

Potential of the Human Capabilities Approach for Strategy Development in the Higher Education Curriculum

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1 Summary

The Human Capabilities Approach (HCA) has been explored and debated in recent years, particularly in relation to defining wellbeing goals beyond Gross Domestic Product (GDP). In terms of education, and in particular Higher Education (HE), this approach has gained increasing attention as a way of reassessing the way that a Higher Education Institution (HEI) works with, and for, its students.

In terms of curriculum, competing strategic initiatives to steer curriculum development in UK HEIs in recent years have included Internationalising the Curriculum, Education for Sustainable Development, Employability and Global Citizenship Education. The academic literature proposing, and using an HCA in educational settings is growing and may provide a way of integrating existing strategic initiatives to enable a more streamlined approach. This scoping review set out to try to elucidate the utility of an HCA framework in the context of strategic directions in Higher Education curricula.

2 Background, rationale and definitions

2.1 Curriculum in HE

In Higher Education in the UK, strategic initiatives to steer curriculum development in recent years have included Internationalising the Curriculum (IC), Education for Sustainable Development (ESD), Employability skills development, and Global Citizenship Education (GCE). Staff and students who create, or co-create curricula, are therefore faced with a number of, sometimes competing, directions. This project aimed to explore the potential for HE strategic development of curricula, in an approach related to studies in Human Development (HD) - the Human Capabilities Approach. In the following sections we define some key terms and set out the rationale for this project.

2.2 The Human Capabilities Approach

The Human Capabilities Approach also referred to as the Capabilities Approach (CA), is based on original work by economist Amartya Sen, and has been further developed by Martha Nussbaum and many other authors over the last 30 years. Sen proposed that in seeking to conceptualise human development goals, human agency is foregrounded, rather than markets or organisations (Sen,

2001). Capabilities are defined as the freedoms to achieve sets of functionings, where functionings are the beings and doings that a person values, and has reason to value. In Sen's own words capabilities are:

“the alternative combination of functionings that are feasible for [a person] to achieve’ well-being; they are ‘the substantive freedom’ a person has ‘to lead the kind of life he or she has reason to value” (Sen, 1999, p87)

The HCA inspired and underpins the Human Development Index (UNDP, 2015) as a measure of human wellbeing beyond that offered by resourcist or utilitarian approaches, often measured by Gross Domestic Product (GDP). Simplifying the HCA to a list of ‘core capabilities’ to be developed is one approach that some authors, such as Nussbaum (1997, 2011) in a general sense, and Walker (2005; Boni and Walker, 2013) in HE settings, have taken, although according to Alkire (2002) the HCA is necessarily and deliberately incomplete, as context, freedom and choice are all-important.

2.3 HCA and Higher Education

Education is in itself foundational to other capabilities and this has been widely recognised particularly in relation to social justice (e.g Terzi, 2007; Unterhalter, Ladwig and Jeffrey, 2013). According to the HCA, “the informational space for measuring equality should be an individual’s capability set, rather than levels of resources or levels of happiness.” (Vaughan & Walker, 2012 p.498). This then suggests that in HE, an HCA would seek to enable students to develop good reasoning skills so that they can make choices towards particular functionings.

In HE contexts, resources will include for example: access to a university; access to information, a computer and the internet; childcare; transport; accommodation; time. Capabilities formed in HE might include the capability to: take part in discussion; think critically about society; be knowledgeable; form and maintain friendships; (Vaughan and Walker 2012).

The social context (and HE institutions themselves) will impact on all three components: resources, capability formation and achieved functionings. For example: type of institution (private, public); fee-charging regime; location; culture; employment climate; political climate and so on.

The job of HE then, if an HCA were fully adopted, would be to ensure equity of resources; to enable capability formation; and to equip students with the ability to make good choices to achieve desired functionings. And, in order to develop appropriate strategic directions for HE curricula,

“foregrounding the capabilities approach in curriculum issues directs us towards a holistic approach in the assessment of contexts which inhibit or enable individuals’ freedoms, opportunities and choices to make decisions to be or to do what they value in life.” Marovah 2013, p.602)

2.4 Strategy development: written documents or enacted ideas?

So far, we have used the term strategic direction/initiatives to describe some of the agendas that have been proposed in order to effect change in the curricula of HEIs. We are well aware that the agendas already mentioned (GCE, ESD, IC) have well-developed associated literatures that we attempt to very briefly summarise in section 2.6.

The question of how to define 'strategy development' or 'strategic initiative' led us to define two ways in which this might be commonly understood within the kinds of HE settings with which we are familiar. These are 1) the conceptual process of production of strategy or policy (sometimes in written form), as a formal document setting out paths to be followed and 2) the enactment of these ideas or directions by those charged with this responsibility.

2.5 Power relations and linguistic bias

A further element emerges from the work of authors such as Vanessa Andreotti in discussing the notions of soft and critical global citizenship (see section 2.6.1) and this is the question of power relations in the (local and global) discourses of education and research. Although a full discussion of power relations is outside the scope of this review, we were aware of the possible linguistic (and other) biases (e.g. Parmenter, 2011) in published research. We therefore decided we should acknowledge some of these biases in the research literature resulting from these unequal power relations. To this end, we undertook to use the linguistic skills within our team to explore the HCA in HE literature in French, Spanish and English.

2.6 Input Themes

Although it is clearly beyond the scope of this report to provide a full summary in relation to the three input themes of GCE, ESD and IC, this section provides some key features. The three concepts are discussed independently but they are interconnected on many levels (e.g. GCE in the literature may be a topic within the overarching theme of ESD).

2.6.1 Global Citizenship and Education

The whole area of GC and GCE has received much attention latterly in the academic literature, and although these are still contested terms, (Oxley & Morris, 2013) have done much to draw together the ways in which these terms have been used in the last twenty years and to apply these terms to curriculum development. Their categorisation of types of GC begins by identifying Cosmopolitan types and Advocacy types and four further categorisations within each of these main categories. Cosmopolitan types are: political, moral, economic cultural GC, and Advocacy types are social critical environmental and spiritual GC. Most pertinent to the present research, are Oxley and Morris's 'Critical' and 'Environmental' forms of GC.

Critical GC draws on post-colonial (e.g. Andreotti, 2006) and post-structuralist visions to develop a form where power, voice and difference are central. It explicitly acknowledges differences in the distribution of power, wealth and other resources locally and globally so that ethical relationships are the focus of GC development through critical literacy. The identification of the global South as poor or in need of help from the global North is contested: this form of GC is fundamentally counter-hegemonic. By developing a critical literacy (a skill that is often foregrounded in HEIs) critical GC could emerge.

While critical GC may often have a focus on human rights, Environmental GC, by virtue of the fact of its focus on non-human beings, has a focus on human responsibilities. Environmental GC is most often used in governmental or corporate settings (Oxley & Morris, 2013) where sustainable development, global justice and human rights may be prominent. It has clear overlap with moral and cultural forms of GC as well as with the post-colonial elements of critical GC. In terms of education towards a kind of Environmental GC, this is most often expressed in terms of Education for

Sustainable Development while understandings of Education for Global Citizenship in HE at least in the UK, tend towards the critical or social forms of GC.

Many HEIs have some commitment to an ideal of 'global citizenship' though explicit meaning of the term is not always evident.

2.6.2 Education for sustainable development

Education for Sustainable Development (ESD) broadly refers to the knowledge, skills and attitudes to achieve Sustainable Development (SD). SD has been interpreted and defined in a number of different ways since the term was coined in 1987 (Lozano, 2006). However for the purposes of this paper the two researchers agreed on working with the definition of Lozano (2003) "... a change process, in which the societies improve their quality of life, reaching dynamic equilibrium between the economic and social aspects, while protecting, caring for and improving the natural environment" (Lozano, (2003) in Lozano, (2006)).

SD is a well-known term, HEIs across the world have committed to the implementation of practices that adhere to its principles (Lozano, 2006) and some have included SD in their vision, mission and graduate attribute statements (Lee, Barker, & Mouasher, 2013).

Several international higher education declarations including the Kyoto Declaration, Lüneburg Declaration, Talloires Declaration, as well as every Earth Summit (Stockholm Declaration, 1972; Rio Declaration, 1992; Johannesburg Declaration, 2002; and Rio Declaration, 2012) identify that HEIs could play a key role in the journey towards sustainable development (SD). Moreover, ESD has been the focus of the Ubuntu Declaration (UNESCO, 2002) and the United Nations Decade of Education for Sustainable Development (DESD; 2005-2014).

In a critical literature review of papers published between 2003-2011 (Karatzoglou, 2013) suggested that papers were mainly divided into two groups: case studies that fail to add substantial value to the development of theory; and theoretical papers with underdeveloped conceptual frameworks. Due to this, working on potential links between ESD, HCA, IC, GC may constitute a benefit in terms of expanding conceptual explorations and theory development for the field.

2.6.3 Internationalisation of HE

As universities continue to find their place in a global educational setting, there have been imperatives around how to internationalise provision both in an ideological sense (Altbach & de Wit, 2015; Leask, 2009; de Wit, 2016) and in a more practical sense (Leask, 2009). These imperatives are focussed both on incoming internationally mobile students, and for students who are recruited from the area local to the university – an activity sometimes referred to as Internationalisation at Home (Crowther et al., 2000). Increasingly however, this distinction is blurred and we could consider all students now to be international learners to some degree.

In terms of curriculum, university teaching staff have been asked to internationalise their teaching and learning practices - when perhaps, the first step is an internationalisation of the self. Curriculum change for learning in a globally connected HE environment is of course a largely practical exercise

and is still developing, but requires some acknowledgement of many of the more philosophical aspects that are often considered in the study of global citizenship.

2.7 Aims and Objectives

The aim and objectives of this review as originally conceived are shown below. As acknowledged in the previous section, strategy development was interpreted as both documentation and enactment.

Aim: to explore the potential of the Human Capabilities Approach in integrating concepts of Education for Sustainable Development (ESD), Global Citizenship Education (GCE) and Internationalisation of the Curriculum (IC) for strategy development in UK Higher Education

Objectives:

1. Undertake a systematic review of literature that relates to the integration of curriculum aspects of ESD, GCE, and IC
2. Analyse the publicly available relevant strategy documents for a defined set of HE providers leading in this field
3. Synthesise outcomes into recommendations for strategy development in HE institutions with similar agendas.

3 Outline of Methodology

The objectives were operationalised as Figure 1 indicates. A phase 1 scoping of the literature was undertaken to provide a basis on which to a) devise a suitable framework for analysis based on the topics and themes emerging and b) to make decisions about the limits of the scoping review.

Figure 1 Outline of Scoping Review

The review was carried out by two researchers, both to aid coverage of the wide range of literature, and to allow the rich conversations that occurred at all phases of the work and informed ongoing cycles of reflection that helped us to synthesise the learning from all sources. Figure 1 provides an outline of the process.

For the purposes of literature searching we used Google Scholar search, and citation searches as described further below. The databases of the Sorbonne (France), La Universidad de Los Andes (Colombia), Manchester Metropolitan University Library (UK) and the British Humanities Index were used to search the keywords in section 4.1. Google Scholar returned more items than any of the others and included the items in the databases previously mentioned. In addition, Google Scholar also included grey literature such as reports of organisations and governments and as the review could potentially bring up emerging and innovative areas of study, this was deemed valuable.

As we began to consider which strategy documents to explore, it became apparent that although many university strategy and policy documents could be relevant to the overall aim, the three drivers of interest (ESD, GCE and IC) might all be expected to be represented in a university’s mission statement. Mission statements were also suited to our purpose because of their ubiquity and relationship to institutional purpose (Hartley & Morphew, 2006). Additionally, most universities now tend to have a mission statement on an open website, whereas lower levels of strategy/policy documentation would be variously constituted, more disparate, and not necessarily publicly available. There is also a large academic literature extant concerning the mission statement in public and private organisations. Sections 4 and 5 consider our work with the literature and mission statements separately before combining our findings in Section 6.

4 Literature Review

This section is divided into the Phase 1 higher level scope and the Phase 2 detailed analysis of 177 items of literature.

Phase 1 results enabled us to develop an overview of the emerging themes and to make a basic assessment of the nature of the literature in the three languages (see section 4.1.1). More detailed scoping of the literature in Phase 2 provided detailed studies of use of an HCA in HEIs in areas as diverse as student transition and quality processes. It also revealed the ‘enactment’ form of strategy development and the more ‘conceptual’ framing of strategy in more formal institutional terms.

4.1 Phase 1 Procedure and findings

We initially defined, refined and used search terms in three languages:

English: "Human capabilities approach" "higher education*" universit* International* citizen*;

French: L'approche selon les "capabilités humaines" université enseignement supérieur

Spanish: Educación superior universidad "ENFOQUE DE CAPACIDADES humanas"

These searches resulted in 180 items of literature relating to human capabilities approach in universities in the three languages. Table 1 shows the distribution of types of publication.

Table 1 Percentages (numbers in brackets) of literature items in the three languages in each category.

	Spanish	French	English	Total (%)
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Article in academic journal	26 (6)	29 (6)	38 (51)	35
Book	13 (3)	14 (3)	15 (20)	14
Book chapter/paper	4 (1)	10 (2)	4 (5)	4
Dissertation (Phd)	4 (1)	14 (3)	18 (24)	16
Dissertation (Masters)	17 (4)	5 (1)	6 (8)	7
Dissertation (UG)	17 (4)	5 (1)	1 (1)	3
Conference paper	9 (2)	10 (2)	8 (11)	8
Other (Reports)	9 (2)	14 (3)	4 (6)	6
Other (Book reviews/unpublished papers)	0	0	7 (10)	6
Total (N =180)	13 (23)	12 (21)	136 (76)	100%

A first reading of these 180 items of literature (abstract and scanning of index (for dissertations) or paragraphs of articles and search of the document for the keywords: education and human capabilities) enabled us to discount those that were not situated in either formal or informal education. A larger literature was seen in all three languages in relation to education at all levels, with those concerned specifically with HE being a smaller subset.

Any items that related only to a very specific area or that did not include any real use of the HCA beyond a brief mention or acknowledgement (e. g. a PhD thesis where HCA was only briefly mentioned) were also discounted.

The first stage of the scoping review enabled the identification of themes shown in Table 2.

Table 2. Emerging Themes from Phase 1

Theme	Subthemes
Poverty	Micro-credit, health, education (access and quality), migration, employment and entrepreneurship,
Development	Micro-credit, health, education (access and quality), migration
Equality	Gender justice, occupational assessment, micro-credit, political implications, religion,
Environmental degradation	Disability
Disability	Mental health, sustainability
International development and Euro-centrism	Role of HE, freedom, responsibility,

Human needs	Education for life, freedom, human rights
Education	Access, development, equality, quality of provision, experience, Higher Education, benefits including links to economy, credentialism, social mobility, language, poverty, human rights, collaboration, GC

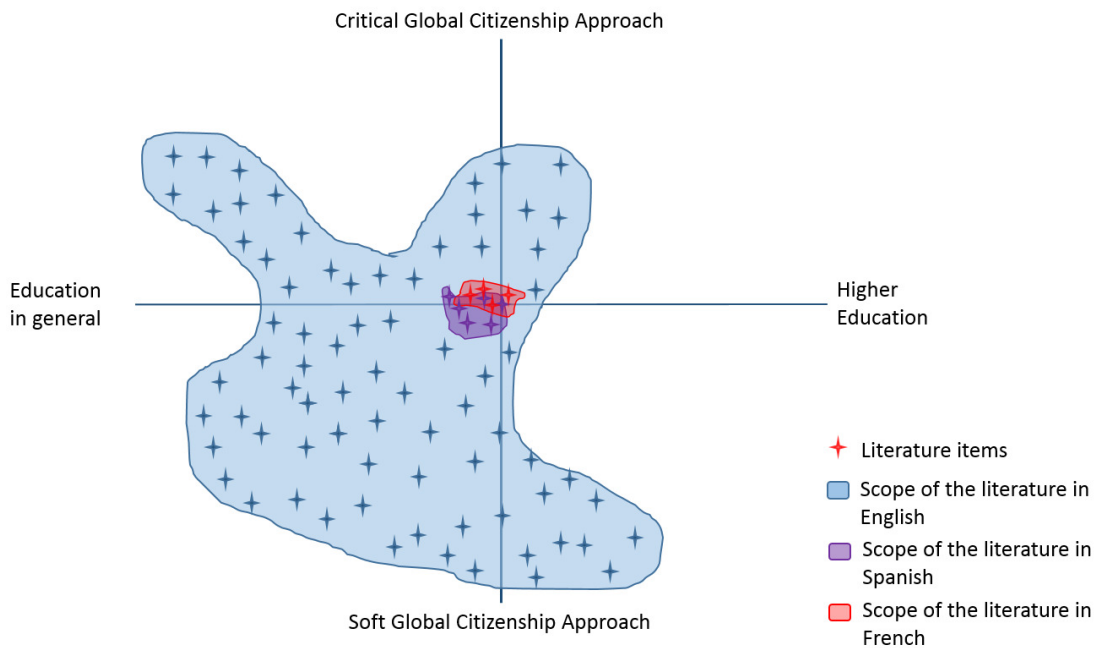
Some themes around Higher Education, which is the main concern of this research, started appearing at this first stage. The full list of HCA in HE themes is provided in section 4.2 of this report.

4.1.1 High-level themes in relation to language

The literature in English was significantly larger than the literature in the other languages (Table 1 and Figure 2) and there were fewer items in French than in Spanish.

There were also qualitative differences in the literature in the three languages. More specifically, in the Spanish HCA literature, authors mention poverty as the nature of the problem rather than inequality, and used humanitarian grounds as the trigger for action (Beaumont, 2000; Monasterios, 2011; Nieves & Emilio, 2005). The literature in Spanish also had a strong focus on disabilities (e.g. Moreno Angarita *et al.*, 2013). In contrast, the HCA literature in French was mainly concerned with inequality and injustice and specifically, gender inequalities (i.e. reflexion féministe, justice de genre) and used political grounds as the basis for action. (Downs, 2007; Debucquois, 2012)

The literature in Spanish thus tended to demonstrate a ‘Soft’ Global Citizenship approach whilst the opposite was true in the literature in French, which tended to take a more Critical Global Citizenship stance. It is worth noting that these observations were evident at this level of initial reading, and further analysis would be needed for verification.



Nonetheless, from this initial scoping we were able to make some general observations relating to the literature in the three languages and it became apparent that Phase 2 should concentrate on the literature in the English language (136 items at this stage). This decision was based on the fact that the literature both in French and Spanish tended to see the HCA in HE through very specific lenses and trying to find an equal or equivalent way to look at literature in the three languages was a challenge which we could not resolve within the constraints of this project.

4.2 Phase 2 Procedure and Findings

Having completed the initial search of literature in this manner the search was expanded the further by carrying out citation searches relating to the work of the authors who have focussed on the HCA in universities: Melanie Walker; Alejandra Boni and Pedro Flores-Crespo. Citation searches for key articles by these authors revealed some literature to add to the number already selected for full review. This resulted in 177 items of literature for full analysis.

From the first scan of the literature, we also created a simple framework (Appendix 1) to analyse the remaining literature assessing the extent to which the literature item:

- 1) uses the HCA (for theoretical underpinning for example);
- 2) contributes to the use of an HCA for university policy or strategy

Very few of the 177 studies involved an explicit use of HCA in an HE strategy document but as we were searching for the *potential* for strategy development this was perhaps not surprising. Themes emerged from using the framework and engaging in the researcher conversations and the categorisation below relates to the apparent use of strategy in the studies as either ‘conceptual or ‘enacted’. The first section thus includes work by authors who use the HCA to inspire thinking for developments in HE, at a conceptual level. The second section provides examples of where authors have applied the HCA in work with students to discover more about its practical applications.

4.2.1 Conceptual use of the HCA in HE

Many of the ‘conceptual’ themes (Table 3) relate to Higher Education as a public good, together with inclusion and equity. Although we have separated out a theme relating to ‘Philosophy’, at this level, all the themes identified have some ‘philosophical’ aspect, whether that be of academic freedom; of the role of an HEI or how we approach the scholarship of teaching and learning. The philosophical considerations theme is thus concerned with the literature that seeks to perhaps challenge prevailing norms or to propose ways forward for whole institutional strategy.

Table 3 Themes relating to conceptual or whole institutional use of an HCA

Theme	Sub-theme	Key authors
Philosophical considerations	Human development and values/HCA as underpinning philosophy for HE	(Boni & Gasper, 2012; Vaughan & Walker, 2012; Robeyns, 2014)
	Going beyond a metrics-driven	(Kwiek, 2014)

	approach	
	Promoting wellbeing via education	(Wilson-Strydom, 2015)
	Other underpinning philosophies eg. Ubuntu	(Marovah, 2013)
Academic Freedom	Public good	(Gibbs, 2013)
	Students' academic freedom	(Garnett Jr, 2009)
Scholarship of Teaching and Learning (SOTL)	Public good – social change	(Booth <i>et al.</i> , 2009; Leibowitz, 2013)
	Educational Research	(Hart, 2009; Kreber, 2013a, 2013b)
	Evaluation of L&T interventions	(Bozalek & Dison, 2013)
	Authenticity in L&T	(Kreber <i>et al.</i> , 2010; Kreber, 2010)
Equity and inclusion/Education for All (EFA)	Social justice - general	(Boni & Arias, 2013; Ntaiya, 2012; Ribeiro, 2014; Morrell <i>et al.</i> , 2009; Unterhalter & Brighouse, 2007)
	Disability	Terzi, 2014
	Gender	(Unterhalter, 2006)
Agency/Power to act	Public good- social change	(Boni & Arias, 2013; Boni-Aristizabal & Calabuig-Tormo 2015; Booth <i>et al.</i> , 2009)
Role of HEI	Public Good and social change	(Crespo, 2002; Flores-Crespo, 2007; Gibbs, 2013; Hall, 2012; Mutanga, 2014)
Links to ESD GCE or IC	GCE	(Oketch <i>et al.</i> , 2014; Vaughan & Walker, 2012; Landorf and Pineda, 2013)
	ESD	(Hegarty & Holdsworth, 2015; Fanghanel and Cousin, 2012; Godemann <i>et al.</i> , 2011)
	IC	

Among others, Boni and Gasper (2012), seek to challenge the 'neoliberal' agenda of universities as market-led and market-driven sources of workers for economic growth and instead suggest an HCA as a philosophical underpinning to the purpose of HEIs. They also contend that at the whole university level, the criteria for 'university quality' are often de-contextualised, homogenised and developed by the global North (Boni & Gasper, 2012). (Robeyns, 2014) explores the possible applications of capability theories, such as a capability ethical theory, while authors such as Bates, (2007) and Unterhalter & Brighouse (2007) consider that HCA may form the basis for a multicultural world with fewer inequalities because HCA supports engaging with differences in a more just way (Bates, 2007).

The Scholarship of Teaching and Learning (SOTL) featured strongly in the literature, and links to the HCA from literature explored by authors such as Kreber (2013), suggesting that an HCA may have the potential to provide teachers with pathways to more specifically include justice and equality in their

teaching. This theme also links to ideas of ‘critical professionalism’ in academic professional development (Leibowitz, 2013) and perhaps to the idea of teachers as critical global citizens. This reframing of the philosophical debate around the relationship between pedagogies and delivery methods began, to an extent, with the work of Melanie Walker (2005) which has been taken up by others as indicated in Table 3.

Authenticity in teaching and learning also emerged as an area with overlap with an HCA as this requires attention to the development and wellbeing of each student and an overriding concern to facilitate their potential for human flourishing, as the goal of higher education. (Kreber *et al.*, 2010)

The idea of academic freedom as both a right and as responsibility is clearly represented in the literature. In the USA, there has been very heated discussion about students’ academic freedom. For example, Garnett (2009) argues that an HCA is a more effective basis to ensure that academics are not forcing behaviour and political affiliations on students. In addition, Garnett suggests that students should be entitled to learning capabilities based on more egalitarian dynamics between students and teachers and proposes ‘essential freedoms for liberal learning’ (Garnett, 2009, p.438). Pineda (2012) also echoes this in her work on developing rubrics for performance based education:

"Educators have the responsibility to model and facilitate democratic dialogue in order for students to learn its direct importance: the fact that freedom of choice has value in and of itself, regardless of results" (Pineda, 2012, p.43)

The conceptual use of the HCA in universities is clearly in active development and other studies (e.g. Ribeiro, 2015) are emerging to draw together research in the field of HCA in HE. The next section focusses on the literature where the authors’ intent was to find practical applications of the HCA in HE.

4.2.2 Practical use of HCA in HE

This section reports briefly on some of the ways in which authors have used an HCA in practical ways within HE (see Table 4). The wide range of applications for the HCA in HE is testament, perhaps, to the way in which academic staff are drawn to the approach and wish to experiment with it.

Table 4 Themes relating to practical use of an HCA in HE

Theme	Sub-theme	Key authors
Graduate attributes	Employability / competencies	(Bigabwenkya, 2013; Lozano et al., 2012; Pineda, 2012; Walker, 2014)
	Employability, equity and diversity	(Bozalek, 2013)
	cosmopolitanism and multiculturalism	(Donald, 2007)
Inclusion	Equity	(Bates, 2007)
	Diversity	(Bates, 2007)
	Widening participation	(Bates, 2007; Watts & Bridges, 2006; Wilson-Strydom, 2015)
	Freedom not to access	(Watts, 2009)

	HE/adaptive preferences	
	Multi-lingual education	(Wilson-Strydom, 2014b; Haji Hassani, 2013)
	Transition to HE	(Bates, 2007; Wilson-Strydom, 2014a)
Personal development	Ethical and affective development of the student	(Aparisi <i>et al.</i> , n.d. ; Quinlan, 2014)
	Peer Learning – Learning by teaching	(Grzega & Schöner, 2008; Grzega & Klüsener, 2011)
	PD of academics and students	(Costandius, 2012)
Assessment	Student involvement	(Pineda, 2012; Nguyen, 2013)
Regional engagement	Learning through engagement with Local Community	(Garlick, 2014; Marovah, 2013; Pineda, 2012)
Curriculum development	Multi lingual teaching – student success	(Adebanji & Gumbo, 2013)
	Link between outreach and curriculum development	(Bivens, 2011)
	Curriculum review	(Hegarty & Holdsworth, 2015)
Discipline-based	Engineering Ethics	(Boni & Arias, 2013)
	Community Psychology	(Carolissen <i>et al.</i> , 2010)
	Visual Communication Design	(Costandius, 2012)
	Business School	(Godemann <i>et al.</i> , 2011)
	Art education	(Maguire <i>et al.</i> , 2012)
Institutional culture change	Outreach work influence	(Bivens, 2011)
Quality assessment of HEI	Employability	(Boni <i>et al.</i> , 2014)
Learning and Teaching	For doctoral writing	(Kamler & Thomson, 2008)
	For authentic learning	(Rowe <i>et al.</i> , 2013)
Quality	Course evaluation /Benchmark statements	(Apsan Frediani <i>et al.</i> , 2014; Quinlan, 2014; Boni & Gasper, 2012)

The literature reporting on practical applications of an HCA in HE allows identification of themes and sub-themes as shown in Table 4. Authors working in Africa are particularly well represented here, where there is an emphasis on public good via education in the university's missions. For example, Wilson-Strydom (2004a) and East, Stokes & Walker (2013). Both of these build on the list of professional capabilities developed by Walker & McLean (2010). The approach using capability lists has been developed by key authors and used, particularly in South African HEIs, to forge a path to explicit use of an HCA. This is most often seen in the fields of: development of graduate attributes, transition, widening participation, and diversity and inclusion.

There is not space within this scoping review report to provide detail on each of the themes in Table 4, we will briefly discuss the three themes most represented in the literature: Graduate attributes, Inclusion and Personal Development.

Graduate attributes (GA)

The development of GA can be done with or without an underpinning HCA and with or without student participation. The literature here provides an insight into the tensions between a human development model of university purpose and a more market-driven one. The positional, intrinsic or instrumental purposes of education as defined by Unterhalter & Brighouse (2007) are likely to be in play as the process of GA development is undergone and in the literature, the overlap between the 'conceptual' and 'practical' applications of use of an HCA is sharply apparent.

Representing students wants and needs featured strongly in much of the literature. For example, Landorf & Pineda (2013) used a participatory approach at Florida International University to develop global learning outcomes with participation from staff and students. These authors discovered that this process mirrored an HCA. Bigabwenkya (2013) used an HCA to critique teaching processes in Ugandan HE and to highlight perceived student deficiencies in graduate capabilities. (East *et al.*, 2014) used capabilities lists and included students in the process of design of transitions (see below).

Because GA apply at University level, their construction and prominence mean that they are used as strategic drivers for teaching and learning.

"Finally, we have the University's own graduate attributes' (GA) list, and its exhortation to create opportunities for work integrated learning (WIL) at some scale in all courses...The GA list includes attributes for which all academics must create learning spaces and opportunities." (Hegarty & Hodsworth, 2015, p. 244)

The process of creating GA underpinned by an HCA is also likely to provide a challenge to the competency approach and the more instrumental purposes of HE:

"..we believe that the competence approach has a number of limitations and weaknesses that can be overcome and supplanted by the capabilities approach." (Lozano, *et al.*, 2012)

"The capabilities approach requires us to go beyond employability (without undervaluing it!) as the goal of higher education; it proposes valuing graduates' involvement in social and political initiatives, and their personal development." (Boni-Aristizábal & Calabuig-Tormo, 2015)

In this way, graduate attributes may provide a more holistic (not only economic) perspective to the responsibility of the university, though questions remain about whether GAs underpinned explicitly by an HCA succeed in addressing the responsibility of the university to address the institutional barriers to students actually achieving graduate attributes (Bozalek, 2013). This requires an explicit focus on inclusion, the next identified theme below.

Inclusion

Equity and inclusion are core concepts for the HCA. In terms of HE, these concepts are harnessed where the purpose of a university education is orientated to the public good, for example, in the promotion of social justice or social mobility. Key to this is the topic of adaptive preferences, which are the preferences that individuals form based on their social context, and which can severely limit capability development. Some literature focusses directly on the formation of adaptive preferences. For example, Ntaiya (2012), considered how contextual factors of poverty, family support and personal resilience created valued beings and doings, while Watts (2009); and Watts & Bridges

(2006) debate the value of non-participation of young people in UK HE arising from adaptive preference formation where family tradition does not include participation in HE.

Much of the 'practically focussed' literature on the HCA in HE concerns the responsibility of an HEI to acknowledge and reduce institutional barriers that prevent individuals from full expression of their human capabilities. In addition, (Bates, 2007) has considered the use of an HCA to develop educational leadership based on educational rather than administrative principles, in order to create institutions that serve the needs of diverse students.

Transition, Widening Participation

Another type of practical application of an HCA is characterised by the use of capability lists for specific stages of the HE journey. For example, Wilson-Strydom (2014a) used capability lists to guide the equitable transition of students to university in South Africa. Again, participatory 'top-down' and 'bottom up' approaches were explicitly used to attempt to overcome power differentials during the process. Wilson-Strydom (2015) also considers models of social justice in HE transitions and conversions that participating students may make to translate their capabilities into achieved functionings.

Multi-lingual teaching:

Working in multi-lingual educational environments was one of the themes that appeared in both the 'conceptual' and 'practical' literature and is therefore, perhaps, a key component worthy of further study. A small body of literature invoked the use of an HCA in relation to multi-lingual teaching. For example drawing on work based on Tagorean human capabilities, (Maila, 2012) suggests that developing a multi-lingual education is important for "cultivating a pluralistic world citizenry...to respond to the diverse world problems..".

Hassani (2013) also suggests that HCA has the potential towards an understanding of the relevance of MTI (Mother Tongue Instruction) in order to develop appropriate student learning outcomes. Hassani also suggests that authors such as Flores-Crespo (2007) is one of the few authors who have explored the development of learning outcomes for MTI informed by the learners' perspective of relevance (i.e. what they have reason to value). Flores-Crespo, Maddox and Hassani have further developed this area but Hassani believes that there is plenty of space for further development.

With a focus mainly on transition to university, Wilson-Strydom (2012) also considers the issues around multi-lingual education in a South African university and students perceptions in relation to their diverse backgrounds and their capability development.

Personal Development

The ethical and affective development of the student is the focus of authors such as Aparisi *et al.*, (n.d.) who report on the capability gains from students who worked in internships in developing countries. These are also apparent in work by Grzega & Schöner, (2008) and Grzega & Klüsener, (2011) who used an HCA to underpin the LdL (Lernen durch Lehren) model of peer learning.

In line with an inclusive model, Costandius (2012) explored the personal development of academics and students through a reflective study of perceptions and attitudes in the context of a study of critical global citizenship.

The significant potential for academic staff and students to use an HCA is represented in the literature characterised here as relating to practical applications and this would be expected to grow in the near future.

4.3 Mission statements

The Talloires network provided a list of universities who might be leading in the fields of GCE, ESD and IC. This network was set up following the 1990 Talloires declaration - a ten-point action plan for incorporating sustainability and environmental literacy in teaching, research, operations and outreach at colleges and universities. Signatories thus indicate a commitment to promotion of civic roles and social and environmental responsibility via a higher education (and therefore concerns, ESD, GCE and aspects of IC). This not only gave us a self-selecting set of universities - currently 497 (AULSF 2015), but crucially, is worldwide. We used the list from Tufts University (Tufts University, 2015) which lists 350 members with accompanying information and links. Although there are more USA universities in this list, there are at least a number of institutions representing each continent. We therefore used the categorisation by geographical region as a basis for sampling institutions.

In order to do a first exploration of the issues discussed in section 2.6, the two researchers used an inductive methodology (Goddard & Melville, 2004). First, independently, they annotated fifteen mission statements (See Appendix 2) for issues related to HCA, ESD, GC, IC. Secondly, they shared their findings and through a dialectic approach, agreed on a list of themes informed by the framework of Wood & Deprez (2012). This resulted in a new framework which the researchers considered integrated the HCA with the other agendas.

4.3.1 A Framework for the development of mission statements using an HCA

The new framework was then used in a similar exercise to analyse a larger sample of 30 mission statements, in which all regions were represented (Table 5). A stratified systematic sample of the available 'population' was chosen (Robson, 2011). Every 5th institution from each geographical region was examined, unless they represented a nation already sampled. This enabled the inclusion of as broad a range of countries as possible in our sample.

Table 5 Thirty universities selected for examination of mission statement.

University per Region	Country
Africa	
Ahfad University for Women	Sudan
Busitema University	Uganda
International Institute for Water and Environmental Engineering	Burkina Faso
National University of Lesotho	Lesotho
Strathmore University	Kenya
Latin America and Caribbean	
Pontificia Universidad Javeriana	Colombia
Universidad Católica Silva Henríquez	Chile
Universidad César Vallejo	Peru
Universidad de Costa Rica	Costa Rica

Universidad del Sagrado Corazón	Puerto Rico
Europe and Central Asia	
Cardiff Metropolitan University	United Kingdom
Almaty Management University	Kazakhstan
The Open University	Online
University of Central Asia	Kyrgyz Republic
Jacobs University	Germany
Middle East and North Africa	
Al-Quds University	Palestine
Notre Dame University – Louaize	Lebanon
Arab International University	Syria
Beit Berl College	Israel
North America	
Adler University	USA
Arizona State University	USA
University of British Columbia	Canada
East Asia and Pacific	
An Giang university, Vietnam	Vietnam
CQ University Australia	Australia
Hong Kong Polytechnic University	Hong Kong
National University of Laos	Laos
University Sains Malaysia, Penang	Malaysia
South Asia	
Syarif Hidayatullah State Islamic University	Indonesia
University of the Philippines	Philippines
Victoria University of Wellington, New Zealand	New Zealand

The two researchers scored -on a scale of 1 to 5- each Mission Statement (sample of 30) according to the different items (e.g. “Be guided by how individual actions affect others”) in the framework (Figure 3). Although the resulting scores were very different, both researchers agreed on the items from the framework that appeared in each of the 30 Mission Statements. In addition, both researchers were able to agree on two institutions whose mission statements seemed to exemplify an integrated approach:

University of British Columbia <https://www.ubc.ca/about/vision-values.html>

University of the Philippines, Philippines <http://www.up.edu.ph/about-up/the-up-charter/>

These universities’ statements about their vision and values, or in the case of the University of the Philippines, their Charter, provide examples of statements that include many of the key elements of GCE, IC and ESD though not explicitly an HCA.

Revisiting the framework in the light of this exercise allowed refinements to this, in order to produce a final framework which could be a useful starting point for universities taking an integrated approach. The final framework is provided in English (Figure 3) and in Spanish (Figure 4).

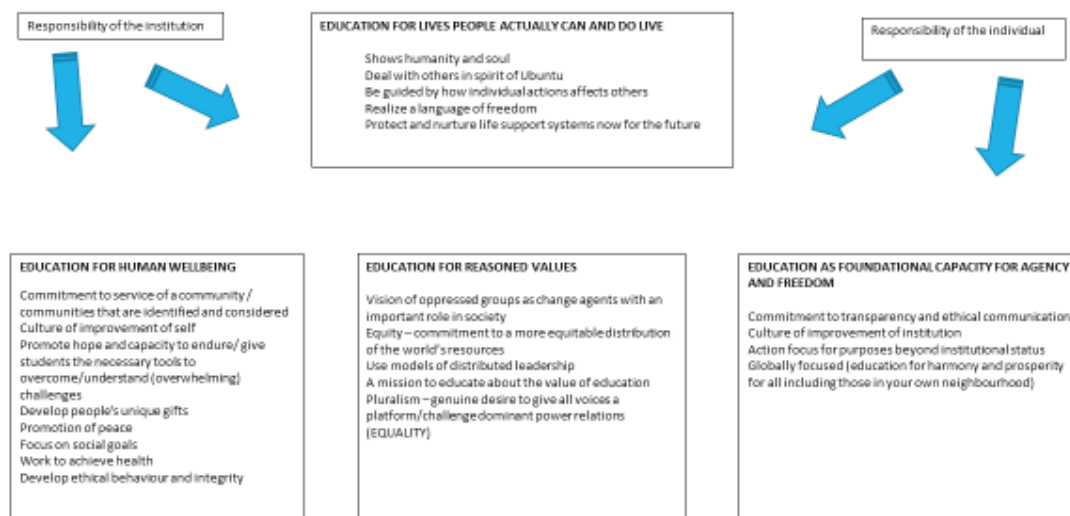


Figure 3. A framework for the development of a university mission statement (English)

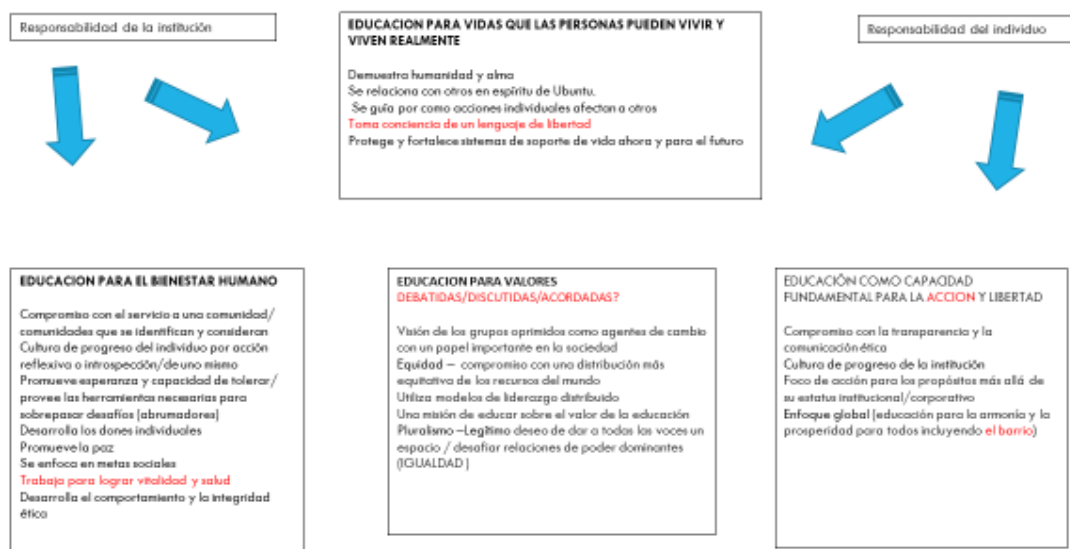


Figure 4. A framework for the development of a university mission statement (Spanish)

It became clear that this framework could also be used to enable the development of mission statements with an HCA basis although, this of course, represents the researchers' own perspectives. However, further work planned will aim to test and develop this as a means to consider an HCA way of thinking about HE.

5 Conclusions

The original aim was to explore the potential of the Human Capabilities Approach for integrating concepts of ESD, GCE and IC in UK HE. The insights we have gained from this process suggest that an HCA underpinning of any educational initiative (whether this is a learning and teaching strategy, a university mission statement or an individual tutorial) has the potential to surface all three agendas, ESD GCE and IC. The literature explored covered a very wide range of topics underpinned by an HCA, which demonstrates the flexibility and potential of an HCA in HE.

Much of the literature relates directly or indirectly to both Critical and Social Global Citizenship and at least implicitly to the operation of an HEI in a globalised context (IC). Some literature, (e.g. Landorf & Pineda 2013) refers to GC much more explicitly. In relation to ESD, some of the literature relates either explicitly or indirectly by way of some general reference to considerations of environment. For example, Hegarty & Holdsworth, (2015) acknowledge that in designing curricula there is a responsibility of academics towards the students, and to the social and natural environment. This might be an example of the idea that HCA may not have explicitly included Nature but individuals do so when they use an HCA.

The most explicit connection is with GC(E), but ESD principles are also clearly represented, and in some cases, literature exists that brings together very many aspects of ESD, GCE and IC (E.g. Hegarty & Holdsworth, 2015). However, there was very little direct connection of the HCA in the HE literature explored here that was explicitly related to IC (although authors such as Bourn (2011) do connect IC and the human development agendas), so our conclusion is that IC is not yet a major feature of the HCA-related literature.

The framework for developing mission statements could be used as a starting point for a process to bring together ESD and GCE within an HCA, which could add value to all these concepts. Although the HCA perhaps it is not fully developed to the point where all aspects of these agendas are covered, this seems to be a convergence that is at least, possible.

The HCA thus provides a way of integrating IC, GCE and ESD for strategy development in HE. Because of its connections to human development theory and its focus on equity and social justice – an HCA can provide a theoretical underpinning for the HE curriculum in its broadest sense. Although we found relatively little literature relating to the HCA in HE that specifically mentioned IC, GCE or ESD, there is clearly potential for greater integration of these agendas within an HCA.

The literature explored was very varied in terms of publication type and ranged from the philosophical to the practical, with a significant number of doctoral theses. Deliberately included are items that emerged from our search that were not necessarily published in academic journals. This diversity suggests that this the HCA in HE is both an active area for theory development and a guide for practitioners.

There is clearly a discursive space that exists and a desire to debate how HEIs respond to the current pressures on the HE system, and consider seizing the opportunity to reconceptualise a university's role in relation to human development, nature and the wider environment and to equity and wellbeing.

6 Recommendations:

- 1) There could be benefit in further theoretical development to integrate ESD, GC and HCA and to provide more effective and stronger drivers for change in HE.

In particular, there is scope for further work to link Human Development and Nature which could come through further integration of an HCA with an ESD approach.

- 2) In UK universities, Personal Development has been a challenging area and there is potential for an HCA to support this.
- 3) The framework for development of university mission statements could be used to explicitly include an HCA in these high-level strategy documents.
- 4) There is scope for further research at all levels, but particularly between the high level (e.g. mission statement) strategy, and enactment at a more 'grass roots' level- ie. the mid-level (e.g. Learning and Teaching strategy level) is less well-represented in the literature.
- 5) There is potential to further develop the intersection between HCA and language as this area seems to be underdeveloped.
 - a. In the literature in French and Spanish to which we had access, the work of Nussbaum is influential but the HE-related work (e.g Walker) was not evident. This might be due to the availability of Nussbaum's work in Spanish and French.
 - b. Differences in emphasis in terms of human development in relation to HCA and HE strategy were evident. The possibility of differing self-perception in relation to soft and critical GCE in other linguistic research traditions is a feature worthy of fuller exploration.

7 Research Outcomes

7.1 Outcomes of the Scoping Review

Conference abstracts:

A. Prowse, V. Vargas "The Potential of the Human Capabilities Approach for Strategy Development in Higher Education" Presented at the SRHE Conference 2015

An abstract will be submitted to the Human Development and Capability Association Conference 2016

Manuscripts:

The richness of the results of this scoping review will allow the submission of at least two papers to peer reviewed journals.

7.2 Outcomes of the framework created through this scoping review

Sections of the framework created during this scoping review are being used in a range of research and teaching and learning activities. In the future the framework could be used more widely in order to explore its potential.

Research event and public blog:

D. Haley, V.Vargas, P. Ferrulli, "Walkabout the City?" Economic and Social Research Council Festival (ESRC) 2015 funded event: <https://walkaboutthecity.wordpress.com/>

Conference presentations:

D. Haley, V.Vargas, P. Ferrulli, "Weaving the filigree: Paradoxes, opposites and diversity for participatory, emergent arts and design curricula" Paper successfully submitted to 3rd World Symposium on Sustainable Development at Universities 2016

D. Haley, V.Vargas, P. Ferrulli "Weaving the filigree: Paradoxes, opposites and diversity for participatory emergent arts and design curricula." Presented at the International Journal of Art and Design Education 2015.

D. Haley, V.Vargas, P. Ferrulli 'Walkabout the City?: Hong Kong, Portland and Mexico City, via Manchester' Presented at Philosophies of the City Conference 2015.

Guest Lecture:

D. Haley, V.Vargas joint guest lecture to third year students from Manchester School of Architecture in their elective course 'Rewriting the City' to open a discussion related to personal mission in architecture practice.

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10 Appendices

10.1 Appendix 1

Framework for literature analysis Phase 2

Overall Focus of item
Geographical area (s) involved
Language (s) involved/MTI
Authors see HCA as an enabling theory
Authors propose use of HCA in a university setting

Authors see HCA theory as an obstacle
Authors use HCA as a theoretical underpinning
Authors report on use of HCA in a university setting
Authors report on use of HCA in other educational setting
Authors critique model or suggest a wish for a different model
Focus is the role of the university
Authors approach suggests a Critical GC/Soft GC
Authors approach links to ESD
Authors approach links to IC
Links to the HEI's strategy

10.2 Appendix 2 Fifteen Universities sampled for the Mission statement exercise

SNDT Women's University of Mumbai (India), <http://sndt.ac.in/abtus.htm>

Aga Khan University (Pakistan),
<http://www.aku.edu/aboutaku/akuataglance/Pages/visionandmission.aspx>

Tufts University (USA), http://www.tufts.edu/home/get_to_know_tufts/mission_strategy/

Hobart and William Smith Colleges (USA), <http://www.hws.edu/about/mission.aspx>

Georgetown University (USA), <https://governance.georgetown.edu/mission-statement>

University of Haifa (Israel), <http://www.haifa.ac.il/index.php/en/2012-12-16-11-30-12/welcome-to-the-university-of-haifa>

Saint-Joseph University (Lebanon), <http://www.usj.edu.lb/decouvrir/mission.htm>

American University in Cairo (Egypt), <http://aucegypt.edu/about/about-auc>

Al-Quds University (Palestine), <http://www.alquds.edu/en/about-us/our-mission.html>

Universidad Metropolitana en Caracas (Venezuela), <http://www.unimet.edu.ve/mision/>

Ahfad University for Women (Sudan), <http://www.ahfad.org/philosophy.html>

Cape Peninsula University of Technology (South Africa), <http://www.cput.ac.za/about/vision>

University for Development Studies (Ghana), <http://www.uds.edu.gh/>

University of Dar es Salaam, (Tanzania) <http://www.udsm.ac.tz/mission-vision-and-values>

An Giang university, (Vietnam) <http://www.agu.edu.vn/?q=en/mission.agu>

10.3 Thirty Universities sampled for the Mission statement exercise

Africa

Ahfad University for Women, <http://www.ahfad.org/philosophy.html>

Busitema University (Uganda), <http://www.busitema.ac.ug/about/?action=vision>

International Institute for Water and Environmental Engineering (Burkina Faso),
<http://www.2ie-edu.org/presentation/mot-daccueil-du-directeur-general/>

National University of Lesotho (Lesotho), <http://nul.ls/about/mission/>

Strathmore University (Kenya), <http://www.strathmore.edu/en/about-strathmore/mission-vision>

Latin America and Caribbean

Pontificia Universidad Javeriana (Colombia), <http://www.javeriana.edu.co/institucional/mision>

Universidad Católica Silva Henríquez (Chile),
http://www.ucsh.cl/NuestraU/opensite_20071011155047.asp

Universidad César Vallejo (Perú), http://www.ucv.edu.pe/acercade_ucv.aspx?nUniOrgCodigo=70000

Universidad de Costa Rica (Costa Rica), <http://www.so.ucr.ac.cr/mision-y-vision>

Universidad del Sagrado Corazón (Puerto Rico), <http://www.sagrado.edu/mision.htm>

Europe and Central Asia

Cardiff Metropolitan University (UK),
<http://www.cardiffmet.ac.uk/about/structureandgovernance/Pages/Vision-and-Mission-.aspx>

Almaty Management University (Kazakhstan) <http://www.almau.edu.kz/en/449>

The Open University (Online), <http://www.open.ac.uk/about/main/mission>

University of Central Asia (Kyrgyz Republic), <http://www.ucentralasia.org/about.asp>

Jacobs University (Germany), <https://www.jacobs-university.de/mission>

Middle East and North Africa

Al-Quds University (Palestine), <http://www.alquds.edu/en/about-us/our-mission.html>

Notre Dame University – Louaize (Lebanon), <http://old.ndu.edu.lb/About/Identityandmission.htm>

Arab International University (Syria), <http://www.aiu.edu.sy/en/Page56/Mission---Vision>

Beit Berl College (Israel), http://www.beitberl.ac.il/english/about_us/pages/whoweare.aspx

North America

Adler University (USA), <http://www.adler.edu/page/about/mission>

Arizona State University (USA), <https://president.asu.edu/about/asucharter>

University of British Columbia (Canada), <http://strategicplan.ubc.ca/the-plan/commitments/>

East Asia and pacific

An Giang university, Vietnam <http://www.agu.edu.vn/?q=en/mission.agu>

CQ University, Australia <https://www.cqu.edu.au/about-us>

Hong Kong Polytechnic University, Hong Kong
http://www.polyu.edu.hk/web/en/about_polyu/motto_vision_mission/index.html

National University of Laos <http://www.nuol.edu.la/>

University Sains Malaysia, Penang, Malaysia <https://www.usm.my/index.php/en/about-us/background/missionvision>

South Asia

Syarif Hidayatullah State Islamic University, Indonesia http://www.uinjkt.ac.id/?page_id=6321

University of the Philippines, Philippines <http://www.up.edu.ph/about-up/the-up-charter/>

Victoria University of Wellington, New Zealand
<http://www.victoria.ac.nz/about/governance/strategic-plan/vision,-mission-and-purpose>