



Inclusive, Sustainable & Just Cities

Longitudinal Research in Rio's favelas,
1969-2019

Janice Perlman

Magna Conference

Brazilian Academy of Sciences

May 14-16, 2019



MEGA•CITIES

Innovations
for Urban Life

17 Sustainable Development Goals –SDG's

ALL INTER-CONNECTED

Each with Agenda and Indicators

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

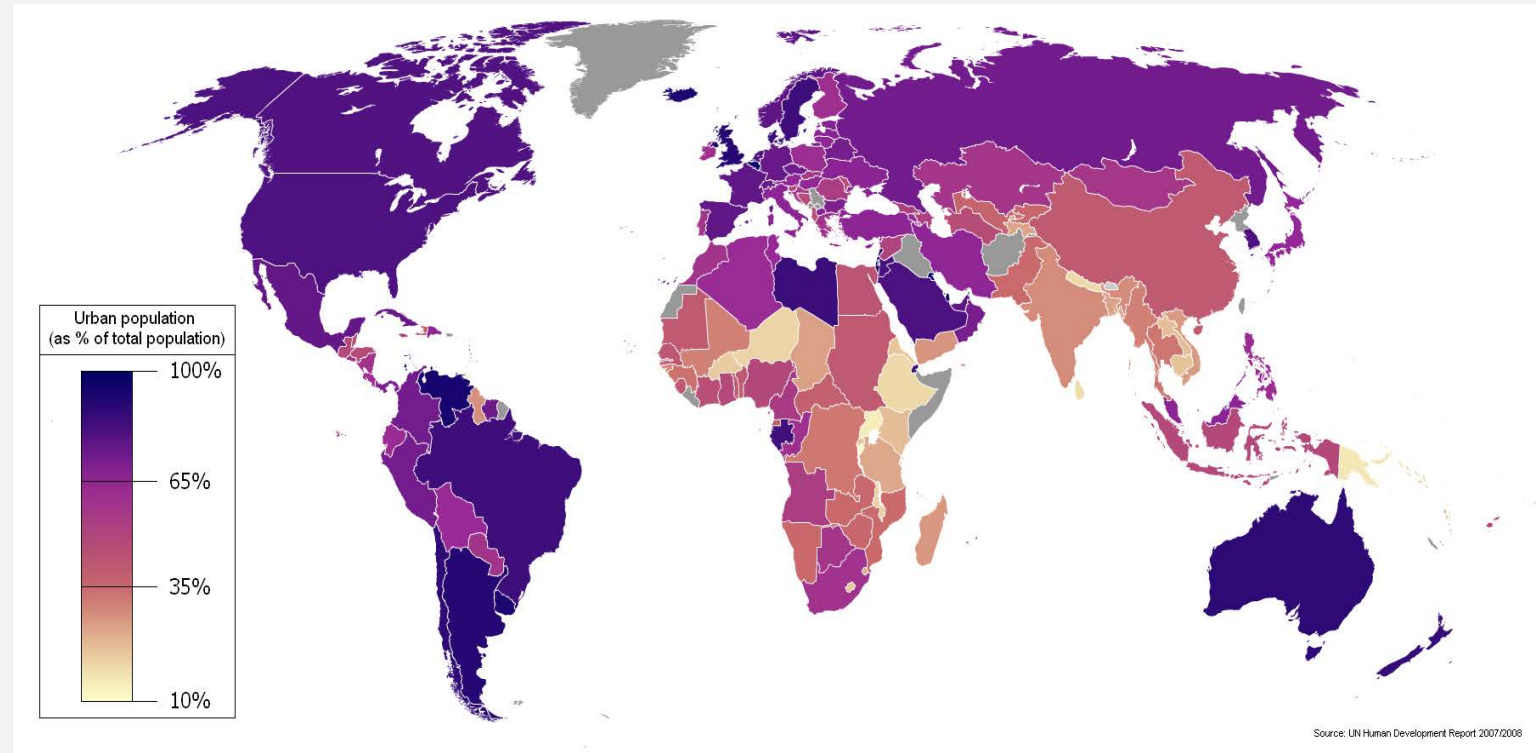
SDG's INTENTION - NEW GLOBAL COMPACT - 2030

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

URBANIZATION-major trend of 21st century



% 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...





POPULATION GROWTH WILL BE CONCENTRATED IN URBAN SLUMS

in areas at highest risk
for global warming

2019: 1 billion squatters, $\frac{1}{6}$ world population

2030: 2 billion squatters, $\frac{1}{4}$ world population

2050: 3 billion squatters, $\frac{1}{3}$ world population

Value of the Informal Economy

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 +



mega-cities: 1950 -2 1990 -10 2014- 28 2019- 47

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

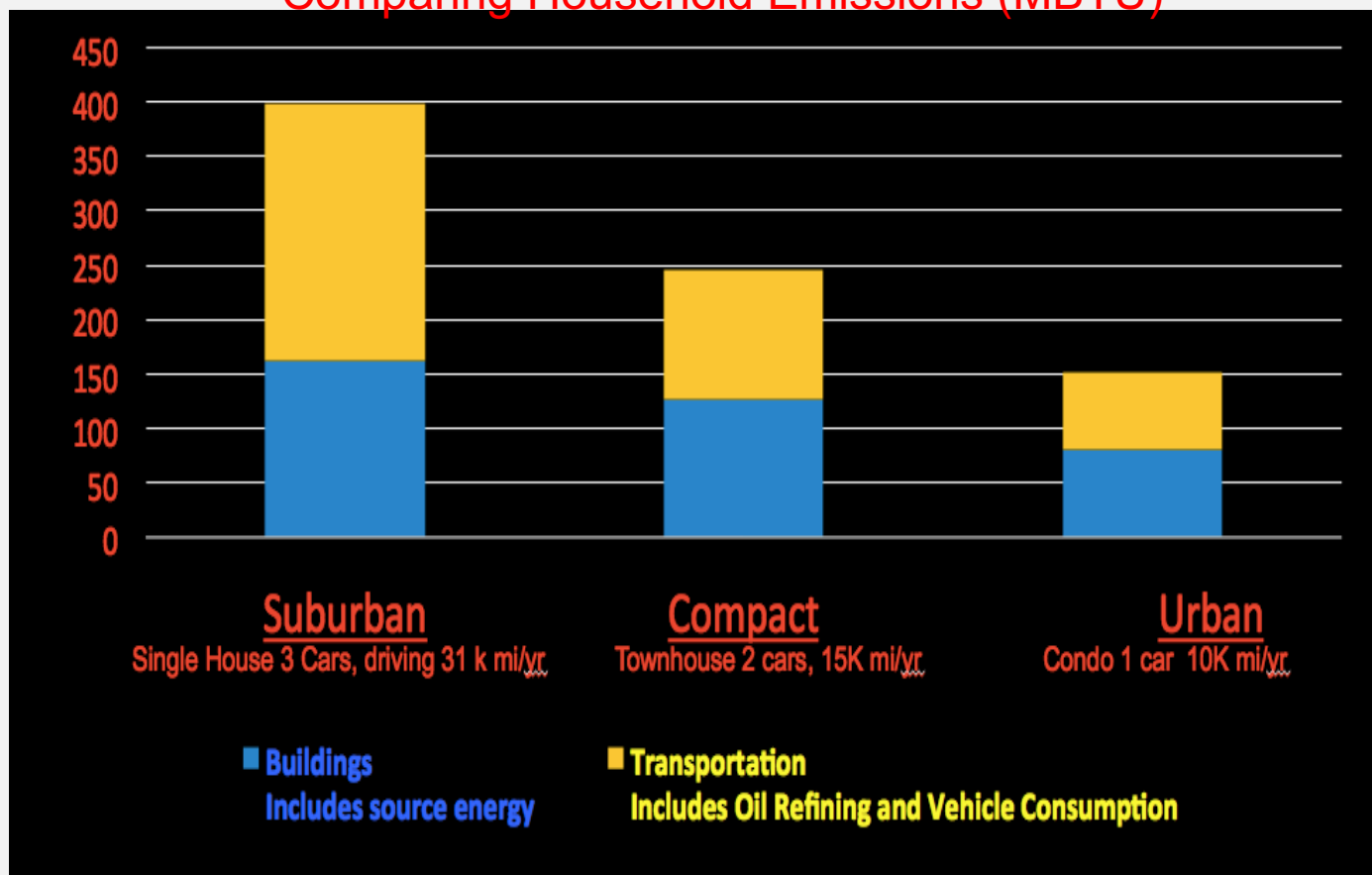
1- end extreme poverty;

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)



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

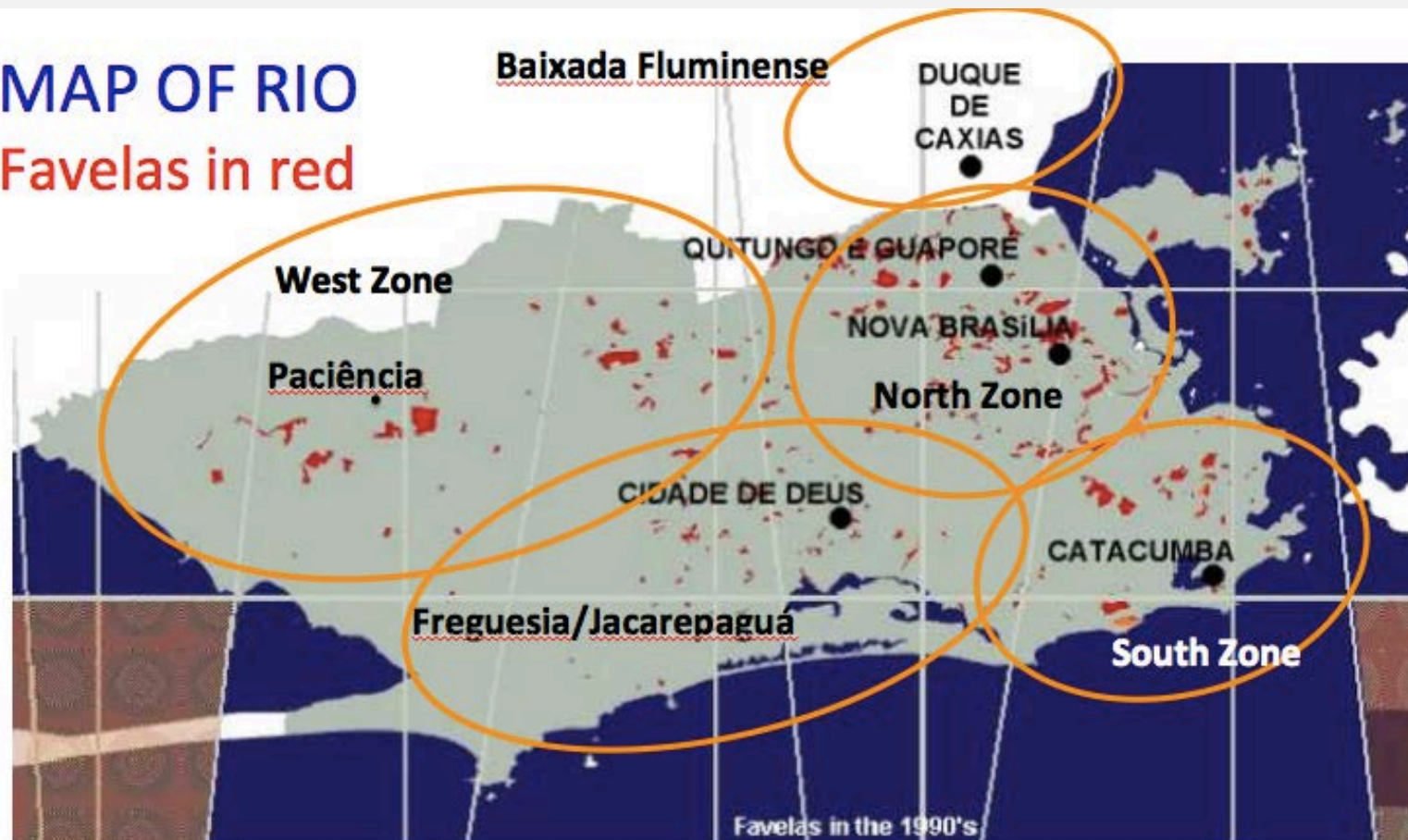


Magnet of Attraction - Rio de Janeiro



MAP OF RIO

Favelas in red



Fonte: Pró - URB



COMMUNITIES STUDIED

3 FAVELAS Selected

Lived in each for 6 months
750 interviews



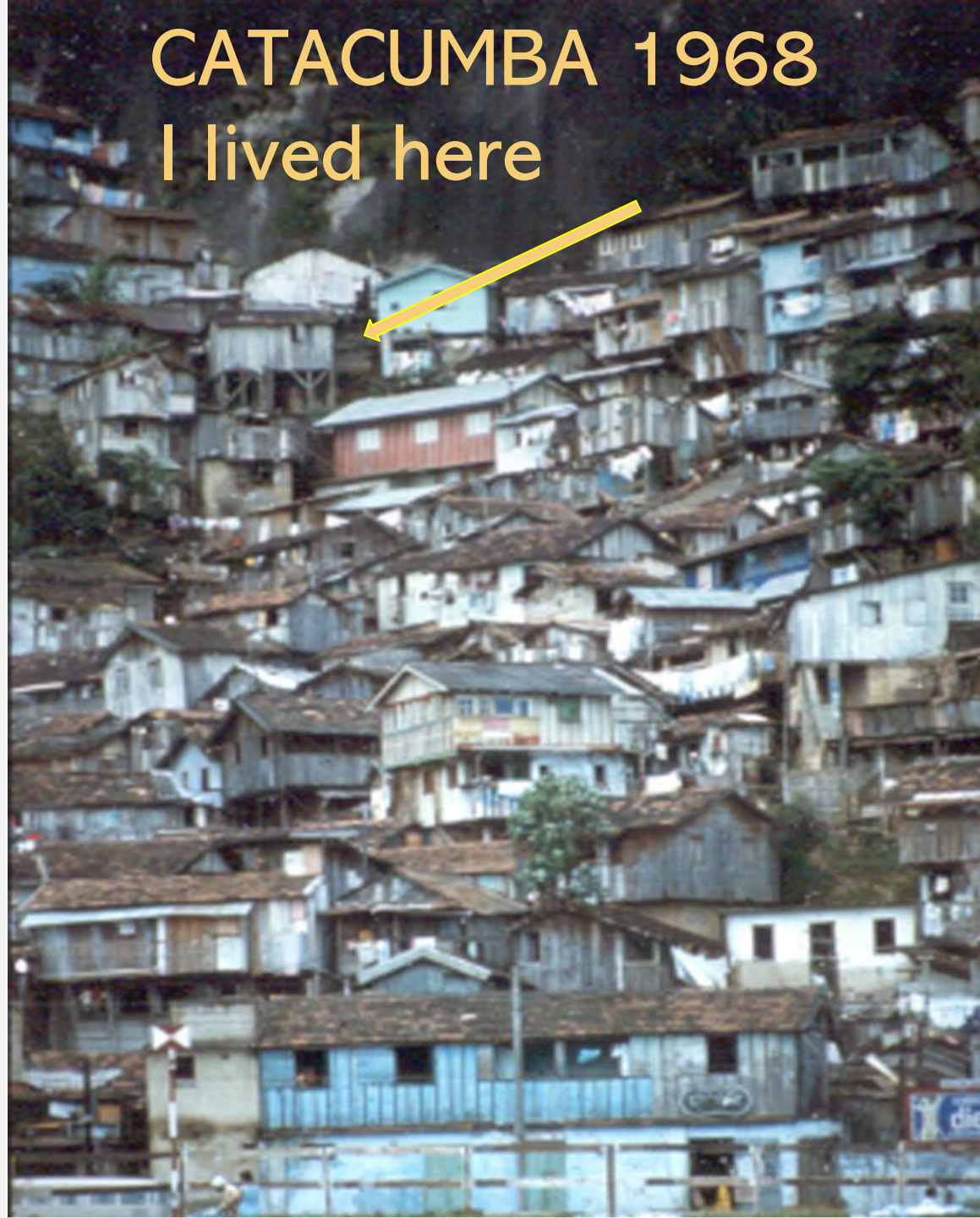
South Zone - CATACUMBA

SOUTH ZONE

Random sample
200 in each favela

[M+F 16-65]

Leaders 50
Positional sample



CATACUMBA 1968
I lived here



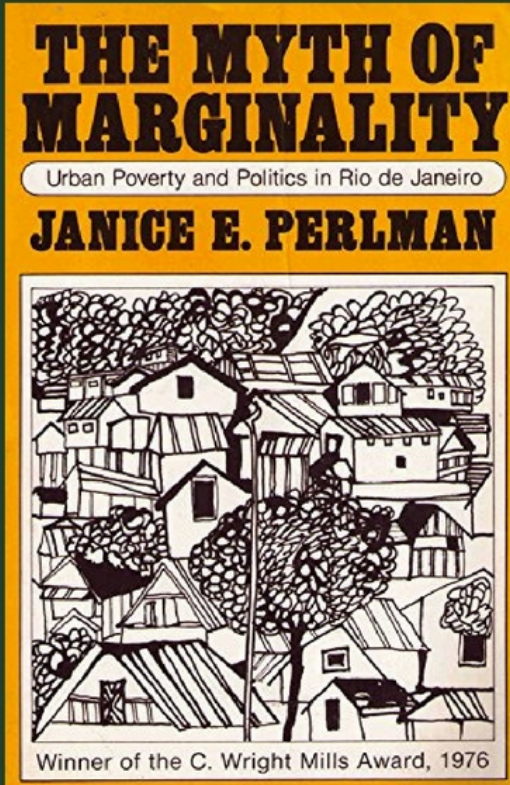
North Zone – NOVA BRASÍLIA



Baixada Fluminense – Caxias – VILA OPERÁRIA



My Rio Study Begins



5 MAIN FINDINGS

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

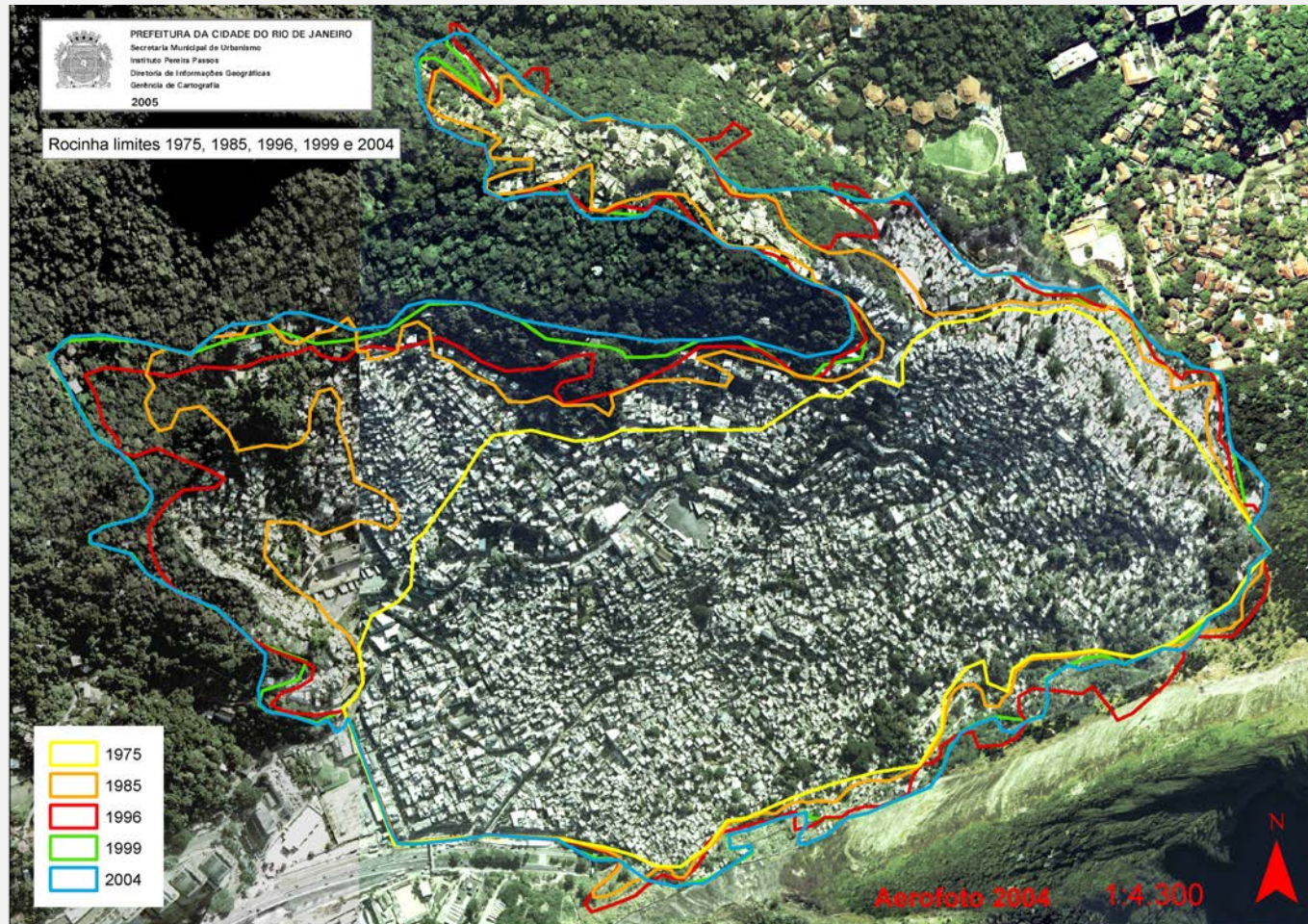
30 YEARS LATER...



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%



LONGITUDINAL PANEL STUDY

1969-2009

Phase I: Exploratory Research

Feasibility Study

Contextual Research

Phase II: Multi-Generational Interviews

Original study survivors

Their children

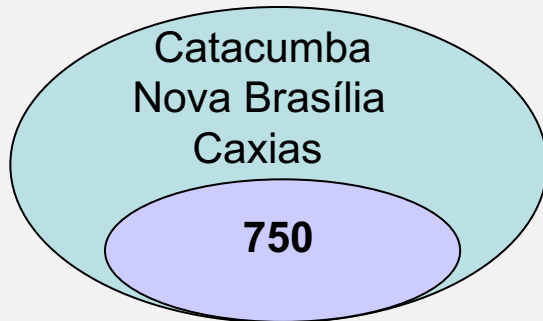
Their grandchildren

Phase III: Re-Study of 3 Favelas

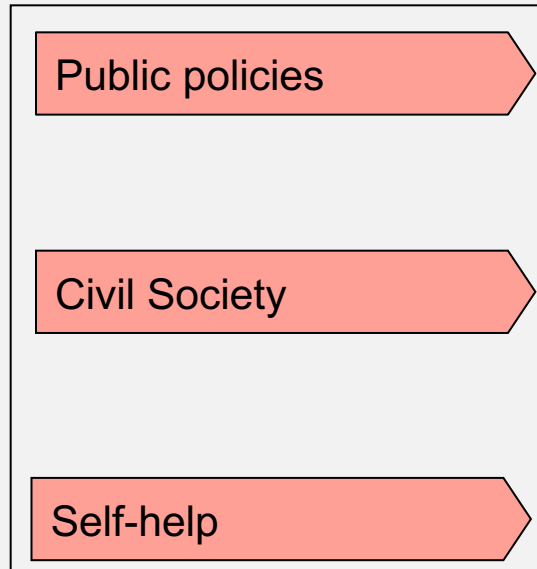
New Random and Leadership Samples

CONCEPTUAL FRAMEWORK

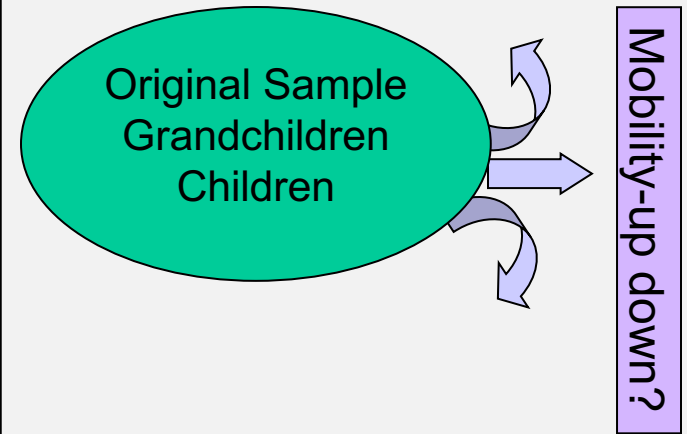
Interviewees 1968-'9



Agency - Intervention



Impact 30 Years Later



1910 1920 1930 1940 1950 1960 1970 1980 1990 2000 2010

Contextual
Variables

Brazilian political and economic evolution

Rio de Janeiro political and economic transformations

Rio de Janeiro's spatial and functional transformations

30 YEARS LATER



CATACUMBA, 1969

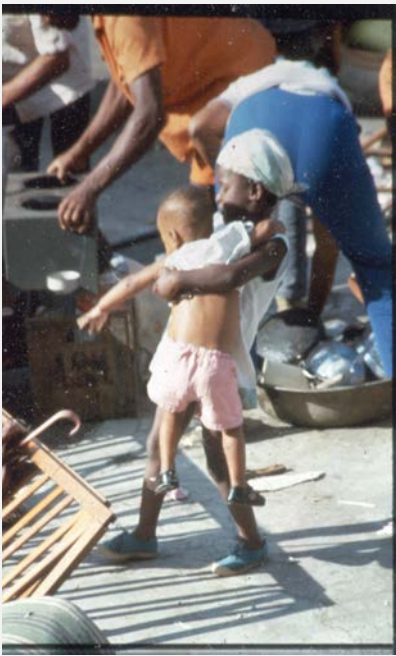


CATACUMBA, 2009

FAVELA REMOVAL, 1970s

100,000 people removed





DISPLACEMENT

DESPAIR

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

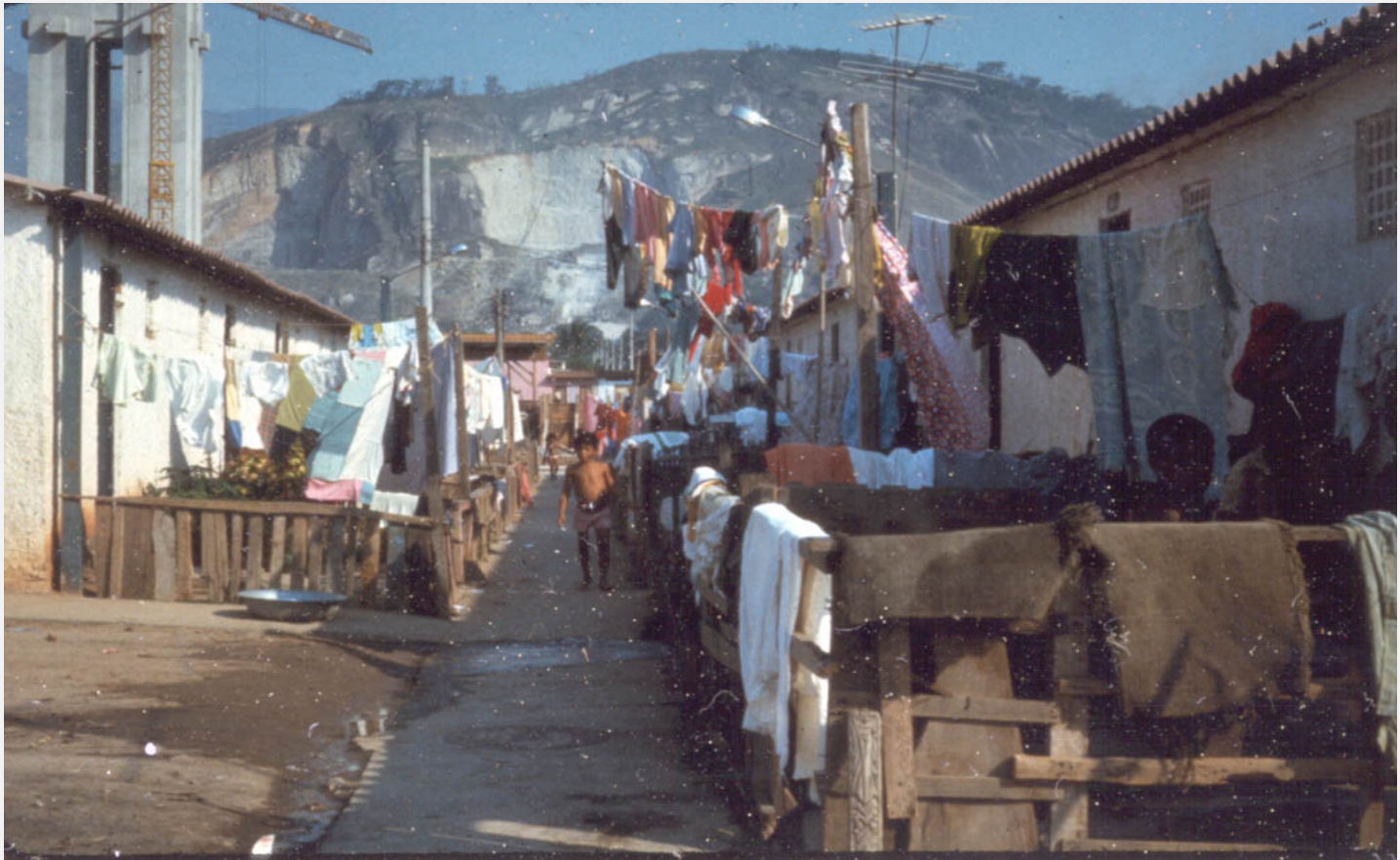
From thriving
favela to isolated
Housing Project

Remote location
Shoddy construction



then to Casas de Triagem in PACIÊNCIA, 1973

sent here upon 3-month payment default

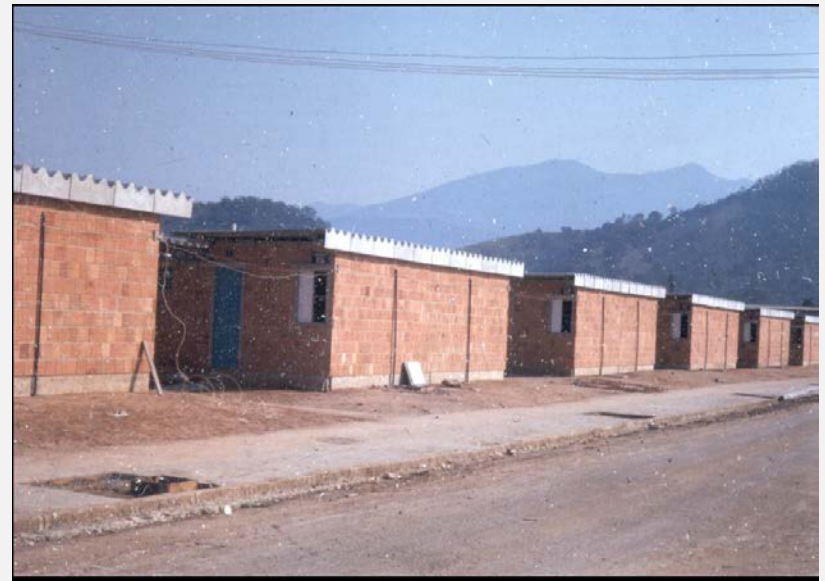
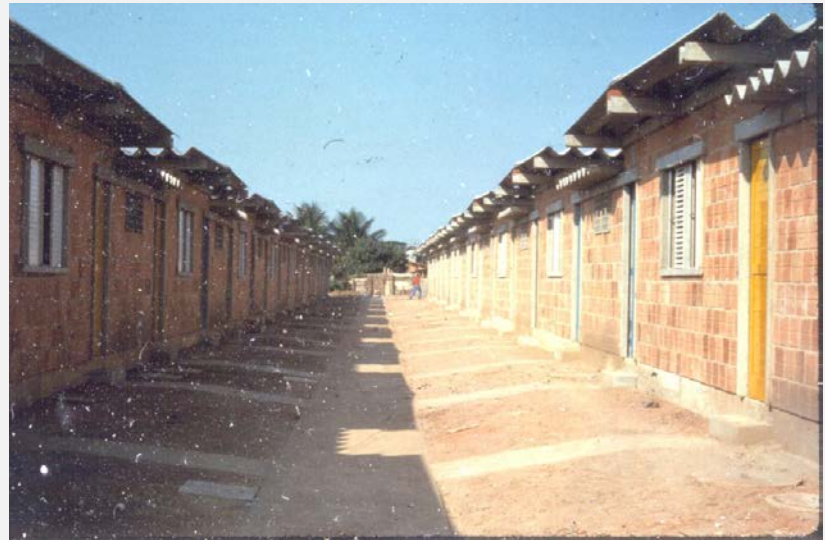


MORE TRIAGE HOUSING NEEDED

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

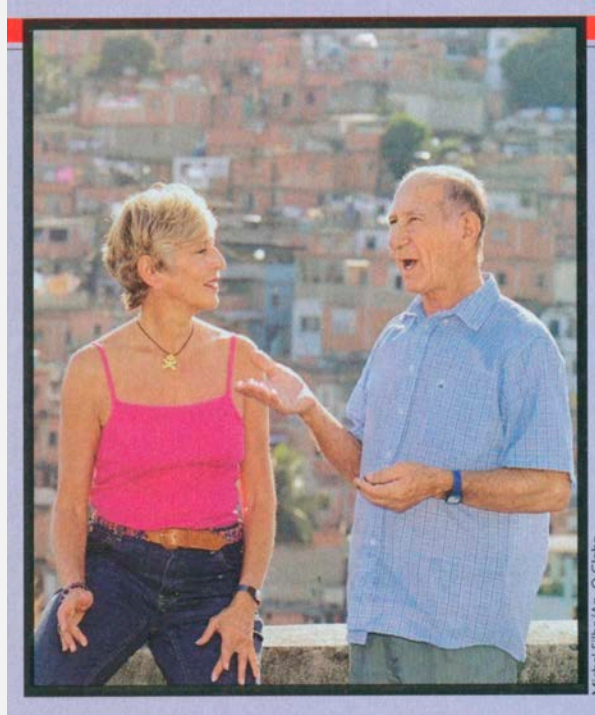
...Meanwhile,
NOVA BRASÍLIA
became part of
Complexo do
Alemão



Rua Nova Bras lia - 1973



RUA NOVA BRAS LIA - 2006



ZÉ CABO
1962, 1999, 2008

Founding Leader

NOVA BRASÍLIA

FAVELA: Four decades of Living on the Edge in Rio

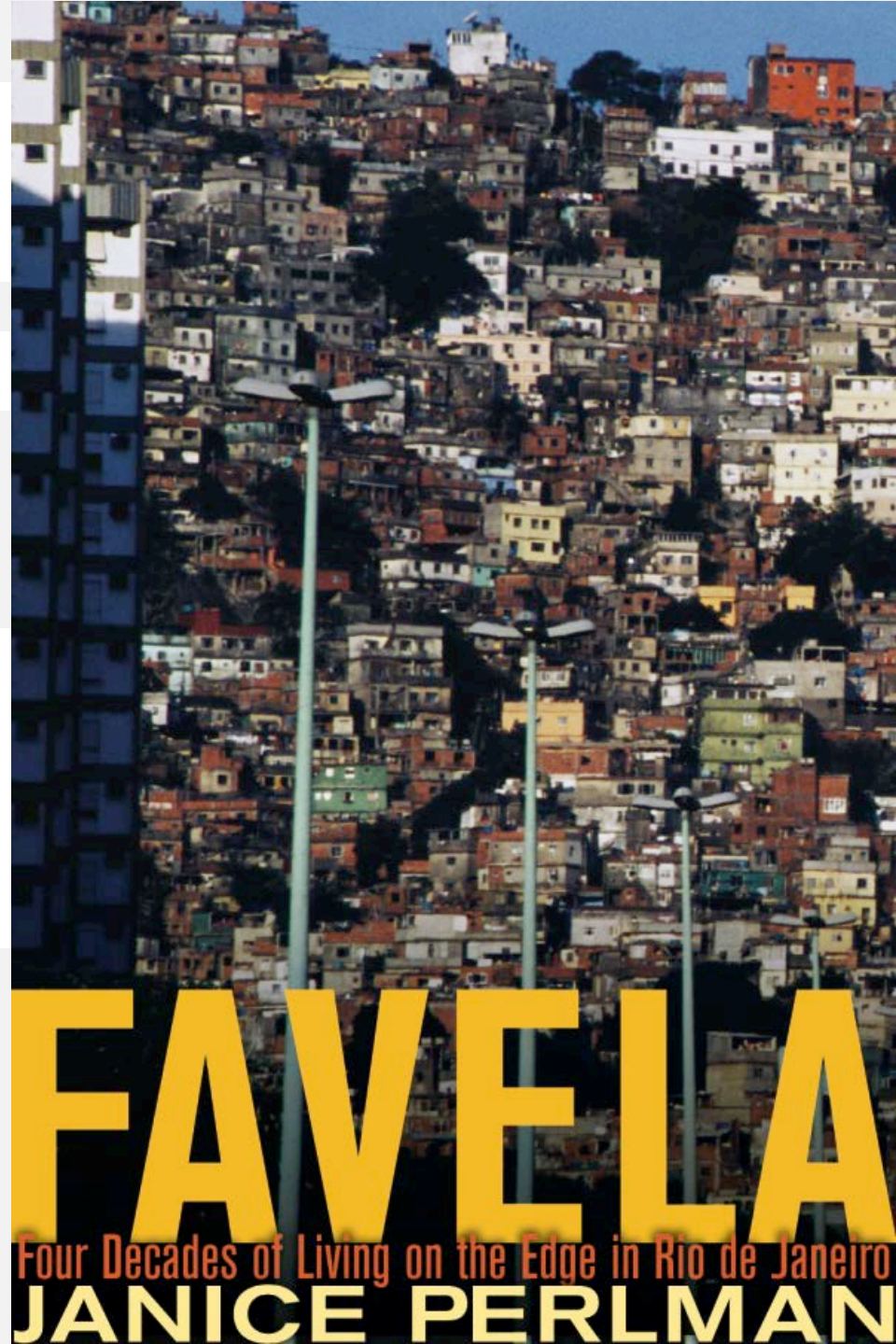
Longitudinal Study 1968-2008

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

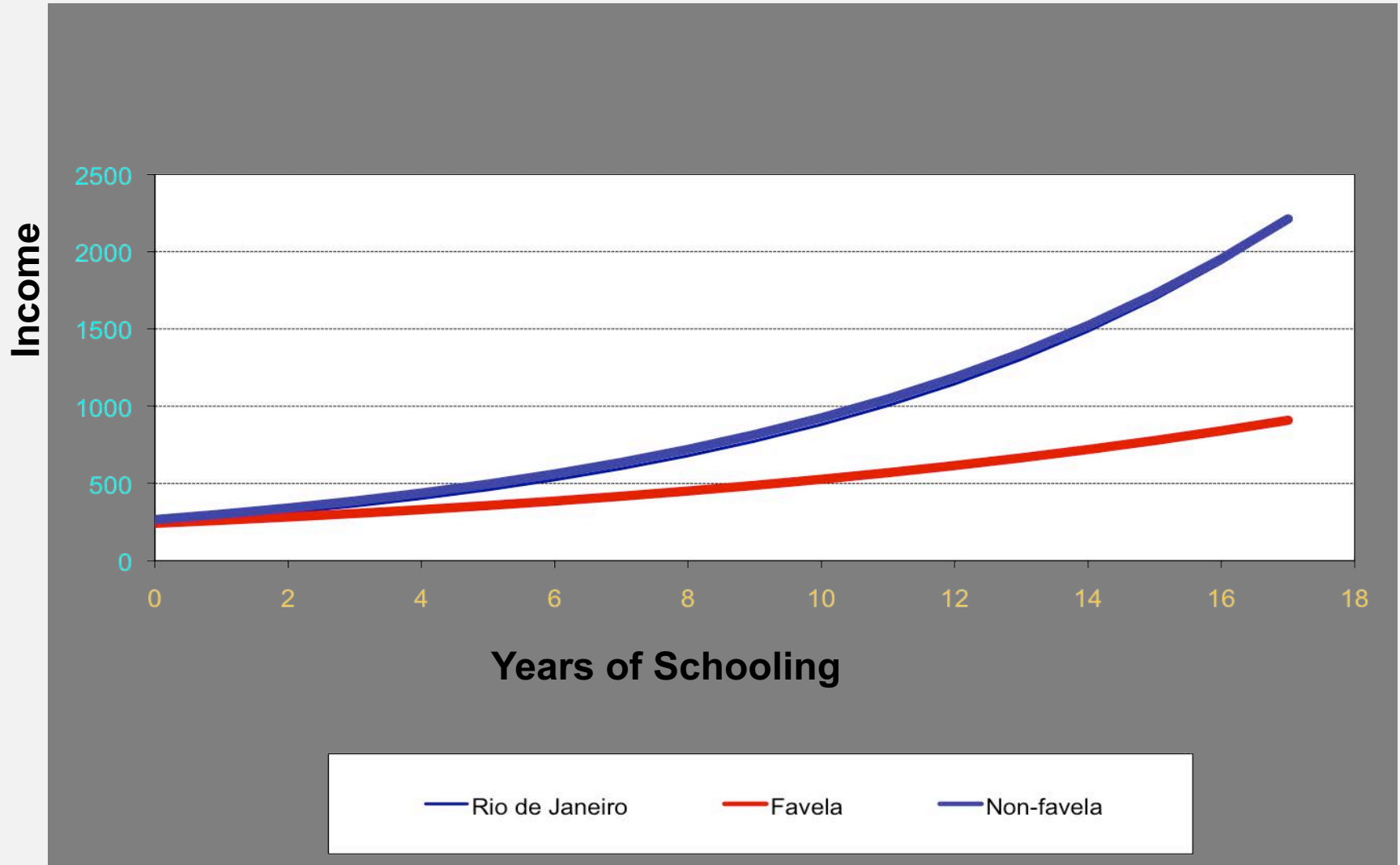
Infrastructure –running water, electricity, indoor toilet nearly universal (even w/o public policy)

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

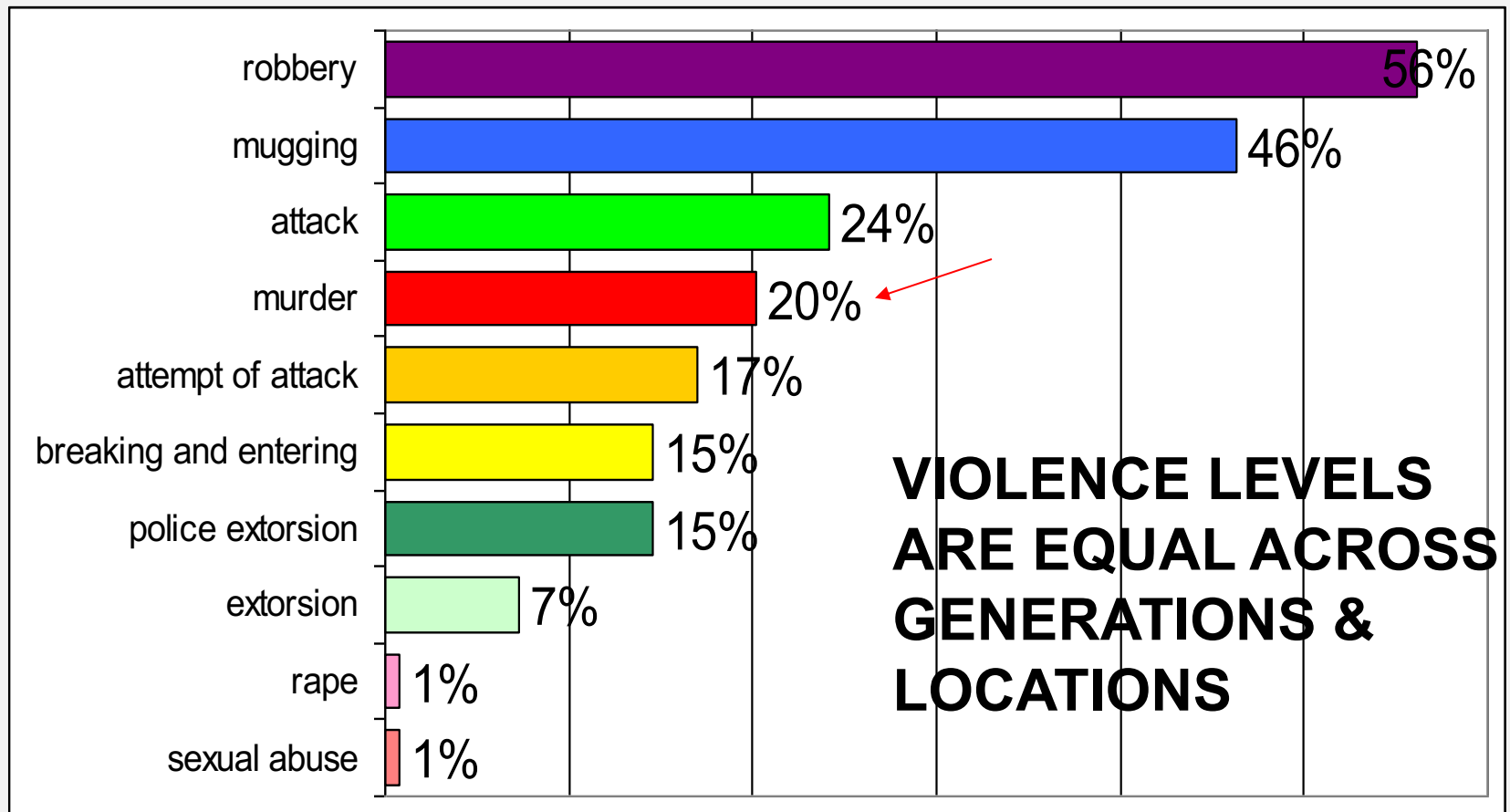
**BUT, income returns to education
showed increasing gap**



Compiled by Valeria Pero from the 2000 Census

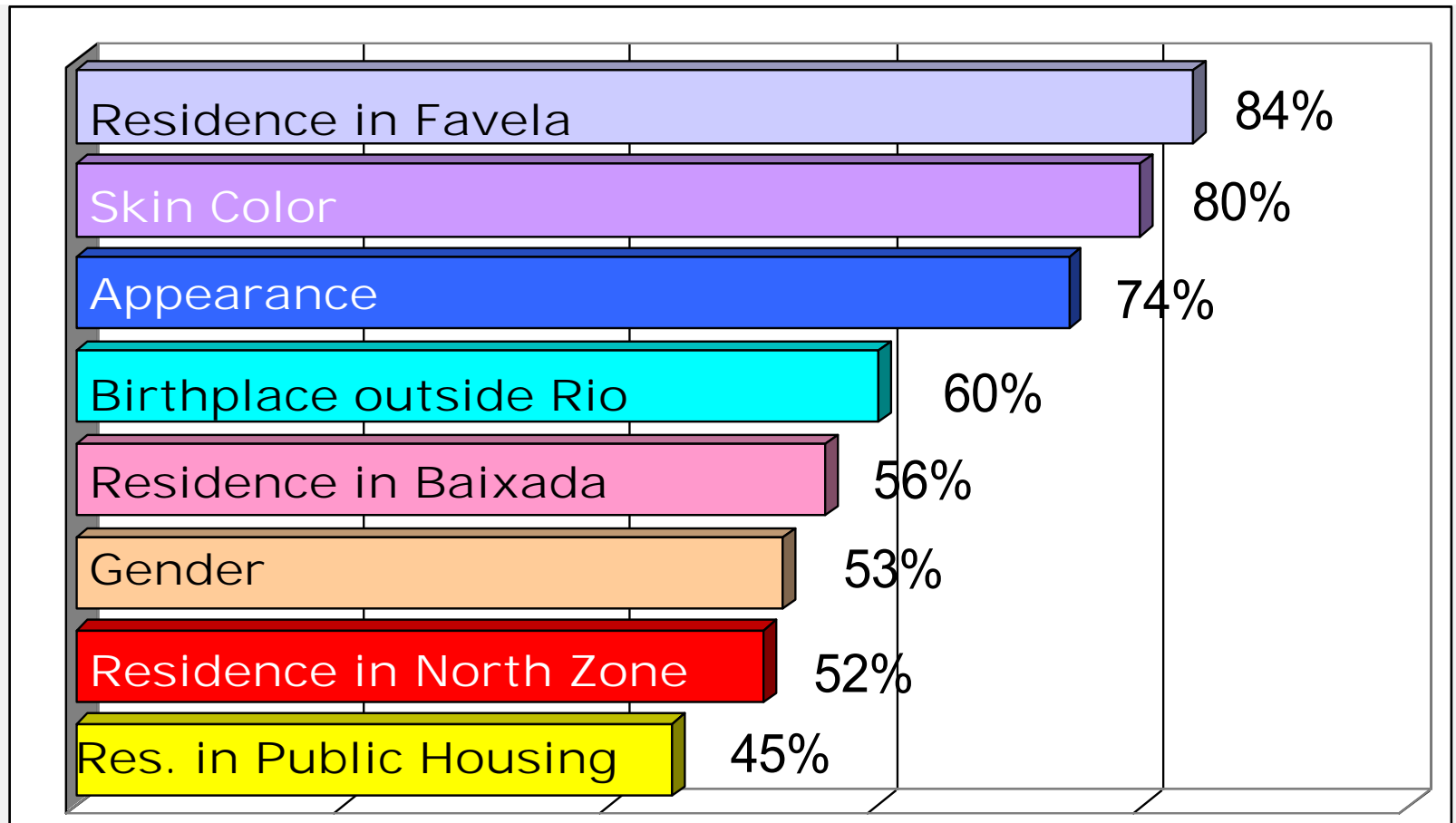
VIOLENCE IS WORST CHANGE OVER 35 YEARS

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



VIOLENCE REINFORCED STIGMA of Living in a Favela

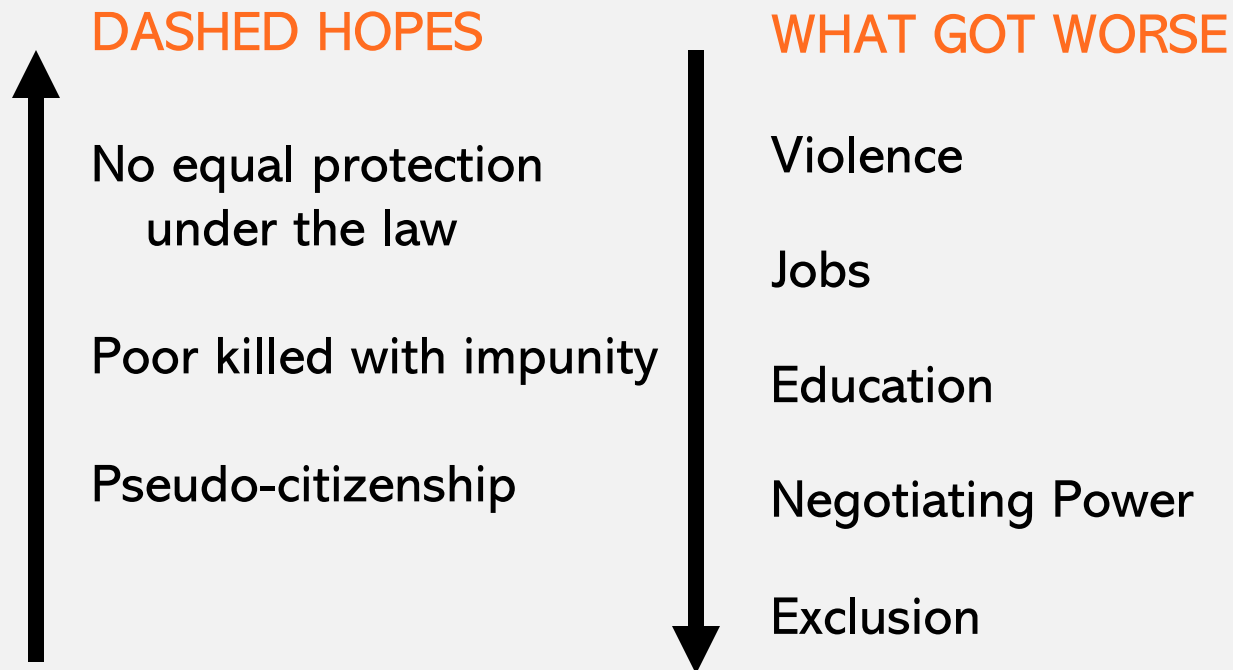
Belief that discrimination exists regarding:



Original Sample - Random

RETURN TO DEMOCRACY

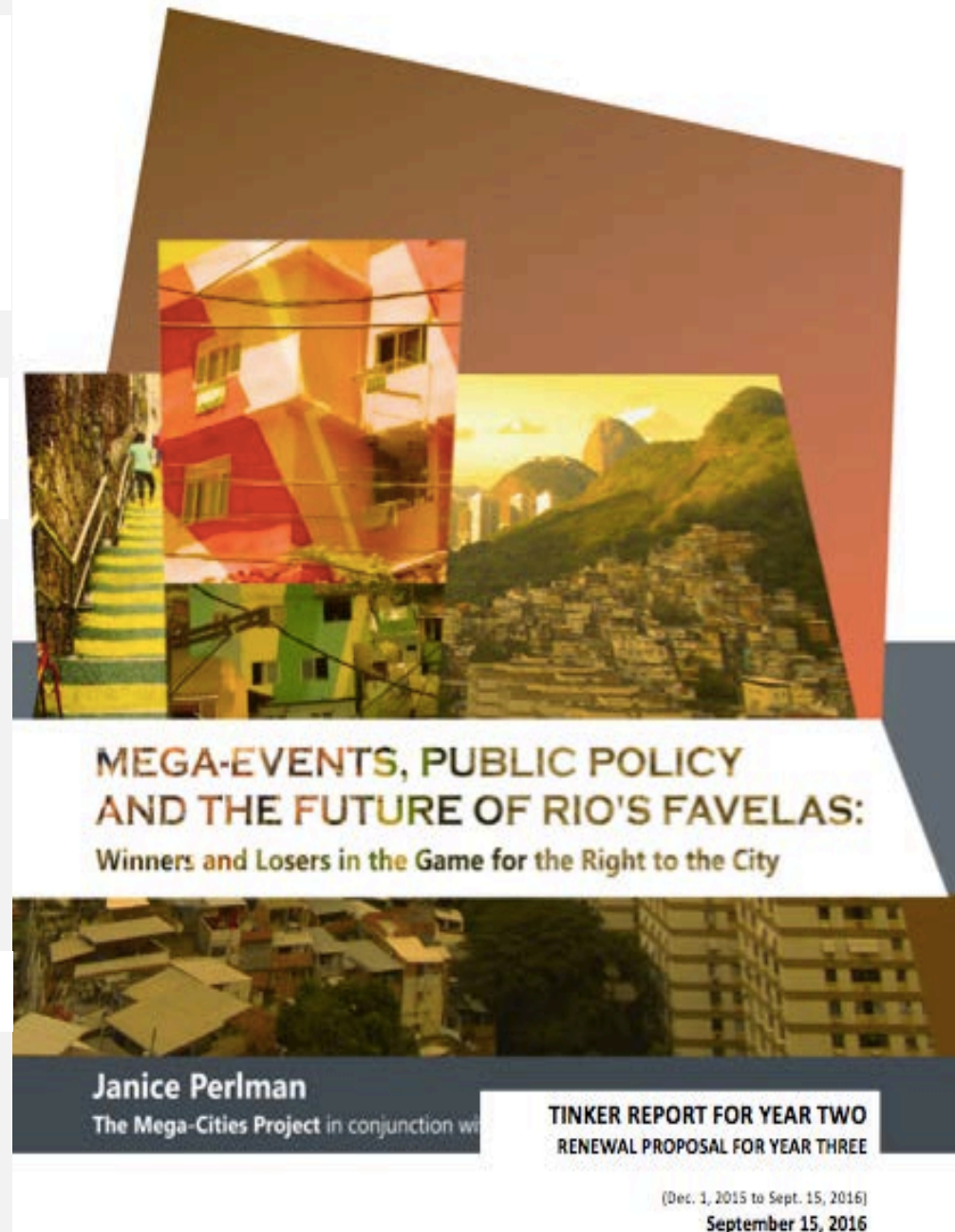
did not create inclusion for the urban poor



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



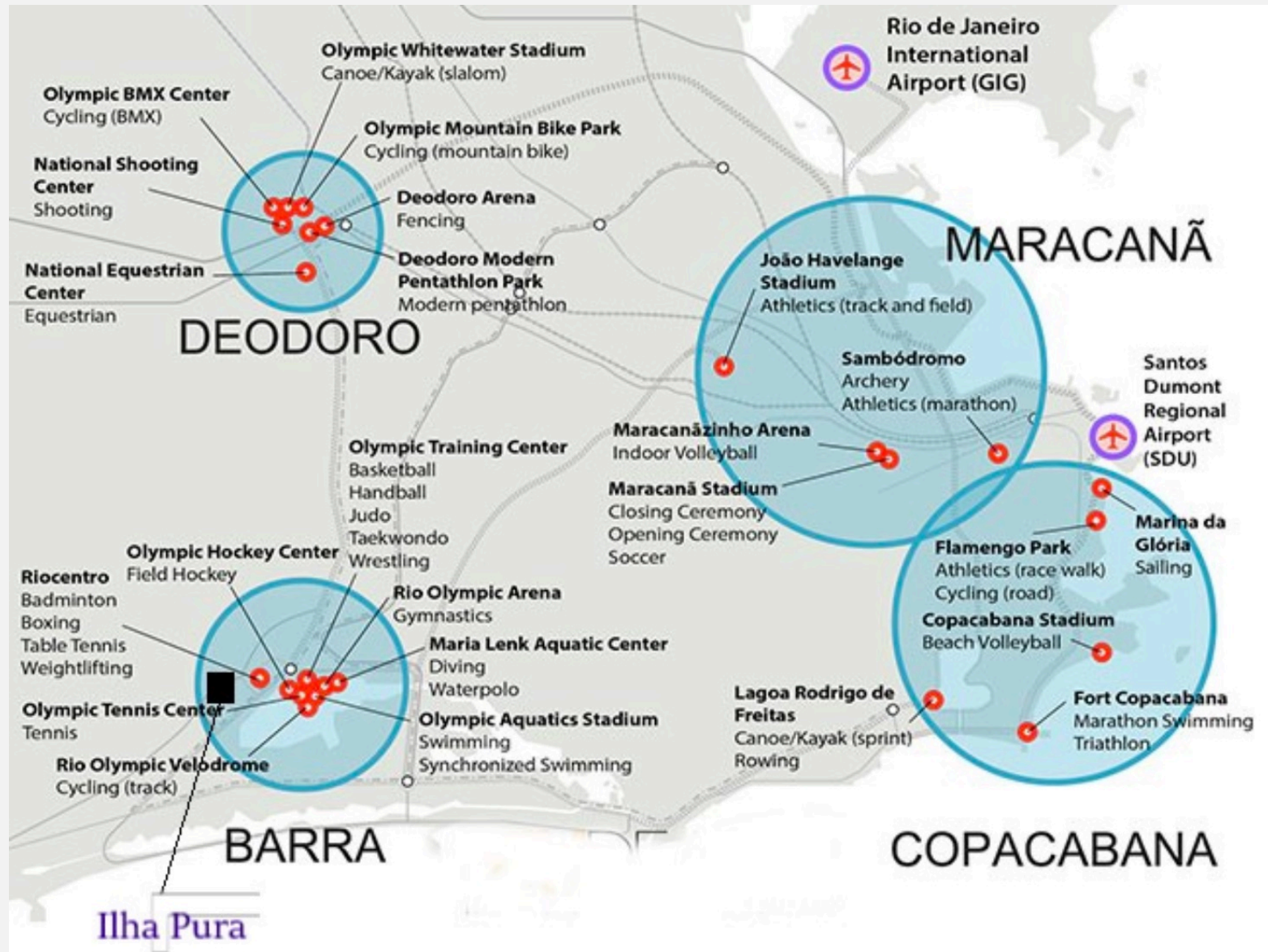
225 Interviews & Site Visits

- 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

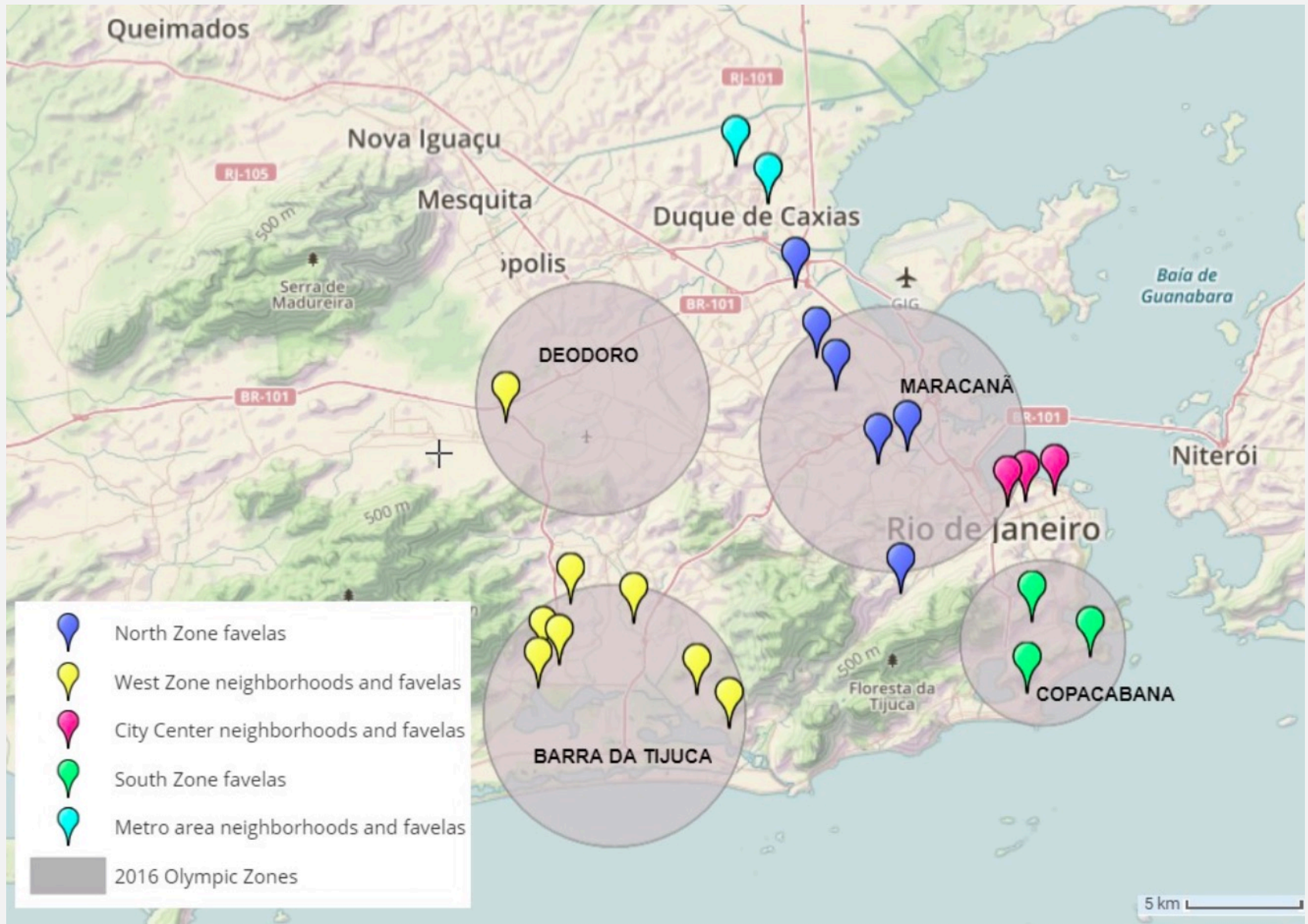
+49 Events, Meetings and Hearings

Site Selection

by Olympic Venues, Zone and Favela Policy



Favela Interview Sites



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

PAC II – BIG FAVELAS
(2007)



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

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

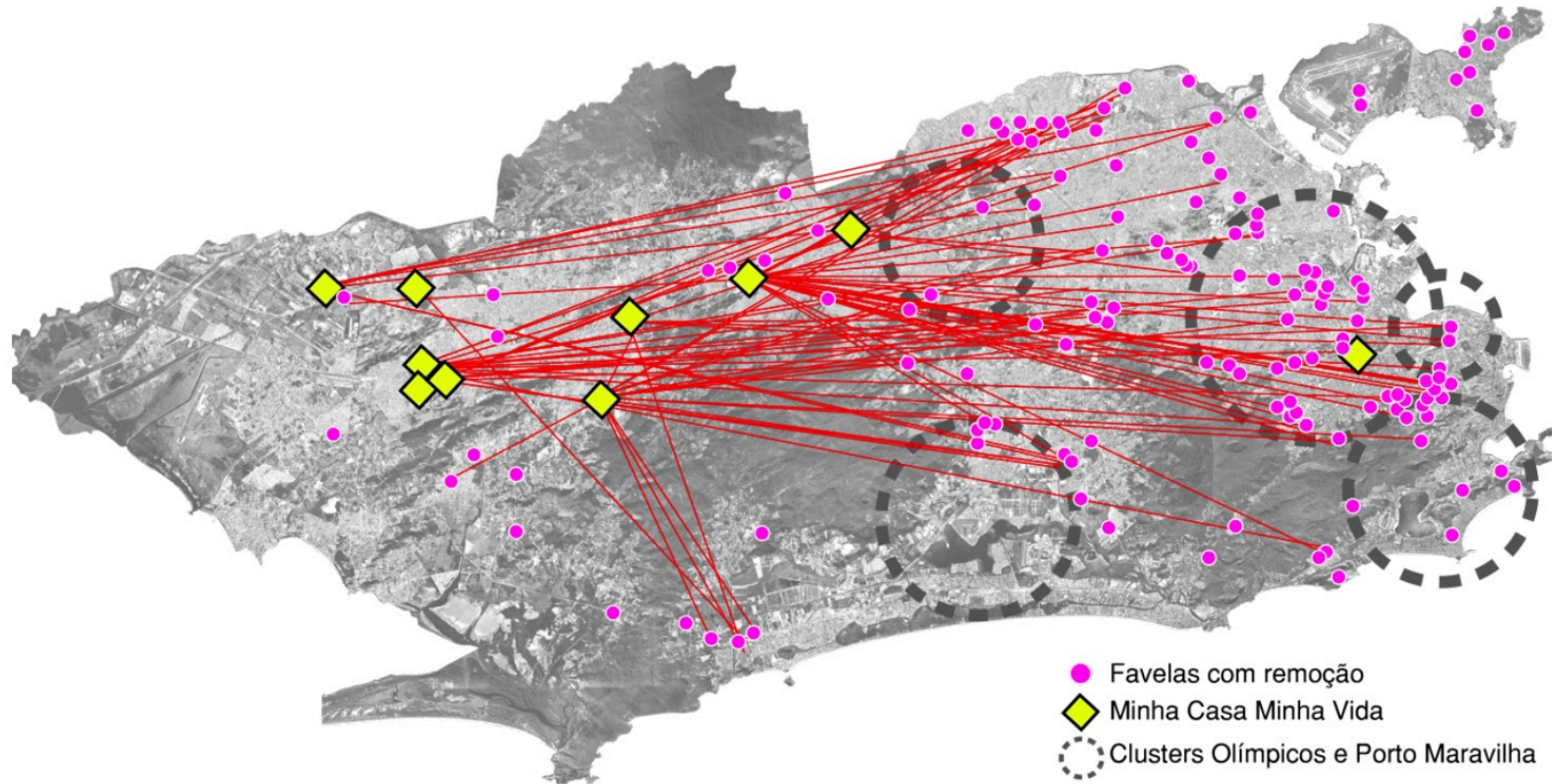
77,000 people removed
since announcement



VILA AUTÓDROMO - March 10, 2016

Removal Map

REMOVAL MAP: FAVELAS to PUBLIC HOUSING (MCMV)



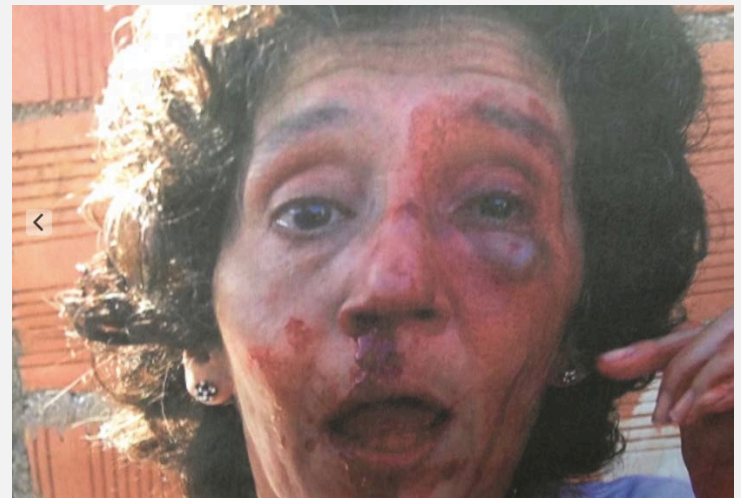
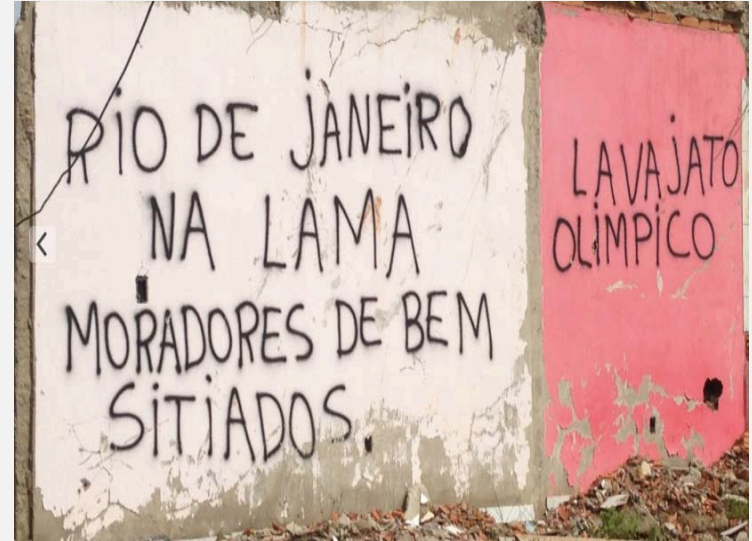
LEGEND

- 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
Remoções

THE GUARDIAN ON URBAN FORM

“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 ?

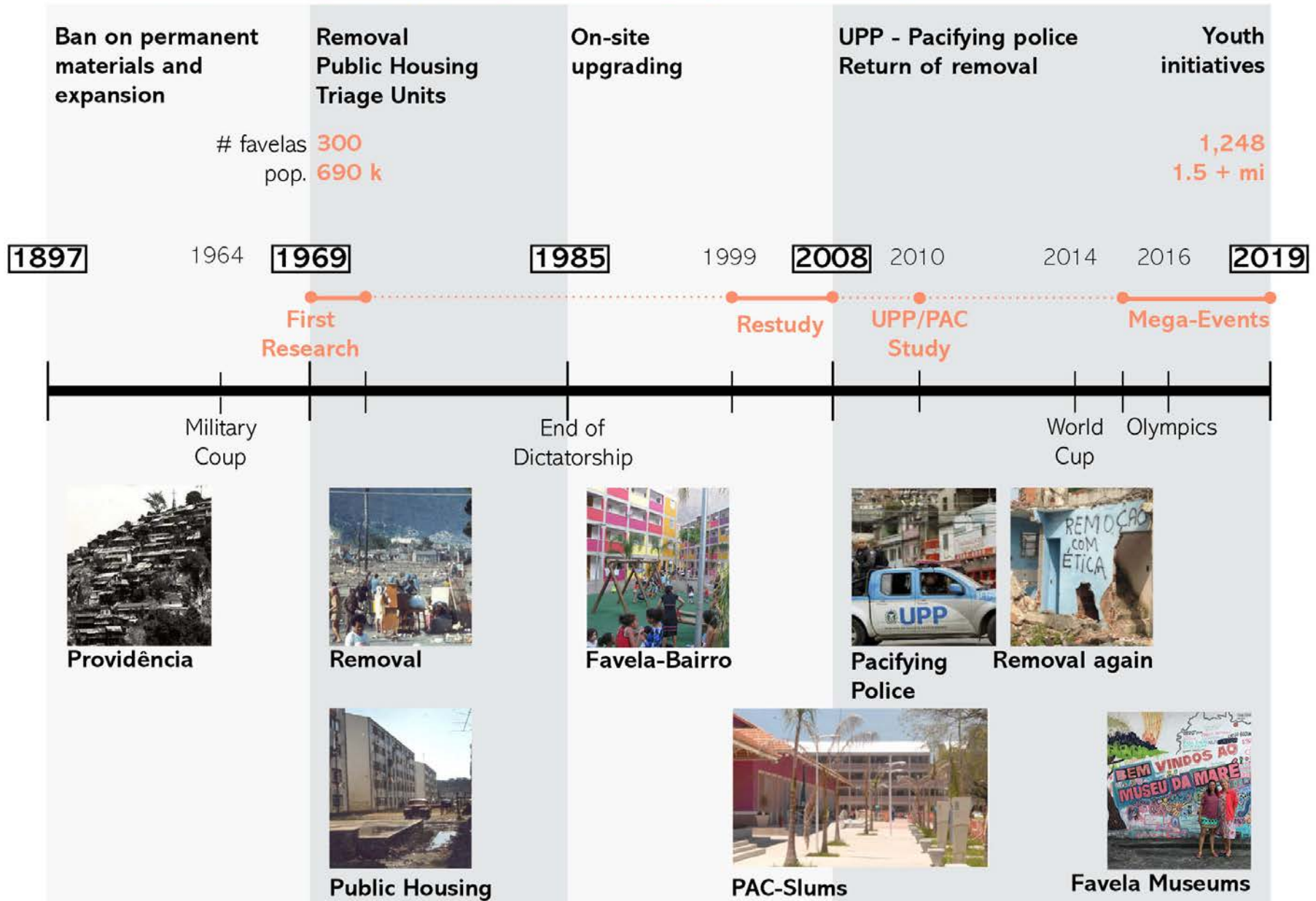


NO! Jenkins was describing favelas!



Rocinha: 250,000 people in 2.2 km²
DENSITY /km² = 67,000; NYC is only 26,000

FAVELA POLICY OVER 50 YEARS





TO PLAN IS HUMAN



TO IMPLEMENT IS DIVINE

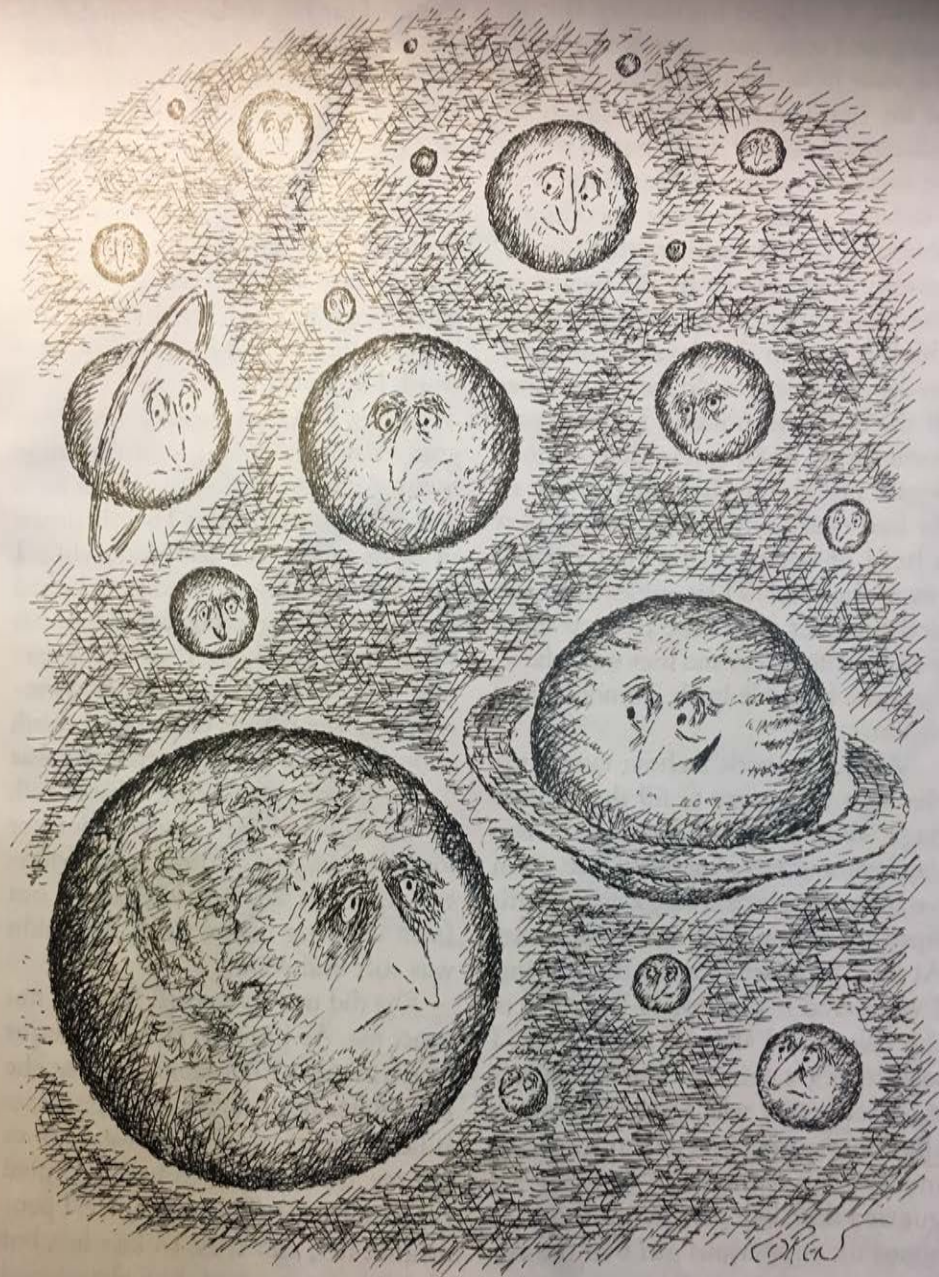


“A Importância de Ser Gente”

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."*