ECONOMIC AND SOCIAL RESEARCH COUNCIL
END OF AWARD REPORT

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For awards ending on or after 1 November 2009

This End of Award Report should be completed and submitted using the **grant reference** as the email subject, to **reportsofficer@esrc.ac.uk** on or before the due date.

The final instalment of the grant will not be paid until an End of Award Report is completed in full and accepted by ESRC.

Grant holders whose End of Award Report is overdue or incomplete will not be eligible for further ESRC funding until the Report is accepted. ESRC reserves the right to recover a sum of the expenditure incurred on the grant if the End of Award Report is overdue. (Please see Section 5 of the ESRC Research Funding Guide for details.)

Please refer to the Guidance notes when completing this End of Award Report.

Grant Reference	RES-167-25-0302		
Grant Title	Development discourses: higher education and poverty reduction in South Africa		
Grant Start Date	**1 July 2008**	**Total Amount Expended:**	**£215,369.32**
Grant End Date	**31 December 2009**		
Grant holding Institution	**University of Nottingham**		
Grant Holder	**Professor Melanie Walker**		
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Co-Investigators (as per project application):		**Institution**	
Dr Monica McLean		**University of Nottingham**	

1. NON-TECHNICAL SUMMARY

Please provide below a project summary written in non-technical language. The summary may be used by ESRC to publicise your work and should explain the aims and findings of the project. *[Max 250 words]*

The research contributes to conceptualisations of transformation and a democratic view of the public good in relation to university-based professional education. 'Capabilities' - the opportunities for valuable beings and doings (functionings) and the freedoms which enable people to choose between different kinds of good lives - and a multi-dimensional conceptualisation of poverty structured the research. The aims were: a) to investigate the equity trajectory of higher education institutions and their role in addressing the challenges of poverty in South Africa b) to contribute towards policy and practice and the achievement of the Millennium Development Goals (MDGs) through conceptual and practical understanding of the capability approach and human development in university education.

Findings

A multi-dimensional, layered, evidence-based capabilities Index for public good professional education was produced from theory, data and public reasoning. Eight key professional capabilities were identified: 1) Informed Vision; 2) Affiliation; 3) Resilience 4)Involvement in social and collective struggle 5) Emotions; 6) Integrity 7) Assurance & confidence; 8) Disciplinary knowledge & practical skills. Educational arrangements to support the development of public good professionals were: curriculum; appropriate pedagogies; encouraging professional ways of being; and, attention to departmental cultures. Four significant university dimensions were: institutional culture; advancing criticism, deliberation and responsibility; social engagement; and, contributions to building just futures. The legacy of apartheid on the systemic and material base and on South African culture generated constraints on developing public-good professionals. An expanded human development paradigm proved useful for policy discourse, and the process of public reasoning integral to produce the Index.

[250 words]

2. PROJECT OVERVIEW

a) Objectives

Please state the aims and objectives of your project as outlined in your proposal to the ESRC. *[Max 200 words]*

AIMS

a) to investigate the equity trajectory of higher education institutions and their role as 'engines of reform' in addressing the policy and practical challenges of poverty and associated human talent needs of South Africa in the 21st century, by using the lens of human development and professional education;

b) to make a major contribution towards policy and practice in the area of higher education and the achievement of the Millennium Development Goals by providing a conceptual and practical understanding of Amartya Sen's and Martha Nussbaum's capability approach and human development, and of how capabilities might be formed

through teaching and learning in professional education.

OBJECTIVES

1) To investigate how different universities in South Africa are transforming, under contemporary national and global conditions;

2) In the context both of the MDGs and transformation: to identify the educational mission informing professional education and expectations of teaching and student achievements in different universities and different professional fields, comparing and contrasting the experiences, knowledge and skills of students, visions of their future work, and notions of professional responsibility and accountability;

3) To generate multi-dimensional metrics for evaluating progress in institutional transformation in relation specifically to professional education for human development and poverty reduction.

[199 words]

b) Project Changes

Please describe any changes made to the original aims and objectives, and confirm that these were agreed with the ESRC. Please also detail any changes to the grant holder's institutional affiliation, project staffing or funding. *[Max 200 words]*

There was no substantive change to the original aims or objectives, although the focus on public good professional education sharpened as the research progressed.

c) Methodology

Please describe the methodology that you employed in the project. Please also note any ethical issues that arose during the course of the work, the effects of this and any action taken. *[Max. 500 words]*

The project involved three South African universities: Silvertree (an historically white and english speaking university); Fynbos (an historically black, 'disadvantaged' university); and, Acacia (an historically white, advantaged, afrikaans speaking university), and five professional education case study departments across the universities – Social Work, Public Health, Law, Engineering and Theology. The design included a research working group (RWG) at each site which were central to participatory analysis and dissemination of the research. Each included one person from the participating department and two other members with Faculty and/or University wide roles. The key tasks of the RWGs were: to respond to the data and emerging analysis and, to discuss how transformation might be understood in relation to human development and poverty reduction. 120 people were interviewed: Social Work 23; Engineering 19;

Theology 25; Law 27; Public Health 26. We interviewed students in focus groups with a mix of black and white students to reflect the salience of race in understanding transformation in South Africa. In addition we individually interviewed a dean or deputy dean and head of department and one or two lecturers in each department; and well as a university leader. NGOs were selected on the basis of their relevance to particular professional groups. Interviews were tape recorded with permission and fully transcribed. We kept notes of meetings with each RWG in August and October 2008, a joint workshop in March 2009, and a final face-to-face meeting with each group in October 2009. We gathered information from the university websites, collected media reports, relevant statistics and policy and curriculum documents.

Data analysis
Key to our data analysis was developing the dimensions (capabilities) of professionals across the case sites. A four-stage process was involved: (i) choosing 'comprehensive capabilities' that make for a fully human life; (ii) identifying 'professional capabilities' on the basis of theory, data and participatory dialogue; (iii) identifying educational arrangements both constraining and enabling and, (iv) bringing these together in a multi-dimensional, multi-layered Index. The dimensions were theoretically meaningful in relation to a life of full human dignity, and not over specified; the process of specification was visible; and the dimensions/capabilities are revisable through public reasoning. The research team identified nine analytical codes: poverty; contribution to poverty reduction (positive); contribution to poverty reduction (negative); capabilities of the poor; professional capabilities; lecturer capabilities; educational contribution (positive); educational contribution (negative) and then coded each interview transcript manually, with all members of the team first coding and analyzing the social work data set together. The remaining data sets were coded by at least two members of the research team. Coding the case study data using the nine themes yielded evidence-based tables organized around three key categories of (i) human development professional capabilities, (ii) educational arrangements (including institutional conditions), and (iii) social constraints for each case study, across the interviews with lecturers, students and alumni, followed by the NGOs and professional bodies.

No ethical issues arose during the research; ongoing consultation across the sites was always careful and inclusive.

[496 words]

d) Project Findings

Please summarise the findings of the project, referring where appropriate to outputs recorded on *ESRC Society Today*. Any future research plans should also be identified. *[Max 500 words]*

Indexing professional capabilities and functionings
The most significant result was the participatory production of an innovative, evidence-based and theoretically informed public-good professional education Index. Iterative discussion with RWGs and detailed analysis of the five professional sites generated eight core, multi-dimensional professional capabilities. They were significant in some measure in each case study, although their importance varied across the cases. They are: 1) Informed Vision (eg. being able to imagine alternative futures and improved social arrangements); 2) Affiliation (solidarity) (eg. accepting obligations to others); 3) Resilience (eg. perseverance in difficult circumstances); 4) Social and collective struggles (eg. participating in public reasoning/listening to all voices in the

'conversation'); 5) Emotion (eg. empathy, understood as having a narrative imagination); 6) Integrity (eg. being responsible & accountable to communities and colleagues); 7) Assurance & confidence (eg. expressing and asserting own professional priorities); 8) Knowledge, imagination, practical skills (eg. having a firm, critical grounding in disciplinary, academic knowledge). Based on these capabilities, four key meta-functionings were identified for public good professionals: (i) recognising the full dignity of every human being; (ii) acting for social transformation and to reduce injustice; (iii) making sound, knowledgeable, thoughtful, imaginative professional judgements; (iv) working with others to expand the comprehensive capabilities ('fully human lives') of people living in poverty. Professional capabilities intersected we found with dimensions of educational arrangements, university conditions, social arrangements, and individual biographies. The educational arrangements we found are: curriculum (e.g. incorporating key questions of social and political significance, including opportunities to learn how poor people can be empowered and capacitated); appropriate pedagogies, (eg. engenders respectful interactions & valuing diversity); encouraging professional ways of being (e.g. engenders an awareness of the difference professional work can make to communities); and, departmental cultures (eg. encouraging research agendas and projects responsive to poverty). Four university conditions were identified: institutional culture, advancing criticism, deliberation and responsibility, social engagement, and appropriate contributions to building just futures. Finally the social constraints on developing public good professionals were identified – the legacy of apartheid on the systemic and material base and cultural dimensions. Taken together these levels constitute a situated public good professional education Index.

Human development and policy
We found it important to embed the Index in a broader framing of human development which might then be attractive across a university and to policy makers as a quality discourse. Furthermore, human development grounds the educational considerations of the Index in an alternative economics. The capabilities approach nested in human development then provides a significant basis for thinking about higher education policy which imagines ethically inclusive and humanly rich goals. The research argues that current higher education policy implementation does not serve South African universities or society as well as it might; and, this research fills a gap by imagining how it can and ought to be different.

Public reasoning
The process of public reasoning in the project was essential, and not just a theoretical construct. The Index needs to be understood as a framework for public discussion and reasoning, rather than as a blueprint for educational action.

[500 words]

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative's objectives and activities and note any effect on your project resulting from participation. *[Max. 200 words]*

n/a

3. EARLY AND ANTICIPATED IMPACTS

a) Summary of Impacts to date

Please summarise any impacts of the project to date, referring where appropriate to associated outputs recorded on *ESRC Society Today*. This should include both scientific impacts (relevant to the academic community) and economic and societal impacts (relevant to broader society). The impact can be relevant to any organisation, community or individual. *[Max. 400 words]*

Presentations have been given at six international conferences in the UK, South Africa, Peru, Australia and Portugal, three included policy makers and practitioners (Barcelona, November 2008, UKFIET, September 2009 and EDULINK , October 2009).

Six seminars on the project have been given to academic practitioners in the three participating universities, and four to academic colleagues in the UK.

Six working papers, including an extended report of the five case studies have been posted on the project website.

Two journal papers have been accepted for publication.

Individual letters and a working paper from the project were sent to: the vice-chancellors and other key leaders at the three participating universities; selected vice-chancellors in South Africa; the head of CHE (Council on Higher Education); the chair of HESA (Higher Education South Africa); policy makers in higher education; and all the NGO informants in the project.

In one participating University a University-wide seminar on public good professionalism attended by key university leaders was held in August 2009, with a follow up planned for late 2010. This has introduced debate and discussion around the notion of the public good and university education.

In a second university, discussions took place with the Director of Teaching and Learning about how to incorporate a public-good capability-based approach into graduate outcomes; a graduate attribute on social good has now been included in the University's Teaching and Leaning Policy (November 2009).

There has been a positive response from the Ministry of Higher Education to the ideas generated by the project.

[252 words]

b) Anticipated/Potential Future Impacts

Please outline any anticipated or potential impacts (scientific or economic and societal) that you believe your project might have in future. *[Max. 200 words]*

The Index is potentially applicable beyond South Africa. The philosophical should apply across diverse national settings, though the list of professional capabilities might differ for different contexts, which is a matter for public reasoning. A follow-on funding bid being prepared by Melanie Walker and Monica McLean would enable a knowledge transfer through a national workshop in the UK and a national workshop in South Africa to explore and review the public good professional education Index. The ideas contained in the Index have the potential to improve public services especially for those living in conditions of poverty.

Collaboration is underway with the Director of Teaching and Learning at UWC on researching and developing graduate capabilities and the social good.

The impact is in the field of innovatively applying human development and capabilities theoretically and practically to university education. The Follow-On bid will generate more fine-grained knowledge of pedagogical practices in forming capabilities

We are in the final stages of negotiating a co-authored 80,000 research monograph book contract with Routledge in the 'Education, Poverty and International Development Series'.

One academic article has been submitted to a journal, with at least two further articles in preparation.

Conference papers are planned to reach additional audiences, eg. BERA 2010.

[203 words]

You will be asked to complete an ESRC Impact Report 12 months after the end date of your award. The Impact Report will ask for details of any impacts that have arisen since the completion of the End of Award Report.

4. DECLARATIONS

Please ensure that sections A, B and C below are completed and signed by the appropriate individuals. The End of Award Report will not be accepted unless all sections are signed.

Please note hard copies are NOT required; electronic signatures are accepted and should be used.

A: To be completed by Grant Holder

Please read the following statements. Tick ONE statement under ii) and iii), then sign with an electronic signature at the end of the section.

i) The Project

This Report is an accurate overview of the project, its findings and impacts. All co-investigators named in the proposal to ESRC or appointed subsequently have seen and approved the Report.	√

ii) Submissions to *ESRC Society Today*

Output and impact information has been submitted to *ESRC Society Today*. Details of any future outputs and impacts will be submitted as soon as they become available.	√
OR	
This grant has not yet produced any outputs or impacts. Details of any future outputs and impacts will be submitted to *ESRC Society Today* as soon as they become available.	☐
OR	
This grant is not listed on *ESRC Society Today*.	☐

iii) Submission of Datasets

Datasets arising from this grant have been offered for deposit with the Economic and Social Data Service.	√
OR	
Datasets that were anticipated in the grant proposal have not been produced and the Economic and Social Data Service has been notified.	☐
OR	
No datasets were proposed or produced from this grant.	☐