

**A JOURNEY OF ACADEMIC INQUIRY**  
**Exploring capabilities and play**

Malida Mooken

Stirling Management School  
University of Stirling

Submitted for fulfillment of the degree of PhD  
November 2014

## **DECLARATION**

I declare that this thesis is my own work and that it has been submitted only for the degree of PhD.

Please note that a version of Chapter 7, 'The capabilities of academic researchers and academic poverty' has recently been published as a paper (co-authored with Professor Roger Sugden) in *Kyklos*, 67 (4), November 2014.

Malida Mooken

24 November 2014

## **ABSTRACT**

The underlying concern in this thesis is with the real opportunities that people have to pursue beings and doings that they have reason to value. This concern is explored through the development of four themes, namely ‘shaping aspirations’, ‘capabilities of academic researchers’, ‘qualities of play’, and ‘university internationalisation’. These themes emerged during my journey of academic inquiry, which included empirical research conducted in two distinct settings.

## **ACKNOWLEDGEMENTS**

The development of this thesis owes much to the invaluable discussions that I had with Professor Roger Sugden. His comments on various drafts that I wrote helped deepen the analyses. Dr Doris Eikhof also provided critical suggestions for the thesis. I am thankful to both of them for their patience and unwavering support.

Marcela Valania offered insights, which helped refine some arguments and the overall writing of an earlier draft of my thesis, for which I am thankful. I would like to thank Professor Linda Bauld and Professor Bernard Burnes for their support. Particular thanks are due to Professor Gert Biesta and Professor Keith Culver for critical comments on a draft of the chapter on John Dewey and his approach.

I am grateful to all the participants who have shared their time and perspectives in the workshops, interviews, etc. that I conducted for the purposes of this thesis. I would also like to take this opportunity to acknowledge the funding obtained through the Strategic Research & Enterprise Development Fund at the University of Stirling for the first three years of my PhD, and also the KTP organisation which facilitated the real-time inquiry in the context of a socio-cultural project.

## TABLE OF CONTENTS

<b>DECLARATION</b>	<b>II</b>
<b>ABSTRACT</b>	<b>III</b>
<b>ACKNOWLEDGEMENTS</b>	<b>IV</b>
<b>INTRODUCTION</b>	<b>1</b>
A CONCERN WITH REAL OPPORTUNITIES	1
THE JOURNEY OF INQUIRY	5
MAIN CONTRIBUTIONS OF THE THESIS	7
STRUCTURE OF THE THESIS	10
<b>PART I:</b>	
<b>THEORETICAL DISCUSSION ON: INQUIRY AND THE CAPABILITY APPROACH</b>	<b>12</b>
INQUIRY	13
CAPABILITY APPROACH	17
JOHN DEWEY AND AMARTYA SEN	18
STRUCTURE OF PART I	20
<b>CHAPTER 1</b>	<b>21</b>
<b>RECONSTRUCTING INQUIRY: AN INTRODUCTION TO JOHN DEWEY AND HIS APPROACH</b>	<b>21</b>
<b>1.1. WHY REFER TO DEWEY'S WORK?</b>	<b>23</b>
<b>1.2 AN INTRODUCTION TO JOHN DEWEY AND HIS WORK</b>	<b>25</b>
1.2.1 INFLUENCES ON DEWEY AND HIS ASSOCIATION WITH PRAGMATISM	26
1.2.2 TRANSACTIONAL APPROACH	29
1.2.3 DEWEY IN THE CONTEMPORARY CONTEXT	29
<b>1.3 ASPECTS OF DEWEYAN INQUIRY</b>	<b>30</b>
1.3.1 TRANSFORMATION OF AN INDETERMINATE OR PROBLEMATIC SITUATION	30
1.3.2 ACTION - THEORY AND PRACTICE	33
1.3.3 SENSE AND SENSIBILITY	35
1.3.4 CONTINUITY IN INQUIRY	39
<b>1.4 CRITIQUE OF DEWEY'S WORK</b>	<b>40</b>
<b>1.5 RESEARCH AND INQUIRY, ACADEMIC AND NON-ACADEMIC</b>	<b>47</b>
<b>1.6 CONCLUDING REMARKS</b>	<b>49</b>
<b>CHAPTER 2</b>	<b>52</b>
<b>AMARTYA SEN AND THE DEVELOPMENT OF THE CAPABILITY APPROACH</b>	<b>52</b>
<b>2.1 AN INTRODUCTION TO AMARTYA SEN AND HIS WORK</b>	<b>54</b>
2.1.1 SOCIAL CHOICE THEORY	55
2.1.2 CRITIQUE OF UTILITARIANISM AND WELFARISM	56
2.1.3 ORIGINS OF THE CAPABILITY APPROACH	58
<b>2.2 KEY ASPECTS OF THE CAPABILITY APPROACH</b>	<b>59</b>
<b>2.3 APPLICATIONS OF THE CAPABILITY APPROACH</b>	<b>63</b>
2.3.1 THE CONTEXT OF FAMINES AND POVERTY	64

2.3.2 CONTRASTING GNP ANALYSES AND CAPABILITY APPROACH	66
2.3.3 HUMAN DEVELOPMENT REPORTS AND NATIONAL POLICY ANALYSES	67
2.3.4 OTHER APPLICATIONS OF THE CAPABILITY APPROACH	68
<b>2.4 CRITIQUE OF THE CAPABILITY APPROACH</b>	<b>70</b>
2.4.1 OPERATIONALISATION OF THE CAPABILITY APPROACH	70
2.4.2 INFRINGEMENT ON INDIVIDUAL FREEDOM	70
2.4.3 INDIVIDUALISTIC APPROACH	71
2.4.4 THE CONTRAST BETWEEN THE CAPABILITY APPROACH AND UTILITARIANISM	72
2.4.5 UNDERSPECIFICITY AND INCOMPLETENESS	73
2.4.6 LANGUAGE	75
<b>2.5 CONCLUDING REMARKS</b>	<b>77</b>

## **PART II:**

### **METHODOLOGICAL ISSUES IN THE JOURNEY OF ACADEMIC INQUIRY** **80**

<b>GENERAL METHODOLOGICAL CONSIDERATIONS FOR THE THESIS</b>	<b>80</b>
<b>ANALYTICAL AND ETHICAL CONSIDERATIONS</b>	<b>86</b>
<b>STRUCTURE OF PART III</b>	<b>88</b>

### **CHAPTER 3** **89**

#### **THE METHODOLOGICAL APPROACH FOR YOUNGARTS** **89**

<b>3.1 EMPIRICAL CONTEXT OF YOUNGARTS</b>	<b>89</b>
3.1.1 ARTSCENTRE AND YOUNGARTS	90
3.1.2 AN INTRODUCTION TO KTPs	92
<b>3.2 ACTION RESEARCH</b>	<b>96</b>
3.2.1 PARTICIPATORY ACTION RESEARCH	98
3.2.2 TRAILING RESEARCH	101
<b>3.3 CASE STUDY</b>	<b>105</b>
<b>3.4 RESEARCH METHODS</b>	<b>107</b>
3.4.1 OBSERVATION	111
3.4.2 DOCUMENT REVIEW	117
3.4.3 INDIVIDUAL INTERVIEWS (AND INFORMAL DISCUSSIONS)	119
3.4.4 FOCUS INTERVIEW/GROUP	125
3.4.5 RICH PICTURE	129
<b>3.5 CHALLENGES IN DEVELOPING MY METHODOLOGICAL APPROACH</b>	<b>134</b>
3.5.1 KTP AND ACTION RESEARCH	134
3.5.2 DEWEY AND ACTION RESEARCH	136
<b>3.6 CONCLUDING REMARKS</b>	<b>141</b>

### **CHAPTER 4** **145**

#### **THE METHODOLOGICAL APPROACH FOR THE INTERNATIONALISATION PROJECT** **145**

<b>4.1 EMPIRICAL CONTEXT OF THE INTERNATIONALISATION PROJECT</b>	<b>146</b>
<b>4.2 VISUAL METHODOLOGY</b>	<b>150</b>
4.2.1 A BRIEF INTRODUCTION TO VISUAL RESEARCH	150
4.2.2 VISUAL RESEARCH AND PARTICIPATORY ACTION RESEARCH	152
<b>4.3 LINKING PLAY TO THE METHODOLOGICAL APPROACH</b>	<b>155</b>
<b>4.4 RESEARCH METHODS</b>	<b>159</b>
4.4.1 PICTURING	159
4.4.2 PHOTO ELICITATION	161
4.4.3 DELIBERATION	165

4.4.4 QUESTIONNAIRES	167
<b>4.5 CONCLUDING REMARKS</b>	<b>169</b>
<b>CHAPTER 5</b>	<b>171</b>
<b><u>ANALYTICAL AND ETHICAL ISSUES</u></b>	<b><u>171</u></b>
<b>5.1 ANALYTICAL PROCESS</b>	<b>171</b>
5.1.1 ANALYSING DATA FOR YOUNGARTS	172
5.1.2 ANALYSING DATA FOR THE INTERNATIONALISATION PROJECT	174
<b>5.2 TRIANGULATION</b>	<b>176</b>
<b>5.3 ETHICAL CONSIDERATIONS</b>	<b>182</b>
5.3.1 ETHICAL REVIEW AND APPROVAL	183
5.3.2 INFORMED CONSENT AND VOLUNTARINESS OF PARTICIPANTS	185
5.3.3 CONFIDENTIALITY AND ANONYMITY	190
5.3.4 AVOIDING PRESSURES	192
<b>5.4 CONCLUDING REMARKS</b>	<b>193</b>
<b>PART III:</b>	
<b><u>SHAPING ASPIRATIONS: THE CASE OF YOUNGARTS</u></b>	<b><u>194</u></b>
BACKGROUND OF ARTSCENTRE AND YOUNGARTS	195
STRUCTURE OF PART III	204
<b>CHAPTER 6</b>	<b>206</b>
<b><u>SHAPING ASPIRATIONS: INSIGHTS FROM YOUNGARTS</u></b>	<b><u>206</u></b>
<b>6.1 NATURE AND NURTURE OF ASPIRATIONS</b>	<b>207</b>
6.1.1 EXPERIENCE AND ASPIRATIONS	216
6.1.2 ASPIRING AS FUNCTIONING AND FREEDOM TO ASPIRE	223
6.1.3 THE CAPACITY TO ASPIRE	225
<b>6.2 BROADER CONCERNS IN YOUNGARTS</b>	<b>233</b>
<b>6.3 CONCLUDING REMARKS</b>	<b>237</b>
<b>PART IV:</b>	
<b><u>CAPABILITIES, PLAY AND INTERNATIONALISATION IN ACADEMIA</u></b>	<b><u>240</u></b>
CURRENT DEVELOPMENTS IN ACADEMIA	240
ACADEMIC FREEDOM AND AUTONOMY	242
ACADEMIC FREEDOM	245
AUTONOMY	248
STRUCTURE OF PART IV	250
<b>CHAPTER 7</b>	<b>252</b>
<b><u>THE CAPABILITIES OF ACADEMIC RESEARCHERS AND ACADEMIC POVERTY</u></b>	<b><u>252</u></b>
<b>7.1 THE NEED TO EXPLORE ACADEMIC POVERTY</b>	<b>255</b>
<b>7.2 CAPABILITIES OF ACADEMIC RESEARCHERS</b>	<b>263</b>
<b>7.3 COMBINED AND INTERNAL CAPABILITIES</b>	<b>269</b>
<b>7.4 ACADEMIC POVERTY</b>	<b>273</b>
<b>7.5 REASON TO VALUE AND FREEDOM</b>	<b>282</b>
<b>7.6 CONCLUDING REMARKS</b>	<b>288</b>

<b>CHAPTER 8</b>	<b>293</b>
<b>QUALITIES OF PLAY</b>	<b>293</b>
<b>8.1 THE MEANING OF PLAY</b>	<b>300</b>
<b>8.2 SITUATING PLAY IN SOCIETY</b>	<b>301</b>
8.2.1 PLAY FOR CHILDREN AND PLAY FOR ADULTS	301
8.2.2 PLAY AND CULTURE	307
8.2.3 PLAY AT WORK, WORK AS PLAY	311
<b>8.3 ESSENTIAL QUALITIES OF PLAY</b>	<b>317</b>
8.3.1 SERIOUSNESS AND THE MENTAL CONDITION IN PLAY	319
8.3.2 RULES, BOUNDARIES AND FREEDOM	323
8.3.3 ABSORPTION, FOCUS AND STATE OF FLOW	330
8.3.4 VOLUNTARINESS	334
8.3.5 ORDER AND DISORDER	336
<b>8.4 OTHER POSITIVE QUALITIES OF PLAY</b>	<b>337</b>
<b>8.5 SOME PROBLEMATIC ASPECTS OF PLAY</b>	<b>339</b>
<b>8.6 PLAY AND CAPABILITIES</b>	<b>341</b>
<b>8.7 CONCLUDING REMARKS</b>	<b>343</b>
<b>CHAPTER 9</b>	<b>352</b>
<b>EXPLORING PERSPECTIVES ON INTERNATIONALISATION IN A UNIVERSITY CONTEXT</b>	<b>352</b>
<b>9.1 WHAT DOES INTERNATIONALISATION MEAN?</b>	<b>355</b>
<b>9.2 MORE INTERNATIONAL STUDENTS DOES NOT NECESSARILY EQUATE TO A MORE INTERNATIONALIZED ENVIRONMENT</b>	<b>359</b>
<b>9.3 RATIONALES FOR INTERNATIONALISATION</b>	<b>366</b>
<b>9.4 CONCERNS ABOUT A MARKET-ORIENTED APPROACH TO INTERNATIONALISATION</b>	<b>375</b>
<b>9.5 INTERNATIONALISATION AND GLOBALISATION</b>	<b>379</b>
<b>9.6 CONCLUDING REMARKS</b>	<b>380</b>
<b>CONCLUSION</b>	<b>385</b>
THE JOURNEY OF ACADEMIC INQUIRY AND ITS VARIOUS ELEMENTS	385
KEY CONCEPTUAL CONTRIBUTIONS	389
KEY METHODOLOGICAL CONTRIBUTION	391
CONCLUDING REMARKS	393
<b>REFERENCES</b>	<b>395</b>
<b>APPENDICES</b>	<b>434</b>
<b>APPENDIX I: CALENDAR OF EVENTS (YOUNGARTS)</b>	<b>434</b>
<b>APPENDIX II: STRUCTURE AND DESCRIPTION OF INTERNATIONALISATION WORKSHOP</b>	<b>442</b>
<b>APPENDIX III: PROPOSED QUESTIONS FOR PHOTO ELICITATION</b>	<b>446</b>
<b>APPENDIX IV: INTERNATIONALISATION QUESTIONNAIRES</b>	<b>448</b>
<b>APPENDIX V: CONSENT FORMS</b>	<b>453</b>
<b>LIST OF TABLES</b>	
<b>TABLE 3.4: BREAKDOWN OF RESEARCH METHODS IN YOUNGARTS</b>	<b>110</b>
<b>TABLE III: YOUNGARTS INTERNSHIP BREAKDOWN</b>	<b>202</b>



**LIST OF FIGURES**

<b>FIGURE 4.3: PLAY IN THE CONTEXT OF THE INTERNATIONALISTAION PROJECT</b>	<b>156</b>
<b>FIGURE III: KEY ACTIVITIES OF YOUNGARTS</b>	<b>198</b>

# INTRODUCTION

## ***A concern with real opportunities***

The underlying concern in this thesis is with the real opportunities that people have to pursue beings and doings that they have reasons to value, that is, their substantive freedom (Sen 1999a, 2002). Therefore the ideas discussed throughout this thesis seek to stimulate critical reflections about enhancing real opportunities that people have reasons to value, with particular attention to the situational contexts.

Drawing on Sen (1985/1999: 4), consider the following illustration of real opportunity. A person might be eligible to attend a university and thus have the opportunity to undertake higher education. However, this does not constitute a *real* opportunity in itself. To determine the scope that the person actually has to pursue this opportunity would require considerations such as: can she financially afford to go to university (paying tuition and living expenses etc.)? Further still, if the person can attend a certain university, does she have the real opportunity to use or benefit from the resources there, given her potential physical or mental abilities? This line of reasoning is at the basis of my analyses in the thesis, for example regarding what a young person might actually be able to do (or not) in the context of the socio-cultural project that I embarked on at the beginning of my PhD.

By looking at a context from the above perspective, one does not focus simply on the opportunities available in that environment but also on what

the individuals can actually *do* or *be* given the context. For example, governments can create national programmes in order to structure opportunities for people to improve their lives. But how do these policies translate at the micro level? A society can ‘creat[e] contexts for choice in many areas’ but often does poorly in ‘educat[ing] its citizens or nourish[ing] the development of their powers of mind’ (Nussbaum 2011: 22). The crucial issue is not necessarily a lack of choices but the extent to which people can actually exercise choices, if at all.

Moreover, I consider that a person with more choices does not necessarily have more freedom, not least because she might not value those choices (Alkire 2002). In parts of the thesis, I explore whether constraints on some aspects of freedom, and thereby choices (through rules) might increase freedom in other aspects.

In my analyses, I place particular attention on individuals. This follows from a critical appreciation that individuals have diverse capabilities and that they are diverse in what they value (Davis 2009: 9). Moreover, a sole focus on the doings of a collective might overlook what an individual in that collective is actually able to be and do. This is not to say that a collective does not matter. The beings and doings of individuals and what they have reasons to value are significantly influenced by their social environment and interactions with other people. As Sen (1999a: 9) suggests:

The exercise of freedom is mediated by values, but the values are in turn influenced by public discussions and social interactions, which are themselves influenced by participatory freedom.

As an illustration, consider the issue of education in Pakistan as described by Alkire (2002). Despite a government programme for primary education, with particular emphasis for girls' education, the enrolment ratio of school-aged children was only 27 per cent for girls and 53 per cent for boys.<sup>1</sup> Many people, namely parents and teachers did not understand (or value) the importance of girls' education. So even though the Pakistani government had a programme for the primary education of girls, there were constraints on whether the girls could actually go to school and be educated. More initiatives such as strong advocacy of the value of girls' education by social organisations to convince the parents to send their daughters to school and adequate provision for training teachers were required to ensure that the girls had real opportunities for basic education, that is, to actually be educated.

Drawing from Alkire (2002), I suggest that it is important to examine what people have reason to value in a context and to recognise that those values might be shaped through deliberation. Different people in same or different

---

<sup>1</sup> According to World Bank data for the year 2010, Pakistan had 3,241,203 female children and 1,884,170 male children out of school at primary level. The other countries with a higher number of female students out of primary education are India and Nigeria. See: <http://data.worldbank.org/indicator/SE.PRM.UNER.FE/countries> for more information. The enrolment for boys, only 53 percent is fairly low as well, which indicate an issue with the value of education in itself.

contexts might value different things, therefore a consideration of individual perspectives is useful and essential in order to avoid the fallacy of what is good for one individual might be good for all individuals in a particular context or across different contexts. In that spirit, in exploring some of the key issues the analyses in the thesis look at individuals and particular groups of people, and the interactions between them and also with their environment.

As indicated earlier, the underlying concern in this thesis is with the real opportunities that people have to pursue beings and doings that they have reasons to value, that is their substantive freedom (Sen 1999, 2002). I investigate this concern through four distinct but interrelated topics: aspirations, capabilities (of academics), play and (university) internationalisation. For example, the notion of aspirations is investigated in terms of the conception and pursuit of potential beings and doings that people have reasons to value. This opens up the analysis to consider the capacity and capability to aspire (Appadurai 2004; Hart 2013). Similarly, play and internationalisation are explored from the perspective of whether (and how) these topics might impact on the valuable beings and doings of individuals and a group of people. The research about those topics is tied together by the notion that inquiry is exploratory and continuous (Dewey 1938) and in that sense — a journey.

## ***The journey of inquiry***

The journey of inquiry began with my experience in the context of a socio-cultural project, YoungArts, in which I explored the shaping of aspirations of young people in the context of an arts centre (henceforth referred as ArtsCentre) in the UK.<sup>2</sup> My experience in YoungArts was shaped through my interaction with the participants (artists, young people, managerial staff, among others) and with the environment. In this context, the topic of play first emerged as relevant for my inquiry. Based on my observations and discussions with participants in the context of YoungArts, there was a sense that the socio-cultural project was rigidly managed and that ‘something’ was fundamentally lacking in the interactions of the participants and the development of some of the core activities of YoungArts (especially given the aims of the socio-cultural project, refer to Part III of the thesis). That ‘something’, I reason, is related to the notion of play (refer to Chapter 8 for a more thorough explanation of the emergence of play as a topic of inquiry in this thesis). I hypothesise that as a consequence of an absence or lack of play, there were constraints on what the participants were actually able to achieve in terms of valuable beings and doings (including aspiring).

During my research experience in YoungArts, I began to reflect on what I have reasons to value being and doing as an academic researcher (from a management school) who is engaging with others in a real-time inquiry. To address the issue of valuable beings and doings of an academic researcher, insights were drawn from the writings of Amartya Sen on the capability

---

<sup>2</sup> The socio-cultural project and arts centre are anonymised for ethical purposes.

approach. The idea of capabilities of academic researchers (in Chapter 7) originates from those reflections.

Moreover, I became acutely conscious of the concerns around the internationalisation of universities while I was working on the conceptual development of capabilities and play. This consciousness emerged in part from discussions with lecturers and other colleagues regarding their experience in teaching a growing international community of students and the responsibilities to teach larger cohorts of students or various curricula content. The university where I undertook my studies was also in the midst of preparing a new Internationalisation Strategy. To explore those concerns I joined a project, which I refer to as the Internationalisation Project. This project sought to explore and shape internationalisation in a university context through multiple voices.

Many of my reflections about internationalisation also emerged in a course that I was taking about teaching in higher education. During the course, the teacher and other colleagues (taking the course) raised concerns about planning the curriculum for and teaching students with diverse needs and experiences. My interactions with international students during seminars that I taught also enhanced my awareness of how a group of people with diverse backgrounds and experiences might relate to: each other; the content of their studies; the environment they are engaging in and how they translate what they are learning to their own social and economic realities. I linked aspects of those discussions with the students I tutored and other academic colleagues to the notion of valuable beings and doings of people

within the context of internationalisation in the University.

The various aspects of the research for this thesis were linked together through a ‘continuous’ and ‘organic’ process, which relates to Dewey’s notion of *transactions* in an environment (refer to Chapter 1). I consider that the emergence of the four distinct but interrelated topics forms part of a holistic experience in a journey of inquiry.

### ***Main contributions of the thesis***

The main contribution of the thesis is two-fold. The first contribution is in terms of showing how the capability lens may be used to offer novel perspectives about various issues that affect our lives in society, including in academia. The main contribution in that regard is the chapter on the capabilities of academics and academic poverty, which has novel arguments and contribute to on-going debates about academia (for example, Wasser 1990; Parker and Jary 1995; Gibbons 2000; Gumport 2000; Jacob and Hellström 2000; Nowotny 2000; Nowotny *et al.* 2003; Larner and Le Heron 2005; Brew 2007; Aranguren *et al.* 2009, Meyer 2012).<sup>3</sup> The chapter on capabilities of academics and academic poverty can be used as a valuable resource for future conceptual and empirical work. The insights from the chapter also have direct relevance for the practice of management in academia for example, in terms of the organisational and evaluation arrangements for research work, monitoring and controlling the impact of

---

<sup>3</sup> A version of this chapter has been co-authored with Professor Roger Sugden and has been recently published in the peer-reviewed journal, *Kyklos*.



external pressures on academics and their work, ensuring that certain 'basic academic needs' are fulfilled (see Chapter 7).

The second contribution is in terms of the development of a research approach that puts emphasis on the journey of academic inquiry. This approach integrates both practical and academic concerns, where the path to inquiry cannot be predetermined, not least because one might not know which issues might emerge or how the situational context might change. The methodological reflections throughout the thesis seek to offer practical insights about how my approach developed over time and also about challenges that arose (for example, in adopting aspects of action research). Those reflections might be helpful to other researchers who are interested in conducting research in real-time.

The writings on Dewey might also prove to be significant to organisational research, not only in terms of methodological developments but also conceptually. There is an emerging literature that uses Dewey's work to look at the role of emotions in organisational action (Adler and Obstfeld 2007) and 'routines' or 'routine habits' in recurrent action patterns (Cohen 2009). The introduction to Dewey and notions such as transactions, sense and sensibility, etc. might offer a valuable resource (or at least a starting point) to others contributing to that emerging literature.

In the context of industrial relations and human resource development, Bryson and O'Neil (2009) apply Sen's capability approach to ask what workers value in a job and what are the social arrangements that are

conducive to workers being able to be or do something that they have reason to value. They also argue that the capability approach offers an alternative to the narrow conceptions of the role of workers, managers and organisations. This shows that there is interest in the management literature to use the capability approach and its associated language in order to focus on what people have reasons to value at work and in organisations.<sup>4</sup> My discussion about the capability approach (in Chapter 2 and 7) might contribute to such discussions around Sen's work in the management literature and stimulate further ideas about how a focus on capabilities might be relevant to practices in management and organisation. My discussion in Chapter 2 includes critiques of the capability approach that might be helpful for those researchers who are not familiar with the extensive literature on Sen's work (that goes beyond his capability approach).

Furthermore the analysis of Chapter 7, may be interpreted in terms of what some workers in academia (that is, academic researchers) have reasons to value being and doing as part of their work activities. The arguments have been structured in that chapter in a way that shows how the capability lens can be applied in a systematic way.

There are also recent publications in other disciplines that explicitly link aspirations and capabilities (Hart 2013; Conradie and Robeyns 2013). By discussing such work in this thesis and my own contribution (through ideas

---

<sup>4</sup> See also, the use of Sen's capability approach in Deakin (2009) on the evolution of European Social Policy; Barker *et al.* (2009) on the 'Human Capability Framework', Kesting and Harris (2009) for 'Work-Life Balance'; Schischka (2009) on the application of a monitoring and evaluation process' in the management literature.

about how play might enhance freedom to aspire and aspiring as a functioning), I seek to contribute to the emerging literature on aspirations and capabilities and also to broaden existing perspectives in the management literature.

Overall, the range and nature of problems/issues discussed in the thesis are arguably relevant to management. By adapting the capability lens to look at issues related to shaping aspirations, qualities of play, and internationalisation in a university the focus is on — the effect that these issues might have on the valuable beings and doings of people and how the capabilities of people might shape these issues. This might open up new arena for research and broaden/deepen existing analytical perspectives for example, in the literature about career aspirations, play in organisations, and internationalisation of higher education.

### ***Structure of the thesis***

Part I introduces the theoretical discussion about inquiry and capabilities. Chapter 1 presents insights that John Dewey's work might offer in terms of conceiving and conducting inquiry. This is followed by the introduction of Amartya Sen's capability approach, which puts emphasis on the valuable beings and doings of people. Part II, which consists of Chapters 3, 4 and 5, presents the methodological, including ethical and analytical, issues in conducting the research. In Part III, Chapter 6 links empirical findings with conceptual notions about shaping aspirations based on the real-time inquiry in YoungArts.

Part IV continues the exploration of these issues in the context of academia. Chapter 7 leads onto critical reflections about the capabilities of academics. Chapter 8 looks at the notion and qualities of play, and its potential contribution to enhancing real opportunities for achieving valuable beings and doings, including aspiring. In Chapter 9, the discussion focuses on internationalisation in a university context and how that might impact on the valuable beings and doings of people, including shaping their voices to act.

Issues that emerged earlier in the journey of academic inquiry, for example around aspirations and capabilities are further explored in later parts of the thesis. As indicated above the discussion, in Part I to Part IV, is tied conceptually by an underlying concern with real opportunities of individuals and methodologically by the academic journey that I conducted for the thesis.

## **PART I**

### **THEORETICAL DISCUSSION ON: INQUIRY AND THE CAPABILITY APPROACH**

My starting point (and the beginning of the journey of academic inquiry) for the thesis was an exploration of how a group of people might shape their aspirations in real-time, in the context of a socio-cultural project, YoungArts (which I introduce in Part II and describe more fully in Part III of the thesis) led by an arts organisation, ArtsCentre. The timing for the launch of the socio-cultural project coincided with the beginning of my PhD. I thus embarked on the empirical work for YoungArts in the first month of my PhD, which meant that I had the opportunity to observe and understand the development of the socio-cultural project (and the participants involved) from an early stage. This also meant that I had to develop my research approach in a timely manner and under uncertainty.

The research work into the context of YoungArts was formally set up as part of a Knowledge Transfer Partnership (KTP) between ArtsCentre and the University. In turn, the KTP was an integral part of the research for my PhD. I provide further details about the KTP, including the difficulties that it raised in terms of academic research, in Part II of the thesis. In preliminary discussions, there was expressed interests and intent (from both partners) to take action based on the inquiry conducted. Thus the project plan for the KTP included the use of action research as a methodology.

During one of my initial discussions with the partners of the KTP, it emerged that they were keen to explore the possibility of co-generating knowledge, which might in turn enhance the understanding and practice of the professionals and academics (including myself) involved in the KTP, and other people with whom they had interactions. This line of thinking is consistent with the aims of action research approaches (see for example, Eden and Huxham 1999; Reason and Bradbury 2008).

I explored action research approaches in line with the KTP project plan. I elaborate more on action research in Part II of the thesis, which specifically addresses methodologies and methods that I used for the thesis.

### ***Inquiry***

Following a critical review of the literature on action research, I engaged with Dewey's work in order to further understand his influence on action research approaches. The work of Dewey is recognised as being perhaps the most influential on pragmatic action research approaches (Hammersley 2004). I considered that the writings of Dewey resonated with my work in the context of YoungArts. His emphasis on making an indeterminate or problematic situation more determinate through inquiry informed how I perceived the context of YoungArts and brought another dimension to how I conducted the research. His consideration about practical consequences of action was also very relevant in combining the various aspects of the KTP. During my reading of Dewey's writings, I began to gain a deeper

understanding of the ‘conduct of inquiry’ more generally, not only in terms of action research. Chapter 1 presents a discussion on the insights that Deweyan inquiry might offer.

At the beginning of the research in YoungArts, I had not envisaged that the situation (based on my earlier discussion with the KTP partners) would be uncertain or ‘indeterminate’. Initially, I thought that the members of ArtsCentre were clear about the situation they were in and how they would achieve the objectives in the YoungArts project. However after a few weeks in the context of YoungArts, I observed that the situation in the socio-cultural project was uncertain, indeterminate and potentially problematic.

As a consequence, a number of questions emerged in a way that went beyond the concerns that were set up in the KTP project plan. Some of those questions were with regards to YoungArts: Was it clear to the participants what YoungArts is about? What was ArtsCentre (and YoungArts) really trying to achieve through the socio-cultural project? Was there really a focus on providing opportunities for the young people to develop their creative potential and ambitions? If yes, were those *real* opportunities? Were the objectives set in the YoungArts project plan reflecting or coinciding with the aspirations of the group of participants actually involved in the socio-cultural project? Were those objectives still appropriate/relevant or did they need to be reviewed? Could those objectives be re-defined? What are the priorities of ArtsCentre? What were the priorities of the other participants, especially the young people? How did those priorities translate to the responsibilities of the staff working in YoungArts?

This line of thinking also led me to reflect on my approach and the relevance of my work in that particular context. I began to consider whether one could reasonably predetermine the research concerns and related questions when the situational context itself was indeterminate. Moreover, how did one develop a relevant approach to research under such circumstances? How could I, as a researcher (from a university) balance my responsibilities with that of a KTP Associate who had to deliver on particular outcomes? What was my role and what were my primary responsibilities as such?

Dewey (1938) links questioning to inquiry — ‘we inquire when we question’ (105). Furthermore, to address an indeterminate or problematic situation, one engages in inquiry and ‘to see that a situation requires inquiry is the initial step in inquiry’ (Dewey 1938: 107). In that sense, I consider that I was fully engaged in inquiry when I began to reflect on the questions mentioned above. The concerns were related to two areas 1) the situational context of YoungArts and 2) my role within that particular context and more generally as a researcher having certain academic concerns.

The initial step for my journey of inquiry was thus to see that the situation in YoungArts was indeterminate and problematic and required inquiry. I then addressed some of those questions about the situational context of YoungArts (specifically discussed in Chapter 6) and in parallel about my role and responsibilities as an academic researcher (as discussed in Chapter 7). Throughout the thesis there are echoes of my reflections regarding those questions, for example when discussing my research approach in Part II.



In this part of the thesis, Chapter 1 provides insights about the conduct of inquiry by referring to some key aspects of Deweyan inquiry. Dewey points out that inquiry is shaped by the context and arises from interactions of people with their environment. In turn, the context is transformed through the process of inquiry. Dewey's work helped to make sense of what I was observing and experiencing in real-time and in the 'real' (indeterminate and problematic) context of YoungArts.

Moreover, by relating my experience in YoungArts to aspects of Deweyan inquiry, I seek to offer insights about how his work might still be relevant today. In doing so I contribute to the contemporary literature on action research that also draws on Dewey. The insights underlie the methodological discussion for the research in YoungArts and to some extent in the Internationalisation Project. It is important to note that I also refer to approaches such as action research, case study and visual methodologies in my research approach. In that sense, I did not simply rely on Dewey's work to develop a methodological approach.

The discussion in Chapter 1 offers further explanation about why I refer to Dewey's work for the thesis.

## ***Capability Approach***

My exploration of the capability approach is intrinsically linked to the inquiry that I was conducting in the context of YoungArts. Towards the end of the inquiry in YoungArts, I came across works of Amartya Sen such as ‘Development as Freedom’ and his contribution to the Human Development Reports (see Chapter 2). His emphasis on achieving *valuable beings and doings* and on *real* opportunities was insightful in terms of understanding how people might shape their aspirations and activities. His writings on freedom of choice and social preferences also opened new perspectives for interpreting what was happening (or had happened) in YoungArts.

The work of Amartya Sen has an underlying influence on my analysis of the YoungArts case and to some extent I use some of the language that he uses. However, in the chapter on YoungArts I focus on the literature on aspirations rather on capabilities and try not to deviate from my main concern in that particular case, that is the exploration of young people’s aspirations.

Since inquiry is a continuous process (see Chapter 1) I further developed my critical thoughts about what I did in the context of YoungArts – in relation to the capabilities of academics. Based on my experience in doing an inquiry in real-time in the context of YoungArts, I conceived that the reasoning developed in the capability approach could also be applied to what researchers do (and who they are), and thus by extension to the context of academic research. I thus began to reflect on the capabilities of academics

because of concerns that arose during the inquiry I did in the KTP. Following those reflections, I started to put emphasis on *academic inquiry*, rather than *inquiry*.

Inquiry and capabilities are thus the two theoretical notions that provide the foundation for key arguments presented in the thesis and they tie the distinct topics discussed in the thesis in an intrinsic way.

### ***John Dewey and Amartya Sen***

I introduce both John Dewey and Amartya Sen in the respective chapters on inquiry (Chapter 1) and capability approach (Chapter 2). An understanding of Dewey's work on inquiry underlies my research approach and an understanding of Sen's capability approach underlies my conceptual arguments. In that sense, I do not perceive any conflict or clash (in terms of ontological position or otherwise) in using their distinct work, as they are used for different purposes.

It might be worth noting that throughout their respective body of work, both Dewey and Sen highlight the significance of issues such as freedom, value judgments, public deliberation and democracy. I have not encountered any work that might suggest that they hold opposing views on those issues. Sen actually presented a paper entitled 'Well-being, agency and freedom', as part of a series of lectures he delivered in honor of the late John Dewey at Columbia University in September 1984 (Sen 1985).

Both Dewey and Sen are proponents of pluralist approaches and democratic methods. For example, while values hold an integral place in their respective body of work, neither of them spells out a general list of what those values are or ought to be and (though they encourage public deliberation) neither of them lay down a specific method in order to determine values. As indicated in Chapter 1 and Chapter 2, it is for individuals in a community or society to deliberate on and determine what their values are, given their situational context.

Moreover, Dewey and Sen do not put exclusive emphasis on individuals or society. Rather, both look at individuals in relation to society and society in relation to individuals. Individual concerns do not take priority over societal concerns and vice-versa. Readings of both Dewey's and Sen's work suggest that individuals associate with each other and live together in pursuing valuable beings and doings; and economic, social and political processes must integrate individuals (and their concerns and well-being) in pursuing development as an end. As such, individuals and society are part of a complex set of relations and inter-relations; actions and inter-actions. This is a view that I adopted in the journey of academic inquiry for this thesis.

## ***Structure of Part I***

Chapter 1 primarily discusses aspects of Deweyan inquiry that underlie my research approach and offers an introduction and critique of Dewey's work. Chapter 2 provides a critical account of Sen's capability approach, which I draw upon to develop the conceptual arguments, especially for Part IV of the thesis.

## CHAPTER 1

### RECONSTRUCTING INQUIRY:

#### AN INTRODUCTION TO JOHN DEWEY AND HIS APPROACH

John Dewey, philosopher, psychologist and educationist, provides range and vision in his body of work, which covers diverse topics and academic disciplines (Boydston 1970). This chapter cannot address the full range of Dewey's work and the associated critique. The central questions that I reflect upon are: What does Dewey's work have to offer in terms of undertaking inquiry? Which aspects of Deweyan inquiry have provided the impetus for the 'journey' of academic research presented in this thesis? Therefore, while the chapter also includes an introduction to Dewey and his work — it mostly focuses on his ideas regarding inquiry, which relate to my overall methodological approach.

Johnston (2006) argues that many scholars try to determine a model of inquiry in Dewey's work. In doing so, they might overstretch the substantial arguments that Dewey puts forward. It is important to note that I did not attempt to apply Deweyan inquiry (or a model) per se in conducting the research for the thesis. Rather I seek to demonstrate how *aspects* of Deweyan inquiry might offer significant insights to researchers in developing their methodological approaches.

What is inquiry? In general terms, inquiry is derived from the root word

‘inquire’, which can be generally understood as conducting an investigation or research, and questioning or querying (Barrow 2006). Further, consider the following:

We inquire when we question; and we inquire when we seek for whatever will provide an answer to a question asked.

Dewey (1938: 105)<sup>5</sup>

Inquiry involves ‘directed activity’, and ‘doing something which varies the conditions under which objects are observed and directly had and by instituting new arrangements among them. Things perceived suggest to us (originally just evoke or stimulate) certain ways of responding to them, of treating them’ (Dewey 1929: 123). Subject matters of inquiry thus emerge from observations of social situations.<sup>6</sup>

Dewey writes: ‘It is always the social institution which preceded the theory; not the theory which precedes the institution’ (1919: 20, 45 as cited in Deen 2012). In conducting inquiry in the Deweyan sense, one engages in making theory less remote and otiose and perhaps more practical. In Dewey (2012)<sup>7</sup>, the definition of ‘practical’ is taken from the Oxford Dictionary as ‘having or implying value or consequence in relation to action’.

In the discussion that follows, in Section 1.1, I provide my reasons for

---

<sup>5</sup> The term inquiry in the pragmatist tradition is considered a legacy from Charles S. Peirce (Geiger 1958).

<sup>6</sup> Dewey’s spelling of *inquiry* is retained throughout the thesis instead of enquiry.

<sup>7</sup> This is Dewey’s lost manuscript, which was recently found by Phillip Deen in the archives of The Center for Dewey Studies at Southern Illinois University, Carbondale.

drawing on Dewey's work. Section 1.2 includes a general introduction to Dewey. Section 1.3 focuses on key aspects of Deweyan inquiry (which is my central concern in this chapter). In section 1.4, I present a critique of some aspects of Dewey's writings. Section 1.5 briefly points out the potential distinction between inquiry and research, and between academic research and non-academic research. Section 1.6 concludes the chapter.

### ***1.1. Why refer to Dewey's work?***

The question that one might pose is: What is so special about Dewey's work and why do I refer to his writings? For this thesis, especially for the research work in the KTP (described in Part II of the thesis), I was looking for an approach that takes into consideration the practical consequences of action (of people, including the researcher) involved in the context. Dewey addresses the issue of practical consequences of action and has written prolifically on the conduct of inquiry, while still upholding a critical appreciation of the value of scientific method. For Dewey, scientific method is particularly valuable 'for its practical successes in experimentation and problem solving'. Moreover, scientific method includes the type 'of reasoning and judgment that is applied for the domain of value, in that it is fallible, focused on individual cases, and intimately connected with action' (Biesta and Burbules 2003: 14 -16).

Fallibilism implies that there is an inherent uncertainty involved in constructing knowledge mostly because one can never be sure about



whether the pattern of past actions will be appropriate for problems that might emerge in the future. Moreover, one cannot fully predetermine what problems might emerge in the future. My reflections about the inquiry in YoungArts were along the same lines of those ideas about fallibilism and uncertainty.

In the pragmatist tradition, Dewey's *Logic: Theory of inquiry* provides key principles of inquiry, which are tied to his broader philosophical discussion. For example, Dewey rejects taken-for-granted dualisms like mind-matter, theory-practice, etc. Dewey's theory of inquiry has received critical appreciation from many researchers and has been applied especially in the context of education. In the context of educational research, Biesta and Burbules (2003) advance that Dewey offers a distinctive approach that situates 'questions of knowledge and the acquisition of knowledge within the framework of a philosophy of action' (9). I echo Biesta and Burbules (2003) point that this especial focus of Dewey — the connection between knowledge and action — is most relevant for those who approach questions about knowledge from a practical perspective.

Our doings have an impact on our environment and we undergo the consequences of our doings in the process of interaction. In turn, we adapt and adjust our doings in a continuous process. This implies that in the 'act of knowing — and hence in research — both the knower and what is to be known are changed by the transaction between them' (Biesta and Burbules 2003:12). This also implies that there is a temporal quality to inquiry. I relate this to my experience in the KTP, in the sense that, as a researcher, I

(and I presume the other participants), and what I/we knew were changed by the interaction with our environment and what I/we experienced. In part, this experience led me to reflect not only on the doings of the participants but also on my doings, as an academic researcher. This contributed to the writing about the capabilities of academics and the university context (in Part III, Chapter 7).

## ***1.2 An introduction to John Dewey and his work***

Some of Dewey's key writings are on democracy, education, experience, and inquiry (Dewey 1910, 1934, 1938, 1947, 2012).

It has been remarked that Dewey considered psychology 'not as a science but as a philosophical method and "standpoint"' (Schneider 1970: 1). Dewey's seminal 1986 paper *The Reflex Arc Concept in Psychology* became a key reference in the discipline of modern psychology (Madzia 2012). The paper challenged the traditional outlook on the nature of cognition and the stimulus-response mechanism. Dewey sought to shift the paradigm from considering organisms as simply responding to stimuli — to a conception of living organisms, including the human organism, as being embodied in an environment and engaging in purposeful action. According to Dewey, the organism is not a passive recipient of stimuli; the organism is active and is maintaining a balance with the environment. Dewey also presented the notion of psychological functionalism, which considers "perception" and

“consciousness”, for example, as having functional purposes rather than being two independent entities (Biesta and Burbules 2003).

During his joint appointment at the Faculty of Philosophy and the Faculty of Teachers College at Columbia University, Dewey wrote some of his most influential texts, including those related to the philosophy of education: *How We Think* (1910) and *Democracy and Education* (1916). A number of his other writings are related to the many lectures that he was giving at that time: *Reconstruction in Philosophy* (1920), *Human Nature and Conduct* (1922), *Experience and Nature* (1925), *The Public and its Problems* (1927), and *The Quest for Certainty* (1929). In the 1930s, Dewey wrote: *Art as Experience* (1934), *Logic: The Theory of Inquiry* (1938), *Experience and Education* (1938), *Freedom and Culture* (1939) and *Theory of Valuation* (1939), among others.<sup>8</sup>

### *1.2.1 Influences on Dewey and his association with pragmatism*

Dewey engaged extensively and critically with the work of Immanuel Kant and Georg Wilhelm Friedrich Hegel and often refers to them in his writings (see, for example Dewey 1929). Kaufmann (1959) suggests that there are links between Dewey’s *Logic* and Kant’s *Critique of Pure Reason*. However, Dewey’s work diverges from Kantian and Hegelian thoughts in many ways. For example, Dewey does not adopt Hegelian idealism but he acknowledges

---

<sup>8</sup> <http://www.iep.utm.edu/dewey>. Accessed online: 19 October 2014. See also Chambliss (1996).

that Hegel's work has a significant influence on his thinking (Chambliss 1996).

Together with Charles Sanders Peirce (1839-1914) and William James (1842-1910), John Dewey is considered to be one of the key thinkers of the philosophical pragmatist tradition (Biesta and Burbules 2003; Karlsen and Larrea 2014).<sup>9</sup> Under the influence of William James, Dewey began to critically appreciate Peirce's philosophy (Tiles 1988), from which pragmatism originated in the 1870s. Thus, unsurprisingly Deweyan inquiry shares some features of Peircean inquiry (as discussed later on). A primary concern of these three classical American pragmatists, Peirce, James and Dewey, is with the practical consequences of action. They also embraced the notion of fallibilism, emphasising that there can be no absolute certainty about what we know — as situations, environment and actions constantly evolve and as such conclusions are not finite.

Pragmatism is often regarded as being pluralistic; there is not just one approach. The individual approaches of Peirce, James and Dewey, differ in some respect. For example, James adopts a more individualist approach than Peirce or Dewey. Another example is that Dewey puts emphasis on changes in *situations* whereas Peirce focuses on changes in *beliefs* (Levi 2012).

George Herbert Mead contributed to the further development of

---

<sup>9</sup> Pragmatism originated in the 1870s, through the work of Charles S. Peirce. Over time, Peirce reworked his ideas about pragmatism (and later coined his approach as "pragmaticism"), especially in response to the work of William James.

pragmatism — the social philosophy of action (Joas 1993; Biesta and Burbules 2003). Dewey and Mead were both contemporaries at the University of Chicago and their writings are considered complementary in many respects. Both Dewey and Mead criticise idealist theories of knowledge. For them, organism and the environment, individuals and the social world, action and thought are inseparable (Mead and Morris 1962; Blumer 2004).

Charles Morris remarks that ‘If Dewey gave range and vision. Mead gave analytical depth and scientific precision. If Dewey is at once the rolling rim and many of the radiating spokes of the contemporary pragmatic wheel, Mead is the hub’ (Mead and Morris 1962: XI). Mead focuses his work on understanding the nature and interaction of the individual ‘self’ in ongoing social lives. His work is fundamentally oriented towards understanding the nature of human conduct and social interaction, especially in terms of how individuals conceive and respond to the notion of ‘self’ and ‘others’ (Blumer 2004). Dewey is interested in understanding the acts and interaction of individuals with and within society. At the core of Dewey’s philosophy is an appreciation of what other people know — what people learn through experience (Randall 1953).

Furthermore, Schneider (1970) notes that Dewey relies on Mead and Tufts to develop the social aspects while he developed ‘his psychology of intelligence in the individual organism, emphasising its implications for the theory of knowledge and the self’ (7).

### *1.2.2 Transactional approach*

Dewey's philosophical approach rejects the duality of mind and matter, for example in the construction of knowledge. His focus is on the interaction or *transaction* of organisms (human beings) and their environment. He refers to this transaction as experience — living organisms are connected to reality through their experience (Biesta and Burbules 2003). Knowledge is constructed in the transactional process between organisms and their environment and based on the reality (which is experienced). This transactional process involves adaptation and continuous readjustment over time. Dewey's 'transactional' approach is considered to be a version of realism, and is referred to as *transactional realism (ibid.)*.

### *1.2.3 Dewey in the contemporary context*

For most of the twentieth century, Dewey's work and pragmatism in general held a fairly marginal position in philosophical debates (Evans 2000; Biesta and Burbules 2003). Logical positivism and analytical philosophy dominated philosophical discussions at that time. In the late 1970s, there was revived academic interest in pragmatist ideas, including Dewey's writings. This revitalisation was done by the so-called "neo-pragmatists" Richard Rorty, Hilary Putnam and Richard Bernstein, among others. As a consequence, pragmatism took a more central position in philosophy in the late 1970s. Like the classical American pragmatists, neo-pragmatists also have some diverging views.

Among the neo-pragmatists, Rorty is most often credited not only with advocating pragmatism (Metcalf 2008) but also for adopting a particular and controversial approach to pragmatism (Reason 2003). Rorty has been criticised for unfairly assuming that he is an authority on Dewey and appropriating parts of Dewey's writings (Evans 2000; Levi 2012).

### ***1.3 Aspects of Deweyan inquiry***

Dewey's concept of inquiry has been considered as a basis for research (Morgan 2014) and as an inspiration to develop particular methodologies, for example, action research (see Greenwood and Levin 2005; Reason and Bradbury 2008).<sup>10</sup> The following discussion highlights some key aspects of Deweyan inquiry that I used as the departure point for my methodological approach.

#### *1.3.1 Transformation of an indeterminate or problematic situation*

Dewey (1938) defines inquiry as 'the controlled or directed transformation of an indeterminate situation into one that is so determinate in its constituent distinctions and relations as to convert the elements of the original situation into a unified whole' (105). An indeterminate situation is one that is doubtful (Levi 2012). It is the existential situation in which one is caught that is doubtful — obscure, uncertain, problematic — not the inquirer. The inquirer addresses the inherent doubtfulness of the *situation*.

---

<sup>10</sup> Many action research approaches are often referred as 'action inquiry' and 'co-operative inquiry' (see Reason and Bradbury 2001, Reason and Bradbury 2008).

Like Peirce, Dewey shares the view that through the intelligent conduct of inquiry, one seeks to determine a strategy that will help in reducing or eliminating doubt, which in turn constitutes or leads to justified changes in the situational context (*ibid.*).

Dewey's approach to inquiry has been described as 'problem-centred' (Tiles 1988; Rabinow 2012). Dewey suggests that a working postulate of inquiry is that problematic situations are resolvable but the means to solve the situations might not be readily available at a given time (Tiles 1988). Hence, it is not necessary that there is a solution for every problem at any given point in time. It is fallacious to frame perspectives about problematic situations in a final 'all comprehensive unification' (as cited in Tiles 1988: 119). There is plurality in problematic situations, that is, there might be more than one problem and/or solution in a context. Certain operations in an inquiry are thus crucial in order to determine the problem situations and related solutions, and for the inquirer(s) to identify which problem situations and solutions to focus on.

Consider the following:

By description, the situations which *evoke* deliberation resulting in decision, are themselves indeterminate with respect to what might and should be done. They require that *something* should be done. But *what* action is to be taken is just the thing in question. The problem of *how* the uncertain situation should be dealt with is urgent. But as merely urgent, it is so emotional as to impede and often to frustrate wise decision. The



intellectual question is what sort of action the *situation* demands in order that it may receive a satisfactory objective reconstruction. This question can be answered only, I repeat, by operations of observation, collection of data and inference, which are directed by ideas whose material is itself examined through operations of ideational comparison and organisation.

Dewey (1938: 161; emphases in original)

From the above quote, one can infer that inquiry involves observation, data collection and inference guided by ideation and organisation of ideas and materials through reasoning. Each problematic situation might consist of particular issues, which in turn require observation, collection of data and inference in order to determine the problems and potential actions for changes.

One might argue that it is standard practice for a researcher to carry out observation, data collection and inference. So what is special in what Dewey writes? I suggest that the answer lies partly in the underlying view that ‘free theoretical knowledge and concrete practical application reciprocally support each other’ (Dewey 2012: 284) in order to understand and address social problems.

### *1.3.2 Action - Theory and practice*

Dewey contests dualism in things such as mind and body, knowing and action, theory and practice and man and nature. For example, inquiry occurs through reflection and thinking but not as something that occurs simply within the confines of the 'mind' as traditionally understood (Dewey 1929). As such, Dewey contests the separation of thought from action; thinking is a form of action (Karlsen and Larrea 2014).

Dewey points out that modern philosophy is preoccupied with 'finding a method to secure certain knowledge' and in doing so is isolating 'knowing from broader human concerns' (Deen 2012: XXII). In his article 'Liberating the Social Scientist', Dewey provides a critique of inquiries in social sciences, which according to him tend to limit and restrain the 'study of man' or 'inquiry into human relationships' by imposing a ' "frame of reference", i.e. the axioms, terms, and boundaries under which they function today' (1947: 378).

In reference to the articles 'Adjusting Men to Machines' by Bell (1946), 'What is Sociology's Job?' by Glazer (1947) and 'Our Obsolete Market Mentality' by Polanyi (1947), Dewey (1947) points out that those articles reporting on social studies highlight the need for a 'wider and freer range in inquiry' that is not constrained by a predetermined fixed 'framework of reference' set by external forces. He further writes that there is a divide between the various aspects of human inquiry that separates economics, politics, and morals from a 'single and inclusive cultural whole in which

their subject matters' are intrinsically connected to each other (Dewey 1947: 381). According to Dewey, if we break from the divisions (that hinder the cross-fertilisation of ideas and methods), adopt intellectual habits and use the resources available fully and freely, we shall release and expand human inquiry (including methods and conclusions) from the shackles of a fixed physical and material framework (inherited from old traditions of physical inquiry) which confines the studies of social subjects.

Many scholars, especially philosophers, tend to attribute greater importance to theory (as the highest form of knowledge) than to practice or practical knowledge (Dewey 2012). Dewey rejects this hierarchical division of theory and practice.

Furthermore, consider the following:

Within Dewey's pragmatism and its emphasis on experience, ontological arguments about either the nature of the outside world or the world of our conceptions are just discussions about two sides of the same coin.

(Morgan 2014: 1048)

Things or situations in an inquiry are to be experienced.

### 1.3.3 Sense and sensibility

Dewey (1938) emphasises that the quality of a situation cannot be expressed; it has to be *had* or *felt*, which in turn relates to what a person *senses* in a situation. Dewey (1925/ 1981: 200) suggests that:

[t]he sense of a thing [. . .] is an immediate and immanent meaning; it is meaning which is itself felt or directly had. When we are baffled by perplexing conditions, and finally hit upon a clew [sic], and everything falls into place, the *whole* thing suddenly, as we say, ‘makes sense’.

(quoted in Johnston 2006: 93)

Thus a possible starting point for sensing something might be based on what one has felt or had, that is, experienced. Moreover, sense enables the connection amongst different elements, and of what belongs together or not.

Docherty (2013) considers sense in his analysis of play. While Dewey seems to encapsulate elements of sensibility within his notion of sense, Docherty makes an explicit distinction between sense and sensibility and their interplay in his analysis. For Docherty (2013: 58), sense refers to the ‘operations of reason and intellect’ and sensibility to ‘the physical sensations of life as it is lived’. Though the language that Dewey and Docherty use differ slightly, both authors reason that to make sense of something (such as an experience or a ‘whole’ situation) one requires sensibility (or, in Dewey’s words, an emotional quality) to understanding elements in a context.

I consider that the interplay of sense and sensibility as discussed by Docherty (2013) is particularly insightful in conceiving what sensitivity to the quality of a situation might mean in the context of an academic inquiry. Docherty (2013: 65) brings the notion of play into this debate, stating that play is:

a kind of radical release of the very energies that are required for committed learning and teaching in the first place. It is in play that we see the play of sensibility and that we therefore engage the body with the mind in embodied learning or sense-making.

Following Docherty (2013), I conceive that the release of energies through play (in an embodied experience) is required for committed learning and teaching, and also for the conduct of an academic inquiry. It is not difficult to imagine that an academic researcher might engage in an embodied experience in terms of the physical sensations (sensibility) engaging with the mind (through the operations of reason) when conducting an inquiry. The embodied experience enables the academic researcher to feel and make sense of the quality of a situation in a particular research context.

Consider this passage that Dewey (1934: 198) writes in *Art as Experience*:

the undefined pervasive quality of an experience is that which binds together all the defined elements, the objects of which we are focally aware, making them whole. The best evidence that such is the case is our constant sense of things as belonging or not belonging, of relevancy, a

sense which is immediate. It cannot be a product of reflection, even though it requires reflection to find out whether some particular consideration is pertinent to what we are doing or thinking. For unless the sense were immediate, we should have no guide to our reflection. The sense of an extensive and underlying whole is the context of every experience.

(as quoted in Johnston 2006: 91)

In the conduct of inquiry, one should not misinterpret that ‘making sense’ of the quality of a situation is synonymous with *asserting* a particular problem or truth. The ‘sense-data’ or ‘sense-perception’ (Dewey 1938) that one obtains in the conduct of inquiry is not sufficient to determine a significant problem. Rather, as Dewey suggests in the above quote, immediate sense guides reflection.

Making sense (which includes sensibility) of a situation enables inferences to be made in the conduct of the inquiry. I reason that in the empirical context of YoungArts, sense and sensibility guided my reflections and helped make inferences about issues that in turn required further investigation. For example, at some point in YoungArts, I ‘sensed’ tension in meetings amongst the participants.<sup>11</sup> I considered that poor and/or lack of communication amongst the participants might be a possible cause for the tension. The inference made about communication was necessary but it was

---

<sup>11</sup> I elaborate on the aspect of tension in YoungArts in the discussion of the use of rich picture later in the thesis.

not a complete or final conclusion. I had to further investigate (through research methods discussed in Chapter 4) the underlying reasons for the tension and the consequences that those issues might have.

Building on Dewey's writings, Docherty (2013: 63) suggests that making inferences involves a thinking process which:

[. . .] is related not simply to registering what happens, or to registering the 'input' as it were; but it actually also implies the imagining of what might be the case, . . . it is imagination as action.

This notion of 'imagination as action' is key in conducting inquiry. It is through this process, of linking what is happening with what might happen that a researcher builds her conceptual analysis and takes the inquiry forward in her continuous quest for removing doubts and seeking answers in existing or new problematic situations. For example, in making inferences (based on my interpretation of the situation in YoungArts), I imagine 'what might be the case' if play was embraced in shaping aspirations. The imagination led to action in terms of the 'journey' of academic inquiry that I engaged in, in order to explore the notion of play further.

In relation to my earlier point about not confounding 'making sense' with assertions and in line with Dewey (1938), I argue that inferences are intermediate and do not provide final conclusions; rather inferences *suggest* something and that something both informs and requires further investigation (as I described above in the case of YoungArts).

#### 1.3.4 *Continuity in inquiry*

Conclusions of an inquiry are not infallible or finite; the conclusions might be further tested, reaffirmed, deepened or revised and lead to further inquiry (Tiles 1988). There is thus continuity in inquiry. Dewey writes:

Inquiry is determined by the conclusions reached in the previous course of its own developing methods of observation and test. The unanswered questions, the problems, which have emerged in this course provide its next, immediate directives. The strong points in conclusions already attained provide the resources with which to attack the weaknesses, the deficiencies, and conflicts that form weak points in its present state. In consequence, inquiry in its most developed and accomplished form has no traffic with absolute generalizations. Its best theories are working hypotheses to be tested through their use in application in new fields.

(1947: 384)

Indeed inquiry is a *continuing* process, that is, ‘rational operations grow out of organic activities, without being identical with that from which they emerge [. . .] In the course of time [. . .] the intent is so generalized that inquiry is freed from limitation to special circumstances’ (Dewey 1938: 19). Here, it is important to note that Dewey is writing about the generalisation of *intent* and not the generalisation of the *conduct* or *conclusions* of inquiry. According to Dewey (1947), inquiry (in its most developed form) is not associated with fixed generalisations or absolutes.



Furthermore,

[t]he “settlement” of a particular situation by a particular inquiry is no guarantee that *that* settled conclusion will always remain settled [. . .] the criterion of what is taken to be settled, or to be knowledge, is being so settled that it is available as a resource in further inquiry; not being settled in such a way as not to be subject to revision in further inquiry.

Dewey (1938: 8-9)

This Deweyan conception of inquiry is crucial in understanding how I conducted the research for the thesis. The empirical research that I started in the context of YoungArts reached certain conclusions (that are discussed in Part III of the thesis) but those conclusions were not so settled that they brought an end to inquiry. The knowledge gained in the particular inquiry of YoungArts led to a continuing process of further inquiry addressing concerns about ‘the capabilities of academic researchers’ and ‘qualities of human play’, which in turn led to ‘internationalisation in a university context’. Hence, the reference to a ‘journey’ of inquiry in this thesis.

#### ***1.4 Critique of Dewey’s work***

Many scholars have argued that Dewey’s conception of inquiry is not free from uncertainties and contradictions (Johnston 2006). Part of the explanation for that problem has been assigned to the dense prose in Dewey’s writings and the various angles from which he addresses the notion of inquiry. Dewey’s complex writing has led to diverse readings and

interpretations of his work. For example, there are diverging views about the significance of truth in Dewey's philosophy. Dewey has been criticised for his casual approach to the issue of truth (Levi 2012). Based on my reading of Dewey's work (and that of other scholars who wrote about Dewey), I suggest that though Dewey has reservations about the *term* 'truth', it is undeniable that the issue of truth holds a significant place in his philosophy. Building on Charles S. Peirce, 'Dewey claims truth to be the successful outcome of inquiry' (Pepper 1977: 69).

In a footnote in 'Logic: The Theory of Inquiry', Dewey hints that the best definition of truth (from a logical standpoint) is that provided by Peirce:

The opinion that is fated to be ultimately agreed to by all who investigate is what we mean by the truth, and the object represented by this opinion is the real.

(as cited in Dewey 1938: 345n)

One might argue that to simply qualify an agreed opinion by all who investigate, as truth is a questionable proposition. Agreement or consensus regarding an opinion can be achieved through obscure ways (for example, through manipulation) and might distort or compromise truth.

Actually, Dewey has a more comprehensive view of truth. Truth is 'always contextual' and 'related to action' (Biesta and Burbules 2003). Truth is not defined through passive recording of events but through interaction with the environment, and the consequences of our action in the environment, that

is, through the transactional experience. In that sense, Dewey has a temporal view of truth. Further, consider the following:

Truth, in final analysis, is a statement of things ‘as they are’, not as they are in the inane and desolate void of isolation from human concern, but as they are in a shared and progressive experience.

(Dewey 1911: 67 as cited in Biesta and Burbules 2003: 104)

The implication is that — what is experienced and considered true today and in a particular context might not be true at another point in time, either in the same context (the context would have possibly undergone changes over time) or in a different context.

In his later writings, Dewey actually refrains from using the term truth because of its ambiguity. He suggests that:

It would be great gain for logic and epistemology if we were always to translate the noun ‘truth’ back into the adjective ‘true’, and this back into the adverb ‘truth’; at least, if we were to do so until we have familiarised ourselves thoroughly with the fact that ‘truth’ is an abstract noun, summarising a quality presented by specific affairs in their own specific contents.

(Dewey 1938)

Dewey suggests: ‘the true means the verified and means nothing else’ (as cited in Morgenbesser 1977: xx). All pragmatists do not share this view of

truth. For example, many action researchers view truth as something that is achieved through consensus (in line with Peirce's definition) and not as a matter of verification by external standards (Rahman 2008). In a way, to have a consensus about truth or what is true excludes the possibility that there might be pluralistic perspectives about truth, which might be verifiable by internal and/or external standards.

Dewey has problems with connotations of the term truth but in no way he suggests that truth should be compromised or that the pursuit of truth is not valuable. The difficulty that the term truth poses is that it tends to be understood as being fixed or eternal, and not as something that continuously evolves through inquiry and that might be revised, refined and even rejected. The term true has similar connotations as truth, which is why Dewey eventually came up with the term *warranted assertibility* to convey what he means by truth, noun common and distributive (Tiles 1988).

The term *warranted assertibility* 'designates a potentiality rather than an actuality [and] involves recognition that all special conclusions of special inquiries are parts of an enterprise that is continually renewed, or is a going concern' (Dewey 1938: 9). A general proposition can be affirmed or rejected based on judgment and when the judgment is grounded in verifiable and sufficient materials (i.e. significant evidence) — this is what Dewey refers to as *warranted assertibility* (Kennedy 1970). There is thus no absolute truth. In line with Dewey:

[. . .] truth is related to inquiry; if the inquiry is successful, that is, if the hypothesis succeeds as a proposed solution to the problem, then we have an assertion that is warranted. This assertion will also be subjected to further inquiry, where it will stand or fall.

(Pepper 1977: 70)

This position with regards to the issue of truth, reasserts the temporal view of truth.

For Dewey, as for many other pragmatists, knowledge is contextual. As Geiger (1958) puts it, ‘the situation in which knowledge is born, according to Dewey, is a problematic one’ (63). Knowledge is acquired as a consequence of inquiry (which begins when one identifies a problem) in a situation. The actions that one takes, as part of the inquiry, to seek and find answers in relation to the problematic situation alters the situation itself (and objects known) in some way or the other. Realists find Dewey’s thesis that ‘objects known are inquiry-dependent’ or that knowledge or the acquisition of knowledge through inquiry could alter objects or situations unconvincing (Morgenbesser 1977: xvii).<sup>12</sup>

Dewey holds the view that critical realists perceive the human being as a ‘disinterested spectator’ and they fail to understand the conceptual relations between individuals and their environment, including knowledge and action, thought and action, and experience and action (*ibid.*). Dewey’s

---

<sup>12</sup> ‘An object, logically speaking, is that set of connected distinctions or characteristics which emerges as a definite constituent of a resolved situation and is confirmed in the continuity of inquiry’ (Dewey 1938: 520).

method is to conceive of action and experience as an operation that involves the interaction of organism and environment (Schneider 1970).

The significance of sense and sensibility is not recognised in criticisms about contextual or ‘inquiry-dependent’ knowledge. Often, the term pragmatic is associated with practical. As such, many critics have misinterpreted Dewey’s approach and pragmatism as seeking to:

[ . . . ] limit all knowledge, philosophic included, to promoting “action”, understanding by action either just any bodily movement, or those bodily movements which conduce to the preservation and grosser well-being of the body. James’ statement, that general conceptions must “cash in” has been taken (especially by European critics) to mean that the end and measure of intelligence lies in the narrow and coarse utilities which it produces. Even an acute American thinker, after first criticizing pragmatism as a kind of idealistic epistemology, goes on to treat it as a doctrine which regards intelligence as a lubricating oil facilitating the workings of the body.

(Dewey 1917: 22)

For Dewey, the pragmatic approach does not limit the use of intelligence to the achievement of purposes already assigned by the mechanism of the body or by the existent state of society. On the other hand, the use of intelligence is encouraged to ‘free experience from routine and from caprice’ and ‘to liberate and liberalise action’ (1917: 23).

Dewey (and pragmatists in general) has also been criticised for the lack of ontological or epistemological perspective in his work (Morgan 2014). As mentioned earlier, Dewey purports that one needs to break free from the shackles of traditional metaphysical frameworks in order to progress with inquiry and address significant issues that affect and matter to people in societies. The reliance or non-reliance on metaphysical frameworks to plan and/or evaluate social science research is a subject of on-going debate in academia.

Dewey has received criticisms for the lack of a critical social theory in his body of work that takes into account political action and power structures (see Deen 2012 and references therein). The reason Dewey's work is not seen as a comprehensive social theory is probably because his analysis looks at various inter-related *aspects* of social issues through an exploration and understanding of those individual aspects without categorising them or explicitly connecting all of them together under one social theory. In that sense, Dewey does not have one final all comprehensive unified framework — he deliberately refrains from doing so as it will be anti-thesis to his fundamental ideas.

It is argued on one hand that, for Dewey, inquiry is 'beholden to experience', and on the other hand that there is an overemphasis on science and in particular scientific methods in the way Dewey discusses inquiry (Johnston 2006: 7). I do not try to juxtapose the so-called 'experiential' and 'scientific' aspects of inquiry. I mainly consider Dewey's arguments for the general import that they might have in *understanding* and *conducting* inquiry. I do

not consider his work on inquiry in terms of a model that should be strictly applied when doing research. I hold the view that different contexts have implications for how research is conducted, and that the approach to inquiry might need to adapt to potential requirements of those contexts.

### ***1.5 Research and inquiry, academic and non-academic***

Deweyan inquiry may take multiple forms such as scientific, political and social inquiry (Festenstein 2001; see also Biesta and Burbules 2003). Dewey was ‘prepared to heed and follow up any intimation of truth, any insight or vision that lit up the human scene, in complete independence of its academic credentials. It was the authenticity of the experience which engages his interest...’ (Hook 1959: 10).

Biesta and Burbules (2003) suggest that there is a difference between inquiry and research. Consider the following by:

Many would argue that research simply is a systematic form of inquiry – and Dewey would not object to such a definition. In a sense, his definition of researchers says nothing more than some people conduct inquiries for a living. What is important about research, however, is that it is conducted in the open, that it is made totally transparent, so that others (researchers, but not only researchers) can follow critically how the conclusions of a particular inquiry has been reached. Research, in the words of Lawrence Stenhouse, is systematic inquiry made public (1983, 185).

(Biesta and Burbules 2003: 70)



Given current trends and challenges such as corporate sponsorships of research, one might argue that research is not necessarily or always made public. Or rather, not all aspects of research are made public. I suggest that a further distinction be made. This distinction draws from a spatial perspective — the evaluative space of capabilities (which is introduced in the next chapter).

One might suggest that academic researchers are essentially concerned with inquiry — to question, investigate, and seek answers and that most academics are also concerned with making their research public (refer to Part IV on debates in academia). Over the decades, academics have developed various approaches to inquiry and research, not only across disciplines but also within disciplines. This has contributed to continuing debates about the aims, purposes and methods of inquiry and research (see for example, Denzin and Lincoln 2005 and references therein).

Building on my experience in the context of YoungArts, I distinguish between an academic inquiry/research and a non-academic inquiry/research. (One might hypothesise that if the focus is on academic, then there is an inherent duty to make inquiry public, therefore, it would not matter whether one refers to academic *inquiry* or *research*). I draw on key concerns such as academic freedom and pursuing the spirit of the truth (see Part IV) to emphasise my point. I argue that an inquiry or research conducted by an academic might *potentially* differ from an inquiry or research conducted by somebody else in society. This potential difference might occur because of particular beings and doings (including

responsibilities) that academics may have reason to value (an issue that I explore in Chapter 7) and others may not.

My approach to research draws significantly from Dewey's temporal perspective but is also informed by an understanding of the capabilities of academics.

## ***1.6 Concluding Remarks***

In this chapter, I introduce Dewey in order to provide a broad understanding of his overall contribution. The discussion includes how some of his thoughts are related to Mead's work. However, I do not delve into an extensive discussion of the pragmatist philosophy of Dewey as this falls outside the scope of this thesis. For the purpose of my methodological approach I am primarily concerned with a specific aspect of Dewey's writings, that is, his conceptually rich discussion of *inquiry*. I elaborate on some key aspects of Deweyan inquiry that I find relevant to my approach. This follows with a critique of Dewey's work.

As mentioned earlier, a particular reason why I focused on the writings of Dewey on inquiry since the early stage of my PhD is because they provided resonance with my experience in the context of YoungArts (a project which I introduce and discuss in Part II and Part III). Borrowing from Dewey, I found the situation in YoungArts 'problematic' or 'indeterminate'. Dewey's perspective on inquiry provided a basis for making sense of the uncertain

situation in YoungArts (in which I found myself as a consequence of my involvement in the project). The understanding that I gained through his concept of inquiry enabled me to make sense of various aspects of YoungArts and focus my sensibility in developing my methodological approach. A critical appreciation of Deweyan inquiry offered a departure point that allowed me to further develop my approach and related methods. In that sense, the relation between my approach and Deweyan inquiry is explicit but my approach does not seek to replicate Dewey's.

To put simply, one begins to inquire when one realises that a situation is problematic or indeterminate. A problematic situation cannot be fully defined or resolved by relying on current beliefs. As a consequence of inquiry, one acquires knowledge of a problematic situation and makes sense of what is experienced in that particular context (Morgenbesser 1977). Knowledge is thus contextual and each problematic situation requires particular actions for its resolution at a given point in time.

A particular aspect of inquiry that I discuss is 'sense and sensibility'. I highlight that an academic researcher might engage in an embodied experience when conducting an inquiry. As an academic researcher, I realised that certain things (that lead to inferences about a problematic situation) in a research context cannot be learnt from textbooks and other academic publications; they have to be 'felt'. An embodied experience enables an academic researcher to feel and make sense of the quality of a situation in a particular research context. Moreover, inferential reasoning might lead to the exploration of issues outside the particular context. For

example, the research on qualities of play (and capabilities of academic researchers) draws from inferential conclusions, that is, on ‘an interpretation of directly observed facts mediated by conceptions drawn from previous experience [in my case, the experience in YoungArts]’ (Dewey 1938: 228).

In relation to sense and sensibility, I allude to the significance of play in an embodied experience and for the conduct of inquiry. Play is considered as significant in terms of enabling individuals (academics and non-academics) to focus their impulses and sensibility in order to achieve a particular line of action. In chapter 8, I take up the topic of play and refer to some of Dewey’s thoughts on play.

In part, this chapter seeks to provide a starting point for scholars who are interested in understanding aspects of inquiry without being caught in the ‘shackles of a fixed physical and material framework (inherited from old traditions of physical inquiry) which confines the studies of social subjects’ (as cited earlier). This chapter might be a valuable academic resource especially for new PhD students who might grapple with the idea of conducting real-time inquiries. I wrote this discussion of Dewey in retrospect and in a way that might provide insights of how his work is still relevant today to research fields such as management (for example, for research in regional socio economic development) and not only education or philosophy (where his work has received more attention).

## CHAPTER 2

### AMARTYA SEN AND THE DEVELOPMENT OF THE CAPABILITY APPROACH

In the early 1980s, Amartya Sen started to develop the capability approach. Sen remarks that his 'work on the capability approach was initiated by [his] search for a better perspective on individual advantages than can be found in the Rawlsian focus on primary goods' (2009/2010: 231).

The two key concepts in the capability approach are: functionings and capabilities. Functionings are valuable 'beings and doings', such as being literate, being nourished, being able to avoid premature mortality, being confident, taking part in political decisions (Sen 1999a: 36; Alkire 2005b: 119) and capabilities refer to the real opportunities to achieve functionings. There is an inherent aspect of freedom in the conception of capabilities. Sen often refers to capabilities as *substantive freedoms* of individuals to lead the kind of lives that that they have reason to value (1999a: 87).

Sen has applied the capability approach in the empirical investigation of crucial issues such as poverty, famine and other related crises (hunger and undernourishment). Consider the following:

In *Hunger and Public Action*, Sen and Jean Drèze investigate various means for overcoming entitlement failures and achieving the "capability"

goal of being able to avoid endemic hunger. They also show how these strategies differ from those designed to promote other goals such as income equity and utility maximization. Sen also applies ethical criteria to assess policy lessons, achievements, and failure in countries and regions such as India, Africa, China, and Sri Lanka.

Crocker (1992: 587)

In recent years, the capability approach has been further developed by other scholars (Martha Nussbaum, Sabina Alkire and Ingrid Robeyns, among others) and applied in empirical studies (see for example, Kuklys 2005; Biggeri *et al.* 2006; Leßmann 2012; Hart 2013).

It is important to note that the ‘capability approach’ refers directly to Sen’s work (Gasper 2007) and the ‘capabilities approach’ refers to the wider literature on capabilities. This distinction is important for a fundamental reason: by Sen’s definition capabilities are inherently valuable (see Alkire 2002), but many writings in the increasingly diverse literature on capabilities do not necessarily recognise or address the value aspect in capabilities. Furthermore, values are not equated to capabilities (in contrast to Nussbaum’s interpretation in her writings); rather values are what enable people to make the necessary value judgments and prioritise capabilities (if need be) (see Alkire 2002; Deneulin 2009). The discussion on capability in this thesis focuses primarily on Sen’s approach because the concern with values, in particular *reason to value* has especial significance for this thesis (see the discussion in Section 7.5).

Section 2.1 introduces Amartya Sen and his work. Section 2.2 then turns to key aspects of the capability approach. In Section 2.3, an overview of the application of the capability approach is provided. Section 2.4 addresses critiques of Sen's capability approach and finally Section 2.5 concludes the discussion.

## ***2.1 An introduction to Amartya Sen and his work***

Amartya Sen is particularly recognised for 'his inputs towards enriched, more ethically aware, economics; towards moral philosophy that is both rigorous and more policy-relevant, as well as less narrowly Euro-American in assumptions and concerns [. . .]' (Gasper 2000: 990). Sen's interdisciplinary approach and the use of practical illustrations (often informed by his observations of real-life situations) in his lectures and publications have resonated with many people especially those working in academia, policy-making and development practice.<sup>13</sup>

Sen has critiqued the narrowness of most modern economics, which tend to ignore significant political and sociological factors as well as philosophical concerns (Klamer 1989). He argues that '[ . . . ] these issues are often central to economic problems themselves. Taking an interest in them is part of our own heritage. After all, the subject of modern economics was in a sense founded by Adam Smith, who had an enormously broad view of economics' (as quoted in Klamer 1989: 141). By re-emphasising the link between the

---

<sup>13</sup> Sen often refers to the Bengal famine in 1943, which he observed when he was only 9 years old and living in that region (Klamer 1989; Sen 1999).

disciplines of economics and philosophy, Sen has provided novel and critical insights on key concerns such as economic development, famines and hunger, inequality, and poverty measurement.<sup>14</sup>

In 1998, Sen received the Nobel Memorial Prize in Economic Sciences for his contribution to welfare economics, especially in the fields of: social choice, distribution and poverty (Sen 1999b).

### *2.1.1 Social choice theory*

In a lecture delivered in Stockholm, when Sen received the Nobel Prize, he stated:

The difficulty that a small committee experiences may be only greater when it comes to decisions of a sizable society, reflecting the choices “of the people, by the people, for the people”. That broadly speaking, is the subject of “social choice” [ . . . ].

(Sen 1999b: 349)

Social choice theory covers various questions (Sen 1999b). For example: Is ‘reasonable social choice’ at all possible? How to relate aggregative social judgments (for example, on social welfare) to the interests or concerns of the different individuals within the society?

---

<sup>14</sup> The Royal Swedish Academy of Social Sciences has categorised Sen’s writings into at least sixteen disciplines or sub-disciplines (see Gillardone 2010).



Kenneth Arrow, who pioneered social choice theory in its modern form, writes that Sen's work on social welfare covers various levels of analysis — mathematical/technical, conceptual and empirical (1999: 163).<sup>15</sup> Some of Sen's key work in the field of social choice and welfare economics are: 'Collective choice and social welfare'; 'Social Choice Theory: A Re-Examination'; 'Liberty and Social choice' and 'The Possibility of Social Choice'.

### *2.1.2 Critique of utilitarianism and welfarism*

A significant part of Sen's work includes a critique of welfarism and its singular focus on utility (and its various interpretations, for example in terms of preferences, satisfaction of desires or happiness) in determining the quality of life that an individual enjoys.<sup>16</sup> Consider the following passage from Sen's 'On Ethics and Economics', which highlights his concerns about utility understood in terms of desire-satisfaction, preferences or happiness:

A person who has had a life of misfortune, with very little opportunities, and rather little hope, may be more easily reconciled to deprivations than others reared in more fortunate and affluent circumstances. The metric of happiness may, therefore, distort the extent of deprivation, in a specific and biased way. The hopeless beggar, the precarious landless labourer, the dominated housewife, the hardened unemployed or the over-

---

<sup>15</sup> See for example, Suzumura (2001) for Arrow's contribution and his impossibility theorem.

<sup>16</sup> For Sen's criticisms of utilitarian perspectives, see Sen (1979, 1985/1999, 1999a, 2009/2010).

exhausted coolie may all take pleasures in small mercies, and manage to suppress intense suffering for the necessity of continuing survival, but it would be ethically deeply mistaken to attach a correspondingly small value to the loss of their well-being because of this survival strategy.

(as cited in Qizilbash 2006:91)

Sen does not claim that utilitarian measures in terms of preferences, satisfaction of desires and happiness are not important. He actually points out the merits of utilitarian perspectives in terms of their focus on ends (and well-being) rather than means (Sen 1999a). His argument is that a singular focus on the value of preferences, satisfaction of desires or happiness might be restrictive and misleading in understanding and evaluating people's well-being and actual possibilities (for them to be and do what they have reasons to value). Other characteristics that pertain to the well-being of people and actual state of affairs should be taken into account as well.

Utilitarian perspectives do not take into consideration the conditions/environment within which people's mental conditioning (and their preferences, satisfaction of desires, attitudes, aspirations, expectations, etc.) arise (Watene 2010). This gives rise to the problem of 'adaptation' or more specifically 'adaptive preferences' (Sen 1999a; Teschl and Comim 2005; Qizilbash 2006; Nussbaum 2011). It is in part because of the adaptation problem that Sen contested utilitarian perspectives and developed the capability approach (Qizilbash 2006).

### *2.1.3 Origins of the capability approach*

Sen first introduced the notion of capabilities in a Tanner lecture on human values, titled 'Equality of what?' in 1979. Linked to his critique of welfarism and utilitarianism (as discussed above), Sen puts forward a simple and yet critical point. By assessing the interests, well-being or advantage of a person based on the goods at her disposal or with the utility derived from consuming the goods, one overlooks the state or condition of the person. A focus on primary goods (as proposed by Rawls) does not indicate what the person gets out of the goods and a focus on utility (as welfarists often do) is based on one's mental conditioning and does not necessarily consider how one's low aspirations/expectations (due to existing circumstances) might influence utility (Cohen 1993). Sen argues that the notions of utility and primary goods fail to capture 'basic capabilities' such as 'ability to move', 'ability to meet one's nutritional requirements' or 'the power to participate in the social life of the community' (Sen 1979: 218), especially when evaluating a person's interests, well-being or advantage (1985/ 1999).

Sen's approach departs from mainstream/contemporary economic analyses, which tend to focus on income or wealth.<sup>17</sup> However, there are connections between the capability approach and some of the foundational approaches to economics. Sen explicitly notes that 'the roots of the capability approach and freedom based evaluation of the standard of living [. . .] go back to Smith, Marx, and Mill, among others' (1984: 79, see also Sen 1999a: 24,

---

<sup>17</sup> Sen recognises the importance of income and wealth. He points out that they are means to an end. The end is development and the expansion of human freedoms and capabilities.

289). In Sen (1988), he specifies that the notion of ‘functionings’ can be traced back to works of Adam Smith, Karl Marx and especially Aristotle (in *Nicomachean Ethics and Politics*).<sup>18</sup> Some of the discussion in the capability approach is also related to Aristotle’s notions of ‘flourishing’ and ‘capacity’ and Adam Smith’s ‘necessities’ and ‘conditions of living’ (Sen 1999a: 24).

## ***2.2 Key aspects of the Capability Approach***

Through the capability approach, Sen explicitly seeks to shift the focus of analysis for evaluating the quality of human life from *means* of living such as real income, expenditure or primary goods to people’s *actual* and *potential* valuable beings and doings (Sen, 1993, 2009/2010; Gasper, 2007). According to the capability approach, a comprehensive analysis of a person’s well-being or advantage should look at what the person can actually achieve, given her personal characteristics, command over resources and social environment.

Sen (1985/1999) distinguishes between commodities, functionings and capabilities. Commodities are perceived in terms of their characteristics, that is, the ‘various desirable properties’ (*ibid.* 6). Consider the following:

‘Characteristics’ are, of course, abstractions from goods, but they do relate

---

<sup>18</sup> On the connection with Aristotle, see Sen (1999a: 14, 24, 73, 75), (1993: 46-8) and Nussbaum (1988). On the influence of Adam Smith, refer to Sen (1999a: 24, 73-74, 294- 295), (1992/1995), (1993) and (2009/2010). On Karl Marx, refer to Sen (1999a: 7, 29), and on John Stuart Mill, refer to Sen (1999b: 289-290, 2006), Qizilbash (2008: 54-59). See also Crocker (1992) on the influence of Aristotle and Marx.

ultimately to *goods* rather than to *persons*. 'Functionings' are, however, personal features; they tell us what a person is doing or achieving. 'Capability' to function reflects what a person *can* do or *can* achieve.

(Sen 1984: 84)

Why is such a distinction important? The answer lies in the argument that two individuals having command over the same bundle of commodities may not be able to achieve the same things with the properties. Sen (1979: 219) suggests that there is 'evidence that the conversion of goods to capabilities varies from person to person substantially, and the equality of the former may still be far from the equality of the latter' because individuals do not share the same characteristics. Indeed, human beings are heterogeneous and extensively diverse in terms of personal (e.g. age, gender, mental and physical abilities) and social (e.g. inherited fortunes and liabilities, natural environments, societies, communities) characteristics (Sen 1992/1995).

To illustrate his argument, Sen takes the example of two individuals consuming the same amount of food. He reasons that one of the individuals may suffer from undernourishment even though she has access to the food and its properties. This would be the case, for example, if the individual suffers from 'a parasitic disease that makes the absorption of nutrients difficult' (Sen 1985/1999: 6). Hence the characteristics of the commodities do not in themselves convey what the individual can succeed in doing or being with the commodities. Thus, what an individual can essentially do with a bundle of commodities (and their properties) depends significantly

on various circumstantial factors, both personal and social (Sen 1985/1999, 1999a).

Sen (1985/1999) highlights that a mere focus on actual achievements might constrain the assessment of the individual's social and economic situation; potential achievements also matter. Accordingly, through his discussion of capabilities he opens the analysis in order to investigate an individual's real opportunities and freedoms.

Further consider the following by Nussbaum (2011: 25):

In contrasting capabilities with functionings, we should bear in mind that capability means opportunity to select. The notion of freedom to choose is thus built into the notion of capability. To use an example of Sen's, a person who is starving and a person who is fasting have the same type of functioning where nutrition is concerned, but they do not have the same capability, because the person who fasts is able not to fast, and the starving person has no choice.

The concept of capability reflects the various combinations of doings and beings that the individual can really achieve (Alkire 2002); it also refers to 'the alternative combinations of functionings from which the person can choose one combination' (Sen 2005: 154).

The capability approach is pluralistic in terms of its consideration of "objects of value" and informational spaces for evaluation. Sen notes at least four

different spaces within which the advantage of an individual can be evaluated: well-being achievement, agency achievement, well-being freedom (also called opportunity freedom) and agency freedom (also called process freedom).<sup>19</sup> There are two main distinctions here: 1) between achievement and freedom; and 2) between well-being and agency. *Achievement* is directly related to beings and doings that one manages to accomplish, i.e. functionings and *freedom* is concerned with the real opportunity to accomplish valuable beings and doings, i.e. capability. Agency encompasses all the goals that an individual has reasons to value pursuing, including goals that do not necessarily advance her own well-being. Consider this brief illustration:

For instance, if your riverside picnic is interrupted by the chance to rescue someone from drowning, then your agency freedom (and hopefully achievement) increases, because you can save someone's life; but your achieved well-being diminishes, as you emerge cold wet and hungry.

Alkire (2005b: 122)

Freedom is valuable for it provides more opportunity to pursue and promote valuable goals. This aspect of freedom relates to 'our ability to achieve what we value, no matter what the process is through which that achievement comes about' (Sen 2009/2010: 228). But one might also value autonomy and non-interference in the *process* of choice. A broad reading of the capability approach includes both the opportunity and process aspects of freedom, not least because they can and do overlap (Qizilbash 2011a).

---

<sup>19</sup> See Sen (1985, 1992/1995, 1999a, 2009/2010). See also Crocker and Robeyns (2009).

Though Sen has provided many examples and illustrations of capabilities, he has refused to endorse or fix *one* set of capabilities. He is not against lists of capabilities but he rejects the idea of predetermining *one* list of capabilities for all purposes (Sen 2004). He has argued that the identification of what people value and the prioritisation of capabilities vary according to particular objectives and contexts and thus no one set would serve the purpose of every evaluation. Sen has consistently encouraged public reasoning and discussion for value formation and the determination/prioritisation of capabilities.

### ***2.3 Applications of the Capability Approach***

In recent years, the capability approach has received increasing attention among many researchers and policy-makers (Robeyns 2005, 2006; Nussbaum 2011). However, the operationalisation of the capability approach has proven to be challenging, not least because of the difficulty to measure capabilities. This difficulty arises because of the informational space and different kind of data required to measure capabilities (Hart 2013). How does one measure potential achieved functionings (that is, capabilities), rather than achieved functionings? What are the indicators that should be used? Those questions are related to concerns that Kuklys (2005) has raised in her work. In the last few years, enormous progress has been made empirically (with researchers making some form of adaptation) to apply the capability approach (refer for example to Biggeri *et al.* 2006 and Leßmann 2012).



In a survey of the application of the capability approach, Robeyns (2006: 160-161) mentions at least nine different fields: general assessments of the human development of a country; the assessment of small scale development projects; identification of the poor in developing countries; poverty and well-being assessments in advanced economies; an analysis of deprivation of disabled people; the assessment of gender inequalities; theoretical and empirical analyses of policies; critiques on social norms, practices and discourses; and finally, the use of functionings and capabilities as concepts in non-normative research. In addition to those, there are more recent applications, for example in relation to aspirations by Hart (2013) and by Conradie and Robeyns (2013). I will focus on those applications that I consider most relevant to the research in this thesis.

Following Alkire *et al.* (2008), I consider the applications of the capability approach broadly in this section, that is, not necessarily in terms of the quantitative and measurement work carried out but fundamentally for their practical import in understanding key aspects of the approach.

### *2.3.1 The context of famines and poverty*

Sen's empirical studies and analytical investigations in the contexts of poverty and famines are considered as having a key influence in his conception of the capability approach (Gillardone 2010). In turn, his development of capabilities has offered significant insights on those issues. In his studies, Sen suggests that an investigation of poverty should include an assessment of the nutritional requirements of persons not only their

incomes, but also that this type of analysis is incomplete, ‘as not all determinants of poverty are biological’ (Alkire 2002: 155). He argues that poverty should be looked at in terms of ‘capability deprivation’ (Sen 1999b) or basic ‘capability failure’, i.e. the inability of people to achieve valuable ‘beings and doings’, which are basic to human life (Alkire 2002: 156).

Sen also integrates economic, social, political and legal aspects in his analyses to challenge the popular notion that famines are *necessarily* caused by a decline in food production or availability, or related to a mechanical imbalance between food and population (Sen 1999a; Gillardone 2010).<sup>20</sup> Famines are not only related to food production and agricultural activities but also to how an economy and society function more generally – there are interdependences between economic, social, political and legal arrangements and their impact. In a study carried out in 1981, Sen points out that – countries which have regular elections and free press have never experienced famine (albeit, as Alkire 2002 emphasises, democratic systems may be affected by undernourishment and absolute poverty). Sen stresses that the focus should be on the ‘economic power and substantive freedom of individuals and families to buy enough food’ and not just on the diminution of the food supply in the country (1999a: 161) since famine can occur because of other reasons as well, such as inequality.

---

<sup>20</sup> Most studies about famine tend to focus on the national output of food (Sen 1999b). Sen recognises that some famines are caused by a decline in food production such as the Chinese famine of 1958-1961 or in Ireland in the 1840s.

### *2.3.2 Contrasting GNP analyses and Capability Approach*

When Sen started to develop the capability approach in the 1980s, he noted that in terms of Gross National Product (GNP) per capita, India, China and Sri Lanka fell roughly into the same income group while Brazil and Mexico fell into another higher income level group (1985/1999; see also Kuklys 2005). However, if one focuses on specific achievements of the five countries in terms of life expectancy, infant mortality and child death rates, Sri Lanka fared better than the other four countries and India had the weakest indicators of long life (Sen 1985/1999). In terms of life-and death matters and elementary education, Sri Lanka and China stood out amongst the countries in the same income group and joined or overtook Brazil and Mexico (which had richer economies). Turning to opportunities for higher education, the outcome of Sen's analysis was quite different. India (which has an elitist system) outperformed China and Sri Lanka and was not far behind Brazil and Mexico.<sup>21</sup> Nevertheless, Sen notes the following:

On the other hand, the capabilities of the Indian masses are enormously inferior to those of the masses in China and Sri Lanka in terms of the ability to live long, the ability to read and write, and the ability to benefit from sustained schooling.

(Sen 1985/1999: 48)

Through these analyses, Sen demonstrates that the ranking of countries based on GNP per capita can vary significantly to that based on basic

---

<sup>21</sup> Sen used data from the World Development Reports 1983 and 1984 for his analysis.

capabilities. Furthermore, depending on which basic capabilities the analysis focuses on, the ranking of the countries may differ as well.

### *2.3.3 Human Development Reports and national policy analyses*

The annual Human Development Reports published by the United Nations Development Programme (UNDP) draw extensively on the capability approach (Fukudda-Parr 2003; Alkire 2005; Robeyns 2006). In line with Sen's arguments, the Human Development Reports assert that 'economic growth alone does not automatically translate into human development progress' (Human Development Report 2013: ii) and that the ends of development are human beings and their flourishing (Alkire 2005b). Mahbub ul Haq who launched the first Human Development Report in 1990 worked in close collaboration with Amartya Sen (and others) to develop key concepts and an operational tool —the Human Development Index (HDI) (Fukuda-Parr 2003; Alkire 2005b; Sen 2005). Sen (2005: 159) writes:

Mahbub ul Haq asked me, in 1989, to work with him on indicators of human development, and in particular to help develop a general index for global assessment and critique [. . .] we were involved in a particular exercise of specific relevance [. . .] The 'Human Development Index' was based on a very minimal listing of capabilities, with a particular focus on getting at a minimally basic quality of life, calculable from available statistics, in a way that the Gross National Product or Gross Domestic Product failed to capture. Lists of capabilities have to be used for various purposes, and so long as we understand what we are doing (and, in

particular, that we are getting a list for a particular reason, related to assessment, evaluation, or critique), we do not put ourselves against other lists that may be relevant or useful for other purposes.

To date, the HDI (along with other indexes) and the capability approach are still used to assess human development issues such as health, education, income etc. and Amartya Sen continues to have a significant influence on the Human Development Reports. He has contributed to many of the conceptual background papers and measurement tools for the Human Development Reports (Fukuda-Parr 2003).

Sen's work has also gained interest in terms of national policy-making in some countries. Germany issued a national report, which built on the capability approach to assess poverty and social exclusion (Robeyns 2006). In 2008, Sen collaborated with Joseph Stiglitz and Jean Paul Fitoussi on "The Commission on the Measurement of Economic Performance and Social Progress" for the then French president, Nicolas Sarkozy. The capability approach was one of the main conceptual approaches that the Commission used to measure quality of life and evaluate policies (Stiglitz *et al.* 2009).

#### *2.3.4 Other applications of the capability approach*

Hart (2013) applies the capability approach in a fieldwork study in order to explore and understand the nature of aspirations for a group of young people in the United Kingdom. For example, how did the young people perceive their aspirations? The study also investigates factors that might

enhance or limit the transformation of aspirations into capabilities. Hart (2013) argues that ‘the notion of capability is a useful way of conceptualising the transition space between aspirations and the realisation of related goals’ (109). In applying the capability approach, Hart (2013) highlights the potential difficulty that participants might have with the complex concepts and language of capabilities. Furthermore, it was also difficult to operationalise concepts of the capability approach for the research questions. The findings of the study carried out by Hart (2013) are referred to in Chapter 6.

In an action research programme based in South Africa about women voicing their aspirations, Conradie and Robeyns (2013) use the capability approach as a ‘toolbox’. The two tools that they use from the capability toolbox are: capability inputs, and capability obstacles. Consider the following meaning of those ‘tools’:

Capability inputs are the means that are needed to realise certain capabilities. These means can be material resources (especially money or commodities), but also other types of inputs, such as natural resources (e.g. air, water, fertile land) or relationship goods (e.g. social capital or family capital). Capability obstacles are aspects that need to be removed, eliminated or combated in order to help the corresponding capability to be realised. For example, if there is a local social norm that women should not seek employment, then this is an obstacle to women’s capability to be employed

(Conradie and Robeyns 2013: 561)

Among other things, Conradie and Robeyns (2013) look at the role of aspirations to enhance capabilities and at the challenges of adapted aspirations. Due to the particular relevance of this study to the research on aspirations in YoungArts, I refer to the contribution of Conradie and Robeyns (2013) in Chapter 6.

## ***2.4 Critique of the Capability Approach***

### *2.4.1 Operationalisation of the capability approach*

There have been questions raised about the extent to which the approach is operational and can be put in practice in different contexts (Sugden 1993; Clark 2005; Crocker and Robeyns 2009). For example, Robert Sugden notes, ‘Given the rich array of functionings that Sen takes to be relevant, given the extent of disagreement among reasonable people about the nature of the good life, and given the unresolved problem of how to value sets, it is natural to ask how far Sen’s framework is operational’ (1993: 1953). As I discuss in Section 2.3, in the past decade, there have been numerous applications of the capability approach by researchers across various disciplines that in part address Sugden’s criticism.

### *2.4.2 Infringement on individual freedom*

A more recent critique of the capability approach refers to the notion of public reasoning that Sen discusses in terms of forming values and

identifying capabilities (Sugden 2006). The concern is that collective value judgments might infringe individual freedom. This critique of Sugden (2006) can be addressed in a thorough analysis about ‘thin’ and ‘thick’ views and ‘narrow’ and ‘broad’ interpretations of the capability approach (Qizilbash 2011a, 2011b). If the capability approach is understood ‘thinly’, i.e. as not encompassing the notion of agency freedom or process freedom, then there might be concerns that public reasoning might override people’s actual preferences and freedom. But in a ‘thick’ view of the capability approach, there is significant recognition for the agency freedom of the individual. Furthermore, if one takes into account Sen’s body of work on freedom (distinct to his capability approach) and the incorporation of liberty into his discussion of social choice, then it is less obvious that he discounts the importance of individual values and freedom at the expense of public reasoning.<sup>22</sup>

#### *2.4.3 Individualistic approach*

Ironically (given the critique by Sugden 2006), there have been claims that the capability approach is too individualistic or ‘liberal-individualist’ (Dean 2009). To counter the misinterpretation that the capability approach is ‘too individualistic’, Robeyns (2005: 108) refers to the following argument by Drèze and Sen 2002:<sup>23</sup>

---

<sup>22</sup> See Sen (2006) for his response to Sugden’s critique. See for example Sen (1988, 1994) on freedom and also Sen (1983, 1992) on liberty and social choice.

<sup>23</sup> See Robeyns (2005) for the distinction between ontological and ethical individualism and why she thinks the capability approach embraces ethical but not ontological individualism.



The [capability] approach used in this study is much concerned with the opportunities that people have to improve the quality of their lives. It is essentially a ‘people-centered’ approach, which puts human agency (rather than organizations such as markets or governments) at the centre of the stage. The crucial role of social opportunities is to expand the realm of human agency and freedom, both as an end in itself and as a means of further expansion of freedom. The word ‘social’ in the expression ‘social opportunity’ (...) is a useful reminder not to view individuals and their opportunities in isolated terms. The options that a person has depend greatly on relations with others and on what the state and other institutions do. We shall be particularly concerned with those opportunities that are strongly influenced by social circumstances and public policy...

Indeed, Sen’s emphasis on public reasoning and discussion clearly conveys his views that individuals should interact with others to identify their capabilities. Throughout his body of work, Sen has stressed that individuals should not be considered in isolation of their social environment (in a similar way to Dewey on human beings and interactions).

#### *2.4.4 The contrast between the capability approach and utilitarianism*

Qizilbash (2008) notes that Sen overplays the contrast between the capability approach and utilitarianism. There are suggestions that capabilities (like preferences or desires) might also be distorted or subjected to adaptation problems (Nussbaum 1988; Qizilbash 2006). Nussbaum makes an important point about adaptation, which is, being realistic and

adapting to circumstances can be positively good if doing so enables the individual to understand herself and her real opportunities (Qizilbash 2006). Adaptation is a problem in cases when people are unable to pursue and realise certain capabilities due to distortion or manipulation (of desires, preferences, etc.) in their social conditions.

#### *2.4.5 Underspecificity and Incompleteness*

A critique (but also considered as a strength by many) of the capability approach is that it is underspecified precisely because Sen kept the framework incomplete, vague and general (Chiappero-Martinetti 2008; Qizilbash 2008). As mentioned earlier, Sen has abstained from providing or endorsing one particular list of capabilities because he considers that different lists might be appropriate in different contexts (Qizilbash 2006). People should themselves be involved in conceiving and evaluating their capabilities in line with their values and ‘evaluative procedures’. Sen (1993) argues that the approach is incomplete for it recognises the importance of reasoned agreement in determining the objects of value.

Unlike utilitarian approaches that might suggest that only happiness or pleasure (among other interpretations of utility) should be valued in determining the well-being or advantage of people, the capability approach does not have a singular focus of valuation (Qizilbash 2008), nor does it tell people what they should consider as valuable. People determine for themselves the objects of value (in the evaluative space of functionings and capabilities) for their purposes. For example, in Chapter 7, it is proposed

that pursuing the spirit of the truth might be an object of value (a basic need even) for an academic researcher.

However, Nussbaum (1988) has argued that letting people (say, in each culture or group) to specify a list of capabilities for themselves might result in distortions similar to the adaptation problem of preferences and desires.

Qizilbash (2006: 104) suggests:

If the process of adaptation has the effect of lowering people's aspirations that could certainly influence a list which was made up of specific valuable capabilities such as the ability to go skiing or the ability to prove an important theorem or the ability to eat lentils and rice.

The way to avoid the 'under-specificity' in Sen's approach and 'over-specificity' in Nussbaum's approach seems to be the conception of a list which is based on general values or dimensions such as 'self-respect and aspiration', 'positive freedom, autonomy or self-determination', 'nourishment', 'meaningful work/play' etc. (see Alkire 2002; Qizilbash 2006). Sen recognises the importance of identifying and ranking capabilities (from most to least central) but he insists that such valuations are to be determined according to specific purposes and contexts. For Sen, there is no need for the capability approach to get rid of its incompleteness and 'freeze' a list of capabilities 'for all societies for all time', not least because it is a valuable process for scholars to use the capability approach in conjunction with other substantive theories and for people to engage in the formation of social values through public discussion and reasoning in order to

understand and determine the role and reach of particular capabilities (Alkire 2002; Sen 2004b).

#### *2.4.6 Language*

The capability approach has been critiqued for its language/vocabulary. For example, Sen refers to capability in various respect such as ‘substantive freedom’, ‘real opportunity to achieve’, ‘alternative combinations of functionings’, etc., which increases the ambiguity in his writings on the capability approach. Sen (1993: 43-44, see also fn. 36) acknowledges that his use of the terms “capability” or “achievement” might be misleading. Cohen (1993) has argued that Sen conflates two distinct notions under the term “capability”. One notion is that of “capability”, which is concerned with ‘a person being able to do certain basic things’ (Sen 1993: 42) and the other is with “midfare” (as coined by Cohen). Midfare is considered to be mid-way between ‘having goods’ and ‘having utility’; it constitutes the ‘states of the person produced by goods, states in virtue of which utility levels take the values they do’ (Cohen 1993: 18). The essence of Cohen’s argument is that what people get out of goods or what people do with goods (through the exercise of their capability) is not the same as ‘what goods do to people’ (which might have a utility or non-utility value). The illustration Cohen (1993) makes is that people ‘nourishing themselves’ is not the same as ‘being nourished’.

While Sen (1993) recognises the distinction between “capability” and “midfare”, he counter argues that the notion of midfare corresponds to

“functionings” in the capability approach. Indeed, Sen’s (1979) initial writing on capabilities was about ‘basic capability equality’<sup>24</sup> but later on he developed his analysis to include the concept of functionings, which referred to both the achieved doings and *beings* of a person (Cohen 1993). The inclusion of achieved “beings” in the conception of the capability approach covers the assessment of the various “states of the person” that Cohen (1993) referred to in his proposal of midfare. For Sen (1993), the significant issue that Cohen’s analysis poses is whether the assessment of well-being should be focused on midfare or functionings rather than capabilities.

Sen (1993) emphasises that the capability approach essentially provides an *evaluative space* for identifying “objects of value” in terms of functionings and capabilities. This space includes a consideration for ‘valuing various freedoms — in the forms of capabilities’ (*ibid.* 41). In part, it is because of the significance of freedoms for personal and social evaluation of well-being that Sen focuses on capability. His concern is not only with achievements but also the freedom of a person to do or be various things if she so chooses to, not least because of the intrinsic value of freedom for well-being or advantage. Sen (1993: 38) further points out that capability is ‘defined in the space of functionings’.

---

<sup>24</sup> After the 1979 paper on ‘Equality of what?’, most of Sen’s work do not confine the capability approach to ‘basic’ capabilities.

## **2.5 Concluding Remarks**

By raising questions around equality, the capability approach mainly seeks to provide an alternative ‘approach in socio-economic valuation’ to ‘measurement of income, expenditure or satisfaction’ (Gasper 2007: 335). The capability approach provides a broad normative framework to evaluate the interests, advantage, wellbeing and social arrangements of individuals.

As mentioned earlier, freedom of the individual to do or be what she ‘has reasons to value’ (Sen 1999b: 74) is a notion that is critical in the capability approach. This refers to the idea that the assessment of the personal state of the individual should not simply count her beings and doings, irrespective of whether or not she views those as valuable (Alkire 2005).

As Alkire suggests, ‘one can [. . .] analyse the capabilities of a rich as well as a poor person or country, and analyse basic as well as complex capabilities’ (2005: 119). The capability approach is not only relevant to analyses of poverty and deprivation or with regards to individuals in certain social and economic conditions. With regards to the application of the capability approach, I focus mostly on the ways in which the conceptual approach of capability can take ‘practical shape or value’ (Alkire *et al.* 2008: 8). Issues about quality of life and well-being (which are discussed in the capability approach) such as ‘appearing in public without shame’, ‘employment opportunities’, ‘knowledge’, ‘positive freedom’ are of importance to people in various contexts and from all socio-economic backgrounds.

I have gained significant insights from Sen's critique of utilitarian perspectives and adaptive preferences in the context of the capability approach, especially in conceptualising and analysing issues about aspirations in Chapter 6 of the thesis, in terms of not considering the preferences, desire-satisfaction, aspirations and expectations of the YoungArts participants at face value and as the sole unit of value. The other point that the capability approach brought forward was that though the availability of resources (means) is crucial, it is not a sufficient condition to ensure that people enjoy valuable beings and doings. For example, I observed that though the participants in YoungArts had access to particular resources that did not mean that they were automatically better off in terms of being and doing valuable things and having future aspirations.

The problem of adaptation also influenced my thoughts about the debate on academia (see PART IV of the thesis), in particular about the possibility that academics might adjust their attitudes and preferences based on an 'acceptance of a given order' that result from unfavourable circumstances (such as funding cuts and increased competition for resources) they might face (and how their preferences, attitudes, aspirations, expectations, etc. might be malleable and manipulated). My discussion in Chapter 8 might provide some insights on how *play* might enable academics (and others) to avoid the adaptation problem in shaping their capabilities.

The capability approach is not a theory to explain poverty, inequality or well-being; rather it provides a 'tool and framework' to help conceptualise and evaluate these phenomena (Robeyns 2005). Capabilities and

functionings offer a *space* in which evaluation can be undertaken; not one prescribed ‘formula’ for evaluation (Sen 1988). Therein lies the strengths of the capability approach: its openness, incompleteness and adaptability to consider different contexts, disciplines and concepts in order to understand, conceptualise and evaluate pertinent issues that affect people, societies and economies. It is in this spirit that I explore the capabilities of academic researchers. There have been attempts to apply the capability approach in the literature on management and organisation, see for example Bryson and O’Neil (2009) who ask what do workers value in their jobs.

The proposition in this thesis is that the capability approach is helpful as a framework to conceptualise and evaluate a range of issues; it is not used as a theory to explain those issues per se. For example, in Chapter 6, I look at notions such as capability to aspire. In Chapter 7, I present an application of the capability approach in the context of academia. The analysis that I present on the capabilities of academics seeks to offer a perspective on the valuable beings and doings of academics, in a similar spirit that the capability approach does for development concerns.

In line with Sen’s position, I do not attempt to provide a fixed list of academic capabilities because different groups of academics might require different lists of capabilities. What I have tried to do is to substantiate the discussion on the capabilities of academics with arguments about the value of ‘pursuing the spirit of the truth’ in academia, among others.



## PART II

### METHODOLOGICAL ISSUES IN THE JOURNEY OF ACADEMIC INQUIRY

There are some general methodological considerations that informed and shaped my research approach throughout the journey of academic inquiry. My conceptual understanding of inquiry (as presented in Chapter 1) underlies many of the arguments that I advance in this part of the thesis.

#### *General methodological considerations for the thesis*

[Methodology] can only bring us reflective understanding of the means which have demonstrated their value in practice by raising them to the level of explicit consciousness; it is no more the precondition of fruitful intellectual work than the knowledge of anatomy is the precondition for correct walking.

(Weber 1949: 115 as quoted in Kaplan 1964: 24)

A significant contribution of methodology is to ‘help unblock the roads of inquiry’ (Kaplan 1964: 24 citing Peirce 1934). Methodology (as discussed in this thesis) is fundamentally a concern with describing, explaining and evaluating ‘methods’ (techniques and principles); and highlighting their ‘limitations’, ‘resources’, ‘presuppositions’, ‘potentialities’ and ‘consequences’ (Kaplan 1964: 23).<sup>25</sup> In line with the above, I discuss the

---

<sup>25</sup> Methods include the process of formulating concepts and hypotheses, making observations, conducting experiments, among others (see Kaplan 1964).

methodological approach for the two empirical studies that I conducted for this thesis in terms of the principles and techniques that I employed. In discussing the methodological approach, I also point out some concerns that I had in the conduct of the inquiry.

In understanding key concepts, I do not restrict the inquiry to the boundaries of a specific discipline (which is, in a way in the spirit of Dewey's 'Liberating the Social Scientist' that I mentioned earlier). Consider the following also:

For the domain of truth has no fixed boundaries within it. In the one world of ideas there are no barriers to trade or travel. Each discipline may take from other techniques, concepts, laws, data, models, theories, or explanations — in short, whatever it finds useful in its own inquiries. And it is measure of its success in these inquiries that it is asked in turn to give of its riches to other disciplines. Even more, it may find itself unexpectedly in an area conventionally identified as “belonging to” another science.

(Kaplan 1964: 4)

One of my fundamental concerns regarding the conduct of the inquiries is to pursue truth (which is in part inspired by Einstein's notion of academic freedom; and Kaplan 1964) or to put it less controversially to pursue the *spirit* of truth (Sugden 2013, referring to Graham 2005). Note that the concern is not with a definition of truth (nor with a conception of universal truth) but rather with the intention, commitment and the related

consequences in conducting an inquiry that pursues truth — hence referring to the *spirit* of truth.<sup>26</sup> Moreover, inquiry should be free from encroachment of social enterprises (this does not imply that social interests are not taken into consideration) and derive its standards from rigorous principles (Kaplan 1964). This is in line with Dewey's views on inquiry.

According to Dewey (1938, 2012), inquiry (in its pure form) should not be influenced by 'alien considerations' and predetermined by ends which are external to the process and conditions of the inquiry. The notion of pure in this context is not to do with whether 'practical factors' are involved or not in the conduct of inquiry or with the 'usefulness' or 'applicability' of the conclusions that the inquiry reached at. Rather it is to do with whether the conduct and conclusions of inquiry are influenced by external considerations. For example, one might argue that knowing is impure when the researcher allows the inquiry to be 'deflected by the fact that one conclusion will bring him more money or more fame than another by the fact that it will support some doctrine to which he was committed in' (Dewey 2012: 276).

To avoid the prevalence of an economic rationalist view of research, which runs the danger of funders and practitioners exercising power and control over research (refer to the discussion in Part IV), including the criteria that

---

<sup>26</sup> See also Williams (2009: 63) on the value of truth. He argues that 'we should resist any demand for a *definition* of truth, principally because truth belongs to a ramifying set of connected notions [...]'

they want to apply for determining ‘truth’ (see Brew 2007), I suggest that the principle of *autonomy* might be considered essential and desirable.

For Kaplan (1964), the principle of *autonomy* is of critical importance to sciences taken altogether. This principle refers to the pursuit of the truth being accountable to nothing and to no one. He does not argue that the ‘scientific enterprise [which I relate to academic inquiry/research] either is or ought to be dissociated from the larger world of men and affairs’ (6) or that the ‘individual scientist is accountable only to himself’ (4). His critical point is the following:

The principle of autonomy does not deny authority to norms of scientific practice but rather derives their authority from the sovereignty of science itself. *Standards governing the conduct of inquiry in any of its phases emerge from the inquiry and are themselves subject to further inquiry.* Both historically and on the present scene, the chief importance of an insistence on the principle of autonomy lies in its defense of the integrity of science against encroachment by other social enterprises.

(Kaplan 1964: 5; emphasis added)

My intention is not to get into a debate on what is scientific or not. Rather I go to the essence of Kaplan’s argument about the principle of *autonomy* and suggest that this can be explicitly applied to an argument about academic inquiry (in contrast to other forms of inquiry taking place outside of academia). Throughout this thesis, I write about the research that I conducted in line with the discussion above. This discussion reflects a

critical part of my thinking in the journey of this PhD, in terms of what doing research and being an academic researcher might imply. The methodological approach that I developed is rooted in that thinking and understanding of notions such as academic freedom and autonomy. The positioning of academic freedom and autonomy in the academic discourse is presented in Part IV of the thesis.

Another influence on my approach to inquiry is Haunschild and Eikhof (2009), who emphasise the freedom of qualitative researchers in making methodological decisions and interpreting data. Consider the following:

We argue [. . .] that gaining an understanding of social phenomena is an ongoing process that is significantly influenced by the theoretical assumptions we make and therefore should be open to changes to these assumptions as well as for new theoretical inputs. This openness implies scope for interpretation and methodological variations which hence make higher demands on qualitative [. . .] researchers regarding the justification of interpretations, methods and results.

(Haunschild and Eikhof 2009: 109)

I have tried to adopt a flexible approach in the inquiry, which in turn allowed for the emergence and development of the conceptual arguments and methodological approach presented in the thesis. The openness was considered necessary to avoid constraining the scope of the research and the interpretation of data gathered. For example, the concepts that I initially explored in Chapter 6 (regarding YoungArts) were specifically related to the

determination of aspirations but during the iterative analysis of the data the considerations evolved to include theoretical arguments about the ‘capacity to aspire’.

However, the way I conducted the inquiry in both empirical contexts was not based solely on theoretical arguments, it was also significantly based on ‘sensitivity to the quality of a situation’ and in particular how ‘the problem must be felt before it can be stated’, as discussed in Chapter 1. Consider the following by Dewey (1938: 70):

It is more or less a commonplace that it is possible to carry on observations that amass facts tirelessly and yet the observed “facts” lead nowhere. On the other hand, it is possible to have the work of observation so controlled by a conceptual framework fixed in advance that the very things which are genuinely decisive in the problem in hand and its solution, are completely overlooked. Everything is forced into the predetermined conceptual and theoretical scheme. The way, and the only way, to escape these two evils, is sensitivity to the quality of a situation as a whole. In ordinary language, a problem must be felt before it can be stated.

I had the opportunity to ‘feel’ the problem and the quality of a situation (and relate that to conceptual arguments) especially in the case of YoungArts because of my on-going interaction with the participants through the set-up of a Knowledge Transfer Partnership (KTP). Through the KTP I conducted the inquiry in real time at the beginning of my PhD. As a consequence many

of the conceptual notions and arguments discussed in the thesis emerged organically from the inquiry.

### ***Analytical and ethical considerations***

Analytical and ethical issues form crucial parts of any research. Reflections about these issues were ongoing and informed various decisions about the methodological approaches (including research methods) that I developed for the case of YoungArts and the Internationalisation Project. There were two aspects of the research for this thesis that required particular ethical considerations. One aspect is with regards to the involvement of young people in the YoungArts case study. The other aspect was the use of visual methods in the context of the Internationalisation Project. These issues (and other considerations) are addressed in Chapter 5.

Autonomy in research is considered as an important ethical consideration, especially with regards to research subjects or participants (Hammersley and Traianou 2014). For example, research participants must be free to choose whether to be involved in the research or not on the basis of an informed understanding of what the research consists of and its purposes. There are also arguments to the effect that people who are affected by or who are the 'subjects' of the research should be involved in the research process in terms of deciding which questions to investigate, methods to use, analytical aspects, etc.

The notion of autonomy in research ethics is critical in another respect as well — the autonomy of researchers. Hammersley and Traianou (2014: 227) suggest that ‘[m]ore generally it could be argued that a researcher’s primary responsibility is to pursue the task of research well, and that this also require the exercise of autonomy, this being the core of academic freedom’. It is recognised, however, that one of the potential dilemmas in conducting social inquiries is that there might be conflicts between the autonomy of the researcher and that of research participants (and others). One might ask whose autonomy prevails in such cases? A way to resolve this dilemma might be through a social contract, that is, a tacit agreement which involves ‘reciprocal responsibility, an ultimate purpose beyond the individual academic and reference to the wider society’ (Tight *et al.* 2007: 14). The notion of a contract here seems to indicate something that is fixed and predetermined. In some cases, even a social contract might not help to resolve conflicts of interests.

The discussion in this thesis, especially in this part, includes critical reflections on the various challenges that might arise in conducting academic inquiries. I provide my perspective about how some of those challenges might be tackled.



### ***Structure of Part III***

The chapters in this part of the thesis focus on the research approaches and methods that I drew upon for the empirical research in the contexts of: YoungArts and the 'Internationalisation Project'.

Chapter 3 discusses my methodological approach in the empirical context of YoungArts (taking into consideration the settings of the KTP). Chapter 4 covers my approach for the Internationalisation Project in the context of University X. The methodological approach for the Internationalisation Project builds on my research experience in the context of YoungArts. Chapter 5 considers analytical and ethical issues.

## **CHAPTER 3**

### **THE METHODOLOGICAL APPROACH FOR YOUNGARTS**

Before I discuss the particular approaches that I draw upon, that is, action research and case study, I provide some information about YoungArts in order to situate the context in which the research was conducted. Thus Section 3.1 describes the empirical context of YoungArts. Section 3.2 critically discusses aspects of action research, in particular participatory action research and trailing research that have been useful in developing my methodological approach. Section 3.3 presents case study and its influence on my approach. Section 3.4 outlines the research methods used, namely observations, document review, interviewing and rich picture.

#### ***3.1 Empirical context of YoungArts***

As mentioned earlier, the empirical research for YoungArts was conducted in real-time through a Knowledge Transfer Partnership (KTP) between ArtsCentre and (what I call, for the purpose of anonymity) the ‘University’. I first describe ArtsCentre and YoungArts. I then provide some background information on the KTP – its structure and aims. Some information about the KTP is important as it had a significant influence on the development of the research.

### *3.1.1 ArtsCentre and YoungArts*

ArtsCentre was an arts organisation (first opened about forty years ago), with spaces for developing and presenting professional work in various art forms such as film, visual arts, drama and dance. In 2008, following consultations with young people (including those already involved in ArtsCentre and other young people who were part of other youth groups), key staff and partners, ArtsCentre planned and developed a project framework for the creation of YoungArts. The project framework directed the delivery of the YoungArts project, which took place from Spring 2009 to Summer 2010.

In 2009, ArtsCentre received £750,000 from the national arts council to develop and run YoungArts, a socio-cultural project to inspire young people, aged twelve to seventeen, to realise their creative potential through their engagement in the arts. This initiative was led by the then Artistic Director, who held the position for eighteen years in ArtsCentre until January 2010. YoungArts culminated in the delivery of a multi-arts festival in Summer 2010. There were three core groups of young people who were involved in the decision-making process of the festival, namely the Young Advisory Board, the Young Programmers and the Young Marketers (refer to Part III for more information). Though the festival was open to other members of

the public the main target audience was primarily the so-called ‘young people’.<sup>27</sup>

The responsibility of strategically managing YoungArts and delivering the objectives (including supporting the young people in the decision-making process for the festival) was given to a project management team. ArtsCentre held discretionary control over the entire project, including the festival through the Project Manager of YoungArts and Executive Director of ArtsCentre. The Project Manager reported to the senior management team of ArtsCentre, especially to the Executive Director and to the organisation’s Board of Directors.

From February 2010 till September 2010, i.e. in the few months preceding the YoungArts festival, ArtsCentre operated without an Artistic Director. This not only had an impact on the organisation of ArtsCentre and the process of YoungArts but it also affected, to some extent, the commitment/interests of the organisation’s staff to fully participate in the KTP. The Artistic Director (who left in January 2010) was the one who had mostly contributed to and supported the creation and aims of the KTP with the ‘University’. Following her departure from ArtsCentre, a gap was felt in the KTP. Though I had the collaboration of YoungArts staff for some aspects of the KTP, it was challenging to get them to understand other aspects of the

---

<sup>27</sup> In this thesis, the term ‘young people’ is simply used to reflect the jargon that YoungArts adopted to refer to the participants (and target audience) of the age group twelve to seventeen for the project.

partnership like co-generative learning and critical reflections about their experience and practice in YoungArts.

### *3.1.2 An introduction to KTPs*

A KTP is a UK-wide programme (supported by the government) that was first established about thirty-five years ago as ‘the Teaching Company Scheme’ (TCS) by the Science and Engineering Research Council, based upon the teaching hospital idea - ‘learning by doing’.<sup>28</sup> KTPs were typically focused on science and engineering projects (with a focus on commercial value) and it is only recently that they broadened their remit to include social, arts and humanities projects from sectors such as the creative industries (Howlett 2010).

A KTP generally consists of a partnership formed between a company (or organisation) and an academic institution (referred to as a ‘Knowledge Base’ partner), which seeks to facilitate the transfer of knowledge (and technical and business skills) and to address challenges that the company partner might face. In order to do so, the partnership recruits an Associate who is ‘either a postgraduate researcher, university graduate, or individuals qualified to at least NVQ (Level 4) or equivalent’ (KTP online).

---

<sup>28</sup> KTPs receive funding through the Technology Strategy Board, now renamed, ‘Innovate UK’. There are 12 other funding organisations, including all UK research councils. There are currently more than 800 partnerships in the KTP portfolio (KTP online). The duration of projects vary from six months to three years. For more information: <http://www.ktponline.org.uk/>; <https://www.innovateuk.org/>. Last accessed on: 22 October 2014.

The Associate works on a project, which is considered of strategic importance to the company/organisation, under the guidance of a Company Supervisor and a Knowledge Base Supervisor. Although the Associate contributes to the broader environment of the company/organisation, the main focus is on the KTP project; there is little or no involvement in the day-to-day activities of the company/organisation. With regards to the knowledge transferred, Howlett (2010) suggests that often what is ‘transferred is knowledge about how to find a solution or approach a problem, rather than the solution itself’ (13). The Associate learns ‘how to solve problems, perform an investigation, carry out a design etc.’ and helps to embed these capabilities in the company/organisation, rather than transfer and implement a ready-made solution (*ibid.*). I would suggest that in some cases the Associate might have to begin with *identifying the problem* (this links to my discussion of Dewey) in the company/organisation and not necessarily with finding a solution.

The main aims of the KTP between ArtsCentre and the ‘University’ was to develop and share: 1) knowledge about how young people might shape their aspirations through their experience in creative activities and 2) relevant methodologies that bridge the gap between theory and practice. The KTP had a committee consisting of a Secretary and an Advisor from the KTP organisation; a Lead Academic, an Academic Supervisor and an Associate based in the University; and two members of staff from the senior management of ArtsCentre (including the Project Manager for YoungArts). The role of the committee members (except for the Associate) was primarily to monitor the progress of the KTP and advise the Associate on the

development of her work. I was the Associate in the KTP between ArtsCentre and the 'University'.

The KTP between ArtsCentre and the 'University' covered a period of twenty months, ending nearly a year after the festival of YoungArts took place. The KTP focused on YoungArts and only touched on other activities of ArtsCentre in as much as they crossed over with YoungArts. For the duration of the KTP, ArtsCentre granted me access to its environment, the young people, employees, collaborators and documentation in YoungArts, among others. As a KTP Associate, I was able to interact with the participants regularly. I participated in the weekly staff meetings and other key events/meetings of YoungArts (see Appendix I for a calendar of events giving an indication of events/meetings I participated in) but I was not involved in the daily operations of the project.<sup>29</sup> In a week, I spent about two to three days in the YoungArts meetings at the ArtsCentre; most of the meetings lasted for two to three hours. Occasionally, for a few workshops or consecutive meetings, I spent half a day or a full day with the participants of YoungArts. This embeddedness in YoungArts enabled me to gain in-depth insights into the socio-cultural project and laid the foundations for gathering rich data through various methods.

Combining an understanding of theory with practice, I explored if and/or how a project like YoungArts could provide a creative space for young people

---

<sup>29</sup> After the completion of the trailing research in YoungArts, I compiled the calendar based on dates entered in my diaries, information in emails I sent and received and my field notes. I then crosschecked the dates and events with the minutes of meetings (including attendance of participants) and event log sheets that were prepared by the Administrator of YoungArts.

to shape their aspirations. Among a number of specific outputs that I had to deliver for the KTP, was an evaluative framework for ArtsCentre that would enable the organisation to assess the impacts of its creative activities. I regularly reported on the investigation and development of the evaluation framework through meetings with members of the KTP committee, especially the Project Manager of YoungArts and the Academic Supervisor and through submission of key written analyses to ArtsCentre and the University.<sup>30</sup>

At the beginning of my research in YoungArts, I observed that the situation was indeterminate or problematic, in the sense, that the situation in the socio-cultural project appeared to be ‘uncertain’, ‘unsettled’ or ‘disturbed’ (Dewey 1938, Kauffman 1959, Pepper 1977). There was uncertainty about the process and delivery of the socio-cultural project and how the participants might actually be enabled to shape their aspirations, among other things. Drawing on Dewey (1938), identifying that the situation in YoungArts was problematic or indeterminate and thus required inquiry was the initial step in the inquiry.

---

<sup>30</sup> For example, key written analyses on ‘public interests evaluation’ and ‘enabling young people to shape their aspirations’.



### **3.2 Action Research**

To develop the methodological approach for the research in YoungArts, I drew mainly from key aspects of Deweyan inquiry (refer to Chapter 1) and action research approaches. The term ‘action research’ was coined by Kurt Lewin in a 1946 seminal article titled ‘Action research and minority problems’ (Aguinis 1993; Huxham and Vangen 2003; Burnes 2004). Lewin’s action research approach emerged from his interaction with various individuals and organisations in the context of his work on group dynamics. He developed a particular concern for doing research that contributes to societal change. Lewin adopted an action-oriented approach (which included principles of science) to investigate and address social problems such as anti-semitism and the integration of black and white sales staff in department stores (Aguinis 1993; Burnes 2004). The Tavistock Institute of Human Relations in London was also using action research ‘to improve managerial competence and efficiency in the newly-nationalized coal industry’ (Burnes 2004: 984). Since then, there are various other approaches to action research that have been developed.

Many of these approaches to action research take inspiration from the work of scholars such as John Dewey, Paolo Freire and Jürgen Habermas (Reason and Bradbury 2008; Karlsen and Larrea 2014). It is argued that action research is an ‘*orientation to inquiry*’ and must not be considered as ‘simply another methodology in the toolkit of disinterested social science’ (Reason 2003: 106).

Reason and Bradbury (2008: 1) suggest that action research focuses on:

[. . .] participative communities of inquiry in which qualities of engagement, curiosity and question posing are brought to bear on significant practical issues.

Moreover, action research approaches support ‘co-generative learning’ with practitioners and wider communities, and are recognised for value-oriented, socially oriented, action-oriented, context bound, dialogical, participatory and multi-disciplinary approaches to research (Elden and Levin 1991; Greenwood and Levin, 2001; Olsen and Lindøe 2004; Reason and Bradbury 2008). There is also an emphasis on fostering the co-generation of learning and knowledge through the interplay of theory and practice (Levin 2004). These features of action research were of particular relevance to the research in YoungArts, and in particular, how the Knowledge Transfer Partnership (KTP) between ArtsCentre and the ‘University’ was shaped in practice.

Thus, under the guidance of the Lead Academic and Knowledge Base Supervisor, I explored action research approaches in order to gain insights about developing my approach to inquiry in the context of YoungArts.

I learnt from two specific action research approaches, namely participatory action research (Kemmis 2008; Rahman 2008; Elden and Levin 1991) and trailing research (Finne *et al.* 1995; Olsen and Lindøe 2004).<sup>31</sup> The next two

---

<sup>31</sup> See Rahman (2008) for the diverse perspectives around participatory action research.

sub-sections elaborate on critical aspects of those two action research approaches and how they were relevant to the inquiry in YoungArts.

### *3.2.1 Participatory action research*

A feature of participatory action research is that it helps foster social inquiry that ‘generates action by people [who are directly affected] to advance their lives, so that *action unites, organically, with research*’ (Rahman 2008: 49). Kemmis (2008) suggests a conception of action research that encompasses critical participatory action research as a process undertaken collaboratively by participants, in which they reflect critically and self-critically as individuals and as a collective on their social practice. Critical participatory action research thus opens up ‘communicative space [. . .] aimed at inter-subjective agreement, mutual understanding and unforced consensus about what to do – in which participants can strive together [. . .] to reach shared insights into and decisions about what to do in relation to the nature and historical formation of their practice [. . .]’ (Kemmis 2008: 136). In such approaches, the researcher is viewed as a ‘co-learner’ and not as an ‘expert in charge of change’ (Elden and Levin 1991).

At the beginning of the inquiry in YoungArts, I considered that there was scope to involve some of the participants more intrinsically in the inquiry given the duration of the partnership (that is, twenty months). Moreover, discussions with the Artistic Director of ArtsCentre before the inquiry began indicated that the organisation was keen to engage in collaborative research

through the KTP. Thus I tried to set up the approach to inquiry in a way that involved YoungArts staff and the young people not as ‘subjects of research’ or ‘recipients of intervention’ (see Reason and Bradbury 2008) but as potential co-inquirers exploring how participants could shape their aspirations.

In the initial stages of the KTP, I conducted a few meetings with key staff involved in YoungArts to discuss the objectives and methods of the inquiry and how the staff might be involved in the process. The meetings covered how the inquiry related to the objectives of YoungArts and to the work that the project management team planned to carry out (as set out in their project plan); the potential collaboration through co-generative learning (Elden and Levin 1991); and my role as a KTP Associate in YoungArts (including the relation to my PhD). But as I discussed earlier, over time (especially after the departure of the Artistic Director from ArtsCentre) I noticed that key staff in YoungArts did not express significant interests (if any at all) in the process of the inquiry, let alone the potential for co-generating learning through the interplay of theory and practice. They seemed more concerned with their day-to-day activities and the outcomes of the KTP that the *Associate*, i.e. I, would deliver.

Elden and Levin (1991) have contrasted their participatory action research approach to that of Gustavsen (1985), which they refer to as more systematic. The approach of Elden and Levin is ‘to intentionally and strongly influence content’, whereas that of Gustavsen is ‘to guarantee procedural

purity'. For Gustavsen, the researcher 'does not interfere with content — that is completely the participants' job' (Elden and Levin 1991: 136).

Drawing on my critical reflection regarding the research experience in YoungArts, I suggest that an academic researcher might influence the content she is studying as long as she is not dominating the dialogical process and she has gained acceptance to participate from those directly affected. It is important that the participants are aware and willing to embrace that influence (but not necessarily the ideas that emerge from that influence). If an inquiry is to be based on co-generative learning, it makes sense that the researcher also contributes to substantive content in the context she is studying.

There might be valuable reasons for the academic researcher to influence the content, for example if she wishes to stimulate critical reflections from the participants not only about procedural issues but also about things that they might overlook in their discussions and decisions. For example, very early in the process of YoungArts I noticed that little was said on the part of the project management team about how the young people might be enabled to explore and realise their aspirations (which was one of the key stated objectives of the socio-cultural project). Thus I probed the staff about how YoungArts sought to address that aspect of the project and it appeared that not much thought was explicitly given to how the young people in the three core groups might be enabled to shape/pursue their aspirations. A discussion ensued in the weekly meeting of the YoungArts project management team and the members of staff decided that they would try to

keep that aspect of the project in mind and find out about the aspirations of the young people and how they might be supported.

Another aspect of YoungArts where I was able to influence content was the evaluation of the project. One of the funding requirements from the national arts council was for ArtsCentre to evaluate the impact of YoungArts and submit a report at the end of the project. There was a strong connotation that the evaluation would have to justify the funding received and demonstrate 'good practice' in the arts sector. Initially, ArtsCentre considered that I would be the evaluator for YoungArts. With the collaboration of academic colleagues (involved in the KTP), I had to clarify that though I was working as a KTP Associate *developing* an evaluation framework for ArtsCentre (among other things), I was not the 'evaluator' or consultant for YoungArts. I shared my understanding of evaluation frameworks and have influenced the content of the organisation's evaluation practices as such, without leading or dominating the process.

### *3.2.2 Trailing research*

Using an action research framework, Finne *et al.* (1995) developed trailing research for program evaluation. Trailing research integrates formative and summative evaluation in order to enhance the running of a program and to generate knowledge for the scientific community. The research trails the activities of the program (in this case YoungArts) in real time. This has the benefit of providing 'almost instantaneous feedback' on significant issues related to both the research and program. For example in the case of

YoungArts, I often provided instantaneous feedback to the evaluation officer on issues such as the main aspects/concerns she was assessing in the project, potential questions to ask the participants and methods that she was using (such as questionnaire administration, documentary filming, etc.).

Moreover, through the discussion in the meetings with the three core groups and with staff I offered 'almost instantaneous feedback' on a range of issues such as participation, communication, decision-making processes etc. In turn, I would often discuss aspects of the academic research with the participants in YoungArts/ArtsCentre, especially about the techniques that I intended to use or notions (for example creative space, empowerment, etc.) that I was exploring.

Trailing research is flexible in how knowledge is acquired and interpreted through a combination of the methods of participation, dialogue and traditional scientific tools (Olsen and Lindøe 2004). Trailing research does not use the 'methodological apparatus [. . .] to make explicit claims on 'true' conclusions' (Finne *et al.* 1995: 15). The main motivation behind the trailing research conducted by Finne *et al.* (1995) was to create learning opportunities for generating useful knowledge that would enable stakeholders in the program to achieve their goals.

The motivation behind conducting the inquiry in YoungArts was to develop a conceptual understanding based on a real contextual situation (in the spirit of pursuing truth) and in so doing to explore with ArtsCentre co-generative learning opportunities. The focus was not specifically to provide

‘useful’ knowledge only but to shape valuable processes of shared meaning-construction and learning to enhance both practice and research. The set outputs for the KTP were thus formulated (primarily by the academics involved, following discussions with ArtsCentre and the KTP organisation), having this focus in mind.

The approach discussed in trailing research was key in formulating a methodological approach for the inquiry in YoungArts. As a researcher, I had to ‘be active and passive in different phases of the project’ (Olsen and Lindøe 2004) in order not to be so involved in YoungArts in a way that might cloud my judgment for the inquiry. The core of my responsibility was to stimulate critical reflections from participants, prepare and conduct interviews and workshops, gather data, analyse and present findings to ArtsCentre and the KTP Committee in the form of written reports.

ArtsCentre intended to use the main KTP report on the impacts of YoungArts in order to support its own evaluation report to the national arts council and key stakeholders. Finne *et al.* (1995) write how for their research, they had to present the findings in a format that was understandable to the ‘stakeholders’ of the program and in a way that it would make a political impact. For the KTP, I was very aware that the report had to use a language that the ‘stakeholders’ of ArtsCentre could easily understand. The timing of delivering the final report (and the preliminary analyses) was also important. The completion of the report had to tie in with key decision-making processes of ArtsCentre (see also Finne *et al.* 1995). As an academic researcher, I had to balance the requirements of the KTP with



my responsibility to let the inquiry unfold on its own terms and in line with the pursuit of the spirit of the truth, without rushing into conclusions. After all, conclusions cannot be anticipated when one pursues the spirit of the truth.

Ideally what the ArtsCentre was looking for was a KTP report that would principally highlight their good practice in organising and managing the socio-cultural project, which they could then share with the national arts council and other partners in the arts sector. As an academic researcher concerned with pursuing and publishing the spirit of the truth, I considered that it was fundamental to write a truthful account of my analytical observations in the report, including problematic aspects of the YoungArts process. Thus I did not play to the organisational agenda of ArtsCentre in providing a report that would simply emphasise the positive 'legacy' of YoungArts to the broader arts sector. For example, the final report that I wrote pointed out some problematic issues in the course of the socio-cultural project. In relation to the report, a senior manager informed me that though it was useful for their internal reference, they could not share the report externally because of the problematic issues that I raise in the analysis.

I understood the position of ArtsCentre about not sharing the report publicly because of the repercussions for the organisation, at the very least on its public image. This is an example about how academic researchers and practitioners might have different responsibilities regarding the outcomes of an inquiry.

### **3.3 Case study**

The case study approach is considered as ‘a research strategy which focuses on understanding the dynamics present within single settings’ (Eisendhart 1989: 534). Case studies can consist of either one case or multiple cases and the analysis can be done at multiple levels, that is, at an individual, group, project, organisational, and/or industry level, among others. Rich data can also be gathered using a combination of various methods such as interviews, documentary evidence, observations, etc. (*ibid.*). Moreover, to some extent, there is an overlap between data gathering, coding and data analysis in case study approaches.

Drawing from case study to develop my methodological approach helped in using multiple sources of evidence for the triangulation of data (discussed in Chapter 5) and was also valuable in dealing with ‘more variables of interest than data points’ (Yin 2009: 18). Since I adopted an approach to inquiry that would allow problems to emerge (rather than predetermine what the problems were), it was important to explore not only the different data sources but also ‘variables of interest’ that might lead to identifying and defining the problem.

My use of case study can be regarded as a:

[. . .] logic of design . . . a strategy to be preferred when circumstances and research problems are appropriate rather than an ideological commitment to be followed whatever the circumstances.

(Platt 1992: 46 as cited in Yin 2009: 17)

Thus, I adopted the view that while the case study approach had to be used systematically it need not be used in every circumstance of the inquiry in YoungArts. A case study approach was particularly useful at the beginning of the inquiry in YoungArts when it was not clear what the boundaries between the context of socio-cultural project and the shaping of aspirations were. For Yin (2009:18), case study research is:

[a]n empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident.

Moreover, 'a case study is [ . . . ] defined by what is studied and not by *how* a phenomenon is studied' (Haunschild and Eikhof 2009: 110, emphasis added).

Haunschild and Eikhof (2009: 110) point out that:

An in-depth study of a defined unit of analysis (the case), in particular when based on a variety of data sources, allows for taking a closer look at perceptions, reflections, justifications and rationales of social practices as well as the context these practices are embedded in and the strategies individual and collective actors develop.

For the inquiry in the context of YoungArts, my cases were at two levels: project level and individual level. Studying YoungArts, that is, the project as a case was insightful as it offered the scope to investigate the context but

also to look more closely at the interactions of the individuals involved in the socio-cultural project. It was crucial to look at the individuals (the young people, staff, key partners, artists and other professionals in the arts and education) because YoungArts had a foremost impact on them. In turn the resulting choices, actions and interactions of these individuals (and sometimes the organisations they were associated with) had an impact on the socio-cultural project and society more broadly. In that sense, some of the individuals, especially the young people in the three core groups and YoungArts staff also represented cases that I studied in this inquiry.

Though the number of people involved in YoungArts (throughout the process) was over one hundred, I only focused on those individuals who had a significant involvement in the project (either through their influence on decisions or the extent of their participation). The cases also included some of those individuals who gradually detached themselves from YoungArts and were significantly affected by the project. The focus on a smaller group of people enabled an in-depth understanding of their interactions with the environment of YoungArts and whether their aspiration might have evolved other time.

### ***3.4 Research methods***

Various methods were used in the empirical research for YoungArts, namely observation, interviewing, focus discussion and rich picture. In this section, I describe and explain the methods that I have used for the research in

YoungArts.

From July 2009 to September 2010, I trailed the cohort of young people (involved in the three core groups) and the staff of YoungArts using various methods (as recommended for case studies, Eisendhart 1989). Throughout that period I observed that the number of young people in the three core groups dropped over the months. The overall drop in the number of young people participating in the three core groups of YoungArts, especially in the last few months of the project explains why there were very few people who took part in the focus groups (E, F and G – refer to Table 3.4 below) at the end of the project. The number of participants in the focus groups reflects the number of young people that were involved in the three core groups of YoungArts between January 2010 and June 2010.

The management of YoungArts kept track of the young people's involvement throughout the socio-cultural project, as documentary evidence for their evaluation report (which they submitted as part of the required documents to the project funders). This detailed compilation supports my observation and demonstrates that on average the number of young people participating in each of the three core groups dropped over time. There were about twelve young people on average taking part in the monthly Young Advisory Board (YAB) between the months of August 2009 and December 2009. The average number of young people dropped to about eight young people between the months of January 2010 and June 2010. In particular between the months of March 2010 and June 2010, the total number of young people in the monthly YAB meeting ranged from four to six individuals. The drop in

the number of young people in the YAB is partly explained by the discussion of some of the young people in the focus discussion (Group E) and rich picture (refer to Chapter 6 for insights on their discussion).

Similarly, the total number of Young Marketers who took part in the weekly marketing meetings dropped from about seven individuals to about three individuals between August 2009 and June 2010. The number of young people in the marketing team fluctuated a lot throughout the project; on and off there would be about six to seven young people who turned up for the meetings most often when there were promotional events for YoungArts. On average the participation of the Young Marketers was low in the weekly meetings.

The Young Programmers' meetings were less frequent than the other two core groups. The Young Programmers did not necessarily meet every month. The total number of Young Programmers involved in YoungArts was seven but in many of their meetings there were only two to three young people. Throughout the socio-cultural project there was only one Young Programmer who was consistent in her participation in YoungArts. The commitment of that one Young Programmer was highlighted by some young people in the other two core groups and also by staff in YoungArts.

Table 3.4, below, provides an overview of the research methods used and details about the number of participants, and other relevant information in the context of YoungArts.

Table 3.4: Breakdown of research methods and number of participants in the context of YoungArts.

Date	Techniques	Number of participants	
		Young people (12-18 years old)	Adults (Over 18 years old)
July 2009-July 2011	<b>Observations</b>	N/A <sup>32</sup>	N/A
August 2009 – July 2011 <sup>33</sup>	<b>Interviews</b>	11 <sup>34</sup>	16
	<b>Focus groups:</b>		
May 2010	Group A (Staff)		3
June 2010	Group B (Staff)		3
June 2010	Group C (Staff)		4
June 2010	Group D (internship mentors)		9 <sup>35</sup>
August 2010	Group E (Young Advisory Board)	3	
	Group F (Young Programmers)	3	
	Group G (Young Marketers)	2	
	Group H (Young Interns)	10	
	<b>Rich picture:</b>		
December 2009	Group I (including members from A, B and C)		5
February 2010	Group J (including members from Group E, F & G)	10	
July 2009 – July 2011	<b>Document Review</b>	N/A	N/A

<sup>32</sup> I took notes of how many people and who were attending key meetings/workshops but I have not calculated the numbers of people I observed overall. The focus of observations was more on the situational contexts, interactions and behaviours of people. The process of observation also overlapped with other methods such as interviews and rich pictures during YoungArts. I also carried out observations after YoungArts, that is, after September 2010. More information is given on the observations I undertook in the following section.

<sup>33</sup> Most of the interviews occurred at the earlier stages of YoungArts but a few were in the middle of the project and one after the completion of the project (in July 2011). Refer to the subsection on interviews, below.

<sup>34</sup> I interviewed 11 out of the 28 young people who were involved as at beginning of August 2009 in the initial stages of YoungArts.

<sup>35</sup> Including 2 staff members from YoungArts

The discussion that follows provides further information about each research method used and the underlying implications, wherever applicable.

### *3.4.1 Observation*

Observation has been defined as a strategy or method that helps to gather first-hand accounts of a phenomenon and/or human experience (Schwandt 2007; McKechnie 2008), especially when little is known about the phenomenon or context. Observation is often characterised by first-hand experiences of events, places, behaviours, actions, etc. within a particular context (Mathison 2005) and often over time.

The practice of observation (in research) dates back to fieldwork studies in anthropology in the 1920s and in sociology (from the Chicago School) in the 1930s. Observation strategies were typically used to avoid the imposition of ‘premature’ conceptions on the viewpoints of participants, although there were some general theoretical framework in place to shape observations and interpretations of data gathered (Schwandt 2007).

Observation as a method has received critique regarding the researcher being perceived as a ‘spectator’ (Schwandt 2007). This builds on Dewey’s notion that we (including researchers) interact with the environment and knowledge is constructed through experiences and not passive recording of ‘facts’. In the context of YoungArts, I used observations in relation to an appreciation of case study approach and more importantly on an



understanding of observation not as passive recording but as part of *action* in research.

Case studies do not necessarily involve observations (Yin 1984) but often case studies use participant observation, for example ‘to describe comprehensively and exhaustively a phenomenon in terms of a research problem’ (Jorgensen 1989: 19). The researcher participates in the context under study in such a way that she is able to observe *and* experience the interactions and the environment (*ibid.*).

Furthermore, consider the following:

Observation is already cognition, not just material for subsequent knowledge [. . .] [O]bservation is already the work of understanding [. . .]  
The uninterpreted intuition or bare sensation is not the beginning of perception but the end product of a subsequent analysis, a reconstructed accessory after the fact.

Kaplan (1964: 131-132)

In retrospect, I can relate my experience in the conduct of inquiry for the thesis to the notion of observation that Kaplan (1964) presents in the above quote. For example, I made observations in the context of YoungArts primarily to understand the context I was studying and the problematic situation. The observations that I made did not constitute mere registering or recording of what was happening in the context of YoungArts. Rather, an embodied experience (refer to the earlier discussion in Chapter 1) took place

during the conduct of the inquiry, and I suggest that observations are the outcomes of an embodied experience. This also relates to part of the quote that I referred to, earlier: ‘a problem must be felt before it can be stated’ (Dewey 1938: 70). On a similar note, Stake (1995) notes that observations can help to get a feel for the context and make sense of the interactions between people.

Building on Dewey (1938), I consider that the observations that I made in this inquiry have to be interpreted in terms of the particularities of the perceived field in which those observations took place. For the context of YoungArts, most of the observations were conducted in 1) meetings of the young people and project management team (on planning, programming, and marketing of the festival and the overall organisation of YoungArts), 2) YoungArts workshops (for example Café Culture)<sup>36</sup> and 3) other activities (such as going to an annual fringe festival with the Young Programmers or attending the rehearsals for artistic performances for the festival, also refer to Appendix I).

I was a participant observer in the weekly staff meetings and other meetings with the young people in the three core groups (programming, marketing and advisory board) at ArtsCentre. I also participated in other events organised by YoungArts such as workshops, artistic performances and

---

<sup>36</sup> The café culture workshop was designed to have artists present proposals for a commissioned piece of work for the festival to the young programmers. Through discussions about the creative proposals, the young people were able to engage more fully with the artists about why and how they intended to contribute to the festival.

meetings with partners, artists and others. During some weeks, I would spend two to three days in ArtsCentre in meetings/workshops, including talking to the participants before and after meetings. Occasionally, I would accept invitations to join the young people and staff in activities such as ‘ice-breaking’ games. The time I spent in YoungArts, as a ‘participant-observer’ enhanced my understanding of the shared values of the participants and what mattered to them (for example what they were most enthusiastic or concerned about). My observations in YoungArts also helped me to prepare questions that I asked subsequently in meetings and interviews.

Often, during the observations I probed for the underlying reasons in organising an event or in making decisions about YoungArts to explore if and how the decisions might relate to the aspirations of the young people. In the meetings of YoungArts, I occasionally shared my observations with the participants, for example about communication and participation amongst the young people. Sharing my observations with the participants enabled me to confirm whether what I observed was accurate.

I recorded most of my observations, for example on how the project was developing, how decisions were reached and the interactions of participants in the form of field notes (in about four notebooks, of different sizes, each having one hundred pages, approximately). I also made direct observations about the physical space in which the participants were working or interacting (Yin 2009). For example, observations about the office space in ArtsCentre were indicative of how things worked in the organisation. The way ‘departments’ were positioned into clusters was an indication of the

position of staff members within ArtsCentre and how the individuals might work together. I observed how the office dynamics affected the organisation of YoungArts in the meetings.

In contrast to the perspective that observation is a passive activity and that the researcher is a 'spectator' (as reported in Schwandt 2007), it is argued that the process of observation often affects the person being observed directly and indirectly (Kaplan 1964). During my second formal meeting with the participants in YoungArts I realised that my presence as an observer had an impact on the people being observed (in particular on YoungArts staff) and in turn on their interactions, irrespective of whether I was engaging with them directly or not in the meeting. For instance, I noticed that the Project Manager would often look at me either before or after saying something (possibly reflecting a sign of hesitation or gauging my reaction to what had been said). Over time, I sensed that some of the participants in YoungArts preferred when I voiced out my observations.

Bryman (2012: 296) notes 'it is very common for members of organisations to believe that researchers are placed there to check up on them'. He further suggests, gaining access to an organisation does not mean having access to *people*. People tend to have suspicions about why the researcher is involved in the organisation. As I mentioned earlier, some of the staff perceived me as an evaluator for ArtsCentre and this would explain why in the beginning they might have been cautious about what they said or did when I was observing their interactions. I developed a relationship with the participants (staff and young people) in YoungArts over time following a number of

discussions with them through which I constantly clarified what I was doing in the KTP and how it was related to my PhD research. Over time, the participants in YoungArts were able to assess my position in the project based on my actions and interactions in the project.

As a participant-observer the challenge was to know where and when to draw the line with regards to my involvement in YoungArts. Geer (1997) points out that the fieldworker often struggles to stick to narrowly planned objectives in the field for various reasons. For instance:

If, as will always be the case, there are unanticipated data at hand, the field worker will broaden his operations to get them. Perhaps he includes such data because they will help him to understand his planned objectives, but he may very well go after them simply because, like the mountain, they are there.

(Geer 1997: 37)

While conducting the inquiry, I systematically thought that the more observations I had about situations or issues, the better I could understand what was happening in the context of YoungArts and ArtsCentre and why; and the lesser the risks of missing out on crucial data. I captured a wide range of data through observations but I tried to avoid going after data simply because they were there. As Kaplan (1964: 127) suggests, observation is 'purposive' and seeks to 'secure materials that will play a part in other phases of inquiry'. As an academic researcher doing significant fieldwork for the first time, it took me some time to fine-tune my observations.

I noted that it was easy to get pulled into contributing to discussions that were not within the remit of the research, when involved as a participant-observer. For example, I could get drawn into discussions about the marketing of the festival. Even though the discussions on marketing were interesting, I had to keep in mind that I was not involved in YoungArts to help solve marketing dilemmas. I had to make sure that I did not directly influence or involve myself in such issues so as not to stray from my line of inquiry.

### *3.4.2 Document review*

Documents can be used as a ‘complementary strategy’ to other methods such as observation or interviews (Flick 2009: 255). However, when using document review, it is crucial to assess the authenticity, credibility, representativeness and meaning of the documents to ensure that the information obtained is accurate and reliable (*ibid.*). It is therefore important to find out where the document originated from, for what purpose was it drafted or used for, who uses the document or which audience it is targeted at, etc.

A wide range of secondary documentation in YoungArts was used as sources of data for the inquiry such as: emails, minutes of meetings, project plan, funding application documents, internal newsletters and news clippings.<sup>37</sup>

---

<sup>37</sup> Here, secondary documentation refers to documents that I did not produce and that ‘have not been produced specifically for the purpose of the [. . .] research’

This was made possible because of the KTP, and the emphasis on aspects of action research such as collaborative research and co-generating knowledge (though those were challenging as discussed earlier). In reviewing the documents, I was particularly conscientious in finding out the origins and purposes of the document among other things (as mentioned above).

Before entering the context of YoungArts for the inquiry, documents regarding the planning of the socio-cultural project were reviewed. At the early stages of the inquiry, upon my request, I received documents by emails from the project manager of YoungArts. After a few months of participant observation and conducting individual interviews with key staff, I was further granted access to the computer network drive of ArtsCentre. I thus had access to documents that were available to staff in the organisation. I was also added to the mailing list of YoungArts management team and ArtsCentre's internal mailing list. Therefore, I could review documents communicated via the internal mailing list.

The documentation review provided invaluable information in understanding YoungArts and the role of key participants and partners. I was careful in interpreting the documents, especially the project plan documents, as they were prepared for a particular audience (that is, the funders) and thus served particular objectives. As Yin (2009: 105) puts it:

---

(Bryman 2012: 370), in contrast to fieldnotes that I wrote based on my observations.

[T]he casual investigator may mistakenly assume that all kinds of documents — including proposals for projects or programs — contain unmitigated truth. In fact, important in reviewing any document is to understand that it was written for some specific purpose and some specific audience [ . . . ] [T]he case study investigator is a vicarious observer, and the documentary evidence reflects a communication among other parties attempting to achieve some other objectives. By constantly trying to identify these objectives, you are less likely to be correctly critical in interpreting the contents of such evidence.

Drawing from the above perspective, I could critically appreciate that documents are useful but do not necessarily provide accurate accounts of events. Key elements are often edited (consciously or not) from reports. This is why, using other research methods were particularly important and useful.

### *3.4.3 Individual Interviews (and informal discussions)*

Interviewing is defined as ‘a conversational practice where knowledge is produced through the interaction between an interviewer and an interviewee or a group of interviewees’ (Brinkmann 2008: 471). The interviewer design questions to obtain information and/or reactions about particular issues. Interviews vary from structured to semi-structured to free-flowing exchanges (Holstein and Gubrium 2003).



Interviews are essential in understanding the ‘descriptions and interpretations of others’ (Stake 1995: 64). Since I was going to interact with most of the key participants throughout the duration of YoungArts, I wanted an opportunity to establish individual contacts with them. In the initial stages of the empirical inquiry, I thus conducted one-to-one interviews with some participants (those who gave their consent for the interviews) in YoungArts. Fundamentally, I conducted the interviews to find out more about the individuals, for example, their background, motivation for joining YoungArts, perceptions of the opportunities and challenges in the project and their broader life aspirations. The individual interviews helped me to better understand the people I was going to interact and work with (see Geer 1999), and facilitated my observations of the interactions amongst participants in YoungArts.

Furthermore, I considered that establishing contact was particularly necessary as many of the participants could provide information through informal discussions during the process of YoungArts (see Stake 1995). The interviews also offered the space and time for the participants to ask me discreetly about any concerns they might have regarding YoungArts and my role in the project.

Depending on the level of interactions between the participants and I, some interviews were more conversational than others. Following Yin (2009), the interviews had two simultaneous levels: to follow my line of inquiry and to pose questions in a ‘friendly’ and ‘nonthreatening way’ (106- 107). The latter was especially important when interviewing teenagers to build a rapport,

and make them comfortable in expressing their views. The interviews were voice-recorded, with the consent of the participants. One of the main reasons for recording the interviews was to allow me to focus on the actual exchange during the interview and not worry about taking notes for future references. From my observations, I also noticed that when I took notes (however discreet I tried to be) during the meetings in YoungArts, people sometimes felt self-conscious or curious about what I was writing down. So for the interviews, I wanted to minimise the possibility that my note-taking would distract the interviewees.

The interviews were conducted mostly with the young people in the three core groups (namely, Young Advisory Board, Young Marketing and Young Programming), key staff of ArtsCentre/YoungArts and key partners. Among others, I interviewed three key 'partners' in YoungArts: the Head of Creative Department of the Local College (involved in the Internship Programme) and the Artistic Director and the Music Development Officer of a venue (managed by the local city council) for music, performance, exhibitions and arts classes. I conducted twenty-seven individual, face-to-face interviews in all (refer back the Table 3.4 for further details).

There were different interview schedules for each group of participants, that is, for the young people, staff and key partners. The interviews were semi-structured and questions were adapted and/or added for each individual interview. Based on my previous interviews (with other participants of YoungArts) and observations, I sometimes prepared a modified interview

schedule for subsequent interviewees to obtain new or more information and/or crosscheck what I observed, read and/or heard before.

Some of the questions asked in the interviews are as follows:

To YoungArts staff:

- *Tell me about the development of your career.*
- *Why did you join ArtsCentre? / Why did you join YoungArts?*
- *Have the young people been consulted about – various decisions regarding the festival, the internship, etc?*
- *How did you develop part of YoungArts with the young people?  
How do you engage young people in the project?*
- *What do you think about the young people having the power and making certain decisions to shape the festival?*
- *Based on your interactions with the young people, what do you think they expect from the project?*
- *How do you think YoungArts will impact on the young people? What kind of impact are you hoping for...*
- *Do you expect to get anything out of YoungArts to develop your career or perhaps enhance your career prospects?*

To Senior management of ArtsCentre:

- *Tell me about your career. What you were doing before joining ArtsCentre?*
- *What is YoungArts? How did the concept arise?*
- *Who were/are the other actors in developing the project (YoungArts)?*

- *Can you describe your role in YoungArts, from its conception up to now?*
- *How are the young people engaged in YoungArts, so far? How has the project developed?*
- *What do you think the young people expect from YoungArts?*
- *How would you describe the decision making process in YoungArts?*
- *What do you think of the young people having the power and control to shape the festival?*
- *What are the impacts you think YoungArts will have on the young people, or the wider community?*
- *What do you foresee as the main challenges for YoungArts?*

To Young people in YoungArts core groups:

- *What are your general interests?*
- *Do you have any particular ambition?*
- *How did you hear about YoungArts?*
- *Why did you join YoungArts? What appealed to you? What were your initial thoughts when you heard about YoungArts?*
- *What do you hope to get out of the experience in YoungArts, anything in particular you are really looking forward to?*
- *What do you think of the structure of YoungArts, about the organisation into three core groups of young people?*
- *Is there anything about YoungArts or your role in the project that you are unsure about?*

### To Key Partners

- *Can you tell me more about your [organisation's] involvement in YoungArts?*
- *What were/are your views on what the project would bring?*
- *Why did [your organisation] get on board with YoungArts? What do you expect to get out of the collaboration?*
- *What did/do you foresee as the impacts of YoungArts?*

The interviews with the young people were carried out between August 2009 and October 2009. And the majority of the interviews with key ArtsCentre/YoungArts staff were conducted from September to November 2009. Since there were staff recruitments for the project throughout the duration of YoungArts (i.e. between June 2009 – April 2010), a few interviews also took place in early 2010. Furthermore, the new Artistic Director joined ArtsCentre in September 2010 after the completion of YoungArts and was formally interviewed in July 2011.

Based on my ongoing observations, I knew that the new Artistic Director was in discussions with staff about YoungArts and ArtsCentre and I considered that it would be better to interview him after he had gathered all the feedback and shaped his own views on issues relating to YoungArts and ArtsCentre. I did not formally interview him at the beginning of his appointment in ArtsCentre but I had regular discussions with him throughout September 2010 to July 2011. Our discussions provided me with sufficient information about his views of the socio-cultural project and actions he might be taking to build on the legacy of the project.

I did not deem it appropriate to have a formal interview with the new Artistic Director at the beginning of his appointment as I sensed that he might not be genuinely forthcoming in his responses to my questions and might need more time to fully understand my role as a KTP Associate and academic researcher in the project. I also sensed that he might be preoccupied with the immediate concerns regarding YoungArts and the restructuring of ArtsCentre and more fundamentally about whom he might trust or not in ArtsCentre. Towards the end of the KTP, I considered that the Artistic Director had established his own position in the organisation and might be more comfortable to have a formal interview with me where I could probe for critical responses about ArtsCentre and YoungArts.

#### *3.4.4 Focus interview/group*

Merton *et al.* (1956) introduced the term ‘focus interview’, which refers to the systematic and simultaneous interviewing of a group of people (Fontana and Frey 2005). For YoungArts, the focus group technique was used in a semi-structured way, that is, I prepared a set of questions to initiate and shape the interactions amongst the participants. The participants were free to explore other issues related to YoungArts, as long as they did not deviate from the contextual situation. The focus groups were used for exploratory purposes, in particular to stimulate discussions about the shared experiences of the participants in the project.

Following Merton *et al.* (1956), Fontana and Frey (2005) observe that there are a number of issues that might arise in group interviews, for example, the

risk of an individual or group of individuals dominating the discussions. Hence, it is important to ensure the inclusion of all participants in the discussions and the gathering of views from the entire group in order to address concerns from various perspectives.

Given that I was involved in the process of YoungArts and trailed the participants since the early stages of the project, I was aware of the dynamics amongst most participants, especially amongst YoungArts' staff. Thus prior to the staff focus groups, I organised the groups according to staff availability and existing dynamics amongst individuals. For example, I was particularly aware that the presence of two senior management staff in the focus groups 'may interfere with [the] individual expression' of some other participants (Fontana and Frey 2005: 705). Keeping this into consideration, I decided to put those two senior managers in a group with two other staff members whom I had observed would normally interact with them without repressing their critical views. However, about ten minutes before one of the focus groups, one of the senior managers informed me that she would not be able to join the group I had assigned her to. She asked to join one of the other focus groups, which she did.

The focus group that she joined was particularly difficult, in terms of getting the participants to respond to my questions or to interact with each other. One of the participants was particularly quiet and there were many awkward pauses in the focus group. I had to direct a few questions at specific participants in order to get them to respond. This is in line with the view that the group interviewer must simultaneously be focused on the set of

questions prepared and be sensitive to how the dynamics of the group develop (Fontana and Frey 2005).

After the YoungArts festival, I had focus interviews with four different groups of young people. Three of the focus interviews were with members of the Young Advisory Board, Young Marketing and Young Programming respectively. The fourth focus group was with the young people in the internship programme of YoungArts. A few months before the focus group with the young people doing the internship, I had a focus group with their mentors. The focus group with the mentors was planned to find out more about the internship programme and the opportunities for the young people to pursue their aspirations. The data gathered from the focus group with the mentors helped to structure the discussion with the 'young interns'. Data gathered from the focus group with the interns and mentors were used concurrently to analyse the outcomes of the internship programme.

There was no restriction on the number of participants in each focus group. However, I observed that when there were more participants in the focus groups (both for adults and young people), I had less probing to do. However, I often had to interject questions to ensure that we addressed the key research concerns within a reasonable timeframe. I also had to involve some quieter participants in the discussions. With fewer participants I had to do most of the questioning, as the discussion required some slight steering. I also had to probe further with the young people in order to go beyond their brief responses.



Some of the questions asked in the focus groups are as follows:

To YoungArts staff and senior management:

- *Can we start with an introduction of your name and what you do in YoungArts and also, tell me how you feel about YoungArts right now?*
- *What have been the key turning points in the project? Things that have changed or had an impact on the process?*
- *Tell me what your three wishes would be, keeping YoungArts in mind and the future maybe.*
- *Is your experience in YoungArts as you imagined it would be when you decided to join the project or when you joined in?*

To Young People:

- *Can we start with an introduction, not of yourself but of the person sitting next to you?*
- *Can we start from the very beginning, when the young advisory board/marketing/programming started... tell me about what you did throughout the project.*
- *So if you were to do [YoungArts] again, you might do things differently? What would you want to be different in the project?*
- *Were there opportunities in YoungArts that you think might have helped you pursue your aspirations?*
- *Did most of you already know what you wanted to do in terms of your aspirations? Do you maybe have a better idea now about what you would like to do?*

- *What did you do/learn during the session with the mentors?*

To Arts Academy mentors:

- *Can we start with introductions: your name, what are your professional creative interests, and why you decided to join as a mentor in YoungArts?*
- *How has it [the experience] been working with young people in YoungArts?*
- *How does your professional background or your interest in the arts enable you to support the young people's learning experience?*
- *Did you notice any evolution in their [the young interns'] aspirations during the past five/six months?*
- *Do the young people take initiatives by themselves, or do you have to motivate them?*
- *Do the young people get the time and space to reflect on what they want to do in life [through the mentoring and internship]?*

### *3.4.5 Rich Picture*

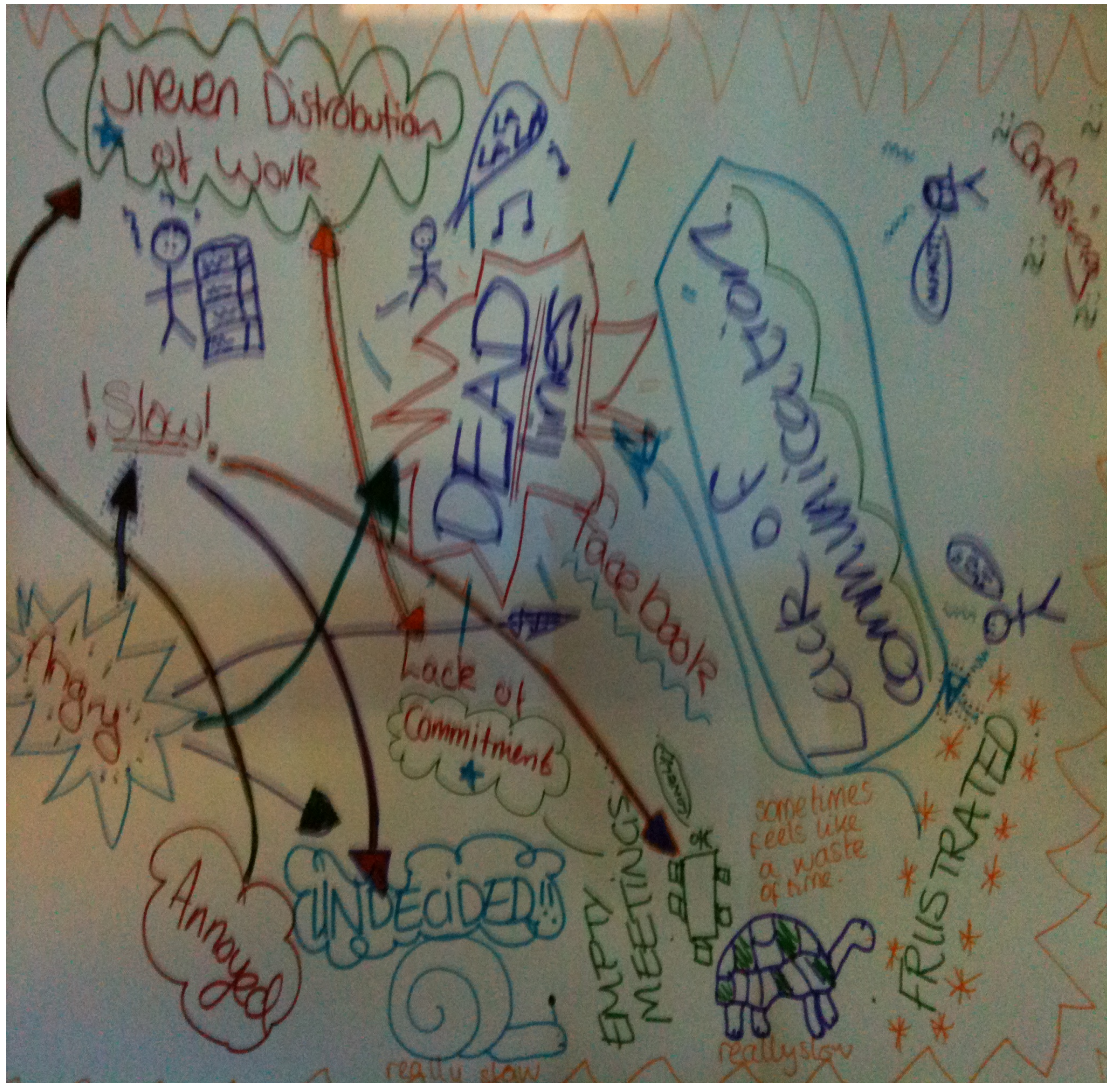
Peter Checkland developed the rich picture method as part of his soft systems methodology. Rich picture involves drawing diagrams, symbols, cartoons and/or words to explore, illustrate and depict a complex situation (Checkland 1981). Rich picture is often used in research to enable the identification of fuzzy management problems or ill-defined social problems (see Checkland 1981), often through discussions of elements of structure, process and context.

The rich picture method was used in YoungArts to enable participants to express what they perceived as a problematic situation in their current context. Rich picture is particularly effective in stimulating reflections about shared thoughts, ideas and feelings through discussions and representations in drawings, and/or texts. It thus allows for both verbal and non-verbal communication (i.e. drawings and words). The process of doing a rich picture allows for a depiction of people, places, processes and relations, among other things. It also helps the participants to focus on key issues that they might want to address. This might in turn lead to a process where participants engage in defining the problem and developing strategies to solve the problem.

The idea of using the rich picture method in YoungArts emerged from my observations of restrained interactions (for example, some participants would avoid looking at each other, or would be quieter than usual) in the meetings. I felt that there were tensions amongst the participants that were affecting the development of YoungArts. The sources or reasons for these tensions were unclear. Though many of the participants seemed to feel the tension, they did not take the initiative to discuss or address their concerns openly with the other participants. In the spirit of a collaborative inquiry, I considered that the rich picture method might enable the participants, especially the staff, to identify and share what they wanted to change and why. In doing so, they could also move forward with shaping YoungArts.

I conducted a first workshop with the YoungArts staff, in December 2009, to encourage them to express their concerns through the medium of rich

picture. Based on their rich pictures, the staff tried to conceptualise the problem situation and to determine actions to solve this. The problem that the staff depicted in the rich picture was the lack of communication within the project, among staff, among the three core groups of young people and between staff and young people. Staff working on YoungArts was also concerned about the young people's commitment in the project. Following this workshop, the staff suggested that I conduct a rich picture workshop with the young people to identify why the latter did not participate fully in the project and to enable the young people to express any issues that they might have relating to YoungArts. Following their suggestion, I conducted a rich picture session with the young people. One of the rich pictures done by the young people is shown below:



The rich picture by the young people demonstrates that the concerns that they expressed were similar to those of the staff, that is, lack of communication, commitment, etc. The agitation of the young people at that point in time was reflected in the rich picture through words like ‘annoyed’ and ‘angry’. As a consequence of the rich picture, three young people took the initiative to try to improve the inter-group communication among the three core groups of young people. Also, a few weeks later the YoungArts project management team started to prepare and circulate a newsletter to all

the participants of the project about key events and the overall progress of the project in order to ensure proper communication in the project.

Normally, I would try not to directly influence the structure of the discussion in meetings of YoungArts. But in the rich picture workshops, I structured the discussions. I first introduced the basic idea of rich picture, that is, a way to express a problematic situation freely; no need to structure ideas; to depict views and thoughts visually on a flipchart paper in the form of words, drawings, cartoons, etc. Then I asked them to discuss in small groups – for example in the rich picture workshop with the young people there were ten participants so I asked them to discuss in two groups of three young people and one group of four young people. I was careful in ensuring that none of the participants (young people, or adults) would dominate the discussions like in some of the meetings organised by the project management team of YoungArts.<sup>38</sup> To do so, I went around the different groups to encourage every participant to share their views and where I deemed it necessary I probed for responses from some participants.

The rich picture workshops were carried out not only to provide the participants with a space to address concerns that they might share, yet perhaps felt unable to express openly, but also to ensure that all the individuals involved in the process were *aware* of the problematic situation. As a facilitator in the rich picture discussions, my role was not to raise the

---

<sup>38</sup> There were two members of the YoungArts senior management team who acted as observers and engaged (to some extent) in the rich picture workshop.

awareness of the participants myself but to create an environment where critical insights could emerge amongst the participants through action.

### ***3.5 Challenges in developing my methodological approach***

#### *3.5.1 KTP and action research*

A critical aspect of many action research approaches is the involvement of participants of research (practitioners, or so-called subjects of research) as *co-inquirers* (Reason and Bradbury 2008). With the KTP between ArtsCentre and the University, there was some basic understanding that it was a collaboration, which would foster knowledge and understanding of practical, conceptual and methodological concerns. However, I would argue that in practice, there was little sense of responsibility or interest in a collaborative inquiry or in co-generative learning from the organisation. In part because of the formal KTP structure, ArtsCentre/ YoungArts was more interested in the delivery of the KTP outcomes *by* the Associate *for* them. This posed a challenge not only for the KTP between YoungArts and the University but potentially for many KTPs, which might seek to be more flexible and research-oriented.

Typically, the structure of KTPs put emphasis on the Associate (under the guidance of a Lead Academic and Knowledge Base Supervisor) transferring knowledge to the company/organisation; little (or no) explicit concern is placed on *co-generative* learning. In a way, the company

partner/organisation (in this case ArtsCentre) relies on the Associate (and the Knowledge Base Partner, i.e. the academic institution) to deliver the outcomes of the partnership. There are thus some difficulties in adopting an approach to inquiry (and integrating aspects of action research) within the framework of a KTP.

A key aim of the research in the KTP was for ArtsCentre to develop a critical appreciation of the development of the young people's aspirations in YoungArts through the collaboration of academics and practitioners involved. However, the fundamental concerns of many staff members in YoungArts appeared to be principally about the organisational and operational aspects of the project. The project management team was particularly concerned with delivering the predetermined outcomes that were set in obtaining the funding for YoungArts (and the festival) rather than exploring opportunities for (and understanding) the development of the young people's aspirations through the socio-cultural project. Therefore, in that regard, it was difficult to work with ArtsCenter or YoungArts staff as genuine co-inquirers in the KTP.

Generally (not only in KTPs), academics and non-academics (including practitioners and other researchers) might collaborate in a project but they might not seamlessly act as 'co-inquirers'. One possible reason is that the freedom and primary responsibilities of an academic researcher and a non-academic researcher might potentially be different (as I demonstrate in the case of the KTP between the University and ArtsCentre). This raises



significant issues, which are discussed in Chapter 7 on the capabilities of academics.

### *3.5.2 Dewey and action research*

#### *Pursuing (the spirit) of the truth matters*

Drawing on the pragmatist philosophy of Richard Rorty, Reason (2003) argues that principles should not be put above practice in action research. This poses a problem for an approach, which draws on Dewey's *Logic: The Theory of Inquiry*. There are key aspects of Deweyan inquiry (as discussed in Chapter 1) that I have used in some sense as principles in developing my methodological approach.

I have highlighted the temporal perspective of truth that Dewey adopts in Chapter 1. Reason (2003) suggests that action researchers have a concern for bringing truth and social justice together. However, there is a sense that in action research approaches practicality takes priority over truth. In their description of action research, Reason and Bradbury (2008) makes no mention of truth. The emphasis is on 'developing practical knowing in the pursuit of worthwhile human purposes' (4). The approach that action researchers adopt might be valid for their purposes.

However, I place more emphasis on truth or rather the spirit of the 'truth' than action researchers. Practicality matters but so does pursuing the spirit of truth (perhaps more so) for someone based in a university and who has reasons to value certain beings and doings in conducting academic research

(refer to Chapter 7). Truth or rather warranted assertibility is a critical part of Deweyan inquiry and 'truth' is determined in terms of what is verifiable. Conclusions drawn from a particular inquiry are subject to further confirmation, revision or rejection through judgment that is rooted on verifiable and sufficient evidence.

### *The question of validity*

Another main issue is the different understanding of validity by action researchers and by Dewey.

In the social sciences, validity is commonly referred to as 'a concern with the integrity of the conclusions that are generated from a piece of research' (Bryman 2004: 545). Flick (2009) summarises the issue of validity as 'whether the researchers see what they think they see' (387). In this section I will contrast those views of validity with those expressed by action researchers and Dewey.

On the validity of research, some proponents of action research hold the view that:

Validity, credibility and reliability in action research are measured by the *willingness* of local stakeholders to act on the results of the action research, thereby risking their welfare on the "validity" of their ideas and the degree to which the outcomes meet their expectations.

(Greenwood and Levin 2005:96; emphasis added)

I question whether the validity of academic research (even when the inquiry is contextual) is dependent on the willingness of stakeholders to act. Consider Dewey (1938: 13) on the validity of principles in inquiry:

Validity of the principles is determined by the coherency of the consequences produced by the habits they articulate.<sup>39</sup> If the habit in question is such as generally produces conclusions that are sustained and developed in further inquiry, then it is valid even if in the occasional case it yields a conclusion that turns out invalid.

I argue that Greenwood and Levin (2005) refer to validity in terms of the outcomes of research and that Dewey (1938) discusses validity with regards to the conduct of inquiry (and its guiding principles). Dewey's analysis can be extended to the validity of outcomes being determined not only by the 'coherency of the consequences' in a particular case but also by its relevance to further inquiry. Thus, practitioners in a particular context might consider the outcomes of a research to be invalid (for their purposes), for instance because they do not consider the conclusions of the inquiry as feasible or desirable for their problematic situation. But the academic researcher(s) or other actors might consider the outcomes of the inquiry as valid, not least because of its contribution to further inquiries.

---

<sup>39</sup> Referring to Peirce, Dewey (1938: 12) argues that 'every inferential conclusion that is drawn involves a habit'. Habit here refers to the 'ways of action' that develop organically but whose operations we are not necessarily conscious of in a particular situation. We can be conscious of particular acts or consequences but not how they were reached. An 'inquiry into *inquiry*', that is how we achieved something or reached certain conclusions, can make us aware of these underlying habits over time.

Kaplan (1964:199) writes:

In general [. . .] validity involves both definitional and predictive considerations, particularly when the measurement is of magnitude which is conceptualized not only in descriptive generalizations but in some theory as well.

Building on Dewey (1938) and Kaplan (1964), I suggest that validity is fundamentally determined by whether the measures, means and propositions that are formulated and used in the inquiry are strong and effective. In other words, the validity of an academic research depends on whether the researcher is able to accomplish what she set out to do with the measures, means and propositions and was also able to make empirical and theoretical connections (not only in particular cases but also in other research processes and contexts) in a rigorous manner. The validity of the research is established by how the inquiry was conducted, how conclusions were reached and the degree to which the conclusions (including those related to measures, means and propositions) of the inquiry enabled the researcher (and/or practitioner) to assess problematic contexts.

Hence, for the research in this thesis, I adopt the view that the validity of the academic inquiry is less determined by the *willingness* of stakeholders and more by the researcher's capability to conduct the research in such ways that rigorously pursue the spirit of the truth. Because in doing so, she can succeed in remaining true to the conduct of inquiry (refer to the earlier discussion in Chapter 1) and formulate strong and effective measures for a

particular context but for further inquiry as well. However, as Dewey pointed out pattern of action in one context may not be appropriate for another context.

As mentioned earlier, there are many action research approaches that draw on Dewey's work. Action research is often conducted based on so-called Deweyan *democratic* values (Levin and Greenwood 2001b). Drawing from Sugden (2013), the values of Deweyan deliberative democracy might be problematic for my inquiry because those values include the desire to reach a consensus. Indeed, the action research approach proposed by Greenwood and Levin (2007) involves practitioners and researchers reaching consensus about the problem definition through a dialogical process (Aranguren *et al.* 2013). This implies that a researcher from a university (i.e. an academic researcher) who adopts Deweyan deliberative democratic values for her inquiry desires to seek consensus with co-inquirers. I critically appreciated the value of a dialogical process with the participants in YoungArts in defining a problem but reaching consensus would have been problematic. While seeking consensus might be desirable, I suggest that in some cases it might not be reasonable for an academic researcher to do so. As I argue in Chapter 7, the desire or need to reach consensus might sometimes threaten basic academic needs. Thus care is required when academic researchers conduct an inquiry along the lines of action research.

### ***3.6 Concluding Remarks***

I kept a flexible and open approach to inquiry, which offered ‘scope for interpretation and methodological variations’ (Haunschild and Eikhof 2009: 109). Initially, I shaped the methodological approach for the Knowledge Transfer Partnership (KTP) based on a general appreciation of mainstream action research. Action research approaches and their orientation to inquiry were insightful in terms of shaping how I engaged with the participants in YoungArts and developed the inquiry in real-time.

In retrospect the inquiry had two distinct angles. There was one angle where, as a researcher, I encouraged participants to reflect critically on their aspirations and their engagement in YoungArts. I fostered spaces in the group discussions where the participants were encouraged to develop their understanding and shared meanings, and to generate new possibilities for action. My role as a researcher in this respect was that of a facilitator and in many ways a co-learner (who would participate in many of the deliberations). There was another angle to the inquiry where I withdrew myself from the process and tried to make sense of the interactions in YoungArts in order to analyse the observations/findings for the conceptual discussion that I present in Chapter 6. Both these angles were intrinsically linked and helped me to develop the methodological approach, the methods of inquiry and new conceptual arguments.

Employing aspects of both action research and case studies enabled me to use multiple methods and data sources in the inquiry in order to understand the context of YoungArts better and determine the problematic situation. In conducting the academic inquiry in real-time, I was able to include the critical reflections of the participants in the iterative analytical process and provide YoungArts with instantaneous feedback on critical issues of participation, communication and evaluation, among others. However, during the conduct of the inquiry I became critically aware that the general approach needed to be reviewed, not least because some of the key participants might not value the opportunity to engage in the research, especially as co-inquirers. For instance, most of the staff members in YoungArts were reluctant to engage in a process of co-generating learning and knowledge through the interplay of theory and practice (a key feature of action research). In that respect, trailing research helped me to fine-tune my methodological approach and avoid some of the difficulties that mainstream action research might pose (as discussed earlier) for the case of YoungArts.

One of the key things that I point out about action research approaches is the different position of participatory action research and trailing research on the determination of the validity of an inquiry and its outcomes. In contrast to the perspective of many participatory action researchers, I adopt the view that the validity of an *academic* research is not dependent on the willingness of practitioners and other people to act on the outcomes of the inquiry. I consider that the validity of an academic inquiry is primarily determined by whether the measures, means and propositions that are formulated and used in the inquiry are developed rigorously and in line with

pursuing the spirit of the truth. I suggest that even though an inquiry might not enable practitioners in a particular context to act on the outcomes, it is nonetheless valid if it has import for theoretical development and for further inquiry in other contexts.

Furthermore, I reason that sense and sensibility guided my reflections in the process of the inquiry and helped make inferences that in turn required further investigation. For example, at some point in YoungArts, I sensed ‘tension’ in meetings amongst the participants. I considered that poor and/or lack of communication amongst the participants (amongst the three core groups of young people, amongst staff and amongst young people and staff) might be a possible cause for the tension. The inference made about communication was necessary but it was not a complete or final conclusion. I had to further investigate (through observations and the use of the rich picture technique, in this case) the underlying reasons for the tension and the consequences that those issues might have. I elaborate slightly on the aspect of tension in YoungArts in the discussion of the use of rich picture. In relation to my earlier point (in Chapter 1) about not confounding ‘making sense’ with assertions and in line with Dewey (1938), I argue that inferences are intermediate and do not provide final conclusions; rather inferences *suggest* something and that something both informs and requires further investigation (as I describe above in the case of YoungArts).

The combination of action research and case study enabled the gathering of rich data at various levels (individual and project), with various methods and from various perspectives (YoungArts management, young people, key



partners, academic researcher). This enabled triangulation of data sources consisting of secondary documentation, field notes and transcripts of interviews, and of methods such as observations, interviews, focus groups and rich picture.<sup>40</sup> The methodological approach also enhanced the process for analysing and interpreting data in an iterative process. For example, the experience I had in the context of YoungArts, interacting with participants, developing the research approach and methods provided a ‘unique’ understanding of the data and also of the context in which data were gathered. Chapter 5 discusses the process for analysing data in the thesis, triangulation of data sources and research methods and ethical considerations.

---

<sup>40</sup> Here, secondary documentation refers to documents that I did not produce and that ‘have not been produced specifically for the purpose of the [. . .] research’ (Bryman 2012: 370), in contrast to fieldnotes that I wrote based on my observations.

## **CHAPTER 4**

### **THE METHODOLOGICAL APPROACH FOR THE INTERNATIONALISATION PROJECT**

This chapter covers a number of issues that pertain to the methodological approach for the Internationalisation Project, a short-term project, in the context of a University in the UK (referred to as University X). For the Internationalisation Project, a similar principle to that used in the previous case study was adopted, that is, not to fix a predetermined framework. While the methodology was chosen at the outset, it was not fixed, in the sense that the extent to which it would actually be used and explored, in practice, was flexible and dependent on the engagement of the participants.

In view of enabling research participants to express and explore their perspectives through different mediums and potentially engage in some sort of play, aspects of visual research were integrated in the inquiry – more specifically photo-production/picturing and photo elicitation. Indeed, notions of play that I was working on for Chapter 8 of this thesis informed how the Internationalisation project and related activities were planned. In that sense, play is tied methodologically to the research on internationalisation at University X. The main reason for integrating aspects of play was that they might provide real opportunities to participants to express themselves freely and creatively.

The methodological approach adopted for the Internationalisation Project, which draws on visual research, is also intrinsically linked to my critical appreciation of action research. It is not uncommon to combine elements of visual and action research approaches; many researchers integrate elements of action research in their visual research projects or vice-versa to critically engage participants, who might otherwise be regarded as subjects of research in the inquiry (see for example Carlson *et al.* 2006; Berglund and Wigren-Kristoferson 2012; Hodgetts *et al.* 2011).

Following a similar structure to Chapter 3, I first describe the empirical context of the project in Section 4.1 and then discuss the methodological approach in Section 4.2. Section 4.3 discusses the influence of play in this project. I conclude this chapter by highlighting its contribution in Section 4.4.

#### ***4.1 Empirical context of the Internationalisation***

##### ***Project***

This section describes the context of the Internationalisation Project. The project was set-up by two other researchers and I (henceforth all three will be referred to as the research team). As part of the project, a pilot workshop (referred as the Workshop) was conducted to gather empirical information. The Workshop was framed around the idea of shaping a shared perspective on internationalisation in University X and took place in March 2012.

The Workshop consisted of a group of participants (students, support and academic staff) most directly affected by the phenomenon.

To ensure participation from the students, the workshop was embedded in a Masters module core to two MSc programmes in University X. Support staff participating in the Workshop were part of the administration team for those Masters. Most of the participants were thus acquainted with each other from before the Workshop. For ethical concerns (refer to Chapter 5), an external facilitator was appointed to deliver the Workshop.

In view of my previous experience in YoungArts, where there was a lack of understanding of particular academic judgments from some of YoungArts/ArtsCentre staff (especially regarding the conduct of inquiry in line with pursuing the spirit of the truth), we (the research team) had a thorough discussion with the external facilitator regarding the Internationalisation Project. The discussion covered issues about the purposes and methods of the inquiry, and how the facilitator would contribute to the Workshop, including a consideration of how she would structure and facilitate the Workshop in line with the purpose of the *academic* research, and of the methods that the research team planned to use, such as photo-elicitation and deliberation. Documents prepared by the research team on the main concerns, methodologies and methods of the inquiry were provided to the external facilitator in order to facilitate her planning for the Workshop.

Therefore, before the first meeting with the participants, the facilitator was already briefed about: the aims of the Workshop, the participants involved and the questions and methods that the researchers were interested in using. Building on the briefing and research documents, the external facilitator prepared a written outline for the conduct of the Workshop. The outline was sent to the research team a few days before the Workshop for feedback and preparation.

Excluding the researchers and the external facilitator, there were fifteen other participants in the Workshop, namely one lecturer, one PhD student, eleven Masters students and two support staff. The participants, including the researchers, were from various parts of the world, namely: Africa, Asia, Europe, North America and South America.

The participants had slightly less than two weeks to generate the photographs (between the first meeting which took place on 22 February 2012 and the Workshop which took place on 10 March 2012). They were asked to produce the photographs in their own free time over that period. The visual images were then submitted in digital format to the research team four days before the workshop. The team brought printed copies of the photographs to display on boards and to discuss in the Workshop.

The Workshop lasted for about six hours (including lunch and coffee breaks) and was structured in three key parts, namely: introductions (and set up of the Workshop), photo-elicitation and deliberation in small groups and finally the deliberation amongst all the small groups. To gain further

insights about the context of this particular research project, I provide details of the Workshop in Appendix II, which I drew based on the audio recordings of the Workshop and the facilitator's written outline.

The table in Appendix II refers to the 'games' and activities that the participants were engaged in during the Workshop. The 'games' helped to set the tone for the Workshop, and to enable the participants to freely interact and focus on issues about internationalisation; and to respect diverse perspectives. Through the four games ('Where in the world have you been?', equidistance circle, handstretch and ball game), the external facilitator tried to relax the participants and arouse their sense and sensibilities about the diversity of Workshop participants (including mindsets, experiences, etc.). During or after each game, there were brief discussions about what the participants could learn from the activity/interaction/rules.

For example, the 'where in the world' 'game' was a simple and effective way for the participants to see and appreciate where people were born, where they had traveled to and lived, and various cultures they might have experienced. Some participants had lived in at least three different countries from the time they were born to the time they joined University X, whereas others had lived in only one country. Through the game, the participants got the opportunity to share views about why they moved to different parts of the world, how some of them felt about moving and living in different countries, and how others felt about living in only one place etc.

The activity enabled the participants to visualise the diversity of the group and to be conscious of the group's rich mix of experiences. The facilitator probed some views through questions like: 'in terms of thinking about the places you have been till date, how many people think about those cultures they have been in and how the cultures shape them (the participants) and their thinking'. The 'unique situation' that the participants might sometimes find themselves in a university context was also highlighted. For example, the participants could listen to diverse voices and expectations from around the world given the 'international' environment they were in at the university. The Workshop was a good opportunity for the participants to explore where/how their perspectives may have been shaped given the many parts of the world, cultures, etc. that many of them have experienced.

As mentioned earlier, the games and activities in the Workshop were in line with the spirit of my discussion on the qualities of play, which I present in Chapter 8. The activities such as photo-elicitation and deliberation refer to the methods used for the research. Those research methods are discussed in due course.

## ***4.2 Visual methodology***

### *4.2.1 A brief introduction to visual research*

Visual research refers to the integration and use of images — photographs, paintings, film, drawings etc. (Banks 2008) in conducting research. For many decades, anthropological and social studies have been using visual

methodologies. In such studies, visual images form an integral part of the research process and are used for various purposes. Visual research involves the creation of images or the analysis of images or both (Banks 2001).

Further consider the following:

The analytical focus of a visual research project may be quite varied. Whereas we may primarily think of a detailed analysis of the visual product, it may also involve the processes of making (production) these visual artifacts or entail uses (consumption, reception) the visual representations are being put to; and the focal point of interest may even lie on the verbal reactions to visuals (verbal feedback).

(Pauwels 2010: 556)

Visual images have the potential to provide rich data since they ‘evoke deeper elements of human consciousness tha[n] do words’ (Harper 2002: 13), perhaps even when the images are not representative of the participants’ own situation or experiences. An important point to note is that the meaning of images might vary over time and across perspective. The meaning attributed by the “image-maker” may vary from the interpretation of the viewer. Thus, care is required when including visual methods in research.

For the Internationalisation Project, visual methodology was considered in association with participatory action research (which has been introduced in Chapter 3). The next sub-section highlights common characteristics of both approaches and why they were used in shaping the methodology for this



research.

#### *4.2.2 Visual research and participatory action research*

Visual research is recognised for its potential to be transformative — to stimulate people to act (Mitchell 2011). This can be linked to action research which fundamentally seeks to ‘develop a consciousness with the *potentiality to transform*’ (Reason and Bradbury 2008: 1) amongst people. This aspect of transformative potential in both visual research and action research (especially participatory action research) is significantly influenced by the work of the educator Paolo Freire on pedagogy and conscientisation of the oppressed (for action research see Guhathakurta 2008; Rahman 2008 and other references in Reason and Bradbury 2008; for visual research see Carlson *et al.* 2006; Hodgetts *et al.* 2011 and references therein).

A common methodology used in participatory action research and visual research approaches is photovoice. Photovoice is considered as a way of enabling people to voice how they make sense of their lives and the associated opportunities and challenges (Hodgetts *et al.* 2011).

Consider the following by Carlson *et al.* (2006: 838) on the influence of Freire’s work on photovoice research:

Freire (1970/2000, 1973/2002) used an explicit process to move individuals from one level of critical consciousness to a higher level. On entering a new community, he would take time for informal conversation with the inhabitants. He would listen specifically for emotionally charged

connections to people's daily lives. These emotionally charged themes would be translated into drawings, which he would use to stimulate collective introspection and discussion . . . The goal was to engage the people to participate in their own learning, a combination of action and reflection that he called praxis.

This type of approach, which explicitly combines 'voice' and the 'visual', tends to stimulate 'active dialogue and listening' and create space for critical reflection amongst participants that might in turn provide a 'basis for developing action strategies' (Hodgetts et al.2011: 301).

In an account of the liberatory and transformational potential of participatory action research, Lykes and Mallona (2008) write the following on transformation and conscientisation:

[. . .] transformation is conceived of as a process of individual and/or collective change made through conscientisation and praxis (109).

Conscientisation is 'a process of critical self-inquiry and self-learning and of thereby developing the confidence and capability to find answers to questions on one's own' (quoting Rahman 2004: 18) (110).

Freire's perspective is useful with regards to using visual images to encourage 'collective introspection' and discussion. The methodological approach in the Internationalisation Project sought to encourage the participants to critically reflect on how they relate to internationalisation in University X. The difference between the approach in the

Internationalisation Project and that mentioned in the above quotes is that the participants themselves (and not the researchers) depicted the connections of internationalisation to their beings and doings through the photographs. Moreover, building on Dewey, I consider that reflection is a form of action and that there is no duality between mind and matter, action and thought, etc.

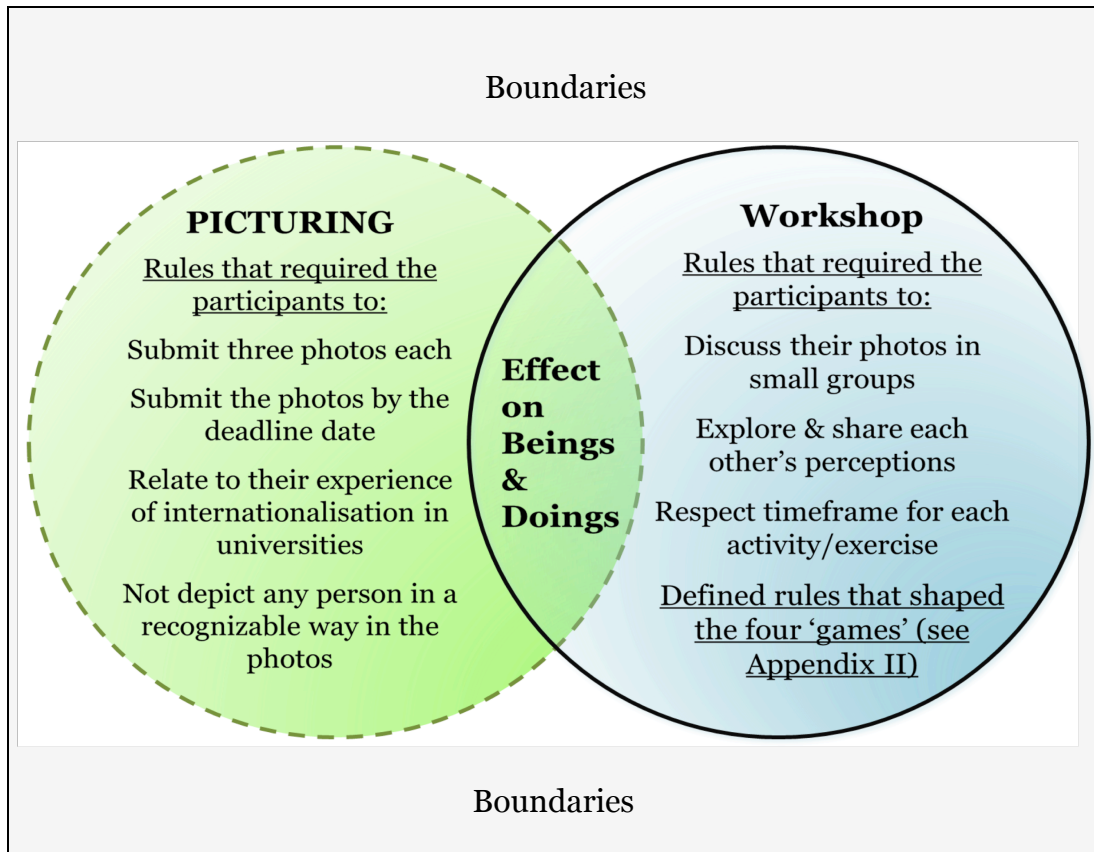
The aspects of transformation and conscientisation relate to how the approach to inquiry sought to arouse the sense and sensibility of the participants in shaping internationalisation in University X. These aspects were considered important in enabling the participants to imagine, think and reason about internationalisation in the university and its (potential and actual) effect on their beings and doings. In doing so, the participants might have been able to develop their central capabilities such as sense, imagination, thought and reason, play, etc. Those are some of the central capabilities (refer to Chapter 2 for a definition of central capabilities, and Chapter 8 for the connection between play and central capabilities) that Nussbaum (2011) considers essential for people to lead a flourishing life. Being able to use and cultivate those capabilities in connection to experiencing and producing ‘works and events of one’s own choice’ is crucial for a dignified and good life (Nussbaum 2011).

### ***4.3 Linking play to the methodological approach***

I now turn to the link between play and the methodological approach for the Internationalisation Project. Based on my exploration of play qualities (refer to Chapter 8), I considered whether play could inform the shaping of a methodological approach and related methods. In the Internationalisation Project, I began to investigate this possibility, to some extent.

As I mention in Chapter 8, in order to stimulate or determine the exercise of play (in an activity, action, interaction, etc.), it is necessary to define its boundaries, rules and some of its qualities. Accordingly, consider an illustration of the rules, boundaries and potential qualities of play in this inquiry on internationalisation, in Figure 4.3.

INTER-PLAY OF MENTAL AND PHYSICAL ELEMENTS



Qualities: rules, focus, absorbed interest, freedom (to voice and share perspectives), order & disorder, divergent thinking, etc.

Figure 4.3: Play in the context of the Internationalisation Project

The activities/games (discussed earlier) did not necessarily provide elaborate insights on the diverse experiences of the participants but they

demonstrated the crucial process of working within rules and boundaries in order to achieve qualities of focus, order and collaboration.

I suggest that as a play situation, the making of the photograph (referred to as picturing in visual research) might be confined to a specific space and time (i.e. a frame). This confinement to the boundaries of space and time provide a focus. As a consequence, other qualities of play might manifest themselves. For example, in making a photo the participants might experience a state of flow in which they are not conscious of their 'selves'. Rather, their energies are directed towards exploring the matter at hand. This is not to say that the self is not connected with the embodied experience of making a photograph. The point is that the self does not *interfere* with the process.

The participants were encouraged to manifest open-mindedness, original and divergent thinking (thinking in terms of what-if or as-if; see Chapter 8) through the interactions in some of the activities/games (in the Workshop) and in the picturing process (which occurred before the Workshop). In the chapter on play, I suggest that an open mind nurtures 'alert curiosity' and spontaneous outreach. The research team considered that those qualities of play would be particularly important for the participants of the Workshop, as they would enable them to listen to each other's perspective and to challenge their own perspective. In turn, the interactions would stimulate reflections about their valuable beings and doings.

Thus, for the purpose of this thesis, I suggest that play qualities could be stimulated in the interactions with other participants (and ‘things’ experienced) in the process of picturing, photo-elicitation and deliberation. These might transform the curiosity of the participants into an active interest to explore for themselves the answers to questions they might have. In the very least, the deliberation in the Workshop might arouse the sense and sensibility of the participants about the possibilities and challenges of internationalisation in the University.

It is important to note that the participants were provided with the stimuli to play but they were not forced to engage in play. Thus while the decision to take part in the Workshop was not necessarily based on voluntariness (I explain why in the next sub-section), the choice to engage in play during the activities/games such as picturing process, photo-elicitation and deliberation was theirs to make. For example, they had the choice to simply click a photo or to engage with the process in a meaningful way. In that sense there were no problematic aspects of play (which I mentioned in Chapter 5) that were imposed on the players such as manipulation.

Based on feedback from the participants, the photo-elicitation and deliberation sessions helped them to convey and exchange their perspectives in a free and open environment. However, since the picturing process was not conducted in front of the research team, there is no evidence to demonstrate whether the participants experienced a state of flow (as discussed in chapter 8) in the process of making the photographs. This is one aspect that I would like to explore further in subsequent inquiries in

order to observe whether or how the people engage in play and experience a state of flow in real-time.

Furthermore, I would like to investigate whether the participants might explicitly connect their critical thoughts about internationalisation to what they might have reasons to value being and doing in a university context and beyond that also.

#### ***4.4 Research Methods***

Most visual studies scholars use a combination of research methods and techniques to conduct empirical inquiries. For example, interviewing, conversations, etc. are often used in conjunction with visual images. A particular visual method that integrates aspects of interviewing in the use and analysis of images is photo-elicitation, which I explain below.

The following subsections discuss the combination of various methods used in the Internationalisation Project, including visual and non-visual research methods.

##### *4.4.1 Picturing*

Picturing involves the engagement of the participants in ‘making’ or ‘creating’ photographs in contrast to simply ‘taking’ or ‘clicking’ photographs without a rigorous thinking process. The photographs that emerge from a



picturing process generally offer insights into the practices/frames through which the participants construct their beings and doings within specific locales, and link those to broader societal contexts (Hodgetts *et al.* 2011). I propose that such a process might stimulate qualities of play, as discussed in Chapter 8.

In the Internationalisation Project, participants were asked to generate their own photographs, which were then used in the Workshop for photo-elicitation and further deliberation (explained in due course). Thus picturing, that is the making of photographs (Hodgetts *et al.* 2011), relates to the participants generating photos for this inquiry (Reavey 2011) based on their thoughts about and experiences of internationalisation, especially in the context of University X. The use of photographs in the Workshop helped evoke potential connections of the participants to their experiences in the university.

In the first meeting of the research team with the Workshop participants, we were explicit that the photographs had to be created by the participants themselves bearing in mind what they thought and felt about internationalisation in a university context. While we have no reasons to believe that they did not meet this request, we cannot discard the possibility that some participants might simply have used photographs that they (or other people) made for other purposes in the past. As with other methods of gathering data, there is always the risk that participants might not follow the guidelines of the research or be fully honest. Ultimately it comes down to a matter of trust between the researchers and the participants.

The research team requested the participants not to take photographs that allow any human subjects to be identified for two reasons. The primary reason was for ethical consideration (refer to Chapter 5). Another reason was because the research team sought to encourage the participants to use their imagination in conceiving what they have reasons to convey through the photographs; and avoid the risk of participants reverting to the easy option of simply clicking photographs of people of different nationalities at the University. Though it might have been difficult for the participants to come up with photographs that depict issues or experiences related to internationalisation, it was crucial that they took the time to think about what they would like to convey and how, through the photographs. People tend to work at a more 'symbolic' or 'abstract' level by taking photographs of objects or part of a person's body; and visual research projects do not always include human subjects in the visual data (Mitchell 2011).

#### *4.4.2 Photo elicitation*

Photo elicitation is based on the idea of integrating a photograph into a research interview (Harper 2002) and has been used in various research projects especially to investigate anthropological topics such as ethnic identity, social class, organisation of communities, people's experience of place etc. (Lapenta 2011). Though photo-elicitation remains fairly marginal in mainstream research, it is expanding to disciplines such as sociology, psychology and education.

John Collier (1957) introduced the idea of photo elicitation in a published

paper on 'Photography in Anthropology: a Report on Two Experiments' (Harper 2002; Lapenta 2011). The experiments explored the qualities of 'photo-interviewing' (including the practical and theoretical aspects) under 'field circumstances' in the context of a project investigating the relation of environment to mental health in the Maritimes of Canada (Collier 1957). For the research, Collier and his colleagues conducted two different methods of interviewing, one with photo elicitation and the other more controlled and with no photographic images included (Harper 2002). With regards to the interviews, Collier noted the following:

The characteristics of the two methods of interviewing can be simply stated. The material obtained with photographs was precise and at times even encyclopedic; the control interviews were less structured, rambling, and freer in association. Statements in the photo-interviews were in direct response to the graphic probes and different in character as the content of the pictures differed, whereas the character of the control interviews seemed to be governed by the mood of the informants.

(1957: 856)

From the above quote, it can be argued that the process of photo-elicitation might be more analytical, that is, the narrative that emerge from discussing the photo is grounded in making sense of beings, doings, hopes, aspirations, fears etc. and linked to broader social realities (see also Henwood *et al.* 2011). Hence, the researchers have better possibilities of obtaining more precise and detailed accounts from the participants.

Some research projects use existing photographs for photo-elicitation while others create new images (referred as photo-production/picturing) (Harper 2002). The approach of having 'interviewees' or participants taking or selecting images themselves for a specific project is referred as 'reflexive photography' or 'autodriven photo elicitation' (Lapenta 2011). Douglas Harper introduced the notion of reflexive photography in 1988. He proposed that by using this method, participants might have the opportunity to engage in the 'definition of the meaning' and thus the definitions might also 'reflect back' from the participants (Lapenta 2011). Autodriving (a term coined by Heisly and Levy in marketing research) emphasises that the responses of participants are driven by the stimuli provided by the photographs that they have themselves taken and chosen.

I hypothesise that an approach that adopts photo elicitation is more open to developing 'sensitivity to the quality of a situation as a whole' (Dewey 1938). For example, reflexive photography and autodriven photo elicitation allows data and new perspectives to emerge organically and spontaneously from the participants. This avoids the risk of forcing everything (observations and analysis) in a 'predetermined conceptual and theoretical scheme' (*ibid.*).

The approach of autodriving, for example, might help in reducing or eliminating 'researcher bias', which tend be 'embedded in the selection of specific images, subjects, and themes used in [. . .] interviews' (Lapenta 2011: 204). This process allows more scope for the participants to shape their voice, have more influence in interpreting matters that affect them and their environment and communicating their views. In effect, this also

involves action in a Deweyan sense, as discussed in Chapter 1. Interpretation and new ideas might be created through transactions not only in the context of their day-to-day environment but also through their interaction with others in the Workshop. This might lead to further action.

For the purposes of the photo elicitation in the form of small groups, which were organised into three respective groups of five people, the researchers helped facilitate the sessions (when deemed necessary). The researchers were able to probe responses or clarifications about the photographs discussed in each group. The external facilitator had more flexibility to go around the three groups to ensure that all the participants engaged in the discussions. Occasionally the external facilitator engaged with the different groups to stimulate them to discuss other issues, rather than overemphasising particular concerns.

While the research team (refer to Chapter 9 for more details) did not interview the participants per se, we used the principles of photo elicitation in small groups to stimulate reflection and deliberation amongst participants. We also conceived that such a process might enable the participants to have a voice about matters that might affect their actual and potential beings and doings at the university and in their lives more broadly.

In the photo elicitation sessions, the participants were encouraged to elaborate on when, where and why they took the images, thereby giving the researchers an indication of why they made the picture and/or how they related to the images.

#### *4.4.3 Deliberation*

Deliberation allows for ‘a transformative space in which, through democratic dialogue with others different from oneself, we gain ideas which enable our critical reflection on the partiality of our positions, prejudices or ignorance’ (Walker 2004: 137). This is linked to the transformative aspect of both visual and participatory action research methodologies discussed in the above section. Deliberation also allows for pluralistic views to emerge, and ‘supports open communication based on the quality of argument, on the explanation of meanings and experience [...]’ (Sacchetti 2013: 5).

Deliberation (as described by Walker 2004 and Sacchetti 2013), combined with the use of visual methods, had the potential to arouse the sense and sensibilities of participants in integrating a concern with internationalisation into their how they think, and in turn that thinking process might have an effect on their beings and doings in and outside the University. The researchers also took the time to have informal conversations with the participants in the Workshop, in-between and during the activities/exercises to find out more about their thoughts and experience on an individual basis.

Deliberations associated with the photo elicitation were conducted in small groups. The reason for using small groups was to ensure that everyone in the Workshop had the opportunity to use the space and time available — to express themselves, engage fully with each other, and focus on key issues related to internationalisation. For each small group, the photographs that

the participants submitted digitally were printed and used in the photo elicitation. There was a researcher in each of the three small groups to initiate the photo-elicitation process and to stimulate deliberation, when appropriate. The research team prepared a few questions that were printed and distributed to each group to use as an option in the photo elicitation/deliberation (see Appendix III). This is one way that the researchers had some input on topics discussed but it had been up to the participants to deliberate on those questions or not. I intentionally refer to deliberation rather than interviewing, as the research team did not prepare a list of questions to 'interview' or direct the discussion in any way.

In the first deliberation session (refer to Appendix II), the participants were asked to share their thoughts on at least one photograph they produced and also on photographs that the other participants in their group produced. The photographs that the participants took and chose to present in the Workshop partly framed the direction and content of the deliberation. The participants had substantive freedom in choosing the issues they had reasons to explore and discuss in relation to the internationalisation of universities. Integrating visual methods, especially photo-elicitation in the deliberation might have enhanced possibilities for the students, support staff and academic staff to participate in the 'generation and organisation of data' (Reavey 2011: 7). This process in the small groups allowed the participants to be involved in shaping 'what is seen' and to some extent 'how the images are used' (*ibid.*) in the inquiry.

In the second deliberation session, the facilitator asked the groups to note down the shared views among participants, the differences in perspectives and the implications for the work and studies of the participants. Based on those notes, the participants were asked to write words that might help them understand their perspectives on internationalisation.

The deliberations, as well as the photo-elicitation sessions, were recorded using a digital voice recorder. The recordings were then transcribed using the same transcription service used for the YoungArts case. The transcripts included the recordings for 1) the photo elicitation (about three hours and fifty minutes of recordings for all the three groups of participants, that is, about one hour and fifteen minutes more or less for each group) and 2) the shared discussions (about two hours and thirty minutes) amongst the groups highlighting their shared perspectives, points of differences and implications of the perspectives for their studies or work and 3) closing discussion with all participants (about one hour). The recordings for the other activities and brief discussions (such as games/exercises organised by the facilitator and her comments) in the Workshop were also recorded.

#### *4.4.4 Questionnaires*

The research team administered two sets of questionnaires (see Appendix IV) at two different points in time. In all, thirty questionnaires were collected — two questionnaires from each participant, that is one questionnaire administered at the end of the introductory meeting on 22 February 2012 and the other one at the end of the Workshop on 10 March



2012. Using the two sets of questionnaires, I was able to compare and contrast the responses of the participants, thereby allowing the evaluation of whether their perspectives might have been shaped through deliberation. The first set of questionnaires was administered about two weeks before the workshop in the first meeting between the external facilitator, students, support staff and researchers where the aims of the workshop and research methods were briefly explained. The second set of questionnaires was administered at the end of the workshop in order to capture individual perspectives again. The questionnaires were administered to ensure participants could also express their perspectives individually and confidentially.

The participants were given ten to fifteen minutes to complete each questionnaire and return them to the research team. The team specifically asked the participants to complete the questionnaires on the same day that they were administered, not least because the researchers were interested in obtaining their perspectives instantaneously. Capturing their responses on the spot avoided the risk of the participants checking references online or in books; for example looking for definitions of internationalisation. It also ensured that the questionnaires were returned to us in due time. The researchers especially needed the questionnaires administered in the first meeting returned back to them on the same day in order to have an overview of the participants' perspectives on internationalisation before the Workshop. The responses in the questionnaires partly informed how the researchers shaped the questions for the photo elicitation and deliberation, and the second set of questionnaires in the Workshop.

## ***4.5 Concluding Remarks***

Integrating elements of visual and participatory action research methodologies in the Workshop enabled the research team to evaluate whether participants with different responsibilities and roles (with regards to learning, teaching, and delivery of the educational programmes) in University X might find it valuable to deliberate with each other and shape ideas about internationalisation in the university.

Bearing in mind notions of play that I was working on for Chapter 8 of this thesis, the research team conceived the activities in ways that might allow the participants to express themselves freely and creatively. In view of enabling participants to express and explore their perspectives through different mediums and potentially engage in some sort of play, photo-production/picturing and photo elicitation were used.

To avoid any conflict of interests, the research team chose not to engage in making photos. For example, the team deemed it problematic to analyse visual data that we generated ourselves. Moreover, the team wanted to avoid the danger of people feeling either hesitant or obliged to discuss photographs that the researchers created. In the team's view, the focus of the photo-elicitation needs to be on the perspectives of the other participants in the Workshop. Nevertheless, the individual perspectives of the researchers on internationalisation are reflected in the deliberation with the participants. By extension, the perspectives of the researchers are also

included with those of the participants in the analytical discussion. The next chapter discusses both analytical and ethical considerations for the Internationalisation Project and YoungArts as well.

## **CHAPTER 5**

### **ANALYTICAL AND ETHICAL ISSUES**

In this chapter, I address analytical and ethical issues about the research in the contexts of YoungArts and the Internationalisation Project. This chapter is linked to discussions in Chapter 3 and Chapter 4, particularly with respect to the various methods used in collecting data and the multiple sources of data available for analysis, as a consequence of the methodological approaches developed. Section 5.1 covers the analytical process and Section 5.2 highlights the use of triangulation, which enhanced the possibilities for (and depth of) the analysis. Ethical concerns in conducting the research are discussed in Section 5.3.

#### ***5.1 Analytical process***

I worked on the KTP project in YoungArts and subsequently on the Internationalisation Project. Similar principles and techniques were applied in both cases such as content analysis and coding. I did not use a predetermined framework to code and analyse the data, as my aim was not to test or apply a particular framework. The data was manually coded and categorised according to key themes (see examples below) that emerged from the interplay of empirical data with theoretical considerations. Texts were marked with keywords and categories were colour coded (Coffey and Atkinson 1996).

The analytical process underlying the coding of data enables various links to be made among different 'segments' or 'instances' of data. These segments are then grouped to create categories of data that share some characteristics, that is, they refer or relate to a particular concept, idea or theme (*ibid.*). Coffey and Atkinson (1996: 27) also point out:

The important analytic work lies in establishing and thinking about such linkages, not in the mundane processes of coding.

During the analytical process, some codes were dropped, changed or refined (see also, Coffey and Atkinson 1996; Saldaña 2009) as per the development of conceptual notions. This approach led to an analytical process that was organic and iterative.

### *5.1.1 Analysing data for YoungArts*

Given that data was collected over several months in the context of YoungArts, the analysis was especially conducted through an iterative process. For example, as and when I was collecting data through the various methods (such as observations, interviews, document reviews) for the case of YoungArts, I was reviewing the data and making inferences to refine my research questions and develop the inquiry. I listened to interviews repeatedly and read the field notes throughout the inquiry to fine-tune my observations and prepare research questions. Throughout this process, I engaged with literature across various disciplines to help shape my

analytical perspectives and foci. This in turn informed my evaluation of the evolving experience of the participants and the potential effect on the development of their aspirations.

Interviews were transcribed and reviewed together with my fieldnotes to compare observations with what interviewees discussed and reported. Excerpts and indicative quotes from interviews and fieldnotes were extracted and analysed to help formulate further issues to be explored.

In the case of YoungArts the categories of data that I created included aspirations, opportunities, experience and those were related to ideas, concepts or themes such as capacity to aspire and freedom. To shape my analytical perspective and focus, I read a wide range of literature on the various concepts/themes mentioned.

Consider the following:

A general value of wide and eclectic reading is the development of “sensitizing concepts” (Blumer 1954), or general analytic perspectives. We do not have to look to published sources for “the answers” to our analytic questions and problems. We do not use the literature in order to provide ready-made concepts and models. Rather we use ideas in the literature in order to develop perspectives on our own data, drawing out comparisons, analogies, and metaphors.

(Coffey and Atkinson 1996:110)

Coffey and Atkinson (1996) refer to finding answers to analytical questions and problems. As mentioned earlier, the academic research in YoungArts was guided by a set of initial questions but this was used mostly as a starting point. As the inquiry in the context of YoungArts developed, it essentially sought to define what might be problematic in the context. Thus the inquiry in this thesis evolved to primarily 1) define what is problematic and 2) formulate novel conceptual arguments, not necessarily to find answers.

In line with the way I conducted the real-time inquiry in YoungArts (that is, based on a critical appreciation of ‘sensitivity to the quality of a situation’ and inferences), a lot of the thinking behind the analysis was tacit and inductive.

#### *5.1.2 Analysing data for the Internationalisation Project*

For the analysis of data gathered in the Internationalisation Project, I conducted a content analysis of the transcripts (from the Workshop), visual images and questionnaires. Since photo elicitation was used to stimulate discussions, I analysed the transcripts in conjunction with the digital photographs that the participants produced. I double-checked the names in the transcripts with the voices to ensure that the transcriber made no mistakes in identifying the names of the participants. After that, I could identify the photographs that the participants were discussing in the transcripts since the photographs were organised in individual folders with the name of the person who submitted them.

There were thirty questionnaires — two questionnaires from each participant, that is, one questionnaire filled at the end of the introductory meeting and the other one filled at the end of the Workshop. I compared the two questionnaires of each participant to evaluate whether there might have been changes or similarities in their perspectives before and after the Workshop. I analysed the questionnaire responses of each participant together with the transcripts of their recorded views in order to identify whether there might have been any particular aspects of the deliberation that might have influenced their perspectives at the end of the Workshop.

I highlighted key words or ideas that are related to the concerns of the inquiry, namely the participants' notions of internationalisation, critical issues that they associated with internationalisation, and the possibility of shaping perspectives through deliberation. The questionnaires provided general responses about internationalisation of the university whereas the responses in the photo elicitation discussions were more reasoned and were based on personal experiences and views.

I also listened to the recordings of the deliberation and photo-elicitation sessions in the Workshop to substantiate my observations about the conduct of the Workshop and the involvement/interaction of the participants. I then noted down a few key points that I have used especially in analysing possible aspects of play in the Workshop.

The analytical output for YoungArts is integrated in Chapter 6 on the shaping of aspirations, whereas the analytical output for the



Internationalisation Project is included in Chapter 9. For example, in Chapter 6, extracts from interviews will be used to illustrate findings from my analysis and support my discussion of key issues identified during data analysis. Similarly, in Chapter 9, quotes from questionnaire responses and discussions in the Workshop will be used to critically discuss the literature and frame my arguments about internationalisation in a university context.

## ***5.2 Triangulation***

Triangulation is considered as an approach that enhances quality in research by allowing for different perspectives to emerge through the combination of various theoretical frameworks, methodologies, methods or sources of data used (Flick 2009). Though the emphasis on triangulation is often about methods of inquiry, it also refers more broadly to an approach that includes ‘multiple observers, theoretical perspectives, sources of data, and methodologies’ (Denzin 1970: 310 as cited in Bryman 2004: 275).

For the research in the contexts of YoungArts and the Internationalisation Project, I used triangulation primarily for sources of data and methods in order to gather, check, analyse and interpret data (Bryman 2004). To some extent I also drew from various methodologies. For example, as discussed in the respective chapters, I drew from case study and action research in the case of YoungArts and visual research was used in combination with aspects of participatory action research in the Internationalisation Project.

Triangulation of data sources in the case of YoungArts involved secondary documentation, field notes and transcripts of interviews, and triangulation of methods refer to observations, interviews, focus groups and rich picture. For the Internationalisation Project, the data sources involved in triangulation include photographs, questionnaire responses, and transcripts of the deliberations in the Workshop.

Bryman (2001/2012: 274) points out that researchers:

[. . .] check out their observations with interview questions to determine whether they might have misunderstood what they had seen.

In many instances in YoungArts, I had to ensure that that I did not misunderstand what I had observed or that the participants did not misinform me. Therefore triangulating both research methods and sources was particularly effective. I crosschecked what I was observing or hearing with other data sources and through different methods. For example, I supplemented my field notes (based on my observation) with documentary evidence, interviews and focus discussions, where necessary.

Using multiple sources of data (through various methods) in YoungArts was particularly useful. For example, in the case of YoungArts focus groups were used for triangulation in order to situate the behaviours of individuals and what they previously mentioned in individual interviews and informal discussions within a semi-formal group setting (Fontana and Frey 2005). Issues such as conflicts amongst staff, communication problems amongst

young people (and with staff) and frustration of the participants with the development of YoungArts were brought up in some of the focus groups and rich picture exercises. I had noted those issues from my observations in meetings, but I had to check that my interpretations of the situations were correct and accurate. Moreover, the discussions in the focus groups provided perspectives from the participants themselves that helped to understand the problematic situation. The data recorded through the focus group discussions were subsequently used as new sources of data for analysis. Another example is as follows: after reviewing existing documentation on the planning of YoungArts, I probed for more information in interviews with senior management and other members of staff who were involved in conceiving the project to confirm whether the evidence in the documents reflected the views of the employees.

I was aware that not all communication and documents relating to YoungArts were directly shared with me. Throughout the inquiry, I received emails from various staff members. Often the tone used and content in the emails (similarly in interviews or informal discussions) would suggest that ArtsCentre might not be completely forthcoming regarding information about some incidents. Thus triangulating methods and sources of data were useful. To illustrate my point, consider the following observations from my field note:

“I went to ArtsCentre café for a coffee on 20 April 2010 around 6pm and saw YoungArts team (by coincidence) coming out of a meeting. I am normally informed and invited to most team meetings but I was not aware

of this one. What struck me the most is how they seemed to be coming out of the meeting one by one and observing their body language and expressions, it appeared that something ‘critical’ or sensitive was discussed. [. . .] The expressions of the team members when they saw me in the café indicated that they were surprised to see me [. . .] they [appeared to be] tense or had something on their minds. Most of them were careful and did not give away any indication of what had happened. However, the [festival’s technical manager] approached me and asked if I was there for a meeting. To which I replied that I was not. Then I asked whether he had a meeting. To which he replied: “Yes, an important one, I’ll tell you more about it later, not now”.

(Field notes 2010)

A week later I received an email from the festival technical manager regarding the meeting I mentioned above in my field note. The technical manager requested that we meet as he thought it was important to keep me informed about what was discussed at a meeting with the Board. Consider an extract of the email:

“Wanted to [. . .] update you on where the [YoungArts] team are and what has happened in the last week. The meeting that you saw me come out of on Tuesday was a meeting that we [some members of YoungArts management team] had called with the [senior management team] and the board, one that you were not invited to perhaps because of your role as evaluator.<sup>41</sup> Still, I feel that you should know what's going on, and be

---

<sup>41</sup> Even though ArtsCentre employed an evaluation officer for YoungArts after academic colleagues and I made clear that my role in the project is not that of an evaluator, I was contacted here as an evaluator. The technical festival manager had

aware of the action that we are trying to take to achieve progress. [. . .]”

(Document sources 2010)

To cross check the information I was given by the festival technical manager and some other staff of YoungArts, I prepared some discrete questions for the focus groups with staff that would provide the participants with the opportunity to raise their concerns about the project, if they wish to. There were slightly different accounts of events from the different participants, mostly on what was said by others (which is not unusual as individuals do tend to have different interpretations, not least because of their preconceptions). However, the perspectives of the participants were often consistent and complementary in relation to the *content* of what was discussed.

For the Internationalisation Project, picturing was combined with photo-elicitation and deliberation in small groups in order to encourage the participants to share their critical thoughts with each other and also to ensure that the research team do not misinterpret what the participants were trying to convey through the photographs that they created.

The triangulation of data sources and methods helped in avoiding certain problems that might have arose if I relied on one source or research method only. For example, documents are useful but do not necessarily provide

---

joined YoungArts in 2010 and his reference to my role as an ‘evaluator’ indicates how other staff might still have perceived me as such (though I had on many occasions clarified that I was a researcher).

accurate accounts of events (Yin 2009) as key elements are often edited (consciously or not) from reports. Using multiple sources of data helps to check that the data obtained is accurate and valid. For this reason, following reviews of existing documentation on the planning of YoungArts, I probed for more information in interviews with senior management and other members of staff who were involved in conceiving the project to crosscheck the information available in the documents.

Visual methods were combined with deliberation in small groups in order to encourage the participants to share their critical thoughts with each other and also to ensure that the research team does not misinterpret what the participants were trying to convey through the photographs, which they created. The use of picturing, photo-elicitation and further deliberation enabled the research team to actively engage the participants in reflecting about internationalisation and expressing their voice creatively and playfully. With the informed consent of the participants, the photo elicitation and deliberations were recorded on digital voice recorders so that they could be transcribed to facilitate the subsequent analysis of data. The deliberations were transcribed by the same professional transcription service that was used to transcribe the digital voice recordings for YoungArts.

For many of the participants, the meaning of the concept of internationalisation might have seemed dense. Thus the picturing process together with the deliberation was an opportunity for them to express their thoughts about internationalisation in both a potentially abstract form and

concrete one. As Freire suggests, when people ‘perceive reality as dense, impenetrable, and enveloping, it is indispensable to proceed with the investigation by means of abstraction’ (1970/ 1993: 105). The idea was not ‘to reduce the concrete to the abstract’ (borrowing from Freire) or vice-versa but to enable the participants to engage in a process of action that allowed for the interplay of both abstract and concrete thinking about the topic of internationalisation.

### ***5.3 Ethical Considerations***

Codes of ethics are formulated to regulate the relations of researchers to the people and fields they intend to study. Principles of ethics ask that researchers avoid harming participants involved in the process by respecting and taking into account their needs and interests.

(Flick 2009: 36)

There are fundamental ethical implications that need to be addressed in planning and conducting research. As such reflections and sensitivity to research ethical issues such as informed consent, no invasion of privacy and protection of participants from any disadvantages or harm are necessary (Flick 2009). Along those lines, ethical considerations during the course of this thesis were embedded as part of a continuous, dialogic and reflective process with all those concerned for each research project, such as my PhD supervisors, the KTP Committee, and participants in YoungArts and the Internationalisation Project.

Some of the ethical issues that concern both YoungArts and the Internationalisation Project are for example the voluntariness of participation and informed consent. Based on the individual context, there were also some particular ethical considerations for each project. For YoungArts, the main issue was the participation of young people; and for the Internationalisation Project, there were concerns associated with the use of visual methods.

The sub-sections below discuss the ethical review and process for addressing those concerns. Afterwards common ethical issues that cut across both research contexts are addressed followed by specific explanation of ethical considerations for each project.

### *5.3.1 Ethical review and approval*

The Research Ethics Handbook of the Stirling Management School (revised November 2011) was used to guide my application for ethical approval (which was sought for both projects, that is YoungArts and Internationalisation Project). In line with the requirements of the Stirling Management School, due ethical process was followed. Details of the research, including the potential methodologies and methods of inquiry, and participants involved were submitted through reports to the Stirling Management School Ethics Committee Review. For example, in the case of YoungArts, it was highlighted that the research was linked to a KTP and that the participants include young people aged between twelve to seventeen years old. For the Internationalisation Project, issues such as the



embeddedness of the Workshop as part of a Masters course and the involvement of an external facilitator were reported. Both research projects, that is, for YoungArts and the Internationalisation Project underwent ethical review and approval was granted without any concerns raised by the committee.

Throughout the research, I ensured that I carried out the inquiry and my role in compliance with:

- 1) The University Code of Good Practice in Research;
- 2) The Ethics Handbook of the University School, which was especially involved with the KTP (an ethics committee from the same University School reviewed and approved the continuity of my research after I completed the fieldwork);
- 3) The Children's Charter and Promise (drafted by ArtsCentre and which outlined the commitment of the arts organisation to protect the rights of children, inspired by the UN Convention on the Rights of the Child).

The Children's Charter and Promise was used for the particular case of YoungArts with regards to my interaction with the young people for the KTP. Before undertaking the KTP work, a disclosure check (to obtain any criminal history information held by relevant authorities) on the KTP Associate (that is, I as the researcher) was carried out.<sup>42</sup> Information about the empirical inquiry was outlined in the KTP project plan, which was

---

<sup>42</sup> Employers generally check if there is any conviction information to ensure safe recruitment procedures, especially for people working with vulnerable groups such as children.

approved by the University and senior management of ArtsCentre. Furthermore, the KTP Organisation also reviewed and approved the KTP project plan before granting funding. Every three months I submitted and presented reports about the activities I was conducting such as the rich picture workshop, interviews, and focus groups (always preserving the anonymity and confidentiality of the participants) to the KTP Committee. The KTP Committee monitored all aspects of the project, including any ethical issues that could have arose through the duration of the KTP.

### 5.3.2 Informed consent and voluntariness of participants

The fundamental principle of informed consent is that participants/subjects have the right to agree or decline to take part in the research, on the basis of accurate information given to them about the 'nature and purpose' of the inquiry (Homan 1991: 69; Hammersley and Atkinson 2007). This implies participants/subjects voluntarily agreeing to participate without any physical or psychological coercion (Christians 2005).

As Homan (1991: 84) further points out:

[. . .] the ethical principles of the British Sociological Association (1982:2) provide for the explanation of research to facilitators and subjects, so that consent by one party does not remove the obligation to consult the other.

In line with the above, it was ensured that the research participants understood the aims and purpose of the research and that they did not feel

constrained in taking part in the research. Informed consent was sought from the participants for both YoungArts and the Internationalisation Project (refer to Appendix V for the research consent forms) respectively. The participants also had the freedom to opt out of any discussion, for example in the individual or focus group interviews, at any time. Before beginning the interviews, focus or photo-elicitation discussion, I checked whether the participants had any questions and whether I had their consent for the audio recording of the discussions.

Before I began the fieldwork in YoungArts, ArtsCentre was informed of the potential nature, methodology and methods of the research. ArtsCentre was also informed that I was doing a PhD, which was linked to the research conducted in the KTP and the organisation granted access to data, space (that is, physical environment of the arts centre, including meetings, events, etc.) and participants for the academic inquiry. Even though the gatekeeper, that is ArtsCentre, provided consent and access to their organisation (spatial, temporal and informational) and the YoungArts project, I ensured that the participants in YoungArts, staff in ArtsCentre and key partners of the project were informed about the research on a continuing basis.

In the first meetings with staff, young people and key partners in YoungArts, I introduced the KTP, my role in the project (and as an academic researcher), purposes of the research and possible methods of inquiry (participant observation, interviews, focus groups, etc.). Subsequently, whenever there were new participants joining the process of YoungArts, I would reiterate aspects of the research and my role as an academic

researcher in the KTP. Systematically I obtained written consent for participants in individual interviews and focus groups. I checked that the participants had read, understood and signed the research consent forms. For participants under sixteen years old (in YoungArts), I asked for a responsible party to review and sign the form prior to the interviews/focus groups. The research consent forms had information regarding the research purposes, methods and my contact details.<sup>43</sup> Homan (1991) reports that 'there is a notion that minors are among those for whom vicarious consent by a gatekeeper or parent satisfies the professional requirement' (122). I was particularly careful in involving minors in the research although I had access to them through ArtsCentre (the gatekeeper) and I had parental consent as well. I explicitly asked for the minors' approval before beginning any interviews or workshop.

I had a flexible approach to the participation of the young people. For example, an invitation was sent to all the young people for the focus interviews via emails and I reiterated the invitation in person in meetings of YoungArts. In most cases, the interviews were arranged for a day when the young people were coming to ArtsCentre for a YoungArts meeting or activity. In that sense, I tried to coordinate the interviews with the young people with their schedule for YoungArts. The young people were always informed in advance of the interviews and only those who had given their consent took part in interviews. Since the interviews, focus groups and

---

<sup>43</sup> The research consent forms were slightly modified for different groups of participants in accordance to the nature of their involvement in YoungArts. For instance, the consent form for the young people differed slightly from the consent form for staff of ArtsCentre.

workshop were always planned and communicated to the young people in advance, they could actually exercise their choice in whether to turn up or stay for the interview, focus group or workshop. More than the number of young people in the interviews I was concerned about the depth of responses.

For observations, it was more difficult to obtain informed consent. As Homan (1991: 75) mentions:

[. . .] special problems relate to the requirement of consent when the research subject is a collectivity such as a school, hospital, business or small town.

The particular concern that I had with regards to informed consent when conducting observations arose during workshops or meetings of YoungArts (where sometimes there were about twenty to thirty participants) or of the organisation's office environment. Though I gave research consent forms to the young people, many of those who were under sixteen years old would inform me that they had forgotten to give the form to their parents to sign or have misplaced it. In these cases I relied on their verbal consent when it came to my role as a participant observer. To deal with this particular difficulty, I tried to develop a relationship based on trust and honesty with the participants where they could contact me at any time to ask questions or clarifications regarding the research. I also encouraged them to provide me with feedback and critique of my role in YoungArts and how I interacted with them. For example in some informal discussions, interviews and focus

groups, I asked, 'What do you think of my role in the project [YoungArts]?' and added 'Be as critical as you want'. The responses from the participants allowed me to discuss any misunderstanding about the research.

With regards to the Internationalisation Project, the embeddedness of the Workshop in the Masters programme helped to ensure that the students took part in the Workshop seriously. However, this also meant that concerns could have been raised about whether the participation of the students was based on their voluntary decisions. To address this potential concern, in the first meeting with the participants, the research team tried to gauge whether the participants had any reservations about taking part in the Workshop. Following a discussion of the purpose for the Workshop and the methodological approach, the research team asked the students whether they had any questions about the inquiry and their participation. The researchers clarified that the students were not being assessed during the Workshop (or assessed based on their interaction in the Workshop), and that none of the researchers were involved in discussing or marking their reflective journals for assessment. The research team did not have (nor did they ask for) access to the journals that the students submitted. None of the participants raised any concerns or reservations about participating in the inquiry, including the Workshop. The research team then proceeded to request the participants to read and sign the consent form, in order to formally acknowledge that they understood and agreed to take part in the Workshop.

### *5.3.3 Confidentiality and anonymity*

Codes of ethics insist on safeguards to protect people's identities and those of the research locations. Confidentiality must be assured as the primary safeguard against unwanted exposure. All personal data ought to be secured or concealed and made public only behind a shield of anonymity.

(Christians 2005: 145)

In line with the above, I maintained the confidentiality and anonymity of all participants in YoungArts and the Internationalisation Project, including in presentations or publications.

Though ArtsCentre did not explicitly ask for its name to be anonymised, it was necessary to do so to protect the identities of the individual participants. Any specific information provided about the organisation or funders of the YoungArts project might have led to the identification of some of the participants. These are the reasons why pseudonyms are used in the thesis to refer to the arts organisation and the socio-cultural project. The same principle has been applied to the Internationalisation Project.

Measures have also been taken to safeguard the digital recordings of focus groups, interviews and photo-elicitation or deliberation. Transcriptions of the recordings (which required in-depth analysis) were contracted to a

private transcription company, which was bound by confidentiality.<sup>44</sup> The data and transcriptions are stored on password-protected computers, to which only I have access. My fieldnotes are also stored safely under lock. Secondary data that I obtained from ArtsCentre have also been kept confidential and safe. The only materials that I have used publicly (with the approval of the Project Manager of YoungArts) are copyrighted photographs of artistic events in YoungArts. The photographs were used for presentations of the research work at seminars and academic conferences. The participants of YoungArts were not identifiable in the photographs used.

Any information provided to ArtsCentre as part of the KTP was in the form of conceptual and practical suggestions for the purpose of evaluating creative activities. ArtsCentre had no access to raw data and details of human sources.

For the Internationalisation Project, all participants have been anonymised to ensure confidentiality. Furthermore, the research team had asked the participants that no person be recognisable in the photographs that they take for the purpose of this inquiry (see Mitchell 2011). The research team highlighted the responsibility of the participants to respect the privacy and preserve the anonymity of any human subjects when taking photographs. One might argue that the participants could have been allowed to take recognisable photographs of people, if they obtained prior informed consent of those concerned. The researchers deemed that this might impose a

---

<sup>44</sup> The company that was contracted for the transcriptions was recommended by a senior academic who had used their services before.



significant burden on the participants and it would have been extremely difficult to verify and ensure compliance.

#### *5.3.4 Avoiding pressures*

At the time of planning the Workshop, one of the major ethical concerns of the research team was to ensure that the photo elicitation and deliberation processes would not be affected by perceived unequal roles/positions between the researchers and participants. One of the members of the research team taught in the programmes being undertaken by the student participants, and to which the staff participants contributed. The researchers wanted the participants (staff and students) to express themselves freely in the Workshop without feeling any in-built pressure or hesitation.

To address this concern, a facilitator from outside the university was invited to run the Workshop. The facilitator had previous experience (of about sixteen years) working on the issue of internationalisation in the higher education sector, especially through the British Council. Having an external facilitator with an understanding of the phenomenon allowed the research team to stand back (to some extent) from the conduct of the Workshop and critically focus and appreciate the deliberation in the Workshop.

## ***5.4 Concluding Remarks***

This particular chapter covered the various considerations about research analysis, triangulation of methods and data sources and ethics. The various methodologies and methods (which were discussed in Chapter 3 and Chapter 4) and data sources used for each respective research project helped in carrying out a more comprehensive analysis. Particular care about ethical issues such as informed consent and the preservation of anonymity was necessary across the different methods used and throughout the research process.

Following the discussion of inquiry (in Chapter 1), methodological reflections feature strongly throughout the thesis, and not only in Chapters 3, 4 and 5. In that sense, the thesis highlights the notion that methodological concerns affect various aspects and stages of research. The substantial discussions in Chapter 3 and Chapter 4 describe the methodological process for each research project and highlight key concerns that arose. I have tried to discuss the issues from both a temporal and spatial perspective. For example, the time frame for the empirical research and where relevant the various methods used at different points in time are discussed. In terms of spatial aspects, emphasis is placed on research contexts/settings and particular issues that might arise.

## **PART III**

### **SHAPING ASPIRATIONS:**

#### **THE CASE OF YOUNGARTS**

This part of the thesis focuses on the research, including my findings, about the shaping of aspirations in the context of YoungArts. As mentioned in Part II, methodological reflections are integrated in different parts of the thesis. This is especially true for Chapter 6.

When I was first told about the YoungArts project (by ArtsCentre) and about its fundamental objective (i.e. to inspire young people to realise their creative potential and ambitions), I envisaged that the socio-cultural project would explicitly provide opportunities for the young people to explore and shape their aspirations. My starting point for the inquiry was thus to investigate *what* might the young people aspire to and *how* might YoungArts enable them to realise those aspirations. However, as the inquiry evolved I became concerned with new questions: Do all people have developed capacity to aspire? Did the young people in YoungArts get real opportunities to do and be what they have reasons to value?

I emphasise in Chapter 6 that it is important for people to have real opportunities to develop their *capacity to aspire* (a term borrowed from Appadurai 2004), to determine what their aspirations might be and in turn to pursue those aspirations. It does not suffice that people have opportunities; those opportunities need to be real (this is linked to the

discussion about capabilities). For example, telling the young people in YoungArts that they had the ‘power’ to make decisions about the festival did not in itself constitute a real opportunity for the young people to make those decisions. Building on Sen (1999) and Alkire (2002), I further suggest that it becomes a real opportunity for the young people if they value making those decisions *and* if they can *actually* make significant decisions about the festival.

At this point in the thesis, it is important to provide further information about the background of Arts Centre and YoungArts (refer Part II for a brief description).

### ***Background of ArtsCentre and YoungArts***

As mentioned earlier, ArtsCentre was an arts organisation with spaces for developing and presenting professional work in various art forms such as film, visual arts, drama and dance. ArtsCentre also hosted a café bar and has dedicated spaces for toddlers to play. Over the years, the commitment of ArtsCentre had been to provide a stimulating environment for children and young people to engage in the arts and other creative activities. For example, there are weekly classes in drama, dance and filmmaking for ‘youth groups’, taught by artists based in Artscentre.

Moreover, there was a group of young people aged between eight and seventeen who acted as ‘Young Consultants’ in ArtsCentre.<sup>45</sup> They advised and contributed ideas about how ArtsCentre could cater to the needs of children and young people, in terms of programming events, and the operational facilities of the arts venue. From information that I gathered in interviews with ArtsCentre staff, it seemed that YoungArts emerged from a long collaborative process of ArtsCentre with young people and partners in the arts.<sup>46</sup>

Consider the following from a senior staff of ArtsCentre:

“[YoungArts] was the kind of next stage in a process that had begun years and years ago which was about giving young people a voice in things that affected them [. . .] inspired by the United Nations rights of the child [. . .] and completely outraged at the unfairness in the way young people are regarded and treated, especially in this country [. . .] and it’s evident in all sorts of ways even still in the funding of arts work for children, young people, it’s so much smaller than everything else that’s created for the rest of the population. So when we [ArtsCentre] had gone through the process of re-designing the building, we wanted to give young people a voice in that and we developed the young consultancy project but as they got older and more experienced and knowledgeable [. . .] there was an opportunity

---

<sup>45</sup> Many of the Young Consultants developed long sustained relationships with ArtsCentre. For example, one of the first Young Consultants became a professional in the arts and sat on the board of ArtsCentre.

<sup>46</sup> This initiative was led by the then Artistic Director, who held the position for eighteen years in ArtsCentre until January 2010. From February 2010 till September 2010, i.e. in the few months preceding the YoungArts festival, ArtsCentre operated without an Artistic Director.

to try ... almost an experiment [ . . . ] like being a laboratory for ideas and to just take a big leap of faith and try and create a project that would allow young people much more involvement and a say in, in not just [what ArtsCentre] does as [ . . . ] an organisation but in terms of everything about it, the ethos, the programme, everything.”

ArtsCentre was a registered charity organisation and had as its main funders: the National Arts Council, the University and the Local Council. In 2009, ArtsCentre received £750,000 from the National Arts Council to develop and run YoungArts, a project to inspire young people, aged twelve to seventeen, to realise their creative potential through their engagement in the arts. As a main funder, the National Arts Council had significant influences on how ArtsCentre shaped its activities. For example, the National Arts Council investment programme, which included the creative activities that it sought to invest in and develop, most certainly influenced how ArtsCentre and potentially other arts organisations in the country designed projects.

A project team management was especially appointed for YoungArts and was mainly composed of: a Project Manager, a Head of Mentoring and Outreach, an Administrator, a Communications Manager, a Marketing Assistant, an Outreach Coordinator, a Festival Production Manager, an Evaluation Officer and a Festival Concept Coordinator. Except for the Project Manager (who was in the senior management team of ArtsCentre) and the Marketing Assistant, the members of the team were newly appointed by ArtsCentre in order to manage YoungArts. The tasks of the project management team ranged from providing mentoring support to the

young people; to presenting/developing ideas and opportunities for YoungArts and the festival; and realising/implementing the decisions of the young people (in relation to the planning and organisation of the festival), amongst other day-to-day management tasks.

The key activities of YoungArts can be illustrated as follows:

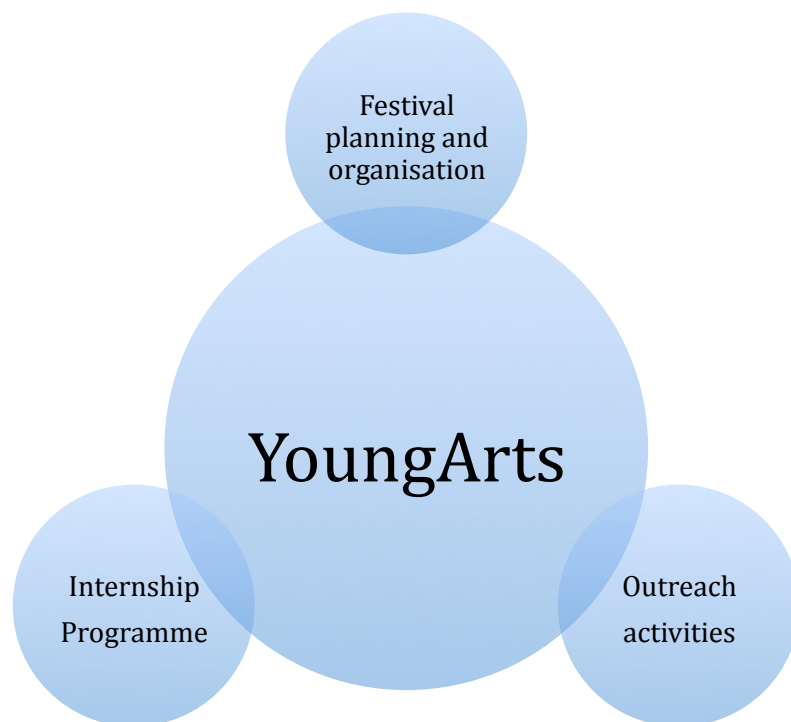


Figure III: Key activities of YoungArts

### *Festival planning and organisation*

There were three main areas of festival planning and organisation in YoungArts that the young people were involved in: marketing, programming and overseeing the general planning and delivery of the festival (in an advisory capacity). Representing those three areas, the initial cohort of young people recruited in YoungArts was divided into three core groups: Young Advisory Board (YAB), Young Marketers (YM) and Young Programmers (YP).<sup>47</sup>

The members of the Young Advisory Board had the responsibility to ‘shape and drive the vision for [the festival]’ (Documents of YoungArts, 2009). With the support of ArtsCentre staff, the Young Advisory Board also had to ensure the good governance and delivery of the festival. The members of the Young Advisory Board gained valuable experience about how to conduct formal meetings and to handle responsibilities and challenges of acting as Chairperson or board members.

The Young Marketers were involved in promoting the festival and events leading to the festival. The contribution of the Young Marketers were mostly in the form of brainstorming and implementing ideas for the promotion of YoungArts such as designing flyers for events/shows, researching and

---

<sup>47</sup> The number of young people involved in the project fluctuated throughout the process with new members joining in and some of the existing ones dropping out. Some of the groups benefitted from the active participation of only a few young people from the total number of young people in each group. Overall, there were renewed interests from the young people in YoungArts nearer to and during the festival.



suggesting ideas for the festival's website design, planning and organising the press launch, writing draft press releases and managing social networking on facebook and twitter amongst other activities.

The Young Programmers had the task of choosing the different art forms, artists and acts/events for the festival. They had the opportunity to attend art festivals and a few other events in order to experience and have a feel of a festival before organising one for YoungArts. The experience stimulated discussions amongst the Young Programmers about performances they considered desirable for the festival and their target audience.

The Communications Manager of YoungArts, assisted by the Marketing Officer in ArtsCentre, led the marketing of the festival with the Young Marketers. The Young Programmers had the artistic director of ArtsCentre as part-time mentor for the first few months of the project. In later months when the Artistic Director left Artscentre, the Project Manager of YoungArts and other members of the project management team tried to guide the Young Programmers. The Project Manager and Executive Director guided the Young Advisory Board in approving key decisions related to the marketing and programming of the festival, and in deciding about some financial aspects such as ticket pricing for the festival.

The main aspects of YoungArts that were highlighted to the three core groups of young people were the planning, organisation and delivery of the festival *by, with and for* young people. For ArtsCentre, the activities related

to the three core groups constituted a significant learning opportunity for the young people to develop their aspirations and skills.

### *Internship Programme*

The internship programme in YoungArts was developed to offer practical advice to young people regarding career opportunities, with the possibility for the young people to obtain an associated national 'Employability Award'. Combining my documentation review of YoungArts with a reading of Biesta (2010) (on the purposes of educational processes and practices), I suggest that in essence the YoungArts internship programme sought to provide three different but inter-related kinds of opportunities to the young interns: career orientation, qualification and socialisation.

The internships did not necessarily involve actual work experience for the young people. Rather most of the interns were mentored by professionals in the arts about the opportunities and challenges of working in a particular field, how to orient their career, writing a CV, skills requirements, etc. Some of the interns were awarded a qualification based on an assessment of the generic employability skills that they gained during the internship. The assessment was task-based and was carried out by the Department of Creative Studies of a local college. The internship programme also offered the interns the opportunity to meet people with similar career aspirations and experience in the field of work they might have been interested in.

Table III provides information about the internship – the specialism and number of young interns enrolled in each specialism. The information was compiled by members of the project management team of YoungArts at the beginning of the internship programme. During the internship, there were fluctuations in the number of interns actually involved in each specialism.<sup>48</sup>

Table III: YoungArts Internship breakdown

<u>Specialism</u>	No of interns
Stage Craft and Design	7
Journalism	2
Music Development	8
Visual Arts	4
Music theatre	7
Technical Theatre and Stage Management	8
Events Management	7
Business Management	3
Drama Development	8
Dance Development	3
Film Development	7
Festival programming	3
Total number of interns	67

Source: Documents of YoungArts (2010)

---

<sup>48</sup> According to the records of YoungArts, out of the initial sixty-seven young interns, fifty-two remained engaged with YoungArts Academy (some to a lesser extent than others) and about twenty young interns qualified for the Employability Award.

### *Outreach activities*

Through the outreach activities, YoungArts specifically tried to provide opportunities for young people (especially those who would not normally engage with the arts) to develop their creative potential. The young people involved in the different outreach projects were not from the existing groups of young people in YoungArts or ArtsCentre. Rather those engaged in the outreach activities included young people who experienced significant ‘emotional, social and behavioural’ problems and had difficulties to integrate into the wider society. For example, one of the outreach projects was carried out with young offenders based in prison (YoungArts Documents 2010).

The outreach activities were mainly organised by the outreach coordinator of YoungArts and other members of the arts team in ArtsCentre. Based on the artistic and pedagogic skills required, YoungArts often sought out particular facilitators (artists and youth workers) outside of ArtsCentre to lead the outreach workshops. According to the outreach team in YoungArts, there were at least twelve different outreach projects and about thirty-eight youth groups that were involved with the outreach activities.

The outreach activities were based on performances developed by professional artists invited to perform at ArtsCentre. The outreach participants normally (not in the case of the young offenders) attended an artistic performance at ArtsCentre before undertaking residency and development workshops based on the themes of the performance. For example, based on an artistic performance, in ArtsCentre, combining beat-

boxing and drama to express concerns about national identity, two local artists were recruited by YoungArts to explore themes such as freedom of speech and national identity with a group of young people from a care centre. The workshops took place over a few weeks.

### ***Structure of Part III***

Part III of the thesis consists of only Chapter 6. Nevertheless, Chapter 6 is not an isolated piece of work; it is to be considered in conjunction with Chapter 3 (which discusses the methodological approach) and Chapter 5 (which covers analytical and ethical considerations). Together these chapters provide a comprehensive account of the research done in the context of YoungArts.

From the beginning of the inquiry in YoungArts, I observed that the interactions between the young people and staff of ArtsCentre had significant affect on each other's beings and doings. Thus I decided to look more closely at the experience of the staff members in YoungArts and how that might affect their own aspirations. I conducted particular interviews and focus groups with YoungArts staff (and some of the other Artscentre staff) and thus did not restrict the inquiry to exploring issues about the aspirations of the young people. Therefore, I also address some broader concerns that emerged during the inquiry in the context of YoungArts.

Section 6.1 discusses the nature and nurture of aspirations, including illustrations from the YoungArts case study. Broader concerns about

Artscentre and YoungArts are highlighted in Section 6.2 and concluding remarks are provided in Section 6.3.

## CHAPTER 6

### SHAPING ASPIRATIONS: INSIGHTS FROM YOUNGARTS

This chapter draws from empirical (that is, the case study of YoungArts) and theoretical perspectives (from various disciplines) to provide insights on the shaping of aspirations of individuals in a real-time context. The analysis suggests that in contrast to questions such as: What do people aspire to or what are the factors that affect aspirations, other questions might need to be asked, for example: Do the participants have the *capacity* to aspire? Furthermore, I relate to recent work that link aspirations and the capability approach.

The mainstream literature on aspirations highlights that people begin to form their aspirations during their childhood and/or adolescence, and that those aspirations might evolve as a consequence of particular experiences and environments (Gutman and Akerman 2008). Still, there are many children and adolescents who may be unsure about what they aspire to be or do in life, not least because of the limited opportunities to explore what they value being or doing. Gutman and Akerman (2008: 4) point out that offering ‘a range of possibilities to individuals may therefore help to develop their aspirations’. Drawing on the capability perspective, I stress that those possibilities or opportunities have to be *real*. I point to recent work in the

capability literature (Hart 2013; Conradie and Robeyns 2014), which stresses the link between capability and aspirations.

### ***6.1 Nature and nurture of aspirations***

Typically, research and policy have promoted the notion of aspiration in terms of educational and career-related objectives (Hart 2013). In a study on career aspirations, Mayrhofer *et al.* (2005: 40) suggest that aspirations refer to a collective of ‘needs, motives and behavioural intentions that individuals articulate’ with respect to particular fields. Appadurai (2004: 68) highlights that, ‘decontextualised, they [aspirations] are usually downloaded to the individual and offloaded to the science of calculation and the market – economics’. For example, notions of aspirations are very often translated into specific ‘outcomes’, ‘wants’, ‘choices’ or ‘commodities’ such as studying abroad, getting a job in a particular field/country/company, having children, buying a car, owning a house, starting a business etc. Those notions of aspirations are intrinsically linked to perceptions about social norms, expectations of what constitutes a good life, and presumptions about life more generally (*ibid.*).

The term ‘aspiration’ is sometimes interchangeably used with ‘ambition’ (Gutman and Akerman 2008), especially in common parlance. In the context of the inquiry in YoungArts, I noticed that in general the participants (both young people and adults) seemed to better understand (or identify with) the term ‘ambition’ rather than ‘aspiration’.



At the beginning of YoungArts, I tried to gauge (primarily in the interviews and then based on observations) what the aspirations of the participants might be and whether their motives in joining YoungArts might be related to their broader aspirations. Thus I asked the participants what their aspirations/ambitions in life might be and why they joined YoungArts. For the young people, especially those under sixteen years old, I tried to simplify the questions and usually built up from simple questions about their age, high school etc. to ‘whether they have thought of what they might want to do after they leave high school or what they are interested in more generally’. I did not focus the questions on their career aspirations, as I was essentially interested in what they might aspire to more generally. This reflects the view of Hart (2013), who suggests that students in her empirical study had aspirations that went beyond educational and career-oriented issues.

Below are some of the responses of the young people involved in the three core groups, that is, Young Marketers, Young Programmers and Young Advisory Board, to the above-mentioned questions:

“I’m going to apply for the [Drama and Music School], to do a sound and lighting course. So [YoungArts] will kind of boost my chances with that as well [. . .]. For seven years I wanted to become an air traffic controller but when I applied for college I was rejected because I was diabetic. So I had to find something else. The [CouncilVenue in town] ... I went up there for a [music] gig that I organised and I thought of doing the lights and I really enjoyed it. So I quite like doing that, I’ve done every gig since January this

year. Doing the lights is really good. I really enjoy it. So I thought of doing that as a career”.

Phil<sup>49</sup>, 17 years old (Interview)

“Probably go to art school because I'm quite interested in drawing and art [. . .] Because I heard there were arts and things and kind of making films [in YoungArts] that got me really interested”.

Stuart, 14 years old (Interview)

“I really, really hope to get into a music course at university [. . .] although it's quite competitive [. . .]. I think my first instrument is violin but I play other things, piano and cello and stuff”.

Georgia, 16 years old (Interview)

“I like to sing, I like to dance, I like to act ... I enjoy having fun in doing new experiences [. . .] I would like to direct the first award winning Gaelic film”.

Tia, 16 years old (Interview)

“I really like drama, I do the drama at [ArtsCentre] like the Young Company [drama group for young people which existed before YoungArts] and we're doing performances here I'm really excited about. I like going to singing lessons because I like to sing ... I go to girls' rugby because my friends joined it so that would be a laugh, it's quite fun and play lots of games and stuff. What else do I like to do? I do some other kinds of sports and stuff at school [ . . .] I would like to be a child psychologist [ . . .] Maybe like...I'm not sure whether I want to be clinical

---

<sup>49</sup> Pseudonyms are used for all the participants in the socio-cultural project.

or developmental but I'd like to work with children because I really like to work with children. I want to work with early years education as well, like really young children and how they develop and stuff like that, like how they learn things. I was thinking about doing an education degree but the main aim is child psychologist [ . . . ] go on to do a masters and then maybe open up a practice or something I'm not sure”.

Lisa, 16 years old (Interview)

“I'd like to do something within design and advertising, and I'm also interested in, like...I'm interested in a lot of things. I'm very interested in art and music, and things like that. [ . . . ] Um, I'm wanting to go into...well, I do a lot of drama and um, I'm wanting to follow that up. And, er...but I'd also like to do design, graphic design ... things like that”.

Jane, 14 years old (Interview)

“Well, see I don't know, erm, I'd quite like to do something that's quite interesting, you know, something...like, not necessarily as a job but, at some point, be part of something that most people wouldn't be part of, I'm not really sure what that was, what it could be”.

Tim, 16 years old (Interview)

“I am about to start a higher national certificate (HNC) in illustration [ . . . ] I just hope to go with the flow really. [ . . . ] I've been to a lot of festivals [ . . . ] in Greece and Italy [ . . . ] and I just thought it would be interesting to

see how they manage to make them all work actually ... to get behind the scenes view really [in YoungArts]”.<sup>50</sup>

Hannah, 17 years old (Interview)

“I hopefully want to go to drama school [ . . . ] to become ... like the best [ . . . ] that I can be within [the] theatre background”.

Chandler, 13 years old (Interview)

From the interview responses of the young people, their aspirations seem to be intrinsically related to their desires, wants, choices, motives and intentions, among others. Some young people expressed various aspirations. Based on further observations in YoungArts, I noted that while some of the young people appeared to have a fairly defined idea of what they aspire to be or do; other young people in the socio-cultural project seemed not to know or were uncertain about their aspirations/ambitions. Relating to the findings of Hart (2013), in a research about young people’s aspirations, that ‘control over the achievement of aspirations and longer-term objectives seemed to be associated with greater uncertainty’ (71), I suggest that some young people in YoungArts were more uncertain about their long-term aspirations or objectives, especially because they felt like they had little or no control over the related achievements.

Given that YoungArts was a socio-cultural project with the aim to inspire young people to pursue their creative potential and ambitions, one could

---

<sup>50</sup> HNCs are offered by colleges, some universities and many other training centres and usually take one year to complete. A HNC is roughly equivalent to the first year of an undergraduate degree programme.

imagine that the aspirations of many young people (as indicated above for some of them) were nurtured in the process of YoungArts and that there were real opportunities for the young people to pursue their aspirations. However, as I briefly implied earlier, there was little evidence that the project management team of YoungArts made explicit efforts to understand the nature of aspirations for the young people involved in the three core groups and help nurture those aspirations. I discuss later in the chapter how the experience for some of the young interns in YoungArts might have been different.

There had been no initiatives from the project management team to find out what the young people in the three core groups might aspire to or how YoungArts might enable them to explore and realise their ‘creative potential and ambition’. I observed that the emphasis at the beginning of YoungArts was to ‘recruit’ young people to form the three core groups by promoting the idea that they would have the ‘power’ to make decisions about programming, marketing and overall running of the festival. The discussion was quite rhetorical, which is why I probed the project management team about how they might enable the young people to pursue their aspirations. While the project management team agreed among themselves that they would follow up on this, no concrete actions were taken.

I began to realise that YoungArts might be overlooking its stated objective, that is, to enable the young people to realise their creative potential and ambition. Rather it seemed that many staff in the project management team of YoungArts took an approach that was more concerned with the functional

aspects of delivering a festival thereby having a focus on a ‘product’/ ‘commodity’ and not on the people involved in the process. Moreover, the young people did not really have the so-called power to make decisions; rather it appeared that the project management team, especially the project manager had the control and power over the process of decision-making. Consider extracts from the focus discussion with the young advisory board of YoungArts:

“I think that one of the problems was maybe that we didn’t really know what to do and also that it was run by the adults at the start, and because of that, no offence to [the project manager] but he is really intimidating and I didn’t think I wanted to go to like ... when we first started, I was really intimidated, and whenever I talked to anyone else they were like, yes I know. And I really wanted to give suggestions for the [festival] programme, that’s why I went to a programming meeting, and [ . . .] no one [the young people] knew what to do with the information they had because they didn’t have anyone to talk to, and no one felt comfortable enough going to any of the adults because they didn’t set up an environment in which we could [ . . .]”.

“It seemed like the adults had a lot of control over the information, and we didn’t always feel like we were getting the information”.

“ [ . . .] to begin with it was like they [YoungArts project management team] were selecting what issues we would talk about and that didn’t seem like the issues we really wanted to start talking about. I felt that to begin

with we really should have been doing a lot of brainstorming with all the groups and with everybody having a say in things . . .”

“... I mean, they are there as facilitators, yes [ . . . ] but there is a point at which I was like well ... we should be able to do some of the things. We are not literally allowed to be in talks about the contract and the money. But if we'd have had the opportunity to phone up someone's agent and say we'd like to book him or her, it would have been a great experience to be able to say this is how we were to do it. Especially, I mean, imagine if you wanted a career in this. How else are you going to get the experience?”

“[ . . . ] it [the budget for the festival] was presented to us, we all nodded at it and it was taken away ... [it was] literally put in front of us, we all went ‘oh right, okay’, and then they went okay moving on ...”

(Young Advisory Board, Focus group)

In the focus discussions that I conducted towards the end of the project, the young people from the Young Advisory Board indicated that they lacked the freedom within YoungArts to actually do something (refer to Chapter 3 for the number of young people in the focus group). They could voice their opinions about how certain things were being done in YoungArts, but lacked real opportunities to implement their ideas or do things that they had reasons to value. Nevertheless, the young people in the young advisory board mentioned that they had learned from the general experience in YoungArts. According to the young people, if they were to be involved in YoungArts and the festival all over again, they would do things differently, especially concerning the organisation of the core groups, management of

the budget and the conduct of meetings. They would also be more assertive vis à vis the adults regarding decisions about the project.

When I asked the three young people in the Young Advisory Board focus group if they had any opportunities through YoungArts that might have enabled them to pursue their aspirations, their responses were related to their increased confidence in dealing with people and the knowledge gained about how to conduct formal meetings. For the young people in the focus group who responded to my question, in their opinion, those aspects of their experiences might be 'useful' since they aspired, respectively, 'to do something in psychology', 'to start up a business in textile design', and 'to do an economics course'.

From my perspective, there could have been real opportunities where the young people in the three core groups might have been enabled to explore and pursue their aspirations. For example, rather than give the young people in the marketing team (such as Stuart, Jane and Hannah as mentioned earlier, all of whom had significant interests and aspired to do things related to drawings, graphic design and illustration) an opportunity to design the logo for the festival, YoungArts decided to commission the logo from a professional graphic designer. When I queried the project management team of YoungArts about why the young people could not do the logo themselves, especially since one of them expressed an interest in doing so, I was informed that ArtsCentre wanted a professional to do the job. While I could appreciate that YoungArts wanted a 'quality' logo, I considered the situation as a missed opportunity for the young people to create the logo *in*



*collaboration with* a professional graphic designer. In the very least the young people might have had the opportunity to learn about the process of designing a logo.

### *6.1.1 Experience and aspirations*

Schwartz (2008: 950) describes the formation of aspirations as dynamic — reflecting ‘a search process, being influenced by the environment and by experience’. Individuals generally adapt their aspirations according to the contexts they evolve in and emotional factors (*ibid.*). As suggested by Gutman and Akerman (2008: i), aspirations tend to develop through ‘new experiences, choices and information’. Furthermore, Gutman and Akerman (2008: i) notes:

[. . .] aspirations tend to decline as children mature, in response to their growing understanding of the world and what is possible, and to constraints imposed by previous choices and achievements.

Among the data that I collected, there was limited evidence that the young people might have adapted their aspirations based on new experiences, choices and information in YoungArts. As many of the young people that I initially interviewed had disengaged with the project partly or completely, I could not observe or gather evidence about the potential evolution of their aspirations. But to get further insights on how the experience in YoungArts might influence the shaping of aspirations of the young people involved in the project, I had a focus discussion with ten young people (who self-

selected themselves by choosing to take part) out of the fifty-two young people involved in the internship programme of YoungArts (as I mentioned earlier, the participation of the young people in YoungArts was not consistent and only twenty young interns qualified for the Employability Award). Some of the young people involved in the three core groups and whom I had interviewed were also in the internship programme and took part in the focus discussion with the interns.

Consider the views of two interns about part of their experience in the internship:

“For the events managers, we went down to a film festival [. . .] and we spent the weekend working at that, which was pretty good fun because we were given random tasks to do over the weekend and we had to do those and that was pretty good. We went to load of [. . .] companies to find out how you actually get into the events world and how you can actually be successful, and found out a lot about the university degrees and how, what courses are actually better to do, which was good”

(Sandra, Events Management intern)

“The thing with our internships, I think everybody’s had different experiences obviously [...]. We had mentor meetings, but they sort of pitched us up so that we were to think independently and make our own experiences ‘type’ thing. Because of course there was all the [ArtsCentre] stuff going on but we’ve got plans to go and make our own films now, like from what we’ve learnt from these guys. Me [. . .] and the other interns

are like, ‘we should totally do something’, and we are [ . . .] We’re like making short films when we feel like it and stuff...”

(Tim, Film Development intern)

Sandra (who I refer to above) initially had the intention to pursue events management as a career choice and through her interactions in YoungArts she had decided that she wanted to do music, business and management. She said: “I’ve met a lot of people that I can go and see and do internships with them and placements with them to get further on, which is good”. However, there is no evidence that Sandra actually got involved in the event management of the festival in YoungArts, which might have been a valuable opportunity for her to pursue her aspirations. Sandra assisted with the technical aspects of the festival. If she had been involved in helping to organise and manage the music event in YoungArts, her capacity to aspire to a career in music, business and management might have been enhanced or she might have adapted her aspirations based on her experience in the festival.

Through the conduct of a focus discussion with the mentors involved with the internships in YoungArts, I had further insights about how the experience in the socio-cultural project might help the interns to shape their aspirations. One of the mentors highlighted that he was trying to focus the young interns on developing their aspirations. The young people might have high aspirations and the internship helped the young interns to become aware about the wide range of expectations that they might have and for

them to be more ‘enlightened about choices that they [i.e. the interns] can make’. A critical point that the mentors made is that often people do not know what they aspire to, until they are ‘actually exposed to something that is maybe intangible’, or that they were unaware of. This goes back to the point that Gutman and Akerman (2008) made about people needing to have a range of opportunities in order to develop their aspirations. This point was also implied in the focus discussion:

“the interpersonal and creative skills that this experience will afford these young people at this stage in their development will allow them to have those transferable skills and modes of learning in place [ . . . ] . Whether it’s within the arts as a producer or administrator, technician, actor, creative writer, photographer, whatever, [ . . . ] or if it’s as an engineer or scientist or whatever else, they will still need the same kind of creative cognitive skills that I think they’re being exposed to here. So that legacy is something I think that we shouldn’t overlook”.

(Mentor, Focus group)

Further, consider the following excerpt of the focus discussion with the mentors in YoungArts:

Researcher: “Did you observe any evolution in the aspirations of the young interns during the past five/six months?”

John: Yeah curiously enough down the way though, which is a good thing I think. One of the interns wanted to be in the West End immediately, but I think exposure to the reality has meant that they go, ‘okay, I need to

take these steps on that journey; I can't leapfrog it.' So that is, I think, a really positive outcome of that.

Martha: I think that's true of most of the drama interns. I remember in the initial meeting it was, 'well, I want to be an actor.' 'Well, what do you think is the next step for you?' 'Oh, to audition.' So, it is trying to open them up to different groups, and that that's more steps to be taken and training to be done, and you can't unfortunately just go out there and get a job. You're very lucky if you do.

Eddy: I was just going to say when you were talking about aspirations ... not trying to, I suppose, to tamper [with the aspirations and] without dampening them too much, and certainly my interns [. . .] were very enthusiastic about running a gig. They wanted to do it in the centre of Glasgow [. . .]. And then we practically went through the process and practically discussed costs and how you sell tickets, and they scaled all their plans down. And in the end actually didn't go ahead with the gig, and even the time of year, because they wanted to give themselves even further time to set it up to make it successful. So rather than going into the centre of Glasgow and losing £600 or £700 perhaps, they've gone through the process of talking to myself, and making it clear to them that although it's great fun to put on gigs, and it can be a great career, there's a considerable amount of risk involved in it that they may not have thought about. And often people [. . .] think gigs and just its full of people, all the tickets sold out, it doesn't always quite turn out like that. So I think that was good, but they still aspired to do the gig, they just have adjusted it down so it becomes realistic, achievable.

Many of the mentors in YoungArts were talking about aspirations from a career perspective, not least because the internships were linked to the

‘Employability Award’. In the development of their career aspirations, people adjust their choices based on evaluations of the ‘compatibility’ and ‘accessibility’ of their aspirations in relation to their broader social environment (Gottfredson 1996). Moreover, the scope for achieving diverse aspirations is influenced by ‘the structure of opportunity’ (Lent *et al.* 1994) and/or expectations (Gottfredson 1996). Examples of the structure of opportunity are: ‘the local availability of particular kinds of education and employment’ and ‘hiring practices’.

Similarly, the scope for the young people in YoungArts to realise their diverse aspirations might have been influenced by the structure of opportunities available in the project, such as learning experiences in the internships and three core groups. Moreover, the young people might have adapted choices about what they aspire to be or do based on their experiences in YoungArts and related perceptions about the compatibility and accessibility of their aspirations in relation to the broader environment. But as mentioned earlier, one mentor (Eddy) stressed the importance of not tampering with or dampening the aspirations of the young people.

Based on the focus discussions with the interns and mentors respectively, I noted that the experience of each group of interns varied according to the specialism they chose and the related opportunities that the mentors unlocked for the young people to explore their aspirations. Some interns had the opportunity to work for the festival in YoungArts and develop their skills/talents (for example as drama artists, technical assistants) and/or visit companies, socialise and make contacts with professionals in the field of

work they were interested in. Other interns reported in the focus discussion that they had few interactions with their YoungArts mentors and little opportunities to develop their skills/talents through the internship programme.

I will now turn to the experience of some YoungArts staff:

Consider the following:

“It’s taught me that for a start how to try and fight for something that you do believe in and to take measures that are beyond your remit to [. . .] try and facilitate the project to actually get the project to happen”

“Personally [. . .] I feel really inspired because I’ve seen...you know, I kind of feel although I’m far from a young person I’ve in some ways been on a similar journey to them, experiencing all kinds of new sorts of art forms like contemporary dance [. . .] And on top of that meeting so many and varied different types of young people and feeling really privileged to get an insight into their lives and their thoughts and feelings and that’s been really... on a personal level if you just take the job up front, really enriching and settling”.

“I feel that [YoungArts] has given me more confidence. I tend to find that professionally that I would always have been ‘I can’t do that, oh my god, I can’t do that’, and actually on this project you have to. It’s not like I can’t do that, you just have to do it. Does that make sense? So like [. . .] having that moment actually realising that I do have a logical mind as well as an

artistic mind and I can do these things [organisation and coordination of outreach] and therefore I can do them for myself as an artist. I don't need other people to do them for me, [ . . . ] therefore that has helped boost my confidence as an artist and as a professional in this field by learning as we go along and learning I can do these things (and these things that I thought I couldn't do I can do) and I can do them well”.

(YoungArts staff, Focus group A)

There is no clear indication of the relation between the experience of the staff in YoungArts and their aspirations but the above views demonstrate that the experience that the staff had in the project enabled them to develop their abilities and to feel more confident. Believing in one's own capabilities is a critical aspect of aspirational development (Bandura 1997, mentioned in Gutman and Akerman 2008).

For most of the staff in YoungArts, the link between their experiences in YoungArts to their aspirations might have been particularly important given that they had to move on to another job and enterprise after the completion of the project (their employment contracts with ArtsCentre were for the duration of YoungArts only). While some staff members in YoungArts were more positive about their experience, others simply pointed out that the work experience would look good on their curriculum vita.

### *6.1.2 Aspiring as functioning and freedom to aspire*



I suggest that if people consider the shaping of aspirations in terms of the pursuit of valuable beings and doings then they might find more meaningful possibilities to shape their lives and contribute to society. This is related to the capability approach, which was introduced in Chapter 2. Recent work by Hart (2013) on aspirations (through the application of Sen's capability approach) reinforces my point.

Based on the empirical studies she conducted about young people's aspirations in Great Britain, Hart (2013) suggests that aspiring can be perceived in terms of a functioning, that is, a valuable being or doing. Moreover, the process of aspiring can be considered as 'an active endeavour undertaken through abstract thinking and developed expression' (79). The other key point is that the *freedom* of aspiring can be seen as meta-capability. Further consider the following:

Understanding the nature of aspiring tells us more comprehensively about the freedom an individual has to develop capabilities and to choose to pursue a future they have reason to value [. . .] In this sense we can look at an individual's capability to aspire as a freedom in its own right and as a gateway to enabling further future capabilities and functionings.

(Hart 2013: 79)

There is thus a very important link between aspirations and capabilities. If an individual has limited real freedom (and opportunities) to conceive and shape her aspirations, then this might impact on the development of her future capabilities. Her current lack of freedom to aspire will affect the

possibilities she can envisage and pursue in terms of her potential valuable beings and doings.

People might adapt their aspirations to adverse circumstances in their environment such as poverty (Conradie and Robeyns 2014) and thus develop modest ambitions. However, an individual might also have overambitious aspirations. Though overambitious aspirations might be problematic, in terms of distorting potential beings and doings, care is required in not constraining people's freedom to aspire. As a step to counter the issue of adaptation, Conradie and Robeyns (2014) suggest that the basis of shaping aspirations should not simply be on the pursuit of potential beings and doings that one values but rather on the pursuit of the beings and doings that one *has reason* to value. This process of reasoning would enable people to critically reflect on whether their aspirations have been constrained or exaggerated by circumstances in the environment in which they live and interact. Therefore a refined suggestion would be that the shaping of aspirations be seen as the conception and pursuit of beings and doings that one has reason to value.

### *6.1.3 The capacity to aspire*

A critical question remains to be addressed: How might people be enabled to conceive of their aspirations in terms of valuable beings and doings? In the next subsection, I explore whether this can be achieved through a consideration of aspiration as a cultural capacity and through the exercise of people's *voice* about things that matter to them or affect them.

Two key suggestions made by Appadurai (2004: 63) are that 1) aspiration be considered as a cultural capacity and 2) 'voice' be given a significant role in enabling people to express their views.<sup>51</sup> Appadurai (2004) particularly focuses on 'the capacity to aspire' as a cultural capacity for the poor to address some of the economic hardships they face. Though the context he studies is not similar to the case of YoungArts (in that most people directly involved in YoungArts did not seem to come from what Appadurai classifies as a poor background in the context he studies), there are key arguments in his work that can be generalised and that are particularly relevant to my analysis. For example, Appadurai (2004) views aspirations as 'never simply individual' because they are 'always formed in interaction and in the thick of social life' (67). Thus, he considers the capacity to aspire as a 'collective asset' and in some ways complementary to Amartya Sen's concept of capability. Through the nurturing of capabilities, the capacity to aspire gains more substance, as it becomes a more thoughtful process —'from wishful thinking to thoughtful thinking' (*ibid.* 82).

A challenge is that the *capacity to aspire* is not 'evenly distributed in any society' (Appadurai 2004: 68). This might be because there is a gap in the various possibilities that are available to people (in terms of material resources, social relations, information, etc.). Experiences may also differ

---

<sup>51</sup> Among other influences, Appadurai (2004) builds on the concept of 'recognition' by Charles Taylor (1992) and the work of Albert Hirschman (1970) on 'loyalty', 'exit' and 'voice' to phrase his arguments. He also makes reference to the works of Mary Douglas (1973/ 1982) on 'cultural designs for anticipation and risk reduction' and James Fernandez (1965, 1986) on 'how cultural consensus is produced'.

significantly in terms of the resulting outcomes associated with previous aspirations or opportunities for exploration and trial.

Building on Appadurai (2004), I also suggest that to enhance people's capacity to aspire it is crucial for them to be able to exercise 'voice'<sup>52</sup>— to inquire, contest, critically defend and deliberate on things that affect or matter to them. Drawing on Hirschman (1970: 30), my concern with voice includes any attempt (individual or collective) to affect change in social, economic and/or political activities 'rather than to escape from an objectionable state of affairs'.

Voice must also be expressed through 'actions and performances that have local cultural force' (Appadurai 2004: 67). Expression through artistic activities can be particularly powerful in conveying ideas, thoughts, feelings, etc. to people in society and also in providing a space for people to 'think, see, imagine and let in the unforeseen' (Sacchetti and Sugden 2009: 275). 'Metaphors, rhetoric, organisation and public performance' can be used as levers to express thought-provoking ideas that can be more receptive in particular contexts (Appadurai 2004). It is argued that for voice to take effect as a cultural capacity amongst people in society, it has to 'engage social, political, and economic issues in terms of ideologies, doctrines and norms which are widely shared and credible' (*ibid.* 63).

Consider the previously mentioned cases of Tia, who joined YoungArts as a

---

<sup>52</sup> The notion of voice, used in this chapter, refers to its various dimensions — economic (see Hirschman 1970, Sacchetti and Sugden 2009), cultural (see Appadurai 2004) and political (Freire 1970, Sen 2006) among others.

young programmer and who aspired to direct a Gaelic film, and Chandler, who joined the young marketing team and aspired to do something in drama/theatre. Both of the young people also joined the internship programme in YoungArts and were among the few young people who remained engaged in the project from the beginning to the end. During the process of YoungArts, both Chandler and Tia expressed concerns about how the project was managed in general, and more specifically about how their rights as young people might be breached in YoungArts, based on the ArtsCentre's charter for children. Tia and Chandler reported their concerns to the Education Officer and the Executive Director of ArtsCentre. The Executive Director worked with both Chandler and Tia to address (or at least, appease) their concerns. As Chandler mentioned to me, the Executive Director was mentoring him and Tia so that they could help 'bridge the gap' between staff and young people in the project. So it appeared that the problem was more about the interactions between the young people and YoungArts staff rather than an actual infringement of their rights.

In the months that followed, Chandler wrote the script for a theatrical play for the YoungArts festival based on an adaptation of a book on human rights. He asked Tia to co-direct the play with him. The idea for the play was formed through the interaction Chandler had in YoungArts and as Appadurai (2004) suggests aspirations are not simply individual. Building on their experience and concerns in YoungArts, Tia and Chandler wanted to have a performance *directed and played by young people* for the festival. All the other performances for the festival involved young people but were primarily conceived and directed by adults.

With the help of some friends, Chandler and Tia did a fundraising for setting up the play. They had at least eight young people take part in the play. Ten percent of the revenue that they obtained during the festival was donated to an international human rights organisation and the rest of the revenue went to YoungArts. The experience of Tia and Chandler links to how voice can be expressed through performances that have cultural force. In expressing their voice through an artistic performance, both Tia and Chandler pursued beings and doings that they had reasons to value and that were linked to their personal aspirations.

In the context of human development interventions, Conradie and Robeyns (2014: 6) have argued that:

The process of voicing and reflecting upon [. . .] aspirations, is a process in which agents indicate precisely which capabilities are valuable and most relevant for them. They are unlikely to mention all capabilities that are valuable to them, since those capabilities that are already fully secured will not be part of their aspirations [ . . . ] Expressed aspirations tell us which capabilities are the ones that are not realized yet, which makes the voicing of aspirations an excellent tool to decide which dimensions of well-being to target in a human development intervention.

I have no evidence to assert that the reflections and voicing of their aspirations triggered Tia and Chandler (refer to discussion above) to develop real opportunities in order to achieve beings and doings that they have

reasons to value. However based on the information that I obtained through my discussions with them, I can tell that the expression of their aspirations was part of a process in which they indicated which capabilities are valuable and most relevant to them. Conradie and Robeyns (2014: 6) have also argued that voicing of aspirations helps to ‘unlock the agency that is needed in order for the necessary changes to happen’. Latent agency might be stimulated through reflections and discussions about aspirations with others and motivate people to enhance their capabilities. Furthermore, this process might lead to the shaping of other aspirations or cause aspirations to develop or evolve. In that sense, aspiring is a functioning and reflection is action (as Dewey suggests, refer to Chapter 1).

Tia and Chandler were able to pursue those aspirations mostly because of their more developed capacity to aspire. Did all the young people in YoungArts have developed capacities to aspire? Were other people in YoungArts able to exercise their voice and pursue their aspirations? What does a more developed capacity to aspire mean? It refers to the ability of people who are ‘better off’ in terms of psychological strength and material resources to be more conscious of the links between their ‘more and less immediate objects of aspirations’ (Appadurai 2004: 68). Based on their previous experiences about the complexity of shaping aspirations, people with a more developed capacity to aspire normally have a better appreciation of having diverse experiences and experimenting in different contexts in order to develop immediate concrete opportunities that might be linked to more generic possibilities for the future. In short, they are better able to navigate through the diverse experiences in life and pursue

opportunities (which are direct or indirect) in order to get closer to realising their aspirations (*ibid.*).

How might people exercise their voice (and pursue their aspirations)? Sugden and Wilson (2003, 2005) argue that for people to be able to exercise voice and to directly engage in strategic decisions regarding socio-economic activities, there is a need for 'long-term learning in a Deweyan sense' (as mentioned in Sacchetti and Sugden 2009). Sacchetti and Sugden (2009) refer to the point made by Dewey (1916: 7): 'any social arrangement that remains vitally social, or vitally shared, is educative to those who participate in it'. For such a social arrangement to emerge, it is essential to foster an environment that is conducive to learning and the expression of 'voice'. Consider Sacchetti and Sugden (2009: 233) on this:

Central to these learning processes is the ability for people to inform themselves of the relevant issues, and to interact with one-another in debating, forming and evolving their (individual and collective) views [. . . and] the establishment of 'public creativity forums' as spaces that foster free communication based on shared values. This is an idea that points also to the critical role that the media can play in facilitating virtual spaces for dialogue, understanding and the nurturing of creative, critical thought, as a foundation for developing the art of economic voice.

The evidence that I gathered in the case study indicates that ArtsCentre/YoungArts did not necessarily foster an environment conducive to the expression of voice and development of creative and critical thinking and sustained learning for participants.



Consider these thoughts by a senior staff member in ArtsCentre (who was also managing outreach activities in YoungArts):

“[M]y creativity has suffered, I have done things that I wouldn’t have done elsewhere. And that’s one of the reasons I got annoyed, no not annoyed but defensive when you [the academic researcher] and [the evaluation officer] asked me [questions] about outreach [and its aims in terms of] quality vs. quantity [of the activities and], in-depth impact vs. wider impact. The questions you asked then, I would have asked myself these but in this environment [ArtsCentre] I overlooked them”.

(Exit Interview, ArtsCentre staff involved in YoungArts)<sup>53</sup>

The above interviewee indicated some constraints in the environment of YoungArts, and ArtsCentre more generally. Reflecting on the months she spent in ArtsCentre, she recollected that when she first started she was enthusiastic and trying to incorporate new ideas but she could not understand why other people went about with their to-do list on a daily basis and were glued to their computers. The reason she had joined ArtsCentre was to learn and grow as a professional educator and artist but in the end she felt there had been no scope for her personal development. Her creative suggestions were ‘totally thwarted’ whenever she suggested them to the senior management of ArtsCentre. Again in her own words, ‘there was so much resistance for fire and passion’, ‘you get on with what you know’, and

---

<sup>53</sup> She was in post for less than a year in ArtsCentre and left the organisation a month before the festival.

there is 'no desire for change'. One might argue that such circumstances were adverse to the exercise of voice and might have a negative impact on the freedom of individuals to aspire and pursue beings and doings that they have reason to value.

In the next sub-section I discuss some broad concerns about the context of YoungArts and ArtsCentre.

## ***6.2 Broader concerns in YoungArts***

Consider these views expressed by other members of YoungArts staff (who were all recent appointments in ArtsCentre) about the broader context of ArtsCentre and consequently YoungArts:

“Do you know how I always feel in the office, I feel like a criminal that’s how I feel everyday. I walk in and leave, I feel like a criminal, that’s how they make me feel”.

“[Y]ou know [this colleague] who sits behind me can’t turn round and ask me a question, she emails me it and it really wears you down, it really wears you down”.

“You just can’t talk in the office”.

“The atmosphere in the office is atrocious, it always has been since I’ve started and I don’t think it’s anything to do with the actual project

[YoungArts]. I think the project has maybe highlighted it more, but the full-time members – I mean nobody talks up there, there's no fun, there's nothing. It seems to be that everyone's job is a chore”.

“But like anything in YoungArts, you come with a good idea, you say it and they [senior management in Artscentre] go, oh that sounds great and nothing is ever actioned on it and that's why [this colleague] was disillusioned with . . . became disillusioned with YoungArts and other things have transpired that have made him [. . .] leave ArtsCentre”.

(YoungArts Staff, Focus Group B)

The above views of the staff might be considered in contrast to the earlier discussion of the staff regarding their learning experience in YoungArts and increased confidence. From my observations in YoungArts, some people (staff and young people) looked at the overall experience in a positive way, that is, learning from the opportunities and the constraints. But many people, especially those with low capacity to aspire might have been affected more negatively.

The views expressed by the staff show that some of them felt excluded and constrained in the context of ArtsCentre. Some members of YoungArts staff even claimed to feel bullied by some colleagues and that this affected their work performance. While the difficult behaviour of some people in ArtsCentre (especially in senior management) was pinpointed, many staff claimed that it was the general restrictive attitude in the organisation that was problematic. Consider the following:

Once cultural capital is embodied and institutionalized, it can be accessed by others within the group. It can also be used as a form of domination. Bourdieu calls this use of capital “symbolic violence,” where dominant groups have the capacity to “impose the means of comprehending and adapting to the social world by representing economic and political power in disguised, taken-for-granted forms”.

(Swartz 2000: 89 as cited in Rao and Walton 2004: 16)

In ArtsCentre, in some instances where the executive director and/or the project manager of YoungArts did not like or approve of a suggestion or idea, they often said, ‘this is not how we do things here [at ArtsCentre]’ and the new staff in YoungArts highlighted this restrictive aspect. A significant consequence can be that such socio-cultural context can limit people’s capacity to aspire and the possibilities that they might explore, not only for their own beings and doings but also for others, including the organisation they work in (i.e. ArtsCentre) and the project they are working on (i.e. YoungArts).

To discuss the socio-cultural environment of YoungArts and Artscentre, I refer to Appadurai’s emphasis on ‘culture as a dialogue between aspirations and sedimented traditions’ (2004: 84). If one simply focuses on culture as traditions, then the practice might become restrictive. The use of culture becomes ‘exploitative, exclusionary, and conflictual’ (Rao and Walton 2004: 4). By focusing on aspirations rather than on traditions, one can have a better understanding of how people actually shape their relationships in and

with society (in Appadurai's words: 'navigate their social spaces'). Similarly, it can be argued that if YoungArts and ArtsCentre had focused on the aspirations of the people involved in the socio-cultural project rather than on the 'traditions' of the arts centre, there could have been a better understanding of how people shape relationships.

The negative use of culture and the focus on traditions can affect freedoms of people and their capacity to aspire. In his book *Development as Freedom*, Sen (1999: 31) argues that the adoption and perpetuation of some facets of culture has to undergo a process of *valuation* and choice:

There is an inescapable valuational problem involved in deciding what to choose if and when it turns out that some parts of tradition cannot be maintained along with economic or social changes that may be needed for other reasons. It is a choice that the people involved have to face and assess. The choice is neither closed (as many development apologists seem to suggest), nor is it one for the elite 'guardians' of tradition to settle (as many development sceptics seem to presume). If a traditional way of life has to be sacrificed to escape grinding poverty or miniscule longevity (as many traditional societies have had for thousands of years), then it is the people directly involved who must have the opportunity to participate in deciding what should be chosen.

For Sen (2004a), 'value formation is an interactive process' and cultural practices should undergo this process in determining how people choose to live. Sen (2004a) suggests a cultural process that fosters sharing - for example, in the form of talking and listening - performs an important

function: it makes free interactions possible through public deliberations. For him, such a process is crucial in shaping values and stimulating novel ideas, priorities and traditions. This has direct consequences for freedom as ‘the exercise of freedom is mediated by values’ (Sen 1999: 9). Furthermore, as values are themselves shaped by public deliberation and social interactions, cultural practices can play a significant role in fostering ‘participatory freedoms’ (which influences the form of interactions and the formation of values). Human beings are not necessarily passive agents who simply follow cultural practices; they can also shape these practices (Granovetter 1985).

Adopting a socio-cultural approach similar to the one discussed above might have enabled the participants in YoungArts to scrutinize practices critically, evaluate other options, understand what choices might be desirable and viable, and decide what they had reasons to value ‘doing’ and ‘being’ in the project (see Sen 2006:114). This might have import for managing a socio-cultural project like YoungArts, that is, not to impose ways of doing things on people but rather to allow the participants to determine what and how they want to engage in the socio-cultural process and to explore ways to realise their creative potential and ambition.

### ***6.3 Concluding Remarks***

In a broader sense aspirations can be conceived in terms of a cluster of significant needs, desires, choices, motives and intentions to pursue or

achieve valuable beings and doings (now and in the future). The shaping of aspirations is a dynamic process and not as a linear one (Hart 2013). Based on their experience, some people might choose to adapt, change or extend their aspirations.

At the beginning of the inquiry in YoungArts, I took it for granted that the participants *had* aspirations. I realised that the assumption was not necessarily true for all participants. I began to consider that not everyone had developed *capacity to aspire*. The problem is that the capacity to aspire for many people might be undermined when facing difficult socio-cultural contexts or internalising certain norms and practices.

Indeed the socio-cultural contexts in which people develop their experiences might have implications for their capacity to aspire and subsequently for how they shape their aspirations. The literature on aspirations suggests that aspirations are partly shaped by the structure of opportunity available in the contexts that people engage in. It might be argued that people shape their aspirations according to their perception of what is achievable, given the existing conditions in their contextual environment. This seems to imply that for an individual to achieve her aspirations, she has to be aware of the opportunities available and plan accordingly. From another angle, it might also imply that her perceptions of what she can actually “be” or “do” is constrained by her current socio-cultural context.

As a result of restrictive socio-cultural contexts, some people may have low capacity to aspire and therefore have difficulties to determine aspirations

that they have reasons to value. On the other hand, other people in a shared cultural process (as discussed by Sen 2004a) may have more fully developed capacity to aspire and be more aware of the real opportunities that they have to be or do things that they have reasons to value. What is required is thus space and time, where people can explore new possibilities freely and shape new practices without the prejudices of their daily contexts impeding the powers of their imagination and their capacities to aspire. Socio-cultural spaces that foster an environment conducive to learning and the democratic expression of 'voice' are thus important for people to enhance their capacity to aspire.

If real opportunities are enhanced, it is not difficult to think that the shaping of aspirations might also be enhanced. The shaping of aspirations and real opportunities are reciprocally connected as the more real opportunities a person has, the better he might be equipped to shape his aspirations. In other words, he might have better capacity to aspire. Similarly the more developed his capacity to aspire, the more real opportunities he might be able to develop and the more freedom a person has to aspire, the more possibilities he might have to develop future capabilities. Freedom to aspire is in itself a meta-capability and aspiring is a functioning (Hart 2013).



## **PART IV**

### **CAPABILITIES, PLAY AND INTERNATIONALISATION IN ACADEMIA**

Part IV extends the discussion about real opportunities that people have reason to value to the context of academia. This concern is explored through three main themes: capabilities of academics, play and university internationalisation.

#### ***Current developments in academia***

The current context in which universities are operating is often associated with the neo-liberalist discourse of ‘free market’ and ‘global competitiveness’ (Brew and Lucas 2009; Scott 2009). Key trends that emerge from debates about academia are related to globalisation and internationalisation pressures that universities have to respond to. Associated with those pressures are the commodification, marketisation and commercialisation of knowledge generated and disseminated through research and teaching (see for example, Giroux 2002; Bok 2003; Starkey and Tempest 2008; Perkmann *et al.* 2013).

Universities, for example in the UK, are facing increased cuts in public funding, combined with stricter controls from the state on the number of international students (Calhoun 2012; Burnes *et al.* 2013). In response, many universities are planning, organising and delivering their activities in a

way that is consonant with some forms of entrepreneurialism, corporatisation and/or managerialism (Wasser 1990; Parker and Jary 1995; Willmott 1995; Ozga 1998; OECD 2001, 2009; Olssen and Peters 2005; Anderson 2008). This has given rise to terms such as the ‘marketised’ university systems (Archer 2008) and ‘entrepreneurial’ university (Etzkowitz *et al.* 2000; OECD 2001; Etzkowitz 2013).

The political and neo-liberalist pressures have in part led to collegial and shared decision-making amongst academics being replaced by a more corporate-like approach in universities (Scott 2009; Burnes *et al.* 2013).<sup>54</sup> Moreover, the combined effects of globalisation, neo-liberalism and new public management trends have deeply affected the ‘professional identities’ of academics and seem to be detrimental to ‘free and wide-ranging (and critical) intellectual enquiry’ (Scott 2009: xv). There is a growing literature on the impact of these current developments on the roles, work, identities and values of academics (see for example, Evans 2002; Archer 2008; Clegg 2008; Stiles 2004; Meyer 2012; Smith 2012). The chapter on the capabilities of academics in this thesis seeks to contribute to that literature.

The current developments in academia have consequences, especially in terms of the extent of academic freedom and autonomy that academics have and the resulting effect on their research and teaching activities. Scott (2009: xiv) comments that there is ‘likely to be an erosion of the autonomy

---

<sup>54</sup> As Burnes *et al.* (2013) note, the form of collegiality varied across universities in the UK based on their individual contexts. It is argued that collegiality in some universities involved the decision-making process being dominated by some academics or departments whereas in other universities collegiality involved pluralist views and discussion leading to consensus about key decisions.

of individual researchers, and research teams, as corporate priorities are imposed – and significant threats to academic freedom may also arise [. . .]’. The ‘economic rationalist ideas’ for research that are utilitarian might not be compatible with a more ‘creative, organic process’ notion of research, which is open to surprises and unexpected outcomes (Brew 2007: 55).

In the next section, I provide a broad discussion of the debate around academic freedom and autonomy in the social sciences before I introduce the content of the three chapters and the overall structure for Part IV. The issues of academic freedom and autonomy are intrinsically linked to both the methodological (refer to Part II) and conceptual development (in terms of capabilities of academics) of the thesis.<sup>55</sup>

### ***Academic freedom and autonomy***

The notions of freedom, autonomy and truth are deeply rooted in the traditions of academia and have evolved over centuries, albeit not without certain challenges (Tight *et al.* 2007; Henkel 2007; Nelson 2010; Gürüz 2011). Altbach (2007) provides a range of examples across the world (and over time) where political and ideological views imposed by external forces (such as the Catholic Church and governments) have threatened, stifled or constrained academic freedom and autonomy.

In 17th century England, with the rise of the ‘experimental philosopher’, freedom was seen as necessary for ‘truth-telling’ and research integrity.

---

<sup>55</sup> The concerns for academic freedom and autonomy run throughout the thesis.

However, some people considered academics as ‘unfree’ agents who were paid for their work and it was assumed that ‘those dependent upon funding from others are also then dependent upon the will of others and should be afraid to displease them’ (Shapir 1994: 405 as cited in Tight *et al.* 2007: 8). Thus there were doubts about whether academics could be trusted with “truth-telling”.

In 19<sup>th</sup> century the so-called modern idea of the university — the Humboldtian model was developed. The modern university is based on von Humboldt’s notions of freedom to teach, freedom to learn and the unity of teaching and research. For many scholars, these notions are also considered as the basis of the modern concept of academic freedom. One of the fundamental features of the modern university is understood to be the freedom of academics to undertake independent inquiry, including deciding which topics to study/research without any interference from governments.

Peter Scott suggests that since the 19<sup>th</sup> century the modern universities are in effect ‘creations of the nation-state’ and in Europe state bureaucracies started to regulate the activities of universities (Gürüz 2011). To date, the idea that academics are paid ‘employees’ and thus have to deliver outcomes as per their employers’ needs/wishes (or others such as the funders etc.) or else run the risk of being fired (see Nelson 2010) raise doubts again about academics being free, able and willing to pursue and tell the truth.

In the United States, to address the threats to academic freedom and job security the American Association of University Professors (AAUP) drew a

‘Declaration of Principles on Academic Freedom and Academic Tenure’ in 1915. Consider this key passage from the AAUP’s Declaration:

The freedom which is the subject of this report is the freedom of the teacher. Academic freedom in this sense composes three elements: freedom of inquiry and research; freedom of teaching within the university or college; and freedom of extramural utterance and action . . . These considerations make still more clear the nature of the relationship between university trustees and members of university faculties. The latter are the appointees, but not in any proper sense the employees of the former. For once appointed, the scholar has professional functions to perform in which the appointing authorities have neither competency nor moral right to intervene. The responsibility of the university teacher is primarily to the public itself, and to the judgment of his own profession (292).

(as quoted in Nelson 2010: 14)

Later on, in the 1970s, university autonomy (and academic freedom) was determined by the relative powers of academia and state bureaucracy in making decisions about the activities of the university, including key academic matters (Gürüz 2011).

Since the 1980s, market forces began to have a significant impact on the activities and governance of the university and the state maneuvered the activities of universities from a distance. For example, in the UK the government is seen as propelling universities to operate into a more competitive and market-driven environment (Berdahl 1990). These changes

have led to growing concerns about constraints on academic freedom and autonomy (Åkerlind and Kayrooz 2003; Henkel 2007).

In the current context of marketisation and commercialisation of research, there are diverse views about academic freedom and autonomy in the social sciences. Some academics report positive outcomes such as greater opportunities to ‘exploration and integration with the external community, and [. . .] an experience of greater freedom’ (Tight *et al.* 2007: 6). Other academics suggest that there is a decline in research quality and there is a tendency for academics to ‘self-censor’ themselves in order to avoid ‘contentious or speculative research’. Some social scientists also report interference in the publication of ‘contentious results’ and thus refrain from engaging into externally funded research in order to maintain academic freedom. Moreover those who are actively involved in seeking external grants observe that they actually have less time to engage in social debate (*ibid.*).

### *Academic freedom*

Clark (1987: 138) notes that ‘the sharper problems of academic freedom are to be found in the social sciences and the humanities’ (as mentioned in Tight *et al.* 2007: 4-5). It is considered that natural scientists tend to have more security in terms of how their research is interpreted and also less political interference than social scientists (*ibid.*). It is perhaps time for social scientists to demand as much autonomy and freedom as natural scientists in conducting their inquiries. Tight *et al.* (2007: 13) emphasise that academic

freedom is a *right*, which protects the interests of social scientists (and other academics) to deliver independent critique on issues that are of concern to society and which also ‘confers a *responsibility* to maintain structures to uphold that freedom’ (emphasis added).

I draw on Einstein view of academic freedom, which does not present academic freedom as a negative freedom, that is, in terms of absence of interference or punishment. For Einstein (1954), academic freedom refers to the right of an academic to ‘search for the truth and to publish and teach what one holds to be true’ and also ‘a duty; one must not conceal any part of what one has recognized to be true’ (quoted in Rosnick 2006, see Sugden 2013). This notion of academic freedom is essentially positive (see further discussion about this in Chapter 7). As Henkel (2007) reports, Karl Polanyi also presents a positive view in his *Republic of Science* – scientists self-coordinate their activities, choose problems to research and pursue the truth according to their individual judgments and underlying this self-coordination is a ‘commitment’ to contribute to society and advance knowledge.

Nevertheless, it is important to take into consideration the constraints on academic freedom that are reported in the literature (for example, see Åkerlind and Kayrooz 2003; Altbach 2007; Tight *et al.* 2007; Henkel 2007; Nelson 2010 and references therein). Altbach (2007: 54-55) has stressed that:

Increased corporate involvement in academe, and the growth of privately

sponsored research, some observers argue, threatens academic freedom via control of research funding. The interests of firms, these observers argue, have “corporatized” academe [. . .] These sponsors favor applied work yielding quick results leading to patents over basic research. Research results are often considered proprietary, and are sometimes suppressed because of corporate funding arrangements. Many observers believe this emphasis violates the freedom of academics to disseminate the results of their research. Privatizing research funding and the links between industry and the universities complicate the debate about academic freedom. Indirect and subtle threats concern the ownership of knowledge and the norms of scholarly communication.

Drawing on Altbach (2007), one might suggest that there are concerns about subtle constraints on autonomy and academic freedom, which are exercised for example through managerialism (a shift of power and control from the professoriate to professional managers and administrators in universities) and conditions imposed by sponsors/funders on research. Research agendas are often controlled through research councils (with directors appointed by the government), assessment mechanisms for research quality and quantity and output-driven funding schemes that ‘predetermine priority areas for research’ (Brew 2007: 49; Brew and Lucas 2009). Research projects and academic researchers that do not follow these agendas or do not ‘lend themselves to such measures’ face serious challenges, especially in terms of conducting empirical work, not least because of the lack of funding available.



## *Autonomy*

Autonomy is intrinsically related to academic freedom (Altbach 2001; Gürüz 2011). While some (like the UNESCO) conflate both terms, others distinguish between academic freedom and autonomy, often seeing ‘autonomy as a precondition for academic freedom’ (Tight *et al.* 2007 and references therein). Autonomy is sometimes regarded as being primarily institutional, that is, in terms of university autonomy whereas academic freedom is considered in terms of the freedom of individual academics.

The meaning of university autonomy might not be the same for all. ‘For scholars, autonomy stands for the academic vocation and academic freedom. However, for today's university leaders, it usually stands for something else: the right to manage their university in a higher education market. This is not the vision of autonomy previously embedded in collegiate organisation or in the idea of academic vocation’ (Holmwood 2012).

Further consider the following on university autonomy:

In modern societies, university autonomy is seen as primarily involving the relationships between universities and their respective governments, although, of course, other bodies may also be involved, such as professional bodies with a stake in accreditation requirements. In past times, church, bar and papal as well as court officials may also have been involved. Currently, governmental influence may consist of, but not be limited by, legislative authority or executive persuasion related to

financial power. This is the concept of 'steering from a distance', with government controlling the university sector indirectly, through a series of financial levers (Marginson, 1997).

(Tight *et al.* 2007: 11)

In this thesis, I refer to autonomy in terms of autonomy of the university and also in terms of autonomy of inquiry/research. I consider that both these aspects of autonomy are inter-related. Building on the above discussion, university autonomy and autonomy of inquiry are also linked to academic freedom. For example, the academic freedom of scholars might be influenced by the extent to which the university is autonomous, and the autonomy of inquiry is, no doubt, partly determined by the extent to which the academic researcher enjoys and exercises academic freedom. However, it is important to note that increased university autonomy does not necessarily translate into increased academic freedom or autonomy in inquiry. For example, Berdahl (1990) writes that in the early nineteenth century though the universities of Oxford and Cambridge were autonomous, they denied academic freedom to their faculty whereas Berlin University which was non-autonomous was well-known for its 'Lehrfreiheit' (that is, academic freedom).

## ***Structure of Part IV***

In parallel to my analytical foci (on aspirations) in the inquiry of YoungArts (discussed in Chapter 6), I looked at what (and why) an academic, in a management school, might value being and doing through research. In Chapter 7, I explain why I looked at those questions. While I recognise that there might be variations in what each individual academic conceives as valuable beings and doings in conducting research, Chapter 7 suggests that there are particular ‘basic academic needs’, which might have implications for academic research. The basic academic needs and freedom distinguish between what academics might have reasons to value being and doing (in the context of academic inquiry) and what others (such as practitioners) might have reasons to value being and doing. The capability approach introduced by Amartya Sen provides an analytical framework to frame my arguments about the ‘capabilities of academic researchers’. Chapter 7 develops these arguments.

Chapter 8 provides a critical discussion on the qualities of human play. The notion of play emerged as an important consideration for this thesis during the analysis of issues discussed in Chapter 6, for example in considering people’s capacity to aspire or the constraints in the environment of YoungArts and Artscentre (refer to the Introduction to the thesis and Chapter 8).

I propose that the notion of play might be relevant for how academic researchers develop and enhance their capabilities. Thus, in Chapter 8, the discussion of play is not confined to the case of YoungArts. I try to explore play in the context of capabilities, that is, the positive freedom that a person has to choose and act (Nussbaum 2011) even if there are some constraints in an environment. The arguments are applied in the context of people shaping their aspirations and also in terms of enhancing the capabilities of academics more specifically.

Chapter 9 presents a case analysis on the internationalisation context of a university. Essentially, I use the capability lens to explore the impact of internationalisation on the actual and potential beings and doings of people in academia. A key question that I pose is whether internationalisation in universities enables academics to accomplish what they have reasons to value being and doing, that is, their capabilities.

To summarise, Chapter 7 presents my arguments on the capabilities of academic researchers. Chapter 8 then provides some insights on the significance of play and how play can contribute to enhancing real opportunities for people to explore and achieve their aspirations and enhance their capabilities. Chapter 9 uses the capability lens to address a key issue about universities, that is, internationalisation, and whether this might affect the beings and doings of people in academia.

## CHAPTER 7

### THE CAPABILITIES OF ACADEMIC RESEARCHERS AND ACADEMIC POVERTY<sup>56</sup>

This chapter discusses the notion of capabilities of academics, that is, the substantive freedom or real opportunity that an academic has to accomplish what she has reason to value (Sen 1992/1995). Essentially, the proposition is that the capability approach introduced by Amartya Sen (refer to Chapter 2) and further developed by others (such as Martha Nussbaum, Sabina Alkire and Ingrid Robeyns) is effective in conceptualizing, describing and evaluating the doings and beings that academics have *reason to value* (and notions related to academia such as academic freedom).<sup>57</sup>

A particular argument is also presented in this chapter: the absence or lack of capabilities to fulfill certain basic academic needs leads to academic poverty. Through this chapter, I seek to stimulate critical reflections about capabilities of academics and the idea of academic poverty. I reckon that

---

<sup>56</sup> A version of this chapter has recently been published as ‘The Capabilities of Academics and Academic Poverty’ (with Professor Roger Sugden) in *Kyklos* 67 (4), November 2014.

<sup>57</sup> Within the capability approach, there are variants, see Robeyns (2011) and Nussbaum (2011). The analysis in this chapter seeks to draw across the variants but so as to construct a coherent argument providing insight on actions and activities in academia.

these notions have the potential to influence the practice of academic research in the social sciences.<sup>58</sup>

The concern for capabilities of academics emerged during the research I was conducting in the context of YoungArts. Aware that sense and sensibility in academic research are inextricably inter-twined (Docherty 2013; refer also to Chapter 1), I explicitly thought about and reviewed my evolving experience in YoungArts. A number of questions came to the fore about *doing* academic research and *being* an academic researcher. I sought to make full use of the ongoing academic reflection to shape what I was doing, as well as my future academic practice (Bulman 2008).

Questions that arose include: What is the primary role and responsibility of an academic? What does an academic have reason to value in conducting research in the social sciences? Are the acts of the academic to be the same as for any other person cooperating in a research project? What are the challenges in doing collaborative research? Can research findings be made public, even when under pressures from collaborators of research not to disclose certain outcomes of their activities? Are judgments about the conduct of academic research to be based primarily on its ‘usefulness’ to practitioners, industries and the state? Using a capability lens (and

---

<sup>58</sup> The analysis concentrates on the social sciences in what is often loosely termed as a research-led university. Although the capability approach might be helpful for understanding other activities in academia, the focus remains primarily on academic research. Similarly, the analysis might also be extended to other disciplines or subjects. However, this chapter does not explicitly attempt to address the wide variety of issues that an all-encompassing approach would entail. To do otherwise would be beyond the scope of this chapter.

supporting arguments from the discourse on current developments in academia), I try to address these questions in a coherent and rigorous manner.

Education (in its broad sense) is primarily considered in the capabilities approach as a necessary dimension for human development (Boni and Gasper 2012; Hart 2009; refer also to Saito 2003 and writings of Martha Nussbaum, Melanie Walker and Elaine Unterhalter among others)<sup>59</sup>. In the context of universities, the capabilities approach mainly addresses education from a pedagogical perspective.

An interesting application of the capability approach in higher education arises from Garnett (2009). From a teaching perspective, he discusses the academic freedom of undergraduate students as capabilities, with particular reference to enabling 'liberal education' in higher education in the United States. Garnett asserts that academic freedom encompasses both negative and positive aspects of freedom. While aspects of negative freedom (that is, freedom from constraints) in academia is often recognised, lesser emphasis is put on positive freedom (freedom to be or do). In this chapter, I suggest that academic freedom can be seen in terms of positive freedom – as the capability of academic researchers to do research that they have 'reason to value' and 'to enhance the real choices they have' (Sen 1999: 293). To the

---

<sup>59</sup> For example, Nussbaum's 'humanistic liberalism' in higher education talks about enabling students to have freedoms, to be reflectively critical of oneself and society, to consider oneself as human beings who are 'global citizens' (and not simply members of a local group or community) and to develop narrative imagination (Walker and Unterhalter 2007; Gasper and George 2010).

best of my knowledge there is no academic work that explicitly links capabilities to academic research or academic researchers.

In Section 7.1, I discuss how the questions mentioned above relate to the wider debate about developments in academia. In Section 7.2, the notion of capabilities of academic researchers is discussed. Section 7.3 highlights the particular notions of combined and internal capabilities and Section 7.4 presents the arguments about basic academic needs and academic poverty. Section 7.6 turns to the significance of: ‘reason to value’ and freedom in the conception of capabilities. Concluding remarks are made in Section 7.7.

### ***7.1 The need to explore academic poverty***

A critical phenomenon in the ‘academia-society interface’ has been identified as follows:

In the context of the market-capitalist system that characterises most places today, moving closer to society in practice implies moving closer to market forces. This has raised awareness of potential dangers; in particular with regards the potential loss of critical analysis of societies’ problems from a distance, independent of the often narrow influences that are characteristic of imperfect markets. Such concerns are often expressed in terms of challenges to ‘academic freedom’. As reforms to the funding and governance of universities imply greater interaction between academics and market forces, there are argued to be impacts on how academics plan and carry out their teaching and research activities.

(Aranguren *et al.* 2009:1)



Indeed, changes in the relationship between academia and other actors in society might have serious implications for how academics organise and structure their research projects, undertake inquiries, collaborate with people (not least those who might previously have been considered as subjects of research) and disseminate their work. In other words, there are implications for the conduct and actions of academics.

Many researchers have expressed positive views about the university moving closer to society and about applying research in a way that is useful to others in society. These perspectives are somewhat reflected in the literature on Mode 1 and Mode 2 research (see for example, Gibbons *et al.* 1994, Gibbons 2000, Jacob 2000, Nowotny 2000, Pestre 2003) and the triple-helix phenomenon (Etzkowitz and Leydesdorff 2000; Ernø-Kjølhede 2001; Etzkowitz 2011; Ranga and Etzkowitz 2013).

Mode 1 is generated within the university ‘without reference to any interests outside of the academic community’ (Jacob 2000: 15), whereas Mode 2 is generated in the context of application (Nowotny 2000; Gibbons 2000; Nowotny *et al.* 2003). Fuller (2003) further points out that Mode 1 is ‘applied mainly to the laboratory-based natural sciences’ and is considered as ‘discipline-based’ research. Mode 2 is ‘for a hybridised sense of research that blends together the interests of academia, the state, and industry’ (*ibid.* 115). For researchers engaged in Mode 2 research, the generation of scientific knowledge is no longer being regarded ‘as an autonomous space, clearly demarcated from the “other spaces” of society, culture and (more arguably) the economy’ (Nowotny 2000: 186). Proponents of Mode 2

research support that this paradigm shift (from Mode 1 to Mode 2) is necessary to challenge and change the ‘exclusive’ and ‘elitist’ nature of research that has been prevalent in universities traditionally (Holligan 2011; Smith 2012).<sup>60</sup>

Pressures of neo-liberalism, globalization and public management tend to drive academia towards Mode 2 research. However, potential issues such as conflict of interests and diverging values among the various socio-economic actors need to be evaluated as they might affect the potentially positive process of Mode 2 research.

The triple-helix model looks at the relations between university, industry and government and suggests that these three spheres overlap each other in a knowledge-based society (Etzkowitz and Leydesdorff 2000). The analysis demonstrates that as an institution that produces and disseminates knowledge, the university has a key role to play in innovation systems, for example as a vehicle for technology transfers. As a consequence, ‘new rules and roles are defined and legitimated’ and universities across the world transform themselves to become more entrepreneurial (Etzkowitz *et al.* 2000: 316). According to the model, the university thus has a third mission (besides research and teaching), that is, to contribute to economic development (Etzkowitz and Leydesdorff 2000; Etzkowitz *et al.* 2000).

---

<sup>60</sup> The distinction between Mode 1 and Mode 2 is not readily applicable to all disciplines and research contexts. According to Fuller (2003), the humanities, for example, which has been predominantly present in universities until about 1900 has not been so narrowly organised as Mode 1, nor has it been fully open to adapt to external influences as presumed in Mode 2.

Considering these developments in academia, it is important for academics to also consider the view that industrial actors often seek ‘clear aims and objectives, realistic projection of results and the delivery of what has been contracted for’ whereas ‘academic research does not always work that way, nor should it’ (Evans 2002: 62). Moreover, in a speech for the Royal Society, Irwin Feller remarked that the university is being transformed into a ‘market-driven institution where fields of knowledge are supported in terms of perceived social utility, defined at a point in time by expected profitability of [. . .] firms . . . willing to enter into research contracts’ (quoted in Evans 2002: 66).

Indeed there are arguments that universities have mimicked organisations that are apparently successful in markets (de Boer 1999; Winter 2009; Sugden 2004). Many universities view themselves as producers of tradable commodities — scientific knowledge and skilled labour; and competition between universities and between academics for research funding from ‘clients’, for students as ‘customers’ and for ‘research active’ academics (Cooke and Kitagawa 2013). There is thus a tendency for universities (and some academics) to plan, organise and manage their academic activities according to what the market requires and values. This is problematic because markets are not necessarily conducive to innovative research, they ‘tend to penalize risk’ and ‘knowledge and product innovations are being removed from the control of individual creators, and are no longer subject to free exchange through traditional academic relations’ (Marginson 1997: 366).

One might deplore that representatives of large corporations sit on committees which allocate public funds for academic research projects and that the state seems to encourage or at least approve of such practices (Evans 2002). This is problematic because those corporations might support particular research projects that sustain their own agendas and/or they might not support those that undermine or question the activities of their corporations.

Utilitarian or useful research<sup>61</sup> is often determined according to a narrow set of indicators (such as ‘impact’ or ‘quality’), and this practice has become quite influential (Parker and Jary 1995). The more pertinent issue, perhaps, is that these indicators are now used to determine what is ‘good’ or ‘excellent’ academic research in a way that might undermine or distort the value judgments of academics. Consider debates about the UK implementation of the Research Excellence Framework, previously the Research Assessment Exercise as well as experiences in Australia, Denmark, the Netherlands and Switzerland (ab Iorweth 2005; McNay 2007; Key Perspectives Ltd. 2009; Smith *et al.* 2011; Butler and Spoelstra 2012; Parker and van Teijlingen 2012).<sup>62</sup> That view is symptomatic of the idea that there is a trend for market forces to have wide ranging influence on recent alterations to the ‘academia-society interface’ (Aranguren *et al.* 2009: 1).

---

<sup>61</sup> Inquiries by influential social scientists such as Dewey, Freud and Piaget were not conducted for utilitarian purposes but they have nevertheless shaped the way people think about significant issues (Kayrooz *et al.* 2007).

<sup>62</sup> The Research Excellence Framework is introduced and described at [www.ref.ac.uk](http://www.ref.ac.uk).

The focus on ‘useful’ outcomes of academic research is very often expressed in terms of ‘applications capable of commercial exploitation’ (Evans 2002: 60). For example, one might argue that to some extent this is the premise of many Knowledge Transfer Partnerships (KTPs) (refer to Chapter 3, Section 3.1). A main focus of KTPs tends to be on ‘key deliverable outcomes’ *for* the partner company and an underlying aspect is how the KTP project might help the company to improve or enhance its commercial or financial situation.

Usefulness alone does not justify the conduct of a research project by an academic (who has certain responsibilities towards society). Useful research might even pose risks for others and society as a whole. Consider Graham (2005: 85):

Applied research is often considered to be useful but that does not necessarily justify the research itself; what is useful can also be harmful as it can be beneficial in some cases. For example, the scientific research can improve weapons and that might be beneficial to the arms industry but it is questionable whether such research might be for the good of society in general.

Thus research which is useful for one person or an organisation might not be useful for others; it might even be harmful in some cases.

Biesta (2011b) succinctly points out:

If the university just aims at being useful for and adaptive to its publics, it has, in a sense, nothing to offer and nothing to say. One could even argue

that if the university only gives what it is asked to give, it ceases to have a reason to exist, because there may well be other providers in the teaching and research market who can provide this more cheaply, more efficiently, and more effectively — and we can indeed see some of this happening when university programs get shortened and parts of it are outsourced to the commercial market or to other sectors of the education system (such as, in the UK, Further Education colleges).

Applying Biesta's reasoning, the question that arises is — whether researchers working in universities may well cease to exist as *academics* if they simply aim at providing useful outcomes or research and give what the market dictates, because there may well be other providers in the research market that can offer useful research more cheaply and more efficiently. Is there anything that distinguishes academic researchers from other researchers? Are there particular aspects to academic research that renders it valuable?

Arguments in the capability literature about the conceptualisation of absolute poverty in terms of 'the inability of individuals and communities to choose some valuable 'doings or beings' which are basic to human life' (Alkire 2002: 157) prompted the idea about valuable doings and beings that are basic to 'academic life'. These basic valuable doings and beings in academia are referred to, as basic academic needs.<sup>63</sup> This draws from the

---

<sup>63</sup> The term 'basic needs' is used in a simplistic manner, that is, in terms of what people need despite themselves in order to avoid detrimental effects. The use of basic needs helps to put a strong emphasis on requirements in academia despite people's (intentional) choice.

discussion by Alkire (2002) on basic needs that are required despite one's (intentional) choice.

A critical question is posed and addressed in this chapter — are there basic academic needs that are necessary despite one's intentional choice, in academic research? Drawing on concerns about the developments in academia and challenges to traditional academic values such as academic freedom and pursuing the truth (see for example, Gaita 1997; Marginson 1997; Åkerlind and Kayrooz 2003; Bok 2003; Graham 2005; Altbach 2007; Brew 2007; Henkel 2007; Marginson 2007; Tight *et al.* 2007; Nelson 2010; Gürüz 2011; Smith 2012), these are proposed — the pursuit of the spirit of the truth and adherence to standards of coherence, robustness and rigour — as basic academic needs. This is not a fixed or exhaustive list. The attempt here is to stimulate critical reflections about certain basic needs that are necessary in academia.

In line with the above, it is argued in this chapter that there would be *academic poverty* if, for example, an academic responds to quasi-market signals at the expense of fulfilling certain basic academic needs. The argument about academic poverty is further developed to suggest that an academic who has the capabilities but chooses not to fulfill the basic academic needs renders herself in a state akin to academic poverty. In other words, there are basic academic needs that have to be fulfilled in order to avoid academic poverty, irrespective of one's intentional choice.

## ***7.2 Capabilities of academic researchers***

To evaluate the 'state', interests or advantage of an individual, Sen suggests the need to consider 1) the particular achievements of the individual, i.e. functionings, and 2) the real opportunities of the individual, i.e. capabilities. As indicated earlier, functioning refers to what an individual achieves to do or be, thus reflecting 'a part of the 'state' of that person' (Sen 1985/1999: 7). Alkire (2002: 6) explains that, 'a person's achieved functionings at any given time are the particular functionings he or she has successfully pursued and realised.' Functionings are thus features of the state of the individual, not detached objects that she possesses or produces. Following Sen (1985/1999), a functioning has to be distinguished from the utility (understood in terms of pleasure, happiness or desire-satisfaction) derived from the functioning itself.

Turning to the specific case of an academic researcher, she can be viewed as using various research resources, diverse tangibles such as journal articles, books, analytical software and computers. These resources can be taken as broadly equivalent to commodities in Sen's analyses. Similar to commodities, the resources have particular characteristics, encompassing concrete notions such as the language and number of words in an article, and more abstract properties such as clarity of expression, ideas and thoughts. In an academic context, functionings can relate to what the academic achieves by having command over the desirable characteristics of the resources.



Also similar, two individuals (albeit they are both academics) having equal access to same articles, books, software, etc. may not succeed in doing the same things with their properties. For example, whilst each might possess the same book, they might utilise the resource quite differently - one might choose to think about particular chapters, the other to explore the work as a whole. Or perhaps one has a medical condition such as bipolar disorder, which can effect concentration and feelings, therefore hamper or prevent study at certain times.<sup>64</sup> It follows that awareness of the properties of the research resources does not in itself convey what an academic can succeed in doing or being.

Further consider the following. Two academics, each having a personal computer with identical features and having equal access to the Internet and libraries, may derive different functionings from having these resources and their characteristics at their disposal. One may do frequent searches online about particular topics, while the other may prefer going to the library to read books and use the computer later to type notes. To present an even more simplified comparison, assume that neither academic uses both the Internet and the library. The broad objective of the two academics may be the same but the medium they choose and thus the access to or type of information that they get may differ. The conversion of the characteristics of the computer may thus produce different functionings for each individual. Consider also that the real opportunities for the academic working from home/office and using the online facilities may be significantly different from the academic who chooses to physically go to the library.

---

<sup>64</sup> For symptoms of bipolar disorder, see: [www.nhs.uk](http://www.nhs.uk).

Thus one might suggest that two academics may choose and act differently given the same bundle of resources, not least because human beings are ‘diverse in what they value’ (Davis 2009: 9). This is a fundamental reason why ‘the conversion of the characteristics of [academic] resources into functionings can also differ between people’ (Robeyns 2008: 88).

Using similar notation to Sen (1985/1999: 7), the conception of capability in an academic context can be laid out as follows. Define:

$x_{it}$  = a vector of research resources available for academic  $i$  to choose from, at time  $t$

$c(\cdot)$  = a function converting a vector of academic research resources into a vector of characteristics of those resources

Thus:

$c(x_{it})$  = a vector of characteristics of academic research resources that an academic  $i$  can choose at time  $t$

Also define:

$f_{it}(\cdot)$  = a utilisation function by which academic  $i$  can choose at time  $t$  to convert a vector of characteristics of academic resources into a vector of particular research achievements

Then let:

$b_{it} = f_{it}(c(x_{it}))$  = a vector of particular research achievements that academic  $i$  can choose at time  $t$

Following Sen (1985/1999),  $b_{it}$  is called (for the purpose of this chapter): an academic functioning vector or, more succinctly, an *academic functioning*.

From the perspective of this analysis, undertaking academic research is a ‘doing’; it entails a person converting the characteristics of research resources such as journal articles and books into particular achievements. Examples of academic functionings include: writing academic work; exchanging comments on draft academic papers; taking part in academic conferences and debates; developing rigorous methodologies, methods and concepts; contributing to the body of academic literature; providing critical insights on issues that affect society; collaborating with people in society (including entrepreneurs and policy-makers). These functionings are inter-related but are also distinct things that an academic might value doing. Moreover, the person who so undertakes academic research achieves a state of being, i.e. she is an academic researcher.

Further, define:

$X_{it}$  = the set of all vectors of research resources available to academic  $i$  at time  $t$ ; the *academic research resources set*

$F_{it}$  = the set of all utilisation functions available to academic  $i$  at time  $t$ ; the *academic use set*

$Q_{it}$  = the *set of all feasible academic functionings* for academic  $i$  at time  $t$

Then:

$Q_{it} = [b_{it} \mid b_{it} = f_{it}(c(x_{it})) \text{ for some } f_{it}(\cdot) \in F_{it} \text{ and for some } x_{it} \in X_{it}]$

$Q_{it}$  is the *capability set* for academic  $i$  at time  $t$ , i.e. the set of alternative academic functionings that  $i$  can achieve through choice, given her personal

academic use set ( $F_{it}$ ) and her personal academic research resources set ( $X_{it}$ ).

The above discussion opens up alternative ways of understanding academic research. It suggests concentrating on the doings of research and the beings of a researcher, moreover not only the actual doings and beings but also *the various combinations of doings and beings that a researcher can achieve*. This application of the capability approach to academia also provides an alternative basis for evaluations of academic research compared to evaluations focused on ‘quality’, ‘impact’ or ‘excellence’ measures.

Consider, for example, the Research Excellence Framework (REF), which has recently been applied to universities in the UK. REF focuses on actual outputs produced, for example publications, and converts those into numerical values, assigning each publication a discrete quality indicator on a five-point scale. That is akin to approaches to evaluating development and well-being that focus on actual quantities of goods and services produced, and on converting those quantities into a numerical value by using market exchange data. In comparison, as Alkire (2002: 13) observes, in the capability approach ‘the role of the market is subordinated to an enlarged framework of decision-making, that employs an extended informational basis, and a substantive rationality’.

By using the capability perspective, the focus on evaluating academic research and academics can be shifted from so-called ‘quality’, ‘impact’ or ‘excellence’ measures — such as the number of papers published, in which

journals and using which external funding to the actual and potential beings and doings that academics have reason to value.

The opening up of real possibilities to an academic researcher can be illustrated using the following analogy by Alkire and Severine (2009: 32): 'just like a person with a pocket full of coins can buy many different combinations of things, a person with many capabilities can elect between many different functionings and pursue a variety of different life paths.' Similarly, an academic researcher with many capabilities can choose one combination from the various feasible functionings and pursue a variety of research strategies.

Similarly to Sen (1985/ 1999) on commodities and well-being, though at a point in time an individual academic will be constrained in her choice of research resources - not least because bounded rationality prevents any one person from having real access to all journals, books, etc. - the limits of that choice might be expanded through the implementation of particular research strategies. The academic research resources set,  $X_{it}$ , might be deliberately expanded over time. Likewise the use set,  $F_{it}$ , might be changed. Suppose, for example, at a given time an academic is using SPSS software. In the very short run she might be unable to change her reliance on SPSS. However, she might take advice from colleagues experienced in different uses of the software, or take a training course, so as to improve options for the use of SPSS. Thus her use set would expand. With a longer time horizon she might acquire knowledge of different softwares. Thus her research

resources set would expand. In both cases, there would be implications for changes in her capability set,  $Q_{it}$ .

Accordingly, the conceptualisation offered by the capability approach highlights that there are alternative functionings from amongst which the academic can choose, and that raises issues about the basis of choice, and indeed about academic freedom. These will be discussed in due course. Before that, however, there are insights to be had from an analysis of different types of capabilities.

### ***7.3 Combined and internal capabilities***

Until now, the discussion on capabilities has not explicitly addressed the influence of external conditions in the environment on beings and doings. For Nussbaum (2011) and, she argues, for Sen, capabilities ‘are not just abilities residing inside a person but also the freedoms or opportunities created by a combination of personal abilities and the political, social, and economic environment’ (Nussbaum 2011: 20).

Nussbaum distinguishes between combined and internal capabilities. She coins the term ‘combined capabilities’ to refer to the totality of opportunities that a person has for doing and for being in her specific environment.<sup>65</sup> Thus combined capabilities include but are not confined to a person’s internal capabilities, those beings and doings that have been ‘trained or developed’

---

<sup>65</sup> Nussbaum first introduced the concept as “external capability” in 1988 and later (in 2000) changed the term to “combined capability” (Leßmann 2009).

(*ibid.* 21) through education and which equips the person ‘to choose and act well’ (Leßmann 2009: 451). In concrete terms, internal capabilities are a subset of combined capabilities and can be considered as dynamic ‘traits of character [. . .] intellect and body’ (Leßmann 2009: 451, citing Nussbaum 1988: 161) such as ‘political skill’, ‘self-confidence’, ‘skills of perception and movement’ (Nussbaum 2011: 21). For academic researchers, examples of internal capabilities include skills in reasoning using a particular theoretical framework, or in deducing general observations from a suitably sampled population, as well as being aware of the requirements of academic journals, or being confident in carrying out fieldwork and analysis. Consider that an academic has the capability to develop a particular argument through reasoning and the application of a theoretical framework but she does not have the ability to present that argument publicly, then one might consider that she has internal capabilities but lacks combined capabilities.

Care is needed not to overplay the distinction between internal and combined capabilities, but it does highlight that the set of feasible achievements facing an academic is in part dependent on the environment within which the academic is working, both organisationally, i.e. within a university and university system, and more widely, i.e. within a particular society. The distinction between internal and combined capabilities is useful in ‘diagnosing the achievements and shortcomings’ of academic research in a university (Nussbaum 2011: 23). Whilst an academic might have internal capabilities to ‘deliver independent critiques on issues that are of concern to society’ (Tight *et al.* 2007), and to ‘self-coordinate their activities, choose problems to research and pursue the truth according to their individual

judgments' (Karl Polanyi as cited in Henkel 2007), she could be in a university environment that 'might cut off the avenues through which people actually have the opportunity to function in accordance with those capabilities' (Nussbaum 2011: 21). This is akin to Nussbaum's example: 'many societies educate people so that they are capable of free speech on political matters – internally – but then deny them free expression in practice through repression of speech' (*ibid.*). Similarly one might argue that in many societies, academics are educated so that they are capable of exercising academic freedom but then they are denied the expression of that freedom through repressive measures.

To illustrate, consider the view that university management and business schools have served market fundamentalism – see, for example, Currie *et al.* (2010: S1) on business schools promulgating the 'neoliberal economic consensus that swept both developed and developing economies in the late 1990s and early 2000s'. One hypothesis is that serving markets necessitates behaviours and actions that significantly constrain academic functionings and capabilities.

For example, it is argued that:

As academics become more concerned with 'supplying' research to 'customers', there is effectively pressure to ensure that the 'product' matches expectations. Such pressures have the potential to fundamentally change the nature of research, leading to a more deterministic, outcome-oriented process that is arguably less free, open-ended and independent.

Wilson (2009: 105)



The functionings and capabilities of some academic researchers might thus be constrained in that they might not shape their beings and doings in terms of what they have reasons to value as academics. Rather they serve the market and ‘existing concentrations of power’ (Aranguren *et al.* 2009; see also Wilson 2009 on the marketisation of the relationship between universities and societies) thereby undermining their academic freedom and responsibilities. A good example of this is the following scenario:

As academics strive for research funding from both public and private sources, a logical outcome is not to design projects according to their own perspectives on desirable research agendas *and then* seek the possibility of appropriate funding. Rather, there is a tendency to design and conduct research from the outset according to the explicit (or perceived) objectives of those who fund the research. There may even be temptations to manipulate research findings, so as not jeopardise future funding opportunities.

Aranguren *et al.* (2009:7)

The situation described above points to the issue of adaptive preferences or the problem of adaptation, i.e. ‘the tendency [of academics] to adapt preferences under adverse circumstances — so that what individuals really prefer becomes subsumed by what they are made to prefer’ (Teschl and Comin 2005).

Therefore, the external conditions in an environment such as serving the market might cut off the capabilities of academics. Moreover, increasing

demands from the ‘real world’ to have a ‘right to know what is going on’ and to interfere might constrain academic values (Evans 2002: 107). This in turn might create a poorer university system, financially and intellectually.

#### **7.4 Academic poverty**

The idea about academic poverty emerged through a consideration of absolute poverty in the capabilities literature. For Sen (1992/ 1995: 109), poverty is ‘the failure of basic capabilities to reach certain minimally acceptable levels’. To further clarify, when there is a lack of or absence of certain basic capabilities, there is poverty (Alkire 2002). What are basic capabilities? They refer to ‘those capabilities which are indispensable to human flourishing but not sufficient for it’ (*ibid.* 166), which is why other capabilities (for example, those mentioned in Sections 7.3 and 7.4) also matter.<sup>66</sup>

The concept of capability ‘represents a potential for (intentional) choice’ but it does not convey the ‘normative force of need’ (Alkire 2002: 163). Alkire adds the notion of basic need to her discussion of capability ‘to refer to things which are required precisely *despite* what one chooses, and however hard one struggles against the need’ (*ibid.*). Therefore, a basic capability is a ‘capability to meet a basic need’, for example a ‘capability to avoid malnourishment’. Alkire (2002: 163) illustrates the point as follows:

---

<sup>66</sup> In this chapter, the term ‘basic capabilities’ is not used in the same way as Nussbaum (2011). For Nussbaum, basic capabilities are the ‘innate faculties of the person that make later development and training possible’ (*ibid.* 24). The basic needs that are proposed for academic research are not necessarily innate.

Thomás keenly desired to subsist on the pineapples he was picking and send his entire wages home, but then he became very ill. The other pickers told him to buy real food from the canteen or he would be too weak to work at all.

In the above illustration, Thomás seems to have the potential for (intentional) choice and to have the capability to avoid malnourishment but he chooses not to properly nourish himself in order to send his wages home (presumably to enable his family to meet their basic needs at the expense of his own well-being). His choice quintessentially renders him to be in a similar state as he would have been in (that is, in a state of poverty), had he not had the basic capability to begin with. His intentional choice, and the possible constraints that influence that choice, causes him to overlook his basic needs and thus to lead a life as if he were in poverty, at least at a particular point in time.

Analogously, the possibility of basic capabilities in academic research is conceived as — the capabilities that are necessary but not sufficient for academic flourishing and that, when absent or lacking, render a circumstance of academic poverty. These basic capabilities are required so as to fulfill basic needs in academic research.

It is important to note that the above analogy does not imply that the consequences of a capability failure to satisfy a basic academic need can be equated to the consequences of the capability failure discussed in the case of Thomás. The implications of not satisfying basic needs like nourishment are

life threatening, thus more severe than in the context of academia. The reference to basic need in this chapter is primarily to convey the idea that there are perhaps certain requirements that need to be fulfilled in academic research despite what one chooses and however hard one struggles against those needs.

Quite what those basic academic needs might be is no doubt a controversial subject requiring lengthy attention. As a starting-point, consider the necessity to adhere to at least certain standards of coherence, robustness and rigour (regarding the logic of a theoretical argument, the representative sampling of a population, etc.). In support of this suggestion, refer to the purposes of research evaluation for the UK's Economic and Social Research Council (ESRC 2011), which highlight the importance of rigour in research. The code of ethics for the Academy of Management (2005: 3) also highlights 'the duty of Academy members conducting research to design, implement, analyse, report, and present findings rigorously'. There is considerable debate about the notion of rigour in management research, especially in relation to relevance (see for example, Hodgkinson *et al.* 2001; Kieser and Leiner 2009; Starkey *et al.* 2009). Nevertheless, the point is that prevention of academic poverty would require critical reflections about rigour so as to determine reasons that justify academic research.

Consider the following illustration drawn from a situation in a management school. A group of undergraduate students working on a consulting project that was part of their programme of study reported that they were in a dilemma. The aim of their project was to develop a five-year sustainability

plan that a private client could use to obtain funding. Based on the evidence they gathered, the students reached the conclusion that the client's organisation was not sustainable. Some students then queried whether or not they should 'act as consultants' and submit a sustainable plan despite their bounded knowledge that the organisation was unsustainable.

The determination of basic academic capabilities in this particular situation would have enabled the students to resolve their dilemma about what they should do, and about where their primary responsibility and duty lie as students undertaking the consulting project as part of their *academic* studies. According to the arguments presented so far, if the students delivered the sustainable plan despite the evidence that they had gathered, there would have been a lack of coherence, robustness and rigour from an academic perspective.

From a partial reading of the capability perspective, one might argue that the students should base their decision on what they have reasons to value. However, the analysis about basic needs suggest that to avoid academic poverty certain basic academic needs (such as adhering to standards of coherence, robustness and rigour) are required despite the intentional choice of the students. Furthermore, if one presumes that the students had the basic capabilities to meet those basic academic needs (as mentioned above), then they were not in academic poverty as such. However, if despite their basic capabilities, the students had chosen not to meet those basic academic needs then they would have put themselves in a state akin to academic poverty, that is, in a state akin to not having the basic capabilities

to meet those needs.

The reflections on basic academic needs also draw on discussions in the literature about universities that adopt a ‘corporate’ or ‘consulting’ approach, using an associated language of ‘leadership’, ‘strategic objectives’ and ‘performance indicator’, and thereby raising concerns about academics compromising their ‘freedom to teach and pursue the truth’, ‘scholarship’ and ‘collegiality’ (Evans 2002: 108; see also Burnes *et al.* 2013). Such discussions in the literature point to the possibility that pursuing the truth might also matter as a basic academic need. Another basic capability in academia would thus be the ability to pursue the truth.

Following Einstein, ‘truth’ matters. He argued that an academic not only has a right ‘to search for the truth and to publish and teach what one holds to be true’ but she also has ‘a duty; one must not conceal any part of what one has recognized to be true’ (quoted in Rosnick 2006, as mentioned in Sugden 2013). That would imply, for example, an academic restraining herself from only disseminating research results acceptable to a funder, a requirement contrasting starkly with the experience and threat of university commercialisation described by Bok (2003). This might suggest that the undergraduate students working on the consultancy project restrain themselves from preparing and presenting a sustainable plan that is anti-thesis to the pursuit of the truth simply to meet the demands of a so-called client. Accordingly, the proposition in this chapter is that searching for and disseminating the truth, and not concealing the truth might be considered as basic academic needs and that academics should have the capability to fulfill

those needs.<sup>67</sup>

Similar implications might be drawn from Furedi (2004), pointing to the concern that Aristotle and Rosa Luxemburg have with the truth, and being ardent about it himself in refuting other, recently prevalent guiding concerns for intellectual activity. However, a perhaps more nuanced view is taken by Graham (2005). He refers to the ‘*spirit of the truth*’, by which he means ‘the belief that intellectual inquiry should be allowed to go where it will at the instigation of those gifted at intellectual research and teaching’ (*ibid.* 163). This allows for truth as a contestable notion, which is in line with a significant body of literature.<sup>68</sup> It is also in keeping with the way in which the capability approach as advocated by, for example, Sen and Alkire avoids both prescription and the loss of possibilities, in the sense that there is no

---

<sup>67</sup> Having a basic capability implies that the academic researcher has a choice about whether or not to meet a basic need. For example, an academic researcher has a choice about whether to conceal the ‘*spirit of the truth*’ for legitimate reasons. If an academic researcher conceals the *spirit of the truth* that involves her intentional choice about what she might have reasons to value. An academic might legitimately conceal the *spirit of the truth* because not doing so would imply endangering the lives of others and she has reasons to value protecting the concerned people from mental or physical harm. This will still lead to a state of academic poverty but it implies that the responsibilities of academics are not only to academia, and legitimately there could be more significant concerns than academic poverty.

<sup>68</sup> See, for example, Rorty (1991: 1) on Deweyan perspectives and critiques. He interprets Dewey as “saying that it suits [a democratic] society to have no views about truth save that it is more likely to be obtained in Milton’s ‘free and open encounter’ of opinions than in any other way.” Such an encounter resonates with the focus in the capability approach on public debate and reasoning, a characteristic that we comment upon in due course. More generally on truth, see Williams (2002: 7) on the “need to take seriously the idea that to the extent that we lose a sense of the value of the truth, we shall certainly lose something and may well lose everything.” For him, “the two basic virtues of the truth” are what he calls “Accuracy” and “Sincerity” (*ibid.* 11).

prescription about what represents truth (or not).<sup>69</sup>

Especially important, basic academic needs contrast with the valuable doings and beings of other researchers. Consider, for example, a corporate employee undertaking a systematic investigation to collect information on use of the corporation's products. That researcher would likely have a responsibility towards the corporation that might imply suppressing – including not publishing – research results. This is alluded to by an exceptional case, that of Jeffrey Wigand, formerly Vice President for Research and Development at Brown and Williamson, a large US tobacco corporation. Despite being subjected to confidentiality and non-disclosure agreements, he testified that tobacco companies were aware of the harmful effects of nicotine. Before testifying, Wigand was dismissed by Brown and Williamson.<sup>70</sup> Consider also a researcher campaigning against the harmful effects of tobacco; searching for and publishing the spirit of the truth might not be her concern, if she concluded that her cause was served by, say, publishing extreme, outlier cases rather than the results of a large-scale, rigorous study. That is not to suggest that her work would have no value. It is to indicate that, were it undertaken within a university, there would be academic poverty.

A perhaps especially pertinent illustration is provided by so-called action research, a set of approaches at the core of concerns about the relations

---

<sup>69</sup> Consider the critique by Alkire (2002) of prescriptive lists in contributions by Nussbaum, and the view of Sen (1993; quoted in Alkire 2002: 29) regarding “a positive value in an incomplete theory.”

<sup>70</sup> *The Courier-Journal*, 25 May 1997.



between academia and society, and that engage ‘those who might otherwise be subjects of research or recipients of interventions . . . as inquiring co-researchers’ (Reason and Bradbury 2008: 1). A serious difficulty for academics applying action research is that it tends to collapse all researchers and practitioners into a borderless community (Reason and Bradbury 2008; Walsh *et al.* 2008) thereby threatening to precipitate basic academic needs. Consider Levin and Greenwood (2001b), viewing action research as a Deweyan democratic process (see also Wadsworth 1998). The values of Deweyan deliberative democracy include the desire to find a consensus (Sacchetti and Sugden 2009), and whilst consensus might be desirable, *having* to reach it would violate a basic academic need. The spirit of the truth is not necessarily *sought* or *published* through consensus. Yet it might be *concealed* through consensus.

I refer to the inquiry in the context of YoungArts for an illustration. In the Knowledge Transfer Partnership between ArtsCentre and the University, the pressure to reach consensus posed real threats to the conduct of inquiry. The academic research involved conducting focus group discussions with the young people in YoungArts at the end of the project. The YoungArts evaluation officer asked to be present at those focus discussions and to do a video recording of the interactions. Being aware of the young people’s hesitant attitudes in expressing their views and their perception of truth in front of the staff of YoungArts and ArtsCentre, I explained that I needed to talk to the young people in private and I provided the reasons to the evaluation officer and project manager. Some people in ArtCentre considered that refusal to be inconsistent with the spirit of ‘knowledge

exchange'. Throughout the project, my concern with the spirit of the truth (as a basic academic need) in the research proved to be a challenge, in the sense that some practitioners in ArtsCentre lacked understanding of, or respect for, particular academic judgments. That appeared to be associated with tension about methods and values of doing things.

For example, concerns were raised by some people in ArtsCentre about the rich picture session I did with the young people (refer to Chapter 3). They found the session quite intense and emotional because of the strong (and somewhat problematic) views that the young people expressed about the project and especially about the management of the project. In the opinion of some staff members, as a facilitator I should probably have discouraged such reactions. In the words of a senior manager, if she were there she would have put a stop to the 'negative' discussion. However, as the administrator of YoungArts mentioned to me the discussion of the young people (and how they felt about YoungArts) in the rich picture session was not a surprise to her and other colleagues. The rich picture created a situation where YoungArts management could not overlook the evidence.

To reiterate, a proposition that is put forward in this chapter — academic poverty arises when an academic is not capable of adhering to standards of coherence, robustness, rigour; and is not capable of searching for and disseminating the spirit of the truth; and is not capable of not concealing any part of the spirit of the truth.

## ***7.5 Reason to value and freedom***

In this chapter, I have argued that the capability approach lays stress on alternative achievements for an academic, from amongst which she can choose. The approach views these alternatives as opportunities, and for Sen (1999, 2009/ 2010) real opportunities must be achievements that a person values, with reason. He contends that the assessment of the personal state of the individual should not merely count the opportunities that she has available, irrespective of whether or not she finds them valuable (Alkire 2005).

Moreover, Sen suggests the possibility of extending the analysis beyond a self-centred consideration of the person, because she may value other things than her own well-being or goals. Following Sen (1985/ 1999), define:

$v_{it}(\cdot)$  = the valuation function that converts an academic functioning  
into a *direct value for academic i at time t*

Then, the value of the functionings vector  $b_{it}$  is given by  $v_{it}(f_{it}(c(x_{it})))$ . This can be thought of as an academic value, but as Sen (1985/ 1999: 9) argues it cannot be assumed that  $i$  will choose the maximum value of  $v_{it}(\cdot)$  that she has available, 'since maximising one's own wellbeing may not be the only motive for choice.'

The sorts of doings and beings an academic might value include, for example, contributing to the public good; critical examination of societal and individual needs, wants and desires; contributing to cultural, social and civic development; being expert in dealing and interacting with the world; survival in a market system (Biesta 2011a, 2011b). Such capabilities might embrace changing relations between academia and society. They might include interaction with people outside of academia so as to innovate ways in which knowledge is produced and created (Biesta 2011a).<sup>71</sup> Moreover, other concerns such as having a significant impact on the development of corporations and other business organisations (Pfeffer and Fong 2004) might be valued.<sup>72</sup> However, as argued in the previous section, with this as with other valuable beings and doings an academic would need to satisfy certain basic academic needs in order to avoid academic poverty.

The breadth of these possibilities illustrates the plurality of the capability approach for the likes of Sen and Alkire, and indeed they view it as open, without a predetermined, finite set of relevant beings and doings (Robeyns 2011). As Alkire (2002: 8-9; emphasis in original) contends:

the *definition* of capability does not delimit a certain subset of capabilities as of peculiar importance; rather the selection of capabilities on which to focus is a *value judgement* (that also depends partly on the purpose of the evaluation), as is the weighting of capabilities relative to each other.

---

<sup>71</sup> See also Rynes *et al.* (2001) on the knowledge of practitioners; Sacchetti (2004) on each person possessing unique knowledge.

<sup>72</sup> Recalling the argument in Section 7.4, with this as with other valued doings and beings, basic needs regarding the spirit of the truth would have to be met to avoid academic poverty.

Quite how this value judgment is to be made is the subject of much controversy in the capability literature (Robeyns 2011), but especially interesting to the academic context is the stress that some have placed on discussion and deliberation. Consider Alkire (2002: 13), calling for ‘explicit scrutiny and public discussion over time’. Alkire’s recount of the case of education in Pakistan (which I mentioned earlier in the ‘Introduction’ to the thesis) provides an illustration of the significance of public discussion. Gross enrolment of school-age children is 53% for boys, 27% for girls. ‘There is, quite understandably, a government programme to provide for primary education in general and girls’ education in particular. But how does that translate into the micro level? In practice, the need for girls’ education is not uniformly understood *or valued*’ (*ibid.* 172). As a consequence, she argues, social organisers attempt to motivate parents to keep schools open, in part ‘by tireless discussions to convince parents of the value of girl’s education’ (*ibid.*).

Consider also Sen (2009/2010: 241), suggesting that public reasoning may be a way of making valuations ‘more robust’; and Sen (1999: 78-79) emphasising the need for a group of people to exercise their reasoning, and to discuss and reach ‘a democratic understanding and acceptance’ with each other in order to make social choices. Sen recognises that there might be complications and disagreements in the context of public reasoning and discussion. Consider the following:

The ideal of public reasoning is closely linked with two particular social practices that deserve specific attention: the tolerance of different points

of view (along with the acceptability of agreeing to disagree) and the encouragement of public discussion (along with endorsing the value of learning from others).

Sen (2003: 31)

It is for a group of academics working together to discuss, explore, analyse and determine their reasons to value particular academic capabilities.<sup>73</sup> The group of academics might also value public discussion about their capabilities with others in society, bearing in mind that disagreements among the academics and between the academics and others should be respected. A corollary is that, without reasons, they should not simply accept the value judgments of another, be that an institution (e.g. a market) or a person (e.g. the author of this thesis, a university vice chancellor, head of a school or professor). This is in the spirit of Sen's view that people should be able to determine for themselves what they consider as valuable, and hence the incompleteness of the capability approach (refer to Chapter 2).

These arguments are inextricably linked to the freedom of the academic. Sen (2009/2010: 231-232) describes the capability approach as focusing 'on the freedom that a person actually has to do this or be that – things that he or she may value doing or being'. Similarly for Alkire (2002: 6), 'capability refers to a person's or group's *freedom to* promote or achieve valuable

---

<sup>73</sup> The 'group' might be conceived at various levels, for example, within the department or school of a university, within a university as a whole, or within the universities of a particular country. The form of interaction within the group is also critical. On that, see the literature developing and applying the strategic choice framework to the organisation of socio-economic activity, including the organisation of universities in general and management and business schools in particular (Sugden 2004, 2011). That literature points to value judgments being thought of as strategic choices.

functionings'. The degree to which an academic or group of academics can achieve doings and beings that they have reason to value in research is, therefore, a measure of the extent of their academic freedom (and, following Sen 2009/2010, of their academic responsibility, accountability and duty).<sup>74</sup>

This conceptualisation is essentially positive (Sen 2002), that is, it posits the freedom to be 'a doer' and to do, including to decide upon, conceive and realise goals following a person's or group's 'own ideas and purposes' (Berlin 1969: 131). In the capability approach, freedom is essentially interpreted in its positive sense, 'as the person's ability to do the things in question *taking everything into account* (including external restraints as well internal limitations)' (Sen 2002: 586, emphasis in original; see also Sen 1984, 1985 and 1988). Sen relates this view of freedom to the characterization provided by T.H. Green: 'We do not mean freedom from restraint or compulsion . . . . When we speak of freedom as something to be so highly prized, we mean a positive power or capacity of doing something or enjoying something worth doing or enjoying' (Sen 2002: 586). Freedom as conceived in the capability approach relates to 'the real opportunity that we have to accomplish what we value' (Sen 1992/1995: 31).

As emphasised by Robeyns (2011), Sen conceives of such beings and doings in terms of effectively available, valuable options; in issue are opportunities that exist in a real sense, rather than merely formally or legally, and not

---

<sup>74</sup> For Sen (2009/2010: 19), "freedom to choose gives us the opportunity to decide what we should do, but with that opportunity comes the responsibility for what we do – to the extent that they are chosen actions. Since a capability is the power to do something, the accountability that emanates from that ability – that power – is a part of the capability perspective, and this can make room for demands of duty."

merely 'the number' but also 'the goodness of the alternatives' (1985/1987: 36). Thus an academic with an employment contract providing the right to undertake research on whatever she chooses as valuable has no such capability in practice if the employing university requires that, for promotion, she actually works on projects that raise private research funding and which she does not value. Moreover, she might find herself in a state of academic poverty if the conditions of the private research funding, for example by including a clause in the research contract, prevents her from pursuing a particular line of inquiry (which follows the spirit of the truth) that conflict with the interests of the funders. Even though the academic has the capability to pursue the spirit of the truth, she is in effect in a state akin to academic poverty if she chooses to act according to the conditions of the research contract (not least because legally she feels constrained to do so).

Compare the perspective on freedom in the capability approach with the Statement of Academic Freedom by Academics for Academic Freedom, proposing the principle 'that academics, both inside and outside the classroom, have unrestricted liberty to question and test received wisdom and to put forward controversial and unpopular opinions, whether or not these are deemed offensive'.<sup>75</sup> The Statement merely highlights a restricted set of doings: questioning received wisdom, testing received wisdom, putting forward controversial and unpopular opinions. Moreover, it avoids explicit

---

<sup>75</sup> From [www.afaf.web.officelive.com/AFAFStatement.aspx](http://www.afaf.web.officelive.com/AFAFStatement.aspx), the *Academics for Academic Freedom* website, accessed 6 September 2011. The quoted extract is one of two principles, the other being a negative freedom: 'that academic institutions have no right to curb the exercise of this freedom by members of their staff, or to use it as grounds for disciplinary action or dismissal'.



concern with reasons to value, in that sense being closer to views of academic freedom that centre on academics wanting, and wanting to do whatever they want.

Consider also the constitution of the Council for Academic Freedom and Academic Standards. It asserts the existence of the Council ‘to promote the freedom to teach and learn within the law, without fear or hindrance, subject to public scrutiny; and to defend standards, personal, professional and institutional, which maintain that freedom’.<sup>76</sup> Both in the Statement of Academic Freedom by Academics for Academic Freedom and the constitution of the Council for Academic Freedom and Academic Standards, academic freedom is mainly considered in terms of negative freedom, that is, ‘freedom from’ restraint. Those perspectives are narrower than the one presented within the capability approach because their focus is on a prescribed and narrow set of doings, without explicit reason to value.

## ***7.6 Concluding Remarks***

This chapter has proposed that — in the social sciences in a research-led university, doing academic research and being an academic researcher may be understood and evaluated in terms of the capabilities of academics. Such a capability perspective also enables the conceptualisation of academic poverty, which serves as a potential benchmark against which to consider particular realities. The argument is that the absence of capabilities to meet

---

<sup>76</sup> From [www.cafas.org.uk](http://www.cafas.org.uk), the Council for Academic Freedom and Academic Standards website, accessed 6 September 2011.

basic academic needs, such as the pursuit of the spirit of the truth, might create a situation of academic poverty. Furthermore, the intentional choice of an academic not to meet the basic academic needs though she has the capability to do so (perhaps because she chooses to act and behave as a corporate consultant and pursue commercial interests) leads to a situation akin to academic poverty. To conceive what those basic academic needs might be, I refer to the current debate around academia and to concerns, which have long preoccupied some academics such as truth and academic freedom (see also the introduction to Part IV).

It has been argued that discussion about academic freedom in social science research is critical, especially because market forces and support from governments, societies and businesses tend to be directed mostly towards research, which is utilitarian (Tight *et al.* 2007). As indicated earlier, academic inquiries that do not serve utilitarian purposes might be sidelined, discouraged or dismissed. This in turn limits the possibilities for research and what academics are actually able to be and do (thereby affecting academic freedom).

The concept of freedom is central in the capability approach. Capabilities actually refer to the extent of freedom that a person or groups of people have to achieve valuable functionings (Alkire 2002). Capability is not about freedom or opportunities that one might have 'theoretically' or 'legally'; what matters is whether the person can do and be what she has reasons to value in reality (Alkire 2005). The emphasis is also on the extent to which a person

can really exercise freedoms, if at all, rather than on their freedom (or lack of) per se.

The capability approach does not have a singular focus of valuation and Sen does not tell people which functionings they should consider as valuable (Qizilbash, 2008).<sup>77</sup> People should be free to determine for themselves what the objects of value are (in the evaluative space of functionings and capabilities). It is in this spirit that the consideration of the capabilities of academic researchers is presented in this chapter. Furthermore, the suggestion is that each academic, as a responsible being, should be free to evaluate reasonable objects of value, in planning, conducting and disseminating research. However, while the capabilities approach puts the focus on people's reasons to value (and the implicit intentional choice involved), it also stimulates reflections about potential basic needs in academia that should be met, despite one's intentional choices.

A critical argument of the capability approach is that human flourishing should be the objective of development rather than measures of well-being such as utility. Alkire (2005b: 120) writes:

[I]n assessing human development, a focus on achieved functionings alone, like a focus on utility, is incomplete. It does not necessarily incorporate the freedom to decide which path to take, or the freedom to bring about achievements one considers to be valuable, whether or not

---

<sup>77</sup> Qizilbash (2008) attributes this openness of the capability approach to Sen's liberal and pragmatic views. This also explains, in part, why Sen refrains from defining one fixed list of capabilities.

these achievements are connected to one's own well-being or not (reducing national carbon emissions, for example).

Following this reasoning, I suggest that in academia one should not focus solely on achievements or usefulness of research but also what academics are able to do and be, now and in the future. With this in mind, it is important not to focus the assessment of academic research on current measures of achievement such as publishing records and funding achievements (as in the REF in the UK) only. Moreover, there is a risk that those measures be considered as the end or objectives of academic research. To avoid such pitfalls, it is necessary for academics to explore and discuss the richness of doing academic research (and associated activities) and being an academic researcher, with full consideration of the related responsibilities and consequences.

A perspective on the capabilities of academic researchers allows for a plurality of focus in terms of what an academic has reasons to value, which might include explicit concerns about society. In having that plurality of focus, it is crucial that academics ensure that basic academic needs are not threatened.

As proposed in this chapter, the conceptualisation and evaluation of academic research is a question about academics determining what they have reasons to value (not necessarily for themselves but also for society), for example through discussion and deliberation, and their ability to achieve valuable beings and doings. It is also about determining what might

constitute academic poverty and what academics are required to, in terms of fulfilling basic academic needs in order to avoid that poverty.

Reiterating an important point, I suggest that when evaluating academic work, one might look at what academics *have reasons to value* and their ability to achieve valuable beings and doings, rather than some ‘mechanical intermediary variable’ (borrowing a phrase from Alkire 2005: 120) such as how many academic papers have been published, in what journals, and using what external funding, imposed by academic peers, policy-makers or others (see also Parker and Jary 1995).

By looking at the capabilities of academics, this chapter not only explores the underlying concern of this thesis, namely the real opportunities that people have reason to value; it also suggests an alternative to narrow assessment of academic work and introduces the novel notion of academic poverty.

## **CHAPTER 8**

### **QUALITIES OF PLAY**

‘[. . .] play is the laboratory of the possible’

(Henricks 2006:1)

‘[Play] imparts meaning to [. . .] action [or an act]’

(Huizinga 1944/1949: 1)

I came across the concept of play and realised its relevance for the thesis as part of the journey of inquiry, which began with my experience in the context of the socio-cultural project, YoungArts. My experience in YoungArts was shaped through my interaction with the participants (artists, young people, managerial staff, among others), their collaborators (funders, educators, etc.) and the associated content (in its various forms — artistic, academic, managerial, business, social and political) in the context. In that respect, the topic of play first emerged through my interaction in the context of YoungArts. This reflects key points made earlier in the thesis (see Part I and II) about the conduct of inquiry and my methodological approach. For example, based on an understanding of Dewey’s writings, I pointed out that things or situations in an inquiry are to be experienced.

As a KTP Associate, I had the opportunity to attend various artistic performances (in the form of theatre, contemporary dance, music shows, etc.). In effect, on many occasions, I was observing and/or experiencing (in a

Deweyan sense, see Chapter 1) play. During the KTP, I also had conversation with one of the drama artists (who works in the organisation that directed YoungArts, that is, ArtsCentre) about the significance of play not simply for so-called arts' sake but also for educational projects with young people. We discussed about how the young people seemed to be able to explore their ideas freely and yet focus their energies in the various artistic performances, through play. In contrast, the participation of the young people in the other aspects of YoungArts, such as in the three core groups, seemed more restrained in some aspects and also more problematic (see Chapter 6). At that point in the PhD, I was reading Dewey's writings, especially to understand the process of inquiry.

Dewey also writes about play (in particular children's play) among the various issues that he has covered. He studied play in terms of its possibilities for educational reform and because 'play also served them [Dewey and Mead] as a model of action that was subject to little pressure to achieve unequivocal ends' (Joas 1993: 21). In relation to play, it is considered that under constraints (self-imposed or by others), individuals can focus their impulses and sensibility and enhance their capabilities to achieve a particular line of action. I often observed in YoungArts that the young people had difficulties to focus their impulses and sensibilities in order to plan and deliver their aspirations for the project and for their personal future. This made me question whether play could have enabled those young people to overcome or avoid those difficulties and enhanced the real opportunities for them to develop their aspirations and capabilities.

Those considerations about play brought up critical reflections about its significance and the following question: To what extent should constraints be exercised? Moreover, which forms of constraints are desirable (or not) in order to enhance capabilities? Should constraints be self-imposed or imposed by others? My reflections were not only in relation to the issue of aspirations in YoungArts but also more broadly about what I was doing and its relevance for academic research. This links to the notion that thinking is a form of action, and that reflection and thinking do not occur simply within the confines of the mind (refer to Chapter 1). Echoing Dewey (1947), I suggest that the emergence of unanswered questions and problems in the course of inquiry in the context of YoungArts provided the ‘next, immediate directive’ for research. New working hypotheses emerge and are applied in new fields. In that sense, there is continuity in inquiry (Dewey 1938). These critical perspectives about inquiry, which underlie my methodological approach, have been discussed in Chapter 1.

Consistent with the above, in Part II of the thesis, I specified that my approach to research was kept flexible and open in order to allow for the emergence and development of rich conceptual arguments, methodologies and methods. Having such an approach made it possible to explore unforeseen connections between distinct issues (which might appear to be unrelated). Arguably, this might be considered as a strong aspect of my methodological approach.

What are the connections that I made with regards to play? Though this chapter focuses on the qualities of play, I point out (where appropriate) the



potential link between play and aspiring, and between play and developing capabilities. As mentioned in Chapter 6, there is a link between freedom to aspire and capabilities, in the sense that limited freedom to aspire might compromise real opportunities to achieve potential beings and doings that one might have reasons to value in future. Following the same reasoning, limited freedom to play might limit freedom to aspire, and in turn capabilities. To put it differently, the more real opportunities people have to play (because of its qualities, which I discuss later in this chapter), the more freedom they might have (and might exercise) to aspire and the more possibilities they might have to enhance their capabilities.

In this chapter, play is regarded as ‘something’ meaningful for people to engage in. Precisely what that ‘something’ is, remains open for debate. There are plural and diverse perspectives on play; it is considered as an activity, act, experience or interaction, mode of thinking, an attitude or spirit (Huizinga 1944/ 1949; Sutton-Smith 2001; Henricks 2008; Feezell 2010). Combining both a temporal (based on John Dewey’s notion of inquiry) and a spatial (based on Amartya Sen’s capability space) perspective, I approach the notion of play in terms of a process (that evolves and that might change or be revised over time), which contributes to the development of actual and potential beings and doings that one might have reason to value. This process not only provides insights on key issues discussed earlier (such as aspirations and capabilities) but it can also inform the development of methods and methodologies (which I attempted to do in the case of the Internationalisation Project).

As Dewey (1938) suggests, qualities help to discern one thing from another. Therefore, I frame my conceptual understanding of play around a critical discussion of some qualities that are considered essential such as rules, boundaries, absorbed interest, focus, state of 'flow', seriousness, and order and disorder. I evaluate the various forms and *qualities* of play in order to clarify what I conceive as play and what I do *not* conceive as play, especially in the contexts that are of interests to me in this thesis, academia and YoungArts (and similar socio-cultural contexts). Based on my inquiry about these essential qualities of play, I hold the view that in an ideal form, play is a process where the operations of the mind and body fuse in exploring possibilities for action. This is in line with Docherty (2013:65), who states that it is in play that sensibility is exercised through the engagement of the body with the mind in 'embodied learning or sense-making' (refer to Chapter 1).

There is also a growing management and organisation literature on play focusing on: 'humour' as a form of play (Power 2011) in organisations (see also Barsoux 1996; Collinson 2002 and references therein); play as a source of creativity in organisations (see Mainemelis and Ronson 2006 and references therein); role of play in leadership development (Kark 2011); and the relationship between work and play (Hunter *et al.* 2010; Ibarra and Petriglieri 2010; Kauanui *et al.* 2010). A major part of the management literature tends to focus on some forms and roles of play and its functional aspect. This chapter can potentially add to the existing management literature by providing a comprehensive understanding of play in terms of its *qualities*, and not only its functional role.

Why is it important to understand the qualities of play? It is important because it broadens and deepens the possibilities for how play can enhance people's lives at work and in society, for example through the organisation of a more creative environment, and the creation of real opportunities for individuals (employees, collaborators, etc.) to enhance their capabilities (and their motivations, performance, etc.).

To develop the arguments about the qualities of play, I draw from other disciplines. There has been considerable discourse on human play across disciplines such as anthropology, education, philosophy, psychology, biology and sociology (see for example, Huizinga 1944/ 1949; Csikszentmihalyi and Bennett, 1971; and more recently Sutton-Smith 1997; Henricks 2006; Feezell 2010). This chapter might thus represent a good source for researchers in management, who are interested in understanding the concept and significance of play from a multi-disciplinary perspective.

The chapter also offers insights about how play might be linked to concerns about aspirations (of young people) and capabilities (of academics). Such discussions might be insightful for example, for the emerging literature linking aspirations and capabilities (see for example, Hart 2013; Conradie and Robeyns 2014). With regards to the mainstream literature on capabilities, play is one element in the list of central capabilities that Martha Nussbaum has presented. Therefore, the discussion about play (in this chapter) might be of some interest to the literature on capabilities as well. There are also insights to be gained from this chapter in terms of the potential benefits of stimulating qualities of play in academia, not least in

countering challenges/risks to academic freedom. This chapter (as is the case for Chapter 7) also has import for issues about organisation and management of universities and academics, for example in terms of organisational culture and other work-related concerns (nature of work, motivation, etc.) for academics (and for others).

The section that follows, that is, Section 8.1 introduces the meaning of play. Section 8.2 then situates the common conception of play in society, including its various forms. I draw on some of the key elements in the literature to discuss the distinction that is drawn between the significance of child and adult play in the literature. There is also a sub-section on the management literature on play. In Section 8.3, I define essential qualities of play in order to provide a more comprehensive understanding of what play is. I suggest that those qualities of play might have relevance for enhancing people's capacity to aspire and their capabilities. Section 8.4 briefly discusses some other positive qualities that are often present in play but not always. In the literature, the concept of play is mostly idealised (Henricks 2006, 2008). For a comprehensive analysis, it is necessary to recognise certain problematic aspects of play. Thus, Section 8.5 covers aspects of play (especially those) that I consider as undesirable for the contexts that I study in this thesis. Section 8.6 provides some concluding remarks for this chapter.

## ***8.1 The meaning of play***

Huizinga (1944/ 1949: 7), who has written one of the most influential works on play, states that ‘play is a function of the living, but it is not susceptible of exact definition either logically, biologically, or aesthetically’.<sup>78</sup> Other scholars have also resisted defining the concept in an *absolute* way, not least because play occurs in diverse forms and contexts, and holds varied meanings.

For Henricks (2009: 38), ‘play lives in the space between order and disorder, between responsibility and freedom, and it draws energy from both’. I suggest that the intrinsic relationship between play and significant qualities (order and disorder; responsibility and freedom, which I discuss in due course) might enable people to make sense of (and shape) their experiences and realities. Play might thus have consequences in the broader contexts of people’s lives and not only in specific play situations. Consider the following by Henricks (2006: 8):

Play gives people a chance to shape the world — and to do so according to their own terms and timing. In such ways, play is seen as the triumph of personal motivation over public constraint [. . .] play is thought to be an energizer and motivator of subsequent conduct. We not only build ourselves in play; we conceive and administer social arrangements that guide the lives of others.

---

<sup>78</sup> Huizinga’s seminal work *Homo Ludens* (the man who plays), first published in 1938, is a study of play in culture.

Following from the above, I envisage that play has the potential to enhance the positive freedom (discussed in Chapter 7) of people, and enable them to exercise that freedom in order to shape their aspirations (the topic of Chapter 6) and their capabilities (the topic of Chapter 2 and 7). As mentioned in Chapter 7, freedom as conceived in the capability approach relates to ‘the real opportunity that we have to accomplish what we value’ (Sen 1992/1995: 31). This notion of freedom is regarded as ‘a positive power or capacity of doing something or enjoying something worth doing or enjoying’ (a characterization provided by T.H. Green, as mentioned in Sen 2002: 586). The discussion in this chapter shows that play can be directly linked to such notions.

## ***8.2 Situating play in society***

### *8.2.1 Play for children and play for adults*

Much of the literature on human play tends to be centred on the child (see for example, Wälder 1933 in Müller-Schwarze 1978; Pellegrini and Smith 1998; Russ and Christian 2011). In particular, play is considered as significant for the development of children and as ‘an expression of the developing physical, mental, and emotional capabilities’ of the child (Henricks 2006: 5).

For adults, play tends to be perceived mostly as a recreational activity or a distraction (Sutton-Smith 1997). Brown (2009: 145) writes ‘in addition to being pulled from play, we [adults] are pushed from play . . . [P]lay is seen as

something that children do, so playing is seen as a childish activity not done in the adult world'. He also suggests:

At some point as we get older . . . we are made to feel guilty for playing. We are told that it is unproductive, a waste of time, even sinful. The play that remains is, like league sports, mostly very organized, rigid, and competitive. We strive to always be productive . . . Sometimes the sheer demands of daily living seem to rob us of the ability to play [. . .] [S]keptics [. . .] might say if they truly gave in to the desire to experience the joy of free play, they would never get anything done. This is not the case [. . .] the truth is that in most cases, play is a catalyst. The beneficial effects of getting just a little true play can spread through our lives, usually making us more productive and happier in everything we do.

*(ibid. 6-7)*

The perception of play as less significant for adults than for children probably explains why play space and time for many people narrow down as they transit into adulthood.

Masters (2008: 861) indicates that the difference between adult play and child play lies in the full awareness of the adult of 'shifting from pretense to reality'. For many adults, play might thus become an activity that is entertaining but not really meaningful. I suggest that play might not necessarily be pretense and if it is, in the process of 'shifting from 'pretense to reality', people (children and adults) might retain 'something' meaningful and influential associated with play, for example in the form of emotions or new hopes and ideas.

In the academic literature, there is substantial evidence that play in the form of ‘pretend play’ is beneficial to the development of the child. It is reported that a child’s play through games often involves the arrangement of elements that she has experienced or observed in reality. For example, it has been argued that a child playing with a doll can be a representation of wanting to be ‘big and grown up’ or of taking care of a child like her mother does (Wälder 1933 in Müller-Schwarze 1978). These ‘wishes’ thus materialise through play. Wälder (1933 in Müller-Schwarze 1978) highlights that ‘the content of play is manifestly not a matter of indifference’ (212) and that during the course of the game an affect (or affective residue from the experience in reality) is being discharged or assimilated (213).<sup>79</sup> Consider the following by Freud:

The ego, which has passively experienced [a] trauma, now actively repeats an enfeebled reproduction of it, hoping that in the course of this, it will be able through its own action to direct it. We know that the child takes the same attitude to all impressions painful to him, reproducing them in the form of a game; through this manner of proceeding from passivity to activity he seeks to master mentally the impressions received from life.

(as cited in Wälder 1933: 214-215 in Müller-Schwarze 1978 )

It can be said that within the sanctuary of a constructed environment, such as a game, a child can make sense of her experience and can express her

---

<sup>79</sup> An affective residue can be interpreted as something that is retained from the play experience (within a confined arena) into the broader realms of the players’ lives. For example the emotional resonance of a play experience can act as a motivator for the player to perceive or do things in her life (differently perhaps).



emotions and wishes freely. In doing so, the child uses her imagination to reconstruct a new experience (which might differ from the actual one) in which she has a more active role. Vygotsky (1967: 7) suggests that:

The child's play activity is not simply a recollection of past experience but a creative working that combines impressions and constructs from them new realities addressing the needs of the child.

(as cited in Russ and Christian 2011: 238 )

From the intensity of certain play behaviour, the child assimilates certain aspects of her environment or even considers new possibilities that can shape her future behaviour in 'real-life' situations. The same is applicable for adults, that is, through play adults might actually be able to construct a new reality creatively through the interaction of their past experiences with new possibilities.

In play, such as in drama or rituals (see Huizinga 1944/ 1949), an adult might play a role that does not reflect her day-to-day 'reality'. Though after play the adult shifts back to 'reality', there are elements from the experience that she internalises. The internalisation occurs because of the possible interplay between pretense and reality over time. This interplay might allow people to make sense of things that happen in their realities.

Pretend play is most commonly discussed in relation to children. Dansky (1999) discusses the seven dimensions of original thinking that children demonstrate in 'high-level' play, including pretend play, namely associative

fluency, imagery, curiosity, fantasy, problem finding, metaphoric production and selective attention development (Russ and Christian 2011). Furthermore, Russ and Christian (2011) suggest that research on play and creativity that address issues such as problem solving, and fantasy can be linked to the concept of 'divergent thinking' introduced by J.P. Guilford, where people are encouraged to think more fluidly by making free associations between things (*ibid.*) or ideas that might seem unrelated. In the context of organisational research, Barsoux (1996: 505) has referred to humour as the 'very essence of divergent thinking'. He argues that humour enables detachment, which in turn helps managers to avoid getting stuck in a situation and to explore new ideas, associations and perspectives.

In Chapter 7, I highlighted that two academics might possess or have access to same resources (such as personal computer, books, analytical software, etc.) with similar features but they might each choose (or be able) to use the resources differently and thus achieve different functionings. Using the same illustration, I now consider how original thinking as described in play might be significant for the conduct of an inquiry. By adopting certain qualities of play, an academic might exercise dimensions of original thinking (such as associative fluency, curiosity, metaphoric production) that encourages her to make connections between ideas/concepts that she reads in a book, observations that she makes in the fieldwork, and other things that she might imagine and experience (not necessarily in the field of inquiry itself). This also links to the discussion about central capabilities in the introduction to this chapter, where I suggest that play might influence the development of other capabilities that Nussbaum (2011) mentions such as

the exercise of ‘senses, imagination and thought’, or relating to somebody else’s situation.

With regards to divergent thinking, Guildford uses the following example to indicate how people might be stimulated to exercise their creativity and imagination: ‘How many uses for a newspaper can you think of’ (as mentioned in Russ and Christian 2011: 239). In the Introduction, I consider the case that Alkire (2002) presents about primary education in Pakistan, in particular about the low enrolment ratio of girls in primary education despite emphasis of the girls’ education in the government programme. Thinking about another socio-economic development issue that Alkire (2002) presents about a Pakistani village, one could ask the villagers about how many uses they could think of for a piece of land available in the village. This might generate ideas and possibilities for shaping and realising their aspirations. In the case of the villagers in Pakistan the use of play seem to be essentially functional and the aspirations are not formed merely for individual purposes but also for the purposes of a collective. Issues might arise if the individuals in the village clash over diverging aspirations.

As discussed earlier in the thesis, public deliberation can help people to explore mutually valuable beings and doings and avoid conflicts. Also, care is needed in not misleading people in terms of providing false hopes through play. The idea of enabling people to develop their freedom or capacity to aspire through play is to provide a focused space and time *for them* to determine what their aspirations might be and not to determine aspirations for them. The same applies for developing other capabilities. Once play has

begun, people involved in the play activity are free to develop their own rules and share ownership and responsibility of the possibilities, challenges and ways forward for their aspirations and capabilities. Similarly to what I have discussed above, play in YoungArts might have contributed to benefits associated with divergent thinking for some of the young people and staff not only as individuals but also as a collective.

### *8.2.2 Play and culture*

Play might contribute to the capacity to aspire, which Appadurai (2004) argued is a cultural capacity (see Chapter 6) in terms of stimulating people's imagination and consciousness about what they value being and doing in society. For Huizinga play is intrinsically linked to culture in an 'almost living way' (Henricks 2006: 15) and it is considered as the originator of 'cultural consciousness' and 'creativity' (*ibid.*).

Huizinga (1944/1949) provides a series of examples where various activities in 'real-life' situations were imbued with play, such as tribal festivals (where rivalry between tribes was expressed in play at the festivals in the form of contests). Forms of play such as contests were used to settle issues such as 'inter-tribal feud', 'intra-tribal status struggle', or 'man's sickness' (Culin 1906: 566 as mentioned in Csikszentmihalyi and Bennett 1971).

Many North American games of chance were associated with rituals and

ceremonies<sup>80</sup>; and the games could last for days, accompanied with songs and incantations. The rites in those cultural practices were deeply connected to the hopes and wishes that the people had regarding their lives, for example to have a peaceful life. In essence, through rites (which represents ‘something acted’) people enact a drama (Huizinga 1944/ 1949: 14). The drama can be related to the interplay of pretense and reality (which I discussed earlier), that is, in enacting something in pretend play people might project their actual concerns and in turn they might internalise the representation of the act.

It has been argued that play holds a focal place in the development of societies, but that is no longer the case due to economic and political pressures (Huizinga 1944/1949, see also Sutton-Smith 1997). Huizinga has been quite critical of modern sports and how economic considerations (such as profitability and remunerations of players) and officialdom (for example league tables, training regimens and sponsorships) in sports have eroded the ‘culture-creating’ capacity (Henricks 2006: 20) of play in contests (such as running, diving, swimming, etc., see Huizinga 1944/1949: 196).<sup>81</sup> Building on Huizinga, Henricks (2006: 20) provides a succinct account of the ‘play-element in contemporary civilization’:

Although showcased in vast stadiums and arenas and followed with

---

<sup>80</sup> Dandridge (1986) advocates for the integration of play into work through ceremony in the context of organisations. His interpretation of ceremony is related to ‘ritualised events that are preplanned to occur in a designated time and place, and are accepted and desired by some participant group’ (163).

<sup>81</sup> Play can be competitive and the term contest that Huizinga (1944/1949) uses reflects that.

fanatical interest through radio broadcasts and newspapers, sport seems curiously isolated from the deepest human concerns . . . the sporting world has developed as an essentially profane diversion, guided by the technical and economic requirements of its sponsors.

Henricks (2006: 15) observes that now play has been ‘captured and marginalized’ by modern culture, and ‘stripped . . . of its possibilities’. Some play forms such as games (the Olympics, international chess tournaments, etc., see Csikszentmihalyi and Bennett 1971), drama and music have been, to some extent, institutionalised by cultures. For instance, while formal games are one of the forms in which individuals can play, it is not always the case that individuals actually experience play. One reason for this is that the cues (such as timer, buzzers, rules) given as stimuli for play in these games have become too structured and mechanised and might thus affect the play consciousness of the players (*ibid.*). The consequence is that ‘something of the pure quality of play is inevitably lost’ and that the ‘spirit of the professional [in sports] is no longer the true play-spirit’ (Huizinga 1944/1949: 197).

The above discussion on the institutionalised and mechanised form of modern play can be used as an analogy to depict the way economic and political pressures (including the trend for university rankings, REF, etc.) affect academic capabilities. In Chapter 7, it was suggested that university management and business schools that serve market fundamentalism (see Currie *et al.* 2010) necessitate (and generate) particular behaviours that might constrain academic functionings and capabilities. Similarly to how the

rigid structure of modern sports have eroded the play consciousness of players, one might argue that the consciousness of some academics about the consequences of their research and their responsibility to pursue the spirit of the truth (teach and publish accordingly) have been sidelined by a market approach in academia. In the process, the 'pure quality of play' in academia, that is to let an inquiry (and its outcomes) unfold on its own in the course of research, is under threat. I say more on the quality of play in academia later on.

Drawing on Huizinga (1944/1949), it can also be said that there is a hierarchical structure that is created in modern culture. An amateur sportsperson (for example) who does not perform at the same level as the so-called professional (in the top teams or leagues) might feel inferior within the hierarchical structure. This aspect of modern culture can be related to the case of YoungArts, where the organisational culture of ArtsCentre, with its rigid structures and hierarchical decision-making processes, impeded the play spirit of the participants. For instance, in Chapter 6, I discussed how the senior management in ArtsCentre often dismissed the ideas of its staff on the basis that 'this is not how ArtsCentre do things'. Thus, in YoungArts many staff (and young people) did not necessarily get the opportunity to explore new possibilities for doing things. Over time some staff and young people got discouraged by their inability to play with ideas, thoughts etc. in the context of YoungArts and they disengaged partially or totally with the project. As mentioned in Chapter 6, the cultural capital of ArtsCentre created a working environment that some staff reported as detrimental to the exercise of their creativity. Is play important at or for work? Moreover,

can work be play (or vice-versa)?

### 8.2.3 *Play at work, Work as play*

As a consequence of a wider shift in managerial ideologies and practices (towards a focus on human subjectivity) and the associated discourse about the contemporary culture of work, play is becoming more prominent in managerialised organisations (Fleming 2005; Costea *et al.* 2007). On one hand, it is argued that play at work provides an escape or diversion from the boredom of work (Abramis 1990; Mainemelis and Ronson 2006). A common reference is the study by Roy (1959) about how ‘talking, fooling and fun’ with a small group of factory co-workers made work more ‘livable’ during the long hours spent doing monotonous, simple and repetitive operations. On the other hand, there are authors that advocate play as ‘a way of engaging with work tasks’ (Mainemelis and Ronson 2006: 84-85). Play — as engagement is perceived as fostering creativity and positively affecting the motivations and cognitive behaviours of workers — which are important for the creative process (see also Sorensen and Spoelstra 2011).

It is argued that play is no longer considered as ‘a secondary aspect of life; it is pushed into a central position as an ultimate modality of mobilising organisational and personal resourcefulness. A reappraisal of the cultural-ethical value of play has occurred leading to its transvaluation as a mode of being at work’ (Costea *et al.* 2007). Thus play seems to be moving to a more central and meaningful place in both the personal and organisational sphere. This is characterised by explicit efforts to integrate play in work



(Kauanui *et al.* 2010) or even ‘reconfigure’ or ‘represent’ work as play (Costea *et al.* 2007).

Experimental research on ‘play in work’ has shown that tasks characterised as play generated a more creative and complex performance than tasks, which are framed as work (Abramis 1990). Furthermore, when people consider the task as play, the focus is on the process. In contrast, when the task is considered as work, the focus is on end results/outcomes (see also, Dandridge 1986; Ibarra and Petriglieri 2010). The importance of play in stimulating creativity in the workplace is well recognised (Mainemelis and Ronson 2006 and references therein).

In the contemporary organisational context, play is typically perceived in the form of fun or humour, which serves as a tool to manage culture. Organisations seek to secure commitment and engagement; and stimulate the motivation, and creative potential of their workers through play (see Fleming 2005; Bolton and Houlihan 2009). Moreover, workplace ‘humour’, or ‘fun’ is seen as being influential and instrumental in ‘encourag[ing] productivity’, ‘build[ing] momentum’ for organizational change and reinforc[ing] a sense of belonging to something worthwhile’ (Collinson 2002: 278).

As Bolton and Houlihan (2009) note, fun which is a key aspect of organisational life can emerge from organic social interactions and be ‘autonomous and collective’ but it can also be ‘manufactured’ (see also Plester 2009). They further highlight the following:

The idea of packaged fun draws on an implied (but discretely unspecified) link between play, fun and laughter and increased corporate performance, in the forms of motivation, creativity, job satisfaction and even staff retention. Yet, though heavily implied, such links are empirically unexplored. The pursuit of productivity inspired by the loose belief that happy workers make productive workers appears to invoke an equally loose assumption that workplace fun delivers happy workers [ . . . ]

(Bolton and Houlihan 2009: 557)

There is a sense that organisations are trying too hard to fabricate so-called fun situations (and unsurprisingly more so to contribute to the work of the organisation and less so for the well-being of employees, for example) in the hope of enhancing productivity and performance, among other things. However, as mentioned in Fleming (2005), employees are not necessarily fooled by the antics of management in those organisations. In a field study in a call centre, Fleming observed that some employees were cynical about the fad of ‘making work fun’. This is in part because of the particular approach to “manage” fun at the call centre, which some employees perceived as ‘condescending’ and ‘inauthentic’.

The link between play (or playfulness) and fun (as well as humour, laughter, etc.) is not always obvious in the management literature. There seems to be a tendency to conflate fun and play or fun and humour, etc. Few studies (see for example, Barsoux 1996; Pestler 2009) clarify what they mean by fun, humour and play. For example, Plester (2009) points out that the definition of fun includes ‘elements of activity, enjoyment, pleasure and frivolity and

may also be associated with the idea of play (Dandridge 1986; Costea *et al.* 2005)' (585). This implies that not everything that is fun is necessarily linked to play. But it is still not clear why or when fun is associated with play. Many studies pass over questions that need to be asked. For example: Why is fun characterised as play and on what basis? Answers to such questions are especially important if arguments about play are used to explain or justify 'manufacturing' or 'managing' fun in organisations.

Perhaps as Kark (2011) has reported in studies about the role of play in leadership development, there is a lack of theoretical underpinnings. A similar view is echoed in Mainemelis and Ronson (2006). Consider the following:

Despite its role in the economy, and despite the fact that other social sciences have long associated it with individual and social creative functioning, play usually appears in our literature only as an auxiliary or ill-defined construct. As a result, a number of important questions have not yet attracted systematic research attention. What is play in the context of an organization? What are its elements and manifestations? What are the consequences of play for organizational life?

(Mainemelis and Ronson 2006: 82)

I do not address all of the questions above. Nevertheless my contribution in this chapter in terms of the conceptual discussion about the nature and qualities of play might be a significant contribution to the management literature. It might provide a reference for researchers to critically assess

whether what they observe in organisations is actually a form of play. The links I make between aspirations and play; and capabilities and play might also offer insights on the role of play in enhancing real opportunities for people to achieve valuable beings and doings.

Prevalent debates in other disciplines (such as philosophy and sociology) on whether work can be play or whether work is the opposite of play (see Henricks 2006; Brown 2009) provide some conceptual insights about play and work. Caillois (1961) claims that, *in contrast* to work or art, play does not create wealth or goods.<sup>82</sup> In play, property can be exchanged but this only affects the players, and only to the extent that they accept the exchange (*ibid.* 5). Play might not necessarily create wealth or goods but it does create ‘something’. In some forms of play, as Caillois (1961: 6) himself points out, ‘the player devotes himself spontaneously to the game, of his free will and for his pleasure, each time completely free to choose retreat, silence, meditation, idle solitude, or *creative* activity’ (*emphasis added*). The resulting state of mind and set of actions from play can lead a person to create something tangible, and valuable.

What distinguishes play from other activities is considered to be its experiential nature. Play has an autotelic quality, that is, it is ‘rewarding in and of itself’ (see Csikszentmihalyi and Csikszentmihalyi 1988). In that spirit, work (in some cases) can be play, if it has autotelic qualities and if it is

---

<sup>82</sup> In *Man, Play and Work*, Caillois discusses particular forms of play, namely related to games (of chance, athletics, etc.). While his work helps to distinguish between games and ‘other freer forms of play’ (Henricks 2010), it is important to keep in mind the specific context in which he explores the concept of play.

not crowded by anxieties or boredom, which prevent the individual from immersing herself in the activity for its own sake (see Csikszentmihalyi and Bennett 1971 for the distinction between states of boredom, anxiety and play). For example, a visual artist might start playing with colours and textures and the experience/outcome of which might result in developing an artistic piece (whether the end game or product be considered a commodity or not). Along the same lines, an academic might start playing with the meanings of a concept and might subsequently carry out an empirical study in real-life settings and/or write a paper/chapter. Brown (2009) provides anecdotal evidence of 'work as play' in the case of some researchers and engineers.

For Dewey, the common distinction made between play and work on the basis that the former is goal-free (Joas 1996/ 2005) is unfounded (see also Mainelis and Ronson 2006). Dewey considers that play involves goals 'in the sense of an inner regulation of action' and that it 'often requires exceptionally sharp concentration [. . . which] deeply preoccupies' the person as it is not composed of random actions (Joas 1996/ 2005: 155). Moreover, the goals associated with play are not set by external factors, against one's will. Rather 'play can be said to be free' because the players are able 'to abandon or redefine the current goals if their actions no longer promise fulfillment' (*ibid.*). Consider also the following:

Both (work and play) are equally free and intrinsically motivated, apart from false economic conditions which tend to make play into idle excitement for the well to do, and work into uncongenial labor for the

poor. Work is psychologically simply an activity which consciously includes regard for consequences as part of itself; it becomes constrained labor when the consequences are outside the activity as an end to which activity is merely a means. Work which remains permeated with the play attitude is art [. . .].

Dewey (1916/1969: 241-2), quoted in Joas (1996/2005: 155)

Work and play need not be detached from each other. The differences emerge between the two (work and play) when the activity (or action, as Joas writes) is subjected to external constraints and prescribed ends. For play, goals tend ‘to emerge in the course of the action itself but . . . [these] can also be revised or abandoned’ (Joas 1996/ 2005: 156). For work, goals are usually pre-determined and shaped by external constraints. Even in work there might be some outcomes that are unknown. For example, an academic might have to teach and one of the pre-determined goals might be to ensure that the students have significant ‘learning opportunities’ related to the topic taught. The learning opportunities themselves however might emerge in the course of the lectures through the interaction with the students on the topic. Thus play *might* also be a part of work. It is important to note that I embrace the notion that play is not just an attitude and that for ‘something’ to be considered as play, there are certain elements that need to be defined. This argument may become clearer later in the discussion.

### ***8.3 Essential qualities of play***

It is important to contextualise play and to highlight its essential qualities,

not least to clarify what is considered as play. The discussion of those qualities builds on influential theoretical work on play and helps to frame play conceptually.

An essential quality of play is that it is unpredictable (Henricks 2008), which is probably why many people consider play as fun, exciting or challenging. In his analysis, Caillois (1961/ 2001) defines play as being essentially uncertain. For him, the course that play will take (and its outcomes) cannot be predetermined.

Indeed in common parlance, the response as to why people play is usually 'for fun' (see Csikszentmihalyi and Bennett 1971). Especially when it is intrinsically motivated, play tends to be associated with 'fun' (see Sutton-Smith 1997). However, play cannot be simply reduced to fun. Huizinga (1944/ 1949: 2) writes: 'what actually is the *fun* of playing'. Posing this question implies that the action involved in playing is connected to fun but also to *something else*. Whilst the notion of *something else* might not be easily expressed in concrete terms, it exists nevertheless.

All play essentially means something for the player that goes beyond playing for 'abreaction', having fun, relaxing, spending excessive energy or 'wish-fulfilment' (Huizinga 1944/ 1949: 2).<sup>83</sup> Thus to think of play only in terms of fun, relaxation, etc. is misleading.

---

<sup>83</sup> Abreaction is a term used in psychoanalysis to refer to 'an outlet for harmful impulses' (Huizinga 1944/ 1949), such as the release of repressed or traumatic emotions.

### *8.3.1 Seriousness and the mental condition in play*

In his discussion of play theory, Dewey (1934) points out that ‘no one has ever watched a child intent in his play without being aware of the complete merging of playfulness with seriousness’ (291). Huizinga (1944/ 1949: 45) also notes: ‘[. . .] seriousness seeks to exclude play, whereas play can very well include seriousness’. This point about play involving seriousness is important because often people perceive play as lacking seriousness and this might be one of the reasons why often adults disregard the significance of play or are discouraged to play.

There has been some recent work in organisational research on ‘serious play’ as practice (for example in developing innovative strategy content or product designs) and on creating conditions to nurture such play (see Statler *et al.* 2011). However, the notion of serious play in organisational research is conceived in terms of a dichotomy between work and play, it refers to activities which are “fun” and differ from work but which benefit the organisation nevertheless (Sorensen and Spoelstra 2011).

Building on Dewey (1910; see below) and Huizinga (1949), I consider play as a process that involves the serious interaction between mental and physical elements that might have significant potential in enabling people to develop their capacity to aspire and capabilities. For example, if the participants in YoungArts had been encouraged to engage in free play and to let their imagination unfold then the outcomes of the project might have been different and more beneficial. As mentioned in Chapter 6, some members of



staff involved in YoungArts felt that their creativity and performance at work were thwarted because new ideas and ways of doing things were not necessarily valued in the organisation.

An emphasis on the exercise of the *mind* in play is found in the writings of Huizinga. He states: 'in acknowledging play, you acknowledge mind' for 'play is not matter' (Huizinga 1944/ 1949: 3). Furthermore, Huizinga writes that 'play only becomes possible, thinkable and understandable when an influx of *mind* breaks down the absolute determinism of the cosmos' (emphasis in original). One might say that play involves an interaction with physical elements but it also goes beyond the bounds of those physical elements (*ibid.*).

Dewey (1910) provides an important perspective on play and seriousness. He considers that an ideal mental condition is defined by both play and seriousness. Consider Dewey (1910: 218 -219):

To be playful and serious at the same time is possible, and it defines the ideal mental condition. Absence of dogmatism and prejudice, presence of intellectual curiosity and flexibility, are manifest in the free play of the mind upon a topic. To give the mind this free play is not to encourage toying with a subject, but is to be interested in the unfolding of the subject on its own account, apart from its subservience to a preconceived belief or habitual aim. Mental play is open-mindedness, faith in the power of thought to preserve its own integrity without external supports and arbitrary restrictions. Hence free mental play involves seriousness, the

earnest following of the development of subject-matter. It is incompatible with carelessness or flippancy, for it exacts accurate noting of every result reached in order that every conclusion may be put to further use. What is termed the interest in truth for its own sake is certainly a serious matter, yet this pure interest in truth coincides with love of the free play of thought.

A particularly important point that Dewey (1910) makes — ‘pure interest in truth coincides with love of the free play of thought’, has resonance for the discussion on the capabilities of academic researchers, especially on basic academic needs. In Chapter 7, I put forward the hypothesis that to avoid academic poverty, an academic researcher has to be able to fulfill basic academic needs such as being able to conduct an academic inquiry and publish the key findings in line with the spirit of the truth, among other things. Moreover, I argued that the extent to which an academic researcher can accomplish what she has reasons to be and do relates to a measure of her academic freedom, responsibility, accountability and duty.

By engaging in mental play, and enabling ‘the power of thought to preserve its own integrity without external supports and arbitrary restrictions’ (as Dewey 1910 states), an academic researcher might not only allow for an academic inquiry to develop seriously, and in line with the spirit of the truth, but she might also give free reign to ‘her own ideas and purposes’ (Berlin 1969: 131), and conceive and realise valuable functionings (refer to the discussion on capability in Chapter 7) through the exercise of play qualities such as intellectual curiosity, open-mindedness, imagination.

It is important to note that an academic might engage in the pure quality of play *with* other people, as long as the basic academic needs are maintained. The valuable functionings of an academic are in effect informed by her interactions with the environment and with other people, and she might value doing things that will contribute to the development of society. For example, an academic might be concerned with the development prospects of the region she lives in, and might value collaborating with policy-makers, entrepreneurs, and other actors to find and implement new ideas to create or stimulate local economic and social activities.

With regards to learning and teaching in academia, consider Docherty (2013: 66):

Play is central to learning and to teaching; for, in play, we exercise imagination and we explore possibility; we take the ‘what is’ and ask ‘what if’ instead. Play allows us not only to imagine the world and ourselves as other than we are, but actually to become other than we are.

In a similar line of thought to Docherty (2013), Dansky (1999) asserts that ‘the ‘as if’ frame in play may open the door to a mode of problem solving where one can play with ideas and possibilities, which is so important in creativity’ (Russ and Christian 2011: 238). Relating to my earlier point about original and divergent thinking, I propose that adopting an explicit frame of mind that puts forward the ‘what if’ and ‘as if’ modes of thinking might help develop the capabilities of academics. The reason is that such modes of thinking might enable an academic to step back from the constraints of

‘ordinary life’ and ‘mindless production’ (Docherty 2013) into the ‘laboratory of the possible’ in order to probe the realms of her imagination that are yet unexplored.

The discussion of play in Docherty (2013) has particular resonance for shaping the ‘beings’ and ‘doings’ of academics. He points out the critical functions of ‘sense’ (use of reason and intellect) and ‘sensibility’ (experiencing life as it is lived) in the university. He argues that the discourse about the efficiency of the university crowds out (what he provocatively calls) ‘wasteful play’. It is through the latter, though, that productive *time* is created. It is essentially productive as it engages the mind and body in a unifying experience that ‘catches the consciousness of participants in the *University’s activities*’ (*ibid.* 65, emphasis added). For in play, participants let go of the consciousness of their *self* (ego) and immerse themselves in the ‘imaginative possibilities’ of their sense and sensibility.

### *8.3.2 Rules, boundaries and freedom*

Rules are important in the play-concept. In the context of children’s play, Vygotsky suggests that rules are ‘flexible’ and ‘negotiable’ (Winther-Lindqvist 2009). The same can hold true for play involving adults. Rules in adult play do not have to be fixed or imposed. Drawing on the writings of Vygotsky on play rules of children, Winther-Lindqvist (2009: 64-65) writes that rules:

denote behaviours that are rendered legitimate and meaningful because they are practiced within a particular frame of understanding, in accordance with a certain set of expectations.

Rules demark 'boundaries between appropriate and inappropriate actions as understood' by people involved in the activity (Winther-Lindqvist 2009). Given a bounded situation, individuals are able to evaluate possibilities for action that generally exceed what they can actually do in 'every-day non-play situations' (Csikszentmihalyi and Bennett 1971).

For Huizinga (1944/ 1949: 11), if 'rules are transgressed, the whole play-world collapses'. Why is that so? I suggest that rules set the boundaries that enable the player(s) to experience a state of flow in play. In a state of flow, imagination and creativity are more likely to be stimulated, which in turn might open up new perspectives. Imagination and creativity are important influences on the beings and doings of people.

The purpose of rules in play is not to constrain freedom per se; rather it is to provide some structure for the players to sort out through uncertainty and disorder. Nevertheless the question that arises is: what are the implications for freedom within those rules? The constraints of rules are of procedural forms and can therefore affect negative freedom. The distinction between positive and negative freedom has been characterized by Isaiah Berlin (1969) — negative freedom refers to 'whether a person's lack of ability to achieve something is caused by an external restraint or hindrance' (Sen 2002: 11- 12, footnote 13). Positive freedom refers to a person's ability to be

somebody, to be a doer, to conceive and realise goals and to 'be conscious of (oneself) as a thinking, willing, active being, bearing responsibility for (one's) choices and able to explain them by reference to (one's) own ideas and purposes' (Berlin 1969: 131).

In the case of sports games, for example, negative freedom arising from rules imposes constraints on the process of play. Consider the following by Csikszentmihalyi and Bennett (1971: 54) on the procedural rules for ball games:

There is a clear procedure for winning, and it usually consists in repeatedly placing the ball in an agreed upon place within certain established time limits. The players' access to the ball is clearly limited: in soccer one cannot touch it with the hands, in basketball the feet are excluded, in pool the balls can only be touched with the cue, in tennis only with the racket. The permitted form of inter-action with the ball and the size of the field set the tone for the game. The number of players, the restrictions placed on their actions in respect to each other, add the other relevant parameters. At a deeper level, what is common to all of these play-forms is that by setting manageable tasks and perceptual boundaries they allow people to act with complete concentration and abandon: the player is allowed to forget himself, the world, and the distinction between the two as he tries to increase his skill or his luck in the scaled-down world of the play-form. To reach the peculiar awareness of the play experience it becomes important to set the game as clearly apart as possible from everyday activities. The playing field should be uniquely marked to help the player accomplish the shift from the boundless

stimulus field of everyday life to the magically sheltered field of the game.

Thus, while play might constrain negative freedom through rules, it might actually enhance the positive freedom of players. This is well illustrated by the following:

On the one hand, play is commonly cut off from the customary interferences of society. Players feel themselves at ease and are able to focus on certain matters that are placed before them—often, existential dilemmas that have been “miniaturized” or otherwise ridded of their dangers. In other words, players sense a “freedom from” external control. On the other hand, inside the playground itself players may feel themselves more in control of their environment than they typically would.

Henricks (2008: 169)

Within the boundaries of play, there is absolute positive freedom for players to be and do what they have reasons to value. Henricks (2008) provides a view that both negative freedom and positive freedom might be enhanced in play.

However, Henricks (2008) points out that many scholars such as Caillois (1961) considers that there might be external constraints such as social norms, prejudices, and material incentives that affect some play situations. According to Henricks (2008) though, Huizinga refers to those forms of play as ‘false’ as in play in an ideal form does not have constraints that are determined externally.

I consider play in the context of academia mainly in terms of rules. The rules are important in order to set boundaries that enable academics to experience a state of flow and exercise their imagination and creativity to the fullest in play. What might rules of play in an academic context imply in terms of freedom? Insofar as play in an ideal form is concerned, I envisage that the rules would be set by a group of academics (willing to play) according to the necessity to search for the spirit of the truth with rigour and coherence, and doing and being what they have reason to value. Since those rules would be determined by the academics themselves, there might not be a restraint on their negative freedom. Insofar as those rules enable doings, they would increase the positive freedom of academics. Rules might thus be desirable in order to enable academics to focus on the positive freedom.

Building on Henricks (2008: 169), I consider that within the boundaries of play, academics might feel more in control of their situation and thus play might expand their sense of ‘freedom to’, that is, positive freedom to accomplish certain things. Moreover, in play, academics might have more real opportunities to ‘be themselves’ in ‘imaginative and expansive ways’ (*ibid.*). This is not to say that there might not be external constraints on play in academia. As discussed in Chapter 7, there are external constraints such as market influences that affect the actual and potential beings and doings of academics.

Boundaries exist in the form of a particular timeframe and space (see Dandridge 1986). For example, Ibarra and Petriglieri (2010: 16) note that in the context of organizational life there are physical settings that demarcate a



‘psychological space and time’ that provides a sanctuary, which is protected from the pressures of social expectations or validation. Examples of spatial boundaries are ‘laboratories, scenarios, off-sites, simulations, and role-plays’. In those spatial boundaries, the exploration of possibilities thrives through play as people put existing social norms and procedures aside. In doing so, people ‘develop new skills or self-images that can be transferred back to the mainstream’ (*ibid.*)

Consider the following:

Play begins, and then there is a certain moment it is ‘over’. It plays itself to an end. While it is in progress all is movement, change, alternation, succession, association, separation . . . *Once played, it endures a new-found creation of the mind...it is transmitted, it becomes tradition. It can be repeated at any time . . . In this faculty of repetition lies one of the most essential qualities of play. It holds good not only of play as a whole but also of its inner structure . . . [T]he elements of repetition and alternation (as in the refrain) are like the warp and woof of a fabric . . . All play moves and has its being within a playground marked off beforehand either materially or ideally, deliberately or as a matter of course . . . the arena, the card-table, the magic circle, the temple, the stage, the screen, the tennis court, the court of justice, etc., are all in form and function play-grounds, i.e. forbidden spots, isolated, hedged round, hallowed, within which special rules obtain.*

(Huizinga 1944/1949: 9-10; emphasis added)

If one reads Huizinga carefully, play can be repeated, altered or transmitted. The completion of a particular play process need not be an end in itself. What might be implied in the above quote is the start and end of a 'process', 'round', 'game' or 'passage' in play. To illustrate, an artist may have a canvas as his 'playing ground' and time limits depend on how long he requires to 'complete' (or wants to spend) on this particular artwork. However, this does not stop him from continuing the play on another canvas or art form for another duration of time. In practice, the opportunity to return to play situations renders them not finite in effect. Besides the specific rules have meaning within the boundaries of a particular play situation; the learning or experience that one undergoes in that play situation might go beyond those boundaries though.

In line with the above illustration, an academic might start with an idea and play with it for some time. She might carry out the research, analyse the results, write a paper and publish it in a journal article. The research might have a specific conceptual framework, which is applied and tested within a particular context. However, that does not mean that the ideas that emerged as a result of the 'completed' research may not be explored further through play in another context or that the initial idea cannot be played out in a different fieldwork at a different point in time. As mentioned earlier, rules can be flexible and thus one can adapt them to shape the boundaries of time and space in a way that might suit the particular context under study. It should also be recognised that not all play need to have a predetermined starting and finishing time. Some forms of play might come about in due course because an activity simply winds down.

Consider the following:

If one accepts the postulate that the essential aspect of the play-experience is a state of merged awareness and action, then the requirement of a good game, that is of an institutionalized play-form, is that it should allow the player to sustain this experience throughout a relatively long span of time. In order to accomplish this, games must limit by convention the realm of stimuli that the player need pay attention to: by establishing a playing field or board, by defining what are the relevant objects of the game. The game also has to limit the choices of action open to the player: by establishing the rules of the game. And finally the game has to limit the time within which the player can act: by clearly setting the starting and finishing times of the process. *Within this limited spatio-temporal unit the player can abandon himself to the process, acting without self-consciousness.*

(Csikszentmihalyi and Bennett 1971: 46-47; emphasis added)

However, when play becomes too institutionalised and structured (as Huizinga 1944/1949 critiqued about modern sports/games), the true spirit of play might be suppressed. Hence, for play to retain its qualities, one must find the right balance between the boundaries and choices for action by the players.

### *8.3.3 Absorption, focus and state of flow*

Often when people are engaged in play, they become absorbed with their

immediate thoughts and actions to the extent that they temporarily cut off from other concerns in their external environment. Consider the following:

Awareness merges with action, and a play episode is begun. A most outstanding quality of this state of ambience or participation with the environment is the actor's lack of an analytic or "outside" viewpoint on his conduct: a lack of self-consciousness.

(Csikszentmihalyi and Bennett 1971: 46)

In this sense, the 'interlude' that play offers (Huizinga 1944/ 1949) is important in enabling people to let go of some of their inhibitions and general uncertainties in life. When people are engrossed in play, there is a lack of self-consciousness and the self does not interfere with the essence of play.

For Csikszentmihalyi and Bennett (1971), play is rooted in the 'concept of possibility'. Consider the case of an expert chess player engaging in play:

[the chess player's] efforts, when he is applying his mind to the chess task, are not controlled by any factors other than the complexity of the position before him and the limits of his own capacity...once the mind is harnessed to the task, then it performs freely, unaffected by the outside world. If, then, there is mental or volitional freedom to be found in human activity, here it is in chess; and the chess player comes as near as any human being to demonstrate its reality [Abrahams 1960:9].

(cited in Csikszentmihalyi and Bennett 1971:50)

Furthermore, Csikszentmihalyi (1988: 34) reports: ‘climbers, concentrating on their progress and the potential holds on the rock face, have no attention left over for anything else.<sup>84</sup> Violinists must invest all their psychic energy in feeling the strings and the bow with their fingers, following the notes on the score and the notes in the air, and at the same time feel the emotional content of the piece of music as a whole. Irrelevant thoughts, worries, distractions no longer have a chance to appear in consciousness’. In such situations, play might open up new perspectives that often remain behind closed doors because of certain narrow pre-conceived notions of one’s self and capabilities (in terms of what one can actually do or be).

There is flow in a play situation – with meaning associated to the action.

Consider the following:

The play experience is invoked when our action "resonates" with the environment; when "feedback" provides sufficient possibilities for an uninterrupted flow of action.

Csikszentmihalyi and Bennett (1971:46)

The absorbed interest of the player in a state of flow is linked to the quality of focus in play. As the focus increases, the person becomes more absorbed in the play situation and experiences a state of flow. The quality of focus in play is also important to make sense of things in the midst of the uncertainty

---

<sup>84</sup> Over the years, Csikszentmihalyi has researched a wide range of human activities like mountaineering, chess, rock climbing, surgery, artistic creation (Henricks 2006) in order to understand how or when the optimal experience occurs for people who perform these activities.

and disorder that are often present in play situations (Huizinga 1944/ 1949).

For people to enjoy flow, there is a precondition — the challenge the person faces in a play situation should be perceived by the person concerned as something that she is capable of doing. In short, there must be a balance between the challenge perceived and the skills of the person to respond to the challenge. If that is not the case, the person might experience boredom or anxiety rather than flow (Csikszentmihalyi and Bennett 1971). Csikszentmihalyi and Bennett (1971:45) suggest that ‘play is action generating action: a unified experience flowing from one moment to the next in contra-distinction to our otherwise disjoint ‘every-day’ experiences’. In the same spirit, one might argue that people who experience a state of flow might be better able to shape their aspirations, as there is a balance between the challenge perceived and their capacity to aspire in play.

In the case of YoungArts, some of the mentors in the internship programme indicated that some young interns adapted their aspirations (to become an actor, to set up a music gig, etc., refer to Chapter 6) during the course of YoungArts. The adaptation of the aspirations of those interns seemed to have been mostly on the basis of new information provided by the mentor. Whilst the provision of new information might be valuable, it does not really provide a space for the young people to focus their mind on the valuable beings and doings, including the development of aspirations that they might have reasons to pursue. By engaging the young interns in play situations that stimulated a state of flow (where there was a balance between the challenge perceived and their capacity to aspire), the mentors might have

provided the young people with better opportunities to enhance their capacity to aspire and explore their aspirations.

The qualities of absorption, focus and flow are important for academic researchers. Linking to the discussion in Chapter 1, these qualities might enable an academic to use available resources fully and freely, and ‘release and expand human inquiry (including methods and conclusions) from the shackles of a fixed physical and material framework which confines the studies of social subjects’. Discussing about art as play, Dewey (1934) argues that ‘the spontaneity of art [. . .] marks complete absorption in an orderly development’ which is an ‘ideal for all experience, and *the ideal is realized in the activity of the scientific inquirer* and the professional man when the desires and urgencies of the self are completely engaged in what is objectively done’ (291, emphasis added).

#### 8.3.4 *Voluntariness*

Play in its true form is fundamentally voluntary and cannot be forced upon someone. Thus by definition, anything that is forced upon someone cannot be considered as play, especially for the purposes of this chapter. As Huizinga (1944/ 1949: 8) suggests, ‘child and animals play because they enjoy playing, and therein precisely lies their freedom’. This quality of freedom rooted in voluntarism and enjoyment is intrinsic and essential in play.

Building on Dewey (1910) and Huizinga (1944/1949), I suggest that for an

academic to engage in play in the course of an inquiry, the research (including the purposes and ends) should not be imposed upon her. If external forces impose which research to conduct and predetermine purposes and ends of the research, then it would be unlikely that the inquiry is rooted in voluntarism and enjoyment. Such a process might not be associated with play. Earlier in the chapter, this point about prescribed ends/ goals was emphasised in the discussion on the relation between work and play. If an activity has prescribed goals, then it might constrain some of the fundamental qualities of play – voluntarism, uncertainty and positive freedom, among others.

In a literary analysis on the ‘spirit of play’ and sport, it has been argued that ‘[. . .] in play, the ultimate issue is always freedom: how to live through play towards freedom, how to play the dominion that grants freedom. This quest is at the core of the desire to play’ (Messenger 1981: 313 as cited in Sutton-Smith 1997: 180). Drawing on the above and Henricks (2008), I suggest that human play is intrinsically linked to the freedom that people enjoy in expressing their ideas, thoughts, and actions openly, and in constructing new possibilities and experiences to live their life.

From a sociological perspective, Henricks (2006) emphasises the social structures in play that constrain the personal freedom of people but enable them to achieve things that they would otherwise be unable to do on their own. Consider also, Henricks (2008: 159):

[ . . . ] it is probably fair to say that most theories of human play associate



play with the freedom of human beings to express themselves openly and to render creatively the conditions of their lives. In that sense, play is often considered to be a respite from the necessities of life, a stretch in time when the normal affairs of the world are suspended. Compared to those moments when people are virtually prisoners of their daily routines, people at play are said to have broken free to conjure new possibilities of being and, even more importantly, to test the implications of those possibilities in protected forms of behavior. To play is to create and then to inhabit a distinctive world of one's own making.

Henricks (2006) also brings to the forefront the concept of play with others, that links to how the individual (and her actions) relate to others in society.

### *8.3.5 Order and Disorder*

If play is the place where people explore the meaning of human possibility, these explorations must include both orderly and disorderly practices.

Henricks (2009:38)

Order and disorder both serve particular functions in play. Orderly play tries to 'channel' aspirations, minimise 'selfish qualities', and focus the attention and skills of players (*ibid.* 38). Disorderly play emerges out of an awareness that people are subjected to 'environmental demands' and in that context play is about 'willfull self-assertion' to resist and counter negative influences (*ibid.*). In its own way, disorderly play sparks the impetus for creativity; it encourages people to take liberties (*ibid.*) and embrace new challenges.

Within the boundaries of play, there is a dynamic interplay between order and disorder (Henricks 2006) that creates rhythm and harmony (Huizinga 1944/ 1949) and keeps the momentum going in order for people to push the limits of their capabilities. If applied to extremes though, order and/or disorder destroy play; and the play world collapses. For example, in their extreme, order might make play too rigid and disorder might undermine the positive aspects of having boundaries in play.

### ***8.4 Other positive qualities of play***

Play encourages open-mindedness. Dewey refers to open-mindedness as ‘freedom from prejudice, partisanship, and such other habits [that] close the mind and make it unwilling to consider new problems and entertain new ideas’ (Dewey 1933/1964: 224). Furthermore, for Dewey, an open mind cultivates ‘alert curiosity’ and spontaneous outreach for ‘the new’ (*ibid.*). Open-mindedness, alert curiosity and spontaneity are qualities that often create the drive for and shape play.

In line with the above, the Young Marketers in YoungArts could have been encouraged to play, in terms of exercising their intellectual curiosity, creativity and seriousness (among others) in imagining and designing the logo for the YoungArts festival. The point made by Docherty (2013) about play creating time is particularly relevant here — play in YoungArts might have disrupted the mindless routines of the young people and the mechanization of life; it might also have produced time and ‘that time is

where thinking – and thus also learning – can take place, as [the] bodies try out new roles, new languages, new stances or positions, new arguments, new battles, new loves’ (*ibid.* 68).

As a consequence of play, many of the Young Marketers might not have disengaged totally or partially from the project and in the process they might have developed their capacity to aspire. A professional graphic designer could have been involved in the project to facilitate/support the process of designing the logo without tampering with the free play of the young people. At least three of the Young Marketers might have got a real opportunity to pursue their aspirations to do something related to drawing/illustration, design and advertising (see Chapter 6). In doing so, YoungArts might have fulfilled one of its primary stated objectives ‘to inspire and enable the young people to realise their creative potential’.

Moreover, in most play situations, there is a build-up as to what the outcomes might be and the associated uncertainty and tension can stimulate people to become focused in order to explore and tackle issues fully. Again, through play, the young people in YoungArts might have been able to sort out through the uncertainties they had about organising the festival and to become more focused in determining their ideas and actions (in a positive way). Henricks (2009) suggests that generally in individual play, people resolve the tension and uncertainty through their actions that become more focused.

## ***8.5 Some problematic aspects of play***

So far, I have mostly discussed the positive qualities of play. Now I turn to the problematic aspects of play. If pursued to an excessive extent, play might become dysfunctional for example, in terms of distracting people from responsibilities/commitments or promoting ‘self-indulgence’ (Henricks 2008) or competition (to an unhealthy extent).

Play might have a ‘win-lose’ aspect to it, for example in games. This ‘win-lose’ aspect often drives players to be competitive, and implies that some players consider others as ‘rivals’, ‘opponents’ or ‘adversaries’. In some forms of play, players deliberately counteract and ‘block the actions of others (as in boxing or tennis)’ (Henricks 2009: 20). Huizinga acknowledges ‘competition serves to give proof of superiority’ (Sutton-Smith 1997: 79). This competitive nature in some forms/ contexts of play might then generate ‘the greatest possibilities for antagonism’ (Henricks 2009: 20). Feelings and use of superiority might be acceptable and constructive (in the sense that it might boost the motivation or determination of players) in some forms of play such as in sports; but such an approach might be undesirable in academia. To perceive a fellow academic as a ‘rival’ and to create antagonism is not conducive to collegiality, which one might argue is an important aspect of university life.

Nevertheless, competitive attitudes might sometimes be observed in academia (for example, in debates or in administrative positions) but taken

to an extreme they are potentially detrimental to collegiality in academia.

Huizinga (1944/1949: 156) comments:

The everlasting disputations which took the place of our learned discussions in periodicals, etc., the solemn ceremonial which is still such a marked feature of University life, the grouping of scholars into *nationes* [sic], the divisions and subdivisions, the schisms, the unbridgeable gulfs – all these are phenomena belonging to the sphere of competition and play-rules.

Henricks (2006: 92-100) reports that among other things modern play tends to have ‘an active and manipulative quality’ (probably related to competition), ‘to be organized instrumentally’, to have an amoral and technical emphasis and to be ‘bureaucratically organized’. In striving for funding opportunities (which are typically organised instrumentally and bureaucratically) some academics may be tempted to manipulate the findings of their research to suit the objectives of the funders (Wilson 2009). Such manipulation, instrumentalisation and bureaucratic organisation would distort the essence of play, and qualities of focus, intellectual curiosity, freedom, etc.

Moreover, bureaucratic structures (such as the Research Excellence Framework one might argue; see discussion in Chapter 7) tend to influence the design and conduct of inquiry (by setting pre-determined objectives), and distort what academics might have reasons to value. If play is bureaucratically organised, the free play of thought (which coincides with

pursuing the spirit of the truth) might be stifled. Those aspects of play are problematic as they might disrupt certain qualities of play such as voluntarism, absorbed interest and state of flow, and interfere with pursuing the spirit of the truth and academic freedom.

How might those problematic aspects of play be restrained in academic play? I reason that those problematic aspects might be restrained through the rules of play that academics develop, which would be in line with pursuing the spirit of the truth and academic freedom. Moreover, the rules of an academic play that would shape the boundaries of play are to be conceived by the academics involved based on what they have reasons to value and not by external constraints. Since play is deemed to be voluntary, those who do not accept the rules and boundaries might not be involved in the play situation.

### ***8.6 Play and capabilities***

With regards to capabilities, Martha Nussbaum, one of the key writers on the topic, includes play in her proposed list for ten central human capabilities (see for example, Nussbaum 2011). The list refers to combined capabilities, that is, internal capabilities (developed states of the person) combined with ‘an appropriate enabling environment’ for the exercise of the capabilities (Alkire 2002: 33; refer also to the discussion in Chapter 7). The inclusion of play in Nussbaum’s capabilities list refers to the ability to laugh and to enjoy recreational activities. The use of the term play in Nussbaum

(2011) is narrow but its inclusion in the central capabilities list is important in itself.

The inclusion of play in Nussbaum's list provided some basis for thinking about play as a capability in itself, and that it might also enable the development of other so-called central capabilities such as the exercise of 'senses, imagination and thought'; the development of emotional attachments; the ability to 'recognise and show concern' for others, to 'engage in various forms of social interactions' and to 'imagine the situation of another', and vice-versa. In short, those capabilities might have significant positive influence on each other.

Moreover, Nussbaum (2011: 36) recognises that play and associated 'free expansion of the imaginative capacities' are not simply instrumental; they 'have value in themselves' (Alkire 2002: 33) and contribute in part to living a meaningful life. To think of play as a central capability reinforces the notion that it is 'something' meaningful for human beings.

I thus try to explore play more generally in the context of capabilities, that is, the positive freedom that a person has to choose and act (Nussbaum 2011) even if there are some constraints in an environment. I argue that because of the essential qualities that play stimulates, people might be able to enjoy positive freedom and explore new possibilities in life. My argument is rooted in an understanding of play that bounds a situation, and thereby enables people to focus their energies onto 'something' that capture their interest. Play, in that sense, entails a state of flow, within which creativity

(see Mainemelis and Ronson 2006 and references therein) and imagination are stimulated. The exercise of creativity and imagination might in turn have a sustained effect on the beings and doings of the players and act as a catalyst for people to pursue valuable beings and doings (see also Brown 2009) and enhance their capabilities.

Drawing on Henricks (2006), I propose that people might benefit from more space and time to ‘play fully and imaginatively between the cracks of ordinary life’. The state of flow that people might experience in play enable them to let go of distractions and worries in order to improve the balance of their ‘capacity to aspire and challenge’ and/or their ‘capabilities and challenges’.

### ***8.7 Concluding Remarks***

Huizinga (1944/ 1949), who is among the first scholars to provide a thorough analysis of play, was uncertain about whether to interpret play as a ‘quality of ‘action’ (that is, some pattern of individual behavior) or instead as an ‘activity’ or ‘interaction’ (that is, as some more general pattern that takes into account all the different players and even the objects with which they are playing’ (Henricks 2008: 161). Over the years, the diverse analyses across such disciplines as sociology, psychology, and history have not come closer to providing a general conception of play. Some scholars like Fezell (2010) argue for and embrace a pluralistic conception of play.



Drawing on Sutton-Smith (2004), Henricks (2006: 181) refers to the fable of the blind men and the elephant to critique the ‘contemporary’ play literature:

[...] several sightless men are asked to inspect the massive beast. Some touch only the elephant’s side and declare its possessor to be a wall; others feel the tail and claim it as a rope. Still others embrace the legs and imagine themselves in the presence of trees. Those who touch only the trunk, tusks, or ears provide similarly narrow accounts. In the story, the men are blamed not for the shortness of their vision but for their failures to be more enterprising in their exploration of the entire animal and to communicate those findings to one another. Play scholars or so it seems, work in similarly isolated ways.

It is difficult to grasp the concept of play fully, not least because the literature on play is compartmentalised into narrow paradigms that do not necessarily engage with the existing diversity and multi-disciplinarity of play studies (Sutton-Smith 1997, Henricks 2006). In writing this chapter, I found it challenging to engage with the diverse interests and perspectives in play studies without diverging from the key issues that are of interest to my conceptual analysis. Further research, including empirical work, is required to fully explore the conceptual discussion that I have put forward in this chapter, especially in relation to the implications of play in enhancing the capacity to aspire and academic capabilities. As discussed earlier, in contrast to the discipline of sociology and philosophy, few studies in organisation and management (see for example, Mainemelis and Ronson 2006; Hunter *et al.*

2010; Ibarra and Petriglieri 2010; Kauanui *et al.* 2010) have explored the theoretical underpinnings of play. The conceptual discussion of the qualities of play might be relevant and applicable for studying play in an organisational context.

My analysis in this chapter highlights play as significant and influential, for both children and adults (Huzinga 1944/ 1949), not least in the development of their capacity to aspire (see Chapter 6) and capabilities (in terms of real opportunities and substantive freedom; see Chapter 7). Thus, the discussion of play is not confined to the case of YoungArts. In exploring play, I realised that the notion might also have import for how academic researchers develop their capabilities.

So far, I have identified certain essential qualities of play (through its various forms and expressions) in order to distinguish what play is and what play is not; and to analyse the implications of play in exploring issues such as aspirations (especially in the case of YoungArts, refer to Chapter 6) and capabilities (for academic researchers, refer to Chapter 7). That interplay involves certain qualities such as intellectual curiosity, seriousness, focus, open-mindedness, rules and absorbed interest. Moreover, players have the potential to experience flow in play. I suggest that a state of flow in play might have been potentially beneficial for the young people in YoungArts since there would have been no consideration of the 'me', which normally intrudes the state of mind and interferes with the action (mental and/ physical) at hand (Csikszentmihalyi and Bennett 1971).

Based on an understanding of the qualities (as mentioned above), I conceive of play as the interplay of mental and physical elements. In play, people can 'cut off' from things imposed by the external environment; they feel able to do things that they normally might not do (Henricks 2008) within the boundaries of the play environment they are engaged in.

In the context of academia, qualities of play such as focus and absorption (together with emotional resonance, skills and patience) are central to research and teaching. The notion that academics/scientists might engage in play is not new. For example, academics might be considered to play when engaged in some debates or deliberation (Huizinga 1944/1949). Huizinga (1944/1949) also notes that the way a scientist tends to work in terms of systems points in the direction of play. However, in recent times universities are increasingly facing external demands that might constrain 'play' in academia.

There are increasing pressures for universities to connect constantly with the outside world, to make research more 'useful' for others in society, etc. in a way that implies that goals and paths of academic research might not necessarily emerge in the course of action or be determined by the players themselves (see also the discussion in Chapter 7). Therefore, it has become even more pertinent for academics to have opportunities to engage in play in order to freely pursue research ideas, concerns and experiments, within their own determined rules and boundaries and in line with the spirit of the truth.

Given the pressures that academia faces, how might one conceive of shaping capabilities through play and yet respond to those external demands? I suggest that a group of academics might start with developing some of the essential qualities of play discussed in this chapter. For example, historically ‘societies . . . mark off a space and time for play’ (Mainemelis and Ronson 2006). Setting up the boundaries of space and time for particular interactions is important for academics to find ‘respite’ from the day-to-day demands or normalities of their environment (in the form of rigid structures, expectations and pressures for conformity) and to be able to focus their energies and interactions on what they have reasons to value doing and being as academics.

The play space does not have to be demarcated for a sustained period of time from the environment that the academics engage in on a daily basis. As Mainemelis and Ronson (2006: 88) suggest ‘the same space may be a space for play at sometimes but not at other times’. It is critical that from the outset the academics allow themselves the possibility of immersing in the ‘flow’ of the interaction. Sometimes that might mean that the interaction might take longer than planned; ‘intense forms of play involve such states of consciousness that separate them from the normal sociotemporal reality of the workplace’ (*ibid.* 89).

More avenues need to be explored with regards to what *forms* of play interactions amongst academics might take. A tentative idea at this point is the possibility of integrating other means of expression and interaction such as photography (taking visual images or elicitation through visual images).

As mentioned earlier, I envisaged that the discussion on play might inform methodology and methods of inquiry. Thus, based on the concept of play, I sought to disrupt the routines of the participants in the Internationalisation Project in order to encourage the participants to produce time to think about and relate to the phenomenon of internationalisation through the picturing process and activities in the Workshop (refer to Chapter 4). Through the picturing process, photo-elicitation and deliberation, I sought to stimulate play, wherein the participants could focus on and absorb themselves in the topic of internationalisation, in ways that would allow them to express themselves freely, albeit within the boundaries of time and space and certain rules. Within those boundaries the participants had the positive freedom to explore possibilities with regards to internationalisation and the impact on their valuable beings and doings.

In the spirit of play, it is for a group of academics themselves to create and choose the forms, boundaries and other elements associated with play. The intricacies of the play interaction and what will come out of it cannot be predetermined, not least because the sense and sensibility of the 'academic players' might not be predetermined either. Sense and sensibility are unique to each academic, as each individual has her own sets of valuable understandings and experiences.

Referring to Dewey's (1910) discussion of mental play/free play of thought, I consider that an academic researcher might be playful and serious at the same time in the conduct of an inquiry even though there are certain boundaries. Playful refers to an academic manifesting her intellectual

curiosity, sense and sensibility, and open-mindedness in conducting an inquiry, thereby opening up more possibilities for action. At the same time, by engaging in the free play of thought, the academic might seriously entertain and develop new ideas and concepts that have unfolded organically during the course of the academic inquiry. An approach that serves market fundamentalism might impede such free play of thought, to the detriment of real insights and critique in academia.

One might suggest that academics have the responsibility to ascertain their rights and freedom in order to independently analyse and critique matters affecting societies and economies (see also Walker 2004), and to exercise their capabilities, without subservience to any pre-determined aims. A critical point is that academics have a choice, and as argued earlier, they might have positive freedom to do ‘something’ about matters that are affecting them, and perhaps others. They can actively respond to and challenge pressures that they are facing by putting forward their own conception of what they might have reasons to value doing. Furthermore, consider the following:

[W]hatever is articulated can, in turn, be dis-articulated and re-articulated. If advocates of the market can transform the university discourse by yoking its terms to the imperatives of business, it follows that this process can be *reversed*. While organised resistance (through social and political movements with well-defined objectives) may seem out of reach [. . .] intervention is still possible at the institutional level. We can use such autonomy and influence that still remains to us [. . .] to regroup

and mount a debate which may interrupt this self-satisfied campaign of persuasion and open up other options.

(Bertelsen 1998: 155 as cited in Bundy 2004: 171)

A challenge for academics to regroup themselves and deliberate on what they have reasons to value remains the increasing competitive atmosphere amongst academics, not only across disciplines but also within disciplines. Indeed, the funding environment has increasingly encouraged rivalry amongst academics and might have weakened collegiality and the shared vision of academics even within the same university (Bundy 2004). I put forward the idea that if qualities of play are manifested in academia, there might be significant possibilities for academics to reconnect and stimulate a collective approach to facing challenges that threaten academia. In play, they might focus on the problem at hand and imagine things in a way that they might not in other situations.

Referring to the earlier discussion on order and disorder in the chapter on play, it is during disorder that players are most aware that there are negative external influences. This does not mean that players need to revolt as such, but they might begin to determine strategies and meta-rules to assert their will and limit the external influences; they exercise their positive freedom. Similarly, if one realises that there is disorder in academia, the players in that context might organise themselves to determine strategies and exercise their freedom to do something.

To conclude, I suggest that the meaningful interaction between mental and physical elements in play is underestimated, as are the possibilities to shape the beings and doings (that we have reasons to value) through play. As Henricks (2009: 12-13) states, ‘when we play, we prod the world—and ourselves—to discover our limits’. In that sense, play might enable people, not least academics to ‘prod’ and critique things in the world and their own beings and doings. In doing so academics might identify and push their own limits, thereby enhancing their capabilities.



## CHAPTER 9

# EXPLORING PERSPECTIVES ON INTERNATIONALISATION IN A UNIVERSITY CONTEXT

In the context of globalisation, the liberalisation of economies coupled with the enhanced mobility of people and the rapid spread of information and communication technologies (Altbach 2007; International Association of Universities 2012; Zeleza 2012) across many parts of the world, led to a sharp rise in the number and proportion of people studying and working in universities outside their home countries.<sup>85</sup> The change in the composition of the population in universities, in terms of people with significant differences in backgrounds and experiences, has a significant impact on the context of universities, and places new demands on how universities are organised, managed and led.

In this chapter I consider issues about internationalisation based on the interactions (between the beings and doings) of a group of people diverse in backgrounds and experiences in a university environment.<sup>86</sup> Applying the

---

<sup>85</sup> For example, the figures for increased international student mobility worldwide are 1.2 million in 2000, 2.7 million in 2004, and 3.7 million in 2011. Contrast these to the figures of 0.3 million in 1963 and 0.8 million in 1980 (Zeleza 2012 referring to cross-border mobility figures as shown in Varghese 2008: 15 and Hans de Wit 2012).

<sup>86</sup> There is a growing literature on the flourishing of human capabilities such as critical thinking (based on reason and evidence), imagination and thought,

capability perspective in this context opens the analysis to an evaluation of the impact of internationalisation on — the actual and potential beings and doings of people and vice-versa. The focus is not solely on academics; it also includes discussion with and about university students and support staff. An approach that includes the perspectives of university students, academic and support staff and what they have reasons to value being and doing in the internationalisation context might potentially contribute new insights to current debates about internationalisation. It provides a different perspective from an approach that is market-led.

To explore concerns about internationalisation and the possible connections with capabilities and play that I was researching for the thesis, I joined a research project, referred to as the ‘Internationalisation Project’. The project sought to explore and shape the internationalisation of a university through multiple voices.

The core aims of the research project were:

- (1) to explore for a particular set of students, academics and support staff their perspectives on internationalisation;
- (2) to consider whether their internationalisation perspectives might be shaped through deliberation, with a view to enhancing educational impacts, and if so how;
- (3) to determine the impacts of those internationalisation perspectives on the purposes, delivery and outcomes of educational programmes.

---

emotions and affiliation through higher education (see Walker and Nixon 2004 and references therein).

For the Internationalisation Project, the participants were asked to produce three photographs (within a period of about two weeks) depicting aspects of:

- What internationalisation in universities means to them as a concept.
- Critical issues for them about internationalisation in universities.
- Their experiences of internationalisation in universities.

Here, the phrase ‘internationalisation *in* universities’ is used rather than ‘internationalisation *of* universities’ because it might have more resonance for the participants (especially the students) – to enable them to relate to their experiences *in* universities. ‘Universities’ is also in plural since many of the participants have studied and/or worked in more than one university. The researchers wanted the participants to consider the possibility of including the broader aspects related to their experiences and perspectives in universities.

During the Workshop, the discussion was more geared towards shaping the internationalisation of the University that the participants were currently studying or working in. This occurred spontaneously without any direct influence from the researchers. In sharing the focused perspectives of the participants in this chapter, deeper insights about whether internationalisation is perceived as being infused in various (or all) aspects of a particular university are offered. However, a drawback is that some aspects of internationalisation that are discussed in the literature but were not addressed by the participants in the Workshop are not included in the

discussion. Where appropriate and relevant, I try to substantiate the analysis of the empirical data with existing literature.

The discussion that follows combines empirical evidence from the Internationalisation Project with existing literature to provide insights on key issues that were raised by the participants. In Section 9.1, I discuss meanings attributed to internationalisation in the context of universities.

### ***9.1 What does internationalisation mean?***

Internationalisation in higher education is often conceived in a disconnected way in the form of academic and student mobility, international research collaborations, joint programmes and other projects (Altbach 2007; Knight 2004, 2007, 2008).

A simple question that was asked to the participants of the Internationalisation Project is ‘What does internationalisation mean to *you* [the participants] in the context of the University’. Responses to this question were probed a few times, for example before the workshop (through questionnaires), during the workshop (through photo elicitation) and at the end of the workshop (through questionnaires again). Initial responses (before the workshop) from some of the students to the question are:

“Different people of different countries in one course”

“Lecturers and students from all over the world interact together”

“Students and staff from different countries and backgrounds as well as different opinions”

“People from all over the world gathering to study, share ideas and cultures”

(Questionnaires, February 2012)

The perspectives of the students about internationalisation puts emphasis on ‘people from different parts of the world interacting with each other and sharing different opinions, ideas, cultures and values’. There is an underlying sense of ‘beings’ and ‘doings’ in these perspectives.

One recurrent word across the responses of the participants was “different” – different countries, cultures, opinions, etc. Yet among those differences there is a sense of *togetherness* in understanding and in learning about the world within the space of the University. This can be related to the concept of internationalisation for ‘students to learn to participate more fully in an interdependent world, to reduce prejudice, and to develop mutual understanding and cooperation to solve global problems’ (Knight 1994: 4).

In the literature, internationalisation is defined as ‘the process of integrating an international, intercultural or global dimension into the purpose, functions (primarily teaching/learning, research, service) or delivery of higher education’ (Knight 2004; quoted in Knight 2013: 2). Many researchers refer to variations of this definition (see Knight 1993, 1999) of internationalisation in their work (see for example, Qiang 2003; Kreber 2009; De Wit 2011; Elkin *et al.* 2008).

There are key aspects to Knight's definition such as the emphasis on a sustainable and integrated approach to infuse an international, intercultural or global dimension in the main functions of academia and internationalisation being a process; thereby communicating that internationalisation is not static and is not about one-off or isolated activities (Qiang 2003). However, it is argued that the definition does not include the aim or end of the process of internationalisation (*ibid.*). In that sense, internationalisation can be interpreted as being an end in itself and not the means to something else.

Moreover, the definition provided by Knight (2013) does not explicitly recognise human interactions (or elements) but it does offer a view that is open and not prescriptive. Elkin *et al.* (2008) mention that Knight's definition can be further developed to include an emphasis on 'creat[ing] values, beliefs and intellectual insights in which both domestic and international students and faculty participates and benefit equally. They should develop global perspectives, international and cultural and ethical sensitivity along with useful knowledge, skills and attitudes for the globalised market place' (241). Part of their definition could be considered problematic (as discussed in Chapter 7) 'usefulness' and a 'market-driven' approach to organising and managing academic activities might pose certain challenges. The consequences of a market-driven approach to internationalisation are discussed in due course.

Knight (2013) has stressed that 'partnership, collaboration, mutual benefit, and exchange' are not explicit but are nevertheless assumed in her

definition. She also notes that ‘it is usually at the individual, institutional level that the real process of internationalisation is taking place’ (Knight 2004: 6). Comparing the views of the participants in the Internationalisation Workshop to Knight’s definition, they do not relate internationalisation to a process; rather they understand internationalisation in terms of the diversity and interaction of people involved in the context.

Building on the above discussion, I suggest that internationalisation can be defined in terms of process *and* people. Internationalisation can be conceptualized as — a process of integrating a concern with significant issues across nations — that are valued and shared among people diverse in experience, history and culture into the purposes, functions, delivery and outcomes of higher education. I further suggest that those issues include or affect the capabilities of people, and their interactions with various aspects of the environment — physical, social, economic and political. Moreover as Dewey (1938) suggests in his writings, the doings of people have an impact on their environment and they undergo the consequences of their doings in the process of interaction. This indicates that people in the internationalisation context are not passive agents. Their doings have the potential to affect and shape the process.

Consider the responses of some staff participants to the question about what internationalisation means to them:

“It [internationalisation] is the make-up of the majority of our postgraduate students, with a high number of students from both China and India.”

“Multi-cultural mix of students being taught in the University environment.”

(Questionnaires, February 2012)

From the staff responses above, it can be noted that the focus is on students; academics and support staff are not directly included in their conception of internationalisation in the questionnaire responses. These perspectives raise questions about whether internationalisation as defined in the literature is actually translated into practice, and infused into all aspects of the university.

## ***9.2 More international students does not necessarily equate to a more internationalized environment***

A common assumption is that internationalisation refers mostly to having more foreign students on campus (Knight 2011). This is reflected in the responses of some staff participants about the meaning of internationalisation (see above). As Knight points out it is a myth that ‘more foreign students on campus will produce more internationalized institutional culture and curriculum’ (*ibid.* 14-15). It is often perceived that universities tend to recruit foreign students in view of ‘internationalising’ their institutions when actually the motivation for many universities to



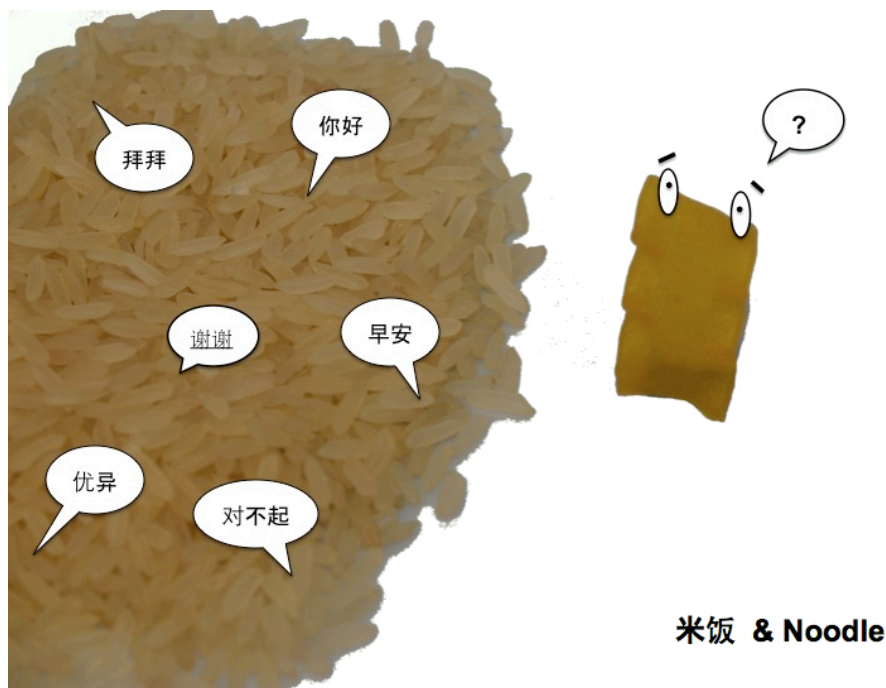
recruit more foreign students is to generate more revenue or to seek improved global rankings on league tables such as *Times Higher Education*. The irony is that neither do league tables necessarily demonstrate the internationality of the University nor is internationalisation a strong indicator for quality of the education in the institution (*ibid.*).

A common scenario in higher education is that ‘ [i]n many institutions international students feel marginalized socially and academically and often experience ethnic or racial tensions’ (Knight 2011 :14-15). There seems to be a tendency for many international students to bond with people they connect with culturally without having significant interaction with the students and culture of the host country (*ibid.*). The participants of the Workshop expressed similar views through the photo elicitation process.

Based on the discussion of the participants, it appears that there might not only be few interactions with people from the host country but also amongst international students. For example, a recurring issue in the small groups was how Chinese students at the University did not mix with other students socially or academically, and how this had an impact on the experience of other students (home or foreign). Harrison and Peacock (2009) also report that there is a lack of meaningful interaction between international and home students and as a result there are fewer opportunities for integration (for international students) and for intercultural skills development (for home students).

One of the photographs that was presented and discussed in the elicitation

discussion is the following:



Photograph by Student B

Consider the exchange that followed between the participants about the above photograph:

**Student B:** “Well, I took the picture because it displays the situation here . . . all the people from Asia, and in my Human Resources courses . . . I actually have no idea what they [the Asian] are talking about and feel a bit excluded because I don’t understand the language . . . I just feel helpless sometimes because I don’t know what to do and I say “hey let’s talk about it” but then they started talking Chinese and it’s like “what, sorry I don’t understand that”.

**Staff 1:** “This is very similar to my image, because it’s basically the different colours and the different nationalities. It doesn’t matter what

you look like when you are kind of grouped together and if you are this lone person sitting on your own, it's very difficult to integrate with these other ones”.



*Photograph by Staff 1*

**Researcher 1:** “Why did you, the pair of you . . . home in on those issues? Is it something that is very influential on your experience . . . So you can take an image because it’s there in front of you or you could take it because it really does reflect something that is important to you?”

[ . . . ]

**Staff 1:** “I think as a member of staff, from the other side I can totally see that that is the case [with] some of the issues and things that are raised by students with China or India, who tend to be the core for certainly the Management School’s postgraduates. There is a real issue of trying to get other students from other nationalities in and when they do arrive [ . . . ]

their expectations are sometimes let down by the fact that you are sitting in a class and you can't understand. They are not as diverse maybe . . . and some of the issues that are raised . . . are based around a lot of "I'm on my own, I'm lost", sort of thing".

(Photo Elicitation; Small Group 1, March 2012)

Though the participants in this group talked mostly about people from Asia, the key issue is that students come from different cultural backgrounds with varying English speaking skills. It should be noted that in the general context of internationalisation in universities, the majority of students leaving their home countries are Asian and they tend to go study in the United States, Britain, Canada and Australia (Altbach 1999; see also Van Damme 2001). In that context, it can be argued that English has become the 'most widely used medium of scientific communication and increasingly of intellectual discourse worldwide' (*ibid.* 4) but many international students still struggle with the language.

In the above extract, there were no Asian students in that particular group who could give their own perspectives at that moment. The discussion in the two other groups included similar concerns by other participants, including Asian students:

**Student E:** "I took this picture because I wanted to explain some problems in this University . . . I am from China and the Chinese people have different cultural ways. They can't adjust themselves to get used to the environment. What I think is – Chinese people like to cooperate with

the same nationalities . . . because what I think is when I'm here I get used to the Chinese [people] and I have so much difficulty to work with the foreigners . . . I always find that we can work very easily with Chinese and some kind of communication problems also appear [with others] because my English speaking is not very good maybe”.

**Staff 2:** “But do you not think that if you are mixing with English speaking students that your language improves”?

**Student E:** “Yes, one or two, but [there are] some kind of situations where the English students don't want to work with us. They have some kind of issue that Chinese students are not working hard, they [Chinese students] want to take advantage of them in some sense”.

**External Facilitator:** “When you talked about taking advantage of, when did you first feel that was what you experienced? Explain that more”.

**Student E:** “I chose to come here to study . . . because I wanted to explore experiences [in] the world. At first, I wanted to make a lot of friends with foreigners, but when I actually came here I think that [was] very hard for me. First of all is the language problem and the second one is the cultural difference, because I'm not sure about what the foreigners are doing and they can't understand what I am talking and what I am thinking. That is an issue between the different cultures and different nationalities”.

(Photo elicitation; Small group 2, March 2012)

**Student G:** “What I think of it [photograph below] is that you are seeing China away from China so you came all the way here to experience [Britishness] but instead you are experiencing ‘Chineseness’”.



*Photograph by Student H*

**Student H:** “[ . . . ] at this university . . . we have a lot of students from China they are probably the majority, especially for post-graduates . . . A lot of Chinese go [in Western countries] to try to learn the culture or try to study other things but sometimes you can imagine, or you can see, a lot of them actually stick together with their own group. And they’re all from China, they talk in Chinese but . . . why bother.”

[. . .]

**Student G:** “[ . . . ] it’s also putting . . . us . . . at a disadvantage because in seminars there’s only a handful of us who speak English well enough to

participate in a seminar or read [the material]. We don't get the benefit of having the interaction of other students in the seminar setting if we're sitting there talking to one or two other people or nobody at all . . .”

(Photo elicitation/ deliberation, March 2012)

What came across in the three groups is that differences in English speaking skills and lack of knowledge about each other's cultural background might create misunderstandings and distance between people (students and staff) at the University. Might universities be partly responsible for those critical issues that the participants raised, in terms of their narrow approaches and rationales for internationalisation?

### ***9.3 Rationales for internationalisation***

It is argued that the internationalisation of universities and the development of higher education are framed primarily around national political frameworks; these are reflected in regulatory or funding policies (Van Damme 2001; OECD 2009). One of the consequences of national political demands, translated into educational policies for example, is the massification of higher education in order to meet nations' need for enhanced human capital and competitive advantage in the global economy (OECD 2005).

Moreover, according to OECD (2009), there are four main strategies that shape the internationalisation of higher education. These strategies are based on 'mutual understanding', 'skilled migration', 'revenue generation'

and ‘capacity building’ and vary across higher education institutions and countries. Traditionally, internationalisation was encouraged through exchange programmes, grants and university partnerships for a mutual understanding of cultural, political and academic developments. Examples of such internationalisation initiatives are the programmes of Fulbright commission in the United States and the Socrates-Erasmus in the European Union.

With regards to skilled migration, there tends to be a more proactive and targeted approach to recruit foreign students who are talented. This is associated with the emphasis of government policies, in particular of host countries, to build their economic capacity. Many universities consider internationalisation as a way to recruit the ‘best’ and talented academics in order to improve the global rankings of their institutions (Knight 2008).

Consider this excerpt from one of the photo elicitation group discussions in the Internationalisation Project:

**Student A:** “[. . .] I wonder, well is it just about the money then? Is it just let’s get students that can afford to be here? Especially when it’s international, we pay more than national students. Is that the only reason that [the University] wants international students — the money factor?”

**Researcher 1:** “What do you think? What does your experience tell you?”



**Student A:** “Yes, it’s money.”

**Researcher 1:** “Why? What is the evidence for that?”

**Student A:** “I think when we talk about being able to accommodate students from different regions, I wouldn’t say that the School is overly accommodating, in that there are a lot of issues going on about the diversity of some of our programmes, as if some of the programmes weren’t able to handle that sort of diversity. So when I look at issues like that and they are not being solved, I think well maybe it’s just for the money.”

**Student B:** “I don’t know why I pay less than Student A, for example. I mean we take part in the same lecture and we do the same stuffs. Yes, maybe I am sponsored by the European Union, I have no idea. Is there a good reason why people around the world pay a lot more money?”

**Student A:** “It’s double, I think twice.”

**Student C:** “Yes, double. I also think the Government are seeking to reduce the money they are putting into the Universities, expecting the University to be on its own. I am trying to think from the University’s point of view now, so in order to get more money you would need more international students since the EU and the national ones [home students] are not paying so much. So probably why not seek for other people who are not in the EU to come in . . .”

[ . . . ]

**Researcher 1:** “But fundamentally I could argue that a University, this University for example, is wanting international students for as much as money as it can get, maybe subject to some other things [. . .] It price discriminates between the different nationalities because in Europe you are not going to get away with a higher price there is not going to be the market there, and you can get students from outside of Europe paying more. This is a market game . . . I don’t know if this makes sense ... but do you consider yourselves to be playing a market game?”

**Student B:** “Oh. You see I chose [this University] for example because I did not want to pay that much money to go to Canada or the United States. Because I looked at the universities and they were pretty interesting but we are three [siblings], I don’t want my dad to pay that much money . . .”

**Researcher 1:** “But why did you want a Masters degree from outside Germany? Was it the love of learning, maybe even partly? Was it because that put you in a better position in the job market, because you would be able to obtain more money etc . . . which you could argue is exactly parallel to the University seeking more money . . .”

**Student B:** I actually did it just because of that, just to have a Masters because in Germany you need it to get more money. It’s just one year and I don’t want to study any longer so it’s ideal . . .”

(Photo elicitation; Small Group 1, March 2012)

A key issue that emerged in the photo elicitation discussion and questionnaires is that the University might primarily engage in

internationalisation activities to generate revenue (see also Knight and De Wit 1995). The participants not only questioned why the university recruits international students but also about price discrimination in tuition fees.

Some people and institutions perceive internationalisation as ‘the commercial trade of higher education services’ (Knight 2007: 207). While the internationalisation of universities might lead to a wide range of impacts, many universities tend to focus on maximising income from high international student tuition fees (Knight and De Wit 1995). This approach to internationalisation is in many ways encouraged by key institutions such as the World Trade Organisation (WTO). In its General Agreement on Trade in Services, the WTO considers ‘higher education [as] a product, an international service that can be purchased and sold by an international provider’ (Boni and Gasper 2012: 452 citing Van Ginkel and Rodrigues 2007: 48-49; see also Stromquist 2007). Such statements promote higher education as a commercial activity.

Indeed in recent years higher education has become a major source of export revenues for some countries (see Wilson 2009), with various universities setting campus branches or franchises abroad and the use of face-to-face and distance-learning techniques to engage with people in other countries as part of their approaches to internationalisation. These international activities require careful planning and organisation and they are far from being unproblematic. Christine Ennew, pro vice-chancellor and provost of the University of Nottingham, on the Malaysian Campus suggests that ‘building a new campus overseas relates to the balance between

standardisation and adaptation’ (Ennew 2014). Questions such as: ‘How much should be identical across campuses and how much should be adapted to local context?’ need to be addressed.<sup>87</sup>

Consider the following critical argument by Sugden (2004: 121) in his analysis about alternative models for ‘internationalising learning and research’:

If universities followed the same logic as transnationals, the implication would be a system of research and learning in which they establish branches in various countries, all designed to serve the aims and objectives of the parent university. This would be likely to mean that certain of the world’s ‘leading’ universities would be able to capitalise on their expertise and image, similarly to the way in which Dearing (1998) suggests ‘prestigious universities’ (p.7) might be able to drive the introduction of new communications and information technology in ‘transnational higher education’ (p.8). There would be a first tier of universities made up of a handful of organisations headquartered in their ‘home’ nation but with education facilities elsewhere, in particular where there are large markets. Driven by the universities’ brands, these facilities would not be designed to serve the interests of the communities and societies in which they are located.

The above analysis has particular relevance in the context of current developments in the UK regarding British universities exploring education opportunities abroad (whether to set up new branches or to engage with

---

<sup>87</sup> *The Guardian*, 25 February 2014.

existing universities in the host country), especially in India and China. In 2014, a British Council report on ‘Understanding India: The future of higher education and the opportunities for international co-operation’ (Heslop 2014) indicates that by 2020, India will produce most of the world's graduate talent pipeline. The report urges for UK higher education providers to engage ‘with India, in India’. Lynne Heslop, British Council's senior education advisor in India (and author of the above-mentioned report) points out that other countries (Germany and France) are also looking to capitalise on these opportunities opening up in India and the UK will miss out unless they act in a timely manner. It is hard to dissociate these initiatives with recent findings that in 2013, universities in England have experienced a 50% fall in the number of postgraduate students from India and Pakistan, and a near 25% fall in the number of European students compared to 2012 (Shaw 2014).

The British Council Report indicates that the Indian higher education sector could benefit from partnerships with UK institutions (in terms of capacity building support in teaching and research, and the development of research networks). It is also mentioned in the report that the increasing demand and substantial reforms in higher education in India offer ‘the largest opportunity in the world for international higher education institutions and education businesses’.

Along the same lines, Rod Coombs, professor and deputy vice-chancellor of the University of Manchester said that:

[i]n five year's time, 40% of all university students in the world will either be in China or India. So if you are running a global university you absolutely have to take that very seriously and work out how to expand your connections with the country.

(Shaw 2014)

In what forms will those connections be made? Those connections will be in the form of delivering 'blended learning products in India' and collaborations in 'PhD projects with research-intensive organisations in India', and 'with corporate partners in their research labs in India' (*ibid.*). Underlying those views, there is a sense that the main drive for international activities in countries like India is for 'business' reasons, that is, to tap into a growing demand in the Indian market for 'education services and products', which can contribute to the revenue of UK universities and to engage in research collaborations that might help in sharing or cutting down associated costs.

To what extent, might those international activities in India and elsewhere by UK universities extend the capabilities of the people studying and working in higher education? While the British Council (2014: 17) suggests that the reforms in India will encourage initiatives 'targeted at underprivileged and underserved populations in society and geography, addressing urban/rural, gender, people with disabilities and community divisions and inequities', so far, the emphasis seems to be on 'skills-based learning' for employability and the alignment of educational opportunities to the needs of the organisations (universities, state agencies, businesses,

etc.) and the economies, and not on what individuals have reasons to value being and doing.

Little, if anything at all, is discussed about the opportunities that internationalisation of higher education might provide in terms of (borrowing the language used by Giroux 2002) a ‘democratic’ or ‘public’ space where students can develop their capabilities to critical think, to challenge established notions and norms, ‘recover the ideals of engaged citizenship’, to understand the significance of the public good (perhaps especially relevant in countries like India, where 59% of higher education providers are private institutions – see British Council 2014), and to ‘expand their capacities to make a difference’ in societies.

Consider also the following view by Mohamedbhai (2012) about internationalisation and global responsibility, drawing on experiences in Sub-Saharan Africa:<sup>88</sup>

There is also the issue of whether the international branch campuses of public institutions in the developed world operate as for-profit or not-for-profit institutions in the developing world. These must be lucrative ventures, since it is estimated that there are at present no less than 200 international branch campuses worldwide, and that about 40 new ones are due to open over the next two years. Are the profits generated from the operation of a branch campus ploughed back into the development of that

---

<sup>88</sup>Based on a presentation by the author at the Going Global 2012 Conference organized by the British Council, London, 13-15 March 2012.

campus, or are they used to subsidize the operation of the home institution? If the latter, then it is the fees of students in the developing world that are being used to finance the home institution. Is that fair?

The discourse regarding the rationales for internationalisation in higher education demonstrates that many universities tend to have narrow instrumental justification for their activities. Few universities actually demonstrate an integrated and sustainable internationalisation process. More and more, universities seem to consider students as consumers and consider their fundamental responsibility as training the students to get a job that will meet the needs of the market. This has given rise to many universities using internationalisation as a 'beneficial tool' to advance economic and political interests rather than on the 'universal' role to develop knowledge and enhance the critical understanding of people (Yang 2002: 87).

#### ***9.4 Concerns about a market-oriented approach to internationalisation***

An increasing part of student mobility has been associated with international policies in Europe and some other countries (OECD 2009) and a market-driven approach (Scott 1998 mentioned in Van Damme 2001).

Enders (2007) points out that '[i]nternational mobility is predominantly a South-to-North phenomenon even though some activities are undertaken towards exchange on more equal terms. The vast majority of international



students are from low and middle-income countries, and their destinations are in the richer parts of the world, with the U.S. as a major host country followed by Australia, Canada, the United Kingdom, and Western Europe. The increasing flow of academics around the world is also dominated by a South-to-North pattern, while there is significant movement between the industrialized countries and some South-to-South movement as well' (16). A recent analysis published by the Academic Cooperation Association in 2011 shows that Europe is the "leading recipient" of international students (deWit 2012).

It has been observed that in the region of Sub-Saharan Africa, which accounts for 'one of the largest number of outbound students', few of the students return to their home countries and the region 'receives a negligible number of international students' (Mohamedbhai 2012). Moreover, the region suffers from many African academics leaving to work in universities in the so-called developed world. In turn, primarily to compensate for the lack of local academic staff, foreign academics are employed at higher costs. The brain drain, which results from a large number of Africans moving abroad for educational opportunities, is deemed to have a 'negative impact on Africa's development' (*ibid.*).

Furthermore, a crucial question is: how might 'the increased emphasis on the buying and selling of education across borders' impact on the nature of the University and its non-profit contribution to society for academic, cultural and social rationales (Knight 2008: 8). The analogy that Sugden (2004: 119) makes regarding a university mimicking transnational

corporations provides some insights on the potential consequences of a adopting such an approach in the context of internationalisation in higher education:

[ . . . ] suppose a university's strategic decision-makers opted for the pursuit of profit, similarly to transnational corporations. They might copy transnationals by using divide and rule to lower salaries, and by introducing other strategies that excluded interests find objectionable. They might adopt a wholeheartedly market approach, targeting a niche set of 'buyers' for the university's 'products', tailoring courses and charging fees to maximise net revenues, constantly aware of the university's brand (Stamp, 2001). This might bias student selection towards 'customers' or 'clients' from advantaged social groups, or effectively exclude students from different cultures or indeed countries. Each of these possible outcomes might be considered undesirable by the society (or societies) in which the university operates; for example, apparent sensitivity to bias against disadvantaged groups has been topical in Britain (Palfreyman, 2001).

The bias against disadvantaged groups is echoed in concerns about the internationalisation of universities. For example, the perspective put forward by a participant in the Workshop is that ' internationalisation in the University [ . . . ] seems to be for the rich. Coming from an African point of view . . . an average [African] cannot afford to pay ten thousand and something for her child and be able to get money for the accommodation [etc.] . . . [F]or those who get the scholarship, you have to be extremely excellent, even then you still [need] political connections'. For the

participant, internationalisation might thus be 'reserved for the few' and is not for everyone. It has been suggested that the tendency to 'commodify' higher education enhances the selective nature of certain educational programmes. For example ERASMUS targets the 'young, full-time students from families who can afford the substantial surplus-expenses associated with living and learning in another country' (Van Damme 2001: 421).

A market approach to higher education (see also Bundy 2004; Starkey and Tempest 2008) not only has serious consequences for the beings and doings of people who cannot afford to pay the expensive tuition fees but also for the doings and beings of people in the University. Consider the following by Aranguren *et al.* (2009: 8):

As market pressures are translated to academics dealing with programme design, admissions and marking processes, for example, there is a temptation to make judgements on market rather than academic grounds. From the students' perspective too, being taught as "customers" rather than as people engaging in a learning process becomes expressed in expectations and behaviour that are more outcome-determined and less open.

A consequence of the market approach to internationalisation in higher education is that students perceive themselves as customers, framing their expectations about education around 'value for money'.

## ***9.5 Internationalisation and Globalisation***

Amidst the debate around universities, there is also a strong emphasis on distinguishing between globalisation and internationalisation. Globalisation refers to the 'broad economic, technological, and scientific trends that directly affect education and are largely inevitable in the contemporary world' (Alltbach 2007: 123). For example, there is a growing trend for 'international labour market for scholars and scientists' and for the use of English as the 'lingua franca' for communication (Alltbach and Knight 2007: 291).

In the late 1980s the term internationalisation started to gain prominence (Knight 2007, Brandenburg and deWit 2011). However, the phenomenon of internationalisation in universities is not new per se; it has been an aspect of academia for centuries (Yang 2002; Alltbach 2007; Knight 2007, 2008, 2013). Many of the earliest universities were institutions wherein knowledge was generated, fostered, preserved, shared and communicated across 'political and geographical borders' (Middlehurst 2008: 2). Before the 1980s, terms such as international education, international cooperation, and correspondence education were used (Knight 2013). External influences on the internationalisation of higher education started to occur around the 19th and 20th centuries at least, when most universities started to align their activities to the national interests of their states (Middlehurst 2008; De Wit 1999; see also Zeleza 2012).

Globalisation and internationalisation are mutually generative but potentially conflicting as well, especially in terms of higher education policies (OECD 2009; see also Knight 2007). There are views that global forces that lead to a market-approach will liberalise higher education and enable people to compete on the 'basis of equality'. However, some people counter-argue that globalisation will enhance inequalities across the world and lead to the 'McDonaldisation' of the university (Altbach 2007). For example, the rising perception of financing higher education as a 'private good' and the 'tradability of higher education as a commodity' has in part led to the massification of higher education and the rising trend for universities to compete for the recruitment of international students in order to benefit from high tuition fees and/or to support national innovation agendas (as mentioned earlier).

It is argued that activities that are typically generated under globalisation are now delivered under the aegis of internationalisation such as the commercialisation of higher education (Brandenburg and deWit 2011). This might conflict with approaches to internationalisation that support the inclusion of a diverse group of students across countries, cultures and socio-economic backgrounds.

## ***9.6 Concluding Remarks***

I have discussed internationalisation from the perspective of a group of people, composed of academics, postgraduate students and support staff in a

particular university context. Examples of questions that were addressed are: What does internationalisation mean to the participants? What do this group of participants perceive as the reasons for universities to internationalise?

A main aim of the Internationalisation Project was to enable students, academics and support staff to exercise their voice on the internationalisation of the University — with the possibility of the participants changing and shaping their perspectives and that of others through deliberation. Through deliberation in the Workshop, students, academics and support staff with diverse backgrounds and experiences were encouraged to voice their perspectives on issues around the purposes, delivery and outcomes of higher education. The process of deliberation might provide a strong basis for thinking about and shaping the internationalisation of universities in a way that meets the needs and aspirations of those most directly concerned with learning and teaching in universities. With those concerns in mind, this chapter provides a perspective about shaping the internationalisation of universities through multiple voices.

In contrast prescriptive statements by a few people or institutions about higher education as an international and commercial product/service might limit the possibilities for people to explore their valuable beings and doings when studying or working in a University. Here and elsewhere, I specifically refer to *'the' or 'a' University* and not to *universities* generally because the analysis primarily refers to a group of individuals in a particular University.

Moreover, I suspect that each university and its constituents might have reasons to deliberate about their particular aspirations, needs and values regarding how (or whether) they internationalise their institution.

The empirical evidence that was gathered and which have been discussed in this chapter was focused on the first two aims of the Internationalisation Project, namely to explore for a particular set of students, academics and support staff their perspectives on internationalisation and to consider whether their internationalisation perspectives might be shaped through deliberation, with a view to enhancing educational impacts, and if so how.

To investigate the third objective, that is, to determine the impacts of those internationalisation perspectives on the purposes, delivery and outcomes of educational programmes, the researchers would have had to observe how the interaction in the Workshop translated in practice and track the perspectives and resulting actions of the participants over a longer period of time. This was not possible for two main reasons. Firstly the students involved in the Workshop were enrolled in one- year Masters programmes and left the University five months after the Workshop. In the five months after the Workshop, they were busy with their exams and dissertation. Two of the members of the research team also left the University in the months that followed the Workshop, which affected the scope for further inquiry in the same context.

Drawing on the discussion above, including references to debates in the literature (for example, Giroux 2002, 2011; Sugden 2004; Mohamedbhai

2012; also refer to Chapter 7), I suggest and contrast two possible approaches to internationalisation. One approach is market-led, and thus might be more concerned with profits, control and efficiency, while the other approach puts emphasis on people and is concerned with promoting and enhancing the capabilities of academics, students and/or the local community through higher education.

The market-led approach tends to target 'rich' international students in order to generate profits. Accordingly, universities adopting this approach would tend to homogenise and deliver programmes, which are cost-effective and based on what the market have reasons to value (such as to train students for the corporate workforce and to enhance human capital and competitive advantage in the global economy). One might argue that this approach confuses job training with education (Giroux 2002).

Furthermore, one might argue that such an approach mimics and serves transnational corporations in the sense that 'strategic decisions, and the power to make those decisions stay[s] with an exclusive group' (Sugden 2004: 117). A university's approach to internationalisation based on a model of transnational corporations might constrain the positive freedom of people in a society and prevent them from accomplishing valuable beings and doings.

In contrast, there might be an alternative approach to internationalisation, which focuses on what students, academics and others have reasons to value (this might include, but is not restricted to, training students). Universities



adopting this approach tend to develop programmes with strong academic content that is accessible to and integrates significant concerns that affect or interest a diverse group of students from various countries, cultures and socio-economic backgrounds. The capability-focused approach to internationalisation would not simply train students in terms of a narrow set of skills for employability (in order to match quasi-market demands). Rather it emphasises that people should have the possibility to shape their perspectives on internationalisation (and its aims) through deliberation with others. For example, one aim might be to cultivate the imagination and critical thinking of students in order 'to nourish the development of their powers of mind' (Nussbaum 2011: 22) and to enable them to take part in public debate. The capability-focused approach suggested does not exclude the possibility that people involved in the process of internationalisation might have particular reasons to value higher education as a commercial product/service.

There are most probably other approaches (other than the two mentioned) possible for internationalisation. The characterisation of the two approaches was done to point out that there is a choice to be made about which internationalisation approach universities adopt. Echoing Sugden (2004), the approach to internationalisation is thus a matter of choice but it does not depend only on universities and academics. It also requires the support of adequate policies and society as well.

## CONCLUSION

The purpose of this thesis has been to explore how the real opportunities that people have reason to value being and doing can be conceptualised, evaluated and enhanced. To investigate these concerns, I have adopted an approach to research that places emphasis on inquiry as an exploratory, organic and continuous journey. This approach contributed to the discovery of a set of four distinct but interrelated topics for this thesis.

These topics were addressed using a spatial view in the form of the evaluative space of capabilities (based on the work of Amartya Sen, see Chapter 2) and a temporal perspective in the form of a journey of inquiry (based on the work of John Dewey, see Chapter 1). The capabilities approach is used primarily used for conceptual arguments and the Deweyan based approach to inquiry for methodological developments.

### *The journey of academic inquiry and its various elements*

My journey of academic inquiry began with the research in a Knowledge Transfer Partnership (KTP) between the University and an arts centre (refer to Chapter 3 and 6). The KTP sought to investigate how the involvement of a group of young people involved in a socio-cultural project (YoungArts) of the arts centre might inspire them to pursue their creative potential and aspirations. In my analysis of aspirations in the case study of YoungArts (in Chapter 6), I did not simply look at what the participants aimed to be or do

in terms of further education or career objectives (which is typically promoted in research and policy in the UK, see Hart 2013). I broadened the analysis to look at aspirations in terms of what participants have reason to value being and doing in life, and not only in terms of educational or career aspirations.

This perspective drew from the writings of Amartya Sen (such as *Development as Freedom* and his contribution to *Human Development Reports*, see Chapter 2) on valuable beings and doings and the real opportunities to achieve those beings and doings. Sen's approach is gaining momentum in management and organisation studies (see for example, Bryson and O'Neil 2009; Kesting and Harris 2009; Schischka 2009) and I have used it to deepen the analysis of aspirations in a way that goes beyond the focus on wants, choices, motives, behavioural intentions or ambitions of people currently dominating the literature (for an indicative example see Mayrhofer *et al.* 2005).

In the context of education, social justice and human development, there have been new studies conducted by Hart (2013) and Conradie and Robeyns (2014) that link aspirations to capabilities. However, in the management literature this link has not yet been made. By investigating aspirations explicitly in terms of the valuable beings and doings that one has reason to value, this thesis therefore offers a new perspective in management research that allows for a deeper analysis of the context in which aspirations are shaped and enacted. A significant contribution of my discussion on aspirations is that it draws attention to the importance of analysing the

capacity to aspire and not only what people aspire to. This notion could be useful for research in management and organisation, for example, in the context of work and employment. It might be interesting to assess whether workers have the capacity to aspire in particular industries or organisations, and if so what do they have reason to value being and doing in the future and how does that link to organisational learning, etc. Such an approach would allow taking into account a more realistic model of the circumstances in which individuals' aspirations shape their beings and doings in organisations and would therefore be more valuable for academics and practitioners alike.

Aware that sense and sensibility in conducting inquiry are inextricably intertwined (Docherty 2013; refer also to Chapter 1), I explicitly reviewed my evolving experience in YoungArts. Questions that emerged were related to what I, as a researcher from a university involved in the KTP, had reason to value being and doing through academic research and collaborating with others (refer to Chapter 7). To frame my reflections I used the capability approach developed by Amartya Sen and debates related to academia. This led to the ideas developed in Chapter 7 about functionings and capabilities of academics, basic academic needs, academic poverty and academic flourishing. The ideas developed offer insights on the beings and doings of academic researchers and their potential contribution to academia and society. The application of the capability approach to these issues is novel both in the literature on capabilities and on management and organisation of academics and university activities. I will discuss the particular

contribution of Chapter 7 in more details in the section on the key conceptual contribution of this thesis.

During my inquiry in YoungArts, I also started to hypothesise that play might enable people to develop real opportunities to achieve valuable beings and doings. I observed that some young people in YoungArts seemed to be able to focus their energies and explore their ideas freely when engaged in various artistic performances, through play. In contrast, other young people who were involved in other aspects of YoungArts seemed to have difficulties to develop and express their ideas freely and creatively. This led me to research about the qualities of play, and thus what constitutes play (see Chapter 8). This discussion indicates how play can provide real opportunities for people to enhance their functionings such as aspiring and to explore their capabilities. These findings provide insights for research on how to enhance opportunities for people to aspire (including people's capacity to aspire) and/or on capabilities. The discussion on play also opens avenues for further research conceptually and empirically on how play can enhance the capabilities of people, including academics.

The last part of the journey of inquiry that is discussed in this thesis is in relation to the research in a project about shaping the internationalisation of a university through multiple voices (called the Internationalisation Project in this thesis). Through this project, the perspectives of a group of participants (students, academics and support staff) about internationalisation were explored. In Chapter 9, I analysed the empirical data in terms of understanding how internationalisation might impact on

the valuable beings and doings of people. In this analysis the capability lens was used to contrast two possible approaches to internationalisation in a university context, one, which is market-driven, and one, which is capability-focused. The Internationalisation Project also offered me the opportunity to further shape my ideas about play as part of a methodological approach (see Chapter 4).

This thesis makes two key contributions, one conceptual and one empirical. The following discusses these in turn.

#### *Key conceptual contributions*

One first key contribution of this thesis is the conceptual development of the capabilities approach in an area related to management studies. This conceptual contribution is most prominent but not limited to the discussion of how capabilities of academic researchers might be conceptualised and the introduction to the notion of academic poverty. As proposed in Chapter 7, the conceptualisation and evaluation of academic research explores questions about how academics determine what they have reasons to value (not necessarily for themselves but also for society), for example through discussion and deliberation, and how enabled they are to achieve valuable beings and doings. This exploration led to the development of the notion of academic poverty and basic academic needs that academics are required to fulfil in order to avoid that poverty. Next it is argued that the intentional choice of an academic not to meet the basic academic needs though she has the capability to do so (perhaps because she chooses to act and behave as a

corporate consultant and pursue commercial interests) leads to a situation akin to academic poverty. The conceptualisation of academic poverty provides a new and valuable tool for understanding academic deliberations and can be used as a potential benchmark against which to consider the particular realities and outcomes of academic work and life.

Adopting a capability perspective to evaluate the beings and doings that academics have reason to value provides an alternative to ‘mechanical intermediary variable’ (borrowing a phrase from Alkire 2005: 120) such as how many academic papers have been published, in what journals, and using what external funding, imposed by academic peers, policy-makers or others (see also Parker and Jary 1995).

These discussions are particularly relevant to the management and organisation of academics and universities at a time when there are increasing concerns about current developments in academia. Amidst pressures that universities are facing (in terms of dealing with limited funding opportunities, providing more accountability to government and society and being more responsive to the needs of industries and society at large), there are choices that need to be made. These choices can be informed in part by the discussion on the capabilities of academics and academic poverty.

Chapter 7 is also relevant to policies that might affect universities and academics. It seeks to stimulate reflections about whether there are things that are distinctive about universities and academics, for example in terms

of academic research. If so, policy-makers and others should also seriously consider what should be done (and what should not be done) to ensure that universities and academics do not lose this distinctiveness.

More broadly in management and organization studies, the analysis of how academics are able to pursue what they have reason to value and the notion of academic poverty could be used to explore the realities of other sectors with similar pressures. The arts and culture, for instance, have also seen an increased focusing on (monetary or at least quantitative) so-called performance measures, and the resulting conflicts for artistic practice echo developments in academia (for example, Belfiore and Bennett 2010; Lee *et al.* 2011). There are also ample indication of similar effects of the managerialism and ‘target culture’ pervading the health sector in the UK (for example, Bolton 2004; Forbes and Hallier 2006; Pope and Burnes 2013). Translating the analysis of academics’ real capabilities and the concept of academic poverty into those empirical settings can provide a powerful conceptual tool for analysing problematic realities and development outside academia.

#### *Key methodological contribution*

The second contribution of this thesis lies in the discussion of methodological aspects, for example in relation to action research. This discussion provides critical insights for researchers seeking to adopt action research methodologies. I have pointed out challenges in drawing from action research and Deweyan inquiry, especially in terms of pursuing truth



or the spirit of the truth (see Chapter 3). I advocate an open and flexible approach to research that allows for methodological variations and the emergence of new theoretical inputs (see Haunschild and Eikhof 2009).

Reflections about methodology are integrated into various parts of the thesis in a way that highlights its importance and practical import. There are also some very specific and elaborate discussions (in Chapter 3 and Chapter 4) about methods such as observation, photo elicitation and rich picture that I have used in my research for this thesis. These discussions do not simply refer to textbook definitions; they offer deep reflections about the use of these methods.

Moreover, in various aspects of the thesis I draw from the discussion in chapter 1 to explain various aspects of doing research in a real-time inquiry. For example, I explain how sense and sensibility guided my reflections and helped to make inferences that in turn required further investigation. I also stress that ‘sensitivity to the quality of a situation’ is required when conducting research, especially in real-time. Such insights are not necessarily or readily accessible in other research projects in the discipline of management.

The methodological discussion put forward in this thesis has already been taken further in the academic literature (Culver *et al.*, forthcoming). The methodological approach that I have developed for this thesis and the discussion of Deweyan inquiry constitutes a key building block of insights into how a more exploratory approach to research might be undertaken with

both academic rigour and truthfulness. The specific approach proposed in Culver *et al.* (forthcoming) centres on inquiry as an exploratory journey by a group of people where direction, conduct and action are not predetermined, rather they are chosen through observation, reason and evidence and are informed by feeling and sensitivity, as the journey progresses. The empirical context in which this methodology is applied is that of envisioning a region's future, in the case of the Okanagan region in British Columbia, Canada. This application of the method that goes beyond an organisational context to a regional socio-economic context, further evidences the potential contribution of this thesis in terms of practical consequences to society. It also goes to the core of the underlying concern of this thesis, that is, to explore real opportunities for people to pursue valuable beings and doings.

### *Concluding Remarks*

There is a long tradition of integrating ideas from other fields into the study of management and organisation (Cohen 2009). This thesis continues this strong and fruitful tradition with respect to conceptual developments, which draw from the capability approach (Sen 1985/ 1999; 1993; 1999a; 2009/2010) and to methodological developments which are informed by Dewey's notion of inquiry (1938).

This literature from fields adjacent to management studies are integrated in the thesis to offer critical perspectives, for example about aspirations and qualities of play in a way that provide meaningful insights for research in management and organisation. As indicated above, the underlying concern

with individuals' real opportunities to pursue beings and doing they have reason to value can inform alternative approaches to the analysis of what individuals do in organisations and how their beings and doings are managed.

As I mention earlier in the thesis, there is continuity in inquiry and I adopt the view that an inquiry is not *so* settled that issues that emerged from it might not be scrutinized again and developed in further inquiry. In that spirit, I consider that there is scope for further inquiry on the potential contribution of the issues discussed in this thesis such as play and capabilities in academia or the conceptual or methodological applications indicated above. In pursuing such inquiries, new elements, (including about inquiry as method) will no doubt emerge.

## REFERENCES

- ab Iorwerth, A. 2005. Methods of Evaluating University Research Around the World, *Working Paper 2005-04*, Department of Finance, Government of Canada, Ottawa. March.
- Abramis, D. J. 1990. 'Play in Work: Childish Hedonism or Adult Enthusiasm?'. *American Behavioral Scientist*. 33(3): 353-73.
- Academy of Management. 2005. Academy of Management Code of Ethics. Available online: [www.aomonline.org](http://www.aomonline.org). Accessed on December 2013.
- Adler, P. S. and Obstfeld, D. 2007. The role of affect in creative projects and exploratory search. *Industrial and Corporate Change*. 16(1): 19-50.
- Agarwal, B., Humphries, J. and Robeyns, I. 2004. Dialogue, Capabilities, lists, and Public Reason: Continuing the Conversation. Amartya Sen. *Feminist Economics*. 10 (3): 77-80.
- Aguinis, H. 1993. Action research and scientific method: Presumed discrepancies and actual similarities. *The Journal of applied behavioral science*. 29(4): 416-431.
- Åkerlind, G. S., and Kayrooz, C. 2003. Understanding academic freedom: The views of social scientists. *Higher Education Research and Development*. 22(3): 327-344.
- Alkire, S. 2002. *Valuing freedoms: Sen's capability approach and poverty reduction*. Oxford: Oxford University Press.
- Alkire, S. 2004. Culture, poverty, and external intervention. In V. Rao and M. Walton, ed. *Culture and public action: A cross-disciplinary dialogue on development policy*. Stanford: Stanford University Press.

- Alkire, S. 2005. Why the Capability Approach? *Journal of Human Development*. 6 (1): 115-135.
- Alkire, S., Qizilbash, M., and Comim, F. 2008. Introduction. In F. Comim, M. Qizilbash and S. Alkire, eds. *The capability approach. Concepts, Measures and Applications*. Cambridge: Cambridge University Press.
- Alkire, S., and Deneulin, S. 2009. The Human Development and Capability Approach. In S. Deneulin and L. Shahani, eds. *An Introduction to the Human Development and Capability Approach: Freedom and Agency*. London: Earthscan.
- Altbach, P.G. 1999. The perils of internationalising higher education: an Asian perspective. *International Higher Education*. 15: 4-5.
- Altbach, P. 2001. Academic freedom: International realities and challenges. *Higher Education*. 41: 205-219.
- Altbach, P. 2007. Academic Freedom in a Global Context: 21st Century Challenges. *The NEA 2007 Almanac of Higher Education*. 49-56.
- Altbach, P. G., and Knight, J. 2007. The internationalization of higher education: Motivations and realities. *Journal of studies in international education*. 11(3-4): 290-305.
- Anderson, G. 2008. Mapping academic resistance in the managerial university. *Organization*. 15(2): 251-270.
- Appadurai, A. 2004. The capacity to aspire: culture and the terms of recognition. In V. Rao and M. Walton, ed. *Culture and public action: A cross-disciplinary dialogue on development policy*. Stanford: Stanford University Press.

- Aranguren, M.J, Larrea M., and Wilson J.R. 2009. Academia and Public Policy: Towards the co-generation of knowledge and learning processes. *Orkestra Working Paper Series in Territorial Competitiveness*. Published In B.T Asheim and M.D Parrilli, eds. *Interactive Learning for Innovation: A Key Driver within Clusters and Innovation Systems*. Basingstoke: Palgrave Macmillan. 2012.
- Aranguren M.J, Karlsen, J., Larrea M. and Wilson, J.R. 2013. The development of action research processes and their impacts on socio-economic development in the Basque Country. In R. Sugden, M.Valania, and J.R Wilson, eds. *Leadership and Cooperation in Academia Reflecting on the Roles and Responsibilities of University Faculty and Management*. Cheltenham: Edward Elgar.
- Archer, L. 2008. The new neoliberal subjects? Young/er academics' constructions of professional identity. *Journal of Education Policy*. 23(3): 265-285.
- Arrow, K. J. 1999. Amartya K. Sen's contributions to the study of social welfare. *The Scandinavian Journal of Economics*. 101(2): 163-172.
- Banks, M. 2001. *Visual Methods in Social Research*. London, England: SAGE Publications, Ltd. doi: <http://dx.doi.org.ezproxy.stir.ac.uk/10.4135/9780857020284.n1>
- Banks, M. 2008. *Using visual data in qualitative research*. Sage 2008.
- Barker, P, Cowey, L., and McLoughin, S. 2009. The human capability Framework ten years on. *New Zealand Journal of Employment Relations*. 34(1): 34-46.
- Barrow, L.H. 2006. A Brief History of inquiry: From Dewey to Standards. *Journal of Science Teacher Education*. 17: 265-278.

- Barsoux, J-L. 1996. Why organisations need humour. *European Management Journal*. 14(5): 500-8.
- Belfiore, E., and Bennett O. 2010. Beyond the 'toolkit approach: Arts impact evaluation research and the realities of cultural policy-making. *Journal for Cultural Research*. 14 (2).
- Berdahl, R. 1990. Academic freedom, autonomy and accountability in British universities. *Studies in Higher Education*. 15(2): 169-180.
- Berglund, K. A. E., and Wigren-Kristoferson, C. 2012. Using pictures and artefacts in a PAR process to disclose new worlds of entrepreneurship. *Action Research*. 10(3): 276–292.
- Berlin, I. 1969. *Four Essays on Liberty*. Oxford: Oxford University Press.
- Biesta, G. J. J. 2010. *Good education in an age of measurement: Ethics, politics, democracy*. Boulder: Paradigm Publishers.
- Biesta, G. J. J. 2011a. *Learning democracy in school and society: Education, lifelong learning, and the politics of citizenship*. Rotterdam: Sense Publishers.
- Biesta, G. J. J. 2011b. How Useful Should the University Be? On the rise of the Global University and the Crisis in Higher Education. *Qui Parle:Critical Humanities and Social Sciences*. 20(1): 35-47.
- Biesta, G. J. J., and Burbules, N. 2003. *Pragmatism and educational research*. Lanham: Rowman and Littlefield.
- Biggeri, M., Libanora, R., Mariani, S., and Menchini, L. 2006. Children Conceptualizing their Capabilities: Results of a Survey Conducted

during the First Children's World Congress on Child Labour. *Journal of Human Development*. 7(1): 59-83.

Blumer, H. 2004. *George Herbert Mead and Human Conduct*. Lanham: Altamira Press.

Bok, D. 2003. *Universities in the Marketplace. The Commercialization of Higher Education*. Princeton: Princeton University Press.

Bolton, S. C. 2004. A Simple Matter of Control? NHS Hospital Nurses and New Management. *Journal of Management Studies*. 41(2): 317-333.

Bolton, S. C., and Houlihan, M. 2009. Are we having fun yet? A consideration of workplace fun and engagement. *Employee Relations*. 31(6): 556-568.

Boni, A., and Gasper, D. 2012. Rethinking the Quality of Universities: How Can Human development Thinking Contribute? In *Journal of Human Development and Capabilities*. 13(3): 451- 470.

Boydston, J. A. 1970. *Guide to the Works of John Dewey*. Carbondale and Edwardsville: Southern Illinois University Press.

Brandenburg, U., and De Wit, H. 2011. The End of Internationalisation. *International Higher Education*. 62: 15-17.

Branston, J. R., Cowling, K., and Sugden, R. 2006. Corporate governance and the public interest. *International Review of Applied Economics*. 20(2): 189-212.

Brew, A. 2007. Academic autonomy and research decision-making: the researcher's view. In M. Tight, C. Kayrooz, and G. S. Akerlind, eds. *Autonomy in Social Science Research: The view from United*



*Kingdom and Australian Universities*. International Perspectives of Higher Education Research. 4: 47-64. Oxford, UK: Elsevier.

Brew, A., and Lucas, L. 2009. *Academic research and researchers*. McGraw-Hill International.

Brinkmann, S. 2008. Interviewing, In L.M. Given (ed.), *The SAGE Encyclopedia of Qualitative Research Methods*. Thousand Oaks, CA: SAGE Publications, Inc. 471-473. Doi: <http://dx.doi.org.ezproxy.stir.ac.uk/10.4135/9781412963909.n239>

Brown, S. L. with Vaughan, C. 2009. *Play: How it shapes the brain, opens the imagination, and invigorates the soul*. Avery. Penguin Group: New York. Paperback edition 2010.

Bryman, A. 2004. *Social research methods*. 2<sup>nd</sup> edition. Oxford: Oxford University Press.

Bryman, A. 2012. *Social research methods*. 4<sup>th</sup> edition. Oxford: Oxford University Press.

Bryson, J and O'Neil, P. 2009. Editorial for Special Issue on Human Capability. *New Zealand Journal of Employment Relations*. 34(1): 1-6.

Bulman, C. 2008. An Introduction to Reflection, In: C. Bulman and S.Schutz, eds. *Reflective Practice in Nursing*. Oxford: Blackwell.

Bundy, C. 2004. Under New Management? A Critical History of Managerialism in British Universities. In M. Walker, and J. Nixon, eds. 2004. *Reclaiming Universities from a Runaway World*. Berkshire: The Society for Research into Higher Education & Open University.

- Burnes, B. 2004. Kurt Lewin and the Planned Approach to Change: A Re-appraisal. *Journal of Management studies*. 41(6), 977-1002.
- Burnes, B., Wend, P., and By, R. T. 2013. The changing face of English universities: reinventing collegiality for the twenty-first century. *Studies in Higher Education*. 1-22.
- Butler, N., and Spoelstra, S. 2012. Your excellency. *Organization*. 19(6): 891-903.
- Chambliss, J. J. 1996. *Philosophy of Education: an Encyclopedia*. Garland Press. 146-153.
- Caillois, R. 1961. *Man, play and games*. Urbana: University of Illinois Press.
- Calhoun, C. 2012. Libyan money, academic missions, and public social science. *Public Culture*. 24: 9-45.
- Carlson, D. E., Engebretson, J., and Chamberlain, R. M. 2006. Photovoice as a Social Process of Critical Consciousness. *Quality Health Research*. 16(6): 836-852.
- Checkland, P. 1981. *Systems Thinking: Systems Practice*. New York: John Wiley and Sons.
- Chiaperro-Martinetti, E. (2008). Complexity and vagueness in the capability approach: strengths or weaknesses?, In: F. Comim, M.Qizilbash and S.Alkire (eds.), *The Capability Approach: Concepts, Measures and Applications*. Cambridge: Cambridge University Press.
- Christians, C. G. (2005). Ethics and politics in qualitative research. In N.K. Denzin, and Y.S. Lincoln, eds. *The Sage handbook of qualitative research*. Sage Publications, Inc.

- Clark, D. A. 2005. Sen's capability approach and the many spaces of human well-being. *The Journal of Development Studies*. 41(8): 1339-1368.
- Clegg, S. 2008. Academic identities under threat?. *British Educational research journal*. 34(3): 329-345.
- Coffey, A., and Atkinson, P. 1996. *Making sense of qualitative data : complementary research strategies / Amanda Coffey and Paul Atkinson*. London: Sage.
- Cohen, G.A. 1993. Equality of what? On Welfare, Goods, and Capabilities, in: M. Nussbaum and A. Sen, eds. *The Quality of life*. Oxford: Clarendon Press.
- Cohen, M . D., 2009. Reading Dewey: Some Implications for the Study of Routine. In P. S. Adler, ed. *The Oxford Handbook of Sociology and Organization Studies*. New York: Oxford University Press. 444-464.
- Collier, J. 1957. Photography in anthropology: a report on two experiments. *American Anthropologist*. 59(5): 843-859.
- Collinson, D. L. 2002. Managing humour. *Journal of Management Studies*. 39(3): 269-288.
- Conradie, I., and Robeyns, I. 2013. Aspirations and Human Development Interventions. *Journal of Human Development and Capabilities*. 14(4): 559-580.
- Cooke, P. and Kitagawa, F. 2013. From state to market via corruption : universities in an era of privatisation. In R. Sugden, M. Valania, and J. R. Wilson, eds. *Leadership and cooperation in academia: reflecting on the roles and responsibilities of university faculty and management*. Edward Elgar Publishing.

- Costea, B., Crump, N. and Holm, J. 2005. 'Dionysus at Work? The Ethos of Play and the Ethos of Management'. *Culture and Organization*. 11(2): 139–51.
- Crocker, D. A. 1992. Functioning and Capability: The Foundation of Sen's and Nussbaum's Development Ethic. *Political Theory*. 20(4): 584-612.
- Crocker, D. A. 2006. Sen and Deliberative Democracy. In A. Kaufman, ed. *Capabilities Equality: Basic Issues and Problems*. New York: Routledge. 155-197.
- Crocker, D. A., and Robeyns, I. 2009. Capability and Agency. In C. Morris, ed. *Amartya Sen*. Cambridge: Cambridge University Press.
- Csikszentmihalyi, M., and Bennett, S. 1971. An Exploratory model of Play. *American Anthropologist*. 73(1): 45-58.
- Csikszentmihalyi, M., and Csikszentmihalyi, I.S., eds. 1988. *Optimal experience: psychological studies of flow in consciousness*. Cambridge: Cambridge University Press.
- Culver, K., Dhaliwal N., Mooker, M. and R. Sugden. (*forthcoming*). Regional social and economic development in the Okanagan, Canada: Envisioning the future to initiate a strategy. Contribution to J. M. Valdaliso and J. R. Wilson, eds. *Smart Strategies for Shaping Territorial Competitiveness*. Routledge: Oxford and New York.
- Currie, G., Knights, D., and Starkey, K. 2010. Introduction: A Post-Crisis Critical Reflection on Business Schools. *British Journal of Management*. 21: S1-S5.
- Dandridge, T. C. (1986) 'Ceremony as an Integration of Work and Play', *Organization Studies*. 7(2): 159–70.

- Davis, J. B. 2009. The Capabilities Conception of the Individual, Review of Social Economy. 67(4): 413-429.
- Deakin, S. 2009. The 'Capability' Concept and the Evolution of European Social Policy. *New Zealand Journal of Employment Relations*. 34(1): 7.
- Dean, H. 2009. Critiquing capabilities: the distractions of a beguiling concept. *Critical Social Policy*. 29(2): 261-278.
- de Boer, H.F. 1999. Changes in Institutional governance structures: the Dutch case. In J. Brennan, J. Fedrowitz, M.T. Huber and T. Shah, eds. *What Kind of university? International Perspectives on Knowledge, Participation and Governance*. Buckingham: The Society for Research into Higher Education and Open University Press.
- Deen, P. 2012. Introduction. In John Dewey, *Unmodern philosophy and modern philosophy*. Carbondale and Edwardsville: Southern Illinois University Press.
- Deneulin, S. 2009. Advancing Human Development: Values, Groups, Power and Conflict. WEO. Working Paper 09-49.
- Denzin, N.K. and Lincoln, Y. S., eds. 2008. *The landscape of qualitative research*. 3<sup>rd</sup> edition, Sage Publications.
- Dewey, J. 1910. *How we think*. Boston: D.C. Heath & Co.
- Dewey, J. 1917. *Creative Intelligence: Essays in the pragmatic attitude*. New York: Henry Holt and Company.

- Dewey, J. 1927. *The Public and its Problems*. Reproduced in J. A. Boydston, ed. 1988. *John Dewey. The Later Works Volume 2, 1925-1927*. Carbondale and Edwardsville: Southern Illinois University Press.
- Dewey, J. 1929. *The quest for certainty*. New York: Minton, Balch and Company.
- Dewey, J. 1933/ 1964. How We Think: A Restatement of the Relation of Reflective Thinking to Educative Process. In R.D. Archambault, ed. *John Dewey on education: Selected writings*. Chicago: The University of Chicago Press.
- Dewey, J. 1934. *Art as experience*. New York: Minton, Balch and Company.
- Dewey, J. 1938. *Logic: The Theory of Inquiry*. New York: Henry Holt and Co.
- Dewey, J. 1947. Liberating the Social Scientist. *Commentary*.
- Dewey, J. 2012. *Unmodern philosophy and modern philosophy*. Edited and with an introduction by Phillip Deen, with a foreword by Larry A. Hickman. Carbondale and Edwardsville: Southern Illinois University Press.
- De Wit, H. 1999. Changing rationales for the internationalisation of higher education. *International Higher Education*. 15: 2–3.
- De Wit, H. 2011. Globalisation and Internationalisation of Higher Education. [introduction to online monograph]. *Revista de Universidad y Sociedad del Conocimiento (RUSC)*. 8 (2): 241-248.
- De Wit, H. 2012. Student mobility between Europe and the rest of the world: Trends, issues and challenges. In *European Higher Education at the Crossroads*. Springer Netherlands. 431-439.

- Docherty, T. 2008. *The English Question or Academic Freedoms*. Brighton: Sussex Academic Press.
- Docherty, T. 2013. Sense and sensibility in academia. In R. Sugden, M.Valania, and J.R Wilson, eds. *Leadership and Cooperation in Academia Reflecting on the Roles and Responsibilities of University Faculty and Management*. Cheltenham: Edward Elgar.
- Eden, C., and Huxham, C. 1999. Action research for the study of organizations. In S. Clegg, abd C. Hardy, eds. *Editorial Board: Studying organization: Theory & method*. London: SAGE Publications Ltd. 272-289.
- Eisenhardt, K. M. 1989. Building theories from case study research. *The Academy of Management Review*. Academy of Management.
- Elden, M., and Levin, M. 1991. Cogenerative learning. Bringing participation into action research. In W. F Whyte, ed. *Participatory Action Research*. 127-142. London: Sage.
- Elkin, G., Farnsworth, J., and Templer, A. 2008. Strategy and the internationalisation of universities. *International Journal of Educational Management*. 22(3): 239-250.
- Enders, J. 2003. Higher education, internationalisation, and the nation-state. *Peking University Education Review*. 3: 006.
- Ennew, C. 2014. Why it still makes sense to build an overseas campus? *The Guardian*. Available online: <http://www.theguardian.com/higher-education-network/blog/2014/feb/25/build-overseas-campus-international-student-nottingham-malaysia>. Accessed on 25 July 2014.

- Ernø-Kjølhede, E., Husted, K., Mønsted, M., and Wenneberg, S. B. 2001. Managing university research in the triple helix. *Science and Public Policy*. 28(1): 49-55.
- ESRC. 2011. ESRC Research Funding Guide. June. Available online [www.esrc.ac.uk](http://www.esrc.ac.uk). Accessed on 7 September 2011.
- Etzkowitz, H. 2011. The triple helix: science, technology and the entrepreneurial spirit. *Journal of Knowledge-based Innovation in China*. 3(2): 76-90.
- Etzkowitz, H. 2013. When knowledge married capital: the birth of academic enterprise. *Journal of Knowledge-based Innovation in China*. 5(1): 44-59.
- Etzkowitz, H., and Leydesdorff, L. 2000. The dynamics of innovation: from National Systems and “Mode 2” to a Triple Helix of university–industry–government relations. *Research policy*. 29(2): 109-123.
- Etzkowitz, H., Webster, A., Gebhardt, C., and Terra, B. R. C. 2000. The future of the university and the university of the future: evolution of ivory tower to entrepreneurial paradigm. *Research policy*. 29(2): 313-330.
- Evans, K. G. 2000. Reclaiming John Dewey Democracy, Inquiry, Pragmatism, and Public Management. *Administration & Society*. 32(3): 308-328.
- Evans, G.R. 2002. *Academics and the Real World*. The Society for Research into Higher Education & Open University Press.
- Feezell, R. 2010. A Pluralist Conception of Play. *Journal of the Philosophy of Sport*. 37(2): 147-165.



- Festenstein, M. 2001. Inquiry as critique: On the legacy of Deweyan pragmatism for political theory. *Political Studies*. 49(4): 730-748.
- Finne, H., Levin, M., and Nilssen, T. 1995. Trailing research: A model for useful program evaluation. *Evaluation* 1(1): 11–31.
- Fleming, P. 2005. Workers’ playtime? Boundaries and cynicism in a “culture of fun” program. *The Journal of Applied Behavioral Science*. 41(3): 285-303.
- Flick, U. 2009. *An introduction to qualitative research*. Sage Publications.
- Fontana, A., and Frey, J. H. 2005. The interview: From neutral stance to political involvement. In N. K. Denzin and Y. S. Lincoln, eds. *The Sage handbook of qualitative research*. 3rd Ed. Thousand Oaks, CA: Sage. 695-727.
- Forbes, T., and Hallier, J. 2006. Social identity and self-enactment strategies: adapting to change in professional–manager relationships in the NHS. *Journal of Nursing Management*. 14(1): 34-42.
- Freire, P. 1970/ 1993. *The Pedagogy of the oppressed*. New York: The Continuum International Publishing Group Inc.
- Fukuda-Parr, S. 2003. The human development paradigm: operationalizing Sen’s ideas on capabilities. *Feminist Economics*. 9 (2-3): 301–317.
- Fuller, S. 2003. Can universities solve the problem of knowledge in society without succumbing to the knowledge society?, *Policy Futures in Education*. 1(1): 106–124
- Furedi, F. 2004. *Where Have all the Intellectuals Gone? Second Edition including ‘A Reply to my Critics’*. London: Continuum.

- Gaita, R. 1997. Truth and the idea of a university, *Australian Universities' Review*. 40(2): 13–18.
- Garnett Jr, R. F. 2009. Liberal Learning as Freedom: A Capabilities Approach to Undergraduate Education. *Studies in Philosophy and Education*. 28: 437 -447.
- Gasper, D. R. 2000. 'Development as Freedom': Taking Economics Beyond Commodities-The Cautious Boldness of Amartya Sen. *Journal of International Development*. 12(7): 989-1001.
- Gasper, D. 2007. What is the capability approach? Its core, rationale, partners and dangers. *The Journal of Socio-Economics*. 36: 335- 359.
- Gasper, D. and George, S. 2010. Cultivating Humanity?: Education and Capabilities for a Global 'great Transition', *Issue 503 of Working papers: General series. International Institute of Social Studies*.
- Geer, B. 1997. First days in the field. In A. Bryman and R. Burgess, eds. *Qualitative Research*. Volume 4. London: Sage Publications.
- Geiger, G. 1958. *John Dewey in perspective*. Westport: Greenwood Press
- Gibbons, M. 2000. Mode 2 society and the emergence of context-sensitive science. *Science and Public Policy*. 27(3): 159–163.
- Gilardone, M. 2010. Amartya Sen sans prisme. *Cahiers d'économie Politique/Papers in Political Economy*, (1): 9-39.
- Giroux, H. A. 2002. Neoliberalism, corporate culture, and the promise of higher education: The university as a democratic public sphere. *Harvard educational review*. 72(4): 425-464.

- Giroux, H. 2011. Who will save higher education?| *The Hamilton Spectator*. Available online: [http://www.thespec.com/opinion-story/2199133-who-will-save-higher-education-/](http://www.thespec.com/opinion-story/2199133-who-will-save-higher-education/). Accessed on 2<sup>nd</sup> May 2014.
- Gottfredson, L. S. 1996. Gottfredson's theory of circumscription and compromise. In D.Brown, L. Brooks, and Associates, eds. *Career choice and development*. 3rd ed. San Francisco: Jossey-Bass. 179-232.
- Graham, G. 2005. *The Institution of Intellectual Values. Realism and Idealism in Higher Education*. Exeter: Imprint Academic.
- Granovetter, M. 1985. Economic action and social structure: The problem of embeddedness. *American Journal of Sociology*. 91: 481-93.
- Greenwood, D. and Levin, M. 2001. Re-Organizing universities and 'Knowing How': Universities Restructuring and Knowledge Creation for the 21<sup>st</sup> Century. *Organization Speaking Out*. 8(2): 433-40.
- Greenwood, D., and Levin, M. 2005. Reform of the social sciences and of universities through action research. In N.K. Denzin, and Y. S. Lincoln, eds. *The Sage handbook of qualitative research*. Third Edition. Sage Publications. 43-64.
- Greenwood, D., and Levin, M. 2007. *Introduction to Action Research*. 2<sup>nd</sup> Edition. London: Sage Publications.
- Guhathakurta, M. 2008. Theatre in Participatory Action Research: Experiences from Bangladesh. In P. Reason and H. Bradbury, eds. *Handbook of action research. Participative inquiry and practice*. London: Sage.
- Gumport, P. J. 2000. Academic restructuring: Organizational change and institutional imperatives. *Higher Education*. 39: 67-91.

- Gürüz, K. 2011. University Autonomy and Academic Freedom: A Historical Perspective. *International Higher Education*. 63: 13-14.
- Gutman, L. M., and Akerman, R. 2008. *Determinants of Aspirations*. Research Report for Centre for Research on the Wider Benefits of Learning. University of London: Institute of Education.
- Hammersley, M. 2004. Action research: a contradiction in terms?. *Oxford Review of Education*. 30(2): 165-181.
- Hammersley, M., and Atkinson, P. 2007. *Ethnography: Principles in practice*. 3<sup>rd</sup> edition. Routledge.
- Hammersley, M., and Traianou, A. 2014. Foucault and Research Ethics On the Autonomy of the Researcher. *Qualitative Inquiry*. 20(3): 227-238.
- Harrison, N., and Peacock, N. 2009. Cultural distance, mindfulness and passive xenophobia: using Integrated Threat Theory to explore home higher education students' perspectives on 'internationalisation at home'. *British Educational Research Journal*. 36(6): 877-902.
- Harper, D. 2002. Talking about pictures: a case for photo elicitation. *Visual Studies*. 17(1): 13-26.
- Hart, C. S. 2009. Quo vadis? The capability space and new directions for the philosophy of educational research. *Studies in Philosophy and Education*. 28(5): 391-402.
- Hart, C. S. 2013. *Aspirations, education and social justice: applying Sen and Bourdieu*. London: Bloomsbury.
- Haunschild, A., and Eikhof, D.R. 2009. From HRM to employment rules and lifestyles: Theory development through qualitative case study

research into the creative industries. *Zeitschrift für Personalforschung – German Journal of Human Resource Research*. 23(2): 107-124.

Henkel, M. 2007. Can academic autonomy survive in the knowledge society? A perspective from Britain. *Higher Education Research & Development*. 26(1): 87-99.

Henricks, T.S. 2006. *Play Reconsidered: Sociological Perspectives on Human Expression*. Urbana: university of Illinois Press.

Henricks, T.S. 2008. The Nature of Play: An Overview. *American Journal of Play*.1: 157-180. Fall 2008.

Henricks, T.S. 2009. Orderly and Disorderly Play: A Comparison. *American Journal of Play*. 12-40. Summer 2009.

Henricks, T.S. 2010. Caillois's Man, Play, and Games: An Appreciation and Evaluation. *American Journal of Play*. 157-185. Fall 2010.

Henwood, K., Shirani, F., and Finn, M. 2011. 'So you think we've moved, changed, the representation got more what?' Methodological and analytical reflections on visual (photo-elicitation) methods used in the Men-as-Fathers study. In P. Reavey, ed. *Visual Methods in Psychology: Using and Interpreting Images in Qualitative Research*. Hove and New York: Psychology Press. Taylor and Francis group.

Heslop, L. 2014. Understanding India: The future of higher education and the opportunities for international co-operation. *British Council Report*. Available online: <http://www.britishcouncil.org/education/ihe/knowledge-centre/national-policies/report-understanding-india>. Accessed on 4<sup>th</sup> April 2014.

- Hirschman, A. O. 1970. *Exit, voice and loyalty: responses to decline in firms, organizations and states*. Cambridge, MA: Harvard University.
- Hodgetts, D., Chamberlain, K., and Shiloh, G. 2011. Reflections on the visual in community research and action. In P. Reavey, ed. *Visual Methods in Psychology: Using and Interpreting Images in Qualitative Research*. Hove and New York: Psychology press. Taylor and Francis Group.
- Hodgkinson, G. P., Herriot, P., and Anderson, N. 2001. Re-aligning the Stakeholders in Management Research: Lessons from Industrial, Work and Organizational Psychology. *British journal of Management*. 12(s1): S41-S48.
- Holligan, C. 2011. Feudalism and academia: UK academics' accounts of research culture, *International Journal of Qualitative Studies in Education*. 24(1): 55–75.
- Holmwood, J. 2012. With the managers in charge, autonomy isn't what it used to be. *Times Higher Education*. Available online <http://www.timeshighereducation.co.uk/news/with-the-managers-In-charge-autonomy-isnt-what-it-used-to-be/419961.article>. Accessed on 14<sup>th</sup> April 2014
- Holstein, J. A and Gubrium, J. B. 2003. *Inside Interviewing*. Thousand Oaks, CA: SAGE Publications, Inc. doi:<http://dx.doi.org.ezproxy.stir.ac.uk/10.4135/9781412984492.n1>
- Homan, R. 1991. *The ethics of social research*. London: Longman.
- Hook, S. 1959. John Dewey – Philosopher of Growth. In Sidney Morgenbesser (ed.). *Dewey and his critics*. New York: The Journal of Philosophy Inc. 1977.

- Howlett, R. J. 2010. Knowledge transfer between UK universities and business. *In Innovation through Knowledge Transfer*. Springer Berlin Heidelberg. 1-14.
- Huizinga, J. 1944/ 1949. *Homo ludens: A study of the play-element in culture*. First published in 1938. London: Routledge & Kegan Paul Limited.
- Hunter, C., Jemielniak, D. and Postula, A. 2010. 'Temporal and Spatial Shifts Within Playful Work'. *Journal of Organizational Change Management*. 23(1): 87–102.
- Huxham, C., and Vangen, S. 2003. Researching organizational practice through action research: Case studies and design choices. *Organizational Research Methods*. 6(3): 383-403.
- IAU (2012). Affirming Academic Values in Internationalisation of Higher Education – A Call for Action. Available online <http://www.eua.be/mpnews/mpnews-articles/12-06-07/IAU.aspx>.
- Ibarra, H., and Petriglieri, J. 2010. Identity work and play. *Journal of Organizational Change Management*. 23: 10–25.
- Jacob, M. 2000. 'Mode 2' in Context: The Contract Researcher, the University and the Knowledge Society. In M. Jacob and T. Hellström, eds. *The Future of Knowledge Production in the Academy*. Buckingham: The Society for Research into Higher Education and Open University Press.
- Jacob, M. and Hellström, T. 2000. *The Future of Knowledge Production in the Academy*. Buckingham: The Society for Research into Higher Education and Open University Press.

- Joas, H. 1993. *Pragmatism and Social Theory*. Chicago: University of Chicago Press.
- Joas, H. 1996/2005. *The Creativity of Action*. Cambridge: Polity Press.
- Johnston, J. S. 2006. *Inquiry and Education: John Dewey and the Quest for Democracy*. State University of New York Press.
- Jorgensen, D.L. 1989. *Participant Observation*. Thousand Oaks, CA: SAGE Publications, Inc.  
doi: <http://dx.doi.org.ezproxy.stir.ac.uk/10.4135/9781412985376.n1>
- Kaplan, A. 1964. *The conduct of inquiry: Methodology for behavioral science*. Chandler Publishing Company: San Francisco.
- Kark, R. 2011. Games managers play: Play as a form of leadership development. *Academy of Management Learning & Education*. 10 (3): 507-527.
- Karlsen, M. J., and Larrea, M. 2014. *Territorial Development and Action Research: Innovation Through Dialogue*. Gower Publishing, Ltd.
- Kauanui, S. K., Thomas, K. D., Sherman, C. L., and Waters, G. R. 2010. An exploration of entrepreneurship and play. *Journal of Organizational Change Management*. 23: 51-70.
- Kaufmann, F. 1959. John Dewey's Theory of Inquiry. *The journal of philosophy*. 826-836.
- Kayrooz, C., Åkerlind, G. and Tight, M. 2007. *Autonomy and Social Science Research: the View from United Kingdom and Australia Universities*, International Perspectives on Higher Education Research (4), Elsevier JAI Press: Kidlington, Oxford and Amsterdam.



- Keiser, A. and Leiner. L. 2009. Why the Rigour–Relevance Gap in Management Research Is Unbridgeable. *Journal of Management Studies*. 46(3): 516–33.
- Kemmis, S. 2008. Critical Theory and Participatory Action Research. In P. Reason and H. Bradbury, eds. *Handbook of action research. Participative inquiry and practice*. London: Sage.
- Kennedy, G. 1970. In Jo Ann Boydston (ed.), *Guide to the Works of John Dewey*. Southern Illinois University Press.
- Kesting, S., and Harris, C. 2009. Providing a Theoretical Foundation for Work-life Balance-Sen's Capability Approach. *New Zealand Journal of Employment Relations*. 34(1): 47.
- Key Perspectives Ltd. 2009. *A Comparative Review of Research Assessment Regimes in Five Countries and the Role of Libraries in the Research Assessment Process*. Report commissioned by OCLC Research, Ohio.
- Klamer, A. 1989. A conversation with Amartya Sen. *The Journal of Economic Perspectives*. 135-150.
- Knight, J. 1993. Internationalization: management strategies and issues. *International education magazine*. 9(1): 6.
- Knight, J. 1994. Internationalisation: Elements and Checkpoints. *Canadian Bureau for International Education*. 10(3): 507- 527.
- Knight, J., and De Wit, H. 1995. Strategies for internationalization of higher education: historical and conceptual perspectives. In Hans de Wit, ed. *Strategies for Internationalization of Higher Education: A Comparative Study of Australia, Canada, Europe and the United States of America*. Amsterdam: European Association for International Education (EAIE). 5-32.

- Knight, J. 1999. *A time of turbulence and transformation for internationalization* (Research Monograph, No. 14). Ottawa, Canada: Canadian Bureau for International Education.
- Knight, J. 2004. Internationalization remodeled: Definition, approaches, and rationales. *Journal of studies in international education*. 8(1): 5-31.
- Knight, J. 2007. Internationalisation: Concepts, complexities and challenges. In James J.F. Forest and Philip G. Altbach, eds. *International Handbook of Higher Education*. 8: 207–227.
- Knight, J. 2008. The internationalization of higher education: Are we on the right track? *Academic Matters. The Journal of Higher Education*. 5-9.
- Knight, J. 2011. Five Myths about Internationalization. *International Higher Education*. 62: 14-15.
- Knight, J. 2013. *The changing landscape of higher education internationalisation—for better or worse?*. *Perspectives: Policy and Practice in Higher Education*. 17(3): 84-90.
- Kreber, C. 2009. Different perspectives on internationalization in higher education. *New Directions for Teaching and Learning*. 2009(118): 1-14.
- Kuklys, W. 2005. *Amartya Sen's capability approach: theoretical insights and empirical applications*. Springer.
- Lapenta, F. 2011. Some Theoretical and Methodological Views on Photo-Elicitation. In E. Margolis and L. Pauwels, eds. *The SAGE Handbook Visual Research Methods*. London: SAGE Publications Ltd.

- Larner, W. and R. Le Heron 2005. Neoliberalizing Spaces and Subjectivities: Reinventing New Zealand Universities. *Organization*. 12(6): 843–862.
- Leßmann, O. 2009. Capability and Learning to Choose. *Studies in Philosophy and Education*. 28: 449–460.
- Lent, R. W., Brown, S. D., and Hackett, G. 1994. Toward a unifying social cognitive theory of career and academic interest, choice, and performance. *Journal of Vocational Behavior*. 45: 79-122.
- Levi, I. 2012. *Pragmatism and Inquiry: Selected Essays*. Oxford University Press.
- Levin, M. and Greenwood, D. 2001a. Re-organising universities and “knowing-how” : University restructuring and knowledge creation for the twenty-first century. *Organization*. 8(2): 433-440.
- Levin, M., and Greenwood, D. 2001b. Pragmatic Action Research and the Struggle to Transform Universities into Learning Communities. In P. Reason and H. Bradbury, eds. *Handbook of Action Research. Participative Inquiry and Practice*. London: Sage.
- Levin, M. 2004. Cross-Boundary Learning Systems—Integrating Universities, Corporations, and Governmental Institutions in Knowledge Generating Systems. *Systemic Practice and Action Research*. 17: 3.
- Lykes, M. B., and Mallona, A. 2008. Towards transformational liberation: Participatory action research and activist praxis. In P. Reason and H. Bradbury, eds., *Handbook of action research. Participative inquiry and practice*. London: Sage. 260-292.

- Madzia, R. 2012. Mead, Dewey, and Extended Cognition: The Relevance of the Chicago School for Contemporary Cognitive Science.
- Mainemelis, C., and Ronson, S. 2006. Ideas are Born in Fields of Play: Towards a Theory of Play and Creativity in Organizational Settings. *Research in Organizational Behavior: An Annual Series of Analytical Essays and Critical Reviews*. 27: 81–131.
- Marginson, S. 1997. How Free is Academic Freedom?, *Higher Education Research & Development*. 16(3): 359–369.
- Marginson, S. 2007. Freedom as control and the control of freedom: FA Hayek and the academic imagination, *International Perspectives on Higher Education Research*. 4: 67–104.
- Masters, P.A. 2008. Play Theory, Playing, and Culture. *Sociology Compass*. 2/3(2008): 856–869.
- Mathison, S. 2005. Observation. *Encyclopedia of Evaluation*. Thousand Oaks, CA: Sage Publications, Inc. doi: <http://dx.doi.org.ezproxy.stir.ac.uk/10.4135/9781412950558.n380>.
- Mayrhofer, W., Steyrer, J., Meyer, M., Strunk, G., Schiffinger, M., and Iellatchitch, A. 2005. Graduates' career aspirations and individual characteristics. *Human Resource Management Journal*. 15 (1): 38-56.
- McKechnie, L.E.F 2008. Unstructured observation. In L. Given ed. *The SAGE encyclopedia of qualitative research methods*. Thousand Oaks, CA: SAGE Publications, Inc. 908-909.
- McNay, I. 2007. Research assessment; researcher autonomy. *International Perspectives on Higher Education Research*. 4: 183-216.

- Mead, G. H., & Morris, C. W. 1962. *Mind, Self, and Society from the Standpoint*. University of Chicago Press.
- Meyer, L. H. 2012. Negotiating Academic Values, Professorial Responsibilities and Expectations for Accountability in Today's University. *Higher education quarterly*. 66(2): 207-217.
- Metcalf, M. 2008. Pragmatic inquiry. *Journal of the Operational Research Society*. 59(8): 1091-1099.
- Middlehurst, R. 2008. Developing Institutional Internationalisation Policies and Strategies.: An Overview of Key Issues. In: M. Gaebel, L. Purser, B. Wachter, L. Wilson, H. Davies, and G. Schurings, eds. *Internationalisation of European higher education: an EUA/ACA handbook*. Berlin, Germany RAABE. 1-24.
- Mitchell, C. 2011. *Doing visual Research*. London: Sage.
- Mohamedbhai, G. 2012. Internationalization in African higher education: A different approach. *IAU Horizons*. 17(3): 19-20.
- Mohamedbhai, G. 2014. Internationalization and Global Responsibility. *Inside Higher Education*. Available online: <https://www.insidehighered.com/blogs/world-view/internationalization-and-global-responsibility>. Accessed on 4 April 2014.
- Morgan, D. L. 2014. Pragmatism as a Paradigm for Social Research. *Qualitative Inquiry*. 20(8): 1045-53.
- Morgenbesser, S. 1977. *Dewey and his critics*. New York: The Journal of Philosophy Inc.

- Nelson, C. 2010. *No university is an island: Saving academic freedom*. NYU Press.
- Nowotny, H. 2000. The Production of Knowledge beyond the Academy and the Market: A Reply to Dominique Pestre. *Science, Technology & Society*. 5(2): 183-194.
- Nowotny, H., Scott, P., and Gibbons, M. 2003. 'Mode 2' Revisited: The New Production of Knowledge. *Minerva*. 41: 179-194.
- Nussbaum, M. C. 1988. Nature, Functioning and Capability: Aristotle on Political Distribution, *Oxford Studies in Ancient Philosophy*. Supplementary Volume: 145-184.
- Nussbaum, M. C. 2011. *Creating Capabilities: The human development approach*. Cambridge, Mass.: Belknap Press of Harvard University Press.
- Lee, D.J, Oakley, K. and Naylor, R. 2011. The public gets what the public wants? The uses and abuses of 'public value' in contemporary British cultural policy. *International Journal of Cultural Policy*. 17 (3): 289-300.
- OECD. 2001. *Cities and Regions in the the new learning economy*. OECD Publishing. Paris.
- OECD. 2005. *University research management: Developing research in new institutions*. OECD publishing.
- OECD. 2009. *Higher Education to 2030. Globalisation*. Volume 2. OECD Publications.
- Olsen, O.E., and Lindøe, P.H. 2004. Trailing research based evaluation; phases, and roles. *Evaluation and Program Planning*. 27: 371-80.

- Olssen, M., and Peters, M. A. 2005. Neoliberalism, higher education and the knowledge economy: from the free market to knowledge capitalism. *Journal of Education Policy*. 20(3): 313-345.
- Ozga, J. 1998. The entrepreneurial researcher: re-formations of identity in the research marketplace. *International Studies in Sociology of Education*. 8(2): 143-153.
- Pauwels, L. 2010. Visual sociology reframed: An analytical synthesis and discussion of visual methods in social and cultural research. *Sociological Methods & Research*. 38(4): 545-581.
- Parker, M., and Jary, D. 1995. The McUniversity: Organization, Management and Academic Subjectivity. *Organization*. 2(2): 319-338.
- Parker, J., & van Teijlingen, E. 2012. The Research Excellence Framework (REF): assessing the impact of social work research on society. *Practice*. 24(1): 41-52.
- Pelligrini, A.D., and Smith, P.K. 1998. Physical activity play: The nature and function of a neglected aspect of play. *Child Development*. 69(3): 577-598.
- Pepper, D. M. 1977. *John Dewey: inquiry: knowledge and truth*. (Doctoral dissertation, Pepper).
- Perkmann, M., Tartari, V., McKelvey, M., Autio, E., Broström, A., D'Este, P., and Sobrero, M. 2013. Academic engagement and commercialisation: A review of the literature on university–industry relations. *Research Policy*. 42(2): 423-442.
- Pestre, D. 2003. Regimes of knowledge production in society: towards a more political and social reading. *Minerva*. 41(3): 245-261.

- Pfeffer, J., and Fong, C. T. 2004. The Business School 'Business': Some Lessons from the US Experience. *Journal of Management Studies*. 41(8): 1501-1520.
- Plester, B. 2009. Crossing the line: boundaries of workplace humour and fun. *Employee relations*. 31(6): 584-599.
- Pope, R., and Burnes, B. 2013. A model of organisational dysfunction in the NHS. *Journal of health organization and management*. 27(6): 676-697.
- Power, P. 2011. Playing with Ideas. The Affective Dynamics of Creative Play. *American Journal of Play*. 288-323. Winter 2011.
- Qiang, Z. 2003. Internationalization of higher education: towards a conceptual framework. *Policy Futures in Education*. 1(2): 248-270.
- Qizilbash, M. 2006. Well-Being, Adaptation and Human Limitations. *Royal Institute of Philosophy Supplement*. 59: 83-110.
- Qizilbash, M. 2008. Amartya Sen's capability view: insightful sketch or distorted picture? In F. Comim, M. Qizilbash and S. Alkire, eds. *The Capability Approach: Concepts, Measures and Applications*. Cambridge University Press.
- Qizilbash, M. 2011. Sugden's critique of Sen's capability approach and the dangers of libertarian paternalism. *International Review of Economics*. 58(1): 21-42.
- Qizilbash, M. 2011. Sugden's critique of the capability approach. *Utilitas*. 23(01): 25-51.
- Rabinow, P. 2012. How to Submit to Inquiry: Dewey and Foucault. *The Pluralist*. 7(3): 25-37.



- Rahman, M. L. 2008. Some trends in the praxis of participatory action research. In P. Reason and H. Bradbury, eds. *Handbook of Action Research. Participative Inquiry and Practice*. London: Sage.
- Ranga, M., and Etzkowitz, H. 2013. Triple Helix systems: an analytical framework for innovation policy and practice in the Knowledge Society. *Industry and Higher Education*. 27(4): 237-262.
- Rao, V., and Walton, M. 2004. *Culture and public action: A cross-disciplinary dialogue on development policy*. Stanford, CA: Stanford University Press.
- Randall Jr., J.H. 1953. John Dewey: 1859-1952. In Sidney Morgenbesser (ed.). *Dewey and his critics*. New York: The Journal of Philosophy Inc. 1977.
- Reason, P. 2003. Pragmatist Philosophy and action research. Readings and Conversation with Richard Rorty. *Action Research*. 1(1): 103-123.
- Reason, P., and Bradbury, H. 2001. *Handbook of action research: Participative inquiry and practice*. Sage.
- Reason, P., and Bradbury, H. 2008. Introduction. In P. Reason and H. Bradbury, eds., *Handbook of action research. Participative inquiry and practice*. London: Sage.
- Reavey, P. 2011. The return to experience: psychology and the visual. In P. Reavey, ed. 2011. *Visual Methods in Psychology: Using and Interpreting Images in Qualitative Research*. Psychology Press. Hove and New York: Taylor and Francis.
- Reavey, P. 2011. *Visual Methods in Psychology: Using and Interpreting Images in Qualitative Research*. Psychology Press. Hove and New York: Taylor and Francis.

- Robeyns, I. 2005. The capability approach: a theoretical survey. *Journal of Human Development*. 6(1): 93-117.
- Robeyns, I. 2006. The Capability Approach in Practice. *The Journal of Political Philosophy*. 14 (3): 351–376.
- Robeyns, I. 2008. Sen's Capability Approach and Feminist Concerns, in: F. Comim, M. Qizilbash and S. Alkire eds. *The Capability Approach: Concepts, Measures and Applications*. Cambridge: Cambridge University Press.
- Robeyns, I. 2011. The Capability Approach. In E. N. Zalta, ed., *The Stanford Encyclopedia of Philosophy (Summer 2011 Edition)*. Available online <http://plato.stanford.edu/archives/sum2011/entries/capability-approach/>
- Rorty, R. 1991. *Objectivity, relativism and truth. Philosophical papers volume 1*. Cambridge: Cambridge University Press.
- Roy, D.F. 1959. "Banana Time": Job Satisfaction and Informal Interaction. *Human organization*. 18(4): 158-168.
- Russ S,W., and Christian, K.M. 2011. Play. *Encyclopedia of Creativity*. Volume 1-2: 1049-1054. 2<sup>nd</sup> Edition. Academic press.
- Rynes, S. L., Bartunek, J. M., and Daft, R. L. 2001. Across the Great Divide: Knowledge Creation and Transfer Between Practitioners and Academics. *Academy of Management Journal*. 44(2): 340-355.
- Sacchetti, S. 2004. Knowledge Caps in Industrial Development. *New Political Economy*. 9(3): 389–412.

- Sacchetti, S., and Sugden, R. 2009. The Organization of Production and its Publics: Mental Proximity, Markets and Hierarchies. *Review of Social Economy*. LXVII(3): 289-311.
- Sacchetti, S. 2013. Inclusive and exclusive social preferences: a Deweyan framework to explain governance heterogeneity. *Journal of Business Ethics*. 1-13.
- Saito, M. 2003. Amartya Sen's Capability Approach to Education: A Critical Exploration. *Journal of Philosophy of Education*. 37(1): 17–33.
- Saldaña, J. 2009. *The coding manual for qualitative researchers*. London: Sage.
- Schischka, J. 2009. Lessons learned from the longterm application of a monitoring and evaluation process based on the capability approach. *New Zealand Journal of Employment Relations*. 34(1): 77-93.
- Schneider, H. W. 1970. Dewey's Psychology. In Jo Ann Boydston ed. *Guide to the works of John Dewey*. Southern Illinois University Press.
- Schwandt, T. A. 2007. Observation. *The SAGE Dictionary of Qualitative Inquiry*. 3rd. edition. Thousand Oaks, CA: SAGE Publications, Inc.  
Available online:  
<http://srmo.sagepub.com.ezproxy.stir.ac.uk/view/the-sage-dictionary-of-qualitative-inquiry/SAGE.xml>
- Schwartz, H. 2008. The role of aspirations and aspirations adaptation in explaining satisficing and bounded rationality. *The Journal of Socio-Economics*. 37(3): 949-957.
- Scott, P. 2009. Foreword. In A. Brew and L. Lucas, eds. *Academic Research and Researchers*. Society for Research into Higher Education & Open University Press.

- Sen, A. K. 1979. Equality of what? *Tanner Lecture on Human Values*. In: Tanner Lectures. Stanford University.
- Sen, A. K. 1983. Liberty and Social Choice. *The Journal of Philosophy*. 80(1): 5-28.
- Sen, A. K. 1984. The Living Standard. *Oxford Economic Papers*. 36: 74-90.
- Sen, A. K. 1985. Well-Being, Agency and Freedom: The Dewey Lectures 1984. *Journal of Philosophy*. 82(4): 169-221.
- Sen, A. K. 1985/1987. The Standard of Living: Lecture II, Lives and Capabilities. In G. Hawthorn, ed. *The Standard of Living (The Tanner Lectures)*. Cambridge: Cambridge University Press.
- Sen, A. K. 1985/1999. *Commodities and Capabilities*. Delhi: Oxford University Press.
- Sen, A. K. 1988. Freedom of Choice: Concept and Content. *European Economic Review*. 32: 269- 294. North Holland.
- Sen, A. K. 1992/1995. *Inequality Reexamined*. Cambridge, Massachusetts: Harvard University Press.
- Sen, A. K. 1993. Capability and Well-Being, In M.C. Nussbaum and A.K Sen, eds. *The Quality of Life*. Oxford: Clarendon Press.
- Sen, A. K. 1994. Freedom and needs. *The New Republic*. John Hopkins University Press. 31-38.
- Sen, A. K. 1999a. *Development as Freedom*. Oxford: Oxford University Press.

- Sen, A. K. 1999b. The Possibility of Social Choice. *American Economic Review*. 89(3): 349-78.
- Sen, A. K. 2002. *Rationality and freedom*. Cambridge, MA: Harvard University Press.
- Sen, A. K. 2003. Democracy and Its Global Roots. *New Republic*. Available online [http:// www.newrepublic.com/article/democracy-and -its global-roots](http://www.newrepublic.com/article/democracy-and-its-global-roots). Accessed on 13<sup>th</sup> January 2014
- Sen, A. K. 2004a. How does culture matter?. In V. Rao and M. Walton, eds. *Culture and public action: A cross-disciplinary dialogue on development policy*. Stanford, CA: Stanford University Press.
- Sen, A. K. 2004b. Dialogue: capabilities, lists and public reason: continuing the conversation. *Feminist Economics*. 10(3): 77–80.
- Sen, A. K. 2005. Human Rights and Capabilities. *Journal of Human Development*. 6(2): 151–166.
- Sen, A. K. 2006. *Identity & violence: The illusion of destiny*. Great Britain: Penguin Books.
- Sen, A. K. 2009/2010. *The Idea of Justice*. London: Penguin Books.
- Shaw, C. 2014. UK universities – it's time to go to India. *The Guardian*. Available online: <http://www.theguardian.com/higher-education-network/2014/feb/14/uk-universities-india-british-council-report>. Accessed on 4<sup>th</sup> April 2014.
- Smith, S., Ward, V., and House, A. 2011. Impact'in the proposals for the UK's Research Excellence Framework: shifting the boundaries of academic autonomy. *Research Policy*. 40(10): 1369-1379.

- Smith, K. 2012. Fools, facilitators and flexians: Academic identities in marketised environments. *Higher Education Quarterly*. 66(2): 155-173.
- Sørensen, B. M., and Spoelstra, S. 2011. Play at work: continuation, intervention and usurpation. *Organization*, 19(1): 81-97.
- Stake, R. 1995. *The art of case study research*. California : Sage Publications.
- Starkey, K., and Tempest, S. 2008. A clear sense of purpose? The evolving role of the business school. *Journal of Management Development*. 27(4): 379-390.
- Starkey, K., Hatchuel, A., and Tempest, S. 2009. Management research and the new logics of discovery and engagement. *Journal of Management Studies*. 46(3):, 547-558.
- Statler, M., Roos, J. and Victor, B. 2009. “Ain’t Misbehavin’”: Taking Play Seriously in Organizations’, *Journal of Change Management*. 9(1): 87–107.
- Stiglitz, J. E., Sen, A. K., and Fitoussi, J. -P. 2009. *Report by the Commission on the Measurement of Economic Performance and Social Progress*. Available online: [http://www.stiglitz-senfitoussi.fr/documents/rapport\\_anglais.pdf](http://www.stiglitz-senfitoussi.fr/documents/rapport_anglais.pdf). Accessed on
- Stiles, D. R. 2004. Narcissus Revisited: The Values of Management Academics and their Role in Business School Strategies in the UK and Canada. *British Journal of Management*. 15(2): 157-175.
- Stromquist, N. P. 2007. Internationalization as a response to globalization: Radical shifts in university environments. *Higher Education*. 53: 81–105.

- Sugden, R. 1993. Welfare, resources and capabilities: a review of Inequality Reexamined by Amartya Sen. *Journal of Economic Literature*. 31: 1947–1962.
- Sugden, R. 2004. A Small Firm Approach to the Internationalisation of Universities: A Multinational Perspective. *Higher Education Quarterly*. 58(2): 114–135.
- Sugden, R. 2006. What We Desire, What We Have Reason to Desire, Whatever We Desire: Mill and Sen on the Value of Opportunity. *Utilitas*. 18(1): 33–51.
- Sugden, R. 2011. *University Management Schools, Strategic Choice and Socio-Economic Development*. Mimeo. University of Stirling, July.
- Sugden, Roger. 2013. *Socio-economic development, strategic choice and university business schools*. University of British Columbia. mimeo. January 2013.
- Sutton-Smith, B. 2001. *The ambiguity of play*. Massachusetts: Harvard University Press.
- Teschl, M. and Comim, F. 2005. Adaptive Preferences and Capabilities: Some Preliminary Conceptual Explorations. *Review of Social Economy*. LXIII(2): 229- 248.
- Tight, M., Kayrooz, C., and Åkerlind, G. S. 2007. *Autonomy in social science research: the view from United Kingdom and Australian universities*. International Perspectives on Higher Education Research. Oxford, UK: Elsevier. 4: 3–27.
- Tiles, J. E. 1988. *Dewey*. Psychology Press.

- United Nations Development Programme. 2013. *Human Development Report. The Rise of the South: Human Progress in a Diverse World*. New York: UNDP.
- Van Damme, D. 2001. Quality issues in the internationalisation of higher education. *Higher Education*. 41: 415- 441.
- VanderVeen, Z. 2011. John Dewey's Experimental Politics: Inquiry and Legitimacy. *Transactions of the Charles S. Peirce Society: A Quarterly Journal in American Philosophy*. 47(2): 158-181.
- Wadsworth, Y. 1998. What is Participatory Action Research? *Action Research International*. Paper 2.
- Wälder, R. 1933. The Psychoanalytic Theory of Play. In D. Müller-Schwarze, ed. 1978. *Evolution of play behaviour*. Benchmark Papers in Animal Behaviour, Volume 10. Originally published in *Psychoanalytic Quarter*. 2: 208-224.
- Walsh, M., Grant, G., and Coleman, Z. 2008. Action Research – A Necessary Complement to Traditional Health Science. *Health Care Anal*. 16: 127-144.
- Walker, M. 2004. Beyond the Impossibly Good Place: Research and Scholarship. In M. Walker, and J. Nixon, eds. 2004. *Reclaiming Universities from a Runaway World*. Berkshire: The Society for Research into Higher Education & Open University.
- Walker, M., and Nixon, J. 2004. *Reclaiming Universities from a Runaway World*. Berkshire: The Society for Research into Higher Education & Open University.
- Walker, M., and Unterhalter, E. 2007. *Amartya Sen's capability approach and social justice in education*. New York: Palgrave Macmillan. 1-18.



- Wasser, H. 1990. Changes in the European University: From Traditional to Entrepreneurial. *Higher Education Quarterly*. 44(2): 111-122.
- Watene, K. P. M. 2010. *Strengthening the capability approach : the foundations of the capability approach, with insights from two challenges*. Unpublished doctoral thesis. University of St Andrews.
- Watts, M. 2009. Sen and the Art of Motorcycle Maintenance: Adaptive Preferences and Higher Education. *Studies in Philosophy and Education*. 28: 425-436.
- Williams, B. 2002. *Truth and truthfulness: An essay in genealogy*. Princeton University Press.
- Willmott, H. 1995. Managing the academics: commodification and control in the development of university education in the UK. *Human Relations*. 48(9): 993-1027.
- Wilson, J.R. 2009. Higher education and economic development: do we face an intertemporal trade-off ? In S. Sacchetti and R. Sugden, eds. *Knowledge in the Development of Economies: Institutional Choices under Globalisation*. Cheltenham: Edward Elgar.
- Winter, R. 2009. Academic manager or managed academic? Academic identity schisms in higher education. *Journal of Higher Education Policy and Management*. 31(2): 121-131.
- Winther-Lindqvist, D. 2009. Game Playing: Negotiating Rules and Identities. *American Journal of Play*. 2(1): 60-84.
- Yang, R. 2002. University internationalisation: its meanings, rationales and implications. *Intercultural Education*. 13(1): 81-95.

Yin, R. 1984. Case study research. Beverly Hills. *Beverly Hills, California: Sage Publications.*

Yin, R. K. 2009. *Case study research: Design and methods.* Sage Publications.

Zezeza, P. T. 2012. Internationalisation in higher education: Opportunities and challenges for the knowledge project in the global South. *SARUA Leadership Dialogue Series.* 4(2): 4-27.