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**“Human Development assessment through the
Human-Scale Development approach: integrating
different perspectives in the contribution to a Sustainable
Human Development Theory”**

TESIS DOCTORAL

Presentada por

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I have reached the conclusion that I lack the power to change the world, or any significant part of it. I only have the power to change myself. And the fascinating thing is that if I decide to change myself, there is no force in the world that can prevent me from doing so. It is just my decision and if I want to do it, I can do it!. Now the point is that if I change myself, something may happen as a consequence that may lead to a [little] change in the world.

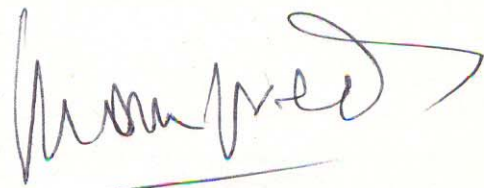
(Manfred Max-Neef)

He llegado a la conclusión de que no poseo el poder de cambiar el mundo, o una parte significativa de él. Pero creo que sólo tengo el poder de cambiarme a mí mismo. Lo realmente fascinante, es que si decido cambiarme a mí mismo no hay ningún poder que pueda impedírmelo. Es sólo mi decisión y si quiero hacerlo, ¡puedo hacerlo!. Ahora, el punto está, en que si logro cambiarme a mí mismo, quizá algo suceda, y como consecuencia esto guíe a algún [pequeño] cambio en este mundo.

(Manfred Max-Neef)

Desarrollo a escala humana

Papa Ivonne, con
carino y admiración
por sus esfuerzos en
ampliar los horizontes
del Desarrollo a
Escala Humana.



S. Africa, Abril 2006

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Con cariño.

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Abstract

Since the first Human Development Report (HDRs) was published in 1990, the Human Development (HD) paradigm has become a relevant conceptual framework as well as an intrinsic instrument to measure human progress. Yet, critics on the Reports for oversimplifying development have been pointed out as they do not take into account the myriad complex social, cultural, political and historical aspects of a country or a particular society.

The United Nations Human Development Programme (UNDP) has however tried to tackle this critique throughout the elaboration of the National Human Development Reports. These reports respond to more local approaches to analyse most pressing issues within national contexts emphasizing on subjects urging particular attention. The insights and statistical data provided within, are indeed becoming important information tools for policy-making and decision taking at a local and regional levels. They represent a sort of route-map to start-up new action plans and policies which could be useful in facing urgent problems concerning inequality, poverty, repression, injustice, among others.

Despite the effort made by the Reports to tackle development constraints in more wider terms, the whole HD problematique has not really been undertaken holistically through a multidimensional view. For this reason the Human-Scale Development approach is introduced as an evaluative tool, in order to assess the HD policies entailed within the National Human Development Reports (NHDRs). The main objective is thus, to identify deprivations and potentialities of the very specific proposals (i.e. policies) in order to re-address human development strategies towards real multidimensional political actions. Considering this framework as the most accurate one to tackle social, environmental, economic, institutional, cultural and spiritual human interactions.

Therefore, to reach this goal, this research exposes the development notion through a historical route and tracking down the origins of the human development notion. However, further revision on its philosophical and theoretical bases were needed to complete this search, and various debates emerged from these findings. The characterization of the two theories depicted in this work, namely; Human Development (HD) and the Human-Scale Development approach is necessary to identify differences and coincidences, and thereafter proceed to propose a new space of theoretical

interaction to widen the HD paradigm. This, with the only aim of ameliorating its operationalization but overall, to achieve a type of development acknowledging real positive changes in people's quality of life.

In any case, the main objective is to contribute with conceptual and methodological insights and with the proposal of new ideas in order to move forward in the building of possible Sustainable Human Development strategies within the political sphere. But always understanding the "sustainable" feature as systemic, holistic, and integral principle.

Lastly, an evaluation exercise is hence conducted using the last Brazilian National Human Development Report as a case study. The policies within are scrutinized in order to explore new possibilities in the elaboration of HD policies, incorporating a more humanist perception proper from the integral sustainability attributes. The outcomes of this policy assessment intend to identify how other possible participatory schemes can take place in policy-making processes aiming for development models which respond to cultural and social values coherent with the communities and societies entailed.

ACRONYMS

BHN	Basic Human Needs
BN	Basic Needs
BNT	Basic Needs Theory
CA	Capability Approach
CSC	Capability and Sustainability Centre
DPSIR	Driver - Pressure - State - Impact - Response methodology
DHF	Dag Hammarskjöld Foundation
GEM	Gender Empowerment Measure and
GDI	Gender –Related Development Index
GDP	General Domestic Product
HD	Human Development
HDCA	Human Development and Capability Association
HDI	Human Development Index
HDR	Human Development Report
HDRO	Human Development Report Office
HNT	Human Needs Theories
HPI	Human Poverty Index
H-SD	Human-Scale Development
ILO	International Labour Organization
IUCN	World Conservation Union
MA	Millennium Ecosystem Assessment
MDGs	Millennium Development Goals
M-HDI	Municipal Human Development Index
NGO´s	Non Governmental Organizations
NHDR	National Human Development Report
NHDR-U	National Human Development Report Unit
NHDR-W	National Human Development Report Workspace
OECD	Organization for Economic Co-operation and Development
PASIR	Pressure - Activity - State - Impact - Response methodology
PPA	Participatory Poverty Assessments
PRA	Participatory Rural Appraisal
PRSP´s	Poverty Reduction Strategy Papers
SD	Sustainable Development
SHD	Sustainable Human Development
UN	United Nations
UNDP	United Nations Development Programme
UNDP-EO	United Nations Development Programme Evaluation Office
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNEP	United Nations Environmental Programme
UNICEF	United Nations Children Fund
W-B	Well-being
WB	World Bank
WCED	World Commission on Environment and Development
WHO	World Health Organization
WTO	World Trade Organization

Introduction

The development notion has certainly come across with quite different moments and interpretations throughout its long history. In this sense, the present work was meant to undertake a serious review on one of these particular moments and areas of concern. The Human Development interpretation will be thus examined along this dissertation and an extensive review on its philosophical bases, core ideas, key elements and objectives has been pursued.

Still, the Human Development notion here described, will not be restricted to that well known and popularized by the United Nations Development Program (UNDP). In parallel, other approaches related to human well-being will be introduced in order to expand the Human Development conception and overall, its operationalization. Most specifically, the Human–Scale Development approach will be put forward as a mirror theory, in order to enrich and broaden the debate on these and other important questions. But, the main purpose of this research is to contribute in two key areas:

- The first one, in the incorporation of new methodologies and evaluation tools, which could be helpful in encouraging more holistic and multidimensional policy-making processes, within the Human Development field.
- And secondly, is that by making use of the methodology proposed, together with the introduction of some complementary theoretical inputs; a new theory on Sustainable Human Development might potentially began to be articulated (understanding Sustainable as something integral, holistic and multidimensional).

And how all this has been be achieved?

Throughout an extended review on most pressing issues concerning the Human Development paradigm, this research exposes the development notion initially through a historical route. Here, an overview of how the development notion has faced two conceptual shifts in history is depicted. Firstly, through the construction of the Sustainable Development notion, responding to the debates on the human-nature dichotomy. And secondly, when a particular need emerged of approaching development with a “human face”, urging a different analysis of human well-being in the midst of a globalized world.

It was not until the perception of the possibility to achieve the so-called *development with a human face*, that mere economic dimensions finally shifted to those of social progress. This responded to the extensive study and analysis of the eternal fight for human and economic progress in the past decades. And therefore, the Human Development notion appeared, shaping many of the contemporary debates on well-being of our times. Shortly, it became a new paradigm and since 1990 the UNDP Human Development Reports (HDRs) have represented the flagship publication of a new perception of development.

From this moment, the basic purpose of the process has been to enlarge peoples choices and to enhance human freedom through the capability of doing and being what people value. According to ul Haq (2003,22) the reports have monitored the “progress of humanity” through country rankings in a new human development index (HDI), a new indicator which by adding social variables and aggregated data was meant to displace other well-being indicators claiming to consider other important dimensions of peoples lives.

However, even when the HDI has been crucial in the inclusion of new social indicators for policymaking issues, overall, the Human Development Report has helped launch many new policy proposals. So, exploring how the concept became officially institutionalized, and has converted the development process into a more multifaceted and humanistic practice, the first and second parts of this thesis are dedicated too.

At the same time, alternative theoretic frameworks are introduced, coming from the humanistic economic field, illustrating real holistic ways of understanding human flourishing through very creative means. The Human Scale Development is thereafter brought up to sight, and thus becomes the approach used to expand HD present conceptual boundaries. In this understanding a series of discussions take place to overcome divergence among the different philosophical approaches entailing both theories. Some similarities come across often in theoretical views, however it is on their practical/empirical approaches where the difference come to sight. And the best way to evidence this difference though was by conducting an evaluation exercise to demonstrate empirically some of the assertions mentioned above. But before explaining how this was developed, one last debate takes place: the merging of the Human Development concept with the Sustainable Development notion.

The intention was to assimilate *integrality* and *multidimensionality* to the development process, where sustainability is therefore incorporated as a basic principle. Aiming to

create a new vision of things -integrating and interrelating human, political, environmental, cultural, ethic, and economic complex systems. The systems view approach comes to fore as an appropriate framework to tackle complex and interdependent aspects of people's lives. The multidimensional feature which Human Development has continuously claimed of having but which has been so hard to demonstrate. Chapter III, gives further ideas on how this could be presented.

Lastly, an evaluation is conducted with the aim to contribute in the expansion of the HD paradigm debate. Making particular emphasis on the importance of considering multiple and interdependent dimensions to tackle HD issues. This will be achieved through the proposition of the Human-Scale Development approach (H-SD), suggested as an alternative evaluation scheme. And it is through the application of matrixes of interrelation expressing "universal human needs and their fulfilment", that the main objective is achieved. The aim is thus, to identify deprivations and potentialities of the very specific proposals (policies) entailed, within the National Human Development Reports.

The regional and national HDRs were chosen as they have similar goals to articulate core ideas of the Human Development notion. These reports are indeed policy-making resources providing key results to local governments interested in looking to more social aspects of development. Therefore, through the illustration of the evaluation methodology, a complete assessment is followed to scrutinize some of the policies within the Brazilian Human Development Report edited in 2005. This country is taken as a case study, and used as a sample report to prove the methodology. The main objective is to demonstrate how the HDRs could follow more holistic processes and count with multidimensional tools to shape human development policies into real positive outcomes. All this, seeking coherence with the community involved, responding to profound participatory processes according to their values and beliefs.

Key aspects for in-depth analysis will be illustrated in order to identify relevant issues for possible change:¹

- "Deprivations" and "potentialities" within a certain policy could be recognised;
- How a present situation showing deprivation could be turned into a positive interaction condition may be told,

¹ Words in brackets are expressions typically used within the H-SD terminology

- An enlarged description of possible features and time trends influencing policy change, can be provided;
- A large list of possible actors, mechanisms, collective actions, spaces and other important aspects to include in the process could be revealed;
- The identification of “bottom-up” or “top-down” approaches predominant in that particular policy application, may be valued;
- The existence of “synergetic” or “destructive” actions and/or mechanisms to achieve that particular policy could be determined. Only to mention a few.

With no further prelude, the following sections provide a wider explanation on the motivation of this research as well as further theoretical and referential elements which support the central arguments of this work. As it was mentioned in many occasions in the literature, the Human Development paradigm seeks to cover all aspects of development, where the biggest aspiration is to widen peoples choices and enrich their lives. Therefore, the expansion of choices should be acquainted of the multiple dimensions available.

Motivation of the present research

Coming from the Political Science background, it is hard to deny the important role of international organizations and their influence in modifying policy agendas regarding different development issues. In this logic, after being part of the Doctorate program in Sustainability, Technology and Humanism, I have become aware of the intrinsic role that these organizations play in the building of a more sustainable attitude towards development, and come to the conclusion that their latest outcomes have been by no means, something to be particularly well-regarded.

If development is about people and not about objects, it is important to shape, or at least to encourage, all possible means to make more humanistic approaches to economic and political questions before it is too late. Good governance is not a luxury but it is a vital necessity for development for the need to work on this dimension is by far at this time imperative.

The Sustainable Development notion has been mostly understood throughout its three fundamental pillars, namely; environmental, economic and social. But the institutional questions have been quite often left aside. This dissertation thus, intends to rescue the relevance of political action in achieving something called “integral sustainability” (J. Herrero 2000) but furthermore to contribute in the opening of a debate on a new emerging concept known as Sustainable Human Development.

In this regard, four core issues inspire the following thesis:

1.- The most inspirational one, is the appreciation of the Human-Scale Development Theory. This theory was depicted a couple decades ago by Max-Neef, Elizalde and Hopenhayn and has contributed extraordinarily to a real holistic acknowledgment of the whole development notion. My intention was though, to bring this particular theory closer to more contemporary development debates in order to enrich and add to them, some of the special touch of humanism characterising this particular approach.

2.- My particular interest in International Organizations -as key actors in shaping global governance- has driven me to become interested in the Human Development concept, flagship by the global Human Development Reports, edited by the United Nations

Development Programme (UNDP). They have certainly shaped development debates in the latest years and the concept is by now related to the expansion of human capabilities and freedoms, rather to a utilitarian approach of to basic needs fulfilment. It is now regarded as a paradigm which has inspired a growing movement in many regions of the world committed to embrace this notion as a novel perception of well-being. Mayor credit though, should be given to professor Amartya Sen, who has guided and encouraged further intellectual work in widening the concept for better understanding and operationalization; which has become recently a school of thought in well-being economics, philosophy and other fields of study.

3.- Motivational as well, have been all the academic contributions firstly, from the PhD programme, the parallel and complementary courses; but overall, the conversations and discussions held in the various international conferences and workshop which I had the chance to attend along these last years, and which have shaped strongly my perception of things.

4.- Finally my initiation on the evaluation field which has been a real learning experience and which I would like to enhance in the near future.

Objectives

General:

1. To contribute in the widening of UNDP's Human Development concept understanding and operationalization, through the incorporation of the Human-Scale Development approach and its holistic and humanist philosophical backgrounds.
2. To conduct an evaluation of Human Development policies contained in the National Human Development Reports to identify deprivations and potentialities within, in order to achieve better holistic policy outcomes.

Specific:

1. To make a historical review of the development concept in order to centre the development notion globally in time and space. This with the aim of describing how and when the time to shift to a "development with a human face" emerged. But also, how the human development paradigm was constructed at a particular moment in time with its own philosophy and furthermore has encouraged the emergence of a contemporary school of thought on well-being and development issues.
2. To propose the Human-Scale Development approach (inspired in the humanistic economics) as an alternative development theory. With the aim of broadening the HD paradigm on its theoretical and methodological grounds.
3. To bond the Human Development concept with the Integral Sustainability notion through the usage of the Systems View approach as an appropriate framework to work with complex multidimensional problems and meanings. It is from this conceptual merge that a new definition of Sustainable Human Development will be put forward.
- 4.- To propose a qualitative valuation methodology -adapted from the Human-Scale Development theory- to analyse Human Development (HD) policies contained in the National Human Development Reports (NHDRs). With the intention to be used as a guiding tool to identify synergies, destructive, inhibiting or singular actions; but also

endogenous (bottom-up) or exogenous (top-down) initiatives throughout the HD policy-making processes.

5.- To identify deprivations and potentialities to help orientate Human Development achievement towards a more holistic view, in order to expand HD dimensions to wider aspects of human lives.

F frameworks

a) Referential Frameworks

Despite differences in approach, **development** had been historically identified with economic growth. Nevertheless, the concept began to be contested in the 1970s when attention shifted to the poor exposing the failure of growth to benefit the large majority of people. Merely watching growth as income, was not enough anymore and the social content began to matter. Development was thus redefined as something transcending growth, adding redistribution, participation, employment, equity, poverty eradication, basic needs, informal sector and gender issues. For, soon development meant everything and nothing, and the debate expanded broadly throughout international organizations.

Two notions emerged as a result; the Sustainable Development (SD) concept, on one side, and the call for seeing development with a human face on the other. The first notion was mainly endeavoured in tackling the development-environment dichotomy. In 1987, the Brundtland Report transcribed the large preoccupation on resource scarcity and poverty as a main cause and effect of deprivation for which it was absolutely necessary to face environmental problems through more wide and comprehensive approaches. A series of global meetings with relevant political implications took place giving birth to a quite formal global SD strategy along the 1990s in order to achieve a stronger consolidation at an international level and to enlarge the paradigm scale.

The second aspect emerged as a result of the limited achievements on overall well-being or better health; of more access to knowledge or information. People had no better working conditions, were no free of violence nor had the chance to participate actively in the economic, social and/or political activities of their societies.

The GDP was used as the key measure and perhaps as 'the mere definition of development' (Gasper 2004a). Yet far from representing real human progress. Straight lines of discussion started from the International Labour Organization (ILO) world's employment strategy, to the "basic needs approach", and finally reaching to the United Nations Development Programme Human Development Reports (HDRs).

The promotion of 'human good' -well living- (found frequently in Aristotle thought) was retaken when the Human Development paradigm emerged by the end of the 1980s for people being the real wealth of nations. The clear objective of development then, was to create an enabling environment; for people to enjoy long and creative lives (UNDP 1990).

Since its first publication in 1990, the Reports messages have been the subject of national and international-level policy debate, endorsing the notion of people-centred development and affirming that development should be of people, by people, and for people. The Human Development Index, incorporated a social sensible indicator displacing GDP, commonly considered as one of the best references in development measurement. Since then, other composite indices for human development have been developed; the Gender-related Development Index, the Gender Empowerment Measure, and the Human Poverty Index.

Each Report also focuses on a highly topical theme in the current development debate, providing path-breaking analysis and policy recommendations. The Reports' messages — and the tools to implement them — have been embraced by politicians around the world, evidenced by the publication of National Human Development reports in more than 120 countries.

This paradigm has become recently a school of thought in development mainstream debates. Discontent has been expressed thought, on the quantitative aspect of the notion as various critiques have been addressed to the oversimplification of HD indicators. But also, to the difficulties that the concept has faced in operationalizing the multiple aspects entailing the meaning of such a universalistic definition.

Many other theories have developed different perspectives and philosophical approaches. Such is the case of the Human Scale Development theory which advocates for a more humanistic loom tackling development as a more holistic process and a participatory methodology to attain development goals emphasising strategies emerging from below (i.e. bottom-up incentives). For this reason many debates and discussions proposed in the present dissertation will go around these topics trying to cope with similarities and differences to fill-in the gaps in an attempt of doing propositional research on the field.

Overall, all the above mentioned topics give a wide picture of many of the issues that will be extensively described in this research. Other theoretical and conceptual frameworks support this argument and are schematically described below.

b) Theoretical Frameworks

The following intellectual approaches, will be constantly cited along the present work. They all represent a particular way of undertaking the human social *problematique* throughout their particular view and understanding of development. All aspects briefly described in the following paragraphs are widely depicted in further chapters. However, it was considered important to mention shortly only those key elements pertaining the theories and philosophical backgrounds as well as the quotation of some of the key authors supporting these approaches.

The Human Development Paradigm (HD);

- Generally associated with the United Nations Development Programme (UNDP),
- “Human lives can go very much better, and be much richer in terms of well-being and freedom,
- HD concept institutionalised (1990s) through the Human Development Reports accepted as “an expansion of human capabilities, a widening of choices, an enhancement of freedoms and a fulfilment of human rights” (Fukuda-Parr and Kumar 2003,xxi).
- The HD philosophical roots based on Amartya Sen theory on the Capability Approach (CA)

The Capability Approach

- The Capability Approach lead us to look at the set of life options available to a person, and to the things that person may actually do and achieve (Gasper 2004a),
- It is well defined as an approach, rather than fully considered as a substantive theory (Comim 2005). It provides an alternative tool to conceptualise and evaluate poverty, inequality or well-being,

- Development is understood as the process of expanding the real freedoms that people enjoy (Sen 1999,3) where development, progress and the reduction of poverty occur as a result of people having freedom and expanded capabilities.
- “‘Capability’ refers to a person or group’s freedom to promote or achieve valuable functionings”; i.e. capabilities are the *real opportunities* and the set of *choices* that individuals have to increase their well-being, their freedom, their agency aspect and their agency freedom (Sen 1992),

For further reference on both see Chapter I and II

The Human-Scale Development Approach (H-SD);

- Inspired in the humanistic economics (importance on recovering human dignity and equality) with a vision of problems affecting humanity as a whole. Philosophical roots found in Max-Neef, Elizalde and Hopenhayn 1986 work.
- Central thought is that the best development process will be one that enables improvement in people's quality of life; one that must allow countries and cultures to be able to be self-coherent (Max-Neef 1998a).
- H-SD concentrates on, and is sustained by,

the satisfaction of **fundamental human needs** and the generation of growing levels of **self-reliance**; and in the construction of the **organic articulations** of people with nature and technology, of global processes with local activity, of the personal with the social, of planning with autonomy, and of civil society with the State (Max-Neef 1992b,197).

- Human needs are **finite**; they are **few** and can be **classified** (subsistence, protection, affection, understanding, participation, leisure, creation, identity and freedom -sometimes transcendence is considered-).
- Satisfiers, whether of an individual or collective nature, mean all the things that, by representing forms of **being, having, doing, and interacting** contribute to the realisation of HN. They vary according to cultural backgrounds and contexts but also through historical rhythms, and from their variety; different development models and strategies might be pursued.
- According to the way in which they fulfill human needs, they are classified in: synergetic, singular, destructive, inhibiting, and pseudo-satisfiers. But also in exogenous or endogenous.

The Humanistic Economics;

- School of thought centred on issues of human welfare. It is a value-directed discipline following on psychological, sociologic, historic, anthropological and positive economic analysis (Lutz 1992).
- This discipline declared being a normative orientation rejecting pure *positive economics*² (or value-free economics), with *a priori* ethical assumption of human equity, affirming that the ultimate purpose of economic activity was to solve real problems in the socio-economic system (Lutz 1992).
- Focused on recovering human dignity and equality, sustaining that it was “as much of economic philosophy as it was an economic science” (Lutz 1992,106) but also claiming to be an open discipline and not a sort of ‘exclusive club’ (Max-Neef 1992a) capable to “interpret and solve the pertinent problems affecting humanity as a whole” (1992a,34).

For further reference on both previous theories see Chapter II

The Systems View Approach;

A systems view is an approach to problem solving that searches for explanation for a successively wider and more inclusive perspective that is typically used in analysis . It is particularly used in complex problem solving where the traditional use of tools of problem solving fail to produce useful results.

- The General Systems Theory (GST), comes originally from the works of Ludwig von Bertalanffy who in the 1930's formulated the organismic system theory that later became the kernel of the GST . The aim of it was to introduce an integrative framework to conceptualize and analyse social and natural phenomena (Bertalanffy 1976) and where authors have as well expanded, such as: Mesarovic, Rosney, Morin, Capra, among others.
- Central characteristics of the approach include:
 - Purpose and objective- any system suppose one or various purposes, therefore the links among them.
 - Totality- A modification on any of the elements entailed, could modify the system as a whole, therefore interdependency is the rule.

² Is the part of economics that focuses on facts and cause-and-effect relationships avoiding value judgments (Wikipedia)

- Entropy- Measure of disorganization or degradation in the universe that reduces available energy, or tendency of available energy to decrease. Chaos, opposite of order.
 - Homeostasis- meaning the action of negative feedback processes in maintaining the system at a constant equilibrium state.
- Systems theory focuses on organization and interdependence of relationships. Systems refer intrinsically to a series of elements related to one another and where every system entails the interaction of elements perceived as a whole.
 - Other theories have derived from this one i.e. cybernetics, catastrophe theory, neural networks, chaos theory, where the common goal is to explain complex systems consisting of a large number of mutually interacting and interwoven parts in terms of those interactions.

c) Conceptual Frameworks

As a result of the profound study of the theories and notions related to Human and Sustainable Development, the idea of a wider notion of Sustainable Human Development is introduced in this thesis with new elements to enrich some of the definitions given by authors like ul Haq, Anand and Sen, only to mention a few. The aim is, to incorporate new aspects and dimensions to tackle and study Human Development issues, done, through a processes sympathetic with integrated visions of reality involving generational time frameworks, universal justice values, freedom, solidarity and a multidimensional perception of human well-being. A few key aspects of the definition include:

Sustainable Human Development (SHD);

- Origins found on ideas from authors such as UI haq- defining it as: the equal access to development opportunities for present and future generations. A type of development, where each generation must meet its needs without incurring in debts it cannot later repay (debts concerning pollution and exploitation of resources, of financial, social and demographic implications).
- Declaration on “Sustainable Human Development” (UNDP 1999) stating: SHD is overall connected to global issues (i.e. Human Rights, collective well-being and equity). Therefore, universal implications since Human Development

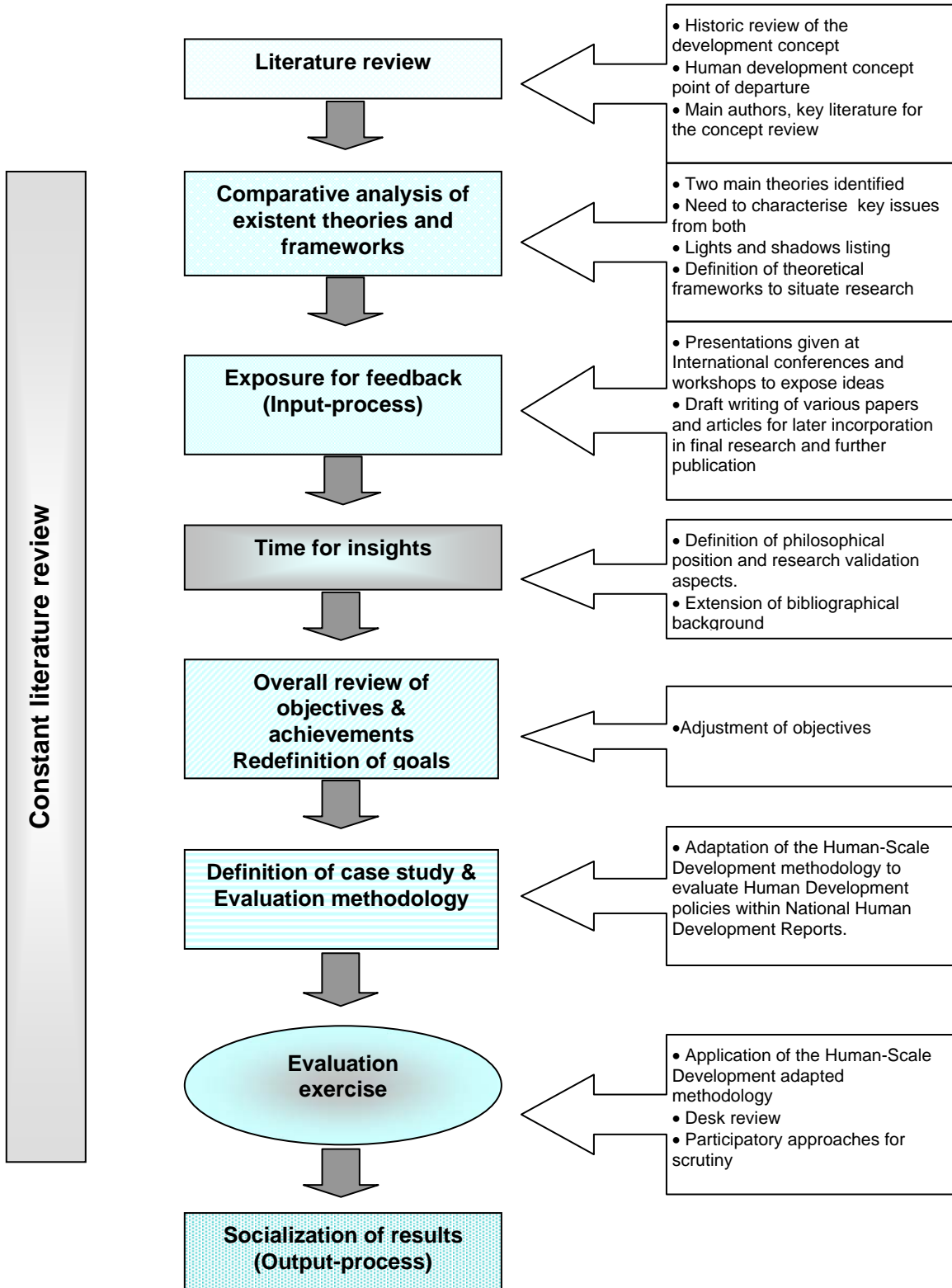
requires strong social cohesion and equitable distribution of the benefits of progress.

- The 'human system' must acknowledge different dimensions of well-being resulting from the interaction of multiple systems within the vast diversity of development possibilities.
- Integrated vision of well-being facing a real need of constructing a Sustainable Human Development notion, finding a way to express human flourishing as a universal need or goal.
- Sustainable Human Development becomes a process of constant improvement of the sustainability of social, natural, political, economic and moral systems (only to mention a few). Where all of them might have to look for their proper equilibrium dealing with their very own particular behavioural changes, values and aspirations.

For further reference see Chapter III

Research Methodology (Overview)

The following activities were guided in order to achieve the complete realization of this research.



Chapter I.

The development concept; everything and nothing

“Development is a seductive term which has had connotations historically of the unfolding of a necessary path of progress”

-Des Gasper-

1. Foreword

Writing about development issues might seem nowadays, a trivial droning topic and apparently, not important anymore. But even if we say that development is going through a crisis (Tortosa 2001) or is a concept in ruins (Sachs 1999) many academics interested in the search and study of different ways of perceiving the world and its multiple dimensions, have not yet surrender to the expansion and wideness of the conceptualization, liability and understanding of the notion.

Along the last years, the development notion has faced the need to be redefined and revised, to be re-adapted to new adjectives and objectives. Modern societies have used the concept quite ambiguously at times, when often confused with ideas of growth, progress, maturity, evolution or wealth. The study of development in any of its dimensions -as a theory, concept, phenomenon or process- involves entering into extensive reading of definitions that are so varied, so indistinct and in occasions so contradictory that turns the practice itself, in no easy assignment to accomplish.

Hence, it is not the purpose of this research to bring about past work on development defining, categorizing and theorizing as many authors have already done so (Sachs 1996,1999,2000; Sen 1999, 1992; Tortosa 2001; Griffin 1989; Streeten 1982, 1984, Gasper 2004a). But to understand certain episodes in the story of development thinking to situate in time and space other further issues relevant to this research. This first chapter intends to place development at a particular historical position. It will review changes in the notion, and important shifts on its main objectives. This is done, in order to move forward to most recent conceptualizations of the idea, as other fields of study emerged and began to incorporate other scales and concerns to its central aim.

Indeed, an outrageous manipulation of the concept (almost since the XIX century) has proscribed a global agenda for progress and evolution in a hideous *mechanistic* way

(lacking thought or feelings) (WordNet 2005). In this regard, the need of addressing development in more humanistic ways gave birth to several schools of thought and other debates concerning people's role and participation as main characters in the process. Understanding development in more holistic terms stressing human well-being, became a popular view in the early 1980s. The concern grew stronger, focusing development on the expansion of human choices and equality of opportunities, where people's empowerment will allow them to participate in - and benefit from – the process. This is the view under which, this chapter will centred its main arguments. Searching for its roots, philosophical basis and other theoretic challenges that had emerged along the last decades.

In this sense, it is therefore important to take ...

2. A quick look through history

Development as it is understood today, owes its popularity to the thirty-third President of the United States Harry S. Truman. When, in his inaugural speech to Congress in 1949 expressed his serious concern about the underdeveloped countries of the world. Particularly worried about the misery conditions, the continuous disease spreading, the stagnant economic life and the reduced industrial progress in underdeveloped areas (mostly located in the Southern hemisphere) he was motivated to convince a considerate number of people, that the degree of civilization of a country could be measured by its economic performance level (Sachs 2000).

Before this, the development idea was originally taken in the XVIIth century from the biology science stream, referring to the metaphor of maturation (Sachs 2000) but in ordinary language, development generally described a process through which any object or organism may reach its natural, given and complete form as it finally expands all its potentialities (Esteva 1996). By the late 1920s' the general belief was that only resources and not the people or societies could be developed³. But by the end of world war two, and the acknowledgment of a new global order, the idea changed assuming that a country level of civilization could only be measured through its productive means.

Production was the key for peace and prosperity as Sachs affirms (1999) and development was postulated as the major ideal for which all countries must aspire.

³ Although, there are records from Sun Yat-Sen in 1922, when he published a book entitled International Development of China (Gasper 2004a,33).

Development entailed not a very clear definition but undeniably, a very clear purpose: anything could be done on its name. "The moral concern for people was eclipsed by the economic concern for growth" (Sachs 2000,5) and all countries were brought up into the race track restraining their diversity. The less well-off, were all at once crammed as underdeveloped, and from thereafter, development was understood from a mere economic perspective.

The concept began to be contested by the 1970's when the world's inequality situation and income maldistribution became evidently unsustainable. Attention was shifted to the poor and the international community started a global agreement to reduce mass poverty. At the time, people complained about development not touching their ordinary lives and moreover that economic growth had meant generally, very little social justice (ul Haq 1976).

With this scenario, another development needed to be projected. Growth was neither equitable, nor reaching the poor. The General National Product (GNP) a macro-economic measure, was the only indicator of well-being in all countries for, development concerned organizations brought up the moral distress on *what?*, for *whom?* and *how?* development was to be meant.

In those years, mathematical models illustrated in very simplified forms, the economy utility and by then, those 'underdeveloped countries' were forcedly integrated into the world's economic system. They increased a notable dependence and reduced their capacity for self-reliance which had lead them to produce what the international system wanted and not precisely, what they needed (Dag Hammarskjöld Foundation -DHF- 1975). The basic needs debate came subsequently in the following years as a school of thought which centred its analysis on the satisfaction of Basic Human Needs (BHN) in opposition to the traditional economic growth perception.

Accordingly, the International Labour Organization (ILO) championed -what could be called- a sort of renewal of the development concept, when in 1976 their *Employment, Growth and Basic Needs Report* was first published. The ILO articulated a global strategy centred on the incorporation of a program to meet basic-needs (as a result of a more labour-intensive and growth scheme) and proposed the year 2000 "as a target date by which the most essential basic needs should be met in all societies" (ILO 1976,vii).

The ILO declaration, represents a watershed in development history, given the fact that it pointed that “people and not countries, were central to the development process” (1976,v). The ILO’s main thesis focused on the accelerated implementation of economic growth measures to overcome the tremendous poverty widespread and employment problems in developing countries. In this sense, they worked to define a basic needs framework⁴ as the minimum standard of living. This report aimed to formulate new policy insights and became a key instrument for international dialogue to deal with employment, growth and social progress issues.

However, other alternative and almost parallel proposals were held by other institutions and intellectuals claiming truthfully for *another development*. Their ideas were quite more humanistic oriented and they alleged for:

A type of development geared to the satisfaction (...) of the basic needs of the poor who constitute the world’s majority; but at the same time, a development to ensure the humanization of man by the satisfaction of his needs for the expression, creativity, conviviality, and for deciding his own destiny (DHF 1975,7).

As Max-Neef states “The problem emerged when good became a synonym of more and more” (1992a,51). By this time, development meant ‘everything and nothing,’ it was thus redefined as something transcending growth; redistribution was its complementary aspect as well as participation and human development.⁵ Additionally; employment, equality, basic needs, informal sector, gender issues, and poverty eradication, were newly incorporated to the original notion so; “what the concept lost in semantic precision, it gained in political versatility” (Sachs 2000,9).

Growth became by far the most related definition associated to development. Increasing productivity, circulation of goods and the possibility of satisfying more and diverse needs had augmented commodity availability, which was shortly transformed in development’s main objective (Bifani 1999). In this logic, many of the theories on development economics arose mostly, under the umbrella of a capitalist dominant perspective.⁶ Some of the most relevant were the Keynesianism and the Dual Character and Dependency Theories, but also further global premises such as the

⁴ On Basic Needs approaches and related theories this work will depict later in Chapter II

⁵ Topic which will be developed further in this chapter

⁶ Having as main characteristics, an open market economy searching for wealth in a Nation-State structure with a strong political control to design their own models of accumulation and production.

Regulation School of Thought among others. All of them kept splitting the world in that two system association of being either 'developed or underdeveloped.'

By the mid 1980's a globalized economy had brought a looming free-market which notably brought increasing consumption, productivity and competency anticipating higher inequality and no human needs satisfaction at most levels of society. The problem was rooted basically, according to M.Peinado and V.Villa (2000) in two principal issues: the ones represented by the *human – nature* and, the *centre - periphery* dichotomies.

The *centre-periphery* dichotomy confirmed that the former development model needed to be either transformed or eliminated. In mere generic terms, the south kept representing the growth engine to the north (cheap unskilled hand-labour, primary goods, etc...) meanwhile the north noted an increasing wealth accumulation thanks to the human, social, natural and cultural cost of the south. This was also due to the dynamic globalization process and the inevitable transformation of the different economic realities of a vast majority of the developing countries. Polarization and marginalization increased notably and from then on, the well known North-South dichotomy has been studied in many economic, political and social fields.

On the *human-nature* question, was for the first time internationally acknowledged at the 1972 Stockholm Conference on Human Environment. The need for a common outlook and for common principles to inspire and guide people to the preservation and enhancement of the human environment, was for once considered. The right to enjoy a good quality environment and live with dignity, was recognized internationally and allegedly; universally. Yet, from other perspectives, it was not seen as such. The non-aligned movement⁷ had expressed their reluctance to this institutional approach and had kept a conservative position.

A general concern about the intrinsic relation between development and the environment came promptly to larger notice. Economic development depended absolutely on resource exploitation and environmental havocking could jeopardize its purpose. Demographic expansion was as well related to availability of resources. Yet, it

⁷ The Non-aligned Movement (NAM) is nowadays an institution of over 100 states which consider themselves not formally aligned with or against any major power bloc. Inspired by Indian and Egyptian Presidents: Nehru and Nasser respectively -among others- in the mid 1950s-60s; the NAM focuses on national struggles for independence, the eradication of poverty, economic development and opposing colonialism, imperialism and neo-colonialism.

was not, but fifteen years later that the Brundtland Report in 1987 transcribed the large preoccupation on resource scarcity and poverty as a main cause and effect of deprivation for which it was absolutely necessary to face environmental problems through more wide and comprehensive approaches.

The Brundtland's list of challenges was indeed vast and complex to undertake. It contained the debates on population and human resources, the food security issue, the concern on species and fragile ecosystems, the energy choice, the negligent industrial production worry, the common goods governance, peace, security and the intrinsic legal changes entailed. All this was thus put together to what might be called as, the 'first global agenda for change' (WCED 1987). The Brundtland Commission made an important contribution in urging the international community to control an evident environmental crisis. A report was prepared pointing to a series of long term strategies in order to reach a *sustainable development* (SD) for the year 2000 and thus enhance cooperation within countries to elude environmental deterioration and to better analyse different ways and answers to solve environmental related conflicts. Yet it is worth mentioning that even when it was accepted that the world was facing a global crisis, strong disagreement was shown on the solutions the international community was willing to articulate.

The economic paradigm was never really questioned. Growth was not meant to be controlled. However the means through which this was achieved needed to be redefined according to a new development logic. This was the manifesto addressed by the *Our Common Future Report*.

It was in humanity's hands to make development a sustainable development, one that meets the needs of the present without compromising the ability of future generations to meet their own needs (WCED 1987,8);

In a certain way, this definition represented no pioneering concept but part of the moral reasoning on the reconciliation of humanity with its environment. Nevertheless, a new element was incorporated to this novel vision of development. J.Herrero (2000) labels this as the *intra-generational ethics of coexistence*, meaning the need for different behavioural manners intrinsic to humans and nature systems in order to face new forms of global interaction as a process of structural change. According to this author, it will only be these changes in human behaviour who will establish the base for new models of *systemic adaptation* (J.Herrero 2000) in economic, environmental and social

fields, advocating to appreciate things through a new multidimensional perspective to coexist in an interdependent universe.

Some authors like Gasper (2004a) had discern on the partition of development history in three ages or eras; claiming the first one to cover from the *rise of man(woman)* to the emergence on modern states in Europe (XVI century). The second, representing *the rise of Europe* (and North America) and the third one being, *the global development* era from 1945 to our days. Others, like Griffin (in M.Peinado & V. Villa 2001,302) had as well described, that (economics) development history has advanced in a sort of a three phase spiral. These three stages uttered in a first place, *the happy world* in which development and growth were synonyms and therefore macroeconomic models operated easily. Secondly, *the golden age*, representing the time where some of the former paradigms changed and emphasize was given to other notions such as human capital or external dependency. And thirdly was the stage called *the suddenly awakening*, where paradigms found themselves in deep conceptual crisis and the time for restructuring arrived with the aim of humanizing development.

Nevertheless, this historical distinctions on development history are explained in an original schematic way, making use of some of the arguments described previously, two main conceptual shifts have been identified in this research and will be explained in the following section.

3. Changes in the Development notion conceptual understanding

“There is no such precise, single meaning, instead we can increase our sensitivity to the types and ranges of meanings”

-Des Gasper-

The multiple range of cross-cutting issues surrounding the “development” notion is exactly what has made development, such a challenging subject in the latest years. Undoubtedly all of these topics seem relevant and deserve attention. This multidimensional approach has motivated intellectuals to explore new fields of study and contribute to an open-ended process of constant paradigm building and destruction. This work proposes a particular view on how, two main conceptual shifts had shaped the new understanding of development. These tow changes correspond firstly; to the intrinsic multidirectional and systemic relation between human beings and nature, and secondly; to the importance of humanising these multiple relations in the

midst of a changing and globalized world. The following sections (4 and 5) support this idea.

4. Conceptual shift I: The development-environment dichotomy

The real reconciliation between the development-environment paradox did not come until 1992 in Rio de Janeiro with the UN Summit on Environment and Development -best known as the World Summit-. However, the Club of Rome *Limits to growth Report* (Meadows *et al.* 1972) and the *Brundtland's Commission Statement* (1987) had tackled a few years earlier, many of the global concerns around these issues. But Rio was indeed the re-launching of a new development notion urgent to tackle for the sake of the dismal planetary situation.

Rio's spirit was indeed special. A serious action plan was elaborated with the main objective to build a fair balance between economic, social and environmental needs for present and future generations. The should all be met so that a global compact among nations (developed and underdeveloped) could take place incorporating governments, civil society and other sectors to establish priorities and common interests. Even when declarations and resolutions on this Conference (i.e. Climate Change, Biodiversity and Desertification) were clearly innovative in their contents, their real impact was though not very strong. The problem was, that a serious general commitment was missing at all levels and the Agenda 21 intended to be a preliminary map route to initiate more integral development actions through a more participatory process together with the civil society.⁸

Parallel to the Summit, the Global Forum took place 40 kilometres away, where the newly pushing civil society and a strong international NGO's network, made a great effort on parallel treaty writing. The project was meant to create institutional mechanisms for coordinating their activities worldwide and "follow-up measures" (Haas, *et al.* 1992) to ensure action. It was an international platform for small organizations and other uncared for sectors willing to spread a message of discontent to many of the pseudo-solutions proposed in the official meeting. Their main task was to solve the question on how to contribute effectively to formal intergovernmental processes. Something which UN was not precisely interested in resolving at the time being. But in the aftermath of both processes a new policy agenda emerged, reflecting the complex

⁸ Vast information on this and other conferences related to SD may be found at: <http://www.un.org/esa/sustdev/documents/docs.htm>

ecological and socio-political links among the various human activities and between these activities and the environment. Nevertheless, the outcomes on each of these meetings were indeed, quite different. Generally, Ríó talked about actions and strategies whether the Global Forum's attempt was the set up of strong partnerships among civil society and other international key actors.

This dichotomist perception of development began to consolidate itself along the 1990's. It was quite clear that the real meaning of SD laid on its global implications as J.Herrero suggests (2000). The most critical variable on its equation was the re-balance of the outrageous consumption of industrialized countries against the deprived under-consumption of the poor. The ILO statement supported this idea; stating that "poverty anywhere constituted a danger to prosperity everywhere" (1976,1).

So, this *human-nature* interaction also urged to the recognition of the right to development⁹. A new right to be acknowledged as a new instrument to claim a way of understanding human well-being and development issues incorporating a new social vision to judicial frameworks, saying that:

Every individual and all peoples have the Human Right to Development (...) Development is a comprehensive process involving sustainable improvement of the economic, social and political well-being of all individuals and peoples. Development aims for the realization of all human rights -- civil, cultural, economic, political, and social -- and for the greatest possible freedom and dignity of every human being (PDHRE¹⁰).

A moral appraisal was key to give a new light to the development concept. The right of peoples to self-determination, by virtue of which they have the right freely to determine their political status and to pursue their economic, social and cultural development, conferred a multidimensional understanding of development and its various ways of achieving it.

Because of this global dimension and complicity, the SD concept entailed an important political spectrum which, in the following years carried out a series of political compromises among countries, international organizations and other civil society sectors where large and historical resolutions intended to embrace possible answers to face the world's social, environmental and economic crisis of our modern times.

⁹ The right to development is part of what has been known as the 3rd generation stream or Solidarity rights. These entail the rights to live a good quality life. Other 3rd generation rights could be (i.e.) the right for peace, for information, for heritage protection, and so forth. More on this, see: Victoria Camps (1998)

¹⁰ The People's Movement for Human Rights Education (<http://www.pdhre.org/index.html>).

4.1. Some Sustainable Development political implications

Meeting the needs of people could mean, meeting needs of any particular cause. The acceptance of SD obfuscated the point that “there might be no sustainability without restraint on wealth” (Sachs 2000,12). So the sustainability term became very soon a self-referential term¹¹. According to Sachs (2000) its’ meaning slid from conservation of nature to that of conservation of development. Meaning that, what was meant to be protected was development, although what should be kept “sustainable” was never clear. Despite of this, the right to development gave some light when referring to sustainable improvement as the need of human rights observance in a comprehensive process of social, economic and political well-being, as stated above. Somehow, this idea had very little feedback but very soon the *miss en place* of a global SD strategy took off during the 1990s, in order to achieve a stronger consolidation in the international field enlarging the paradigm.

Right after the World Summit in 1992 a global commitment for contributing to this -so called- SD, was made. Serious collective action was necessary for this end. For this reason, two years later, in 1994 the Population Conference in Cairo tried to set up alternative strategies to alleviate the demographic distress. That same year, the World Trade Organization (WTO) was created in order to reduce international trade barriers ensuring trade activities among countries to operate smoothly and freely.

In 1995 the UN Conference on Social Development, held in Copenhagen tackled critical problems on poverty, unemployment and social integration. A list of commitments, agreements and statements originated from the Conference in order to launch a series of global and national policies to palliate main social problems of international concern. The reason for pointing out main facts about this conference is because broadly speaking, it was a strong step forward in giving development processes a new sense towards a more human perspective. This process took the shape international agreements for common goals and for people’s well-being, which at the same, time was a ‘second try’ to draw a better map route towards a *development with a human face*.¹²

‘Second try’ though, is correctly said. A first effort had been already made by the late 1980s when the United Nations Children Fund (UNICEF) tried to confront the economist orthodoxy by including income and public budgetary issues for health, child

¹¹ On a broader definition of SD we will expand later in Chapter III.

¹² This will be further explained at the Conceptual shift II part, section 5.

protection and education services through out their programs (Griffin in Ibarra and Unceta 2001). *Adjustment with a human face*, became a popular approach to criticize the conventional policies under which many structural adjustment and stabilization projects were driven in developing countries (Cornia *et al.* 1987). From this time on, the term “development with a human face” was internationally recognized aiming to humanize economic growth. For this, many of the commitments achieved within this conference are worth a brief review, and are listed below:

- 1.- To create an economic, political, social, cultural and legal environment that will enable people to achieve social development;
- 2.- Eradicate absolute poverty by a target date to be set by each country ;
- 3.- Support full employment as a basic policy goal;
- 4.- Promote social integration based on the enhancement and protection of all human rights;
- 5.- Achieve equality and equity between women and men;
- 6.- Attain universal and equitable access to education and primary health;
- 7.- Accelerate the development of Africa and the least developed countries,
- 8.- ensure that structural adjustment programmes include social development goals,
- 9.- Increase resources allocated to social development,
- 10.- Strengthen cooperation for social development through the UN (UN Department of Economic Social Affairs 1995)¹³

That same year 1995, in Beijing, the Women’s Conference discussed the importance on gender issues in development processes, and Istanbul, in 1996 was the venue for the Habitat Conference on human settlements. By 1997, the lobby for the Kyoto Protocol signature was promoted to engage in what will be the beginning of a Climate Change reduction strategy and the Rio+5 meeting was also held in New York.

The first WTO formal session, took place in Seattle by 1999 and has been quite well remembered due to the strong civic reaction against the large inequalities of globalization. It is thereafter said, that from this meeting, the anti-globalization movement emerged and has perpetuate to our recent days.

The Millennium Summit and the elaboration of the Millennium Declaration were held and elaborated respectively, in the year 2000. Their main goal was to tackle poverty reduction and inequality issues through a series of objectives defined in ten main

¹³ See overview of the Conference declaration at:
<http://www.un.org/esa/socdev/wssd/index.html>

streams of action (the Millennium Development Goals –MDGs-) including among others: education, women empowerment, the reduction of child mortality and viral diseases and environmental care concerns.

Consecutive to this Summit comes the Durban Conference on Racism in 2001, right after the New York attacks. The second round of negotiations of the WTO occurred in Doha with the aim to re-settle all the non feasible agreements discussed in Seattle and to endure a free-market model for trade, careless though, of real fair mechanisms or any social concerns for the poor.

Lastly, in March 2002 the Summit on Financing for Development celebrated in Monterrey, focused on how resources for development where to be generated and deployed. And later that year, the Sustainable Development Summit in Johannesburg represented a round-up of more than one decade of lobbying and political advocacy on development related issues. This last conference was in fact symbolic. The main slogan was that of encouraging multilateralism seen as a key element for the future (Xercavins 2002) and the implementation of a global strategy among States.

In fact it could be said that the suggested second conceptual shift of the development notion might be attributed to many of the political implications resulting from the meetings that took place within the decade of the 1990s and other events before. The new vision was the shift to people-centred approaches taking over the old *mechanistic* view based on the growth and commodities. This was utterly displaced by a new wave of ideas entailing the human aspect of the development process and its implications on people.

5. Conceptual shift II: Towards a “development with a human face”

Most peripheral countries were left in a very rigid State model as they moved beyond colonialism along the 1970s (Gasper 2004a). A unique political project had at those times homogenized many of the mechanisms on distribution of goods (commodities) and services giving birth to an unbalanced socio-economic model promoting inequality and social discontent.

This mistaken thought of willing to develop everyone and everything under one single idea and through one single process; degenerated in a moral void where certainly, most basic needs where not satisfied, no real equal economic growth was taking place, environmental care was not in any sense imperative and justice and democracy were barely acknowledged. Economic growth was loosing popularity, national income figures

the most. No signs on well-being achieving or better health, of more access to knowledge or information were visible. People had no better working conditions, they were not free from violence nor had the chance to participate actively in the economic, social and/or political activities of their societies.

The GDP was used as the single measure and perhaps as 'the mere definition of development' (Gasper 2004a), yet far from representing real human progress. Some efforts must be though recognised in the late 1980s when the UN Committee for Development Planning Report, included human costs related to structural adjustment issues by adding non-GDP criteria for specifying the least developed countries¹⁴.

As well, the UNICEF efforts mentioned on the previous sections should be included in a list of positive achievements to incorporate relative human dimensions to common indicators. Giving more examples of this his list one should mention initiatives such as; the Measure of Economic Welfare (MEW) (1971) (Henderson *et al* 1990), the Physical Quality of Life Index (PQLI) (Morris,1979) the Basic Human Needs Indicator (Henderson *et al* 1990) developed in the 1970s and 80s, sometimes used by organizations like the United Nations Environmental Programme (UNEP). Not to forget other previous *humanistic economic* approaches depicted by authors like Sismondi, Hobson Tawney, Schumacher and others (Lutz 1992).

The promotion of 'human good' -well living- (found frequently in Aristotle thought) was retaken when the Human Development paradigm emerged by the end of the 80s when people was acknowledged of being the real wealth of nations. The clear objective of development then, was to create an enabling environment; for people to enjoy long and creative lives (UNDP 1990).

In 1990, the first **Human Development Report** (HDR) was published entitled: "Concept and Measurement of Human Development." An intricate concept standing for an imperative breakthrough on the continuous thinking of development as economic growth, became a new paradigm centred on human beings. A new phase in development history was yet to come with a new set of evaluative questions to address development processes when it referred to people: How can economic growth be managed to be in the best interests of people? And what strategies or policies would

¹⁴ "Countries would be considered least developed if they were to satisfy certain criteria regarding cut-off points for per-capita GDP by a certain year a certain percentage attained of manufacture share and literacy rates" (Gasper 2004a,37).

be most appropriate to ensure that people and not `commodities` be the focus of international interest? (UNDP 1990). Ever since, the Human Development (HD) paradigm has become undoubtedly a conceptual framework in development theories.

6. Human Development: a new concept; easy to understand, yet difficult to undertake

“(…) amidst the usual pessimism concerning the economic production of the developing world, there emerges a message of hope and inspiration for the future.”

-UNDP, 1990-

The GDP was indeed an insufficient instrument for human development measurement. Yet, continuous efforts were made along development intellectuals and scholars to change the logic of seeing human beings as a means of development instead of an end. From this logic, HD was then described as a basic process of development, where the primary objective has been:

To enlarge peoples choices considering the most critical ones, to lead as long a healthy life, to be educated and to enjoy a descent standard of living. Additional choices include political freedom, guaranteed human rights and self-respect (UNDP 1990,10)

Mahbub ul Haq, considered to be the `father of the reports` (Morse 2004) had a strong belief in designing a new development strategy in more operative ways. He insisted that “Human lives can go very much better, and be much richer in terms of well-being and freedom, as the human agency can deliberately bring about a radical change” ul Haq (2003,21). The HD concept was institutionalized and became accepted even in economics and development literature as “an expansion of human capabilities, a widening of choices, an enhancement of freedoms and a fulfilment of human rights” (Fukuda-Parr and Kumar 2003,xxi).

As mentioned previously since the beginning, the notion raised several questions that allow the global community to find a way of realising that effectively; if economic growth and human progress are in no way related, how can it be made possible for the two concepts to link and strengthen their interdependence? (UNDP 1990,2). The set of questions still went further:

Were people truly enjoying an expansion in their capabilities? Has there been a significant improvement in their quality of life? Do they have more of what they cherish? How free are they? Or how equal? (Fukuda-Parr and Kumar 2003:xxi).

The HD theory has turned into a complex notion. The aim of it was, and still is, to insist that people are not regarded as passive beneficiaries of services provided to meet basic needs, “but instead people are seen as active agents of change” (Fukuda-Parr and Kumar,xxii). In fact, the HD idea, placed human capital at the centre of the stage which was indeed, part of the intellectual base of its definition (Griffin 2001).

At the very beginning the HD concept wanted to be a more practical approach and not merely a conceptual agreement between experts. This actually helped to have a rapid acceptance including its operational indicator which constituted one of the central pillars of the approach: the Human Development Index (HDI). The HDI represents the backbone of the report. Seen as an adjusted GDP, serves as an indicator to measure the progress of a country beyond traditional economic considerations. As UI Haq explained (2003) the HDI came into sight as a new measure needed to draw more attention to issues of central concern of people without being blind to social aspects of human lives, as the GDP was.

Regarding the emergence of a new indicator aggregating three essential aspects of human life¹⁵, a broad debate concerning the application and operationalization of this new index became relevant.¹⁶ In this light, the long search for “a more comprehensive measure of development (...) that would serve as a better yardstick of the socioeconomic progress of nations,” as UI Haq declared (2003, 103) had finally come to an end. On the main components and construction of the HDI, brief notes and basic methodology are provided in Appendix I.

But was this “new comprehensive measure” really multidimensional? Was it culturally oriented? Does it truly captures essential aspects of human life? How it establishes this yardstick? And under which social, political, cultural and historical circumstances?. These were many of the central questions motivating academics to continue in the search for answers.

7. Facing some of the critiques made to the Human Development Index

The domain of the HDRs, is indeed much wider than what can be captured by the pure statistics. Insofar, as Anand and Sen (2000a) explain, there are limits to the different values that can be reflected in one real number and as more variables are added (to

¹⁵ Life expectancy at birth, adult literacy rate and a decent standard of living through GDP (UNDP, 1990 and elsewhere)

¹⁶ See discussion below

make the measure more inclusive) one risks in declining in significance and emphasis on those already included. According to these two authors the HDRs have chosen a two-tiered approach to decide what to include on the list. These are:

“(i) presenting a variety of relevant information in detail (analysing their respective roles in different reports) and (ii) providing a summary picture of some of the major components of HD through the HDI to serve as an alternative to GDP and other standard measures of economic development “(Anand and Sen 2000a,85).

Yet, some critiques and opinions have ranged from a general discontent regarding the methodologies and measurements applied; to comments on the combination of variables, and the rationale for the choice of components -only to mention a few-. Therefore, the HDRs have continuously argued and defended their quantitative contents, explaining them along different debates on the unfeasibility of the HDI to capture all aspects of HD comprehensively.¹⁷ Fukuda-Parr goes even further, in the 2002 report and elsewhere, when she states that:

Ironically, the focus on human development has fallen victim to the success of its HDI. The HDI has reinforced the restricted interpretation and oversimplification of the concept of human development (...). This has obscured the wider and more complex concept of human development, the expansion of capacities that increase the possibilities of people to live the life that they desire and value. (...). Political liberty, participation in community life, and physical safety should be valued, but they are not included in the HDI because they are very difficult to measure adequately, and not because they are less important for human development (UNDP 2002,53).

Besides of the above mentioned, there is also the problem of aggregating the components of human life and the reliability of empirical data for the construction of a coherent index as Alexander and Decancq (2005) state. In this sense, the HDI has been open to incorporate critiques in order not to restrain its methodology and multidimensional approach. Yet, these critiques need to be contained within the importance of the HDI to be kept as simple as possible for wide comprehension and to be based on fundamental dimensions of HD but also what could be of relevance to policy-makers (Raworth and Stewart 2003).

¹⁷ To go deeper on this ample debate is not the main objective of this work but further reading in this regard is available in related literature. See: (Sagar and Najam 1998,1999; Fukuda-Parr and Kumar 2003, chapter 2; Morse 2003,2004; Noorbakhsh 1998; Ivanova et al. 1998; Foster et al. 2005) among others.

Extensive literature exist regarding the various critiques, innovations and changes to the HDI. The most current ones relate to its conceptual foundations, choice of dimensions and indicators; data measurement and error, aggregation issues, redundancy and use of the HDI analysis (Raworth and Stewart 2003). Nevertheless, since this research does not intends to make any contributions to the HDI or to any related econometric field, and the main purpose of this chapter is not to expand on this particular debate, it is important to mention that in order to follow-up on this matter all references here cited are indeed, of acute academic value and may be use for further reference.

The intention was to mention a few lines on how the UNDP has assumed these several critiques. However, it is about time to shift the focus to more conceptual and theoretical issues relating the HD notion, its wide domain and its empirical applications and appreciations.

8. The Capabilities Approach, a philosophical base to Human Development

Human development, as an approach, is concerned with what I take to be the basic development idea: namely, advancing the richness of human life, rather than the richness of the economy in which human beings live, which is only a part of it. That is, I think, the basic focus of the human development approach.

-Amartya Sen-

One can say, that the Human Development concept has its philosophical roots based largely on many of the ideas written by the Nobel laureate Amartya Sen, and transcribed through his Capability Approach (CA). This notion has been widely depicted but this short section will describe most relevant features and authors.

It is a `particular line of reasoning´, as Sen describes his own approach (2003), were the richness of human life could only be evaluated as a result of social change and the assessment of individual well-being and its social arrangements (Robeyns 2005). According to Comim (2005) it is well defined as an approach, rather than fully considered as a substantive theory, as it provides an alternative tool to conceptualize and evaluate poverty, inequality or well-being.

Gaspar (2004a) affirms that Sen´s approach leads us to look at the set of life options available to a person, as well as to the things that a person may actually do and achieve. Hence, development is understood as the process of expanding the real

freedoms that people enjoy (Sen 1999,3) where development, progress and the reduction of poverty occur as a result of people having freedom and expanded capabilities.

In brief, what this perspective intends to address, is that “the ends of well-being, justice and development should be conceptualized in terms of people’s capabilities to function” (Robeyns 2005,95). Keeping in mind that the core characteristics of the approach is to “focus on what people are able to do and to be; that is, on their capabilities” (2005, 94). This particular view, contrary to that of utilitarianism, has two key elements: a) the fact that the capability sets of individuals constitute the informational sources in the CA “a set of vectors of functionings, reflecting the person’s freedom to lead one type of life or another -therefore to choose from possible livings-” (Sen 1992,40); and b) the fact that development is understood in terms of capability to function, as progressively freedom is achieved.

“Functionings¹⁸ are beings and doings; such as being well-nourished **being** confident, **being** able to travel, or **taking part** in political decisions” (Alkire 2005,118) and for this reason, human life is as a set of ‘doings and beings’. Thereafter, functionings may provide information on the quality of life and an assessment of the capability to function. Nevertheless, Dubois (2000) has pointed, that even knowing that functioning and capabilities provide information to evaluate well-being, this does not mean that the evaluative issue is yet solved. He goes further in his statement when arguing that it is precisely on the valuing of functionings and capabilities where the approach faces its ‘Achilles Tendon’. Thereof, the operationalization and objectivity of the CA has been extensively questioned as well as many of its conceptual basis. But at the same time has challenged academics and scholars to expand this particular field of study. On the question of evaluating opportunity expansion, this work will depict further in Chapter IV.

Freedom plays an important role in the development process as it is both: the end, and the main instrument of development. Positive and negative freedoms¹⁹ are entailed in this reasoning. But moreover, Sen states that “capabilities are expressions of freedom themselves” (2003,7). Their value rest primarily when functionings need to be achieved (such as avoiding starvation, under-nourishment, escapable morbidity, premature mortality) (Sen 1999).

¹⁸ A function is an achievement of a person: what she/he manages to do or be but mostly, what she/he values. (Sen 2003,5 in Fukuda-Parr and Kumar 2003).

¹⁹ Positive: freedom to achieve a type of life one values or negative: to avoid malnutrition, for example.

According to Alkire (2005,121) “‘capability’ refers to a person or group’s freedom to promote or achieve valuable functionings”. In other words, capabilities are the *real opportunities* and the set of *choices* that individuals have to increase their well-being, their freedom, their agency aspect and their agency freedom (Sen 1992) –which will be discussed in the next chapter-. But for Sen, delimitating a certain subset of capabilities of particular importance has no meaning (1992 and elsewhere). However authors like Martha Nussbaum (2000) -a contemporary American philosopher in the Aristotelic tradition who has followed seriously on the CA- has developed an alternative approach. She defends that central capabilities could be held and valued as features of being fully human and instrumentally central for any life. Nussbaum suggests though, a list of central human capabilities intending to provide the philosophical basis for central constitutional principles.

This debate has gone further along the latest years and Nussbaum’s work has been fairly appreciated due to its valuable political relevance (Alkire 2002a). Her *capabilities approach* and her list of “essential functional capabilities”²⁰ stand for the design of national constitutions and bill of rights, but also for the judgment of legal cases and initiatives for public action according to authors such as Gasper (20004a).

The comparison between Sen’s and Nussbaums approaches entails very interesting discussions on development ethics, philosophical and conceptual matters, on roles and methods, (Gasper 2003) but even on normative and universalistic considerations; only to mention a couple. Both authors have stressed on the richness of life, the emphasis on human agency and most important, both authors appreciate “that the battle for HD is one of social, political and legal struggle and not only of philosophical and scientific debate²¹” (Gasper 2004a,189).

Indeed, the CA has been addressed from a variety of perspectives, it has stimulated a large intellectual work by adding a vast set of issues relating to HD, such as multidimensional analyses, participatory strategies, emphasis on the agency and autonomy of individuals and distributional assessments of individuals' well-being, among others (Comim 2005). Yet, it has also raised a series of questions to which the

²⁰ These are largely explained in her book *Women and Human Development* (2000) but are briefly named in this note: Life; bodily health; bodily integrity; senses, imagination, thought; emotions; practical reason; affiliation -other species-; play; control over one’s environment.

²¹ Nussbaum’s standpoint is particularly more engaged with the humanities and human sciences. She has consistently insisted (e.g.1999,2000,2002) on the entrenched relation between Human Rights and HD and supports the idea of having a basic list, often comparable to the Universal Declaration of Human Rights. Therefore, a *universal* list of priority capabilities will provide a basis for constitutional principles.

approach must still work -conceptually speaking- in order to accomplish less vagueness and more plurality. Some of these questions go from: how to operationalize the CA?, How can the CA address foundational issues of practical reason?²², to more complex issues such as “How can it be brought into dialogue with theoretical work on modelling multi-dimensionality?” (Alkire 2005;128).

Therefore, in addressing some answers to these questions, relevant work is continuously followed through academic journals, such as the *Journal on Human Development*, and other related networks created by interested scholars and other contemporary economists and philosophers e.g. the *Human Development and Capability Association (HDCA)*²³ or the *International Development Ethics Association (IDEA)*²⁴. The HDRs have as well made a great effort in translating many of the core ideas of the CA into a friendlier language and operational policy prescriptions (Alkire 2005). However, the application of many of these philosophical attributes has remained within the academic and intellectual field. For this reason, one of the main concerns of the present work is to contribute in this particular field; achieving better outcomes in moving from theory to practice.

9. Conclusions

Some implications of the CA throughout the analysis of a considerable range of topics had made the HD an approach identified as one regarding human beings as the ‘end’ of development. But how this particular Human Development notion has championed recent political and well-being economic discourses will be undertaken in the next chapter.

The previous sections were more likely to facilitate and introductory set of issues which will be more widely tackled along the next chapters. The historical approach intended to give a broad picture of how the development debate has been shaped along the last few decades. This was the preamble of the emergence of a concept which has now re-structure development thinking building a new paradigm. “To be able to survive, to be knowledgeable, to have access to resources necessary for a decent

²² In philosophy, *practical reason* means the application of reason to deciding what to do. For Aristotle means; the quality of being able to form a conception of the good and to engage in critical reflection about the planning of one’s life (Nussbaum 2000,79).

²³ <http://www.hd-ca.org>

²⁴ <http://www.development-ethics.org/>

standard of living, and to participate in the life of a community” (Fukuda-Parr 2003,98) are constituent parts of this new vision of progress.

In this regard, the HD and the CA are two central notions of this work representing key aspects of the contemporary development debate. So, having a good background on how these ideas undertake `development´ and its multiple dimensions, will be useful when analysing other relevant questions in contemporary development thinking and other new applications. Next chapter will cover thus, an extended discussion on some of the most important capabilities and features identified to achieve this so-called Human Development.

Chapter II.

The Human Development Paradigm

“It is now a collective task -to give a human sense to development.
It is a dispersed, fragmented exercise -a composite of partial utopias.”

- F.H. Cardoso, HDR 1996 -

1. Foreword

The Human Development (HD) notion gained a central role in development international debates and has been acknowledged to entail a strong intellectual challenge. Therefore, along the latest years, continuous academic revision and theoretical readjustment have surrounded the quite newly emerged HD paradigm. By the late 1980's, the development debates were mostly centred on the claim of making the process more human and more socially oriented bringing people back to the central scene.

The following chapter will lead us to understand how HD became a school of thought and the mainstream of development thinking. But also, how other relevant theories that have seen people as key elements in the process. The idea is to introduce other approaches concerned with people's flourishing in most essential ways. Standing for no *out-of-date* insights but on the contrary, ideal humanistic frameworks to widen up recent theories and philosophies.

Such is the case of the Human-Scale Development approach, whose central objectives will be described widely. It is intended, to bear some discussions on issues related to philosophical backgrounds of these theories; how they have influenced the development contemporary debate, highlight some cross-cutting issues between them, key aspects, differences and conjectures. The debates might bring about complementarities but also lights and shadows which could be used to propose a new evaluative framework particularly for HD policy-making purposes. On this last question, within the context of this work, this might represent a chance to better understand the complexity of the HD concept-paradigm-approach; but also the opportunity to acknowledge different angles of analysis that might promote and encourage constructive thinking which eventually suggest new challenges for all of us working in related issues. Yet, the following part entails merely theoretical discerning, whereas further chapters (III and IV) contain more practical applications of the ideas proposed.

2. Human Development seen as a paradigm

For many years, a variety of theories and approaches have tried to delineate a certain 'route map' towards the so-called *development with a human face*. Starting from the Human Needs (HN) theories to the Capability Approach (CA) we have come upon a wider framework for studying and treating people's development in a large range of terms. Some of these theories have ended up becoming fundamental pillars of recent paradigms regarding human well-being.

From a historical point of view, the HD paradigm embraces an important ethical, methodological, and theoretical point of departure. The United Nations Development Program (UNDP) made use of the inevitable simplification of concepts to interact with politicians, planners and the general public, but also to expand academic frontiers (Gasper 2004b). The HD school of thought has been widely interpreted and has led to a general consensus sympathetic to its appeal on pursuing the development **of** people (referring to the theoretical base) **by** the people (methodological base) and **for** the people (ethical base) (Gómez 2003, 27). And, it is in the realm of this ethical base that the HD concept finds its primary interest and where many econometric and social questions have been addressed. Questions such as, what is the aim of policy making? Why are wealth and income useful? Where do society leaders inspire? And so forth. One simple answer was found, to all these core questions; people!. Therefore the paradigm emerged.

According to Gomez (2003), the first fundamental *revolution* pointing for a paradigm change -resulting from the HD concept- was the ethical revolution of its principles. A reason why he believes that HD has now become institutionalized with a different epistemological position. Gomez (2003) supports the idea on HD being a wider notion as it proposes an alternative description of how 'development' could be achieved, but overall, because HD claims on its basic purpose: that development is to enlarge people's choices.

The HD paradigm has by far become "a central component of critical attention in the world of communications and public discourse" (Sen 2000a,17) it has become the flagship in the battle of converting the development process into a more multifaceted and humanistic practice. Sagar and Najam (1999) agree on this later, thought, stating that the HD concept as championed by the UNDP has moved from being just another interesting idea on the periphery of the development debate, to being at its very core.

And, consequently, the Human Development Reports (HDRs) have become somehow the flagship publication about people's choices and freedoms in development.²⁵

Ul Haq (2003) explained that the reports real impact is based: firstly, on the influence that they have had on the global search for new development paradigms and, on the design and implementation of development strategies that intrinsically include a people-centred debate. Secondly, on the fact that many new policy proposals have arisen since the first report was launched in 1990. And thirdly, on some of the human development strategies that many developing countries have begun to formulate due to the impact of the published reports.

Yet, some frustrations on the continued misinterpretation of HD and its complex nature have been conveyed by academics and scholars mostly in three important ways: The definition of means and ends, the general concern with human freedoms and dignity, and also issues pertaining human agency (understood as the role of people in development ²⁶) (Fukuda-Parr 2003,93). Nevertheless, there is also broad agreement on other aspects of the paradigm; such as the fact that development must be people centred, that it should consider the enlargement of human choices - which can be infinite and can change over time (ul Haq 2003) - and the importance on building human capabilities. Consensus has also been established on arguments saying that HD should be based on four essential pillars (equity, sustainability, productivity and empowerment) and that it should define the ends of development and analyse sensible options for achieving them (ul Haq 1995).

But finally, even when the Human Development paradigm has been understood as a multifaceted and humanistic practice, the real fact is; that development policy has been diverging action from its philosophical and practical applications. Policy making on HD issues, should be therefore centred in a multidimensional strategy and through a humanistic perspective. And for this purpose, dimensions become intrinsically important. They are, according to Alkire (2002a, 52) the 'primary colours' of values.

Values pertaining human well-being and/or *human flourishing* (as some authors rather call it (e.g. Aristotle, Nussbaum). So, even when dimensions are, according to Finniss

²⁵ Much of their influence has centre vainly on the information obtained by the HDI. However at National and Regional levels , many interesting examples of Human Development Reports, have captured development plans attention to key aspects related to poverty and inequality eradication. Nevertheless. Other UN agencies reports, e.g. UNICEF and UNESCO are as well, quite relevant tools used by stakeholders and politicians in policy making strategies.

²⁶ Human agency issues will be tackled and discussed later in this chapter.

“non-hierarchical, irreducible, incommensurable and hence basic kinds of human ends” (in Alkire 2002a, 186) they might represent “a set of the most basic reasons for which people act in seeking well-being, i.e. in pursuing ‘human development’. A few notes on dimensions, where prepared in the next section.

3. Dimensions of Human Development

Sabina Alkire’s work on defining ‘Dimensions of human development’ (2002a, 2002b) is indeed an outstanding summary of the various conceptual principles and theoretical outcomes of many academics and practitioners who have defined, described or structured any particular observation of human well-being, basic human needs or universal human values.

Alkire depicts on the importance of specifying dimension because of three simple reasons (i) that of “giving secure epistemological and empirical footing to the multidimensional objective of human development” (2002b,182); (ii) because a multidimensional approach of development requires many more value choices to be made explicitly as well as more effective methodologies to evaluate trade-offs (2002b,183). And finally (iii) because identifying dimensions of HD is above all, valuable in “throwing a light on all of the possible angles of discussion on HD” (2002b,194).

Others like Max-Neef (1992a) stress on the relevance of defining dimensions in terms of how human beings establish their relations with their environments. If people develop themselves, according to the relations maintained within their economic, spatial, political, cultural, and natural environments, all the above must entail an *optimum* dimension but also a *critical* one. As he explains, the former, ‘humanizes’ as the latter, ‘alienates’. In the first, people are able to achieve a sense of identity and integration; the person feels the consequences of whatever she or he does and decides. Within the *optimum* dimension, development of people is possible and a dynamic equilibrium takes place. People feel responsible for the consequences of their actions within their environment, and this can only happen if the dimension of this environment remains within a human scale (1992a,132).

On the latter, people can only choose to endorse their individual integrity and resigns to letting others act and decide for him (or her). But within the *critical* dimension, development of objects takes place where consequently people become affected of large dimensions and not being able to rediscover their own. Therefore “they

participate less and less and allow themselves to be led more and more” (Max-Neef 1992a,133). Within the HD perception no clarification of the kind is appreciated.

Certainly, this view recalls on the relevance of recognizing the human dimension and its thresholds in development further than what Alkire suggests as human flourishing in its fully sense, namely; public and private matters, economical, political social and spiritual (Alkire 2002b).

Alkire describes the complete work of intellectuals and practitioners whose objectives were those of setting lists of indicators or basic elements for development and/or well-being analysis. She lists Nussbaum’s list proposal on *basic human capabilities*, Max-Neef’s set of *axiological categories* (though Max-Neef himself defines this particular breadth as one of ‘*human needs for development*’) ²⁷ Narayan’s *et al.* work on *dimensions of well-being*, Shwartz and his proposal on *universal human values*, Cummins regarding the *quality of life domains*, M. Ramsay on the *universal psychological needs*, and Doyal and Gough *basic human needs theory*.

Nevertheless, the need to define HD dimensions has been uttered by other experts in the subject such as, Fukuda-Parr who has persistently explained how HD differs from the human capital, human resource development and basic needs approaches (Fukuda-Parr and Kumar 2003,93), arguing that many of this misinterpretations came as a result of a poor dimension definition in earlier HD theorization. It is thus clear how the HDR in 1996 challenged the concept to define dimensions as the approach was widening and deepening. The development concept needed to be enlarged to include the protection of human, ecological and social rights (UNDP 1996) acknowledging that HD was never to be considered as a “one” dimensional question. Development practitioners were enthusiastic in including a more extended debate on issues such as participation, sustainability, gender and equity matters. Hence in the 1996 HDR, Human Development dimensions were specified as follows:

* EMPOWERMENT -Basic empowerment depends on the expansion of people's capabilities -expansion that involves an enlargement of choices and thus an increase in freedom.

* COOPERATION -People live within a complex web of social structures This sense of belonging is an important source of well-being. It gives enjoyment and direction, a sense of purpose and meaning.

²⁷ To be exposed in section 4.2

* EQUITY -Equity is usually thought of in terms of wealth or income. But human development takes a much broader view -seeking equity in basic capabilities and opportunities. In this view everyone should have the opportunity to be educated, for example, and to lead a long and healthy life.

* SUSTAINABILITY - It thus involves considerations of intergenerational equity. What needs to be sustained are people's opportunities to freely exercise their basic capabilities.

* SECURITY - Joblessness is a major source of insecurity, undercutting people's entitlement to income and other benefits. One of the most basic needs is security of livelihood, but people also want to be free from chronic threats. (UNDP 1996, 55-56)²⁸.

Even earlier than this, endeavours to define dimensions on development issues could be attributed to Griffin and McKinley (1992) who had spoken about the various paths to HD and the need to consider alternative strategies to guide economic activity, allocation of public expenditure, national arrangements etc.; without threatening any aspect of people's life.

Alkire's proposition -mostly based on Finnis' work- advocated to define dimensions for the reason;

to clarify the relationship that 'universal' dimensions of development may have (a)with empirical data, (b)with culturally diverse value systems and (c)with normative proposals (2002b,193).

But moreover, the importance on providing a theoretical framework to address development problems, will help to understand the multidimensionality of human development achievement. And furthermore because "the HD approach generates a new set of evaluative questions to assess the impact of development policies" (Fukuda-Parr and Kumar 2003,xxi) having a direct result in people's achievement of a 'good life'. Afterwards, one can argue that, by identifying dimensions, is then possible to acknowledge a more holistic and systemic view of the HD paradigm. However, dimensions of the concept can be described in so many different ways, as it was described in last paragraphs. For this might pose a problem in defining the means and ends in development, depending on what one view understands from them. Hence, it will be further specified how this misconception can change the whole meaning and sense of a particular development process.

²⁸ Chapter 2 in HDR 1996 gives further detail.

4. `Other approaches` to Human Development

“How much longer can the social fabric tolerate the doctrines and medicines of an economic orthodoxy that appears inept at coming to grips with the socioeconomic problems people encounter within every day?”

-Mark A. Lutz-

4.1 The humanist economics

Alternatively to many of the global development analysis being adopted since the end of the after war periods, namely the late 1970s to the 1980s, the `New Economics` movement gained relative importance throughout the publication of various reports and the participation in parallel summits to the ones happening worldwide. For instance the “*What now?: Another development Report*” (DHF 1975) and *The Other Economic Summit -TOES-* (NEF 1984-2004) were good examples of this efforts. The `another development` faction advocated against the inefficient *trickle down effect* as a mechanistic model for global development and represented a claim for a better type of development seen; “as a whole, integral, cultural process, as the development of every man and woman and the whole of the man and women” (Max-Neef 1990,44).

Many of the intellectuals and academics working on alternative perspectives of a new `development understanding` asserted of being influenced by the pioneer work done in social economics by authors such as Sismondi, Hobson, Gandhi, Marx, and others. Many of the above mentioned authors had strong influence among contemporary readings on development issues, and indeed the *humanistic economics* stream might have inspired a good number of relevant works within the social-economic fields (e.g.) W. Sachs, Schumacher, Max-Neef, Ekins, Henderson, Polany, to mention a few.

The Humanist Economics school of thought centred on issues of human welfare and claimed to be a value-directed discipline following on psychological, sociologic, historic, anthropological and positive economic analysis (Lutz 1992). Economists under this line, declared this discipline as being a normative orientation rejecting pure *positive economics*²⁹ (or value-free economics), with a *a priori* ethical assumption of human equity. Affirming that the ultimate purpose of economic activity was to solve real problems in the socio-economic system (Lutz 1992). So the social dimension is particularly stressed and the approach towards a *common good*, and this is what gives

²⁹ Is the part of economics that focuses on facts and cause-and-effect relationships avoiding value judgments (Wikipedia).

direction to economic analysis but also to all members of society looking for a common interest.

Other assertions in this direction alleged on the negative evolution of economics into a discipline leaving many elements and processes touching development changes, outside its range of preoccupations (Max-Neef 1992a). Therefore humanistic economics recovered human dignity and equality sustaining that it was “as much of economic philosophy as it was an economic science” (Lutz 1992,106) but also claiming to be an open discipline and not a sort of ‘exclusive club’ (Max-Neef 1992a) capable to “interpret and solve the pertinent problems affecting humanity as a whole” (1992a,34).

The HD paradigm has been considered, at least among the institutional and academic field, as one of the most progressive schemes in development thinking along the last decades. Therefore it advocates for a solid philosophical background and claims to be centre at its core, a people-centred approach. Nevertheless, the present work would like to propose a more comprehensive view which for example could add further concerns like those reflected within the humanistic economic approaches, only to suggest one possible way.

Somehow part of the objectives of this research is to contribute to widen and expand the present HD paradigm to new theoretical grounds. Therefore, after this short ‘interlude’, we must notice that from now on, this work will expand on one particular development theory, somehow derived from the humanistic economic stream. The Human-Scale Development Theory was developed by the Chilean economist, Manfred Max-Neef and other Latin-American colleagues and will be explained in the next section.

A considerable part of this chapter is dedicated to understand the aims and axis of this particular notion in order to use this theory as a conceptual framework to start-off a nurturing discussion on further Human Development issues. The aim of this exercise is therefore to contribute in the enlargement of some HD notions to other theoretical settings and to the enrichment of both: empirical and conjectural experiences.

4.2 The Human –Scale Development

By the mid 1980s, the Chilean economist Manfred Max-Neef, together with other academic colleagues, wrote about the dismal individualism and apathy that human

beings were entering into in the middle of the so-called development era³⁰. As Max-Neef described it, the inevitable demobilisation and the continuous search for answers lead humanity into what has been named `the crisis of utopia'³¹ utopia meaning, "not only the search for a society that is possible, but for a society that is, from a humanistic perspective, desirable" (1992a,54).

Entering to what Gasper has called the "revival" of the re-conceptualization of Human Needs (2004b), the Human-Scale Development theory (H-SD) addresses a particular way of understanding people's well-being and represents a serious, inspiring, and humanistic vision amongst different development approaches. The general panorama of this theory presents a very wide outlook: one in which the economic sphere represents another component of human society in connection to politics, culture, ecology, sociology, psychology and anthropology.

This notion appeared for the first time in an article published by the Dag Hammarskjöld Foundation (DHF) in 1986 by Max-Neef, Elizalde and Hopenhayn. However, the book published in later years by Max-Neef in collaboration with these two other authors, will be the main reference in the effort of exploring and invigorating their theory.³²

So, to begin with, Max-Neef and colleagues suggested that the best development process will be one that enables improvement in people's quality of life. Explicitly, one that must allow countries and cultures to be able to be self-coherent (1998a). The axis of this fundamental thought is that H-SD concentrates on, and is sustained by,

the satisfaction of **fundamental human needs** and the generation of growing levels of **self-reliance**; and in the construction of the **organic articulations** of people with nature and technology, of global processes with local activity, of the personal with the social, of planning with autonomy, and of civil society with the State (Max-Neef 1992b,197).

Central objectives of this approach remind us of the importance of the real prominence of people that results within autonomous societies. To achieve the person's

³⁰ In the prelude of his book (1992), "From the outside looking in" experience in *Barefoot economics*, Max Neef describes himself as a converted economist - calling himself a *barefoot economist* -. This was due to the gave up of many of his ideas when he perceived how "economics, originally the offspring of moral philosophy, lost a good deal of its human dimension to see it replaced by fancy theories and technical trivialities" (1992, 20).

³¹ The fact that human beings are inevitably losing the ability to dream and imagine.

³² From this moment on, quotations on **Max-Neef 1989a**, refer strictly to this book where the conceptualization of the H-SD theory is better structured as well as methodologies appear well organized and described. Anyhow, the book originates from the work done jointly by the three authors in 1986.

transformation from the **object** of development into its **subject** is certainly the end of the process.³³ In this understanding, since human beings represent active components along the development process, H-SD stands for no particular development model, nor for a final or definitive solution. This approach entails a *theory of human needs for development*, one that goes beyond economic rationality and comprehends the human being as a whole.

In order to review the most relevant and key insights, it could be affirmed that some of the main ideas define the concept's fundamental practicalities. Likewise, these represent new forms of political action and are outlined below:

- Development refers to people and not to objects:
 - The best development process will be one that raises people's quality of life. "This depends directly on the possibilities available to that person to satisfy his/her fundamental basic needs" (Max-Neef, 1998a,40).
- Human needs are **finite**; they are **few** and can be **classified**:
 - "Needs are the same in all cultures and historical periods" (Max-Neef 1998a,42; Elizalde 2003b). What changes through time and between cultures is the form and/or the means used to satisfy needs.
 - Every system of needs is either satisfied, or not, by generating different types of satisfiers. Satisfiers, whether of an individual or collective nature, mean all the things that, by representing forms of **being, having, doing, and interacting**³⁴, contribute to the realisation of HN (Max-Neef 1998a). Complementariness and compensation are essential elements of their characteristics. What is culturally determined are satisfiers and not needs.
 - Satisfiers, are not only economic means. These might generate goods (commodities) that change according to historical moments and contexts. Satisfiers, unlike needs, are less static (Max-Neef 1998a) they are modified by the rhythm of history and are diversified according to

³³This claim recalls on what UI Haq (1976,102) had written in the 1970s about the world witnessing a growing feeling in many societies that "individuals were becoming an impersonal part of the total society and could no longer relate to it meaningfully, either in the social field or through political forums."

³⁴ BEING- registers attributes, personal or collective expressed as nouns. HAVING- registers institutions, norms, mechanisms, tools (no material sense) that can be expressed in one or more words. DOING- registers actions, personal or collective that can be expressed like verbs and INTERACTING-registers locations and *milieus* (as times and spaces) Max-Neef 1992b,207).

different cultures and circumstances. Overall, they define the prevailing mode that a culture or a society ascribes to a need. These may include:

“organizational structures, political systems, social practices, subjective conditions, norms, values, spaces, contexts, behaviours and attitudes; all of which are in a permanent state of tension between consolidation and change” (Max-Neef 1992b,201).

- Goods interact within these two mentioned subsystems as material objects related to any particular culture. Goods are external objects which potentiate the capacity of satisfiers to fulfil certain needs (Elizalde 2003b).
- Finally, any unsatisfied, or not adequately satisfied human need, reveals a form of human poverty –and this brings about the different perceptions of *poverties* vs. *poverty*.
 - H-SD enthusiasts suggest talking not of poverty but of *poverties*; where one can affirm that every culture or society could be rich in certain aspects of life, and poor in others, depending on different circumstances³⁵.

Accordingly, Max-Neef and associates described that humanity has been developing certain needs that have acquired a universal character in terms of historical transcendence. “These needs are those of **subsistence, protection, affection, understanding, participation, leisure, creation, identity, and freedom** -the need for transcendence is sometimes also included-“ (1998a, 41). From the above, these series of needs, maintain their character throughout time, and can be identified as *socio-universal needs*. Meaning that their fulfilment will always be desirable for all, and their deterrence, undesirable for all as well.

In the most pressing of ways, needs reveal human being’s essence palpable through needs in their twofold existential condition: as deprivation and potential;

“Deprivation reflects the physiological aspect, ‘something which is lacking is acutely felt’. However, to the degree that needs engage, motivate and mobilize people, they are potential and eventually may become a resource. For example, the need to participate

³⁵More affirmations on this regard will say that within this approach the poverty concept changes: Basic human needs exist according to a pre-systemic threshold from where deprivation of any of the listed needs will cause shattering in the whole needs system and therefore human well-being is as well affected (Max-Neef 1998a and Elizalde 2003b).

is potential for participation; the need for affection is potential for affection, and so on” (Max-Neef 1992b: 201).

Additionally, the satisfaction or dissatisfaction of human needs can often be expressed in terms of feelings or emotions, yielding positive or negative feelings (Jakson et al. 2004). If a particular need like e.g. the need for subsistence is not satisfied because of a lack of food, the negative feeling will be hunger, arousing the drive to eat and this drive will result in a motivation to use that opportunity, hence the double existential character of needs. To illustrate this, a possible categorisation of feelings according to Max-Neef’s typology of needs will be Table 2.1 bellow.

Table 2.1 Classification of positive and negative feelings (Jackson et al. 2004).

Basic need	Satisfaction of needs: positive feelings	Dissatisfaction of needs: negative feelings
Subsistence	satiated, replete	hungry
Protection	safe	in danger, anxiety
Affection	love/being loved	hate/indifference
Understanding	intellectual well-being, smart, clever	intellectual frustration, dumb, stupid
Participation	belonging, related, involved	lonely, isolated, forsaken
Leisure	playful, relaxed	boredom/bored, weary, stressed
Creation	creative, inspired	uninspired
Identity	self-assured, confident, positive self-image	uncertain, insecure, negative self-image
Freedom	free, independent	entangled, chained, bounded, captured, tied

Also important is that H-SD centres development from other angles. A person is a being with multiple and interdependent needs that interact and interrelate. Fundamental human needs are essential attributes related to human evolution (Max-Neef 1992b,204). There is no two-way correspondence between needs and satisfiers; a satisfier can contribute simultaneously to the satisfaction of various needs; or conversely, a need can require various satisfiers to be met (Max-Neef 1998a,42). Lastly, satisfiers are not neutral, they present various characteristics and are identified for analytical purposes in five types: violating or destructive satisfiers, pseudo-satisfiers,

inhibiting satisfiers, singular, and synergic.³⁶ They are modified by the rhythm of history and are diversified according to different cultures and circumstances. Economic goods as well, are objects related to particular historical moments, but represent only one type of satisfier among a vast range.

In any case, both concepts (needs and satisfiers) interrelate within a matrix according to existential and axiological characteristics, where a larger description of their conceptual structure is explained (see Table 2.2). Reviewing the matrix itself is illustrative and provides only an example of the multiple relations of elements that can be named and listed as needs and satisfiers in a matrix of the kind. Altogether, this information will reveal how many of the satisfiers will ultimately give rise to other different economic goods. For example, in the fulfilment of the need of “understanding”, if schools and universities are needed to enhance its achievement; therefore budget allocation for this purposes should be appointed; and so on and so forth. The matrix can be used for purposes of diagnosis, planning, assessment and evaluation, always as a result of participatory exercises. It can also be employed as an important methodological tool because it restrains a significant context-related component and examples of this could be revised across many countries (e.g in Latin American, Africa and others in northern Europe) where local and grass-root groups had followed on this line to tackle socio-economic development issues in multicultural societies.

Max-Neef’s book, *From the outside looking in* (1992), provides two case studies in Ecuador and Brazil illustrating participatory models through the application of this methodology. But also, the *Future workshops* conducted by Robert Jungk during the 1970s made a similar exercises to explore how people react to a ‘visionary future planning’, claiming for social innovation through active participatory processes undertaken “from below” (Jungk and Mullert 1987).

³⁶ How these satisfiers will be applied for evaluation purposes will be depicted in chapter IV. However for better comprehension of the information given in this section, a brief description of their typology will be the following: **Synergetic satisfiers**: are those satisfiers, which, by the way in which they satisfy a given need, stimulate and contribute to the simultaneous satisfaction of other needs. **Destructive satisfiers**, are those imposed arbitrarily and are likely to prevent a second need to be fulfilled. **Pseudo-satisfiers**: are elements which stimulate a false sensation of satisfying a given need. **Inhibiting satisfiers**: are those characterized from over-satisfying a need which might eventually difficult the satisfaction of other needs and **Singular**: are those which aim at the satisfaction of a single need, and are therefore neutral as regards the satisfaction of other needs (Max-Neef 1990).

The H-SD approach will be incorporated to this research in order to address a renewed debate on human needs issues which might give a fresh spirit to tackle Human Development different shapes. In that logic, a good clarification on this interaction between needs and satisfiers as a systemic deed, should be a key aspect for further discussions on basic elements that will began to complete a big puzzle of questions regarding HD matters and which have motivated this work. Along the following sections and chapters, many of them will be attained.

Table 2.2 Matrix of Needs and Satisfiers (Max Max-Neef 1992b,206-7).

Needs according to existential characteristics Needs according to axiological characteristics	BEING (personal or collective attributes)	HAVING (institutions, norms, tools)	DOING (personal or collective actions)	INTERACTING (spaces or atmospheres)
SUBSISTENCE	1/ Physical health, mental health, equilibrium, sense of humour, adaptability	2/ Food, shelter, work	3/ Feed, procreate, rest, work	4/ Living environment, social setting
PROTECTION	5/Care, adaptability, autonomy, equilibrium, solidarity	6/ Insurance systems, savings, social security, health systems, rights, family, work	7/ Co-operate, prevent, plan, take care of, cure, help	8/ Living space, social environment, dwelling
AFFECTION	9/ Self esteem, solidarity, respect, tolerance, generosity, receptiveness, passion, determination, sensuality, sense of humour	10/ Friendships, partners, family, partnerships, relationships with nature	11/ Make love, caress, express emotions, share, take care of, cultivate, appreciate	12/ Privacy, intimacy, home, spaces of togetherness
UNDERSTANDING	13/ Critical conscience, receptiveness, curiosity, astonishment, discipline intuition, rationality	14/ Literature, teachers, method, educational and communication policies	15/ Investigate, study, educate, experiment, analyse, meditate, interpret	16/ Settings of formative interaction, schools, universities, academies groups, communities, family
PARTICIPATION	17/ Adaptability, receptiveness, solidarity, willingness, determination, dedication, respect, passion, sense of humour	18/ Rights, responsibilities, duties, privileges, work	19/ Become affiliated, cooperate, propose, share, dissent, obey, interact, agree on, express opinions	20/ Settings of participative interaction, parties, associations, churches, communities, neighbourhoods, family
LEISURE	21/ Curiosity, receptiveness, imagination, recklessness, sense of humour, lack of worry, tranquillity, sensuality	22/ Games, spectacles, clubs, parties, peace of mind	23/ Day-dream, brood, dream recall old times, give way to fantasies, remember, relax, have fun, play	24/ Privacy, intimacy, spaces of closeness, free time, surroundings, landscapes
CREATION	25/ Passion, determination, intuition, imagination, boldness, rationality, autonomy, inventiveness, curiosity	26/ Abilities, skills, method, work	27/ Work, invent, build, design compose, interpret	28/ Productive and feedback settings, workshops, cultural groups, audiences, spaces for expression, temporal freedom
IDENTITY	29/ Sense of belonging, consistency, differentiation, self-esteem, assertiveness	30/ Symbols, language, religions, habits, customs, reference groups, roles, groups, sexuality, values, norms, historic memory, work	31/ Commit oneself, integrate oneself, confront, decide on, get to know oneself, recognize oneself, actualize oneself, grow	32/ Social rhythms, every day settings, setting which one belongs to, maturation stages
FREEDOM	33/Autonomy, self-esteem, determination, passion, assertiveness, open mindedness, boldness, rebelliousness, tolerance	34/ Equal rights	35/ Dissent, choose, be different from, run risks, develop awareness, commit oneself, disobey, meditate	36/ Temporal/special plasticity

5. Brief notes on needs and satisfiers

It is considered relevant for this research to categorize the Human-Scale Development approach within a broader interpretation of other Human Needs theories and approaches. Chapter IV, will give a broader explanation on the use of this approach as it will be proposed as an evaluative framework for HD policy- making issues.

To start with, different views and theories to define basic needs have covered the development debate for quite a long time. Basic and human needs approaches have been profoundly criticised, misunderstood, misinterpreted, and misused; for many of these confusions have been tackled by theorist and economist along the last two decades.

It is common thus to find assertions in quite different directions. Starting from the believe, that needs are preconditions for the achievement of other goals (Doyal and Gough 1991); or that needs raise the question on whether they are absolute or entrenched (Wiggins in Alkire 2002a); if they are material or non-material (Galtung 1980); or if needs could be understood under a “dual-self” perspective (Maslow 1968).

Proposals to define needs theories do not stop there. Others have pronounced persistently on the importance of underling the difference between needs, wants or desires. Defending that needs have been the only characteristic common to all human beings, in all societies at any time of their individual and social evolution and part of their human nature (Kamenetzky 1992 and Elizalde 2003a).

In this line, Max-Neef and colleagues proposal, back in 1986, belongs to this latter categorization. In order not to be misguided, their theory has been dived in two streams: the need and satisfier perception. The Human-Scale Development theory has constantly argued on the appalling mistakes resulting from not doing a clear conceptual differentiation of the two, where erroneous epistemological and methodological approaches to development are consequently conducted. In this sense needs could be interpreted either as **needs** (as defined in the H-SD as deprivation and potentiality) but needs could also be mistaken as **satisfiers** (as all things representing ways of being, having, doing and interacting aiming to realize needs).

For example, education, research and study are all satisfiers of the need of understanding, and creation, to mention a couple. Food and shelter are not needs, but satisfiers of the need of subsistence and protection. Local clinics, health systems and

traditional medicine schemes, are satisfiers of the need for protection and identity. Lastly, goods could also be mentioned and listed which intervene to potentiate the capacity of satisfiers to fulfil certain needs.

“Some unsettled questions” was the title of a well known article, published by Streeten in 1984, whose aim was to recall on some pending issues related to basic needs debates. Many of the questions raised at that time, entailed the misinterpretation and the differentiation on needs and satisfiers, just mentioned above. These were:

“Who was to determine basic needs? What was the relation between meeting basic needs as an end itself and as an instrument for developing human resources? and whether needs referred to the conditions for a full, long and healthy life or to a specific bundle of goods and services to achieve certain living circumstances?” (1984,973).

Analysing the questions above through this logic one can avert that the first question; [“who was to determine basic **needs**?”] Was not even necessary considering H-SD proposal of needs: these are finite, the same in all cultures and in all historical periods. The second one is a good example of the epistemological misguiding and addressing of the question: [“What was the relation between meeting basic **needs** as an end itself and as an **instrument** for developing human resources?”]. Where need as an end is the comprehension of **need as a need**, something intrinsic to human beings, but the instruments to develop human resources, refers clearly to all possible satisfiers to attain this end. Lastly [“Whether **needs** referred to the **conditions** for a full, long and healthy life?”] is a way of observing **needs as satisfiers**, since the H-SD theory has also stated that satisfiers define the way in which a culture or a given society realize its needs (including, values, norms, institutions, etc.).

Gasper (1996, 2004a and elsewhere) has done outstanding and extensive work in providing tools for ordering debates on Human Needs (HN) describing a broad classification of HN theories within both; normative and positive frameworks. He has also defined plausible positions where some needs theories could or might be placed suggesting that: either needs are partly universal in substance but partly socially relative, or needs are socially relative in substance but (largely) universal in type (Gasper 1996). However his assumption makes no distinction of the conceptual differentiation mentioned earlier, but furthermore, this categorization seems relevant to make a clear difference on how Needs Theories have been used to tackle development concerns and moreover, how they have been used to claim new and better development paths.

Bagolin (2005) insists on how the Basic Needs Theories (BNT) differ widely from those on Basic **Human** Needs. The utilitarian approach has probably been the main element of misinterpretation among these two, and for instance, other approaches such as the HD or explicitly, the CA have stayed away from making any loom to Basic Human Needs (BHNs) assumptions. In this regard, Sen's critiques to Basic Needs approaches have been strong even when many contemporary needs theories have denied their affiliation to utilitarian views. Such is the case of the cited Human-Scale Development approach and some of these critiques will be discussed and followed-up in the next section.

Following Gasper's categorization on the universality and relativism of needs, from what has been explained in previous pages, the H-SD represents a theory that will place itself in the 'socially relative in substance but (largely) universal in type place. It claims for a different and holistic view of human needs persuasive to be incorporated to a broader grasp of the Human Development notion. According to Elizalde 2003a, the substantive attribute of needs, has created the belief that needs are constantly growing, that they are infinite, and unlimited. This will be an *ad absurdum* belief (Elizalde 2003a,32) since, this statement will mean that human existence has been also constantly changing, thereafter, human nature as well. And if this was ultimately the case, the possibility of universal Human Rights to exist, will be subsequently denied.

In this light, if needs are to be **finite, few** and can be **classified**; satisfiers will cover the essential changing dimension. This idea brings about a completely new way of understanding a systemic interrelation between needs and satisfiers; considering that various types of them may exist acquiring positive and negative features depending on their application. Although, a few things are to be observed:

Needs are understood as a system and are satisfied at different levels, on three intensities, and within three contexts. Their quality and interdependence depend on *time, place, and circumstance* (Max-Neef 1998a,43). Within one's self, in the relations within a pertaining social group and with regard to the environment. But additionally to this, the doubly-instrumental condition of a need (as **deprivation** and **potential**) changes its core to a broader implication. Needs are no longer satisfied nor met when we take into account that 'being dynamics' are constantly moving and being restructured. Therefore, it is important that we begin to refer to needs differently; instead of being satisfied or met, needs are to be *lived, achieved, or realised* in a continuous and renewed manner.

Satisfiers, although mentioned earlier, are not only economic means. These might generate goods (commodities) that change according to historical moments and contexts. Satisfiers, unlike needs, are less static (Max-Neef 1998a). They are modified by the rhythm of history and are diversified according to different cultures and circumstances³⁷. They retain certain attributes and can have varied characteristics, which, in turn, may be distinguished by the five types previously described.

Finally, other valuable **attributes** identified within this theory, provide further base to the fact that it represents an alternative framework in the HN understating:

- As mentioned earlier, within this particular HN framework, no single need entails added importance (Max-Neef 1998a,78). There is no fixed order of preferences for the actualisation of any need (even though limits could be intrinsic to certain needs) by which a certain level of deprivation may paralyze and overshadow any other impulse or alternative. For example, the case of subsistence and the obstacles to satisfy this need could clearly block the realization of other needs. In this same light, the needs system tends to crumble and other actions could be as well neglected (Elizalde 2003b).
- H-SD focuses on ends within the process itself. Needs are intended to be realised from the beginning, alongside, and throughout the development process (1998a,82). In this sense, the realisation of needs is by no means the end of development itself but otherwise an important driving force.
- This is an approach based largely not only on ecological values but on the conviction that “human beings, in order to realize themselves, must maintain (...) interdependence with nature and the rest of mankind; and, equally, that this must be a conscious relationship because the ecological perspective projected on the natural environment provides fertile analogies for social ordering” (Max-Neef 1992a,55).
- It is important to remark that H-SD does not exclude economic growth, but still centres on the reconciliation of the latter with social solidarity, explaining that, “healthy societies should consider as an inescapable objective the combined development of all people and the whole of the person” (Max-Neef 1998a,87).
- Lastly this particular approach aspires to self-reliance by changing the way in which people perceive their own potential and capabilities to project them in a collective way. This means that the *realisation* of BHNs within this perspective

³⁷ ILO had already emphasized on this same idea declaring that the basic needs notion was a country-specific and dynamic concept (ILO 1977,184).

implies the deep search of consistency between development models and peoples cultural diversity.

Hence, all what has been here stated is relevant to make a step forward to place a broader discussion on what Capability theorists, particularly Amartya Sen, had said on the CA seen as a replacement of the BHNs approach. Putting the H-SD forward has its value as it represents a singular framework entailing a substantial theory to endorse policy evaluation and assessment through a real people-oriented view. It also stands as an alternative theory of *human needs for development* and therefore becomes instrumental to be proposed as a conceptual framework for Human Development policy evaluation.

Consequently, the following section will help to clarify and support the idea to recover elements from BHNs to provide better tools for Human Development accomplishment and put forward alternative theories to engage new processes in HD policy elaboration and assessment.

6. Dialogue: Human-Scale Development (human needs for development); the Capability Approach (the capability to meet a basic need)

In addition to the treatment that basic need theories have received from many of the authors listed in the previous section, the improvements and systematization made by Sen, Nussbaum, and associates in the 1980s according to Gasper had “contributed notably to a refined foundation for development ethics and development policy” (1996,72). Other authors, could be added to the list such as; Stewart (1985a and 1985b) and Streeten (1994) who have centred their critiques to Basic Needs approaches from being more concerned on the provision of goods and services rather than on the human choice issue. The latter would not be considered a critique –in H-SD terms- if one assumes the difference between *needs as ends* and *needs as satisfiers*. A basic needs approach concerned mostly on the provision of goods and services, is an approach describing a certain type of predominant satisfiers aiming to fulfil fundamental human needs (which in any case appear to fall in the destructive and inhibiting type-satisfiers).

In any case, if there was an appropriate “need” framework in which the CA could find common ground and specify basic capabilities, this one could be Wiggings’ Basic Needs account, as proposed by Alkire (2002a). Wiggings’ analysis characterizes needs as *absolute* or *entrenched* (the former referring to needs which, if unmet, might

blight one's life or cause serious harm and the latter -also called instrumental- meaning that the person remains unharmed despite the need being unmet) (Alkire 2002a,159). In consequence, Wiggings' claim is one with respect to harm rather than to desires, wants or preferences. So in this same line, Alkire insists that many unmet needs became relatively more important as potentially a 'substantive functioning' will be harmed (being well nourished, being able to participate, etc,..), instead of being concerned about unmet needs that are "relative to the object that is instrumental to satisfying the need" (2002a,159). In other words, what they are trying to say is that "the person" - which they name 'object'- within the Human Needs scheme, is not really taken into account whenever a need is being unmet.

Yet, the H-SD theory clearly averts from this particular distinction. The fact that an unmet need could cause multiple harms (according to Wiggings therefore Alkire) seems quite reductionist. H-SD acknowledges the person as a multidimensional being which interacts with his/her various needs systemically and not only from the "being" aspect. The person interrelates with his/her needs and satisfiers from the "having" (institutions, mechanisms, tools) the "doing" (personal or collective actions) and the "interacting" spaces or dimensions. *Satisfiers*, on the other hand, and how they relate with people's needs, is what becomes utterly important in development achievement.

A good example to express this dynamicity of needs within the H-SD framework contrasted with the above mentioned elements, could be story of the Brahmin fasting self-willingly (but then, being unable to escape malnutrition). Alkire poses the example of a Brahmin which might refrain from eating because this person values a particular religious discipline or alleges for a particular exercise of justice. So the argument goes around the idea that; whereas the "Brahmin's functioning of being well fed is being blighted, this person's life might be regal and radiant" (2002a,171) emphasizing that, people might choose deliberately to refrain from meeting certain basic needs. However her distress comes from the fact that analysing the Brahmin's quality of life and Human Development achievement through any Human Needs theory will result in a person not meeting his basic need for nourishment even when he had the capability of choosing not to. The CA opts to a matter of choice and freedom.

Conversely, within the H-SD approach the scrutiny will diverge. As mentioned earlier, needs are not satisfied but fulfilled, lived or realized. In this sense, the Brahmin's desire of fasting might directly "inhibit" his need of subsistence and protection as well. But fasting represents a satisfier of his/her need of identity, leisure, freedom, understanding

and transcendence; apparently being a *synergetic* satisfier. The expression of this particular satisfier is critical for this person in order to be able to feel part of his/her community, to communicate, participate and so forth. Needs according to Max-Neef (1998) are not limited entirely to subsistence, they advocate for the continuous tension between *deprivation* and *potential* which is common in human behaviour. Furthermore, this analysis could be extended if we consider that, depending on how he interrelates with his set of needs and the ways of satisfying them, different forms of being, having, doing and interacting will be adopted by this Brahmin to achieve a flourishing life, well-being and self-reliance.³⁸

It could be appreciated hence, from this example that even when there has been a clear philosophical reluctance towards several HN accounts when merging these theories with those of capability and human development, the Human-Scale Development approach has moved away from the rest, when arguing the various conjectures that identify this theory as an alternative account to development; distinguishing between needs and satisfiers.

Now, moving to other subjects where Sen has shown reluctance concerning Basic Needs approaches. On the first place; he disagrees on the issue that basic needs are defined in terms of commodities and the problem of converting commodities into capabilities (1984). He has argued on the individuality of commodity requirements to certain capabilities and the matter of preferences among each person. On this first remark, many authors have clearly state the difference between basic *material* needs and basic *human* needs (first one alludes to *needs as satisfiers*). Therefore, this assertion obviously misrepresents any *human* needs approach. However, on this former statement, it must be said that within the H-SD satisfiers are not only available economic goods or specified commodities, but instead are everything representing forms of *being, having, doing and interacting* contributing to the actualization of human needs. They characterize ways in which needs are expressed, and goods are *means* through which the person potentiates the appropriate satisfiers to live his/her own needs. This implies absolute freedom of choice, as they are indeed our "values and beliefs who modify the simple and replicable structure of human needs" (Kamenetzky 1992,182). So, in case the H-SD theory was to be misunderstood, a note on this was thought of being pronounced.

³⁸ This concept will be briefly explained in a broader way as it will be compared to Sen's agency aspect in section 7.

Secondly, Sen has also stressed on the BN focus on minima, and usage mainly in poor countries restraining an internationally valid measure of indigence and at the same time defining a conception of absolute poverty within the CA framework (absolute poverty understood in terms of capabilities expansion and not in terms of income³⁹). Alkire (2002a) has briefly explained on this; justifying that BN approaches indeed utilize both; commodity and out-put indicators of well-being, but indeed does not apply to human needs perceptions. In fact, the HDI is a good example of a first attempt to measure capabilities in terms of general well-being expressed in an aggregated formula. The identification of individual preferences and his/her capabilities is certainly a problem for which the HDI is no compound indicator to evidence well-being. This is thus, a constrain within any international valid measure or either poverty or well-being.

HD and well-being achievement will keep facing this constraint if development wants to be measured through satisfiers. The HDI for instance, is an indicator basing its results on satisfiers. True is that literacy is evidently important for human development, however it is only one possible way of realizing the need of “understanding”. What about informal education?, traditional and popular knowledge?, these are other means to achieve it as well, but are never reflected.

Back to the poverty issues. The HS-D perception, poverty is primarily relative and multidimensional suggesting that any fundamental need that is not adequately satisfied reveals a human poverty generating pathologies, (Max-Neef 1992b and 1998a). Thereafter, H-SD refers to **poverties** instead of **poverty** on a singular description. In addition, the H-SD methodology could be used for development diagnose, planning and evaluation purposes, which in any case, development assessment could be applied in any type of country and/or given society not only for the poor ones.

Thirdly, some other considerations made by Sen expressing his scepticism on human needs accounts relate to the fact that they entail a more restrictive or passive concept than “capability”. He defends the positive freedom⁴⁰ aspect involved within the capabilities framework. He states that capabilities ask “what can the person *do*?” contrary to the fulfilment of needs questioning what can be *done* for the person?” (Sen 1984,514). But the Human-Scale perception, brings about a new way of understanding development. Considering its aims not only as the main point of arrival but as

³⁹ For Sen, poverty comes as a result of basic capability failure, therefore his position.

⁴⁰ Also know in Sen’s writings as “substantial freedom”, concerned with the enhancement of the lives we lead and the freedoms we enjoy, or the capability of “expanding the freedoms we have reason to value” to have more unfettered lives (Sen 1999,14-15). For Sen, **positive freedom** is “intrinsically important as the pre-eminent objective of development” (1999,37).

components of the process itself. Alluding to Sen's supposition on "what can be *done* for the person?" the H-S approach entails the satisfaction of needs occurring at different and changing levels (Max-Neef 1990). "Fundamental human needs can, and must be realized from the outset and throughout the entire process of development" (Max-Neef 1992b,213). This means that the person is entirely *doing* and directing his/her satisfiers to realize his/her (and many times collective) needs to better achieve a life he/she or they value. So, in no way needs are seen as passive elements but the other way around. Once again, as needs imply either deprivation and/or potential - depending on the degree that needs engage- they motivate and mobilize people becoming a resource. Thereafter, the actualization of needs is not only a goal, but the motor of development itself.

Lastly, one final statement guides Sen's critiques to BN Theories. This fourth claim points that BNT neglect philosophical foundations, namely conceptions of 'good life' (Alkire 2002a) and whether this critique is just to vague or extremely strong, a larger debate could emerge.

Many human needs theories such as the H-SD take over a long humanist economics philosophy tradition (as may be seen in Table 2.1 showed at the beginning of this chapter). This must not be disregarded as H-SD theory supports the multidimensional appreciation of the *being* and moreover on the claim for *another development*. One "seen as a whole, as an integral cultural process; as the development of every man and women and the whole of man and woman" (Max-neef 1990,44). The H-SD theory considers key components to its philosophy such as: the aim of self-reliance, crucial ecological constraints, the questions of indicators, the macro-micro articulation, the inclusion of invisible sectors analysis, the concept of human needs seen as a system, the reinterpretation of the concept of poverty and the problem of critical size systems (DHF 1975).

Moreover, Gasper (2002) recalls on other theories such as Doyal and Gough's *Theory of Human Needs* which have described complex notions of human flourishing (or 'good life'⁴¹). Gough, for instance, has expressed his sympathy on some ideas from the Kantian tradition (Gough 2003). He has specified their Human needs theory denial on the passivity of the need-satisfier relation, advocating particularly on the importance of

⁴¹ Despite this is a concept of Aristotelian inspiration, Nussbaum uses this particular term repeatedly (e.g. 1993) to describe the ability of every member of a community to meet the basic necessary conditions of the capability to chose and live a fully human life.

the elaboration of lists of basic and intermediate needs. Merely, this shows, that philosophical foundations are acquainted to this and other HNT.

As a conclusion, it could be said that perhaps, Sen's previous statements could be afterwards demystified and hopefully, this short discussion has given a new perspective to some of the critiques and misconceptions labelled to some Human Needs approaches, although mainly the H-SD approach was demarked from the critiques made. 'New perspective' is however just a say as Stewart's work on the operationalization of Basic Need approaches has pointed that the demand for satisfaction of people's basic needs is not a new aim but has been for a long time a fundamental human goal (1985a).

Bagolin's analysis (2005) made on interconnections and differences between HN approaches and the CA help to reinforce the idea that both are indeed, complementary frameworks of analysis of people well-being and even agrees that Max-Neef's contributions on needs and satisfiers might be of good help to guide further capability operationalization practices (2005,30). Essentially, she stresses on similarities of the two approaches arguing that both seem to promote a 'good life' searching for better ways of development. That they are basis for political principles and that both are difficult to operationalize despite of their entailed multidimensionality. Yet, complementarities among the approaches are also considered; for example, that Human Needs language is easier to understand compared to the complex philosophical terms employed in the CA but also that conventional data might be of help to make assessments within HN satisfaction scenarios. The CA deals with a huge range of subjects relevant to well-being but also insists on the quality of resources as means to reach human ends.

Finally, a complementary piece of information is that the humanistic school has been sensitive to the study of the direct connection between the 'higher' elevated status of human being with the human capacity of free will and the intrinsic worth of the person, that is to say, "human dignity" (Lutz 1992,105). In this regard, the person is defined as a 'being' with certain basic material needs and higher (social and spiritual) aspirations which might define 'desirable' desires (Lutz 1992). This is, in other words a different way to express how people want to live a 'life they value' according to their social and spiritual aspirations; where one can even have informational basis by assessing to what extent the fulfilment of basic materials needs is consistent with the personal

claims demanding respect for one’s dignity. The H-SD philosophy, includes all of the above aspects.

To facilitate the reflexive process among all the previously said, Table 2.3 might be of use to synthesize the former dialogue and its most noteworthy issues for debate. Thereafter, a proposal to continue with this dialogue is to move forward to the question of people’s participation in development.

Either defined as *agency freedom* within the CA or as people’s *self-reliance*, in the H-SD; there seems to be a linking point between the two. Apparently, significant coincidences occur thus, the chances for doing constructive thinking in HD issues appears closer. Next section aims to make a description of main components of these presently mentioned notions and then on, identify a series of missing and/or connecting links through which both concepts could merge and broaden their objectives.

Table 2.3 Summarized Dialogue

Key issues for discussion	Capability Approach	Human-Scale Development
<i>The usage of HNT to define Human choice</i>	*Proposition of Wiggings’ BN account as framework focused on harm. *The object, is slightly taken into account. Importance is given to the unmet need.	*Needs are different from satisfiers and this characteristic should be present at all times *The harm perception seem reductionist. *Person interacts systematically w/ needs and satisfiers & person is perceived as a multidimensional being.
<i>Critiques to HNT</i>	Strong critiques to BNT from being centred in provision of material needs rather than human choice.	Needs are not defined in terms of commodities. This is a Basic Human Needs theory. Material goods are only one type of satisfiers.
<i>Perception of poverty</i>	Understood as absolute in terms of capability expansion.	Understood as relative and multidimensional. Need not realized → generates pathologies.
<i>Passive vs. dynamic concepts</i>	Focus on what can the person DO ? Vs. what can be DONE for the person?	Central idea of Needs seen as deprivation and potential (actualization of HN is not only the goal but motor of development itself) Satisfiers represent a multiple sets of options to achieve need fulfilment
<i>Philosophical Foundations</i>	Criticizes lack or vague description of “good life” notion	Based on humanistic economics backgrounds- alternative theory w/ holistic perception of the “being” (self)

7. Talking about People's agency and/or people's self-reliance?

"It is not the things a person has that is important, but her ability to convert them into a way of promoting her own ends"

-Amartya Sen-

This following part pretends to make a brief afterthought on some cross-cutting issues which might further help to differentiate key aspects of the two theories that have been described so far. The way on how each one of these theories (i.e. CA and H-SD) understands and conveys the development process, entails the introduction of a series of new concepts, notions, and yet other intricate considerations.

The query on *How people participate in development?* Will certainly cover main attention in this section with no other object than to move forward to recognize more positive political scenarios for HD achievement. Therefore, some questions may arise; such as what is people's role along the development process? And what are the main outcomes from encouraging people's participation?. Accordingly, both Sen's description of the agency aspect, and Max-Neef's notion on self-reliance will be depicted in the next sections remarking their strengths and weaknesses. The main core of this analysis is to propose a correspondence space for both concepts to complement and enrich each another. Even when their application give us the impression of being distant, a possibility to fill-in some gaps between the two may occur.

Sen's thought will be primarily depicted, constituting a summarized explanation of the *agency* concept. Afterwards, the *self-reliance* notion will be introduced as a mirror outset, similar to that of Sen's. Thus, the intention is to contribute with further creative elements to expand the *agency* perspective and ensure that HD outcomes will consider both concepts as imperative objectives in its process.

7.1 Sen's particular observation of the "agency aspect"

Amartya Sen has acutely widen the idea that human capabilities entail various aspects of peoples' life by explaining well-being in terms of freedom and how people use this freedom to achieve development. His appreciation is rather more philosophical regarding the person as an *agent* recognizing and respecting his/her goals, commitments, values, etc., and understanding *well-being* in terms of the person's use of this so-called *agency aspect* (Sen 1987).

He explains also, that “a person’s `agency freedom’ refers to what the person is free **to do** and **achieve** in pursuit of whatever goals or values he or she regards as important” (Sen 1985,203). For Sen “well-being is not something outside the person that she commands, but something in her that she achieves” (1985,195). And for this reason, “the agency aspect cannot be understood without assuming the aims, objectives, allegiances, and obligations belonging to the person as well as her conception of the good” (1985, 203).

In this view, well-being freedom stands for the actual achievements of a person to live a life he or she values rather than the freedom itself to choose and be an active agent in the process. Sen insists on the difference between *well-being freedom* and *agency freedom*, thinking on the conditionality involved on the former and the evaluation of the real opportunities existing to pursue one’s well-being on the latter. Therefore, *well-being achievement* and *agency achievement* are two notions necessary to be incorporated to this description. The first refers to the realization of those things that are constitutive of one’s well-being whereas the second expresses the person’s success in the search of his/her considered goals and objectives (Alkire 2002a). The relation thus, among these two concepts is truly strong as both seem to be instrumental to acknowledge what Sen has called “development as freedom”.

It all seems to be quite complicated but summarizing all the above said, one can say that the greater the freedom is, the ability of people to help themselves and influence the world expands (Sen 1999). This is central to the development process and again, it represents what he calls the “agency aspect of the individual” (1999,18) considering the freedom achieved within the process, a key element for evaluation purposes.

It thus becomes evident that strict distinctions exist within the CA approach to define people’s role on development attainment. One stands for freedom and the other for opportunity. For this reason, the approach stresses on the unpredictability for evaluating well-being in terms of agency freedom. This is also because occasionally the person’s agency can be adapted to considerations not evidently covered by the person’s own well-being (and vice-versa). The most common example used to explain this, comes from the story told by Sen on imagining oneself eating a sandwich at a bank of the river Avon and suddenly watching a man drowning. One sees his/her agency freedom increased as one decides to jump into the river to rescue the man and consequently see one’s own well-being freedom constrained due to the fact that one is not able to enjoy a relaxed and quiet lunch.

However, despite of the clearness of this example, it cannot be denied that the agency aspect due to its complex definition and other additional elements, still overlooks other targets to tackle. Gaps have been also identified and will be mentioned in section 7.2 . In any case, Table 2.4 was built to help in the clarification of theoretical differences entailed among the concepts previously described.

Table 2.4 Agency & Well-being Freedom differences

Well-Being → FREEDOM → how people use this Freedom → Development			
Agency Freedom	Well-being Freedom	Agency Freedom	Well-being Freedom
<p>Refers to how free is the person to pursue goals he/she values</p> <p>W-B is not outside person but something she commands</p> <p>Agency aspect – understood through the person’s conception of the good</p>	<p>Refers to actual achievements & not about freedom to choose being an active agent of change</p>	<p>→ Opportunities to pursue Well-Being</p>	<p>→ Actual achievements</p>
		Agency achievement	Well-being achievement
		<p>Person’s success in the search of objectives</p>	<p>Realization of things constitutive of one’s WB</p>

7.2 Some critiques to Sen’s ‘agency aspect’ notion: individualism and the intrinsic dualism (well-being and freedom)

According to Sen (1999), individual freedom becomes intrinsically important to avoid any type of deprivation. Thereafter, individual freedom is a way of evaluation, though Sen, has expressed great scepticism in considering individual agency aspects interdependent and vulnerable to those of groups.

The CA centres on evaluating individual advantages in terms of capabilities, i.e. the “space for the evaluation of individual opportunities and successes” (Sen 1993,50). However, well-being (W-B) and agency aspects do not entail the same weight when it comes to moral accounts, as it was mentioned earlier. But Sen differentiates both, affirming that W-B evaluates the person’s opportunities, while agency considers what the person can achieve according to his/her conception of the good (Sen 1985). Sen’s concern is thus, the outcomes consequential of the freedom enhanced, and not really the process entailed within.

Anyhow, based on these assertions the CA has not paid much attention to groups and their well-being as evaluative spaces and instrumental elements to other capabilities that influence people's choices and values (Stewart 2005)⁴². But the idea that groups influence and impact people's preferences and behaviours is not only argued by Stewart (2005 and elsewhere) but also by authors like Chambers (1995). Who agrees, that all individuals and families tend to adapt their livelihood strategies in order to reduce vulnerability and improve their quality of lives. Undoubtedly, this is crucial when it comes to policy implications. Then the aim is to reduce group inequalities as Stewart remarks (2005) and promote social cohesion and affiliation for better life options, Thereafter, W-B and freedom in this view could not be understood as two separate goals.

Stronger critiques to the individualistic view of the CA claim on "the little attempt to take into account the various *incapabilities* to which groups and peoples are subjected in the name of ethnicity, race, language or religion" (Wilfred 2005,6). Wilfred maintains, that this surely has a particular effect on poverty issues. Since recent development guidelines resulting from neo-liberal globalization models are doing nothing but excluding various groups of people, workers, tribes, and so on; from effective opportunities (such as new patterns of exchange, new goods to produce, new skills to develop, new techniques of production, to mention a few).

Somehow, the latter stresses on the notion of identity as a factual element for development. Which represents, according to Wilfred a "means of power" (2005,7) for the poor and less well-off, putting forward their dignity, rights and agency. This appears as an interesting fact and despite of its importance, it seems that it was until recently, that Sen has started to incorporate this matter to his contemporary writings and debates.⁴³

All these are indeed, elements which need to be integrated to the agency notion along the CA. The fact that people's collective role in development processes has not yet been well defined along HD practice, is something that has also been recognized by Sakiko Fukuda-Parr -former editor of the HDRs-. She has argued that, certainly, the reports "have placed more attention on human agency through individual action rather than collective mobilization, resulting in many gaps" (2003,96). Yet, she remarks that

⁴² Sen is quite firm on this. However, for example in the "Well-being manifesto" (Shah and Marks 2004) it is stated that one of most important factors promoting well-being is the feeling of belonging to some kind of community, how we manage our relationships, our circumstances, our outlooks and activities.

⁴³ See for instance: Sen 2000, 2005, 2006 (forthcoming)

the HD approach calls for human agency; where people are never passive beneficiaries but must be regarded as *active agents of change*. That is, people who can actually do things and whose personal achievements can be admired to inspire and influence others, as Sen affirms (1999).

So, why is it that for Sen 'collective agency' appears to be such a restricted framework to evaluate freedom?. Perhaps, it is because other types of social evaluation should be incorporated that might be relevant to well-being and HD. Therefore, with the intention of expanding and enriching Sen's agency notion, the "self-reliance" concept will be incorporated to the Human Development debate in order to complete and improve current definitions and moreover to better locate people's role and participation on HD processes.

8. The Self-reliance concept: Dusting it off!

The thought regarding people's active role as agents of change in the consolidation of their own well-being, have been uttered quite a few years ago. The concept of self-reliance is not particularly new or has been recently rehabilitated. This notion is found so far as in Rousseau's writings associated with equality, on the "ideal self-sufficient peasant, producing for his own basic needs and directly participating in political life" (Tickner 1995,58). But other influential social and political thinkers of the 20th century developed their more particular versions of self-reliance. Figures like Gandhi, Ho chi Minh and Mao Tse-tung used this notion -with very different purposes each- advocating for either; no dependency on a powerful State, or defending people's labour and communal will. Some others had claimed for braking with any dependency theory conditioning human ownership and advocating fundamentally for property and self-respect (Tickner 1995).

However, most recently during the early 1970s the Cocoyoc declaration, recalled this concept, proclaiming that the purpose of development was not to develop things but to develop 'people' and stating that self-reliance should be converted in a basic strategy for development, defining it as follows:

"Self-reliance does not mean autarchy; it implies (...) a fairer distribution of resources satisfying basic needs. It does mean self-confidence, reliance primarily on one's own resources, human and natural, and the capacity for autonomous goal-setting and decision-making. It excludes dependence on outside influences and powers that can be converted into political pressure (...). Above all, it means trust in people and nations,

reliance on the capacity of people themselves to invent and generate new resources and techniques, to increase their capacity to absorb them, to put them to a socially beneficial use, (...) and to generate their own way of life" (ul Haq 1976,72).

The Declaration statement, was nothing but the claim for a better and more equal development to take place among and along both; industrialized and developing countries. Hence, many authors like Johan Galtung, Robert Chambers, Uma Kothari, Jeremy Holland, Mathias Stiefel, Manfred Max-Neef among others, followed-up enthusiastically on this direction developing new ideas and frameworks to characterize people's main task in development processes. Anyhow, reflections under this idea had underlined the importance of collective values, community command of resources, participation and democratic principles, as well as the struggle for cultural specificity and identity.

Within the Human-Scale Development context, people's self-reliance is utterly taken into account as a main objective of the development process. Hence, achieving self-reliance is also part of what motivates the process itself and represents the engine for development; implicating the person (individually or collectively). Max-Neef has stated that the H-SD theory supports the constructive effects of articulating micro and macro spaces and the insertion of new combinations of democratic exercises; where self-reliance will be less problematic as collective self-reliance enhances participation and creativity (two fundamental human needs). Additionally his states, that solidarity relations might therefore reinforce cultural identity (another need) allowing a harmonious satisfaction of the system of fundamental needs generating satisfiers not only for the "having" (i.e. institutions, rules, norms, etc..) but for the "being" (i.e. personal/collective attributes) (Max-Neef 1990,52). In such case, self-reliance could play the role of a *meta-satisfier* as it plays the role of a end sometimes but, at the same time, enhances human needs in the midst of its central process.

Chambers supports this same idea affirming that the empowerment of communities depends on the ability of people "to enable their own analysis and express their own multiple priorities" (1995,8). He raises the issue that within the present development paradigm, the right of people to conduct their livelihood analysis must stand as a basic human right enabling people to conduct their own development.

How do people become active agents in development? Is something that Max-Neef explains and calls the 'Optimization of scales'(1990). Arguing that the aim must be to work within "a scale, were the individual is not withdrawn by the social, but on the other

way around. A scale which leads the former to potentiate the latter” (Max-Neef 1998a,88). Again, H-SD staunchly defends the idea of stimulating the creative role of communities from which solutions begin at the bottom and are built as an upwards process (top-driven), resulting in answers that are more congruent with the aspirations of the people involved (Max-Neef 1998a). As mentioned previously the theory suggests the use of the matrix to analyse, and thus identify key issues relevant to HD.

Important to say is, that the Human-Scale Development approach does not suggest a particular development model, but it does emphasise on building a process of political change. At its core lies the intention of generating an iterative process of self-reliance; one that outlines the very first step as the consolidation of societies and communities that are aware of the type of development that would be desirable for their citizens.

Max-Neef has as well argued that self-reliance attainment might “change the way in which people are enabled to perceive their own potentials and capabilities” (Max-Neef 1990,52). For this reason, he believes that self-reliance must necessarily achieve a collective nature and subsequently, as far as individuals choose to pursue valuable capabilities for themselves and for others, as suggested by Stewart (2005), groups will become relevant to individual well-being and vice-versa.

So, from the latter explanation one can summarize that the question on human flourishing entails more intricate aspects of people’s well-being. This includes the consideration of multiple dimensions, indeed freedom, and the observance of a larger scale of values (individual and collective). Afterwards, an interesting way to analyse such issues would be, to examine their implications in the decision-making field and therefore their impact on Human Development achievement. For, one can assert, that freedom and well-being are two valuable things that emerge as a results of a synergetic self-reliance process.

9. Adding pieces to the puzzle: Agency freedom and Self-reliance for Human Development

The question on why is self-reliance and agency relevant for Human Development?, is yet to be examined. Therefore, at a starting point, participatory policy-making and democratic political structures should be, two relevant subjects where agency and self-reliance discourses must centre. Yet, all the previously said will have no meaning if no practical purpose is entailed behind. A positive outcome of this analysis will be thus, to

increase attention to self-reliance and agency aspects in HD issues, and explore to what extent this attention resonates both with Sen's CA and Max-Neef's H-SD.

Again, as participation and democracy seem to stand as core elements in HD practice, these core elements have not been yet taken into serious consideration as central instruments to constitute better HD outcomes. The HDR's have certainly made an effort in proposing appropriate frameworks for participation, association and exercising of political and civil rights (UNDP 2002). And the preoccupation for promoting democratic and participative institutions, is clearly shown in UNDP's 1993, 2000 and 2002 reports (among others). The reports speak to endorse the democratisation of societies and country governments as a step forward in HD goals achievement. The fact is, that even when this 'democratization' implies people playing a more active role within political parties and other associations, it is not only within democratic institutions, where democratic activity ought to take place.

In this regard, Drydyk (2005) argues, that stronger democracy attainment takes place when we are able to evaluate how participation influence people over decisions and outcomes which are important and therefore valuable for people's lives. All this, would enhance what Drydyk calls: a *better sharing of influence* -where decision-making influenced by political activity is more effective in preserving or enhancing valuable capabilities-. But also, *better democratic functioning* "where decision-making effecting valuable capabilities is better shared" (2005,256).

For instance, important to the CA is democratic freedom in promoting other human freedoms. And UNDP's HD perspective is utterly based on this philosophical reference. Meanwhile, authors like Deneulin (2005) stress on the relevance of *political freedom* to be considerate in the process; as the ability to participate and deliberate in the life of a political community either through existing political structures or *ad hoc* participatory structures (2005,77-78). But also crucial for HD, is the presence of democratic institutions as an intrinsic condition to "democratize development".

Yet, Drydyk insists that; "merely calling for development to be more participatory is not adequate. What we must call for, is making development more democratic" (2005,249). So whether one speaks of participation, freedom and/ or democracy, these will all have a clear effect on people's well-being. Acting freely and being able to choose has no real meaning if one is not able to assess, evaluate and modify its own life according to one's identity, values, moral and understanding of a 'good life'.

On this, Sen actually does not disagree. He supports the idea of acknowledging the person's opportunity to achieve a valuable life to public policy. He even recognizes that "it would be a mistake to think of achievements only in terms of active choice of *oneself*" (Sen 1993,44). And 'agency success' as he depicts, might imply a broader evaluation than that of well-being. Since well-being freedom is only a specific type of freedom and this may not reflect the person's overall freedom as an agent and/or the person's success in the pursuit of all the objectives he/she has reason to value (1985 and 1993).

Moreover, 'participation' appears to be key aspect for both theories. The CA centres on the results expressed in the evaluative spaces throughout individual freedom achievement. Whereas H-SD concentrates on the process of how this freedom is attained. Engaging then the two theories in a constructive argument will be to suggest that; being a *doer* and a *judge* (two features expressed in Sen's well-being freedom) or a beneficiary (also implicit in the agency freedom feature) has a real meaning only if, along the development process these two conjectural roles are capable of stimulating *synergetic* actions with collective values (as H-SD suggests).

As Drèze and Sen (1995) state, the ability to do something not only for one-self but also for other members of the society will positively entail the sustainability of the process. Indeed, development embodies a collective struggle, one for identity and cultural specificity for which a *culturalist* approach can lead societies to a better conception of their self-reliant model of development; harmonic with their ethical principles and cultural demands (Mutombo 1995). This *culturization* of development might therefore avoid ethical constrains within the conception of the good. To better explain this last statement, the example on the "Vitamin Sherpa" might give a clearer view.

Nepal , a country where the infant mortality rate by the early 1980s was of 133 for every 1000 births (mostly claimed by pneumonia and diarrhoea). The lack of vitamin A was also a strong factor in this high rate and programs for vitamin distribution were continuously made, though were never completed with success. A local doctor then came up with the idea of a new scheme of vitamin distribution where "ownership" and the sense of "identity" could turn the distribution and vitamin consumption problem into a more easy task where goals could eventually be achieved.

He spend some time travelling through the villages explaining the benefits of vitamin A looking for volunteers to help distribute the pills. But it was not until he decided to turn

to the grandmothers as his primary source of distribution, that his program began to see good results. He thought about which individuals in Nepalese society had the most influence in family issues. But he also thought about the free time that they could count on to accomplish this task. However, his best assertion was overall the moral authority which grandmothers entailed within the Nepalese communities. Even when a grandmother had physical limitations or was too frail to do the runs, the programme seemed to work better as the villagers came to them to get the pills. Consequently, since the mid 1980s infant mortality in the country has been cut in half (TIME, Nov-7 2005). The whole experience represented the consolidation of a self-reliance process enhancing capability expansion through people's own freedom to choose.

Consequently, actions of the kind symbolize a positive change of thought, claiming for respect to very specific cultural settings and making things work harmonically with peoples' ethical values and principles. The Human-Scale approach shares examples like the previous one, based on grassroots participatory experiences, where many development programs guided through its methodology have done their own diagnostics, analysis and planning. The book *From the outside looking in. Experience on Barefoot Economics* (1992) tells stories on a couple of case studies completed in Ecuador and Brazil. But also, other communities in Latin America had also participated on similar exercises during the 1980s and 1990s. The experiences followed an educational, creative and participatory exercise, which brought about "a state of critical awareness" encouraging the generation of synergetic effects, national and regionally wise (Max-Neef 1992b, 211).

Other examples on participatory experiences acknowledging cultural and community perspectives where the Participatory Poverty Assessments (PPA) executed by the World Bank (Chambers 1994 and 1995). Their focus was on implementing local priorities and practices through intense participatory methods in the designing of public policies (mostly in poor African countries). Sabina's Alkire work (2002a Part II) also shows pioneering empirical work using the CA framework in the developing of measures of success through participatory approaches (Drydyk 2005). Her objective was that of valuing capability changes and impacts, weights, limitations and other significant analyses to identify capability expansion (within Southern-Asian regions).

It could be appreciated that there are no important disagreements amid both perspectives on this matter. It is no coincidence that many authors such as ul Haq, Galtung, Max-Neef and Sen (in somewhat different terms) devoted in putting people

first in development processes, and have spoken of self-reliance or agency achievement when referring to HD in a wider sense.

Notions like participation, democracy, political freedom and self (and/or) collective-direction have been for long, key issues to HD. Whether seen through Sen's CA or Max-Neef's H-SD, a need to scrutinize added informational basis (namely: cultural, social, geographical) in the building of positive outcomes and synergetic actions, is evidently imperative. How democratic spaces are used to potentiate people's valuable capabilities will result in more coherent HD achievements and the H-SD approach could complete on this as it takes participation as an essential human need, and where a set of satisfiers may be proposed to fulfil this need according to people's cultural and social values. What would be utterly relevant is that, depending on how people interact with other State actors and share their influence for more effective participation, this will give protagonism to civil society prioritizing valuable capabilities according to cultural and collective beliefs in policy-related issues.

10. Lights and Shadows within the theories reviewed

There is still much 'food for thought'. In this sense, the idea of pointing out some of the lights and shadows entailed within both theories might be of help in bringing about a wider framework to evaluate Human Development. One build with a larger view, including more holistic, multidimensional and humanistic characteristics.

On the conceptual contributions in updating old paradigms, Human-Scale Development suggest no particular development model, but advocates for building a process of political change, emerging from civil society when the latter succeeds to work with the State. It represents an 'alternative theory of development' committed to the satisfaction of HN both in present and future generations. When Max-Neef proposes the substitution of the term satisfaction of needs with that of *living* these needs or 'realising' them in a continuous or renewed manner, the choice of participating in the development process is hence open from multiple and different perspectives.⁴⁴ At least this represents a first effort of an authentic bottom-up exercise in policy making and collective self-reliance.

⁴⁴ Needs may be satisfied through infinite ways by representing forms of being, having, doing and interacting. One could appreciate that the "existing" axis might be certainly incomplete. But the other columns could be filled out while many other collective needs are met in a given society (institutions, public spaces, laws, and normative aspects, to mention a few).

Gaspar's opinion nonetheless, remains a bit sceptic reviewing Max-Neef's understanding of needs representing both; deprivation and potentiality. Stressing the question on how needs analysis can itself become a means? (2004a,159). He states "that not all need-fulfilment brings about well-being, whatever our interpretation of this latter concept is" (2004b,18). And draws attention to the fact that the 'satisfier' label may be an inhibiting satisfier that undermines the achievement of other values (Gaspar 2004b,19). In other words, that the claim of a satisfied need, might undesirably prevent this need to be realized even in a larger expression or not to be realized in the future.

The H-SD theory, however states that satisfiers are forms of being, having, doing and interacting related to particular historical moments, which means that the interrelationship between needs, satisfiers and goods, is permanent and dynamic (Max-Neef 1992a);

"it is about seeking a further relation with social practice, organizing structures, political models and other important values, which can demonstrate new ways of expressing Human Needs" (1998b,52).

Now, regarding some assumptions on the subjective nature of well-being. So far, Max-Neef has severely criticized how well-being has been treated in such a mechanistic way, putting aside certain elements which change and modify people's behaviour when they respond to "emotions, intuitions, reactions, and feelings" (Max-Neef 1992,129). On his terms, well-being is understood as how human beings feel integrated or alienated from their environment and how every type of environment- economic, spatial, political, cultural and natural- may have both an optimum and a critical dimension, as it was mentioned before. This is to recall that the H-SD approach embraces a context-related feature, which is determinant of the types or styles of development that people wish to follow. According to this, what is culturally determined is not the so-called fundamental HN, but the infinite possibilities of satisfying them through multiple and different satisfiers. Needs are universal and classifiable; contrarily to what ul Haq (1976) affirmed. Saying that the basic human needs concept is one, that will probably remain elusive and will obviously be different in different societies.

In any case, the CA stands for no subjective well-being variant -understood as feelings of happiness or satisfaction- (Gaspar 2005), since it concerns not feelings but a set of options for real freedom achievement. So, in relative terms, well-being achievement is directly correlated to the individual agency aspect and not really to the environment (either social, natural or cultural) which the person belongs to or identifies with. The

well-being issue within the CA has large and extended literature and could raise up a very complex debate. But the one thing relevant to this work, is Sen's limited conception of personhood (Gasper 2002) exchangeable for the freedom to fulfil functionings one has a reason to value.

For this reason, an additional argument worth of inclusion to this reflection, would be the matter of treating collectiveness and individuality when it comes to achieving *self-reliance and/or agency freedom* throughout both theories. This might entail a serious engaged debate when speaking of culturally-determined development models.

The Human-Scale Development focus is clearly on the cultural values of people and their identities to set up priorities for their own development models. Overvaluing the collective dimension of self-reliance and cultural identity as they represent imperative features in any development process. The CA conversely has stressed on the aim of displacing utilitarian perspectives of human nature, changing the use of values and preferences to determine freedom of choice in people's life. However, one could argue that the HD concept has definitively not incorporated the cultural variable intrinsic to all world societies –at local and global levels–. Therefore, the expansion of this capability might still needs further conceptual thrust in order to be enhanced and hence projected.

The complexity entailed within the CA to incorporate the collective breadth of well-being lays in something similar to what Fukuyama (2002) depicts saying that; within contemporary 'individual autonomy conceptions' people are less able to distinguish between genuine moral preferences and other moral choices equivalent to the satisfaction of personal needs, wills and inclinations. But it is precisely under these circumstances where collective reference might fulfil the moral gap. Again, this could be exemplified with experiences done on the field particularly with indigenous peoples. Where their particular world perception and strong collective identity are indeed relevant to define well-being in collective and not only in individual terms. The CA is somehow expanding research practice to scrutinize the CA as an effective framework to analyse the individual well-being of people, and its limitations, evaluating the collective well-being of groups, such as indigenous communities. See for instance, Gigler (2005).

Optimistic to this point, the 2004 HDR makes a great effort in integrating the cultural liberty query as a popular and necessary demand for human development. Yet, there is a big gap to cover before cultural liberty is really considered in policy-making processes and recognizing people's values. Cultural liberty represents the freedom to

be and choose your own cultural identity and “to enjoy the respect of others and live in dignity” (UNDP 2004,28).

Minding this gap, one of the objectives of this research is precisely to identify whether those policies are originally oriented to enhance HD fundamental bases and if they are being synergetic, destructive, singular, etc., with other needs and values. Or whether those policies are leaving aside other fundamental aspects of HD such as identity, protection, freedom, participation and other similar matters relevant to HD. This will be tackled in Chapter IV and V.

Moving to the measuring and operationalization questions; it could be said that United Nations HD approach, has indeed tried to adjust mainstream economic criteria to more people-centred issues. The HDI has been acknowledged as a reliable quantitative instrument for HD estimation influencing overall politicians and decision-makers. Not only the HDI but the many other qualifiers, part of the HDI family (Morse, 2004) i.e. HPI, GEM, GDI have been continuously challenged and refined. However, questions such as the ones Gasper raises, are still pending to be reviewed: “Are HDRs really tackling human aspects of people’s lives? – or are they still too economic [and obtuse]?. Is it more humane economic development or development of, and by humans?” (Gasper 2002,445).

Thinking on answers to these questions, important critiques to the HDRs statistics and contents have arisen from different academic positions. Sagar and Najam’s dissertation (1999) for example, is an interesting argument on the misrepresented measurements of HD within the HDRs. Their critique refers to the oversimplification of development issues which does not take into account the myriad complex social, cultural, political, and historical aspects of a country even when this has been done from different experiences.⁴⁵ They affirm that;

“each new report is picked up by readers, less with the expectation of finding interesting revelations and insights about the development process, and more as a sourcebook for data and a compendium of illustrative examples” (Sagar and Najam 1999,744).

⁴⁵ They refer to the National and Regional HDRs which have been an outstanding effort to touch base on national issues and problems regarding HD.

And despite of the fact that these two authors have worked mostly on the HDI assessment, their critique is a clear call for further qualitative appraisal .⁴⁶

On the other end, and even when H-SD methodology has not prepared measurable quantitative values, it has incorporated a solid qualitative background for analysis, diagnostic, and evaluation. The fact that needs are understood as human potential is crucial in this sense. They may mobilise groups and communities with the aim of transforming strategies into life choices, and these choices into social and political projects at national levels (Max-Neef 1998b). Nevertheless this could only be achieved if inherent strategies endorse synergetic satisfiers within. Thus, in relative terms, this implies a bit of conditionality.

Certainly, some problems and challenges are still to review. The H-SD methodology for community or group evaluation consists in the construction of matrixes for needs and satisfiers built for a particular circumstance.⁴⁷ The outcome of this exercise is the result of collectively identifying satisfiers of different kinds, and labelling them as either destructive, synergetic, pseudo-satisfiers, etc.⁴⁸

Nevertheless, Gasper insists on an interesting fact when stating; that if we are given the opportunity and capability to do something, it can remain our responsibility to do it; but if we don't, our unfulfilled needs (...) will not establish an obligation on other people (1996,90). The H-SD approach stands for small scale processes acknowledging that both; the individual and collective levels are intrinsically related. And, if we are seeking a dynamic equilibrium between all aspects affecting human well-being, this could only be achieved when humans, at the collective and individual levels, feel directly responsible for the consequences of their actions within their environment. Accordingly, it could only take place if the dimension of that environment remains within the human scale.

According to Gasper (2005), the vagueness about the CA, its operationalization, its interpretation, and how it relates to others "bodies of work", namely, HD, human security and freedom; has been extensively elaborated. There is particular interest in

⁴⁶ Chapter IV describes proposition of an evaluative framework where qualitative assessments could be applied to HD central aspects.

⁴⁷ This exercise does not have to be strictly done only by policy and decision-makers. Max-Neef has not limited his methodology only to political participatory processes, which means that this type of diagnostic or evaluation of facts could always be done in schools with children, nursing homes, government offices, to mention only and few. See Max-Neef (1992).

⁴⁸ Classification of satisfiers according to H-SD theory has been mentioned earlier on section 5 of this chapter.

applying the CA in the context of poverty measures but this has posed a difficulty in choosing among different dimensions of HD and other critical levels - particularly using Sen's interpretation of poverty as absolute in the space of capability-. Many CA followers though, had claim this feature on poverty measuring, as an attribute of openness in the approach (e.g. Qizilbash 2005) when others, like Gasper (2005) still remain reluctant to it. All the same, good news is, that the debate within this field seems to be gaining interest among scholars and development practitioners.⁴⁹

Concluding, the fact that the two main theories exposed along this chapter have had certainly not the same impact nor the same effect in contemporary development thinking. True is, that both speakers of these theories, Amartya Sen and Manfred Max-Neef, have had a good exposure to regional and international arenas and -in their very own particular ways- found the most proper approach to influence academics and development practitioners of their times.

Professor Sen, coming from a family of academics has always been strongly linked to universities in India, Bangladesh, USA and Europe. His economics studies at the University of Cambridge in UK, where undoubtedly a perfect launching platform for his work and progressive ideas dealing with welfare economics and other philosophical conjectures to the topic. His contributions to the Human Development Reports, together with Mahbub ul Haq under the United Nations auspices were indeed influential. To the point where in 1998 he was awarded with the Nobel Prize. Recently, within the Human Development and Capability Association (HDCA) among other academic environments, Sen's work has been for many years revised, criticized, intended to be operationalized and overall acutely acknowledged as a school of thought in new development thinking and will probably continue being for many years. This is certainly what will keep the CA alive and thus potentially will cover larger ground in the development field.

On the other hand, in relation to Manfred Max-Neef, his work has been as well very influential, although, his area of concern was mostly focused on Latin America and the profound inequalities that felt over this region particularly during the 1970s and 1980s. He became -as he describes himself- a converted economist; changing his interest within development and economic studies to more humanistic perspectives as if

⁴⁹ See for instance, Ravallion and Chen 2003; Anand and Ravallion 1993; Atkinson 1985; and other relevant work presented at the International Conferences on the CA 2004, 2005.

⁴⁹ Yet the satisfaction of the needs of children, handicapped people, the elderly, etc... is something on which the H-SD has not expounded. (However, when we consider that all needs

“people really mattered”. For many years, he had lectured in renowned US universities such as Berkley, where he had completed his studies, but also worked for international projects within the ILO, and as an advisor to other International Organizations. It was by 1983 that he was awarded with the ‘Right livelihoods Award’ considered as an alternative Nobel price for his work on Barefoot Economics (1981). He moved on then to the politics field as he ran for Presidential elections in Chile -his home country- in 1993. That same year he was appointed Dean of the Universidad Austral in Chile and despite his strong academic affiliation, his intellectual work was alas, not really prolific.

What could be said though, is that professor Max-Neef represents part of a quite *progressive* generation of economist during the 1970s who pointed out on building a more equal world. Trying to bring about alternative ideas for different development models mostly in developing countries (see the Dag’s Hammarskjöld Foundation work). Yet, and despite of his successful empirical work, I believe, his decision of not giving more conceptual basis for the theories developed by him and his colleagues, discouraged further practical work and the broadening of many of their conceptual and philosophical sources. Latin American countries, very specifically: grassroots-based communities and groups, have followed on his work and indeed have benefited from its application. As he says, the H-SD methodology was perhaps the most photocopied document in the 1980s across the southern Latin-American hemisphere. He has been lately recovering his writing records and it is with enthusiasm that the academic community awaits new insights and debates in relevant development issues tackled on years before.

11. Conclusions and further thoughts

This chapter was intended to review key elements around the HD paradigm; how it took over the whole development debate and the listing of proposals to define dimensions in order to organize informational basis related to the multiple ways through which HD could be tackled. Other approaches of HD understanding were also introduced, giving some examples of some philosophies coming from the humanistic economics tradition. Such is the case of the Human-Scale Development theory which was explored along this Chapter as an alternative humanistic scheme of thought, advocating for self-reliance and suggesting a continuous and renovated exercise of actualisation of human needs to potentiate collective action. On these related issues the questions on self-reliance and agency were as well discussed.

Briefly seen from the analysis held previously, it seems that UNDP's HD notion, as well as the goal for agency achievement, is more focused on results. That is, on how "agents of change" achieve their freedom and enhance their capabilities. Whereas the H-SD approach appears as a theory which centres merely on the process and the various stages entailed. This latter theory, is particularly concerned on the diagnose phase which might highlight relevant features on important values and other cultural elements which might be crucial to follow certain blueprints in development policies and strategies. After all, if a synergetic flow is achieved from this particular phase, a systemic process will result from this positive interaction.

Finally, the notes on needs and satisfiers mentioned in the beginning, were pinpointed in order to place the H-SD framework within a vast number of Basic Needs and Human Needs approaches. As it was reviewed, the H-SD perspective holds a different vision from other BNT. The one important thing is that this particular characteristic provides functional tools and appropriate elements to propose an evaluative methodology for policy and decision-making practices but that will be further developed and better explained in Chapter IV.

In fact, the whole needs debate involved within this research is not yet over. The next chapter will cover many aspects relating how time and other features related to human well-being claim to re-address the HD paradigm in more integral ways and interacting with other concepts. The incorporation of some of the sustainability dimensions to the HD approach might positively contribute to create a conceptual basis to expand both paradigms. Just as Max-Neef suggests. He says that if we are living under a transcendent transitional era, the exercise of changing paradigms is not only necessary but, at the time being, it appears to be critical (1992a).

Chapter III.

Contributions to a Sustainable Human Development Theory

1. Foreword

As reviewed in the previous Chapters, both, the Sustainable Development (SD) and the Human Development (HD) concepts have for the latest years shaped many important development debates. On the HD paradigm it has been said that it stands as a referential conceptual framework with a multidimensional approach to well-being, defined by the ability of people to be free to expand their choices and seek human freedom to participate in decision-making issues that affects their lives (Anand and Sen 2000b).

The SD approach on its side, has continuously been interpreted and reformulated over different and various fields of study. It has mostly been articulated under the environmental field and the impact of its meaning was never expected to reach the wideness it has achieved today. Most recently, the concept has found a very particular way of influencing transdisciplinary discussions out of which social, economic, ethic, political and environmental paradigms have, as a corollary, emerged (WCED 1987; WB 2003). For this, SD will remain a “moving target” (Najam et al. 2003) because the more we deepen and better understand the notion will imply new challenges for further application and therefore operationalization.

In this light, this chapter’s aim is to give an outlook to the intellectual effort made by the HD approach to incorporate the sustainability notion and the difficulties it has faced to operationalize this conceptual relation. Therefore, questions on how to manage complexity within this approach and the trouble facing multiple sustainability appreciations (or dimensions), will constantly be bring up to sight in the following sections.

At the same time, the sustainability notion will be characterized for the current research considering relevant to clarify within their intrinsic multidimensional feature. This will further help to suggest a *conceptual merge* proposing a “Sustainable Human Development” concept understood as a new integrated idea, but also to advocate for a wider and more holistic framework to incorporate multidimensionality in HD practice. This will be suggested through the application of the “systems view approach”

meanwhile other parallel ideas will be articulated in order to propose alternative ways to cope with complexity and trans-disciplinarity among these two topics.

To illustrate this relation, some examples will be given to show different structures and schemes which can help to operationalize HD concerns associated to SD issues and viceversa.

2. Sustainable Development and the expansion of people choices

“We define our needs in ways which effectively exclude others meeting theirs, and in the process increase the long terms risk for the sustainability of their livelihoods. Most important however, the process through which we enlarge our choices, and reduce those of others, is largely invisible to us.”

- M. Redclift-

The Brandt Report in the 1980s made a great effort to express a popular discontent with a particular world situation resulting from the failure of the international economic system. Poverty and population kept expanding uncontrollably, but also famines, epidemics, massive people migrations, environmental degradation and wars where part of the derange of the world economic development. The Brand Report emphasized the often overlooked idea of greater human dignity, security, justice and equity as equally valid measures of development as economic betterment. But pointed strongly on the need to envisage a world, where essential changes required to be made; where one could notice that every citizen of the world had enough for his/her need in order to provide social and economic equality for humanity (ICIDI 1980). Perhaps being some of the most early attempts, in the building of what literature now describes as Sustainable Human Development (SHD).

With similar aspirations and willing to be a practical approach, the Human Development paradigm later in the 1990s, began to question the fact that development was not focusing enough on people. HD thus started to be treated as a new paradigm bearing to break up with the old development debates strongly criticised from being blind to social aspects of human lives. This paradigm though has faced frustrations in quite to some issues,⁵⁰ and broad agreement on several others; e.g. on the acceptance of its

⁵⁰ For example on the Human Development Index (HDI) calculation and limitations.

philosophical bases.⁵¹ But in a broader sense, the changing logic was that of emphasising people as a means of development instead of an end.

However, the philosophical horizons of the HD approach began to expand widely to other fields related to progress, according to Ibarra & Unceta (2001). They argue that sustainability represents a critical element when treated as an imperative condition for sustaining the expansion of capabilities and human liberties, meanwhile taking a moral account of the natural resources which constitute a mean for human life in all places, among present and future generations. This thought appears to be a good claim to face an initial approach to many of the matters entailed within SD and HD issues, but yet very far from what real SHD could potentially represent.

In any case, this research work has constantly cited Sen's position and perception of development as a process of expanding peoples choices and freedom, but further thoughts on how the HD paradigm has incorporated the Sustainable Development dimension as a key aspect for enlarging people's capabilities, has not yet been clearly mentioned. In other words, this is the time to tackle the question on how should the enhancement of people capabilities must be, in order to attain Sustainable Development or its Sustainability.

Authors like ul Haq, affirmed that the HD scheme of thought is "the most holistic development model existing" (1995,23). He defended that the HD approach had endeavoured the incorporation of a universal perspective and understanding of human progress through a proper practical and operative way. So persistent with this universality, ul Haq (1995) build up a notion of *Sustainable Human Development* (SHD) defining it as: the equal access to development opportunities for present and future generations. A type of development, where each generation must meet its needs without incurring in debts it cannot later repay (these debts referred to those concerning pollution and exploitation of resources, of financial, social and demographic implications).

Sen, on his side, has also developed alternative versions of this notion. Constantinni and Monni (2004) assert, that Sen's conception of Sustainable Human Development departs from the traditional definition from the Brundtland Commission, not paying much attention to the need-centred approach but being reiterative about its focus on the broadening of human freedoms on a sustainable basis. In fact, Sen has defined a

⁵¹ See chapter 2 part 2.

capability-centred approach to SD stressing that it stands for the type of “development that promotes the capabilities of the present people without compromising capabilities of future generations” (2000,5).

Sen’s disagreement and argument on the incompleteness of the Brundtland definition lays on the fact that according to him, human beings are not only ‘people with needs’ but also agents of change who can –given the opportunity- think, assess, evaluate, resolve, inspire, agitate, and through these means reshape their environments. In this view, SHD seems closer to the notion of agency than that of well-being.

People enhance better opportunities due to capability expansion and freedom achievement and for this reason freedom is crucial to the SD process both, in the specification of the ends of sustainability and in the identification of the means to achieve it (Saha 2002). Therefore, Sen’s understanding, of the freedom of people to function as “agents” is ultimately the key for the transition to sustainability (Sen 2000c). But yet, even when Sen tries to stay away from any Needs Theory allusion when speaking about development and people at the same level, several Human Development Reports (HDRs) mention that the enhancement of human capabilities represent three essential characteristics without which, many choices are not available and opportunities remain restricted. “People want and **need**: to lead long and healthy lives, be knowledgeable and have access to the resources necessary for a decent standard of living.” (UNDP 1999,4).

But are these three features the only acknowledgeable elements for HD? Which dimensions are relevant to HD in order to merge it with a SD notion? It is well known and said (within various HDRs) that other conditions for people to lead valuable lives must include; political, social, and economic opportunities to achieve empowerment, self-respect and a sense of belonging to a community. This will mean that HD will need to widen its approach by adding up larger spaces for well-being evaluation⁵², and this might not be easy because both; SD and HD are open-ended concepts therefore they might need their own framework to operate jointly.

This framework will be proposed and build along this chapter and developed through the following sections. Yet, one must take into account that the main objective of this proposition is not to *green up* the Human Development notion adding natural and

⁵² Most of Sen’s work insist on how freedom enhancement could be taken as an evaluative measure for well-being. Others working with the CA are identifying other means (e.g. Neumayer 2000, Ciappero 2000, to mention a couple).

environmental discourses to well-being issues, but to understand how people, “a reasoned and interactive agent” (Sen 2000c,12) participates and find freedom in a multidimensional and dynamic and space which can prevail to enjoy healthy and creative lives at “all levels, in all cultures and at all times” (as suggested by other approaches such as the Human-Scale Development theory).

For this, a broader characterization of the SD notion must be described. Firstly, to give a wider comprehension of the concept and overcome the rigid naturalist characterization that has been given to the concept due to its historical background in the environmental field. And secondly, to have a better scope for further analysis in the intention of merging Sustainable and Human Development ideas.

3. Characterization of the Sustainability notion

Although, the sustainability roots come from the environmental concerns and the natural resources economic field, the concept of Sustainable Development was keen on incorporating other aspects of development in addition to economic growth. As a result, the social, political and economic ambits have been most recently introduced to picture a multidimensional and integral perception of the notion in an attempt to achieve progressively, what J.Herrero (2000) has called; a *dynamic equilibrium* between systems. **Integral sustainability**, is a new appreciation of phenomena that must be taken into account when talking of people and their environment not only on the things that affect them but also on things on which they have an effect.⁵³

Under this new scope, Sustainable Development is now defined as a positive interaction between humans and nature, and this view appears to coincide with the thoughts of many other authors; such as Norton (in Troyer 2002), who has defined SD as:

“a relationship between dynamic human economic systems and larger, dynamic, but normally slower changing ecological systems, such that human life can continue indefinitely, human individuals can flourish, and human cultures can develop—but also a relationship in which the effects of human activities remain within bounds so as not to destroy the health and integrity of self-organizing systems that provide the environmental context for these activities (Norton 1992 in Troyer 2002,214).

⁵³ This ‘integrality’ fact has been described also by authors like Max Neef (1998) and others (e.g. Perroux in I.Sachs 1999,29) as “the development of the whole man/women and all men/women”.

Within the social science perspective, sustainability refers to the viability of socially shaped relations between society and nature over long periods of time. Thus, environmental sustainability turns out to be closely linked to supposedly “internal” problems of social structure such as social justice, gender equality and political participation (Najam et al. 2003). More concisely, sustainability has become a research stream apparently becoming;

“basically social, addressing virtually the entire process by which societies manage the material conditions of their reproduction, including their social, economic, political and cultural principles that guide the distribution of environmental resources.” (Becker et al. 1999,4).

The sustainability query is now related with many aspects of human and natural well-being but also to those regarding to justice and the so-called *intragenerational* solidarity⁵⁴ (WCED 1987). The debate has been widely extended⁵⁵ and the understanding of sustainability at present times looks more like a meta-objective of a process and not really a process in itself. But from many of the popular approaches given from this concept⁵⁶, one has properly championed recent intellectual work. This is the comprehension of sustainability a hypothetical state of an adapting process in which the social, the economic and the biological subsystems integrate a set of human-attributed goals and functions (Tábara 2002 and J.Herrero 2000).

J.Herrero’s contributions (2000 and elsewhere) firstly; on the distinction and difference of **Sustainable Development** and **Integral Sustainability** as two different notions, and secondly; on the introduction of the ‘**integral sustainability**’ idea, are indeed good support for a more comprehensive framework in which HD might clarify with better arguments the philosophical implications of sustainability itself. He depicts that, SD entails social objectives according to human values scales and needs (2000). These needs and values change through time and thus SD becomes an open-ended process; including and interrelating parallel and multiple objectives all at once. Therefore, sustainability stands as the basic principle of global SD. In other words, sustainability is no absolute philosophical base but a principle (a functional one), a belief, which might help to achieve the end of whatsoever we want to make sustainable.

⁵⁴ Meaning actions producing impact on this, and future generations.

⁵⁵ See e.g. Rios et al. 2004 and the characterization of the SD debates as conceptual, contextual, disciplinal and geopolitical.

⁵⁶ For instance (WCED 1987 and UNEP, WWF and IUCN 1991)

Integral Sustainability will result from the interaction between social, economic and environmental sustainability, therefore no partial sustainabilities are possible since all of them are interdependent and interactive. Bur moreover, this would be the only possible way to achieve SD holistically. His way of representing these interactions are represented in a multidimensional square embraced by the ethical sphere which indeed defines and influences all other relations within the system.

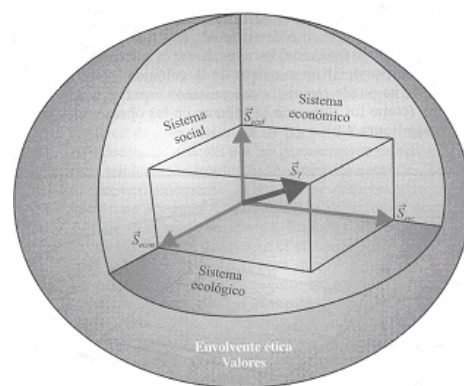


Figure 3.1 Integral Sustainability scheme (J.Herrero 2000).

Stahel et al. (2005) contribute to this idea stating that development does not follow any linear course, but entails a network of interlinked dynamics which find their purpose as they interact. “Development changes continuously in time and space” (Stahel et al. 2005,83) for which there is no intrinsic ethic on such a universalist perception. The virtue then of a SD approach is, that it is not only a global philosophy. Its mere purpose is not only to preserve things but also to divide, distribute and take a broad view from everything resulting after its materialization as Colom (2000) suggests. Consequently, if we are keen to achieve **S-Human-D** we must think on how to accomplish the *sustainability* (a principle, a belief, which might help to achieve the end of whatsoever we want to make sustainable) of the human system for which we need to accomplish a series of targets in economic, politic, social, cultural and environmental levels. And which certainly allows for multiple context dependent answers.

This particular ‘human system’ must acknowledge different dimensions of well-being resulting from the interaction of multiple systems within the vast diversity of

development possibilities. Hence, sustainability is from now on represented in a plural form which might open widely the meaning and potentiality of the SD goal.

Briefly, in order to achieve SD and [HD] genuinely -as I.Sachs suggested- multidimensional and open-ended attributes should be considered. He completes with the following:

“the sustainability criteria must be met in each relevant dimension of [any] type of development. Social and cultural sustainability, ecological, environmental and territorial **sustainabilities**, economic sustainability and therefore political and institutional **sustainabilities**; all understood national and international wise” (1999,31-32).

Therefore, all the dimensions considered in the quote above reveal that the principle of sustainability should be tackled in a plural form, namely; **sustainabilities**. Always keeping in mind, the intrinsic multidimensionality and diversity of possibilities to be attained within.

Finally, going back to the question on the importance of finding a framework for interaction for Human and Sustainable Development, it was identified that the study of dimensions includes the analysis of how sustainability problems are represented among economic, social, cultural, environmental, ethical and even in technological discourses, “how they are framed as a matter of policy intervention, and how they are defined as subjects of scientific investigation” as Becker et al. (1999,9) have said. For all this mentioned, the human sphere can provide relevant insights into how societal relationships with nature are shaped, maintained and rendered open to transformation by exploring how “the **agency aspect of social actors is constrained and enabled** by natural and social conditions that have to be addressed by both material and symbolic terms” (Becker et al. 1999,9).

For these reasons, some lines will be dedicated to stress on the importance of defining dimensions within SD and HD. The aim is thus to have a better characterization of the idea as this might also bring light for better evaluation and operationalization (Colom 2001).

4. Dimensions and Sustainabilities

In applying systemic approaches no clear hierarchy is appreciated, however a certain order always prevails at any dimension. In the sense that even the very last component of a large structure implies interdependency with the rest of the elements of the

system. However, what is important to keep in mind, is that the different levels and areas of influence are not about, who has the power over, but rather how to organize complexity (Capra 1982). He explains further:

"To avoid confusion we may reserve the term "hierachy" for those fairly rigid systems of domination and control in which orders are transmitted from the top down. The traditional symbol for these structures has been the pyramid. By contrast, most living systems exhibit multileveled patterns of organization characterised by many intricate and non-linear pathways along which signals of information and transaction propagate between all levels, ascending as well as descending. That is why I have turned the pyramid around and transformed it into a tree, a more appropriate symbol for the ecological nature of stratification in living systems. As a real tree takes its nourishment through both its roots and its leaves, so the power in a systems tree flows in both directions, with neither end dominating the other and all levels interacting in interdependent harmony to support the functioning of the whole. The important aspect of the stratified order in nature is not the transfer of control but rather the organization of complexity" (1982; 305).

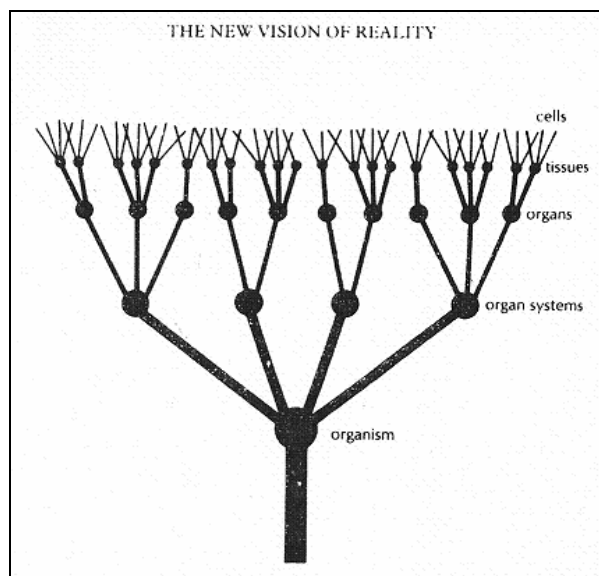


Figure 3.2 Interconnectedness within systems according to Capra (1982,304).

But there are other authors such as Colom (2001); J.Herrero (2000); Antequera et al. (2005) that have proposed individually, different frameworks to define sustainability dimensions where development could also be achieved. Antequera et al. describe the three subsystems best known to characterize SD (i.e. the social, economic and environmental) except that they refer and exchange simultaneously the terms

subsystem and dimension. The other two however, seem more innovative and will be depicted herein.

For Colom, dimensions entail the systemic aspect, the global, the environmental, the demographic, the local, the cultural, the politic, the moral and the technological. Whereas J.Herrero describes again only three: (the social, economic and environmental dimensions) but, these surrounded by a fourth elusive one known as the *ethical* dimension which embraces the rest.

Colom's scheme defines his framework depicting that firstly; the systemic dimension provides an ideal structure for SD strategies, where the coordinated action of multiple variables such as economic, politic, cultural, environmental, technological and so forth must result in an integrated action plan with common objectives. The global dimension recalls on the importance of the intrinsic global impacts regarding changes, challenges, attitudes, policies, etc. in the SD agenda. The environmental aspect covers those existing links among natural resources economy and the human problems regarding natural capital. The demographic scale refers to the equilibrium needed among resource consumption and population (particularly pointing to the immoral consumption models in the North). The local dimension is elaborated in order to give the multiple *sustainabilities* a particular space, affirming that smaller scale practices are always better objects of success. This one is strictly related with the cultural aspect arguing that culture is indeed a determinant of the types of development we are willing to pursue.

Last but not least, the politic, moral and technological dimensions are understood as inherent to a multidimensional perception of SD as they represent correspondingly, the *mise en place* of relevant solutions pertaining SD (policies), the appropriate attitude towards solidarity, cooperative action, proper consumption limitations and an integrated view of humanity. And ultimately, because SD believes and must keep believing in technology as part of the way to achieve its main goal always when considering an equal coverage among its users around the planet (Colom 2000).

On the later, the three perspectives are more common to the SD knowledge ground, but J.Herrero explains on how these three dimensions interrelate within other multiple variables and thus interact as a dynamic process. The environmental dimension embraces all elementary criteria which entails natural wealth and ensure ecosystems' self-reproductive and depurative cycles. Meanwhile the economic aspect incorporates a biological approach but mostly centres in a process where human well-being results

from the accurate optimization of material progress. Lastly, the social dimension points out how human beings are key to SD as they are main instruments, beneficiaries and even sometimes victims of development. But largely, all the above said, will have no reason of being “if a given society is not able to share some type of solidarity values with all living forms to face a common future among human beings in a co-evolutionary process with nature” (2000, 14-118).

Other authors had claim to add another dimension which seems to always be implicit but that in any case ought be explained. Anand and Sen (2000b) for example, have written about the time dimension entailed within the SD broad comprehension. They consider a violation of the universalist principle of HD not to raise attention on the moral obligation to protect and enhance the well-being of present people who are poor and deprived, and being obsessed about **intergenerational** equity without seizing the problem of **intragenerational** equity.

All the same, they state that;

The moral value of sustaining what we now have depends on the quality of what we have, and the entire approach of SD directs us as much towards the present as towards the future (Anand and Sen 2000b,2030).

HD as a universalist approach cannot ignore the deprived people today in trying to prevent deprivation in the future. The prospects of people in the future should command respect in the same way that the opportunities of the present generations do (Anand and Sen 2000b). Therefore, SHD under this view claims to extend the same concern for all human beings irrespective of race, class, gender, nationality, or generation as they set up this scenario of inequalities where not only the freedom of choices has been constrained, but because this intergenerational *injustice* has terribly limited social progress.

The importance of “time” and its relevance in considering it a dimension has been expressed also again by J.Herrero (2000). Although he stresses on the importance of the ethical variables where global equity principles must lay and thereafter be extended to the whole social dimension attending present and future generations. So his perception points moreover to legitimate a universal moral framework which could prevail through time and generations.

In brief, we have seen so far how many dimensions could be implicit but also interact along and within the SD process. Despite of HD being perceived as a comprehensive strategy of development, no definition on the characterisation of the multiple dimensions implied has been appreciate. This marks the urgency of defining such, since further questions will still need to be answered. For instance, the question on how could the multiple dimensions (e.g. those mentioned by Colom and J.Herrero) should interact to acknowledge integral Sustainable Development? Or moreover, how this interaction of variables regarding human, economic, social, cultural, ethic, and environmental aspects of life contribute to human flourishing and well-being? Or in other words, how should all these dimensions amalgamate and interact positively to enhance the sustainability of the human systems to attain SHD?.

Perhaps in this assumption, we can consider that for each dimension a particular strategy should be put into practice. According to the “Suva Declaration on Sustainable Human Development” (UNDP 1999) SHD is overall connected to various global issues: Human Rights, collective well-being and equity, affirming that HD requires strong social cohesion and equitable distribution of the benefits of progress. Consequently, the real need of constructing a Sustainable Human Development notion lays, on finding a way to express human flourishing as a universal need or goal.

As Sen (2000) argues, this is surely a subject where collaboration and non-divisive commitments are needed. However, to make this possible “we need a vision of mankind” (Sen 2000c,1) where people are looked as agents which can do effective things and not merely as benefit recipients.

It has been acknowledged that development is more about people and not about objects (Max-Neef 1998b, UNDP 1990-2005 and elsewhere). Thus, people participation and equity are fundamental conditions to expand opportunities in the political and social fields where the need to promote effective policy-making appears. Political spaces should exist to encourage sustainable livelihoods to create better ‘opportunity spaces’ for the expansion of people’s capabilities and human needs fulfilment. Theses spaces constitute the link between an improved government and the consolidation of the sustainability of their participatory, social and political systems, according to peoples own cultural understandings.

5. Sustainability and its political implications within Human Development issues

“Sustainability transcends its originally conceived environmental order to install itself in the misty area of human behaviour because more than taking measures it involves, the changing of attitudes”

- Ramon Folch-

As argued by C.Reboratti the use of the sustainability concept must be tackled from the analytical point of view but also in a normative and political dimension. On the first, he intends to point-out on the correct use and application of the term to other related fields which have not considered the ideological spectrum, arguing that SD is merely used as a “chameleon-like” (1999,208) adaptation of old ideas such as sustainable growth, sustainable management, just to mention a few. On the normative dimension he explains on how even within this conceptual vagueness of the term, SD has become an unavoidable necessity. The eagerness of using the concept has raised questions such as if “there is a normative path for SD? Or for instance; what would happen if we failed to apply a particular SD policy?” (1999,210).

In this same logic, other authors like Tábara (2002) suggest, that sustainability also functions as a political ideology; only when acknowledging that SD is an ethical position packed with political purposes, Dodds completes (1997). But the latter questions though, will never be answered without taking into account that SD is a process deeply rooted in historical contexts. For which, definitively, the fact of making SD a normative query is something we still need to put down to earth according to our cultural, social, environmental and political understandings.

Societies and cultures have a collective mind therefore, a collective consciousness or unconsciousness (Capra, 1982). We cannot deny that our ideals and aspirations are entrapped by our cultures and societies for which enabling and/or constraining a type of development coherent with their own backgrounds must demand a combination and convergence of the various preferences of individuals which constituted these societies and cultures.⁵⁷

Kasemir and colleagues (Kasemir *et al.* 2002) have been eager to define the importance of the emergence of a “sustainability culture” entailing a whole new way of

⁵⁷ Max-Neef (1998) has developed this same idea when advocating for the stimulation of the creative role of communities from which solutions begin at the bottom and are built as an upwards process (top-driven), thus resulting in answers that are more congruent with the aspirations of the people involved.

perceiving, rationalizing, moralizing and prescribing reality. A reality that is becoming more complex every day and where sustainabilities “should address its physiology rather than its anatomy”, as suggested by Folch (1997). This new vision of reality is based on the awareness of the complex interrelations and interdependence of phenomena –physical, biological, psychological, social and, cultural- for which new institutions, new actors, principles, individuals, communities, models and theories need to be shaped trying to change a few things so that everything will be different (Folch 1997). Changes entail political implications therefore, the so-called ‘sustainability culture’ will only emerge if a significant change occurs within the expansion of the current cultural frameworks from which actions happen, and radical modifications of behaviour thus take place.

The aim thus of politicising HD and Sustainability issues must be, to find coherence and balance between the means and the ends in order for them to coexist through time in freedom, equality and solidarity (Tábara 2002). Although, this could never be possible without incorporating multidimensional perspectives to the development process -integrating and interrelating human, political, environmental, cultural, ethic, and economic complex systems-. Subsequently, the good performance of all these sustainabilities will reflect on people’s well-being and quality of life individual and collectively speaking. Keeping in mind that the best development process will be one that enables an improvement in people's quality of life; but one that must allow countries and cultures to be able to be self-coherent (Max-Neef 1998a).

Related to the assertions presented above there is Dodds’ (1997) characterization of well-being in four perceptions or levels, interacting actively springing from political philosophy and associated policy debates, to actual states of mind. These levels are respectively; well-being as a state of mind, as a state of the world, as a human capability and as the satisfaction of underlying needs. But other sources assert that well-being contains two personal dimensions i.e. people’s satisfaction with their life and their personal development, but also within a social context (people having the sense of belonging to a community) (Shah and Marks 2004).

Sen has as well suggested (in Dodds 1997) that well-being involves both *doing* (encompassing ideas of freedom and agency) and *being* (encompassing both mental and physical states). And argues that people well-being has clearly political implications since “our opportunities and prospects depend crucially on what institutions exists and how they function” (1999,142).

So, the question raised by Shah and Marks is stimulating when suggesting the following: "What would politics look like if promoting people's well-being was one of governments main aims?"(2004,1). The scenario will certainly be much different. Governments promoting sustainable well-being must promote a well-being economy, education systems to promote flourishing and reasoning, discourage materialism, strengthen civil society, social well-being and active citizenship the contribute to their own query (Shah and Marks 2004,8).

Governments should advocate for international justice, environmental protection, peace, sustainable population growth, democracy and human rights observation, enable participation and provide opportunities for the less well-off, according to Snarr and Snarr (1998). But more generally speaking, well-being should be claimed across cultures at any point in time and must aspire universally, at least to some of the elements here briefly mentioned.

The logic of the politics of human needs and capabilities will acutely has to be defined under cultural-related contexts and thus this action will provide insights, hierarchies, and priorities attached to any particular dimension of development and/or people's life. This is according to (Stahel et al. 2005) an ethic, aesthetic and political exercise previous to any development model we are willing to pursue. Ethical, in the sense that each social group should define what is under their particular view of reality what is valuable to achieve and what is not. Aesthetical, as we agree that SD is seeking well-being and not only living and surviving.⁵⁸ And finally, it is a political exercise, since the real power for decision-making lays on the means in which strategies are articulated and these might determined people's true capacity to influence decisions and to participate in shaping them (Stahel et al. 2005, 78).

Concluding, these are ultimately the political implications of sustainability in HD issues. We observe that SD embraces a series of multiple variables interacting with one another and societies should collectively identify their aspirations considering a systemic framework of multiple human connections. So far, the previous sections where used as theoretical background in order to see how HD and SD where two key issues relevant to well-being which needed to be merged in one wider notion.

As the characterization of the sustainability concept and other relevant notes where given on the importance of identifying dimensions within both paradigms, this last part

⁵⁸ In capability terms, we seek for a valuable and creative life which one has reason to value.

was engaged in highlighting the importance of making the policy breadth to understand the relation between the two concepts, broadly described here. I believe, that only if we are able to operationalize this connection through policy making, we might one day assist to scrutinize whether SD is really something touching our lives. A full integration of the two, is a difficult task. Nevertheless, the thought of proposing the Systems View Approach (that will be briefly defined promptly) as a framework for making the two concepts create a new picture where a multidimensional perception of well-being and human flourishing may take place, is only one example out of the various schemes that are perhaps being anticipated from other disciplines.

6. The Systems View approach: An integrated framework to merge Human Development and Sustainable Development notions

The multiple levels of human interaction supposed in development processes -public, private, economical, political, social, cultural and spiritual- entail a multidimensional comprehension of things. The systems view is certainly an ideal framework to describe and formulate new paradigms to understand, as Capra says, the “multilevel, interrelated fabric of reality” (1982,67).

The HD notion defends that the basic purpose of development is to enlarge people’s choices; choices that can be infinite and that change over time. So, if there is more than one path to HD, according to Griffin and Mckinley (1992) how do we expand these capabilities recognizing this different paths? And/or as Max-Neef, (1998) mentions; how do we satisfy fundamental human needs, generating a growing level of self-reliance through the organic articulation between human beings, and their multiple dimensions, recognizing this different ways?.

Certainly, many additional issues must be addressed within the HD central concerns (in addition to those mentioned for instance in the Human Development Reports as key aspects for people’s life). Lazlo and Krippner find a way out to cover this distress affirming that the systems theory could actually help modelling complex “intrapersonal, interpersonal, inter-group, and human/nature interactions without reducing perceptual phenomena to the level of individual stimuli” (1998, 7). They continue:

“The systems approach attempts to view the world in terms of irreducibly integrated systems. It focuses attention on the whole, as well as on the complex interrelationships among its constituent parts” (Lazlo and Krippner 1998,12).

Incorporating the systems view to the HD perspective therefore implies to address the concept in terms of relationships and integration, where all the systems are, paraphrasing Capra; “integrated wholes” (1982,286) whose properties cannot be reduced to smaller units, “where forms become associated with process, interrelation with interaction, and opposites are unified through oscillation” (1982; 288).

To study the Human and Sustainable Development interaction, perhaps Robinson and Tinker’s model might help to elucidate the relationship among systems. They propose a three system interconnectedness and overlapping process arguing an intrinsic self-organizing and co-equal aspect within each other:

“**The biosphere** or ecological system; **the economy**, the market or economic system; **and the society**, the human social system. SD is thus defined as the `reconciliation of these three´ as they share many common characteristics, leading to an imperative.” (Robinson and Tinker 1995 in Eichler 1999,183).

The first cares for bio-physical carrying capacity; the second, to ensure an adequate material standard of living and the third (the social), to provide an adequate political structure including governance systems that promote and sustain the values that people want to live by, to maximize well-being (Robinson and Tinker (1995) in Eichler 1999,183).

According to Capra (1982) all concerned systems must acquire the characteristic of self-organization (a certain degree of autonomy), of self-renewal (to renew and recycle their components maintaining the overall structure) and of self-transcendence (reach out creativity). But also must envisage, that systemic approaches implies according to Antequera et al. (2005,105):

- That the network of interactions between its parts is never homogeneous and on the contrary is generally partial,
- Each system, has its own particular dynamic, mechanisms and shapes even when it is affected by others,
- Systems define their own course and fluxes and can develop *adaptive* behaviours (these system take the name of complex *adaptive* systems “ – those having the capacity to gather information from their environment as well as from the interaction among other systems-”) (Mann 1996 in Antequera et al. 2005)

- That systems affect one another reciprocally, “although not every system will be affected with the same intensity and all of them are vulnerable to a greater or lesser degree” (Max-Neef 1992a,47).

The need for holistic thinking, comes to fore; but only recognizing Mebratu’s suggestion considering the ‘parts,’ the ‘whole,’ and, most importantly, the interaction between the parts and the whole” (1998). Even when people interact constantly throughout complex systems under daily bases, institutions and policy-making processes have found practical implementation quite difficult. Yet, theoretically speaking, this framework might help to start elucidating new streams in the sustainability-HD knowledge field. After all, the main goal of proposing a framework for conceptual interaction falls in transcending the insidious “dualism” of subject/object, mind/matter, nature/society debate (Clark 1993 in Mebratu 1998) Which is always present while attempting to solve entrenched multidimensional constrains.

The Human-Scale Development theory has already expressed its sympathy with systemic approaches. Not only when referring to the systemic satisfaction of needs through multiple satisfiers⁵⁹ but when stressing that linearity will only favour strategies that will establish priorities according to a simplistic observation of relations. This means that needs will be interpreted only as deprivations and the satisfiers that the system might generate might be *singular* to that specific need (Max-Neef 1992b). Social programs and policies will be therefore oriented according to this reasoning. On the contrary, opting for a systemic assumption, needs will be understood simultaneously as deprivations and potentialities. Hence the role and attributes ascribed to the possible satisfiers “are absolutely definitive in determining a development strategy” (Max-Neef 1992b,212) favouring the generation of *synergetic* satisfiers through an endogenous development strategy.

Sen’s Capability Approach (CA) has also claimed somehow that freedoms interact systematically as they can re-enforce one another. They are fundamental rights and instrumental elements to enhance people capabilities but to optimize their benefit it is important to implement them through a synergetic process (Sen 1999).

Under a more institutional logic, it is considered that the HD paradigm, has searched for conceptual frameworks of the kind through several International Organizations. The intrinsic need to face HD interaction as non-linear actions urged the conception of

⁵⁹ To recall on this see Chapter 2 section 5.

further schemes to assess [systems] i.e. well-being achieving and its constrains. One of the most popular approaches in incorporating multiple interactions of phenomena has been the Driver Pressure State Impact Response approach (DPSIR) developed originally by the OECD in the late 1970s. Further modifications have been made to this framework in order to widen its applications within SD problems. A revised version of this was also the Pressure Activity State Impact Response (PASIR) framework proposed by Duraiappah et al. (2000) which actually represented the milestone of what is known today as the Millennium Ecosystem Assessment or MA.

Launched in 2001 and completed in 2005 by U.N Secretary General Kofi Annan, the MA stands -as the report states- as one of the most popular instruments to identify “priorities for action.” Global Institutions such as UNEP, UNESCO, UNDP, WB, IUCN, WHO among many others have started to use MA methodologies for complex problem analysis. Its main focus is on ecosystem services (meaning the benefits that people obtain from ecosystems⁶⁰) and on how ecosystems change and affect human well-being in order to adopt responses to improve ecosystems management. All this, to contribute to human well-being and poverty alleviation strategies (MEA 2005). Overall, the MA provides a tool for planning and helps to identify response options to achieve HD and sustainability goals. Its synthesized structure is represented in Figure 3.2.

Essentially the MA structure represents a good example of a systemic framework to evaluate well-being and to analyse complex situations. Relations among elements are never linear and these affect the whole ecosystem functions and viceversa.

Some case studies were conducted in seven countries in Africa applying the MA methodology in an attempt to build integrated poverty and environment indicators. The aim was to put forward indicators whose evaluative criterion was able to combine two problematic areas: poverty and environmental distress as a co-related matter (considering that both poverty and environment are already two complex multidimensional systems). An example will be provided below to understand this account. The following is just a sample out of a larger study in which I have personally participated. At that time I had the opportunity to collaborate with the Capability and Sustainability Centre (CSC) at the University of Cambridge in UK as a visiting scholar

⁶⁰ “An ecosystem is a dynamic complex of plant, animal, and micro-organism communities and the nonliving environment interacting as a functional unit. Humans are an integral part of ecosystems. Ecosystems vary enormously in size; a temporary pond in a tree hollow and an ocean basin can both be ecosystems ” (MEA 2005,3 -summary-).

and contributed to the elaboration of this study conducted by Dr. Flavio Comim in partnership with UNEP- Nairobi.

The relations between the two constrains where defined under the MA framework, according to its particular vocabulary and technical terms and Table (3.1) shows partially how the analysis was conducted for the case of Rwanda in order to exemplify the usage of the tool.

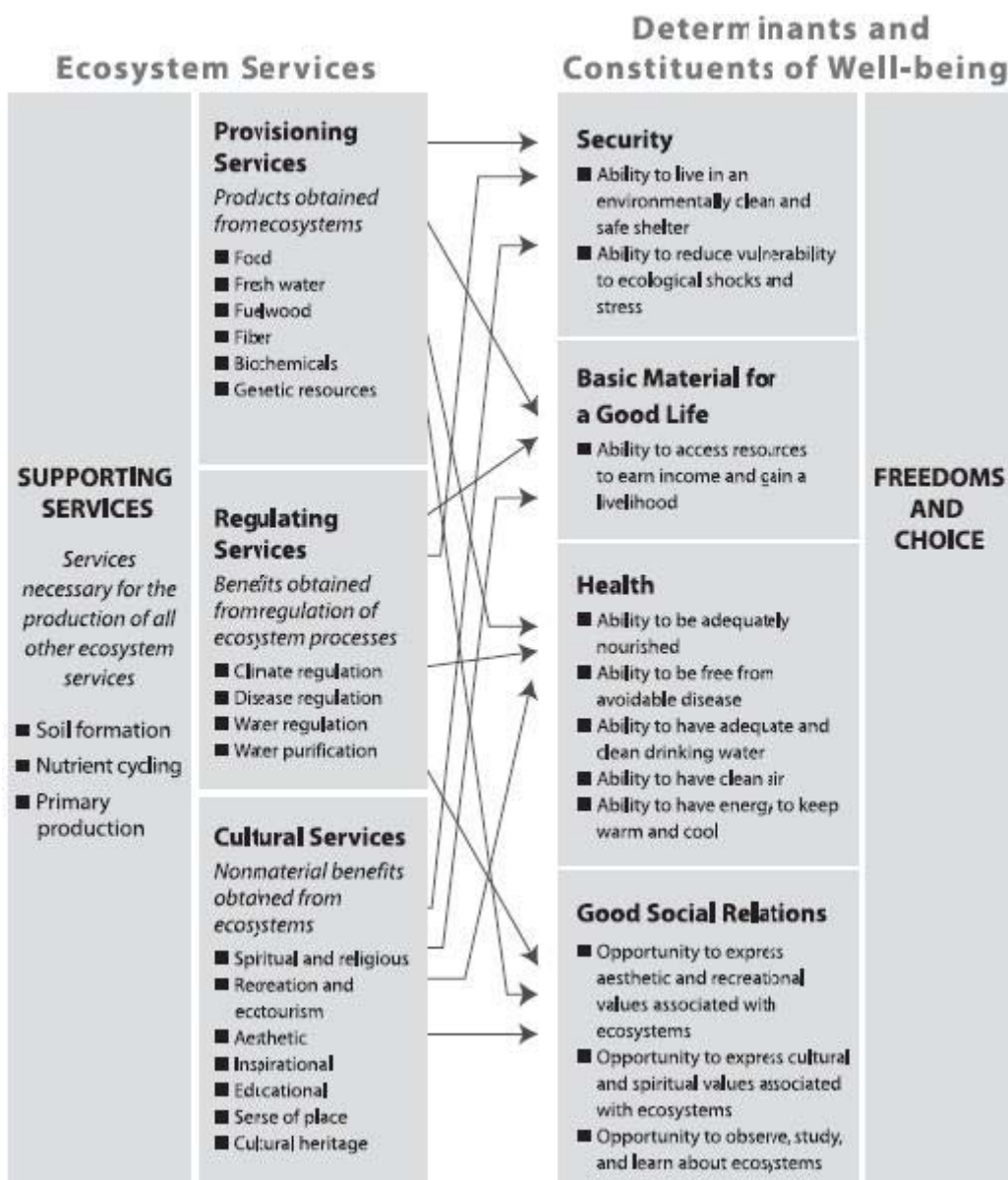


Figure 3.3 MA framework Ecosystem Services and their links to Human Well-being

(MEA 2005,5 -summary-).

Table 3.1 Poverty Environment links and stories; Rwanda case study.

Drivers	Ecosystem service stressed / WB constituent threatened	Variable 1 (Env)	Variable 2 (W-B)	Variable 3 (Link examples)	E&P variables (from example)
<p>Unclean drinking water & lack of (50% of the population) Conversion of wetlands into agricultural land & other human driven activities Migration to capital (confined to unauthorized settlements and peri-urban areas without services)</p>	<p>Ability to access clean and drinking water</p> <p>Most affected provinces: Butare, Kibungo, Kigali-Nali & Umutara</p>	<p>PROVISIONING Fresh water quality depletion (resurgence of cholera (Ruhengiri Province) and other water related health problems) REGULATING Loss of water systems regulating capacity</p>	<p>SECURITY Secure access to water resources BSC.MATERIAL Inability being well nourished HEALTH Disease GOOD SOC.RLS School unattended by children due to accompanying mothers for water</p>	<p>Conversion of wetlands → loss of natural water purification → unclean fresh water sources → carrying of water from low-lying springs by women and children → school unattended by children</p>	<ul style="list-style-type: none"> • School missing due to water provisioning related issues • Morbidity due to conversion of wetlands • Wetland condition and carrying capacity (purification) • Natural land conversion into settlement areas • Water quality • Water system health • Distance to fresh water source

Note: This table was taken from the Poverty & Environment links project–Draft Document (Capability and Sustainability Centre, 2005).

To help clarify the Table 3.1, it must be said that the *Drivers* column stands for “any natural or human-induced factor that directly or indirectly causes a change in the ecosystem” (MA 2005,85). These drivers had an impact on some of the ecosystem services and other well-being constituents which stressed the whole of the system environmentally and well-being wise. The system is hence unbalanced, and other services (i.e.) provisioning, regulating, security, health, etc. start failing in their supplying role. For this reason, the need to identify variables expressed as “stories” (third column) was imperative to understand causes and effects of the changes that could reveal the circular relation between drivers and ecosystem services failure. The stories exemplify the relation between a child un-attending school due to water scarcity, which apparently has no direct correspondence. However, when exploring the fact that a child in Rwanda needs to accompany his/her mother as far as 20 km away to the nearest water well from home, or that this task might take at least half of the day time of a Rwandan woman, the intrinsic link comes to sight.

Finally the last column makes a proposal on aggregated indicators, in order to define in quantitative terms the interdependence amongst systems and the different dimensions entailed within a given society facing a complex problem. The indicators are meant to

embrace the two constrains jointly, e.g. number of children missing school due to water scarcity in the region.

6.1 Some last remarks

As mentioned earlier, Sustainable Development is known as a process of systemic adaptation. Human adaptation could be the capacity of humans to respond to impacts from very different sources (Rothman and Robinson, 1996). The way on which societies respond to this stimuli will determine the effects and therefore the possibilities to move either, towards positive or negative directions.

As Beker et al. (1999) says, the interactions of social actors with the environment are shaped and mediated by institutional arrangements, which should be tackled through the use of an hermeneutic (interpretive) dimension to sustainability i.e. “by exploring the cultural and social meanings that are attributed to social practices” (1999,9). So this is what Sustainable Human Development should stand for and must defend; coherence and consistency with people’s own believes. Even when using different methods and theoretic frameworks to define sustainability we should always be aware that “we have reach the stage where our collective behaviour will determine not just the quality of life of future generations, but the existence of human life as we know it itself” (Eichler 1999,204).

Merging the two concepts with the aim of operating under integrated and systemic schemes of thought, might thus help to move to a broader notion of Sustainable and Human Development. I find it very close to a type of development which Max-Neef has defined as one, implying an “integral ecological humanism” (Max-Neef 1992a,54).

“Ecological, based on the conviction that human beings, in order to realize themselves must maintain a relationship of interdependence and not of competition with nature and the rest of mankind fostering analogies for social order. But also humanistic, as ecological balance must be also subject to human knowledge, judgment and will in terms of conscious political action” (Max-Neef 1992a,55).

Lastly, this should all flourish in a particular space avoiding any concentration of power, as he believes –and I do too- that it alienates people from their environments and limits participation and sense of responsibility; restricting people’s imagination, information, communication critical capacity and creativity.

7. Conclusions

The sustainability concept, was intended to be analysed and conversely re-defined into one, which now fits into a multidisciplinary and multidimensional connotation. Understanding that different sustainabilities must be achieved for different SD goals to be reached, might endow complexity and will help to tackle multidimensionality within both; Sustainable and Human Development.

The systems view approach was briefly described along this Chapter to be used as a likely comprehensive framework to make SD components and HD dimensions somehow, look at each other; responding to the urgent need of widening both concepts' operationalization. However, strategies derived from this approach must learn to include one another in a re-adaptation process, and might yet take some time and experimental practice.

This will actually enhance more holistic processes of human progress and will endorse consequently new opportunities for action, more attuned with those socio-political-economic-environmental-cultural-ethical situations of a given group or society. This practice might as well help to fill in the gap and respond questions such as the ones raised by Sen concerned about which form of sustainability are we keen to pursue? And which might be its constrains or "its rival conceptions" (2000,3).

On walking towards *sustainable societies*, as J.Herrero (2000) suggests, our actions must need to be coherent with the sustainability ethics and work hence for sustainable livelihoods. This must be in such case a gradual learning process in which we all must feel part of a changing motion and where we all play a role in that tree of interconnected systems, dependencies and responsibilities proposed by Capra.

The statement above, has a lot to do with the importance of participation in achieving SHD, were various possibilities to address a new definition, were proposed in this Chapter. Yet, according to Faber et al. (2005) semantically, sustainability indicates a relationship of equilibrium, where interactions occur without mutual detrimental effects. From this account, a dual logic might perhaps should start operating in policy making issues as:

“the more effective the decision-making strategies are, the greater a society's overall propensities for sustainability will be, or conversely, the greater the propensity for

sustainability is, the more conducive to greater sustainability decisions will be” (Choucri 1999, 151).

The decision making field will be a large topic which will be tackled in the following chapter. Nevertheless the intension of characterizing sustainability and Human Development in order to bring forward the integrated notion of Sustainable Human Development was, to make a clear statement on the dynamicity entailed within both concepts. Sustainability therefore, “will no longer target an ultimate sustainable state” (Faber et al. 2005) but instead, becomes a process of constant improvement of the sustainability of social, natural, political, economic and moral systems (only to mention a few). And which might have to look for their proper equilibrium dealing with their very own particular behavioural changes, values and aspirations.

Chapter IV.

Human Development Policy Assessment

“The principal objective of the reports is to raise public awareness and trigger action on critical human development concerns. The NHDRs also contribute significantly to strengthening national statistical and analytical capacity, and constitute a major vehicle for the realization of the goals set by the international community at the Millennium Summit.”

-HDRO 2000-

1. Foreword

Many of the debates which took place in previous chapters and some of the discussions conducted before, where relevant in order to better understand the two development theories concerning this research i.e. the Human Development (HD) and the Human-Scale Development approach (H-SD). Still, the following Chapter aims to do a *miss en place* of a practical case, applying a particular methodological framework for HD policy evaluation. This particular framework alludes to the H-SD philosophical bases and has been adapted to evaluate and analyse policies contained in National Human Development Reports (NHDRs).

A more wide explanation will be depicted on the conditions under which NHDRs are elaborated and how they claim a key role in the Regional and National political arena. From this perspective, two hypotheses are afterwards proposed. These two premises intend to challenge the NHDRs on their affirmation of being holistic in the operationalization of the HD notion, but at the same time, to demonstrate a missing link in the process of a supposed multidimensional and participative approach along the elaboration of reports.

The following sections will describe the proposed methodology to conduct such an evaluation, illustrating step by step, all relevant matters and pertinent considerations. The Chapter concludes with a case study evaluation example which aims to give a clearer view of the intrinsic need that Human Development faces to incorporate more humanistic theories and frameworks to assess and operationalize such a universalistic notion.

2. Theory and practice in Human Development; the search for coherence at National levels

While for more than a decade, the Human Development (HD) concept has been discussed and refined, by the global Human Development Reports (HDRs), at the same time, it has helped to inspire a growing movement in many regions of the world committed to embrace the HD approach as a more humane paradigm. According to the Human Development Report Office (HDRO) an important outcome of this movement since 1992, has been the production of more than 500 Regional and National Human Development Reports (NHDRs) in more than 143 countries.

The National Reports examine the nation's most pressing development issues and explore different ways to place HD at the forefront of the national political agenda. According to Sidhu et al. (2005) Reports also represent a "dynamic advocacy tool" to strengthen capacities, to focus political attention on concrete policies and resources needed to overcome poverty, to foster growth and equity, but also to produce data and analysis from this and other facts. All the above, in order to improve people's lives by expanding their choices and capabilities through a process of broad participation.

The HDR-Office declares, that certainly;

"the publication of these reports is the centre-piece of a dynamic process that involves participatory preparation, extensive dissemination and advocacy; sustained follow-up and an impact monitoring process" (HDRO 2000,2).

But moreover, this research is more interested on what was the reason to start reporting the Human Development condition nationally? And overall, how was this motion started?

It is undeniable, that states are being challenged for accountability as never before by the demands of global democracy. Governments and many international organizations seem to be grappling with many of these accountability demands in the improvement and reform of their public management practices (Zall and Rist 2004). However, many of them (particularly in developing countries) have failed on their effort to deliver at least fundamental public goods such as property rights, roads, basic health and education (WB 1997,2) only to mention a few.

The World Bank stated that we have come to the point where “good government is not a luxury - but it is a vital necessity for development” (WB 1997,15) and therefore, an urgent need to find coherence among theory and practice is emerging notably from institutional and other sectors. So far, the United Nations Development Programme (UNDP) (through its National HD Report Unit) has expressed a strong interest in the National HD Reports as key tools for national policy debate. UNDP claims that policy makers will find them as valuable resources based on concrete proposals founded in rigorous analysis; which might even contain data not previously published but obtained through country-led processes of consultation, research and writing (NHDR-Unit 2005). Additionally, reports should present alternative people-centred recommendations bringing together diverse voices to contribute as a mobilizing action for Human Development policy-making, largely in controversial issues.

Hence, evaluating the NHDRs through a policy assessment instrument, begins to appear as a relevant exercise in this accountability query which includes NHDRs credibility, impact and target accomplishment. From then on, if regional and national reports are eager in making a difference, then, further insights on their contents and policy recommendations should be reviewed and assess. It becomes visible however, that the time for this has arrived as the UNDP itself has conducted its own NHDR system evaluation last year (2005). We will come back to this in further sections but at this point, it seemed relevant to make a short comment as it is more and more evident that an increasing number of new reports will keep on being published and presented across the world in the years to come.

3. But, why is it important to evaluate HD policies?

Two hypotheses to propose:

According to UNDP, the HDRs are ideally placed to make substantial impacts on policies and practices in order to influence change in complex policy-making processes (HDRO 2000). This could be therefore achieved by the incorporation of multiple stakeholders as well as other supportive documents⁶¹ which might help HD publications communicate clearer and stronger messages. In any case, more than claiming to be in favour of participation, the NHDR-Unit affirms that HD should be holistic -understanding the term as- “to seek balance within economic efficiency, equity and freedom” (Sidhu et al. 2005,2) and defends that the concept entails an “action

⁶¹ Such as the PRSP’s (Poverty Reduction Strategy Papers, other common Country Assessment Studies, Millennium Development Goals (MDG) Reports, to mention a few.

oriented” feature which urges to the recognition of links between economic growth and human progress requiring deliberate policies (Sidhu et al. 2005).

As a main steam development institution, UNDP through the HDR Office, defends that the Human Development approach stands for an open-ended notion which has as well incorporated many dimensions as there are many ways of enlarging people’s choices. But in the most pressing way according to the NHDR-Unit what differentiates HD from other development perspectives is its particular appraisal of human poverty (as a denial of choices and opportunities), its posture denying a direct link between economic growth and human progress but moreover, the **holistic** and **integrated** virtue entailed, and the fact that it is ultimately an “**action-oriented paradigm** seeking practical change” (2005,2).

Acknowledging all the above, moving forward to answer the focal initial question of this section and to find significant reasons to justify an evaluation; only those last two elements will be treated to a larger extent in the present work. In this regard, one could suggest, that only for those two attributes: the **holistic** and **action-oriented** features which UNDP claims to uphold, the National Human Development Reports carry a serious responsibility in developing new innovative mechanisms for policy-making processes that might respond to at least both of these queries.

As it was described in previous Chapters other relevant development theories concerning human well-being (such as the Human-Scale Development approach) have been contrasted and compared to UNDP’s conceptual and philosophical bases. It was relevant to see, that the HD paradigm operates within a very wide theoretical framework but which at the same time, seems to show some difficulties when it comes to be put into practice. In general, some of the gaps found along this comparative-analytical exercise are identified within the HD operationalization field, meaning that coherence between theory and practice appears not to be very consistent when it comes to policy-making in the seeking of ‘practical change’. Therefore, two of their stronger arguments –the holistic and action-oriented claims- might seem to fail on their final purpose. This thought, has been depicted along two hypothesis exposed below and which will be explained in the next section:

a) The NHDRs are not really **holistic** in elaborating and communicating recommendations and other human development policies.

b) NHDRs show **inconsistency between** the **preliminary** preparation process and the **ultimate** policy outcome stage. HD policies will be more synergetic and coherent with local values if an evaluation exercise was conducted in between the two phases.

3.1 How would the NHDRs system benefit from a Human Development policy assessment?

“Individuals live and operate in a world of institutions. Our opportunities and prospects depend crucially on what institutions exist and how they function. Not only do institutions contribute to our freedoms, their roles can be sensibly evaluated in their light of their contributions to our freedom. To see development as freedom provides a perspective in which institutional assessment can systematically occur”

- Amartya Sen -

According to Prats (2001) the *neo-institutionalist* economic approaches as well as the neo-institutionalism thought,⁶² share consensus even with other non-institutionalist philosophies as it appears to be Sen’s Capability Approach (CA). This consensus centres on the fact, that an increasing correlation exists between institutions and development.

In this logic, the use of the NHDRs varies widely. Some non-governmental groups use them to monitor progress and to hold governments accountable, but other international development organizations use them “to steer national programs, policy advice, aid coordination and resource mobilization efforts” (Sidhu et al. 2005,3). Journalists and media sectors, use them as reporting sources, and as statistic reference guides. But additionally, the academic quarter has nurtured itself from two global networks which

⁶² New institutionalism (also called "neo-institutionalism") in all social science subfields (economic, political science, history, etc.) share a common conviction that institutional arrangements and social processes matter." That is, the actors within organizations are often treated as rational, individual beings who are not interdependent. Neo-institutionalism seeks to demonstrate that actors can behave in "irrational" ways because they are embedded within pre-existing organizational systems (DiMaggio and Powell 1991).

have been created to connect a large number of academics and practitioners, who can exchange ideas and experiences through electronic discussions on HD issues⁶³.

Evidently, changing policies and practices, represents no easy task and as said by Sidhu et al.(2005,2) “given the complexity of the policy making process, it is not a simple matter to influence change”. Thereafter, some critics to the reports see them as an effort to attain “more humane economic development, rather than of development of and by humans” (Gasper 2002,445). But despite of this, we believe, that some acknowledgement should be given at least to the NHDRs system which has accomplished a good number of valuable purposes in the last decade. Examples of some of the HDR impacts have been the following:

- New laws, and amendments to legislations;
- The increasing of national budget allocations directed to HD priorities;
- The elaboration of national and sector policies to reflect needs of the poorest;
- The creation of new national, local and regional institutions created to support HD initiatives;
- The incorporation of new HD data, indicators, and new monitoring systems;
- The launching of media and advocacy campaigns to publicise HD issues;
- The organization of national and local-level participatory policy debates;
- HD training courses and curricula development;
- The starting of civil society and community campaigns;
- The acquisition of additional donor funding for areas of greatest HD interest (NHDR-Unit 2005).

However, and even though the acknowledgment of these achievements, an eye must be kept on many of the examples recalling the two hypotheses previously mentioned. The claim for being holistic and enthusiastic in applying an integrated view, entails further actions than merely the ones mentioned above. For example: organising national and local-level participatory policy debates or the emergence of new laws and legislations, will only be effective when these actions demonstrate consistency with the country’s cultural identity. For instance, hypothetically speaking of a case were a particular policy attempts against customary rights and indigenous councils. As a consequence, integrated outcomes will only result from positive (synergetic) interactions; where institutions, budget allocations, policy debates, training courses and

⁶³ Namely: HDR-Net and HDRStats-Net at the National Human Development Report Unit workspace: <http://hdr.undp.org/nhdr/>

indicators, just to mention a few (from the examples above), respond to the call of collective rationality, entailing real bottom-up and/or grassroots approaches.

3.2 The two hypotheses re-examined

The notion of **holism**, or being **wholistic** comes from the root *holos*, a Greek word meaning *whole*. Is the idea that the properties of a system cannot be determined or explained by the sum of its components alone (Wikipedia). The philosophical view of holism recognizes that no complex entity can be considered to be only the sum of its parts, underlying an anthropological principle stating that, any given aspect of human life is to be studied with an eye to its relation to “other” aspects of human life (Tel el Far’ah Dictionary). Some literature even defines the concept of *methodological holism*, described as the opposite of reductionism. Stressing that,

“an understanding of a certain kind of complex system is best sought at the level of principles governing the behaviour of the whole system, and not at the level of the structure and behaviour of its component parts” (Stanford encyclopaedia of philosophy).

So, being holistic in HD achievement means utterly, having a wider vision. Entails interdependency among elements and therefore, from this interrelation, the understanding of reality will take a vast range of colours, shapes and forms. NHDRs will accomplish more credibility only, when they emphasize stronger considerations of social, economic and cultural facts together. As Apthorpe states (in Gasper 2002,445) e.g. “traders must be brought in as well as trade, farmers as well as farms, educators as well as education...”. But going further to more holistic terms (according to Human-Scale Development parameters); traders should be brought in as well as education, and education must be brought in as well as identity in parallel conditions, and gender should be brought in as security, democracy and freedom together defining settings and attributes to develop specific institutions who can scrutinize for each of these concerns, bearing in mind an intrinsic interdependence among all of them; and so on and so forth.

In this respect, the HD perspective needs “to view people as actors bearing multiple social roles and cultures, beyond those of consumer, investor and chooser” (Gasper 2002,459). As Gasper suggests, human life is too complex to be capture by a slogan saying development is “a process of enlarging human choices” (UNDP 1990 and elsewhere). Accordingly, the Human-Scale Development approach, might contribute to

find stronger interdependence between actors, actions and spaces for HD flourishing and achievement. But something important to affirm is, to remember that the H-SD approach works under a `systemic philosophy of realization of human needs´ that consequently imbricates them between one another.

Needs receive feedback from each other with no hierarchical order, operating as potentialities or deprivations, always depending on the particular context in which individuals and collectivities live. A continuous deprivation above a certain threshold of at least one of the established `universal needs´,⁶⁴ will cause the complete collapse of the whole system affecting therefore; the human life. For this reason, equilibrium and correspondence should prevail among needs and satisfiers in order to avoid the depletion of the whole system.

In forthcoming sections, a real case study will be convened through an exercise of HD policy evaluation. The aim will be to exemplify how the systemic attribute of the H-SD contributes to cover some of those gaps within the HDRs particular view of `holism´. But before this happens, the second hypothesis is still missing to be examined.

The second premise reveals an additional gap identified within the HDR elaboration. It concerns the preoccupation on the **NHDRs showing inconsistency between the preliminary preparation process and the ultimate policy outcome stage**; suggesting consequently, that HD policies will be more synergetic and coherent with local principles and values, if an evaluation exercise was conducted in between the two phases, i.e. the preparation phase and the final policy advice.

As one looks into national and local issues, all global generalities must brake down with their very specific groups, cultures and institutions -Apthorpe suggests in Gasper (2002)- and the NHDRs intend to respect this aspect. However, the HDRO has pointed that "as there are many ways of expanding peoples choices, key dimensions of human development can evolve over time and vary from country to country" (Sidhu et al. 2005,2). Some of the central issues of HD where expansion of capabilities occur represent things such as: social progress, growth with equity, participation and freedom [empowerment, democratic governance, gender equality, civil and political civil rights and cultural liberty] sustainability for future generations and human security (Fukuda-Pharr and Kumar 2003).

⁶⁴ Subsistence, protection, affection, understanding, participation, leisure, creation, identity, freedom [transcendence] (Max-Neef 1998).

In this logic, the NHDRs affirm to have positively influenced development debates, conceding their success to the *Six Core Principles*. These principles were designed to guide every HDR process responding to UNDP's Corporate Policy Guidelines. Explicitly, the principles endorse: National/regional ownership, independence of analysis, participatory and inclusive preparation, quality of analysis, flexibility and creativity in presentation and sustained follow-up (HDRO 2000). However, the distance from theory to practice is yet to be questioned.

The second suggested hypothesis, makes particular reference mostly, to the *participatory and inclusive preparation principle* as well as, to *the quality of analysis matter*. Although, these two subjects are indeed, two key areas where UNDP seems to be making a remarkable effort in incorporating more and diverse actors in the HDR elaboration strategies (Burd-Sharps et al. 2005). Herein a brief explanation.

3.2.1 On participation issues

Many methods used and/or recommended by NHDR-Unit in their Tool-Kit for National and Regional HDR Teams, include initiatives such as; making use of e.g. the Participatory Rural Appraisal⁶⁵ (PRA) methodologies to gather information from specific communities (mostly from those on marginalized areas); but also through the elaboration of scenario planning processes, where future scenarios can be projected after certain policy reforms⁶⁶ and lastly, throughout the organization of training sessions to increase participation quality and intensity. What they have labelled as “country-driven processes” (NHDR-Unit 2005, 6) in the making of every NHDR will potentially bring about national and regional development debates and policies as the reports show effectiveness in their ability to:

“Articulate people's priorities, strengthen national capacities, the engagement of national and regional partners, identifying gaps and measure development progress,

⁶⁵ See World Bank's Participation Source Book:

<http://www.worldbank.org/wbi/sourcebook/sbhome.htm>

FAO's Participation tools: <http://www.fao.org/participation/tools/PRA.html>

and the Institute for Development Studies Website:

<http://www.ids.ac.uk/ids/bookshop/briefs/brief7.html>

to see some examples of Institutional commitment to participatory development strategies.

⁶⁶ To explore one example see for instance the South African case:

www.generonconsulting.com/Publications/Mont_Fleur.PDF

contribute to National Millennium Development Goals (MDGs), link valuable information to National and UN systems through other reports such as MDGs Reports, UN Common Country Assessments, (...) and help in its shift to a policy advisory role" (NHDR-Unit 2005,7).

For, all the above shows good evidence of the rigorous participatory practice being assembled by the HD Report Office to demonstrate how the reports make an impact in policy-making. Vast work on participatory and inclusive preparation of the reports is demanded by UNDP to all national and regional teams to follow on their reports. Checklist and hints to strengthen participation in the making are included in baseline documents such as the *HDR Tool Kit for National and Regional HDR Teams* (See Appendix II).

However, if NHDR have successfully incorporated voices of the less well-off, it should be somehow demonstrated through the establishment of new institutions, the incorporation of different political models, the application of organization structures and other values adopted from the process. The H-SD approach makes an attempt to rescue a virtuous triangle where needs, satisfiers and economic goods interact positively in order to realize needs in a full, sane and coherent way (Elizalde 2003a). Where, Human Needs are not anymore related merely with "the bundle of goods and services that deprived populations need" as Burd-Sharps et al. affirm (2005,6 Ch.4). Is mostly about a new construction of social practice which may enrich and strengthen political models, organizational structures and values coherent with the way in which people express and realize their needs. For this reason, the H-SD approach rejects all type of hegemonic and dominant cultural vision where peoples' resources, values, *wealths* and wishes are neglected and shadowed by different value scales inconsistent with people's history and identities (Elizalde 2003a). Hence, if this is a mistake that HD is willing to escape from, participation at smaller scale bases should be pursued and continuously encouraged.

3.2.2 *On the quality in policy analysis query*

The NHDR Unit states its mission clearly: "To design the systems and tools to encourage the highest standards of quality of regional and national HDRs and their impact on policy agendas." (NHDR workspace) Indeed, influencing policy agendas represents one of the core objectives for report elaboration, and 'The eight fold path to policy analysis' is a great example of this purpose (see AppendixIII).

According to UNDP, the Human Development paradigm intends to lay out basic priorities but leaving enough space as to how they are best achieved, avoiding that any one solution will work for every country (Burd-Sharps et al. 2005.) The HD makes basic distinctions between this and other development frameworks. To be precise: human capital formation vs. human resources development, human welfare vs. basic needs, and lastly, Human Development vs. neo-liberalism.

Particularly with the latter, HD do shares common values, according to Burd-Sharps et al. (2005,5 Ch.4) but shies away from the neo-liberal emphasis on development as an outcome of economic growth.⁶⁷ The link between these two remains weak in many countries generating further inequalities, stressing that when the link is broken many policy failures can result. For example:

- Jobless growth (low expansion of job opportunities)
- Ruthless growth (economic growth only benefits some)
- Voiceless growth (limited expansion of democracy or empowerment)
- Rootless growth (withering people's cultural identity)
- Futureless growth (neglecting resources for future generations) (UNDP 1996,57-64).

However, Human-Scale Development has demonstrated that broken links may cause deprivation in many other aspects of human life. Deprivations may be expressed in any of the levels exposed below; (Max-Neef 1998a).

- The **subsistence** aspect (Physical and mental health, balance, mood, solidarity, being an adaptable being; food, shelter, work ; procreate, rest, work, to live in specific social surroundings)
- **Protection** (Care, adaptability, autonomy, balance, solidarity, savings, social security, healthcare, rights, legislation, family, work, cooperating, prevention planning, caring for, curing, defending having a life surrounding, social surroundings, a dwelling place.)
- **Affection** (Self esteem, solidarity, respect, tolerance, generosity, receptivity, passion, volition, sensuality, humour, friendships, partners, family, domestic animals, plants, gardens. Making love, nurturing, expressing emotions, sharing,

⁶⁷ To deepen see Jolly (2003) and his depiction of the two paradigms compared (HD-Neo-liberalism).

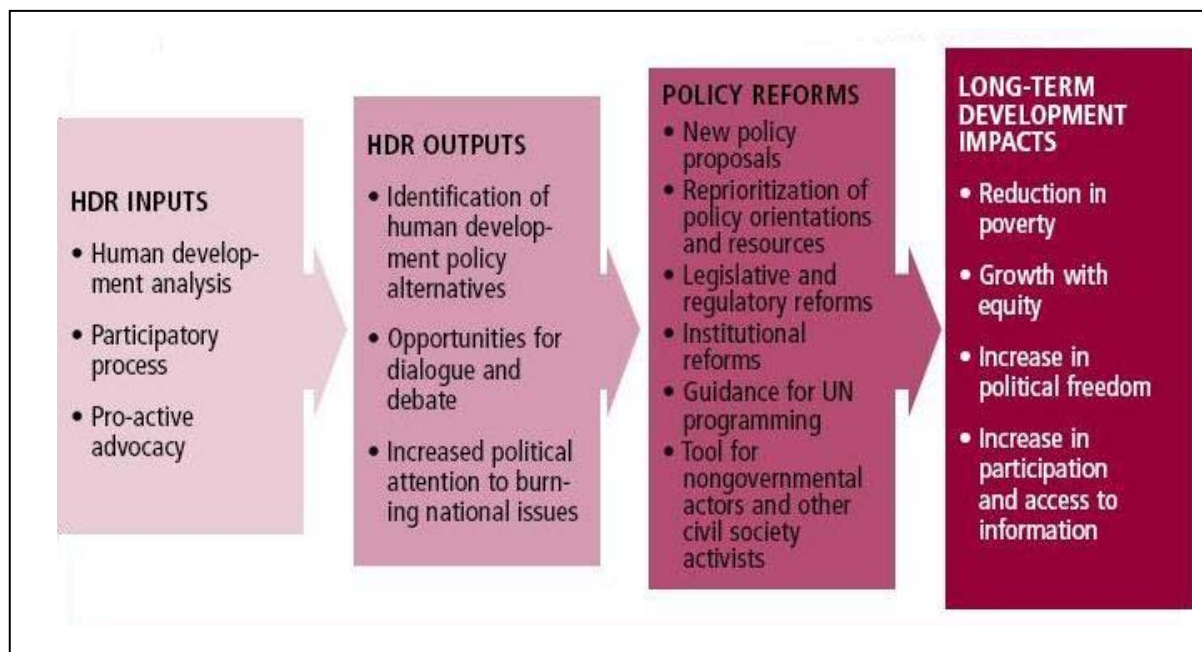
caring for, cultivating, appreciating. Having privacy, intimacy, a home and meeting spaces.)

- **Understanding** (Critical conscience, astonishment, receptiveness, curiosity, discipline, intuition, rationality, literature, teachers, methods, educational policies, communicational policies, ability to investigate, study, educate, experiment, analyse, meditate, interpret, having settings of formative interaction, schools, universities, academies, groups, communities, family.)
- **Participation** (Adaptability, receptivity, solidarity, disposition, conviction, commitment, respect, passion, humour. Rights, responsibilities, obligations, attributions, work. Associating, cooperating, suggesting, sharing, disagreeing, complying, conversing, agreeing, giving opinions. Areas for participative interaction: cooperatives, associations, churches, communities, neighbourhoods, family.)
- **Leisure** (Curiosity, receptivity, imagination, humour, lack of worry, tranquillity, sensuality. Games, shows, parties, calm. Digressing, abstracting, playing, dreaming, yearning, evoking, relaxing, having fun, fantasising. Having privacy, intimacy, meeting spaces, free time, atmospheres, landscapes.)
- **Creation** (Passion, volition, intuition, inventiveness, imagination, audacity, rationality, autonomy, curiosity. Aptitudes, skills, method, work, Inventing, constructing, devising, composing, designing, interpreting. Areas of production and feedback, workshops, arts and sciences associations, groupings, audience, spaces for expression, free time.)
- **Identity** (Belonging, coherence, difference, self-esteem, assertiveness. The use of symbols, language, habits, customs, reference groups, roles, sexuality, work, values, norms, historic memory. Committing, integrating, being confused, self-defining, self-knowledge, self-recognition, self-realisation, growing. Expression of socio-rhythms, day-to-day surroundings, areas of belonging, stages of growing up.)
- **Freedom** (Autonomy, self-esteem, volition, passion, assertiveness, openness, determination, audacity, rebellion, tolerance. Acknowledging equality of rights, disagreeing, opting, differentiating, taking risks, self-knowledge, taking care of oneself, disobeying, meditating, space-time elasticity.)

In this light, it is easy to appreciate that widening HD dimensions gives larger view to some of the gaps urgent to be covered in the attainment of better policy-making. Again,

the NHDR-Unit has designed a series of checklists, recommended to HDR teams for better quality of policy analysis see (Appendix IV).

Moreover, the second hypothesis proposes an additional intermediate assessment for better HD policy orientation, which will be explained promptly. This review is related to how HDRs impact is based on a long process of input and output exchange for which policy reforms may occur as a result in the mid-term; favouring thus long-term development impacts as shown in Figure (4.1).



**Figure 4.1 How HDR make an impact
(Burd-Sharps et al. 2005,3 Ch. 6).**

Direct policy changes which could be scrutinized and noticed in better quality of life achievement might emerge in the long run after reports have been published. UNDP maintains that HDRs effectiveness is based on how positively messages are translated into concrete progress, asserting that their “ultimate goal is poverty reduction and growth with equity, as well as the expansion of human freedoms and participation” (Burd-Sharps et al. 2005,2 Ch.6) .

Important however, is to keep an eye on the fact that HD claims to have expanded its dimensions to other fields relevant to human lives. Thereafter, other ultimate goals could be thus; the expansion of human means of protection, of affection, of

understanding, of creation of identity and so forth, and also the search of other **poverties** reduction. Revealing that clearly, other issues need further attention as they should be as well integrated within the HD policy-making scope.

In as much HD policies entail stronger coherence and more interconnectedness within one another, policy impact or change will be therefore multidimensional and ultimately holistic, resulting thereafter, in a more comprehensive outcome. A HD policy assessment -conducted throughout the H-SD perspective- is therefore suggested at a final phase of the 'impacting process', according to Figure 4.1 above, with the only aim of finding and/or identifying "potentialities" and "deprivations" among those 'HD policy alternatives' listed in the HDR Outputs rectangle in the same Figure.

An intermediate evaluation will appear then, right after the identification of *HD policy alternatives* (see Figure 4.2) with the characteristic of being represented by a bi-directional new box labelled as *HD Policy Assessment*. The inputs and outputs entailed (symbolized by the two arrows) mean, that policy analysis might be submitted to scrutiny going back and forth from one stage to the other.

After having examined synergetic, inhibiting, destructive, singular or pseudo-satisfier policies; and even endogenous or exogenous incentives, only then; an integral process of deep policy reform could take place. This will happen through the enhancement of better personal and collective attributes (Being), the materialization of better mechanisms, norms and institutions (Having) to support personal and collective actions (Doing), and finally through the consolidation of spaces and environments (Interacting) for these policies to be acknowledged.⁶⁸

⁶⁸ Taken from the H-SD matrix description on the four key existential characteristics (Max-Neef 1992 and elsewhere).

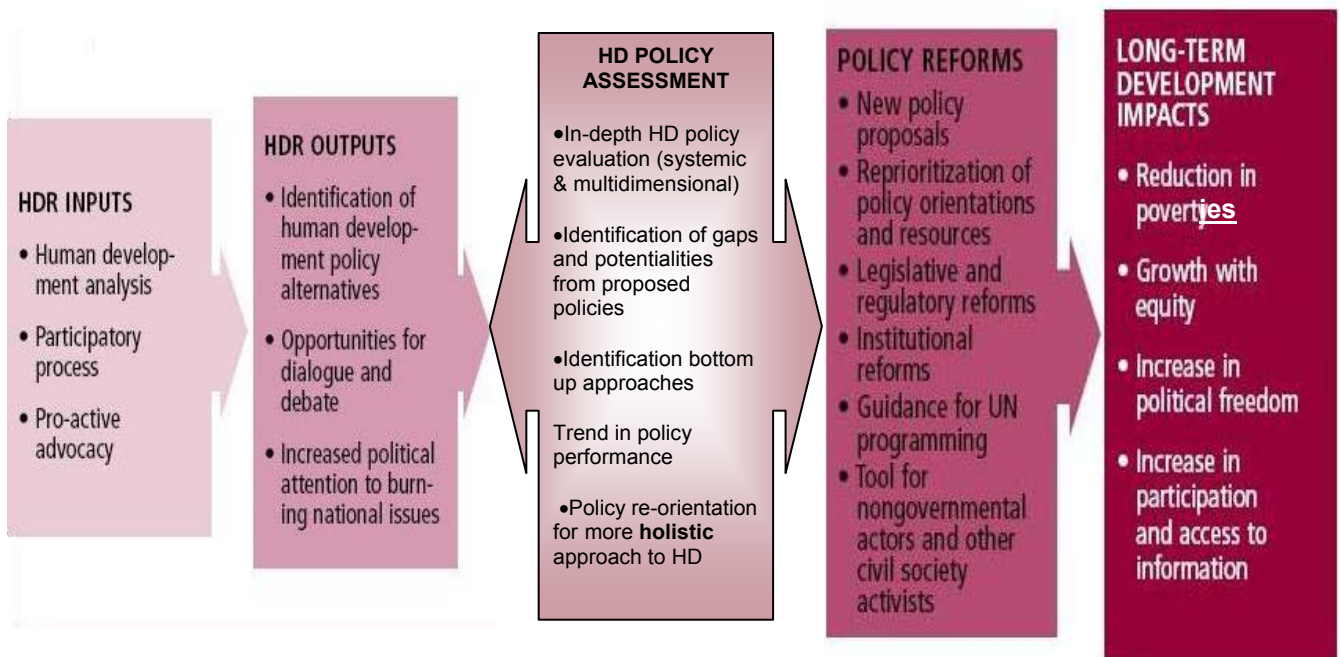


Figure 4.2 Introducing HD policy assessment in the process
 Adapted from Burd-Sharps et al. (2005).

Summarising many of the issues previously said, one can highlight that the two hypotheses here presented pretended to be a valuable contribution to the HD field, particularly on the operationalization ground. Briefly, the gaps identified are placed predominantly on an assumed holism which seems not to be operating on a real systemic way which shows a lack of interdependency among other relevant aspect of human lives. And also the acknowledgement of certain inconsistencies on HD policy outcomes due to a ‘scrutiny vacuum’ before shaping policy orientation.

Thereafter, an evaluation system is proposed in order to cover this ‘breach’ and help the identification of gaps and potentialities within policies. Guidelines which derive from a complex process of inclusive preparation, of independent diagnose and information gathering, of national policy analysis and monitoring (as noted in the HDR toolkit). The suggested assessment beholds a multifaceted methodology which will be explained in the next section. But in any case, the figures and reflections that have been so far described, where important to situate the H-SD contribution in the whole process of the report elaboration.

4. Conducting a Human Development Policy Evaluation

“Beyond economic growth, the paradigm of development is shifting to focus on whether interventions result in equity and equality for all; citizens and communities.”

- IDEAS-

As pronounced in many occasions in this work and in the literature, UNDP is quite certain that the global Human Development Reports have shifted the development focus away from a growth-centred approach to one where people is at the centre of the development process. By having addressed the multi-dimensional needs of people and empowering them to act in pursuit of fulfilling their capabilities, the HD constitutes a political referential term in development institutions. Whether national or international organizations, new challenges emerge when policy making outcomes provide the best picture of either effective or unsuccessful governance.

Stakeholders and governments everywhere (not to mention international agencies) are struggling to address and answer questions pertaining their performance and real progress achieved. Some of the questions motivating a large number of evaluation exercises conducted in development, environmental and other social fields are the following; Have policies, programs, and projects led to the desired results and outcomes? How do we know we are on the right track? How do we know there are problems along the way? How can we correct them at any given point in time? How do we measure progress? Or How can we tell success from failure? (Zall and Rist 2004,3). In this sense, the National Human Development Reports (NHDRs) have taken this global message to the national context and for this reason, they represent an important financial and human resource investment considering the opportunity they endorse to formulate development policies and promoting HD.

The process of elaboration is indeed crucial to its effectiveness and for this, the NHDR-Unit has designed specific tools to ensure quality and consistency (e.g. the UNDP Corporate Policy for HDR, The HDR Toolkit, to mention a few.) However, as it has been justified that an intermediate *evaluation* is being proposed to better assess and address new questions which have not been tackled or named in the list described in the upper paragraph. Two central queries for this purpose will be hence: **How do we know whether HD policies are synergetic or destructive within one another? And**

How could policymakers identify gaps and potentialities between and among HD policies?

As the OECD suggests, *Evaluation* is:

a systematic and objective assessment of an ongoing or completed project , program or **policy**, including its design, implementation and results. The aim d to determine the relevance and fulfilment of objectives, development efficiency , effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into de decision-making process of both recipients and donors [in this case politicians and development planners] (OECD 2002,21).

But more generally speaking, evaluations can be guided at a project, program or policy level since “evaluation can be defined as an assessment, as systematic and objective as possible, of a planned, ongoing, or completed intervention” (Zall and Rist 2004,15). In any case, relevant to the present research is the fact that evaluations are helpful in clarifying realities and trends, giving evidence of *why* targets and outcomes are not being achieved, *why* the observance of results is taking longer than predicted, or to identify other possible aspects which are constraining progress and change.

The evaluation that is about to be presented, stands only as a proposal whose aim is to put forward a new methodological framework which could orientate new parameters for policy evaluation in HD issues. It will follow the H-SD approach perspective and will respect the HD paradigm philosophical base accordingly with UNDP’s principles. The methodological description will be briefly depicted in the next sections.

4.1 General Scope of the Evaluation

To understand an assess HD policies it is necessary to look at all possible fields of policy impact as a system, rather than an individual evaluation of a mere lists of policy proposals. By acknowledging the interest of this evaluation one can say that at the country level, the NHDRs have established a series of networks and partnerships in the course of their production, entailing a serious responsibility and task distribution throughout the process.

UNDP Evaluation Office recognizes how countries may lack resources and capacity to formulate innovative policies that are consistent with Human Development (UNDP-Evaluation Office 2005) Consequently, the strategic relevance of an evaluation of the kind will be guided by a set of four questions:

1.-How could policy-makers identify gaps and potentialities between and among HD policies in national contexts?

2.- How strategically relevant is to identify `predominant satisfiers´ in policy design?

3.-What is the relevance in identifying synergies and deficiencies among HD policies ?

4.-What difference will it make to spot trends for future better, holistic policy-making processes?

The first two evaluative questions intend to concentrate on the importance that should be given to the elaboration of the reports particularly in the policy-description stages; keeping in mind that in many cases national governments might have followed good participatory practices in their policy elaboration exercise, but not really effective in their application. Identifying gaps and potentialities will be useful to: i) encourage and support all those successful and constructive initiatives regarding HD achievement and therefore avoid non synergetic need fulfilment settings. However, also relevant to the identification of predominant types of satisfiers is that it might ii) reveal trends within the elaboration of certain policies and/or strategies at a national or community level.

The third question addresses specifically a particular categorization of the H-SD approach, classifying satisfiers as: i) synergetic, singular, inhibiting, destructive or pseudo-satisfier or ii) exogenous or endogenous. So, for the purpose of the assessment at the country level policies will be labelled as such in order to characterize their course of action or potential achievement. Their description will be depicted in the step by step section.

Last question refers specifically to filling up the gaps in areas where policies seem to be neglecting certain human-scale dimensions. Aspects that have never being considered within the HD scope or which have been underestimated or/and overwhelmed.

From then on, the assessment aims to pursue concrete answers to the questions herein exposed. This exercise however, will be followed systematically in various steps and in order to have a clearer view of the phases included in this evaluation, Figure 4.3 will show schematically all its constituent parts.

4.2 Methodological Overview

The following scheme represents key steps to conduct the proposed evaluation methodology.

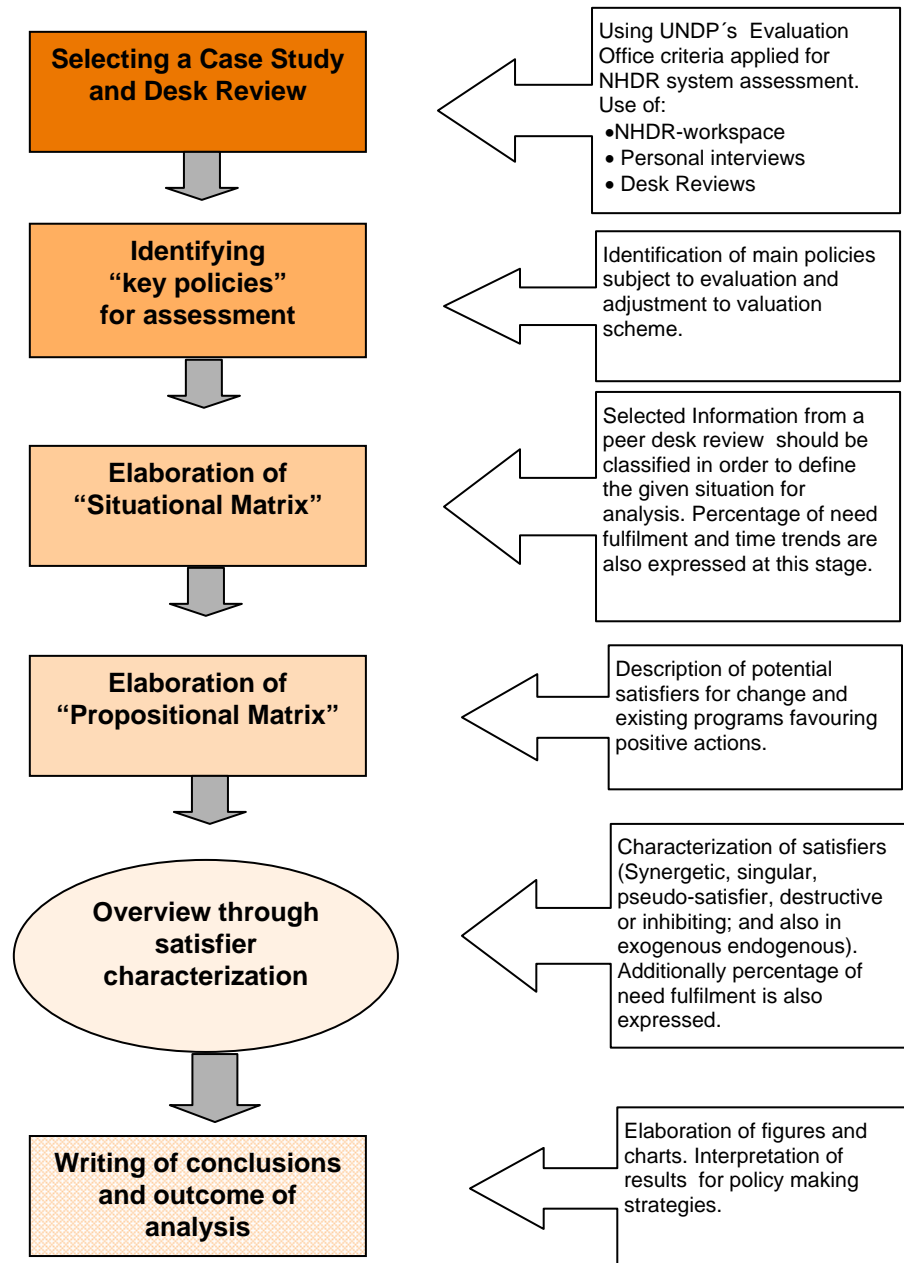


Figure 4.3 Methodological Scheme for Human Development Policy Evaluation

4.3 Defining an Evaluation Type (A referential framework)

Different types of evaluations are appropriate for answering different types of questions; and according to Zall and Rist (2004,121) there is no “size first all” evaluation template to put against the variety of questions overall in development issues. Out of the seven types of evaluation defined by these previous mentioned authors, the type of evaluation conducted in this research will be, a combined strategy between; what is best known as: Performance Logic Chain Assessment and The case study appraisal.

Though, a clarification note should be specified at this point. The following description will be given only to situate the present evaluation methodology within a larger categorization of evaluation methods and tools. These are two types of practices and/or strategies which may be followed for policy evaluation among an extended list. But in the attempt of naming this adapted version of the H-SD approach within a particular classification, the general application of this assessment exercise will fall under this classification.

Therefore, the *Performance Logic Chain Assessment* first is used,

“to determine the strength of the causal model behind the **policy**, program or project. The causal model addresses the deployment and sequencing of the activities, resources, or policy initiatives that can be used to bring about a desired change in an existing condition. The evaluation would address the plausibility of achieving that desired change, based on similar prior efforts and on the research literature. The intention is to avoid failure from a weak design that would have little or no chance of success in achieving the intended outcomes” (Zall and Rist 2004,122).

The case study appraisal, seems to be appropriate whenever,

“a manager needs in-depth information to understand more clearly what happened with a policy, program or project, as case studies imply trade-offs between breadth and depth in favour of a policy, a program or project” (2004,124).

Case studies can illustrate a more general conditions, they can be explanatory on particular circumstances, they can focus on critical instances and provide broader understanding of conditions over time.

Despite of the fact that each of these two types of evaluation strategies entail their own guidelines, this research will make no use of them. The methodology that will be applied in this case, will be an adapted version of what has been described in the Human-Scale Development theory including its own methodology. However, it was thought that describing other policy evaluation procedures classified at a larger extent, was a good incentive for possible future categorization of the process that will be presented promptly.

No other assessment of HD policies has been made before throughout this approach, thus, a big effort will be put in the transparency of results, evaluation and analysis criteria, as well as on the interpretation of the information obtained. Nevertheless, other characteristics such as; impartiality, technical adequacy, feedback and dissemination (Zall and Rist 2004) will be more difficult to be incorporated as this is only a sample exercise for specific academic purposes and not really for official application.

4.4 Frameworks for evaluation methodology (Theoretical and Conceptual)

Continuous reference has been made in this and previous chapters to three main notions, respectively; the **Human Development Paradigm**, predominantly related to the Capability Approach (flagship by Amartya Sen's contributions); the **Human-Scale Development approach** (Max-Neef and colleagues), and the **Sustainable Human Development** as an emerging concept. Three key aspects worthy to be discussed and examined.

The three, have been reviewed and exposed within various and different views and arguments, aiming to understand them and get familiarize with their core elements, objectives, means and ends. All three entail a conceptual triangular base on which this whole work is being followed and supported. Each one represents an intellectual approach to the human social *problematique*, either challenging human freedoms and opportunities (*HD*); peoples systemic interactions amid a set of human needs (*H-SD*); or demanding new development processes sympathetic to integrated visions of reality involving generational time frameworks and universal values (*SHD*).

With no intention of replicating information already cited and described, only those key elements pertaining the theories and philosophical backgrounds of these three approaches will be mentioned briefly.

Human Development paradigm (HD);

- Generally associated with the United Nations Development Programme (UNDP)
- “Human lives can go very much better, and be much richer in terms of well-being and freedom
- HD concept institutionalized (1990s) through the Human Development Reports (HDRs) accepted as “an expansion of human capabilities, a widening of choices, an enhancement of freedoms and a fulfilment of human rights” (Fukuda-Parr and Kumar 2003,xxi).
- The HD philosophical roots based on Amartya Sen Capabilities Approach (CA)
- The CA lead us to look at the set of life options available to a person, and to the things that person may actually do and achieve (Gasper 2004a).
- Development is understood as the process of expanding the real freedoms that people enjoy (Sen 1999,3) where development, progress and the reduction of poverty occur as a result of people having freedom and expanded capabilities.

For further reference see Chapter I & II.

Human-Scale Development approach (H-SD);

- Inspired in the humanistic economics (importance on recovering human dignity and equality) with a vision of problems affecting humanity as a whole. Philosophical roots; Max-Neef, Elizalde and Hopenhayn 1986.
- Central thought, best development process will be one that enables improvement in people's quality of life; one that must allow countries and cultures to be able to be self-coherent (Max-Neef 1998a).
- H-SD concentrates on, and is sustained by,

the satisfaction of **fundamental human needs** and the generation of growing levels of **self-reliance**; and in the construction of the **organic articulations** of people with nature and technology, of global processes with local activity, of the personal with the social, of planning with autonomy, and of civil society with the State (Max-Neef 1992b, 197)
- Human needs are **finite**; they are **few** and can be **classified** (subsistence, protection, affection, understanding, participation, leisure, creation, identity and freedom -sometimes transcendence is considered-)

- Satisfiers, whether of an individual or collective nature, mean all the things that, by representing forms of **being, having, doing, and interacting** contribute to the realisation of HN.
- According to the way in which they fulfill human needs they are classified in: synergetic, singular, destructive, inhibiting, and pseudo-satisfiers. But also in exogenous or endogenous.

For further reference see Chapter II.

Sustainable Human Development (SHD);

- Origins found on ideas from authors such as UI haq- defining it as: the equal access to development opportunities for present and future generations. A type of development, where each generation must meet its needs without incurring in debts it cannot later repay (debts concerning pollution and exploitation of resources, of financial, social and demographic implications).
- Declaration on “Sustainable Human Development” (UNDP 1999) stating: SHD is overall connected to global issues (i.e. Human Rights, collective well-being and equity). Therefore, universal implications since HD requires strong social cohesion and equitable distribution of the benefits of progress.
- Integrated vision of well-being facing a real need of constructing a Sustainable Human Development notion, finding a way to express human flourishing as a universal need or goal, but in any case, something irrepressibly global.

For further reference see Chapter III.

5. Proposed Evaluation Methodology, Step by Step

5.1 Selecting a case study

Along the year 2005, the United Nations Development Programme Evaluation Office (EO) conducted an evaluation on the National Human Development Reports system, consisting on an independent appraisal to learn from the experience of over 500 national and sub-national HDR published. For this purpose, and in order to assess the reports strategic relevance, the evaluation was guided essentially by the set of three core questions:

- 1.- How strategically relevant and necessary is the system of NHDRs to UNDP?
- 2.-What difference have the NHDRs made (in terms of results and processes) at the corporate and country level?
- 3.- What are the (corporate and country level) enabling conditions for NHDRs to contribute towards development effectiveness of programme countries? (UNDP Evaluation Office 2005)

Its main interest however, was to determine among other issues firstly; an approximate measure of the HDRs *visibility*: concerning media and communication coverage. In second place, *policy impacts*, identifying whether certain government policies and legislations have been affected by a particular NHDR. Thirdly, to measure *long-term indirect intellectual impacts*, overall questioning whether the NHDR exercise has affected the national intellectual environment (e.g. in government documents and legislations, university research fields, or NHDR main issues being taught in schools). Fourthly, to address the issue on *expert evaluation vs. grassroots views*, referring to the importance of having “intellectual” expert evaluations completed with experts who are closer to the ground, such as NGO’s and local groups. (only with the aim of assessing whether the NHDR have been effective in identifying themes that deserve more public debate and advocacy efforts). And lastly, the *cost-effectiveness evaluation*, distinguishing between the total cost and resources oriented to elaborate NHDRs sensitive to time and money issues vs. getting significant and positive results from the NHDRs exercise (Chang 2005).

Country Case studies were imperative to assess the influence of the NHDRs. Members of the Human Development Network (HDR-Net / EvalNet) put forward much of the criteria for selecting countries agreeing in a mix of experiences to determine good

practices. Recommendations for selecting countries included the following characteristics (Gascho et al. 2004).

- The selection of those countries with good leadership and participation arrangements between UNDP, the State, Civil Society and Academia.
- Countries who had experienced challenges in developing quality reports, achieving impact and developing a sustainable process as well as those considered to represent success.
- Countries representing a variety of objectives and intended impact.
- Countries that represent a range of Human Development.
- Countries that have published many reports and those that might have published few.
- Ensuring that a number of years are reflected to assess how NHDR system has evolved.
- And ensuring that countries from each region are included, acknowledging differences on capacities and experiences

As a result of its application; India, Egypt, Zambia, Senegal, Armenia, Albania and Brazil were chosen through scrutiny by the UNDP Evaluation Office. Therefore from this geographical selection, the present evaluation wanted to follow-up on **one** of these examples, in order to be consistent with other institutionalised evaluation experiences (e.g. UNDP's Evaluation office). This might also enrich both applications as further insights may arise from their comparison. Hence, Brazil will be used as the case study example in this particular evaluation, responding to the selection criteria described above; but also because in terms of information availability, Brazil's country report was available and shared by the EO⁶⁹. Moreover, this case study was also selected, since the Latin-American reality is one, to which I feel particularly identified due to my Mexican roots and cultural background. Thereafter, Brazil's last NHDR published in 2005 on "Racism, Poverty and Violence" will be reviewed and studied to recognize pertinent HD policies to be analysed in the present evaluation.

⁶⁹ However, a short note regarding the access to this information should be stated at this time: Much of the information here quoted particularly referring the NHDRs evaluation has been kindly shared by Nanthikesan Suppiramianiam (Nanthi) from UNDP's Evaluation Office and some people of his team, to support the elaboration of this thesis. This information was shared with the strict condition of being used merely for research purposes and not for public disclosure. Special thanks to Nanthi who trusted me in sharing many of the TORs and internal documents that are cited in the reference section as personal communications.

5.2 Recognizing key policies for assessment

In order to make an accurate distinction of all those important policies which might be relevant to assess, some sort of structural difference among programs, referential policies, lines of action and key initiatives should be taken into account. To better understand these differences, the following structure is proposed to have a better comprehensive scheme, where all key aspects of policy design and implementation will be considered in the evaluation process (See Figure 4.4).

The *Foundation*; represents the national embracing policy which stands as a guideline to conduct all possible efforts to achieve a particular goal of common interest. Subsequently, as in any constructive process, after foundations are placed;

The *pillars* come to fore. They symbolize all the pertinent programmes identified, and that will be developed to support the accomplishment of a given national policy. These programs could sometimes represent focal policies or target actions that could be evaluated in through out the same methodology. Their strategies correspond to the same guidelines printed at a National level and are driven according to;

The *Lines of action*. These are described more generally representing a set of actions to be undertaken in order to accomplish each objective contained in a comprehensive plan. They are patterns of action and decisions that guide towards a particular vision or goal. The lines of action will prevail along all relevant programmes to further focus on the final appraisal element.

This is the *Key policy* for assessment at the very top level of the structure. This is lastly, a particular initiative that will be therefore evaluated which finds support on a series of programmes and entails a systematic comprehension of a wider idea. This will ensure also, that polices are being evaluated under a larger umbrella which includes other national issues of similar relevance and broader frameworks entailing particular cultural, social, environmental and political circumstances.

In other words, this structure was planed to better identify the evaluation object. Otherwise, it would be very hard to isolate a particular policy when most of all the above mentioned elements correspond to a global and more general view of policy-making exercises. In this sense, classifying a particular “key policy for assessment” will be much easier and will be better analysed as it will be seen as part of a universe (this will be exemplified in the case study analysis).

Important to keep in mind thus, is that the number of programmes and lines of action may vary according to the different national embracing policies. The key policies for assessment should find all their main resources (not restricted to financial) in many of the programmes described and should therefore drive their specific actions through the same means.

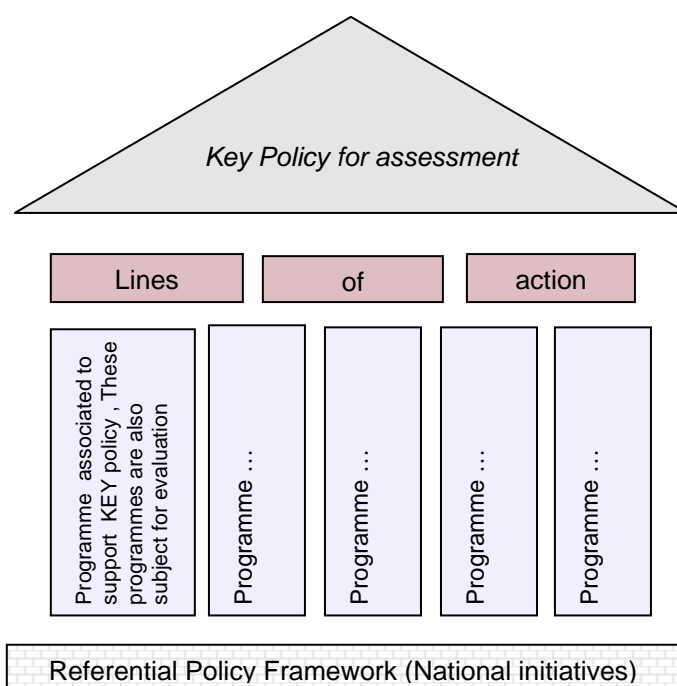


Figure 4.4 Scheme for recognizing “key policies” for assessment.

5.3 Elaboration of the “Situational Matrix”

Along the NHDRs, a series of relevant topics concerning Human Development issues are exposed and extensively developed within. In many occasions, these “topics” are even expressed as the origins of incipient policies which, might stimulate “satisfiers” of a particular need within its four existential dimensions.

The Human-Scale Development approach functions as a theoretical framework to evaluate and interrelate these so-called “policies or programs”. For this purpose the matrix described in Max-Neef (1992) and other similar examples using the same methodology (Max-Neef 1998) are used as *point of reference*- tools to guide possible satisfiers to fill into the matrix. However, it is extremely important that a participatory workshop is conducted in order to complete a more cultural-oriented lists of satisfiers to

fill into the matrix. Accuracy of the evaluation outcomes will depend most likely on information availability and extended participation with the interested stakeholders and communities. Key issues of the pertaining a given policy are thereafter identified and classified into their categories through the following stages:

I. The key policy for assessment is selected and adapted accordingly to the scheme proposed in Figure 4.4 in order to identify the “target policy for evaluation”. Preferably, all fields should be filled out with their complementary information (i.e. foundation, pillars, lines of action, and so forth).

II. The “target policy” will be therefore analyzed throughout the four dimensions proposed by the H-SD methodology (Being-Having-Doing-Interacting) entailing equitable consideration at all times complementing one another and acknowledging equal weights and importance to all categories systemically.

III. A “Situational⁷⁰ Matrix” will be built subsequently indicating most significant constrains and other concrete situations faced by the interested community (in this case a particular Brazilian group of people). Each square in the matrix will describe inabilities and other opportunities repressed due to policy application difficulties or simply for underestimation of a given dimension. A general picture of a “problematic situation” related to the policy that it is being evaluated will be depicted throughout the completed boxes which will be filled-out, supported by a desk review.

IV. As mentioned earlier, all dimensions (Being-Having-Doing-Interacting) have equal weight and importance seeking systemic interactions, as exemplified in Figure 4.5. Each dimension symbolizes a proportional part out of a 100% and the level of satisfaction may vary modifying consequently, the system thoroughly.

⁷⁰ **Situational** means: the way in which something is positioned vis-à-vis its surroundings. The place in which something is situated; a location. It reveals position or status with regard to conditions and circumstances. Or the combination of circumstances at a given moment; a state of affairs. A critical, problematic, or striking set of circumstances (The FreeDictionary 2006).

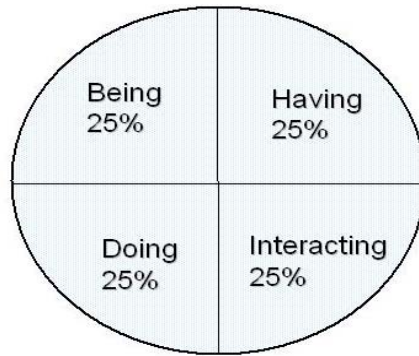


Figure 4.5 Equality proportions of existential characteristics

IV. Weights will be thus calculated according to the situation expressed by the information given in terms of need fulfilment as (**positive, negative** or **neutral**). Values can complete a 75, 65,50,25, 15 or 0% out of a 100% as shown in Table 4.1. Meaning that the highest percentage of fulfilment that a policy is able to achieve; the best it will perform in terms of human needs realization.

Table 4.1 Possible trends and weighting values

ASSESSMENT VALUE	TREND		WEIGHTS according to need fulfilment
	(-) negative	(+) positive	
Positive			100%
Medium with <i>high</i> positive trend			75%
Medium with <i>low</i> positive trend			65%
Medium			50%
Negative with <i>high</i> medium trend			25%
Negative with <i>low</i> medium trend			15%
Negative			0%

5.4 Elaboration of the “Propositional Matrix”

The elaboration of the previous matrix helps to review and identify many of the negative collateral aspects that the “target policy” is aiming to improve. The next step, in order to turn these deprivations into potentialities, is to integrate all relative and available information on initiatives, campaigns, programs, laws and other political actions enhanced concerning the policy that is being evaluated.

I. To do so, again, notes taken from an in-depth desk review of related documents, (including but not restricted to, policy documents, reports and statistics) will describe key aspects where satisfiers in forms of programs, projects, sometimes economic goods, etc; aim to fulfill certain need(s); -or in this case- that will help to achieve the “target policy” goal successfully.

II. Each square within the matrix will define one or more constructive or *propositional satisfiers*⁷¹ (therefore the name) whenever mentioned in the reviewed documents and available information. Depending on their contribution to the holistic performance of the “target policy”, these satisfiers will obtain a certain value responding to the trend they express in fulfilling a given need. Satisfiers will provide information on their “potential achievement” as they will be characterized correspondently.

III. Trends, weights and values are calculated and expressed, following the same procedure explained in part IV, V and VI in the Situational matrix. However, for this matrix, more information could be obtained throughout the next analysis.

5.4.1 Analysis and overview of “target policy” through satisfier characterization

I. From the information achieved after the first assessment one could extend the characterization of satisfiers in; *singular, synergetic, destructive, inhibiting or as pseudo-satisfiers*, according to the way in which they fulfill human needs . See a wider description of their characteristics in Table 4.3. In this logic, the **more** synergetic actions HD policies contain, the **best** chances this particular policy has, to accomplish real holistic Human Development outcomes.

⁷¹ A **propositional** attitude is a relational mental state connecting a person to a proposition. They are often assumed to be the simplest components of thought and can express meanings or content that can be true or false. In being a type of attitude they imply a person can have different mental postures towards a proposition, for example, believing, desiring or hoping and therefore imply intentionality. Propositional attitudes are meant to reflect the world, some others to influence it (The FreeDictionary 2006).

Table 4.3 Satisfier characterization (Max-Neef 1992,208-210)

TYPE	DESCRIPTION
Synergetic satisfier	Are those which, by the way in which they satisfy a given need, stimulate and contribute to the simultaneous satisfaction of other needs
Singular satisfier	These aim to the satisfaction of a single need, therefore neutral as regards the satisfaction of other needs.
Destructive satisfier	Elements of paradoxical effect. Applied under the pretext of satisfying a given need, they not only annihilate the possibility of its satisfaction, but they also render the adequate satisfaction of other needs impossible. (Sometimes specially related to the need of protection).
Inhibiting satisfier	Are those which by the way in which they satisfy (generally over-satisfy) a given need seriously impair the possibility of satisfying other needs
Pseudo-satisfier satisfier	These are elements which stimulate a false sensation of satisfying a given need. Though they lack the aggressiveness of destructive, they may, on occasion, annul, in the medium term, the possibility of satisfying the need they were originally aimed at.

II. When all policies have been described and evaluated through both matrixes, the satisfiers proposed will be characterized firstly as; exogenous or endogenous. “Exogenous satisfiers”, being all those that often are imposed, induced, ritualized or institutionalized (categorized as top-down satisfiers), whereas “Endogenous satisfiers” reveal choice aspects derived as a reflexive course within the community motivating bottom-up and integrative processes (Max-Neef 1998). Particular emphasis on the second category, is something H-SD is keen on achieving and thus this evaluation will pursue as well. And secondly; in *singular, synergetic, destructive, inhibiting or as pseudo-satisfiers*.

III. Each box will be filled-up with an adjective and thereafter horizontal readings could be made on how satisfiers are performing according to the dimension they are tackling. This information is as well relevant in terms of identifying those satisfiers which by the way they fulfill certain human needs, other interdependent relations with others might be detected and will be written below their description as shown in Table 4.4 . It is also important since; the higher the number of synergetic satisfiers is, the more holistic and multidimensional is the outcome of a policy as well.

Table 4.4 Description of satisfiers characterization

PROTECTION				
Fulfilment : 78.75%				
	S- autonomous self-defining	S- develop housing, education and health legislation favouring Quilombos (promote as well customary law mechanisms)	S- Advocating and campaigning <i>(should be in the right direction)</i>	S- special social re-adaptation programmes for the youngest <i>(difficult target group)</i>
	%75	%100	%75	%65
	Endogenous / Synergetic	Exogenous & Endogenous / Synergetic	Endogenous / Pseudo-satisfier	Endogenous / Singular
Synergetic satisfiers contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. affection, freedom, participation) Pseudo-satisfier , because if campaigning last too long real actions for change will never come.				

5.5 Charts and Graphs for analysis

I) As both matrixes were filled-out completely and the percentage of fulfilment has been calculated for each need, the correspondent values will be useful to create a series of charts for better analysis of the obtained results.

II) Each graphic must contain a title and a brief explanation of the information it is providing according to a particular issue regarding the policy that it is being evaluated. These should express changes and trends exposed in the matrixes and should be well organized and clearly drawn.

6. Expected results of the evaluation

It is important to keep in mind that the main core of this methodology is overall the interest in putting forward a new a creative evaluation tool which might help/assist institutions working with HD policies and related policy-making processes. Tackling policies in holistic and systemic views implies long, and indeed more complex valuations and procedures. Therefore, this assessment does not pretend to obtain any accurate results or to be utterly objective in the concluding analyses.

The aim is simply to **demonstrate the use** of a particular **evaluation tool** and its assessment methodology since more accurate outcomes could only take place when

the exercise is conducted in a real context through multifaceted participatory workshops and other related actions. Due to this constraint, the results obtained from the present valuation will respond to the informational sources and possible comparative exercises done to get as close as possible to a truthful experience given the circumstances and geographical limitations.

In this sense, the evaluation aim is to identify:

- Deprivations and potentialities within a “target policy” described in a National Human Development Report (in this case Brazil);
- Levels of interaction and fulfilment among Human-Scale Development universal needs and HD policies;
- Predominant satisfiers (singular, synergetic, destructive, inhibiting or pseudo-satisfiers; or else; exogenous or endogenous) within the elaboration of certain policies and/or strategies at a national level probably scrutinising degrees of participation and potentiality for self-reliance and bottom-up approaches;
- Trends in terms of need fulfilment. This will be given by the “potential achievement” (diagram expressed in coloured boxes inside the matrixes) which might change positive or negatively the holistic outcomes of a certain policy. But also within a time framework.
- Tendencies could also be tracked through many of the given satisfiers expressed by (attributes, institutions, mechanisms, actions, spaces) where the underestimation or overwhelming of some dimensions or satisfaction of certain needs might be detected.⁷²
- Change in terms of percentage improvement, which might as well be determined. Changes for better or for worse could be expressed in percentage numbers (e.g. if freedom ameliorates in a 60% it is most likely to say that the target policy enhances freedom strongly).

⁷² This is quite relevant since it could open new windows for further debates in HD dimensions and operationalization. But also is one of the main contributions of the H-SD approach, advocating to consider further HD dimensions or identifying others which might have been overwhelmed or simply not considered within a HD general scope.

7. Policy Evaluation Exercise

Brazil National Human Development Report, 2005

Racism, poverty and violence

**Relatório do Desenvolvimento Humano Brasil 2005*

Racismo, pobreza e violencia



**Figure 4.6 Map of Brazil
(Geography about, 2006)**

In brief, the Report analyses racial inequalities in such areas as income, education, health, employment, housing and violence, and concludes that black people in Brazil face more difficult human development conditions in all of these areas. The study also dispels several racial myths, such as scientific racism and racial democracy, and looks at the history of the black movement, current challenges, as well as the political poverty now confronting the black population. Based on this analysis and strong statistical evidence, the Report offers several policy recommendations designed to target silent racist policies and decrease levels of inequality across the country.

Some of the key insights revealed in the Report include a review of the strong slavery colonial heritage to which Brazil was submitted, for more than four centuries.

Nowadays, the Brazilian population comprises 169 million people, 44,6% of which is Afro descendent. Although outside of Africa, Brazil is the second country with the largest black population in the world, after Nigeria. Of this total, more than 36 million are black women, corresponding to 44% of the total population of women in the country (Therezinha 2003)

First part thus, covers all **myths and believes** related to those negative implications of racism in Brazil's historic political and social life. The shift comes therefore, in assuming a new vision in the building of innovative patterns of racial⁷³ relations including also other minorities such as indigenous peoples. Overall, these patterns should bring change in everyday matters such as health, education, jobs, housing and income, in order to reduce the extreme inequality within the country's population.

Next comes all the impacts detected as negative outcomes of this discrimination. Good quality data sets and statistics reveal many of the most crucial issues claiming serious attention, namely; income, education, job access, health and housing inequalities thus, adjusted indexes by ethnic and racial groups have been put forward (e.g.) the Municipal Human Development Index (M-HDI).

In Brazil, **poverty** carries a distinctive **racial dimension** due to the exclusion suffered by black population mainly in decision making queries and management of public and collective goods. A lack of efficient equal social policies through-out Brazil's political history has maintained deep poverty in quite a good part of the black population in the country. But also **violence and security** seem two other fields that have been deeply affected by racism and socio-racial inequality, as quoted in the Report particularly in Chapter 3. This is by no means trivial since, International Human Rights Institutions have reported severe vulnerability in terms of rights and access to justice for the Afro-Brazilian population.

Proposals thus, point essentially to the development of two types of public policies to avoid this tendency: i) **Universalistic policies** -to be applied with no distinction or privilege to any particular group, where the State should make an effort to acknowledge pertinent singularities of all groups overcoming inequalities- but also ii) **Focalized**

⁷³ The concept of "race" is used in the Report concretely, to respond to the theoretic and practical need to tackle many of the processes and follow studies dedicated to eradicate racism and focus on social justice promotion. In fact according to the report, United Nations refrains from utilizing the term "race" as a classification indicator by all means (UNDP-B, 2005,13).

policies –whose aim if to include all contained groups within the Brazilian society.- For this reason, the last and complementary part of the Report includes a series of **proposals** seeking to **eradicate poverty and racism in Brazil**, through a more embracing and systemic context. One where Human Development of black people and other excluded minorities could be utterly favoured in the process.⁷⁴

Finally, the Report states clearly through one of its special contributions that Brazil faces an urgent need of incorporating black people to political spaces and power relations in order to acknowledge their Human Rights. The aim is hence to widen the possibilities of distributing and using human and economic resources to all sectors. And it is precisely on this last query where the present research will focus aiming to capture those policies pronounced in the Report by the different stakeholders, and see whether they are truly holistic and synergetic as they are being designed and implemented.

I) Identifying potential Policies for Evaluation

After a deep desk review of the Report outlined above and other documents (including but not restricted to policy documents) related to many of the topics discussed and highlight in the *Relatório*; several policies and adjoining programs have been identified. The following extensive list gives a clear view that if no classification tool is used or addressed to select key policies for their assessment strategically; evaluation outcomes will deviate from the expected results. The valuation however, will make constant reference to many of the programs and derived polices which represent a fundamental part of the central policy itself.

Brief list of Policies Detected in the National HD Report⁷⁵ :

- **National Policy for the promotion of racial equity**

Lines of Action:

⁷⁴ To learn more on the National Human Development Report see: <http://www.pnud.org.br/rdh/>

⁷⁵ These policies and programmes where identified within Brazil's NHDR, but a more extensive desk review was needed to clarify and complete the following list. This is due to the fact that many policies where designed, or are currently being developed under more generic programmes or more wide national or global initiatives. Reference consulted are cited at the final Reference Chapter.

Policies to support Quilombos reminiscence, Affirmative action, Development and social inclusion, Cooperation, and Knowledge building.

Programs developed to support policy :

- **Brasil Quilombola**
 - Redistribution of agricultural land and concession of land property to Quilombolos. (IDH) (*regularização fundiária*)
 - Food security
 - Rural electric system
 - Housing Subsidies
 - Water supply and distribution
 - Family health programme
 - Technical Assistance Programme to the Family National agricultural Programme (PRONAF)

- **Inclusion and economic development**
 - Poverty eradication and job creation (GRPE-Project)

- **Black people inclusion to schooling system**
 - Law implementation (Law 10.639 -incorporate teaching of Afro-Brazilian history in Curricula –mid and high school)
 - Retained job posts for blacks and indigenous people in schools
 - Pedagogic kit to promote racial equity

- **Black culture and struggle against religious intolerance**
 - Education campaigns against racism
 - Afro-Brazilian Culture and History project
 - Singing History
 - The colour of culture
 - Driving actions: TV shows, Demonstrations, www site

- **Capacity building and international relations for public officers and social agents in order to promote racial equity policies** (IDH)
 - International Institutional relations (South Africa, Cab Verde, Angola, Mozambique)

- **Black people health issues**
 - Technical committees

- **Public Security**

- **Democratic arrangements**

Lines of action

Application of universalistic and focalized policies, Struggle against racism, Amendment actions and Institutional actions.

Programs developed to support policy :

- **Asymmetric Federalism**
 - Intergovernmental Forum for Racial Equity Promotion (FIPIR)
- **Power sharing through consociation**
 - Executive power sharing,
 - Proportional representation in electoral systems,
 - Provisions for cultural autonomy
 - Safeguards in the form of mutual vetoes.
- **Affirmative action policies**
 - Scholarships for public school tender training (?)
 - Specialized training courses for black and indigenous people for University access exam (Pre-vestibular)
 - Access quota in Public administration and universities

It is quite evident that choosing one particular issue for evaluation might cause serious difficulty, hence, the use of a scheme like the one proposed to recognize key policies for evaluation will be essential at this point, in order not to intermingle or interrelate information at different levels. Overall, this is with the aim of having a clear view of the “target policy” that the valuation is keen to embark upon.

Accordingly, the policy selected for evaluation will be: the “Regularization of land settlements from Quilombolos - concession of land ownership” which, has been appointed in the NHDR as an “amendment-type policy” (UNDP-B 2005,118). But furthermore, cause it belongs to a larger guiding principle called “*Brazil Quilombola*” (supporting one of many other initiatives inspired within the Blacks Movement of Brazil).

The present policy was also selected according to the information available⁷⁶ at a comprehensive desk review and for considering it as a concise sample policy to proof the methodology here exposed. Hence, this policy/programme will be adjusted to the scheme illustrated in Figure 4.7.

II) Selecting the “Target Policy”

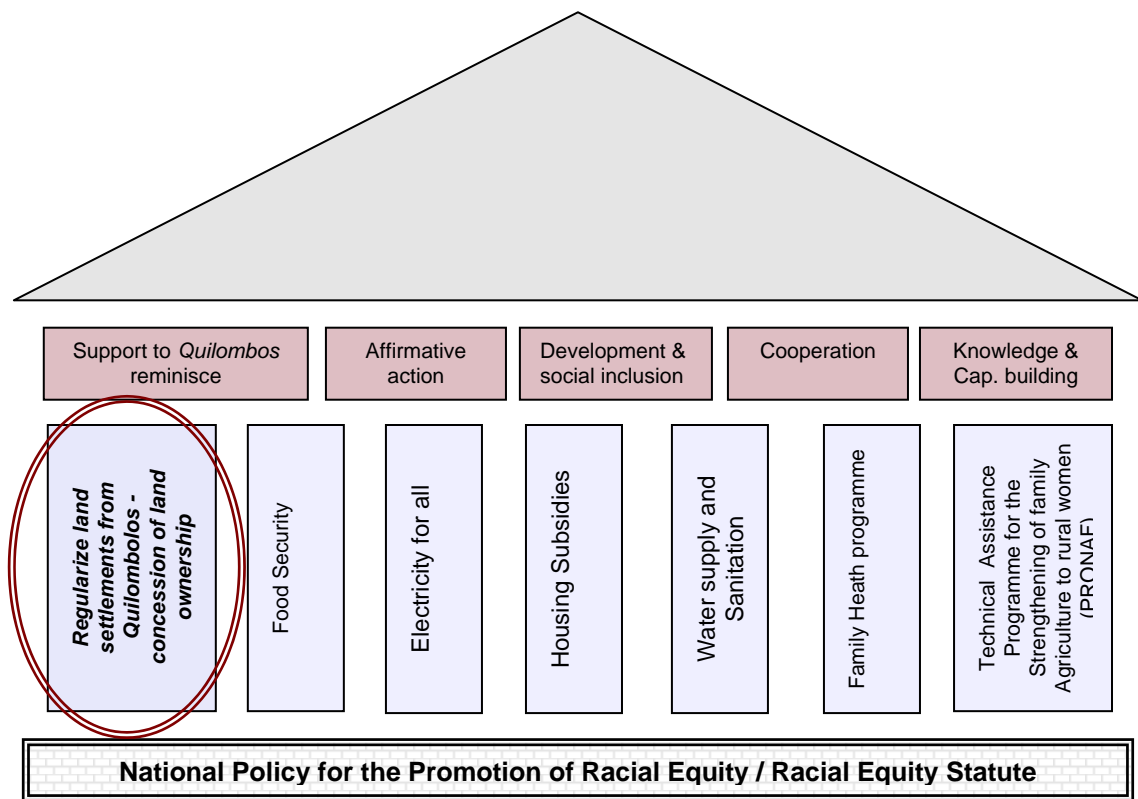


Figure 4.7 Target Policy selected for evaluation

⁷⁶ The Desk Reviews were successfully completed thanks the information shared from the International Poverty Centre in Brazil through Eduardo Zepeda and Rafael Osorio on various emails and conversations.

III) Brief Description of Target Policy

“Regularization of land settlements and concession of land ownership to Quilombolos”

The “Quilombolas” or *remanescentes do quilombolos* are communities that represent the remaining members of the run-away slave communities from the colonial period in Brazil. The term itself, refers to the land or territory. These groups have always lived from subsistence agriculture and fishing, and have largely remained marginalized from the larger society in terms of access to health, education, land regularization and other services.

Currently, there are many spread out communities of remnant Quilombos in Brazil particularly in rural areas. Since the 1988 Federal Constitution, these communities have the constitutional right to the full ownership of the land they traditionally inhabit and to preserve their culture and identity. However, to this day, deeds to these lands have not been issued. Through a Decree issued on May 13, 2003, the current Administration created the Inter-Ministerial Working Group with the aim of proposing new rules for the recognition, delimitation, demarcation, legal entitlement and registration of these lands, as well as to propose strategic initiatives to ensure the sustainability and inclusion of the “Quilombola” communities in the national development process.

Quilombolos not only emerged as a result of runaway slaves, but moreover were created by rebel slaves. These communities kept developing on donated lands, but also on other purchased lands, following the slave system period but also through a territoriality sense derived from Afro-Brazilian cults. The link of these communities to territory has a very important meaning besides being fundamental for the physical survival of the group. It represents something indispensable for their cultural identity and cohesion; as well as the protection and affirmation of their economic, social and cultural rights.

To our days, some 1,100 areas have been identified as belonging to Quilombos and several associations have been created to protect and watch for their interest. Some of them are: the Centre for the Right to Housing Against Eviction (COHRE) and the National Confederation of Quilombola Communities (CONAQ), the Association of the Quilombola Black Rural Community of Maranhão and Alcantara, only to mention a

few. Quilombola population differ from other groups in their lifestyle, cultural, economic and production modes; the land is collectively used and is considered community property. Therefore, the regularization and granting of titles of their lands will represent a real significant change in their quality of life and opportunities.

a) Important notes on desk review:

As it is here stated, the policy on “Regularization of land settlements and concession of land ownership to Quilombolos” represents a long law enforcement process as well as it includes large campaigning and advocacy for land property entitlement. The NHDR was elaborated with the collaboration of a large series of Brazilian institutions working directly with Quilombola communities and cultural rights organizations altogether with governmental regional entities. Most of the documents consulted for the evaluation are part of the references sited along the Brazilian NHDR and other sources recommended by UNDP Brazilian branch, the International Poverty Centre (Brasilia) and the Secretaria Especial de Políticas de Promoção da Igualdade Racial (SEPPIR).

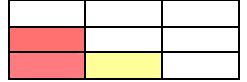
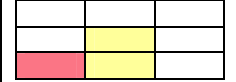
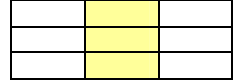
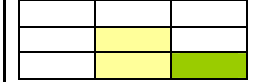
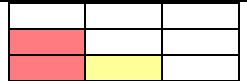
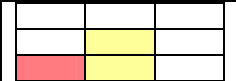
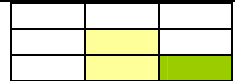
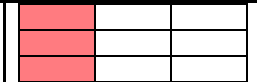
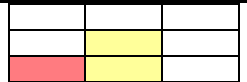
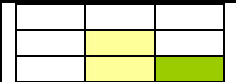
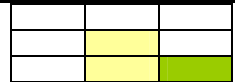
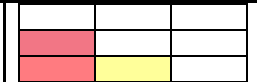
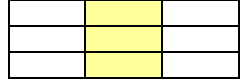
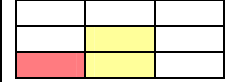
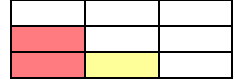
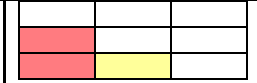
The information was classified according to the Human-Scale categorization of the four existential dimensions of the self. The **Being** corresponding to all individual or collective attributes; the **Having**, to institutions, norms, mechanisms, tools, etc.; the **Doing** referring to individual or collective actions (most likely expressed like verbs) and the **Interacting** sphere describing spaces and environments.

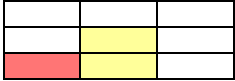
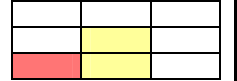
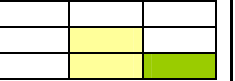
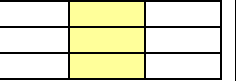
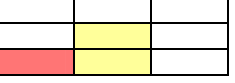
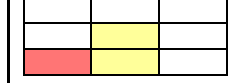
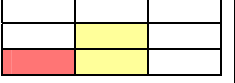
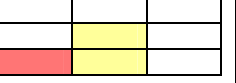
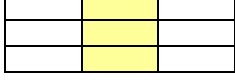
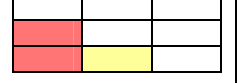
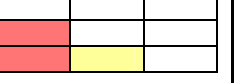
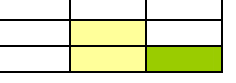
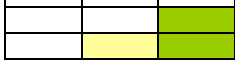
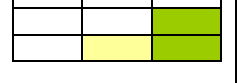
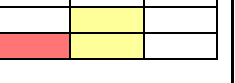
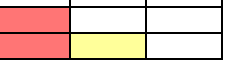
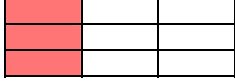
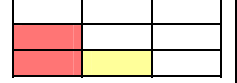
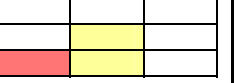
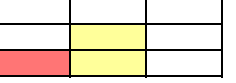
Extensively, the information gathered from the documents consulted included:

- Characteristics of new policy arrangements in local governments
- Local governments initiatives against racism
- Official international reports on non racist policies in Brazil
- Recent institutional strategic actions against racism
- Campaigns and other grass-roots initiatives for land regulation, human rights and formal housing advocacy programmes
- Interviews with Quilombola leaders and representatives

IV) Elaboration of the “Situational Matrix”

Table 4.5 Situational Matrix

Needs according to existential characteristics Needs according to axiological characteristics	BEING (Personal/collective attributes)	HAVING (Institutions, norms, mechanism, tools)	DOING (Personal/collective actions)	INTERACTING (Spaces and environments)
<p>SUBSISTENCE</p>  <p>Life expectancy at risk – delicate physical health (sickle-cell anaemia, affecting afro-descendants)</p> <p>%15 (← - -)</p>	 <p>Lack of sanitary services as well as food and shelter</p> <p>%15 (+ →)</p>	 <p>Scarce land production therefore food shortage and inability to work</p> <p>%50 (+ →)</p>	 <p>Inability to enjoy good vital surrounding and a place to live healthy</p> <p>%65 (+ →)</p>	
<p>Fulfilment: 36.25%</p> <p>PROTECTION</p>  <p>People is not safe from displacement , cannot define livelihoods autonomously (i.e. Alcantara people displaced: not able to fish & harvest - relocation at infertile lands)</p> <p>%15 (+ →)</p>	 <p>No institution to watch human security for Quilombos (food, work, housing, health and education threatened)</p> <p>%25 (+ →)</p>	 <p>Family cohesion is strong, but still they search coherence with their cultural values to protect their identity.</p> <p>%65 (+ →)</p>	 <p>No safe vital surroundings in resettlements (i.e. Alcantara: teenage pregnancy, drug use and prostitution)</p> <p>%0 (+ →)</p>	
<p>Fulfilment : 26.25 %</p> <p>AFFECTION</p>  <p>People lack of dignity , self-esteem, sense of belonging</p> <p>%25 (++) →</p>	 <p>Land & territory are crucial part their cultural sense of belonging, family and friendship are being fragmented</p> <p>%65 (+ →)</p>	 <p>Community values coerced – collective discontent</p> <p>%65 (+ →)</p>	 <p>No sense of having a home</p> <p>%15 (+ →)</p>	
<p>Fulfilment : 26.25%</p> <p>UNDERSTANDING</p>  <p>Racial prejudgments and general ignorance about Quilombos culture</p> <p>%50 (+ →)</p>	 <p>Children starting school at 10 years of age</p> <p>%25 (← - -)</p>	 <p>Population ignorance about rights and obligations, feeling overwhelmed from complicated judicial procedures</p> <p>%15 (← -)</p>	 <p>Distancing from nature at multiple levels (livelihoods, education, religious) Families not being cultural backgrounds and knowledge references anymore</p> <p>%15 (← -)</p>	

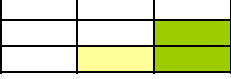
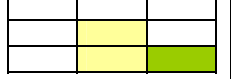
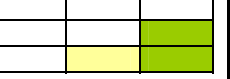
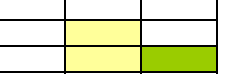
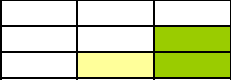
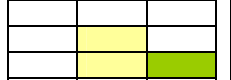
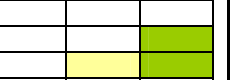
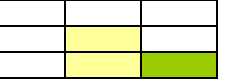
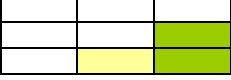
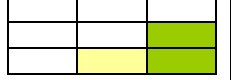
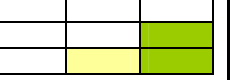
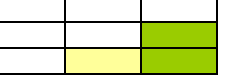
<p>PARTICIPATION</p> <p>Fulfilment : 25%</p>	 <p>Low cultural recognition inhibits participation therefore cannot potentiate responsibility, commitment, receptivity, etc..</p> <p>%25 (++)→</p>	 <p>No land recognition or ownership reduces participatory mechanism</p> <p>%25 (+→)</p>	 <p>Community participatory activities seemed constrained due to lack of land ownership –this is also the motivation to start collective actions to achieve land concessions</p> <p>%65 (+→)</p>	 <p>Isolation and inability to interact collectively for common goals</p> <p>%50 (←-)</p>
<p>LEISURE</p> <p>Fulfilment : 25%</p>	 <p>People have no lack of worry. No time for leisure fighting for subsistence. Uneasiness, disorientation, and feel discriminated</p> <p>%25 (←-)</p>	 <p>No sensitivity to local holidays or important dates for Quilombola community</p> <p>%25 (←- -)</p>	 <p>Not being able to celebrate/play/act in their own way</p> <p>%25 (+→)</p>	 <p>Low possibility to enjoy one's surroundings, inability to be happy with one's own environment.</p> <p>%25 (+→)</p>
<p>CREATION</p> <p>Fulfilment : 36.25%</p>	 <p>Quilombolas are traditional communities with great imagination and intuition</p> <p>%50 (+→)</p>	 <p>Collective division of work and exchange-product system is constrained</p> <p>%15 (←-)</p>	 <p>Difficulties without land ownership to adopt different schemes for livelihoods or remaining with old ones</p> <p>%15 (+→)</p>	 <p>Limited space for grouping, to express one-self. No spare time to create, investigate, etc..</p> <p>% 65 (+→)</p>
<p>IDENTITY</p> <p>Fulfilment : 42.5%</p>	 <p>Strong collective feeling And spirit , nature-friendly and religiously oriented which cannot flourish without a physical space</p> <p>%65 (+→)</p>	 <p>Lack of recognition – (Customs, traditions, social, cultural and economic conditions which make them differ form other groups)</p> <p>%65 (+→)</p>	 <p>Committing and self-defining is difficult to attain with the lack of land possession</p> <p>%25 (++)→</p>	 <p>Areas of belonging are not being recognized, therefore collective identity and common surroundings are in serious threat</p> <p>%15 (+→)</p>
<p>FREEDOM</p> <p>Fulfilment : 16.25%</p>	 <p>Autonomy and self-determination are constrained</p> <p>%0 (++)→</p>	 <p>Equity of rights constrained / severe deprivation</p> <p>%15 (+→)</p>	 <p>No option for disagreeing, devalued-diminished sense of freedom</p> <p>%25 (+→)</p>	 <p>Quilombola communities are unable to BE and DO what they value in their own environment</p> <p>%25 (++)→</p>

Notes:

- Desk review was useful to describe relevant information about constrains, but also about positive issues entailing the community of our concern.
- The small table within each square, represents the trend of a given situation observed through a particular dimension. Each colour combination has a corresponding value which represents the percentage of fulfilment of that specific need and it is expressed at the end of every square with a number.
- The total fulfilment/satisfaction of that specific need is thereafter expressed under a percentage basis on the initial square with number from 0-100 (100% being the highest and therefore Human-Scale Development and self-reliance most important aims).
- Time trends indicate the possible drifts that any specific situation might face in the application of the policy. The trend is designated according to the available information gathered in the desk review and other participatory exercises. This is a picture of reality showing a present situation which might improve or deteriorate depending on the driving forces. However, stakeholders should define and discuss possible changing trends along the evaluation process.
- See Appendix V for charts

V) Elaboration of Propositional Matrix and satisfier characterization

Table 4.6 Propositional Matrix

Needs according to existential characteristics Needs according to axiological characteristics	BEING (Personal/collective attributes)	HAVING (Institutions, norms, mechanism, tools)	DOING (Personal/collective actions)	INTERACTING (Spaces and environments)
SUBSISTENCE Fulfilment : 70%	 S -physical health / Enough material goods to live a long a healthy life. Being healthy and enthusiastic people %75	 S - implementation of National Policy of Black Population Health for example (already started) %65	 S - advocating and campaigning for implementation of health programmes and land tenure acknowledge (already started) %75	 S - Improve sanitary, and living infrastructure for Quilombos (The National health plan is still somehow discriminatory: More focus needed in Black peoples particularities) %65
	Exogenous / Singular & Sinergetic	Exogenous / Singular	Endogenous / Synergetic	Endogenous / Singular
	Singular satisfiers – respond to those aspects tackling particularly health issues, whereas Synergetic ones, are those contributing to overall well-being and self-reliance of the person.			
PROTECTION Fulfilment : 70%	 S - autonomous self-defining %75	 S - develop housing, education and health legislation favouring Quilombos (promote as well customary law mechanisms) %65	 S - Advocating and campaigning (should be in the right direction) %75	 S - special social re-adaptation programmes for the youngest (difficult target group) %65
	Endogenous / Synergetic	Exogenous & Endogenous / Synergetic	Endogenous / Pseudo-satisfier	Endogenous / Singular
	Synergetic satisfiers contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. affection, freedom, participation) Pseudo-satisfier , because if campaigning last too long real actions for change will never come.			
AFFECTION Fulfilment : 75%	 S -Solidarity and respect for their values and collective identity %75	 S - Land entitlement (Is in actual process but should continue until all Quilombola communities have complete ownership of their lands) %75	 S - Campanha Nacional Pe la Regularizaçao dos territórios de Quilombolos (Campaigns of the kind will watch for their community values) %75	 S - Land entitlement (Land ownership will enhance converging spaces and a proper home) %75
	Exogenous & Endogenous /	Exogenous / Singular & Synergetic	Exogenous / Singular	Exogenous / Synergetic
	Synergetic satisfiers , contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. identity, protection, freedom)			

UNDERSTANDING				
<p>S-Collective conscience (having the right to preserve their culture, according to Brazilian Constitution)</p> <p>Fulfilment : 72.5%</p>	<p>S-Educational programmes more culturally orientated (i.e. formal implementation of law 10.639 –taught of Afro-Brazilian history)</p> <p>(Will take some time for real application)</p> <p>%75</p>	<p>S- Promoting capacity building on judicial tools to guarantee rights on land property and housing</p> <p>(Local Institutions like (CONAQ) are already doing workshops of the kind)</p> <p>%75</p>	<p>S- Communication without discrimination (family, school, and community oriented)</p> <p>(Educational and media strategies responding to affirmative action claims, www educational projects favouring racial-inclusive pedagogic practices)</p> <p>%75</p>	
Exogenous / Synergetic	Exogenous / Singular	Endogenous / Synergetic	Exogenous / Synergetic	
<p>Synergetic, satisfiers contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. identity, protection, subsistence, creation, leisure, freedom)</p>				
PARTICIPATION				
<p>S- Dialogue, solidarity, respect</p> <p>(Should take place in both ways)</p> <p>Fulfilment :57.5 %</p>	<p>S- Quilombos participation actively in public life and political decisions</p> <p>(When land entitlement has been achieved, participation will be enforced. This also means that participation is also the motivation to achieve this goal)</p> <p>%65</p>	<p>S- Campanha Nacional Pe la Regularizaçao dos territórios de Quilombolos</p> <p>Promoting importance of participation in public life is already taking place in communities</p> <p>%75</p>	<p>S- Workshops for capacity building in Human rights.</p> <p>Associations like CONAQ & COHRE (e.g), are concentrating in articulating initiatives on participation</p> <p>%65</p>	
Endogenous & Exogenous / Synergetic	Endogenous / Synergetic	Endogenous / Singular	Endogenous / Synergetic	
<p>Synergetic satisfiers, contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. affection, identity, understanding, freedom)</p>				

LEISURE				
	S -Solidarity and respect for their values and collective identity / Imagination & tranquillity	S -Observance of local holidays and important days for Quilombos (Might take place if entitlement is achieved and autonomy is acknowledge, however it is conditioned to local governmental approval)	S -New ways of having fun and celebrate (Might take place if entitlement is achieved and autonomy is acknowledge)	S - Land tenure and ownership to feel free to enjoy time for leisure activities (Might take place if entitlement is achieved, although space for leisure should be more specified and valued)
Fulfilment : 66.25 %	%75	%65	%75	%50
	Endogenous & Exogenous / Synergetic	Exogenous / Pseudo-satisfier	Endogenous / Synergetic	Endogenous & Exogenous / Synergetic
Synergetic satisfiers , contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. identity, understanding, affection, freedom) Pseudo-satisfier , because if the action only concerns the observance of local holidays with no real intention of cultural recognition, the satisfier will risk to reduce its effectiveness in the long term.				
CREATION				
	S - Creativity, autonomy	S -Land entitlement and ownership for once	S - Campaigns in favour of Quilombola community recognition and dialogues w/ other regions (Are already taking place)	S - Land tenure and ownership to feel free to use spare time for create (Might take place if entitlement is achieved, although space for creation should be more specified and valued)
Fulfilment : 63.75 %	%75	%65	%65	%50
	Endogenous / Synergetic	Exogenous / Synergetic & Singular	Endogenous / Synergetic	Endogenous & Exogenous/ Synergetic
Synergetic satisfiers , contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. freedom, protection, participation, leisure)				

IDENTITY				
Fulfilment :72.5 %	<p>S-Solidarity, Authenticity</p> <p>(Is something that distinguishes Quilombola communities)</p> <p>%75</p>	<p>S- Mechanisms on Human Rights observance and respect for minority groups</p> <p>(i.e. FIPIR,CNPIR,SEPPIR, but should be aware of particularities of Quilombos)</p> <p>%75</p>	<p>S- Campaigns in favour of Quilombola community recognition and dialogues w/ other regions</p> <p>(Are already taking place)</p> <p>%75</p>	<p>S-Campaigns to conscience people and governments on the importance for natural spaces and its relation to Quilombo identity</p> <p>(Are already taking place but need to multiply)</p> <p>%65</p>
	Endogenous / Synergetic	Exogenous / Synergetic	Endogenous / Synergetic	Endogenous & Exogenous / Synergetic
Synergetic satisfiers, contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. freedom, protection, participation, leisure, affection, creation)				
FREEDOM				
Fulfilment : 75%	<p>S- Respect, recognition and Self-reliance</p> <p>%75</p>	<p>S-Justice through mechanisms on Human Rights observance and respect for minority groups</p> <p>(FIPIR,CNPIR,SEPPIR, National Policy for the Promotion of Racial Equity / Racial Equity Statute)</p> <p>%75</p>	<p>S- Campaigning and participating to reach ownership and recognition i.e. workshops for capacity building in Human rights)</p> <p>(Are already taking place)</p> <p>%75</p>	<p>S- Appropriate spaces and environments to feel free and be able to BE and DO what Quilombola people value</p> <p>(Programs like: "The colour of culture", "Singing history", "History & Afro-Brazilian culture project" should be driven towards the enhancement of spaces to fulfil this need/deprivation)</p> <p>%75</p>
	Exogenous & Endogenous / Synergetic	Exogenous / Synergetic	Endogenous / Synergetic	Exogenous & Endogenous / Synergetic
Synergetic satisfiers, contribute to overall well-being and self-reliance of the person as they satisfy simultaneously other needs (e.g. protection, subsistence, participation, leisure, creation)				

Notes:

- Desk review was useful to describe relevant information about those initiatives programs or activities that in one way or another support the fulfilment of that particular need and existential dimension. These are all marked in red colour. However, accuracy of the evaluation exercise will depend on the **participatory approaches used!**. Satisfier listing, should result from vast participatory processes including as many stakeholders and interest community(ies) as possible.
- The small table within each square, represents the trend of a given situation observed through a particular dimension. Each colour combination has a corresponding value which represents the percentage of fulfilment of that specific need and it is expressed at the end of every square with a number.
- The total fulfilment/satisfaction of that specific need is thereafter expressed under a percentage basis on the initial square with a number from 0-100 (100% being the highest and therefore Human-Scale Development and self-reliance most important aims).
- Satisfiers classified as **Singular** aim to embark upon a very specific action regarding the fulfilment of a particular need.
- Satisfiers classified as **Synergetic** attain this attribute because of their ability to fulfil other needs simultaneously and depending on the case, all other needs being fulfilled are listed in the correspondent rectangle.
- Satisfiers classified as **Pseudo-Satisfiers** represent actions with they may, on occasion, annul, in the medium term, the possibility of satisfying the need they were originally aimed at.
- See Appendix V for charts

VI) Charts and Graphs for analysis

All the information contained inside the matrixes represent various ways and important features to work for positive change in Human Development Policy. In order to enrich the interpretation and usage of the matrixes, a series of charts were prepared to summarize all the information and valuable conclusions entailed. The graphics are useful in demonstrating changes in trends more accurately, misrepresentation of certain dimensions and oblivion of certain needs at times. However, considering that this particular analysis represents utterly, the main outcome of this evaluation; all the charts and graphs will be described in the following Chapter (Chapter V, Analysis and Results)

VII) Outcomes of the Evaluation

It must be said that the valuation methodology here presented, was meant to facilitate the previous step before policy reform in order to achieve more holistic outcomes (see again Figure 4.2 in section 3 of this Chapter on HD Policy assessment). Different policies could be evaluated through the same process drawing a map route for further policy proposals, reprioritization of future policy orientations, legislative and regulatory reforms, but also for institutional restructure. The matrixes and graphics that will be presented promptly will provide a functional tool for better decision-making and therefore to achieve some of these possible changes.

Chapter V.

Analysis and Results

1. Foreword

No extensive prelude is necessary to be given in this Chapter, since the following sections were prepared to expose, some of the most important outcomes resulting from the analysis of the completed research work. Firstly, the results obtained from the evaluation will be provided since it was considered of prior order and more convenient after reviewing the evaluation on Chapter IV. Other results and analysis will be described more generally afterwards. This Chapter is hence, a briefing of in the most relevant issues approached and reviewed along the last four years of study.

2. Results and Analysis on the Evaluation Exercise⁷⁷

Overall, outcomes and most relevant insights of the evaluation could be categorized as follows:

a) The Situational Matrix (Figure 5.1) changes when complementary satisfiers (acknowledging the four existential dimensions of being, having, doing and interacting) are incorporated in the Propositional Matrix (Figure 5.2). However, sometimes, the lack of information and/or oriented actions might reflect a gap or a vacuum of proposals to address those particular constrains. Upper chart demonstrates a clear misrepresentation of some of the dimensions and overall, the need fulfilment feature facing general deprivation. The Propositional Matrix Chart on the contrary, shows evident balance and quite high general. The aim of H-SD in this logic, is for policies to perform integrally, therefore trends will show a remarkable positive improvement on “need fulfilment” among all four dimensions holistically.

⁷⁷ See Appendix V for methodology of analysis and correspondent tables.

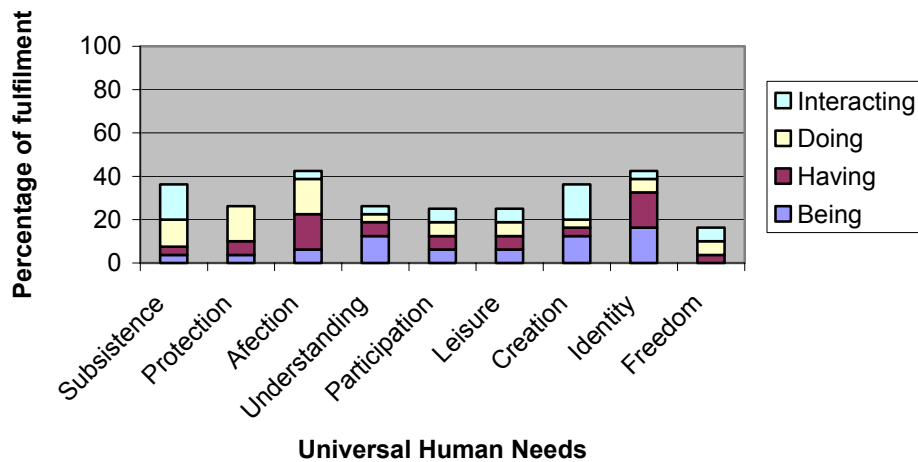


Figure 5.1 Situational Matrix Chart.

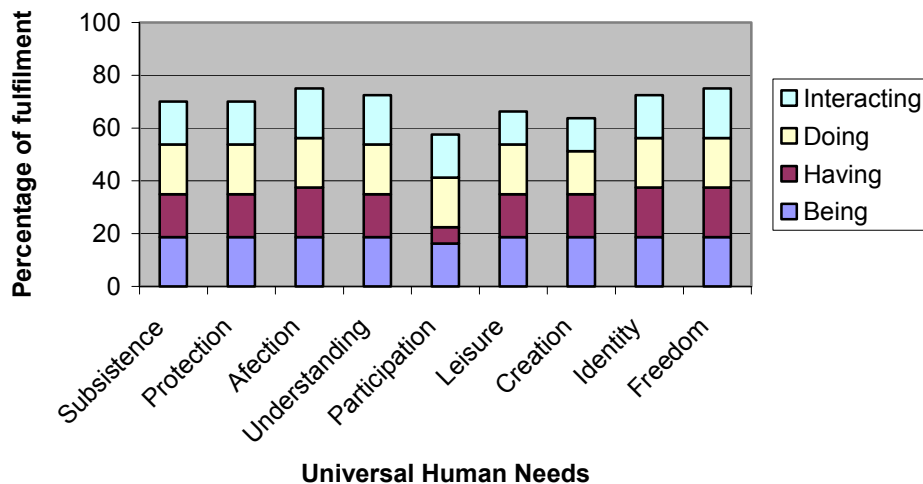


Figure 5.2 Propositional Matrix Chart.

b) Another way to analyse the four dimensions interacting systemically is shown in the next pair of Figures (5.3 and 5.4). These type of graphics might help to identify deprivations and potentialities, and even dimensions not being considered in policy-making. Notice how the “being” aspect is not dimensioned in the need for freedom; which utterly means that individual and collective attributes are not been considered or encouraged properly to potentiate the realization of this need. The protection for instance, lacks an interacting space and makes sense when the situational matrix reveals a profound housing and land ownership problem for Quilombola communities. The bottom chart assumes the positive interaction of satisfiers fulfilling this need and

the percentage raising notably. The following graphics show fulfilment of the four dimensions independently:

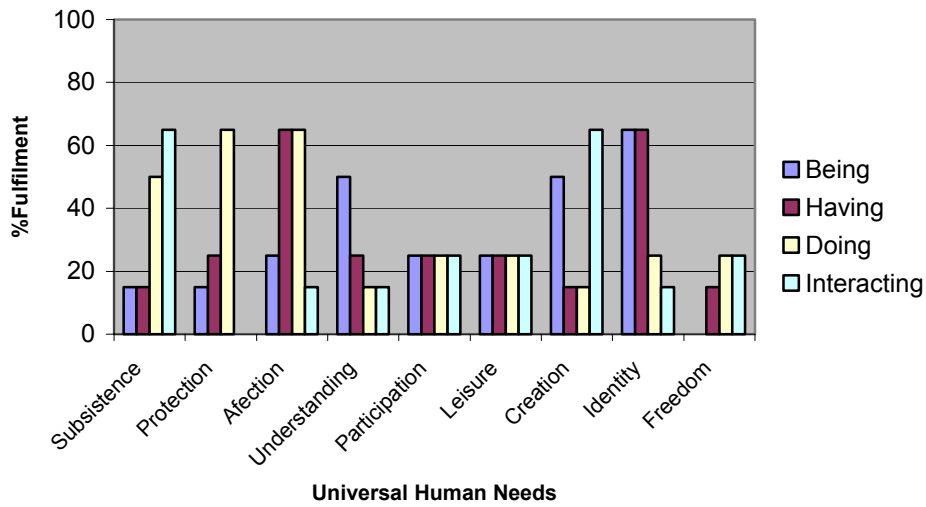


Figure 5.3 Situational Matrix Chart with dimension specificity.

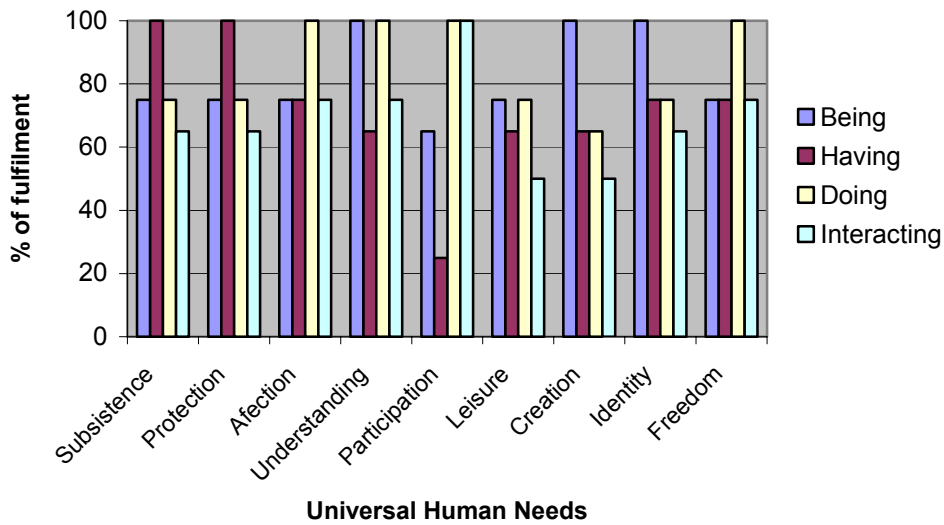


Figure 5.4 Propositional Matrix Chart with dimension specificity.

c) Consequently, the average of gross fulfilment percentage could also provide information on how needs are being fulfilled or realized in both cases; situational and propositional. Note that average shows great inconsistency in upper figure contrasted with lower one, an not even reaching above the 60% level. The variance on the propositional matrix is quite moderate, thus, one can affirm that need fulfilment is

ultimately achieved and holistically expressed; all needs are being considered and achieved meanwhile for instance, the leisure aspect seems to be completely undervalued. If Quilombola communities have no defined space where they can potentiate their “identity” (which for example, in this case is comparatively high) the chance to develop spaces and opportunities to create, invent, imagine, be curious, play, relax and dream; are subsequently constrained.

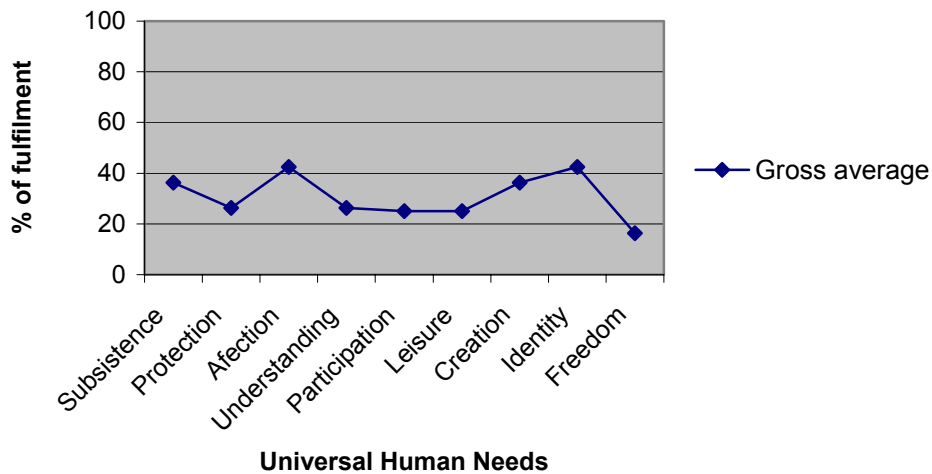


Figure 5.5 Situational Matrix Chart with average percentage need fulfillment.

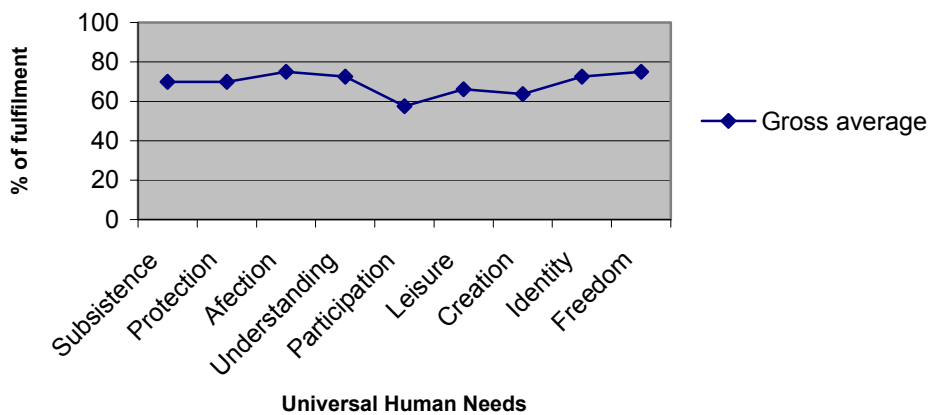


Figure 5.6 Propositional Matrix Chart with average percentage need fulfillment.

d) The possibility to analyse the four “existential characteristics” independently helps to identify the average percentage of dimension performance. One can observe the low levels reached in need fulfilment in Figure 5.7, and still show some inconsistency in Figure 5.8 despite the increasing of percentage values. It is important though, to take notes on those dimension where actions are still pending to be implemented in order to tackle limitations for certain dimensions which face difficulties to be potentiated. Limited resources of all possible nature, (i.e. economic, human, institutional, etc.) might restrict the development of programs to support actions that might afterwards enhance an existential dimension. This charts provide valuable information on those areas which might need special attention when applying policy reforms (the *having* aspect i.e. norms, institutions, laws, mechanisms should be implemented or re-enforced for good policy performance, but also the *interacting* feature i.e. spaces and atmospheres should be considered as important elements to include in budgetary programmes, spatial planning and other similar arrangements.

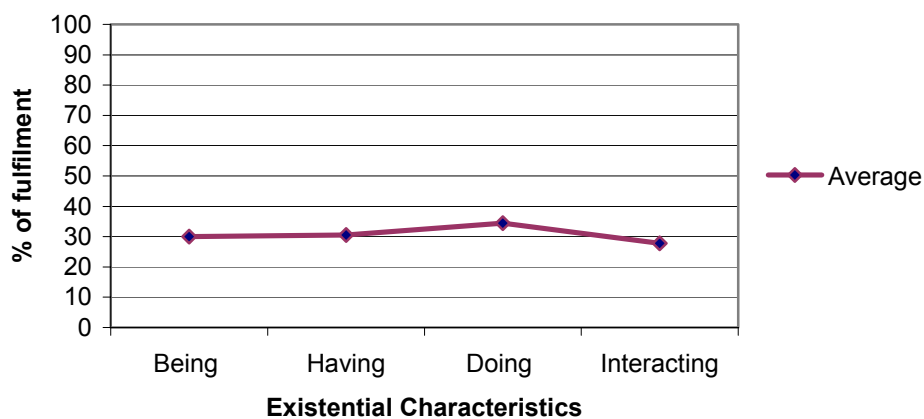


Figure 5.7 Situational Matrix Chart on average percentage of dimension interaction.

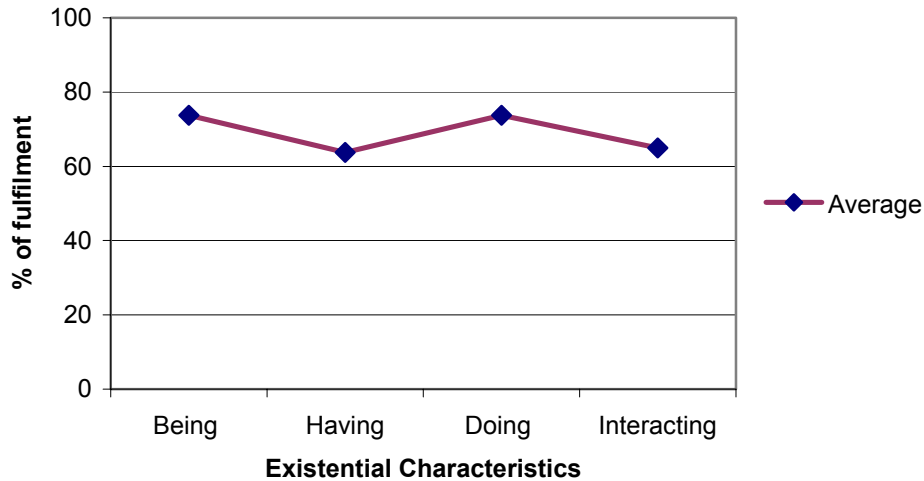


Figure 5.8 Propositional Matrix Chart average percentage of dimension interaction.

e) Finally, the “estimated improvement” either in absolute or relative terms can provide additional information on how changes have been achieved in numerical terms. Figure 5.9 shows need-realization in percentage points. The values demonstrate the improvement attained comparing two series of information; i) a need fulfillment-deprived situation and ii) a need-fulfilment scenario after the policy has been implemented and satisfiers have been incorporated.

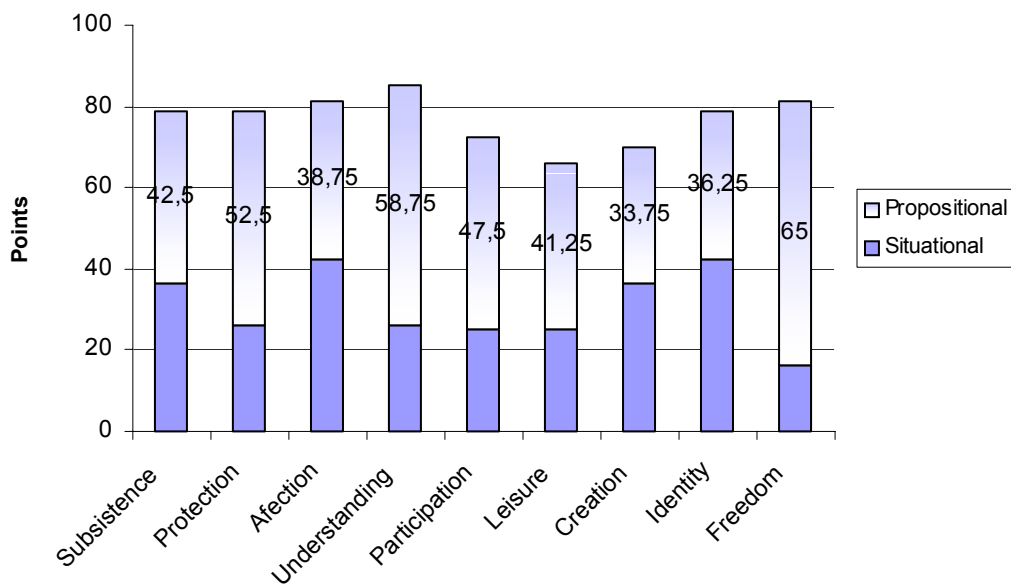


Figure 5.9 Estimated improvement in percentage points (comparing both matrixes).

Contrarily, results in Figure 5.10 show improvement according to an initial situation (i.e. the situational matrix). It provides information on the visible changes appreciated based on a past situation indicating achievement compared to an the initial point.

Therefore, if freedom and understanding have improved more than 200%, this means, that quite notable changes have taken place after the incorporation of propositional satisfiers. In other words, whenever Quilombos have had their land empowered and the appropriate institutions, laws, campaigns, projects and suitable spaces; **freedom** [self-reliance, volition, equity of rights...] and **understanding** [self-defining, critical conscience, analyse, meditate] will most likely flourish. If any particular need is being left behind, then other specific incentives could be prepared with the purpose of undertaking this gap. Nevertheless, for instance, the leisure and protection aspects will experience great potentiality to be articulated, even when they are characteristics of human lives that have been constantly disregarded.

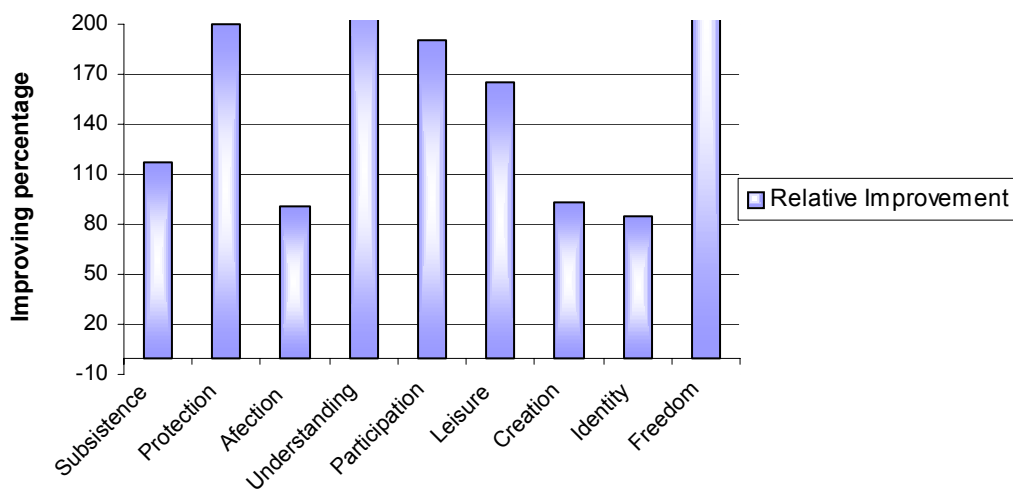


Figure 5.10 Estimated relative improvement (in Propositional Matrix).

3. Other outcomes worth of acknowledgment

The conceptual merge on Chapter III, aimed to suggest a new emerging concept which is recently very modestly described. The incorporation of some of the sustainability dimensions to the Human Development approach intended to contribute positively in the creation of a more solid conceptual base to talk about Sustainable Human Development.

The contribution though, has nothing to do with the *greening* of the notion but on the importance of incorporating *integrality* and multidimensionality. For various elements where provided to help in the construction of a definition.

- Sustainability as a hypothetical state of an adapting process in which the social, the economic and the biological subsystems integrate a set of human-attributed goals and functions.
- Sustainable Development entailing social objectives according to human values scales and needs.
- `Human system´ must acknowledge different dimensions of well-being resulting from the interaction of multiple systems within the vast diversity of development possibilities.
- Constructing a Sustainable Human Development notion implies finding a way to express human flourishing as a universal need or goal.
- HD and Sustainability issues must find coherence and balance between their means and the ends in order for them to coexist through time, in freedom, equality and solidarity.
- But also, that Sustainability should prevail as an intergenerational pledge along the years to come.

Chapter II entailed a series of debates where the two main theories of this research where put together, aiming to have them both looking at each other. The intention was to enrich the Human Development notion in conceptual and operational terms. Hence, main outcomes of some of the most important discussions are listed below:

- Understanding of the H-SD and the CA of human flourishing
 - **H-SD** - Development refers to people and not to objects. Where the best development process will be one that raises people's quality of life.

Concentrating in the satisfaction of fundamental human needs and the generation of growing levels of self-reliance; and in the construction of the organic articulations of people with other related aspects of their lives.

- **CA-** Development is understood as the process of expanding the real freedoms that people enjoy, where development, progress and the reduction of poverty occur as a result of people having freedom and expanded capabilities.
- The Capability Approach criticizing the usage of Basic Needs approaches to evaluate Well-being.
 - Human –Scale Development could be categorized within the Basic **Human** Needs theories framework, disassociating itself from the utilitarian view of Basic Needs. But most important is that from the set of Human Needs approaches, it differentiates from main stream allusions.
 - H-SD responds to critiques made by Sen on the usage of this approaches. The Summarized Dialogue in Table 2.3 (Chapter II) provides a general view of key issues discussed and defended.
- Sen's agency aspect and H-SD self-reliance feature in Human Development
 - Participation is a key aspect for both theories.
 - The CA centres on the results expressed in the evaluative spaces throughout individual freedom achievement.
 - H-SD concentrates on the process of how this freedom is attained.

Finally, Chapter I has put forward a particular view on how, two main conceptual shifts have shaped a new understanding of the development paradigm. The introduction of a historical partition of the concept was useful to situated the emergence of new paradigms as well. Therefore, conceptual shift number one represented the study of the human-nature dichotomy, and the second one; the early stages of drawing the lines towards a development with a human face. The first one correspond thus to the intrinsic multidirectional and systemic relation between human beings and nature. And the second, to the importance of humanising these multiple relations in the midst of a changing and globalized world.

Chapter VI.

Conclusions and further Recommendations

1. Conclusions

After thoughts on the Evaluation Exercise

After conducting an assessment of the kind, one can assert that evaluating HD policies is certainly, no easy task!. However, it is more and more becoming a matter requiring mayor attention. Important though, is to maintain a real systemic approach at all times. Firstly, when selecting the target policy and later, throughout the complete assessment. The aim is thus, to assure that this framework provides and moreover enhance, a real holistic view regarding Human Development policies.

According to the charts and matrixes demonstrated in previous Chapters, key insights of the evaluation exercise are:

- a) It was possible to have a **general view** of deprivations and potentialities as well as to identify a large picture of the fulfilment of Human needs interacting holistically. The charts presented gave clear evidence of the possibility to change trends towards better outcomes in HD policy-making.
- b) By demonstrating needs independently and their potential achievement through the four existential characteristics or dimensions; it was easier to propose specific actions to **tackle deprivations and to enlarge potentialities**.
- c) By representing the gross average of need fulfilment it was possible to define main trends and behaviours where shifts were predicted in positive or negative terms. **The systemic realization of human needs** through their four existential dimensions stood as a good indicator of policy performance.
- d) **How dimensions perform systemically** revealed as well deprivations and potentialities, but also interaction and interdependency among them. Deprivations were as well tackled and identified to be taken into account for better policy orientation.
- e) Numbers are always useful for policy-makers. Therefore, facts on the **“estimated improvement”** of quality of life due to good satisfier performance was an extremely valuable outcome. Special measures could be undertaken for those needs where fulfilment seems to be far away from best possible.

- f) Other issues such as the categorisation of satisfiers as *endogenous* or *exogenous* gave further suggestions to develop bottom-up incentives or advocating for top-bottom actions. This case need both, to result more or less equally, but in other cases might be useful for effective policy action.

These are again, examples of the type of information that could be extracted from a valuation exercise of the kind. However, it is possible to be re-adapted according to the case. As the methodology will be refined and used, new challenges might need to be faced and other elements could be incorporated such as benchmarking indicators, other alternatives to assign values, and so forth.

On more theoretical and conceptual aspects of the research

The **historical approach** was useful to this research, in the sense of giving a particular characterization to the development notion time-line. The idea of pointing two conceptual shifts in the concept namely; the development-environment dichotomy and the perception of “development with a human face”; situates the emergence of recent development paradigms under their very specific time and circumstances. Indeed, this might help to better contextualize a research topic such as the one that was here presented.

Describing some of the **most relevant aspects entailing the philosophical bases** of the theories exposed, might have been quite extensive, but was indeed important to examine their most inner aspirations. This work was keen on **introducing alternative theories** equivalent to other development mainstream assumptions. In this regard, the humanistic economics stream was introduced and thereafter the Human–Scale development approach was exposed as an extended arm of this theoretical framework.

Human well-being has been interpreted and depicted throughout so many ways, that the oblivion of some original ideas and illustrations will be unfair in the writing of development history. For this reason, the effort of bringing back main elements of different theories was so significant. This task, was however difficult to accomplish, since mainstream perceptions tend much to get a good hold of their assumptions, and the introduction of novel thoughts recapturing - sometimes forgotten theories- is easier said than done. This was as well experienced in the intention of publishing articles and presenting papers in conferences and other academic fora. The H-SD approach for

example, was quite popular along the 1980s and had great acceptance within a large range of Latin American countries but present development academics are not really aware of approaches as such; hindering dialogue and more wide communication among now and then theories. Another thing, for instance, is the language used in the literature, which might seem a bit 'out of style' but still their content appears very recent and up to date. As a result, this is one of the reasons why, some of the discussions in Chapter II needed to take place. These were namely, the Basic Needs, vs Human Needs debates, the understanding of participation and freedom within development processes, the self-reliance and agency dialogue, and the application of methodologies for well-being evaluation. This without ruling out other polemic aspects such as the measuring and operationalization queries between the two approaches.

The effort in incorporating new ideas was prolonged in the assimilation of having **two paradigms amalgamated into one**. The **Sustainable Human Development** notion was here described, as emergent concept which could be better re-defined and constructed. Some theoretic backgrounds were given to contribute to this core, though it is important that key institutions working with both concepts, start to identify the multidimensional and interdependent implications within. Sustainability is now a principle applied to many aspects of life, and the policy assessment exercise was a creative way to put theory and practice together. The intention was to prove that whenever Human Development policy-making processes are attained through multidimensional and holistic strategies; the integrality and multidimensionality of development could be somehow articulated.

When I. Sachs has said that;

"the sustainability criteria must be met in each relevant dimension of [any] type of development. Social and cultural sustainability, ecological, environmental and territorial sustainabilities, economic sustainability and therefore political and institutional sustainabilities; all understood national and international wise" (1999,31-32).

I believe he is utterly right. And on the particular endeavour of, [giving further ideas to attain the integral sustainability of Human Development] I hope this work has contributed in any modest way.

2. Recommendations

Attributes and limitations of the Proposed Evaluation Methodology:

One of the main **attributes** of this methodology are the implicit *systemic* and *holistic* approaches. The non-hierarchical relations established among needs and their intrinsic existential dimensions provide interdependency conditions to loom different kinds of situations. Consequently, the method aims to be a user-friendly tool where a series of instruments help policy-makers visualize and understand Human Development attainment as a multidimensional aspect of life. This special feature has always been difficult to operationalize and furthermore to apply in policy-making issues due to its complexity and inter-reliant objects. In this sense, the evaluation tool presently tested, was intended to overcome this difficulty by the application of the humanistic framework of the Human-Scale Development Theory.

Limitations are as well acknowledged along the process and these are indeed important in order to ameliorate the application of the tool. In the first place the accuracy of evaluation depends extremely on the proximity, understanding, active participation and study of the interested community and participatory approaches used throughout the evaluation. Desk reviews are very useful but ideally, the propositional satisfiers should materialize as a result of a vast cultural, social, environmental, economic, and political review and in-depth recognition exercise within the people and stakeholders involved.

Important is also, that NHDRs must address policy recommendations within. Otherwise, NO policy could be evaluated in this context. Even when the NHDR Corporate Policy (2000) encourages countries to lead independent Report elaboration, occasionally, governments have intervened direct or indirectly to prevent HDR-teams to make recommendations or policy guidelines for review. That was the case of the Mexican HDRs whose policies were not able to be evaluated as case study, since they were no real policies or recommendations likely to be evaluated in neither the two edited National Reports.

Lastly, some issues to adjust for better application of the methodology could be new ways or ideas to handle uncertainty. Subjectivity could pose a problem to some policy-makers, although, in human and social issues, it is always something hard to stay away

from. A possibility could be e.g. to develop an open-ended indicator-set to better measure attainment, which might risk to restrict the methodology to that particular set. In any case, the opportunities to contribute to the betterment of the tool are always welcome and could represent further research on the field.

Finally, a comparative exercise could be arranged to examine key outcomes resulting from the UNDP Evaluation process conducted by the Evaluation Office in 2005 and the Policy assessment presented in this dissertation. The analysis could be as well interesting since it may show two different ways of evaluating impact of the Reports. On one hand, regarding external issues such as intellectual debates, media coverage, etc.; and on the other, the real human impact on expanding opportunities and realizing human needs holistically.

3. Cross-cutting issues for further research

Making a short list of cross-cutting issues which could be incorporated to the Sustainable Human Development field was just an idea to encourage constructive thinking and suggest additional research subjects in future related studies and which this work has no further space to develop. This short list was thought to picture other possible *sustainability* interrelations that might come across in future debates.

Firstly, the issues on *where* sustainability comes from?, *what* sustainability is?, and *How* it must be?; seems to be a theoretical field where some **scientific consensus** should be pursued. With the intention of finding common ground for interacting and interrelate according to its interest.

In absence of a common point of departure (such as a common definition on sustainability), it would be impossible to follow visionary directions that would lead to the same endpoint of achieving a sustainable world” (Mebratu 1998;25).

Secondly, the concern on **ethics emerging from the SD discussions**. Where remarkable tensions exists at both, practical and theoretical levels according to Mebratu (1998). SD operationalization raises moral questions. And is indeed, becoming a key issue to understand the real impact and meaning of such a complex matter; keeping in mind the diversity of possibilities.. Although, inconsistencies of values and models of doing this might come to sight and will certainly open new debates along the coming years. The field must therefore remain strictly open and the

emergence of different operationalization, implementation, assessment and monitoring models must appear to cover this moral question in a constructive debate.

Thirdly, topics on **governance and the emergence of a sustainability culture** are suggested to be deeply considered in this discussions. The transition towards “perceivable” sustainability/es requires individuals and groups understanding, feeling and acting according to a set of non-exclusive social, political, economical, moral and environmental values. The focus comes around issues such as clear measures to spread a sustainability culture and to make acceptable many of the SD principles.

To move towards this purpose, Choucri proposes the articulation of *new thinking on sustainability* (1999,146) (meaning the integrative approach to policy and strategy interface) and the definition of a *political logic of sustainability* (i.e. the formulation of basic equations and functions of development processes). Focusing on the fact that in order to attain the institutionalisation of a sustainability culture, more should be said and accomplished to consolidate good governance systems in societal and environmental terms. Whereas much of the discourse has centered on describing characteristics of efficient governments without defining concise strategies.

Lastly, women empowerment in development has become a central process. Amartya Sen (1999) and more accurately Martha Nussbaum (1995,1999,2000) had strongly encouraged research and the enhancement of a more ‘feminine light’ to tackle Human Development issues. The proposition on reviewing ‘**the feminization of the sustainability process**’. Is an urgent need to recover the sense of biological management which -according to Folch (1997)- is connatural with the female condition. He believes that women can manage complexity better than men, and criticizes a dominant male model, which has transcendently failed (1997). Some approaches regarding the value between nature and the spiritual linkage implied in sustainability issues, embark upon the broken balance of genders as a result of modified social, economic, environmental and cultural structures. A large number of authors have depicted on this for quite some time now and I see no reason why not to explore further links in this direction.⁷⁸

⁷⁸ See for instance: Mies and Shiva, 1993; Sitirak and Mies, 1998; Seager, 1993; Braidotti *et al.*, 1993) only to mention a few.

4. One final thought ...

Needless to say, that during the last years, the study of many of these subjects has indeed shaped my own perception of reality. After all, one of the most valuable lessons learned through all these readings, was that an individual human being may be studied as a system; that all features in peoples lives are interdependent and interact within one another. Therefore Human Sustainable Development should take place within three levels; the self, the group(s) one feels identified with, and the environment surroundings.

For all this, the present research was for me, the setting of the building blocks for future exploration on new ways of human interaction in the search for better societies communicating coherently within the three dimensions previously mentioned. Even when resembling utopic, for this purpose, utopia represents nothing but the motivation, the will and the conviction that something as complex as achieving Sustainable Human Development is utterly possible. Just like Eduardo Galeano once said on his “Window on the utopia”;

Utopia stands still in the horizon (...)

I walk two steps closer, and it moves two steps away;

I walk ten steps forward, and the horizon moves ten more steps away;

No matter how far I walk, I feel I will never reach it.

Then what do one needs utopia for?

Exactly for that!: to keep on walking.⁷⁹

“Ventana sobre la utopía”

Ella está en el horizonte (...)

me acerco dos pasos,

ella se aleja dos pasos.

Camino diez pasos

y el horizonte se corre diez pasos más allá.

Por mucho que yo camine, nunca la alcanzaré.

¿Para qué sirve la utopía?,

Para eso sirve: para caminar.

Eduardo Galeano

⁷⁹ Translation is mine.

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Appendix

Appendix I

Main components and construction of the HDI

To build this Index, a methodology has been established to fix minimum and maximum values for its core indicators. Although sources on the following information is vast, and much has been written about it, a quick review of its main components will be made in order to depict the importance of the HDR's statistics resulting from the index but also to allege in further chapters that quantitative data hides many HD dimensions specifically for policy-making concerns.

Briefly on its main components; on first place *longevity* is measured by the life expectancy indicator, then *Knowledge* or educational success, evaluated by adult literacy and mean years of schooling and lastly, the *income* component, expressed by per capita Gross Domestic Product (GDP) in dollars (US\$) improved with the Purchasing Power-Adjusted real GDP.

According to ul Haq (2003,105) the HDI is constructed in three simple steps:

Firstly, minimum and maximum values are defined for the actual observed values of each of the three variables in all countries. The deprivation measure then places the country in the 0-1 range, where 0 is the minimum observed value and 1 is the maximum.

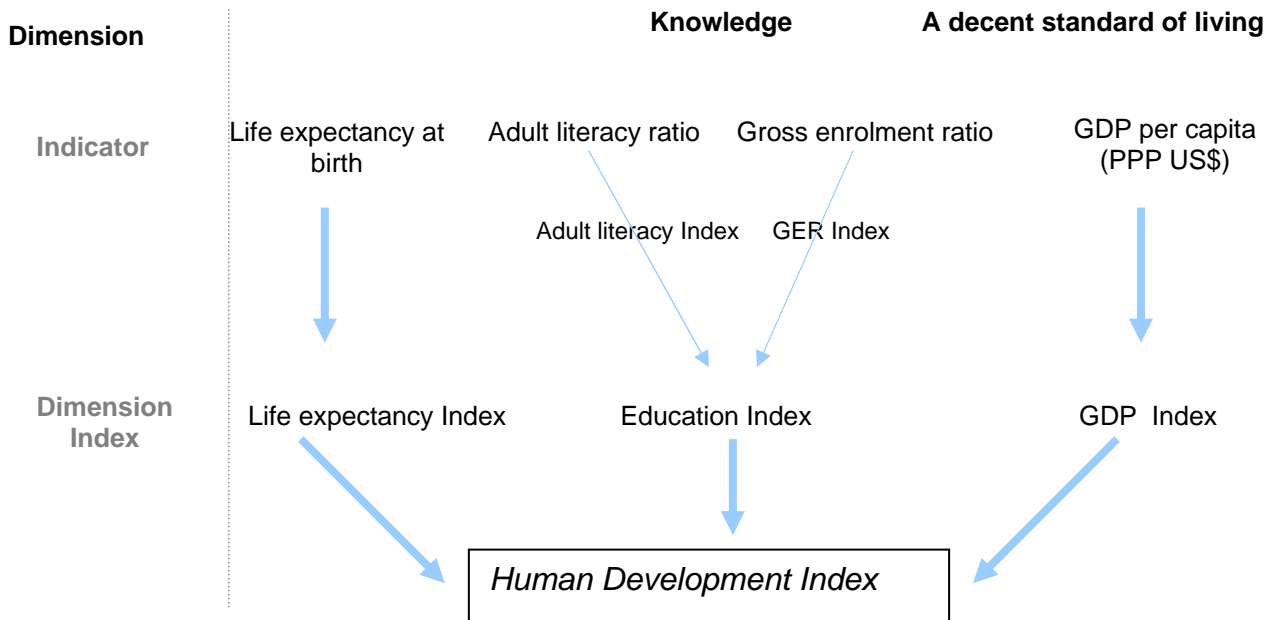
Second step is to compile an average indicator by taking a simple average of the three indicators (no specific weights are given to any indicator).

And thirdly is to measure the HDI as one minus the average deprivation index. The value of the HDI shows where a country is placed relative to other countries.

What is in reality important is the progress made and not the levels reached. Ul haq (2003) insists that the HDI is a potential measure; it helps identify how much distance has been covered, what has been achieved and how much remains to be done in order to attain development.

The following diagram gives a clear view of the HDI main components and aggregation as show in Diagram 1. (UNDP 2003,340).

Diagram 1. Methodological scheme for HDI



Maximum and minimum HDI indicator values (UNDP 2003,341)

<i>Basic Indicators</i>	<i>Maximum value</i>	<i>Minimum value</i>
Life expectancy	85 years	25 years
Literacy level ⁸⁰	100%	0%
(Combined gross enrolment ratio)	100%	0%
Per capita income	40,000 (PPP US\$)	100 PPP dollars

Performance in each dimension is expressed as a value between 0 and 1 applying the following general formula (ibid):

$$\text{Dimension Index}^* = \frac{\text{actual value} - \text{minimum value}}{\text{maximum value} - \text{minimum value}}$$

Human Development Index is calculated finally as a simple average of the three dimension indices:

⁸⁰ Educational success is calculated by combining literacy levels with the level of combined educational participation. It is calculated using the *gross enrolment level* and takes the maximum enrolment level as 100% and the minimum as 0%.

*This permits the combination of the values of the three components, which initially have different units of measurement.

Life expectancy index + Education index + GDP index

3

Therefore, a given country may have:

- **High Human Development** with values of between 0.800 and 1
- **Medium Human Development** with values of between 0.500 and 0.799
- **Low Human Development** with values of between 0 and 0.499, inclusive (UNDP 1993-2004).

Because of all this information given throughout the HDI, governments have found a popular and practical way of appraising their performances within the HDI computation and country ranking sited in the Reports which has actually set up HD as a valid indicator for policy-making. However the HDI, of course, is not without limitations and controversies.

Appendix II.

Participatory and inclusive preparation checklist (Burd-Sharps et al. 2005,13 – Ch.2)



CHECKLIST

PARTICIPATORY AND INCLUSIVE PREPARATION

Some necessary actions:

- Engage in early consultations with the government on process and funding.
- Partnership Mechanisms: draft terms of reference for and constitute steering committee, advisory committee and HDR team in consultation with national counterparts and other key constituencies.
- Ensure that the various groups meet regularly and in a disciplined manner, that they represent views of various sectors of the national community, and that their criticisms are constructive.
- Participatory Methods: develop any relevant activities to promote broad-based engagement, such as training, participatory surveys, etc.
- Establish mechanisms for communication and information sharing among those contributing to the HDR – regular meetings, email lists, etc.
- Involve and brief UNDP staff to enable them to be aware of HDR content and findings, and to incorporate new partners, HDR research and other valuable information into their programming and advocacy work.
- Liaise with MDGR team to ensure complementarity and synergy.
- Identify primary and secondary target audiences, define them in writing and share these definitions widely.
- Identify a follow-up group for advocacy and communications early in the proceedings.
- Set up a master file of core documents and maintain it actively.
- Establish a consultation and production time schedule.
- Organize consultations/seminars with readers and technical experts on the issues and perspectives to be reflected.

Appendix III.

Practical Guide to analysing policies (Burd-Sharps et al. 2005,3 - Ch.4)

BOX 4.1 THE EIGHTFOLD PATH – A PRACTICAL GUIDE TO ANALYSING POLICIES

1. Define the problem

- The problem should be framed in terms of deficit and excess.
- There should be a description rather than a diagnosis of the causes.
- The definition should not include an implicit solution (it must be evaluated empirically).

2. Assemble the evidence

- Information is factual data that has meaning; evidence is the presentation of this information in a manner that influences existing beliefs.

3. Construct the alternatives

- Address the problem starting with the alternative that assumes all present trends continue undisturbed.
- Each alternative must address not only the basic intervention strategy, but also must introduce the agencies that will implement the strategy and varying methods of financing.
- Do not assume that alternative policy options are mutually exclusive.

4. Select the criteria

- Evaluative criteria are used to judge the best outcomes.
- Criteria should be sorted into values that are

to be maximized, those that are constraints and those where more is better.

5. Project the outcomes

- Determine as far as possible the benefits and costs of the policy options.
- Identify unanticipated consequences.
- Indicate the values and the dimensions of the indicator to assess the outcomes.

6. Confront the trade-offs

- As trade-offs occur at the margin, ask if "spending an extra X dollars for an extra unit of service Y will lead to an extra Z units of good outcome".
- Measure trade-offs across outcomes rather than alternatives.
- Set up benchmarks, such as the basic alternative case when all present trends are allowed to continue.

7. Decide

- Select the best alternatives given the analysis.

8. Tell your story

- After many redefinitions of the problem, reconceptualizations of the alternatives, etc., tell the story to the defined target group.

Eugene Bardach. 2000. *A Practical Guide for Policy Analysis: The Eightfold Path to More Effective Problem Solving*. New York: Chatham House Publishers.

Appendix IV.

Quality of analysis checklist (Burd-Sharps et al. 2005,26-27 - Ch.4)



CHECKLIST

QUALITY OF ANALYSIS

Some necessary actions:

PURPOSE AND COHERENCE

- Identify a theme that is strategic and timely within the national context.
- Ensure the report is part of an ongoing and regular HDR publication series (every one to two years).
- Provide training on human development concepts, measurement and policy applications to core authors and other partners.
- Commission background papers by experts as needed.
- Prepare an outline – structure the HDR in a logical and coherent manner.
- Make sure there is synergy between analysis and data and a balance between description and analysis.
- Draw upon readers with specific expertise at various stages; convene readers groups as necessary.

HUMAN DEVELOPMENT ANALYSIS

- Provide a clear overview of human development (the theory within the national context).
- Analyse the theme from a human development perspective.
- Incorporate analysis on human development progress.
- Articulate people's perceptions in the report.

POLICY ANALYSIS AND RECOMMENDATIONS

- Convene an initial brainstorming meeting to agree on the principle positions and policy directions to which the report will seek to contribute.
- Design an analytical framework (research design, measurement and collection of data).
- Undertake and present a critical evaluation of relevant and existing policies.
- Undertake an analysis of policy alternatives, containing recommendations/options that are clear, concrete and realistic.
- Suggest institutions, rules, procedures and norms for implementing policy options and approaches.

QUALITY OF ANALYSIS CONT.



CHECKLIST

- Examine traditions, history and cultural norms, to evaluate the micro-level impact of policy change.
- Employ advanced techniques for policy analysis, such as cost-benefit analysis.

HUMAN DEVELOPMENT INDEXES

- Include a disaggregated HDI.
- Monitor human development progress using the HPI, GEM and GDI.
- Adapt existing human development indexes and/or develop new indicators to suit the national context.

DATA: SOURCES AND INTERPRETATION

- Identify data needs and, if desired, commission surveys. Include both quantitative and qualitative sources (i.e., surveys, public opinion polls, case studies).
- Incorporate data, when available, from a variety of sources, including the government, non-governmental groups and international organizations.
- Clearly source all data in the report.
- Provide time series and comparisons with other countries using relevant indicators.
- Collaborate with statistical users and producers to discuss methods and approaches that will institutionalize the collection of non-economic indicators and useful levels of disaggregation.
- Ensure quantitative/qualitative data are sufficient to prove the policy argument, while the missing data/biases are acknowledged and elaborated.
- Disaggregate data to capture disparities (spatial, gender, ethnic and regional) and identify key areas of focus for policy recommendations.

ANNEXES

- Include a bibliography with references on all background materials relevant to the preparation of the report.
- Provide a statistical note that includes data tables, technical notes, statistical references and definitions of statistical terms.
- Describe the HDR's process and methodology.

Appendix V

Methodology of analysis (Tables)

a) Situational Matrix

Tables for Situational Matrix

Situational matrix -percentage

	Being	Having	Doing	Interacting	% of fulfilment
Subsistence	15	15	50	65	36,25
Protection	15	25	65	0	26,25
Affection	25	65	65	15	42,5
Understanding	50	25	15	15	26,25
Participation	25	25	25	25	25
Leisure	25	25	25	25	25
Creation	50	15	15	65	36,25
Identity	65	65	25	15	42,5
Freedom	0	15	25	25	16,25
Average	30	30,5555556	34,4444444	27,7777778	30,69444444

Situational Matrix -Chart

	Being	Having	Doing	Interacting	% of fulfilment
Subsistence	3,75	3,75	12,5	16,25	36,25
Protection	3,75	6,25	16,25	0	26,25
Affection	6,25	16,25	16,25	3,75	42,5
Understanding	12,5	6,25	3,75	3,75	26,25
Participation	6,25	6,25	6,25	6,25	25
Leisure	6,25	6,25	6,25	6,25	25
Creation	12,5	3,75	3,75	16,25	36,25
Identity	16,25	16,25	6,25	3,75	42,5
Freedom	0	3,75	6,25	6,25	16,25
Average	7,5	7,63888889	8,61111111	6,94444444	30,69444444

b) Propositional Matrix

Tables for Propositional Matrix

Propositional - percentage

	Being	Having	Doing	Interacting	% of fulfilment
Subsistence	75	65	75	65	70
Protection	75	65	75	65	70
Affection	75	75	75	75	75
Understanding	75	65	75	75	72,5
Participation	65	25	75	65	57,5
Leisure	75	65	75	50	66,25
Creation	75	65	65	50	63,75
Identity	75	75	75	65	72,5
Freedom	75	75	75	75	75
Average	73,88888889	63,88888889	73,88888889	65	69,16666667

Propositional matrix chart

	Being	Having	Doing	Interacting	% of fulfilment
Subsistence	18,75	16,25	18,75	16,25	70
Protection	18,75	16,25	18,75	16,25	70
Affection	18,75	18,75	18,75	18,75	75
Understanding	18,75	16,25	18,75	18,75	72,5
Participation	16,25	6,25	18,75	16,25	57,5
Leisure	18,75	16,25	18,75	12,5	66,25
Creation	18,75	16,25	16,25	12,5	63,75
Identity	18,75	18,75	18,75	16,25	72,5
Freedom	18,75	18,75	18,75	18,75	75
Average	18,47222222	15,97222222	18,47222222	16,25	69,16666667

c) Estimated improvement (matrix comparison)

Table for estimated "relative" and "absolute" improvement

Estimated improvement Percentage points

	Being	Having	Doing	Interacting	Situational	Propositional	Improvement	
					% of fulfilment	% of fulfilment	Diff.	%
Subsistence	3,75	3,75	12,5	16,25	36,25	78,75	42,5	43,1818182
Protection	3,75	6,25	16,25	0	26,25	78,75	52,5	173,913043
Affection	6,25	16,25	16,25	3,75	42,5	81,25	38,75	71,957672
Understanding	12,5	6,25	3,75	3,75	26,25	85	58,75	183,333333
Participation	6,25	6,25	6,25	6,25	25	72,5	47,5	26,0869565
Leisure	6,25	6,25	6,25	6,25	25	66,25	41,25	165
Creation	12,5	3,75	3,75	16,25	36,25	70	33,75	36,5853659
Identity	16,25	16,25	6,25	3,75	42,5	78,75	36,25	36,9565217
Freedom	0	3,75	6,25	6,25	16,25	81,25	65	124,137931

Relative improvement

	Being	Having	Doing	Interacting	Situational	Propositional	Improvement	
					% of fulfilment	% of fulfilment	Diff.	%
Subsistence	3,75	3,75	12,5	16,25	36,25	78,75	1,17241	117,241379
Protection	3,75	6,25	16,25	0	26,25	78,75	2	200
Affection	6,25	16,25	16,25	3,75	42,5	81,25	0,91176	91,1764706
Understanding	12,5	6,25	3,75	3,75	26,25	85	2,2381	223,809524
Participation	6,25	6,25	6,25	6,25	25	72,5	1,9	190
Leisure	6,25	6,25	6,25	6,25	25	66,25	1,65	165
Creation	12,5	3,75	3,75	16,25	36,25	70	0,93103	93,1034483
Identity	16,25	16,25	6,25	3,75	42,5	78,75	0,85294	85,2941176
Freedom	0	3,75	6,25	6,25	16,25	81,25	4	400