HSD

Programme Document

First Planning Meeting

of the Project on

Goals, Processes, and

Indicators of Development

A Report

Dubrovnik, Yugoslavia, April 1977

THE UNITED NATIONS UNIVERSITY

From the CHARTER OF THE UNITED NATIONS UNIVERSITY

ARTICLE I

Purposes and structure

1. The United Nations University shall be an international community of scholars, engaged in research, post-graduate training and dissemination of knowledge in furtherance of the purposes and principles of the Charter of the United Nations. In achieving its stated objectives, it shall function under the joint sponsorship of the United Nations and the United Nations Educational, Scientific and Cultural Organization (hereinafter referred to as UNESCO), through a central programming and co-ordinating body and a network of research and post-graduate training centres and programmes located in the developed and developing countries.

2. The University shall devote its work to research into the pressing global problems of human survival, development and welfare that are the concern of the United Nations and its agencies, with due attention to the social sciences and the humanities as well as natural sciences, pure and applied.

3. The research programmes of the institutions of the University shall include, among other subjects, coexistence between peoples having different cultures, languages and social systems; peaceful relations between States and the maintenance of peace and security; human rights; economic and social change and development; the environment and the proper use of resources; basic scientific research and the application of the results of science and technology in the interests of development; and universal human values related to the improvement of the quality of life.

4. The University shall disseminate the knowledge gained in its activities to the United Nations and its agencies, to scholars and to the public, in order to increase dynamic interaction in the world-wide community of learning and research.

5. The University and all those who work in it shall act in accordance with the spirit of the provisions of the Charter of the United Nations and the Constitution of UNESCO and with the fundamental principles of contemporary international law.

6. The University shall have as a central objective of its research and training centres and programmes the continuing growth of vigorous academic and scientific communities everywhere and particularly in the developing countries, devoted to their vital needs in the fields of learning and research within the framework of the aims assigned to those centres and programmes in the present Charter. It shall endeavour to alleviate the intellectual isolation of persons in such communities in the developing countries which might otherwise become a reason for their moving to developed countries.

7. In its post-graduate training the University shall assist scholars, especially young scholars, to participate in research in order to increase their capability to contribute to the extension, application and diffusion of knowledge. The University may also undertake the training of persons who will serve in international or national technical assistance programmes, particularly in regard to an interdisciplinary approach to the problems with which they will be called upon to deal.

ARTICLE II

Academic freedom and autonomy

1. The University shall enjoy autonomy within the framework of the United Nations. It shall also enjoy the academic freedom required for the achievement of its objectives, with particular reference to the choice of subjects and methods of research and training, the selection of persons and institutions to share in its tasks, and freedom of expression. The University shall decide freely on the use of the financial resources allocated for the execution of its functions. . . .

FIRST PLANNING MEETING OF THE PROJECT ON
GOALS, PROCESSES, AND INDICATORS OF DEVELOPMENT

A REPORT
DUBROVNIK, YUGOSLAVIA, APRIL 1977

THE UNITED NATIONS UNIVERSITY

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I. ORGANIZATION OF THE MEETING

1.   The first planning meeting of the Project on Goals, Processes, and Indicators of Development was held in Dubrovnik, Yugoslavia, at the Inter-University Centre, 11–15 April 1977.

2.   The main objective of the planning meeting was to formulate recommendations concerning the preparation and execution of the Project on Goals, Processes, and Indicators of Development, particularly its sub-projects, taking into account the ideas put forward during the planning meeting of the Human and Social Development Programme held in January at the United Nations University Headquarters in Tokyo. The meeting was also concerned with the implementation of the network for the development of the project.

3.   The meeting was organized in the form of plenary discussions on different topics according to an approved agenda.

4.   The participants included experts from 16 countries. The participants were invited in their individual capacities and not as representatives of their institutions or organizations. In addition, two members of the UN University participated in the meeting, Dr. Kinhide Mushakoji, Programme Vice-Rector for Human and Social Development, and Dr. Pedro Henriquez, Programme Officer, Human and Social Development. A list of the participants is given as Appendix B.

5.   The planning meeting elected Dr. Ismail-Sabri Abdalla as Chairman, and Dr. Pedro Henriquez and Dr. Gilbert Rist as Rapporteurs.

6.   Dr. Mushakoji explained the nature and objectives of the Human and Social Development Programme, the conceptual framework involved, and the implementation of the Programme's activities.

7.   The meeting was conducted on the basis of the paper "Goals, Processes, and Indicators of Development" by Dr. Johan Galtung — a project reformulation which provided the background and the purpose of the project. This document is given as Appendix A.

II.   RESEARCH FRAMEWORK

The Structure of Sub-projects

8.   In the discussions that followed the presentation of the project, the structure of sub-projects was formulated as follows:

   I. *Goals*
   (1)   Concepts of development
   (2)   Needs
   (3)   Rights
   (4)   Alternative ways of life
   (5)   Visions of desirable societies
   (6)   Visions of desirable worlds

   II. *Processes*
   (7)   Theories of development
   (8)   Expansion and exploitation processes
   (9)   Liberation and autonomy processes
   (10)   Militarization
   (11)   Processes of the United Nations system
   (12)   Alternative strategies and scenarios

   III. *Indicators*
   (13)   Goals indicators
   (14)   Indicators of territorial systems
   (15)   Indicators of non-territorial systems
   (16)   Indicators of ecological balance
   (17)   The politics of indicators

   IV. *Tools*
   (18)   Dialogues

(19) Networks
(20) Semiotics
(21) Mathematics
(22) Forms of presentation
(23) Methods of analysis
(24) Interregional studies

9. Within the framework of the project, work will be undertaken in each sub-project on the relationship among economic, political, social, and cultural aspects, and the United Nations system/international (territorial/non-territorial), regional, national, local, and individual aspects. Thus, for example, expansionism includes degradation of work and/or growth of technocracy. Liberation would also include women's liberation and the liberation of other groups such as age groups.

10. The participants unanimously adopted a statement that the list of sub-projects to be included in the project as presented in table 1 (representing a revision of the table in the project formulation — Appendix A) should be "accepted as (i) provisional, (ii) annotated, and (iii) a basis for dialogues (these dialogues will start immediately after the meeting as an ongoing part of the project)."

Research Co-ordination

11. One institution should co-ordinate each of the different sub-projects. Therefore, for each topic listed, a network of institutions will be co-ordinated by one *core institution*.

12. It was agreed that in selecting institutions, no major cultural group should be excluded. The initial list of core institutions suggested by the meeting is as follows:

I. *Goals*
(1) Institute of Development Studies / El Colegio de México — Concepts of development
(2) Marga Institute — Needs
(3) Peider Könz (UNSDRI) — Rights
(4) Society for International Development — Alternative ways of life
(5) Indian Council of Social Science Research / World Future Studies Federation — Visions of desirable societies
(6) Bariloche Foundation — Visions of desirable worlds

II. *Processes*
(7) Institute of National Planning / University of Oslo — Theories of development
(8) Max Planck Institute — Expansion and exploitation processes
(9) University of Dar-es-Salaam — Liberation and autonomy processes
(10) Hiroshima University — Militarization

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TABLE 1. Matrix of the Sub-projects

SUB-PROJECTS	Bu-Ali Sina University (Iran)	University of Bucharest (Romania)	El Colegio de México (Mexico)	University of Dar-es-Salaam (Tanzania)	Bariloche Foundation (Argentina)	Hiroshima University (Japan)	Institute of Development Studies (Switzerland)	Institute of National Planning (Egypt)	Marga Institute (Sri Lanka)	Max Planck Institute (FRG)	Mershon Center (USA)
I. GOALS (1) Concepts of development	X	X	X	X	X	X	X	X	X	X	
(2) Needs	X		X	X	X		X	X	X	X	X
(3) Rights	X		X	X				X			X
(4) Alternative ways of life									X		
(5) Visions of desirable societies		X					X		X		
(6) Visions of desirable worlds		X			X	X			X		X
II. PROCESSES (7) Theories of development	X	X	X	X	X	X	X	X	X	X	
(8) Expansion and exploitation processes				X		X	X			X	
(9) Liberation and autonomy processes				X			X			X	
(10) Militarization						X					
(11) Processes of the UN system				X						X	X
(12) Alternative strategies and scenarios											X
III. INDICATORS (13) Goals indicators			X							X	
(14) Indicators of territorial systems			X	X			X	X			
(15) Indicators of non-territorial systems											X
(16) Indicators of ecological balance	X	X	X							X	
(17) The politics of indicators					X	X					
IV. TOOLS (18) Dialogues	X	X		X	X	X		X		X	X
(19) Networks		X	X	X		X					X
(20) Semiotics		X			X	X	X				
(21) Mathematics		X									
(22) Forms of presentation						X				X	
(23) Methods of analysis											
(24) Interregional studies											

	University of Oslo (Norway)	University of Ottawa (Canada)	University of Sussex (UK)	University of Science Malaysia (Malaysia)	Indian Council of Social Science Research (India)	International Foundation for Development Alternatives	Interregional Co-ordinating Comm. of Dev. Assocs.	Society for International Development (Italy)	Third World Forum	World Future Studies Federation (Italy)	Geneva Co-ordinating Unit	UNITAR	UN University Headquarters
I. (1)	X	X	X	X	X		X	X	X		X	X	X
(2)	X	X			X					X	X		
(3)	X	X			X						X		
(4)		X		X	X	( )	X				X		
(5)	X		X	X	X	( )				X	X		
(6)						( )					X		
II. (7)	X	X	X	X			X	X	X		X	X	X
(8)											X		
(9)											X		
(10)		X											
(11)											X	X	
(12)	X		X	X		( )				X	X		
III. (13)	X				X						X	X	X
(14)	X	X									X		
(15)	X										X		
(16)	X										X		
(17)	X		X							X	X		
IV. (18)	X		X	X		X	X	X	X	X	X		X
(19)						X	X		X		X		X
(20)													X
(21)													
(22)				X		X	X		X				X
(23)			X										
(24)	X		X										

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(11) United Nations Institute for Training and Research — Processes of the United Nations system

(12) Geneva Co-ordinating Unit — Alternative strategies and scenarios

III. *Indicators*

(13) El Colegio de México — Goals indicators

(14) University of Oslo — Indicators of territorial systems

(15) The Mershon Center, Ohio State University — Indicators of non-territorial systems

(16) Bu-Ali Sina University — Indicators of ecological balance

(17) University of Sussex / SPRU — The politics of indicators

IV. *Tools*

(18) University of Science Malaysia — Dialogues

(19) United Nations University — Networks

(20) University of Bucharest — Semiotics

(21) University of Bucharest — Mathematics

(22) United Nations University — Forms of presentation

(23) University of Sussex — Methods of analysis

13. Each *core institution* will have the task of co-ordinating the work done by the other institutions involved in each topic. The core institutions will have to formulate or conceptualize each item; the presentation should include (i) the core institution's understanding of the subject and the value premises under which it should be viewed; (ii) the "state of the art" concerning each subject as well as questions which are related to it; (iii) the ways in which each topic is going to be linked to the whole project.

Relations with other UN University Networks, and the Role of the University

14. Several possibilities were suggested to relate the Goals, Processes, and Indicators of Development project to other UN University projects:

a. Identify institutions which are part of more than one network (e.g., Marga).

b. Discuss methods or approaches which are similar (dialogues) among networks.

c. Exchange experiences, findings, and researchers among networks.

d. Make use of the presence "in the field" of researchers of other networks in the processes of data-gathering.

e. Create a committee of project directors as a consultative organ for the Human and Social Development Programme.

f. Set up *micro-projects* in which different networks might participate — for example, a micro-project on how technological changes induce alternative ways of life.

15. The UN University has a particular role to play at different levels of the project: planning, co-ordination, dissemination, and evaluation. In connection with the dissemination

GOALS

Normative level
(not only concerning
researchers, but also
people and decision-
makers)

Theories   Dialogues   Indicators

"Objective" level
(what happens
in praxis)

Processes

Goals of
people
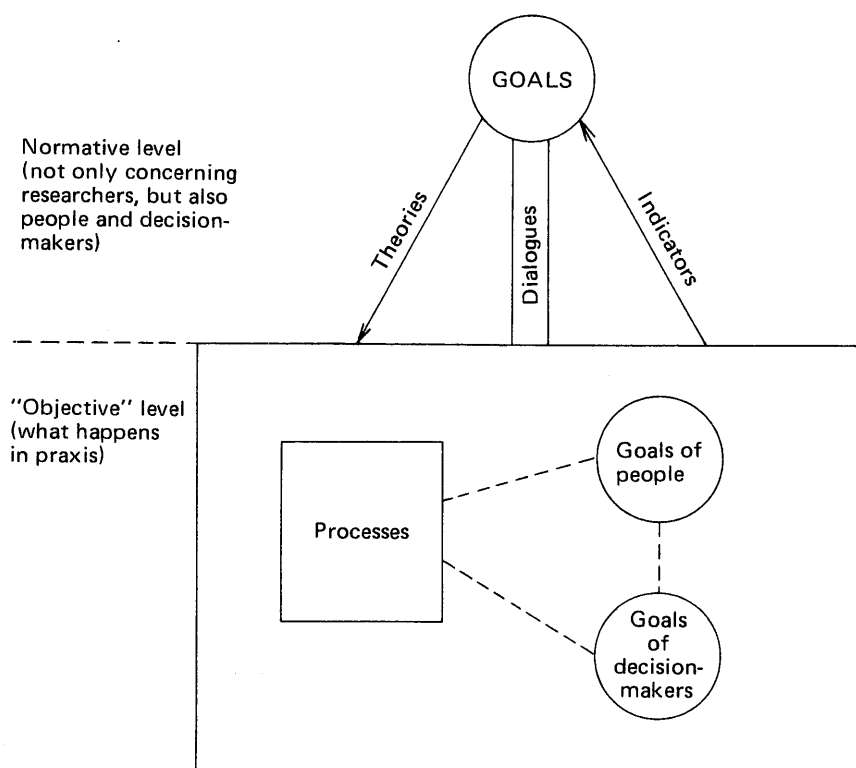
Goals
of
decision-
makers

FIGURE 1

activity, it was suggested that the UN University could issue a newsletter to inform all research units about the different projects linked to the Human and Social Development Programme.

Relationships among Goals, Processes, and Indicators

16. The goals and processes are related to each other in two ways, as figure 1 indicates. On the "objective" level, the "goals of people" and the "goals of decision-makers" are part of the social processes and have to be studied in this context. On the normative level, the researchers, the people, and decision-makers evaluate the "objective" processes referring them to their "goals." The researchers/people/decision-makers' dialogues are essential for the comparative analysis of the goals and processes on the two levels.

Different Levels of Processes

17. Table 2 shows different levels of processes. The table should include also political and cultural processes as well as economic ones.

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TABLE 2

	Economic growth ↓ industrialization	Capital formation ↓ heavy industry	Trickle-down effect
Formal Processes (= ways in which governments define development, what is said to be wanted, mystifying language)	Economic growth ↓ industrialization	Capital formation ↓ heavy industry	Trickle-down effect fiscal policy ———▶ social welfare ———▶ health ———▶ education ———▶ interdependence ———▶
Real Processes (= what one gets as an end-result, demystified language)	Expansion of transnational corporations ↓ integration of the third world into the capitalist system	Increase of income inequalities	Social benefits either neglected or distributed to an élite Dependence
Normative Processes (see table 1) clearly defined relations			

18. The remark was made that in some countries "formal" processes (i.e., objectives stated by the government) are the same as the normative processes but their outcome (real processes) is different from that stated in the chart. This is because in such instances there is an explicit normative ideology.

19. The meeting agreed that what was needed was a short list of *"real" processes*, taking into account the fact that an item can at one and the same time be an objective (goal) and a *process*.

20. If the question "What can be done to increase the income of the poor?" is asked, one can obtain different answers depending on the ideological position, as shown in table 3.

21. Some participants discussed whether the project should take into account that the major process since the Second World War has been the expansion of capitalism in the third world. Moreover, this process has led to "counter processes," such as decolonization, liberation wars, etc., which should also be surveyed by the project. It was also observed that *militarism* has structures similar to those of *transnational corporations*.

22. It was suggested that, under "process," the project should study those processes which are *promoting* development as well as those which are *impeding* it.

23. The question was raised whether the necessary *diversity* of approach would not prevent *comparability* of results obtained by the different institutions linked to the project. The errors held to have been made by the Club of Rome in its last report, where the

TABLE 3

Neo-classical approach (conservatives)	Increase efficiency or expansionism and capital accumulation
Neo-Keynesian approach (reformists)	Give more power to the state or to international bodies (but also develop "employment effect")
Marxist/radical approach	Autarky — self-reliance

comparability of the "goals for mankind" had been left out, should not be repeated. The group acknowledged the existence of such a problem, but hoped to solve it in the course of its four-year task, especially as "needs" seem to have become the epistemological common basis of the project.

Some remarks on indicators

24. The following remarks were made on indicators:
a. An indicator is something which shows up what is happening in a given society and compares it with a certain ideal state of affairs.
b. In most instances, the work done so far has been restricted to *national* units. One should also try to identify indicators of *relations* between countries.
c. Indicators play a political role as described in "uses and abuses" of indicators. This political role should be exposed in the project.

III. METHODOLOGY

25. Dialogue is seen as an extremely important method, (i) as a means of data collection; (ii) within the network itself; (iii) among representatives of the network, planners, and concerned citizens.

26. During the discussions, the following suggestions were made concerning the implementation of this method:
a. Avoid the idea of statistical *representativity* and aim at maximizing diversity of positions recorded. The questions should permit the richest and broadest variety of responses.
b. Avoid transcription of tape-recorded interviews, but watch out for *themes*.
c. When approaching both decision-makers (planners) and people, find those who are *concerned* with development issues, both subjectively (have ideas about it) and objectively, thus obtaining a catalogue of genuine ideas and deeply felt concerns of people and not just a representative sample of a *country.*
d. Researchers should try to analyse and describe how they themselves have changed in the process of the dialogue.
e. Try to set up "guidelines for dialogue," including a listing of different topics which must be brought into the dialogue.
f. As a method, dialogue should be more flexible and active than questionnaires.
g. Dialogue should have feedback (within the network).
h. There should be a twinning of communities participating in the total network.
i. Care should be taken in starting dialogues where the political situation might endanger participants. The question is whether one is in an open society (or in a police state) and whether the culture allows dialogue or not.
j. One possibility is to start a dialogue by using one word representing a key concept (e.g., peace) and then asking what are the conditions needed to achieve it, and go on from there. This allows the possibility of having, on paper, a history of the dialogue.
k. One could also start by showing photographs and asking people to indicate which they like and which they do not, and why.
l. Dialogue should also be established with different groups of people (women, old and

young, etc.) to get their special perspectives.

27. The meeting felt that at this stage guidelines have to be tested in practice. The guidelines should emerge from the experience of every contributing institution, and this should be one of the subjects to be discussed at the next meeting.

IV. ORGANIZATION AND IMPLEMENTATION

28. The meeting agreed to discuss the design of the project in more detail at a future meeting. It was suggested that (i) individual papers on specific topics, (ii) reports made by groups of people belonging to the network, and (iii) a global report of the project should be prepared for this purpose. The participants expressed hope that the project documents would be written in a language which could be understood by as many people as possible.

29. It was suggested that a committee of project sponsors should be created which would provide some guidelines for the development of the project. The following names were suggested: Ingmar Bergmann, Helde Camara, Chow Bei-yen, Paulo Friere, Ivan Illich, Francis Jacob, Robert Jungek, Kim Chi-ha, Joseph Ki Zerbo, Gabriel Garcia Marques, Margaret Mead, Linus Pauling, Okot p'Bitet, Satjajit Ray, Soedjatmoko, Mother Theresa, and Lina Westmisller. It was agreed that, if such a committee was considered necessary, the question of who should be finally selected as members should be discussed again at the next meeting.

30. The following points as to the organization of the project were agreed on.
a. *At the research centres:* Each research centre is responsible for its own organization, but it should try to enter into dialogue with planners and concerned citizens. This might raise problems in some countries. The research centres should try to be imaginative to overcome these difficulties.
b. *At the network level:*
   i. There should be a general assembly of all members of the network (to which alternates could occasionally be sent), to be called the Committee of Researchers. It would be the governing body of the network, and should meet twice a year if possible.
   ii. The Project Director will make use of his location in Geneva to consult with as many members of the network as possible. These will form a sort of flexible core group to be responsible for the "animation" of the project.

The organizational structure of the project within the Human and Social Development Programme is shown in figure 2.
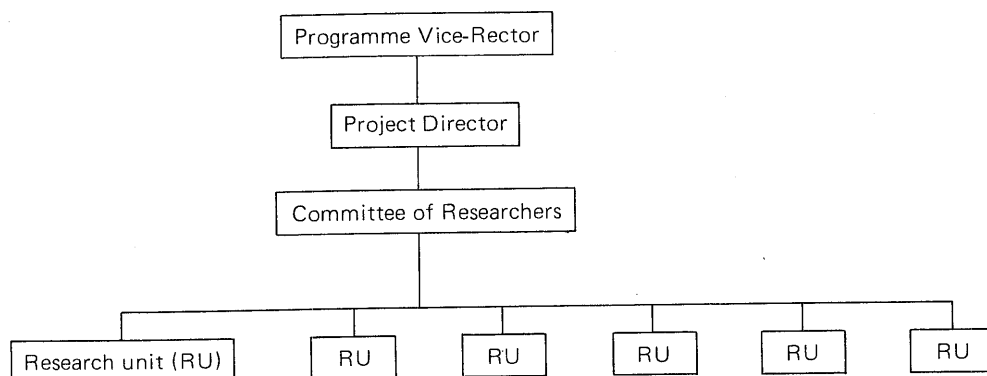
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FIGURE 2

31. It was suggested that the next meeting might be held in November 1977, on condition that enough material is available in advance on the research done by the participants in the network. Suggested items for the agenda included (i) reformulation of the project (final form), (ii) reactions of the participating institutions (to be circulated in advance), (iii) *dialogue* as a method, (iv) discussion on the concept of "needs," (v) the final images of the project.

32. Two progress reports should be sent annually to the United Nations University. They will be submitted to the Committee of Researchers for discussion.

33. The UN University supports the research activities of its various project networks through grants. In principle, the University will provide research grants to third-world institutions, while institutions of the "industrialized" countries are expected to provide their own funds. However, exceptions can be made to this principle. The cost of publishing research results of such projects will be covered by the University.

34. In making decisions on publication a balance should be struck between the need for disseminating the results of the project and the necessity of retaining some of the materials within the network, even for long periods. Four types of documents are envisaged: (i) documents of a purely administrative nature, (ii) working documents for the network members, (iii) pre-publications of network research (photocopied, under a jacket), (iv) final publications.

35. It was suggested that any research results to be published should be submitted to the Committee of Researchers for approval, and, after collective discussion, a decision would be made on whether (i) the paper should be published as is; (ii) the paper should be revised in light of the remarks made by the Committee; (iii) the paper should not be published, in which case a new version would be presented at the next meeting.

36. The UN University was requested to circulate a memorandum to all members of the network as soon as possible, clarifying the legal aspects of publication. This memorandum should include (i) clarification of legal aspects of copyright as seen from the UN University's point of view, (ii) permission to publish an article or a paper under the researcher's name rather than as a UN University document, (iii) wording of the disclaiming clause, (iv) wording of a statement that the paper was written within the UN University project, (v) wording of a statement expressing the gratitude of the authors to other financing institutions (if necessary).

V. TIMETABLE OF THE PROJECT

37. It was proposed that the project should be scheduled for a period of five years, divided into five stages as follows:

1977	Conceptualization and initial theory formulation	
1978	Material collection and theoretical work (as well as dissemination)	
1979	Data processing and analysis (possibly leading to new data collection)	dissemination of dialogues
1980	Theory reformulation	
1981	Final report write-up/dissemination	

38. This timetable was generally accepted, with the stipulation that such a clear-cut breakdown should not be taken for granted. Feedback should be encouraged at each stage.

Schedule of Initial Implementation

39. The meeting approved the following schedules of work for the implementation of the project:

a. *By 15 June 1977*, (i) each core institution will prepare a five-page presentation concerning the conceptualization of the topic it has undertaken to co-ordinate (conceptualization of sub-projects), to be forwarded to all the other institutions; (ii) each institution will prepare a five-page document stating how it envisages its contribution to the total project — including what it understands under each topic, what kind of research methodology will be used (vertical description, as indicated in table 1), and what resources it will allocate.

b. *By 15 September 1977*, all institutions will have reacted to the conceptualization papers sent by the core institution ("horizontal" presentation, five-page documents), and the core institution will have made a synthesis.

c. *By 30 September 1977*, research papers on specific topics (maximum 20 pages) will be distributed for discussion at the next meeting. All documents will be typed, ready for

photocopying. Copies should be sent to both the Geneva Co-ordinating Unit and the United Nations University Headquarters. The University Headquarters will arrange for the photocopying of the documents and their distribution through the network.

APPENDIX A. GOALS, PROCESSES, AND INDICATORS OF DEVELOPMENT: A PROJECT FORMULATION

Johan Galtung

1.   In its meeting 21—25 February 1977, the United Nations University Council approved the Project on Goals, Processes, and Indicators of Development as described in the report of the planning meeting of the Human and Social Development Programme Advisory Committee held at University Headquarters 17—21 January 1977. As agreed in that meeting (paragraph 34(c)), "a new form of presentation should be worked out so that the structure of the programme as a set of related sub-projects can be seen more clearly, including the ideas put forward during the planning meeting." This paper is an effort to do that.

2.   An important aspect of the GPID project is the effort to see goals, processes, and indicators in their relation to each other, not separated from each other. Thus, there has been much research in which indicators have been detached from goals, and to some extent also from processes, focusing on what is available and measurable. Moreover, most of the thinking on development has been on processes rather than on goals, and most of the thinking on goals — including the utopian tradition — has been detached from research on processes. The basic idea of the GPID project is to try to do in-depth work on all three facets, subjecting goal formulations to the question of processes leading towards the realization of such goals (including consideration of the process known as change of goals), seeing indicators as being exactly that: indicating whether one is moving in the right direction or not.

3.   This unity of the project will have to be kept throughout the five years the project is scheduled to last (1977—1981). The subdivision into the three main parts, *goals*, *processes*, and *indicators*, and a further subdivision of each into five sub-projects is for practical reasons only, and efforts should be made to counteract the type of fragmentation mentioned in the preceding paragraph, characteristic of much research in the field of development studies. On the other hand, some kind of subdivision is needed to bring the project "down to earth," to a level which is researchable. The 15 sub-projects are listed in the table on the following page.

4.   In this presentation there is also another sub-division, in terms of methodology. The

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	Dialogues with people	Dialogues with planners/ politicians	Qualitative data (literature)	Quantitative data (statistics)
I. GOALS				
(1) Concepts of development				
(2) Needs				
(3) Rights				
(4) Visions of the good society/alternative life-styles				
(5) Alternative world models				
II. PROCESSES				
(6) Theories of development				
(7) Territorial system				
(8) Non-territorial system				
(9) UN system				
(10) Alternative scenarios, strategies				
III. INDICATORS				
(11) Goal-indicators				
(12) Indicators of the territorial system				
(13) Indicators of the non-territorial system				
(14) Indicators of the UN system				
(15) Uses and abuses of indicators				
METHODOLOGICAL SUB-PROJECTS				
(1) Dialogues				
(2) Networks				
(3) Forms of presentation				
(4) Semantics				

project will partly generate its own data and partly use data generated by others. Since the project is about goals, processes, and indicators of development, the major way of producing new data so far envisaged is simply to ask people and *politicians/planners* how they think about these things. So far the conventional methods of questionnaires and interview schedules have been found insufficient for the purpose, being too static and too individualizing, and the concept of a dialogue (in some cases a "multilogue") has been introduced. This is seen as a more dynamic process, involving groups rather than individuals, generating ideas in interaction with the researchers and with each other. In addition to this, however, there will also be ample use of qualitative and quantitative data generated by others, found, for instance, in the literature on development studies, statistical yearbooks, etc.

5. In addition to this preliminary division into 15 sub-projects and mention of four methodologies, there are also four topics that should be studied intensely throughout the process that this project will become. Thus, the idea of a *dialogue* should be developed into a methodology with a certain firmness, permitting comparisons in space and time, and methods of analysis should be developed. The same applies to *networks*: The UNU is essentially a network of networks with its headquarters in Tokyo. The GPID project is a network that is a part of the UNU; in this particular network the idea is not only to tie researchers together but also to try to connect people in general and planners/politicians with each other so as to constitute three potentially world-wide and interlocking networks with dialogues and multilogues taking place in one country used as an input for corresponding processes in other countries. All these functions, what the problems and possible solutions are, should be monitored closely. In other words, the project will also study itself, possibly by bringing in outside evaluators. Very important in this connection is to find *forms of presentation*, perhaps particularly of indicators, so that they are not only about people but also *for* the people in the sense of being understandable, and as much as possible even *by* the people in the sense that people participate in generating indicators (including the possibility that people may have very different ideas about what an indicator is from the statistical tables usually generated by social scientists). And, as this is going to be an international co-operative and to some extent comparative project, the inter-language, not to mention inter-cultural, comparability of the terms and concepts used, most of them very rich in all kinds of connotations including political overtones and undertones, should be studied — in other words, the *semantic aspects* should be explored.

6. It is certainly not envisaged that all participating institutions or individuals in the project would try to cover all of this. As a guideline, however, it might be useful if *each participating institution could think in terms of selecting not fewer than three of the sub-projects,* possibly with one from each of the three major headings, goals, processes, and indicators (but this would certainly not be a condition). In the process of selection the institutions should as much as possible be guided by their own research inclinations and interests, what they are actually doing and would *like* to do. Flexibility should be exercised to accommodate within these broad headings the diverse research interests and capacities of the institutions in the network. However, there should be some joint steering of the selection process in

such a way that *each sub-project is selected by at least three institutions* (or simply eliminated from the list — perhaps with a consequent restructuring of the total project). In that way, one would ensure a certain integration of the total project, both thematically within each institution for the whole project, and in the sense that for each sub-project there would be some institutions — perhaps even one in each major region — that could constitute a sub-network of their own around a theme such as, for instance, "world models." It will then be the task of the Committee of Research Directors in general and the co-ordinator in particular to see to it that this whole matrix somehow works out.

7. It should be emphasized that the choice of methodology will vary from one sub-project to another, and also from one co-operating institution in the network to another. However, it would be good if each participating institution could accumulate some experience with dialogue as a method since this is an innovative aspect of the entire project from a methodological point of view.

8. There is some internal logic to the scheme of sub-projects. The first projects in each field (numbers 1, 6, and 11) are related in the sense that they are exploratory and general in their approach. They would draw on the literature in the field but also to a large extent on dialogues. Correspondingly, there is a relation between the last project in each field (numbers 5, 10, and 15) in the sense that they represent more final forms of presentations, such as goals in the form of alternative models, processes in the form of alternative scenarios relating to these models, and indicators woven together with an analysis of the functions of indicators in the entire developmental process. In other words, this is a question not only of a list of indicators with methodological prescriptions but of a political, and self-critical, analysis of their uses and abuses. Formulating it this way, it should follow that the entire project would have its centre of gravity towards the first projects in the beginning, and towards the last ones later on.

9. Further, there is a division within each field that seems inescapable, relating to the "level of analysis" problem: individual human beings, societies, the "territorial system" (often wrongly called the international system, it is actually mainly the inter-state system), the "non-territorial system" (above all the transnational corporations but also other non-governmental and governmental organizations), and finally the UN system. Some subdivision is necessary for practical reasons, yet it all has to be tied together from the beginning to the end of the project. The fact of the matter, however, is that researchers and research institutions to some extent are specialized according to level, and the project has to be subdivided accordingly to be realistic from an administrative point of view.

10. The following comments may be made on the individual sub-projects.

I. Goals

(1) *Concepts of development:* The author sees development in terms of development of human beings. Development of countries (the creation of a productive machinery which

gives priority to production for fundamental needs, creation of a distribution system which gives priority to those most in need, structural transformation towards local and national self-reliance, institution-building with a view to the protection and implementation of human rights) and ecological balance and in general a relation to nature in solidarity with future generations are then seen as the *means* of development. (The question of what condition this puts on culture will also have to be explored.) However, there are other concepts of development, but the research goal in this sub-project would be active participation in the creation of new development concepts, more oriented towards social and human development than the concepts that have dominated the last decades. An important point in this connection is that such concepts will necessarily open the way for the idea that all countries are mal-developed one way or another, possibly making use of the metaphors of "under-development" and "over-development," and for the important methodological point that the mal-development in over-developed societies perhaps can be best understood by people coming from other types of societies, whether "guest workers," students, or, for instance, social scientists — in other words, by the third world studying the first and second worlds.

(2) *Needs*:   Needs, if located anywhere, are located inside human beings. This raises the problem of the degree of consciousness of needs, and the distribution of the two basic types of false consciousness in this connection: the lack of awareness of basic needs, and the high level of consciousness of non-basic needs. Since there are structures and processes relating to these two phenomena, which in turn are related to under- and over-development respectively, the whole epistemology and methodology for asserting that something is a need will have to be a basic focus of the project. One important and very simple methodology in this connection would be to ask people, but in a dialogical form in order to try to overcome forms of false consciousness — knowing perfectly well that that concept itself should be a subject of deeper research.

(3) *Rights*:   Rights, if properly understood, are norms with senders and receivers, and they are related to needs because many rights can be seen as norms urging the receivers to see to it that needs are satisfied. Of course, there are rights that do not correspond to needs, or at least not to basic needs, and there are many needs that do not have any rights counterparts; this would be an important research area in itself. Then there is a process of institutionalization of rights from informal social norms to legal norms where it is relatively clear who are the senders and who the receivers, what are the actions prescribed or proscribed, what are the sanctions — negative or positive (usually negative), internalized or institutionalized. The institutionalization of needs into rights would be one important approach to the developmental process, for instance to be studied under sub-project 10 below, and one problem is the extent to which the institutionalization itself might counteract important needs. Under this heading the most important idea of research might be to what extent rights as norms for the good society are a language or a form of understanding in which developmental goals can be expressed. It should then be pointed out that, whereas a high level of consensus can be obtained around a formula like "the right to food," there is less consensus about the interpretation of that right as a norm pre/proscribing concrete actions.

(4) *Visions of the good society*: Whereas research on goals in terms of needs and rights has a tendency to lead to fragmentation of the goals in terms of long lists of desirable items, "visions of the good society" would be an effort to approach the theme of goals more holistically. There is much to draw upon: the utopian literature, eschatology, other visions embedded in human cultures in general and myths in particular, and, above all, human imagination. One experience with the ten-nation study *Images of the World in the Year 2000* was that the dimension of futuristic thinking seemed rather undeveloped. Some of this, however, may be due to the method chosen — questionnaires and interview guides. One hypothesis could be that the dialogue method could bring forth more of the richness in visions that certainly is present in many people in many countries, thereby arriving at richer images of what future societies could be like and what the aspirations of people seem to be. It should be pointed out that "the good society" does not necessarily mean something far out in the future; it might also be something in the present or close to the present (but with features that people might like more accentuated in present society) and past societies or aspects of them. Further, it might be useful to think in terms of two forms of presentation of the good society: synchronically by giving an image of what life in that society would look like at a given point in time; diachronically by exploring alternative life-styles, presenting alternative images of what a person's life might look like from birth to death.

(5) *Alternative world models*: Under this heading one would also try to give holistic images, but of the whole world system, not only of the single society or the individual life-style. At this point, a highly self-critical analysis should be included, exploring the motives and the functions of world modelling, particularly when it is done by a self-selected and highly unrepresentative, even biased, group for the world as a whole. Nonetheless, as a form of understanding and as a way of increasing global consciousness it probably has some value. The approach that could be taken in the GPID project should differ from models developed so far by being much richer in choice of variables, particularly by emphasizing human and social development — for instance by taking into account security, freedom, and identity in addition to the welfare variables (food, clothing, housing, medical service, schooling) often included in such models. The aim would not be to arrive at one such model but at a set of alternative models, perhaps also with regional specificity and certainly with some models focusing more on the problems of under-developed countries, others more on the problems of over-developed countries (but it would remain a basic challenge to try to bring these two trends of thinking — development studies and future studies, respectively — closer together). Another desideratum for the model would be to combine it with sub-project 10 below, or at least to make it combinable with that project: exploration of alternative scenarios. As these scenarios should be closely related to ongoing political processes so as to be as relevant as possible, the same should apply to the world models: they should be formulated in the type of language that both people in general and planners/politicians would not only understand but also use.

In what kind of language will the world models of this project be formulated? Characteristic of a "world model" is a certain explicitness: the model states clearly what the variables are

and how the author thinks they are related to each other. If the model is formulated in mathematical terms, there are usually some assumptions about the variables and their relations that are necessary for the mathematical model-building, and this tends to introduce rigidities and lack of realism. Simulation models are more flexible, particularly man-man models but also man-computer models and to some extent pure computer models. However, in general it might be said that the more formalized the model (the more explicit the rules), the more limited the number of variables and type of variables that can be included. In general this will favour an economistic bias in the models, as variables related to economic development are best known and best measured. Hence, there is a need for methodological innovation which might take the direction of developing new types of models rather than trying to fit indicators of human and social development into the rigid scheme of strict measurement. Thus, common prose is still a possibility!

II. Processes

(6) *Theories of development*:   There are many theories of development, including the theories that this project will develop. Since those theories will emphasize more human and social development (seeing human development as the goal and purpose of development, social development as the means), they may differ from other theories of development and consequently constitute an input to the ongoing dialogue. An examination of existing theories will therefore constitute a part of the project, partly to learn from them, partly to assess them critically. But in addition to that it would be most interesting to learn what people in general have as theories of development, and what kind of thinking is prevalent among planners and politicians. It would also be interesting to contrast many of these theories with longitudinal data through diachronic analysis of developmental patterns for countries for which data are available, for instance at five- or ten-year intervals over periods of 50 to 100 years. It should then be pointed out that an examination of time series does not in and by itself constitute an analysis of the developmental process; the latter would have to include an analysis of the actors that carried the process, their motivation and capacities as well as the phases which dominant social structures went through in the process. Time series are only reflections on the surface of such processes. Such theories should also reflect the double role of the state — liberating and repressive.

(7) *Territorial system*:   Under this heading, the problem of what could be meant by "development of the territorial system" will be explored by asking questions about necessary conditions at the inter-state level for societies to develop in such a way that human needs can be better satisfied. There are processes in the territorial system, such as decolonization, the rapid growth of non-alignment as a movement, the emergence of the third world as an increasingly effective block of countries, etc. What do all these processes lead up to? What would be alternative models of relations between states (also to be formulated under sub-project 5)? Which are the processes leading in the right direction? How do such processes as disintegration (emergence of secessionist movements) and integration of states relate to the satisfaction of human needs, if anything can be said about that?

(8) *Non-territorial system*:   Under this heading, the same type of questions should be studied, but in this case relating to inter-governmental organizations (IGOs), inter-non-governmental organizations (INGOs), transnational corporations (TNCs), and others (such as nations and religions). A quantity of data exist, but the theory is usually weak, and usually not equipped with a time arrow: In what direction are the processes developing? What would be images of more desirable states (also to be included in sub-project 5 above)? An important part of this project, but not the only part, would be a study of dynamic trends in the system of transnational corporations, including alternative models for their future integration in the world system.

(9) *The United Nations system*:   The traditional approach to the UN system has been statistically oriented: To what extent are new groups represented in the system, in financial terms, in terms of personnel, in participation in the activities (the many voting studies, and studies of participation in debates), etc.? A particularly important aspect here might be to study de-westernization as a process, and against the background of statistical information to study more in depth in what ways new forces in the UN are carriers of new interests, values, and concepts. Again, alternative views of future processes might constitute a part of the project.

(10) *Alternative scenarios, strategies*:   To the author, the catch-word "self-reliance" has considerable appeal both as a goal-formulation and as a formulation of strategy. Obviously, there is a need to spell it out — and others may have very different views. There is also a problem of levels: What does self-reliance mean at the individual level, local level, country level, world level? More particularly, what are the implications for the territorial system, the non-territorial system, the UN system? Dialogues with anybody from the most underprivileged to world leaders might be valuable here as ways of obtaining ideas about scenarios and strategies. But the final result would have to be presented with a certain rigour, with particular emphasis on the meaning of choosing priorities. Thus, what are the implications of emphasizing industrialization before education (or vice versa); what are the implications of more dynamism in the inter-state than the intra-state system (or vice versa), of the territorial system than the non-territorial system (or vice versa), etc.? Some ideas can be obtained by studying the past, some by projecting into the future, particularly if such projections are tempered by considerations of how much, or how little, freedom of choice there is or will be. At any rate, the goal of this sub-project is to arrive at a set of alternative scenarios which will vary in their degree of relevance depending on which local community, which country, which region they are applied to.

III.   Indicators

(11) *Goal-indicators*:   If the developmental goal is the development of human beings, and the development of human beings is identified with the satisfaction and development of basic human needs, material and non-material, then the goal-indicators should be indicators of the extent to which basic needs are met. But this raises the problem not only of what the basic needs are but also of where the minimum is located beyond which one would

talk about "satisfaction." One approach would be to ask people what they think and to establish dialogues between people, planners, and researchers on this important subject to try to obtain some new insights. But, rather than splitting the idea of development into lists of needs (and their counterparts in the form of rights), it would also be possible to start at another end: looking more holistically at "the good society" and asking people how they know that they are going in the right direction or the wrong direction. Answers such as "My indicator that we are moving in the right direction is that people are smiling more when they walk in the streets than they used to do" might sound naïve yet show much more insight than most social scientists have arrived at so far. And there is, of course, the old problem of whether one would accept goals at that societal level, and in that case what indicators would be (for instance more equality, social justice, diversity).

(12) *Indicators of the territorial system*:   Indicators of how the territorial system is moving would have to be closely related to the theory of territorial processes. One such indicator might be the adherence to and further development of principles of non-alignment, as a way of delimiting the part of the world that would be automatically involved in a major super-power conflict — in other words, some kind of decoupling of the world conflict system. Other indicators would study the direction and composition of trade and other forms of exchange, but the condition for being "admitted" as an indicator would be that good empirical data and/or good theory would justify the contention that the underlying variable is related to the goal of development, at least by being a necessary if not also a sufficient condition.

(13) *Indicators of the non-territorial system*:   Here the corresponding question would be asked for the world system of organizations. Thus, one idea might be to develop a set of indicators for transnational corporations, partly by studying the structure of the TNC, partly by studying how the TNC relates, positively or negatively, to the satisfaction of basic needs. In this connection, a general approach that could be used also in several other sub-projects would be to try to arrive at a *basic needs unit* (BNU), such as the food needed to keep a child alive one year, the health services needed to have a certain health impact, the schooling needed to deliver education for one person for one year, and then study the effect of a TNC (or of a given policy of a country for that matter) in terms of losses and gains in BNUs. (The losses might, for instance, derive from allocation of personnel, capital, land, and organization to the satisfaction of non-basic needs).

(14) *Indicators for the United Nations system*:   In addition to the various types of statistical indicators mentioned under sub-project 9 above, one could also try to study systematically how new interests, values, and concepts are articulated as the United Nations changes character. However, not all such changes would be due to changes in UN composition; they could also be the result of general changes in the "atmosphere"; and to understand this, dialogues with people inside the system should be most useful. It might also be interesting to contrast the UN system with similar systems for special groups of countries, such as the OECD, the European Community, the OAU, the organization of non-aligned countries, and a possible third-world secretariat, to see to what extent the

culture and not only the structure of the organization may be said to be different.

(15) *Uses and abuses of indicators*:   A major goal of the indicator project is, of course, to arrive at new indicators for human and social development, partly as a list of such indicators, partly as efforts to develop more holistic forms of presentation. However, this should be accompanied, and tempered, by a critical analysis of the function of indicators: If their function is to serve as a planning tool, then in whose interests? In earlier periods they have been neither about people, nor for the people, nor by the people (they have usually been about countries, for experts, and by experts); is it possible to change this, and what kind of impact will it have? Have indicators been used, and have they been abused? Have methodological criteria of rigour served as a rationale for the collection of detailed data that also can give information that can be used to manipulate, control, even repress? If this is the case, what other methodological criteria could lead to less objectionable indicators? If experts have indicators about people, what kind of indicators can people have about experts? Should a code of conduct for the indicator movement be established? And so on. In general, it might be expected that specialists on social indicators should not be the only ones to formulate and try to answer such questions; that should also be done by people in general and by planners/politicians.

11. The *methodological sub-projects* are of a kind that probably will have to be considered by all participants in the project. Thus, at a very early stage, work on dialogues as a method should be introduced. A list of themes to be discussed in dialogues, criteria of people or groups to be chosen, rules of conduct and canons of analysis will need to be explored with a view to striking a good compromise between preservation of richness and some kind of comparability in space and time. How the project as a network (as an example of the United Nations University) functions should also be studied, as it probably will be an effort to arrive at a system that might be an example of the type of development studied under many other sub-projects. Correspondingly, the semantics of the project might be subject to the scrutiny of a special sub-group, and a group of educators and others should look into the problem of forms of presentation, including the language of the social scientists themselves.

12. A project about development should itself be in development. This would be a collective process carried out by the researchers themselves — a reformulation within the terms of reference laid down by the UNU organs. As is true for any research project, the process of reformulation will probably last as long as the project itself. But at some point the ball has to be started rolling — and the present paper is one effort to that end.

APPENDIX B. PARTICIPANTS

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