

INDEX OF THE INSTITUTIONAL DIMENSION OF THE TERRITORIAL HERITAGE (IDI-PT)¹

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ABSTRACT

The focus of this paper is to present a methodological framework of the institutional dimension of the ProPAT Research Project, systematized from the Dimensional Index of Territorial Heritage Activation (IDAP). The objective is to propose a model of appreciation and application in the territories for the Institutional Dimension Activation Index (IADI) guided by the components administrative capacity of the state in the territory, public policies of support to the development, and actors, institutions and arenas of concertation. These components have seven variables: (i) administrative structure; (ii) programming and planning instruments; (iii) communication, transparency and innovation structures; (iv) plans, programs and public actions; (v) public actions to support development; (vi) action of actors and institutions in the process of territorial articulation; (vii) conversation structures social consultation. By proposing the indicators represented by the variables, the intention is to propose a formula that is integrated into the model of the Multidimensional Index of Territorial Heritage Activation (IMAP).

Keywords: methodological framework; administrative structure; state capabilities; territory; social participation.

ÍNDICE MULTIDIMENSIONAL DA ATIVAÇÃO DO PATRIMÔNIO TERRITORIAL: A DIMENSÃO INSTITUCIONAL E OS SEUS COMPONENTES

RESUMO

O recorte deste artigo é apresentar um referencial metodológico da dimensão institucional do Projeto de Pesquisa ProPAT, sistematizado a partir Índice Dimensional da Ativação do Patrimônio Territorial (Idap). O objetivo é buscar propor um modelo de apreciação e aplicação nos territórios para o Índice de Ativação da Dimensão Institucional (Iadi) orientado pelos componentes capacidade administrativa da estatalidade no território, políticas públicas de apoio ao desenvolvimento e atores, instituições e arenas de concertação. Esses componentes possuem sete variáveis: (i) estrutura administrativa; (ii) instrumentos de programação e planejamento; (iii) estruturas de comunicação, transparência e inovação; (iv) planos, programas e ações públicas; (v) ações públicas de apoio ao desenvolvimento; (vi) ação dos atores e instituições no processo de articulação territorial; (vii) estruturas de conversação concertação social. Ao propor os indicativos representados pelas variáveis pretende-se sugerir uma fórmula que esteja integrada ao modelo do Índice Multidimensional da Ativação do Patrimônio Territorial (Imap).

Palavras-chave: referencial metodológico; estrutura administrativa; capacidades estatais; território; participação social.

¹ Project coordinated by Prof. Valdir Roque Dallabrida, referring to the Research Productivity Program of the National Council for Scientific and Technological Development (CNPQ). In addition, it makes reference to three other projects: (i) *Territorial heritage as a reference in the development process of territories or regions: a study in three regions of Rio Grande do Sul*, involving a network of institutions and researchers led from the PPGDR- Unijuí and supported by Fapergs; (iii) *The territorial heritage as a reference in the process of development of territories or regions: epistemic-theoretical assumptions and proposal of methodological instruments*, which is being executed in the PPGDTS-UFPR; (iii) *Territorial heritage as a reference in the development process of territories: study of the social dimension in a municipality on the northwest border of the state of Rio Grande do Sul*.

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INTRODUCTION

Since 2021, as part of the Research Project *Territorial heritage as a reference in the process of developing territories or regions* (ProPAT), studies have been carried out with the purpose of proposing and validating a methodological instrument suitable for the territorial analysis perspective, with the aim of to contribute to the elaboration of territorial diagnoses that favor the exploration of innovative and sustainable development alternatives, having the territorial heritage as a reference. Two texts synthesize the first results of this investigation: (i) Dallabrida, Rotta and Büttenbender (2021), in which the research's epistemic-theoretical assumptions are presented; (ii) Dallabrida et al. (2021), in which the conceptual categories and methodological assumptions convergent with the territorial approach to development are explained⁶.

In the first quarter of 2022, the research team for the aforementioned project published the *Territorial Heritage Thematic Dossier*, in the Brazilian Journal of Regional Management and Development, comprising an introductory text and six papers, as a whole presenting references for the structuring of an instrument multidimensional methodological framework that can be used in territorial analysis and prospecting⁷. In this dossier, Gumiero *et al.* (2022) presented a set of theoretical-methodological indications that could be considered in the study of the institutional dimension of territorial heritage, proposing components and variables that sought to present an analytical methodological vision for the research. From the balance between the components and variables, data were suggested for collection in the territories.

In this way, the objective of this new text is to advance, seeking to transversalize the theoretical learning acquired by the collection of studies formulated by the ProPAT Research Project, in order to propose a methodological reference that can be systematized in an index in relation to the institutional dimension, or that is, the Dimensional Index of Territorial Heritage Activation (IDAP).

The analysis of the institutional dimension considers the institutions as intermediaries in the process of conversation between the public power and the social actors in the territories, in the definition of public policies for the development of the territory. To this end, it is proposed to guide the methodological framework of the institutional dimension into three components: (i) administrative capacity of the state in the territory; (ii) public policies to support development, and (iii) actors, institutions and concerted arenas. Among the variables to be analyzed in the three components, seven stand out: (i) administrative structure; (ii) programming and planning instruments; (iii) communication, transparency and innovation structures; (iv) plans, programs and public actions; (v) public actions to support development; (vi) action of actors and institutions in the process of territorial articulation; (vii) conversation structures social concertation.

It is understood that, with this set of components and variables and the necessary data collection instruments for its foundation, it is possible to structure a methodological proposal to finally determine the Institutional Dimension Activation Index (IADI), as part of an integrated index, the Multidimensional Index of Territorial Heritage Activation (IMAP).

⁶ In Dallabrida (2020a), a theoretical basis is presented to support the territorial dynamics of development.

⁷ The presentation (DALLABRIDA, 2022) and the other papers in the Dossier are available at: <https://rbgdr.net/revista/index.php/rbgdr/issue/view/73>.

The text is divided, in addition to this introduction, into two topics and the final considerations. The first topic addressed the conceptual aspects of the institutional dimension of territorial heritage. In the second topic, the indicative aspect was addressed, which included the definition of the variables of each component and their collection forms.

CONCEPTUAL ELEMENTS OF THE INSTITUTIONAL DIMENSION OF THE TERRITORIAL HERITAGE

In this part of the text, divided into three subsections, the focus will be directed to contributing elements of a conceptual nature, but which have methodological implications for the study of the institutional dimension of territorial heritage.

Administrative structure and the role of the State in the territorial dynamics of development

The political-administrative division that currently exists in a country's territory defines the outline and design of most territorial development policies. In addition to the more traditional formats of subnational entities (states, provinces, municipalities, counties, councils, etc.), new spatial designs of public policies emerge that foster new territorialities, with regional cuts that bring together municipalities and areas under the command of directorates and coordinators that operate in this scope and around which governance arrangements are produced to manage these policies, arrangements that can be more or less horizontal and with broad or restricted consultation.

These new designs produce, under the same geographical framework of a political-administrative type, the intersection of different public policy scales, coming from different sectors (health, education, industry, agriculture, science and technology, social assistance). These policies, in their territorial insertion, can lead to complementarity and operational subsidiarity, multiplying the power of development, or lead to overlapping and duplication of actions, with waste of resources and ineffectiveness of initiatives, often redundant and ineffective.

It is in public actions that the different spatial cuts occur, fostering new territorialities, with the crossing of scales that the role of the State in the territorial dynamics of development is presented.

That said, in the contemporary debate on the territorial dynamics of development, some issues can be highlighted: (i) the role of norms, rules and conventions to attract small and medium-sized companies and transnational companies, as well as their possible forms of interaction; (ii) the strong relationship between socio-territorial organization, innovation and development, (iii) the necessary (re)consideration of the role of the State in local-regional development processes, mainly in countries classified as underdeveloped, and (iv) the importance of structuring of appropriate and necessary *territorial governance* systems for *corporate territorial management*, constituting territorial governance processes (DALLABRIDA, 2003; 2007; 2015; FARINÓS, 2015).

About business interaction at the territorial level, some authors, such as Storper (1997), emphasize the role of the institutional space of norms, rules and conventions, both as a conditioning factor of this system of mercantile relations, and as potential in the trajectories of

territorial development. In this perspective, according to Storper (1997), territorial development jointly permeates three dimensions of reality: (i) technology and technological change, as an engine of growth and development; (ii) organizations, especially business networks, territorial production systems and other local institutions; (iii) the territories, understood not only as a physical support, but interspersed with social and business relationships based on proximity.

Vázquez-Barquero (1996) refers to the dimensions *hardware* (infrastructures), *software* (initiatives for the qualification of human resources, support for innovation and technology diffusion) and *orgware* of local/regional/territorial development. Emphasis is given to the *orgware dimension*, referring to actions related to improving social organization for development, consisting of improving the organizational capacity that exists in the city, region or territory. These are actions to support the capacity territorial organization, constituting one of the conditions for the emergence of innovative processes, with positive effects on development.

Both issues related to agglomeration and business interaction at the territorial level and related factors, as well as issues related to capacity territorial self-organization, require the necessary (re)consideration of the role of the State, mainly in countries classified as underdeveloped. This is because there is an imminent relationship between the State, Society and the Market, reaffirming the need for them to assume a partnership stance, in pursuit of a common goal, development. Thus, neither society nor the market are hostages of the State, nor is power concentrated in a single agent (DALLABRIDA; FERNÁNDEZ, 2007).

Therefore, in a process of regional/territorial social concertation with a view to development, the State needs to play a new role, no longer just a regulator, neither interventionist nor paternalistic, but innovative, integrative and promoter of development (FERNÁNDEZ, 2001; 2003). This implies the citizen participation of the different social actors, as protagonists of the process, with direct reflections on governance.

In this context, one question deserves to be highlighted: What reasons justify the defense of the role of the State in territorial development processes?

Fernández (2003, p. 78-80), defends the recovery of the space-nation, suggesting as functions of the State, in short: (i) to avoid *fragmentalism selectivist*, integrating and synergizing policies at the regional level with those at the national level, coordinating inter-regional actions, through national impulses of association, in addition to integrating the dynamics of successful regional nodes with others in which dynamism is not present; (ii) contribute to the *structuring of action networks* of national reach, which allow the development of a sufficiently comprehensive space, in order to expand interregional economic-institutional and organizational learning, including regional scopes whose organizational and functional traditions are incompatible with the standards of specialization flexible; (iii) finally, the *constitution of the national space*, associating a State with high capacities, granting regional nodes the political-institutional scale to operate synergistic articulations (negotiations) with transnational companies⁸.

Also, according to Fernández (2003), the State, especially the National State, is situated in the *meta-governance plan*, coordinating, guiding and acting coherently, at a regional and national level, in the reproduction of economic and institutional networks. The quality of

⁸ In Dallabrida *et al.* (2022), the relationship between State and Society in building capacities to strengthen territorial governance practices is discussed.

governance achieved at this level, far from neglecting market mechanisms, contributes to qualifying them, resulting from the potentiation of the operating complexity of economic and institutional actors that give rise to economic and social cooperation networks and the dynamization of supply chains value through collective innovation processes. Far from annulling its role, the State contributes to the strengthening of State-Market relations, as it obtains “[...] synergistic interaction between itself and the economic and social actors that form social cooperation networks” (p. 86).

In order to have the capacity to elaborate an adequate development strategy to face the challenges imposed by globalization, the State needs not only to reinforce the organizational capacity of civil society, but also to redefine its format, to make it highly requalified in its capacities.

Concisely, Fernández (2003) proposes a *bottom-up*, nationally articulated, local-regional development strategy.

The requested State is not a State that is resigned to fragmented local spaces, but a ‘strong State’ that, built on a *bottom-up logic*, reaches an adequate level of national centralization from which it stimulates territorially based flexible accumulation networks and compensates for regional and local asymmetries (FERNANDEZ, 2003, p. 83).

As seen in these brief reflections, the State plays a fundamental role in the implementation and management of territorial development trajectories, aligning as a strategy the formatting of networks and territorial production systems by supporting local companies and institutions and the interaction of social movements in decision-making processes participatory. With this, it expands the possibility of constituting processes of territorial governance supported by the capacity to form coalitions between institutions, companies and social actors in the territories.

Public policies to support an innovative territorial development process

The public policy component depends on government agendas, considering the relationship between the powers established in the State that trigger movements to activate these policies in the territories through formats and modalities of governance established at different spatial scales⁹. The territorialization of these policies is strongly affected by networks of socio-territorial power, where “archaic” forms of power are still manifested, with practices of patriarchy, patrimonialism, serving the purpose of maintaining power and controlling public positions. This requires advances.

It is defended here, as an imperative to move forward in the debate on the subject, that public policies have as their main focus to trigger an innovative development process, even if enriched by the historicity of knowledge and socio-cultural practices and local cooperatives.

Emmendoerfer (2019) is taken as a parameter for the approach to innovation, as a process that requires individuals and organizations to have the ability to allow the identification and practice of new, improved or renewed ideas, as references in problem solving that imply better performance in the results expected by public administrations, or society in general, in terms of

⁹ The topic of public policy will not be discussed in depth here, as it is considered a topic that has been successfully addressed by current literature.

efficiency, effectiveness and value. The theoretical debate on innovation and its relationship with development has resulted in different approaches, for example, on smart cities or territories.

A smart city is one that, through the implementation of a network of initiatives and interrelated programs of action and control, supported by innovative technologies, sustainable management of matter and energy, and a change in behavior, boosts economic development. and social life of its inhabitants in a sustainable way, that is, without compromising the well-being of future generations (HERRERO, 2016, p.128).

Dallabrida (2020b) argues that talking about *intelligent territory* and not just *smart city*, as a proposition, must consider the need to move forward from a sectoral and/or dichotomous spatial vision, for example, between rural and urban spaces, to an integrative vision of space, which is intended to be conveyed in the notion of territory. On the other hand, the territory is a complex totality, where processes do not occur sectorally, but intersect in their different dimensions. In this sense, it is possible to refer to territorial intelligence¹⁰, in order to realize the tangible and intangible potential, such as the knowledge available among territorial actors in the form of a territorial system, involving their heritage (social, cultural, productive, intellectual, institutional, environmental) and the operational standard of its actors and institutions, to be used to engender an intelligent and creative social and institutional environment, which can result in an innovative process of territorial development (DALLABRIDA, 2020b).

On the possibilities of an innovative and integrated perspective of territorial development, Fernández and Dallabrida (2010) point out the need to overcome traditional patterns of development, especially in peripheral regions, through the qualification of the multiscale connectivity system of the social production systems, strengthening, extending territorially and synergizing cross-interactions between macronational, meso- and micro-regional institutions, in order to: (i) be able to formulate/improve meso-regional diagnoses through comparative studies of productive agglomerations, recognizing in these their strengths, weaknesses and potential mutual connections; (ii) effectively advance in connections based on the development of strategic infrastructures for each territorial scale, especially the peripheral areas, to amplify *intra* and extraterritorial connections; (iii) interconnecting and devising business strategies and improvement of production processes, taking into account training in terms of access to markets, employment and financing.

It is necessary to emphasize two more important aspects in this debate: (i) one, related to strategies for external dissemination of aspects of the identity of the place or territory, such as *marketing strategies* and/or territorial *branding*; (ii) another, referring to the use of information and communication technologies (TICS) in the public sector, as a mechanism for improving disclosure and as a facilitator of service to citizens.

The evolution of the concept of *marketing to territorial marketing* is characterized by the fact of expanding its scope, contemplating, in addition to the business sector, the social sphere and the public sector, that is, institutions, cities and territories, aiming at the competitive differential and the consolidation of management tools (DALLABRIDA; TOMPOROSKI; SAKR, 2016). Sexto *et al.* (2001) expose four basic principles of *marketing* places or territories: (i)

¹⁰On the theme “territorial intelligence”, references are suggested to deepen the theme: Almasa Maza (2010); Girardot (2010); Gusmán (2013); Bozzano (2013).

think and plan development from residents, tourists and investors; (ii) promote an integrated analysis and allow prospective actions for these publics mentioned; (iii) promote sustainable development policies that promote territorial identification, and (iv) carry out promotions aimed at the visibility and notoriety of places.

The literal translation of the term *branding* corresponds to “developing a brand” or “building a brand”, that is, creating an image that reinforces the reputation of a brand. For San Eugenio (2012), regarding this aspect,

[...] the territory brand involves, to a large extent, the reinvention of places from the brand development process (*branding*) with the collective identities of spaces, which make full use of the intangibles associated with territorial identities ¹¹(EUGENIO, 2012, p. 21).

Territory brands have received great momentum in recent times, associated with the increasingly obvious need for differentiation felt by different communities. The most important thing is to actively and efficiently communicate the idea or concept that represents the brand, that is, to generate a brand that defends differential values in relation to the rest of the territories (LÓPEZ-LITA; BENLLOCH, 2005).

As for the use of TICS in the public sector, theoretical approaches refer to electronic government or *e-government*. The idea of electronic government, although associated with the use of information technology in the public sector, goes beyond this dimension (DINIZ *et al.*, 2009). In some cases, it is linked to the modernization of public administration through the use of information and communication technologies and the improvement of the efficiency of operational and administrative processes of governments (AGUNE; CARLOS, 2005). In other cases, it is clearly associated with the use of the internet in the public sector to provide electronic public services, understanding that the technological revolution, combined with the political will for change, has been affecting all levels of public administration in Brazil, presenting, in detail, the transformations generated by technology in the parameters of political, economic and social relations (CHAHIN *et al.*, 2004).

Other approaches highlight the relationship between electronic government and electronic governance.

Electronic governance is understood as a process that aims at the political manifestation and participation of civil society, together with the government, by electronic means, in the formulation, monitoring of the implementation and evaluation of public policies, with a view to the development of citizenship and democracy (GUIMARÃES; MEDEIROS, 2005, p. 1).

It can be seen that both the electronic government or *e-government strategies* in the technological modernization of public services or the use of electronic governance as an innovative tool in expanding the participation of civil society in public administration, as well as the strategies for external dissemination of aspects of the identity of the place or territory, like *marketing strategies* and/or territorial *branding*, converge with the proposition of public policies for an innovative process of territorial development.

¹¹San Eugenio (2013) deepens the topic of territory *branding*.

Actors, institutions and concert arenas: possibilities and challenges

The theme of actors and institutions leads us to think about the public space in which socio-institutional negotiations take place in the form of territorial governance practices, such as consultation arenas, which Becker (2001, p. 19) calls the “political sphere”, understood as a space for mediation”. The policy, understood in two senses: first, methodologically, as “[...] process of synthesis, through the reconstruction of the concrete in stages from its determinations”; second, concretely, as “[...] mediating sphere-space of effective historical transformations of regional development”.

It is then a question of mediating the effective process of development, antagonistic by nature, resolving conflicts and overcoming contradictions. Becker (2001) adds: more and more, the abilities and capacities developed by the set of economic, social and political agents are decisive in the territorial dynamics of development¹². That is, new combinations create themselves in the interaction of the economic sphere with the social sphere of development, mediated by the political sphere.

The challenge is that the antagonism of interests, generators of conflict, present in the territory, reveals the asymmetry of power between actors and institutions, an asymmetry that is seen as a generator of inequalities. However, only verifying the behavior of the power variable is insufficient to explain this phenomenon and, in it, the possibilities and conditions for change (FAVARETO, 2023).

Public spaces or concerted arenas take place in territories, spatial areas in which interdependent relationships between social and natural systems are manifested, marked by systemic complexity. Such relationships vary in each territorial configuration, determined by the forms of domination in disputes for the resources that constitute this spatial unit (FAVARETO, 2023). That is, those who have more power tend to take over more territorial resources and establish relationships of domination over other actors. And similarly, it happens with institutions.

One of the possibilities for moving forward, proposed by Favareto (2023), is to refer to the triad “coalitions of social actors, assets, institutions”, considering that: (i) political and economic institutions function as the rules of the game that parameterize the interactions between the agents of a territory, shaping its contours; (ii) institutions are always supported by coalitions of social forces and there is a direct correlation between the extent of a coalition and the inclusive or exclusive nature of institutions; (iii) to have power in a coalition, actors need to mobilize assets, advantages, capital, and the formation of coalitions involves several aspects, such as the combination of interests to be met, but also involves the mobilization of resources to sustain the institutions that can serve them; moreover, it also involves strategies that allow the construction of a field of interactions between different actors, shaping key ideas and ways of expressing them (narratives, projects, agendas, programs) that allow combining these interests and differences in a coherent equation, that makes sense and can be shared; (iv) the territory is, at the same time, state and movement of contradictions that involve this triad formed by coalitions of actors, the assets they mobilize, and the institutions that are generated from there,

¹²In Dallabrida *et al.* (2022) highlight the relationships and role of the State and Society in building capacities that may be indicative of articulation processes or territorial governance.

stabilizing (or changing) the relations between those actors and that distribution of assets; (v) finally, public policies and other factors exogenous to a territory can change some of these cycle conditions, but they can also simply reinforce them.

If there is a tendency towards permanent reproduction of this dynamic, where can change come from? This is a topic that receives much attention in the tradition of institutionalist studies¹³. The central idea is that certain “critical conjunctures” can create fissures and disrupt the dynamic stability of a system, such as territories (FAVARETO, 2023)¹⁴. That is, the possibility of forming coalitions could become an asset for less empowered actors to advance in the defense of their interests in the face of dominant socio-territorial power networks, making it possible to take advantage of situations in which fissures occur on the side of their oppressors, as a possibility of new coalitions.

Critical junctures result from different factors. As important as underlining that there are sources of change that can alter reality – *exogenous shocks*, such as a cataclysm, *incremental change*, derived from a long accumulation of conditions on the part of dominated actors and *conflicts between institutions*, which interfere in patterns behavioral or of any other kind - it is worth noting that the meaning of these changes is not always positive, see the example of the Military Coup (1964) in Brazil (FAVARETO, 2023).

Finally, it is important to emphasize the importance of forming broad and plural coalitions, which is the great challenge to be faced in the arenas of agreement in the territories. And why is it so difficult to build broad and plural coalitions, if they are what allow for the creation of inclusive institutions? Perhaps the answer is: because it is exceedingly difficult to define and agree on the part of those who lose, so that others can win. That is to say, there is a logical, long-term impossibility in the idea that a coalition can be broad enough for everyone to win. This is because: (i) restricted coalitions block the access of most of society to the most valued assets; (ii) broad coalitions always involve distributive tensions, around access to the most valued assets; (iii) elites always play a key role, as they concentrate key assets to sustain institutions and build coalitions (FAVARETO, 2023).

For all this, even if the exercise of “hoping in the face of intense challenges” is required, it is always necessary to think about who are the social forces that can direct and sustain changes. This implies thinking in terms of fractions and fissures in classes or social groups – the dominated fractions of the dominant; the dominant fractions of the dominated – and in their (re)compositions, something much more complex than the dynamics given by the large social classes (the working class or the capitalist class), as traditionally understood in the current stage of international capitalism. The important thing is to understand that changes can hardly be led by a single actor, or by a group of actors who are similar and have similar resources, whether among the dominant or among the dominated (FAVARETO, 2023).

This is the dynamic that involves the relational processes between actors, institutions in the concertation arenas, with their possibilities and challenges.

¹³For example, studies by Acemoglu and Robinson (2012).

¹⁴See also complementary approaches on the subject in Favareto (2022), Favareto and Lotta (2022) and Galvanese (2021).

INDICATIVE ELEMENTS POSITIONED AS A METHODOLOGICAL REFERENCE OF THE INSTITUTIONAL DIMENSION

The methodological framework of the institutional dimension, proposed here, is based on three components, such as: (i) the administrative capacity of the state in the territory, (ii) public policies to support development and (iii) actors, institutions and concerted arenas, in addition to a set of seven variables, with indicative references for analysis.

Administrative capacity of the state in the territory

The first component, represented by the administrative capacity of the state in the territory, will be analyzed through three variables, which form its *core*.

The first variable is the *Administrative Structure*, which will have as reference the structure of the planning bodies and the provision of public services and the qualification capacity of the human resources of technicians and managers of the referred public bodies.

Thus, the existence of secretaries equipped with actions to offer services and rights to the population within the municipal jurisdiction can be measured according to a scale, represented as follows:

- (i) the optimal level, represented by the number five (5), when the set of secretariats that serve 100% of the sectors with local expression, provided with a planning area;
- (ii) the good level, represented by number four (4), when the number of secretariats is sufficient to meet the minimum of 80% of the sectors with local expression, provided with a planning area, either its own or that interacts with all the secretariats;
- (iii) the regular level, represented by the number three (3), when the number of secretariats is just enough to serve 60% of the sectors with local expression, one of which is dedicated to planning;
- (iv) the bad level, represented by the number two (2), when the number of secretariats is just enough to serve less than 40% of the sectors with local expression, without a sector dedicated to planning;
- (v) the very bad level, represented by the number one (1), when the number of secretariats is only sufficient to serve less than 20% of the sectors with local expression, without a sector focused on planning.

The methodological procedures or data collection instruments to be used are subsidized by consultations on the website of the municipal governments and the Pluriannual Plan, making it possible to attest to the existence of secretaries, superintendencies and other nomenclatures of public bodies derived from the administrative structure of the municipal government.

In order to obtain the training and qualification of human resources - technical managers of the municipal secretaries, training in undergraduate courses in the areas of work of the secretaries, and specialization and short-term courses as training, offered via platforms will be considered as an indicator of virtual teaching by the federal or state government to make the qualification of the technical staff more flexible. Given that there are no on-site undergraduate courses offered at Federal Universities of Higher Education (UFES) and State Universities

of Higher Education (UEEA) in all municipalities. The measurement scale will be organized as follows:

- (i) the optimal level, represented by number five (5), when 80 to 100% of technicians have training in undergraduate, specialization and short-term teaching in the areas where secretaries work;
- (ii) the good level, represented by the number four (4), when 60 to 79% of technicians have training in undergraduate, specialization and short-term teaching in the areas where secretaries work;
- (iii) the regular level, represented by the number four (3), when 40 to 59% of technicians have undergraduate, specialization and short-term training in the areas where secretaries work;
- (iv) the bad level, represented by the number two (2), when 20 to 39% of technicians have undergraduate, specialization and short-term training in the areas where secretaries work;
- (v) the very bad level, represented by the number one (1), when less than 20% of technicians have undergraduate, specialization and short-term training in the areas in which secretaries work.

The data collection instruments to be used will be the resumes of technicians and managers who work in the secretariats, through consultation carried out in electronic portals, updated lattes curriculum (if any) or through direct interviews.

The second variable, *Programming and Planning Instruments*, considers the existence of long-, medium- and short-term public policies in the public administration of the municipalities, represented respectively by the Master Plan, Pluriannual Planning (PPA), the Annual Budget Law (LOA) and the Law of Budget Guidelines (LDO). The assessment of these institutional documents for analysis includes checking whether they were formulated and whether they were updated, in accordance with the institutional apparatus of municipal management. In this case, the scale for analysis comprises the following levels:

- (i) if there is the formulation and updating of all the referred documents by the municipal secretariats, it will be classified as an optimal level, represented by the number five (5);
- (ii) the formulation by consultants of all the documents mentioned above configures the good level, represented by four (4);
- (iii) the existence of all cited documents, however outdated, configures the regular level, represented by three (3);
- (iv) the absence of one of these documents configures the bad level, represented by two (2);
- (v) the non-existence of the PPA configures the very bad level, represented by the number one (1), because in this case there is omission of the municipal government in the planning, configuring the non-existence of the application of planning figured by the plans and budgetary laws, greatly harming the implementation of actions for the IADI.

The other reference for analysis of this variable is the assessment of the proposals listed in each of them and the analysis of whether they converge as alternatives to the IADI, considering actions and projects in the productive, sociocultural and environmental areas. Consequently:

- (i) the existence in the plans and laws the reference of actions and projects in the productive, socio-cultural and environmental areas, configures the optimal level, represented by the number five (5);
- (ii) the absence of actions and projects related to the productive area configures the good level, represented by the number four (4);
- (iii) the lack of actions and projects in the socio-cultural or environmental areas configures the regular level, represented by the number three (3);
- (iv) the gap left by the absence of projects in two or more areas configures the bad level, represented by the number two (2);
- (v) the lack of actions and projects in the three areas configures the very bad level, represented by the number one (1).

The source of consultation will be the institutional documents, such as the Master Plan, the PPA, the LOA and the LDO.

Structures of communication, transparency and innovation was positioned as the third variable within the component of Administrative Capacity, having two aspects as reference for the analysis: the effectiveness of external communication and public transparency and the structures and actions of innovation and e-government.

To measure this variable, it was proposed to prepare a *Checklist*, assigning “yes” to the affirmative meaning (existence) and “no” when the mentioned factor is not present, both for the verification of the effectiveness of external communication and public transparency, and on the structures and actions of innovation and E-Government. This was considered to be the information made available to the internal and external public, which present (or do not) evidence of innovative actions locally, as proposed by Grein and Dallabrida (2020). Thus, the use of the percentage of affirmative attributions (yes, existence), will form a scale for each of the referents. Another alternative is the valuation of each factor, using a scale of 1 to 5, respectively, for non-existence, partial existence, a regular existence situation, a good existence situation and an excellent situation, when all aspects are highlighted, and such an option would require adjusting the result of the responses to the scale proposed below:

Thus, it is proposed:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of affirmative attributions;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of affirmative attributions;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of affirmative attributions;
- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of affirmative attributions;
- (v) attribution of 1, for a very bad situation, when presenting a percentage between zero and 19% of affirmative attributions.

With regard to data collection techniques and/or instruments, it is suggested to search the Portal and/or website of the municipality(s) in the area covered by the study and search for information by applying and/or filling out a *Checklist*.

Public Policies to support development

The variable *Plans, programs and public actions* corresponds to the technical and managerial capacity to form institutional arrangements for the formulation of territorial planning carried out by the federal, state and municipal spheres, dedicated to territorial specificities. These actions are based on the formulation of the public policy agenda.

The reference for analysis is based on plans, programs and public actions and public actions to support development. Regarding the first reference - plans, programs and actions - it will use data from the financial budget and its application, from which it is possible to verify if there is implementation of public policies in the form of projects and actions in the municipality.

The measurement benchmark will consider the proposals for actions included in the PPA and the proportion in percentage of them that were derived from expenditures presented by the LOA budget for the current year. The scale may vary depending on the approximation between the proposed actions and the expenditure according to the financial budget. Thus, resulting from this analysis, the following scale will be considered:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of insertion;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of insertion;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of insertion;
- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of insertion;
- (v) attribution of 1, for a bad situation, when presenting a percentage between zero and 19% of insertion.

The collection instrument that can represent this data is the appreciation through the LOA and the LDO, combined with the proposals previously appreciated in the previous variable. For this reason, the existence of the transparency portal is essential to ensure the public accountability of the municipal government to society.

The second referent for the analysis - public actions to support development - is related to the institutional capacity of the municipality to generate a financial budget independent of the Union (financial autonomy), so as not to be limited to items previously formulated by the federal government, aiming to strengthen actions that are associated with the demands of the population. For this reason, the data regarding the execution of the own revenue are appreciated, according to the documents of the LDO and LOA.

The assessment of these instruments is based on the scale of will vary from 5 to 1, so that the number 5 represents the optimal level when there was the generation of own revenue and application of it in sectors that converge to the activation of the IADI. Thus, from the relationship

between the total percentage of resource generation of the municipality independent of the Union - local financial autonomy - the following scale results:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of financial autonomy, converging with the IADI;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of financial autonomy, converging with the IADI;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of financial autonomy, converging with the IADI;
- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of financial autonomy, converging with the IADI;
- (v) attribution of 1, for a bad situation, when presenting a percentage between zero and 19% of financial autonomy, converging with the IADI.

The LDO and LOA documents will be the main data collection instruments.

The second variable is the *public Actions to support development*, considering the programs managed by the State for development, based on the strengthening of development agencies that result in programs for the productive, sociocultural and environmental sectors, aiming to institutionally strengthen the agenda of public policies embodied by the administrative structure of the municipal government.

The measurement of this variable will be formulated from the analysis and balance of regional and territorial plans of the federal government and their association, through the decentralization of the decision-making of the federal government, for the concertation between regional institutions and social actors, emanating in the format of programs. The aim is to expand the decision-making process in the form of workshops, public hearings to format the demands of the population in terms of the organization of programs.

The scale may vary, from an excellent scale (5) to the other extreme, such as poor (1), depending on the percentage of actions proposed by other instances of the State, in relation to the totality of programs and actions of plans or local/regional programs. From this relationship, the following scale results:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of actions, plans or programs that converge in the extra-local X local relation;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of actions, plans or programs that converge in the extra-local X local relation;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of actions, plans or programs that converge in the extra-local X local relation;
- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of actions, plans or programs that converge in the extra-local X local relation;
- (v) attribution of 1, for a bad situation, when presenting a percentage between zero and 19% of actions, plans or programs that converge in the extra-local X local relation.

The data collection instruments will be related to documents and information on forms of support and/or subsidies to the productive sector endorsed by the formulation of institutio-

nal cooperation arrangements in the dialogue between the federal and regional governments, in addition to actions implemented by bodies that are responsible for regional development programs.

The support actions in the socio-cultural and environmental sector will use the same assessment strategy in the regional programs and plans of the regional bodies, and the analysis criterion will consider the formulation of actions that are directed towards unobstructing the centralism of the action of the State. Therefore, there are variations within the scale of 5 to 1 for cultural and environmental actions shaped according to the possibility of expanding citizen participation within the construction of the public policy agenda. From this relationship, the following scale results:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of actions, plans or programs that contribute to citizen participation in the public policy agenda;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of actions, plans or programs that contribute to citizen participation in the public policy agenda;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of actions, plans or programs that contribute to citizen participation in the public policy agenda;
- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of actions, plans or programs that contribute to citizen participation in the public policy agenda;
- (v) attribution of 1, for a very bad situation, when presenting a percentage between zero and 19% of actions, plans or programs that contribute to citizen participation in the public policy agenda.

Data collection instruments will be related to documents and information on forms of support, such as plans, projects, minutes and other registration documents.

Actors, institutions and concert arenas

The variable *Action of actors and institutions in the territorial articulation process* is divided into the analysis referents: (i) effectiveness of citizen participation (territorial governance) and (ii) public-private action and interaction, with other public, social and market instances.

The measurement of this variable will be carried out by structuring and applying a semi-structured questionnaire to quantify the effectiveness of citizens in participating in organizations and social entities that will be represented by the scale that considers five levels, resulting in the scale below:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of respondents claiming to participate in at least one organization;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of respondents stating that they participate in at least one organization;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of respondents claiming to participate in at least one organization;

- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of respondents stating that they participate in at least one organization;
- (v) attribution of 1, for a very bad situation, when presenting a percentage between zero and 19% of respondents claiming to participate in at least one organization.

Table 1 – Questionnaire regarding the participation of social actors at different levels of organization

	Participated		Did not participate		Did not answer (NR)		Total
	No	%	No	%	No	%	
Participatory budgeting							
Community association							
Recreational or sports association							
Associations and/or thematic NGOs							
Professional association							
Church or religious organization							
Charitable organization							
School board							
Municipal councils							
Regional councils							
Political party							
Syndicate							
General associativism							
Political party and trade union							
Participatory institutions							

Source : The model was elaborated according to Avritzer (2012).

Note: N = absolute number of cases.

The data collection instrument will be based on records, minutes and histories of meetings of associations and unions, so that it is possible to understand militancy and the performance of their demands. Allied to these documents, it is essential to assess documents referring to the minutes of deliberative meetings at the institutional level organized by the city hall around topics related to planning themes.

The second variable *Structures of conversation and social consultation* was based on the analysis of the level of participation of social actors in proposing their demands and, consequently, their feasibility in the insertion of the agenda of actions of public bodies. The analysis reference was divided into two approaches: (i) existence and effectiveness of conversation channels and forums and (ii) assessment of the local propensity to put into effect plural/restricted x inclusive/extractive coalitions. Thus, the application of forms with closed questions, *survey type*, was chosen as a methodological resource for data collection, understanding that they can comprise a larger number of participants, in addition to interviews with members of the team of technicians and managers, as well as, to the leaders of associations and unions and social movements, through a semi-structured questionnaire. The use of the Focus Group technique can be another resource to be used.

Data can be collected according to the percentage of the number of respondents, considering that the questions will be structured with objective response options, allowing the analytical scale from 1 to 5 to be met based on the percentage of responses. The higher the

percentage of positive answers in relation to meeting the demands of their organizations, the closer to five (5) it will be, so that it is possible to measure from the scale below:

- (i) attribution of 5, for an optimal situation, when presenting a percentage between 80 and 100% of those questioned responded positively in relation to meeting the demands of their organizations;
- (ii) attribution of 4, for a good situation, when presenting a percentage between 60 and 79% of those questioned responded positively in relation to meeting the demands of their organizations;
- (iii) attribution of 3, for an optimal situation, when presenting a percentage between 40 and 59% of those questioned responded positively in relation to meeting the demands of their organizations;
- (iv) attribution of 2, for a bad situation, when presenting a percentage between 20 and 39% of those questioned responded positively in relation to meeting the demands of their organizations;
- (v) attribution of 1, for a bad situation, when presenting a percentage between zero and 19% of those questioned responded positively in relation to meeting the demands of their organizations.

As data collection techniques and instruments, it is suggested the use of Focal Group techniques and/or Interviews with actors through a semi-structured questionnaire.

Methodological proposal for the study of the Institutional Dimension

The methodological framework of the institutional dimension is organized, as explained throughout the paper, into components and their variables, which branch out into references for analysis, seeking to quantify on a value scale the data that are proposed as analysis instruments. The proposal to mark out the components and variables to quantify the scale at which the territory has achieved in relation to the Institutional Dimension Activation Index (IADI), component of the Multidimensional Index of Territorial Heritage Activation (IMAP), goes through the accounting that the aggregate of variables reached according to the scale from 1 to 5, as described and presented in Table 2.

Table 2 – Methodological framework for studying the Institutional Dimension of Territorial Heritage

Component	Variable	Data collection techniques and instruments	Scale
Administrative capacity of the state in the territory	Administrative Structure	Documents on the administrative structure; Técniciza training documents	<u>Ref.: Structure of service delivery bodies</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful) <u>Ref.: Training of human resources</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (very bad).
	Programming and planning instruments	Documents referring to the Master Plan, the Pluriannual Planning (PPA), the Annual Budget Law (LOA) and the Law of Budget Guidelines (LDO); Other programming and planning instruments.	<u>Ref.: Existence and formulation of instruments</u> 5: own formulation of all plans and planning laws (optimal); 4: formulation of documents by consultants (good); 3: the existence of all documents, but outdated (regular); 2: the absence of one of these documents (bad); 1: the non-existence of the PPA (terrible). <u>Ref.: Effectiveness of instruments</u> 5: Existence of projects in the productive, socio-cultural and environmental areas (excellent); 4: Absence of actions related to the productive area (good); 3: The lack of actions in the socio-cultural or environmental areas (regular); 2: Absence of actions in two areas or more (poor); 1: Inexistence of actions and projects in the three areas (terrible).
	Communication, transparency and innovation structures	Search on the Portal and/or website of the municipality(ies) in the area covered by the study Search for information by applying and/or completing a <i>Checklist</i>	<u>Ref.: Effectiveness in communication and public transparency</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful) <u>Ref.: Structures and innovation actions</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)

Public Policies to support development	Plans, programs and public actions	<p>Consultation in the municipal transparency channels, referring to the actions in the PPA and the proportion in percentage of them that were originated from expenses presented by the LOA budget of the current year;</p> <p>Consultation by the LOA and LDO of the municipality's ability to generate a financial budget independent of the Union</p>	<p><u>Ref.: The financial budget and its application</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)</p> <p><u>Ref.: Financial autonomy</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)</p>
	Public actions to support development	<p>Federal government decentralized regional programs and plans</p> <p>Actions aimed at expanding deliberative spaces for expanding social participation, recorded in minutes and other documents</p>	<p><u>Ref.: Support and/or subsidies to the productive sector</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)</p> <p><u>Ref.: Support in the socio-cultural and environmental sector</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)</p>
Actors, institutions and concert arenas	Action of actors and institutions in the process of territorial articulation	Consultation in minutes of meetings, Monitoring of meetings and negotiations semi-structured questionnaire	<u>Ref.: Effectiveness of citizen participation</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)
	Structures of conversation and social consultation	Focus Group Techniques and/or Interviews with actors through a semi-structured questionnaire	<u>Ref.: Structures of social agreement</u> 5: 80 to 100% (great) 4: 60 to 79% (good) 3: 40 to 59% (regular) 2: 20 to 39% (bad) 1: 0 to 19% (awful)

Source: Elaborated by the authors (2023).

Table 3, on the other hand, was built from the following format, combining the components described in Table 2 and subsequently establishing the value scale indicated by the numbers 1 to 5. The variables assumed the position of metrics that could be measured according to the formula of their sum and division by the denominator quantified from the number of variables. At the end, the Institutional Dimension Activation Index (IADI) was represented by the

values obtained by the averages of its three components divided by the corresponding number to obtain a weighted average in relation to the territory.

Table 3 – Institutional Dimension calculation equation

Components	Variables	Scale						Averages	
		1	2	3	4	5	Formula	Value	
Administrative capacity of the State in the territory	C1						$\frac{C1 + C2 + C3}{3}$	C	
	C2								
	C3								
Public Policies to support development	P1						$\frac{P1 + P2}{2}$	P	
	P2								
Actors, institutions and concert arenas	A1						$\frac{A1 + A2}{2}$	A	
	A2								
Index what represents the Dimension Institutional (IDI)							$\frac{C + P + A}{3}$	IDI	

Source: Elaborated by the authors.

FINAL CONSIDERATIONS

A methodological proposal was presented that addresses the institutional dimension of territorial development from a comprehensive perspective. The organizational structure, the evaluation of action measures and the way in which social and institutional actors cooperate and coordinate in a single shared vision of the development potential of a territory, are fundamental in the articulation of all strategies and dimensions of development (cultural, economic, and others).

The proposal foresees three elements for reflection: (i) it is a starting point for any theoretical reflection that places institutions as a reference for territorial development; (ii) the referenced variables can be complemented with others, of a qualitative nature, that allow concluding the analysis, for example, measuring the degree of satisfaction of local actors or the degree of responsibility assumed by institutions, and (iii) depending on the number of variables used, the application of different statistical tools must be scrutinized so that we can better adapt to the objectives and initial hypotheses.

The paper proposed to methodologically apply the organization of components and variables that make up the institutional dimension, of which it presented three components and seven variables composing the concert of the aforementioned formula, having interdisciplinarity as a reference matrix. Because of this, one of the efforts in this paper was to add and quantify elements considered in their theoretical essence, giving bias for the application of this methodology in the territories.

It is recognized that, despite being a methodological proposal, it lacks field research for its testability, with the application, seeking to obtain practical results that allow calibrations and designs conducive to the territorial specificities, given its diversity and inequality in Brazil.

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