Inclusive, Sustainable & Just Cities

Longitudinal Research in Rio’s favelas, 1969-2019

Janice Perlman

Magna Conference

Brazilian Academy of Sciences

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17 Sustainable Development Goals – SDG’s

GOAL 11: Sustainable Cities and Communities
- inclusive
- safe
- resilient
- regenerative

GOAL 1: Poverty Reduction
GOAL 8: Decent Work for all
GOAL 10: Reduced Inequality

NEW URBAN AGENDA for 2030 to meet SDG 11
Signed at H3 in Quito, 2016
“Cities for All”
"Equal use and enjoyment of cities" i.e. RIGHT TO THE CITY

ALL INTER-CONNECTED
Each with Agenda and Indicators
SDG’s INTENTION - NEW GLOBAL COMPACT - 2030

CITIES CONNECT the issues and open opportunity for:

1. Jobs
2. Housing
3. Transportation systems connecting them
4. Urban services—water, sanitation, renewal energy
5. Social services – human and community development
   - Education
   - Health
6. Supporting culture, identity; diversity, celebration and compassion
7. Using knowledge base, new technologies and global access

Link with rural: cities need sustainable agriculture and rural prosperity
% Urban: Latin America 80; Brazil 86
US 80; Europe 74
95% of urban expansion will take place in the developing world--most of it in slums.

Cityward migration is swelling cities by:

70+ million people per year = 8 NYCs

1.4 million people per week = Milan or Munich
To house this influx we need more than

35 million units per year

96,150 per day

4,000 per hour

self-building is only answer
INCOMING MIGRANTS ARE PRICED OUT OF FORMAL HOUSING MARKET - cannot buy or rent
BEING EXCLUDED, they build where they can...
2019: 1 billion squatters, 1/6 world population
2030: 2 billion squatters, ¼ world population
2050: 3 billion squatters, 1/3 world population

POPULATION GROWTH WILL BE CONCENTRATED IN URBAN SLUMS
in areas at highest risk for global warming
1.8 billion people work in the informal economy—
(unregulated, not illegal)

60% of non-agricultural income in Brazil is earned in
the informal sector

Generating profits of $10 trillion = 1/8 of world
economy

As a country, this would be 2nd largest economy in
world
THE CHALLENGE OF OUR TIMES IS BRIDGING THIS DIVIDE
47 MEGA-CITIES with 10 MI +

CITIES ARE THE SOLUTION--

NOT the problem, as long as humans are here

60% of OUR population LIVES live in cities

80% of global GDP COMES from cities
Yet- they occupy only 3% of land

With good management cities are capable of
1- end extreme poverty;
2- mitigate climate change
3- reduce risk to coasts, riverbeds and hills —where poor live for lack of other options
DENSITY PROTECTS NATURE
Comparing Household Emissions (MBTU)

Suburban: Single House 3 Cars, driving 31 k mi/yr.
Compact: Townhouse 2 cars, 15K mi/yr.
Urban: Condo 1 car, 10K mi/yr.

- Buildings includes source energy
- Transportation includes Oil Refining and Vehicle Consumption
LESSONS FROM 20 MEGA-CITIES

We are all in this together!

1. No global sustainability without urban sustainability.
   - Concentration of the human population
   - Circular infrastructure systems

2. No urban sustainability with urban poverty + inequality

3. No solution without active civil society and grassroots

4. Need to change incentives, rules of the game and players

No sustainability without social justice, economic inclusion, ecological regeneration and participatory democracy.
My study started in rural Bahia 1963

Jau and Arembepe
Fishing villages

Vila de Abrantes
Agricultural village
Transistor radio changed their world
Summer 1963

...youth now wanted to go where the “ACTION” was !!
FROM DEAD END TO WIDER CHOICES

Migrants risked everything to come to Rio
Magnet of Attraction - Rio de Janeiro
MAP OF RIO
Favelas in red

Baixada Fluminense
DUQUE DE CAXIAS
QUITUNGO E GUAPORÉ
NOVA BRASILIA
CIFADE DE DEUS
CATACUMBA

West Zone
Paciência
North Zone

Freguesia/Jacarepagua

South Zone

Fonte: Prô - URB

COMMUNITIES STUDIED
3 FAVELAS Selected

Lived in each for 6 months
750 interviews

South Zone - CATACUMBA
SOUTH ZONE

Random sample
200 in each favela

[M+F 16-65]

Leaders 50
Positional sample

CATACUMBA 1968
I lived here
North Zone – NOVA BRASÍLIA
Baixada Fluminense – Caxias – VILA OPERÁRIA
My Rio Study Begins

Janice lived here, 1968

THE MYTH OF MARGINALITY
Urban Poverty and Politics in Rio de Janeiro
JANICE E. PERLMAN

Winner of the C. Wright Mills Award, 1976
1. Migrants were not "PUSHED" out of the countryside but "PULLED" toward the city.

2. They were not the WORST but the BEST; had higher aspirations.

3. Reference group NOT URBAN ELITE, but RURAL POOR –i.e. not resentful but proud.

4. NOT MARGINAL BUT "MARGINALIZED" - integrated in an asymmetrical manner.

5. The ideology of marginality justified the removal policy.

5. POLICY IMPLICATION = STOP REMOVAL + UPGRADE ON SITE
RETURN TO RIO
30 YEARS LATER...
Rio’s favelas grew faster than the formal city in every decade from 1950-2010

1970: 300 favelas; 690,000 pop.
2010: 1,248 favelas; 1.5+ million pop - 24%
LONGITUINAL PANEL STUDY
1969-2009

Phase I: Exploratory Research
   Feasibility Study
   Contextual Research

Phase II: Multi-Generational Interviews
   Original study survivors
   Their children
   Their grandchildren

Phase III: Re-Study of 3 Favelas
   New Random and Leadership Samples
CONCEPTUAL FRAMEWORK

Interviewees 1968-'9
Catacumba
Nova Brasília
Caxias
750

Agency - Intervention
Public policies
Civil Society
Self-help

Impact 30 Years Later
Original Sample
Grandchildren
Children


Mobility-up down?

Contextual Variables
Brazilian political and economic evolution
Rio de Janeiro political and economic transformations
Rio de Janeiro’s spatial and functional transformations
CATACUMBA, 1969

30 YEARS LATER

CATACUMBA, 2009
FAVELA REMOVAL, 1970s

100,000 people removed
CATACUMBA REMOVED 1970

Residents forcibly re-located to remote public housing

Some sent to City of God
Most were sent to Conjuntos de GUAPORÉ - QUITUNGO 1973

From thriving favela to isolated Housing Project

Remote location Shoddy construction
then to Casas de Triagem in PACIÊNCIA, 1973
sent here upon 3-month payment default
MORE TRIAGE HOUSING NEEDED

The more families defaulted more triage units needed

Debtors’ Prison
Punishing poverty

No transportation to jobs, schools, clinics, leisure spaces
2011 MCMV MINHA CASA MINHA VIDA

MCMV - New National Social Housing Program

Striking similarity!

Urbanist’s Nightmare
...Meanwhile, NOVA BRASÍLIA became part of Complexo do Alemão

Rua Nova Brasília - 1973
ZÉ CABO

Founding Leader

NOVA BRASÍLIA
FAVELA: Four decades of Living on the Edge in Rio

Longitudinal Study 1968-2008

De-facto tenure

Favela removal never again

Would alienate 20% of voters

WRONG!!!
VAMOS NOS REENCONTRAR!

CATACUMBA

NOVA BRASÍLIA

DUQUE DE CAXIAS

Em 1968 e 1969, a americana Janice Perlman realizou uma pesquisa sobre as comunidades da Catacumba, Nova Brasília e do município de Duque de Caxias, entrevistando 750 moradores. Hoje, Janice e pesquisadores brasileiros estão dando continuidade àquele importante trabalho. Queremos conhecer a trajetória daquelas comunidades, famílias e pessoas.

Quais os principais problemas que enfrentaram nestes 30 anos? Como é a vida das novas gerações? A vida melhorou ou piorou? Se você participou da pesquisa ou conhece alguém que participou, ajude-nos a contar a história da sua comunidade.

Entre em contato com:
Were things better or worse?

**IMPROVEMENTS**

**Infrastructure** – running water, electricity, indoor toilet nearly universal (even w/o public policy)

**Household goods** consumption reached municipal average by grandchildren’s generation

**Education**—years in school increased w each generation
  Illiteracy dropped from 82% of parents to 45% of sample to 6% of children to 0% of grandchildren
BUT, income returns to education showed increasing gap.
VIOLENCE IS WORST CHANGE OVER 35 YEARS

Have you or anyone in your family ever been a victim of:

- 1% sexual abuse
- 1% rape
- 7% extortion
- 15% police extorsion
- 15% breaking and entering
- 17% attempt of attack
- 20% murder
- 24% attack
- 20% mugging
- 46% robbery
- 56% VIOLENCE LEVELS ARE EQUAL ACROSS GENERATIONS & LOCATIONS
VIOLENCE REINFORCED STIGMA of Living in a Favela

Belief that discrimination exists regarding:

- Residence in Favela: 84%
- Skin Color: 80%
- Appearance: 74%
- Birthplace outside Rio: 60%
- Residence in Baixada: 56%
- Gender: 53%
- Residence in North Zone: 52%
- Res. in Public Housing: 45%
RETURN TO DEMOCRACY

did not create inclusion for the urban poor

DASHED HOPES

No equal protection under the law

Poor killed with impunity

Pseudo-citizenship

WHAT GOT WORSE

Violence

Jobs

Education

Negotiating Power

Exclusion
Mega-events, public policy & the future of Rio’s favelas

Goals won and lost in the ‘game’ of the Right to the City

2015-2018
225 Interviews & Site Visits

- 80 Favela leaders and residents in 36 favelas
- 48 Civil society leaders, activists and advocates
- 35 Government officials/International Agencies
- 28 Academics
- 10 Private sector leaders
- 7 Public Housing Project leaders and residents
- 7 Olympic Facilities

+49 Events, Meetings and Hearings
Site Selection
by Olympic Venues, Zone and Favela Policy
MAYOR PAES TED TALK 2012
Rio as model of inclusive sustainable city

4 Commandments
- Environmentally friendly
- Accessible by transit
- Socially integrated
- Tech friendly

But policies did not follow
UPP – Pacification Police Program, 2008

Expanded too fast and increased violence
Upgrading Policies - contrary to people’s priorities

NOVA BRAS LIA – TELEF RICO now closed
Only 7% of locals used—wanted sanitation, jobs, and schools!

PAC II – BIG FAVELAS
(2007)
PAC - Not Maintained; Funding Cut; Trust Destroyed

MANGUINHOS
Library, housing, and retail space; occupied, degraded, and abandoned
RETURN OF REMOVAL (2008-2018) – using mega-events as an excuse

77,000 people removed since announcement

VILA AUTÓDROMO - March 10, 2016
Removal Map

Removal Map: Favelas to Public Housing (MCMV)

Legend:
- Pink circles indicate favelas that have been removed
- Yellow diamonds indicate MCMV (My House My Life) Housing Projects
- Dotted circles indicate the Olympic Clusters and the revitalized Port Area

Map created by Lucas Faullhaber
Residents resisted
MARIA DA PENHA
VILA AUTÓDROMO
Penha and her husband
STUDIO X

Before
Museu das Remoços
“As an urban form [...] are robust, green and sustainable; high-density, low-cost living; penetrating the city centre; within reach of work by foot or bike; has close-knit, self-reliant communities in which ties of family and neighbors are strong.”

Simon Jenkins, April 30, 2014
Like POSITANO?
No! Jenkins was describing favelas!

Rocinha: 250,000 people in 2.2 km²
DENSITY /km² = 67,000; NYC is only 26,000
FAVELA POLICY OVER 50 YEARS

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
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<tbody>
<tr>
<td>1897</td>
<td>Military Coup</td>
</tr>
<tr>
<td>1964</td>
<td>First Research</td>
</tr>
<tr>
<td>1969</td>
<td>Removal</td>
</tr>
<tr>
<td>1985</td>
<td>End of Dictatorship</td>
</tr>
<tr>
<td>1999</td>
<td>Pacifying Police</td>
</tr>
<tr>
<td>2008</td>
<td>UPP/PAC Study</td>
</tr>
<tr>
<td>2010</td>
<td>UPP - Pacifying police</td>
</tr>
<tr>
<td>2014</td>
<td>Return of removal</td>
</tr>
<tr>
<td>2016</td>
<td>Youth initiatives</td>
</tr>
<tr>
<td>2019</td>
<td>Mega-Events</td>
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</tbody>
</table>

- Ban on permanent materials and expansion
- Removal Public Housing Triage Units
- On-site upgrading
- UPP - Pacifying police
- Return of removal
- Youth initiatives

- # favelas pop. 300 690 k
- 1,248 1.5 + mi

- Providência
- Removal
- Favela-Bairro
- Pacifying Police
- Removal again
- Favela Museums
To plan is human

To implement is divine
Cities have always been places where the poor and vulnerable can find refuge – all advances in human rights were born of urban struggles.

Investment in human and social capital = more effective than in public works and infrastructure.

50 years later favela residents still fighting for respect, dignity, voice and full citizenship.
“Hey, we’re all rooting for you! Don’t ever forget—you’re a world-class planet.”