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TERRITORIAL APPROACH TO DEVELOPMENT AND ITS HUMAN AND INTELLECTUAL DIMENSION: A THEORETICAL-METHODOLOGICAL PROPOSITION IN THE LIGHT OF AMARTYA SEN AND JOHN THOMPSON

ABORDAGEM TERRITORIAL DO DESENVOLVIMENTO E SUA DIMENSÃO HUMANA E INTELECTUAL: UMA PROPOSIÇÃO TEÓRICO-METODOLÓGICA À LUZ DE AMARTYA SEN E JOHN THOMPSON

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Abstract

This paper presents a theoretical-methodological proposition to support studies on the Human and Intellectual Dimension (HID) of territories, which, within the scope of the Territorial Approach to Development (TAD), is conceived as a type of territorial heritage. The main anchors to this purpose are Capability Approach by Amartya K. Sen and Depth Hermeneutics by John B. Thompson. From Sen, the concepts of Instrumental Freedoms and Agency are the main theoretical supports. Thompson's proposal of empirical phases and combination/triangulation of different methods and techniques in each phase, provide the other necessary support to this proposition. In this paper, the objective is to work with phases in a progressive way, starting from the exploratory phase, passing through the descriptive and analytical-comparative phases, to culminate in the analytical-systematizing phase. Therefore, the approach developed here is called Progressive Triangulation. In general, this proposal sought to build a network with meshes of various sizes, aims to capture structural aspects, as well as, aspects that are important only in a specific territory. The proposal

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developed here has originality and potential to be applied to other dimensions of TAD as well as to different studies in the social and human sciences.

Keywords: Progressive Triangulation, Human and Intellectual Dimension. Territorial Heritage, Territorial Approach to Development. Capabilities Approach.

Resumo

O presente trabalho tem por objetivo apresentar uma proposição teórico-metodológica que embase estudos sobre a Dimensão Humana e Intelectual (DHI) de territórios, vista como patrimônio territorial, no âmbito da Abordagem Territorial do Desenvolvimento (ATD). As âncoras principais são a Abordagem das Capacidades, de Amartya K. Sen e a Hermenêutica de Profundidade, de John B. Thompson. De Sen mobiliza-se os conceitos de Liberdades Instrumentais e de Agência, já de Thompson usa-se sua proposição de fases empíricas e a combinação/triangulação de diferentes métodos e técnicas em cada fase. Aqui se propõem que as fases sejam trabalhadas de maneira progressiva, partindo da fase exploratória, passando pelas fases descritiva e analítico-comparativa, para culminar na fase analítico-sistematizadora. Assim sendo, se nomeia a abordagem aqui desenvolvida de Triangulação Progressiva. Buscou-se construir uma rede com malhas de vários tamanhos, que capte aspectos estruturais e também aspectos que sejam importantes somente em um território específico. Com isso se imagina evitar que sejam negligenciados aspectos que de fato importam. Entende-se que a proposta aqui desenvolvida possui originalidade e potencial de ser aplicada a outras dimensões da ATD, bem como a distintos estudos nas ciências sociais e humanas.

Palavras-chave: Triangulação Progressiva, Dimensão Humana e Intelectual. Patrimônio Territorial, Abordagem Territorial do Desenvolvimento. Abordagem das Capacidades.

Introduction

This paper presents a theoretical-methodological proposal aiming to support studies on the Human and Intellectual Dimension (HID). Such intent is part of a larger and collective endeavor, set out to build an original interdisciplinary approach to territorial development⁷. It is the Territorial Approach to Development (TAD), which has at its core the notion of territorial heritage. This asset refers to a set of assets and resources, material and immaterial, which have accumulated throughout history in a given territory, resulting from historical processes of construction and socioeconomic and cultural reconstruction in relation to the environmental environment, represented in its different dimensions (productive, cultural, institutional, natural, social and human-intellectual) (DALLABRIDA, 2020).

Therefore, HID is only one of the six dimensions of that approach (DALLABRIDA; ROTTA; BÜTTENDENDER, 2021; DALLABRIDA *et al*, 2021). In a first conceptual approach, it can be said that HID is invariably about people. It is, therefore, about the groups and subgroups formed by them, their knowledge, sociodemographic characteristics and the social arrangements that impact their intellectual formation, as well as the production and dissemination of new knowledge and innovations. A more precise conceptualization requires, however, that it be contextualized with its object of interest. This brings us to prior knowledge of the concepts of Territory, Knowledge and Development. Of these concepts, the notion of development, according to Amartya Kumar Sen's Approach to Capabilities, plays a central role in this proposal, developed over an extensive list of publications (SEN, 1985, 1987, 1989, 1992, 2000, 2010). It is based on this framework that we will seek to propose an approach that captures and understands the peculiarities and role of HID in territorial development.

⁷ Such discussions are being developed through two research projects formally based and registered in Brazilian institutions. 1) The territorial heritage as a reference in the development process of territories or regions (National Council for Scientific and Technological Development - CNPQ-PQ). 2) The territorial heritage as a reference in the development process of territories or regions: epistemic-theoretical assumptions and a proposal for a methodological instrument (Post-Graduation Program in Sustainable Territorial Development - PPGDTS - UFPR).

In operational terms, this proposal is inspired by the methodological strategy suggested by Thompson (2011). The author proposes the method entitled Depth Hermeneutics (DH), a method that is divided into a preliminary phase (interpretation of doxa) and three phases: socio-historical analysis, formal or discursive analysis and interpretation/reinterpretation. This is not about adapting this methodology to the territorial context; it only uses it for the purpose of structuring phases which, in combination with different techniques, consist of starting from a panoramic view, to finish with the systematizing phase, passing through intermediate steps, as will be seen throughout this paper⁸.

The text, in the next item, presents and discusses the concepts of territory and knowledge used here and establishes the basic constituent elements of HID. In the next item, the theoretical framework of the Capability Approach is discussed, to support the operationalization and systematization of the aforementioned constituent elements. The fourth item presents the operational phases themselves. In accordance with Thomson's (2011) proposal, the following phases are proposed here: a) Exploratory Phase, b) Descriptive Phase, c) Analytical-Comparative Phase and d) Analytical-Systematizing Phase.

It is expected to present a proposal that most likely has merits in terms of originality and, perhaps, also in terms of robustness and simplicity necessary to support diagnoses and prognoses of bottlenecks and potentialities inherent in territorial development processes, particularly those relating to what here it is understood by human and intellectual aspects. It is worth saying that the core of the concern lies with the people themselves, with the well-being of populations in the territories as the ultimate goal of any development process. This puts our intentions in line with the defense of an ethics of development, as discussed by Sen and Kliksberg (2010), in a text that already has the following idea in the title: "People first".

The human and intellectual dimension: fundamentals and basic components

Everything that concerns the HI dimension in the context of territorial development implies, as stated, having in mind, first, the notions of territory, knowledge and development.

In the present work, it is understood that territory is a concept that mobilizes human geography, anthropology, archeology, sociology and economics, among other areas of knowledge. This implies,

[...] on the one hand, that the formation of a territory results from the meeting and mobilization of social actors who make up a given geographic space and who seek to identify and solve common problems. On the other hand, they demonstrate that a "given territory", whose delimitation is political-administrative, can house several "constructed territories". And its construction presupposes the existence of a relationship of proximity to the actors (MAIA, 2014, p.128; PECQUEUR, 1996 *apud* VIEIRA and CAZELLA, 2006, p. 6).

According to Linck (2006, p. 110-111), the construction of this interpretation moves some references. Affirming that territory should not be confused with the notion of space or area is evident. The territory is a space with its own personality that no geometric law allows us to understand. It is also evident that the territory is a social construction: the territory has a history, an identity and that is precisely what the territorial approach allows us to understand.

The territory is an appropriate space: recognizing the forms of this appropriation, understanding the modalities of its legitimation and identifying its beneficiaries indicate some difficulties. Territory is fundamentally defined and delimited by and from power relations (SOUZA, 1995). The question that arises is who dominates or influences and/or how it dominates or influences a given space. Logical, but not evident, that both the appropriation and the construction of the territory are collective: producing a territory is not the work of just an isolated individual, but of a group or several groups, constituted by the inhabitants of a certain space.

This understanding is helped by the idea that the territory simultaneously focuses on relations of competition and cooperation, which is the object of conflicts that are resolved and overcome in the construction of solidarity and/or hierarchy. It is at this point that the territory can take on its sense of collective heritage that is mobilized in a production process of the society. It is precisely around the management and modalities of appropriation of this heritage that the

⁸ Detailed explanations on the actual use of DH can be found in the article on the Social Dimension in this dossier.

interactions and contradictions between territories and globalization have made sense (SILVEIRA, 2010; REHNER, 2012).

The territory, at the same time that it is the object of conflicts and rivalries among users, forms the substance of a collective project. Speaking of territory in relation to globalization implies overcoming the dissociation between economics and politics, emphasizing the fact that the construction and evaluation of territories are at the intersection of both fields (LINCK, 2006, p. 111).

In this sense, the study of HID implies, in the first instance, identifying and analyzing the human groups and subgroups that give it existence. It is based on this that it will be possible to enter into the study of peculiarities about uses and appropriations of territories, about power relations, about who is benefiting from territorial development and who is being neglected. Likewise, it is with such a look that one can identify peculiarities that can be understood or mobilized for the purpose of qualifying such development.

For development to occur, alongside knowledge understood as tacit and traditional, intellectual knowledge and science knowledge, in various areas of knowledge, they have always been considered essential. This has been the case since the early reflections of classical authors such as Karl Marx. For him, intellectual knowledge materialized in what the author called technical progress and it had the role of acting as a capitalist tool in the extraction of surplus value, especially the extraordinary one. This would be due to the use of technology in production processes, especially those derived from the Industrial Revolution in progress. Science and its intellectual knowledge would have the role of generating increases in labor productivity through continuous technological improvements in machines, equipment and work instruments (CIPOLLA, 2006).

Another important classic author is Schumpeter (1985), when addressing the application of intellectual knowledge in the generation of improvements, called by the author innovations. Innovations would be defined by making new combinations, so economic development would consist of employing different resources in a different way and doing new things with them. According to Schumpeter, innovations could be of five types: introduction of a new good; introduction of a new production method; opening a new market; conquest of a new source of raw materials or manufactured goods; establishment of a new industrial organization. For the author, innovations were considered the engine of economic development of a nation (territory).

In the various classical theories, intellectual knowledge has always been characterized as fundamental to the processes of development of societies, and sometimes, defined as superior to other types of knowledge. Currently, however, intellectual and scientific knowledge is understood as multidisciplinary and coming from various areas that can act as heritage of territories in their development processes (DALLABRIDA; ROTTA; BUTTENBENDER, 2021). Furthermore, studies have highlighted the complementarities between different types of knowledge in territories (and not just their differences or competitions) and even their disposition in the formation of societies in networks (CASTELLS, 1999).

The fact is that there is no consensus in the literature on how to classify the different types of knowledge. For example, Brunori *et al* (2009) speak of knowledge of the tacit, codified, synthetic and analytical types. Another important classification resides in separating territorial knowledge as material and immaterial heritage (GEELS, 2004; BRASIL, 2016). It is also possible to speak about popular and traditional knowledge, as highlighted by authors such as Paulo Freire (FREIRE 1967, 2005) and Boaventura de Souza Santos. Santos (2004, 2007, 2019), for example, defends the need for an *ecology of knowledge* and an opening of the canons of the global north to the unviable, but alive and equally important, knowledge of the global south.

Another relevant contribution for our purposes comes from sociologist Pierre Bourdieu (BOURDIEU, 1982, 1983, 2011), particularly from his notion of cultural capital. According to the author, this capital manifests itself in three different forms: incorporated, objective and institutionalized. In the incorporated form, it would be verified through the competences of an individual in the cognitive sense and their taste in the aesthetic sense. Thus, this form is attached to the person's biological body and its acquisition/accumulation requires the individual's own action, such as investing his time in attending classes and courses. In the objective form, it manifests itself in cultural goods, such as books, piece of art, instruments, etc. Its ownership would be transferable from one person to another, usually with the use of economic capital. However, only its legal possession would be transferable, the ability to appreciate a piece of art or the use of an instrument, for example, would be dependent on the possession of incorporated cultural capital. In

institutionalized form, it would manifest itself in the objectification, in the form of titles and certificates, of incorporated cultural capital.

All these classifications and forms of knowledge are relevant to the theme of territorial development and they are, therefore, constitutive of the dimension that we seek to scrutinize here. In this proposal, the distinction between *formal* and *informal knowledge* is adopted.

Formal knowledge concerns those linked to teaching and research institutions formally recognized by the legal apparatus. These are, for example, schools, universities, research centers and similar entities. Likewise, they include titles, diplomas and certificates of completion issued by them. They also incorporate the production and registration of patents, as well as scientific production, conveyed in appropriate forums and formats, such as, for example, scientific papers.

Informal knowledge, in turn, is understood here as all other knowledge not produced and legitimized by the aforementioned institutions. Examples of this knowledge are: foreign languages; indigenous languages specific to certain social groups living in the territories; ancestral practices perpetuated by orality that denote specific knowledge, such as, for example, knowledge of medicinal herbs and inherent to cultural practices, such as preparing typical dishes, making regional clothing, etc.

It starts with the assumption that there are no knowledges superior to each other. Thus, the search for identifying the different forms of knowledge and the one existing in a territory is a mission of the researcher who works with TAD. Obviously, the concrete conditions of the empirical activities will define what will actually be possible to achieve in each situation.

From the point of view of development within the territories, on the one hand, people can be seen as the final beneficiaries of all economic, political and scientific activity. A society that builds arrangements capable of providing its population with the knowledge produced by humanity can be considered developed and that is capable of providing that human potential can be pursued with real possibilities of success. Being educated, healthy, having security, seeking self-improvement, in short, are goals that are justified by them. They are ends in themselves.

On the other hand, one can imagine a feedback process, according to the existence, at present, of an educated, healthy population in search of self-improvement, produces positive impacts on the social arrangements that structure the territories and provide them with cohesion. It is in this direction that, in the 1960s, Theodore Schultz and Gary Becker pointed out, when discussing the notion of human capital, (BECKER, 1964; SCHULTZ, 1961). Therefore, we are talking about the possibility of seeing HID from the perspective of the media with a view to other ends. In other words, the HID, within the TAD, can also be seen through the instrumental potential that a certain state of affairs may have in economic and political terms, or in any other areas of interest to the researcher. As stated, a population with a high level of education, in addition to being an end in itself, can lead, with more chances of success, to the advancement of scientific innovation, for example. And, in turn, it can raise the overall level of well-being.

Such assumptions are fully compatible with the Capabilities Approach, developed above all by the Indian economist Amartya Sen. This approach provides us with a definition of what development is and what contributes to achieving it or not. In general terms, for Sen, "an adequately broad view of development is sought to focus the evaluative examination of things that really matter and, in particular, to avoid decisively important matters being neglected" (SEN, 2000, p. 50). Thus, underdevelopment is "widely seen in the form of deprivations of freedom" (SEN, 2000, p. 108), in turn, development is "seen as a process of eliminating deprivations of freedoms and expanding substantive freedoms of different types that people have reason to value" (SEN, 2000, p. 108). According to the author, substantive freedoms, they include elementary abilities such as being able to avoid hardships such as hunger, malnutrition, avoidable morbidity and premature death, as well as the freedoms associated with knowing how to read and do arithmetic calculations, having political participation and freedom of expression, etc. (SEN, 2000. p. 52).

In a broad sense, it can be said that different forms of deprivation of liberty occur in different territories. Different deprivations of liberty also occur in the same territory, depending on the characteristics of the population groups and subgroups that constitute it. The consequences of such perspective, more concretely linked to the objectives of this paper, are in the sense that the population of a territory must be looked at with a view to stratification criteria.

The basis for such stratification is the idea that there are vertical and horizontal inequalities, as discussed by Stewart (2010), Stewart, Graham and Luca (2005) and emphasized by Costa (2015 and 2016). The term vertical inequalities serves "[...] to characterize the asymmetries between

individuals and the horizontal inequalities to qualify the inequalities that affect population groups” (COSTA, 2015, p. 155).

That is, when looking at some territory to identify, for example, income inequality based on the Gini index, or when looking at the distribution of the population according to educational levels, one is looking at vertical inequalities, regardless of color, ethnicity, gender, ethnic group, etc. On the other hand, when talking about horizontal inequalities, it is assumed that belonging to certain groups can be a relevant factor of inequality, or of other aspects that imply disadvantages for some groups or privileges for others.

Consequently, studying the HID of a territory implies looking at population groups according to these two segmentation criteria, vertical and horizontal. Such segmentation allows not only thinking about inequalities between groups, or identifying problems in a territory, but it also allows thinking about and identifying specific potentialities. Traditional knowledge, linked to specific ethnic groups, for example, can constitute important territorial assets and they are captured here by the notion of horizontal groups. Therefore, this parameter allows us to establish that the HID is constituted, in addition to formal and informal knowledge, by segmentations according to: a) Levels of Education, Income Levels and Age Groups (vertical); b) Religious Groups; Gender; Race/Color; Ethnic Groups (horizontal).

This distinction is fundamental for having an elementary notion of the territory being studied. From it, different possibilities of more detailed analysis are opened for each group or for each situation in which the researcher is interested. In other words, especially in the case of horizontal groups, it is possible that some aspects are relevant in one territory and not in others. If, for example, a certain territory is a recipient of immigrants, this will be a horizontal interest group in that territory may not be so in others. Therefore, the identification of the relevant horizontal groups in each territory will be an elementary task of each research. Below, Table 1 presents, in a schematic way, the basic components of the human and intellectual dimension.

Table 1: Human and Intellectual Dimension and its basic components

HUMAN AND INTELLECTUAL DIMENSION	KNOWLEDGE	Formal	
		Informal	
	HUMAN GROUPS	Vertical	Income ranges
			Educational levels
			Age groups
		Horizontal	Religious groups
			Gender
			Race/Color
	Ethnic groups		

Source: the authors.

Having established the basic constitutive elements of the dimension and introduced its connections with territorial development, it is shown, for empirical purposes, the need to think about descriptive developments, based on the constitutive aspects and elements listed here. This is certainly a fundamental step in any endeavor in this direction, and it has the potential to produce relevant information and results. However, it is considered necessary to present a theoretical/methodological framework that allows going beyond a descriptive look. Next, the objective is to present such a framework, based on the Capabilities Approach.

The human and intellectual dimension from the perspective of the capabilities approach⁹

The group of researchers responsible for this proposal was in favor of adopting the Capabilities Approach, especially in its version developed by the winner of the Nobel Prize in

⁹ This item is related, in part to discussions presented in Mueller (2017, 2018 and 2020).

economics in 1998; Amartya Sen. This is because such an approach focuses, primarily, on people, with the concern to eliminate sources and processes of deprivation of liberty. In one of his most recent works, Sen states that such an approach: “[...] gives a central role to a person's real ability to do the different things he/she values. [...] focuses on human lives and not just on the resources that people have [...]” (SEN, 2010, p. 253). It is this focus on human lives and the implications arising there from what matters to us in the first place.

Alkire and Deneulin (2009, p.27), members of the Human Development and Capability Association, founded in 2004 by Amartya Sen, state that “the purpose of development is to enhance people's capabilities, in the present and in the future, in all areas of their life – economic, social, political and cultural. It is here that human development rests fully on Amartya Sen's core idea of capabilities and agency”. According to Sen (1989), evaluating the development of a society in a broader way implies relocating the discussion in terms of principles and, thus, paying attention to the distinction between ends and means. Production, growth and economic prosperity would be seen as the essence of human activity, as an end in itself, for which people would have become mere means. However, economic progress should only be a means in the pursuit of the greater end which, according to the author, is people's quality of life. In this sense, resources, incomes and economic growth are not excluded from the analysis, nor considered irrelevant. They just cease to be seen as ends, to be seen as means. This would not be a simple methodological individualism, but a matter of principles, according to the relationship between ends and means should not be confused or inverted.

In other words, it is a change of focus that requires that we pay less attention on the aspect of the means, and more on the aspect of how people actually manage to live. Or, in the author's words: “an alternative to focusing on the means to live well is to focus on how people actually manage to live (or, going beyond that, on the freedom to actually live as they have reason to value it)”, (SEN, 2000, p. 93).

In order to understand this focus on ends and these are being the well-being of people themselves, it is essential to understand and distinguish the notions of functioning and capabilities. *Functionings* are the realizations, the achievements of a person, what he can do or be. Already the *capabilities* reflect the different possibilities for an individual to achieve distinct *functionings*. In the words of Sen (1987): a functioning is an achievement, whereas a capability is the ability to achieve. Functionings are, in a sense, more directly related to living conditions, since they *are* different aspects of living conditions. Capabilities, in contrast, are notions of freedom, in the positive sense: what real opportunities you have regarding the life you may lead (SEN, 1987, p. 48).

In this sense, a person's well-being does not consist only in what he is able to achieve and reach, but also in real opportunities to reach achievements other than those he has actually reached. It is the degree of real opportunity – what a person could achieve – that Sen defends as something that should also be taken into account when assessing individual well-being.

Likewise, the development of a society should be measured not only by its achievements, but also by the real opportunities available to its members. In this sense, the *capabilities approach* is a proposition according to social arrangements should be evaluated. That is, evaluating them according to the different achievements and different degrees of freedom that people have to seek and achieve what they value. For Sen, what matters is not the income and resources themselves, but what is actually achieved with them (SEN, 1992, 2000).

Therefore, in order to discuss HID in the context of territorial development, it is appropriate to consider *how people actually manage to live* (SEN, 2000) in different territories and seek to show elements that may be implying differences in terms of well-being and real opportunities between populations from different territories or in the same territory (MUELLER, 2017, 2018, 2020).

The aforementioned change in focus from means to ends, the author justifies due to countless diversities and heterogeneities (SEN, 1992, 2000, 2010) that can affect the conversion of income and resources into well-being. Given the intrinsic human diversity and the different contingency factors that vary in space (between territories); it would be possible to achieve different goals with similar incomes and resources, or, conversely, achieve similar goals with different incomes and resources. In this sense, the author states that:

Despite the crucial role of incomes in the advantages enjoyed by different people, the relationship between, on the one hand, income (and other resources) and, on the other, individual achievements and substantive freedoms is constant and in no sense automatic and irreversible. Different types of contingencies entail systematic variations in the 'conversion' of incomes into the

different 'functions' that we can carry out, and this affects the lifestyles we can have” (SEN, 2000, p. 133).

Specifically regarding *personal heterogeneities*¹⁰, the author states that “we are deeply diverse in internal characteristics (such as age, gender, general abilities, particular talents, proneness to illnesses, and so on) as well as in external circumstances (such as ownership of assets, social backgrounds, environmental predicaments, and so on” (SEN, 1992, xi). Due to such heterogeneities, the resource needs would also be different. For example, what an elderly or physically disabled person could achieve with a given basket of resources would not be the same as what a young, healthy person could achieve with the same resources. The debilitated person would probably need more resources to obtain the same well-being or even then could not obtain it. Here, a central element in the discussion about the HID of a territory is clearly presented. In other words, the heterogeneity and diversity of the population of a territory must be investigated with attention. This is fully compatible with the notion of vertical and horizontal inequalities already presented to the reader.

Instrumental Freedoms

In Sen's approach, freedom has a dual aspect and a dual function. It is associated both with the capacitance set, allows the realization of different functions (aspect of well-being), and with the condition of agent of people and collectivities (aspect of the agency). Therefore, “both the 'well-being aspect' and the 'agency aspect' of persons have their own relevance in the assessment of states and actions. Each aspect also yields a corresponding notion of freedom” (SEN, 1985, p. 169). That is, freedoms are expressed, on the one hand, by the notion of capabilities and, on the other, by the concept of *agency*. It is in this sense that Sen refers to freedom as a concept of development, as highlighted, means a process of eliminating deprivations of freedom and expanding substantive freedoms. Both the freedoms of agency, and those associated with the capacitive set, are central to this notion of development, and this for two reasons, or functions. By the evaluative function and by the effectiveness function.

The evaluative function is shown to be a measure of development. The success of a society should be measured both by its functioning and by the freedoms (of capabilities and agency) that the members of that society enjoy. However, the author suggests a special focus on *capabilities* as guides for development assessments. This is what multidimensional development indexes, such as the Human Development Index (HDI), seek to measure.

The role of effectiveness is justified by the author in the sense of being instrumental for development to take place. It means to say that “having more freedom improves people's potential to take care of themselves and to influence the world” (SEN, 2000, p. 33). The greater the individual freedoms, the greater the possibilities for social development and vice versa. In this sense, the expansion of freedoms should be both an end and a means for development, both individual and social. For Sen (2000, p. 52) “the expansion of freedom is considered (1) *the primordial end* and (2) *the main means* of development”. Bearing in mind this instrumental function (medium) of freedom, Sen (2000, p. 55) points out five categories of *instrumental freedoms*, as shown below.

Political freedoms: refer to what might be called civil rights. These freedoms would basically be instrumental to development due to the greater sensitivity of democratic regimes towards authoritarian ones in meeting the demands of citizens (SEN, 2000).

Economic facilities: This category includes opportunities for using economic resources for consumption, production and exchange purposes. Such freedoms will depend, according to the author, both on the availability of resources and on the access that people have to them. In this sense, the economic growth of a society would be intrinsically linked to the increase in the economic facilities of the people who comprise it. However, this would also imply considerations regarding the distribution of resources and the fruits of economic growth. In other words, economic facilities incorporate material aspects that reflect both the supply and demand sides.

Social opportunities: According to Sen (2000), these are service offerings in areas, among others, such as health and education. Such facilities would be important not only for the conduct of private life and well-being, but also for a qualitatively superior participation in market activities and

¹⁰ Sen (2000 and 2010) presents several categories of diversities and heterogeneities. However, it is understood that many of them are compatible with other dimensions of the TAD. Therefore, the focus here is on the category of *personal heterogeneities*.

political activities. As an example, the author mentions illiteracy which, on the one hand, would be an obstacle to the exercise of numerous professional activities and, on the other, would make it difficult for him to act as a citizen in the political sphere.

Transparency guarantees: “refer to the sincerity needs that people can expect: the freedom to deal with each other under guarantees of dispassion and clarity” (SEN, 2000, p. 56). These guarantees would play an instrumental role in inhibiting corruption, financial irresponsibility on the part of government officials and illicit transactions. In Brazil, something similar to such a concept may be the Access to Information Law, federal law No. 12,527, of 18th November, 2011, in force since 16th May, 2012.

Protective security: refers to fixed institutional provisions that guarantee the existence of a social protection network for those who find themselves on the threshold of vulnerability, thus preventing them from being reduced to abject misery or even death. Such institutional provisions would include, among others, food distribution in difficult times and income guarantee for the unemployed (SEN, 2000).

This idea of *instrumental freedoms* is understood as a conceptual element with great heuristic potential applicable to the study of the human and intellectual dimension within the TAD. In general terms, attention should be paid, to the aspects themselves, to causal mechanisms, to the possibility of the absence or presence of any of these forms of instrumental freedoms in different territories, to the idea that they have impacts on well-being and also to the fact that different human groups may be experiencing different situations from each other in the same territory, in view of the different freedoms listed.

Agency: Power and Control

The realization of the idea that freedom has an instrumental role in development gains more consistency using a key concept in the Capability Approach: the concept of *agency*. For Sen, this concept is constitutive of his definition of development, since "development consists in the elimination of deprivations of freedom that limit people's choices and opportunities to exercise their agent status" (SEN, 2000, p. 10).

According to Sen (2000), agency represents the possibilities of being a protagonist, of making decisions related to one's own life and be able to influence the world. An Agent is “someone who acts and causes change, and whose achievements must be judged according to their own values and objectives [...]” (SEN, 2000, p. 33). In this sense, individuals are “seen as active agents of change and not as passive recipients of benefits” (SEN, 2000, p. 11). Therefore, it is only in terms of exercising the condition of agent that freedom can be understood as having an instrumental function.

The exercise of this agency could take place "as a member of the public and as a participant in economic, social and political actions (interacting in the market and even getting involved, directly or indirectly, in individual or joint activities in the political sphere or in other spheres" (SEN, 2000, p. 33) Crocker and Robeyns (2010) summarize this proposition as follows:

not only should individuals exercise their agency by shaping or determining their own lives but it is by exercising joint agency that communities can and should select, weigh, and trade-off capabilities, functionings, and other normative considerations (CROCKER E ROBEYNS, 2010, p. 76).

Inherent in such an understanding of agency, Sen (1985, p. 208-212) emphasizes the notions of Effective Power and Control. Effective power¹¹, in the context of the Capabilities Approach, basically consists of the power that a person or group has to achieve the chosen objectives and priorities, regardless of whether the interested parties control the respective processes or not. Control, in turn, refers to the ability (and power) to make choices and control the processes associated with that choice.

Thus, the assessment of achievements implies taking into account the processes inherent to them, which, in turn, requires attention to the aspects of Power and Control available to the actors involved in these processes. Sen (1985, p. 212) exposes such associations saying that: “The evaluation of the power to achieve different states of affairs may be control-sensitive, and the power view of freedom can, inter alia, accommodate whatever is important in the control view”.

Based on these conceptions of Power and Control, Sen highlights that “the condition of each person as an agent is inescapably restricted and limited by the social, political and economic

¹¹ From now on we will only use the idea of power, meaning effective power.

opportunities available to us” (SEN, 2000, p. 10). In this sense, Crocker and Robeyns (2010) elaborate a relevant refinement of the notion of *agency*. These authors understand that this concept also allows us to perceive that an individual or a group different from those, whose goals are at stake, can exert influence or control the processes inherent to achieving these goals. In other words, the same concept serves to show that individuals and groups can (and should) control their destinies, participate in matters of public interest, be agents, but it also shows that not everything is under the control of the interested parties themselves. It shows that agency is inescapably restricted and limited by a number of aspects.

Therefore, “many good (and bad) things happen to people because of what other agents do for (or to) them” (CROCKER, 2010, p. 7). And this, in turn, implies that “agency is a matter of degree rather than “an 'on/off' capacity or condition” (CROCKER, 2010, p. 11). That is, no person or collectivity is totally devoid of agency (Power and Control), but, conversely, none is provided with unlimited agency. Thus, it is understood that the ability to influence the world through individual or collective *agency* is also a matter of gradation, depending on the degrees of Power and Control of the actors involved in each situation to be evaluated.

In the case of the development of a territory, this concerns the variable capacity of collectivities, or individuals, to exercise some type of control over such development through their *agency*. And this can, of course, vary from one territory to another and between social groups that constitute the territories. Consequently, it is also perceived that the *agency of others*, in this case, of actors and processes external to the territory, can exert internal impacts, without the local actors being able to effectively have effective power and control over certain aspects. Identifying situations like this certainly represent valuable contributions to eliminating deprivations of liberty and, in other words, enhancing the role of territorial assets, particularly those inherent to HID.

In summary, just as the notion of instrumental freedoms, the notion of agency also has a high heuristic potential for analytical purposes in the scope of studies on territorial development. Next, the phases and stages of operationalization of this theoretical-methodological proposition are presented, bearing in mind the distinctions between formal and informal knowledge, vertical and horizontal groups and the conceptual elements extracted from the Capability Approach.

Operationalization of the proposal

Based on the assumption that there are diversities and heterogeneities in different territories and that they are noticeable in human and intellectual aspects, the phases and stages of operationalization of the proposal are pointed out below, based on the basic components presented to the reader. Inspired by Thompson's (2011) HP phases, four phases are also presented here, divided as follows: 1) Exploratory phase, 2) Descriptive Phase, 3) Analytical-comparative phase and 4) Analytical-systematizing phase.

Exploratory phase

Step 1: Point out the sources, the ways to obtain and any peculiarities of the data to be used in this phase and in the others. In the Brazilian context, the work of Januzzi (2017) is suggested as a starting point.

Step 2: Contextualization of the territory to be studied, placing it within its history and geography. It is about presenting the territory from the other dimensions that give it existence, based on the TAD. Here, it is recommended to consult, as a starting point, the other texts produced by the group of researchers that have been dealing with this approach, particularly Dallabrida, Rotta, Büttenbender (2021) and Dallabrida *et al* (2021).

Step 3: Identification of specific horizontal groups in the territory, in addition to those considered elementary here. In some territories it may be necessary to study, for example, indigenous peoples, *quilombolas*, immigrants or even tourists, while in others the reality may be completely different.

Descriptive Phase

Step 1: Describe the territory in terms of its formal knowledge, which implies teaching and research institutions, issuing academic titles and certificates, scientific production and patent registration. This step is important in itself, the results of which can indicate fundamental aspects of

the territories. However, in the context of this proposition, this step is also understood as a previous step that, subsequently, will support the analysis and systematization of the population's reality, based on vertical and horizontal aggregates.

Step 2: Describe the characteristics of the territory based on the distinction between vertical and horizontal groups.

a) *Vertical groups:*

- ✓ Distribution of the total and percentages of the population according to levels of income, education and age groups (without looking at horizontal groups).
- ✓ Description according to indicators already consolidated, according to the respective topics, such as the Aging Index, Birth and Mortality Rates, School dropout rate, performance in national tests and other reliable data that are available (Januzzi, 2017).

b) *Horizontal groups:*

- ✓ Distribution of the total and percentages of each horizontal group according to levels of education and income.
- ✓ The same consolidated indicators mentioned above can be applied to describe the realities of the respective horizontal groups. For example, dropout rates by ethnic groups, aging rate by gender, etc.
- ✓ Presentation of the characteristics of horizontal groups, whose informal knowledge has the potential to act as territorial heritage. The proper identification of these characteristics may require bibliographic studies or qualitative primary research, such as ethnography.

Analytical-comparative phase

Until then it may have been quite clear that territories are diverse and plural in relation to a number of aspects and bringing this to light is fundamental. However, it is equally essential to inquire about how relevant certain aspects are in the midst of diversity and heterogeneity. In the economic literature, to evidence productive specializations, or regional patterns of regional economic growth, the Location Quotient (LQ) is used with some frequency (HADDAD, 1989; MONASTERIO, 2011; DELGADO E GODINHO, 2011).

The Location Quotient seeks to express the comparative importance of a productive segment for a region *vis-à-vis* the macro-region in it is inserted. More specifically, it seeks to translate “how many times more” (or less) a region is dedicated to a certain activity *vis-à-vis* the set of regions that make up the reference macro-region. Usually (but not necessarily), the percentage share of employment in a given sector is used as a measure of importance or dedication to a certain activity (PAIVA, 2006, p. 92).

In this paper, we chose to propose the use of a pseudo-LQ as a way of showing how relevant a given attribute is in the territory being studied, compared to a reference territory. In order to establish the attributes of interest, it is recommended to resort to the notions of formal and informal knowledge and, above all, to the distinction between vertical and horizontal groups.

The reference territory must always be a larger geographic area, of which the territory under study is a part. In other words, if we study a municipality, the reference territory tends to be the state, or a set of municipalities that make up a region. If we study a state, the reference territory will be the country, and so on. The pseudo-LQ is obtained from the following formula:

$$\text{Pseudo-LQ} = \frac{\frac{\text{Number of people of the "x" attribute in the territory under study}}{\text{Total number of people in the territory under study}}}{\frac{\text{Number of people of the "x" attribute in the reference territory}}{\text{Total number of people in the reference territory}}}$$

For interpretation purposes, the following is adopted: for LQ's ≤ 1 , as a synonym for relative non-"specialization" and LQ's > 1 as a synonym for relative "specialization", the higher the LQ, the greater the importance of a certain characteristic in detriment of the reference territory.

With this procedure, important characteristics of the territory itself are shown, but it is already an analytical procedure, with a view to establishing comparisons and highlighting territorial specificities in the midst of diversity. The comparisons are in relation to the reference territory; however, when there are data, nothing prevents the calculation of pseudo LQs for the same territory

at different moments in time. Thus, it is possible to establish longitudinal analyzes and evaluate the temporal evolution of some aspect of interest.

Analytical-systematizing phase

It consists of analyzing and discussing the results of the previous steps in light of the Capabilities Approach. Evidently, at this stage, the other bibliographies that make up the respective theoretical framework should also be resumed. Here, the inspiration in the interpretation/reinterpretation stage proposed by Thompson is quite evident. In this sense, it is worth mentioning that for the author “interpretation implies a new movement of thought; it proceeds by synthesis, by creative construction of possible meanings” (THOMPSON, 2011, p. 375). In addition to creativity, it is understood that acumen is equally essential at this stage, to give due to emphasis and avoid, as highlighted by Sen (2000), that aspects that really matter in the territory in question are not neglected.

It is recalled that within Sen's construct, freedom is understood simultaneously as an end and a means of development. Seen as an end, it performs the evaluative function. Seen as a means, its function is instrumental. In this sense, these two functions must also be kept in mind in this analytical-systematizing phase.

Therefore, we will seek, on the one hand, to make use of the heuristic potential of this idea of an evaluative function to systematize the results obtained in the previous stages, in order to present a balance of the reality found in the territory regarding *formal* and *informal* knowledge and as to the realities of the different human groups present in it, *vertical* and *horizontal*.

On the other hand, it is understood that the instrumental function discussed by Sen takes on a more relevant character in this proposition. This is because it is from it that topics and mechanisms that act as a means to improve territorial development can be extracted. The notion of instrumental freedoms comes into play here, with its five constitutive categories (political freedoms, economic facilities, social opportunities, guarantees of transparency and protective security) and the notion of agency, is important in itself, but central to that the instrumental function of freedom materializes. Therefore, mobilizing the heuristic potential of instrumental and agency freedoms, knowing these aspects, putting them in connection with the respective human groups existing in the territories, is what gives researchers tools capable of producing science with social and academic relevance.

If the main objective is to break down the aspects pertaining to some dimension of territorial development, with a view to understanding problems and potential in the sense of developing such territory, it is necessary to show how some aspect may be negatively or positively impacting the main objective, which is development. For example, a look at the education system of a territory inevitably refers to some of the forms of instrumental freedoms presented here, especially social opportunities and the concept of *agency*. If the territory under study is inhabited by a specific ethnic group, it is possible to deal with aspects related to *economic facilities*, *social opportunities*, *political freedoms*, or even all five categories in question. Obviously, in some cases it is possible that it is necessary to deal with only some of the forms of instrumental freedoms, in others; it is possible that all of them prove to be relevant.

As stated, this final phase demands creativity and insight from the researcher, so here we present some suggestive topics, which may be present in studies that make use of this theoretical-methodological proposition.

Instrumental Freedoms:

- What are the realities identified in the territory that imply the restriction of instrumental freedoms for the population as a whole (vertical view) and for specific groups present in the territory (horizontal view)? What are these groups? What are the instrumental freedoms directly involved?
- What are the situations identified in the territory that imply the enhancement of instrumental freedoms? What are the instrumental freedoms involved? How does this happen? What are the groups involved?

Agency:

Remember that the idea of agency is important in itself within Sen's approach, but it also has an instrumental role for development to take place, which implies individual agency and collective agency. However, this instrumental role can be restricted and limited by a number of aspects and circumstances. This is what refers the researcher's gaze to aspects of power and control which, in turn, are central to the very definition of what a territory is (SOUZA, 1995). Therefore, the concept

of agency allows for several possibilities of analytical mobilization regarding the understanding and interpretation of the reality of HID in territories. Obviously, it will be up to the researcher to identify and highlight what is in fact relevant in each case. As a suggestion, it can be discussed:

- Which elements and situations are producing restrictions? And which of them are producing potentialization of the agency of the population as a whole (vertical look) and of specific groups present in the territory (horizontal analysis)? What are these groups? What is the reality in the territory regarding the power and control of processes that impact development?
- Are there relevant external agents (*agency of others*) impacting the development of the territory?
- Is there a collective agency (*joint agency*) in the studied territory?
- What are the consequences of each situation identified regarding territorial development?

Each of the topics suggested in this phase has the potential to show what the reality is and, above all, where the territory's weaknesses and strengths are with regard to HID. Through its analysis, based on the data from the previous phases, it will be possible to identify where public policies are needed, which corrective measures and which of potentialization are pertinent, as well as pointing out where more in-depth studies are welcome.

Conclusion: the progressive triangulation method

Here, we sought to mobilize scientific concepts, methods and techniques to propose a theoretical-methodological approach for the study of the Human and Intellectual Dimension of territories. This bearing in mind a number of other elements, in addition to those identified here as basic to the dimension, could have been discussed. However, considering that this proposition is part of a more ambitious construction, involving six dimensions and several researchers, it was decided to delimit the look to what in fact seemed indisputably inherent to the dimension. In this sense, the human element makes us look at the population of the territories, and the intellectual element makes us look at the teaching, research and innovation systems. Therefore, the distinction between formal and informal knowledge was adopted, and the distinction between vertical and horizontal human groups, as basic constitutive elements of the dimension.

From the notion of territory, the idea that it is a collective social construction, marked by power relations, stands out. This implies that different social groups have different forms and possibilities of power, providing them with greater or better access to knowledge and development in a broad sense.

Therefore, the concept of development adopted here was taken from Amartya Sen (development as a process of elimination of deprivations of freedom). From the same author, the idea that freedom has an evaluative and an instrumental function was mobilized. Both are equally important in the present proposition. The instrumental function, however, also has the potential to provide more detailed elements and mechanisms that indicate possibilities for social change, in the sense of seeking development, whether in a macro sense, or in a specific sense for some topic, or for some horizontal group in certain territory. Likewise, the mobilization of the heuristic potential of the concept of agency, of that approach, is proposed. With it, several extremely relevant aspects can enlighten, and we mentioned some throughout the text.

In practical terms, we chose to follow the strategy of dividing the method into phases, as done by Thompson (2011). Thus, a progressive sequence of steps is proposed, starting from the exploratory phase, passing through the descriptive and the analytical-comparative phase and ending with the analytical-systematizing phase. The idea is that each phase has, on the one hand, its own life, highlighting relevant aspects in itself. On the other hand, it is obvious that the phases should be seen in a way that complements each other. Each phase, in turn, requires specific methods and techniques to materialize. Therefore, the proposal converges with what is usually called the triangulation of methods. (COX; HASSARD, 2005; DUFFY, 1987; FLICK, 2005; MINAYIO; ASSIS; SOUZA, 2005). In this sense, starting from the characteristics of progressive steps and the use of different methods and techniques, it is established that the present proposition will be designated as **Progressive Triangulation**.

This paper was built with the foreground of the elaboration of a theoretical-methodological proposition that supports studies on the human and intellectual dimension of territories, seen as territorial heritage, within the scope of the Territorial Approach to Development. However, it is

understood that both the Capabilities Approach and the Progressive Triangulation method developed here have potential to be applied to other dimensions of TAD, as well as to several other forms of studies in the social and human sciences. The implementation of this, however, points to the need for new discussions and academic productions. For now, an attempt has been made to build a network with meshes of various sizes, which captures structural aspects as well as aspects that are important only in a specific territory. With this, it is thought that aspects that really matter are not neglected.

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