

GeNECA - overview

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GeNECA: fair sustainable development on the basis of the capability approach

Main Investigators

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- Prof. Dr. Jürgen Volkert, Dr. Raimund Krumm, Kerstin Anstatt, IAW – Institute for applied economics research, Tübingen
- Dr. Rebecca Gutwald, PD Dr. Martin Rechenauer, LMU – Ludwig-Maximilians-University, Department of Philosophy, Munich
- Dr. Ortrud Leßmann, HSU – Helmut-Schmidt-University of the Federal Armed Forces Hamburg
- Dr. Ines Omann, Mirijam Mock, SERI – Sustainable Europe Research Institute Vienna

Project Co-ordinator: Dr. Felix Rauschmayer, UFZ

Scientific Advisory Board

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- Dr. Tom Bauler, Université Libre de Bruxelles, Institut de Gestion de l'Environnement et d'Aménagement du Territoire
- Prof. Dr. Ingrid Robeyns, Erasmus Universiteit Rotterdam, Faculteit der Wijsbegeerte
- Dr. Sabina Alkire, University of Oxford, Department of International Development
- Andrew Crabtree, Roskilde University, Department of Environmental, Social and Spatial Change

Aims and basis of GeNECA

This project develops, based on the **capability approach**, a conception of Sustainable Development

- that – by referring to the **needs**-oriented goals of the Brundtland definition – has a strong integrative force
- that explicitly links intra- and intergenerational **fairness**.

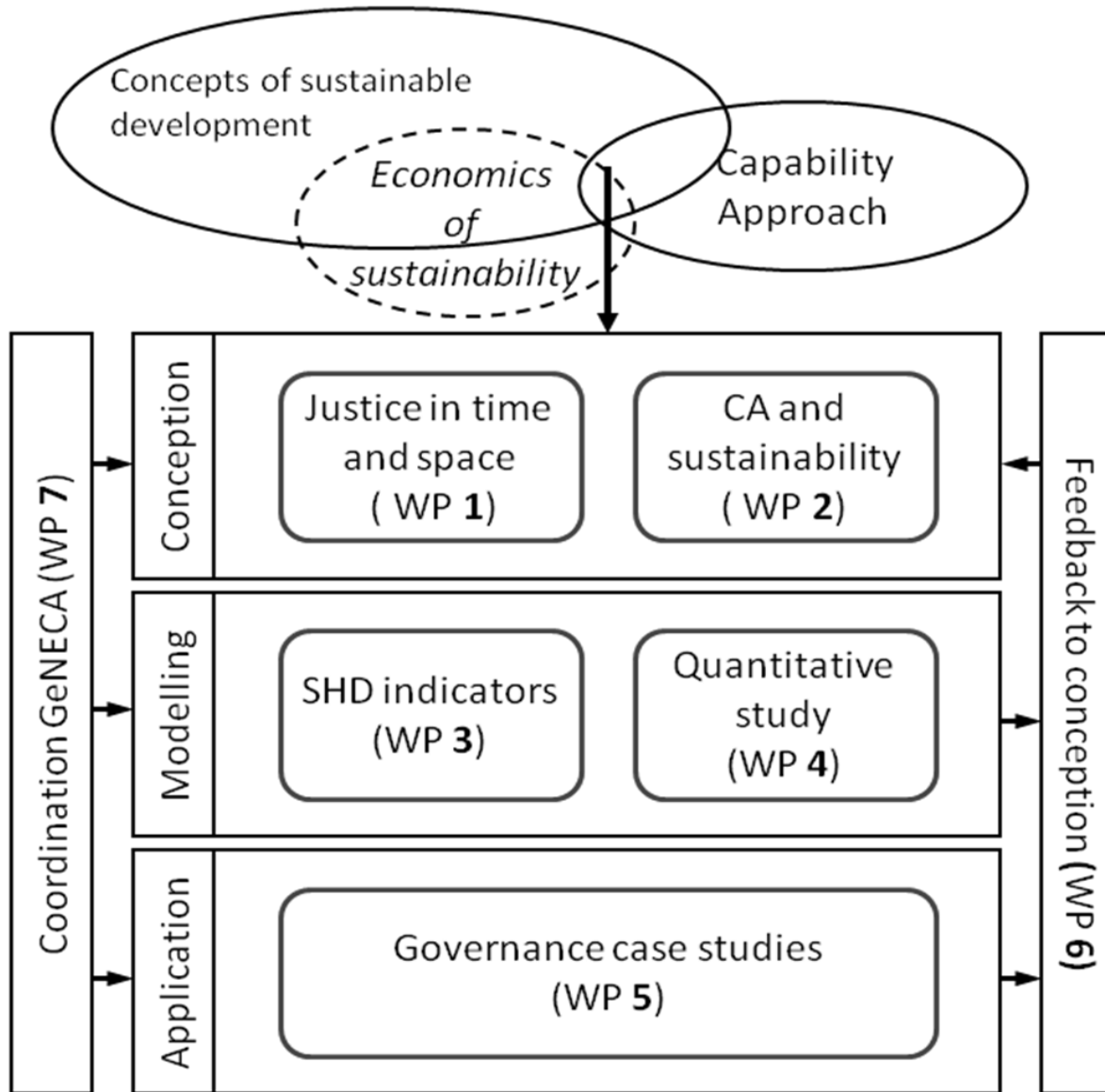
This conception will be

- operationalised by a set of **indicators** on sustainable human development,
- analysed **quantitatively**,
- implemented **empirically** in selected fields and levels of governance, and
- finally **adapted** on the basis of the experiences collected in the project in order to strengthen its political relevance.

Conceptual starter of GeNECA:

- Rauschmayer F, Omann I, Frühmann J (eds.). 2011. Sustainable Development: Capabilities, Needs, and Well-Being. Routledge: London
 - Rauschmayer F, Omann I, Frühmann J. 2011. Needs, capabilities, and quality of life. Re-conceptualizing Sustainable Development. pp.1-24.
 - Leßmann O. 2011. Sustainability as a challenge to Sustainable Development. pp.43-61.

Structure of GeNECA



WP 1: Justice in time and space

(Rebecca Gutwald /Martin Rechenauer)

Some Results:

- the CA should mainly be used to define the *metric* within a theory of intergenerational justice
- as an evaluative perspective on well-being, the CA defines the goal of SD in a more refined way than the Brundtland definition is able to do
 - the CA only presents a *partial* theory of justice,
 - refrains from giving an account of dimensions of capabilities,
 - for construing a CA-threshold of well-being, it is crucial to identify basic dimensions of human well-being and basic levels of them,
 - Little can be inferred how conflicts of justice should be conceptualized intergenerationally,
 - CA does not address how people are motivated and obligated to protect others' capabilities.

Publications:

- Rechenauer, M. 2011. Soziale Marktwirtschaft und Gerechtigkeit – eine Perspektive aus der Philosophie, in: Viktor Vanberg (Hrsg.), *Marktwirtschaft und Gerechtigkeit*, LIT-Verlag Berlin
- Gutwald, R., Leßmann, O., Rauschmayer, F., Masson, T., 2011. **The Capability Approach to intergenerational justice - a survey**, Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 8/2011 - GeNECA 4.
- Gutwald, R., Leßmann, O., Rauschmayer, F., Masson, T., 2011. **The Capability Approach to intergenerational justice - a survey**. Maitreyee - E-Bulletin of the Human Development and Capability Association 19, 9-12.
- Gutwald, R., Leßmann, O., Rauschmayer, F., Masson, T., re-submitted. **A Capability Approach to intergenerational justice? Examining the potential of Amartya Sen's ethics to solve intergenerational issues**. Journal of Human Development and Capabilities.
- Masson, T., Rauschmayer, F., Leßmann, O., Gutwald, R., submitted. **Sustaining human well-being across time and space – sustainable development, justice and the capability approach**, in: Crabtree, A., Tiwari, M. (Eds.), *Capability and Sustainability*. Palgrave.
- Rechenauer, Martin, 2011: On Sen's Idea of Justice, epub.ub.uni-muenchen.de/12572/1/DGphil_Konferenzbeitrag_Rechenauer.pdf
- Gutwald, R., Leßmann, O., Rechenauer, M., in preparation, **Thresholds of capabilities- what do we owe to future generations?**

WP2: CA and sustainability (Ortrud Leßmann)

Some results:

- „narrative“
- The concept of ecosystem services offers a promising approach to better integrate nature-related aspects into the CA – and vice versa.
- Corporate impacts on SHD can be captured by corporation's direct impacts on instrumental freedoms and indirect effects on individual.
- The CA concept's scope of agency is helpful to better explain SHD. But more work is needed to better assess the role of collectivities, individuals and corporations, and their responsibility.
- The concept of needs is prominent in SD for good reasons. Combining needs and capabilities may help to make sustainability transitions work.

Publications

- Rauschmayer, F., Lessmann, O., 2011. **Assets and drawbacks of the CA as a foundation for sustainability economics**. Ecological Economics 70, 1835-1836.
- Polishchuk, Y., Rauschmayer, F., 2011. **Ecosystem effects on well-being: more than just “benefits”?** **Looking at ecosystem services through the capability approach**, Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 6/2011 - GeNECA 2.
- Leßmann, O., Rauschmayer, F., 2012. **Re-conceptualising Sustainable Development on the basis of the Capability Approach: a model and its difficulties**. Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 3/2012 - GeNECA 5.
- Moczadlo, R.; Volkert, J. (2012): **Wettbewerb und nachhaltige Entwicklung bei globalen Governancelücken**, Harald Enke und Adolf Wagner (Hrsg.): Zur Zukunft des Wettbewerbs, Marburg: Metropolis, 275-296.
- Leßmann, O., Rauschmayer, F., 2013. **Re-conceptualising Sustainable Development on the basis of the Capability Approach: a model and its difficulties**. Journal of Human Development and Capabilities 14 (1), 95-114.
- Polishchuk, Y., Rauschmayer, F., 2012. **Beyond “benefits”?** **Looking at ecosystem services through the capability approach**. Ecological Economics 81, 103-111, doi: 10.1016/j.ecolecon.2012.06.010.
- Rauschmayer, F., Centgraf, S.; Leßmann, O. in preparation for ESEE 2013. **Needs and Capabilities - Combining approaches to contribute to sustainability**
- Volkert, J. Draft : **Agency, Sustainable Human Development (SHD) and collective capacities**, contribution to the HDCA e-bulletin Maytreyye, June 2013.
- Anstatt, K. ; Volkert, J. , Draft: **Corporate Social Responsibility and SHD. Corporate SHD Impact** to be published as a GeNECA-dp.
- Krumm, R.; Volkert J.. 2012: **Anreizprobleme in der Nachhaltigkeitsgovernance: eine Public Choice Perspektive**; Paper presented at the GeNECA-workshop March 2012 in Tübingen
- Krumm, R.; Volkert J., in preparation: **Sustainability and the CA: an actors' based Public Choice Perspective**. *Paper presented at the Geneca-Capstone-Workshop on 14 May 2013 in Hamburg.*

WP3: Indicators of sustainable human development (Torsten Masson)

Some results:

- Proposals for SD focus primarily on ecological, social and economic conditions, while political participation opportunities play a rather subordinate role.
- Although we observe a general compatibility between the CA and sustainability indicators, expectations about the conceptual feasibility of a CA-based sustainability description should nevertheless stay down to earth.
- Even though certain SD indicators can easily be put into the categories of instrumental freedoms, the opposite does not necessarily apply (i.e. viewing the CA as a basis for SD). In other words, the attribution of SD indicators to instrumental freedoms does not legitimise the instrumental freedoms as **sufficient** SD description categories

WP3: Indicators of sustainable human development (Torsten Masson)

Publications

- Leßmann, O., 2011. **Empirische Studien zum Capability-Ansatz auf der Grundlage von Befragungen - ein Überblick**, Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 4/2011 - GeNECA 1.
- Masson, T., 2011. **Indikatorensysteme nachhaltiger Entwicklung im Spiegel der Forschungspraxis: Konzepte und Indikatoren aus der deutschen Nachhaltigkeitsdiskussion**, Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 7/2011 - GeNECA 3.
- Leßmann, O., 2012. **Challenges in Applying the Capability Approach Empirically: An Overview of Existing Studies**, Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers GeNECA 1a.
- Masson, T., Leßmann, O., 2012. **Nachhaltigkeitsindikatoren und Capabilities: Anknüpfungspunkte aus der deutschen Nachhaltigkeitsforschung**. Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 7/2012 - GeNECA 6
- Leßmann, O., 2012. **Indikatoren im Capability-Ansatz und der Bezug zur Nachhaltigkeit: Welchen Beitrag kann der CA leisten?** Leipzig, Helmholtz-Centre for Environmental Research UFZ, UFZ Discussion Papers, 16/2012 - GeNECA 7.
- Leßmann, O., 2013. **Empirische Studien zum Capability-Ansatz auf der Grundlage von Befragungen - ein Überblick**, in: Gunter Graf, Elisabeth Kapferer und Clemens Sedmak (eds.): *Der Capability Approach und seine Anwendung. Fähigkeiten von Kindern und Jugendlichen erkennen und fördern*, 25–62, VS-Verlag, Wiesbaden.
- Griewald, Y., Masson, T., under revision. **Do the capability approach and sustainability fit together? A comparison of indicator sets for sustainable development**. *Journal of Human Development and Capabilities*.
- Krause, P., Arnold, K., Herzberg, I. in preparation. **Modules and Questions on the Capability Approach and Sustainable Development with regards to Quality of Life – A brief description of the GeNECA-data**

WP4: Quantitative analysis

(Peter Krause)

The data:

- SOEP Innovation Sample: Representative Longitudinal Survey
 - Quality of Life – additional Items on domain satisfaction and importance
 - CA – measures on opportunities, freedom, constraints
 - Self-determination theory (SDT) - BNPS-Scale (Basic Needs Psychological Scale)
 - SD – agencies, actors and actions
 - SD – attitudes, expectations and justice
 - SD – NEP-Scale (New Ecological Paradigm)
 - SD – Public Choice
 - Alternative currency system
 - Sustainable Consumption, Sub-Splits: Means of transportation (car use), Buying organic food
- Several surveys on sustainable consumption have been conducted (student and quota sample)
 - Pro-environmental behavior
 - SDT

WP4: Quantitative analysis (Peter Krause)

Some very first results:

- The aspects of opportunities and constraints seem to have comparable impacts on living conditions, as the well-established QoL-measures of happiness – (freedom has lower impacts)
- The measures of QoL and CA seem to be quite closely related.
- Self-determination theory-measures – especially the dimension of autonomy - has strong impacts on both - QoL- and CA-measures.
- We find differences in the CA-Space for opportunities and constraints and freedom.

WP4: Quantitative analysis

(Peter Krause)

Presentations

- Krause, P., 2012 **Quality of Life – Capability Approach – Sustainable Development. Conceptual Relations and Empirical Applications**. XI ISQOLS Conference “Discovering New Frontiers in Quality-of-Life Research”, Università Cà Foscari, Venice.
- Krause, P.; Masson, T., 2011 **Concepts of sustainable development - measurement and receptions within German population**. FONA, BMBF, International scientific conference: Sustainable Consumption – Towards Action and Impact. Hamburg
- Jindra, C.; Krause, P., 2012 **Life-Satisfaction, Capabilities and the Search of Weights for Multidimensional Poverty Measures. Using subjective well-being and other QoL Strategies to estimate weights**. XI ISQOLS Conference “Discovering New Frontiers in Quality-of-Life Research”, Università Cà Foscari, Venice.
- Jindra, C.; Krause, P., 2012 **Capabilities, social classes and status – Linking capabilities and sociological inequality measurement**. HDCA-Conference in Jakarta.
- Krause, P.; Jindra, C.; Michalski, N., 2012 **Direct Measures for multidimensional capabilities**. HDCA Conference in Jakarta and at the GeNECA closing workshop in Hamburg, May 2013.
- Arnold, K., Krause, P., Masson, T., Otto, S., 2013 **Pro-environmental behavior and attitudes – conception and application**, GeNECA closing workshop in Hamburg, May 2013.
- Arnold, K., Hochthanner, A., 2013 **Which roles play autonomy and freedom of choice at work?** GeNECA closing workshop in Hamburg, May 2013.
- Becker, K., Könnecke, C., Tietze, S., 2013 **Regional Provenance as a Cause for Unequal Capabilities in Germany?** GeNECA closing workshop in Hamburg, May 2013.

WP4: Quantitative analysis

(Peter Krause)

Publications

- Masson, T., Leßmann, O., in preparation. **Sustainable Consumption in Capability Perspective: An Empirical Analysis**, paper to be presented at the ESEE-conference in Lille and the HDCA conference in Managua.
- Jindra, C.; Krause, P. draft. **Capabilities, social classes and status**
- Krause, P.; Jindra, C.; Michalski, N., 2012 **Direct Measures for multidimensional capabilities**
- Arnold, K., Hochthanner, A. 2013 Welche Rollen spielen Autonomie und Wahlfreiheit bei der Arbeit? - Die Autonomie beruflichen Handelns, die Capability eines angenehmen Arbeitsklimas und die Erfüllung des Basisbedürfnisses nach Autonomie: die Effekte zwischen ihnen sowie auf die Arbeitszufriedenheit. Graduate student project report.
- Arnold, K., Hochthanner, A. in preparation **Which roles play autonomy and freedom of choice at work?** Short version of the paper in English for publication in ??
- Becker, K., Könnecke, C., Tietze, S., 2013 **Regionale Herkunft als Ursache ungleich verteilter Verwirklichungschancen in Deutschland?** Graduate student project report.

WP5: Case studies of sustainability governance (Felix Rauschmayer)

Some results from the case study on

- a nature-related conflict: modelling collective actors as individuals along the CA;
- Community currencies: findings of an online survey suggest that community currencies increase capability sets on collective as well as individual levels.
- a business-induced Indian model village project: companies do directly influence the complete spectrum of instrumental freedoms and have indirect impacts on personal conversion factors and economic means, and herewith on sustainable human health.
- The CA is a suitable framework to empirically assess corporate SHD impacts. Representative quantitative methods are important to produce first reliable results; qualitative methods (FGDs etc.) are indispensable to show instrumental freedoms impacts on human ends and side effects, e.g. on personal conversion factors.
- Objective and subjective assessments must be combined to capture human well-being related to SHD and its changes.

WP5: Case studies of sustainability governance (Felix Rauschmayer)

Publications

- Griewald, Y., Rauschmayer, F., draft. **A nature-related conflict from a capability perspective.**
- Mock, M., Omann, I., Rauschmayer, F., draft. **Do Community Currencies enhance for Sustainable Quality of Life?** Paper in preparation for the ESEE conference 2013 in Lille.
- Mock, M., Omann, I., 2012 **Endbericht: Fallstudie Komplementärwährungen**
- Strotmann, H.; Volkert, J., 2012 **Poverty dimensions of the MPI and subjective life satisfaction – an empirical analysis for villages in rural India**, Paper presented at the 12th HDCA conference in Jakarta, September 7-9, 2012
- Volkert, J., Strotmann, H., draft **Potential Corporate Impacts on Sustainable Human Development The Case of Bayer CropScience's cotton seed production in rural Karnataka (India)**. Paper presented at the GeNECA workshop in Hamburg, May 2013 and for presentation at the HDCA conference in Managua.
- Volkert, J., Strotmann, H., 2013 **Transnational Corporations: driving, ignoring or violating sustainable human development?** Forthcoming in: Hochschule Pforzheim (Hrsg.) 50 JAHRE – 50 THESEN. FAKULTÄT für WIRTSCHAFT und Recht, herausgegeben von der Fakultät für Wirtschaft und Recht an der Hochschule Pforzheim anlässlich ihres 50-jährigen Bestehens, BAND 2: Thesen zu Wirtschaftspolitik, Wirtschaftsethik & International Business, Pforzheim 2013, S. 83-89.

WP6: Linking the concept to wider discussions (Ortrud Leßmann/Felix Rauschmayer)

To be done:

- Rational motives for sustainable behaviour
- Agency as a link to responsibility and collective capabilities
- Needs and human-scale development as a link to action research for sustainability transitions

Publications

- Leßmann, O. 2010 **Sustainability and Rationality**. Individual and Collective Responsibility in the Capability Approach. Paper presented at the HDCA conference in Amman, September 2010 to be revised.
- Leßmann, O. 2011 **Das Individuum und die Sorge für zukünftige Generationen. Capability Ansatz und Nachhaltigkeit**, in: *Ökologisches Wirtschaften* 1/2011, 23-24.
- Rauschmayer, F. 2012 **Report: Workshop on Collective Agency & Institutions, Sustainability and the Capability Approach**, www.geneca.ufz.de
- Leßmann, O. in preparation **The Capability Approach and Collectivity** e-bulletin of HDCA Maitreyee June 2013.
- Volkert, J. in preparation **Agency in the CA: foundations, scope and SHD** in: Maitreyee, e-bulletin of HDCA June 2013.
- Rauschmayer, F., Centgraf, S.; Leßmann, O. in preparation. **Capabilities and Needs – Combining approaches to contribute to sustainability** paper to be presented at the ESEE- conference in Lille, June 2013.

Workshops and Conferences

2010

- May: Internal kickoff workshop in Leipzig
- June: ISEE in Oldenburg: special session *Needs, Capabilities and Sustainable Development*
Internal workshop in Oldenburg
- November: Internal workshop in Berlin

2011

- February: Internal workshop in Berlin
- May: Workshop on *intergenerational justice* in Munich
- June: ESEE in Istanbul: special session *Enabling Individuals or Collectives. Using Needs and Capability Approaches for Sustainability Transitions*
- September: Internal workshop in The Hague

2012

- February: Internal workshop in Berlin
- March: Internal workshop in Tübingen
- September: Workshop on *Collective Agency & Institutions, Sustainability and the Capability Approach* in Leipzig

2013

- Closing Workshop in Hamburg