Cuban Communist Party of 2016, particularly in reference to the *Conceptualization of the Cuban economic and social model*

*of socialist development and the Guidelines for the economic and social policy of the party and the revolution 2016-2021, which detail short-term actions, and the Plan for economic and social development 2030: a proposal for the nation's vision, strategic focuses and sectors, which establishes the long-term objectives to achieve sustainable development.*

In accordance with the country's policies, UH's vision for the period set forth in the Strategy includes becoming a university with a greater presence, visibility and participation at the international level. This vision presupposes the growth and diversification of the role of internationalization in academic projects, along with the improvement of its management according to the university's guidelines and interests. In this sense, the hope is for an increase in the *updated offerings of international academic services of a high quality and variety*, a strengthening of *international cooperation and academic exchange*, as well as for the networks of international collaboration to generate *high-impact results and quality scientific production*.

The mission for the projected period is to contribute to economic, social, cultural and political development through the deployment of processes for the ongoing formation of competent professionals; science, technology and innovation; and university extension (Table 1).

**Table 1**  
Strategic objectives and actions

Objective	Academic actions	Administrative actions	Economic resources
To promote the signing of academic collaboration agreements (Convenios de Colaboración Académica, CCAs).	Identify foreign academic institutions of excellence, with the prestige, international visibility or other strengths required to substantially contribute to university objects. Coordinate, follow-up and evaluate the impact of CCAs.	Analyze and approve proposals in accordance with institutional priorities. Disseminate the policies, strategies and operations of the internationalization process.	Assign a budget for training activities. Training courses taught by UH experts and external advisors.
To promote mobility to foreign academic institutions.	Promote the international mobility of students, professors, researchers and administrative personnel to academic institutions of excellence, emphasizing PhD formation and postdoctoral specialization. Promote the participation of directors and professors at international events with proven prestige and visibility. Increase the number of professors involved in undergraduate and graduate programs abroad. Build up programs taught abroad. Support the participation of students in international extracurricular activities. Improve the capacity to communicate academically in the English language.	Provide services for mobility procedures. Provide assistance and information services to students, professors and administrative personnel. Manage the financial aid procedures for mobility. Guarantee transportation to and from airports.	Assign budgets for visas, medical insurance, food and transportation. Assign a budget for training activities. Assign a budget for printing documents.

Objective	Academic actions	Administrative actions	Economic resources
<p>To enhance support for institutional processes and formation of PhDs through international projects.</p>	<p>Promote the international projects currently in execution.            Evaluate the relevance of linking research projects in national programs to international activities, projects or programs.            Update the project portfolio and intensify its presentation at international events.            Promote the access to development cooperation funds and other sources.            Train international project managers in the different academic areas and develop their skills.            Proactively manage the donations to the academic areas.            Increase the percentage of publications achieved through co-authorships in international projects in relation to overall publications.</p>	<p>Analyze and approve proposals in accordance with institutional priorities.            Evaluate the relevance of these proposals.            Provide services for mobility procedures.            The scientific councils advise and evaluate the proposals.            Assign a budget for mobility.</p>	<p>Assign a budget to teach training courses with the participation of UH experts and external advisors.            Assign a budget for printing documents.</p>

Objective	Academic actions	Administrative actions	Economic resources
<p>To join international academic networks, research groups, organizations and associations.</p>	<p>Articulate research projects with international academic groups and networks, provided it is relevant in obtaining high-impact results and quality scientific production.                      Promote members, provide follow-up and take advantage of the opportunities that come from membership in international organizations, associations and thematic groups.                      Promote the candidacy of professors and directors for key positions.                      Disseminate and intensify the activity and evaluate the impact of international lectureships.</p>	<p>Analyze and approve proposals in accordance with institutional priorities.                      Procure printing.</p>	<p>Assign a budget for the payment of memberships.                      Assign a budget to pay for participation in international networks. Assign a budget for printing documents.</p>
<p>To actively take advantage of opportunities provided by nominations, prizes and awards from institutions or international organizations.</p>	<p>Provide an international spotlight for the image of the institution and its members.                      Promote the international dissemination of the scientific production of students, professors and researchers. Promote academics' international profile, their visibility in social and professional networks.</p>	<p>Manage activities related to international organizations.                      Promote the development of the academic community's activities online.</p>	<p>Assign a budget for the printing of brochures. Assign a budget to improve informational infrastructure.                      Assign a budget for printing documents.</p>

Objective	Academic actions	Administrative actions	Economic resources
<p>To disseminate and manage the opportunities provided by postgraduate fellowships that result from international cooperation.</p>	<p>Promote international mobility for graduate formation and specialization (master's degrees, PhDs and post-docs) to academic institutions of excellence.</p>	<p>Manage procedures for financial support of mobility. Promote courses and programs. Guarantee transportation to and from airports.</p>	<p>Assign a budget to acquire office supplies. Assign budgets for visas, medical insurance, food and transportation.</p>
<p>To develop undergraduate and graduate programs with the participation of foreign academics and students.</p>	<p>Promote the international and intercultural dimension of the curriculum within university programs, distance education and e-learning. Develop joint-degree programs, processes to evaluate and accredit university quality according to international standards. Attract international professors and researchers. Develop and disseminate studies that focus on internationalization. Disseminate and intensify the activity of international lectureships. Boost the number of foreign students and teachers participating in scientific events organized by the academic area. Increase the number of courses or lectures taught in English. Promote the learning of Spanish as a second language for other cultures.</p>	<p>Develop training workshops. Promote courses and programs. Provide services for obtaining academic visas. Execute actions to improve infrastructure. Admit foreign students. Provide Wi-Fi services and libraries for international students. Guarantee transportation to and from airports. Ensure degree completion.</p>	<p>Assign a budget to improve the condition of residences. Assign a budget for mobility. Assign a budget to improve classrooms and course development. Assign a budget for printing brochures.</p>

## 2. Contributions of the model

The public policy management model for UH's Office of Internationalization and International Cooperation focuses mainly on quality through the management of the internationalization process within the university, as well as through the consolidation of the international dimension as a key element of university activities. The application of this model guarantees the coherence and cross-sectionality of the internationalization process at this institution.

## Conclusions

It is impossible to think or study public policy only as the result of a technical process aimed at finding the most efficient solution. Public policies express the conflict and negotiation of reality and its transformation, in other words, the final result from applying a certain policy.

Promoting a culture of internationalization at HEIs and establishing policies and strategies for its implementation and follow-up, in accordance with the objectives and strategies for institutional development, calls for modifying the logics of operation, mobilizing academic and scientific communities and their support personnel as actors within the process, and strengthening their management capabilities. There must be a combination of regulatory elements that promote institutional openness, with appropriate organizational structures and concrete programs with the material, financial, human and professional resources required to guarantee the institutionalization and sustainability of internationalization.

This model is a way for the academic community to develop its potential, find its courses of action and come up with its own solutions.

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**SECTION 3**  
MANAGEMENT MODEL FOR INTERNATIONAL  
INSTITUTIONAL PROJECTION



# MANAGING INSTITUTIONAL INTERNATIONAL PROJECTION: THE MODEL ADOPTED BY THE UNIVERSIDAD ORT URUGUAY, A PRIVATE UNIVERSITY

LAURA DIAZ-ARNESTO

JULIO C. FERNÁNDEZ

## Introduction

The University, as a core institution for higher education; for generating, applying and transferring knowledge; and for social commitment to the community, has always exhibited an international articulation that is both inherent and indispensable. Insofar as universities are fundamental institutions of the knowledge society, the advancement of new technologies, economic development and the globalization of professions and knowledge have an impact on the their international dimension, and internationalization processes become essential to them.

The international dimension of the Universidad ORT Uruguay (ORT) is an integral component of its mandate and scope. It comprises a diversity of initiatives, activities and strategies that sustain the institution's commitment to high-level education, the optimization of the faculty's academic quality, the reinforcement of its researchers' capabilities, the continued promotion of innovative culture and entrepreneurship, and a vocation for community service.

Higher education institutions (HEIs) focus on designing study programs that expose and prepare students to perform better in a globalized and diverse world, often including multilingual learning and the development of intercultural competencies. The international projection of

ORT also aims to position the institution in a way that facilitates better participation in international spaces in order to attract new opportunities, exchange experiences, establish strategic alliances with different partners and obtain access to areas of debate and decision making that are relevant to higher education.

*International projection* is understood as the set of strategic guidelines, activities and tools that an institution uses in an international environment to achieve its goals and extend its scope. The international projection of an institution is grounded in international cooperation, although it is a different process, distinguished by the level of institutional presence in international scenarios, visibility, recognition and returns obtained, both tangible and intangible.<sup>1</sup> Nevertheless, the terms *international projection*, *internationalization* and *international cooperation* are often used interchangeably.

Given its foundational origin, ORT has always been interested in internationalization and international cooperation. In its origins as a technical school belonging to the educational organization World ORT,<sup>2</sup> the university adopted and developed a management model for its international projection that has evolved according to its own needs and requirements, but also in response to guidelines and demands from outside the institution.

The present chapter describes some of the fundamentals and management tools included in this model, which is heavily influenced by particular elements such as the makeup of the Uruguayan higher education system, ORT's institutional evolution, the specific needs and expectations of the university itself and the external factors mentioned previously that impact the internationalization of higher education. The description does not intend to be exhaustive; it simply aims to present certain approaches, actions and practices that are applied at ORT and that could facilitate international projection in institutions with similar characteristics.

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1 For a more detailed description, see: Sebastián (2004).

2 World ORT is an international non-government educational organization founded by the Jewish community of Saint Petersburg, Russia in 1880. See: <https://www.ort.org/>

## 1. Relevant background

The following section describes some background on ORT's international projection.

Uruguay is a small peripheral country, with a population of just 3.5 million (Instituto Nacional de Estadística, 2014). Because of the demographic significance of its capital, Montevideo, a major port, and due to its immigrant population, it is a society accustomed to looking outwards. Its higher education system has only seven universities, two of them of recent creation (as of 2012).

### *The Uruguayan higher education system*

In Uruguay, the freedom of teaching is guaranteed in article 68 of its constitution. The university system currently has two state universities: the Universidad de la República (UdelaR) and the Universidad Tecnológica de Uruguay (UTECH), plus five private universities: the Universidad Católica de Uruguay, ORT, the Universidad de Montevideo, the Universidad de la Empresa and the Universidad CLAEH.<sup>3</sup>

Additionally, it has about a dozen academic institutes, which focus their activity on a certain field of knowledge and are of a smaller size, as well as other tertiary institutions that form teachers, the military, police or technicians. Unlike other countries in the continent, Uruguay is characterized by a long tradition of free admission to undergraduate studies, with no selective admission.

The history of the Uruguayan higher education system was characterized for over 135 years by the existence of a single university in the country, UdelaR, founded in 1849. Today, UdelaR is governed by Law 12.549 (of 1958) which, among other fundamental principles, establishes its academic autonomy and functioning with a budget assigned by the National Budget Law. A similar situation applies to UTECH, created by Law

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3 For a more detailed description of higher education in Uruguay, see: Gacel-Ávila (2018).

19.043 (of 2012) as a public autonomous university, and for state-run university institutes and non-university tertiary institutes.

For their part, the country's private universities are governed by Decree 15.661 (of 1984), under the rules set forth in the Regulation Decree of the Private Tertiary Teaching System (Decree 104/014 of 2014, based on Decree 308/995 of 1995), which establishes the authorization requirements for the functioning of these institutions and for the official recognition of the academic level of their study programs. The same decree created the Tertiary Private Teaching Advisory Council as an advisory body of the nation's Culture and Education Ministry (Ministerio de Educación y Cultura, MEC). As discussed later in this document, ORT was the first institution to request and obtain the category of *private university* under the new 1996 regulatory framework, an administrative act that simply reflected a reality that had already existed for decades in Uruguayan society.

The authorization to function and the official recognition of academic level are processed through the MEC, an entity that has a public record of the authorized institutions and recognized qualifications. The Tertiary Private Teaching Advisory Council has, in turn, the task of advising the MEC about the requests for authorization to function, the recognition of academic level for new programs and the revocation of such acts. The board consists of eight members designated by the Executive Branch upon proposal by UdelaR (three members), the MEC (two members), the National Public Education Administration (one member) and the university institutions authorized to function as such (two members). Once recognized, the qualifications issued by the private universities have legal effects identical to those of UdelaR.

The country's private universities must be non-profit civil associations.<sup>4</sup> They do not receive financial support from the State and are subject to private law regulations. For instance, 90% of ORT's funding comes from tuition fees; the other 10% is obtained from sources such as the development of both national and international projects, consul-

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4 Requirement for authorization in order to operate or receive recognition of its academic levels.

ting, donations, etc. ORT also has different scholarship funds for university undergraduate and graduate programs, as well as short programs, which can cover up to 60% of tuition (in the case of an undergraduate program), and benefit over 1,000 students every year. Article 69 of the constitution establishes that private teaching institutions are exempt from national and municipal taxes, as a subsidy for their services.

### *Historical Evolution of the Universidad ORT Uruguay*

In its over seventy-five years of existence, ORT has developed different institutional structures that have also implied differentiated perspectives in terms of its international projection.

ORT was founded in 1942 by members of the Jewish community as an organization dedicated to technical education, with a special focus on supporting the integration of Jewish immigrants by training them in relevant skills, which is why it was constituted as a technical school in 1949.

During the decades between 1950 and 1970, ORT affirmed its identity as a tertiary education institution and expanded its educational proposal to society in general; at the same time it began specializing in more advanced technological areas, such as electronics. Starting in the 1980s, under the new name of Instituto Tecnológico ORT, it underwent rapid growth and became one of the leading institutions of Uruguay within the tertiary education sector in electronics, telecommunications and computing.<sup>5</sup> In that same decade, the Management School was founded, the first business school established in the country.

With the establishment of the first legal framework for the functioning of private universities in Uruguay in 1995 (Government Decree 308/95), ORT requested and received the recognition of *private university* in 1996, being the first institution of the country to be recognized under the new legal regime, and changed its name to *Universidad ORT Uruguay*. The university incorporated new academic units, such as the School of Architecture and the Institute of Education, joining the existing Schools

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5 In 1985, the ORT requested official recognition of their tertiary degrees in system analytics and electronics.



of Engineering, Communication and Design, and Administration and Social Sciences, making up a total of five academic units constituting the ORT today.

### *Main characteristics of the Universidad ORT Uruguay*

ORT can be defined as a *university of applied sciences*. It is a privately-managed, non-profit, medium-sized, secular and mixed-education HEI. Its five schools and institutes are distributed in two urban areas. Alongside numerous programs and professional development courses, it grants undergraduate, graduate, short-program and technical degrees in different fields, including architecture, engineering, biotechnology, administration and business, economics, international studies, design, animation and video games, communication, and education.

ORT's Business School is one of the most prestigious in Latin America,<sup>6</sup> and is fully accredited by the Association of MBAs (AMBA). The institution has been a pioneer in the introduction of new undergraduate programs and educational technologies in Uruguay, and provides advanced students and graduates with different supporting services to facilitate their entry into the labor market.

The production, communication and transfer of knowledge are key elements of the quality of education at ORT. By means of twelve main research groups, a supporting fund of its own and numerous projects obtained through national and international calls for proposals, ORT contributes to the generation of basic and applied knowledge, often in joint projects with industry and with the participation of students.

ORT promotes innovation and the entrepreneurial spirit within all of its academic actions and activities. In 2001, it co-founded the country's first technological business incubator<sup>7</sup> and, through its Entrepreneurship and Innovation Center, it promotes start-ups by training, supporting and following up on entrepreneurs.

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6 According to the ranking of *América Economía* magazine.

7 Ingenio, jointly developed with the Laboratorio Tecnológico del Uruguay (LATU).

ORT's international collaboration includes over 180 agreements with academic institutions in thirty-one countries; collaborative activities in teaching and research; participation in networks, international projects and programs; promotion of mobility for students and teachers; and language teaching, Spanish as a second language programs, international programs, courses taught in English and specialized international study centers.<sup>8</sup> The Instituto Rey Sejong Montevideo,<sup>9</sup> an initiative in collaboration with the Republic of Korea, operates within ORT, which is also a member of the International Association of Universities (IAU) and of the Union of Universities of Latin America (Unión de Universidades de América Latina, UDUAL); at the same time, its faculties, institutes, and centers belong to specific networks and associations of their field of activity.

### *The international projection of ORT in its early days*

ORT Uruguay started to develop its international projection in the 1980s. With the initial goal of satisfying needs of the moment, focused on defining and managing new academic programs, its international collaboration strategies with other institutions started to set it apart. The actions were developed at the initiative of the institution's main authorities, and there were no specialized organizational structures.

In 1994, the Office of the Dean of Academic Development was founded as a unit answerable directly to the Rector's Office; its responsibilities included cultivating relations to promote collaboration and international projection by ORT. While other university authorities (school deans and the rector) continued promoting academic agreements oriented towards educational collaboration, the more complex management matters, such as the specialized training of the academic group, incipient student and faculty mobility and, in general, the coordination of international activity, continued to evolve from isolated faculty activities to a specialized central organization. Throughout these years,

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8 Through the Center for Australian Studies. See: <https://asc.ort.edu.uy/>

9 See: <https://www.facebook.com/InstitutoReySejongMontevideo/>

the fundamental pillars of the university's internationalization were set, such as the student exchange program, participation in international projects, and language teaching.

In terms of organizational structures, the Coordination of Institutional Relations was created in 2004, and the Coordination of Student Exchange in 2007, both dependent on the Dean of Academic Development. This organizational chart was subsequently adjusted until it took on its current structure.

## 2. The current management model

### *Evolution of the model*

It could be said that ORT's international projection management model has evolved in three main aspects: conceptual evolution, precise strategic guidelines, and the organizational strengthening of structures and human resources.

Today, collaboration at ORT is primarily based on the development of joint activities. For example, the current policy for signing international agreements requires the existence of prior academic collaboration activities with the other institution. Conceptually, the international relations model has evolved from strengthening the institution through international support (for example, through joint PhD programs)<sup>10</sup> to interinstitutional collaboration. Some current examples are the collaboration with universities in China for the teaching of Spanish and with different institutions of Honduras for innovation and entrepreneurship, as well as the growth of student mobility, balanced between incoming and outgoing mobility.

Strategic guidelines, although not set forth in a document, permeate all pertinent units and the academic community, and are actively promoted by the university's directive body. The main strategic guidelines

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10 Developed with the Universidad Politécnica de Madrid since 1999.

appear in the updating reports that the university has regularly submitted to the MEC since 1996.

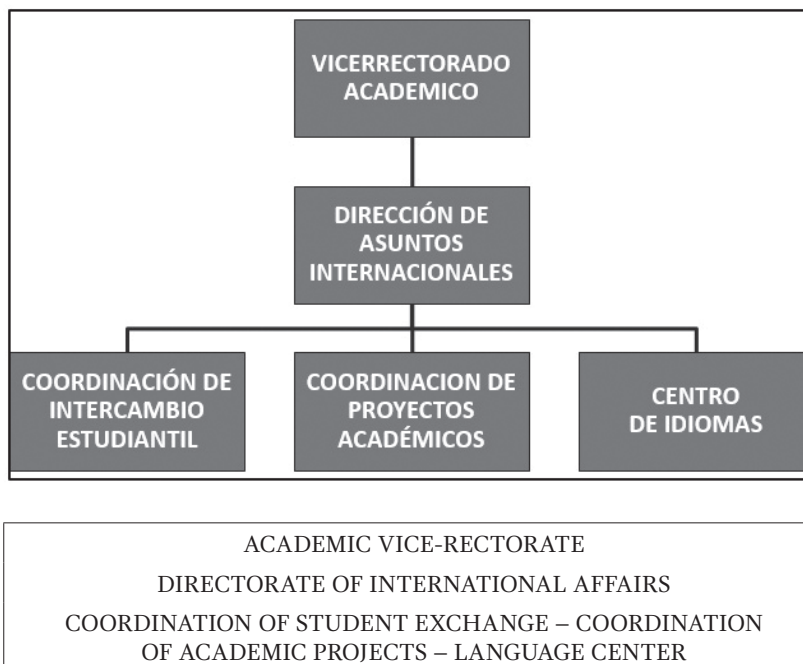
These reports set forth the guidelines and milestones of institutional policy and organization, such as:

- The establishment of the Office of the Dean of Academic Development (subsequently transformed into Academic Vice-Rectorate), with an initial goal of developing international cooperation and the subsequent inclusion of student exchange programs, academic projects and the Language Center.
- The explicit policy of assigning the responsibility for the institution's international collaboration to all high-level academic authorities, a policy that gradually developed into the current conception, in which although the Academic Vice-Rectorate is the central authority for institutional collaborations, the schools maintain autonomy to seek out their own collaborations and decide on collaboration activities that are finally approved by the Vice-Rectorate;
- The strategic guideline for expanding the university's internationalization, at both the student and faculty levels, through the consolidation of the student exchange area and the promotion of visits from outstanding foreign academics to teach courses, conduct curricular modules and give lectures;
- The recognition of other internationalization dimensions such as teacher exchange programs, joint projects and language teaching, which later led to the creation of the Academic Projects Coordination and the consolidation of foreign language teaching in the Language Center mentioned above; and
- International projection, with a special focus on China and Southeast Asia.

The management of ORT's international projection and academic cooperation is currently centralized under the structure shown in Figure 1. As stated above, schools and other academic units of the university maintain the initiative to establish international cooperation in teaching (dual degrees, joint programs, etc.) and research (joint projects, networks, etc.). The university's internationalization efforts fall within

the purview of the whole institution, not just the specialized structure, although the latter does have a specific promotional and advisory role that goes beyond managing lines of action and specific instruments.

**Figure 1**  
Organizational Structure of the international area  
of Universidad ORT Uruguay



Source: authors' own elaboration.

### *Conceptual pillars of the model*

ORT's current model of international projection and internationalization follows the objectives and guidelines described below.

Through implementation of this model, the university aims to:

- Move forward with the commitment to an excellent education for its students, optimizing academic resources (human, infrastructure, financial support for the activities), and improving the quality and pertinence of its academic offerings.

- Increase its international network, extending its participation in international spaces that pursue common objectives (associations, networks and strategic alliances).
- Deepen specific aspects of the internationalization of higher education within the institution, including research and joint teaching, curricular internationalization and internationalization at home.
- Contribute to the international recognition of the institution and of the Uruguayan higher education system as a whole.

The model is governed by the strategic guidelines and functions stated below:

- Promoting and facilitating the relations and international academic cooperation with diverse sectors: public and private, academic, industry, research centers, state actors, non-governmental organizations, international agencies, etc.
- Basing international cooperation on the development of concrete activities that are beneficial to all participants, following an institutional policy that has been implemented for over fifteen years.
- Adapting the model and guiding its evolution in response to changes in the world outside the institution and internal needs.
- Emphasizing the search for opportunities by the authorities, specialized units and main academic faculty.

### *Main guidelines for international projection*

ORT's model uses diverse lines of action, instruments and specific tools for its implementation, such as academic mobility, collaboration and visits; collaboration agreements; joint projects; language education; network participation; and participation in fairs, forums and events. Additionally, it has projection channels such as an institutional website, social media, YouTube channels, promotion materials and digital and graphic media advertising. Other institutional units participate actively in supporting these arrangements.

The following section presents the four lines of action that can be considered as impact cases (internal or external) with respect to the internationalization of ORT.

### *Academic visits and collaboration*

The university authorities play a leading role in international projection, for which they carry out collaboration actions with concrete objectives, particularly academic visits to foreign institutions. There have been multiple results from these actions, both in the academic development plan (new programs, improvement of existing programs, dual degrees, etc.) and in faculty formation and updating.

A standout case is ORT's academic collaboration with the California Institute of the Arts (CalArts), one of the most prestigious educational institutions in the visual and performance arts. In 2007, CalArts authorities visited Uruguay, invited by the United States Embassy, and offered conferences and held meetings with academic authorities at ORT and other educational centers in the country. Subsequently, the authorities of ORT's School of Communication and Design visited CalArts to present a collaboration project, which led to the celebration of an academic, artistic and cultural cooperation agreement in 2008. The agreement was aimed at teacher and student mobility, as well as the development of joint projects in research, teaching, and support for teacher development.

As a result of this collaboration between the institutions, a beneficial link was created for students and teachers that continues to this day and has contributed to the creation of ORT's academic program in Animation and Video Games (teachers from CalArts participated). ORT teachers were trained at this center of excellence, and ORT students participated successfully in prestigious contests, together with CalArts students.

### *Student Exchange Program*

Formally established in 2007, but with concrete activities already underway since 1995,<sup>11</sup> ORT's Student Exchange Program combines two essential aspects of the university's international projection. On the one hand, ORT students are accepted by prestigious universities around the world, where they meet the required academic criteria, obtain credits that are later recognized to obtain their degrees in their country and,

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11 The first foreign exchange students arrived in 1995, through the Intercampus Program of Spanish cooperation.

fortunately, stand out in many opportunities. These students that travel abroad to study are considered ORT *ambassadors* and reflect the quality and relevance of the institution's education.

On the other hand, international students studying at ORT can experience the university's academic formation while interacting with students, faculty, and the rest of staff, and take back to their country of origin a comprehensive vision of the institution. The privileged inclusion of the students (the main target of the institution's efforts) in the international projection conveys an important message: the institution projects itself internationally through its students sharing their experiences.

Student exchange programs at ORT are primarily based on bilateral collaboration, either through the signing of specific exchange agreements or, more recently, through participation in bilateral mobility projects like the For-Credit International Mobility Action of the European Union's Erasmus+ program. Additionally, the international office manages student mobility within the framework of multilateral programs and free student mobility for academic credits.

The Student Exchange Program has grown steadily. While it has shown a historical tendency of receiving more students than it sends, in recent years this tendency has begun to shift due to three decisive factors: the professionalization of the Student Exchange Office,<sup>12</sup> with a distribution of functions around mobility (incoming and outgoing) and management methods with well-defined processes (currently including *online* applications); a wide and diverse catalogue of possibilities to do a semester abroad (programs, institutions and countries);<sup>13</sup> and the institutional decision not to charge outgoing exchange students their semester tuition.

Among the differential factors determining the rising flow of international students that come to ORT, there is the Buddy program, offering

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12 See: <https://internacionales.ort.edu.uy/estudiar-en-el-exterior/intercambio-estudiantil>  
13 Currently, the catalogue includes options in Europe, North America, Asia, Australia and Latin America.



practical support for incoming students, personalized attention and the possibility of enrolling *online*.<sup>14</sup>

### *International collaboration projects*

International projects constitute a strategic line of action and a key instrument for the international projection of institutions, essential for those universities looking to improve their visibility. By nature consisting of multinational teams that must identify opportunities, formulate proposals and manage the project jointly, these projects offer an opportunity to generate high impact in a relatively short period of time.

The limitations imposed by the required virtual interaction between the project partners can be quickly overcome by their commitment, on-site meetings and simply getting to know each other better. The successful management of international projects represents a platform from which they can promote new collaborations, new agreements and new possibilities of academic collaboration and of international recognition among their peers.

Within the framework of the objectives set forth by the Office of the Dean of Academic Development at ORT, this line of action was already identified as an important input for the international projection of the university. During the early years, projects of an international nature were implemented within the framework of different donor programs, such as the European Union, ALFA programs (RESI, PILA, SUMA and ACCEDDES projects), @LIS (INTEGRA project) and the EuropeAid cooperation (Camino Tics and Eco-Trabajando projects), or the Inter-American Dialogue (GTD-PREAL-ORT project). ORT reinforced its capabilities in different areas and generated participation and collaboration in networks that have been consolidating their international position.

In 2012, the Academic Projects Coordination was created as a specialized unit for identifying opportunities and formulating and managing national and international projects of an institutional nature, while

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14 For a more detailed description of these aspects, we recommend a webinar taught by ORT within the Red Regional para el formento de la Internacionalización de la Educación Superior en América Latina (RIESAL) framework, available at the following link: <https://www.youtube.com/watch?v=DiM7rde-Djk>

providing orientation and support to academic units pursuing these goals. Today, this coordination administers a series of international projects that have provided the opportunity to form new collaboration agreements, generate new student exchange agreements and encourage participation in new projects and networks, thus contributing to the international visibility and recognition that the institution seeks.

### *Language teaching*

As a strategy to strengthen its internationalization policy, ORT soon identified the need to teach foreign languages. Mastering a foreign language is a job performance requirement in the global market, it facilitates the approach to other cultures and is often essential to study abroad. Through its Language Center,<sup>15</sup> the university promotes the knowledge of foreign languages, motivates their acquisition and facilitates learning.

Today, the center develops open language courses (through agreements with foreign language teaching institutes) and exclusive courses for the ORT community (language courses in Social Sciences and Faculty Administration). The languages offered are German, Mandarin Chinese, Korean, Spanish for foreigners, French, English, Italian, Japanese and Portuguese. The students, graduates, teachers and staff members may benefit from discounts on tuition or monthly installments, at affordable costs. ORT is an international testing center authorized by the Instituto Cervantes and the Educational Testing Service for both English and Spanish international tests.

In addition, the center teaches Spanish programs for foreigners developed jointly with partner universities. These programs are offered on a semester basis, and can be intensive or part of special programs based on collaboration agreements. A standout example is the collaboration with the Pedagogical University of Harbin, in China, starting in 2009, which later included the incorporation of other Chinese universities. In this program, Chinese students study their third year at ORT and also participate in university degree courses along with other foreign and local students. ORT received its first class of Chinese students in

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15 See: <https://www.ort.edu.uy/centro-de-idiomas>

2012, which represented the first student mobility activity between a Uruguayan and a Chinese university.

## In conclusion

Today, ORT has reached a level of institutional development that, although still widely perfectible and expandable, allows it to project and position itself in an international environment with peer recognition. It applies policies and strategic guidelines that promote new international agreements and alliances with concrete objectives, motivates academic mobility, promotes language training within the university community and encourages joint cooperation actions with internationally-renowned institutions.

To get to ORT's current situation, it has had to negotiate some strategic tensions by setting clear policies. These include:

- Effectiveness over quantity. The guideline has been to favor concrete high-impact activities instead of a *collection* of many agreements.
- Integration over enforcement with respect to internal actors. It is necessary to ensure the involvement of the internal actors who will carry out the substantive collaboration activities, even if this process takes more time in comparison with a direct decision from the international office.
- Articulate projects with institutional academic development needs, especially the creation of new academic areas and capacity-building.

As a final consideration, aside from the intangible effects, internationalization should produce practical and beneficial results for both students and the institution. At privately-managed universities, actions and activities for international projection are funded mostly with the students' tuition and involve time invested by teachers and administrators. Therefore, any activity must be evaluated according to the impact it has on these institutional components. Through the implementation of this model, the university achieves its objectives and optimizes its resources.

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### JULIO C. FERNÁNDEZ

Vice Rector at ORT and President of the National Academy of Engineering of Uruguay. He studied Chemical Engineering and Analysis-Programming at UdelaR, and has a Master's Degree from the Massachusetts Institute of Technology (MIT), United States. He has formed part of ORT's directive body since 1994, and has over 20 years of experience formulating

and directing international projection policies at this same university, while taking an active part in regional accreditation mechanisms of the Southern Common Market (Mercosur) (MEXA and ARCU-SUR). He is a professor in ORT's School of Engineering, and created ORT's office of International Relations and Student Exchange, as well as the Language Center, efforts that have made a significant contribution to the university's internationalization mechanisms.

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## SECTION 4

# MANAGEMENT MODEL FOR INSTITUTIONAL POLICY



# TOWARD COMPREHENSIVE INTERNATIONALIZATION: INNOVATION NEEDS IN INTERNATIONALIZATION PROCESSES AT UNIVERSITIES IN LATIN AMERICA

CARLOS IVÁN MORENO ARELLANO  
JORGE ENRIQUE FLORES OROZCO

## Introduction

**G**lobalization has had a profound influence on multiple aspects of social and cultural life, and has brought about a notable increase in universities' international activities. During the last decade, there has been an exponential worldwide increase in higher education institutions (HEIs) acting internationally, which has resulted in countries such as Australia, Russia, France and Germany adopting the internationalization of their universities as a matter of national policy (Beelen and de Wit, 2012).

The emergence of an increasingly interconnected global economy, the adoption of English as the dominant language in science and economics, and the development of new information technologies, in addition to the appearance of an international network of knowledge, are facts that have significantly affected the traditional management of universities and have compelled them to develop internationalization strategies to properly respond to current educational demands. Furthermore, as Crow and Dabars (2015) argue, the integration of an international dimension to universities enables them to boost their relevance and legitimacy as quality educational institutions and to improve the civic and professional formation of their students.



Important actors in the field of education, such as UNESCO, the World Bank (WB) and the Organization for Economic Cooperation and Development (OECD) have noted the importance of the internationalization of HEIs in the current context, and have underscored the need for them to contribute to the development of global or intercultural competencies in young professionals. This is why internationalization has become one of the most relevant topics on global educational agendas around the world, and has ceased to be seen as a marginal university activity to become one of the main *levers* for innovation and the organizational improvement of universities around the world (Egron-Polak and Hudson, 2014).

According to de Wit and Hunter (2015), internationalization should be understood as the “intentional process of integrating an international, intercultural or global dimension into the purpose, functions and delivery of post-secondary education, in order to enhance the quality of education and research for all students and staff, and to make a meaningful contribution to society” (p. 3).<sup>1</sup> According to this definition, internationalization consists of a comprehensive process of change at the institutional level, through which HEIs modify their organizational and governance structures.

## 1. Internationalization in the Latin American context. Trending towards isomorphism

According to Powell and DiMaggio (1991), organizations trend towards isomorphism in terms of adjusting to external standards through the creation of organizational structures that do not have the central purpose of increasing efficiency, but of earning greater legitimacy and social acceptance. Just as in other organizational fields, isomorphism in the field of higher education has resulted in homogenous organizational

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1 The translation of this quote is by the author from the original in English. (Tr. Note: this note appears in the Spanish version of this chapter. The quote here is a back translation).

structures and an operational approach to the concept of internationalization in Latin America and the Caribbean (LAC).

Thus, isomorphism as a legitimacy mechanism reflects the general tendency of universities in the region to utilize student and faculty mobility as their main internationalization strategy, which hampers the development of a real global or intercultural profile in most of the Latin American university student population.

Although the available data reflect progress in the internationalization of universities in the region with regard to their mobility activities, a general balance can confirm that the mobility-based model of internationalization has a modest impact, given that only 0.9% of the student population at the higher education level in LAC can afford international mobility, and the attraction of international students to Latin American HEIs equals 2.2% of total international mobility, which constitutes one of the lowest attraction rates by region, even lower than the rate of international student attraction obtained by African HEIs (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

The paragraph above suggests that one of the main challenges for universities from LAC is the development of proper organizational structures and processes that enable a comprehensive, more democratic and fair internationalization process that benefits a larger number of students, professors, researchers and administrative staff.

Although the importance of internationalization in the education of young people is recognized in the institutional plans for development of Latin American universities, the strategies they have adopted for internationalization have not entailed any deep organizational changes. On the contrary, as Didou (2017) suggests, the internationalization model adopted by most universities in the region has allowed them to keep the organizational status quo untouched.

During the 1980s and 90s, most of the large universities in the region were compelled to institutionalize their international activities (de Wit, Jaramillo, Gacel-Ávila, and Knight, 2005), which led to the establishment of the first offices dedicated to international cooperation and collaboration. Furthermore, the establishment of these offices gave

rise to several changes in the structures of universities that grew out of the need for internationalization.

Notwithstanding, and also in spite of a broader recognition in the region of the importance of internationalization, in practical terms there has been no strategic re-conceptualization of this issue in most of the region's universities, given the absence of changes in the organizational mechanisms aimed at diversifying and guaranteeing the durability of internationalization programs in the medium and long term. In addition, other variables hinder the comprehensive internationalization of HEIs, such as curricular rigidity and the lack of national policies (Didou, 2017).

In operational terms, the HEIs of the region decided to leave international activities in the hands of centralized administrative offices and departments, which have a very limited impact on students' formation. This administrative approach to international activities spread throughout the region and prompted Latin American universities to base their internationalization efforts on two main activities: international mobility and cooperation agreements with foreign universities (Berry and Taylor, 2013).

At the same time, government education policy in several LAC countries greatly influenced universities and compelled them to focus their internationalization efforts on cooperation and international mobility, as the State's funding for the internationalization of HEIs focused mainly on these two activities. Therefore, as Didou (2017) points out, public universities began adjusting to national policies for internationalization and the promotion of quality, without having to undertake any substantial organizational change in their governance and management structures.

Traditionally speaking, educational plans by sector and national development plans created by Governments in LAC have lacked incentives to promote organizational readjustments arising from internationalization within universities. The lack of an incentive scheme that promotes organizational structures through public policy is one of the elements that have made it difficult to integrate an international dimension into the sensitive areas of university management, such as research and teaching, or into the institutions' government bodies. In contrast, the internationalization policies implemented in countries such as Ger-

many, France, Russia or China have had to promote changes in their universities' governance models, as an indispensable requirement to achieve comprehensive internationalization (CI) and a greater visibility and legitimacy for their national higher education systems.

Recent policies that focus on improving the quality of education, such as the Law for the Organization of the New University, commonly known as the *University Autonomy Law* (implemented in France), the Initiative for Excellence (implemented in Germany), or the program known as *Project 5-100* (implemented in Russia), have focused on the required internal readjustments of universities and the need to innovate their structures of governance (Dobbins and Knill, 2014). In a context typified by international competition, the lack of public resources and the need for universities to generate high-impact research and look for alternative sources of funding, the most effective governance models tend to be those with more flexible and decentralized decision-making structures, but a strong core of directors and a clear institutional vision (Brunner, 2011).

## 2. Comprehensive internationalization: roadmap to diversify universities' international strategies

Several influential authors in the field of higher education, such as Crow and Dabars (2015), emphasize the need for universities to develop a strategic vision of the value of internationalization, not only with regard to its value in students' academic formation, but also in terms of its benefits as a tool for university innovation, competitiveness and funding.

According to Didou (2017), one of the recurring characteristics of LAC universities is their view of internationalization as an administrative activity disconnected from the areas of research and teaching. Certainly, the internationalization mechanisms used by large public universities in the region have led to the development of solid administrative structures to conduct international activities, especially those related to international mobility. However, the limitations of the mobility-based internationalization model become evident if we consider the fact that LAC is one of the regions with the lowest rates of incoming and outgoing

mobility in the world, as has been already pointed out (Gacel-Ávila and Rodríguez-Rodríguez).

In this sense, the CI model is presented as a very useful strategy to promote a gradual organizational readjustment that will serve to integrate the international dimension into the ethos of educational institutions (Hudzik, 2011). CI calls for an institutional commitment to adopting international quality standards and a strategic and innovative vision of the value of internationalization. From the perspective of organizational change, CI introduces alternatives for managing internationalization at universities and leads to the modification of their governance structures (Hénard, Diamond, and Roseveare, 2012).

Hudzik (2011) points out that the CI model does not consist of a series of isolated activities, but refers to the implementation of an organizational improvement process within the different areas of universities. In other words, the CI process requires the gradual implementation of a broad array of strategies that together lead to the comprehensive internationalization of an educational institution, i.e., organizational strategies that effectively integrate an international dimension into the administrative procedures and general policies regarding teaching, research, governance, administration and human resources. Table 1 shows the main organizational strategies used by universities that have undergone comprehensive internationalization processes.

**Table 1**  
Programmatic and institutional strategies  
for comprehensive internationalization

ORGANIZATIONAL STRATEGIES	
<p><b>GOVERNANCE</b> Regulatory flexibility and focus on a multidisciplinary approach. Strategic approach to international collaboration by particular areas of knowledge. Participation of researchers, academic and administrative staff in the internationalization process. Recognition of the international dimension encompassed in the mission, development plans and institutional policy. Planning, funding and establishing indicators and systems to ensure quality at the institutional level and by department. Communication systems to link and coordinate offices and programs. Financial backing and resource allocation systems.</p>	<p><b>SUPPORT SERVICES</b> Design of international service units, for example, student lodging. Design of academic support units for language learning. Support services in English for international students attending the university.</p> <p><b>HUMAN RESOURCE DEVELOPMENT</b> Recruitment and selection procedures that take the international and intercultural dimension into account. Compensation and promotion policies that strengthen the participation of academic and administrative staff in internationalization. Professional development activities for academic and administrative staff.</p>

Source: authors' own elaboration based on Altbach and Knight (2007).

Given the diversity in universities and institutional missions around the world, there is no one model for CI. However, Hénard, Diamond and Roseveare (2012) point out three common aspects associated with the success of organizational strategies for comprehensive internationalization: governance structures, institutional leadership and commitment, and the channeling of resources towards the CI process.

Several studies (Crow and Dabars, 2015; Gornitzka, Maassen, and de Boer, 2017; Maassen and Olsen, 2007) coincide in pointing out that the key factor in CI and institutional quality improvement processes is innovation in the schemes and structures of governance, i.e., changing the way in which the actors involved in university management become articulated.

Some recent examples of innovation in the governance structures of universities can be found in the reforms to the national higher edu-

cation systems undertaken in France, China or Russia. The reforms to the higher education systems in these countries have tended towards strengthening the executive decision-making processes at universities in order to respond more quickly to the demands of the context in terms of funding and to strengthen their positioning on international rankings.

Authors such as Clark (2002) point out that in the case of universities, strengthening the authority of rectors and administrative units is one of the mechanisms that allow for better *coupling* of the different systems that constitute them. For Taylor (2010), such strengthening of the executive authority, in addition to increasing administrative professionalization of internationalization processes, may facilitate a readjustment of relations among universities' internal systems and lead them to work in a coordinated manner and with a common objective.

In this way, the motivation for innovation in the governance mechanisms of German and French universities was in large part due to their need to respond to the demands of an organizational environment characterized by growing institutional competition, the pressure to generate high-impact research, and the need to strengthen their collaboration with the private sector, as well as the opportunity of funding HEIs through internationalization.

According to Gornitzka et al. (2017), other innovative elements in the governance mechanisms of European universities included:

- The introduction of executive boards, or councils, to make strategic decisions, working as directive units capable of coordinating the institutional processes of change in a more efficient manner. The creation of such groups reinforces the authorities' commitment to the internationalization process, and enables them to take advantage of the experience and capacities of academics, researchers and experts in the field.
- The willingness of external agents to participate in the governance structure of universities. An innovative vision of university governance advocated in favor of including external university actors within the institutions' management units, the argument being the weak articulation between the university and different stakeholders from the government, society and business. The representation of

different stakeholders in the management units helps to exert a positive influence on aspects such as the adaptation of study programs, efficiency in the attention to the formative needs of professors and students, or the promotion of strategic synergies for internationalization in research areas that are specific to universities.

With regard to the second point, universities' lack of coordination and low level of collaboration with the private and government sectors are characteristic features of Latin American HEIs that hinder any process aimed at institutional change (Brunner and Ganga, 2016). Therefore, conducting comprehensive internationalization processes could be an effective catalyst for organizational reform and changes in the governance mechanisms that lead universities to become more effective, open, flexible, efficient and innovative.

Taylor (2010) notes that universities with higher levels of internationalization have a stronger connection between their academic units and the public and private sectors, which enables them to deal effectively with the following issues:

- Boosting the attraction of international students.
- Improving infrastructure and international student services.
- Creating agreements for dual-degree programs.
- Generating strategic inter-institutional alliances with public and private organizations.
- Increasing the offerings of language learning programs, both for students and the academic and administrative staff.
- Internationalizing curriculum.
- Updating teaching-learning strategies.
- Internationalizing research.
- Adjusting policies for hiring foreign professors.



### 3. Towards comprehensive internationalization. Diversifying internationalization strategies at the Universidad de Guadalajara

The Universidad de Guadalajara (UdeG) is the second largest university in Mexico and one of the HEIs with the largest student populations in Latin America. It is considered a pioneer HEI in the region in terms of internationalization. It opened its first office dedicated to institutionalized internationalization activities<sup>2</sup> in the 1980s (Bravo, 2015). During the administrative period of 2001-2006, internationalization gained value as a strategic axis for institutional development, which prompted the generation and implementation of a specific internationalization policy, as well as a notable administrative reorganization within the university.

In 2004, with the approval of its collegiate government bodies, the UdeG created the General Coordination for Cooperation and Internationalization (Coordinación General de Cooperación e Internacionalización, CGCI), which from an organizational perspective meant that internationalization would become a priority within the university's organizational structure. With the creation of the CGCI, international activities had a wider scope inside and outside of the institution, as well as more resources and a larger operational margin to conduct situational diagnoses and promote internationalization strategies.

The creation of the CGCI coincided with the formulation of two important institutional policies during the period mentioned above: on the one hand, the integration of an international, intercultural and global dimension into the university's substantive functions, and on the other, the promotion of the development of global competencies in students and academic and administrative staff. These policies, according to Bravo (2015) resulted in four specific lines of action:

1. Establishment of collaboration agreements with national and international HEIs and organizations.

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2 The first office dedicated to international activities at the UdeG was the Department of Academic Exchange, within the General Academic Directorate.

2. Student mobility.
3. Academic mobility.
4. Memberships in associations and cooperation networks.

During the administrative period of 2013-2018, internationalization gained further momentum, and was defined as one of the administration's main areas of development. With the support of the General University Council, the allocation of additional resources for a more comprehensive internationalization became compulsory.

One of the administration's first actions was to conduct various situational diagnoses that would point the way to a reorientation and adjustment of the university's internationalization strategies. These diagnoses suggested that one of the main areas of opportunity was the professionalization and formation of high and mid-level directors, which needed to be pushed more decisively.

The improvement of the international profile of directors implied greater collaboration with world-class institutions such as Babson College, Boston College, CIC Cambridge, the Massachusetts Institute of Technology and Harvard University, which collaborated in the teaching of multiple professionalization seminars, workshops and courses such as the International Seminar on Leadership and Innovation in Higher Education, the Seminar on Leadership and Innovation in the Management of Health Services, and the Seminar on Leadership and Innovation in Engineering.

Another internationalization priority of the 2013-2018 administration was to promote the international visibility and legitimacy of as many programs as possible. Starting in 2013 with a single educational program with international accreditation, by 2018 the number of programs accredited by some international organization<sup>3</sup> had increased to thirty-nine.

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3 Among the agencies that accredited the international quality of UdeG study programs were the International University Organization (Organización Universitaria Internacional, OUI), the Accreditation Agency of Chile (Agencia Acreditadora de Chile), the Accreditation Council for Social, Accounting and Administrative Sciences in Latin American Higher Education (Consejo de Acreditación de Ciencias Sociales,

The situational diagnoses of the internationalization of the UdeG also focused on collecting more accurate information on the English proficiency of its students and professors. This information was used to design a more efficient institutional language-learning policy, especially in English. In 2015, with the approval of its collegiate government bodies, the university channeled resources to create the Foreign Language Coordination of the University of Guadalajara, which took up the task of designing an institutional language learning policy, as well as creating more accurate indicators to measure progress with regard to the teaching-learning process of foreign languages across the entire network.

Under this policy, resources were channeled to train and certify language professors. This involved searching for inter-institutional ties that resulted in the formalization of collaboration agreements for the training of professors in teaching methodology innovation, with the participation of the University of Jyväskylä (Finland), the University College of London (United Kingdom) and the Universitat de València (Spain).

Another organizational change for the strengthening of internationalization involved the condensation of some 1,200 lines of research, which were strategically regrouped into twenty-six areas of generation and application of knowledge. According to the situational diagnoses, the numerous lines of research at the UdeG did not actually represent a strength, but rather interfered with the institution's capacity to conduct joint research on specific topics with foreign institutions.

Likewise, the university's international vision was reoriented toward strengthening the UdeG's relationship with *global poles of excellence*, looking to focus and promote institutional efforts in specific areas, such as innovation development and technology transfer, inter and trans-disciplinary research, and sustainability. In this case, the university's objective consisted of having no more than *twenty strategic partners* around the world to develop more structural internationalization pro-

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Contables y Administrativas en la Educación Superior de Latinoamérica, CACSLA), the Accreditation Board for Engineering and Technology (ABET) and the World Tourism Organization (Organización Mundial del Turismo, OMT).

jects, such as research centers, dual-degree programs and offices for international representation.

As Brunner and Ganga (2016) point out, one of the common characteristics in the governance mechanisms of large public universities in LAC is the centralization of their management activities, which negatively impacts their capacity to make effective use of their competitive advantages. As in other organizational models, large Latin American universities operating under a network-based organizational model tend to have high levels of bureaucracy in their activities and to concentrate in large offices not only the design of the university's institutional policies, but their implementation and operation, which overloads the capacity of these central offices to carry out their tasks and activities.

The UdeG is not immune to this trend of regional universities to centralize their management activities. Consequently one of the organizational innovation strategies has been to look for mechanisms to incentivize an *effective decentralization* of internationalization management. This decentralization process, which is still ongoing, aims at giving a larger operational and conceptual capacity to the areas responsible for international management at universities within the network, for the purpose of increasing their room to maneuver and take advantage of local opportunities and capacities. It could be strongly argued that in a university network like the UdeG's, with fifteen campuses and 127,000 students, comprehensive internationalization will only be possible by strengthening the local capacities of each of these university centers.

Nevertheless, *decentralize does not mean centrifuge*. To achieve effective decentralization, it is essential to first build parallel capacities. In 2017, as an example of this, around twenty-five representatives from across the university network were selected to attend the Program on the Internationalization and Innovation of Higher Education, taught at Boston College's Center for International Higher Education (CIHE).

A second step in this direction was taken in 2019; in agreement with the general rector, the same group of people formed the Consulting Committee for the Internationalization of the University Network. One of the most relevant attributes of this committee was their formulation and evaluation of internationalization programs by university center,

according to the particularities of each in terms of research, teaching and infrastructure and their particular academic and social context, with an eye to international collaboration.

It is worth noting that the creation of an administrative body such as this committee is only the first step towards more decentralized governance in the area of international management at the UdeG. This strategy will require strengthening in the upcoming years by means of a series of incentives to develop each university center's local capacities, for the purpose of fostering more comprehensive internationalization, and making better and more coordinated use of the human, technical, financial and internal resources of each center within the university network, without losing sight of the university's broad lines and central vision that must inform the campus-level strategies. This constitutes a great challenge for the future.

## Conclusions

As Brunner and Ganga (2016) suggest, one of the common characteristics of governance mechanisms in large public universities in LAC is the centralization of management and decision-making activities, which has made it difficult to efficiently channel their strengths and potential for internationalization.

Over the last two decades, public universities in Latin America have undertaken international activities for the purpose of improving the quality of the education they offer and developing an intercultural vision in their students, as well as a broader understanding of global problems.

Effective decentralization becomes a key element in achieving a more comprehensive internationalization at our universities. Without a doubt, universities that operate under a network model must look for more innovative organizational mechanisms that will allow them to exploit competitive advantages at each of their centers and systems. In any event, the internal institutional contexts of the region make large reforms difficult to implement within the universities' organizational environment. In the case of UdeG, carrying out actions to promote a

more decentralized and equitable governance within its network must be viewed as an institutional strength in terms of internationalization.

From an organizational perspective, and based on the important progress and leadership of the UdeG in the area of internationalization over the last fifteen years, the strengthening of its internationalization activities during the period of 2013-2018 resulted in the improvement of cross-sectional directive staff training for internationalization (high-level international direction), as well as the building of a closer bond between internationalization and organizational innovation, in order to advance towards the effective decentralization of the network's university centers.

Internationalization has undoubtedly gained greater relevance within a context that has seen an increase in institutional competition, the search for legitimacy and an alarming cutback in resources. It is true that progress has been made in the internationalization of universities in LAC, but it is also evident that traditional mobility-based internationalization mechanisms have been overwhelmed in their capacity to address current educational demands. In this sense, the most recent data on the state of internationalization in LAC, presented by Gacel-Ávila and Rodríguez-Rodríguez (2018), as mentioned previously, show that mobility-based internationalization strategies have a very limited impact on most higher education students, administrative and academic staff. In the best-case scenario, only 2% of Latin American students enrolled in a HEI participate in international mobility activities.

In summary, universities in the region need to reformulate their considerations regarding the suitability of mobility as a central internationalization strategy. It is worth asking whether it is time to take the next step towards the internationalization of our universities and lead them to a more comprehensive internationalization with a greater impact on their institutional missions.

The growing importance of rankings, the need to diversify funding sources, the demands for generating cutting-edge technology and preparing young people to take their place in the knowledge economy are only some of the factors that call for a reformulation of the highly-bureaucratized and centralized organizational mechanisms that charac-

terize our universities. As Brunner (2011) points out, the governance model of Latin American universities makes it extremely difficult to carry out comprehensive improvement processes, which in turn compels universities to use isomorphism as a strategy to gain legitimacy.

The offices and departments for international cooperation have become core components of university structures. However, the notable disarticulation between the activities conducted by these offices and the aspects of teaching and research have hampered a complete integration of the international dimension into universities' substantive areas (de Wit et al., 2005).

The process of comprehensive internationalization seldom occurs suddenly. On the contrary, it must be launched as a *microprocess* and be applied, for instance, to specific study programs with the potential to become international. It is unlikely that a successful comprehensive internationalization process can be carried out abruptly, which is why universities need to implement it gradually, since the introduction of gradual, small-scale changes facilitates internationalization in the different areas and study programs, research centers and academic departments of universities (Hudzik, 2011).

Unlike European policies for university improvement, the educational policies for internationalization in LAC have not incentivized a readjustment of their current management and governance mechanisms. As Didou (2017) points out, this underscores the need for clear national policies to adequately orient comprehensive internationalization processes at universities in LAC.

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SECTION 5  
MANAGEMENT MODEL FOR FUNDING  
INTERNATIONALIZATION



# MODEL FOR HIGHER EDUCATION INTERNATIONALIZATION FUNDING

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VANESSA CARREÓN ORTEGA

## Introduction

**T**he issue of the internationalization of education has gained prominence in recent decades, particularly due to the demands of a globalized world. Many aspects of the academic and management activities of higher education institutions (HEIs) are taken into account for analysis and discussion. The tasks and actions carried out in this regard are presented in different ways, according to the specific characteristics of the institutions, their resources and available means.

The internationalization of higher education can play an important role in developing the capabilities of universities, students and society at large. Fëdorov (2011) highlights some of the main advantages gained by university communities that participate in these programs: the ability to recognize and deal with differences; to identify gaps in knowledge, which are inevitable for a mind educated within the margins of a single culture; to establish intercultural communication; to think comparatively; to change self-perception; to analyze one's own country within an intercultural context, as well as to learn about other cultures, seen *from within*, and with the diagnostic skills, both personal and study-related, required to work in other societies.

However, with today's crises, tensions and reactions may arise against the development of internationalization, in the form of an imminent

resistance to change and a fear that internationalization will have a denationalizing effect, or that a new form of local and regional identity will develop, i.e., a fear of the growing influence of competition and market processes as drivers of internationalization.

Analyzing this phenomenon, understanding it and visualizing its impacts becomes a necessary task to ensure the development of strategies that make it possible to fulfill the academic objectives associated with it. This is why it is important to have a management model that enables, to a certain extent, the type of collaboration required to achieve these objectives.

## 1. Funding in higher education

Funding, understood as the way and means by which institutions raise resources for the development of their functions, more than ever plays a fundamental role in education. For Laurent (2013), for example, if population growth is greater than investment in education, then educational standards decline, which in turn reduces the productivity of the population and its ability to continue investing in education, thus creating a vicious circle.

Despite the importance of funding higher education, it has been declining in different countries. According to Pérez (2010), this is because

the university structure has undergone dizzying changes, on the one hand, because of the scientific-technological revolutions and, on the other hand, because of the attacks of the neoliberal model that has been empowered since the late 1980s, with a sharp decline in the State's share of the economy and in educational expenditure. (p. 11)

Policies to reduce funding have been strongly promoted by international organizations, such as the World Bank (WB), the Inter-American Development Bank (IDB) and the Organization for Economic Cooperation and Development (OECD), through various educational policy documents, which recommend that Governments focus resources on basic education, which caters to the entire population, and transfer the costs

of higher education to students and their families. These actions seek to address the limited public resources and the accelerated growth of educational demand. In the words of Fresan and Torres (2011),

the higher the education, the higher the income of an individual; and the higher the educational scale, the lower the universality. Thus, in the case of public and compulsory basic education, it seems sensible that its financing should come from the public funds constituted by taxes that everyone pays. On the other hand, since only a part of the population has access to higher education, it is questionable whether it should be financed in its entirety by the taxpayers.

In this context, the debate on the importance of funding higher education has gained new momentum, especially in universities in Latin America, where education is still conceived, in many cases, as a public good, but where it is also known that most educational institutions increasingly require external resources to enable them to expand their infrastructure, acquire new technology, extend their coverage, develop research and internationalize their substantive activities such as teaching, research and university extension.

The lack of funding, both internal and external, has been identified by universities as the main barrier to the internationalization of higher education, as shown by the fourth global survey on internationalization carried out by the International Association of Universities (IAU) in 2014, and the first Regional Survey on the Trends of Internationalization in Tertiary Education in Latin America and the Caribbean (Gacel-Ávila and Rodríguez-Rodríguez, 2018). This latest survey shows that the three main sources of resources for internationalization activities are the institutional budget, external public funds –including grants and programs– and funds from international private organizations.

Additionally, six sources of financing for the internationalization of higher education are generally identified as follows:

1. Institutions' own resources. These are the resources allocated to the international office of each institution by the HEI itself; generally speaking, they are aligned with the institutional development program (IDP) of each institution. There are universities where, by way



of their faculties, schools or administrative units, the legislation of their country allows them to generate their own resources through tuition fees, training courses, consulting services, sweepstakes, etc. A practice that has spread from Europe to Latin America is the organization of the already famous summer courses, which can generate transferable credits or simply serve as a cultural immersion process for students. One of the flagship institutions in this sense is the Universidad Complutense de Madrid, which not only offers courses at its headquarters, but has also established the Escuela Complutense Latinoamérica, which, along with another university in this region, offers courses in different countries.

2. Donations and crowdfunding. There are universities that, through their foundations or directly (in accordance with the legislation of each country), receive donations from civil society, although not exclusively in terms of economic resources, but also in the form of equipment, furniture, etc. For example, a donation program that is being implemented at the Benemérita Universidad Autónoma de Puebla (BUAP), in Mexico, is the donation of bibliographic material by exchange students, a collection that will be included as part of the international area of its central library, which aims to be a multicultural space that will allow the community at large to learn about the culture and language of various parts of the world through reading, events and workshops (poetry recitals, storytellers, etc.), with the participation of international students. Crowdfunding, one of the newest ways of financing education, consists of receiving small donations from a large number of people through internet campaigns. Currently, there are several websites that enable the development of this type of activity.
3. Companies. These supports are usually given in the form of scholarships. For example, Volkswagen de México, Audi division, promotes its Mexican Students in Germany (Estudiantes Mexicanos en Alemania, EMA) program, which provides the opportunity for students in the field of engineering to do professional internships, take courses at a German university and receive further training in German.

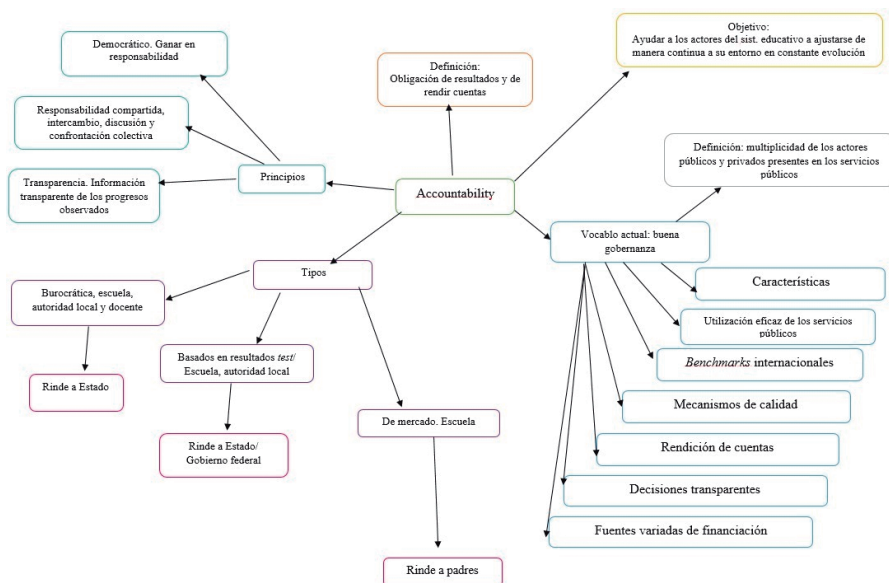
4. Government. These resources are provided through different agencies and are part of extraordinary and competitive resources. In the case of Mexico, the Ministry of Public Education (Secretaría de Educación Pública, SEP) created the Program for the Strengthening of Educational Quality (Programa de Fortalecimiento de Calidad Educativa, PFCE), which grants extra financial resources for participatory strategic planning exercises where HEIs implement academic projects to improve their management (services) and impact the quality of their educational program, for the purpose of contributing to the development of Mexico.
5. International cooperation. It is implemented by governments or agencies of several countries. Perhaps the most successful academic cooperation program is the Erasmus program, established by the European Union, which aims at promoting quality education and developing cooperation between the European Union and third countries, in addition to promoting mobility in both directions and access to higher education. This framework of cooperation produced the Regional Network for Promoting the Internationalization of Higher Education in Latin America (RIESAL, by its initials in Spanish), defined as a project that is co-financed by the European Commission under the Erasmus+ Capacity-Building in the Field of Higher Education (CBHE) program. CBHE projects involve transnational cooperation, based on multilateral partnerships, mainly between HEIs and partner countries (in this case RIESAL).
6. Multilateral Banking. Sagasti (2002) defines multilateral development banks (MDB) as international financial intermediaries whose shareholders include borrowers (developing countries) and taxpayers or donors (developed countries). MDBs mobilize resources from capital markets and official sources, lending them to developing countries on more favorable terms than capital markets, and also provide technical assistance and advice for economic and social development, as well as a wide range of complementary services, to developing countries and the international community.

However, a seventh source of funding is often forgotten: that provided by students, research professors or administrators themselves. This happens when some of these actors cover part or all of the costs of an international program. For example, when a student undertakes mobility with his or her own resources, or when a teacher pays for a master's degree, PhD, etc.

The problem is not only to secure as many resources as possible, but to use them in a responsible and efficient manner through planning that covers all levels of the institution.

Today, a commonly-used term is *accountability*, which refers to HEIs' obligation to deliver results and be accountable for having benefited from some form of funding. Society, the markets, the State and the university community (teachers, students, administrators, etc.) are responsible for demanding proper management of resources (Figure 1).

Figure 1  
Characterization of accountability



Democratic. Gain responsibility	Definition: Obligation to produce results and to render accounts	Objective: To help actors in the educational system to continually adjust to their ever-evolving context
Shares responsibility, exchange, discussion and collective confrontation	Principles	Definition: wide variety of public and private actors present in public services
Transparency. Transparent information on progress observed	Accountability	Current buzzword: good governance
Bureaucratic, school, local authority and teacher	Types	Characteristics
Reports to State	Based on test results / School, local authority	Effective use of public services
	Market. School	International benchmarks
	Reports to State/ Federal Government	Quality mechanisms
	Reports to parents.	Accountability
		Transparent decision-making
		Varied sources of funding

Source: authors' own elaboration with information obtained from the Institute of Higher University Studies (private course in 2015).

For this reason, it is important to have a financial management model that ensures the achievement of the defined objectives and transparency in the use of resources.

## 2. Models for managing internationalization and its funding

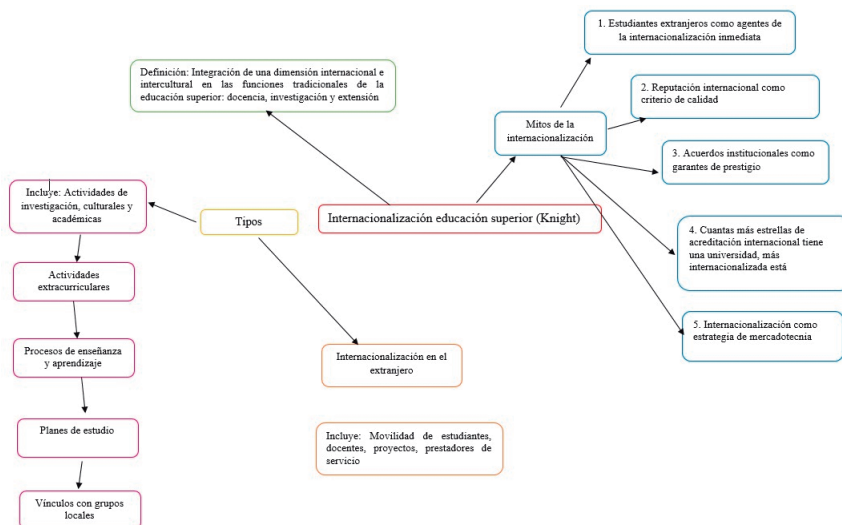
A model for managing funding for internationalization must be aligned with the general internationalization model adopted by each HEI. Two of the main theoretical models are analyzed below.

### *Knight's internationalization management model*

Jane Knight is an enormously influential researcher and author on the internationalization of higher education. She defines internationalization as the process of integrating an international dimension into the traditional functions of higher education: teaching, research and extension.

She also classifies internationalization into two types: *internationalization at home* and *internationalization abroad*. The former refers to links with local groups; curricula; teaching-learning processes; extracurricular activities; and research, cultural and academic activities; while the latter encompasses the mobility of students, teachers, projects and service providers. (Figure 2).

**Figure 2**  
Knight's internationalization model



Includes: Research, Cultural and academic activities	Definition: Integration of an international and intercultural dimension into the traditional functions of higher education: teaching, research and extension	1. Foreign students as agents of immediate internationalization
Extracurricular activities	Myths of internationalization	2. International reputation as quality criterion
Teaching and learning processes	Types	3. Institutional agreements as guarantees of prestige
Study plans	Internationalization of higher education (Knight)	4. The more international accreditation stars a university has, the more internationalized it is
Links to local groups	Internationalization abroad	5. Internationalization as marketing strategy
	Includes: Mobility of students, teachers, projects and service providers	

Source: authors' own elaboration with information obtained from the Institute of Higher University Studies (private course in 2015).

Knight (cited in Navarrete and Navarro, 2014) identifies five myths of internationalization (Figure 2):

1. Foreign students act as agents of immediate internationalization.
2. International reputation serves as a quality criterion.
3. Institutional agreements function as guarantees of prestige.
4. The more international accreditation stars a university has, the more internationalized it is.
5. Internationalization works as a marketing strategy.

Based on the above, Knight (1994) proposes a six-stage internationalization model (Figure 3):

1. Awareness. The aim is for the university community to understand the importance of internationalization and the role of its members in its implementation.
2. Commitment. The aim is for each member of the university community to be committed to integrating the international dimension

into the teaching, research and extension aspects of the university, i.e., into its substantive activities.

3. Planning. A strategic internationalization plan is developed, defining goals, objectives, strategies, plans, policies, etc.
4. Operationalization. This refers to the implementation of the strategic plan, and corresponds to the process of internationalization, where planning is put into practice. This phase is quite likely the most complicated.
5. Review. Evaluation of the impact of the actions implemented and the progress of the strategic plan for the purpose of taking corrective measures, if necessary.
6. Acknowledgement. The aim is to recognize and reward achievements, promoting the participation of all the staff and motivating them to carry on with continuous improvement.

**Figure 3**  
Knight's internationalization model by phases



(Center) Internationalization  
(Clockwise, starting at 12 o'clock) Awareness-raising, Commitment,  
Planning, Operationalization, Review, Recognition

Source: authors' own elaboration with information from Knight (1994).

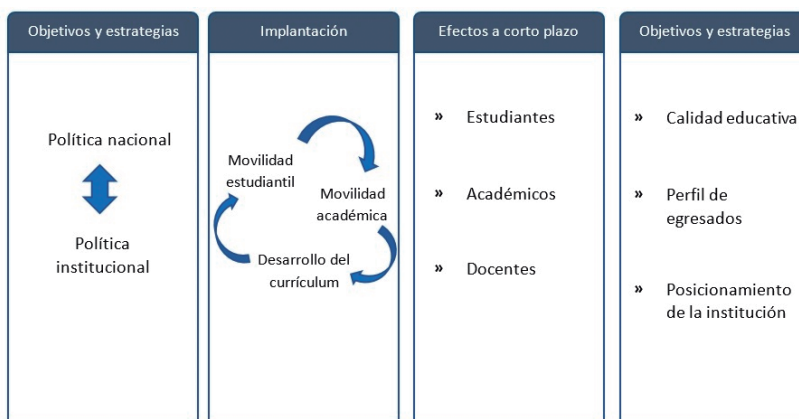
Knight's model has great relevance due to the emphasis placed by the author on the awareness phase, which is prior to the planning phase and, if achieved, guarantees a successful implementation.

### *Van der Wende's model for the internationalization of higher education*

Van der Wende (1997) proposes another internationalization model, described as a process that begins with a national and institutional policy and is translated into objectives and strategies. Once the direction to follow has been defined, the implementation of these strategies begins. The strategies focus mainly on three elements: student mobility, academic mobility and curriculum development. The results of the strategies are evaluated according to their short –and long– term effect: while the short-term results are those related to students, academics and teaching, long-term results refer to quality of education, graduate profile and the positioning of the institution (Figure 4).



Figure 4  
Van der Wende's model for internationalization



Objectives and strategies	Implementation	Short-term effects	Objectives and strategies
National policy	Student mobility	Students	Educational quality
Institutional policy	Academic mobility	Academics	Graduate profile
	Curriculum development	Teachers	Institution's positioning

Source: authors' own elaboration with information from Van de Wende (1997).

These models, to a large extent, are based on the classic administrative process (planning, organizing, directing and controlling) and on the Deming total quality model (planning, doing, verifying and acting), which have proven their effectiveness in different areas and industries, including education.

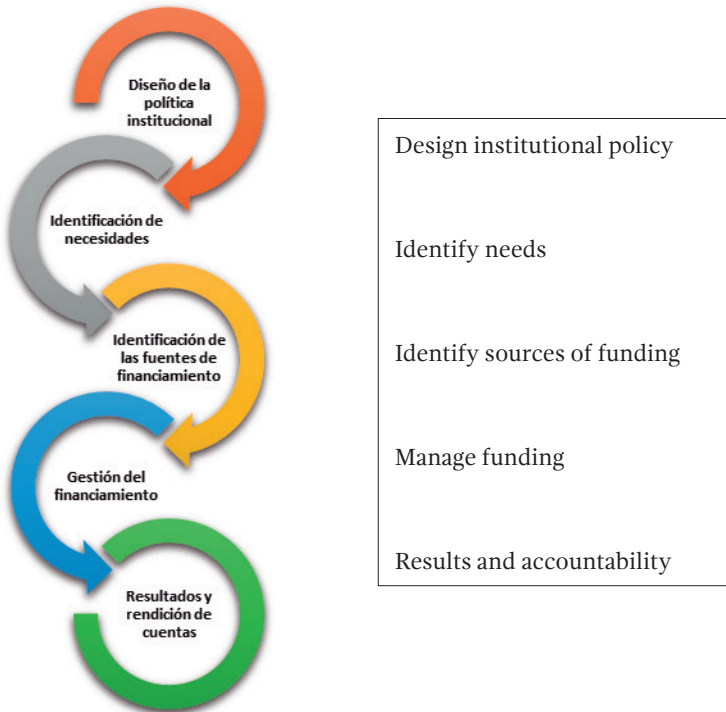
### 3. Model for managing the funding of internationalization

One of the main problems that arise in the design of a funding model in the area analyzed here is the polysemic sense of the term *internacionali-*

zation. Regardless of how they assume it, the following proposed model may be suitable for small or large universities, public or private, solitary (focused on cooperation) or competitive (focused on economic benefit).

Given its number of sources of funding, it is classified as a *multiple model* that seeks to obtain resources from public, private, international, and civil society entities, as well as from the very people who are the object of internationalization. The model also seeks to exploit the advantages that each one of them represents. It consists of five phases (Figure 5).

**Figure 5**  
Model for managing the funding of internationalization



Source: authors' own elaboration.

### *Design institutional policy*

It is of the utmost importance for internationalization to be considered a priority for IDPs and the international office to be involved in its development and dissemination at all levels.

Institutional policy should contain, at least:

- Mission.
- Vision.
- Internal and external analysis.
- Goals and indicators.
- Strategies.

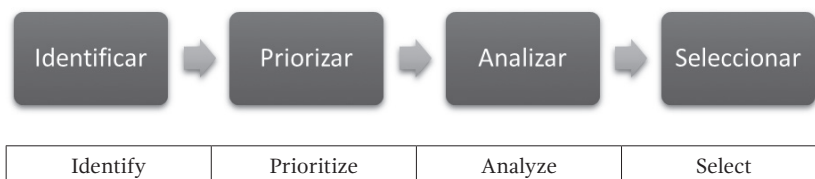
### *Identify needs*

Once the institutional policy on internationalization has been developed, it is necessary to have a clear vision of the project's development and to identify the priority actions to meet the proposed goals and to define the path to follow in order to finance them.

The prioritization of actions can follow this series of steps (Figure 6):

- Identify. List the internationalization activities identified in the internationalization policy.
- Prioritize. Order the activities included in the internationalization policy according to their relevance, importance and impact.
- Analyze. Develop a SWOT or ERIC matrix to assess the viability of each of the activities listed and prioritized previously, which in turn enables the determination of the cause-effect relationship in their implementation.
- Selecting. Choose the most viable and relevant activities or actions.

**Figure 6**  
Identification and selection of high-priority actions and activities



Source: authors' own elaboration.

Once activities and actions have been identified and prioritized, it is important to make an initial budget to identify funding needs.

### *Identify sources of funding*

The first step is to classify the activities and actions to be carried out according to the type of funding required: public or private resources, in-kind or economic, advisory or training, etc. It is important to mention that not all types of financing are adaptable to all institutions and, furthermore, not all types of financing are allowed by institutional and national legislation; therefore it will be necessary to review the legal framework of each of them (Figure 7).

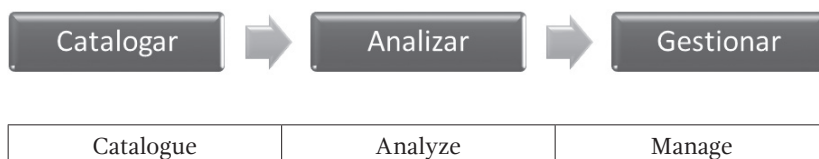
The Universidad Autónoma de Yucatán, in Mexico, through its General Coordination of Cooperation and Internationalization, has worked quite well on this issue. It has an extensive list of funding sources on its website, highlighting their main features and classifying them by target area.<sup>4</sup>

Once the sources of financing have been classified, it is necessary to analyze the commitments that the institution acquires if it obtains funding. Before managing any type of funding, it is important to ascertain whether the institution has the institutional capacity (human, financial and technical resources) to comply with its operating rules, since in

4 See: <http://www.uadyglobal.uady.mx/index.php?modulo=contenido&accion=categoria&id=59&tempId=225>

most cases the resources are labeled and must comply with the regulations of the sponsoring agencies.

Figure 7  
Identifying financing sources



Source: authors' own elaboration.

The following was drafted as a guide and includes a list of higher education funding agencies in different countries:

- Erasmus Mundus. This is a cooperation and mobility program in the field of higher education that focuses on improving the quality of higher education and promoting dialogue and understanding between people and cultures through cooperation with third-party countries. In addition, it contributes to the development of the human resources and international cooperation capacity of HEIs in other countries by increasing mobility between the European Union and these institutions.
- Europe and America: Enhancing University Relations by Investing in Cooperative Actions (EURICA). This initiative offers a scholarship program funded by the European Union in which thirteen Latin American partners from eight countries participate: Argentina, Chile, Colombia, El Salvador, Guatemala, Honduras, Mexico and Nicaragua. Seven partners from European countries also participate: the Czech Republic, Estonia, Italy, the Netherlands, Poland, Romania and Spain.
- Spanish Agency of International Cooperation for Development (Agencia Española de Cooperación Internacional para el Desarrollo, AECID). This agency grants resources through its Inter-University Cooperation Program and General Scholarship Program of the Ministry of Foreign Affairs for Cooperation (MAEC-AECID scholarships). See: [www.aecid.es](http://www.aecid.es)

- Japanese Agency for International Cooperation (JICA). Provides technical and financial assistance for the economic and technological development of developing countries, based on agreements between governments. See: [www.jica.go.jp](http://www.jica.go.jp)
- Agence Nationale de la Recherche (ANR), from France. Funds projects aimed at mobilizing the research sector. See: [www.agence-nationale-recherche.fr](http://www.agence-nationale-recherche.fr)
- International Student Exchange Association to Enhance Technical Expertise (IAESTE). Administers programs that offer training in services, industry, and administration, which allow foreigners to acquire hands-on skills in the United States. See: [www.aieste.org](http://www.aieste.org)
- International Universities Association (AIU). Promotes cooperation at the international level between universities and similar institutions in all countries – both entities and research centers are considered. Establishes relations between its members, acts on behalf of universities and represents their interests before public authorities. See: [www.iau-aiu.net](http://www.iau-aiu.net)
- Campus France. Informs international students about French higher education, and guides them in their choice of formation and in the integration of their application file and visa application. The agency also manages scholarship programs of foreign governments and private agencies. See: [www.colombie.campusfrance.org](http://www.colombie.campusfrance.org)
- International Center for Tropical Agriculture (CIAT). Contributes to the alleviation of hunger and poverty in tropical developing countries by applying science to the generation of technology capable of achieving lasting increases in agricultural production while preserving natural resources. See: [ciat.cgiar.org](http://ciat.cgiar.org)
- Consejo Mexiquense de Ciencia y Tecnología (COMECYT), of Mexico. Promotes human capital formation, scientific research, technological development, innovation and the dissemination of science. Grants scholarships and financial resources for the training of students and professionals in areas of scientific and technological specialization. See: [comecyt.edomex.gob.mx](http://comecyt.edomex.gob.mx)
- European Commission, Directorate-General XII-Research. Develops, in particular, the European Union's policy on research and techno-

logical development through the implementation of three objectives: facilitating the mobility of scientists between two institutions, associating the most competent research centers in order to jointly solve problems of common interest, and establishing smooth and permanent relations between the European Union and third countries.

- National Science and Technology Council (Conacyt), of Mexico. Develops and funds grant programs and support for the formation of human capital, science and technology. See: [www.conacyt.mx](http://www.conacyt.mx)
- Mexico-United States Commission for Educational and Cultural Exchange (COMEXUS), Fulbright program. Provides educational stipends. Sponsored by the Office of Educational and Cultural Affairs of the United States Department of State, foreign governments and the private sector. See: <http://www.comexus.org.mx/acerca.php>
- American Council of Education (ACE). Coordinates all United States agencies and HEIs, and is a forum for the discussion of all issues related to higher education. It also represents the interests of its members before public authorities. See: [www.acenet.edu](http://www.acenet.edu)
- British Council. Supports English-language teaching, stimulates academic and professional exchange programs with Great Britain on an individual and institutional level, makes an effective British contribution to the artistic and cultural life of the host country and provides information about Great Britain. See: [www.britishcouncil.org](http://www.britishcouncil.org)
- Facultad Latinoamericana de Ciencias Sociales (Flacso). Promotes teaching and research in the field of the social sciences, disseminates its progress, promotes the exchange of teaching materials and collaborates with university institutions and similar international, regional and national bodies to promote development. See: [www.flacso.org](http://www.flacso.org)
- Alexander von Humboldt Foundation. Promotes academic exchange and support for highly qualified young foreign university students, regardless of sex or race.
- Educational crowdfunding. In the educational field, it is possible to launch crowdfunding campaigns aimed at financing the training of a student, the development of a specific extracurricular activity, and even to fund research projects. To do this, interested students can

use a number of websites and platforms where they can promote their idea.

- Scholar Match. Created in 2010 as a local fundraising platform for low-income students, it is a non-profit organization that seeks to recruit young people to a network of students, teachers and institutions that will accompany them in three critical areas: the university admission process, school fees and the college support system. See: <https://scholarmatch.org>
- Go Fund Me. It is a free-of-charge fund-raising platform that generates its own campaigns or campaigns for third parties without incentives. It has a special section dedicated exclusively to users who try to raise money to cover their tuition costs. People can donate to a user's cause and track its progress. See: <https://es.gofundme.com>
- AdoptAClassroom. A non-profit organization that seeks to support teachers in purchasing supplies for their classroom; they, in turn, provide a detailed report so donors can learn what their resources were spent on. This platform supports classrooms of all types of institutions through contributions that reach all recipients. See: <https://www.adoptaclassroom.org>
- Upstart. This platform is recognized as an online loan market that uses non-traditional variables to predict creditworthiness. This means that, in addition to common subscription criteria, Upstart subscriptions consider academic variables, as well as work history, to develop a statistical model of borrowers' financial capacity and their personal likelihood to pay back their loan. See: <https://www.upstart.com>
- SoFi. It helps people achieve financial independence to achieve their goals. Only credit scores and debt-to-income ratios are analyzed to consider factors such as estimated cash flow, career and education, which helps ensure that members have a high probability of making their payments. See: <https://www.sofi.com>
- CommonBond. Digital credit platform that refinances student loans for university graduates. Commonbond introduced a new loan refinancing program, Parent PLUS, whereby parents who took federal loans to finance their children's college education can refinance these loans.



### *Funding management*

Once the appropriate source of funding has been identified, the application kit is prepared in accordance with the requirements determined by each funding agency. This document should contain the justification, the objective, the impact and the action plan.

### *Results and accountability*

All funded projects are subject to review by the funding body. For that reason, a summary of the results achieved should be drawn up together with a financial report guaranteeing transparency in the use of resources. If the project subject to funding has achieved the proposed objective, it will lead to new opportunities; conversely, if the project has not been properly developed, it will be more difficult to re-obtain funding approval.

## **Conclusions**

Funding for higher education, in addition to being key to the development of a country, has taken on greater importance in the agenda of various nations following the processes of educational internationalization currently in place.

The lack of a single model of internationalization at the global level has meant that the objectives and needs of each country and region are different, and therefore alternative sources of funding are sought. In Latin America, for example, education is referred to as a public good, the funding of which is primarily the responsibility of the State; however, with the introduction of the World Trade Organization on the subject of education and the vision of education as a worldwide commercial service, the values that govern the models described here will need to be redefined so that funding can address these new priorities.

Faced with a variety of perspectives, however, the proposed management model, due to its flexibility and because it offers multiple options, aims to be the basis of the funding plan for any type of HEI.

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**SECTION 6**  
MODEL FOR ATTRACTING AND MANAGING  
INTERNATIONAL PROJECTS



# PRACTICAL GUIDE TO ATTRACTING AND MANAGING INTERNATIONAL PROJECTS AT HIGHER EDUCATION INSTITUTIONS

VIVIANA BAQUERO HURTADO  
DANIELA PAOLA MORALES LÓPEZ  
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## Introduction

**T**he purpose of this practical guide is to present a general overview of the basics involved in attracting international projects for higher education institutions (HEIs). The content is divided into four sections. The first section talks about the origin and evolution of the concept of *international cooperation* as a reference point for attracting and managing projects; the second section describes the different lines of action in international cooperation; the third section talks about attracting international projects within the framework of international cooperation; and the fourth section presents a guide for managing international projects as part of HEIs' internal management structure within their international relations office.



## 1. The concept of international cooperation: origin and evolution

The origin of the *international cooperation* concept can be traced back to 1945, as World War II was coming to an end, when one of the documents that marked a before and after in international relations was signed by the common consent of more than fifty countries: the Charter of the United Nations (United Nations, 1945, pp. 1 and 17). The concept of international cooperation was first recorded in article 1, sub-paragraph 3 and in articles 55 and 56 of this document. The charter states that the ultimate goal of international cooperation is the joint effort of two or more countries contributing to society's development.

The first international cooperation projects began developing after World War II and under the Marshall Plan. Most of these projects focused on the reconstruction of infrastructure so that the lives of those affected by the war could return to normal. Subsequently, by the sixties and due to the influence of the Cold War, the concept of *international cooperation* was used by the United States and by Russia as a tool to gain allies.

With the foregoing in mind, it is important to point out that the arrival of the concept in Latin America happened simultaneously with the Cold War, since the main parties involved in promoting the concept of *international cooperation* were looking to build alliances through cooperation programs and that "Latin America was considered a priority region by the cooperating countries" (RedEAmerica, 2016).

Around that same decade, the concept gained strength worldwide, not only because it got back on track with its ultimate goals but because most of the world's cooperation agencies were created around that same time, including the Organization for Economic Cooperation and Development (OECD), and they started working on the implementation of cooperation plans for that particular moment in time. Thus, the concept was reconfigured as *international cooperation for development*.

This dynamic continued almost without evolution until the eighties, when the cooperation programs managed by the OECD via the Official Development Assistance (ODA) were provided only under restrictive conditions and were marked by an impartial global political agenda.

Later on, in the nineties, and due to crisis situations in many Latin American countries, there was an increase in the funds received through international cooperation.

Afterwards, during the nineties and the first decade of the 21<sup>st</sup> century, there was noticeable growth in the participation of non-government entities within the dynamics of the international cooperation framework (Nganje, 2015). This meant an expansion of the goals of international cooperation as well as of its implementation strategies.

These developments are reflected in the modifications made to the global goals established at the United Nations' Millennium Summit and captured in the Millennium Development Goals (MDGs), which focused on shared global goals but still mostly aimed at state agencies, and in the subsequent updating of those goals to the Sustainable Development Goals (SDGs) that include goals carried out by private bodies.

Regarding the SDGs, and keeping in mind the autonomy of nations, every country has the liberty to decide on the aspects it believes must be prioritized based on its needs. Likewise, each institution prioritizes the objectives it considers to be most in line with its interests and needs.

Within that context, we can clearly see an evolution in the approach of international cooperation as a concept that encompasses the exchange of knowledge and the transfer of techniques, technologies, skills and experience by establishing relations between two or more social actors based on the values of solidarity, empathy and mutual support.

## **2. Lines of action in international cooperation for development**

Now that the origin of the concept and some of its interactions with the world and Latin America have been laid out, it is important to keep in mind that international cooperation happens at different levels and in different ways. The following section discusses the concept as it applies specifically to HEIs, in order to provide an in-depth understanding of the scope of international cooperation for development, the ways in which it happens and its multiple lines of action (Figure 1).

Figure 1  
Lines of action in international cooperation for development



<b>Inter-institutional Cooperation</b>	<b>South-South Cooperation</b>	<b>Triangular Cooperation</b>
Technical exchange, support and cooperation at the international level, “peers” in other countries.	Horizontality, solidarity, mutual interest and benefit relating to development challenges and support of priorities.	Combines traditional or vertical cooperation with South-South Cooperation to provide cooperation to a third developing country.
<b>Bilateral Cooperation</b>	<b>Multilateral Cooperation</b>	<b>Technical Cooperation</b>
Involves two or more countries, or the institutions of two countries, with which the government has IC relations.	International, regional or sub-regional organizations. Carried out with their own resources or with funds provided by participants.	Transfer of techniques, technologies, know-how, skills or experience to support socioeconomic development in specific areas.
<b>Financial Cooperation</b>	<b>Humanitarian Aid</b>	<b>Food Aid / Assistance</b>
Resources for development projects: refundable – soft credit. Non-refundable – cash resources.	Actions, measures and programs to prevent and alleviate suffering, protect the life and dignity of people and communities affected by natural disasters or armed conflicts.	Food products for developing countries in order to promote self-sufficiency and guarantee food security as a foundation for their development process.
<b>Cultural Cooperation</b>	<b>Scholarships</b>	
Intended for the execution of activities in some cultural areas through equipment, material donations, training and exchanges.	Support to contribute to the education of technical personnel, researchers or public officials by means of technical education or training in another country.	

Note: IC in the figure above corresponds to *international cooperation*.

Source: Ministry of National Education and Colombia Challenge Your Knowledge (2015).

Understanding the lines of action presented here makes it possible to assess the significance of international cooperation in the education sector. In this sense, it can be inferred that financial support is indispensable for the success of international cooperation projects, because even though institutional contribution (from the promoting HEI) is essential for the execution of a project, support from an external financing source is also needed to guarantee its management and conclusion.

The following section explains the concept and importance of attracting international projects at HEIs along with the fundamental guidelines proposed by the Universidad EAFIT to increase the possibility of attracting an international project.

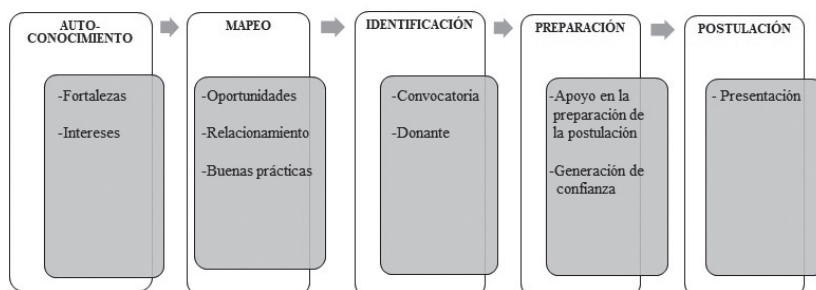
### 3. Attracting international projects

Over the last few years, attracting international projects has gained special relevance. However, many HEIs still do not have a structured attraction model. One of the probable reasons for this is that, as higher education fundraising also becomes more important and pervasive across college and university campuses, practitioners need additional tools drawn from the knowledge base that informs the practice of generating voluntary support for their institutions (Carbone, 1989). Moreover, one of the challenges for fundraising – as a profession – is the lack of a well-established knowledge base to inform this practice (Kelly, 1991).

Taking into account that fundraising is inherent to attracting international projects, it is important to specify that the former is the process by which an HEI or organization is capable of receiving public or private resources for the attainment of an objective. However, keeping in mind that fundraising is more than just receiving financial support is a must, since it also comprises a communication strategy by the HEI and its sponsor. In this sense, the strategy is both a way of guaranteeing the start, development and conclusion of projects, and a platform to show the world what is being done from within the HEI.

Below is a model of such a strategy, based on the experience of the Universidad EAFIT in attracting international projects (Figure 2).

**Figure 2**  
Stages for attracting projects. Universidad EAFIT



<b>Self-awareness</b>	-Strengths	-Interests	
<b>Mapping</b>	-Opportunities	-Establishing relations	-Good practices
<b>Identification</b>	-Call for proposals	-Donor	
<b>Preparation</b>	-Support in preparing the application	-Building trust	
<b>Nomination</b>	-Presentation		

Source: Office of International Relations at the Universidad EAFIT (2019).

As shown in Figure 2, the project attraction process proposed and implemented at the Universidad EAFIT consists of five main stages that must be carried out in the suggested order since there is a direct relationship between them.

The *self-awareness* phase refers to the initial moment of project attraction. It focuses on a self-assessment process undertaken by the institution, through which it prioritizes its interests in terms of searching for international projects and identifies its own strengths, advantages and areas of study. This phase is important because it allows the overall process roadmap to be outlined, since the definition of the above mentioned aspects serves to detect areas in which the university is capable of offering something and requesting something in return from the potential donor as compensation.

The *mapping* phase tracks different key aspects that are crucial for decision-making prior to the application for an international project. In this sense, the first step is the mapping of *opportunities*, in other words, the inclusion of the institution in the radar of calls for proposals around the world that align with the university's current situation. This means detecting opportunities aimed at what the institution needs and what it has to offer. The next step is the mapping of institutional and international relations, which seeks to create a record of previous alliances and possible strategic allies for the future. Basically, it identifies what in the academic environment is known as *peers* based on their strengths, track records and areas of interest. The final step is the mapping of *good practices*, which consists of closely monitoring the institutions that have set benchmarks on the subject. This mapping may serve to identify them as possible allies, but it also allows the university to establish closer contact for the sake of improving its internal processes for attracting projects.

The *identification* phase is the third stage of the process and happens once the opportunity of interest has been detected. At this point, most of the efforts are centered on understanding the call for proposals and all of its different aspects. In line with that, the following overall aspects must be analyzed in detail: nature of the call, maximum time frame, length of execution, topic areas, administrative formalities, logistics requirements, compensation policy and special terms or conditions, among others. Nevertheless, during this phase the intention is not only to comprehend the call, but also to identify the donor since this is necessary in order to design a proposal that adjusts to the donor's pace of work and increases the institution's chances of attracting the project.

Once the identification phase has been completed, the project *preparation* phase begins. This is the moment in the process that leads to the preparation and drafting of the proposal –once the interest groups inside the institution have been identified–, in other words, this phase is the materialization of the understanding reached during the previous phase. Additionally, this phase looks to build trust, which involves putting together an institutional portfolio relevant to the project being pursued, including the university's experience in similar projects.

The final step is the *application* phase. Here, the proposal is presented, i.e., it must be understood as the closure of the attraction process. Yet, it must be made clear that in order to make the presentation, all of the elements contained in the preceding phases are to be considered, even though more importance is given to identifying the application date since the goal is to submit the project a few days prior to the due date in order to have time to deal with possible contingencies.

In this way, the university sees the process of attracting projects as a series of essential steps leading to the successful procurement of international projects. A large number of the applications at the Universidad EAFIT have been guided within the framework of the proposed model with positive results. The institution performs rigorous monitoring of the applications and evaluates the most appropriate way to manage the project in the event it is approved.

This last part takes us to the actual guide, defined as *the basics of international project management* and presented in the following section.

#### **4. Institutional basics of international project management**

The process of international project management is of utmost importance to HEIs since it enables them to perform detailed monitoring of the financial, technical, relational and administrative activities to be carried out, all so that the information gathered serves as material for the final report that is to be submitted with each project and also as progress or supplemental material for the portfolio of capabilities and relations achieved with previously executed projects. Furthermore, it is important to realize that depending on the level and type of cooperation undertaken, management must be performed under specific parameters. The elements considered to be fundamental and general for managing international cooperation projects are presented below.

In accordance with a logical order of activities, initially the budget is to be considered one of the key aspects in managing international projects since, as beneficiary, the institution must consider the com-



pensation costs. These costs are estimated in the currency (domestic or international) that governs the project. Moreover, in the interest of building solid financial muscle, the international relations office (IRO) must allocate resources of its own for this budget and foster intra-institutional cooperation via the procurement of funding that comes from other offices that may benefit—directly or indirectly—from the project's development. In this way, the injection of cash flow to the project is planned and monitored; at the same time, possible shortfalls that could affect the closing of accounting cycles in the IRO, the project itself and the university in general are prevented.

Deciding on the human resources that will take part in the project's development is viable once the general budget has been assigned. In this regard, the role of institutional leadership played by the IRO is key. The IRO, from its corresponding field of international cooperation, will be the area in charge of the project's management and of having the staff members to administer the process. In this sense, knowing the assigned budget is necessary in order to determine whether the project's execution will rely on hiring specialized external personnel or training its own staff. The objective in either case is to ensure the timely fulfillment of the activities related to the project's management.

Then, developing an international cooperation project requires institutional commitment that leads to good planning of the activities to be carried out. For this reason, a timeline should be laid out, establishing tentative dates for the start and the end of activities. Having well-defined deadlines for submitting action results is crucial since not only does it demonstrate structured planning of the project's management, but it also allows the institution as the beneficiary entity to show the donor institution its ability to perform organized work and achieve goals.

Along these lines, when the projects enter their execution phase, the IRO (or designated area) must keep in mind that, once the activities planned for the project have begun, several other tasks must be carried out simultaneously, based on the timeline:

- *Financial monitoring* must be performed periodically in order to properly manage the funds intended for each activity and to exercise control or tracking of the resources available for the remainder of

the activities laid out in the timeline. Furthermore, the elaboration of periodic financial statements not only guarantees better handling of the project's finances but also facilitates the task of putting together a final management report. Lastly, it is important to mention that only one person must be entrusted with the entire financial administration process in order to avert delays, inefficiencies and misinformation.

- *Document management* is an important cross-sectional aspect, allowing strategic monitoring of all the areas involved in the project in addition to providing an account of the internal organization and commitment. It involves keeping drafts, presented activities, travel logs, achievements, purposes, assigned resources, among others. Additionally, all that documentation is usually concentrated in one specific department so as to prevent the loss of supporting paperwork crucial for the proper execution and completion of the project.
- *Impact assessment* is a fundamental factor within the guide. It generates visibility of the achieved results and of the impact level of the project management carried by the international cooperation coordination. It also marks the beginning of a feedback process that enables continuous improvement of the guidelines for managing international projects. Thus, measuring impact involves designing a series of specific indicators based on the nature of each project and, in addition to implementing them, also performing regular monitoring of the changes they might present in order to respond to possible contingencies in the future.
- *Management control reports* offer a global and in-depth vision of the project's management at different stages and are of great importance. They provide information about possible –non substantial– modifications for improvements along the way. Additionally, these reports cut across the entire project management process, are prepared as stipulated in the timeline, and become preliminary inputs for the elaboration of the project's closing report. Usually, the department in charge of financial and document management is responsible for their elaboration.

- *Completion* is where the project's closure takes place with the submission of final reports, the final evaluation of results and attendance at formal ceremonies. To this end, all factors related either directly or indirectly to the project are to be considered, especially the final due date. It is important to avoid inconveniences or delays in meeting deadlines. It is equally important to note that the completion phase is prepared in advance with the aim of fulfilling all requirements without complications.

These institutional basics regarding international project management are somewhat universal but, depending on the nature and specifications of each individual project, some particular or specific aspects may need to be added. Nevertheless, the model proposed here is considered the backbone of internal management procedures for international projects concentrated in the IRO.

On the other hand, there are cases in which the projects, although international, are not concentrated in the IRO because their nature demands technical and academic knowledge that can only be provided by schools, centers and groups devoted to research. In that sense, when presented with such a scenario, the IRO plays a supporting role by attending periodic meetings and offering expertise in international topics and institutional relations to the people directly involved with the project's management. Logistical support is also offered, i.e., help with processes such as permits, letters, approvals, translations, among others. In the end, the IRO requests an impact assessment report for the sake of identifying the institution's role and performance in terms of international project management.

In conclusion, attracting and managing international projects is essential and cross-sectional for HEIs with a global vision. They must have strategic structures that allow them to identify strengths, opportunities, application mechanisms, monitoring and records systems, self-evaluation and feedback methods as well as all the other aspects previously mentioned.

In this way, there will be higher probabilities of attracting an international project that aligns with the university's current situation. And once

the project is secured, the university must make sure it has the capabilities to execute it efficiently in accordance with the submitted proposal.

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SECTION 7  
MANAGEMENT MODEL FOR INTERNATIONAL  
STUDENT AND FACULTY MOBILITY



# MANAGING INTERNATIONAL MOBILITY AT HIGHER EDUCATION INSTITUTIONS

MAGDALENA L. BUSTOS-AGUIRRE

## Introduction

**T**emporary student and faculty mobility has traditionally been one of the key elements of internationalization processes at higher education institutions (HEIs) and one of the first strategies they tend to implement when they start engaging with the global context.

Considering that the immediate beneficiary of mobility at HEIs is the individual taking part in the process, one of the main challenges is to spread the impact of this mobility throughout the institution and its community. This implies defining a student and faculty mobility strategy on the basis of its rationality, cross-sectionality and links to the institution's substantive functions and priorities; its connection to other elements of the institutional development plan and systemic impact strategies; and the professionalization of the area in charge of coordinating the programs.

This chapter looks at this last aspect and seeks to contribute to the institutionalization of mobility strategies at HEIs based on improving mobility processes. It should be pointed out at the start that the text focuses on physical mobility in the framework of academic activities at HEIs, and that while virtual mobility is an innovative internationalization strategy with the potential to serve large segments of the university community, it has its own mechanisms, dynamics and forms of organization that are beyond the scope of this text.



The chapter is divided into five sections, aside from this brief introduction: 1) the conceptual framework of mobility at HEIs, 2) the organizational dimension of a model for managing mobility, 3) desirable characteristics for the office in charge of mobility at HEIs, 4) eight basic elements of management for these offices, and 5) conclusions and final recommendations.

## 1. Conceptual framework of mobility

International mobility has taken root in HEIs' day-to-day operations around the world over the last thirty years, recommended and encouraged by international organizations, particularly those associated with the United Nations (UN). At its World Conferences in 1998 and 2009, UNESCO advocated greater cooperation and mobility in higher education, expressly pointing to the importance of creating "mechanisms to [...] encourage the mobility of faculty, students and [administrative] staff" at systems and HEIs (UNESCO, 2009, p. 8).

More recently, at the Regional Higher Education Conference (Conferencia Regional de Educación Superior, CRES) organized in 2018 by the UNESCO Institute for Higher Education in Latin America and the Caribbean (Instituto de la UNESCO para la Educación Superior en América Latina y el Caribe, IESALC), in preparation for the 2019-2020 World Conference, member States were urged to strengthen South-South cooperation and increase intra-regional mobility for students, researchers, professors and administrative staff, since mobility is recognized as playing a key role in integrating and internationalizing the region (UNESCO, 2019).

Furthermore, in its Sustainable Development Goals (SDGs) the UN has recognized that mobility promotes knowledge generation and contributes to collaboration among higher education systems. It also states in the fourth goal that the generation of alliances in higher education is necessary for forming teachers and developing the technical and professional competencies that will open doors for young people and adults, especially in developing countries, to participate in the labor market and entrepreneurship (United Nations, 2019).

The term *mobility*, however, is an umbrella concept that encompasses a wide range of activities with diverse objectives, purposes, duration and forms of organization (Colucci, Ferencz, Gabael, and Wätcher, 2014). Thus, *mobility* can refer to students or faculty, to earning a degree at another institution, to a company internship, a language course or a trip with academic objectives. Mobility can also be a part of a study program at the home HEI, or it can be managed in parallel or independently; it can last a few days, several months, or a matter of years; it can be promoted as a national strategy for forming human capital, or as the personal pursuit of competitive advantages on the labor market, among others.

The most-well known and carefully studied kind of mobility in the world is *student degree mobility*, in which participants cross actual physical borders to study for an entire academic degree in a country that is not their habitual home. According to Choudaha and de Wit (2014), student degree mobility is defined on the basis of certain factors that serve as both drivers and deterrents. Among the driving factors, the authors point to the attractiveness of the host country, the academic reputation of the host institution, and the possibility of definitive migration; the deterrents include the costs of living and studying; the language proficiency required; and the perception of discrimination or lack of support in the host city, country or region.

Choudaha and de Wit (2014) also point out that short-term student mobility, for credit or during the study program, has less social, political and economic impact than degree mobility, and that, with the exception of the European Union, the percentage of participation in this type of mobility is marginal throughout the world. Nevertheless, the authors recognize a growing interest over the last ten years in encouraging this type of mobility in the national and international policies of many regions, along with a steady increase in the number of participants and the diversification of programs and destinations.

In the case of Latin America and the Caribbean (LAC), participation in international student degree mobility is marginal: out of 5,085,159 international students around the world in 2017, the region received 176,362 and sent 310,466 (UNESCO, 2019). The same goes for short-term or for-credit mobility: the few data available point to a percentage

of under 1% of students enrolled in higher education in the region who took part in mobility during their university studies.

When it comes to faculty, mobility is rarer still, and is concentrated in an elite: full-time professors with a PhD who are proficient in other languages and collaborate with peers in other countries, which suggests that fewer than 5% of university professors in LAC could take advantage of mobility (Bustos-Aguirre, Crôte-Ávila, and Moreno Arellano, 2018).

For HEIs, mobility, particularly student mobility, is one of the most visible faces of their internationalization initiatives, and one of the first strategies they tend to implement in this regard. HEIs' interest in encouraging and increasing mobility in their academic communities is based on the abundant references in the specialized literature to the benefits that accrue to those who spend time in other countries engaged in academic activities. These benefits can be seen on three levels: that of the individuals who engage in mobility; that of their home HEI; and that of their locality, country and region.

For the individuals, the clearest benefit is the enhancement of their academic profile and employability, as mobility serves to develop knowledge and competencies that allow them to interact in multicultural environments and gain insights into the many kinds of interdependence that characterize today's world. It also has an impact on their maturity, self-esteem and capacity for self-criticism, and encourages the development of soft skills like team work, initiative, tolerance for frustration, and analytical and creative thinking (Suoto-Otero, 2019; Hénard, Diamond, and Roseveare, 2012; Kim and Goldstein, 2005; Horn and Fry, 2013; Mutlu, Alacahan, and Erdil, 2010; Brandenburg, 2014; Teichler, 2012; Bustos-Aguirre and Martínez-Contreras, 2014).

At the level of the HEIs, aside from contributing to their internationalization process, mobility helps them to develop global citizenship competencies in their graduates, to generate complementary economic resources, to improve academic and administrative processes, to facilitate their graduates' transition into the professional world, and to elevate the quality of teaching and research (Suoto-Otero, 2019; Asociación Nacional de Universidades e Instituciones de Educación Superior, 2014; Gacel-Ávila, 2006; Brandenburg, 2014; Leask, 2009).

In addition, faculty mobility is crucial for HEIs' internationalization process, as Altbach and Postiglione (2013) point out, because professors and researchers are the ones who teach courses, do collaborative research, host international students in their classrooms, publish in foreign academic journals, and participate in the design of programs and courses.

At the local, national and regional level, mobility injects vigor into the labor market; promotes the development and circulation of qualified human capital; enhances the formation of students, their families and their community; facilitates and strengthens international dialogue with local and national actors; contributes to the globalization of competencies and skills; allows for comparisons between HEIs; favors opportunities for investment and collaboration with foreign companies; and finally, has the potential for making important contributions to the development of a regional identity (Asociación Nacional de Universidades e Instituciones de Educación Superior, 2014; Bracht et al., 2006; Allen and van der Velden, 2007; Jahr and Teichler, 2002; Knight, 2012; Kehm, 2005).

The dimension that these benefits of international mobility can attain for the participants, their HEIs and their geographical surroundings depends to a great extent on whether the mobility strategy is integrated into a comprehensive internationalization policy at the HEI and on the link between internationalization strategies and mobility with the rest of the institution's strategies.

In order to come up with a model for managing mobility at HEIs that includes the different actors making up the university community, as this chapter sets out to do, the following definition is proposed: *mobility* at HEIs is understood as temporarily crossing borders for the purpose of undertaking activities that are related, similar or complementary to those the participants engage in on a regular basis at their home institution.

The proposed definition consists of three elements. First, it states that mobility necessarily involves actors physically crossing borders in order to undertake academic activities for a specified time; second, it conceives of mobility as an activity that any person with formal ties to an

HEI can undertake, regardless of her role, i.e., it is not exclusively for students but also for faculty and administrative staff; and third, it specifies that the activities undertaken in the other country vary depending on the objective of the mobility and the participant's role at his home HEI.

## **2. The organizational dimension of implementing a mobility strategy**

Considering that mobility is a key strategy in the internationalization process, HEIs implementing it must be capable of providing all the services that it implies, i.e., for all three groups of institutional actors mentioned above, not just students.

Oftentimes, however, even in contexts with clearly-defined and generously-funded national or supranational internationalization policies—the European Union, Australia, China and South Korea come to mind, there is a great deal of variation between HEIs when it comes to the degree of consolidation that they actually achieve in their internationalization process (Childress, 2009; Bartell, 2003). This variation can be attributed to a series of factors, including the institution's formal and informal structure, its academic and organizational tradition, its level of openness to change, the process for implementing mobility and internationalization strategies, the organizational culture, current leadership, among others.

It is important to understand that implementing a mobility strategy with systemic impact does not consist simply of getting a program underway; it also implies generating a new management model aligned with the rest of the institution's strategies, including the one for internationalization, in order to change the paradigm of the institution-context relationship and facilitate participation in the process by different actors from the university community. As the mobility strategy and the internationalization policy become part of an institution's strategic vision and values, they tie into the functional areas, and these interconnections end up adapting and adjusting structures and processes (Cameron, 1984, quoted by Bartell, 2003, p. 44; Lewis, 2007, quoted by Hunter, 2013, p. 62).

The possibility of a mobility strategy leading to organizational change depends to a great extent on three elements that are interconnected by feedback loops: leadership, decision-making and the creation of a new organizational culture (Hudzik, 2013; Hunter, 2013; Gacel-Ávila, 2006).

Leadership at HEIs is wielded in two dimensions: first there is the organizational structure, top-down in nature, consisting of guidelines, administrative hierarchies and institutional policies; then there are the informal networks, made up of important actors who function as a parallel structure and who wield their own authority and leadership within the institution, such as faculty groups, departmental councils and student organizations (Coronilla and Del Castillo, 2003; Friedberg, 1993). Therefore, in order to ensure that the implementation of the mobility strategy flows as smoothly as possible and succeeds in attaining its objectives, all groups that wield leadership must be involved.

The implementation of a mobility strategy with systemic impact also requires a review and (re)assignment of tasks, functions and roles that lead to organizational and budgetary decision making. These decisions will ensure the allocation of resources, both material and human, in a timely, constant, sufficient, sound and sustainable manner in the long term.

Finally, the third element—organizational change—gives rise to a new culture in HEIs. Just as the HEIs' formal and informal structures play the leading role in defining and implementing the strategy, the process of organizational change calls primarily for the collaboration, supervision and accompaniment of the governing bodies: whereas the role of the formal structure is to manage the implementation of the mobility strategy, the role of the governing bodies is to make sure that the changes being introduced are meaningful and sustainable, to foresee and forestall complications and negative externalities, and to encourage desirable dynamics that lead to the gradual but growing adoption of the strategy and a new institutional culture (Trowler, Hopkinson, and Boyes, 2013).

The governing bodies have a fundamental role to play in generating a new organizational culture in the HEI, insofar as it is their responsibility not only to create the right climate for implementing the strategy and

procuring the required human talent, but also to make the decisions needed to attain the defined objectives (Rhodes, 2009). Furthermore, without an atmosphere that is conducive to open, constructive discussion among multiple viewpoints, an institutional *ethos* that values and supports mobility and multi-cultural, international initiatives is unlikely to develop (Knight and de Wit, 1995; Morgan, 2006; Ahn, 2014).

### 3. Desirable characteristics for the office in charge of managing mobility in institutions

The institutionalization of mobility and the generalization of its benefits to all actors inescapably depend on the HEI declaring mobility a high-priority strategy. This section sets out the desirable attributes and characteristics of the office in charge of managing mobility in two dimensions: its organizational definition with respect to the institution's internationalization policy and academic and administrative units, and the desirable specifications of the office's internal organization.

In terms of organizational definition, an HEI's mobility office should meet the following conditions:

- *Belong to the office responsible for implementing a comprehensive internationalization policy.* Seeing that mobility is just one of various strategies to be implemented in order to achieve a comprehensive internationalization process, the mobility office should form part of a unit with a broader scope. In other words, the HEI should have a top-tier office in charge of implementing the institution's internationalization policy, and one of its tasks should be to manage student, faculty and administrative staff mobility.
- *Have enough authority to support the institutional internationalization policy through the mobility strategy.* Direct involvement in institutional policy design and implementation on the part of the mobility office will contribute to the attainment of internationalization objectives and indicators.
- *Its location on the organizational chart should allow it to interact with other academic and administrative entities.* Offices' hierarchical posi-

tion in HEIs is a good indicator of the level of priority assigned to their functions. If the office in charge of operating student and personnel mobility is not at the right level, it is unlikely that it will interact with other university units or participate in decision-making with an eye toward integrating a comprehensive strategy that meets the needs of the institution and its academic entities.

- *It should participate on committees and other internal bodies that contribute to the design, implementation and improvement of the HEI's mobility programs.* For the mobility strategy to succeed, the programs need to be aligned with both the institution's objectives and with the needs and interests of students, faculty and administrative staff; in addition, it is important to identify and deal with problems related to procedures and regulations that come up when implementing and executing the mobility strategy.
- *It should have human, technical and financial resources that correspond to the size of the actions being projected and to the results expected from the mobility strategy.* This is not a trivial concern. As mentioned in the previous section, continuous and adequate funding will contribute to the attainment of the objectives defined in the strategy. *Funding* is understood to mean the budget, which must cover not only the office's operations, but also the required infrastructure, and the hiring of qualified personnel along with their training/updating. Furthermore, it is important to ensure that resource procurement is steady in the long term; it will be difficult to keep up the drive and enthusiasm achieved in the early stages of implementation if the resources start to dry up.

#### **4. Eight basic management elements for institutions' mobility offices**

The internal organization of the HEI's mobility office is just as important as the institutional policy and strategy that support it; the existence of an office positioned prominently on the organizational chart, sufficiently funded and with a seat at the table for designing and implementing the



mobility strategy does not guarantee in and of itself that its benefits will reach the entire institution. Certain measures must be taken to ensure its proper internal organization.

In a review of the literature on student mobility, the author identified eight aspects of management that contribute to good performance and the attainment of objectives and goals and that can serve as references for managing mobility for the three types of beneficiaries at HEIs.

The eight recommendations for boosting the desired impact of the mobility strategy, listed below, include administrative aspects such as an annual operating plan and good internal organization practices, as well as aspects related to the operation of mobility, such as comprehensive databases, a sufficiently broad range of options that meet the needs and interests of all the actors, and a communication strategy.

1. *Annual operating plan.* Malicki (2012) points out that, in addition to planning at the institutional level, mobility requires recurrent planning, or operational planning, which means short-term, focused monitoring of key operational aspects. Having an annual operating plan allows the HEI's mobility office to evaluate the fulfillment of key performance indicators and institutional goals, to monitor and follow through on the implementation of new projects or programs, and to do the same with communication or marketing plans.
2. *Mobility options.* A good mobility strategy should include a variety of programs in terms of duration, objective and geographical regions (Colucci et al., 2014; Malicki, 2012), so that they can adequately meet both demand and the diverse interests of the three groups of actors participating in mobility programs. In order to have a sufficiently broad, formalized and consistent portfolio of mobility options, two previous tasks must be undertaken: the institution must define the acceptable modalities and conditions of participation for the three groups of actors the programs are aimed at, and it must diagnose their needs and interests.
3. *Databases and information management.* In spite of its relevance, having comprehensive, reliable information about mobility, including both quantitative and qualitative information, available for consultation at any time, is one of the least systemized aspects at

HEIs. The information provided by the mobility office is useful not only for evaluating its programs in a systemic and comprehensive way, but also for giving feedback that can inform the institutional planning of internationalization. For this reason, the mobility office should keep a comprehensive and constantly updated database of university students and staff who participate in mobility programs and projects, regardless of whether the nature or objectives of certain programs mean that they are operated by other academic offices. It is likewise up to the mobility office to keep detailed records of all participants in each program and all cooperation actions with each partner HEI (Colucci et al., 2014; Arteaga Ortiz, Seoane Pampín, and López Veloso, 2007; Malicki, 2012). The availability of mobility databases is made easier when institutional academic information systems include a dedicated module, designed specifically for this purpose and fed by all those involved in the process (Malicki, 2012). Moreover, institutional budgets will have to consider that the efficient management of mobility requires technological tools for facilitating and ensuring the process, from the initial request for information and application to participate, to the bilateral relations with partner institutions, the authorization of mobility, and the in case of students, the transfer of credits and the recognition of completed activities.

4. *Good administrative practices for managing mobility.* The mobility office is an administrative unit within the HEI, and as such it must follow a set of good practices aimed at efficient management that in the final analysis contribute to the attainment of the goals and objectives of the institution's internationalization strategy. In this regard, Malicki (2012) states that offices in charge of mobility must undertake the following tasks: 1) identify projects to improve program operation in order to produce efficiencies in time and budget over the medium and long term; 2) closely monitor mobility participants throughout the process; 3) have transparency and accountability guidelines and procedures for managing mobility; 4) use widely available technological tools to optimize tasks, such as virtual classrooms, social networks, videoconference and videocall programs, webinars,

web pages and software for creating surveys and registration forms; 5) have guidelines for risk management, such as specifications for insurance coverage and analysis of living conditions in the countries of partner HEIs, as well as protocols for taking action in the event of crisis situations such as serious health problems, accidents, natural disasters or social unrest in the host country.

5. *Communication strategy.* Communication is one of the pillars of management in mobility coordination offices, so it is essential to draw up strategic plans for informing the different kinds of users and relevant actors about key aspects of mobility programs, and for avoiding confusion and duplication. Strategic communication plans must consider all parties involved: staff in internationalization and mobility offices, partner HEIs and providers, the student body, students interested in mobility, employers, professors and academic authorities, administrative staff, parents, and the general public (Arteaga Ortiz, Seoane Pampín, and López Veloso, 2007; Malicki, 2012). Malicki (2012) also states that a good strategic communication plan has sufficient visibility and accessibility, includes the periodic organization of events and meetings with relevant actors, and considers a broad program of information to communicate the benefits, options, programs, requirements and procedures related to mobility.
6. *Information and counseling strategy.* Sweeney (2012) contends that one of the most important actions to lower the risk that ignorance will get in the way of mobility is to provide ample information about this activity over channels of communication between the mobility office and student and faculty associations. In the case of students, the Eurydice report (European Commission, Education, Audiovisual and Culture Executive Agency, and Eurydice, 2013) underscores the importance of offering advice and information at two specific moments: before they participate in mobility in order to help them prepare and to give them tools and information that could enhance the development of competencies, knowledge and skills during their stay abroad; and upon their return, with an eye to helping them make sense of their experience and take full advantage of their newly developed competencies. This same report (Euro-

pean Commission, Education, Audiovisual and Culture Executive Agency, and Eurydice, 2013) points out the importance of the participation of third parties, called *multipliers*, in the actions aimed at motivating and inspiring mobility. Multipliers might be students who have completed a mobility experience, or professors or professionals with relevant experience, among many others. Malicki (2012) adds that HEIs should take full advantage of technological tools to optimize the mobility office's human resources and available time for providing counseling. Some of the most useful tools are a friendly, updated webpage, and recorded webinars and online courses that provide all the basic information about the process, including the steps to follow.

7. *Programs for integrating local actors and visitors.* Colucci et al. (2014) argue that fostering contact between members of the local university community and foreign visitors contributes to promoting outbound mobility, generating interest in new options and destinations, and developing new fields of collaborative research. Malicki (2012), for his part, contends that socialization programs, particularly for students, make an important contribution to visitors' integration. Mobility offices should therefore organize socialization events and proactively manage visitors' agendas in order to maximize their opportunities for interacting with the local university community.
8. *Incentives for mobility.* Incentives for mobility should include all the actors the programs are aimed at serving, and a budget for consolidating relations and support for the most motivated academics, because as mentioned above, those who do the teaching in an institution are key actors in its internationalization process. Without academics' complete, active and enthusiastic involvement, internationalization efforts are bound to fail (Altbach and Postiglione, 2013). Among possible incentives for faculty, Malicki (2012) suggests the following: programs and economic support for mobility, workshops offering interested academics information and advice about designing mobility components for their courses and programs, incorporating academics into the team that participates in promotion missions and trips abroad, and offers of funding for new mobility programs

designed and implemented in response to academic departments' interests. For the particular case of students, Malicki (2012) suggests that recognition of international stays as part of an extra-curricular program in global citizenship or international leadership is an excellent way to improve the visibility of mobility programs and boost student participation, as it not only awakens interest among non-participating students, but also serves as a showcase where potential employers can see the competencies that students have developed. This type of program also allows students with mobility experience to maintain ties to the internationalization office and become multipliers, supporting communication and information strategies. It is also important to remember the administrative staff when designing incentives for mobility; they are the ones who deal with visiting students and professors on a day-to-day basis, and yet they tend to get sidelined from incentive programs. The design of short mobility experiences or exchanges for administrative personnel often produces very good results by generating empathy and synergies for other internationalization actions. Two other elements that help to encourage mobility and its visibility are the institutional organization of events where recognition is given to students who participate in programs, particularly those who have merited special economic support, and the incorporation of mobility-related aspects into regulations, programs and procedures for the hiring, retention and promotion of academic personnel.

## Conclusions

Mobility, understood as the physical crossing of borders, is one of the most important strategies for internationalizing HEIs. However, in most cases and despite its steady growth, it has not been comprehensively integrated into the internationalization process, it has not managed to have a systemic impact on HEIs, and it has not been able to move beyond the participants' personal benefit to provide a more institutional benefit, because it is often an activity disconnected from academic life.

For mobility to shift from being a strategy with only individual impact to one that offers systemic impact, HEIs need to address the aspects that contribute to its institutionalization, which in turns has implications for its organizational structure and the programs that are implemented and promoted. The management of mobility at HEIs must start with the institution's own definition of what will be considered *mobility*, its modalities and procedures for participation, along with a (re)design of an appropriate, relevant structure with sufficient resources for conducting the institutional mobility strategy and achieving the objectives and goals that have been set. As HEIs manage their mobility programs in a more systemic, strategic and centralized way, their results will improve in both quantity and quality, and they will have elements to feed back into the institutional internationalization strategy and enhance its transcendence.

The importance of adequate implementation of the mobility strategy at HEIs lies in its potential for positively impacting the system and making a more intentional and direct contribution to the institution's internationalization process, which means carefully designing a strategy that aligns with institutional needs and effectively incentivizes, promotes and manages the programs and the participation of students, faculty, researchers and administrative staff.

Finally, it is important to point out that better management of mobility at Latin American HEIs is a worthwhile goal not just because it contributes to achieving better results in terms of internationalization strategy, but for its potential to reduce the gaps between those who do mobility and those who do not, generating more equity in the participation of students, academics and administrative staff in the long term.

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**SECTION 8**  
MANAGEMENT MODEL FOR  
INTERNATIONALIZING CURRICULUM



# MODEL FOR IMPLEMENTING CURRICULUM INTERNATIONALIZATION THROUGH METHODOLOGICAL WORK

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## Introduction

In recent years, internationalization has taken on special importance in the area of higher education. UNESCO (as quoted in Botero and Bolívar, 2015) states: “consequently, the international dimension [ID] should be present in studies and in teaching and learning processes” (p. 15). The Organization for Economic Cooperation and Development (OECD), for its part, “proposes the total internationalization of the higher education system, in order to enhance its quality and meet the challenges posed by globalization” (p. 15).

The results of the first survey on the topic, designed for the context of Latin America and the Caribbean (LAC) and applied throughout the region (Gacel-Ávila and Rodríguez-Rodríguez, 2018) for the purpose of gaining deeper insights into the different characteristics of its internationalization process, reveal progress in the efforts being made, especially on the part of institutions, although the authors observe that “curriculum internationalization [CI] continues to be the most neglected of the strategies. Mobility strategies receive the greatest attention, while the integration of the [ID]

into the curricular structure and study programs is implemented the least” (Gacel-Ávila and Rodríguez-Rodríguez, 2018, p. 122).

In Cuba, and specifically at the Universidad de Pinar del Río (UPR), a report on the results of the implementation of the University Internationalization Strategy (UIS) during the year 2018, as in the region as a whole, suggested that the internationalization of formation processes, both undergraduate and graduate, i.e., so-called *CI*, is the most pressing challenge and that the preparation of directors and academics represents the most decisive factor for making it happen.

This chapter shares a model for managing *CI* through methodological work (MOGIC), which positions this kind of work—a form of training for faculty members in Cuba—as the management mechanism. MOGIC has been introduced in one of the UPR’s schools as part of the implementation of the UIS.

## 1. General theoretical bases of the model for implementing curriculum internationalization through methodological work

The internationalization of higher education has been addressed by different authors, using a variety of approaches and theoretical-methodological perspectives. Knight (1994) sees internationalization as “the process of integrating an international and intercultural dimension into the institution’s functions of teaching, research and service” (p. 7). The author summarizes a number of approaches that institutions apply when they plan and implement an internationalization strategy: activity, competency, *ethos* and process.

In the definitions of *higher education internationalization* proposed in recent decades, the *process* approach predominates, and the university areas and processes to which it is to be integrated are broadened and defined with greater precision, which is reflected in the proposals of strategies and models for its implementation. The rest of the approaches are integrated as complements. Thus, for example, Knight (2008) sees “internationalization as the process of integrating an international,

intercultural dimension into the purpose, functions and strategies of higher education” (p. 30).

Gacel-Ávila (2009), for her part, refers to internationalization as

an educational process that integrates a global, international, intercultural, comparative and interdisciplinary dimension into the university’ substantive functions, with the aim of providing students with a global perspective on human issues and a global awareness that favors the values and attitudes of responsible, humanistic citizenship characterized by solidarity. (pp. 7-8)

Another trend in the historical development of the concept is the gradual increase and deepening of its characteristics, which include its links to globalization, its conception as *cross-sectional* and *comprehensive*, its dual character (internationalization at home and abroad), its relationship with international education, and the benefits and challenges of its implementation, among other aspects.

In this regard, Gacel-Ávila (2009) argues that “the internationalization process is comprehensive and involves integrating the international, intercultural and global dimension into all institutional policies and programs so that international activities come to occupy a high-priority position in institutional development” (p. 8). De Wit (quoted by Gacel-Ávila, 2009) for his part asserts that “internationalization is a broadening of the term *international education* and a strategic process aimed at integrating the international and intercultural dimension or perspective into the substantive functions” (p. 6).

This chapter sees university internationalization as:

- A dynamic and cross-sectional process;
- That which enables the ID to be integrated into the university’s mission and substantive functions, which go beyond policy and strategic planning, curricular structure and content, and the teacher training process; and
- That which helps to enhance the quality of the processes and results, with an emphasis on the international education of instructors, students and workers in general.



The authors of this chapter also assume that:

- The ID includes the international, intercultural and global dimensions.
- Teaching, research and extension constitute the university's substantive functions.
- International education is the process of influences that higher education institutions (HEIs) develop with the aim of forming professionals who are committed to their national identities and competent in today's international, multi-cultural and global contexts.
- The ID is seen as a process and as a result.

Furthermore, and as explained above, CI is one of the components of higher education internationalization where the least progress has been made, even as current writers have produced a significant increase in the literature, making important theoretical and theoretical-practical contributions to the topic, which could drive progress in this component in upcoming years.

The definitions of CI generally overlook its distinctive feature —*it is a process*— and while they implicitly see it as a legacy of the concept of *internationalization*, they diverge in the use of the overarching concept: there is a widespread trend to see it as the main action of the process of *integrating the ID*, and to insist on the desired results in the formation of future professionals as a result of its application.

Along these lines, Madera (2008) posits CI as “the integration of the ID into the educational teaching process: content and forms of course programs, didactic methods, evaluation systems, research and extension, quality criteria, the concept of pertinence, coverage and equity” (p. 4).

For their part, Botero and Bolívar (2015) state: “CI is related to the ‘creation of curricular models that formulate tactics to ensure that students acquire competencies and capacities that will enable them to interact as future professionals in an international, globalized environment’” (p. 12). The authors specify it as “making the study plan of the HEIs’ academic programs competitive by offering courses of an international nature, or by broadening the courses so that they include international content and conform to a worldwide credit system, among others” (p. 41).

Similar to what happens with the concept *internationalization*, the historical development of the concept of *CI* has received input from deeper insights into related concepts, such as *intercultural competencies*, *global competency* and *cultural sensitivity*, among others, as well as from new models for managing it, the identification of difficulties and obstacles in implementing it, and the connections to other concepts.

Thus, for example, Arango and Acuña (2018) refer to *CI* as

the construction of relevant, flexible and comprehensive curricula with international components, but that also use different tools so that instructors and students have ongoing contact with international contexts, perhaps in a virtual format, [which] contributes directly to the improvement of the programs' quality, and enables students to acquire the skills they need to deal with changing environments. (p. 40)

Gacel-Ávila and Rodríguez-Rodríguez (2018) point out that

in the experience and perspective of institutions participating [in the survey that was conducted], the main obstacle to *CI* consists of “administrative or bureaucratic difficulties,” such as credit transfer, difference in academic calendars, and rigid institutional regulations, followed by (in decreasing order of importance) “low level of interest or lack of information on the part of faculty,” the “lack of policy,” and an “overly rigid curriculum”. (p. 71)

Having said this, the present chapter approaches *CI* as a process by which, in order to strengthen students' international education,

- The *ID* is integrated into curricular design;
- The *ID* is integrated into the model of the professional, and into the programs of disciplines and courses; into the objectives, content (knowledge, values and skills), means and methods of teaching; into evaluation; and into mobility, the management of international projects and participation in scholarships, events, international networks and online courses, among other actions;
- The *ID* is integrated into curricular strategies (or cross-sectional axes) of higher education in Cuba;

- The ID is integrated into the components of professional formation: academic (AC), work-related (WC), research (RC) and extra-curricular (EC);
- The ID is integrated into the educational strategies or educational projects of collectives of students studying the same major or in the same graduating class; and
- The ID is integrated into the execution of the educational teaching process and its system for monitoring and evaluating results.

Moreover, the concepts of *methodological work* and other related concepts are harnessed for this work, following the recommendation of resolution number two (of 2018) of Cuba's Ministry of Higher Education (Ministerio de Educación Superior, MES):

Methodological work is a task undertaken by those involved in the educational teaching process, with the support of didactic techniques, for the purpose of achieving optimal results in this process, establishing a hierarchy in their educational functions in order to attain the objectives set forth in the study plan. The content of this work is designed to contribute to the preparation of the professors, support personnel and directors in order to fulfill the objectives established in the study plans with the expected quality and to meet the needs defined at each organizational level, among other aspects. The following are identified as sub-systems or organizational levels of the educational teaching process: degree program collective, graduating class collective, discipline collective and interdisciplinary collective when necessary, and course collective.

The fundamental forms of methodological work are: methodological teaching work (MTW) and methodological scientific work (MSW). The fundamental types of MTW are: methodological teaching meeting (MTM), methodological class (MC), open class (OC), verification class and methodological teaching workshop (MTWS). The fundamental types of MSW are: methodological scientific work by the professor (MSWP) and in methodological collectives (MSWMC), methodological scientific meeting (MSM), methodological scientific workshop (MSWS), methodological scientific seminar (MSS) and methodological scientific conference (MSC). (Ministerio de Educación Superior, 2018, pp. 5-26)

### *Theoretical foundations of the model*

The theoretical aspects mentioned above, and a wide-ranging, updated bibliography that includes authors with extensive experience in the topic but that cannot be reproduced here, constitute the foundations of the strategic design of MOGIC and of the conception of its deployment, as well as a source where directors and professors can consult during the execution of the planned actions.

## **2. Principles that govern the model**

MOGIC is grounded in the general principles recognized for the construction of theoretical models: logical consistence, analogy, the systemic approach and design simplicity.

- Principle of logical consistency. The model is grounded in a knowledge system accepted by the scientific community and in a system of relations among its components that is grounded in dialectical logic.
- Principle of analogy. The model's conception arises from the need to transform educational practice on the basis of its strengths and weaknesses and to consciously adapt it in view of the complex, changing social nature of the object of study.
- Principle of the systemic approach. This is expressed in the direct and indirect interdependences of its components and of each of their sub-components, especially in the strategic design and in the system of methodological activities for its deployment, leading to the generation of new qualities.
- Principle of design simplicity. In spite of the complexity of CI as an object of study and of methodological work as a transformational undertaking, the simplest possible theoretical model has been designed, backed up by notes to make it easier to understand.

Other conditioning factors are the institution's strategic plan and the UIS, through which the ID is integrated into the organization and the institutional strategic planning.

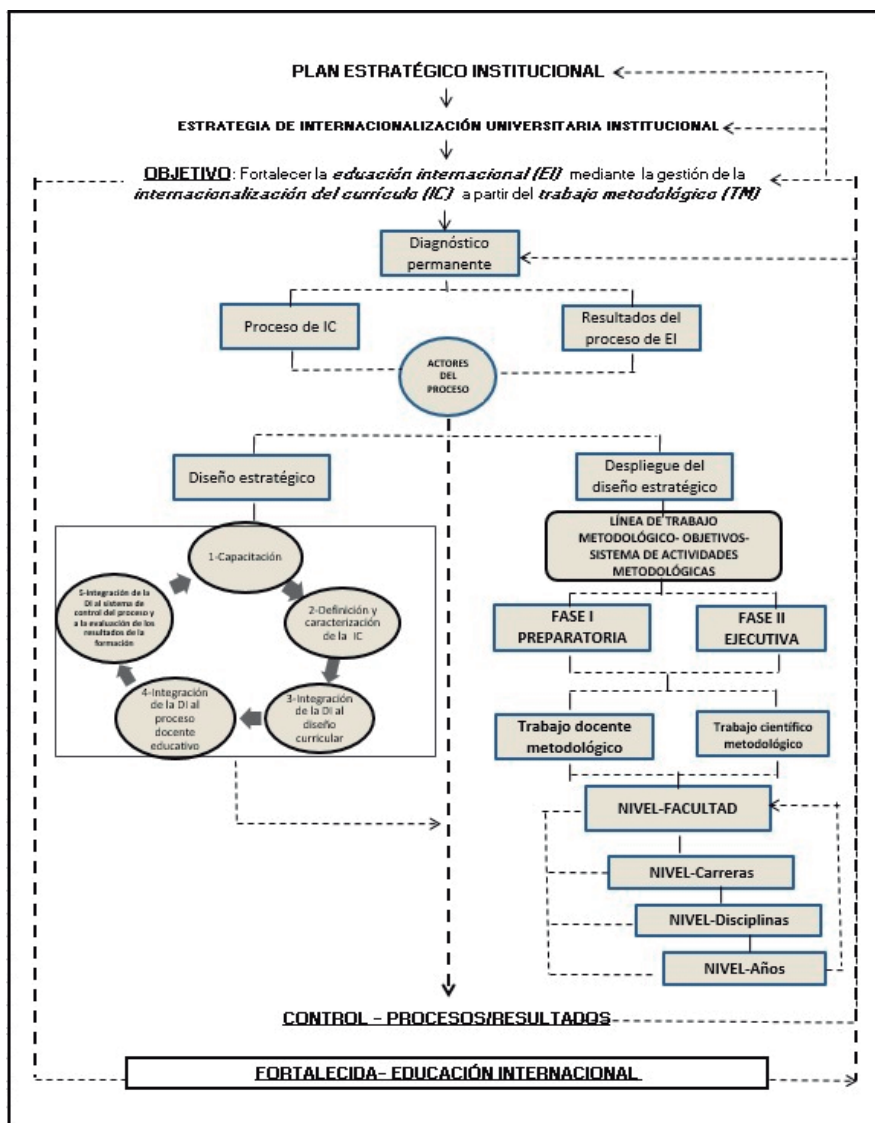
### **3. Objectives of the model**

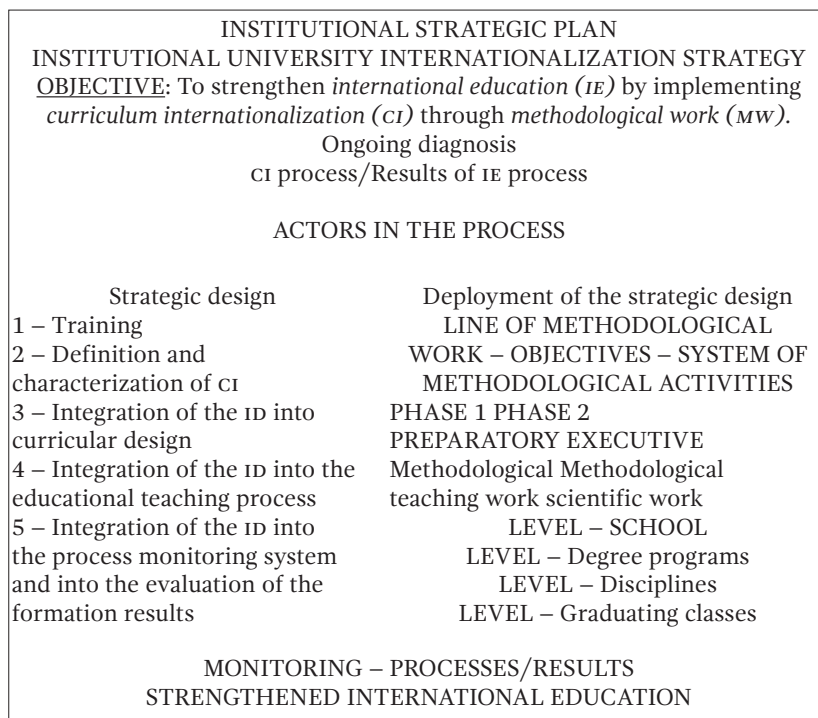
The purpose of MOGIC is to implement CI through methodological work, in order to strengthen undergraduate and graduate students' international education.

### **4. Graphic representation of the model**

As shown in Figure 1, the systematic diagnosis of the CI process, of its actors and of its impact on the strengthening of students' international education is an element of MOGIC that dynamizes the process by facilitating the evaluation of the attainment of the model's objective and orienting the feedback of the CI process.

Figure 1  
Graphic representation of MOGIC



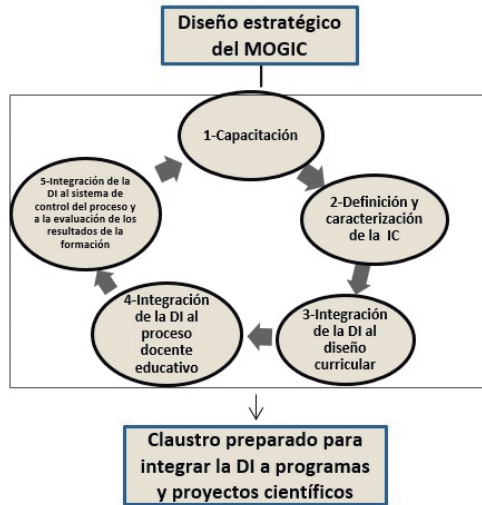


Source: authors' own design.

## 5. Strategic design of the model

The strategic design of MOGIC consists of five components that correspond to the characteristic features of the CI concept presented above as premises of this chapter, to the relationships among them, and to the results of the initial diagnosis made by UPR (Figure 2).

Figure 2  
Five components of the model design



Strategic design of MOGIC  
 1 – Training  
 2 – Definition and characterization of CI  
 3 – Integration of the ID into curricular design  
 4 – Integration of the ID into the educational teaching process  
 5 – Integration of the ID into the process monitoring system and into the evaluation of the formation results

Faculty prepared to integrate the ID into programs and scientific projects

Source: authors' own design.

### *Training*

This constitutes the essential mechanism for the deployment of the strategic design of MOGIC, and is the key to achieving the objective proposed by the model. In the first phase, it is provided intensively, and then it continues systematically, as support for each of the planned actions through the methodological activities.



### *Definition and characterization of the concept of curriculum internationalization*

The purpose of this component is to define the concept of CI, the variables, the indicators and the primary methodological orientations that will be assumed to make it happen, as well as its monitoring and evaluation, all on the basis of individual and collective study of the topic's theoretical and methodological foundations.

### *Internationalization of curricular design*

In this component the aim is to propose concrete actions and proposals to achieve, in the first stage, the integrations of the ID listed above (see section 1 of this chapter).

### *Internationalization of the educational teaching process*

This action is carried out at the same time as the previous one. Through it, professors and collectives gradually introduce the results achieved in the previous action into the educational teaching process, in such a way that both processes feed back into each other.

### *Internationalization in the process monitoring system and in the evaluation of the formation result*

The purpose of this action is to integrate the general indicators designed during the definition and characterization of the concept of CI into the foundations of the monitoring system and into the instruments for its implementation, especially in the guides for the visits to monitor the activities of the educational teaching process (in its different components) and in the instruments for evaluating the achievement of the students' objectives.

## 6. Methodology for implementing and deploying the model

UPR implemented a UIS for the 2017-2021 period, for the purpose of integrating the ID into the university's processes in order to contribute to raising the institution's visibility, recognition and international prestige, and to achieving its strategic objectives. The UIS for the period has been structured around four axes:

1. Internationalization of the formation process.
2. Alignment of the international projection to the research, development and innovation (R+D+I) processes.
3. University internationalization culture in the institution's community.
4. Perfecting university internationalization management.

The first axis is aimed at two specific goals: strengthened undergraduate and graduate formation in its curricular and extra-curricular dimensions through university internationalization, and preparation of the faculty for the integration of the ID into their academic programs and scientific projects. The implementation of MOGIC is inserted as a strategy under this first axis.

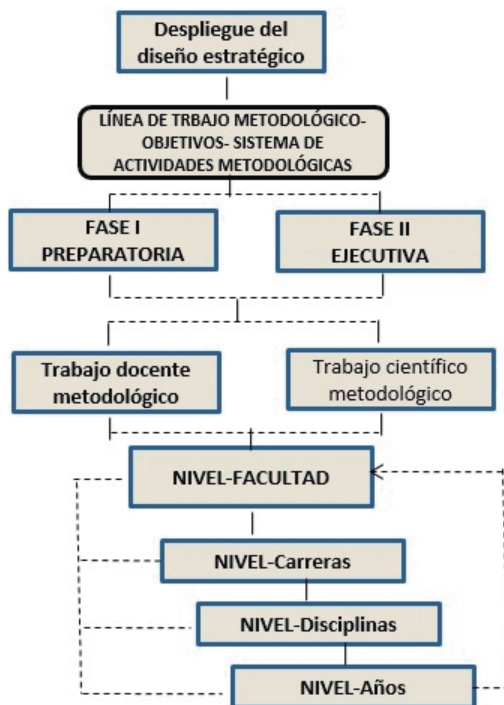
Within this framework of institutional strategy, the MOGIC methodology is applied as described below.

First, the current status of CI is defined at the level of schools and degree programs, indicating its weaknesses, strengths, threats and opportunities (SWOT analysis), with the participation of directors and professors in workshops.

Next, a line of methodological work on CI is included for one stage in the methodological work plan, and the objectives and the system of methodological activities to be carried out at the school level are defined. The system of activities must strategically combine MTW and MSW. The work plan is structured in two phases: the first is preparatory and carries out the first and second actions of the strategic design; the second phase, which is executive, is intended to carry out the rest of the actions

of the plan. The Council of Directors of each school participates in defining the plan (Figure 3).

Figure 3  
 Constitution of the work plan within the framework of the model



Deployment of the strategic design  
 LINE OF METHODOLOGICAL WORK – OBJECTIVES – SYSTEM OF  
 METHODOLOGICAL ACTIVITIES  
 PHASE I PREPARATORY - PHASE II EXECUTIVE  
 Methodological teaching work      Methodological scientific work  
 LEVEL – SCHOOL  
 LEVEL – Degree programs  
 LEVEL – Disciplines  
 LEVEL – Graduating classes

Source: authors' own design.

Then, the methodological activities planned at the school level are carried out. On the basis of the results, a methodological guide is drawn up for the instructors who will serve as the orientation team for making CI happen at the level of degree program, discipline and graduating class collectives, and as an instrument for monitoring the process. In this phase, directors and heads of collectives participate, advised by UPR's Office of International Relations (OIR) and the Center for Studies in Education Science (Centro de Estudios de las Ciencias de la Educación, CECE).

After this, MOGIC is implemented in the teaching collectives of the different degree programs. At first, a methodological meeting and several workshops are held for the purpose of discussing the overall theoretical foundations, socializing the guide to be used by the instructors, and identifying and carrying out a preliminary critical review of the curricular design and educational projects. The discussion of the theoretical foundations includes reflections on what is taught and learned, how it is taught and learned, why this kind of teaching and learning takes place, and to what extent the current design favors the development of multiple cultural perspectives. As a result of these activities, general strategies are set for CI in the degree program and the plan of methodological activities is approved for the stage.

When MOGIC is implemented in the graduating class and discipline collectives, it is carried out as in the previous case and likewise, as a result of these activities, general strategies for CI are set and the plan of activities for the stage is approved, which should begin to enhance the MSW.

As of this stage, the graduating class and discipline collectives, through MSW and with the support of the methodological guide that has been generated, work on the conception of concrete actions based on CI. Simultaneously, they execute sub-systems of methodological activities (MSW; instructive, demonstrative and open workshops and classes) for the purpose of socializing and discussing the experiences. In parallel, professors and teaching collectives gradually introduce into the educational teaching process the proposals that they design, in order to validate them, while making sure that both processes feed back into each other and in the end, the results are documented for the final report.

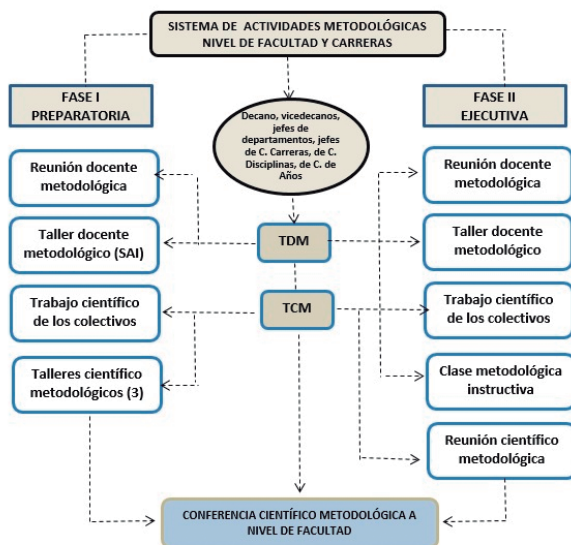
Then, the foregoing is applied in the internationalization phase in the process monitoring system and in the evaluation of the formation results (see section 5 of this chapter), and MSMs are held at the level of degree programs and schools to analyze the results achieved, the aspects that showed less success, and the obstacles and difficulties encountered, in order to continue advancing and to stimulate the most outstanding collectives and define the objectives for the next stage.

Finally, professors and collectives socialize the CI experiences in the school's MSC and at other scientific events.

Currently, MOGIC is being introduced as an experimental phase in UPR's School of Childhood Education (SCE). As of March 2018 this school has included CI as a line of methodological work, as a way to strengthen international education in the process of forming professionals.

Figures 4 and 5 show the sub-systems of methodological activities executed at the level of school and degree programs and of the discipline and graduating class collectives, respectively, in the SCE.

Figure 4  
Sub-system of methodological activities carried out in the SCE  
at the level of schools and degree programs

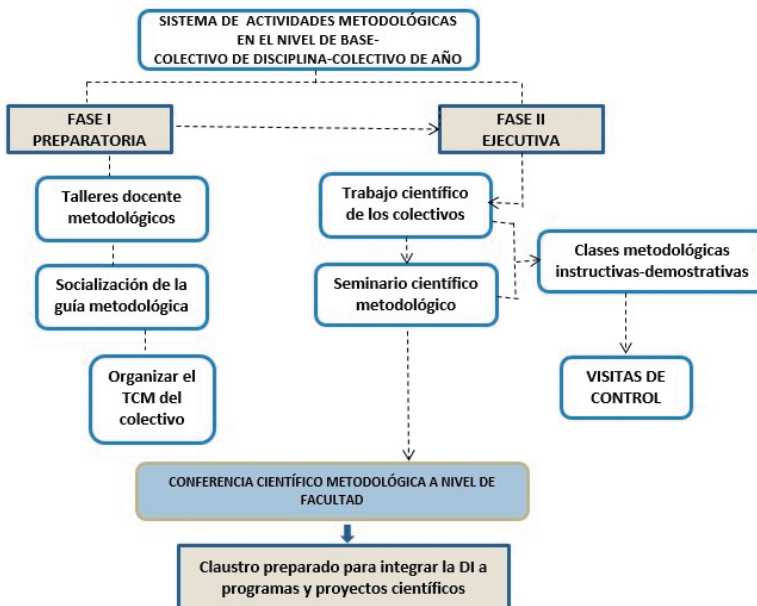


SYSTEM OF METHODOLOGICAL ACTIVITIES LEVEL OF SCHOOL AND DEGREE PROGRAMS		
<p>PHASE I</p> <p>Methodological teaching meeting</p> <p>Methodological teaching workshop (SAI)</p> <p>Scientific work by collectives</p> <p>Methodological scientific workshops (3)</p>	<p>Dean; assistant deans; department heads; heads of degree program, discipline and graduating class collectives</p> <p>MTW</p> <p>MSW</p>	<p>PHASE II</p> <p>Methodological teaching meeting</p> <p>Methodological teaching workshop</p> <p>Scientific work by collectives</p> <p>Instructive methodological class</p> <p>Methodological scientific meeting</p>
<p>METHODOLOGICAL SCIENTIFIC CONFERENCE AT THE SCHOOL LEVEL</p>		

Source: authors' own design.

Figure 5

Sub-systems of methodological activities carried out in the sce at the level of discipline and graduating class collectives



SYSTEM OF METHODOLOGICAL ACTIVITIES AT THE LEVEL OF DISCIPLINE AND GRADUATING CLASS COLLECTIVES		
PHASE I PREPARATORY	PHASE II EXECUTIVE	
Methodological teaching workshops	Scientific work by the collectives	Instructive-demonstrative methodological classes
Socialization of methodological guide	Methodological scientific seminar	MONITORING VISITS
Organize the collective's MSW		
METHODOLOGICAL SCIENTIFIC CONFERENCE AT SCHOOL LEVEL		
Faculty prepared to integrate the ID into programs and scientific projects		

Source: authors' own design.

One year after the application of MOGIC in the SCE, the following results have been achieved:

- The generation of a methodological guide for CI, socialized in the university's formation collective and made available to directors and professors on the OIR's webpage. The guide is structured in three parts: 1) methodological guidelines for the development of the methodology designed for the implementation of the MOGIC; 2) compendium of updated bibliography on the internationalization of the curriculum; and 3) complete and identified compendium materials with the number that indicates it.
- Better trained and motivated directors and professors, with a stronger commitment to CI and the UIS.
- Significant increase in the introduction of innovative proposals related to the objectives and the conception and treatment of content by professors in the educational teaching process, all with an eye to strengthening students' international education.
- Successful proposals for CI are included in the reports on curricular design validation, course and discipline programs, and educational projects.
- The variables and general indicators for CI are gradually being integrated into the guidelines for diagnosing and characterizing students

and for the monitoring visits to the activities of the educational teaching process (in its different components), and into the instruments for evaluating the students' achievement of objectives.

- Concrete experiences of implementing MOGIC on the part of the degree program, discipline and graduating class collectives are presented in formal talks as a way to socialize them, at the school's MSC and other scientific events.
- CI is included in UPR's strategic planning as a strategic action of the key result area corresponding to the next year's formation process.
- Other UPR schools are on board with gradually introducing MOGIC.

On the other hand, certain CI components have been identified as lagging: student and faculty mobility, due largely to financial restrictions, and the results of the strategy for improving foreign language proficiency. Furthermore, the teaching collectives of degree programs, graduating classes and disciplines need to deepen their understanding of the paradigms that underpin the curricular design and to what extent they limit the institution's aspiration to CI; they also need to look closely at the way others see the world, the degree program, the discipline and the course; which approaches might be viable; and who else could support or participate in this process.

The main obstacle to implementing MOGIC during this stage was the approach to CI that was not easy to integrate into other lines of methodological work, which limits the instructors' working time.

## Conclusions

UPR's MOGIC proposal has been constructed on the basis of current theoretical and methodological points of reference, and as a system it is expected to have an impact on all of UPR's substantive processes. Its novel features include the use of methodological work (system of pedagogical training for directors and professors) as a way to implement curriculum internationalization, and its ability to coordinate the work



of all university actors toward the goal of integrating a multi-cultural vision into the institution's mission and objectives.

The partial results of implementing MOGIC in UPR's SCE point to the need to focus efforts in upcoming stages on the aspects that made the least progress and on the obstacles that have been encountered, as well as on the evaluation of the process and its results.

The recommendation for the SCE's degree program collectives is to look for more opportunities for strategic partnerships with institutions in the region and in other countries, to design CI-related research projects jointly with other universities, to perfect the policy for foreign language learning, and to develop a system of credits for Latin America.

The main challenges for introducing MOGIC are: encouraging and supporting the efforts of directors and professors to join the process and sustain its progress going forward; changing the way of thinking about CI, especially with regard to the purpose and meaning of the process; and making sure that the university's vision, policies and leadership structures give more support to this initiative in order to make progress in CI.

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**SECTION 9**  
**MANAGEMENT MODEL FOR**  
**COLLABORATIVE DUAL-DEGREE PROGRAMS**



# GUIDELINES FOR MANAGING COLLABORATIVE DUAL-DEGREE PROGRAMS: VIRTUES, CHALLENGES AND LESSONS LEARNED

KATHERINE ACUÑA  
JEANNIE H. CAICEDO

## 1. Context and conceptualization

**T**he need to form competitive professionals in an ever more globalized world has made internationalization more and more relevant for higher education institutions (HEIs). The motivations for its development are diverse, while the definitions adopted and the strategies implemented vary in nature and priority depending on the different contexts. Nonetheless, there are clear trends that permeate institutional relations in global contexts and have established a broad consensus with respect to institutionalizing and strengthening internationalization processes as a complementary means for improving the quality of educational processes.

The institutional internationalization processes in different parts of the world have fostered the development of initiatives such as collaborative programs: dual degrees and joint degrees. However, as can be seen in the study by Gacel-Ávila and Rodríguez-Rodríguez (2018) in the framework of the 1<sup>st</sup> Regional Survey of Internationalization Trends in Tertiary Education in Latin America and the Caribbean, this region lags behind others in developing such initiatives, given the low percentage of institutions that offer this kind of collaborative program.

This same study indicates that such programs are considered among the most innovative varieties of internationalization, but also the most difficult, because of the complexity involved in implementing and consolidating them. Their complexity increases in the case of joint degrees, due primarily to the implications within the institutions with regard to the fulfillment of national guidelines and the diversity of educational systems.

It is important to clarify that “dual-degree” refers to programs in which each of the institutions involved fully grants its degree to the students who fulfill the established requirements, while “joint-degree” means that the institutions involved issue a single degree, which may or may not be additional to the degree granted individually by each institution (Spinelli, 2009, p. 51).

Below is a list of the main features that should characterize a dual-degree program and a joint-degree program, according to Bennis, Del Sole and Amaral (2014, pp. 46-49).

- Dual-degree:
  - Two academic partners located in two different countries.
  - Two academic degrees granted.
  - A clearly-defined workload that makes it possible for both academic degrees to be granted.
  - Physical mobility to the host institution for a certain period that allows the students to be exposed to the host country’s culture.
  - Student-centered agreement.
- Joint-degree:
  - Two or more partners located in at least two different countries.
  - A single academic degree granted.
  - A (new) integrated academic workload.
  - Physical or virtual mobility to the partner institutions.
  - Institution-centered agreement.

For the effects of this chapter, we will base our analysis on the management of dual-degree programs, which according to Gacel-Ávila and Rodríguez-Rodríguez (2018) represent 61% of the collaborative programs in Latin America and the Caribbean (LAC), the region on which the content of this document primarily focuses, with the aim of building

capacities for managing such programs. We will review their virtues, the main challenges faced by the institutions involved, and the specific management model of a university on the Caribbean coast of Colombia, which has over twenty-six years of experience with initiatives of this type.

## 2. Virtues and challenges of dual-degree programs

### *Main virtues of dual-degree programs*

There are various benefits that accrue from developing this kind of collaborative program between two institutions from different parts of the world. They offer the institutions the chance to consolidate relations with strategic partners, to heighten the impact of inbound and outbound mobility, to contribute to the modernization of their curriculum by internationalizing programs, to increase their visibility and attract more students, to enhance graduates' employability, and to highlight their qualities in the eyes of national and international accreditation agencies, among others. For students, the benefits include the chance to improve their professional profile and enhance their personal development, along with making themselves more competitive on the labor market.

Jones and Brown (2014) assert:

Today it is more critical than ever for all students to be aware of the need to enhance their employability and to work at it, and to understand the nature and importance of ongoing professional formation.

Higher education institutions (HEIs) must therefore adopt a curricular approach that focuses more on employability and internationalization, bearing in mind the different global contexts where their students will most likely be engaged in the future.

The efforts to address employability in the context of curriculum need to take into account research results and surveys of recruiters, who insist more and more that graduates must acquire a whole array of competencies. (p. 128)

One study conducted by the ADDE SALEM project, sponsored by the Erasmus Mundus program to promote the development of collabora-



tive programs between South America and Europe in the engineering fields, evaluated the motivations and the impact of programs of this type on employability, from the perspective of students, graduates and employers. Tables 1 and 2 show the results of this study, which back up the points made so far in this chapter, in the sense that collaborative programs provide added value for professional formation.

**Table 1**  
Motivations and impact of a dual degree

Question	Item	Ranking students	Ranking graduates
<i>What motivates/ motivated you to enter a dual-degree program?</i>	Personal development	1° (62%)	1*(81%)
	Better professional opportunities	2(46%)	2*(70%)
	New connections and networks	3 (34%)	3 (39%)
<i>Where do you expect to see/ actually see the greatest impact of your dual degree?</i>	Personal development	1*(57%)	1*(76%)
	Better professional opportunities	2*(56%)	3 (41%)
	New connections and networks	3 (34%)	2 (46%)

The percentage reflects the fraction of survey participants who indicated a certain response option.

\* means that the frequency of the response in question is significant, unlike the frequency of the following item, unless that one also has an \*.

° means a slightly less significant importance.

Source: Spinelli (2014, p. 93).

**Table 2**  
Benefits of a dual degree according to students and graduates

Benefits of a dual degree according to:	
<i>Students</i>	<i>Graduates</i>
Construct a profile that sets me apart from other students	Construct a profile that sets me apart from other students
Discover new forms of teaching	Discover different ways of thinking
Discover other cultures	Networking
Enroll in a specialization that is not available in my home country	
Launch an international career	
International openness	

Source: Spinelli (2014, p. 121).

The study also showed that the dual-degree program graduates surveyed claimed to have a deeper knowledge of their academic areas and stronger technical know-how than their colleagues who were not formed in such a program, and that they acquired better soft skills<sup>1</sup> and thus enhanced their capacity for effective communication, their self-confidence, their international vision, while also learning a different approach to problem-solving. It should be noted that the development of such soft skills is an important factor in employers' hiring decisions.

In addition, depending on the type of dual degree undertaken, the benefits mentioned so far are maximized: there are dual-degree modalities, for example, where students can get an undergraduate degree from their home institution and a graduate degree from the host institution, which implies a heavier academic load and generally more study time at the host institution, but significantly improves the cost-benefit ratio, especially considering the fact that countries usually offer more generous financial aid opportunities for graduate studies. This is the case of Colombia with entities such as Colfuturo, which offers loans with partial forgiveness for this purpose.

### *Main challenges*

While the benefits are noteworthy, the job of implementing dual-degree programs is complex, as noted above. It can take between one and three years to get the program up and running, as Matross Helms (2014) confirms in a study conducted by the American Council on Education (ACE) and the Center for Internationalization and Global Engagement (CIGE), in which the author gives a clear account of the challenges involved in developing such programs.

The administrative challenges in running dual-degree programs were plain to see (funding constraints in the program-development

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1 “Soft skills are sometimes called *employability skills* or *cross-sectional skills*, and they include team work, negotiation and mediation, problem-solving and interpersonal skills, flexibility, organization and good communication”. (In the Spanish version of this chapter, this is a personal translation of Jones, Coelen, Beelen, and de Wit, 2016, p. 108. Here it is a back translation into English).

stage, the time factor and regulations, as well as divergent norms in each country and institution), but it was actually the academic aspects that threw up the biggest roadblocks.

The academic negotiation stage is the most important one when these programs are being developed. For example, the equivalence study is a process that requires a detailed evaluation by each of the parties involved: each institution must ensure that participating students come out of the program having achieved the academic profile that the institution stands for. This point also is reflected in the study by Matross Helms (2014), where the equivalence review, the differences in teaching and evaluation methodologies, as well as language and cultural differences represented the main obstacles and triggered the most discussion and debate between the participating institutions; in fact, these points are known to prolong the negotiation stage for many programs.

All of this tends to get even more complicated—due to the requirements involved and the quality-assurance measures that must be carried out ahead of time—when there are accreditations (national or international) at stake that impact credit transfer or required subjects at the home institutions. In view of these sticking points, Knight (2011, p. 305) mentions that sometimes the institutions agree to establish common admission and graduation requirements as a substitute for measuring quality, but she suggests collaborative program agreements would do well to include mutual recognition of the respective quality-assurance systems, when they exist.

The parties' commitment is thus a fundamental aspect, perhaps one of the most important points for the success of such programs, as it leads to consequences with respect to their feasibility and sustainability. The context of the initiative is not the most important thing; however, trust and good will between the institutions involved are fundamental, along with a genuine interest on their part to engage in this kind of collaboration, because otherwise the obstacles in the academic negotiation phase will be that much more difficult to overcome, and the initiative could stall. In this regard, it is important for the institutions involved to have institutional strategy documents that express support for collaborative

programs, as this reinforces the commitment in the negotiation stage and the overall sustainability of these programs.

Reciprocity is another relevant aspect that the institutions should aim for to ensure the programs' sustainability, as it reflects the parties' level of commitment. Some dual-degree programs between institutions from Latin America and other parts of the world are characterized by imbalances in mobility: the Latin American institutions often send out more students than they receive. For this reason, from the earliest stages of the development of collaborative programs, it is essential to think of ways the program can build on the strengths of each institution, which can be geographical or academic in nature. This means that the programs do not necessarily have to be in the same area; ideally, they should build on complementary academic comparative advantages that will add value for participating students.

Another aspect to keep in mind are financial issues, such as tuition payments, financial aid opportunities and costs of living in the host country; these are the main obstacles that keep students from taking advantage of international mobility programs, particularly dual-degree programs, which by their nature require longer periods of time in the host country. This factor is the one that hits students from Latin American institutions the hardest, even more than language proficiency, given the progress made in language teaching policies and strategies.

Finally, while we have mentioned the positive impact of dual degrees for graduates' competitiveness and employability, more awareness-raising and visibility are still needed among employers regarding the advantages for them of hiring dual-degree holders. Moreover, including employers in the design of such proposals can lead to valuable contributions to the curricular design of successful collaborative programs.

The next section addresses the management of dual-degree programs, based on the experience of the Universidad del Norte (Uninorte), a Colombian institution from the Caribbean region with a tradition of managing programs of this type with European and United States institutions. The intention is to present the way this university had handled the challenges mentioned in the chapter.

### 3. Managing dual-degree agreements: The case of the Universidad del Norte

Uninorte is a private, non-profit institutions founded in 1966 on Colombia's Caribbean coast. It was the fourth institution in the country to receive high-quality accreditation, and is ranked among the top ten in the country. As part of its commitment to form well-rounded professionals and citizens of the world, it has set up a planned, consistent process for internationalizing the institution (at home and abroad); this process has guided its institutional action plans for over four decades. The management of dual-degree programs has been present in all the annual institutional action plans as an expression of leadership commitment to this type of initiative in all of its academic areas.

Uninorte uses the definition proposed by Dr. Giancarlo Spinelli (2009) as its reference: *dual degree* means that each of the two institutions involved grants its own official degree to students who complete all of the established requirements.

With this purpose in mind, each academic division formulates a strategy to build plans of action that will expand and consolidate the dual-degree programs, which are formalized with strategic partners through specific international dual-degree agreements, so that mutual trust and institutional commitment help to strengthen the relationship at a deeper level and effectively move the proposed projects forward.

The goal is for each of Uninorte's academic divisions to set up dual-degree programs with strategic partners in different countries for each undergraduate, master's degree and PhD program that lends itself to a dual degree. At present, Uninorte has twenty-nine active dual-degree agreements; 40% of its undergraduate programs, 33% of its doctorates and 17% of its master's degree programs offer students this type of option.

Uninorte has interest and experience in continuing the development of dual-degree programs in the following modalities:<sup>2</sup>

- Undergraduate-undergraduate.
- Undergraduate-master's degree.

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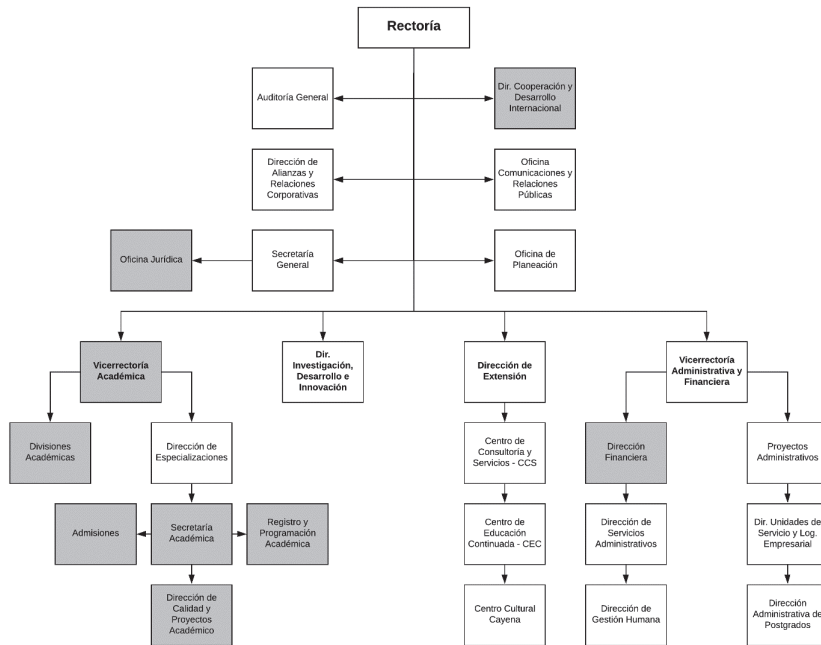
2 See: Spinelli (2014).

- Master's-master's.
- PhD-PhD.

The process for setting up a dual-degree initiative is coordinated in Uninorte's International Office, which together with the university rector heads up the institutional internationalization process. This office consists of two areas in charge of coordinating the administrative and academic aspects of the process, respectively, together with the other areas of the institution that are involved.

These areas include the actors setting up each initiative from Uninorte and the international partner institution, the Office of Academic Quality and Projects –in charge of ensuring the quality of the institution's academic programs and seeing that the initiative follows institutional and national guidelines for earning a degree–, the Legal Office –which makes sure the signed agreement does not include any irregularities contravening institutional guidelines and national legislation–, the Financial Director's office –which checks the initiative's financial viability and approves any subsidies included in these agreements, such as exemptions from paying degree fees, tuition or administrative fees–, and the Academic Secretariat (Admissions and Registration areas), when the agreement calls for measures that involve official certifications in addition to the degree diploma, which is more common in co-tutoring or dual degrees at the PhD level.

Figure 1  
Organizational chart



Rector's Office					
General Auditor			Directorate of International Cooperation and Development		
Directorate of Corporate Alliances and Relations			Office of Communication and Public Relations		
Legal Office		General Secretariat	Planning Office		
Academic Dean		Development and Innovation	Directorate of Extension	Administrative and Financial Dean	
Academic Divisions	Directorate of Specializations		Services – CCS	Financial Direction	Administrative projects
	Admissions	Academic Secretariat	Center – CEC	Administrative Services	Directorate of Service Units and Business Logistics
		Academic Registration and Programming	Cayena Cultural		
	Administrative Directorate Quality and Projects			Directorate of Human Management	Administrative Directorate of Graduate Studies

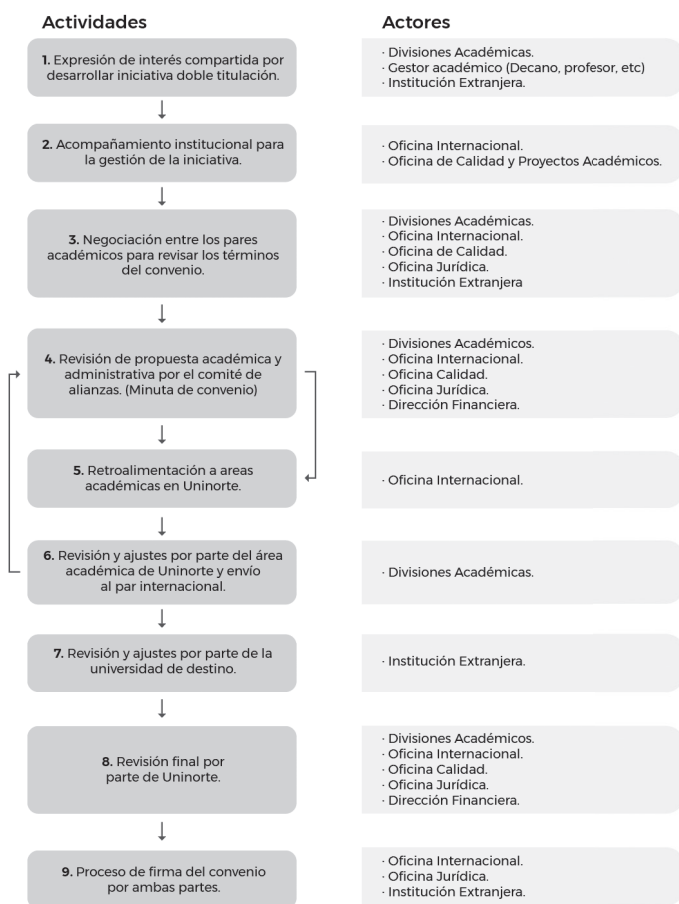
Note: shaded areas identify those involved in the process of developing and approving dual-degree programs.

Source: internal Uninorte information.

The process of developing an agreement for a dual-degree program, at either the undergraduate or graduate level, is shown in Figure 2.



Figure 2  
Dual-degree development process



<b>Activities</b>	<b>Actors</b>
1. Expression of shared interest in developing dual-degree initiative.	-Academic divisions. -Academic promoter (Dean, professor, etc.) -Foreign institution.
2. Institutional accompaniment for developing the initiative.	-International Office. -Office of Academic Quality and Projects.
3. Negotiations between academic counterparts to review the terms of the agreement.	-Academic divisions. -International Office. -Office of Quality. -Legal Office. -Foreign institution.
4. Review of academic and administrative proposal by the alliance committee (minutes of agreement).	-Academic divisions. -International Office. -Office of Quality. -Legal Office. -Directorate of Finance.
5. Feedback to Uninorte's academic areas.	- International Office.
6. Review and adjustments by Uninorte's academic area, which are then sent to the international counterpart.	-Academic divisions.
7. Review and adjustments by the partner university.	-Foreign institution.
8. Final review by Uninorte.	-Academic divisions. -International Office. -Office of Quality. -Legal Office. -Directorate of Finance.
9. Process for signing the agreement by both parties.	-International Office. -Legal Office. -Foreign institution.

Source: internal Uninorte information.

The starting point of the entire process of negotiating the agreement is the academic interest between the two parties. As a first step in all cases, the dean, department head or a professor designated by the dean, as the sole promoter with exclusive responsibility for the process at this point, must formally request accompaniment from Uninorte's International Office before initiating the development process with the foreign institution.

The International Office offers an initial advisory session with information about the main guidelines and aspects that must be taken into account in developing the program (see: Appendix 1).

Before undertaking actions with the foreign institution, the respective dean must approve the academic partner with which the dual-degree agreement is being proposed. This is done through the International Agreement Module, a platform used by Uninorte for approving and authorizing international academic agreements. It is important to mention that the academic promoter's role is fundamental in the follow-up to the process of applying for the agreement and in the academic negotiation. On this basis, the following aspects are required for registering the dual-degree proposal:

- Having knowledge, through the academic promoter at Uninorte, of the backstory of the relation and the initiative; understanding the justification; defining the specific objectives with a clear plan of activities for executing the agreement; and having relevant information about the foreign institution, such as accreditations, international recognition, international allies and contact with the academic promoter there.

This approval does not guarantee the final acceptance of the program or the agreement, but it opens the door for a feasibility evaluation and a medium and long-term sustainability assessment.

Subsequently, the approval process includes the following requirements:

- Choosing an institution with high levels of quality that can be a strategic partner for the academic division where the program will be developed, in order to guarantee the availability of human and financial resources for managing and sustaining the initiative.
- Designing a dual-degree program that contains an international mobility component and promoting two-way mobility to guarantee reciprocity.
- Specifying the degree that each institution grants to students participating in the dual-degree program, i.e., the participating programs from each institution.

- Ensuring that students enroll academically in both institutions during the dual-degree program.
- Getting most of the students to complete the degree requirements at Uninorte before earning the degree at the foreign institution.
- Making sure that each institution issues a degree, so that it is clear that students will not be earning a joint degree.
- In the case of dual degrees with institutions in Spain, only programs offering official degrees will be accepted.
- Negotiating with the allied institution about the percentage of credits to be taken at each institution; once this is settled, it is a requirement to include it explicitly in the agreement or in the appended tables.
- Avoiding any kind of promotion or recruitment for this collaborative project until the dual-degree agreement is approved and signed by the legal representatives of both institutions.

In the academic negotiation phase, which is the most relevant in these dual-degree development processes, each program promoter, with the green light of the respective department head, must analyze and study the curricula of both universities with his or her academic counterpart from the other university and design an academic format with its respective equivalence tables and the respective credits to be revalidated for earning the corresponding degree at each of the institutions.

The mobility format will also be defined, as well as the specifications for presenting dissertations or final degree projects. Appendix 1 includes the checklist that is usually given to the academic divisions so that they keep key aspects of the process in mind from the beginning, and do not overlook them. Appendix 2 presents some model tables that can help to organize revalidation information.

In this phase, each academic area must take into account the requirements and regulations established by any international accreditation agencies governing either of the programs involved in the dual-degree program. It should be clarified that ideally these academic aspects are reviewed in parallel to the elaboration of the agreement minutes, in periodic meetings coordinated by the International Office, attendance being mandatory for the areas involved –primarily the Office of Aca-

dem Quality and Projects—, in order to avoid having to reprocess at a later stage of the agreement development process.

The aspects reviewed by this office include:

- Correspondence of the name of the program and identification code registered before the National Ministry of Education.
- The credits to be revalidated must correspond to those recorded on the *Qualified Registration Document*, by which the creation of programs is endorsed nationally.
- There must be agreement between the contents of the courses to be revalidated.
- There must be an equivalence of credits or hours of work between the courses to be revalidated.
- The student must comply with the required time spent at Uninorte, considering the provisions set forth in the internal regulation *Resolution 105 of March 30, 2017*, which establishes that no more than 60% of the program's academic credits may be revalidated (literal E, point 3, Res. 105). Regarding this last aspect, in some cases, particularly master's degrees and doctorates, this percentage can be higher than 60%; reviews are made on a case-by-case basis and must be approved by the respective internal authorities.

It is likewise important to mention that the *financial aspect* is fundamental as part of the process of negotiating the dual-degree agreement in accordance with any provisions in force at either institution. In the case of Uninorte, any provisions set forth in the agreement take preference over internal regulations, which means that the approval process is key for legitimizing interinstitutional agreements and everything must be spelled out explicitly in the agreement; otherwise, internal provisions will apply.

Once a document has been worked out specifying all the points agreed to in the negotiation of the dual-degree program, the International Office is in charge of formally requesting the review by the Legal Office and all other areas involved, in order to secure the institutional endorsement of the document in question. In the event that requests for adjustments arise, or other concerns, the corresponding academic area is notified to address the request or concerns; additional meetings are

called, if necessary; and the final document is written up to be shared with the academic counterpart for its respective approval. This phase will take time depending on the procedures of the international partner institution, and it may well imply requests for adjustments, recommendations or changes that are relevant for the execution of the international agreement and that must be considered by the academic and administrative areas of Uninorte that are involved.

Once all the negotiation phases are resolved, the two institutions proceed to sign the agreement, and once the dual-degree agreement is duly signed by the legal representatives, it can be announced and promoted. The International Office, through the area in charge of international mobility, coordinates the process of publicizing and implementing the agreement with the participating actors.

#### 4. On the horizon

Without a doubt, the development of collaborative dual-degree programs is a strategy that has a major impact on the internationalization of higher education; their benefits clearly outweigh the obstacles involved in their management. Nevertheless, it is important to continue conducting impact assessments of this type of activity between partners from different countries, and developing cooperation networks for internationalizing higher education as a way to contribute to the improvement of the dynamics around this type of collaboration. Further work is needed on:

- Evaluating from the perspective of students, graduates, employers and the Government.
- Raising greater awareness and clarity among employers of the nature and benefits of dual-degree programs.
- Working with Governments to make progress on the construction of public policies to open up greater access to these initiatives and break down the legal barriers, and even to help diminish the impact of inevitable cultural differences.

- Institutional efforts to improve inclusion in these activities, so that financial limitations no longer represent an obstacle to participating in programs that should be governed exclusively by academic merit.

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## Appendix 1

### *Checklist: developing a dual-degree agreement*

<p><b>Definition of objectives</b> In this section it is important to establish the academic areas that will cooperate, specifying the academic level of the cooperation and defining whether it will be two-way or only toward the foreign institution.</p>	
<p><b>Programs and qualified registration</b> It must be stated explicitly which programs will be involved at each of the participating institutions. In the case of Uninorte, the qualified registration of each program must be specified (program's registration code with the National Ministry of Education).</p>	
<p><b>Reciprocity and spots available</b> In this section it is important to include the number of spots available at each institution for each academic year. If it is agreed that the dual-degree program will be two-way, it is important to sketch out a brief plan of action to deal with possible imbalances that may arise and, as far as possible, to establish that they will not affect outbound students from the home institution.</p>	
<p><b>Selection and admission procedure</b> At this point, it is important to set academic excellence criteria aligned with those requested internally by Uninorte. For example, for dual degrees, participating students must demonstrate a minimum overall average of 4.0/5.0 and they must be approved by their respective dean's office. International students attending Uninorte must revalidate the high school certificate from their country and demonstrate outstanding academic performance, especially to ensure, as far as possible, that the selected candidates can successfully handle the extra workload inherent to studying in an international context. Moreover, since spaces are limited, it should be guaranteed that they are awarded on the basis of academic merit. In this section, records should be kept of any requirements that involve additional preparation by students, such as a language of instruction that is different from the student's native language, along with enough proficiency in the foreign language, exams such as TOEFL, GRE, among others, specific certifications, etc.</p>	



<p><b>Development of studies (revalidation tables – format of studies)</b>          The period of studies that students must complete in their home institution should be clearly defined, as well as the point at which the period of studies at the foreign institution is to begin. This can be defined in terms of blocks of semesters or number of credits earned. If there are specific courses that students are required to take, it should be mentioned in this section, and it should also be reflected in detail on the appended tables.          At this point, any academic conditions, such as a thesis or degree project, should be clearly spelled out, as well as the language in which they are to be presented, and their respective defense.</p>	
<p><b>Earning the diploma</b>          It is important to establish that the students must comply with the degree requirements of their home institutions, plus any additional specific criterion. The degree that students will receive from each institution must be stated explicitly.</p>	
<p><b>Financial conditions (right to degree, Saber Pro exams, etc.)</b>          Establish detailed rules about financial matters. Agreements generally stipulate that students pay the tuition at their home institution, and are exempt from payment at the foreign institution. In the case of dual-degrees with United States institutions, where students do have to pay at both institutions, the attempt should be made to negotiate in-state tuition for students, to make the program financially feasible for them.          At this point it should also be stated clearly whether or not students will be exempted from paying degree fees or other administrative fees related to the issuance of the degree. In the case of Colombia, undergraduate students must take the Saber Pro exams in order to graduate; these have a cost, and the agreement should stipulate whether this requirement will apply to international students.</p>	
<p><b>Visas, health insurance</b>          State that it is up to students to obtain the corresponding student visa for the foreign country. In the case of Uninorte, we do not take responsibility for these processes.          Students must take out international health insurance for the duration of their stay abroad, with coverage for hospitalization and repatriation, among other items.</p>	
<p><b>Follow-up (contacts, responsibilities)</b>          Define from the beginning the contacts, both academic and administrative, who will be responsible for following up on the agreement, and checking that it complies with the requirements and goals established for each program. In the case of Uninorte, this would be the Directorate of International Management and Public Relations, the area in charge of international student mobility. It is advisable to include annual meetings for follow-through on the actions; these meeting can be held virtually.</p>	

<p><b>Intellectual property</b> For the development of dual-degree programs in which collaborative research will be done, the legal offices should establish this type of clause in order to avoid potential conflicts. This is more common in dual-degree agreements for graduate programs.</p>	
<p><b>Publicity</b> The two parties should agree on the way the institutions' logos may be used and what information may be disclosed within the framework of publicity for the dual-degree program.</p>	
<p><b>Duration</b> Negotiate a prudent period of time for the first evaluation of the dual-degree program, to properly determine its level of success and the efforts made to develop it. We usually suggest four or five years, with the option of renewal by mutual agreement.</p>	
<p><b>Confidentiality and secrecy of information</b> Mandatory clause from the Legal Office, in compliance with national legislation.</p>	
<p><b>Personal data security</b> Mandatory clause from the Legal Office, in compliance with national legislation.</p>	
<p><b>Conflict resolution</b> Mandatory clause from the Legal Office, in compliance with national legislation.</p>	

## Appendix 2

### *Examples of tables for revalidation exercises*

Degrees to be granted

Universidad del Norte (Uninorte)

Name of degree granted (program's total number of credits)

(More programs may be added if the agreement covers different programs or modalities)

Name of foreign institution

Name of degree granted (program's total number of credits)

(More programs may be added if the agreement covers different programs or modalities)

### Equivalences

Courses and credits at Uninorte (here all the courses in the study program are listed)	Foreign institution-equivalent course and credits (credit system and number are recorded according to the foreign institution)		
Add rows as needed			
Total		Total	

### *Program development*

List the courses that students must take at each host institution to earn the degree established in the agreement.

Course name at the host institution	Course code at the host institution	Credit system and number at the host institution
Add rows as needed		
Total credits to be taken (in the host institution's system)		For example: 60 ECTS

It is possible to determine ahead of time in which academic term students must take each course. This is advisable if the course offerings are restricted to specific semesters at either of the institutions involved in the dual-degree program, but not so much if there is flexibility at the institutions:

First semester- <i>spring</i> (January-May)		
Course name at the host institution	Course code at the host institution	Credit system and number at the host institution
Add rows as needed		
Total credits to be taken (in the host institution's system)		
Second semester- <i>fall</i> (July-November)		
Course name at the host institution	Course code at the host institution	Credit system and number at the host institution
Add rows as needed		
Total credits to be taken (in the host institution's system)		

In most cases, the tables above are accompanied by visible formats showing how academic mobility will be handled, along with the periods of study at the institutions involved, to offer greater clarity to the agreement administrators regarding the student mobility process.

Example:

Traditional program at the Universidad del Norte									
Semester 1	Semester 2	Semester 3	Semester 4	Semester 5	Semester 6	Semester 7	Semester 8	Semester 9	Semester 10
1 <sup>st</sup> year Uninorte Colombia		2 <sup>nd</sup> year Uninorte Colombia		3 <sup>rd</sup> year Uninorte Colombia		4 <sup>th</sup> year Uninorte Colombia		5 <sup>th</sup> year Uninorte Colombia	
Dual-degree program									
Semester 1	Semester 2	Semester 3	Semester 4	Semester 5	Semester 6	Semester 7	Semester 8	Semester 9	Semester 10
1 <sup>st</sup> year Uninorte Colombia		2 <sup>nd</sup> year Uninorte Colombia		3 <sup>rd</sup> year Uninorte Colombia		4 <sup>th</sup> year Uninorte Colombia		5 <sup>th</sup> year INSTITUTION- FOREIGN COUNTRY	

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**SECTION 10**  
MANAGEMENT MODEL FOR  
DEVELOPMENT-CENTERED COOPERATION



# INTERNATIONAL DEVELOPMENT-CENTERED COOPERATION BETWEEN UNIVERSITIES: TOWARD A NEW MANAGEMENT MODEL MADE IN LATIN AMERICA

LINCOLN BIZZOZERO

## 1. From macro to micro: International interuniversity cooperation as a component of the sustainable-development agenda

International development-centered cooperation was understood at the beginning of the 21<sup>st</sup> century as that which was established between countries with differing development levels and that pursued certain aims. The inclusion of development defined a specific channel of international cooperation between countries, but also between specific agents, including universities. The cooperation's aims were related to economic, as well as scientific-technological and human and social progress.

These concepts were taken up in the statement of the Conference of Spanish University Rectors (Conferencia de Rectores de las Universidades Españolas, CRUE), which took place in 2000. There, the diversity of goals associated with development (fight against poverty, environmental protection, democratic consolidation and economic and social development), and also co-responsibility between counterparts (Conferencia de Rectores de las Universidades Españolas, 2000) were conceptually incorporated. In this manner, the beginning of the 21<sup>st</sup> century marked a turning point in the conception of international development-centered cooperation.



International development-centered interuniversity cooperation was conceived under that logic of diverse aims. In this manner, international cooperation between two or more universities from different countries could address the requirements and needs in formation and training, as well as research, contributing either to *know how* or economic resources, infrastructure or technology. In including development within the international cooperation among universities, the range of its diverse aims described above was expanded, along with the possibility of the university becoming an international agent of human and social development.

As is well noted by some studies concerning universities in Latin American, the international projection of universities in the region became a basic condition for functioning in the context of globalization, but equally, this projection has posed relevant challenges for the university as an institution. International cooperation between universities of the region is a response that enables a basic convergence in response to the international requirements outlined above (Pérez Lindo, 2004; Beneitone, Giangiacomo, and Hernández, 2007).

International cooperation between universities has historically been carried out on the basis of an exchange of knowledge that enables common development. This universalist base has, however, been structurally conditioned by the development of the countries in which universities are inserted. Therefore, for several decades in the middle of the 20<sup>th</sup> century, international cooperation was marked by the North-South dynamic and restricted by a limited economic vision of development.

Thus, the inclusion of other development purposes broadened the horizon of possibilities for international cooperation between universities, allowing it to look beyond institutional and economic development programs. This evolution, which already embodies the CRUE document as a link between two centuries (and two conceptions), has continued into the 21<sup>st</sup> century.

The recent passing of the 2030 Agenda for Sustainable Development (2030 Agenda) grants a new role to international cooperation as a tool for achieving the Sustainable Development Goals (SDGs). In this way, international cooperation ceases to have that connotation of

*closing* development *gaps* between countries and enables cooperative exchanges between governments and other non-governmental actors, including universities, in order to meet SDGs.

This evolution requires a different approach to international cooperation from the governmental side, but also from civil society and university actors. This implies changes in the international conception of universities and in the modalities, contents and scope of international cooperation, which will necessarily be linked to sustainable development. Therefore, the 2030 Agenda and the reference to sustainable development challenge universities in regard to the operation and management of international relations and international cooperation.

This chapter proposes the design of a management model for international cooperation in universities today. The theoretical approach used is systemic, and that is reflected in the contribution as a whole. This delimitation of the object merits three considerations.

In the first place, although the university is considered a *worldwide institution*, the study presented here is based on Latin America. This is not the place to argue about the differences in the location of universities according to their distance from and connection to the centers of power (of knowledge, technology and innovation). What is important to consider, and is raised in this contribution, is that the 2030 Agenda calls on the university as an institution to offer alternatives for reaching SDGs. In this way, the foregoing observations suggest the need for a new management model in the university as an institution.

This leads to a second consideration, which refers to the management proposal: Although there are relatively recent studies of the international cooperation between universities, the 2030 Agenda rethinks the basic terms on which universities can position themselves with consequences for their management and operation (Barros de Barros et al., 2007).

Thirdly, this contribution considers the university in its cooperative relations with other universities, but also as a relevant actor in the achievement of the SDGs. This clarification arises from the argument being laid out here, but it is necessary to specify it from the beginning since it is at the base of the change that is required at the university as an

institution and that logically generates consequences in the management of international cooperation in response to the urgent needs raised in the 2030 Agenda.

The work begins with an analysis of the evolution of international development-centered cooperation. This evolution refers to the objective of development and its contents, as well as to the terms in which the cooperation is proposed and the possible agents to carry it out.

In the following section, the principles and characteristics that guide international cooperation today are presented in order to visualize the bases on which to establish a management model. Then, the channels that guide international development-centered cooperation are discussed, with a review of institutions and programs. In this approach, the channels specifically concerned with university participation are also laid out.

The next item presents a management model of international cooperation between universities that considers the different areas in which it is developed. This part is intrinsically linked to the previous one.

Finally, some conclusions will be drawn.

## **2. The evolution of international development-centered cooperation**

International development-centered cooperation has evolved over time and currently has different connotations according to the cooperation and financing channels used, the actors involved, and the objectives pursued. The conceptual evolution has occurred both in the consideration of development itself and in the defined objectives, as well as in the modalities, contents and responsibility in the implementation and results of the cooperation.

After the Second World War, international cooperation was associated with the reconstruction of Europe and development had an economic connotation. In this first stage, European reconstruction cooperation was supervised by the Organization for European Economic Cooperation (OEEC). Subsequently, international cooperation focused on development aid for third world countries once they achieved indepen-

dence and required financial and technical support. During this period, development was associated with a stage that underdeveloped countries had to reach, following the model of the industrialized countries, associated since 1961 in the Organization for Economic Cooperation and Development (OECD, successor of the OEEC).

The bipolarity of the international system between the capitalist and socialist countries, expressed in the east-west axis, set conditions for the third world countries, which in the Bandung Conference in 1955 generated a series of alternative principles for cooperation defined in terms of mutual advantages. These gave rise to initiatives for South-South cooperation based on horizontality and non-conditionality.

The 1970s saw the emergence of a desire to transcend the division between capitalist and socialist countries, with the objective of generating and executing projects that would lay the groundwork for development in third world countries. To make this cooperative convergence effective, triangular projects with financing from capitalist countries and industrial technology from socialist countries were carried out. In addition to these projects, there were other initiatives in that decade, aimed at international cooperation and development.

In the United Nations, during the same decade, a debate about international economic order and development started (Bedjaoui, 1979; Bettati, 1983). The debate included the first considerations of the right to development, the basis for a new international economic order and the inclusion of transnational corporations as actors in international law (Pellet, 1987; Carreau and Juillard, 2013). Thus, the discussion of a code of conduct for transnational corporations was introduced into the United Nations agenda, and other ideas on development were outlined based on the cultural identities of the countries being aided. Another solidification was the Conference on Technical Cooperation among Developing Countries (Conferencia sobre Cooperación Técnica entre Países en Desarrollo) in Buenos Aires in 1978. This conference resulted in the approval of the Buenos Aires Plan of Action, which projected possibilities in development cooperation and included other actors from societies in developing countries.

While the 1980s has been considered a *lost* decade, some progress was made. During these years, development was linked to human rights and, in addition, the burden of responsibility on the results of the cooperation began to be considered, taking into account the co-responsibility between the different agents of the process. The approval of the Declaration on the Right to Development by the United Nations in 1986 posited an indissoluble link between development and human rights. Furthermore, the preamble of the declaration made headway in certain considerations of development that would serve as the foundation for principles to be taken up later. In that sense, development became defined as, “a global, economic, social, cultural and political process aimed at constantly bettering the wellbeing of the entire population and all individuals based on active, free and meaningful participation in development and in the fair distribution of the benefits derived from it” (Boni Aristizábal, 2010, p. 25).

In the 1990s, with the end of bipolarity, conditions were generated for a systemic approach in the United Nations regarding the conditions of cooperation and the contents of development. Thus, a new paradigm was delineated that associated development in general with human development; the paradigm began to inform the reports of the United Nations Development Program (UNDP). In addition, the United Nations promoted various international conferences that included cross-sectional issues associated with development, such as the participation of the poor, health, education and human rights.

The 21<sup>st</sup> century began with a consensus on the objective of overcoming poverty and improving different indicators associated with the current state of the phenomenon around the world. The document that shaped these agreements defined the Millennium Development Goals (MDGs), which were laid out in 2000 and formed a basis for international cooperation to converge in different multilateral fields. At the time, the MDGs raised eight objectives associated with twenty-one goals to be met in 2015.

Another stage in development-centered cooperation began to take shape during this century, regarding both the development objectives and the responsibility and monitoring of the results of cooperation.

Moreover, the emergence of regions and countries in the international system provided the basis for the promotion of new South-South cooperation frameworks.

As for development objectives, the precedent of the MDGs was a platform that the United Nations used as a starting point for defining the contents of the 2030 Agenda. Regarding the general criteria for international cooperation and the evaluation of results, the High-Level Forums of Rome (2003), the Measuring of Results in Marrakech (2004), the Paris Declaration (2005), the Accra Agenda for Action (2008) and the Busan Partnership for Effective Development Cooperation (2011) gradually set guidelines that defined actors, objectives and implementation (Agencia Uruguaya de Cooperación Internacional, 2014). For its part, the Third International Conference on Financing for Development, held in Addis Ababa in 2015, defined the framework and criteria for development financing and emphasized the importance of South-South cooperation and its articulation with other forms of cooperation.

The approval of the 2030 Agenda meant another step in terms of the development objectives of international cooperation. In September 2015, at the Sustainable Development Summit that took place in New York, the text of the agenda was approved by more than 150 heads of State and Government. The 2030 Agenda, which took effect in 2016, comprises seventeen SDGs and 169 goals to meet. The objectives of the agenda are framed in the three areas of sustainable development: economic growth, social inclusion and environmental protection.

The agenda is a multilateral reference framework and has been internalized by the States, thus opening up areas of convergence and articulation in relation to the objectives it defines. It is at this time the main instrument for registering the progress of humanity toward the SDGs. Furthermore, to achieve them, it enables the participation of civil society actors, including universities (Bizzozero and Pose, 2018). Globalization thus finds in the United Nations a political expression of what development is: it is defined as *sustainable* and aims at specific SDGs.

In this way, the adoption of the 2030 Agenda with its seventeen SDGs poses a new scenario for the international system and for international development-centered cooperation. To the extent that deve-

lopment is linked to sustainability and has as its content the definitions presented by the SDGs, the orientation, channels, programs and financing of international development-centered cooperation have been modified. Different spaces configured in terms of the traditional logic of North-South cooperation are adapting to the new requirements that proceed from the objectives defined by the international community.

Furthermore, other spaces set up more recently, such as the Global Partnership for Effective Development Cooperation and the Global Partnership for Sustainable Development, plus other regional entities such as the Community of Latin American and Caribbean States (CELAC, in its initials in Spanish and Portuguese), and the Iberoamerican region, coordinated by the Ibero-American General Secretariat (Secretaría General Iberoamericana), emphasize the importance of the global approach based on the SDGs and horizontality with an eye to better results.

### **3. Principles and characteristics of international cooperation**

The conceptual evolution relating to international cooperation and development has provided the basis for adapting the principles on which it is currently based. This makes it possible to set forth principles that form the foundation of international cooperation, and others more specifically of South-South cooperation. It is important to consider them because this conceptual evolution has led to the modification of the international cooperation policies of States, both recipients and providers, and the positioning of agents, including universities.

The basic principles of international cooperation today are the appropriation by the recipient countries of guidance on cooperation, the convergence of donor countries with national recipient cooperation strategies, the harmonization of procedures with receiving countries, results-based management of both donors and recipients, and the mutual accountability of initiatives and actions (Duarte Herrera and González Parías, 2014). These five principles show the evolution of what was the previous model of traditional cooperation, which incorporated

conditionalities, and the adaptation of the recipient countries to the procedures and objectives of the donor countries, and where the burden of the evaluation of results corresponded to the developed countries.

As regards the principles of South-South cooperation as a component of South-South relations, there is respect for sovereignty, solidarity and mutual benefits, unconditionality, national involvement and the collective self-sufficiency of the countries of the South. Some of these principles are typical of international law, such as respect for sovereignty, but others have emerged from a specific elaboration by the countries of the South and have contributed to defining a global platform that is projected in the 2030 Agenda. A relevant aspect to consider is that of the new characteristics of international cooperation, which lead to a systemic convergence in the objectives to be achieved in some sectors and the modality by which they must be achieved. This was the result of a rapid evolution that unfolded between the MDGs and the approval of the 2030 Agenda. Systemic constraints, new content and objectives related to development, the inclusion of civil society actors and universities as possibly participating in the 2030 Agenda are factors that frame a new scenario of complexity in terms of responsibilities and potentialities (Comisión Económica para América Latina y el Caribe, 2016).

The systemic convergence in the objectives related to international cooperation has enabled the agents of the different parties, both public and private, to establish institutional channels of dialogues (domestic, regional and international); to adapt to the objectives; to set joint responsibility as their starting point; and to define priorities and a common strategy.

Moreover, some basic development-centered criteria for international cooperation have been reaffirmed, such as solidarity, the protection of human rights and the consideration of overall human well-being (care for the environment, cultural diversity, educational resources, health, etc.)

The global scope of the 2030 Agenda, the international commitment it expresses for the States that ratified the agreement and have begun to implement it at the national level, the networks that began to be woven at different geographical levels (regional, national, local) and the participation of different actors, among which is the university, bear witness to



the new characteristics of international cooperation that crosses sectors, actors and geographical levels.

This new cartography is generating impacts in the cooperation of developed countries, in the proposal of new programs related to climate, environment, health and education, which sometimes seeks to give the programs a regional scope, and also in the articulation and priorities of the international cooperation proposed by countries, including those in Latin America, which have an impact on the different actors, among which are universities.

#### 4. International cooperation channels

The importance of visualizing international cooperation channels has to do with the fact that this map is the one that must be considered for the management of international cooperation by the governmental sphere and also by the agents, including universities. It is by understanding the international scenario; the evolution of the contents, definition and scope of international cooperation, and by considering development in its characterization as *sustainable* that the management of international cooperation can be designed. These are, of course, the necessary prerequisites for defining priorities in each institutional domain, including the university.

International cooperation channels are multilateral, whether they are in the international, regional or bilateral realm. They arise from the resolutions of the United Nations General Assembly and the Economic and Social Council. At the end of the 20<sup>th</sup> century, the UN Secretary General created the United Nations Development Program (UNDP) for the purpose of coordinating cooperation programs among the different organs of the organization.

The main United Nations program that works for sustainable human development is UNDP (Programa de las Naciones Unidas para el Desarrollo, 2017). UNDP projects focus on the reduction of poverty, the strengthening of the democratic State and the participation of civil society, the environment, agroecology, information and communication technologies, energy and health.

The linking of UNDP with the MDGs and now with the SDGs has led to the inclusion of goals and indicators in domestic projects that have a global perspective. There are other United Nations bodies and funds that are also linked to development, such as the Food and Agriculture Organization of the United Nations (FAO), UNESCO, the United Nations Children's Fund (UNICEF), and the United Nations Population Fund (UNFPA), which are more specific in channeling international cooperation.

When it comes to higher education and the agents involved, in particular universities as institutional references, the UNESCO agenda of topics is a framework for international cooperation. The results of the world conferences and previous regional conferences have marked the issues on which to focus efforts and to which the international cooperation between higher education institutions (HEIs) can be channeled.

At the international level, the World Bank group, which includes the International Bank for Reconstruction and Development, aims to reduce poverty through the promotion of the growth of less developed economies. Some of its specific objectives are investment in people through the support of basic services such as health and education, environmental protection, the strengthening of the capacity of governments to provide high-quality services in a transparent manner, and social development and institutional strengthening.

At the regional level in Latin America and the Caribbean (LAC), the Inter-American Development Bank (IDB) has traditionally been the channel for programs that work for economic and social progress. The objective of the IDB is to reduce poverty in LAC and to lay the groundwork for sustainable and lasting development; it has different forms of cooperation, including technical assistance. In addition to the IDB, CELAC must be included—it channels cooperation in the Latin American and Caribbean area— along with other organizations that have formed in the sub-regional integration processes, such as the Andean Development Corporation (Corporación Andina de Fomento), the Plata Basin Financial Development Fund (Fondo para la Cuenca del Plata) and the MERCOSUR Fund for Structural Convergence (Fondo Estructural del Mercosur, FOCEM), among others.

Regarding bilateral cooperation, all agreements that a State has with other States concerning development cooperation, and which currently include sustainability as an inherent character, must be included. Bilateral cooperation does not only arise from international bilateral cooperation agreements; it also includes agreements between States that have a chapter related to education, research, innovation, or health, provided that they comply with the aforementioned principles and have development as an objective.

The university is currently one more agent of international development-centered cooperation. The specificity of the university in its mission and values means that its scope of competence fundamentally encompasses education, scientific research and extension. The SDGs of the 2030 Agenda also deal with the university and make it a leading agent in this new stage that humanity is experiencing. In addition to the specific SDGs related to education, which set goals to be achieved in terms of higher education, the other objectives set goals whose processes fall under the different university functions.

## **5. The model for international cooperation management between universities**

For a university to engage in international cooperation, it must have a structure that effectively channels it. This structure, which would institutionally have the name of an international relations *unit*, *service* or *office*, and that could include a specific international cooperation secretariat, is a prerequisite for implementing a management model.

There are two other requirements that are also necessary for implementing an international cooperation management model: an institutional policy with definitions of priorities in international relations, and an institutional articulation of academic services or units with the international reference unit.

In regard to the first requirement listed, the university must start from an institutional policy with definitions of international matters, so that it can engage in cooperation actions with other universities. This

policy does not necessarily have to include explicit definitions of the agenda of international relations issues and international cooperation, but it must have definitions of higher education as a human right and its principles, values and mission as a base platform. From this platform, it must contain definitions of relevant institutions, such as world and regional higher education conferences; priorities for participation in international and regional networks; and academic and scientific cooperation.

An articulation of the international relations department, service or office that includes international cooperation, with the university's academic units is another prerequisite for international development-centered cooperation among universities to have positive results. The relations would have to work in both directions; that is, it must be possible to transmit information from the international relations unit to the academic structure (centers, departments or areas)—which is the institutional fabric of the university. These units should also be able to communicate proposals, initiatives or consultations to the reference unit.

These requirements are an initial platform for a university to process international cooperation programs and projects. At the same time, for this to be possible, the university should take some measures to adjust or modify its operation. These measures will respond to a reading of the present international cooperation map and in particular to the visualization of the different channels through which the cooperation circulates.

Reading the international cooperation map implies that the university adjusts its institutional structure accordingly, and also that the university defines the institutional role that it will fulfill in the different international agendas that concern it. At present, the 2030 Agenda includes, in addition to higher education, other issues that involve the university, and as already stated, the university is expressly considered among civil society actors that will have an active role in the implementation of the agenda. The university must then have a political definition of the role it will play in international cooperation. Although it will take a variety of issues into consideration, there are two international agendas that should be addressed to order to consider its role and the definitions that will be institutionalized: the 2030 Agenda and what emerges from the declaration, and the plan of action of world and regional conferences of higher

education. In the case of Latin American universities, the plan of action that came out of the regional conference held in Córdoba in 2018 is currently, together with the 2030 Agenda, a guiding framework for international cooperation today.

The definition of the university's institutional policy in relation to the 2030 Agenda and the higher education agenda is essential for it to position itself in the national education system and establish a communication channel with government authorities and national cooperation agencies. To be present as an actor in the international cooperation agenda, the university needs to have previously defined its institutional role in working toward sustainable development. It is a prior step of definitions. Not all universities will include these agreements reached by the international community, which will place them in another set of priorities and in other operating circuits.

Another of the measures to be taken by the university to improve the management of international cooperation concerns the development, or adaptation, of a reference point for international cooperation within its international relations unit. This reference point may be a commission, sub-commission, committee or group. What matters is that the international relations unit has a body where demands and consultations can be channeled, or that can serve as a starting point for channeling cooperation initiatives and the necessary information.

If the unit is already created, it would require an adaptation according to the map of channels indicated above. This means that the reference point for international cooperation should necessarily have specific personnel for the different levels at which it is developed (international, regional, bilateral). In addition, the staff of the reference point should have technical support from the international relations unit, along with facilitated relations with the reference points for international relations or international cooperation in the different centers and services within the university's institutional structure .

At the present moment, international cooperation in the multilateral sphere goes through governmental channels and national cooperation agencies. One step for proper management involves the definition of a clear channel of relations with the ministries or secretariats (Exter-

nal Relations, Education and others) and with the national cooperation agency or the institutional area that fulfills this function. Ideally, the university's focal point is located in the international cooperation reference point, or at least includes it so that the information, decision making, or implementation of a measure is initiated immediately. The location of a focal point in the university, that is in turn responsible for disseminating information or initiating a decision-making process regarding international cooperation throughout the university structure, is an aspect that makes it more likely the institution will have enough time for processing and definitions.

Once the prior requirements are covered, and the university has defined its institutional policy on the 2030 Agenda and international cooperation, with the necessary adaptation of its institutional structure, it can begin to implement a management model that meets the new requirements of the international system.

The proposed management model differs from the one used up to now in several aspects: horizontality, greater communication with governmental areas and national cooperation agencies, emphasis on innovation and scientific implementation, joint responsibility for programs and projects, and financing to support exchanges and activities rather than supporting a program, among others.

The new management model for international cooperation that is to be applied by the university implies taking the international cooperation unit as a point of reference. Initiatives for international cooperation could come from programs or projects under the 2030 Agenda. The route of this initiative will first stop at the National Cooperation Agency, Ministry of Foreign Affairs or a reference ministry linked to the sector to which the program will be applied.

In turn, communication with the focal point of the university's cooperation unit will allow any initiative to be transmitted immediately within the university institutional structure, unless a prior political decision is required.<sup>3</sup> The transmission of the information on the initiative

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3 This decision may fall within the competence of the rector, a political body that accompanies the international cooperation unit or another reference body for

within the university structure, and, above all, within the area or units of reference linked to the initiative, will enable a quick response that can be channeled through the respective national cooperation agency or ministry. In the event that the universities (public or private) link with the International Cooperation Agency and government authorities through a person from the university network, another step will be required in an information path that seeks to expedite the transfer of data.

The initiative may also come from a university unit, regardless of the area or discipline. In this case, the proposal will be channeled to the focal point of the university's cooperation unit, which in turn will channel it to the National Cooperation Agency or ministry of reference for the subject, so that it can be introduced into global cooperation programs dealing with the 2030 Agenda or channeled into South-South cooperation programs.

The university's international cooperation unit will also be the one to channel the initiatives that arise from the networks in which the university participates, as well as from cooperation with other universities. In these cases, the initiatives may come from the networks' academic instances (international or regional) and from the universities' academic units or centers.

Having an international cooperation unit opens up opportunities for exploring possibilities in different areas. In that sense, the projection and breadth of the 2030 Agenda facilitates cross-referencing regional network initiatives for South-South cooperation, as well as proposing draft framework agreements to be implemented between universities.

Existing cooperation channels in the educational sector, be they bilateral or multilateral, should be relocated to this new international stage of sustainable development, to be managed by the university's international cooperation focal point. These channels should include both regional (Latin American, Latin American / Caribbean, and other sub-regional) and bilateral agreements. Bilateral agreements, in turn,

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international cooperation. What matters is that the competencies are clear so that the decision process can continue through the appropriate channels.

should include those with developed countries, in addition to regional and South-South agreements.

This means that opportunities also open up in the complexity of the challenges that each SDG entails, its goals and indicators: it is feasible for developed countries' cooperation to be internationalized and regionalized by taking regional spaces of reference. Hence, there will possibly be programs and projects at the regional level that will be operated in some cases by the networks, and in others, by universities in the region within the framework of interuniversity agreements.

The new-generation agreements between States that have international cooperation as a reference, or include it, will address sensitive topics related to education, culture, scientific research and innovation. The fluidity of the information and the queries that are directed to the university from governmental spheres will also inevitably touch on sensitive topics that will require definitions of institutional policy. It will be necessary to have university competencies clearly delineated, along with the principle of autonomy, when managing international cooperation. This is a key aspect that will be increasingly present in the university's relations with political power in the 2030 Agenda process and concomitantly in international cooperation for sustainable development.

The university's international cooperation units must carry out consultations and meetings to contemplate possibilities with the other units of the international relations office, center or service. These other units will cover topics related to the operation of the networks, agreements, mobility programs and others in which the university participates. The options that may arise from these exchanges in the international relations unit make it possible for initiatives, whether they come from the services of the university, other universities, networks or the multilateral sphere, to be channeled in different ways.

There is, of course, work to be done in the universities' departments, services and centers so that the focal points of international cooperation (or international relations) facilitate the circulation of information that comes from the cooperation unit, and also so that these focal points manage to articulate, within the service or center, the initiatives,



demands and responses to the international initiatives that come from the academic units.

This model for managing international interuniversity cooperation implies previously defining the university's institutional policy in relation to the topic, as well as reordering the units that are centrally concerned with international cooperation in the university. At the same time, work and training at different levels is required so that the model can work from the bottom up and the top down.

In other words, the domestic dimension of international cooperation that is expressed through the SDGs can be channeled into different domains and levels. It is a guiding framework for international cooperation that enhances the topics of the agenda and higher education, generates opportunities through an understanding of the complexity involved, and challenges the potential of the university's human resources in this new stage of international cooperation.

## Conclusions

This chapter takes as its starting point the need to modify the management model of international interuniversity cooperation, ever since the United Nations approved the 2030 Agenda. The fact that the seventeen SDGs concern and challenge the academic and scientific community, as well as the university as an institution, calls for adaptive requirements consistent with the evolution of humanity. International interuniversity cooperation will then have as its base platform the sustainable development that is expressed in the objectives set forth in the agenda.

The contribution made here has followed the path of international development-centered cooperation in order to visualize the conceptual evolution and scope of this new stage that humanity has begun to traverse with the 2030 Agenda. Insofar as the university is included as an actor of reference for one of the objectives, namely education, but also because it is called upon as an institution of civil society, the position it takes on the agenda, and especially on the objectives, will result in

priorities within academic and institutional networks and definitions related to domestic and international cooperation.

The 2030 Agenda is not an isolated United Nations milestone relating to the various SDGs. Nor is it a separate element when it comes to the evolution of international cooperation. It is a path that has been prepared by the United Nations to guide international development-centered cooperation and the adaptive responses needed to deal with systemic constraints.

In terms of international cooperation, the United Nations has implemented different programs that have modified the objectives and the rights and commitments of the different agents, including universities. Countries have been adapting their institutional structures to internalize the international requirements related to the 2030 Agenda, as well as to other international programs that include cooperation between countries.

The university, therefore, must also adapt its operations according to the requirements set forth by the United Nations and in line with the evolution of international cooperation programs and the global and regional higher education agenda. Some prerequisites that are necessary for the Latin American university to adapt are to have a reference center in international relations that may contain a specific international cooperation office, a positioning on topics related to higher education and the regional higher education agenda, and an internal articulation that allows for the circulation of information between the international relations center and the university's different services and units.

These prerequisites are necessary as a base platform for implementing other necessary changes related to the university's outreach to the domestic context and other universities abroad. One of the aspects referred to is the domestic articulation with the instances through which information about international cooperation circulates institutionally. The fluidity and speed in the transmission of information is an important imperative when it comes to the necessary decisions regarding actions related to international cooperation.

These changes to the model for managing international development-centered cooperation have an important component of training in both inter-university and intra-university operations. In order for

the model to work, training is required to understand the evolution of international cooperation and how the different regional spaces are positioned according to the 2030 Agenda SDGs.

In the coming years, there will be a cascade effect of changes within the topics related to the SDGs and the regional higher education agenda where the university will inevitably internationalize and make decisions and take actions aimed at international cooperation. The ability to move forward in a new management model that includes trained personnel with international projection who are sensitized to the issues that challenge humanity will facilitate the participation of the university in the implementation of the SDGs.

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## SECTION 11

# INTERNATIONALIZATION OFFICES IN LATIN AMERICA



# INTERNATIONALIZATION OFFICES IN LATIN AMERICA: A CRITICAL APPROACH

JOCELYNE GACEL-ÁVILA

## Introduction

The Regional Observatory for Internationalization and Networking in Higher Education in Latin America and the Caribbean (Observatorio Regional sobre Internacionalización y Redes en Educación Terciaria en América Latina y el Caribe, OBIRET) conducted the first Regional Survey of Internationalization Tendencies in Higher Education in Latin America and the Caribbean in 2017. It was a pioneering study for the region, aiming to deepen the understanding of the particular situation of the internationalization process in the region (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

In that context, the present chapter will limit its scope to describing and analyzing the findings regarding internationalization offices (IOs), such as their place in the organizational structure, the profile of the office head (level of education, post occupancy, type of designation), main functions performed and headcount, among others.

Comparisons with results from other surveys are drawn in order to enrich the text, such as those of the International Association of Universities (IAU) (Egron-Polak and Hudson, 2010 and 2014) and the Mexican Association for International Education (Asociación Mexicana para Educación Internacional, AMPEI) (Gacel-Ávila and Bustos Aguirre, 2017). The chapter concludes with recommendations for the organi-



zation and the management of IOs at the region's higher education institutions (HEIs).

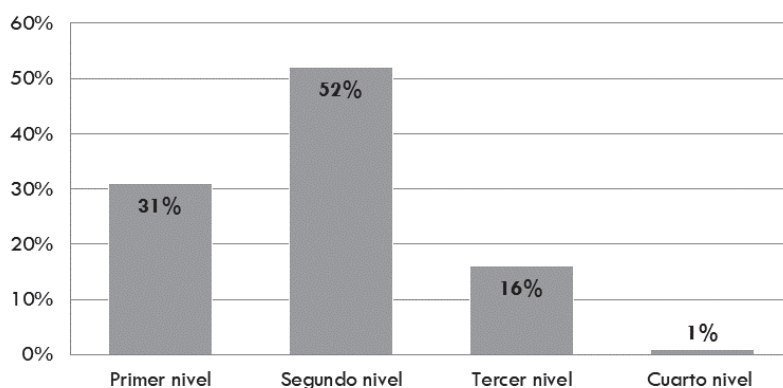
## **1. The existence of an internationalization office in the institution**

86% of HEIs in Latin America and the Caribbean (LAC) report having an IO (Gacel-Ávila and Rodríguez-Rodríguez, 2018). As for the AMPEI, its survey reports that 100% of Mexican HEIs have one (Gacel-Ávila and Bustos Aguirre, 2017), which is probably the case for the major higher education systems in the region, such as the ones from Argentina, Brazil, Chile and Colombia.

## **2. Level of the internationalization office within the institutional structure**

On the regional level, most IOs (52%) are located at a second-tier hierarchical level; 31% occupy a top level; 16% are third-tier and 1% are fourth-tier (Gacel-Ávila and Rodríguez-Rodríguez, 2018) (Figure 1). This contrasts sharply with the global situation, where 60% of IOs occupy the top tier in the hierarchy, according to the IAU (Egroun-Polak and Hudson, 2010).

**Figure 1**  
Level of the IO within the institutional structure in LAC



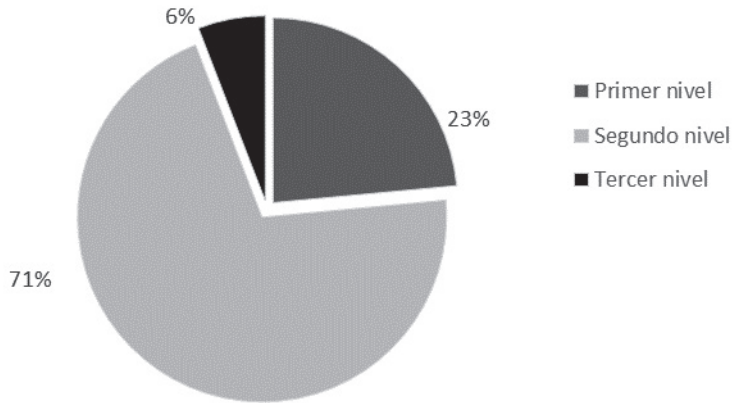
(text from the bottom of the chart, left to right: First tier, Second tier, Third tier, Fourth tier)  
Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

Moreover, a differentiation in this respect stands out between the public and the private sectors. In the public sector, 32% of IOs occupy the top hierarchical level, as opposed to 29% in the private sector, whereas 56% of IOs from the private sector are located at a second-tier level, as opposed to 49% from the public sector (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

These data suggest that LAC places less value on the function of IOs than other regions of the world do. Additionally, LAC is the region where institutional authorities give the least level of importance to internationalization, with only 53% of them considering internationalization to be *very important*, as opposed to 69% worldwide (Egron-Polak and Hudson, 2014).

The AMPEI survey (Gacel-Ávila and Bustos Aguirre, 2017) confirms that in the case of Mexico, most (71%) IOs are located at a second-tier hierarchical level, with only 23% occupying the top tier and the remaining 6% are third-tier (Figure 2).

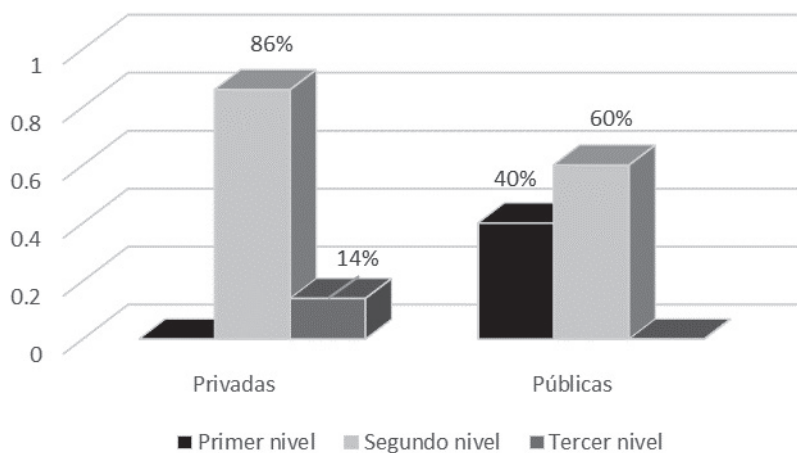
Figure 2  
Hierarchical level of IOs in Mexico



(text from the pie chart, top-bottom: First tier, Second tier, Third tier)  
Source: Gacel-Ávila and Bustos Aguirre (2017).

Similarly, the AMPEI survey (Gacel-Ávila and Bustos Aguirre, 2017) shows a marked differentiation between the public and the private sectors in Mexico regarding the position of their IOs in the organizational structure, with 86% of IOs from the private sector occupying a second-tier hierarchical level and 14% a third-tier, whereas in the public sector 60% of IOs are located at the second-tier hierarchical level and 40% at the first tier. It should be noted that all the surveyed IOs reporting directly to the highest institutional authority belong to the public sector, whereas all IOs that report to a third-tier level belong to the private sector (Figure 3).

**Figure 3**  
Hierarchical level of IOs by sector in Mexico



(text from chart: Private/Public; First tier, Second tier, Third tier)  
Source: Gacel-Ávila and Bustos Aguirre (2017).

However, a comparison between the foregoing and the results of the research conducted twenty years ago by Gacel-Ávila and Rojas (1999) about the profile of IOs in Mexico reveals a significant advancement of IOs in regards to their placement within the institutional structure: whereas in 1997 65% of HEIs reported that their IOs occupied the third-tier hierarchical level, in 2016 this was only the case for 6% of them, with 71% of them currently occupying a second-tier hierarchical level (Gacel-Ávila and Bustos Aguirre, 2017). This trend confirms that the internationalization strategy has gained importance on Mexico's education agenda.

A higher placement of the IOs within the institutional structure is part of the structural adjustments that the institutions that are most dynamic in terms of internationalization perform in order to increase the priority and viability of this process. A higher rank of the IOs within the institutional structure increases their decision-making capabilities and allows them to participate in and influence the design and implementa-

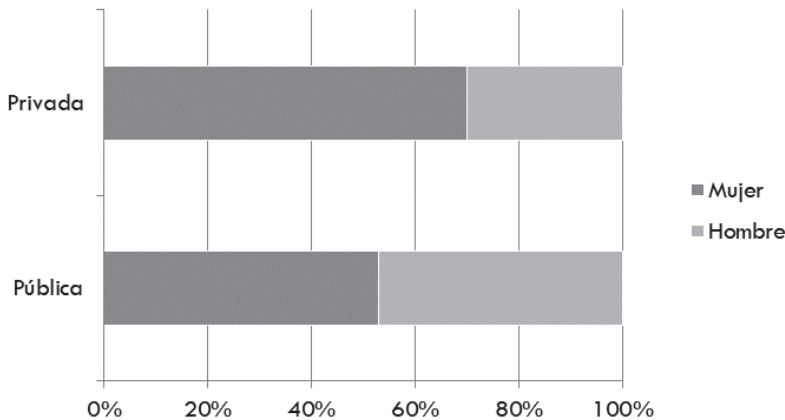
tion of institutional policies regarding education and research, which is highly positive for the consolidation of the internationalization process.

Nevertheless, in spite of the fact that IOs in LAC have increased their level in recent decades, they are still at a disadvantage when compared with their counterparts from other parts of the world. In other words, in LAC these offices are not provided with the sufficient representation, autonomy and importance within the institutional structure to be able to fulfill their strategic role, which detracts from the viability of the entire process (Gacel-Ávila, 1997; Gacel-Ávila and Marmolejo, 2016).

### 3. Profile of internationalization office heads

At the regional level, most (60%) OI heads are women. In the public sector, the proportions of women and men are 53% and 47%, respectively, whereas in the private sector these proportions are 70% and 30%, respectively (Gacel-Ávila and Rodríguez-Rodríguez, 2018) (Figure 4).

Figure 4  
Gender of IOs heads by type of institution in LAC



(text from chart: Private, Public; Female, Male)

Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

In the particular case of Mexico, the AMPEI survey shows the same tendency, with most (53%) IOs heads being women. Furthermore, an important difference stands out between the public and the private sectors: whereas the proportion of women is 22% in public HEIs, it rises to 78% in private ones (Gacel-Ávila and Bustos Aguirre, 2017). Taking into account the fact that IOs are of a higher hierarchy in the public sector, it can be inferred that men are predominant in the highest public-sector positions and that women predominate in lower-tier positions in the private sector.

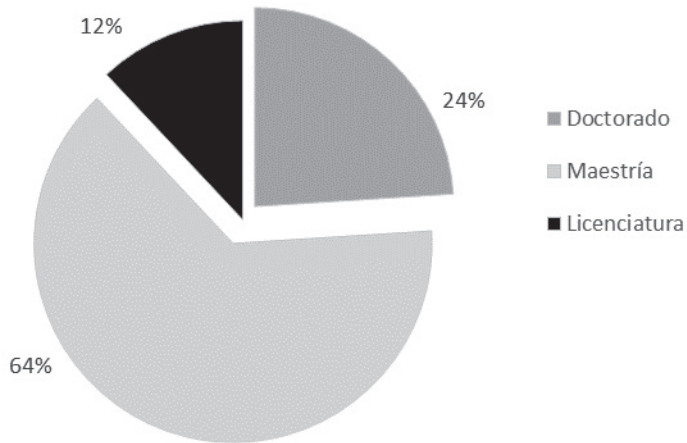
As for the academic profile, most office heads in LAC (45%) have a master's degree, 31% a PhD and 14% a bachelor's degree. The highest number of office heads with a PhD is found in the public sector (39%), as opposed to 21% in the private sector (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

These data contrast sharply with the results of the survey from the Association of International Education Administrators (AIEA) of the United States, which reports that 81% of IOs heads from said country have a PhD and 7% a master's degree (Kwai, 2014). A similar situation prevails in the European countries.

In the case of Mexico, the AMPEI survey (Gacel-Ávila and Bustos Aguirre, 2017) suggests that most (64%) office heads have a master's degree, 24% a PhD and 12% a bachelor's degree, i.e., it follows the same tendency of the region as a whole (Figure 5). Regarding the area of education, the vast majority of IO heads (94%) come from the social sciences and humanities.

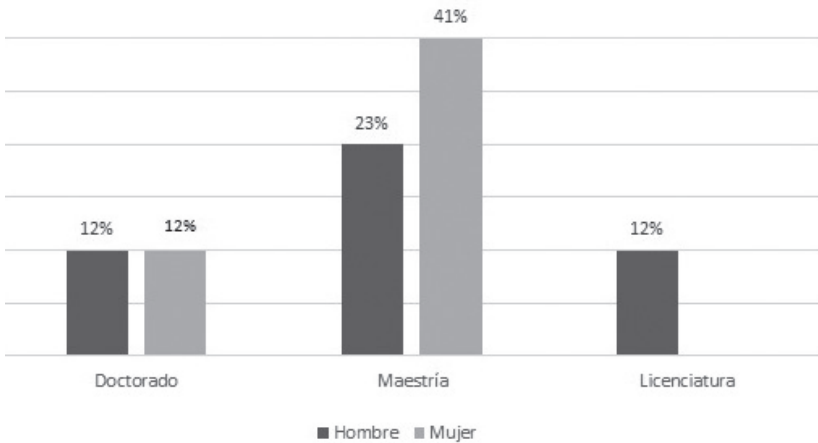
It is worth noting that women have higher academic degrees than their male counterparts since, even though the percentage of PhDs for both genders is the same, the proportion of women with a master's degree exceeds that of men, and no women were found to be leading an IO with a lower educational level (Gacel-Ávila and Bustos Aguirre, 2017) (Figure 6).

**Figure 5**  
Highest level of education of 10 heads in Mexico



(text from chart: PhD, Master's degree, Bachelor's degree)  
Source: Gacel-Ávila and Bustos Aguirre (2017).

**Figure 6**  
Highest level of education of 10 heads by gender in Mexico



(text from chart: PhD, Master's degree, Bachelor's degree; Male, Female)  
Source: Gacel-Ávila and Bustos Aguirre (2017).

#### 4. International experience and type of working engagement

The AMPEI survey reports that only 41% of Mexican IO heads have earned an academic degree abroad, and 59% have participated in an international academic stay (Gacel-Ávila and Bustos Aguirre, 2017). Most (65%) office heads hold an administrative appointment, and only one out of three holds an academic appointment. Once again, there are differences that stand out between the private and the public sectors: whereas in the country's public HEIs 50% of the IO heads have a definitive academic contract, the percentage barely reaches 14% in the case of the private sector (Gacel-Ávila and Bustos Aguirre, 2017).

This shows that, for the most part, the profile of Mexican IO heads is more administrative than academic, which diverges from the global situation, where those responsible for IOs are academics with a PhD.

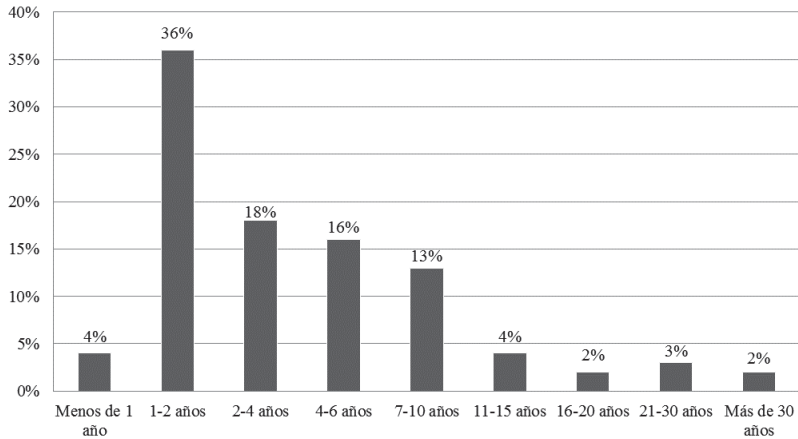
#### 5. Seniority of the position of internationalization office head

Most IO heads in LAC (36%) have held the job for only one or two years, 29% for between four and ten years, and 18% for between two and four years (Figure 7). The regional average is therefore 5.6 years. In the public sector, the average of years in office is four, compared to seven in the private sector (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

It is worth mentioning that this limited permanence on the IO teams can on occasion disconcert their foreign counterparts, who seek partners with a high level of professionalism and sufficient experience to ensure the continuity of work relationships. For example, this fact is highlighted in a study about international cooperation between the European Union and Mexico which reports the “European partners’ concern about the high degree of instability and the lack of professionalized staff in the international offices of Mexican institutions” (Ecorys, Centre for Higher Education Policy Studies, and European Centre for Strategic Management of Universities, 2011).



**Figure 7**  
Years in office of IO heads in LAC



(text along horizontal axis: Less than 1 year – 1-2 years – 2-4 years (etc.) ... Over 30 years)  
Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

## 6. Internationalization office staff

72% of the IOs in LAC have a staff of between one and five people, 15% have between six and ten people, 10% between eleven and twenty, 2% between twenty-one and fifty and 0.6% more than fifty, averaging six people (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

Once again, a sharp difference is observed between the public and the private sectors. The average in the public sector is seven people, as opposed to four in the private sector. However, this can be partially explained by the fact that public universities are of a larger size in the region (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

In summary, important differences stand out between the public and the private sectors with regards to IO heads' academic profile and the permanence in the position, the offices' location in the institutional structure and their headcount. Most IOs in the public sector are located at a higher hierarchical level than those in the private sector, with the

majority of heads being men, with a higher number of heads with PhDs and with larger staffs, but with a lower average of permanence in the position. In the IOs from the private sector, most are located at a lower hierarchical level than those in the public sector, with a vast majority of heads being women with a master's degree, but with a permanence in the position practically twice as long as in the public sector.

In this respect, when the situation of LAC is compared to other regions of the world (mainly North America, Europe and Oceania), an undervaluation is noticed regarding the function of IOs in our region, expressed by a lower rank in the institutional structure and the profile of primarily administrative heads, with lower academic preparation, relatively scarce international experience and reduced permanence in the position. All these aspects hinder the viability and consolidation of the internationalization process, which is a fact that several reports note (Gacel-Ávila, 2000; Gacel-Ávila and Marmolejo, 2016).

## **7. Budget for the operation of internationalization offices**

In terms of financing, a minority (20%) of IOs in LAC report having a dedicated budget (31% in the private sector, as opposed to 12% in the public sector), whereas 26% report having none (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

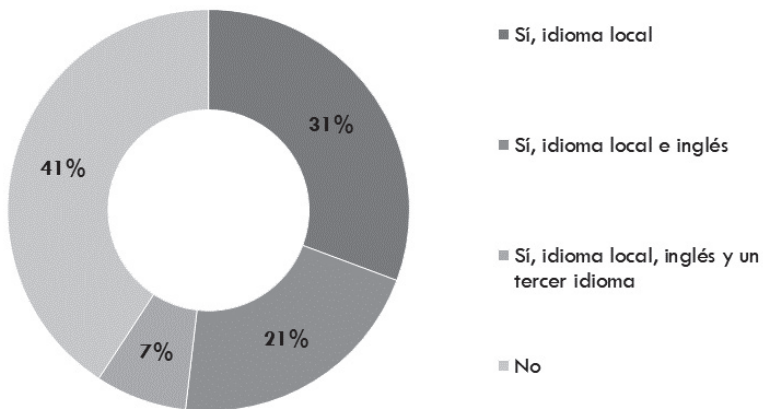
It is worth mentioning that an IO without its own resources to operate is significantly limited in its capability to advance and coordinate internationalization activities. This shows that most HEIs in LAC have not realigned their organizational structure to provide their IOs with the necessary means.

## **8. Communication strategies**

The institution's external communication with potential partners and its internal communication with members of the university community

are basic tools to advance internationalization activities. Nonetheless, in terms of the institutional structures for the communication and dissemination of the internationalization process, only 59% of IOs in LAC claim to have an exclusive webpage exclusive for its specific objectives. Of this percentage, 21% make the site available in both the local language and English, while 31% have their website exclusively in the local language. In 41% of the cases, the IO has no website at all (Gacel-Ávila and Rodríguez-Rodríguez, 2018) (Figure 8).

**Figure 8**  
Exclusive IO webpage in LAC

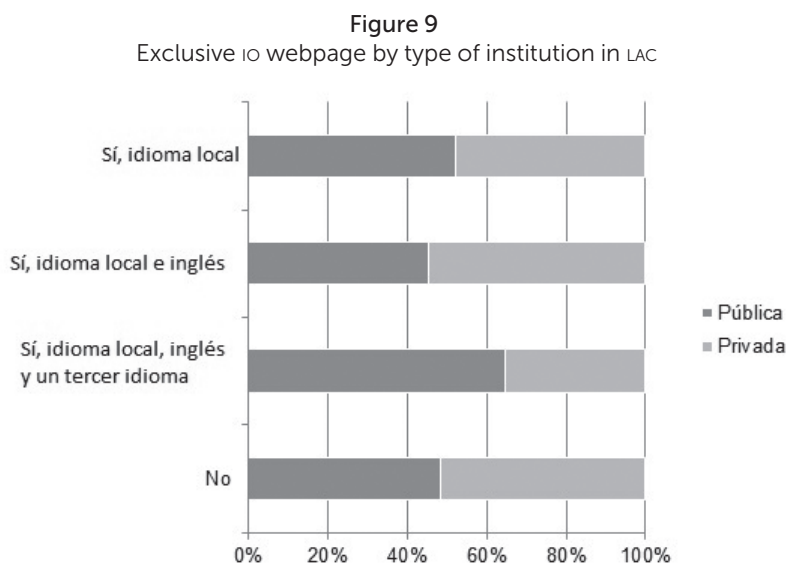


(text from chart: Yes, local language; Yes, local language and English; Yes, local language, English and a third language; No)

Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

As for type of institution, 32% of public institutions have a webpage exclusively for their office in the local language, while the percentage for private institutions is 29%. 19% of public HEIs have their webpage in the local language as well as in English, whereas the private HEIs who have their webpage with those characteristics account for 24%. Moreover, while 9% of public institutions have their webpage in the local language, in English and in an additional language, the percentage of private institutions with webpages of the same characteristics is 5%.

The percentage of private institutions that have no exclusive webpage for their IO is higher (42%) than in the public sector (39%) (Gacel-Ávila and Rodríguez-Rodríguez, 2018) (Figure 9).



(text from chart: Yes, local language; Yes, local language and English; Yes, local language, English and a third language; No) (Right side: Public, Private)  
Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

These data reveal a weak infrastructure in a significant part of the IOs of the region, as well as a lack of institutional strategy towards the outside world in terms of international visibility and promotion, but also from within for the dissemination of cooperation opportunities among the members of the university community. In both cases, this failure suggests a reactive attitude towards international cooperation from HEIs, and not a proactive one, as a comprehensive internationalization strategy requires.

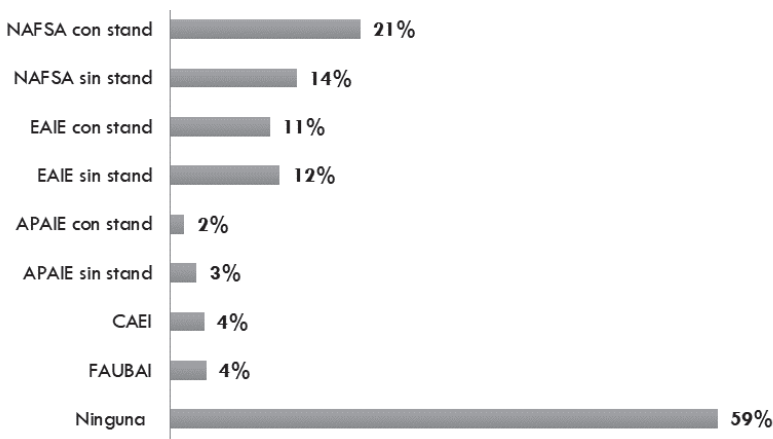
## 9. Participation in international education events and fairs

Participation in international education events and fairs constitutes an important strategy for the advancement of the internationalization process, institutional visibility, acquisition of potential partners and the monitoring of workplans with active members, as well as a means of professional development for the staff involved and the understanding of international education tendencies worldwide.

However, the OBIRET survey reports that most (59%) IO heads in LAC do not participate in any international education events (Gacel-Ávila and Rodríguez-Rodríguez, 2018). Among the heads that participate in such events, most attend the annual meeting of the Association of International Educators (NAFSA), which is where most HEIs in LAC participate (35%; 21% with stand). Next, in order of attendance, is the annual meeting of the European Association for International Education (EAIE) (23%; 11% with stand), whereas only 5% of HEIs participate in the meeting of the Asia-Pacific Association for International Education (APAIE), 2% with stand (Gacel-Ávila and Rodríguez-Rodríguez, 2018) (Figure 10).

Figure 10

Participation of IOs in LAC in international education events and fairs abroad



(text from chart: NAFSA with stand, NAFSA with no stand, EAIE with stand, EAIE with no stand, APAIE with stand, APAIE with no stand, CAEI, FAUBAI, None)

Note: CAEI stands for “Conference of the Americas on International Education” (Congreso de las Américas sobre Educación Internacional); FAUBAI stands for “Brazilian Association for International Education” (Associação Brasileira de Educação Internacional).  
Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

The majority participation in NAFSA’s fair can be explained, in part, by the fact that many HEIs participate through national exhibition halls that are supported by their countries’ governments or by their national associations of universities, as is the case of the institutions from Brazil, Colombia, Chile and Mexico.

This finding reveals a strategic incongruency, as LAC’s collaborative relations are conducted mainly with Europe. The OBIRET survey indicates that the ratio of LAC’s cooperation links with Europe is three to one compared to those with North America. Similarly, and according to the same survey, Europe occupies the top tier in the priority regions for internationalization among LAC institutions. Therefore, the institutions’ participation in these events should be focused mainly on Europe, i.e., on participating in EAIE meetings (Gacel-Ávila and Rodríguez-Rodríguez, 2018).

## 10. Main activities of the internationalization office

The main activities that IOs coordinate in LAC are (in descending order of importance): student mobility, faculty mobility and management of cooperation projects. Noteworthy is the low level of involvement in the internationalization of the curriculum and the negligible initiatives in procuring international funding and recruiting international students (Gacel-Ávila and Rodríguez-Rodríguez, 2018) (Figure 11).

**Figure 11**  
Main activities of IOs in LAC



(text from chart: Student mobility, Faculty mobility, Participation in international projects of cooperation for development, Faculty mobility, Development of joint and dual-degree programs with foreign institutions, Internationalization of the curriculum, Local-language education courses for foreigners, Management and funding of international research projects, Educational programs abroad, Recruitment of tuition-paying foreign students, Remote or online programs for foreign students)

Source: Gacel-Ávila and Rodríguez-Rodríguez (2018).

## Conclusions and recommendations

In conclusion, the main findings presented in this chapter reveal that LAC requires a series of actions and adjustments with regards to the prevalent model in their IOs in order to consolidate their internationalization process and to increase the viability and efficiency of internationalization strategies and programs. Thus, some recommendations are offered that could be useful for the institutions of the region with respect to the organization of these offices:

- In order to interact as equals with HEIs from other regions of the world, the IOs' rank should be increased from second to top tier in the institutional structure, which would allow them to increase their

capabilities to make decisions and intervene in different university sectors.

- A review of the profile of IO heads with regards to the global situation and their foreign counterparts is recommended. It would be advisable to adjust this profile, which is primarily administrative at present, to an academic profile, preferably with a PhD level. This would serve the purpose of having a more qualified head to intervene in the area of strategic institutional planning, as well as to provide a higher capability of institutional representation and to design programs that would facilitate the integration of the international dimension in the fields of research, faculty and the institution's curriculum. Similarly, it is important for the head to have greater international experience (studies abroad, if possible).
- Another recommendation is to achieve a higher level of professionalization in the IOs, since the permanence of the work teams in these offices is a particularly sensitive point, ranging from the head to the top-tier operators.
- HEIs should facilitate the participation of their IO heads and work teams in the most important international education events worldwide. Such participation allows them, on the one hand, to establish relationships with potential partners, and on the other, to further develop their expertise with regards to global tendencies of internationalization.
- IOs should be assigned their own budget in order for them to be able to promote more actively the participation of the institutional community in internationalization activities.
- IOs should be provided with the means to establish more efficient communication strategies inside the university community and outside the institution.
- IOs should have a broader field of action in aspects related to the internationalization of the curriculum and research.



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# ORGANIZATION MODEL FOR INTERNATIONAL RELATIONS OFFICES IN BRAZIL

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PATRÍCIA SPADARO

## Introduction

**W**e live in a new context where the scale and complexity of problems are on the increase. Global challenges, i.e. climate change, green footprint or the ageing of society have a greater economic impact as the urgency to face them becomes more real. In light of this, higher education institutions (HEIs) need to prepare students, faculty members and researchers for this scenario, in the context of which internationalization becomes a high-priority strategy for us.

Universities, as institutions that advance and disseminate knowledge, have an inherent international dimension. However, the movements to structure internationalization processes in the world have occurred for diverse motives and in different periods. In Europe, for example, internationalization took shape as the great change in higher education in the last thirty years, determined by the integration process of the region through the Erasmus program. As for the United States, internationalization was directly connected to foreign policy and diplomatic projects in the seventies.

In Brazilian HEIs, the process is recent, in spite of the fact that international graduate-level activities have been carried out since the fifties,

starting with the creation of the Coordination for the Improvement of Higher Education Personnel (Coordenadoria de Aperfeiçoamento de Pessoal de Nível Superior, CAPES), the National Council for Scientific and Technological Development (Conselho Nacional de Desenvolvimento Científico e Tecnológico, CNPq) and the Sao Paulo Research Foundation (Fundação de Amparo à Pesquisa do Estado de São Paulo, FAPESP), which are promotion agencies created to meet the educational needs of specialists in pursuit of the country's development.

University offices assigned to conduct internationalization activities date back to the late nineties and early 2000s, in terms of their creation. In 1998, the UNESCO reported that:

Cooperation should be conceived as an integral part of the institutional missions of higher education systems and institutions. Each HEI must consider the creation of an appropriate structure and/or mechanism to promote and manage international cooperation. (UNESCO, 1998)<sup>1</sup>

According to Luciane Stallivieri, institutional internationalization ceases to be an option and becomes a necessity and a reality in higher education debates:

Institutional internationalization and, consequently, academic mobility, which is one of its strengths, cease to be an institutional option and become part of the corpus of discussions about higher-education, with a high degree of complexity. (Stallivieri and Miranda, 2017, p.21)

The purpose of this chapter is to tell how internationalization offices were created at Brazilian HEIs and to analyze their structures, tendencies and challenges.

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1 Personal translation from the original in English (Tr. Note: This footnote appeared in the original in Spanish).

## 1. External agencies and management of internationalization

Brazil's internationalization process had as its initial focus the training of human resources at the graduate level, via agencies external to the universities. The management model of internationalization of the period was described by María Clara Morosini:

In Brazil, the internationalization of higher education has always been coupled to the development of graduate programs. These are promoted by international cooperation supported by the two main governmental agencies –the [CNPq] and the [CAPES]-. (Morosini, 2008, p. 293)

The country's figures in this respect are significant, and show a great investment in the strategic training of specialists. According to Alberto Carvalho da Silva, director of the FAPESP, between 1962 and 2001 the state of Sao Paulo granted more than 1,000 graduate and research scholarships and almost 5,000 grants to professors visiting from abroad, as well as 10,500 for participation in international scientific meetings known as *support for scientific exchange*. In these three modalities of support, the exchanges with the United States predominated, followed by, at a distance, France, United Kingdom, Italy, Spain, Germany and Canada, in addition to approximately other fifty countries.

The agencies' activities are ongoing, but as of the decade of 2000, universities have been implementing their own structures to manage their internationalization processes.

## 2. Institutional mobility. The role of universities

International mobility, the most popular vector of internationalization, was the first aspect to which special attention was given in Brazilian HEIs. It was mainly implemented in graduate courses. Once it was expanded to undergraduate courses, the need to organize and standardize the activities associated with it emerged. Consequently, the pro-

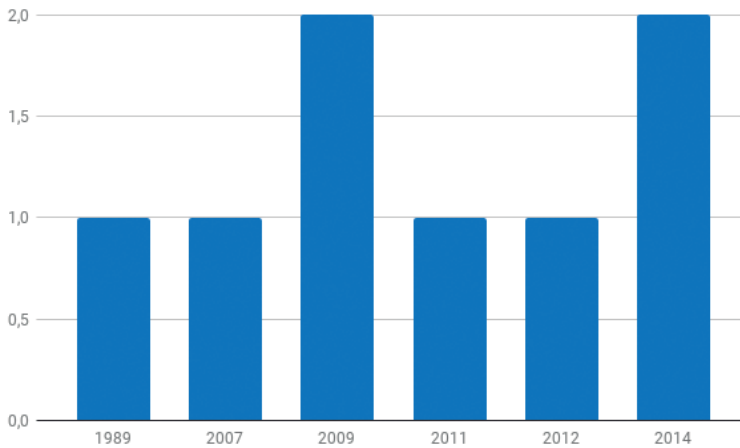
cess developed formal and rigorous procedures that improved academic mobility with innovative ideas. These procedures, which became a reference for different HEIs in Brazil, aimed to facilitate the recognition of credits abroad as well as to support the development of dual degrees. Currently, resolutions have been developed, as well as a specific information system that automates the process.

Documentary research indicates that institutional internationalization activities and the first investments in international offices began in 2003, and expanded and consolidated starting in 2011, due to the launch of the federal program Science without Borders (*Ciencia sin Fronteras*), instituted on December 13, 2011 by Decree 7.642, issued by the Presidency of the Republic, which sought to promote the consolidation, expansion and internationalization of science and technology, of innovation and Brazilian competitiveness through international exchange and mobility.

Up until the launch of this robust financing program for the mobility of undergraduate students, only the major research universities located in the country's capitals had a structure in place to manage institutionally-focused, large-scale mobility. These structures did not yet focus on matters of strategy and sustainability for the institutions' international relations; instead, they were operative structures meant to enable academic mobility and agreements.

The FAUBAI, who seeks to share knowledge and guidelines for the structuring of international offices in HEIs throughout Brazil as part of its mission, conducted a research project among its associates to gather specific data about the creation and operation of its offices. According to the survey, in which fifty-three HEIs took part, 68% of the respondents reported that their offices were created from 2001 onwards (Figure 1); current structures are divided into one coordination for mobility and one for international projects.

**Figure 1**  
Year of creation of international relations offices

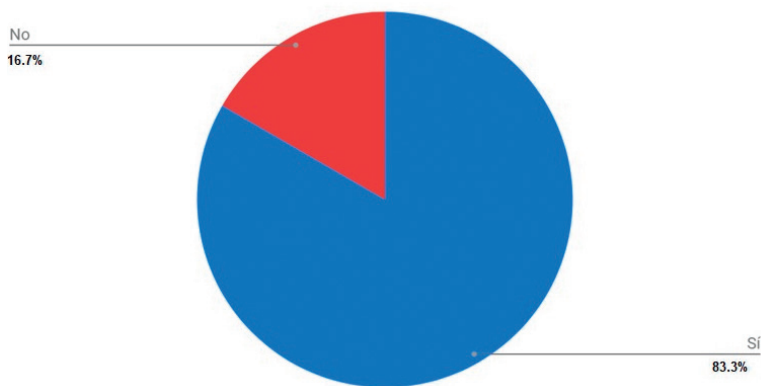


Source: authors' own elaboration, based on the Brazilian Association for International Education (2019).

The structuring of internationalization offices made it necessary to establish standards and procedures for the management of internationalization in Brazilian universities, and as a result, 83% of the surveyed institutions elaborated an exchange resolution (Figure 2).



**Figure 2**  
Institutions with an exchange resolution

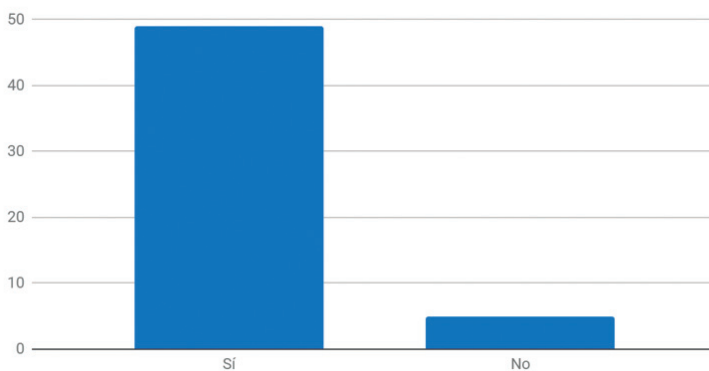


(text from the chart: No/Yes)

Source: authors' own elaboration, based on the Brazilian Association for International Education (2019).

The FAUBAI survey also showed that 90% of the surveyed institutions have a strategic internationalization plan (Figure 3).

**Figure 3**  
Elaboration of a strategic internationalization plan



(text from the chart: Yes/No)

Source: authors' own elaboration, based on the Brazilian Association for International Education (2019).

### 3. Comprehensive internationalization and university services

Considering the concept of *comprehensive internationalization* proposed by John Hudzik, who defines it as a commitment, confirmed through action, to infuse international and comparative perspectives throughout the institution's teaching, research, and service missions, mobility and research are identified as the pivotal factors with regards to universities' understanding of internationalization and the actions they take. Nonetheless, the actions related to administrative management or services were the last to be observed in the internationalization projects –albeit informal– of Brazilian HEIs.

Until the early 2000s, international mobility was handled directly in university departments and organized by professors. The first international mobility resolution in the Universidad de Sao Paulo took place in 2003, the same year as the first international mobility program of the Universidade Federal do Rio de Janeiro and of the Universidade Estadual Paulista (UNESP). The creation of these programs marks the beginning of the institutionalization of mobility.

The model proposed at that time by the institutions aimed for the centralization of mobility through the creation of calls for mobility by central advisory offices and the recruitment of the first professionals called *mobility officers*, actions that were aligned with European standards. It is worth recalling that international mobility at Brazilian institutions was mostly conducted with European counterparts, due to the similarities in the structure of courses and financing.

With the centralization of mobility in international offices, universities created standards for the management of exchange processes through the utilization of specific documents for approving mobility. Another important factor in the centralization processes was that they made it easier to control the data generated by the exchanges.

## 4. Training of human resources

International education professionals perform diverse activities within the offices and must be knowledgeable in areas such as migration policy, academic opportunities abroad, institutional policies and internationalization management, as well as in foreign languages and multicultural competencies.

Most Brazilian universities have not yet created specific degrees for professional international education administrators, which forces them to recruit graduates from the areas of international relations, literature and linguistics, law, administration and related careers. In October 2014, the Universidade Federal do Rio de Janeiro issued Edict 390 of 2014, which created the vacancy for the first position of international relations analyst in a public HEI. The hiring process was divided in two phases, one theoretical and one practical; it was conducted in English, and demanded knowledge from the candidates in the areas of treaty regulations, human rights and international relations, diplomatic and consular relations, refugees, South-South integration and higher education, HEIs' agencies for the promotion of internationalization, agencies for international exchange and cooperation, among other relevant topics, which generated interest in highly-specialized professionals from these areas. On the practical test, candidates were required to have expertise in areas such as theoretical content, verbal and non-verbal communication and vocabulary, and a mastery of English in situations that require a certain level of formality according to the situation.

UNESP also opened positions in 2012 for technical administrative assistants with a specific background in international relations.

Brazilian HEIs are committing to the development of qualified human resources by preparing their students for a globalized world. For that, they need to develop skilled professionals, capable of implementing the best practices for their institutions and of building relationships with the academic community, students and foreign institutions.

North American countries offer specific formation for international education professionals within their graduate or professional specialization education programs. The knowledge expected from this profes-

sional profile includes areas related to their institutions' internationalization, values, goals and missions, as well as skills in the elaboration of international programs, management, identification of partners and result evaluation.

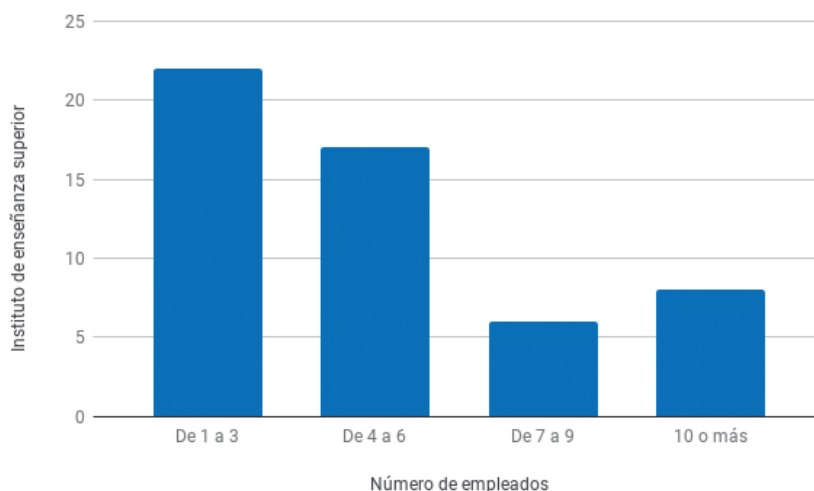
In the case of Brazil, it is necessary to create professional training programs or to participate in international education programs for international education professionals. In that sense, the Erasmus Mundus program was a great incentive for mobilizations at the undergraduate and master's degree level, but also highlighted the importance of training the administrative staff in the universities' international relations offices.

Erasmus Mundus emerged from the European Commission's initiative to expand the original Erasmus mobility program, started in 1987. The agency responsible for all Erasmus Mundus activities was the Education, Audiovisual and Cultural Executive Agency (EACEA), supervised by the European Commission's Directorate General for Education and Culture (DG EAC) and Europe Aid – Cooperation Office (DG-AIDCO). At present, the Erasmus+ program, as a key action of Cooperation for the innovation and the exchange of good practices, offers some programs related to the internationalization of higher education.

In the interest of their internationalization teams' professional development, universities may also offer programs such as the Stella for Staff, from the Compostela Group of Universities (Grupo Compostela de Universidades), or the ESCALA Managers and Administrators (Escala Gestores y Administradores) for universities that are members of the Asociación de Universidades Grupo Montevideo (AUGM), as well as participation in international weeks offered by different universities seeking to share their management practices.

Beyond their preparation, in terms of the number of officials in the offices of Brazilian institutions, 72% of the institutions surveyed by the FAUBAI reported having between one and six employees working in advisory roles for external relations; in Brazil, most international offices are coordinated by faculty members chosen by their university rectors for posts of confidence.

**Figure 4**  
 Number of employees working at international offices



(vertical axis: Institutions of Higher Education; horizontal axis: Number of employees)  
 Source: authors' own elaboration, based on the Brazilian Association for International Education (2019).

## 5. Financing

In regards to the financing of the offices, 55% of the institutions surveyed by the FAUBAI reported having no budget allocated for internationalization. This represents a significant obstacle for internationalization projects in most Brazilian institutions with significant potential for international collaboration.

In the national context, federal public universities (which amount to sixty-three institutions) are responsible for 50% of the country's graduate programs, and also include innovation offices and science and technology parks within their structures. The financial management and administration of Brazilian federal universities is directly linked to the federal government, which curtails autonomy and resources for investment in the internationalization area.

Most of the resources allocated to universities in Brazil, as is the case in most countries, are still governmental. Public universities and research institutions are the main beneficiaries of these resources, considering that almost all scientific activities and graduate courses take place there, strictly speaking. In broad terms, the system for financing research and graduate courses in federal universities consists of resources that come from the National Treasury, national and state promotion agencies, sectorial funds for research, public or private corporations, as well as income from the institutions' own revenue.

The Treasury resources, which is the main source of funding for federal universities, are transferred by the Ministry of Education to federal universities and are allocated, for the most part, for the salaries and benefits of the staff, with the remainder for maintenance and investment. These resources are operated through the Comprehensive System for Financial Administration of the Federal Government (Sistema Integrado de Administración Financiera del Gobierno Federal, SIAFI). Federal universities also have private foundations that help to expand and diversify their sources of revenue and fundraising, as they tend to be more skilled at negotiating and managing agreements, contracts and projects, compared to universities with excessively bureaucratic structures.

According to the report of the National Association of Rectors of Higher Education Institutions (Associação Nacional dos Dirigentes das Instituições Federais de Ensino Superior, ANDIFES), responsible for representing federal universities in Brazil, while the budget for these across the world has increased in recent years, the budget earmarked for investment has not increased; research activities are primarily financed by the country's Ministry of Science and Technology, which also has cut investment in recent years (Asociación Nacional de los Dirigentes de las Instituciones Federales de Enseñanza Superior, 2017).

With scarce resources and little financial autonomy, internationalization offices at federal universities commit to networking projects and rely on management by external coordinators to support institutional projects such as the Erasmus+. There is growing interest in the procurement of outside funding, but the tools to execute such funding are still

insufficient, considering the regulations of international agencies that finance research and international collaboration projects.

Public state universities in Brazil have another administrative and financial management model. This model guarantees autonomy in the management of resources that come from international projects and self-generated income to meet their internationalization objectives. The financing system for research and graduate education in state universities includes funds that come from states based on the tax-collection rates related to their commercial activities (equivalent to the VAT in Europe or other Latin American countries), from national and state promotion agencies, from sectoral research funds, from public or private corporations, as well as income from their own revenue.

Private and denominational institutions in Brazil also have more flexible administrative and financial models.

## **6. The importance of joint work: Government against teaching institutions**

One of the greatest obstacles to internationalization in Brazilian universities is the lack of organizational aspects such as policies or a strategic plan for internationalization that includes the different areas of administration and the Rector's office, as well as deficiencies in the following points: the existence of an office or advisory staff focused on international relations activities, a specific budget for internationalization, the monitoring of activities and the implementation of an administrative body trained to meet the demands of internationalization (Miura, 2009).

The integration of internationalization activities with other important departments of the institution, such as the offices of the deans of Undergraduates, Graduate Studies and Research, for example, would result in both a strategy to obtain better results and the sustainability of internationalization actions for the institution. Working in collaboration helps when it comes to identifying international funding opportunities and supporting the presentation and management of projects.

According to Knight (2004), the political arena affects (and is affected by) the international dimension of education at three levels: the national level, related to the external relations area, immigration, science and technology, industry and commerce, culture and history, education and social development; the sectorial level, which refers to the procurement of human resources, certification, curriculum, teaching and research; and lastly, the institutional level.

At the institutional level, policies can be interpreted in two ways: a more restricted view, which looks at the statements related to the international dimension of the institution's mission, purposes, values, duties and policies (certifications abroad, student recruitment, connections); and a broader interpretation, which is more about institutional-level policies, referring to guidelines for analyzing the implications of internationalization for businesses, international associations, the offering of cross-border courses, leaves of absence for studies (international sabbatical years), etc.

In other words, internationalization verifies whether HEIs have adopted a comprehensive and sustainable approach, including the maintenance of quality, planning, financing, staff, teachers' development, admission, research, curriculum, student support, among others (Miura, 2009).

Internationalization encompasses not only mobility activities, but also a wide range of affairs; it is influenced by, just as it influences, diverse subjects within HEIs and their specific contexts, which has an impact on economic and political consequences within the global and local scenarios. The importance of integrating the administrative parts of the technical and academic bodies of universities is fundamental to allow for the development of internationalization in a strong and comprehensive manner in order to generate positive results.

A success story that can be used as an example of the importance of jointly managing universities' different administrative areas along with government support, is the Strategy of the Federal Government on the European Research Area (ERA). In 2012, the German government invested 79.4 billion euros in research and development (R&D), which amounted to 2.98% of the country's gross domestic product in



that year, reaching record figures for European Union countries, only behind the Scandinavian countries (The Federal Government, 2014).

This investment covered both HEIs and areas in the private sector such as technology. The objectives of this strategy combined the field of education and global cooperation in terms of economy and innovation, and included:

- Internationalization of education and qualification for professionals;
- Academic relations policies;
- International networking;
- Collaboration with emerging countries; and
- Cooperation with federal ministries.

The global vision of the government, universities and the private sector, as well as a significant financial investment, provided extraordinary results in joint work: the number of graduate students and researchers who participated in mobility increased drastically, which generated an attractive international scenario for foreign professionals and researchers who add even more value to Germany's local R&D, as well as competitive career and work conditions in the country.

According to the ERA document (The Federal Government, 2014), a more attractive job market for scientists and researchers allows for greater cooperation and competition among European science and research institutions, resulting in the creation of incentives for continuous improvements in quality, which is essential to achieve excellence in research, innovation and growth.

The German initiative also helped in developing the structure of research in the country's universities, which facilitated the implementation and expansion of joint research on strategic subjects with different universities around the world; international mobility promotes better networking and know-how exchange within Europe, as well as the global integration of research networks.

In order for these advantages to become a reality, it is essential to have open and transparent hiring procedures based on the interests of all the member States. The ERA's strategy also focused on the introduction or expansion of innovative PhD programs, the application of the Human

Resources Strategy for Researchers (in compliance with the European Charter for Researchers and the Code of Conduct for their recruitment), as well as on the improvement of the cross-border portability of governmental subsidies (The Federal Government, 2014).

The case is used as an example to highlight the results achieved by the joint action of the German government with HEIs in R&D matters, as well as with the private sector.

With regards to Brazil, the example that most resembles the German case is the implementation of Science without Borders, mentioned earlier. The program emerged as a watershed for internationalization-related matters in Brazilian institutions and, according to Martins (2014), was projected to stimulate the development of national science in technology, innovation and competitiveness.

In that sense, within the framework of Science without Borders, financial incentives were used as a strategy to increase the presence of Brazilian researchers and students in institutions of excellence abroad, and to lure young scientific and research talent to work in Brazil. Since then, Brazilian universities have had increased contact with the overall issue of internationalization, as well as the internationalization of scientific research and internationalization at home.

On the administrative side, an interesting case of institutional collaboration involves UNESP and Australian universities, which established a relationship to participate in conferences such as The National Association of Foreign Student Advisers (NAFSA) and the European Association for International Education (EAIE), specifically the 2011 and 2012 events.

Thereafter, joint participation made it possible to take a new step within the university's political sphere. The path that was found to achieve this was through administrative and academic missions, both within a co-financing scheme. In 2013 and 2014, seeking to set the stage for solid international collaboration activities, six workshops were organized around thematic areas in Brazil in cooperation with Australia's major universities, such as the University of Queensland, the Australian National University, the Victoria University and the University of Melbourne.

The process described above produced a series of tangible results. For example, these workshops resulted in a significant increase in proposals such as the so-called *FAPESP SPRINT*, which are initiatives that finance academic mobility (i.e. travel, subsidies and health insurance) for researchers in the state of Sao Paulo and in internationally-eligible associated institutions. In the following years, thirteen joint research proposals were successful within initiatives with Australia.

All the cases presented demonstrate the importance of an internationalization strategy for higher education as a whole, on part of both the government and the universities' administration.

## **7. The Program for Institutional Internationalization of Higher Education Institutions and Research Institutions of Brazil and their relation with international relations offices**

The new Program for Institutional Internationalization of Higher Education Institutions and Research Institutions of Brazil (Programa de Internacionalización Institucional de las Instituciones de Enseñanza Superior e Instituciones de Investigación de Brasil, *PrInt*), announced by the *CAPES* in 2017, is very important and one of the foundations for the implementation of a new global strategic plan in Brazilian HEIs. It is worth highlighting some of the key points of *PrInt*'s creation.

The purpose of the *CAPES PrInt* was to select up to forty institutional internationalization projects for HEIs or research institutes. The main objectives of the program are: 1) promoting the construction, implementation and consolidation of strategic internationalization plans in high-priority fields of knowledge; 2) stimulating the formation of international research networks; 3) expanding the actions of support for internationalization in graduate courses; 4) promoting the mobility of faculty members and students, especially PhD and post-doc students, Brazilian teachers abroad and foreign teachers in Brazil; 5) promoting transformation in institutions that participate in an international envi-

ronment; and 6) integrating other development actions by the CAPES into internationalization efforts.

It is important to mention that the projects presented should state their strategic topics for the internationalization actions to be taken according to the competencies and areas of priority defined by the institution making the proposal. For that, the proposed project for institutional internationalization should also be aligned with the institutional internationalization plan, and have a management team with at least one foreign member associated with a foreign HEI.

Additionally, the project should at a minimum include strategies for: 1) consolidating ongoing international alliances, as well as for building new alliances and cooperation projects to increase interactions between Brazilian institutions and foreign research groups; 2) attracting foreign students to Brazil; 3) attracting faculty members and researchers with international experience for the period of activities in Brazil; and 4) preparing teachers and students for the period abroad and for their return, especially with respect to the home institution's appropriation of the knowledge and experiences acquired by the beneficiary.

In summary, the objectives of PrInt are directly related to the internationalization area and seek to promote, build, implement and consolidate participating institutions' strategic internationalization plans in the areas of knowledge that they themselves prioritize; to stimulate the creation of international research networks related to graduate programs, with an eye to boosting the quality of academic production; to expand support actions for internationalization of participating institutions' graduate programs; to promote the mobility of teachers and students, especially from PhD and post-doctoral programs, as well as teachers going abroad and foreign teachers coming to Brazil, and associated with graduate programs in a strict sense with respect to international cooperation; to transform the participating institutions into an international environment; and to integrate other promotion actions by the CAPES into internationalization efforts.

Unlike the case of Science without Borders, official result-monitoring mechanisms must be created within Brazilian HEIs to gather knowledge about what students obtain through the CAPES PrInt. It is

also fundamental that the results be aligned and in accordance with the objectives established at the start of the program's planning.

For their part, HEIs must implement a structure that creates a comprehensive international environment, expand their structures to receive foreigners, invest in specialized technical training, extend the portfolio of foreign-language programs and make procedures more flexible.

## Final considerations

Brazilian universities do not have one single model for international relations offices. The strategies for the internationalization of higher education in Brazil are a reflection of political and socioeconomical contexts, as has been presented in this chapter. The first offices were created some time after the centralized internationalization within external agencies and were consolidated by a demand instituted by the federal government with the Science without Borders program, starting in 2011. The country's university system had to be institutionally organized in order to be able to manage the program and the intense flow of resources provided for the mobility of graduate students.

From that moment on, and with the increase of international demands such as the Erasmus+ projects, among others, universities started investing in their internationalization structures through the hiring of specialized professionals, resources for the development of the teams involved with internationalization, and the expansion of their structures –such as the responsible dean's offices, for example.

With the federal government's new CAPES PrInt program, universities took another important step to consolidate internationalization. In order to apply for the project's resources, institutions organized strategic plans and undertook internal commitments for the modification of their international structure, in terms of both expansion of human resources and academic and administrative flexibility. Thus, the work conducted for the PrInt, in association with the research and graduate

areas, is expected to lead to significant benefits for the internationalization process of Brazilian HEIs.

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**SECTION 12**  
MANAGEMENT MODEL FOR INTERNATIONAL  
EDUCATION ASSOCIATIONS



# THE CASE OF THE MONTEVIDEO GROUP UNIVERSITY ASSOCIATION AS A MANAGEMENT MODEL FOR INTERNATIONAL EDUCATION ASSOCIATIONS

ÁLVARO MAGLIA CANZANI  
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## Introduction

**F**or the purpose of examining the management model of international education associations through the performance of the Montevideo Group University Association (hereafter AUGM, Association, Group, or Montevideo Group), this chapter characterizes the AUGM as an academic cooperation network and emphasizes the need for understanding the resulting analysis within the framework of the types of academic networks.

Regarding the typologies of academic cooperation networks, Sebastián (2000) points out that they vary, depending on the classification criterion: four different criteria are to whom, for what, their scope, and their nature (p. 98). In the typology of scope there can be national, regional or international networks. With respect to this last category, Sebastián states: “International cooperation networks include actors from different countries, revaluing multilateralism in cooperation and favoring internationalization, co-development and international technology transfer processes” (2000, p. 101).

These characteristics that differentiate them from national networks are relevant, and it is important to review the differences between them and their influence on management models, which should be coherent with the objectives and orientations of the associations and their characteristics.

The value of multilateralism with respect to internationalization should be emphasized. International is not the same as interinstitutional, an that adjective applies to national associations; for them internationalization can be an objective, while for international associations it is an essential part.

## 1. Montevideo Group University Association

The AUGM is an international academic network of public universities founded in 1991 by eight rectors of universities from four countries. Today thirty-nine universities from six South American countries are part of the network. According to its bylaws, the AUGM's main goals are to "foster the integration process through the creation of an expanded common academic space, based upon scientific, technological, educational and cultural cooperation among all members" (Asociación de Universidades Grupo Montevideo, 2018a, §1).

For the AUGM, cooperation and integration are institutional principles built within the framework of the context in which it was founded, and that Brovetto (2016) invokes as the *emergence* of a task that he qualifies as *urgent*:

[...] to develop a new way of international academic cooperation of a collective nature, driven by the aim of prioritizing and giving full validity to the values of equity, quality, and relevance, and making them, collectively, the exclusive guiding principle of higher education activity at the regional level. (p. 35)

This new way would require a cooperation model that, "based on the similarities of realities and political issues, as well as the convergence of interests and objectives, would create the conditions of complemen-

tation necessary to transform academic cooperation itself into a real process of regional integration” (Brovetto, 2016, p. 35).

In an evaluation of the Disciplinary Nuclei (DN) and Academic Committee (AC) programs (Asociación de Universidades Grupo Montevideo, n/da), their coordinators<sup>1</sup> were asked about the purpose of the AUGM in the region. The evaluation report<sup>2</sup> expresses two different consolidated views, which the authors of the document consider complementary:

[...] one broad, with international projection and insertion, which establishes that [the Association] represents a space for articulation and a channel of communication with society and governments, contributes to the integration of countries through higher education, and promotes articulation between the academy and government agencies... [and] another, more applied to aspects of academic cooperation, in which the AUGM is viewed as a space for integration, exchange and discussion on research, teaching (undergraduate and graduate) and collaboration between universities. A network for recognition and exchange of knowledge, professionals and work methodologies, to increase the knowledge of teachers, students and researchers in the region, which promotes the improvement of undergraduate and graduate training in universities. (Asociación de Universidades Grupo Montevideo, n/da, p. 13)

With the formal and academic processes that occurred around the creation and trajectory of AUGM as background, along with perceptions like those transcribed in the previous paragraph, the foundations of a management model consistent with the association’s role are laid out.

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- 1 Each committee or nucleus has one coordinating university and one coordinator. Their goals are explained later in this chapter.
  - 2 Although the report has no date, it was included as an official document in the session of the 69<sup>th</sup> AUGM Rectors’ Meeting in May of 2016.

## 2. Membership in the Montevideo Group University Association

Given the network's characteristics and objectives, membership management forms an important part of the Association's management model because who becomes a member is not a small matter. In this sense, Sebastián (2000) considers the point and specifies characteristics and qualities that are opportune in the selection of members. Selection based upon the complementarity between members and a balance that avoids excessive asymmetries are key (p. 104).

The international (and indeed multilateral) nature of the AUGM leads the organization to consider not only the universities that are part of its membership but also the country to which they belong. Variables such as the size of the public university systems of each country<sup>3</sup> where members are located, the strengths and weaknesses of the systems of higher education, the technology and science systems, and cultures, among other aspects, affect the entry of new members.

The admission of universities to the AUGM is subject to the terms provided by its bylaws, which in its sixth article refer to the evaluation and possible incorporation of new members, for which

[...] the fulfilment of the following specifications will be required as an indispensable condition: being public, autonomous, and self-governed universities that have similar levels of academic structure, faculty training, research trajectory and vocation for public service. (Asociación de Universidades Grupo Montevideo, 2018a, §6)

On the other hand, the regulations that provide guidelines for deciding the entry of new universities into the AUGM state that the Association "adopts a policy of permanent and gradual growth, which will be implemented through invitations..." (Asociación de Universidades Grupo Montevideo, 2010, §1). The invitation for university entry considers

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3 While two thirds of university members are from Brazil and Argentina (a third each), the other four countries represented in the AUGM collectively have the same number of members as each of the major two countries.

the previous valorization of the members' capacities to support, through their work, the objectives of the Montevideo Group.

### 3. Financing

In addition to the annual dues that go into the Association Fund<sup>4</sup> and serve to pay for institutional operating expenses, the financing of programs and activities is of particular interest in the Association's management model.

In line with the associative principles in force since the founding of the Association, the financing involves the co-participation of member universities as an expression of regional solidarity for cooperation. An example from the framework for mobility programs is the systematization of financing: the home university sponsors the travelling expenses of those who move, whereas the destination university ensures their room and board. This way, there is co-participation in the financing of mobility, and the creation of institutional commitments from the member universities, within a framework of solidarity through cooperation. This example is repeated, with their own specificities, in other situations of solidary and co-participative, or joint financing.

### 4. Evaluation, planning, and management improvement

At present, mechanisms for providing information are developed with incredible speed, which are of extraordinary value for evaluation purposes. A culture of planning culture is also in place. As a result, we have some challenges for our institutions, such as taking advantage of the information that arises from evaluation and using it for more adequate planning and generating improvement plans.

While formulated for higher education institutions (HEIs), the findings of Gacel-Ávila and Rodríguez-Rodríguez (2018) can be extrapo-

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4 The Fund is provided for in the AUGM bylaws.



lated to the case study presented here because the authors contend that for an internationalization policy to be viable inside an institution, it

[...] requires a realistic and detailed operational plan that includes precise objectives and goals to be achieved in order to accurately identify the human and financial resources required for compliance, as well as being in a position to monitor the progress or difficulties encountered. (p. 51)

The AUGM, as an agent and instrument of internationalization and regional integration, of cooperation and inter-institutional solidarity, generating trust among its members, and with determination to interact with society and contribute to regional development, requires follow-up mechanisms to assess the adjustment of its actions with respect to these distinctive characteristics, i.e., it requires self-evaluation.

Presently, evaluation instruments are applied to some AUGM programs. In this regard, Sosa, Almuñías and Passarini (2018) point out:

The concern to maintain the level of participation and commitment of its member universities in the different programs must be a constant. As a result, program evaluation processes are developed in some cases on an annual basis (academic mobility), or periodically (every two years) in the case of scientific-academic cooperation. This way, strategies for the continuous improvement of the programs are established and definitions are taken for their development and future impact. (n/p)

However, in the opinion of the authors of this chapter, the challenge is to make a qualitative leap in evaluation and planning, systematizing it and making it strategic. The evaluation must be ongoing and routine, systematic, holistic (not only by sectors, but also, and fundamentally, of everything interrelated), and with a high degree of objectivity, for which qualitative and quantitative indicators must be created, while using technology resources that allow for the obtention and processing of useful data for evaluation purposes. All this is necessary to chronicle the fulfillment of the institutional goals, but also to properly *feed* the strategic planning and the resulting improvement plans.

Evaluation and planning are interrelated and necessary in management improvement plans, which for the model presented here include rethinking management and the model itself, making it more strategic.

## 5. Institutional communication

Some challenges of the Association have been pointed out in the previous section. Institutional communication is one of them. The AUGM is an institution that conceives of its work within an associative model with an emphasis on cooperation, where horizontal relationships prevail among its members. The network's different workspaces carry out their activities on the basis of the construction of agreements, a mechanism that allows members to take advantage of the resources available in the region and respond to the multiplicity and specificity of their realities.

In this context of operation, the AUGM needs to pay particular attention to communication as an indispensable tool for its members to keep informed, integrated and motivated, and contribute to the achievement of the objectives of the network (Fernández Collado, 2002, cited in García Hernández and Maríz, 2006). This implies understanding communication as a *strategic factor* that is not only conceived as the use of media, but as a process that aims at the active participation of people working in the network. In turn, this requires that, as a cross-sectional and permanent goal, "the university community knows what the institution does and what its projects and results are", in order to "achieve a climate of involvement and integration among members and increase motivation and participation" (Sánchez Valle, 2005, p. 167).

From this perspective, the management of communication in the AUGM requires (because of its regional and heterogeneous nature) the synergistic approach that Torcuato explains (1986, cited by Trelles Rodríguez, 2001), in which the integration of the systems forms a new objective and generates affinity between the parties and the whole. This, in addition to influencing its members' sense of belonging, contributes to the strengthening of the identity and values of the organization's culture.

This systemic conception of communication, which requires understanding it as a *management tool* in which information flows, message design, and the pertinence of communication channels are relevant, responds to one of the Association's main objectives: to contribute to the strengthening and consolidation of a critical mass of high-level human resources by utilizing the comparative advantages offered by the resources available in the region. These resources are, among others, the structures and management operation of the universities that comprise the AUGM, and the interaction of its members with society as a whole through the dissemination of advances in knowledge that contribute to modernization.

It is also necessary to point out that working with organizational communication from this perspective requires the attentive and critical incorporation of information and communication technologies (ICTs), especially when working in a highly connected region at the global level, due to the opportunities afforded by these tools. ICTs' capacity for interconnection, interactivity and instantaneity influences internal communication processes, to the point of enabling new ways of thinking and acting in the Association, which in turn lead to new forms of organization.

## 6. Programs

The implementation and development of the AUGM's programs seek to attain the its principal objectives, and as noted by Sosa, Almuiñas and Passarini (2018) in relation to the Montevideo Group:

Through its programs[,] it carries out student and faculty mobility, develops scientific cooperation and promotes the political and academic debate of regional issues. The commitment of its member universities, the diversity of programs it develops, and the constant concern for the needs of the society in which it is inserted, are some of the factors that have consolidated the AUGM's current position at the regional and global levels. (§1)

The management of the programs is therefore substantial for the fulfillment of the AUGM's purpose and objectives, within the framework of its policy guidelines of solidary cooperation, internationalization, regional integration, and relationship with the regional society. Aspects of the management itself are explored below, but the analysis focuses mainly on the management model's relationship with the coordination, development and implementation of the programs.

Within the framework of the AUGM's purpose, and the aim of implementing its institutional mission, Maglia Canzani and Sotelo (2019) write:

[...] different academic programs were created: mobility and exchange programs between our university communities, technical-academic groups designed to address issues of a strategic nature for the region, young researchers conferences that promote early collaborations among them, and meeting spaces where there is an effort to deepen the relationship between the AUGM academic community and the context in which they are located. (p. 21)

In addition, González (2016) points out:

Since its foundation, the AUGM has worked tirelessly to ensure that its principles are embodied in actions and that they are carried out in a framework of educational quality, so that each of the programs implemented contributes effectively to the development of higher education in the region and, above all, to the generation and dissemination of knowledge, responding to the needs of our societies. (p. 267)

### *Academic Committees and Disciplinary Nuclei*

An exploration of the management model of the AC and DN programs should regard these initiatives as “particular and distinctive of the AUGM, resulting from the first actions generated by the founding rectors in compliance with the Association's purposes and ideological foundations, and developing into academic-scientific collaboration for regional integration” (Maglia Canzani and Sotelo, 2019, p. 23).

Their strategic nature calls for painstaking management, which is institutional but fundamentally academic in nature. For this reason, coordi-

nation is a main aspect of this area of management and is key to the cohesion of academics' networking and consequently, to the results obtained.

The rules regulating the operation of the ACs and DNs (Asociación de Universidades Grupo Montevideo, 2012) indicate that the coordinator "shall be in charge of the articulation and general organization of the activities of the DNs and ACs, as well as their planning, monitoring, and evaluation" (p. 5).

The aforementioned evaluation made by the coordinators of the DNs and ACs states:

The DN/AC programs are perceived as part of the AUGM's **identity**. These programs are differentiated from other international networks because they promote the discussion of problems that are relevant to the region's development among academics. In addition, the evaluation identifies a **strategic role** in the programs because they represent an **opportunity** for integration between specialists and researchers as they establish a valuable space for cooperation between universities. The DN/AC programs are also viewed as a tool for strengthening and articulating other AUGM programs. (Asociación de Universidades Grupo Montevideo, n/da, p. 8)<sup>5</sup>

With respect to the strengthening and articulating roles of the ACs and DNs in relation to other AUGM programs, Maglia Canzani and Sotelo (2019) point to their strategic value:

Even considering their adjustments to the different moments of the [A]ssociation's life, these academic structures [the ACs and DNs] have not lost their strategic value; on the contrary, they remain as the backbone, determinants or facilitators of the structuring of the AUGM's other programs. (pp. 26-27)

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5 Bold in the original.

## *Mobility programs*

Given the AUGM's purpose, mobility acquires a significant value in academic integration. Maglia Canzani and Sotelo (2018) point out that "... some mobility programs have become powerful tools for consolidating and deepening integration processes at the regional level" (p. 241).

The mobility programs are geared towards undergraduate and graduate students, professors and researchers, and managers and administrators. Each of these programs has its own characteristics and specific regulations, and they are subject to annual calls for participation. Every year, an *agreement on venues* is required for each mobility program (in some programs it is appropriate to talk about *exchange venues*); the agreement is reached in a framework of collective management among member universities. This is a matter of great sensitivity, because it sounds out the willingness for cooperation within the framework of the AUGM.

For managing the ESCALAs, the Association's mobility programs, there are instruments that allow frameworks for action to be formulated at the academic and administrative levels, but more than instruments for simply managing programs, what is needed is the will to generate the regional framework for integration and cooperation.

The regulations of the ESCALA Faculty Mobility Program (Asociación de Universidades Grupo Montevideo, 2016a) indicate that it promotes

[...] the cooperation and regional integration of the AUGM's member universities, through the mobility and exchange of teachers and researchers, with the aim of transforming these mobilities into the beginning and/or deepening of a lasting academic relationship between the parties involved [...]. (§1)

The same regulations give an account of the program objectives:

- To contribute to the strengthening of the teaching, scientific, and technological capacities of the universities that are part of the Association;
- To contribute to the consolidation of critical masses of researchers in strategic areas of regional interest; particularly to the ACs and DNs;

- To promote inter-institutional cooperation between the AUGM universities, sharing the teaching and research teams of the participating institutions (§2).

Student mobility (undergraduate or graduate) requires, among other things, the revalidation of studies done at another university. In its regulations (Asociación de Universidades Grupo Montevideo, 2016b, §23), the undergraduate student mobility program highlights trust between institutions (also information transparency and flexibility) as an important component in the revalidation of studies. Trust is a value that flows in the AUGM, and that has an important impact on the association's management model.

In the case of the ESCALA Program for Undergraduate Students, the regulations state that it “[...] promotes the cooperation and integration of the participating universities, as well as the internationalization of higher education in the region, through the promotion of mobility for regular undergraduate students...” (Asociación de Universidades Grupo Montevideo, 2016b, §1).

It also points out as the program's objectives:

Promoting and strengthening the process of building a common regional academic space through student mobility, with the conviction that through interaction and coexistence among students and teachers from different universities and countries, not only will academic and cultural exchange be promoted, but also better knowledge of the diversity and particularities of the different higher education systems [...] promoting regional integration at the higher education level [...] contributing to the internationalization of higher education in the region, through the construction of an expanded international mobility and exchange space [...] contributing to the development of an international experience to enrich student formation, as well as institutional strengthening, through the establishment of strategic alliances and the development of exchange activities between universities from the AUGM [...] and] helping to deepen the relationships among the teachers participating in the academic coordination of the program, which is the basis for undertaking new cooperation initiatives for the better development

of higher education in the region. (Asociación de Universidades Grupo Montevideo, 2016b, §2)

Furthermore, the regulations of the ESCALA Program for Graduate Students (Asociación de Universidades Grupo Montevideo, 2013a) indicate that it

[f]osters the cooperation and integration of the universities that constitute [the Association], as well as the internationalization of higher education in the region, through the promotion of the mobility of regular master's degree and doctoral students to pursue one academic semester at another member university of the Association in a different country, with full revalidation of the academic work undertaken. (p. 4)

The regulations also point out that although the program includes graduate studies in all disciplines and areas, the program “will give priority to the participation of those related to the AUGM’s disciplinary nuclei and academic committees [...]” (Asociación de Universidades Grupo Montevideo, 2013a, p. 3), and will promote synergy among the Association’s programs.

Finally, the regulations of the ESCALA Program for Managers and Administrators (Asociación de Universidades Grupo Montevideo, 2014) state that it

[...] promotes the cooperation and integration of the universities that make up the Association in the region, through the mobility and exchange of directors, managers and administrative personnel [...] between the member universities, for the purpose of doing a formation stay to learn specific tasks of their expertise through the exchange of knowledge and experiences related to university management and administration. (§1)

The following are specific objectives of the program:

Contributing to the strengthening of the management [and] administration of the AUGM’s member universities and their substantive functions [...] the training and professionalization of management and administrative staff [...] and] promoting inter-institutional cooperation among AUGM universities,



sharing the institutions' support and management teams. (Asociación de Universidades Grupo Montevideo, 2014, §2)

In sum, the mobility programs assume a management model that, in line with the AUGM's guidelines and objectives, promotes academic cooperation and regional integration, and builds on the trust generated among AUGM universities as a significant value.

### *Young Researchers Conferences*

The Young Researchers Conferences are aimed at “promoting early relationships between scientists in the region and fostering work collaboration among them within the framework of the foundations of the Association” (Asociación de Universidades Grupo Montevideo, n/db). During the conferences, interpersonal and scientific-academic networks are developed, which lay the groundwork for the constitution of regional scientific research groups (Asociación de Universidades Grupo Montevideo, 2013b).

### *Summer and Winter Programs*

The Summer and Winter Programs (Escuelas de Verano e Invierno, EVIs) (Asociación de Universidades Grupo Montevideo, 2018b) have proven to be an important instrument in the context of the AUGM's initiatives, and contribute “...to the construction of the expanded common academic space, offering cooperative input for the consolidation and deepening of the processes of regional integration and internationalization of our universities” (§2). In this sense, it is a program that maintains primarily, “... in both academic and operational aspects, ties to the disciplinary nuclei, academic committees and standing commissions [...]” (§3).

### *Network of AUGM Cities and Universities*

In order to articulate the two spheres included in its name, the Network of AUGM Cities and Universities program should be conceptualized as

[...] an area of articulation, proposal, planning and implementation of joint activities with local governments, recognizing them as the authority in charge of defining and implementing public policies at the local level, while acknowledging public universities' role as advisers offering knowledge and social commitment. This way, knowledge is strongly linked to the most everyday aspects of citizens and societies. (Asociación de Universidades Grupo Montevideo, n/db, §13)

It is noteworthy that this program is managed in conjunction with an external body –the Mercocities Network– with which a cooperation agreement has been in place since 2004.

### *International Seminar on University, Society, and State*

Within the framework of the AUGM's purpose –the construction of an expanded common academic space– the International Seminar on University, Society and State aims to “...connect academics, government officials, and different actors of society through the exchange of ideas” (Asociación de Universidades Grupo Montevideo, n/db, §12). For this purpose, the program “...addresses a topic considered of strategic interest for the citizens of the countries that make up the region...” (Asociación de Universidades Grupo Montevideo, 2013c, §1).

## **7. Relations with external actors**

An institutional imperative of the AUGM is to engage with external actors to advance the *expanded space* mentioned previously. Partnerships or alliances with outside parties must necessarily pursue a complementary or strategic role for the achievement of institutional objectives. This type of relationship encompasses both the international dimension –as part, inter alia, of internationalization– and initiatives taken with exter-

nal actors that include cooperation in other areas of university functions or of the AUGM's mission.<sup>6</sup>

With respect to this relevant matter, the Council of Rectors, in its capacity as the Association's authoritative body, adopted guidelines for signing agreements (Asociación de Universidades Grupo Montevideo, s/dc) that illustrate this institutional orientation. One of the most significant guidelines expresses that

the AUGM shall develop a policy of cooperation and strengthening of collaborative relationships through the signing of cooperation framework agreements (convenios marco de cooperación, CMC), aimed at carrying out joint actions in the areas of education, training, research, extension and any other activity of interest to the parties, provided that they are related to the AUGM's foundational objectives and contribute to the development of its programs in any of their forms. The counterpart may not uphold principles contrary to those of the AUGM. (Asociación de Universidades Grupo Montevideo, s/dc, §2)

## Conclusion

To conclude, we emphasize that the management model adopted by the AUGM through its programs and activities of any kind is aimed at complying with its foundational principles: inter-institutional and international solidary cooperation, regional integration and internationalization, overcoming asymmetries, collective management with the participation of member universities, building trust between institutions, engagement with society, and contribution to regional development.

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6 Reference has been previously made to the AUGM's association with the Mercocities Network, for instance. Such associations contribute to the AUGM's purpose.

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# MANAGEMENT MODEL FOR INTERNATIONAL HIGHER EDUCATION ASSOCIATIONS. THE COLOMBIAN UNIVERSITY ASSOCIATION

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## Introduction

**T**his chapter presents a brief description of the management model of the Colombian University Association (Asociación Colombiana de Universidades, ASCUN, or Association) as an example of an international higher education association.

ASCUN's management model currently consists of four components: 1) groups of interest, 2) facilitators, 3) results, 4) continuous improvement. Additionally, this chapter includes the main initiatives developed by the Association for the benefit of the higher education system, as well as the challenges that must be constantly faced.

Similarly, an emphasis is placed on the international sphere, as well as the process of carrying out internationalization in ASCUN, given the context that motivates this guide.

## 1. International higher education associations

International higher education associations open spaces for academic collaboration and inter-institutional cooperation, link their member institutions with international peers, offer opportunities for reaching



out, and serve as facilitators and articulators of international university relations. These dynamics achieve better effects when they go beyond the individual efforts of higher education institutions (HEIs). The institutionalism and legitimacy of the associations provide HEIs with recognition and a united front to represent higher education before the State and other interest groups. It also fosters greater confidence in the higher education system that serves as a basis for strengthening inter-institutional and intersectoral relations.

The associations foster and strengthen internationalization as a transversal axis that should permeate all institutional areas and functions and encourage international cooperation, thereby offering environments to share experiences and knowledge as a response to the challenges of globalization, the fourth industrial revolution, the 2030 Agenda and the Sustainable Development Goals (SDGs), as well as the changing and progressive global academic dynamics.

Some examples of such associations in Latin America are the Union of Universities of Latin America and the Caribbean (Unión de Universidades de América Latina y el Caribe, UDUAL), the Coimbra Group of Brazilian Universities (Grupo Coimbra de Universidades Brasileiras, GCUB), the Montevideo Group University Association (Asociación de Universidades Grupo Montevideo, AUGM), the National Interuniversity Council (Consejo Interuniversitario Nacional, CIN) of Argentina, the Association of Universities of Latin America and the Caribbean for Integration (Asociación de Universidades de América Latina y el Caribe para la Integración, AUALCPI), or the National Association of Universities and Higher Education Institutions (Asociación Nacional de Universidades e Instituciones de Educación Superior, ANUIES) of Mexico, which refers to:

The collaboration between national and foreign institutions being both a challenge and a potential to develop in the present. It is a challenge since it is an activity that is little recognized as an instrument for strengthening Mexican higher education. It is a potential because it allows one to take advantage of the benefits and opportunities offered by Mexican higher education and the country to achieve a better position compared to other educational systems. (Asociación Nacional de Universidades e Instituciones de Educación Superior, 2000)

There are also numerous regional and global examples of these kinds of associations, such as the Inter-American University Organization (Organización Universitaria Interamericana, OUI) and the International Association of Universities (IAU), among many others.

In addition to working with HEIs, these associations facilitate the generation of inter-institutional ties with other peer associations in the world, whose action plans have strategies for promoting the internationalization of higher education; this kind of associative work can serve to articulate and complement strengths, find good practices and define new collaborations.

As a paradigmatic case, ASCUN shares work, challenges and interests with other associations.

## 2. The Colombian University Association

ACSUN was created in 1957:

In the face of the political crisis in the country, the military intervention that the public university was facing in that year, the anxiety and social, economic and educational instability in which the nation was plunged, prominent university leaders thought about the possibility of partnering to contribute to the restoration of the democratic order and the defense of university autonomy. (Asociación Colombiana de Universidades, 2017a)

It was founded by twenty-two rectors of public and private universities in Colombia as an “[...] autonomous non-profit institution of permanent, indefinite duration with the legal nature of an association of legal persons and of common utility” (Asociación Colombiana de Universidades, 2017a), as well as with a national presence.

Currently, it brings together 89% of the country’s universities (eighty-seven universities) and eleven university institutions, both public and private, and is the only association of universities in Colombia. Associated HEIs are present in more than 400 municipalities through their sectional campuses and tutorial centers or agreements.

### 3. The Association's management model

#### *Interest groups*

The first component of the management model refers to the so-called interest groups and aims to meet the expectations of the Association's stakeholders. ASCUN works in this component through two management strategies: empathy maps and service experience maps. The former serve to gather information on how clients perceive ASCUN. The latter, through the sensitive points of contact with the client, help to determine the potential expectations, obstacles and expected results of the participation in each service so that major strengths and weaknesses can be identified, in order to improve what the Association has to offer.

Defining the expectations of the interested parties, such as the associated HEIs, the Government, the Legislature or the private sector, among others, involves analyzing the expectations in comparison to the services offered, and this serves the Association as input for the work developed by another component of the management model, the facilitators.

#### *Facilitators*

This component focuses on *making* the Association, in coherence with the stakeholders. It is divided into three subcomponents: strategy formulation; people, alliances and resources; and processes, services and products.

#### *Strategy formulation*

The ASCUN mission is stated as:

[...] promoting the principles of academic quality, university autonomy, the pursuit and dissemination of knowledge, and social responsibility. It integrates the academic community at the national and international levels through mechanisms of interrelation and associativity and generates processes of interlocution with the State and society. (Asociación Colombiana de Universidades, 2017b)

Its vision is:

In the year 2025, ASCUN will be recognized for promoting the active presence of Colombian universities according to the needs of the country and its regions within the framework of coexistence, diversity and sustainable peace, [and] for contributing to the strengthening of higher education through joint work with the associated HEIs and the construction of sector policies. (Asociación Colombiana de Universidades, 2017b)

Additionally, the Association has a strategic plan and annual action plans in which the main strategies are determined.

For the preparation of the current *2016-2020 Strategic Plan*, the National Council of Rectors and the Board of Directors of the Association determined that the proposals of the plan from the previous period and the analysis of the results obtained should provide the basis for defining the actions and programs to follow in this period. The Plan was structured around the following axes and programs:

- First axis. Interlocution and impact on public policy. Its purpose is “to favor the presence of ASCUN as an agent that brings together the representation of Colombian universities in the public and social spheres, to make university thinking decisive in the establishment of public policies that transcend higher education through the programs” (Asociación Colombiana de Universidades, 2016a). The programs included in this axis are interlocution with state entities, international and intergovernmental entities, private and civil society entities, and institutional representations.
- Second axis. Associativity and improvement of higher education. It aims “to strengthen the Association as a space for convergence and a catalytic environment of joint activities in the field of improving institutional policies and new forms of collaborative management within a process for the transformation of the university” (Asociación Colombiana de Universidades, 2016a). The programs of this axis are regionalization, training challenges for directors, university networks and internationalization.
- Third axis. Organizational development. It seeks “to achieve greater efficiency and productivity in the administrative, financial and

service areas” (Asociación Colombiana de Universidades, 2016a). In this axis, emphasis was placed on the strengthening of communication, the quality management system, the construction of the information system and financial sustainability.

As defined by the Association in the current strategic plan, as a management strategy, “each axis and program must clearly respond to how it contributes to ASCUN’s mission and vision” (Asociación Colombiana de Universidades, 2016a). These will be articulated by creating synergies, and “strategic programs will be designed and implemented within the framework of a matrix organization” (Asociación Colombiana de Universidades, 2016a). Likewise, there will be a “follow-up committee that serves as an evaluative body and provides permanent information to all the management bodies of the Association, starting with the Board of Directors and the Executive Directorate” (Asociación Colombiana de Universidades, 2016a).

It is the responsibility of the ASCUN Board of Directors to dedicate a session at the end of the year to evaluate the relevance, impact and effect of the axes and programs of the strategic plan in order to define the policies that should be developed in their execution and the fulfillment of the goals during the five years of operation (2016-2020) during which the plan will be implemented. (Asociación Colombiana de Universidades, 2016b)

In line with the strategic plan, the Association defines its annual action plans. In the action plan defined for 2019, the Association works around three groups of actions: 1) strategic internationalization (for example, agenda with seven prioritized countries, 2030 Agenda and SDGs, among others); 2) national and regional integration (for example, fourth industrial revolution, RETOS program: Formation and Permanent Updating of University Management –Formación y Actualización Permanente de la Gestión Universitaria–, nine university networks, national consortium, projects whereby universities contribute to state action); and 3) participation in public policy (national development plan and sector education plan, legislative agenda observatory, forty representations of Colombian universities).

### *People, alliances and resources*

The Association has defined as its highest management and government body the National Council of Rectors, which meets twice every year and to which all full member rectors belong; this Council approves the mission, vision and strategic plan. The Association also has a Board of Directors, whose members approve and guide the annual action plans, and which is made up of eight full member rectors: a president and vice president (public and private), three rectors of private universities, three rectors of public universities and their respective alternates, who meet ordinarily once a month.

To carry out the strategies, there is an executive director, a general secretary and four coordination areas: Academic, Communications and Inter-Institutional Relations, International Relations, and Administrative and Financial, with their respective support staff.

In addition to the work of the organization, actions are carried out through specific agreements and projects with other peer associations and with partner HEIs, which provide staff and resources.

In terms of resources, the main income supporting the Association comes from annual membership dues paid by its full-member HEIs without distinction (the institutional payment includes its different campuses and sections). Additionally, ASCUN leads or participates in projects that generate some economic benefits, which are used in return for actions that benefit HEIs.

### *Processes, services and products*

The process map under which the Association is managed is defined by strategic, mission and support processes, with strategic direction, communications and continuous improvement among the strategic ones.

Within the mission processes, there is participation in public policy, projects whereby universities contribute to state action, representation of Colombian universities, international alliances, university networks, articulation with HEIs for specific purposes, and training and updating of university management and direction.

Finally, the support processes comprise administrative, financial and human talent processes, which provide the associated HEIs with added value.

#### 4. The management of internationalization as a mission process

The internationalization process is based on annual planning and a group of services, and includes monitoring and measurement strategies. As mentioned above, an International Relations Coordination is defined in the ASCUN structure which demonstrates the Associations' leadership and commitment in this area.

##### *Planning*

Both in the mission and in the 2016-2020 Strategic Plan and the 2019 Action Plan, internationalization is considered one of the Association's main focuses. This is understood as an integral and transversal process, capable of generating positive changes that promote academic quality and the development of institutional capacities that will deepen the improvement of higher education and the development of Colombia, the Latin American region and the world.

According to the 2016-2020 Strategic Plan, the internationalization program is assigned to the axis of associativity, and aims to "promote the internationalization of the associated HEIs, promote the qualification of university internationalization managers and influence public and institutional policies, as well as facilitate and project the international dimension of the university" (Asociación Colombiana de Universidades, 2016a). All of these objectives are to be pursued through the following activities:

Accentuating the presence of the international dimension in the academic management of the university, promoting the mobility of students and teachers, establishing networks of international offices, promoting the internationalization of curriculum design, seeking the recognition of degrees and certifications, promoting joint programs between national and international

institutions at the regional and continental levels, favoring dual degrees, promoting research projects, working in favor of international accreditation and promoting strategic partnerships for joint projects of different kinds. (Asociación Colombiana de Universidades, 2016a)

Encouraging the joint presence of Colombian universities in international contexts through: a) interlocution and representation in international and intergovernmental organizations; b) construction of common spaces of knowledge; c) interlocution and permanent work with associations of universities and councils of rectors from Latin America and other regions of the world; and d) participation in international events. (Asociación Colombiana de Universidades, 2016a)

In 2018, the Association defined its objective of moving towards a strategic internationalization in which actions are defined in accordance with global, national and institutional priorities, with a clear guide to be used in dialogues with other countries, as well as with the State, the private sector, representatives of civil society and, of course, HEIs. Moreover, the intention is that this mechanism will allow the institutions themselves to anticipate the challenges ahead and improve their offer with quality.

To advance in strategic internationalization, ASCUN defined an instrument that would allow it to recognize the current effective cooperation relationships of its associated institutions, the types of cooperation that are being carried out, as well as the countries and regions with which they want to strengthen current relationships or generate a first approach. From there, a roadmap was defined that will determine clear and concrete work actions between 2019 and 2021 with seven prioritized countries in North America, Asia and Europe, with which the Association hopes to make progress in scientific cooperation.

As a measurement tool, a survey was conducted in April 2018 with the participation and response of 70% of the international relations offices of the associated HEIs. The results showed that the highest percentage of countries with which Colombian HEIs have cooperative relations are from Latin America, plus Spain and the United States (on average,



HEIs have international cooperation relations with twenty-three countries), and that the most frequent mobility is outgoing.

Similarly, seven countries were identified with which the associated HEIs wish to strengthen their cooperative relations or initiate new relations: Germany, France, the United Kingdom, Japan, Australia, Canada and the United States.

### *Services*

The services currently offered with the internationalization process are the organization and support of national and international events; HEI mobility, support or collaboration programs revolving around international projects; training and capacity-building spaces for HEIs and their internationalization leaders; and links with HEIs from other countries through agreements with peer international associations. The Association also runs the Colombian Network for Internationalization in Higher Education (Red Colombiana de Internacionalización), and continually communicates updated information on calls for proposals, scholarships and other topics of interest for improving the internationalization of higher education.

In addition to the work that will be carried out in ASCUN with the seven countries identified, significant cooperation with all of Latin America continues to be a high priority for the Association. This has been promoted through participation in international projects that direct their efforts toward the work articulated in the region and through the creation and implementation of Latin American academic mobility programs coordinated and led by ASCUN and other peer associations. The Brazil-Colombia Student Exchange Program (Programa de Intercambio Estudiantil Brasil-Colombia, BRACOL) and the Latin American Exchange Program (Programa de Intercambio Latinoamericano, PILA) (which merged the bilateral agreements of The Colombia-Argentina Academic Mobility Program—MACA—and the Colombia-Mexico Academic Mobility Program—MACMEX—as of 2018) are some examples.

PILA promotes the exchange of HEI undergraduate and graduate students, teachers, managers and researchers between Colombia, Argentina

and Mexico. It does so under the principle of reciprocity, with credit recognition and with the associative spirit that is inclined to connect Latin American HEIs of all types with a diversity of strengths, under an *umbrella* agreement in order to generate a greater number of international cooperation interactions through academic cooperation agreements with the peer associations of these three countries.

Under PILA, students go on one-semester academic exchanges, while academics, managers and researchers make short stays to learn about good practices in areas of interest within each institution. Host institutions provide housing and food scholarships with full coverage. This is a model that allows student mobility for those with varied economic resources. It has increased mobility indicators, especially for regional HEIs, which have found these programs to be the means to mature their internationalization processes without the need to sign bilateral agreements that can be delayed and have less efficient results.

In the same way, the Association offers cooperation agreements with other Latin American, European and North American countries based on the recognition of credits and with exemptions from enrollment in the HEI of origin. This also helps the associated institutions grow in their diversification of internationalization and find new mechanisms and facilities for international cooperation.

Another service offered by ASCUN is leadership and support in national and international calls for joint projects. Since 2018, for example, ASCUN has been coordinating the Modernization of Institutional Management of Innovation and Research in the Andean Region and Latin America (Modernización de la Gestión Institucional para la Innovación y la Investigación en la Región Andina y América Latina, MIMIR ANDINO) project, co-financed by the European Union under the Erasmus+ Capacity Building in the field of Higher Education (CBHE) program.

This project aims to generate a research and innovation (R&D) management model that will facilitate and improve the context of management in this field, structurally affect the respective public policies in Colombia, Chile and Peru, and serve as a reference for other Latin American countries.

Furthermore, ASCUN participates as a partner in the CAMINOS project, *enhancing and promoting Latin American mobility*, as well as the Regional Network for Promoting the Internationalization of Higher Education in Latin America (Red Regional para el fomento de la Internacionalización de la Educación Superior en América Latina, RIESAL). Similarly, it has promoted and facilitated the participation of associated HEIs in other international projects.

Furthermore, some of the most outstanding events led by the Association are the Regional Conference on Higher Education (CRES 2008), held in the city of Cartagena, Colombia, and the upcoming Second General Conference of the Latin American and Caribbean Space for Higher Education Institutions (Espacio Latinoamericano y Caribeño de Educación Superior, ENLACES), which will take place in 2020, again in Cartagena. Likewise, ASCUN has led the organization of three Colombian-French summits that have had an impact on the increase of dual degrees between the two countries.

Another example of the Association's active participation in events related to internationalization is its support for the sixth version of the Conference of the Americas on International Education (CAIE), which takes place in Colombia in 2019. CAIE is the

quintessential continental forum that brings together the main actors and decision-makers linked to the internationalization of higher education in the Americas to strengthen contacts, exchange experiences and chart the future of academic cooperation in the region. (Congreso de las Américas sobre Educación Internacional, 2019)

On this occasion, the topics that will be addressed at the CAIE are hubs, poles of knowledge and innovation as synergies for development.

As for the generation or consolidation of organizations for international cooperation, ASCUN was a promoter and continues to participate actively in the Ibero-American University Council (Consejo Universitario Iberoamericano, CUIB).

Another significant development is the signing of the peace agreement in the country, which has sparked countries' interest in reaching out to Colombia, a fact that has triggered greater relations of cooperation

and, therefore, a more active dynamic of internationalization in which the HEI associations have a fundamental guiding and collaborative role in the internationalization process.

In the international visits that the Association organizes or receives permanently, it has been shown that ASCUN is a mandatory reference for dialogue for those who wish to reach out to national HEIs.

Furthermore, the Association's commitment to communicating relevant, updated information includes the weekly newsletter for the internationalization of Colombian higher education, entitled *Boletín de información de interés para Oris de IES Ascún (Newsletter for IROs at ASCUN HEIs)*, which shares information about scholarships, calls for proposals, training, events, internationalization opportunities that take place in the country and abroad, academic information, and documents of interest. On occasion, other relevant information is also included. This newsletter is shared with all associated HEIs.

One of the most visible services of ASCUN is the Colombian Network for Internationalization in Higher Education (Red Colombiana para la Internacionalización de la Educación Superior, RCI). This network is an "inter-institutional alliance to promote higher education internationalization processes, fostering cooperation among Colombian institutions and with the rest of the world" (Red Colombiana para la Internacionalización de la Educación Superior, 2018).

The RCI has operated for twenty-five years, helping to strengthen the internationalization of Colombian higher education with different mechanisms. One of them is the Latin American and Caribbean Higher Education Conference on Internationalization (LACHEC), which, in its nine editions, has offered spaces for HEI interlocution, training, articulation and inter-institutional cooperation with international actors.

Another mechanism of the network has been the promotion of Colombian HEIs' participation in international fairs, such as those of the Mexican Association for International Education (Asociación Mexicana para la Educación Internacional, AMPEI), the Brazilian Association for International Education (Associação Brasileira de Educação Internacional, FAUBAI) or the European Association for International Education (EAIE). Another of its most recent initiatives is the training of leaders

for internationalization and other areas of HEIs through its CAIES Learning Community, as well as the maintenance of other mechanisms for associative work under the different plans, programs and projects that are executed to boost internationalization.

## Results

The internationalization process includes indicators, goals and results to further monitor the services offered by the Association. Among the most important results are:

- The events led and supported by ASCUN are very well received. They are also recognized for their quality (measured by attendees, media presence, satisfaction surveys, impact on decision-makers).
- The PILA program is positioned as one of Latin America's leading models promoting multilateral initiatives, as it continues to advocate for the expansion of regional cooperation. PILA has become a model to replicate. It has fomented important South-South cooperation with a history of mobility of more than 2,000 students at the undergraduate level between 2013 and 2017 through its predecessor programs MACA and MACMEX.
- The RCI is recognized in national and international spheres as the quintessential space for associative work focused on internationalization in higher education.
- Work on the internationalization of ASCUN has influenced the formulation of public policies. The most recent has been the inclusion of this important topic in the 2018-2022 National Development Plan and in programs that will be developed between ASCUN and the Ministry of National Education, such as Colombia as an Academic and Scientific Destination.
- Participation in Erasmus+ projects has allowed other HEIs that are not members of the projects to know and benefit from their results.
- Finally, dissemination mechanisms have allowed people in charge of this topic at HEIs to have an ongoing induction and updating.

It is perhaps important to mention that higher education and academic communities continue to strengthen their skills and competencies to train citizens of the world. Teaching and learning mechanisms continue to be renewed, and new collaborations and inter-institutional ties are generated. There are additional favorable consequences, such as academic missions, dual degrees, and bilateral agreements, which HEIs develop after participating in the spaces generated by ASCUN services.

For the Association, internationalization has also resulted in the development of capacities of its human talent and a better accompaniment for both associated and non-associated HEIs in the country.

### *Continuous improvement*

The process-oriented management model and its quality-management system, which has served to standardize ASCUN processes, resulted in the Association receiving quality certification in 2016 under the ISO 9001 standard (initially in its 2008 version, and now in its 2015 version).

ASCUN's quality management is controlled under action plans and a system of indicators and is conceived as an innovative model that permanently analyzes the context to adjust to the dynamics generated by it in such a way that it allows for the ongoing detection of opportunities for change and improvement.

This management includes an auditing system aimed at correcting significant deviations but especially at enhancing strengths and taking advantage of opportunities that arise. It is a constructivist model centered on people as axes of organizational transformation.

Following up on the processes, having an improvement plan comprising internal and external quality audits, managing risk and change, knowing stakeholders, using management indicators, and managing knowledge, among other components of the quality-management system, allow the Association to maintain knowledge and follow-up so that the associated HEIs take advantage of the opportunities to which they are entitled. It also constantly creates improvement strategies so that the services offered meet the expectations of the interested parties.

## *Challenges*

ASCUN performs a context analysis through a SWOT (strengths-weaknesses-opportunities-threats) matrix, which identifies challenges and possible actions in response to internal and external developments. Among the main challenges identified are the use of information and communication technologies, the monitoring and improvement of internal and external communication, the characterization of users, the consensus regarding the diversity of HEIs and the heterogeneity of their members (in different areas of HEIs), the response to national and international defunding trends, greater control, and new challenges for higher education.

## **Conclusion**

Currently, and partly thanks to its management model, ASCUN has garnered international recognition and works actively and permanently with peer associations in other countries of the world, some of them described in this article, which allows it to work as an international association.

It is also recognized by national HEIs, as well as peer associations and non-governmental organizations. Similarly, national government entities related to higher education recognize the Association as a strategically that concert efforts, generates impacts and has the capacity to influence the improvement of the system. For these reasons, ASCUN has a permanent presence in all spaces that bring together sectors of interest within higher education.

ASCUN's particular characteristics, as well as its ongoing improvement and its international profile, have allowed it to generate a greater impact, given its leadership capacity, the institutional diversity that it includes, the identification of current trends and international contacts, among others, always under the premise of trust in the Association and its work. In addition, years of uninterrupted work stand behind its growth, credibility and consolidated, forward-looking insight into the field of higher education.

Being an organization dedicated to collaboration with public and private institutions also allows it to better understand the needs of the system and achieve a consensus around initiatives that will serve all parties' interests.

Within its wide range of internationalization services, the Association pursues continuous improvement and strives to contribute to the progress of the internationalization of its associated institutions and higher education in the country, region and world. It also continues to monitor new trends in order to take on challenges and forge initiatives that favor societies, thus serving humanity as a whole.

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The printing of *Key Guidelines for Managing Higher Education Internationalization Strategies in Latin America and the Caribbean* concluded in April 2020 in the facilities of Ediciones de la Noche Madero #687, Zona Centro Guadalajara, Jalisco, Mexico.

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[www.edicionesdelanoche.com](http://www.edicionesdelanoche.com)

The *Key Guidelines for Managing Higher Education Internationalization Strategies in Latin America and the Caribbean* offer a methodological complement to the contents of two recent monographs: *The International Dimension of Higher Education in Latin America and the Caribbean*, published in 2018, and *Best Practices on Internationalization of Higher Education in Latin America and the Caribbean*, edited in 2019.

This guide contains a series of experiences in the management of different aspects of internationalization from the project of the Regional Network for Promoting the Internationalization of Higher Education in Latin America (Red Regional para el Fomento de la Internacionalización de la Educación Superior en América Latina, RIESAL) partners. The result is a collection of models that seek to systemize the management of different internationalization strategies and programs that have been implemented in the Latin American/Caribbean (LAC) region.

The book encompasses twelve sections, each devoted to management models for programs such as international mobility, the internationalization of curriculum, dual degree, funding, governance, development-centered cooperation, strategic planning and models of internationalization offices, among others. All the authors are administrators and academics who have participated, or currently participate, directly, in managing internationalization at higher education institutions in LAC.

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