

**School of Built Environment  
Department of Architecture and Interior Architecture**

**Identity and Built Environment:  
Issues for Urban Poor**

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Working Title

## **IDENTITY AND BUILT ENVIRONMENT**

### **Issues for Urban Poor**

#### **Declaration**

I, **Neeti Trivedi** declare that this thesis contains no material previously published by any other person except where due acknowledgement has been made. This thesis contains no material which has been accepted for the award of any other degree or diploma in any university.

The ideas, beliefs and opinions conveyed through this project are completely mine and do not correspond to anyone.

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## **ABSTRACT**

The aim of the research was to examine redevelopment strategies and policies attempting to elevate the identity of the urban poor by reinforcing their socio-cultural characteristics through their built environment. The study also attempted to create a dialogue between identity and built environment and questioned whether a re-designed and re-developed environment can socially empower the urban poor; and, if so, what redevelopment strategies and approaches can be adopted to re-create identity and remove stigma over urban poor? Identity is the crest in the development of both people and place and cannot be viewed as an abstract or as a subject exterior to a human. But often, questions of ‘who we are’ (self-identity) are intimately related to questions of ‘where we are’ (place-identity) (Dixon and Durrheim 2000), creating a gap between structure and agency. This thesis not only analysed this gap but also measured the impact of poverty on the urban poor prevailing over their stigmatized identity linked to their built environment.

It was important to understand an individual’s meaning of self, wherein ‘self’ is not just characterised and outlined by one’s association to the community, but also by an individual’s linkage to the diverse physical-setting that describe and construct their everyday life (Proshansky 1978, cited in Hillier 2002). It was also seen that individuals mostly describe ‘who’ and ‘what’ they are in the context of an intense sentimental connection to ‘house and home’ and/or ‘neighbourhood and community’. Thus, in relation to this research, an individual’s description of the physical world is limited to home and built environment.

Additionally, this study explored strategies to overcome the multifaceted issues faced by the poor specifically linked to their built environment which contributes to their stigmatised identity (Davis 2006). Thereby, this thesis compared urban poverty in developed and developing countries within the built environment framework. The purpose was to identify the common aspects of built environment in both the contexts influencing the socio-cultural characteristics as well as well-being of the urban poor. The

research thus searched for some common ground, where synergies were visible for future improvement works, globally.

The process of examining built environment and measuring well-being of the urban poor, involved an analysis of Phillips and Pittman's (2003) "Triarchic Model of Poverty" and Sen's theory on "Capability and Well-being"(1993, cited in Fukuda-Parr 2003). This analysis helped define the evaluative factors for built environment and the indicators of well-being. The usage of this analytical framework was an iterative process which further assisted in auditing the redevelopment strategies of the urban poor applied during the case studies and in identifying those methodological and rational elements of the case studies that may be responsible for significant variations in the findings.

In addition to theoretical literature reviews, four literature and two field case studies were conducted for the research. The literature case studies were focused on urban renewal examples providing an initial understanding of the concepts whereas the field case studies involving observations, discussions and surveys provided crucial insights to the intensity of the issue. Additionally, participation in the project provided valuable knowledge and better understanding of life in marginalised communities, their everyday practices, and of their socio-cultural and physical boundaries. Thus contact and dialogue with the stakeholders and reflection were the key tools performed during field trips to Victoria (Australia) and Ahmedabad (India). These field works were conducted with the main objective of studying the influence of redevelopment strategies on the well-being of urban poor. These redevelopment strategies were assessed using the analytical framework to identify the key built environment aspects having the maximum impact on identity renewal. Consequently, the three key aspects of built environment intervention identified were – housing and environment, pride and participation and government responsiveness.

Through the assessment of the redevelopment strategies, it was deduced that development of housing and environment can bring a sense of stability and security, but ownership and belonging could be achieved only when there were signs of people's participation and smooth efforts of the stakeholders for a holistic development. Similarly, it was recognised that urban renewal practices are not mere efforts towards

renewing the built environment of the urban poor, but are also efforts to equip the people psychologically, socially, culturally and economically for the future in their own re-developed environment. Thus, within the framework of key built environment aspects, this thesis has proposed an identity renewal model promoting participatory approaches that collaborates with and incorporates not only citizens, but also organised interests, profit and non-profit organisations, planners and local administrators in a common frame. Such an integrated approach would ensure community interests, active citizenship and public-service delivery, where communication, learning, action and community welfare would co-evolve. Therefore, a model as projected for this research adopting joint planning and participatory approaches would help liberate the urban poor, permitting them to define and develop their own values and lead to their empowerment and identity creation.

This thesis has thus proposed a positive course of action for future interventions to assist professionals and practitioners in conjunction with the barriers in the process in addition to a new model looking at identity issues of urban poor linked to their built environment.

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**ACRONYMS**

ABS	Australian Bureau of Statistics
AMC	Ahmedabad Municipal Corporation
ASNP	Ahmedabad Slum Networking Program
AUDA	Ahmedabad Urban Development Authority
BRTS	Bus Rapid Transit System
CBO	Community Based Organisations
CCC	Central Coordination Committee
CEPT	Centre for Environmental Planning and Technology
CO	Community Organiser
CSDO	Chief Slum Development Officer
DFID	Department For International Development
DHW	Department of Housing and Works
DoH	Department of Housing
E.A.R.T.H.	Environment. Architecture. Research. Technology. Housing.
EC	European Commission
EIUS	Environmental Improvement of Urban Slums
IHIP	Indore Habitat Improvement Project
KCC	Khulna City Corporation
KDA	Khulna Development Authority
LED	Local Economic Development
MHT	Mahila Housing Trust
NGO	Non-Governmental Organisation
NSDP	National Slum Development Program
OECD	Organisation for Economic-Cooperation and Development
PIA	The Infant and Adolescent Environmental Education Program
PIC	Project Implementation Committee
RAPI	Royal Australian Planning Institute
SDC	Swiss Agency for Development and Co-operation
SEWA	Self-Employed Women's Association
SHARDA Trust	Strategic Health Alliance for Relief to Distressed Areas Trust
SIP	Slum Improvement Project
SNC	Slum Networking Cell
SNP	Slum Networking Program
SPIC	Sub-Project Implementation Committee
UBSDP	Urban Basic Service Delivery Project
UDIA	Urban Development Institute of Australia
UN	United Nations
UNDP	United Nations Development Program
UNFPA	United Nations Funds for Population Activities
UNICEF	United Nations International Children's Emergency Funds
UNO	United Nations Organization
WA	Western Australia
WAC	World Architecture Community

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## Chapter 1

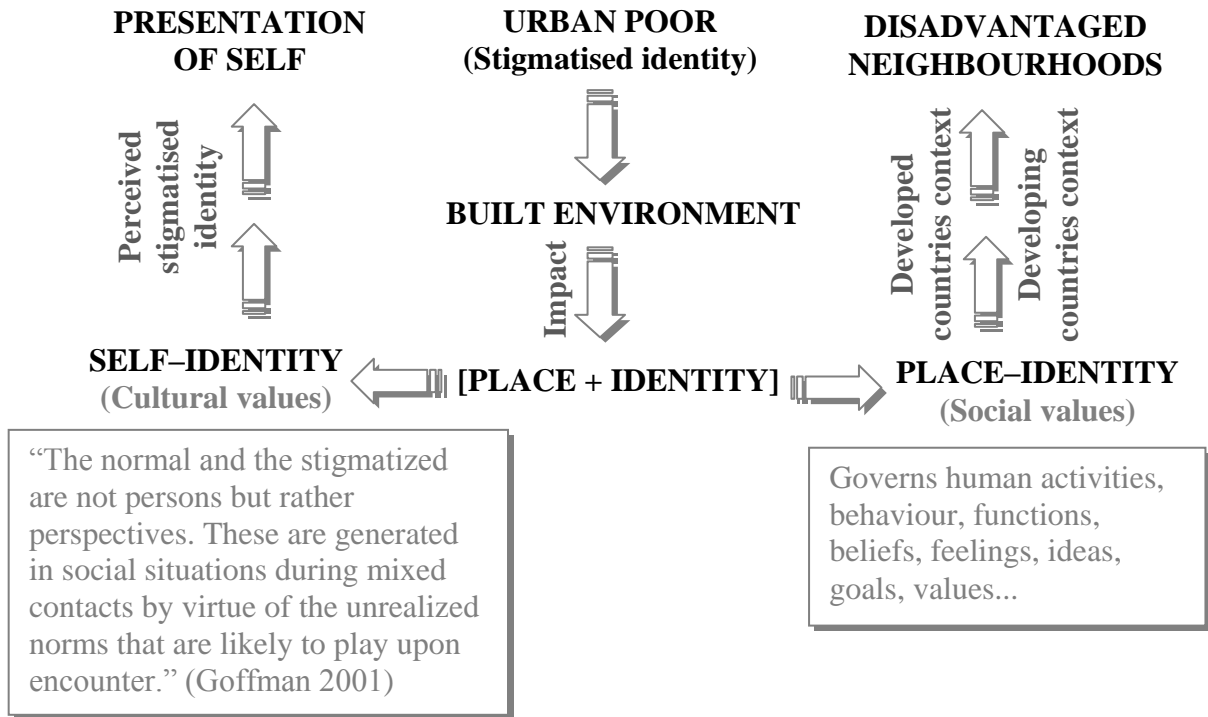
# INTRODUCTION

### 1.1 Research summary

The research was an initiative to examine the redevelopment strategies and policies seeking to ameliorate the identity of the urban poor by analysing and measuring the impacts of built environment on their identity. Identity presents an interface between the personal – who we are - and the social – where we are – which can also be expressed as a gap between structure and agency. This gap was the key concern of this research within the context of the urban poor. The study explored the methods used to overcome the multifaceted issues faced by the poor, linked to their built environment of socio-cultural, physical and economical conditions, which contributed to their stigmatised identity (Davis 2006). Herein, the study also attempted to create a dialogue between identity and built environment and questioned whether a redesigned and redeveloped environment can socially empower the urban poor; and, if so, what redevelopment strategies and approaches can be adopted to re-create identity and remove the stigma attached to the conceptions of urban poor?

The literature review conducted for the research increased the scope of knowledge, provided a better understanding on the topic while assisting in the analysis of the subject on identity – ‘self-identity’ and ‘place-identity’. The focus was to identify the interrelated dimensional structures of the urban poor and their built environment and its influence on their identity. This complex structure of urban poor is presented in the Table 1.1 ‘research mapping’ shown below. The research attempted to understand the link between the built environments and socio-cultural attributes of urban poor living through case studies focusing on redevelopment. Hence the literature review provided a foundation for setting the criteria for the selection of case studies in the developed and developing countries. Although the contexts of the developing and developed worlds are totally different, in relation to redevelopment approaches, the research attempted to find some common ground, where synergies were visible for potential development works globally. These case studies assisted in the search for redevelopment strategies of built

environment that would improve the well-being of the urban poor. The idea was to ensure that the exchange of knowledge and the redevelopment strategies adopted from the developing and developed world case studies when combined are applicable globally.



**Table 1.1: Research mapping**

The field work case studies were selected from the developing and the developed countries – Ramdev Pir Tekro Development Project, Ahmedabad in India and Victoria Neighbourhood Renewal, Victoria in Australia. They provided valuable lessons on urban poor and their built environment issues. Furthermore such an exposure to actual urban sites, reflection and continuous dialogue with the stakeholders of the disadvantaged neighbourhoods revealed many problems, limitations and potentials of the process of urban renewal programs, thus paving the way for transformation for the better, in a more holistic manner. Simultaneously, literature and desktop review were conducted on four urban renewal examples and cases of transformation of the urban poor from the developed and developing countries contexts. These examples were studied to recognise the suitability of the existing and proposed approaches pertaining to the development of the urban poor.

A framework of all the approaches that were undertaken for the development of poor urban areas and its results (in the form of quantitative and qualitative data) displaying the success of the approaches in relation to identity renewal, are listed for future redevelopment works. Thus, the project not only contributes to the philosophical discourses on identity and built environment, but also adds to the questions of global social issues of growing inequality and degradation of human living conditions.

## **1.2 Research aims and objectives**

The aim of this research was to derive urban social identity and suitable living conditions for the urban poor through the medium of built environment intervention strategies. The intention was to empower and benefit the urban poor neighbourhood while concentrating on individual identity and upgrading the living conditions of the neighbourhood.

The objectives were:

- to identify key aspects of the built environment that were reflective of, and influenced the construction of identity, leading to social empowerment;
- to explore and list the key identity indicators;
- to examine redevelopment strategies from developed and developing countries contexts that exemplify best practices and gaps in relation to identity renewal.

## **1.3 Research methodology**

The research methodology focused on each of the above aims and objectives by integrating theoretical and empirical research to address the research question. Consequently, the study combined a qualitative and quantitative literature review from books, journals, reports, study of government policies and guidelines, desktop review and case study methods.

Six examples of neighbourhood redevelopment were selected from developed and developing countries. Two sites were selected for field visits and the remaining four examples were studied from literature and desktop review. These case studies were placed on the same page for examination, even though three are from developing



countries and three examples belong to developed countries. This was in order to compare the case studies and to check the applicability of the strategies worldwide. These case studies are described in detail in Chapter 4 with their outcomes discussed in Chapter 5.

Primary data of the visited sites of redevelopment are presented in the form of photographs. Additionally, tables and figures are used to present statistical information or to contextualise the collected data through survey/questionnaires and informal discussions with the stakeholders.

Chapter 3 ‘Research Methodology’ discusses the research methods and the techniques applied to collect the data in detail.

## **1.4 Research structure**

The thesis is structured as below:

CHAPTER 2 ‘Research Context and Background’ focuses on the theoretical framework and the background study of the research. This chapter defines ‘urban poor’ for this research and compares urban poverty in developed and developing countries context, in relation to built environment. The purpose was to identify the common aspects of built environment in both the contexts influencing the socio-cultural characteristics and well-being of the urban poor. Thus, in an attempt to discuss how urban poor are identified and evaluated by their built environment, this chapter explores Phillips and Pittman’s (2003) “Triarchic Model of Poverty”, which facilitated in outlining the evaluating items of the built environment.

The next section of this chapter drew attention towards notions of urban poor – conceived and perceived ideas of the identity of the urban poor. Through literature reviews, it was observed that individuals draw their identity from their built environment and reinforces it through an interface between personal (self-identity) and social (place-identity) construct. This construct seemed to have an impact on the socio-cultural characteristics of the urban poor, thus labelling them as stigmatised (Udvarhelyi 2007). These implications suggested the poor’s sense of self and the way they constructed their

own identity. Thus, within this belief of stigmatised self, the urban poor create a facade by presenting oneself in a discrete manner. The third section of the chapter elaborates on the ‘presentation of self’ with theoretical and philosophical ideas on identity. Further on, passages and quotes from articles and books will facilitate an easy explanation on the theory of two interrelated dimensional structures of identity - ‘self-identity’ and ‘place-identity’.

Even so, in the context of urban poor, understanding identity necessitates understanding the environment in which it occurs to fulfil each well-being aspect of urban poor. Urban poor constitutes a context of well-being (DeHaan and MacDermid 1999) that manipulates what transpires in and between environment and practices (Phillips 2007). As a result, to measure the well-being aspects of the urban poor, Sen’s (1993, cited in Fukuda-Parr 2003) theory on “Capability and Well-being” was analysed. This analysis facilitated in outlining the indicators of well-being and was used to assess the built environment aspects on the basis of whether they have impacted and fulfilled these well-being aspects of the urban poor. The usage of this analytical framework was an iterative process which further assisted in auditing the redevelopment strategies of the urban poor applied during the case studies and in identifying those methodological and rational elements of the case studies that may be responsible for significant variations in the findings. All of these constructs attempted to create a nexus between identity and built environment while searching for the key built environment aspect which has the maximum impact on the identity of the urban poor.

CHAPTER 3 ‘Research Methodology’ gives a detailed account of the techniques used to collect data for this project. It also discusses at length the information collection process and draws on the methods used for literature and field case studies. Theoretical investigation, photographs, observations, exposure, dialogue with the stakeholders, reflection, and email questionnaires were some of the techniques applied to obtain both qualitative and quantitative data.

CHAPTER 4 ‘Case Studies’ discusses a total of six different case studies from the developed and developing countries context. Four case studies from literature and desktop and two for field visits are selected. Even though, the selected case studies are

from different contexts, they share the commonalities of being acclaimed and award-winning urban renewal examples. Differing in scale and year of implementation, they are alike in their principles of concentrating on issues of public importance. It should however be noted that the case studies discussed in this chapter do not always focus on built environment improvement strategies, and also includes the economical, physical, socio-cultural and psychological approaches that revolve around the empowerment of the urban poor. The purpose was to continue the search for redevelopment approaches that could de-stigmatise the identity of the urban poor by responding to their well-being. Thus, a table of redevelopment strategies, aligned with the built environment aspects impacting the well-being of the urban poor was created for better understanding. These redevelopment strategies were assessed to identify the key aspects of the built environment that have the maximum impact on identity renewal. The intention was to create a dialogue between identity and built environment by creating an identity renewal model. Also, a list of best practices and gaps of the redevelopment strategies is compiled. Plus, this entire process will assist the practitioners and professionals with a course of action for future interventions.

CHAPTER 5 ‘Identity Renewal Model, Options and Outcomes’ provides a detailed explanation of the redevelopment strategies of the urban poor examined in the case studies chapter. This chapter refers back-and-forth to the narratives, approaches and results of the case studies for the formulation of identity renewal model. It also proposes an implementation process for future urban renewal works and outlines the barriers in the process. This was devised from the best practices, gaps and the lessons learned in each case study.

CHAPTER 6 ‘Conclusion’ discusses the outcomes of the research in relation to the identity building of the urban poor.

### **1.5 Research outcome and its significance**

The aim of the research was to build a nexus between identity and built environment with the goal of affording the urban poor a meaningful and valued sense of self that

would also protect them from the environmental circumstances harmful to mental health, spirit, autonomy, and a sense of community.

From the analysis of all the data collected through literature, case studies, and desktop review, inferences are drawn on various government policies in relation to the urban renewal programs, drawing up on their positive and negative implications. This investigative research project makes a significant contribution in three ways. Firstly, it recorded the redevelopment strategies of the poor urban areas from the developed and developing countries renewal examples. The research also recorded the approaches, procedures, tactics and the degree to which these transformation programs should aim and proceed to take into account the impact on the disadvantaged communities. Secondly, the research suggested an analytical framework of the built environment and identity aspects that responds to the environmental, physical, socio-cultural, economical and psychological needs of the urban poor. Thirdly, the findings of this research contributed to an identity renewal model that promotes overall development of the urban poor.

The outcomes of this research are positive solutions and measures helping to create liveable environments that not only empower the poor but also gives them a sense of ownership. Furthermore, this methodological framework will also prove beneficial for future planning, operational works, and for testing and measuring the applicability of various redevelopment strategies of the project on an ongoing basis.

## Chapter 2

### RESEARCH CONTEXT AND BACKGROUND

#### 2.1 Introduction

The focus of this chapter is to introduce and define the key terms of the research. It defines ‘urban poor’ and provides a detailed overview on the notions and subculture of the urban poor – conceived and perceived ideas of the identity of the urban poor. It proceeds to discuss how people are distinguished with respect to their physical settings. Observations reveal that the ‘dual-geography’ (Sassen 2001) of the rich and the poor can draw margins around the urban poor to present them differently. In this context, the chapter thus further expands on concept of ‘presentation of self’ into a more concrete discussion with theoretical and philosophical ideas on identity. The chapter also explains the theory of two interrelated dimensional structures of identity - self-identity and place-identity, and concludes by proposing new ways and perspectives of empowering and enhancing the identities and lives of the urban poor.

#### 2.2 The urban poor: The present study

It is becoming extremely difficult to overlook the fact that the world is wedged into an economic downfall, although the world’s largest metropolises – (the mega-cities) – are still expanding extraordinarily with major population movements from juxtaposed regions – transnational, intra-national and within the urban region itself (Laquian 2007, 1983). This corresponds with the philosophy of authors Edward Soja and Miguel Kanai (2007, 67-68) in *‘The Urbanization of the World’* who say that the globalisation of the urban has begun to coincide with the urbanisation of the globe. Worldwide, the urban population has already grown from 3.5 billion people in 2009 (which was roughly half of the global population) and is estimated by the United Nations to expand to almost 5 billion by the year 2030 (World Disaster Report 2010). According to the UN Habitat Report (2010-11), 50.6 per cent of the world’s urban poor population now live in urban areas. Thus urbanisation appears to be an irreversible trend and poverty is no longer a predominant rural phenomenon (UN and EC Report 2006).

Numerous issues such as global poverty, cities facing an identity catastrophe, social polarisation, strained urban infrastructure, depleting resources, political disappointment, economic stress, lack of government assistance, the constant price hike of goods and commodities, a deteriorating urban environment and estrangement of the socio-cultural elements of society have developed into an urban phenomenon (Bosselman 2008; Hall and Pfeiffer 2000). While the global economy benefits the elites of the society, 827.6 million people, living in disadvantaged communities worldwide (UN Habitat 2010-11) are experiencing proliferating poverty. Urban poverty is a local challenge, but its characteristics and scale call for a global response (Global Urban Poverty Report 2007).

Consequent to this massive expansion, Gita Verma (2004) has stated in '*Slumming India*',

“The root cause of urban slumming seems to lie not in urban poverty, but in urban wealth.”

However, the current visible economic development continues to attract the people in rural areas with new hopes of livelihood opportunities in cities. Even though urban spaces have always expanded conveniently cities are still not equipped to cope with the influx. A lack of basic services, employment and housing still persists, encircling the downtrodden and continuing the cycle of deprivation for the urban poor. It is clear that the constant flooding of the urban poor into un-planned and underserviced cities results in the extra burden on those infrastructures which are the least adept at dealing with the ever growing demands. Evidently, the rate of urbanisation is accelerating extraordinarily and it is difficult for government bodies to plan for and cope with this pace in order to provide basic infrastructures and make essential services available to the urban poor; this then leaves them in the dire state of increasing poverty (Tewari, Raghupati and Ansari 2007). The unavoidable urban explosion and the failure by governments to prepare for the worst, calls for serious action to fight against rising global insecurity and the downfall of humankind. However, it is essential to get to the roots of the cause to understand the face of urban poverty, its impact on the urban poor and to seek methods to equip the urban poor for transformation.

Nearly, one-third of the urban population lives in disadvantaged communities, where one in six inhabitants are classed as belonging to the urban poor and the figures are increasing everyday (UNFPA Report 2007; Ambler 1999, 28). In cities around the world, urban globalization hinges upon increasing urban poverty. The urban poor expand horizontally and give rise to marginalised communities. The stigma associated with them is the most noticeable features of the cities today, in both the developing and developed world (Davis 2006). Several sociologists and anthropologists have tried to define and characterise these disadvantaged communities, but there is no common consensus of explanation. “Disadvantaged communities” are also annotated by different names in different regions of the world, for example *bastees*, *jhuggi-jhopdi*, *ahatas*, *gallies*, *cheris*, *tekro*, shanty settlements, slums, ghettos, squatters, public housing, disadvantaged neighbourhoods, notorious neighbourhoods, ill-fated neighbourhoods. The names vary distinctly, the reasons for which range from the geographical to the physical, but all share a similar root source - poverty. Some categorise these places as disordered areas while others describe them as ‘blighted areas’ (Das 2000). The definitions describe only what can be seen through the naked eye of the urban poor and their physical settings in relation to the constant urban progression and development encircling them.

Below are images of some of the major cities of the world: poverty and wealth are seen to co-exist. These pictures clearly show the face of urbanisation and the condition of the urban poor globally as described in the above paragraphs.



**Old Delhi, India**



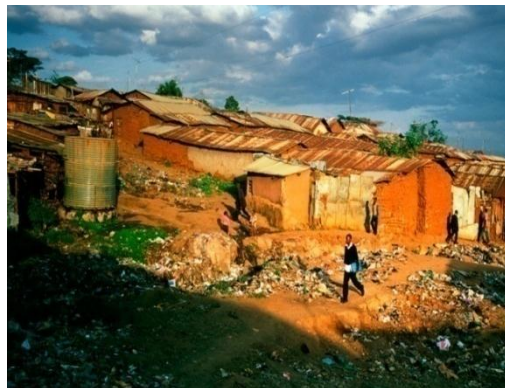
**Caracas, Venezuela**



**Mumbai, India**



**Manila, Philippines**



**Nairobi, Kenya**



**Melbourne, Australia**

**Images 1: Global face of urbanization**

Photographs taken by author (2009-10) and Bendisken (2003)



### 2.2.1 Developing country context

The urban poor inhabiting the cities are underserved and are composed of the bottom 15-20 per cent of the population (Jain 2009); they are often wedged in a cycle of perpetual poverty simply because they lack access to important aspects such as government programs, ownership of land, a regular income, employment or basic services. As a result, the urban poor accommodate themselves without any legal rights or recognition in neglected or high risk urban areas on unwanted, poor lands unfit for human habitation. It is expected that they will become poorer because of a lack of public or government interest and a lack of housing policies or a housing market (Tewari, Raghupathi and Ansari 2007). In other words, the poor live on poor land (Gilbert and Ward 1985, cited in Peters and Skop 2007). Overcrowding, high density, congestion, dilapidation, inadequate housing, the faulty arrangement of streets, lack of lighting and ventilation, insanitary conditions, deficient municipal and civic services (such as clean water supply, drainage, sewerage, solid waste and garbage clearance, etc.) are some of the features of vulnerability and unavoidable physical features of urban poverty that penetrates all aspects of the lives of the urban poor (as seen in the images 2 below).



**Images 2: Poor physical settings of the disadvantaged communities in developing countries**

Photographs taken by author (2009-10)

Furthermore, the appalling physical settings of the urban poor which is the most visible feature of urban poor living ,propagates into a large manifestation of socio-cultural rifts constituting of disorganised families, low literacy rates, high crime rates and violence, graffiti, deviant behaviour, apathy, social isolation, unemployment, dropping out of schools, poor health status and so on. Other issues of race, religion, class, occupation and

civil order are also provoked causing disparities between advantaged and stigmatised places. Urban poor living is a combination of physical and socio-cultural attributes, where the physical environment influences the socio-cultural characteristics of the urban poor (Das 2000). The urban poor often are seen to have a low image of themselves and no aspirations for development (Jain 2009). With no access to formal land and employment market, deficiency in skills, insecurity and lack of confidence takes root at the core of the urban poor; it results in crime and delinquency as the chief sources of subsistence in their urban lives. Amid dark hopes and few alternatives, large numbers of individuals from amongst the urban poor depend upon precarious employment in the informal sector. Marginalised from opportunities and subject to the underlying pressures of city living, the urban poor are compelled to adopt self-perceptions of worthlessness, inadequacy and conceptions of a stigmatised identity (Patterson 2003; Amato and Zuo 1992, 230; Haggstrom 1965, 332).

### **2.2.2 Developed country context**

Cities of developed countries display an incredible diversity of characteristics, economic structures, levels of infrastructure, patterns of growth, and degrees of formal planning. In spite of this, many developed countries issues are remarkably similar to the developing countries issues. As cities expand they become increasingly assorted with relatively more affluent and poorer neighbourhoods (Cohen 2006). Urban inequality and polarising effect within cities has led to the separation of neighbourhoods with individuals in similar economic circumstances living together while neighbourhoods of urban poverty move towards distant suburbs, thus widening the economic gap.

The concern here is areas with high concentration of economic disadvantage may be developing their own 'pathologies' which generate more poverty and produce further increase in poverty (Vinson 2009; Hunter 2003; Gregory and Hunter 1995). Urban poor localities live in high levels of disadvantage often accommodated in one room rented apartment or vulnerable public housing blocks (as seen in image 3) with deteriorated social infrastructure and environment, and inadequate basic facilities as compared to the city's upper- and middle-class neighbourhoods. Overcrowding, rainwater seepage problems, risks of electrocution, falling walls, breathing illnesses due to moulds on

walls, sagging roofs, poor heating, insulation, ventilation, plumbing and raised concerns over mouse infestations are some of the dwelling related issues (Fyfe, quoted in *The Age*, 2010; Bridge et al. 2007). Additionally, concerns with lack of ownership of housing, negligence of government authorities, unemployment and limited funds prevent the inhabitants to maintain their houses. Moreover, these disadvantaged neighbourhoods are categorised with behavioural shortcomings – individual laxity, criminal conduct, vandalism, domestic violence, intake of drugs, discarded drug needles and broken glass on roads and pavements, poor health conditions, lack of commitment to improve their situation, lack of social cohesion, and parents’ inadequate attention to child rearing. Illiteracy, lack of skills, inadequate training and unemployment are mapped as the core result of increasing poverty and disadvantage (Vinson 2009). Another Australian study of the city of Newcastle has found a high correlation between unemployment, lack of education and social dysfunction (Vinson 2009).



### **Images 3: Poor physical settings of the disadvantaged communities in developed countries**

Photographs taken by author (2009-10)

As Professor Vinson (2009, 6) states,

“... urban poverty is a web of disadvantage.”

‘Web of disadvantage’ is an appropriate metaphor to express people’s entrapment within highly disadvantaged communities. For instance, unemployment for urban poor can be restrained by interrelated factors like inadequate funds, poor health, insufficient training or having a criminal record (Vinson 2009). This web of disadvantage restricts urban poor’s attempts to escape. Amid lack of opportunities, urban poor experiences social exclusion and develops a self-perception of inadequate and insignificant.

### **2.2.3 Similarities and differences in the context**

An insight into some of the similarities between developing and developed countries starts from the urban expansion process and the drivers of urbanisation. The primary driver of urbanisation is population increase and is evident in both the cases. Though the population increase in developed and developing countries varies, the population density increase in both contexts is mainly in the urban areas. The current urbanisation process in developing countries shows a division between urbanisation and the socio-economic changes. Whereas urban expansion in developed countries is motivated by globalisation and private development interests (Wegener 2001).

Thus, both developing and developed country cities face similar concerns such as increasing housing issues and persistent poverty, overcrowding, appalling living conditions, environmental sanitation issues, lack of infrastructure, transportation, criminal activities, health issues, and pollution. This is the most prevalent feature of recent urban expansion and settlements of the urban poor.

Differences in the economic structure, positioning of the urban poor in the city, horizontal and vertical expansion of the urban poor settlements and its scale are some of the dissimilarities of developing and developed countries. It is interesting to note that the differences in both the cases are along the issues mentioned above and mainly occur in terms of the nature and the outcome of their processes (Lwasa 2004).

In congruence to the built environment issues, urban poor in both developing and developed countries face unemployment, illiteracy, lack of skills and training, leading to crime, vandalism, and domestic issues. Lack of access to government authorities, formal land and housing market, and employment opportunities is also the same in both the cases.

Managing the growing urban poor's built environment issues has become a challenge for both developing and developed countries. Of particular concern to many researchers is the scale of urban change that will occur in the world's poorest countries (Cohen 2006). These trends highlight the urgent need to build a support system and also record the major problems that can balance these issues.

However, for the purpose of this research and to explain poverty and built environment's effects on development of the urban poor, this thesis examines Phillips and Pittman's (2003) "Triarchic Model of Poverty". The model explains the relationship between socioeconomic status and development processes, particularly possible effects of poverty on the development of the urban poor are discussed. This model is an addition to the current theory and historical beliefs about development, culminating in an attempt to explain how and through what processes these connections might influence development, typified by questions, "Who am I?" and "Where am I?" (Phillips and Pittman 2003). As proposed by Erikson (1980, cited in Phillips 2007), development of an individual involves the formation of a consistent sense of self and is described as the capability to explore choices (DeHaan and MacDermaid 1999, 1996). The model infers that poverty constitutes a developmental context, and three poverty related factors: stigmatisation of the poor by affluent society, limitations in opportunity structure, and excessive stress. It also indicates that the developmental context of the urban poor are interrelated and that are associated with a broad array of undesirable outcomes of poverty.

The model's first factor, 'stigmatisation of the poor by affluent society' confers that living in poverty entails being stigmatised and marginalised (Figueira-McDonough 2001, 1998), labelled negatively, and excluded by the affluent society (Lott 2002). The poor are largely viewed as being lower in status, ethically deficient and personally responsible for their troubles. People living in poverty are thus at increased risk of being confronted with social input or feedback that is unfavourable. Discussions involving individual responsibility for poverty when combined with limited opportunities to change, suggest a situation in which the channels that can be explored are suppressed. An individual's position in society has important implications for the benefits and opportunities received by the individual (Massey, Gross and Eggers 1991, cited in Parker 2008). As Massey et al. (1991, 397, quoted in Phillips 2007) wrote:

"Although people function as independent actors, the possibilities they face and the decisions they make are inevitably constrained by the positions they occupy in the social order."

Correspondingly, urban poor life is a combination of physical and socio-cultural attributes, wherein the built environment influences the socio-cultural characteristics of the poor (Das 2000). Inevitably, the appalling physical setting of the urban poor creates a socio-cultural gap between them and the affluent society. In addition, perceived notions of nuisance, filth, overcrowding, fear, darkness, and poverty, results in the labelling the urban poor as 'stigmatised'. The urban poor see their own reflection in their homes and the built environments surrounding them, and grow to accept the stigmatised conception of them. With self-perceptions of worthlessness, inadequacy and conceptions of a stigmatised identity (Patterson 2000; Amato and Zuo 1992, 230), the urban poor hesitate to participate, display their potentials or to try new ventures.

Secondly, 'limitations in the opportunity structure' weakens the urge of the urban poor to participate in the development exploration. With no access to employment opportunities, deficiency in skills, and illiteracy, inadequacy and lack of self-belief subdues the urban poor, resulting in crime and delinquency as their chief sources of sustenance. Third, living in poverty involves numerous stresses that have adverse effects on development. Hardships of living in poverty, feelings of inferiority, incompetence, despair and aggravation effects negatively on the psychological and physical well-being and provide a stressful context for identity development. Poverty is related to inferior levels of development that in turn were associated with negative outcomes in the areas of self-esteem, depression, isolation, substance abuse and negligence. Clearly, poverty suppresses development in multiple ways and in a variety of domains, and because poverty puts forth a broad array of effects on so many developmental domains, it seems irrational to construe that it would not affect health and well-being of the poor (Phillips and Pittman 2003).

Upon reflection, if Phillips and Pittman's model (2003) is correlated with the outcomes of developed and developing countries context, the three poverty related factors of the model can be interpreted into specific terms, such that they are useful in the evaluation of the built environment of the urban poor. The evaluative items of the built environment are as follows:

- Housing and environment
- Learning and employment
- Crime and safety
- Health and well-being
- Pride and participation

The variables featured in Phillips and Pittman’s model and the derived built environment aspects of this research are by no means novel. Their relationship to poverty have been debated and examined by many scholars, but they have never been measured or composed into one single model (Phillips and Pittman 2003). However, this research has attempted to outline the built environment aspects common in both the developing and developed country context effecting the growth of the urban poor. These aspects when evaluated for the development of the built environment of the urban poor simultaneously respond to the development of the poor (Figure 1). These aspects are further used in an iterative process to audit the redevelopment strategies applied in the case studies to examine the well-being of the urban poor. These evaluative items are discussed below explaining how they influence the development of the urban poor, with a supporting table (Table 2.1).



**Figure 1: Evaluative items of the built environment and its outcome**

Housing and environment

The central feature of urban poverty is lack of access to secure and safe housing. The urban poor have no access to urban land and they mostly build their houses on vacant, private, unwanted or government land. Some accommodate themselves in unsafe,

unmaintained public housing. In several cases more than five members of the households live in one congested room (Hossain 2005; Hossain and Humphrey 2002). Overcrowding, lack of light and ventilation, sagging roofs, falling walls, insulation, risks of electrocution, inadequate provision of water, sanitation, drainage, and garbage collection puts their lives and health continually at risk. The lack of basic services and appalling living conditions directly impact on the quality of life of the poor and on their psychological and social assets such that the poor will bear the effects of their inadequacies (Hasan 2002). Housing is an important productive asset to feel stable and secure (Masika 2002; 1997). Since housing and environment is the access to self-relevant information, favourable or unfavourable - the social environment views poverty as the outcome of individual inadequacies rather than societal factors (Cozzarelli, Wilkinson, and Tagler 2001). Living in disadvantaged neighbourhood involves being marginalised (Figueira-McDonough 2001; 1998), stereotyped pessimism (Cozzarelli et al. 2001), and exclusion (Lott, 2002) from the larger society.

### Learning and employment

The quality of learning and employment opportunities available to urban poor is an additional issue that must be taken into consideration when investigating outcomes of poor urban living on the development. Positioning and status in a society is an important factor when opportunity structure is being characterised by limited possibilities. Poverty and living in disadvantaged communities is linked with limitations and shortcomings (Figueira-McDonough 2001). For instance, the cost of education for urban poor is expenditure. Even when entry to a government school is free, the associated costs of books, transport, meals, are too high for an urban poor household to afford. Illiteracy, obliviousness to the importance of education, limited funds, unemployment, and lack of skills and training restrains urban poor to send their children to school. The loss of income associated with the work of the child, in an informal business at home or outside, is also endured by the family. Additionally, an older sibling at school may also mean that a younger one cannot be taken care of while the parents are working outside the home (Hasan 2002).



Positioning and socio-economic status in a society also has important implications on the advantages and opportunities received by an individual. Lack of education influences long-term development of an infant and youth, concerning their life decisions. While the urban poor are aware of these limitations in their opportunity structure, it is reported that they fail to think high of their educational and career aspirations (Keshvala 2008; Smith-Maddox 1999; Rojewski and Yang 1997). Perhaps, this low aspiration of the urban poor is the resultant from their realistic judgement of available opportunities (Figueira-McDonough 2001; 1998). Marginalised from opportunities and subject to the underlying pressures of city living, the urban poor are compelled to adopt self-perceptions of worthlessness and inadequacy (Patterson 2000; Amato and Zuo 1992, 230). In addition to these outcomes, it could be inferred that development of the urban poor in a background characterised by restrictions might be responsible in demoralising behaviours, plus a failure to achieve their full potential for growth.

### Crime and safety

Another growing area of concern is the increasing levels of crime and violence in urban areas. Lack of education, unemployment and poverty can lead to an exposure to multiple delinquent and negligent activities that can have an undesirable influence on development of the urban poor. In addition, the stresses involved with living impoverished give rise to family turmoil, domestic violence, excessive drug intake, low quality of parent-child interaction, insecurity, and chaos, resulting to individual stress and depletion of motivational resources (Phillips 2007).

### Health and well-being

The urban poor accommodate themselves on land or buildings unsafe for human habitation such as those that are prone to floods, landslides, or situated near open drains or buildings that are unmaintained. Such living conditions are hazardous to their health and put their life at risk. Problems such as industrial waste, noise pollution, lack of basic services and infrastructure, lack of sewerage and drainage facilities, regular water clogging, poor quality of houses, overcrowding and the stress associated with it also

adds to the improbabilities of the poor in building their asset base and to sustain a livelihood (Hasan 2002).

These poor living situations increase the rate of illness and negate health conditions among the urban poor as compared to the other groups of the society. Urban poor completely rely on physical labour to earn their living. Poor health can reduce their ability to cope with strenuous activity linked to their work and since health treatment may need extra spending or lead to debt (Masika 2002; 1997), warning signs of sickness are often ignored. This leads to the beginning of a vicious circle of difficulties and debt that the urban poor find hard to extract them from since repayments may mean a significant amount of their daily income.

### Pride and participation

It has been anticipated that receiving critical information about oneself and one's social class is not conducive to psychological health, and that the internalisation of such information by the individual could be expected to contribute to the formation of a negative self-concept (Phillips 2007). It is, after all, not expected of the urban poor to see themselves in a positive light when a preponderance of the self-relevant social contribution they are receiving from the environment is disapproving in nature. Labelled as discrete and marginalised by larger society has also led the urban poor to behave in an unpleasant manner. Erikson (1980, cited in Phillips 2007) has described it as adoption of negative self-perceptions. This has led the urban poor to shape or see themselves as morally deficient, worthless or personally flawed.

These evaluative items of the built environment discussed above gives an understanding of poor urban living. It gives a direction towards specific processes and pathways involved in building a general public opinion of the urban poor linked to their built environment. The table 2.1 below summarises these aspects of the urban poor discussing its contributing factors and subsequent impacts. The table acts as an indicator to analyse the outcomes of the case studies. This framework of impacts further assisted in the analysis and gave a perspective to examine the redevelopment strategies of the urban poor applied in the case studies.

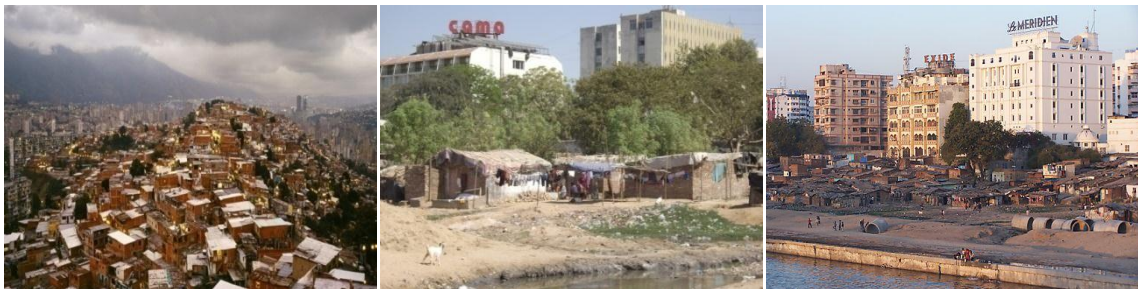
Evaluating items	Contributing factors	Subsequent impacts
Housing and environment	<ul style="list-style-type: none"> <li>▪ No proper job or access to credit or loans to improve the housing conditions.</li> <li>▪ Continuous rise in economy makes proper housing unaffordable for the urban poor.</li> <li>▪ Tenure insecurity.</li> <li>▪ Lack of public/government interest, housing markets and policies.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Inability to afford land, proper housing or any physical asset results in dilapidated housing conditions.</li> <li>▪ Threat of eviction and displacement to the peripheral areas causes damage to social relations, physical assets, and informal work networks and contacts.</li> <li>▪ Poor housing leads to poor health conditions.</li> <li>▪ Inability to afford basic public services - no light and ventilation, insanitary conditions, deficient municipal/civic services such as lack of clean water supply, drainage, sewerage, solid waste and garbage clearance.</li> </ul>
Learning and employment	<ul style="list-style-type: none"> <li>▪ No suitable education/skills training facilities.</li> <li>▪ Lack of ability to afford education expenses.</li> <li>▪ Distance to school makes it impossible to afford travel expenses.</li> <li>▪ Lack of access to formal land market and job opportunities.</li> <li>▪ Deficient in skills.</li> <li>▪ Poor health status reduces job prospects.</li> </ul>	<ul style="list-style-type: none"> <li>▪ No job prospects and opportunities.</li> <li>▪ Lack of confidence and skills.</li> <li>▪ Lack of attendance at school and vulnerable mind of youth attracts crime and delinquency.</li> <li>▪ Inability to afford essential public services, housing, health services, and education.</li> <li>▪ Lack of alternatives results in dependency on illegal means of income generation leading to increased levels of crime.</li> </ul>
Crime and safety	<ul style="list-style-type: none"> <li>▪ Disorganised families, low-incomes, apathy, domestic violence and deviant behaviour.</li> <li>▪ Excessive intake of alcohol/drugs and high crime</li> </ul>	<ul style="list-style-type: none"> <li>▪ Low earnings and lack of employment leads to physical and psychological disturbances.</li> <li>▪ Poor living conditions give rise to social isolations and</li> </ul>

	rates.	disruption of family cohesion.
Health and well-being	<ul style="list-style-type: none"> <li>▪ Congested, overcrowded, high density and unhygienic living conditions.</li> <li>▪ Living in neglected urban areas or areas of high-risk or on unwanted, poor lands unfit for human habitation.</li> <li>▪ Exposure to diseases due to poor living conditions.</li> <li>▪ Unsafe working conditions in informal sectors, accommodated in houses with no proper lighting, ventilation or working tools.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Poor health status.</li> <li>▪ Inability to hold good jobs and long-term work.</li> <li>▪ Slow growth rate of children.</li> <li>▪ Risk of injury at work which causes a lifetime dilemma.</li> </ul>
Pride and participation	<ul style="list-style-type: none"> <li>▪ No authority and rights over land and housing.</li> <li>▪ No power, responsibilities and rights.</li> <li>▪ Social polarisation between rich and poor.</li> <li>▪ Disconnection from services.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sense of worthlessness, inadequacy and stigmatisation.</li> <li>▪ High crime rates.</li> </ul>

**Table 2.1: Evaluative items for the built environment**

### 2.3 The socio-cultural structure of the urban poor

The urban poor and their existence in conditions of appalling poverty are not a unique characteristic of urban areas, but their positioning adjacent to the rich neighbourhoods or existence in an affluent developed country becomes the most glaring, stigmatised visible feature and attracts attention due to their spread-out socio-cultural characteristics. The ‘dual-geography’ of rich and poor (Sassen 2001) – which can be sighted in any city of the world – shows two spectrums of livelihood (as seen in images 4 below). The first represents the aristocratic upper class with an abundance of wealth, luxurious high-rise buildings, privileges, high social status and access to abundant amenities. The later displays filth, congestion, fear, darkness, poverty and closely packed organically grown communities lacking in services and displaying urban decline. Nonetheless, in the developed country scenario, this ‘dual-geography’ of rich and poor can be noticed in the form of a completely detached ‘suburb’, housing the urban poor - another phenomenon of separating disadvantaged communities from affluent neighbourhoods. Perceived notions of nuisance and stigma about the urban poor instigate affluent urban dwellers to exclude, spatially segregate and create disparity between themselves and the urban poor. These descriptions of the disadvantaged neighbourhoods are not mere representations of the plight of these communities; but are a crude reality of the ‘way of life’ (Kelley 2008; Clinard and Meier 1995; Clinard 1970). As a result, the stress and strain of the ‘dual-geography’ is suppressed by the rich through the strict implementation of an order of values, a standard of physical settings, socio-cultural norms and an economic layout that disregards the reality of the underlying social fabric (Udvarhelyi 2007).



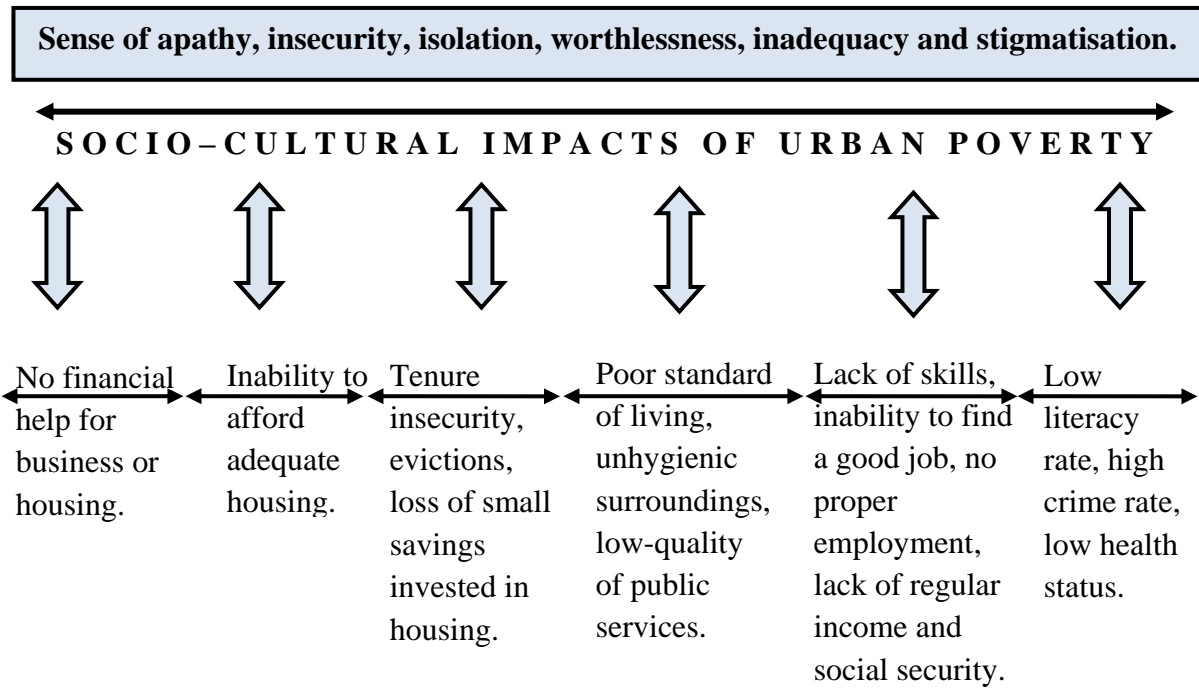
**Images 4: ‘Dual-geography’ of rich and poor**

Photographs taken by author (2010) and Bendisken (2005)

Poverty bears with it not only economic burdens but also emotive and social difficulties. Urban poor encounter everyday struggles that range from tangible problems to immaterial ones (Mickelson and Williams 2008). In spite of the tremendous complexities and deprivations, the urban poor live differently from the mainstream culture with regard to their standard of living, earnings, education, and consumption patterns (Lewis 1970, cited in Wilson 2010). As a consequence of the poor living conditions of people in marginalised communities, their cultural norms, beliefs, values, customs and traditions are seen as a response by them to their position in the mainstream urban areas; this has been termed as ‘culture of poverty’ by Oscar Lewis (1970). According to Lewis (1970, cited in Wilson 2010), the socio-cultural structure of the urban poor is a response by the poor to adapt to their position in a class-layered and extremely-individualistic and capitalistic society (Das 2000; Gilbert and Gugler 1992).

Furthermore, according to McLeod and Shanahan (1996; Phillips 2007) the product of the socio-cultural structure of the urban poor is reflected in their deviant behaviour, high rates of delinquency and crime, and their ambivalent nature towards the ‘outside world’. For reasons of inadequacy and a lack of determination of social values or behaviour, society is forced to separate the urban poor from the rest of the urban population. In the words of Don Robotham (2003), it is the ‘social abandonment’ of the urban poor. Sociologically, the way of life for the urban poor leads to social differences, alienation, apathy and social isolation; these are the outcomes of their self-perceptions of worthlessness, inadequacy and stigmatisation (Phillips 2007).

The discussion in the above paragraphs is summarised in the figure 2 below. The table gives an easy explanation of the socio-cultural impact of poverty on the well-being of the urban poor.



**Figure 2: Socio-cultural impacts of urban poverty**

As Harold Proshansky (1978, 152, cited in Hauge 2007) explains it further,

“...the stigma of poverty has become an element of the urban poor, which provides them a degree of delineation, complexity, and differences in occupation with other social orders and social significant characteristics among a group of individuals. These setbacks come into picture with the urban experience and the physical environment of the cities that gives an image of the other facet of the environmental ledger: what distorts, threatens, or is weakening to the growth and development of human beings.”

Life of the urban poor is a combination of physical and socio-cultural attributes, wherein the physical environment influences the socio-cultural characteristics of the poor (Das 2000). The appalling physical setting, the most visible feature of urban poor living, propagates a socio-cultural rift between the rich and the poor. Inevitably, the ‘outside world’ perceives the urban poor through their built environment as a filthy, crowded human mass which transforms their behaviour and approach towards the urban poor, resulting in the labelling of inhabitants of disadvantaged neighbourhoods as

‘stigmatised’. In Goffman’s (2001, 1997) noteworthy work on ‘stigma’, he proposed that disapproving reactions from society at both social and cognitive levels results in the ‘deviant’ characteristic of urban poor and subsequently, to social stereotyping or categorisation. Stigma has conventionally been defined from the viewpoint of the performer’s labelling of the target, rather than the target’s perceptions of stigma (Mickelson and Williams 2008). Similarly, the urban poor see their own reflection in their homes and the built environment surrounding them and grow to accept the stigmatised conception of themselves. However, several anthropologists have explained that the labelling of ‘stigmatised’ places as spaces that are deficient, different and ‘abnormal’ is to establish the identity of the poor as ‘other’ and to label oneself as ‘normal’ or ‘privileged’ on the basis of the physical world and socio-cultural standing (Udvarhelyi 2007). As Doreen Massey (1994, 50 cited in Massey 2004) explains,

“...the conception of places as stigmatized or privileged is the outcome of physical, socio-cultural and economic realities. These places are the ‘products of the society’ in which we live.”

An understanding of the composition and formation of sensitive geographies of the rich and the poor emphasises the diversities in the built environment and the way of life in the urban areas. This understanding, however, gives way to place-based notions and perceptions of stigma. The gaps in the socio-cultural structures in the urban areas need to be minimised by understanding the condition of the urban poor and by creating a balanced perspective based on the affirmative elements of these communities. Outsiders’ pre-judgements of the urban poor’s physical environment need to be justified by considering the social processes of the urban life.

As indicated by K. Selja (2004), India’s minister of state for urban employment and poverty alleviation, in the inaugural address to the forum on ‘Urban Infrastructure and Public Service Delivery for the Urban Poor’, twenty-eight per cent of the population living and working in the informal sectors of the urban areas is responsible for generating sixty per cent of the gross domestic product to the national market. But regardless of a recorded overall employment increase from one-third in 1976-77 to more than three-quarters of the total workforce in the informal sectors of the urban areas now,



the urban poor in the city still live in dire poverty (Selja 2004). With the current surplus in the urban poor population, urban poor should be seen as an asset and human capital rather than a liability. As stated by the co-founder of Infosys, Nandan Nilekani (2009),

“Investment in human capital is investment in the national economy.”

But, hampered by the lack of infrastructure, housing and public services, the potential of urban poor to play a role in contributing to the national economy and stimulating the development of the country is simply not recognised. Unfortunately, statistics often mask the severity of conditions for the urban poor (Global Poverty Report 2007). The executives, architects, planners, designers and policy makers have until now ignored these gradually formed crude settlements, which are now spilling into the formal and elite areas of the city and are often seen as a nuisance rather than a positive advancement of the city (Tewari, Raghupathi and Ansari 2007, 57). In some countries, these disadvantaged communities are distant from the city centres and elite areas for the simple reasons of not being able to afford housing in privileged neighbourhoods. Amid no choice, the urban poor accommodate themselves in these distant suburbs with no proper housing or infrastructure. As a corollary to this, if, in the future, the planning and physical development of the disadvantaged communities is not given proper thought and basic services are not delivered and managed efficiently to benefit the urban poor, it will become difficult to optimise their financially viable and indigenous skills, social transformational roles, and their positive effects on economic and social development will not be recognised (India: Urban Poverty Report 2009).

Solving the problems of the urban poor is not a simple task. Long running practices, prejudices, notions of the urban poor and deep-rooted traditions, predominantly of the organisational bodies, must be replaced with new practices and approaches towards reforming the situation of the urban poor (Buckley and Kalarickal 2005; Churchill and Lycette 1980). By reflecting upon our notions of the urban poor and contemplating this concern, the vast pool of human resources world-wide as constructive and valuable assets may ultimately become our wealth creators instead of mere survivors. It has to be comprehended by the governments, planners and policy makers that no effort should be left out to equip the urban poor with this role.

In order to confront the reality of the urban challenge we must understand the socio-cultural structure so that these communities' notions of themselves can be tackled using approaches that boost their sense of self-belief and self-worth; a paradigm shift must be called for that highlights the methods and techniques for improving the built environment and living conditions of the urban poor and accommodates the needs of future growth.

The next two sub-sections of this chapter focus on place-based notions and associated stigma, and their effect on the urban poor which compels them to present themselves in a distinct way – “*to place a position of renewed respect*” (Massey 2004, 1994), and to disconnect oneself from the stigmatised identity.

### **2.3.1 Stigmatised places**

“It is the mood of the beholder which gives the city (...) its form. If you go by whistling, your nose a-tilt behind the whistle, you will know it from below: window sills, flapping curtains, fountains. If you walk along hanging your head, your nails dug into the palms of your hand, your gaze will be held on the ground, in the gutters, the manhole covers, the fish scales, wastepaper. You cannot say that one aspect of the city is truer than the other (...). For everyone, sooner or later, the day comes when we bring our gaze down along the drainpipes and we can no longer detach it from the cobblestones. The reverse is not impossible, but it is rarer: and so we continue walking through [the] streets with eyes now digging into the cellars, the foundations, the wells.” (Calvino 1997, 66)

Disadvantaged communities subsist in every city for the very reason that their existence is acknowledged collectively by individuals beyond their boundaries, reinforced by behavioural patterns and the physical settings of that particular area. Visual images of disadvantaged communities often depict despair and observers tend to presume that these communities are disorganised, lacking in infrastructure and urban services and harbour a horde of social problems. Urban poverty is throughout understood in distorted terms and is summarised by the word ‘stigma’. In an instance reminiscent of Whyte’s

(1981) preface to his study of the Boston slums, he opposes the outsider's opinion of a marginalized settlement in Rio de Janeiro to his, as an insider's insight:

“...from outside, the typical favela seems a filthy, congested human anthep. Women walk back and forth with huge metal cans of water on their heads or cluster at the communal water supply washing clothes. Men hang around the local bars chatting or playing cards, seemingly with nothing better to do. Naked children play in the dirt and mud. The houses look precarious at best, thrown out of discarded scraps. Open sewers create a terrible stench, especially on hot, still days. Dust and dirt fly everywhere on windy days, and mud cascades down past the huts on rainy ones.

Though, things look very different from inside - houses are built with a keen eye to comfort and efficiency, given the climate and available materials. Much care is evident in the arrangement of furniture and the neat cleanliness of each room. Houses often boast colourfully painted doors and shutters, and flowers or plants on the window sill. Cherished objects are displayed with love and pride. Most men and women rise early and work hard all day. Often these women seen doing laundry are earning their living that way, and many of the men in bars are waiting for the work-shift to begin. Children, although not often in school, appear on the whole to be bright, alert and generally healthy. Their parents... place high value on giving them as much education as possible. Also, unapparent to the casual observer, there is a remarkable degree of social cohesion and mutual trust and complex internal social organization, involving numerous clubs and voluntary organizations.” (Gilbert and Gugler 1992, 169-170)

Unaware of the potential of urban poor, outsiders focus on the physical environment they perceive while emphasising the patterns of behaviour, principles and actions, denoting these as traits of the urban poor. The general display of indifferent behaviour, intolerance, apathy and a carefree attitude towards life gives a comprehensive conception to the ‘outside world’ of the urban poor; a conception that is not limited to government bodies, non-governmental bodies and other welfare groups. These *“characteristics of otherness highlights existing social and spatial boundaries,*

*encourages reaction and elimination related to geographical identities and legitimizes the status quo*” (Till 1993, cited in Knox 2005). Individuals of higher and middle class status invariably look down at the marginalised settlements as a ‘natural stigma’ associating the inferiority with the physical appearance and condition of the urban poor. It is due to such prejudice that *“disadvantaged and marginalized settlements are stigmatised places and people who inhabit them are also stigmatised”* (Kelley 2008; Clinard 1970, 14). However, through this interpretation, they also indicate the position of the urban poor by aligning themselves on the scale of a social hierarchy. As a corollary to this, the urban poor face social segregation and are prohibited from taking any kind of authoritative measure to display their potential and gain respect in their own urban social order (Pacione 2009; Gilbert and Gugler 1992).

In this sense, the impact, pressures, unavailability of resources and opportunities, lack of asset power, and social and physical restraints prevent the urban poor from presenting themselves in the position they are capable of; rather, the urban poor mirror the understanding of themselves as per the affluent society’s gaze. The urban poor perceive themselves as stigmatised and present themselves to the outside world in a discrete and unusual way – *“to place a position of renewed respect by specifying their potential and power, to direct and stabilize themselves, to memorialize and get identified, in terms of who and what we are”* (Casey 2009) – they seek to disconnect themselves from the stigma by attempting to create a new identity. But in the process, they fail to understand that identities are the product of the social order in which we live.

The next section will discuss ‘Presentation of self’ and the theories of Erving Goffman on how the urban poor present themselves outside their neighbourhoods in order to hide themselves from the reality of their situation and to create a new identity. To combat the damaging influences of the stigmatised neighbourhood, the urban poor demonstrate aloofness from the neighbourhood to prevent the associated stigma which can affect their prospects, employment potential, respect, identity and position in the affluent society (Touraine 2000).

### 2.3.2 Presentation of self

“Self-image and community-image are interrelated. Our home is part of our identity. ... We can be stigmatised or celebrated for our address.” (Krase 1979, 252, quoted in Udvarhelyi 2007, 3).

Urban poverty is a harsh truth to live with and it is difficult to accept the stigmatised label attached to oneself. Identity of the urban poor emerges only ‘when the walls of the congested community crack’ and they find themselves face-to-face with the ‘outside world’. This confrontation ruins the former, plain, self-sufficient sense of identity and evokes embarrassment and disorientation to the urban poor’s sense of belonging. The urban poor seek an identity as a fundamental need in relation to the ‘outside world’ (Gould and Paquino 2001; Tamir 1996). The urban poor struggle to re-establish their own identities under the constraints of poverty and socio-cultural factors by presenting themselves as outside of this stigmatised boundary and aiming to develop themselves as individuals (Pacione 2009; Gilbert and Gugler 1992; Turner 1978).

Appearance, attire, and actions are vital factors that define presentation of self, but such representations do not always indicate the right information. Active presentations and conscious interactions present ourselves as similar to those with whom we share identity and different to those with whom we do not (Woodward 2000). Thus, Goffman (2001) explains these interactions:

“...the individual in everyday work settings presents himself and his actions to others, the manner in which he directs and conducts the impression they shape of him, and the sort of things he may and may not do while sustaining his presentation before them.”

As a consequence, to put individuals at ease, efforts have to be taken to design and create a dynamic element which can assist individuals to present themselves in a suitable manner. A physical setting, if thoughtfully designed for genuine needs and parameters can stimulate a series of expected behaviours and not necessarily those embedded in regular human activities by social and psychological determinants (Hillier 2002; Proshansky 1978, 170-171). A physical setting, which can manage a substantial number

of specifications to allow human actions, functions, presentations, interactions and relationships, has to be planned and reasonably constructed.

Herein, sociologist Erving Goffman (2001) captures this concept by stating:

“Architecture can thus provide refuge where the individual can let his hair down.” (Goffman 2001, 159)

By giving a detailed, sensitive record of observations in *‘Presentation of Self in Everyday Life’*, Goffman (2001) explains further about the façade that people present to the world and the attempts to hide the self behind it. The term ‘façade’ here is used to signify the degrees urban poor attempts to penetrate before presenting themselves as distinct from the regular functions performed in everyday routine life. Thus, Goffman (2001) suggests, architecture can be that screen behind which the urban poor can hide, comfort themselves and retire from time to time. However, to achieve their identity and position in the urban social order, the urban poor must acquire an existential foothold, orientate and identify themselves in terms of *‘what and who we are’* (self-identity), in relation to *‘where we are’* (place-identity) (Casey 2009; Norberg-Schulz 1980).

## **2.4 Identity: Self-Identity and Place-Identity**

Edward Casey (2009) has crafted in his *‘Getting Back into Place’*,

“...to place a position of renewed respect by specifying its power to direct and stabilize us, to memorialize and identify us, to tell us who and what we are in terms of where we are...”

Individuals tend to define themselves as ‘who and what they are’ in terms of their deeply rooted relationships with ‘house and home’ or ‘neighbourhood and community’. This unique attachment between the individual and the physical environment reveals information about the nature, appearance, functions and meanings of the individual; thus, reinforcing self-identity and the other related characteristic nurtured by place - place-identity. The urban poor are no different in this respect and attempt to present themselves in a discrete manner outside their physical setting.

Evidently, through the theoretical conceptions, researchers and practitioners have defined identity as having intertwined and interrelated characteristics of the physical environment that mould and outline, to some degree, what individuals do, think and feel (Hauge 2007, Proshansky 1978). Identity is an unconscious, self-fabricating process (Correa 1983). The dynamic process of identity formation commences with the formation of character, behaviour and culture through strong attachment with place or with the place where one belongs. This attachment bestows identity on the individual; identity grows with roots (Erzen 2000, 288).

“We can no longer distinguish neatly between place and personal identity...one’s physical environment is regarded as constitutive of one’s sense of self.” (Casey 2001, 684).

A host of specific categories such as gender, social status, ethnic background, occupation and religion are the requisite and adequate components of self-identities; but it is apparent that these structures are shaped by events, knowledge, relationships and through belonging to a particular physical setting. Like all other complex dimensional structures of self-identity, wide-ranging cognitive characteristics performed in conscious and unconscious states of mind transpire into attitudes, memories, feelings, goals, ideas, values, preferences, thoughts, beliefs, meanings, behaviour tendencies and skills of an individual belonging to a particular place. These are systems of defining and expressing self-identity in relation to the physical environment. Place-identity is the foundation of the self-identity of an individual consisting of largely conceived cognitions about the physical environment in which the individual lives (Proshansky et. al 1983, 62, quoted in Udvarhelyi 2007).

Beyond these theoretical understandings of self-identity and place-identity, it is still difficult to understand the complexity of identity and the positioning of the urban poor in a vast pool of diversity, lifestyle and an ever-changing urban environment. The urban environment is fundamentally a built environment that not only communicates human behaviour and experiences but also moulds and manipulates the behaviour and experiences. The diversity in identities of the urban poor not only distinguishes each individual from what they do, believe, and think, but it also varies according to the

acquired knowledge and experience of place, skills, socio-cultural background and personal/physical setting attachments that influence the place-identity of the person. However, environmental psychologists have explained that with the growth and change of the urban environment, the self-identity and place-identity of the urban poor also transform with the social, cultural and economic changes of the urban social order, shaping former experiences into a whole new one (Dovey 1999, 1984).

Identity is malleable and is never static. Identity presents an interface between the personal and the urban social order that runs parallel to the formulation that place-identity is equivalent to social identity (Hauge 2007; Proshansky 1978). It is a cue that identity is manifested in the built environment. For instance, when a nomad leaves his village in search of work in the city, he tries to accommodate himself in an absolute different place from his village. There is a gradual transformation in his lifestyle and identity. Herein, a gradual loss of culture and identity commences. At first, his home shows a great desire to reconstitute the symbols, images and memories of his former culture in his new environment. By the time he moves a second and third time, and as the city expands and changes, he has to abandon his previous habitat and go with the flow of the city; there now seems to be less of a need to express identity and culture. Thus, he becomes alike fellow urban dwellers (Erzen 2000, 288-291).

Identity formation does not occur in a vacuum, but rather is a process rooted in environment (Bronfenbrenner 1986, cited in Phillips 2007). Understanding identity necessitates understanding the environment in which it occurs to fulfil each well-being aspect of urban poor. Urban poor constitutes a context of well-being (DeHaan and MacDermid 1999, 1996) that manipulates what transpires in and between environment and practices (Phillips 2007). This process eventually exerts a pervasive influence on an individual's identity and development.

Apparently, up til now researchers have limited the dilemma of poverty and well-being to their descriptive assumptions (Jetti 2011). But with current increasing urban changes, it is a requisite to conceptualise, evaluate poverty and measure well-being of the poor. However, in an attempt to explain poverty and assess built environment's effects on the development of urban poor, the research has analysed Phillips and Pittman's (2003)



“Triarchic Model of Poverty” (in section 2.2.3) in which the relationship between socioeconomic status and identity processes, particularly possible effects of poverty on identity formation are discussed. But, the critical link between how poverty is experienced by the urban poor and how the well-being is measured is still unanswered.

Thus, for the process of measuring well-being of the urban poor, this thesis involved an analysis of Sen’s theory on “Capability and Well-being” (1993, cited in Fukuda-Parr 2003). Sen (1999, 18, cited in Jetty 2011) proposed a framework of capability approach for the assessment of an individual’s development in the social arrangement. Capability approach is vastly interdisciplinary in character and can be used to evaluate several aspects of an individual’s development, such as gender biasness, inequality and well-being. Capability approach is not a theory that can explain inequality or well-being; instead, it provides a framework to conceptualise and assess different phenomena (Robeyns 2005). It should be noted that the phenomena under consideration here is ‘well-being’. However, the central characteristics of capability approach considered here, is its focus on the ground that an individual is effectively able to perform and function to achieve well-being; that is on their capabilities. The differences between an individual’s contentment or desire-fulfilment, or on earning, expenses, or consumption; basically, depends on the quality of life the individual is leading. The key distinction is between the means and the ends. Only the ends have fundamental importance, whereas means are influential to reach the target of improved well-being and development (Jetty 2011; Robeyns 2005). For instance, the capability of being healthy is an end in itself, but is also a means to the capability to work.

Accordingly, the well-being of an individual should be conceptualised in terms of capabilities to function; that is, whether the individual is able to achieve literacy, work in formal market, earn proper food for the family; able to avoid criminal activities, is taking part in the community routines, being respected, and so forth. The distinction here is between achievements and options, but ultimately what is important is the capability of an individual to make choices for his well-being (Jetty 2011).

Except in case of the urban poor where this concept of capability in relation to their well-being is intrinsic and directs the focus on the outcomes of their performance. This

fundamental concern raises the questions as whether urban poor are physically fit, whether the infrastructure and basic facilities are present, such as clean water, access to medical services, protection from illness and diseases, availability of educational services, access to government services, security, stability and belonging (Jetti 2011; Sen 1999, 38). It asks whether urban poor have housing entitlements, opinionated participation, and community activities that support and foster social cohesion. Therefore, the well-being outcome of the urban poor is due to the crucial distinction between the development ends (built environment of the urban poor) and the means (built environment aspects/agents of the urban poor) attached to it (as discussed in section 2.2.3 of this chapter).

The capability approach thus encompasses all dimensions of well-being. It focuses on the information required to measure the well-being of an individual. In context of the urban poor, this approach measures well-being through an inclusive and integrated process attached to physical, economic, psychological, socio-cultural, and environmental dimensions of their living (Robeyns 2005). To explain this relationship further, this research adapted a framework prepared by Sakiko Fukuda-Parr (2003, 311) explaining Amartya Sen's theory on well-being and its key features in the table 2.2 below:

<b>Well-being</b>	<b>Well-being structure</b>	<b>Areas of intervention</b>
<b>Concept of well-being</b>	<ul style="list-style-type: none"> <li>▪ Performance</li> <li>▪ Capability</li> </ul>	<ul style="list-style-type: none"> <li>▪ Areas of disadvantage</li> <li>▪ Meeting basic needs</li> <li>▪ Encouraging efficiency</li> </ul>
<b>Evaluative aspects</b>	<ul style="list-style-type: none"> <li>▪ Individual capability and performance</li> <li>▪ Individual and community context</li> <li>▪ Housing and environmental, physical, socio-cultural, psychological and economic factors.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Well-being in terms of housing, proper income, employment, access to government agencies, access to basic social services – health care, schools, vocational training and so on.</li> <li>▪ Development of means for future advancement.</li> </ul>
<b>Evaluative area</b>	<ul style="list-style-type: none"> <li>▪ Individual development context (built environment)</li> <li>▪ Means of change (built environment aspects)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Development of the beneficiary</li> </ul>
<b>Key actions</b>	<ul style="list-style-type: none"> <li>▪ Expanding an individual's opportunity structure.</li> <li>▪ Providing an individual space to perform or display his potentials freely.</li> </ul>	<ul style="list-style-type: none"> <li>▪ To meet key targets – improved housing, early childhood education, reduction in child mortality rates, child care facilities, medical services, skills and training facilities, and employment opportunities.</li> </ul>

**Table 2.2: Framework of well-being**

Source: Jetty (2011); Fukuda-Parr (2003); Sen (1999)

The framework of well-being discussed above is useful to conceptualise and specify the strengths and weaknesses of an individual's well-being. But, it does not close the statistical gap and gives the well-being information as one view's it. However, this well-being framework was combined with the urban poor built environment aspects discussed in section 2.2.3 of this chapter. This combination provided a broader informational space to conceptualise, measure and evaluate poverty, identity, and well-being of the urban poor. Thus, from the understanding of the well-being framework (table 2.2) and built environment aspects of the urban poor (table 2.1), a new analytical framework was stimulated to measure the poverty effects on the identity and well-being of the urban poor. This analytical framework is used as an iterative process in every case study to

audit the redevelopment strategies of the urban poor applied during the case studies and to identify those methodological and rational elements of the case studies that may be responsible for significant variations in the findings.

Although well-being is different for each individual, in general it encompasses a holistic approach focusing on multiple aspects that affect the quality of life. However, for the purpose of this investigative research, the well-being evaluative aspects (obtained from the table 2.2) are broadly classified into: housing and environment, physical, socio-cultural, economical and psychological - to cover the various aspects of the urban poor living. An illustrative framework of the well-being aspects is given below:

#### Housing and environmental well-being

Housing and environment organisations have recently become more aware of the issues that housing and environment possess and are attempting to be responsive and environmentally aware. Many are developing eco-friendly housing projects, but the requirement of the mass population i.e. the urban poor and the feasibility check of these recent housing policies are still lagging behind (Bhatti and Brown 2003; Bhatti et al. 1994). From a critical viewpoint, housing and environment policy agenda is being overwhelmed by recent and new schemes such as the on-going affordability debate, best-value, choice-based settings, housing needs studies, the new economic framework and resource accounting, rent structuring, tenant compacts and the starter homes initiative (see [www.sustainablehomes.co.uk](http://www.sustainablehomes.co.uk)). Even though, authors Brown and Bhatti (2003, 505) have argued that both housing and environmental agendas should be linked and progressed together with social science and well-being concepts of social cohesion, socio-cultural sustenance, and economic opportunities. In addition, there has been a significant amount of research on the relationship between the home and community, but less attention has been given to how people's daily routines in and around the home are rooted in conscious or subconscious dealings with the environment (Bhatti and Church 2001).

Housing and environment are the basic foundation of an individual's well-being. It is embedded within an individual's direct interaction with the physical surroundings.

Housing and environmental well-being reflects our degree of awareness and appreciation of the critical role the environment plays (Washington State University Well-being Report 2012); an understanding that humans are part of the environment and not separate from it; that all human activity impacts the environment and can risk the environment's ability to provide essential services needed to sustain life (Brown and Bhatti 2003). Even so, Priemus (2001) proposes that the narrow focus of housing and environment from tenure and organisational benefits should be reoriented to the functions that interact with human practices, communal approaches, and the built environment. With this view, modifications in the housing policies and practices can certainly impact positively on the well-being of the urban poor by dealing with poverty, improving health, promoting social inclusion, and economic growth.

### Physical well-being

Physical well-being is an indicator of quality of life and capacity of an individual. It is the capacity that facilitates people to support and perform all the functions of life and develop themselves to their greatest potential (Lane 1989, mentioned in Ribova 2000). It is also a condition of physical, psychological, and social well-being, and not merely the absence of an illness. Good health not only includes being strong and feeling well, but also liberty from preventable diseases, a healthy physical environment, and access to basic services and medical care (Global Greenhouse Warming Report 2010). Physical well-being has a strong linkage between human behaviour, socio-economic status, education, clean and safe environment, and social support (Ribova 2000). This close correlation is evident between physical well-being and the urban poor. The urban poor depend on manual labour to earn their living. Improved health, access to medical systems, stamina, flexibility and ability to recognise their own limitations can extensively improve the physical well-being of the urban poor. An improved physical well-being can also enhance self-esteem, security, sense of direction, and psychological well-being.

### Socio-cultural well-being

Socio-cultural well-being is a link between performance and potential to an individual's orientation in the society. It acts like an entity with organising principles of development and has an outcome of social processes (Pretty et al. 2006). As such, a comprehensive view of an individual's world can be understood by assessing both positive and negative behaviours interpreted from the way an individual socialises in the community and maintains or fails to establish social engagements (Pretty et al. 2006; Larson 1993). Nonetheless, socio-cultural well-being can be majorly affected by physical environment, food, income, job status, living conditions, education, and political structures (Larson 1993). Socio-cultural well-being is a process of social change; to gain respect and position in the society, while developing relationships, mutual respect, social cohesion, family relations, and the ability to help oneself and others (Global Greenhouse Warming Report 2010). It refers to the ability to acquire status, skills, education, employment, security, stability, and ability to surpass community differences.

### Economic well-being

Economic well-being has been identified as material well-being measured by income. The connection between income and well-being depends on the flow of income that allows increase in consumption and consumption increases effectiveness (Conceicao and Bandura 2008). It is a standard analysis of economic well-being that an individual's well-being can be measured with an increase in consumption of food, clothing, luxury, housing, and other goods and services. These economic indicators complement the non-economic indicators, such as education, physical well-being, psychological well-being, empowerment, environment, participation, social, security and stability (Sumner 2006). Author McGillivray (2007) advocates that economic well-being is multidimensional and encompasses all aspects of human life. Imbalanced economic well-being can result into negative psychological, environmental, socio-cultural, and physical well-being. An improved economic well-being combined with other factors such as reasonable savings, building on assets, and wise usage of credit can embrace important goals of an individual's life that incorporate finances and thus, will provide the individual with a position, status and access to the opportunity structure.

### Psychological well-being

Psychological well-being plays a crucial role in performing ones potential. It is the core of all paradigms and practices involved in a human action (Pretty et al. 2006). For instance, the stressful life events of urban poor such as, unemployment, crime, discrimination, and poor health; chronic strains such as poverty, job dissatisfaction, and frustrated aspirations; and lack of resources for coping with these stresses are some of the factors that contribute to the low level of psychological well-being among the poor (Patterson 2000; Amato and Zuo 1992). It is the negative impact of poverty and exclusion that affects the performance and potential of urban poor.

Psychological well-being is a state of mind that provides an individual with an understanding to experience strengths, limitations, and guide emotions into healthy behaviours such that it satisfies personal and social purposes. Components like sense of belonging, emotional safety and comfort, and recognition; capability to influence or bring positive change in the community and to oneself; integration and fulfilment of basic needs; shared emotional links; are some of the few factors that can bring psychological well-being (Pretty et. al 2006). Psychological well-being provides capacity to develop relationships in the community, manage economic well-being, contribute effectively towards environment well-being and develop meaningful social capital.

These well-being aspects covers a range of interconnected factors which have significance in specifying practices, procedures, design attributes and other critical factors to ensure the effectiveness of redevelopment strategies. At times, the relationship between each well-being aspect might seem unclear since the well-being aspects can be overlapping or interrelated. For instance, while the approaches of employment contribute to economic wellbeing, socio-cultural well-being and psychological wellbeing can be an independent category. Trewin (2001) suggests that indicators of well-being are effective to map the environment, relationships, identify gaps and best practices. However, this framework was used for guiding principles and practices to achieve and measure the well-being of disadvantaged communities. The above discussion on the well-being aspects is summarised in the table 2.3 below in a more succinct manner targeting the

urban poor. The table is provided with an investigative framework to measure individual and community well-being for case studies.



Individual well-being		Community well-being	
Positive indicators	Negative indicators	Positive indicators	Negative indicators
<b>Housing and environmental well-being</b>			
<ul style="list-style-type: none"> <li>▪ Access to basic services.</li> <li>▪ Proper housing.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lack of basic services.</li> <li>▪ No sewerage and drainage facilities, absence of toilets.</li> <li>▪ Overcrowding, unsafe and hazardous living conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Clean surroundings.</li> <li>▪ Provision of waste collection services and communal bins.</li> <li>▪ Proper construction of road and pathways.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Absence of bins.</li> <li>▪ Water clogging.</li> </ul>
<b>Physical well-being</b>			
<ul style="list-style-type: none"> <li>▪ Good health</li> <li>▪ Safe and secure living conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ High density.</li> <li>▪ Poor living conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Access to health services.</li> <li>▪ Safe, well-lit streets and public places.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lack of health services.</li> <li>▪ High rates of criminal activities.</li> </ul>
<b>Socio-cultural well-being</b>			
<ul style="list-style-type: none"> <li>▪ Access to family support</li> <li>▪ Adequate economic infrastructure</li> <li>▪ Education and training opportunities</li> <li>▪ Employment and economic independence</li> <li>▪ Housing</li> <li>▪ Provision of government welfare services and resources.</li> <li>▪ Fostering social capital</li> </ul>	<ul style="list-style-type: none"> <li>▪ Crime and vandalism</li> <li>▪ Geographical and psychological dislocation from existing socio-cultural networks, family structures, neighbourhood locations and existing ties of education and employment.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Social cohesion in response to state and local mechanisms of community governance and management.</li> <li>▪ Existence of processes to facilitate and maximise community involvement in communal activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ High levels of housing vacancies</li> <li>▪ High incidence of crime</li> <li>▪ Low levels of collective esteem</li> <li>▪ Lack of skills and confidence</li> <li>▪ Low levels of participation.</li> <li>▪ Low levels of literacy.</li> </ul>

<p>transactions</p> <ul style="list-style-type: none"> <li>▪ Building stronger communities: knowledge and skills, volunteering, network and partnerships, community leadership, local solution to local problems</li> <li>▪ Community capacity in finding innovative responses to social issues.</li> </ul>			
<b>Economic well-being</b>			
<ul style="list-style-type: none"> <li>▪ Ability to meet cost of living.</li> <li>▪ Economic independence</li> </ul>	<ul style="list-style-type: none"> <li>▪ Living in poverty.</li> <li>▪ Unable to afford housing and basic services.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Equal distribution of resources.</li> <li>▪ Equal access to services and funding.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lack of access to resources.</li> <li>▪ Lack of affordable housing.</li> </ul>
<b>Psychological well-being</b>			
<ul style="list-style-type: none"> <li>▪ Social interaction</li> <li>▪ Place bonding and attachment</li> <li>▪ Social capital and sense of community and place.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Lack of community ties.</li> <li>▪ Sense of loss of place.</li> <li>▪ Dislocation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Social cohesion</li> <li>▪ Willingness and capacity to engage in acts of reciprocity</li> <li>▪ Sharing to build social capital.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Widespread alienation</li> <li>▪ Community disintegration</li> </ul>

**Table 2.3: Indicators of well-being**

Source: Walker et al. (2007)

The table 2.3 above gives a perspective and checklist to audit the case studies for redevelopment approaches applied for identity renewal of the urban poor. Herein, the evaluative items of the built environment were assessed on the basis of whether they have impacted and fulfilled these well-being aspects of the urban poor.

Serious contemplation on these evaluating items/issues and action can bring stability to the identity of the urban poor and can help to strengthen their socio-cultural characteristics. The most logical way can be by creating an environment in which an individual can express self-identity and secure well-being. It is the creation of a place to belong, home, that suits and matches the identity of the inhabitant. Designing a physical setting based on the needs of the urban poor can transform the living conditions and socio-cultural attributes of the poor. Conscious redesigning/redevelopment efforts and involving action in the creation of knowledge has the potential of facilitating positive change (Udvarhelyi 2007). Perhaps redesigning/redevelopment of the urban poor communities could be one of the various solutions to bestow the urban poor with a renewed identity comprising of self-esteem, self-efficacy and belonging. Drawing on the discussion on evaluating items of the built environment and the well-being aspects, this investigative research examines the redevelopment strategies implemented in each case study and further considers the proposition of crafting an identity renewal model for the urban poor.

## **2.5 Approaches of identity renewal**

Discussions regarding identity renewal often refer to a process by which individuals adopt a culture or a physical setting which is entirely new to them. While the term 'renewal' is usually used to indicate the restoration of a thing to its previous condition or to look new, here the indication is to the social structure of a society. Society presents the individual with a range of social options and with the means for evaluating them. Self-determination, autonomy, ability of critical reflection and choice are essential features of this notion, but so are social relationships. The idea combines individuality with sociability as two equally genuine and important features of identity renewal, indicating – rootedness (Gould and Paquino 2001; Tamir 1996).

For the urban poor, this rootedness comes from ‘home’. Levinas (1969) has described home as a place,

“...from where the world is created and from where one relates to the world. Without a home the world ceases to exist in a mattering way.”

The urban poor live intimately in a well-knit community enjoying social and cultural bonding with their fellow urban dwellers. It is from this place that the urban poor derive psychological, socio-cultural and emotive meanings. Equivalent to their home, they consider the neighbourhood to be a secure base for themselves and their families. Here identities are created and an individual feels confident, stable and is able to put his roots down (Easthope 2004, 134 - 135; Rose 1990). It is this place that the urban poor wish for and attempt to create every single time they are displaced. But the repeated relocation and loss of home and identity induces alienation and indifference in the urban poor. Subsequently, their homes and surroundings do not display any touches of their background. Throughout, the physical setting develops into a uniform landscape.

One such instance is shared by Jale Erzen (2000, 291-294) in the *‘Aesthetics of the Placeless’* wherein she elaborates on how the urban poor accommodate themselves in a new setting attempting to create a repetition of their home-image; trying to dress-up their surroundings in a similar fashion to that of their village and seeking to re-establish similar social patterns and socially close communities. A hierarchy of streets takes shape giving a crude form to the settlement and emerging according to the proximity to the city traffic. The urban poor continue to live in a cocoon of their former selves instead of integrating with the external society and exposing themselves to another’s culture, education, traditions and economy. As the urban poor are repeatedly uprooted, they lose their confidence and are afraid to claim a place and stretch out into the environment. Their habitat shows no trace of their lives and desires; the landscape becomes standardise.

It is easy to deduce that stability, security, ownership and belonging can definitely empower and bestow the urban poor with a renewed identity. Psychologists Gailliot and Baumeister (2007, 327-345) have proven in their study that stability, security, ownership

and belonging respond strongly to well-being, self-esteem, and to inclusion and exclusion of an individual to a group or community. Development of the home and the built environment of the urban poor can have a significant impact on their identity providing the urban poor with stability, security, ownership and belonging. Housing and the physical environment are the most visible output where progress, involvement, expansion and enhancement can not only be seen but also felt, and are perceived as the channels to identity recreation. But it is unlikely that development of the physical environment alone can alter the urban social fabric so as to eliminate stigma, crime, apathy and other redundant actions (Newman 2006).

Psychologists Gailliot and Baumeister (2007, 327-345) have demonstrated in their work that people with higher self-esteem have stronger social ties and they try to maintain their social acceptance by shaping up their presentation, cognition and behaviour. Similarly, if this concept of combining the four aspects of stability, security, ownership and belonging is applied for the development of the urban poor, the identity of the urban poor can be renewed, comprising of individuality and sociability. For urban poor these aspects can be achieved through the development of identity contributors. The evaluating items of the built environment for urban poor (discussed in table 2.1 - housing and environment, learning and employment, crime and safety, health and well-being, and pride and participation), are interlinked to the identity substructure of well-being – housing and environment, physical, socio-cultural, economic and psychological (discussed in table 2.3). Acting upon these evaluating items will help urban poor to overcome their poverty and the stigma attached to it, thus enabling them to preserve and maintain their well-being. Social advancement, improving access to credit, land and shelter, adequate housing, and employment stability, could be those few intrinsic components of poverty alleviation and identity renewal. These would encourage and enable the urban poor to participate in the renewal activities of their neighbourhood, creating a sense of belonging, ownership and self-esteem (Jain 2009).

But, these literature and philosophical concepts cannot entirely fulfil the rapidly increasing stress and strain of the social fabric. To address the situation and deliver the approaches of identity renewal discussed in the above paragraph, methodical study,

observation and analysis of the action-based projects for the upgrading of the urban poor is required. Globally, many national, state and city government and non-government bodies have attempted to resolve the problems of the urban poor by undertaking alternative routes to redevelopment. Their main intention was to rebuild the existing disadvantaged neighbourhoods by connecting them to the social, physical and service structure of the formal city (Community driven development in urban upgrading 2004).

Cases of these attempted practices of redevelopment are discussed at length in Chapter 4 'Case Studies' by concentrating on the upgrading of the built environment of the urban poor, and also by focusing on the strategies applied empowering the urban poor. These strategies will be measured and analysed for future redevelopment work on the basis of the qualitative and quantitative data collected. These data collection methods will be discussed in detail in the next chapter 'Research Methodology'.

In conclusion, this chapter on research background, shaped by the literature review has increased the scope of knowledge on the subject of self-identity and place-identity. It also demonstrates the interrelated dimensional structures of the urban poor, their physical settings and its influences on identity. In order to examine the redevelopment strategies of the urban poor applied in the case studies, it also presents an analytical framework consisting of evaluative items of the built environment and identity substructure of well-being aspects applicable to nexus between the urban poor, their built environment and their identities.

## Chapter 3

# RESEARCH METHODOLOGY

### 3.1 Introduction

The aim of this chapter is to describe the methodology of the research. The research methodology details the techniques used to analyse and measure the impacts of the built environment on the identity of the urban poor. The study combines both qualitative and quantitative techniques. Qualitative and quantitative data is incorporated throughout the research to authenticate the project findings.

### 3.2 Qualitative research method

Qualitative research method was used in the research to ascertain the impacts of built environment and poor living standards on the identity of the urban poor. The data was acquired through literature review, field visits, observations, discussions and semi-structured interviews with the stakeholders. The use of this method facilitated the collection of a wide range of stakeholder perceptions engaged in the redevelopment programs. The analysis led to recognition of various features of the renewal work, its impact, factors that could be altered and its success as a whole for the well-being of the urban poor.

The methods selected for research were based on the principles and guidelines of Ethics Form C (Application for Approval of Research with Low Risk, Curtin University of Technology), which advocate taking a rational and morally enhanced approach, and being thoughtful of the cultures and traditions of the residents of the neighbourhoods. The aim was to undergo the protocol of engagement only with the stakeholders – government bodies, non-government bodies and local bodies. The approach of questioning and developing a good rapport with the stakeholders of the program was deemed to be essential to obtain a clear understanding of the project through the knowledge and experiences resulting from different perspectives. This was done by dialogue exchange using semi-structured interviews, emails, and photographs, which helped in outlining an investigative framework and pattern. Focus was on to the

approaches of identity renewal and the evidences of success and failures generated during the discussions and through documented reviews of residents' experiences and participation. Case studies and instances providing descriptive analysis were incorporated to enhance the research structure and substance of qualitative research method, to amplify the implications and to facilitate an understanding of the background and the endeavours of the urban poor.

A series of evaluating items, as recognised in the urban poor settings; approaches of identity renewal as undertaken by the project stakeholders and the evidences of the project's successes and failures were examined in each case study to update the field work analysis and to provide for future improvements of urban renewal programs. Data collected from discussions and informal interviews with the stakeholders and from documented reviews responded to a reasonable investigation of qualitative data method into patterns that derived evaluating items for the research. This data collection method developed from different sources was used especially for qualitative data and simultaneously could be altered for quantitative data. This qualitative research method played a genuine role of recording the experiences of the disadvantaged groups when interpreting the participation and contribution of the local residents at all stages of the research project.

### **3.3 Information collection process**

The information collection process focused on the aims and objectives of the research by integrating the theoretical and empirical research to address the research question. This information collection process helped in refining and expanding the scope of understanding towards research by assisting in listing the selection criteria for the case studies.

#### **3.3.1 Literature review**

The study explored theoretical, exemplary and disciplinary literature to examine the key areas of research - identity, built environment and the urban poor. This investigation led to the disclosure of theories related to social housing and urban theory (Turner; Davis), collaborative planning (Healey), social and environment psychology (Proshansky),



sociology (Goffman), sociology of globalisation (Sassen) and policy analysis. The literature study (generated from texts, publications, journals, desktop review, research reports and policy documents) provided a skeleton structure to bridge the gaps between the general hypotheses regarding the condition of the urban poor, their physical settings, social structure and cultural practices, their identity issues and presentation of the self, relationship between identity and built environment, and urban renewal goals - and strategies for transformation.

This literature review laid the foundation for the fieldwork and assisted in designing a criterion to select case studies, to measure them, to critically evaluate, to examine and to develop items for evaluation for the well-being of the urban poor at a broader level.

#### Outlining the selection criteria for the case studies

Theoretical investigation into the key areas of research helped in realigning the concepts and gave a better understanding of the research goals and objectives. This study further enabled the selection criteria of the case study projects to be outlined, the questions to be framed, and allowed for an interpretative analysis.

The purpose of the research was to explore best practice examples in development strategies for the urban poor. The criterion of selection for case studies was not bounded by specific regions or countries. Instead the selection of case studies was wide-ranging - from the developed and developing worlds. Although the contexts are totally different, with a view to redevelopment approaches in the developed and developing worlds, the research attempted to find some common ground where synergies are visible for future improvement works, globally. The challenge was to create a model by adopting redevelopment strategies from developed and developing countries case studies. The idea was to ensure that the exchange of knowledge and combination of strategies are applicable globally. Six case studies were selected for the research because six were deemed to be the appropriate number of cases to help understand, compare and analyse. Two sites were selected for field visits because of time constraints and the remaining four were studied from literature and desktop review. All case studies were placed on the

same page for examination, even though three were from developing countries and three examples belong to developed countries.

The case studies were selected on the basis of their position within the methods of planning procedures that adapted existing urban structures, wastelands, sites with no functions, accepted new negotiation patterns with the residents of the community, acknowledged the role of state and public-private partnership and has/had a longer term planning perspective. The selection criteria engaged case studies with design approaches that considered the financial condition of the residents, their socio-cultural background as well as the physical geography of the region. Moreover, long term projects such as these, which are not glued to standard and customary programs and sets of rules, can confront the uncertainty of conditions and are flexible enough to mould the program to the given circumstances for the good of the residents.

### **3.3.2 Literature case studies**

The search of literature case studies was undertaken immediately after the theoretical investigation to gauge neighbourhood perception, document signs of change and to recognise major issues associated with urban renewal programs. Although the literature case studies only show the bright side of the transformation in an urban poor setting and always speak from the author's point of view, the information is not always reliable and the data is limited and primitive, this can nevertheless only help to clear the perspectives on and the perceptions of the communities and their issues. Literature case studies conjured an image of urban poor landscapes and made it easier to confront the physical, economic and socio-cultural settings of the urban poor during field visits. This strengthened the basis to compile and frame the questionnaire for the stakeholders. Moreover, literature case studies enlightened and un-complicated the process of searching for the elements in the surroundings making it easier to understand the urban signatures that require redesigning.

The literature case studies selected were award-winning examples of urban renewal. The four literature case studies are:

- **Sustainable Urban Development Project, Curitiba, Brazil**

The collaboration between Curitiba's government and public sector has given an effective and operational example that illustrates a diverse range of citizen entrepreneurship, boosts to ecological integration, and the channelling of the potential abilities of the people to build an efficient city with visionary solutions. Several experts, the media and, international development agencies, including the United Nations, have acclaimed the intelligent urban planning of Curitiba as a paradigm for other cities and have put the city at the forefront as an example for initiating liveable cities (Moore 2007).

- **Ahmedabad Slum Networking Program, Ahmedabad, India**

The Ahmedabad Slum Networking Program (ASNP), also known as *Parivartan* (meaning 'transformation') has been recognised as the best practice example world-wide in the area of shelter for the urban poor. ASNP has been recognised with the 2006 Dubai International Award for Habitat Projects to improve the living environment and has been featured in numerous studies on innovative approaches of urban housing and micro-finance in developing countries. The design and planning of ASNP incorporates several financial and institutional innovations for a retrospective review of its implementation proving mixed results (Anand 2007).

- **Slum Improvement Program, Khulna, Bangladesh**

Slum Improvement Program (SIP) has been revolutionary in providing assistance to the slum dwellers in Bangladesh. To acknowledge and credit SIP, the Habitat II Conference has recognised SIP as a 'best practice' model in slum upgrading in Bangladesh (Shamsad and Shamsad 2004)

- **New North Program, Girrawheen, Australia**

The New North program, a component of the New Living Program has been successful in enhancing and improving the social image of the public housing areas in the disadvantaged communities and hence has received a couple of awards and industrial recognition – Urban Development Institute of Australia (UDIA) Awards for Excellence

from 1998 to 2001 and 2006; Royal Australian Planning Institute (RAPI) Awards for Excellence in 2000; the World Habitat Award in 1999; International Real Estate Federation Awards in 1997; and Australian Crime and Violence Prevention Awards in 2003 (Stapleton 2009).

These case studies are discussed in detail in Chapter 4, and their outcomes are elaborated in Chapter 5.

### **3.3.3 Field visit case studies**

The case studies selected for field visits are award winning examples from the developing and developed country. The two selected field visit case studies are:

- **Ramdev Pir Tekro Development Project, Ahmedabad, India**

The selection of the Ramdev Pir Tekro development project as a case study for analysis is based on the fact that this community activity centre project has won seven international as well as one national award for its aesthetics (design), creative use of construction material (engineering) and its response to environmental concerns (sustainability). The activity centre has provided an effective role model that proves cost is not a constraint but rather a creative challenge (Trivedi and Tiwari 2010; World Architecture Community (WAC), media release 2009). It was noted that the key aspects of the development project that led to its success were related to the adoption of participatory planning approaches by the project.

- **Victoria Neighbourhood Renewal, Victoria, Australia**

The Housing and Community Building Division of the Department of Human Services, Victoria managed and directed Neighbourhood Renewal to integrate community reinforcement, place management, and joined-up government with a collective investment plan to accomplish the ‘Growing Victoria Together’ with the aim of fostering more cohesive communities and reducing inequalities. Unlike standard repetitive public policies, Neighbourhood Renewal developed a holistic approach and combined responses and answers to the multifaceted problem of poverty and social segregation. This particular initiative has brought together the resources and ideas of the community,

central government, local government, and private sectors in a whole-of-government and inter-sectoral collaboration (Klein 2005).

These field visits were undertaken with the help of the stakeholders – Manav Sadhana, a non-governmental body in India and the Department of Housing, Victoria, in Australia - who were also involved in the project. The field work was undertaken after the literature review in order to take into account the directions and implications suggested therein. The literature case studies explained the conditions and needs of the urban poor from the ‘actors’ perspective, thus the field visits had the benefits of being able to witness the process and the outcomes, which consist of both qualitative and quantitative data. The field visit was undertaken to satisfy the tenets of the case studies and to do justice to the selected urban renewal programs by understanding, describing and explaining them. This is detailed in Chapter 4.

Below are the three methods performed to collect data from field case studies:

#### Observation and analysis

Direct observation during field visits was employed to collect informal data or to measure and document behaviour of the local residents. Aim was to accomplish and understand various aspects of the lives of the urban poor by observing and, to a degree participating in the daily activities of the community. The observation took place in the local settings and the researcher tried to understand the ordinary life of the ‘insider’, while inevitably being an ‘outsider’.

Author Reema Nanavaty (2007) believes that, to understand urban poverty, one has to accept poverty voluntarily. Unless we experience what it means to be poor ourselves, it will be difficult to understand the lives and working conditions of the urban poor. Therefore, it is important to get out of our own sphere and broaden the perspective by the revelation of all aspects of poverty. It is vital to assess the impact of poverty on the life and work of the poor by understanding it. This in turn helped to realign the goals and priorities in order to respond swiftly to the situation and the needs of the poor.

Data obtained from the observation study was also useful for analysis and for gaining an awareness of the physical settings, socio-cultural aspects, and economic background in which the urban poor live; this included the existing relationships between the local people, and their circumstances, ideas, customs and events. Photographs were used as one of the source to collect data during observation study.

It was ensured not to behave obtrusively with the local people or be prejudiced towards the surroundings; it was important, therefore, to follow the ethical guidelines. This qualitative data collection method has an enhanced reliability and gives a human experience to the understanding of the breadth and complexities of the lives of the urban poor.

#### Exposure, reflection and dialogue with the stakeholders

The neighbourhood field visits to Ahmedabad, India and Victoria, Australia were successful due to the help and active participation of the NGO SEWA, in India and the Department of Housing, Victoria, in Australia. These stakeholders made the conditions easier and more flexible while field visits.

Dialogue with the stakeholders of the urban renewal programs visited for study – Ramdev Pir Tekro, Ahmedabad, India and Victoria Neighbourhood Renewal, Victoria, Australia - was undertaken for information and for exchange of ideas. Prior appointments were made to meet the professionals of the programs depending on their preferences and availability. An overview of the research with working title, aims, research objectives, research questions, the purpose of the case study, and field procedures were appropriately communicated with the authority of the organisation, keeping in mind the research protocols and the ethics guidelines.

While no formal interviews were conducted with the stakeholders, informal and detailed discussions were held with them. The dialogues exchanged were depending on the profession of stakeholders and the case study under consideration. The questionnaires designed were ‘closed-ended’ questions as they are easy and quick to answer. The fact that the professionals and practitioners have busy schedules contributed to the choice of the questionnaire design. Despite this the total number of replies to the questionnaires

was smaller than expected. The responses also potentially influenced the data as the only respondents were senior representatives of the organisations who generally provided positive responses regarding their organisation's aims and outcomes, and the overall project. Moreover, as these representatives belonged to diverse organizations and backgrounds, their ways of perceiving things varied. However, the critical evaluation here was targeted at the specifics of quantitative information and not the analytical generality of the case studies.

The conclusion of the field visit case studies was not only drawn from the discussion with the stakeholders and their completed questionnaires; it is known that an individual case study consists of a 'whole' study in which information is assembled from several resources and inferences are based on data from a wide range of sources. Archival documents, demographic reports, previous survey reports and other secondary publications on the case study have been used for additional quantitative and qualitative information and to verify the discussion.

#### Email questionnaires

The stakeholders and professionals from the NGO SEWA, India and from the Department of Housing of Victoria, in Australia who were unavailable for meetings were later requested to contribute their views and beliefs through email questionnaires. These included government bodies, non-government bodies, local and community organisations, architects, designers, planners and volunteers. Along with the questionnaires, an overview of the research with working title, aims, research objectives, research questions, the purpose of the case study, and field procedures were appropriately communicated, keeping in mind the research protocols and the ethics guidelines. The questionnaires designed for email were 'open-ended' questions, such that the respondents could express their opinions and add new information to support their answers. As email questionnaires provided more time and space for the individual to contemplate and reflect on the questions, the responses received were of high quality and as per the schedule. Moreover, until a certain period, frequent dialogues were exchanged with the representatives of the organisations and with the email respondents.

This exchange of dialogues through emails was very helpful at the time of the analysis of the answers from the informal dialogue and questionnaires.

Specific details of the questionnaires are provided below and sample questionnaires are provided in the appendix:

#### *Government organisation respondents*

Government organisation respondents were individuals who occupied higher positions and were responsible for making decisions about the site; these decisions concerned – off-site management, planning, organising, approving policies and guidelines, and monitoring and evaluating work in progress. These officials were questioned about the planning and designing effects on the residents of the neighbourhood. They were also asked their opinions on the guidelines, practices, approaches and methodologies adopted for the renewal programs. The basic question that was asked to the respondent groups was how they would distinguish their efforts in their particular program for renewing the identity of the urban poor.

#### *Other stakeholder respondents*

Other stakeholder respondents were those individuals involved with the residents on the site, depending on their area of expertise. These individuals belonged to non-governmental bodies, local bodies or were from different departments employed by government organisations such as - housing, health, social services, security services, employment providers, trainers, education providers, etc. As these respondents worked in close partnership with the residents, their interpretations of the positives and negatives of the program were more authentic than those of the government respondents.

### **3.4 Data analysis**

Data was analysed to test the success and applicability of the approaches of identity renewal. This method aided the research study in achieving the answers to the research questions and understanding the limitations related to the - physical settings, socio-cultural issues, and the emotional and economic factors - to the wellbeing of the urban poor. The analysis was used to measure the effects of the case study programs on the



identity and welfare of the urban poor. In addition, data analysis was an effective method to evaluate the findings obtained from qualitative and quantitative data verifying the achievement of research aims and objectives.

The qualitative data analysis was used to authenticate the information and details obtained from the case studies of urban renewal programs by following their procedures, strategies and outcomes through observation, exposure, reflection, and dialogue with the stakeholders. The intricacies and diversity of issues of the urban poor were also considered for analysis. The data analysis results were utilised to interpret the various assumptions made about the urban poor concerning - their physical settings, living conditions, identity, presentation of self, socio-cultural aspects and economic wellbeing. The results were also utilised to provide urban renewal strategies specifically: working patterns; community involvement and welfare; policies for improving built environment; addressing social lifestyle; generating employment opportunities and education facilities.

The quantitative data analysis was used to measure the effects and changes of the urban renewal programs on the identity and wellbeing of the urban poor. These measures were collated with the qualitative data in relation to the characteristics of disadvantage namely: population density; housing; income; security; health services; basic facilities; education and transport, in order to examine the trends and variations of the positives and negatives of the urban poor's conditions. Quantitative data analysis was used as a baseline to record the evaluating items of the built environment, approaches of identity renewal and evidences of success and failures from all the case studies. It was also used to identify designs and redevelopment strategies for comparison and the extent to which they might be applicable. These findings are detailed in Chapter 5.

## Chapter 4

### CASE STUDIES

#### 4.1 Introduction

This chapter on ‘case studies’ undertaken during the study presents the proposed strategies of research focused on improving the identity of the urban poor by measuring and analysing the impacts of the built environment on their identity and further examines this for its success. The chapter examines the potential measures undertaken to overcome the various issues of poor such as the identity substructure of housing and environment, socio-cultural, physical, psychological, and economic conditions that prevails over their stigmatised identity linked to their built environment. This chapter thus also explores redevelopment approaches used in diverse projects to create a dialogue between identity and built environment. It concludes with a discussion on potential answers to the research questions - whether a redesigned and redeveloped environment can socially empower the urban poor, and, if so, what redevelopment strategies and approaches can be adopted to re-create identity and remove the stigma attached to the urban poor?

The outcome of this chapter forms a framework of redevelopment strategies, assessed using the analytical framework of the built environment (table 2.1) and well-being aspects (table 2.2). This process helps to identify the key aspect of the built environment that has the maximum impact on identity renewal. A list of best practices and gaps of each case study were prepared for future urban renewal works. Redesign and redevelopment strategies of built environment for the urban poor are the emphasis of this research; all case studies were positioned in accordance with the research ethics and methodologies. Thus limited or no reference to personal communication with any individual will be provided in the chapter.

#### 4.2 Comprehensive description of the literature case studies

Individual case studies selected from the literature and desktop reviews are discussed here in detail in the order of the size of the project (from macro to micro scale) depending on their diverse structures and functions. Noticeably, these cases share the

commonalities of collaboration, resident interaction and discourse with different stakeholders, concentration on the issues of public importance or policy. They engage collective actions of various kinds like skills training, education and employment opportunities, and small credit loans to fulfil the project requirements. The case studies selected not only focus on the built environment improvement strategies, but also include the economical, physical, socio-cultural and psychological approaches that revolve around the empowerment of the urban poor. The intent was to continue the search for redevelopment approaches that de-stigmatise the identity of the urban poor by responding to the housing and environment, physical, economical, psychological and socio-cultural issues of the urban poor. A detailed definite format has been followed for each case study, starting from the discussion of the initiatives of the projects, followed by its outcomes. The discussion is then summarised in a table with a layout replicated in each case study, except with few minor modifications in case study 4.2.1, for the reason of the vast scale of the project. The layout of the table is given below:

<b>Issues identified in the project</b>	<b>Actions and approaches</b>	<b>Results achieved</b>	<b>Wider impact of the project</b>	<b>Well-being aspects</b>
<b>1. Project initiative:</b>				

**Table 4.1: Layout of the case study analysis table**

The above table illustrates the initiatives of the case study projects and the approaches taken to resolve its issues. Thus the first column of the table lists the issues identified in the projects followed by the actions and approaches implemented to resolve them. The third column lists in brief the outcome of these approaches, studied and analysed from the qualitative and quantitative data. The table also discusses the impacts of redevelopment strategies on a wider level, empowering individuals, the community and the mainstream. This table seeks to compile and compress the entire case study, thereby simplifying the results into one single spreadsheet by listing the redevelopment strategies that align with the built environment aspects impacting the well-being of the urban poor. Each redevelopment strategy is assessed in relation to its impact on housing and

environment, socio-cultural, economic, physical and psychological well-being leading to identity renewal.

Since the aim of undertaking the case study is to explore approaches, principles and redevelopment strategies of identity renewal, the table discussed above only focuses on the initiatives that have targeted the residents in the process of redevelopment. A further assessment of these initiatives based on the table 4.1 will be implemented to identify the key aspects of the built environment that have the maximum impact on identity renewal. This assessment aimed to explore the relationship between identity and built environment. The layout of assessment table 4.2 given below has been replicated in every case study, except with few alterations in case study 4.2.1:

Evaluating items for built environment	Measuring aspects of identity				
	Environmental well-being	Physical well-being	Socio-cultural well-being	Economic well-being	Psychological well-being
Environment and housing					
Learning and employment					
Crime and safety					
Health and well-being					
Pride and participation					
Government responsive					

**Table 4.2: Layout of the assessment table**

The assessment obtained from table 4.2 proved to be vital in the formation of identity renewal model for the urban poor. Subsequently, the case studies were critically analysed for its best practices and gaps. The data, theory and techniques obtained from this entire process will contribute to existing knowledge base thereby assisting practitioners and professionals with new strategies for future urban renewal programs.

#### **4.2.1 Sustainable Urban Development, Curitiba, Brazil**

The profile and scale of the Curitiba case study is very distinct and substantial in size, as compared to the other case studies. However, as the research was looking for urban renewal examples from all over the world, it was worthwhile to incorporate the study of Curitiba into the research in order to learn from the planning, design and implementation process for the physical, socio-cultural, economic and environmental development of the city and its people. As Curitiba is an international model for sustainable urban development and a fine example of urban renewal, the research has achieved significant outcomes through the study of it.

The research limited itself, however, for reasons of the vast scale of the Curitiba city renewal project to certain imperative areas for examination and analysis, sidelining the components unimportant for the research findings.

##### Project description – Sustainable Urban Development Program, Curitiba, Brazil

The burgeoning population of Curitiba has multiplied by four times in the past 50 years. The explosive growth of the urban population in Curitiba intensified from 300, 000 in 1950 to 1.5 million in 1990, making it the fastest growing city in Brazil (The Development Company of Curitiba 2007; Mang 2006; Macedo 2004). At the same time, Curitiba has faced the problem of many third world cities - unwanted migration from rural areas and nearby states of people enticed by the economy and life in the city. Comparable to Sao Paulo, Curitiba has a major share of slums and shanty towns spread over the city centre and edges. With approximately 1,700 people migrating every month (Mang 2009; Pierce 2000), this has resulted in overcrowding, poverty, crime, unemployment, illiteracy, environmental degradation, inequality, and poor living conditions.

Despite all of the physical, socio-cultural, economic and environmental issues, Curitiba has sustained itself without falling into the urban chaos of other third world cities (Mang 2009; O'Meara 1998). Curitiba has overcome these problems in various unique, creative, uncomplicated and economical ways, affording enhanced living conditions and a sense of community within the inhabitants of Curitiba (Moore 2007). The process of

transformation was not simple. When Curitiba's transformation process was launched, it was considered irrational for reasons of the scale of the project and the high expectations to complete it (Rabinovitch 1992); but over time the design strategies and asset-based community development programs proved themselves to be remarkably successful. Although the city proceeded with a bleak economy, within about three decades, the city had changed its profile and had accomplished a high community spirit with better levels of education, human health and welfare, environmental preservation, public safety, people's participation, and political cooperation (Mang 2009; Hawken et. al 1999).

The initiative for change was undertaken by the local government, Curitiba Research and Urban Planning Institute (IPPUC), launched by the municipal authority with a need to direct and control the growth of the city. Investigations were commenced by IPPUC through development schemes for the integrated planning of the Curitiba municipal region; this helped generate an influential environment for the people involved in the implementation process and provided a foothold for the continuity of the project at a regional, state and national level (Moore 2007). Jamie Lerner, the president of IPPUC, city planner and mayor of Curitiba for 25 years, played a key role in the success of Curitiba; he considerably increased the powers and responsibilities of IPPUC, thus putting into action three elements identified as important for the development of Curitiba:

- the rationalisation of the integrated transport system,
- the development of the road network system, and
- the changes and improvement in land use patterns that allowed environmental protection and the delivery of socio-cultural services to the citizens (Mang 2006; MacLeod 2002).

These initiatives were further subdivided into:

- the bus-centred public transport system
- the industrial city
- the management and recycling of solid and liquid wastes

- the preservation of architectural heritage, expansion of parks and the protection of green areas
- the introduction of social services and environmental education.

As mentioned earlier, for this case study the research discusses the last three initiatives only as they align to the objectives of this research.

### Project initiatives and approaches

In a city that is constantly growing and changing, the IPPUC has a presence of permanency throughout Curitiba's transformation (Pierce 2000). The leadership and good management of the IPPUC have triggered a flow of interconnected, interactive, and evolving solutions – mostly formulated and implemented through the collaboration of private organisations, non-governmental organisations, municipal agencies, utilities, community groups, neighbourhood associations, and individual citizens. Curitiba pioneered and encouraged entrepreneurial solutions (Hawken, et al. 1999, 290). Together with the essence of 'responsible IPPUC governance and vital entrepreneurship' (Moore 2007; Hawken, et al. 1999), Curitiba has been the on-going centre for creating many of the contemporary and innovative design ideas. The initiative of IPPUC of encouraging entrepreneurship has led to "measurably improved levels of democratic participation" and has provided an innovative mark in urban renewal approaches (Hawken et al. 1999, 382). Curitiba's planning strategy has always focused on positioning people first (Lerner 2003); the effects and changes are evident in all characteristics of the city. Examining the initiatives and approaches of individual projects is the key to highlighting the improvements and implementation techniques of the city-wide system. In order to understand and discuss the outcomes of the initiatives and approaches of Curitiba, each initiative is discussed individually.

### *Management and recycling of solid and liquid wastes*

With a population of approximately 2.4 million (Mang 2006), Curitiba produced one thousand tonnes of garbage each day, of which three quarters was generated within the city itself with the rest coming from thirteen neighbouring municipalities (MacLeod 2002; Kroll 1999). To control the accumulation of garbage causing environmental

degradation, Jamie Lerner launched two waste management programs in 1989; the success of these programs was acknowledged by an award from the United Nations Environment Program in 1990.

The first, a recycling program called - “Garbage that is not garbage” - was put forth to encourage the city residents to separate recyclable and non-recyclable garbage for recycling and collection purposes. Every week a garbage collection truck was sent to collect the materials separated by each household. More than seventy per cent of the community participated in the program, resulting in the recycling of two-thirds of the city’s garbage - that is over one hundred tonnes daily (Vidal-Hallett and Hallett 2008; Fraser 2006). The recycling industry of Curitiba saved approximately twelve hundred trees a day (MacLeod 2002, 4). The success of the program was largely due to the environmental educational programs conducted to create awareness and to highlight the benefits of recycling in the communities. Apart from environmental advantages gained by the program, the revenue earned through the sale of the recyclable garbage was put to use for local social programs. Moreover, the city authorities also provided jobs in the garbage separation plants to the homeless and to people recovering from alcoholism (Fraser 2006).

The second solid waste management program started by Jamie Lerner was called - “Purchase of garbage”. This particular program, especially designed for the urban poor communities, was delivered to 10 to 15 per cent of the total population of the city (Macedo 2004; Basiago 1999), who were settled at its edges where there was no municipal service available to collect garbage due to a lack of adequate access roads. In addition to this a lack of understanding in basic hygiene meant that the urban poor dumped their garbage in open air pits and on vacant lands, thus increasing the risk to health and well-being. However, to assist the communities to deal with these problems, Lerner introduced this particular program where the urban poor were asked to sell their garbage bags in return for bus tickets, agricultural products or dairy products (Fraser 2006; Wermus 2005; Kroll 2002). This resulted in a large decrease in the amount of debris and enhanced the well-being of the urban poor. The provision of bus tickets and food in return for garbage was equivalent to the cost the city authorities were paying to



the private companies for garbage collection (Rabinovitch 1992). More and more communities and households started to get involved in the program, resulting in success with the participation of fifty-two communities and more than 22, 000 families (Mang 2006; MacLeod 2002).

These programs not only assisted in environmental preservation, preventing the garbage from being dumped in rivers, forests, valleys and open lands, but also educated the residents of the city about health, hygiene, well-being and environmental protection (Wermus 2005, 2). The infant mortality rate was substantially decreased with the expenditure on medicines. In addition, the democratic participation of the city residents from both formal and informal settlements gave them self-esteem and a sense of belonging towards their community and city.

*Expansion of parks and protection of green areas*

The planning and design approaches of Curitiba incorporated several techniques and adopted multiple strategies to tackle environmental, social and economic issues of the people of Curitiba together. Each component of design was interlinked with another for the betterment of the society. One such initiative was the preservation of green spaces.

When Lerner attained the position of president of IPPUC in 1971, there was only one park in downtown of Curitiba, the *Passeio Publico*. By 1992, ‘Curitiba laid pride in the green space available per citizen in the city – fifty-one square metres in 2006 – four times the World Health Organization’s minimum recommendation’ (Vidal-Hallett and Hallett 2008; Wermus 2005; Kroll 1999; Boles 1992). In 1992, Curitiba was positioned as the ecological capital of Brazil with twenty-eight parks and wooded areas (The Development Company of Curitiba 2007; Curitiba’s Ecological Indicators 2006; MacLeod 2002; Kroll 2002; Moore 1994).

The city authorities took various measures to encourage green spaces by creating ‘green zones’, developing a botanical garden (images 5 below) and passing laws to discourage the cutting of trees while mandating that two trees must be planted for each one cut down (Basiago 1999). The municipal authorities also initiated many programs to encourage community responsibility to preserve and protect the environment and green

spaces. The *Guarda Verde* (the ‘green guard’ – a municipal corporation program) guarded the green spaces and encouraged the communities by educating and empowering them with ecological knowledge. This led to the commencement of several volunteering bodies in the communities with programs such as the Association of Friends of the Park and the Boy Scout Bicycle Watch (Macedo 2004; MacLeod 2002).



**Images 5: Curitiba: Botanical garden and parks**

Photograph taken by Mundra (2009)

The strategies applied by IPPUC for the protection of parks and green spaces had a futuristic outlook. Environmental education was encouraged and given priority in schools and in educational programs for the *favelas*, such that the children and urban poor could take responsibility for their environment at an early age and carry this forward for themselves and for coming generations. Gardening was also encouraged in the skills development programs for the youth in the disadvantaged communities. This not only gave employment to the young people in the parks but also helped in its maintenance.

The discussed initiative is not entirely about built environment redevelopment, but the lesson here is about the strategy applied that works simultaneously on the improvement of the surrounding by involving the people. Transfer of responsibility and skill to the residents ensures a long-term effect of the initiative.

#### *Preservation of architectural heritage and historic centres*

Another strategy applied by the municipal authorities to develop Curitiba was known as ‘Incremental Projects’ (Moore 2007). The idea of this project was to undertake small investments in ‘quick-return’ campaigns by planning, stimulating and implementing on the basic infrastructure of existing large-scale structures around the city. However, the

planning authorities permitted and encouraged the owners of the heritage buildings and structures of historic importance to develop and convert them for new uses, but firmly demarcated that the authenticity of the façades and layout of the buildings should be restored. As a consequence, the incremental strategy of the authorities led to a perpetual transformation of the old buildings into improved premises with new uses. For instance, the previous army headquarters became the cultural foundation for the city; the foundry became the most popular shopping mall in the city; the gunpowder arsenal was converted into a theatre; the former glue factory transformed into a creativity centre; the old railway station was altered to become a railway museum; the stone quarry was skilfully renovated into an open air theatre; and the city's oldest remaining house was converted into a documentation and publication centre (MacLeod 2002).

In addition to these major transformations, the municipal authorities initiated a street called 'twenty-four hour street' (image 6) in the downtown area in collaboration with the local merchants. This was done to prevent the increasing crime in this area during the closed for business hours and to protect the heritage structures of the city from vandalism. Hence, the businesses stayed open 24 hours a day, seven days a week, boosting the commercial activities in the city and thus increasing the demand for employment and services (Rabinovitch 1992).



**Image 6: Twenty-four hour street**

Photograph taken by Mundra (2009)

Under the initiative 'preservation of architectural heritage and historic centres' reviewed above, the IPPUC accepted the existing structures in their original form and expertly reused them for the benefit of the citizens of Curitiba. The initiative significantly increased employment and economic opportunities for the people. Psychologically when

the city progresses benefitting every individual, automatically the people feel accountable towards the city and start looking after it.

*Social services and environmental education*

Through the provision of environmental education and basic services, the municipal authorities attempted to improve the quality of life of the urban poor in the disadvantaged communities by providing social services, health care, child day care, adult education, skills training, employment opportunities and rehabilitation programs (MacLeod 2002). The authorities started Open Universities and short courses programs for adults and unemployed individuals to empower them with new skills such as hair styling, mechanics, gardening, carpentry and sewing (Wermus 2005). Old buses were transformed into ‘mobile classrooms’, which were used to visit urban poor communities every week to provide training (Meadows 1995; Rabinovitch 1992). The youths of the disadvantaged communities were specially provided with gardening skills and were employed in the city parks and *Rua das Flores* (Flower Street) - another pedestrian street in Curitiba downtown – in order to keep them engaged, to prevent crime and vandalism of parks and to endow the young people with a sense of responsibility towards family and community.

Another major program, the ‘Infant and Adolescent Environmental Education Program’ (PIA), was created to educate and to take care of children from the disadvantaged communities when their parents were away working (Kroll 2002). One room unit was set up to accommodate an average of 250 children with two employees. The children were provided with meals prepared by volunteer mothers, making this program economical and operational. The children in the program were provided with practical education and were involved in cleaning and washing their surroundings. Gradually, teenagers and young children also started participating in the program by taking care of the other children and, helping to cook and wash. The younger children were also taught to grow vegetables and other skills that could be used elsewhere in the future. The parents and community were very satisfied with the results of the program. This program was also nominated as a United Nations Local Government Honors’ Program by the

International Council for Local Environmental Initiatives for - “environmental regeneration of low-income communities” (MacLeod 2002; Rabinovitch 1992).

The initiative is partially sociological in outlook. But if observed closely, it helped in the improvement of the surrounding of the urban poor. Employment, learning and skill development enhanced the economic opportunities of the people in poor communities. Crime and vandalism extensively reduced, and future generation was prepared to gain control of the task for long-term sustainability (Moore 2007; Kroll 1999). In summary, the initiative had the capacity to resolve the socio-cultural, physical and economical aspects of the urban poor which has been discussed in the literature review chapter as the barriers in the development of the urban poor.

#### Outcomes of Sustainable Urban Development Program, Curitiba, Brazil

Unquestionably, Curitiba has proved to be an innovative example of urban development globally with wide impacts, solid principles and a focus on the process of applying strategic actions to channel the integrated practices of the planning authorities to meet common aims and objectives. Quantitatively, the outcomes of the strategies showcased an immense difference on the graph of change recorded over 38 years.

- The city’s thirty year economic growth rate rose to 7.1 per cent which was higher than the national average of 4.2 per cent, resulting in an intensification of the per capita income to sixty-six per cent, higher than the Brazilian average income (OECD 2008; The Development Company of Curitiba 2007; Kroll 2002).
- Tourism was boosted to a great extent generating US\$ 280 million in 1994, which was four per cent of the city’s net income (MacLeod 2002).
- 15, 000 new jobs were created and 15, 000 more were expected to be amplified (The Development Company of Curitiba 2007; Kroll 2002; MacLeod 2002).
- One-fifth of the city was transformed into parkland (MacLeod 2002) - from half-a-square metre of green space per inhabitant to over fifty-one square metres per person (Vidal-Hallett and Hallett 2008; Wermus 2005; Ribeiro and Tavares 1992) – as a result of resident volunteers planting 1.5 million trees along the streets and avenues (Fraser 2006; Peirce 2000).

- The city of Curitiba has excelled in recycling and has the highest percentage of citizens who recycle in the world (Ribeiro and Tavares 1992). Seventy per cent of all the city's trash is now recycled (Vidal-Hallett and Hallett 2008; Fraser 2006), resulting in an improved quality of life for the urban poor wherein free groceries and bus tickets are distributed in exchange of their garbage bags.
- Access to medical services and social programs was considerably increased, funded by the profit made through recycling of garbage (Mang 2006; Wermus 2005; Rabinovitch 1992), resulting in a clean environment and an enhanced society.

Table 4.3 on the next page is the summary of the entire case study and follows the same procedures as discussed in section 4.2 of this chapter. Because the Sustainable Urban Development Program of Curitiba is at a different scale from the rest of the case studies, the table format and the evaluation will minutely differ from the other case studies.

Issues identified for the project need	Action and approaches	Results achieved	Evaluating items	Wider impact	Well-being aspects
<b>1. Project initiative: Management and recycling of solid and liquid wastes</b>					
<ul style="list-style-type: none"> <li>▪ Environmental degradation</li> <li>▪ 1, 000 tonnes of garbage produced every day.</li> <li>▪ Three-quarters of waste is generated within the city.</li> </ul>	<ul style="list-style-type: none"> <li>▪ “Garbage that is not garbage” – encouraged city residents to separate organic and inorganic garbage for recycling and collection.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Over 70 per cent of the community participated in the program.</li> <li>▪ Two-thirds of the city’s recyclable garbage recycled - around 100 tonnes daily.</li> <li>▪ Paper recycling has saved the equivalent of 1, 200 trees.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Pride and participation</b></li> <li>▪ <b>Housing and environment</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Income generated through the sale of the recyclable garbage was invested in local social programs, resulting in community bonding.</li> <li>▪ Provision of jobs to the homeless and to those recovering from alcoholism in the garbage separation plant has decreased the number of homeless, jobless, and has improved the quality of life.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environmental well-being</b></li> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Economic well-being</b></li> <li>▪ <b>Psychological well-being</b></li> </ul>
	<ul style="list-style-type: none"> <li>▪ “Purchase of garbage”- the city authority purchased garbage bags from the <i>favelas</i> in return for bus tickets and for agricultural and</li> </ul>	<ul style="list-style-type: none"> <li>▪ 52 communities and more than 22,000 households became involved in the program.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Pride and participation</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ This program led to a considerable decrease in litter in the city.</li> <li>▪ Decrease in infant mortality rates.</li> <li>▪ Reduction in diseases and less expenditure on medicines.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environmental well-being</b></li> <li>▪ <b>Physical well-being</b></li> <li>▪ <b>Physical well-being</b></li> <li>▪ <b>Economic</b></li> </ul>

	dairy products.				well-being	
				<ul style="list-style-type: none"> <li>Empowerment of the urban poor as a contributor to the beautification of the city giving sense of ownership.</li> </ul>	<ul style="list-style-type: none"> <li><b>Socio-cultural well-being</b></li> <li><b>Psychological well-being</b></li> </ul>	
<b>2. Project initiative: Expansion of parks and the protection of green areas</b>						
<ul style="list-style-type: none"> <li>With a boom in economy and demography, Curitiba experienced more industrial and housing development, where preservation of green areas was completely neglected.</li> <li>Large-scale</li> </ul>	<ul style="list-style-type: none"> <li>The city defined a policy and strong commitment towards preservation of woods and parks.</li> <li>The ‘Guarda Verde’ (the ‘green guard’) program was issued by the municipal authority to protect and maintain the green areas.</li> <li>The local school children were educated and</li> </ul>	<ul style="list-style-type: none"> <li>In the past 20 years more than 1.5 million trees have been planted in the city.</li> </ul>	<ul style="list-style-type: none"> <li><b>Housing and environment</b></li> </ul>	<ul style="list-style-type: none"> <li>Curitiba has one of the highest averages of green space per inhabitant among urban areas worldwide.</li> </ul>	<ul style="list-style-type: none"> <li><b>Environmental well-being</b></li> </ul>	
		<ul style="list-style-type: none"> <li>The guard program also keeps the residents informed and involved in environmental programs and issues.</li> </ul>	<ul style="list-style-type: none"> <li><b>Housing and environment</b></li> <li><b>Government responsive</b></li> </ul>		<ul style="list-style-type: none"> <li>The ratio of open space to inhabitant has increased from 0.5 sq. m to 52 sq. m.</li> </ul>	<ul style="list-style-type: none"> <li><b>Environmental well-being</b></li> </ul>
		<ul style="list-style-type: none"> <li>The community themselves as volunteers started various programs to protect their community parks such as – ‘Association of Friends of the Park’ and the ‘Boy Scout Bicycle Watch’.</li> </ul>	<ul style="list-style-type: none"> <li><b>Housing and environment</b></li> <li><b>Pride and participation</b></li> </ul>		<ul style="list-style-type: none"> <li>The wider impact of green spaces has also resulted in flood control for the entire city by designing artificial lakes innovatively.</li> </ul>	<ul style="list-style-type: none"> <li><b>Environmental well-being</b></li> <li><b>Psychological well-being</b></li> </ul>



<p>projects were soon proposed, thus reducing the land for parks, community gardens and open public gathering spaces.</p>	<p>involved in spreading the knowledge and importance of parks.</p>	<ul style="list-style-type: none"> <li>▪ The programs designed encouraged community responsibility for the care, maintenance and protection of the parks.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Pride and participation</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ The democratic participation of the citizens of Curitiba has enhanced their self-esteem.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Socio-cultural well-being</b></li> </ul>
		<ul style="list-style-type: none"> <li>▪ The local school children promoted and helped to spread the knowledge about ecological principals and importance of parks.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Learning and employment</b></li> <li>▪ <b>Pride and participation</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ The concept of educating school children about the importance and preservation of green spaces was undertaken with a view to future and stability of the project.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environmental well-being</b></li> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Psychological well-being</b></li> </ul>
				<ul style="list-style-type: none"> <li>▪ Favela youth's were trained and employed for the maintenance of the parks.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environmental well-being</b></li> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Economic well-being</b></li> </ul>
<p><b>3. Project initiative: Preservation of architectural heritage and historic centres</b></p>					
<ul style="list-style-type: none"> <li>▪ The inactive and silent downtown areas in the night resulted in</li> </ul>	<ul style="list-style-type: none"> <li>▪ Municipal authority encouraged the owners of buildings of historic importance to put the buildings to</li> </ul>	<ul style="list-style-type: none"> <li>▪ Old buildings were developed and put to a different use as: shopping mall, theatre, creativity centre, cultural foundation,</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Pride and participation</b></li> <li>▪ <b>Government responsive</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Large pieces of land were developed into green spaces and public gathering spaces instead of shopping malls.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environmental well-being</b></li> <li>▪ <b>Physical well-being</b></li> <li>▪ <b>Socio-cultural well-being</b></li> </ul>

<p>increased crime and damage.</p> <ul style="list-style-type: none"> <li>▪ Architectural heritage buildings and historic centres were vandalised due to lack of funds and care-takers.</li> <li>▪ Demand for land and infrastructure for commercial and shopping facilities</li> </ul>	<p>new use, but not to change the façade and layout.</p> <ul style="list-style-type: none"> <li>▪ In addition, to compensate this restriction, the owners were allowed to sell the building to potential builders.</li> <li>▪ Public squares were upgraded and streets became pedestrian.</li> <li>▪ A ‘twenty-four hour street’ was created to keep downtowns active in collaboration with the local merchants and city authorities.</li> </ul>	<p>documentation and publication centre, railway museum, and an open air theatre.</p>		<ul style="list-style-type: none"> <li>▪ City’s heritage is still preserved in its architecture.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environmental well-being</b></li> </ul>
		<ul style="list-style-type: none"> <li>▪ Commercial activities improved with 24x7 business hours.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Learning and employment</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ The historic centres are vibrant and active even at night, preventing crime and vandalism.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Psychological well-being</b></li> </ul>
		<ul style="list-style-type: none"> <li>▪ Crime rate extensively reduced.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Crime and safety</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ The downtown is a dynamic pedestrian zone.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Psychological well-being</b></li> </ul>
				<ul style="list-style-type: none"> <li>▪ 24x7 business hours have increased the demand for workers and hence reduced unemployment.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Economic well-being</b></li> <li>▪ <b>Psychological well-being</b></li> </ul>
				<ul style="list-style-type: none"> <li>▪ The city’s 30 year economic growth rate is 7.1 per cent, higher than the national average of 4.2 per cent.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Economic well-being</b></li> </ul>
				<ul style="list-style-type: none"> <li>▪ Tourism increased, generating US\$280 million in 1994. Through tourism Curitiba earned 4 per</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Economic well-being</b></li> </ul>

				cent of the city's net income in a year.			
<b>4. Project initiative: Social services and environmental education</b>							
<ul style="list-style-type: none"> <li>▪ No proper schools.</li> <li>▪ Lack of basic minimum education and insufficient skills.</li> <li>▪ Need for adult and youth educational programs.</li> <li>▪ No knowledge of health care and hygiene.</li> <li>▪ Poor health due to excess garbage dumping and polluted environment.</li> <li>▪ No child care</li> </ul>	<ul style="list-style-type: none"> <li>▪ Introduction of 'mobile classrooms' which are redesigned old city buses.</li> <li>▪ The authorities run short courses in these 'mobile classrooms' for adults in the low-income sectors of the community to teach new skills such as mechanics, sewing, hair-styling, and carpentry.</li> <li>▪ Environmental education is provided such as 'self-subsistence education' which teaches the favela communities to</li> </ul>	<ul style="list-style-type: none"> <li>▪ 15, 000 new jobs have been generated and 15, 000 more are expected.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Learning and employment</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ The favela communities are now self-sustaining with many skills within their region itself.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Economic well-being</b></li> </ul>		
		<ul style="list-style-type: none"> <li>▪ The goal of providing jobs to the unemployed among 400,000 people living in 15 peripheral towns has been achieved.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Learning and employment</b></li> </ul>		<ul style="list-style-type: none"> <li>▪ Infant mortality rate have considerably reduced.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Physical well-being</b></li> </ul>	
		<ul style="list-style-type: none"> <li>▪ Youth and adults worked as volunteers in cleaning their community to improve their health conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Children responded positively towards environmental education and programs and encouraged their families as well.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Health and well-being</b></li> <li>▪ <b>Pride and participation</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Learning and employment</b></li> <li>▪ <b>Pride and participation</b></li> </ul>	<ul style="list-style-type: none"> <li>▪ Health of people and environment has improved.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Environment well-being</b></li> <li>▪ <b>Physical well-being</b></li> </ul>
		<ul style="list-style-type: none"> <li>▪ Residents of Curitiba take pride in the city.</li> </ul>				<ul style="list-style-type: none"> <li>▪ <b>Socio-cultural well-being</b></li> </ul>	
		<ul style="list-style-type: none"> <li>▪ Sense of ownership and belonging among the people helps to maintain the city.</li> </ul>				<ul style="list-style-type: none"> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Psychological well-being</b></li> </ul>	
		<ul style="list-style-type: none"> <li>▪ Family is satisfied with the program initiatives and family life has improved.</li> </ul>				<ul style="list-style-type: none"> <li>▪ <b>Socio-cultural well-being</b></li> <li>▪ <b>Psychological well-being</b></li> <li>▪ <b>Physical well-being</b></li> </ul>	
<ul style="list-style-type: none"> <li>▪ The 'Infant and Adolescent Environmental Education Program'</li> </ul>		<ul style="list-style-type: none"> <li>▪ <b>Health and well-being</b></li> <li>▪ <b>Government responsive</b></li> </ul>					

<p>while parents are away working.</p> <ul style="list-style-type: none"> <li>▪ Infant mortality rate high.</li> <li>▪ Increase in crime as teenagers are idle with no employment, education or skills.</li> </ul>	<p>respect and care for the environment they live in and from which they may benefit.</p> <ul style="list-style-type: none"> <li>▪ The ‘Infant and Adolescent Environmental Education Program’ was initiated where 300 children were taken care of with provision of meals and practical education in their own settlements while parents were away working.</li> <li>▪ The programs engaged teenagers in gardening, cooking for children in child care, washing, and cleaning of the community.</li> </ul>	<p>initiated 15 operating units looking after an average of 250 children in each unit.</p>		<ul style="list-style-type: none"> <li>▪ Crime rate has reduced considerably.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Psychological well-being</b></li> </ul>
		<ul style="list-style-type: none"> <li>▪ Teenagers from the disadvantaged communities tended city parks and the Street of Flowers in the 24 hours downtown areas.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Learning and employment</b></li> <li>▪ <b>Pride and participation</b></li> </ul>		
		<ul style="list-style-type: none"> <li>▪ The local gangs also started participating in the community programs, thus reducing the crime.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>Housing and environment</b></li> <li>▪ <b>Crime and safety</b></li> <li>▪ <b>Pride and participation</b></li> </ul>		

**Table 4.3: Sustainable Urban Development Program, Curitiba**

Source: Vidal-Hallett and Hallett (2008); The Development Company of Curitiba (2007); Moore (2007); MacLeod (2002)

Table 4.4 below is the assessment based on the table 4.3 above as discussed in section 4.2.

Evaluating items for built environment	Measuring aspects of identity																			
	Environmental well-being				Physical well-being				Socio-cultural well-being				Economic well-being				Psychological well-being			
Project initiatives	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Environment and housing	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Learning and employment		✓	✓	✓		✓	✓	✓		✓	✓	✓		✓	✓	✓		✓	✓	✓
Crime and safety			✓	✓			✓	✓			✓	✓			✓	✓			✓	✓
Health and well-being				✓				✓				✓				✓				✓
Pride and participation	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Government responsive	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

**Table 4.4: Assessment of IPPUC initiatives**

The initiatives undertaken by IPPUC are measured against the identity aspects in the table 4.4 to check the fulfilment of the redevelopment approaches. The assessment is to identify the key aspect of the built environment that had the maximum impact on the identity renewal of the citizens of Curitiba. The table 4.4 above indicate strong response

by the government particularly in the areas of housing and environment, and pride and participation. However, the table also shows some gaps regarding the approaches towards learning and employment, crime and safety, and health and well-being. Nonetheless, for a commendable and award-winning job, government responsive – another evaluating item – has been marked an all five. These three aspects of the built environment are the outcomes of an internationally acclaimed example and have proven to be successful in the development of citizens of Curitiba. Thus, the assessment demonstrates that the evaluating aspects for the built environment – housing and environment, pride and participation and government responsive – can bring positive results in the development of the identity of urban poor.

The following case study has also been analysed for the best practices and gaps of the program in relation to the identity renewal. It will also act as a course of action for the professionals and practitioners of future urban renewal works.

#### Best practices of Sustainable Urban Development Program of Curitiba

- **Involving citizens:** Over the past 38 years of ongoing urban development programs and improvement works for social, economic and environmental changes, the city has thoroughly displayed the potentials of acting economically and at the same time humanely by incorporating the citizens of Curitiba at the focal point before implementing all planning and design strategies. The active participation of the people in various development programs of Curitiba not only enhanced lives and empowered the people with a sense of ownership and responsibility towards the city, but also guaranteed long-term sustenance of the program. The involvement and contributions of the citizens of Curitiba in the garbage management programs from the informal and formal societies, gave the urban poor a sense of equal contribution towards the renewal of society.
- **Network of partners:** Throughout, Curitiba has developed as a ‘social capital’ through the integration and contribution of a network of partners and private funders working with the local bodies. Curitiba is an exceptional example of an ongoing and significant partnership where common aims and objectives are

shared between IPPUC, government agencies, research institutions, community organisations, residents, non-governmental organisations and international agencies (MacLeod 2002).

- **Limited civic budget:** The accomplishments of Curitiba are creditable given that all the successes were achieved within a very limited civic budget (Mang 2006).

#### Gaps in the Sustainable Urban Development Program of Curitiba

- **Development led to population explosion:** The attraction of Curitiba as a functional, humane and environmentally friendly city in 1990s resulted in a population explosion from 300, 000 in the 1950's to 1.78 million in 2005 - with more than 3 million in the greater metropolitan area only (Mundra 2009; The Development Company of Curitiba 2007; Kroll 2002). It became difficult for the authorities to continue the implementation of the programs with growing demands. Sadly, with the population growth, Curitiba has now led to a striking deforestation of the surrounds with a loss of 99 per cent in the state of Parana, of which Curitiba is the largest city (Mundra 2009). Though some of the construction issues of the city are resolved through the usage of heritage buildings in the incremental programs, the authenticity of the structures has been lost. In addition, the tourists and new migrants to the city fail to understand the process and need of incremental programs as the locals. They focus more on the commercial entity of the buildings than on the heritage structure as a whole.
- **Difficulty in maintaining the ongoing public involvement:** The ongoing involvement of the citizens in the maintenance of Curitiba is difficult to achieve as the new migrant population in the city does not feel the same sense of responsibility and ownership towards the city.

#### Lessons learned

Curitiba as an exemplar demonstrates some principles and strategies worth learning which might be considered applicable in the development and improvement of other cities in developing countries.

- The problems faced by a city do not exist in isolation and are interrelated. In the same manner as government organisations, non-government organisations, public organizations, private sector entrepreneurs, neighbourhood associations, community groups and individuals are interlinked by their equivalent role in the enhancement of a given community or city. Collaboration between these bodies and a good interrelation between the agencies explicates that the role of each organisation is complementary to another (Rabinovitch 1992). The establishment of IPPUC, an independent municipal authority, to monitor the continuity, the implementation of plans and programs, to conduct the research and to ensure sustainability for future efforts was a logical stride that can be noted for inspiration (Mang 2009, 2006).
- The responsibility of stakeholders also depends on cognition, capacity, agency and resources, and fundamentally has to be balanced between understanding and participation. For instance, a resident of a community is in a better position to determine the concerns of the community whereas the city administrative bodies can appropriately plan and design guidelines for the city (MacLeod 2002).
- Creative, rational, economical and, labour demanding ideas to prevent intensive high investment technological machinery that costs minimum and saves maximum are some of the pragmatic applications that should be adopted in the development of a city (Sharma, 2008; Moore 2007; Rabinovitch and Leitman 1996). In conjunction with the technological alternatives, appropriate actions were undertaken by IPPUC to develop the city even if the most suitable option represented a challenge to certain technological beliefs. For instance, the solid waste program ran by the authorities for collecting household recyclable waste proved that an expensive mechanical separation plant was not required if the city altered each household to have a separation yard (Rabinovitch 1992).
- The initiatives planned by the IPPUC were based on the economic, political, technical and social challenges of the city, confined by the principles of convenience, transparency, impartiality, poverty reduction and efficient resource management (MacLeod 2002; Kroll 2002). The urban planning and designing of Curitiba was done in unison with the growth pattern of the city by integrating the



city components in the development. Several problems of Curitiba associated with the perpetual growth of population, leading to loss of agricultural land, increase in infrastructure, service costs, minimum social open space, were avoided by implementing the incremental program (Moore 2007).

- The planning decisions made for the improvement of the city and for the residents should not focus on one stratum of the society but should be in harmony with all levels of society. The hidden web of economic opportunities and the relationship between the rich and poor sectors should not be hindered by the urban planning approaches of the authorities (Mang 2006; Lerner 2003).
- A good communication system between the residents and the authority is essential to keep the residents informed, aware and involved, and to listen to their opinions and ideas such that the inhabitants become responsible for the city and treat it well. Educating the citizens on environmental benefits, involving them in cleaning the surroundings, and by fulfilling their demands by providing them with infrastructure for businesses were some of the ways IPPUC have satisfied the citizens of Curitiba to keep them connected with the development of the city.

### Conclusion

Curitiba has presented itself as an exemplar by creating a self-supporting system and successfully optimising its resources, juggling between the ever-increasing demands of the environment and its people. The city has ascertained the possibility of creating sustainable societies in the developing countries with dramatic and synergistic solutions, not only for the economic development but also for the community as a whole (Brien 2001). Curitiba's accomplishments suggest that people-centric governance arrangements are essential in achieving long-term holistic sustainability (Sharma 2008). As Lerner (2003) has said,

“...if people feel respected, they will take over the responsibility to help others.”

The approach of Curitiba to balance the requirements of the people and the built environment, by engaging one with the other can be seen from the beginning of the project. The initiatives designed by the IPPUC perfectly complement the principles,

regulations, social programs, economy and rituals of the city. But the transformations of and the approaches towards the built environment and the people demand continuous vigilance and encouragement by the governing authorities. The approaches need democratic participation to be mobilised and to continue into the future. From the analysis, the governing authorities have concentrated on the development of built environment whereas there are still some gaps in the human development components - learning and employment, crime and safety, and health and well-being - and needs to be fulfilled. However, these are equally important for identity renewal and for longevity of the project.

The successful elements of Curitiba cannot be easily transferred to other cities for their development. It is important for the government to be responsive and to engage communities and individuals with one another and with the project. Community bonding and the personal development of individuals should be given equal importance, such that participation is active and positively oriented towards community development.

#### **4.2.2 Ahmedabad Slum Networking Program (ASNP), Ahmedabad, India**

Ahmedabad, the financial capital of the state of Gujarat in India has a booming population with an estimated current count of approximately 5.5 million, with an urban poor population of more than 400, 000 – nearly ten per cent of the whole population (The Times of India 2010; BRTS Plan 2008). Ahmedabad is a city buzzing with industrial, trade and commercial activities and has become the nerve centre for the economic growth of the state. There seems to be emerging - instead of closed signs and empty shop fronts - swift construction of mega malls, flyovers and highways, and river beautification projects along with gated communities. However, the current economic and visible physical development continues to attract the urban poor with the hope of new livelihood opportunities. Consequently, rural migrants and urban poor from surrounding states keep flooding into the city. However, the city is not equipped to accommodate the influx; a lack of basic services, employment and housing still encircles the marginalised and the cycle of deprivation continues for the urban poor.

A study of 191, 000 slum households in Ahmedabad found that approximately 60 per cent of all residents were living below the poverty line (Kundu and Mahadevia 2002). The settlements were unplanned, densely populated, with narrow lanes, inadequate infrastructure, deficient of basic services, contained numerous small and medium informal industries, and extreme unhygienic living and working conditions (Samad 2006).

To combat these concerns, the Ahmedabad Municipal Corporation (AMC) addressed the challenge of improving conditions for the urban poor by implementing Ahmedabad Slum Networking Program (ASNP).

##### Project description – Ahmedabad Slum Networking Program (ASNP)

The urban influx into the city of Ahmedabad grew massively between 1981 and 1991 to twenty-one per cent, and twenty-two per cent between 1991 and 2001 (Bhatt 2003), accounting for forty per cent of the population living in slums accommodated in hutments, *chawls* (semi-slums), and shanty settlements. In total, slums in the city have accumulated in 792 locations and chawls are situated in 958 locations, comprising about

360, 000 households and about 1.8 million people (Gautam 2008; AMC Statistical Outline of Ahmedabad City Report 2007; AMC, AUDA and CEPT - City Development Plan 2006-2010).

For several decades, in order to make an impact on the quality of life of the slum dwellers, Ahmedabad Municipal Corporation (AMC) has been supplying essential services to the slum dwellers through various government programs such as the Environmental Improvement of Urban Slums (EIUS) initiative and the National Slum Development Program (NSDP) (Chang 2009; Gautam 2008). But with inadequate funds and an approach of providing only neighbourhood level facilities, the efforts were in complete disarray. This resulted in a poor living environment, and serious threats to health and well-being, causing human degradation (Samad 2006). However, it was realised by the AMC, from the understanding of the past few decades, that there was an urgent need to improve the living conditions of the slum dwellers by incorporating approaches that involved the community people in the upgrade (Davis 2004).

The Ahmedabad Slum Networking Program (ASNP) was influenced by the slum networking partnership approaches of the Department for International Development (DFID), funded by the Indore Habitat Improvement Project (IHIP). Substantially, ASNP settlement approach and collaboration with the NGOs and the local communities was different from the attempts of DFID and IHIP (Chang 2009; Gautam 2008). The concept of ASNP was to incorporate slum dwellers into the fabric of the city instead of treating them as marginalised people. In the slum-networking approach, the aim was to upgrade the disadvantaged areas by connecting them to the infrastructural services of the city along with the provision of essential services, wherein the state would act as a catalyst and not a mere service provider (Tewari, Raghupathi and Ansari 2007; Parikh 1999). To sum this up, ASNP intended to transform the urban environment through the collaboration of the AMC, private sectors, NGOs and the respective community under transformation. The emerged objectives of ASNP were:

- to improve the basic physical infrastructure and homes within the slums with community, NGOs and private sector participation;

- to enhance the process of community development by facilitating the participation and contribution of the slum dwellers through social services introduced into their respective areas;
- to maintain the infrastructure provided through NGOs and local associations;
- to develop a city-level organisation for slum networking and infrastructure development (Chang 2009; Chauhan and Lal 1999).

The program proceeded with a collaborative effort between the local municipal corporation (AMC), the private sector and the slum dwellers (Ysa 2007) themselves by undertaking a city-wide pilot project that integrated 3, 300 households, concerning 22, 000 people from four slum settlements. It was ensured that each partner of the project contributed equally, depending on their capacity for the implementation of the project. Wherein, AMC was responsible for eighty per cent of the total cost of the physical development, the remaining twenty per cent was contributed by the households participating in the project. Additional assistance came from the NGOs who generated awareness about the project and motivated the residents to participate in the upgrade. The NGOs also helped in mobilising savings from the individual households contributing to the AMC and by implementing socio-cultural development services for the community. The private sectors provided monetary support and professionals gave assistance by providing voluntary services for planning and designing of the layout of services (Tewari, Raghupathi and Ansari 2007; Parikh 1999). After decades of failure, the strategy of partnership was adopted in order to involve the community in the project as partners and owners, and not as mere beneficiaries and customers (Gautam 2008).

The aim was, therefore, to have a fixed thirty-three per cent contribution from each slum household for the provision of internal physical facilities and a minor input for generating an amount for the maintenance of these services, - Rs. 2000/- per dwelling unit for physical services and Rs. 100/- per dwelling for the maintenance collection (Gautam 2008; SEWA Report 2002). As a result, the pilot project scaled down from 3, 300 households to only 181, due to the failure of a number of households in three of the four slums to raise their own funds. At this point the need was felt for the support of NGOs; *SAATH* (meaning ‘together, co-operation, a collective or support’), a civic

charitable trust NGO that had been involved with slums since 1989, developed an approach with the Strategic Health Alliance for Relief to Distressed Areas Trust (SHARDA Trust) which was introduced into the program to implement the social component.

The most difficult task handled by the NGOs was to change the ‘mindset’ of the slum dwellers towards the project. As NGOs share a tailor-made relationship with the slum dwellers, it was easy for them to motivate the slum dwellers to become a partner in the project by sharing the costs to secure benefits and avail themselves of better services. To keep the program running the SHARDA Trust convinced the Self-Employed Women’s Association (SEWA) bank to assist and underwrite the slum dwellers with bank loans and bank account facilities (Gautam 2008). These financial planning initiatives also led to the protection of the monetary contributions made by the individual households through deposits into their individual accounts until the transfers could be made to the AMC. Nevertheless, the process empowered the community and individual households through exposure to financial planning, the opportunities to access loans and an understanding of the management of their own savings.

Table 4.5 below gives a detailed account of the project costs, partnerships and contribution:

<b>Partners in ASNP</b>	<b>Support</b>	<b>Component</b>	<b>Total financial contribution (per household) in Rs.</b>	<b>Provision of resources</b>
<b>AMC</b>	<ul style="list-style-type: none"> <li>▪ Overall design and programme implementation – technical and political support</li> <li>▪ Part finance</li> <li>▪ Linkage with city level infrastructure</li> <li>▪ Maintenance of services</li> <li>▪ Convergence of other social programmes.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical development</li> <li>▪ Community development</li> <li>▪ Networking with existing main system</li> <li>▪ Individual toilets</li> </ul>	<ul style="list-style-type: none"> <li>▪ 2, 000 + 700 + 3, 000 + 5, 800 = 11, 500.00/-</li> </ul>	<ul style="list-style-type: none"> <li>▪ Technical resources + Financial resources</li> </ul>
<b>COMMUNITY</b>	<ul style="list-style-type: none"> <li>▪ Part finance</li> <li>▪ Community services on contract</li> <li>▪ Part maintenance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical development</li> <li>▪ Community corpus</li> </ul>	<ul style="list-style-type: none"> <li>▪ 2, 000 + 100 = 2, 100.00/-</li> </ul>	<ul style="list-style-type: none"> <li>▪ Human resources + Financial resources</li> </ul>
<b>NGOs (MHT, SAATH and World Vision)</b>	<ul style="list-style-type: none"> <li>▪ Mobilisation and motivation of community</li> <li>▪ Interface with AMC</li> <li>▪ Capacity building of CBOs</li> <li>▪ Part finance for community development services</li> <li>▪ Health provision of social services such as income generation and other developmental activities</li> <li>▪ Education</li> <li>▪ Construction of infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>▪ Community development</li> </ul>	<ul style="list-style-type: none"> <li>▪ 300.00/-</li> </ul>	<ul style="list-style-type: none"> <li>▪ Human resources + Social resources</li> </ul>

	through community contracting.			
<b>SEWA BANK</b>	<ul style="list-style-type: none"> <li>▪ Micro finance support to the community.</li> </ul>	-	<ul style="list-style-type: none"> <li>▪ Provision of easy loan and bank account facility.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Micro finances</li> </ul>
<b>PRIVATE SECTOR / INDUSTRIAL SECTOR</b>	<ul style="list-style-type: none"> <li>▪ Finance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical development</li> </ul>	<ul style="list-style-type: none"> <li>▪ 2, 000.00/-</li> </ul>	<ul style="list-style-type: none"> <li>▪ Financial resources</li> </ul>

**Table 4.5: Ahmedabad Slum Networking Program (ASNP) Partnership Module**

Source: Das and Takahashi (2009); Samad (2006); Bhatt (2003); SNC Records (2000); Tripathi (1999)



### Project initiatives and approaches

The affirmative side of ASNP was to take this comprehensive slum-networking approach, not just as a physical development approach or provision of essential services to the slum dwellers. The program was initiated as a community-based approach that advances and identifies the community as a key stakeholder in the wide-ranging activities, in collaboration with other stakeholders of the project such that the project can operate in various dimensions. ASNP comprehends slums as a significant entity of the city and perhaps formulated objectives with solutions to incorporate them with the rest of the city. Thus, the designing and planning of the project components were built, rationalised and capitalised upon the existing physical features of the community for the provision of infrastructure (Tewari, Raghupathi and Ansari 2007; National Institute of Urban Affairs 2001).

Consequently, to accomplish the objectives of ASNP, the project started by developing the physical environment through the provision of: the construction and repair of roads and pavers (images 7); storm water, wastewater and solid waste management (images 8); water supply to individual houses (images 9); underground sewerage and toilets to individual households (images 10) landscaping; and street lighting (Das and Takahashi 2009; Kundu and Mahadevia 2002; Tripathi 1999). Although the project was on a large scale and, the supply of materials and construction took place on a major level, the budget was comparatively very small. Due attention was given to the use of durable alternatives and appropriate technologies to ensure the outcome of good quality infrastructure, such as sewer pipes and fittings, toilets and their fixtures and standpipes (National Institute of Urban Affairs 2001). Moreover, due to lack of funds, not all residents were able to pay for toilets and water supply (SEWA Report 2002). Thus, the NGOs encouraged the residents to contribute for shared or collective services. Another solution to avoid heavy expenses was to upgrade or improve the existing connections in un-serviced settlements and link them to the city systems (Das and Takahashi 2009; Tewari, Raghupathi and Ansari 2007; Davis 2004). For instance, public water taps were repaired and connected to the municipal water system (images 9).



**Images 7: The process of construction and repair of roads and pavers**

Source: Bharti (2008)



**Images 8: Laying of pipes for water supply, solid waste chambers, and connection to underground waste water and storm water management**

Source: Bharti (2008)



**Images 9: Individual water supply and public taps**

Source: Bharti (2008)



### **Images 10: Provision of toilets to individual households**

Source: Bharti (2008)

In addition, the project had a social development component, as it was realised that the mere provision and improvement of physical services would not alone improve the quality of life and well-being of the slum dwellers. In consideration to this, organisations were established to encourage community women, children and youth to join social activities for social bonding (images 12 below). Educational activities and informal educational opportunities were made available for pre-school aged children, school drop-outs, and illiterate adults. The focus on diseases in slums, and maternal and child health was increased by the provision of a number of health services and health awareness programs. Support for vocational training, job access to unemployed individuals and access to finance for starting up businesses was enhanced to provide links to the formal sector of the society.



### **Images 12: Social component of ASNP – children’s education, motivation and encouragement by the NGOs, community engagement and community empowerment**

Source: AMC - Dubai International Awards Report (2006)

### Outcomes of Ahmedabad Slum Networking Program (ASNP)

After the completion of the pilot project in 1995, ASNP expanded the program in other disadvantaged communities in the city.

- By 2008, 45 slum communities covering 8, 348 households and benefitting approximately 39, 045 people were transformed (SEWA 2002). Taking into consideration this success, ASNP planned to expand from 45 to 120 slums, influencing more than 24, 000 households and 120, 000 people (AMC - Dubai International Awards Report 2006).
- It has been recorded that to this point the slum communities involved in ASNP have paid a total of US \$ 3, 80, 600 to the AMC as their contribution towards the services, which, so far, is the only project in India to achieve this limit (SEWA 2002).
- Over 275 health training seminars on basic health and hygiene were held separately for men, women, girls and boys. Low-cost generic medicines worth over INR 1, 35, 000 were distributed to poor patients. 18, 000 children were immunised and 9 childcare institutions started providing child-care services to 402 children (Samad 2006).
- In order to ensure sustainability of the program, AMC provided a written assurance that people would not be evicted for 10 years, providing at least some tenure security (Chang 2009; Bhatt 2003; Tripathi 1999).
- Vadodara Municipal Corporation, another major city in the state of Gujarat, adopted the approaches of ASNP of partnership and integration of the affected households (Chang 2009; Gautam 2008).



**Images 11: Images showing the transformation of the street and its surrounding built environment after Ahmedabad Slum Networking Program (ASNP)**

Source: AMC (2006); Bhatt (2003)

Table 4.6 on the next page is the summary of the entire case study and follows the same procedures as discussed in section 4.2 of this chapter.

Issues identified by ASNP in Ahmedabad slums	Actions and approaches	Results achieved	Wider impact of ASNP	Well-being aspects
<b>1. Project initiative: Housing and environment</b>				
<ul style="list-style-type: none"> <li>▪ Total or partial absence of essential infrastructure such as water supply, drainage, toilets, roads and street lighting.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Water supply, underground sewerage connection and toilets to individual households.</li> <li>▪ Paving of internal roads, lanes and by-lanes in the slum localities.</li> <li>▪ Street lighting.</li> <li>▪ Solid waste management.</li> <li>▪ Landscaping.</li> </ul>	<ul style="list-style-type: none"> <li>▪ 4, 868 bib cocks and 30, 499 m water lines have been installed.</li> <li>▪ 27, 380 m sewage lines were put in place.</li> <li>▪ 4, 860 gully traps, 955 inspection chambers, and 421 manholes.</li> <li>▪ 4, 150 private toilets have been built.</li> <li>▪ 18, 057 sq. m. concrete and 14, 814 sq. m. stone pavements have been made.</li> <li>▪ 832 electric poles have been erected.</li> <li>▪ 300 garbage bins have been strategically placed.</li> <li>▪ 45 communities covering 8, 348 households benefitting 39, 045 people have been successfully upgraded.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Adaptation, extension, replication of developmental models to 6 more municipal corporations and 20 other towns.</li> <li>▪ AMC gave priority to improvement of slums through micro-finance schemes and programs, while encouraging an improved quality of life.</li> <li>▪ With development of the infrastructure, the community took interest in maintenance of infrastructure and amenities.</li> <li>▪ MHT and representatives of Developmental CBOs were involved in the state government's policy making body for future slum development programmes.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Economic well-being</li> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
<b>2. Project initiative: Learning and employment</b>				

<ul style="list-style-type: none"> <li>▪ Lack of basic minimum education and insufficient skills.</li> <li>▪ No proper education/skills training facility.</li> <li>▪ Low income and poor standard of living.</li> <li>▪ Lack of access to formal land market and job opportunities</li> <li>▪ Poor health status reduces job prospects.</li> <li>▪ Lack of ability to afford education expenses.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Introduction of informal educational opportunities for pre-primary age children, school dropouts and illiterate adults.</li> <li>▪ Income generation activities.</li> <li>▪ Assistance for vocational training and skill development workshops for adults and youth.</li> <li>▪ Over 275 training sessions for men, women, girls and, boys were conducted.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increase in school attendance with parents and community giving more attention to children’s education.</li> <li>▪ Community was involved in the operation and implementation of infrastructure work, which not only gave employment to the community but also their capacity was enhanced.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Parents and community encourage children to study and pay more attention to children’s education.</li> <li>▪ Better job due to skill improvement.</li> <li>▪ Respect at work.</li> <li>▪ No more exploitation.</li> <li>▪ More working hours.</li> <li>▪ Increased income.</li> <li>▪ Increase in asset value.</li> <li>▪ Less harsh working conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> <li>▪ Psychological well-being</li> <li>▪ Economic well-being</li> <li>▪ Economic well-being</li> <li>▪ Economic well-being</li> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> </ul>
<p><b>3. Project initiative: Crime and safety</b></p>				
<ul style="list-style-type: none"> <li>▪ Disorganised families, low-income, apathy, domestic violence</li> </ul>	<ul style="list-style-type: none"> <li>▪ Formation of neighbourhood groups and women’s groups gives opportunity to</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sense of ownership and belonging of the community and households, with stability in employment and</li> </ul>	<ul style="list-style-type: none"> <li>▪ Less harassments and quarrels, more privacy and dignity.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> </ul>

<p>and deviant behaviour.</p> <ul style="list-style-type: none"> <li>▪ Excessive intake of alcohol/drugs and high crime rate.</li> </ul>	<p>socialise.</p> <ul style="list-style-type: none"> <li>▪ Youth activities are organised to provide occupation as well as benefitting the community.</li> <li>▪ Activation of savings, by forming savings and credit groups, creates a mind-set among people to spend less.</li> </ul>	<p>good health.</p>	<ul style="list-style-type: none"> <li>▪ Optimistic, positive culture in the community and improved neighbourhood relations.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Higher status and greater respect in the community.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Reduced tensions in family.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Increased interest in development activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> </ul>
<p><b>4. Project initiative: Health and well-being</b></p>				
<ul style="list-style-type: none"> <li>▪ Overcrowded and unhygienic living conditions.</li> <li>▪ Accommodation located in neglected urban areas or areas of high-risk or on unwanted, poor lands unfit for human habitation.</li> <li>▪ Exposed to diseases due to</li> </ul>	<ul style="list-style-type: none"> <li>▪ Improvement and development of infrastructure resulted in better liveable surroundings.</li> <li>▪ Organisation of community health education and other health interventions, with focus on maternal and child health, and commonly prevalent diseases in the slums.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Over 115 medical camps were held and generic drugs worth over US\$ 2, 988 have been distributed.</li> <li>▪ Over 18, 000 children have been immunised, while 9 child care centres are in operation, providing services to over 402 children.</li> <li>▪ Insurance coverage to 5, 904 individuals.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reduced incidence of illness.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Less expenditure on illness.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ More focus on cleanliness and personal hygiene.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Cleaner surroundings and</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental</li> </ul>



poor living conditions.	<ul style="list-style-type: none"> <li>▪ Day care centres.</li> <li>▪ Health centres.</li> </ul>		environment.	<ul style="list-style-type: none"> <li>▪ well-being</li> <li>▪ Physical well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Urge for better living conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> </ul>
<b>5. Project initiative: Pride and participation</b>				
<ul style="list-style-type: none"> <li>▪ No authority or rights over land and housing.</li> <li>▪ No power or responsibilities.</li> <li>▪ Social polarisation between rich and poor.</li> <li>▪ Disconnected from services.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Contribution of 20 per cent of the total cost by the households; individuals, made community partners and owners of the project.</li> <li>▪ Exposure and opportunities for managing savings and subsequent approach to loans empowered the communities and individual households.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The role of partners and decision-makers rather than beneficiaries made them more responsive and inculcated a sense of belonging and ownership.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Formation of CBOs and sense of ownership towards the development.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Awareness and assertion of rights.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Greater access to health services, financial help from banks and to local authorities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Better response from local authorities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>

**Table 4.6: Ahmedabad Slum Networking Program (ASNP)**

Source: Gautam (2008); Samad (2006); AMC - Dubai International Award Report (2006); Bhatt (2003)

Table 4.7 below is the assessment based on the table 4.6 above as discussed in section 4.2.

Evaluating items for built environment	Measuring aspects of identity				
	Environmental well-being	Physical well-being	Socio-cultural well-being	Economic well-being	Psychological well-being
Environment and housing	✓✓✓	✓	✓✓	✓	✓
Learning and employment		✓	✓	✓✓✓✓	✓✓✓
Crime and safety	✓	✓✓	✓✓		✓✓✓✓
Health and well-being	✓✓✓	✓✓✓✓✓		✓✓	
Pride and participation	✓	✓	✓✓✓✓	✓	✓
Government responsive	✓	✓	✓	✓	✓

**Table 4.7: Assessment of ASNP initiatives**

The initiatives undertaken by AMC are measured against the identity aspects in the table 4.7 to check the fulfilment of the redevelopment approaches. The assessment is to identify the key aspect of the built environment that had the maximum impact on the identity renewal of the slum dwellers of Ahmedabad. The table 4.7 above indicate strong response by the government particularly in the areas of housing and environment, and pride and participation. However, the table also shows some gaps regarding the approaches towards learning and employment, crime and safety, and health and well-being. Nonetheless, for a commendable and award-winning job, government responsive – another evaluating item – has been marked an all five. These three aspects of the built environment are the outcomes of a successful example that has proven to improve the living conditions of the slum dwellers. Thus, the assessment demonstrates that the evaluating aspects for the built environment – housing and environment, pride and participation and government responsive – can bring positive results in the development of the identity of urban poor.

The following case study has also been analysed for the best practices and gaps of the program in relation to the identity renewal. It will also act as a course of action for the professionals and practitioners of future urban renewal works.

#### Best practices of Ahmedabad Slum Networking Program (ASNP)

- **Involving the community:** The encouragement and provision of tenure security to the community was successful as the residents felt positive about the upgrade process, both financially and materially (Samad 2006), transforming the community into a dignified society (SEWA Report 2002). The community residents were also provided with a platform to share their views and opinions and to have an open interaction with other stakeholders, thus enabling the residents to interact and get engaged in the program (Das and Takahashi 2009; Davis 2004).
- **Network of partners:** The collaboration between AMC, NGOs and the community is extraordinary. Community residents were provided with technical knowledge, with the help of MHT and AMC engineers, to orientate the community towards the technical aspects of the implementation and to ensure community consent for a smooth execution. Even the layout plans were jointly prepared by AMC, NGO and the community (Gautam 2008; Ysa 2007; SEWA Report 2002). ASNP is an exceptional example of a local government participating in a strong and significant partnership, thus leading to the application of many elements of good governance such as equity, transparency, accountability and sustainability.

#### Gaps in Ahmedabad Slum Networking Program (ASNP)

- **Lack of funds and unconventional planning:** In Ahmedabad, until the SEWA bank microfinance approach was issued, ASNP benefitted only those slums where all households arrived at an agreement to contribute a proportion of the implementation costs (Rs. 2000/-) (Chang 2009; Tripathi 1999). With almost 60 per cent of households living below poverty line (Kundu and Mahadevia 2002; Samad 2006), the following ASNP approach of involving and improving the

living conditions of the slum residents was not appropriate. As a result, the pilot project was scaled down from 3, 300 households to only 181, due to the lack of funds (Davis 2004; SEWA Report 2002). Such approaches can lead to further discouragement, social conflicts and disagreements to the up-grade. The cause for down-scaling the initial project was economic in nature due to the incapacity of the households to contribute. However, to resolve this issue the stakeholders - AMC, SAATH, SHARDA Trust and the private sectors – could have initiated a program to develop stronger skills via training, whereby the poor could acquire a fixed income in order to help pay back the executed improvement works. AMC could also have planned strategically to provide economic incentives, such as tax benefits to the private sectors while encouraging them to provide jobs and skills training to the community residents (Chang 2009; Imparato and Ruster 2003).

- **Miscommunication at the bureaucracy level:** The project had administration delays due to miscommunication at the AMC level, resulting in a 450 day response time in some cases (Chang 2009; Davis 2004; Chauhan and Lal 1999). AMC's role as facilitator of the city was not fully embraced and was poorly communicated within many bureaucracies in the AMC itself (Chang 2009).
- **Improper division of responsibilities:** Even though the flexible nature of the partnership expected greater participation from the NGOs and the community in terms of human and social resources, the absence of a clear division of roles prohibited effective action towards the development (Chang 2009; Ysa 2007). At times, community development activities became complicated for reasons of incompatible values and expectations of the NGOs – SAATH and SHARDA Trust - wherein SHARDA Trust focused on skill development training programs; SAATH wanted to get involved in public health (Chang 2009). With no specific division of role of the NGOs led to confusion and ineffective development in one particular area. As there was no legal document involved between the actors of the program, this resulted in complications and confusion (Samad 2006).
- **Shortcomings in the bureaucracy:** Delays in response and excessive bureaucracy discouraged (Ysa 2007) Arvind Mills from collaborating. Arvind Mills, a private sector organisation and an emerging global presence having

headquarters in Ahmedabad, could have provided sufficient incentives to improve the face of the city (Samad 2006).

### Lessons learned

- The endurance of ASNP articulates the success of collaboration between various stakeholders and offers insights into various elements that made the program a success. Evidently ASNP has demonstrated the significance of collaboration between diverse stakeholders who are flexible and ready to adapt to the project needs (Chang 2009). ASNP has also been able to achieve the stated aims and objectives of the program of providing basic services to the urban poor whilst improving their health and well-being and thereby enhancing the capacity for income generation. In spite of this, ASNP had limitations to scale up its ability and was not able to expand beyond three per cent of the city's slum population (Anand 2007). It should be noted that the program was planned and designed to provide basic services to the urban poor and that the acceptance of the government bodies of the city to allow slums to accommodate within the city with improved services provided the possibility of a permanent future. Therefore, the expansion of the program was highly dependent on the land distribution policies and management and other external factors (Samad 2006; Davis 2004).
- Additionally, ASNP also provided lessons for financial management and design for tackling large-scale projects (Kundu and Mahadevia 2002). Using the experience of ASNP as a guide, many instances are recorded when the execution work came to a halt due to inadequate funds. Cost recovery can be a crucial element for determining the success and failure of a program. It should be designed in such a way that is suitable to local conditions, manages to provide appropriate incentives, and does not end up being too expensive for the government and other stakeholders (Anand 2007; Bhatt 2003).
- ASNP provides an insight into institutional systems for the implementation of government programs. In order to streamline and professionalise the implementation of ASNP, separate sections were set up within the government offices to prevent overlaps, redundancies and any lack of accountability. Parallel

mechanisms were instigated for implementing specific schemes (Anand 2007; Samad 2006; Davis 2004). This was done because of a lack of faith in the existing system and the perception that there would be more enthusiasm for a new and quicker system rather than adapting the existing one.

- It is important to bestow AMC an increased level of recognition for launching the program. It is important to encourage the bureaucrats and officers responsible for the renewal work by incentives and appraisals such that they increase their efforts towards the program and do not view themselves to be in the ‘gruelling post’.
- Conclusively, it is learnt from ASNP that to improve the outcomes of the program, the urban poor population should be committed and involved at all levels of the political, administrative and bureaucratic chain. Moreover, it would result into a constructive approach to engage and secure support from the urban poor on certain aspects where co-operation might prove fruitful to them and to the society.

### Conclusion

Thus, ASNP has demonstrated the essential significance of collaboration between diverse stakeholders to be flexible and ready to alter as per the project needs. The dynamic contributions of NGOs, of motivating and making communities aware of the project and encouraging them to participate, have played an important role in forwarding the interests of the community towards ASNP. It should also be recognised that the amount requested for contribution (Rs. 2, 100/-) was quite low and could easily be afforded if the household had a regular stream of income. While the ASNP has been not able to scale up the project, it has enhanced the lives of the communities where it has been executed so far. ASNP has displayed the benefits of participation and has bestowed the community with sense of ownership, stability, security and belonging through infrastructure development. The longevity and sustainability of ASNP has proved its success, but the integration of human development components – learning and employment, crime and safety, and health and well-being – would guarantee the holistic development of the slum and the people. Nevertheless, ASNP provides important lessons

on how to build partnerships and make improvements at different levels - from infrastructure to public health and economic development.

### **4.2.3 Slum Improvement Project (SIP), Khulna, Bangladesh**

This collaborative action plan undertaken to improve the living conditions of people inhabiting slums of Khulna city in Bangladesh was titled the Slum Improvement Project (SIP). Studying this project offered a view to confront the poor housing conditions and face the challenges of improving the living conditions of the urban poor in the Khulna slums. The study however does not highlight the multitude of occupational variations, topography of the region or community formations due to religious beliefs, and only focuses on the strategies applied for the improvement of the living conditions of the disadvantaged communities for the purpose of this research.

#### Project description – Slum Improvement Program (SIP)

Cities such as Khulna- developed through extremely dynamic factors of economic and fiscal policies are the direct outcomes of the social and political forces of the society. They become the material entities of the physical world attracting rural and urban migrants and leading to one of the greatest challenges - ‘urbanisation of the poverty’ (Khulna Development Report 2007) - wherein an immense part of the urban population inhabits slum areas and squatter settlements. With the intense increase in population growth stimulated by the influx of migrants, it becomes difficult for the government and development authorities to keep pace with the provisions needed for infrastructure and services, housing development and employment creation (Shamsad and Shamsad 2004). Khulna is one such example of the traditional organic growth that has failed to adopt the process of transformation of the urban environment in order to shape and cope with the urgency of contemporary society’s need (Mridha and Rahaman 2005).

Thirty per cent of the urban population of Khulna resides in slum areas and squatter settlements (KDA 2007) in appalling unhygienic and inhumane living and working conditions without the provision of basic infrastructure facilities and tenure of land. As slum dwellers of the city are illegal residents and are frequently forced to evict the land by the authorities. In attempt to avoid this eviction, the slum dwellers in Khulna built their houses on the low lands used as the city’s solid waste dumping ground where the homes were seen to be of make-shift material, crowded in one place, with no essential



amenities such as water supply, toilet facilities, solid waste collection systems or electricity (images 13). Consequently, the living environment of Khulna overflowed with puddles of stagnant water, sewerage waste and garbage (KDA 2007; Shamsad and Shamsad 2004).



**Images 13: Need for the Slum Improvement Project (SIP)**

Source: Hossain (2007); Shamsad and Shamsad (2004); KCC and SDC (2000)

However, to address these appalling living conditions and to ensure their rights to a decent standard of living, the Slum Improvement Project (SIP) was initiated and implemented in the year 1986 by UNICEF. SIP is the first integrated slum improvement project in Bangladesh in collaboration with the government of Bangladesh. The project was designed to enhance the lives and living conditions of the urban poor by activating and facilitating easy access to community and government resources (Choudhury 1999). In one decade SIP addressed twenty-five regions and reached about 40, 000 slum dwellers across 185 slums throughout Bangladesh. In 1996 SIP was reintroduced as a revised model known as the Urban Basic Service Delivery Project (UBSDP) with parallel functions and arrangements of funding and execution. UBSDP was the first successful project of slum development in Bangladesh. Still, the fundamental model of SIP has been progressing as a core component in many existing and forthcoming

projects that intend to benefit the urban poor in different cities in Bangladesh (Siddiqui 1997).

The Slum Improvement Project was designed with a focus on providing slum communities with basic facilities aimed at improving their environmental conditions, physical health and income generating capacity. The expected outcome aimed to enhance the socio-cultural, physical, economic and environmental aspects of living in slum areas. The scheme also intended to involve the community in the redevelopment approaches and was influenced by UN Habitat slum improvement policies. The project was embarked upon through a collaborative approach by partnering with UNICEF (an international development organisation), the Government of Bangladesh (a national organisation) and a local body, Khulna City Corporation (KCC) (Shamsad and Shamsad 2004).

The Slum Improvement Project's implementation and management was divided among three committees, namely – the Central Coordination Committee (CCC), the Project Implementation Committee (PIC), and the Sub-Project Implementation Committee (SPIC) (Shamsad and Shamsad 2004). CCC, a national level committee was composed of inter-ministerial bodies and institutions, and was headed by the secretary of the regional government division. It was the responsibility of CCC to direct and devise action plans and policies, and to organise technical, financial, and policy assistance for the project at the national level. At the city and municipal level PIC acted as a fundamental body in charge of all the administration and organisational work. PIC functioned as a centre link in the relationship between CCC and SPIC. SPICs were responsible for the functioning and execution of the project. At the PIC level the Chief Slum Development Officer (CSDO), appointed as a project manager and the Community Organisers (COs) were the key people at the implementation stage of the project. Through the CSDO and CO's actions and ideas, the project takes shape. The next important components of the project were the SPIC members, who were responsible for carrying out the project in the slum areas. The duty of SPIC members was to regularly monitor and review progress, maintain records, and handle finances for the project activities in their respective areas (Shamsad and Shamsad 2004). Project director, two

assistant engineers, one sociologist, and other supporting staff were provided per slum area for direct administration and supervision of the project. The project director was responsible for updating the chairman of the PCIs, the elected community project manager of SPIC and other stakeholder partners in the project in order to achieve efficient execution, supervision, and functioning of the project (Siddique et. al 1991).

SIP was designed with the aim to enhance the quality of life of the slum dwellers by providing them with basic services that improve their living conditions and physical environment. It was to increase the capacity of the urban poor (the fundamental recipients of the project) to collaborate with the government in the execution of the project. SIP provided the slum communities with essential components like primary health care services, water and sanitation, education, employment opportunities, development of infrastructure, encouragement to form groups and participate in the project, and an easy access to savings and credit (Siddique et. al 1991). In particular, the framed objectives of SIP are as follows:

- to enhance the abilities of municipalities and city corporations to collaborate with the slum communities in the development and provision of primary facilities;
- to encourage self-sufficient community development through the mobilisation of community sources and easy access to government services;
- to engage women living in slums into income-generating activities for their own advantages;
- to improve the health conditions of children and women by providing basic health services;
- to develop the entire physical environment and infrastructure of the community in order to improve the living conditions in the slums; and
- to develop wide-ranging national policies and strategies to promote the profitability and potential of continuing the provision of basic services to the urban poor (KDC 2007; Siddique et. al 1991).

### Project initiatives and approaches

The underlying strategies of SIP were to accomplish physical, socio-cultural and economic improvement of the urban slums, by making small loans available and to provide the urban poor with easy access to government services. SIP has always given priority to the provision of basic physical infrastructure services to the urban poor and has achieved a major breakthrough in this, with an understanding that physical development is the link to the success of human development and is co-dependent with it. Other connected activities such as health, education, employment, sanitation, clean water supply and environmental improvements were also focused simultaneously (Choudhury 1999; Siddique et. al 1991). The approaches formulated by SIP were to suit the needs and desires of the urban poor and to have effective outcomes for the wellbeing of the urban poor communities. Below is a detailed description of each approach undertaken by SIP:

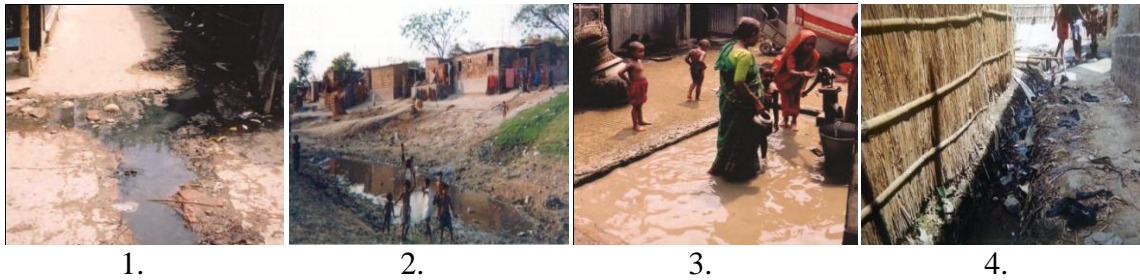
#### *Physical and environment improvement of the slum area*

The Slum Improvement Program's up-gradation work of physical infrastructure and provision of basic services in the slum areas took a major leap forward in improvement projects, both physically and socially. The disadvantaged communities with improved infrastructure services now have a better environment in comparison with their previous conditions. The services provided through SIP had direct impact on the quality of life of the urban poor which indirectly improved their health conditions. Below is an analysis of each infrastructure development by SIP in the slum areas:

- Drainage services

Many slum areas were located on the solid-waste dumping sites on low-lying areas and suffered every year from flooding, water clogging and subsequent epidemics due to the heavy rainfall that continues for months (images 14.1, 14.2, 14.3). Since there were no proper drainage facilities, the slum dwellers had to wait for the dry season to arrive. Another reason for the breakdown of drains was due to blockages caused by the careless disposal of solid-waste into household drains (images 14.4). These occurrences severely

obstructed the physical and environmental improvement of the slum areas and were a major cause of health hazards (Bartlett 2003).



**Images 14: Poor drainage conditions**

Source: Hossain (2007); Shamsad and Shamsad (2004); KCC and SDC (2000)

Considering this, immediate action was taken by SIP through the formulation of storm water drainage improvement plans and the introduction of proper drainage facilities in the slum areas, resulting in the cessation of flooding and water clogging. This action brought significant and positive transformation in the slum areas, with impacts recorded as better health conditions, changes in occupational patterns, more involvement of women in self-employment and, above all, cleaner surroundings and a better environment. Several water borne diseases, skin diseases and, diarrhoea, etc. were also reduced. Women got more involved and focused on informal income generation activities as their living areas remained dry throughout the year. Moreover, their occupational patterns became more flexible depending on seasons and requirements of the market (Shamsad and Shamsad 2004; Siddique et. al 1991).

- Toilet facilities

Toilets, one of the primary requirements of any individual or household, were unseen in almost all the houses in the slum areas of Khulna city. The majority of slum dwellers (ninety per cent) used to relieve themselves in open air drains, open spaces or on the pavements. Sewers and lavatory blocks were completely absent in the community precinct and those constructed on the outskirts of the community were unused because of lack of proper maintenance and awareness (images 15.1) (Ahmed 2003). Another hazardous scenario noticed was that of hanging latrines, which degrade the environment tremendously as they remain open and waste accumulates in one open place (images

15.2). During the rainy season, the situation became worse, as human filth, household waste, drains and rainwater were indistinguishable (images 15.3) (Shamsad and Shamsad 2004; Murtaza 2001; Franceys 2001).



**Images 15: Absence of sanitary facilities**

Source: Hossain (2007); Shamsad and Shamsad (2004); KCC and SDC (2000)

To overcome this appalling situation SIP provided the slum communities with fifty-three toilets with proper water supply and sewerage systems installed. SPIC members also came forward to educate the slum dwellers of the benefits of sanitary facilities and to promote the use of public toilet facilities (Hossain 2007). Consequently, several clusters consisting of (5 to 10 families each) raised funds for the construction and maintenance of a toilet for their specific cluster. There were also families who took the initiative to build toilets for their own individual comfort and clean surroundings. Proper sewerage and toilet facilities had a direct impact on the physical and mental health of the people in the slum settlements, resulting positively on their standards of living, occupations and incomes (Shamsad and Shamsad 2004)

However, in some cases, due to poor socio-economic backgrounds, the slum dwellers could not afford to pay for the toilet facilities and displayed less interest in the provisions. For many poor families, the toilet construction and maintenance prices, although subsidised, were too high, leading to an incomplete end product of cleaner surroundings (Siddique et. al 1991).

- Water supply

Most of the toilets, sewers and drains were poorly maintained and closely located to all the water sources, such as tanks, ponds and, hand pumps, used for bathing and washing clothes and utensils making water conditions extremely unhygienic, unsafe and

unhealthy (Hanchett, Akter and Khan 2003; Bartlett 2003). Eighty per cent of the slum dwellers used ponds for bathing. Women from the community had to walk long distances to collect drinking water for their households from tube wells or built reservoirs located on the outskirts of the slum areas, which not only consumed their time but also affected their home-based businesses (Hossain 2007; Shamsad and Shamsad 2004).

The foremost achievement of SIP was to make drinking water available for the slum dwellers. Thus tube wells and municipality taps were installed in the community (image 16). Investigation and exploration of new sources of ground water supplies were made. The beneficiaries were required to pay Taka five hundred (approximately US\$12) per tube well for ten families – that is, a contribution of Taka fifty (Bangladesh currency) per family (Hossain 2007; Hardoy and Schusterman 2000; Siddique et. al 1991). These payments for the tube wells gave the families a sense of ownership and a guarantee to SIP of the maintenance of the water supply. Making water available for drinking and other purposes improved the living conditions and quality of life of the slum communities. Additionally, the time saved from fetching water was used productively, adding to earning activities, incomes and availability for household chores (Murtaza 2001).



**Images 16: Municipality taps installed in the slum communities**

Source: Shamsad and Shamsad (2004)

- Provision of solid waste bins

It was observed that even with the provision of solid-waste bins, the slum dwellers had a tendency to throw the rubbish and household wastes into the drains or ditches (images 17) (Bhuiyan 2004). Even though garbage bins were provided by the local authorities,

these were destroyed over time by the slum dwellers. A lack of awareness regarding cleanliness hazards made it more difficult for SIP local bodies to manage and maintain the disposal of solid-waste (Hossain 2007; Murtaza 2001).



**Images 17: Solid-waste disposal in low-lying areas and open drains**

Source: Hossain (2007); Shamsad and Shamsad (2004)

However, SPIC members were assigned with the responsibility to educate the slum dwellers on the consequences of the unclean surroundings. The slum dwellers were introduced to solid waste recycling, disposal techniques and collection efficiency. The community on the whole was also made aware of the effects of sanitary health, waste collection and landfill to ensure that they clearly understood the importance of maintaining cleanliness to safeguard their families and own health.

- Development of roads and footpaths

The development of footpaths and roads benefited the entire community in numerous ways mainly by providing easy access to main roads, water sources and community toilets. The construction of roads and footpaths now prevented water from community taps, tube wells and toilets from forming puddles (images 18.1 and 18.2) thereby reducing health risks to community (Ahmed and Ali 2005). These roads also provided easy and swift access to hospitals and health services when needed. A crucial benefit was in reducing the potential loss of lives due to high fire risks in these slums since fires often occur in slum areas due to factors such as specific materials used for the construction of houses, and the closely packed formation of the slums which further spreads the fire more easily. These new roads and footpaths facilitated ease of access to the fire brigade services into the slums (Shamsad and Shamsad 2004).





**Images 18: Benefits of construction of footpaths and roads**

Source: Hossain (2007); KCC (2000)

‘Prodipon’, a non-governmental organisation, started a door-to-door solid-waste collection program due to the better roads and connection to individual households (images 18.3 and 18.4); this provided better services to the community and created awareness about the recycling of solid waste (Bhuiyan 2004; Shamsad and Shamsad 2004; Murtaza 2001). Ease of access provided to the slums benefited the informal businesses carried out by the women in the houses in the slum areas. The new footpaths provided the women with more space to extend their work of sewing and preparing and cooking food, as well as offering a place for social gatherings. The community used the footpaths for multipurpose activities: it acted as an open courtyard for children to play, for people to dry food, for community meetings and for small informal income generating activities (Shamsad and Shamsad 2004).

Overall, through the improved infrastructure services provided by the SIP, the disadvantaged communities now have a better environment and health prospects compared to the previous conditions. These improvements have also indirectly influenced the quality of life of the urban poor.

#### *Socio-cultural improvement*

SIP as a package provided the slum communities with all primary necessities through programs related to socio-cultural, physical and economic wellbeing. Accomplishments in these fields were largely due to social mobilization and community efforts. Raising awareness of the basic facilities provided to the community, coupled with health and education awareness, utilisation of community and government resources, and socio-

economic empowerment required regular interaction and encouragement to the community who were the real beneficiaries of the project. A detailed review on the socio-cultural aspects and approaches of SIP are as follows:

- Improved education and skill development facilities

To enhance the community, SIP took an effective initiative towards educational interventions, focusing on women and children. The introduction of satellite school programs, infrastructure of primary, secondary and, higher secondary level schools and vocational training facilities near the slums (Roy and Abdullah 2005) brought a remarkable reduction in the rate of illiteracy from 57.20 per cent to 47.50 per cent (Shamsad and Shamsad 2004). Women enthusiastically started attending school and also encouraged their children to do so. This enthusiasm considerably increased the percentage of children receiving primary, secondary and higher secondary level education.

Additionally, it was observed that along with raised awareness of a better environment, an increase in income levels, improved health, easy access to the local government organisations, and the understanding of the importance of education in the families of the slums was clearly increased. Almost fifty-six per cent of households started spending from one to ten per cent of their income on education; this was nil before the initiation of SIP (Shamsad and Shamsad 2004). It was also suggested through survey reports that the lower percentage of uneducated women in the slum communities was the consequence of gradual process of gentrification. Another reason noted was the improvement of the physical environment and facilities such as latrines, drains, sewerage system, footpaths and, roads, which had drawn more educated people to inhabit the improved slum areas (Roy and Abdullah 2005).

- Improved health care facilities

Before the initiation of SIP, the slum communities had been suffering from a high child mortality rate and from some common and frequently occurring diseases such as diarrhoea, scabies, asthma, different skin diseases and malaria. The reasons for these occurrences were evident from their poor quality of basic facilities coupled with

appalling living conditions and physical environment. But it was also revealed by the community that an excessive number of households lacked the information on ways to deal with these diseases or on precautions that could be adopted to guard against them. Around 59.8 per cent of households in the slum communities remarked that they do not go to the hospital, but to *Kabiraji* (one who uses traditional plants and leaves for treatment) (9.3%) and to homeopathy clinics (10%) (Shamsad and Shamsad 2004).

However, with provisions of primary health care facilities at the community level and an improvement in the general health infrastructure facilities through SIP, the health of the slum dwellers improved immensely (Hossain 2007). Furthermore, due to awareness programs, education, provision of basic amenities and clean surroundings, the occurrence of diseases and the child mortality rate had also considerably reduced. The percentage of people receiving advice from hospital increased to 66.4 per cent. Even the percentage of dwellers visiting *Kabiraji* and homeopathy had declined to 0.3 per cent and 0.4 per cent respectively (Shamsad and Shamsad 2004). In addition to this, 89.90 per cent of households started spending one to ten per cent of their income on health care services, which had increased from the previous 84 per cent (Shamsad and Shamsad 2004). Overall, it can be concluded that SIP has accomplished to a great extent in their objectives of reaching the poor and helping them understand the importance and benefits of good health and medical services (Murtaza 2001).

#### *Economic empowerment*

It is anticipated that by SIP, better environmental conditions, better knowledge, a raised level of awareness and improved health was achieved, a major affirmative impact on the community. These impacts complemented the income levels and occupations of the slum dwellers in comparison to the earlier conditions before the project started. Low incomes, lack of capital, low levels of education and skills, high debts, fewer income generating family members; as well as social factors such as the dowry, domestic violence, polygamy, insecurity and desertion were some of the aspects responsible for the downward spiral of the poor which cannot be sidelined when attempting to upgrade the community.

An additional issue noticed was that the composition of slums was predominantly of a higher dependency ratio comprising of children (44 per cent) and elderly and disabled people (70 per cent) (Murtaza 2001). Consequently, the labour force in a family was less when compared with the dependent population of the family. In the slums, almost two-thirds of the men and women were engaged in low or unskilled or low-paid jobs. Both men and women changed their jobs depending upon the energy consumption (e.g. rickshaw pulling, construction work, factory work) to a relatively less energy consuming work (e.g. petty trading, house-maid) during their lifetimes. However, by no means, could slum dwellers be ensured of a better paid job at any instance in their lives (Afsar 1999; Siddique et. al 1991).

However, in order to overcome these issues during the up gradation of the physical environment, the men and women were trained and employed to work for their own community (Mohr 2004), which not only improved their skills but also gave them a sense of involvement and empowerment.

Another alternative initiative of SIP was to provide micro-credit loans to women (Hossain 2000); this has been the most successful feature of SIP. This has not only reduced the number of housewives in the slum community but also increased the income levels of the households. The availability of micro-credit loans to the women helped them to start small informal businesses at home; they were able to purchase sewing machines, for home based tailoring businesses, and buy rickshaws (a man pulling three-wheeler transportation used to cover short distance within city) for the man of the house as an income generation activity. In addition to this, twelve per cent of slum dwellers invested their loans in minor trading activities, from which they earned profits and reinvested it in further household improvements. Although the loans were only made available to the women of the family, the reports showed that the entire household had significantly benefited from this initiative (Hossain 2000; Siddique et. al 1991). It was recorded that whilst before SIP only 28.2 per cent of the women, contributed to the income of the family after the project, this increased to forty per cent. The level of income in every household before SIP was 0.2 per cent (approximately 50 USD), which

increased to 3.50 per cent after SIP (Shamsad and Shamsad 2004; Afsar 1999). This demonstrates the positive impacts of the project on the slum communities.

#### Outcomes of Slum Improvement Program (SIP)

- SIP has set a benchmark in slum development in Bangladeshi cities through its provision of socio-cultural, physical and economical services to the urban poor. It has introduced a breakthrough approach to slum development of community participation and involvement in the planning and implementation of activities. SIP is an example of multi-levelled elected representatives and their positive involvement in the implementation (Siddique et. al 1991).
- Through the basic infrastructure provision, such as toilets, tube wells, municipal taps, sewerage and drainage systems, and the construction of roads and footpaths, there has been a significant reduction in frequently occurring diseases, floods, clogging of drain water and, health hazards (Ahmed and Ali 2005); there has also been an improvement in health, an increase in employment opportunities, with slum dwellers becoming more aware of the benefits of clean surroundings (Hossain 2007; Murtaza 2001).
- The initiative of SIP to provide better education facilities to women and children has extensively reduced the percentage of illiterate people from 57.20 per cent to 47.50 per cent (Shamsad and Shamsad 2004).
- Another outstanding accomplishment of SIP is the empowerment of women in the community, specifically through financial support and the micro-credit loans program. This has raised the standing of the women in the family as well as in the community, thereby reducing the cases of violence, polygamy, divorce and desertion of women.
- The micro-credit loans have improved the income level of the families, helped women to start their own informal businesses at home and, invest the loans in minor trading activities to gain further profits. They have also decreased the percentage of housewives in the slums from 92.5 per cent to 83.10 per cent (Hossain 2007).

- Through education programs and health awareness, slum dwellers have started spending their incomes on better health facilities. There has been a considerable reduction in the number of households visiting Kabiraji and Homeopathy from 9.3 per cent to 0.3 per cent and from 10 per cent to 0.4 per cent respectively (Shamsad and Shamsad 2004).
- Overall, the most significant component of SIP has been that it introduced itself as a “pro-poor” program and has been able to alter the notions of social improvement of officials in the government organisations (Siddique et. al 1991).

Table 4.8 on the next page is the summary of the entire case study and follows the same procedures as discussed in section 4.2 of this chapter.

Issues identified for the project need	Project initiatives	Actions and approaches	Results achieved and impact of SIP	Well-being aspects
<b>1. Housing and environment</b>				
<ul style="list-style-type: none"> <li>▪ 200 tons of waste was generated daily and between a third and a half remains uncollected.</li> <li>▪ 33% of the total households threw waste either in-to nearby drains or onto low lands.</li> <li>▪ 25% of the drains attached to homesteads were not paved and 51% of the drains were paved but open.</li> <li>▪ 15% of the houses had no outlet to drain out waste water.</li> <li>▪ This created a public nuisance and a dirty unpleasant environment.</li> <li>▪ There was no sewer network.</li> <li>▪ 38% of households regularly experienced short-term water</li> </ul>	Drainage facility	<ul style="list-style-type: none"> <li>▪ Storm water drainage improvement plan was formulated.</li> <li>▪ Drains were constructed to facilitate the removal of contaminated water.</li> <li>▪ Proper drainage facilities that display the results of stoppage of floods and clogging of water were introduced to the people in the slums.</li> <li>▪ Awareness programs were driven to educate slum dwellers to maintain the cleanliness of surroundings, to use the garbage bins and of the benefits of clean surroundings.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Clean surroundings.</li> <li>▪ Better health conditions and reduction in mortality rate.</li> <li>▪ With change in occupational pattern, the slum dwellers no longer have to wait for dry seasons to come.</li> <li>▪ More women got involved in self-employment.</li> <li>▪ Income levels increased.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> <li>▪ Economic well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> <li>▪ Economic well-being</li> </ul>

<p>clogging.</p> <ul style="list-style-type: none"> <li>84% of city dwellers felt discomfort due to odour pollution.</li> </ul>				
<ul style="list-style-type: none"> <li>90% of the dwellers used open air toilets.</li> <li>5% of the households had hanging latrines and 3% of households had no latrines.</li> <li>84% of city dwellers felt discomfort due to odour pollution.</li> <li>This created a public nuisance and a dirty and unpleasant environment.</li> </ul>	<p>Toilet facilities</p>	<ul style="list-style-type: none"> <li>53 toilets with proper sewerage and drainage facilities were provided.</li> <li>Community latrines cum bio-gas plants were provided to promote a sustainable balance between the environment and the requirements of the population.</li> <li>Slum households were encouraged through education of the benefits of sanitary facilities.</li> <li>A cluster of 5 to 10 families raised funds for the construction and maintenance of toilets for their specific group.</li> </ul>	<ul style="list-style-type: none"> <li>Clean surroundings.</li> <li>Better health conditions.</li> <li>The cases of rape and abduction reduced as prior to the program women had to visit dark places for the open air toilets.</li> <li>Women feel safe.</li> <li>Toilet and sewerage facilities have directly impacted on the mental and physical health of the people and have benefited them in their work.</li> </ul>	<ul style="list-style-type: none"> <li>Environmental well-being</li> <li>Physical well-being</li> <li>Physical well-being</li> <li>Psychological well-being</li> <li>Psychological well-being</li> <li>Physical well-being</li> <li>Economic well-being</li> <li>Psychological well-being</li> </ul>
<ul style="list-style-type: none"> <li>Most of the toilets, sewers and drains were badly maintained and were closely located to all the water sources such as tanks, ponds,</li> </ul>	<p>Water supply</p>	<ul style="list-style-type: none"> <li>Tube wells and municipality taps for the supply of safe water were installed.</li> <li>Investigation and exploration of new sources of ground water supply were made.</li> </ul>	<ul style="list-style-type: none"> <li>Payments for the tube wells gave the families a sense of belonging and a guarantee to SIP of the maintenance of the water supply.</li> </ul>	<ul style="list-style-type: none"> <li>Environmental well-being</li> <li>Socio-cultural well-being</li> <li>Psychological well-being</li> </ul>



<p>hand pumps, used for bathing, washing clothes and utensils.</p> <ul style="list-style-type: none"> <li>▪ Available water conditions were extremely unhygienic and unhealthy.</li> <li>▪ 80% of the slum dwellers used ponds for bathing.</li> <li>▪ Community women had to walk a long way to collect drinking water as there was no water source in the vicinity. Thus affecting their home based businesses.</li> </ul>		<ul style="list-style-type: none"> <li>▪ The slum dwellers were provided with one tube well between 10 families for a contribution of 500 Taka.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The time saved from fetching water was used productively adding to people’s earning activities, incomes and household chores.</li> <li>▪ Making water available for drinking and other purposes improved the living conditions and quality of life of the slum communities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> </ul>
<ul style="list-style-type: none"> <li>▪ 200 tons of waste was generated daily and between a third and a half remains uncollected.</li> <li>▪ 33% of the total households threw waste either in-to nearby drains or onto low lands.</li> <li>▪ 84% of city dwellers felt discomfort due to</li> </ul>	<p>Provision of solid waste bins</p>	<ul style="list-style-type: none"> <li>▪ Dustbins were constructed.</li> <li>▪ One large masonry bin was allotted per 100 families at a cost of 1800 Taka.</li> <li>▪ One corrugated iron dustbin per 20 families was provided at a cost of 930 Taka, where users contributed 2 Taka. A pushcart was used to carry garbage from the dustbins to the masonry bin.</li> <li>▪ Awareness programs were driven to educate slum dwellers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Clean surroundings have directly impacted on the mental and physical health of the people and have benefited them in their work.</li> <li>▪ Better health conditions and a reduction in mortality rate.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> </ul>

<p>odour pollution.</p> <ul style="list-style-type: none"> <li>Created a public nuisance and a dirty and unpleasant environment.</li> </ul>		<p>to maintain the cleanliness of surroundings, about the usage of garbage bins and the benefits of clean surroundings.</p> <ul style="list-style-type: none"> <li>The slum dwellers were introduced to solid waste recycling, disposal techniques and collection efficiency.</li> </ul>		
<ul style="list-style-type: none"> <li>25% of the drains attached to homesteads were not paved and 51% of the drains were paved but open.</li> </ul>	<p>Development of roads and footpaths</p>	<ul style="list-style-type: none"> <li>Footpaths were built to keep the children and women out of the damp atmosphere.</li> <li>Roads and pavements were constructed with slopes towards the drains to prevent water clogging.</li> <li>'Prodipon', a NGO, also started a door-to-door solid-waste collection program because of the better roads and connection to individual households - to provide better services to the community and to create awareness of the recycling of solid waste.</li> </ul>	<ul style="list-style-type: none"> <li>The development of footpaths and roads has benefited the entire community by providing easy access to main roads for work, water sources and community toilets.</li> <li>The construction of roads and footpaths ensures water from community taps, tube wells and toilets that does not get collected in puddles.</li> <li>Roads have provided easy and swift access to hospitals and health services when needed.</li> <li>Roads and footpaths make it very convenient for the fire brigade services to enter the slum during a fire hazard.</li> </ul>	<ul style="list-style-type: none"> <li>Environmental well-being</li> <li>Physical well-being</li> <li>Economic well-being</li> <li>Environmental well-being</li> <li>Physical well-being</li> <li>Physical well-being</li> <li>Psychological well-being</li> <li>Physical well-being</li> <li>Psychological well-being</li> </ul>

			<ul style="list-style-type: none"> <li>▪ The easy access provided in the slums also boosted the informal businesses carried out by the women in the houses in the slum areas.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Footpaths also provided the women with more space to extend their work for sewing, preparing and cooking food and created a place for social gathering.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ The community used the footpaths for multipurpose activities: as an open courtyard for children to play, to dry food, for community meetings and, small informal income generating activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>
<b>2. Learning and employment</b>				
<ul style="list-style-type: none"> <li>▪ More than 40.97% of the slum population could neither read nor write.</li> <li>▪ 9% were only able to sign their name.</li> <li>▪ Only 30.40% had received primary level</li> </ul>	Improved education and skill development facilities	<ul style="list-style-type: none"> <li>▪ SIP introduced satellite school programs for women and children.</li> <li>▪ Infrastructure was improved of primary, secondary and, higher secondary level schools near the slums.</li> <li>▪ Skills and vocational training</li> </ul>	<ul style="list-style-type: none"> <li>▪ 56% of families in slums now spend 1 to 10% of their income on education.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ With an increase in income levels, education is given more importance.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>

<p>education.</p> <ul style="list-style-type: none"> <li>▪ Only 12.40% had received secondary level education.</li> <li>▪ Zero per cent had received higher level of education.</li> </ul>		<p>facilities were also introduced.</p>	<ul style="list-style-type: none"> <li>▪ Women’s education has resulted in a greater number of children attending schools.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Development of infrastructure brought a remarkable change in the rate of illiteracy from 57.20% to 47.50%.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
<p><b>3. Health and well-being</b></p>				
<ul style="list-style-type: none"> <li>▪ Only 59.8% of households went to the hospital in case of fever or any disease.</li> <li>▪ A significant proportion of dwellers were dependent on <i>Kabiraji</i> (9.3%) and homeopathy (10%).</li> </ul>	<p>Improved health care facilities</p>	<ul style="list-style-type: none"> <li>▪ Primary health care facilities were provided in the slum areas.</li> <li>▪ Infrastructure of the existing health care services was improved.</li> <li>▪ Awareness programs were driven to educate the urban poor about precautions against health hazards.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The percentage of slum dwellers now visit the hospital is higher than before, at 66.40%.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ 89.90% of households spend 1 to 10% of their income on health care services; this has increased from 84%.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Due to health awareness, the percentage of dwellers depending on <i>Kabiraji</i> and Homeopathy has reduced to 0.3% and 0.4% respectively.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Slum dwellers now take more precautions and care of their health, which has resulted in cleaner surroundings.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> </ul>

<b>4. Pride and participation</b>				
<ul style="list-style-type: none"> <li>▪ Slum dwellers spent 50-60% of their income on food.</li> <li>▪ 15-18% of their income went in housing expenditures.</li> <li>▪ Slums were marked by predominance of children (44%) and higher dependency ratio was about 70%.</li> <li>▪ Active-age population was merely 54.5%.</li> <li>▪ Almost 2/3<sup>rd</sup> of the men and women were engaged in low or no-skilled or low-paid jobs.</li> </ul>	Improved income opportunities and availability of micro-credit loans	<ul style="list-style-type: none"> <li>▪ During the up-grading of the physical environment of the community, the men and women of the community were trained and employed to work for their own community.</li> <li>▪ Micro-credit loans were provided to the women of the family.</li> <li>▪ The financial support of SIP increased the income levels of the households in slums.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Women are more empowered with skills and employment.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Micro-credit loans have reduced the percentage of housewives in the slum community from 92.5% to 83.10%.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Availability of micro-credit loans to the women have helped them to mend their houses, pay for construction of toilets, water services, drainage and sewage systems, start small informal businesses at home, buy sewing machines for home based tailoring businesses, buy rickshaws for the man of the house as an income generation activity, etc.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ 12% of slum dwellers have invested their loans in minor trading activities, from which they earn profits and further invest this in household improvements.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Economic well-being</li> </ul>

			<ul style="list-style-type: none"> <li>▪ Prior to the project 28.2% of the women, contributed to the income of the family; after the project this increased to 40%.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ The level of income in every household before SIP was 0.2% (approximately 50 USD), which increased to 3.50% after SIP.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> </ul>

**Table 4.8: Slum Improvement Project (SIP), Khulna**

Source: Shamsad and Shamsad (2004); Murtaza (2001); Siddique et. al (1991).

Table 4.9 below is the assessment based on the table 4.8 above as discussed in section 4.2.

Evaluating items for built environment	Measuring aspects of identity				
	Environmental well-being	Physical well-being	Socio-cultural well-being	Economic well-being	Psychological well-being
Environment and housing	✓✓✓✓✓✓	✓✓✓✓✓✓ ✓✓✓✓✓	✓✓✓✓	✓✓✓✓✓✓ ✓✓✓	✓✓✓✓✓✓ ✓✓✓✓✓
Learning and employment	✓		✓✓✓✓		✓
Crime and safety					
Health and well-being	✓	✓✓✓✓	✓✓✓		
Pride and participation	✓✓	✓	✓	✓✓✓✓✓✓	✓✓
Government responsive	✓	✓	✓	✓	✓

**Table 4.9: Assessment of SIP initiatives**

The initiatives undertaken by Khulna City Corporation in collaboration with the Government of Bangladesh and UNICEF are measured against the identity aspects in the table 4.9 to check the fulfilment of the redevelopment approaches. The assessment is to identify the key aspect of the built environment that had the maximum impact on the identity renewal of the slum dwellers of Khulna. The table 4.9 above indicates strong response by the stakeholders particularly in the areas of housing and environment, and pride and participation. However, the table also reveals some gaps regarding the approaches towards learning and employment, crime and safety, and health and well-being. Nonetheless, for a commendable and significant job, government responsive – another evaluating item – has been marked an all five. These three aspects of the built environment are the outcomes of a successful example that has proven to improve the living conditions of the slum dwellers. Thus, the assessment demonstrates that the evaluating aspects for the built environment – housing and environment, pride and participation and government responsive – can bring positive results in the development of the identity of urban poor.

The following case study has also been analysed for the best practices and gaps of the program in relation to the identity renewal. It will also act as a course of action for the professionals and practitioners of future urban renewal works.

### Best practices of Slum Improvement Program (SIP)

- **Competency of the organisational structure:** The organisational structure and hierarchy of SIP that manages the entire project is distinctive and is one of the most interesting features of the project. The whole organisation has the capacity to “vertically unpack”, in the sense that it forms structures at the local level and these liaise with the official decision-making authorities (Hossain 2007). Another significant component of SIP has been that it introduced itself as a “pro-poor” program and has been able to alter the notions of social improvement of officials in the government organisations (Roy and Abdullah 2005).
- **Involving the community:** SIP has introduced a breakthrough approach to slum development through community participation and involvement in the planning and implementation of activities, a democratic process of decision making, and an affirmative involvement of elected representatives at every level of implementation (Ahmed and Ali 2005; Dubois 1997; Siddique et. al 1991). In parallel with credit benefits, low-cost and labour-intensive techniques were applied by SIP for physical development, such that the slum dwellers could participate in construction work, shedding the labour cost and empowering themselves with construction skills. The responsibility for the servicing and maintenance of tube wells, latrines, drains, footpaths and dustbins was allocated to the users, to guarantee the preservation of the facilities and to promote a sense of belonging.
- **Empowerment of women:** Another outstanding accomplishment of SIP is the empowerment of women in the community, specifically through the financial support and micro-credit loans program. This has raised the standing of the women in the family, as well as in the community, as the loans were provided only to the women of the family; thereby the cases of violence, polygamy, divorce and desertion of women have significantly reduced (Hossain 2007).



Women were encouraged to participate in water and sanitation programs to promote safe water and safe latrine practices and to ensure its sustenance. Women's involvement was encouraged through the recognition of a higher social status.

#### Gaps in the Slum Improvement Program (SIP)

- **Centralised decision-making:** As stated above, the organizational structure of SIP's management hierarchy is distinctive and is one of the most interesting features of the project. The entire organisation has the capacity to "vertically unpack", in the sense that it forms structures at the local level and these liaise with the official decision-making authorities. In spite of this, the vast organisational structure of SIP could not deliver all the required results, as planning and decision-making was done at a centralised level (by the Central Coordination Committee (CCC) and Project Implementation Committee (PIC) levels. This meant that other community level groups, especially the Sub-Project Implementation Committee (SPIC) were primarily carrying out tasks decided at the higher levels (Hossain 2007; Siddique et. al 1991).
- **Lack in recognition:** At the organisational level, it was observed that Community Organiser's (COs) played the most vital role in bridging the gap between the community and the officials. All major factors of social and physical change were handled by the COs on site. SPIC members and the credit groups relied on the COs for the execution and operation at the community level. The major positive effects brought about by the COs were appreciable, for they had no formal training or experience. Yet, officials at higher posts have never recognised the efforts of the COs. Moreover, the status level in the project of a CO is very low and it does not provide any job security to them (Ahmed and Ali 2005).
- **Unethical conduct:** Revolving funds for the payments of the COs' salaries have not yet been fully developed, even though arrangements were made by UNICEF to support the COs' position for another 5 years for the preservation and continuation of the project (Siddique et. al 1991).

- **Lack in expertise:** It was observed that the actions taken towards improvements were not equivalent or uniform in all SIP slums. It was also noticed that the maintenance of drains and sewerage was poorer in some places. The physical components provided in the slums to prevent water clogging and overflow of drains and sewers were not designed to suit the local terrain and topography. Thus, in many places SIP's physical infrastructure provision did not provide any help to the poor. Depending on the services provided by SIP to the slum communities, the sustenance level of the project varied as the needs of the individual slums were different to each other. For instance, one section of slum prioritised drainage and sewerage facilities because of flooding and water-clogging, whereas another section wanted to focus on education and micro-credit loans, because they were at a higher socio-economic level and therefore already had better homes. It has been remarked that the government organisations responsible were lacking in trained and experienced staff for the execution and operation of the project and that the urgency was not realised. Secondly, the staff was not capable of managing the organisation's huge financial resources. With the increasing challenges and demands for basic physical and social infrastructure, the existing financial arrangements governing municipal finance cannot be expected to cope with this (Hossain 2007; Abdullah and Roy 2005).
- **Lack of alternative planning:** In some cases, the slum dwellers displayed less interest in constructing or upgrading their sanitary services due to their poor socio-economic condition. Even though the prices of construction were subsidised, the poor could not afford the construction. To overcome such severe conditions SIP should have been flexible enough to implement immediate bursary help (Hossain 2007; Murtaza 2001). The credit management within SIP was not always reasonable and democratic. In some cases, the management committee selected the households in accordance to SIP operating guidelines. Also, the loan recovery service charge (15 per cent per annum) was too high for the poorest of the poor, which resulted in one household among five without sanitary services and a safe water supply. For some slum dwellers the economic

conditions have not improved much and they still remain outside the reach of the SIP credit and savings program (Hanchett et al. 2003).

- **Inaccurate calculation and planning:** SIP provided one water source and toilet facility between clusters of ten families in a community. Fifty per cent of families in the slums are made up of more than five people. However, the average number of people who used one water source is 278.75, which is undoubtedly very high. This created long queues to collect water and at the same time it caused a social imbalance in the form of misunderstandings and quarrels. Secondly, an average of 220 people used one toilet provided by SIP, which is beyond imagination (Shamsad and Shamsad 2004).
- **Lack of transparency:** Field level organisers and SIP recipients raised concerns over the planning procedures and project funds. A lack of transparency and fiscal accountability were serious concerns for the SIP model (Hossain 2007; Siddique et. al 1991).
- **Need for human resource development:** Numerous studies show that slum communities require human resource development, community motivation, and organisation for sustainability and future development (Roy and Abdullah 2005). However, SIP had focused more on physical developments - whose sustainability cannot be guaranteed unless the community is empowered by human development.

### Lessons learned

- The organisational body of SIP's management hierarchy is distinctive and is one of the most interesting features of the project. The entire organisation has the capacity to “vertically unpack”, in the sense that it forms structures at the local level and these liaise with the official decision-making authorities. For the success of the program the most essential feature is to have a proficient and organised management body to run the program.
- From the critical analysis discussed earlier it is learnt that for the wellbeing of the community the project components should be more flexible and should recognise local residents' needs and the peculiarities of individual sites. Also, the

innovative strategies applied for the physical improvement work should be both practical and economical for the urban poor and should give long-term results.

- It is essential to appoint skilled, trained and experienced staff for the implementation and monitoring of the program such that they are capable of coping with the challenges, understanding the urgency of their responsibilities and can plan the use of financial resources from government and local bodies efficiently.
- Community engagement and consultations for planning and major investment decisions facilitate an increase in the level of liability within the city management and also in the recipients of the services. Partnerships with the local community groups should be effective and encouraged because this puts decisions in the hands of the residents who are most motivated, who will ensure good performance and who are able to make a direct connection between their hard work and community development, even when the officials fail to keep up duties.
- For good collaboration between each stakeholder, the service providers should ensure that the functional responsibilities and the revenue usage for local services should be clarified to each body. Cost-sharing arrangements should be specified and shared revenues should be stable and transparent. Regulations and policies concerning the transfer of funds to the local government, the performance of financial management, the efficient use of resources and the mobilisation of local revenues should be regularly updated.
- Public sector organisations and interventions should be carefully crafted and selected so as to protect the urban poor in a way that does not discourage private sector participation in community renewal work. Also, the prices of the services provided to the urban poor through the private sectors should be decided cautiously, such that this is balanced on both sides.
- It is important to support women to a position of better social standing in the family and community. Women's participation can bring major improvements in the levels of education, health, income and family wellbeing.

- Another important technique used by SIP was to provide the community with a service delivery package wherein the community members were trained in techniques to maintain and repair the tube wells, latrines, drains, footpaths and dustbins. This strategy not only ensured the sustenance of the project components but also provided the slum dwellers with skills and aptitudes for employment.

### Conclusion

It is apparent that the slum dwellers of Khulna have benefited through SIP and the slum environment has been extensively improved. But there are still many issues that need to be resolved. The provisions of basic facilities provided to the slum households are far below the actual requirements. The safe and clean water supply sources are inadequate, the number of toilets is insufficient, there is no solid waste collection or disposal provided by the government; the provision of sewerage and drainage services does not cover the entire slum area and there are still some parts of the slums that suffer from floods and water clogging. Moreover, most of the slum dwellers are rural migrants and do not have the knowledge and experience to live in dense urban areas and to use basic urban infrastructure services (Shamsad and Shamsad 2004; Afsar 1999).

To overcome these issues it is important to acknowledge the needs of the urban poor by developing human resources alongside the development of mere built environment aspect. From the analysis, it is evident that the authorities have only focused on the infrastructure development of the slums, whereas human development components - learning and employment, crime and safety, and health and well-being – have not been entirely addressed and still have some gaps to be filled, which are equally important for identity renewal and for longevity of the project. Slum dwellers are lacking in knowledge about the environmental degradation around them and do not understand the gravity of the issue. There is an urgent need to educate and encourage slum inhabitants to bring about an awareness of the problem. Community involvement, utilisation procedures, training, maintenance of the services and a strong institutional base can ensure the sustenance of the project goals and in the long-term will improve the living conditions of the urban poor. However, accurate policies and measures, efficient management, maintenance of the up-grading followed by skilful urban renewal programs

can be some of the realistic approaches to bring about positive influences on the wellbeing of the urban poor (Mridha and Rahaman 2005).

#### **4.2.4 New North Program, Girrawheen, Australia**

Unlike the Sustainable Urban Development Program of Curitiba, Brazil, Ahmedabad Slum Networking Program of India and the Slum Improvement Program of Khulna, Bangladesh the following case, the New North Program, is of a developed country scenario in Australia. Similar to the previous case studies, the New North Program is also a government initiative intended to benefit the whole community by overcoming socio-cultural, physical, economic and environmental issues, while focusing on improving the housing conditions and wellbeing of the disadvantaged communities. The program is a joint effort of the Ministry of Housing and private developers commenced in 1998 (Quirk 2001). The New North Program falls under the Ministry of Housing's New Living Program covering the redevelopment of Homeswest's property in Balga, Koondoola, Girrawheen and Westminster (DHW and Satterley Group Report 2006; Merrit 2000). It is the largest urban renewal project undertaken in Australia (DHW Report on New Living Program submitted to World Habitat Awards 1999). Thus to narrow down the study, the research focused on only one suburb – Girrawheen.

Girrawheen was an extremely socially disadvantaged area with high levels of unemployment, under-employment, crime, domestic violence, vandalism, graffiti, low levels of education and substance abuse. From the built environment perspective, Girrawheen was of low-medium density of mainly single dwellings, built in the late 1950s and public housing. The new dwellings that were built in the later stages were extremely identical in type and design to the previous ones. Thus the suburb was very 'homogenous' with little or no mixed usage structures (Quirk 2001). In terms of community amenity and infrastructure, Girrawheen has schools, place of worship, community centres, two shopping centres, parks, one local bank branch and a post office. The levels of maintenance of these facilities were not at desirable levels and were not proximate to each other. Mostly all nodes of activity were fragmented, unattractive, centres of illicit activities and were perceived as "dangerous" (Quirk 2001). Girrawheen required extreme work on its built environment, community development, education, and had needs to engage marginalised groups to prevent criminal behaviour.

### Project description – New North Program, Girrawheen

The New North Program, a component of the New Living Program was instigated by Greg Joyce, retired Director General of the Department of Housing (DoH). The program focused on renewal of the built environment in socio-culturally and economically disadvantaged communities. Basically in areas of high concentration of public housing, social stigma, depressed property values, high levels of anti-social behaviour, high vacancy rates, vandalism and a fleeting population located in and around urban and regional areas in Perth (Day 2000). The program aimed to accomplish an appropriate strategy to deliver suitable, affordable, and sustainable housing by renewing old public housing; to establish more attractive living surroundings; to diminish the Department's rental authority; engender community spirit; and to promote dwelling rights (Eringa 2003; DHW 2001). The main focus of the program was on 'blighted areas' – resulting from former design and planning errors or well-intentioned but misguided notions and theories on public housing. The plan was to renew, to refurbish and to increase the sales of housing stock, instead of undergoing demolition and redevelopment to bring about improvements. The key aims of the New North Program were same as the New Living program:

- diminish the public housing presence which dominated the area;
- refurbish houses for sale;
- reduce the social stigma caused by the density of inappropriate and redundant public housing;
- upgrade and refurbish public rental housing;
- enhance the social mix;
- improve the area with streetscapes and parks to create a satisfied neighbourhood;
- encourage a sense of additional security for residents by abolishing areas that render sites available for anti-social behaviour (Walker et. al 2007; Quirk 2001; DHW 2001).

It was anticipated that the above aims will render affirmative transformations that focus on socio-cultural, economic and environmental problems encountered by the disadvantaged neighbourhoods. These communities were situated in areas of high



density public housing and were suffering from a poor social image bestowed on them by the past thirty years of government public housing policies and practices. In adherence with the current government policies, the New Living Program aimed to resolve the negative consequences of previous public housing and recognised the following elements of the disadvantaged communities that should influence the approaches of contemporary social housing (Walker et. al 2007):

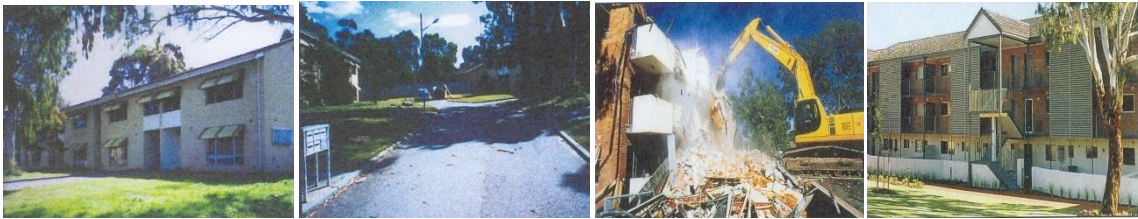
- physical determinism
- cycles of disadvantage
- high intensity of the urban poor
- social inclusion/exclusion
- social capital

Even so, the New North Program strived to balance the aims and objectives of the New Living Program with the dilemma of meeting both social justice goals and the requirements of the community as a whole (Merrit 2000). The complex, and at times conflicting urban renewal policies reinforcing the New Living Program, were further developed and designed to support the context of disadvantaged communities, by aiming to strengthen their linkages with formal society and contribute to their socio-cultural, emotional, physical and economic wellbeing (Walker et. al 2007, 2001).

The New North Program, an element of the New Living Program was under the administration of the Ministry of Housing, Department of Housing (DoH) and was managed by the Landstart Division, which was run in partnership with the private sector – Satterley Group. The program attempted to incorporate redevelopment work for the whole neighbourhood under the urban renewal program in partnership with the private sector and a neighbourhood-wide approach (DHW Sustainability Report 2005; Quirk 2001).

Several steps were undertaken in the New North Program guided by the policies of the New Living Program before the inception and implementation of the project. At the beginning of the project, the Department signed a Memorandum of Understanding with the neighbourhood authority responsible for the maintenance of the parks, gardens,

streets and public open spaces, after which the transformation process was, initiated (Merrit 2000). Next, the DoH, in collaboration with the local departments, authorities and with the private partners, categorised areas of social housing that were in disrepair due to the social, physical and economic factors that surround them. At this stage, as the process of negotiation with other collaborators was in progress, the DoH started communicating with the local neighbourhoods and encouraged them to participate in the planning and decision making for their community (Walker et. al 2007). During this period, the DoH noted houses in need for renovation, houses that needed to be retained for rental purposes and houses that were to be sold. Houses that were in poor condition and in need of renovation that costs more than \$30, 000 were demolished and the land was sold (images 19) (Van der Meer and Nichols 2003).



**Images 19: Demolition of inappropriate social housing and development of new housing with improvements in infrastructure**

Source: DHW (2001)

Individual families were given a written notification to inform them that their house was in the area recognised for urban renewal. The site manager then informed the families of the alternative living arrangements available for them, including the support that would be provided to the families who wished to take on or families who wished to stay in the same place instead of relocating.

Overall, for the successful execution and functioning of the project, the main focus of DoH was to engage the private sector and the community in the neighbourhood development processes. The provision of choice to the households between the approaches of relocation and in situ replacement was intended to support the contentment and welfare of individual households and neighbourhood. It was also intended that tenant privileges be safeguarded and affirmative well-being be secured

throughout the execution process (Walker et. al 2007, 2003). Until today, the New North Program has been able to sustain its implementation process through its visionary and ‘whole of suburb’ approach to urban renewal. In general, the most visible transformation conducted by the New North Program was that of physical change, notable in Girrawheen are as follows:

- redevelopment of public housing areas;
- renovation of houses including painting, carpeting, renovation of bathrooms, toilets and kitchens, and installation of driveways and carports;
- demolition of public housing to make way for new land subsectors;
- beautification of the area through landscaping, street scaping, and creation of parks;
- street-lighting, traffic management, and entry statements installed for stronger security purposes (Eringa 2003; Merrit 2000).

#### Project initiatives and approaches

The strategies of the New North Program have displayed an ability to transform the entire neighbourhood by introducing services and programs designed for the communities. These programs were based on their individual characteristics and socio-cultural, physical, economical, historical and political contexts of the region. Girrawheen that had a reputation of anti-social behaviour, high crime rates, vandalism and underprivileged facilities, was given a new beginning. The whole neighbourhood experienced the benefits as employment was generated, property prices were raised, home-ownership was increased and dilapidated public housing was completely altered. To ascertain all the transformations, it has to be acknowledged that a single measure cannot tackle all the significant issues experienced and attributed to the disadvantaged community. However, meaningful approaches to planning and execution were designed to have a broader implication to suit individual households and to have effective outcomes for the wellbeing of the community. Below is a detailed description of each approach undertaken by the New North Program in Girrawheen:

### *Housing and environment*

One of the primary goals of the New North Program was to make Girrawheen financially stable, and to lift the social stigma attached to it. The idea was to encourage individual households with initiatives such as home ownership, affordable homes, in-situ development programs, relocation strategies, and the promotion of increased property values. The New North Program adopted a combination of improvement, demolition, new building and sales to existing tenants. The tenure policies and practices encouraged mix of tenures and were designed to be suitably accommodating to meet individual household desires and choices (Eringa 2003; ABS 2002). The Program incorporated a high degree of workable community participation and was self-funded through the sale of upgraded properties, vacant land and new brownfield sites created by demolition (Hames, Minister of Housing, Media release, 1999).

The preference was to attempt to meet the needs for refurbished dwellings and for the vacant lots to be made available for sale in the market in order to encourage home ownership (images 20) (Merrit 2000). The in-situ development proposed by the Program included the installation of townhouses, with flats gutted or proposed for renovation of features such as well-equipped kitchens, bathrooms and toilets, interior and exterior paintwork, undercover parking, new curtains, carpets and light fittings, new fixtures, floor tiling, window treatment, and the provision of brand new packages of a fridge and washing machine. The high quality refurbishments included painting and installing fences, security fly doors, gates, new doors and window locks and carports (Merrit 2000).



**Images 20: Refurbishment of townhouses and individual properties**

Source: DHW (2001)

Also, the areas surrounding the houses were skilfully landscaped and reticulated. The orientation of existing houses including setbacks and block size in many areas was not altered and was landscaped according to the positioning of the house block. The beautification of streetscape and parks was a major part of the overall Program (images 21). The basis for this was to make residents feel confident that the image of their suburbs will improve. As part of the plan the private developers in partnership with the local government authorities organised competitions to encourage existing residents to beautify their front yards and gardens (Quirk 2001). It was also proposed to develop roads, pavements, install streetlights, roundabouts, entry-statements and cul-de-sacs to make streets pedestrian friendly and safe for children (image 21 - 1). Moreover, improvement of parks (image 21 - 2), provision of children's play equipment (image 21 - 3) and public work maintenance programs were also organised, in order to reclaim a place from illicit activities for social gatherings and events.



**Images 21: Infrastructure development, re-creation of parks and green spaces**

Source: DHW and Satterley Group Report (2006); DHW (2001)

However, due to these measures, the property prices in Girrawheen increased to almost three hundred per cent since the project began in 1998. According to the Real Estate Institute of Western Australia (WA), the rise in retail value of all dwellings in Girrawheen has been in excess of seventeen per cent, which has certainly changed the profile of purchasers (Eringa 2003; ABS 2002). The aim of New North Program to increase home ownership in Girrawheen has also met to an extent. Nearly all houses put forward for sale under the program were sold profitably and the return requirements of the Department have been met.

*Employment and learning*

The Department encouraged the private sector collaborators to employ local trades' people, youth and marginalised groups for the refurbishment of the dwellings and in the infrastructure development of their suburbs (Merrit 2000; Day 2000). It was recognised that this technique not only fostered employment, skills training, community engagement with the local craftsmen and possible industry initiatives but also disconnected the link between unemployment and criminal activities (Saunders and Taylor 2002; Weatherburn 2002). Moreover, employment gave communities a sense of merit and direction that affected both individual and family well-being (Walker et. al 2007; Headey and Wearing 1998; Weston 1998).

*Crime and safety*

Reduction in the high percentage of public housing, the increase in home ownership, the re-creation of parks, the upgrading of streetscapes and the use of Safe City designs have assisted a great deal in reducing crime, vandalism, domestic violence, anti-social behaviour and in making residents feel safer. Moreover, to reduce the apprehension and sensitivity among the residents, the local governments introduced security patrols. Other built environment solutions like enhanced street-lighting, better conditions for pedestrians, presence of surveillance cameras, proper maintenance of existing structures and reassessment of the use of public spaces positively responded in reduction of crime. The local government also encouraged the residents to participate in local events in community parks in order to "reclaim the place" (Quirk 2001).

A DHW Landstart publication, '*Transforming Communities, Changing Lives*' (1999) have stated that "the New Living Program has revitalised communities throughout WA."

*Health and well-being*

Feedback from residents of Girrawheen have confirmed that the New North Program have positively impacted on their emotional health and wellbeing, by improving housing conditions, refurbishing homes and developing infrastructure. Minor or major appropriate changes brought into the community and suitable to the residents have

effectively improved health, educational facilities, crime prevention, provision of emergency services and employment opportunities (Walker et. al 2007; Saunders and Taylor 2002; Weatherburn 2002).

### *Pride and participation*

The New North Program encouraged residents of Girrawheen to participate in the development and to be thoughtful towards their neighbourhood. Marginalised groups participated in the execution and operational works, adding to their sense of ownership and security and started embracing the transformations in the physical environment (Walker et. al 2007).



### **Images 22: Community office and people's participation in the decision-making**

Source: DHW and Satterley Group Report (2006); DHW (2001)

The New North Program boosted the community so that it can undertake initiatives towards community facilities and services. However, community local groups and councils themselves facilitated the introduction of community programs and innovative ideas for gathering, getting to know each other and taking decisions for the benefit of their own community (image 22) (Parry and Strommen 2001; Randolph and Judd 2001; Randolph 2000). Christmas Carol Concerts, Club J Kids Holiday Camps, Neighbourhood Watch and security patrols, clean-up days, school grounds improvements, sporting club support, school-based environmental projects, Blue light discos, youth scholarships, equipment grants and funding assistance for school camps were some of the initiatives to engage the residents with the community. Success in the establishment of Girrawheen, the growing sense of community spirit, and in the use of

local government, sporting and school networks have attracted a large number of new residents to the areas (Day 2000).

#### Outcomes of New North Program

- From the census report of 1996 and 2001 it has been recorded that the presence of public housing has been considerably reduced in Girrawheen from one in three dwellings in 1996 to one in six in 2002 (Eringa 2003), thus increasing the opportunities and compass of New North objectives.
- There were consistent changes in tenure in New North suburbs with large-scale sales of public housing stock, signifying that a significant section of the stock was purchased by owner-occupiers rather than investors (Quirk 2001). This suggests that the goal of encouraging home ownership was achieved to some extent.
- Another goal of the New North Program was to increase the property values in Girrawheen; this was gradually achieved with the development of infrastructure and refurbishment and construction of new blocks and dwellings. This showed an increase in median house price from 4.3 per cent per year in December 1989 to 63.8 per cent in June 2003 (Eringa 2003; ABS 2002; Merrit 2000).
- According to the Real Estate Institute of Western Australia (WA), the rise in retail value of all dwellings after New North Program in the Girrawheen has been in excess of seventeen per cent, which has certainly changed the profile of purchasers (Eringa 2003).
- The most significant change in Girrawheen noted after New North Program between 2001 and 2006 has been in the income inflation of the lowest quartile group calculated from the Perth Statistical Division individual income data. There was a clear inflation from 33.6 per cent to 30.1 per cent (ABS 2006).
- According to the Australian Bureau of Statistics (2006), the largest change in the qualifications of the population in Girrawheen between 2001 and 2006 increased from 890 to 1, 042 in Vocational and 231 to 340 in Bachelor or Higher degree.



- It was also noted that the number of children and youth not attending to any educational institution reduced from 6,096 to 5,353 in a period of 5 years from 2001 to 2006 (ABS 2006).
- Similarly with employment, the number of people employed in Girrawheen showed an increase of 208 persons and the number of unemployed showed a decrease of 358 persons between 2001 and 2006 (ABS 2006).
- The refurbishment of 950 homes per year and the development of surrounding infrastructure have increased employment opportunities and the demand for skilled labour. This has also resulted in a sense of belonging in the residents who are taking interest in upgrading their own properties in response to the project work being undertaken around them. (Walker et. al 2007; 2002).
- With infrastructure development and the introduction of Neighbourhood Watch, Safe City Designs and security patrol, residents became more aware of their surroundings and created a community based task force for the sustenance of the project, resulting in an incredible reduction in crime of fifty-five per cent in the first three years of the project. Some of the more recent projects are showing a fifty per cent reduction in criminal offences in just one year (Quirk 2001). The local community spirit and pride is fostering the introduction of new residents to Girrawheen (Day 2000).
- Community groups and volunteers now take pride in helping and sponsoring facilities for the under-privileged in their community (Day 2000).

Table 4.10 on the next page is the summary of the entire case study and follows the same procedures as discussed in section 4.2 of this chapter:

Issues identified	Actions and approaches	Results achieved	Wider impact	Well-being aspects
<b>1. Project initiative: Housing and environment</b>				
<ul style="list-style-type: none"> <li>▪ High density of public housing and single dwellings constructed in late 1950.</li> <li>▪ Overcrowding</li> <li>▪ Need for up grading of inappropriate townhouses, individual dwellings, and public rental housing.</li> <li>▪ Poor condition of infrastructure, community parks and open spaces.</li> <li>▪ No street-lights.</li> <li>▪ Indications of the need for beautification projects.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Home ownership was actively encouraged.</li> <li>▪ Development and refurbishment of smaller blocks was undertaken to attract families, professional couples and singles looking for special rates, high quality and established facilities.</li> <li>▪ All flats, townhouses and single dwellings to be refurbished were developed in accordance with their existing nature with a desire for taste, low-maintenance, convenience and secure living.</li> <li>▪ Houses put forward for sale under the program by DoH were affordable than the average sale value of established houses and empty lands.</li> <li>▪ Dwellings in appalling</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reduction in the percentage of public housing to private home ownership from 32 per cent to around 12 per cent.</li> <li>▪ Averages of 180 homes were refurbished every year – two-thirds have been sold and the balance is retained by DoH.</li> <li>▪ The median prices of the properties across all the suburbs under the program have increased almost by 300 per cent.</li> <li>▪ According to the Real Estate Institute of WA, the rise in retail value of all the dwellings in Girrawheen has been in excess of 17 per cent per annum.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Refurbishing flats to condominiums and townhouses offers a whole new lifestyle to residents wishing to have attractive, affordable, secure and well-maintained homes.</li> <li>▪ All neighbourhoods under the program gained a property value rise.</li> <li>▪ Conventional proof of the areas' value being enhanced and gaining market acceptance changed the profile of purchasers.</li> <li>▪ To date, all the properties have sold profitably and the return requirements of DoH have been met.</li> <li>▪ The dramatic reversal of previous trends in the area points towards a very promising future.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> <li>▪ Economic well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> <li>▪ Economic well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>

<ul style="list-style-type: none"> <li>▪ Dark alleys and streets invite criminal activities.</li> </ul>	<p>conditions were demolished and new houses were built with a set of rigorous building guidelines which ensured that all new homes were built to one exemplary standard.</p> <ul style="list-style-type: none"> <li>▪ Up-grading of parks and public open spaces, enhancement of streetscapes including reticulation of the street plantation, and provision of entry statements was undertaken in partnership with the local councils.</li> <li>▪ Up-grading of paths and shade corridors.</li> <li>▪ Ensuring that all small pocket precincts reflect the contemporary urban design standard ideals, including solar orientation, high-quality streetscapes and parklands.</li> <li>▪ As part of the plan the private developers in partnership with the local government authorities organised competitions to</li> </ul>	<ul style="list-style-type: none"> <li>▪ Crime dropped an incredible 55 per cent in the first three years of the development of physical environment. Some of the more recent projects are showing a 50 per cent reduction in criminal offences in just one year.</li> </ul>	<ul style="list-style-type: none"> <li>▪ This has resulted in many other residents upgrading their own properties in response to the project work being undertaken around them.</li> <li>▪ Taking into consideration the existing urban layout, environmental factors were enhanced through various initiatives to improve the walkability of the suburbs.</li> <li>▪ Greater sense of security amongst residents.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
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	encourage residents to beautify their front yards and gardens.			
<b>2. Project initiative: Learning and Employment</b>				
<ul style="list-style-type: none"> <li>▪ Lack of employment and educational facilities.</li> <li>▪ No proper skill.</li> <li>▪ Less employment opportunities.</li> <li>▪ Youth involved in vandalism and graffiti.</li> <li>▪ Less attendance in schools.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Department has encouraged the private sector collaborators to employ local trades' people, youths and marginalised groups for the refurbishment of the dwellings and in the infrastructure development of their suburbs.</li> <li>▪ The Department fosters employment, skills training, community engagement with the local craftsmen and possible industry initiatives; also taking place is a disconnection in the link between unemployment and criminal activities.</li> <li>▪ The New North Program sponsors a bus that transports teenage students to and from a specialised education site.</li> <li>▪ The Program also sponsors coaching and motivational sessions by well-known</li> </ul>	<ul style="list-style-type: none"> <li>▪ Engendering wider community support and participation.</li> <li>▪ Refurbishment and development of 950 homes per year and the surrounding infrastructure; this has increased employment opportunities and the demand for skilled labour.</li> <li>▪ Between 2001 and 2006, Girrawheen noted an income inflation of the lowest quartile group from 33.6 per cent to 30.1 per cent - a total decrease of 384 persons.</li> <li>▪ The qualifications of the population in Girrawheen between 2001 and 2006</li> </ul>	<ul style="list-style-type: none"> <li>▪ A growing sense of community spirit is attracting new residents; the established community, local government, sporting and school networks readily welcome new people to the area.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Better job due skill improvement. Employment opportunities increased.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ School absenteeism has decreased.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Local craftsmen were employed for the infrastructure development work.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Youth was trained and employed in the development of parks and landscape.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>

	<p>footballers for its local school children.</p> <ul style="list-style-type: none"> <li>▪ Creating a culture which would sustain lifestyle changes by actively involving the local community and local government authorities in the Project development.</li> </ul>	<p>increased from 890 to 1, 042 in Vocational and 231 to 340 in Bachelor or Higher degree.</p> <ul style="list-style-type: none"> <li>▪ The number of people employed in Girrawheen increased by 208 persons and the number of unemployed showed a decrease of 358 persons between 2001 and 2006.</li> <li>▪ Increase in the number of volunteers, networking and partnerships towards local problems.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The community is learning to use the project to achieve wider gains – for instance, public transport and local government representation were outside the parameters of the project’s direct responsibility but the community used the leverage of the project to achieve the goals.</li> <li>▪ Vandalism and crime has decreased due to encouragement in youth skill training and reduction in unemployment.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>
<b>3. Project initiative: Crime and safety</b>				
<ul style="list-style-type: none"> <li>▪ High crime rates.</li> <li>▪ Vandalism, anti-social behaviour and domestic violence.</li> <li>▪ Dark alleys and streets invite criminal activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reduction in the high percentage of public housing, the increase in home ownership, the re-creation of parks, the upgrading of streetscapes and the use of Safe City designs have assisted a great deal in reducing crime.</li> <li>▪ Introduction of Neighbourhood Watch,</li> </ul>	<ul style="list-style-type: none"> <li>▪ Crime dropped an incredible 55 per cent in the first three years of the development of physical environment. Some of the more recent projects are showing a 50 per cent reduction in criminal offences in just one year.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The community feels safe and secure.</li> <li>▪ Greater sense of cohesion amongst residents.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>

	enhanced street-lighting, better conditions for pedestrians, presence of surveillance cameras, proper maintenance of existing structures and reassessment of the use of public spaces and security patrols have assisted a great deal in reduction of crime.			
<b>4. Project initiative: Health and well-being</b>				
<ul style="list-style-type: none"> <li>▪ Poor health facilities and low amenity levels.</li> <li>▪ Constant apprehension and threat of crime and violence.</li> <li>▪ Poor infrastructure and physical surrounding added to discomfort.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The development of parks and infrastructure have positively impacted on the health and wellbeing of the individuals and family units including existing or new residents and relocated tenants.</li> <li>▪ Traffic and noise level problems have been addressed by adding roundabouts and road surface colour variations.</li> <li>▪ Development of roads, pavements, installation of streetlights, construction of roundabouts, entry-statements and cul-de-sacs have made streets pedestrian</li> </ul>	<ul style="list-style-type: none"> <li>▪ Access to health services.</li> <li>▪ Surveys show that residents of the New North communities feel much more positive about their suburbs.</li> <li>▪ 78 per cent believe their communities are now much nicer places to live.</li> <li>▪ 80 per cent agreed that the changes have enhanced their community.</li> <li>▪ 93 per cent believe the changes represent a positive step forward.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Greater sense of community pride and togetherness has also developed a community based task force to oversee the project.</li> <li>▪ Positive development of Girrawheen has resulted in better health conditions of the residents, has improved the quality of life and has bestowed them with peace of mind.</li> <li>▪ Willingness and capacity to engage in acts of reciprocity and sharing to build social capital.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>

	friendly and safe for children.			
<b>5. Project initiative: Pride and participation</b>				
<ul style="list-style-type: none"> <li>▪ No community bonding.</li> <li>▪ Lack of ties with community.</li> <li>▪ Widespread alienation.</li> <li>▪ Community disintegration.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Community surveys, public consultation and meetings are encouraged and promptly and fully responded to.</li> <li>▪ The community is provided with regular feedback and information on the progress of the project to keep them involved in the upgrade project.</li> <li>▪ The project team has developed an ongoing and close working relationship with the Community Group.</li> <li>▪ Support activities have included visits to schools by West Coast Eagles past players and featured Guy McKenna and Chris Lewis as role models.</li> <li>▪ New North also includes comprehensive community programs, including</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increase in the number of volunteers, networking and partnerships towards local problems.</li> <li>▪ Surveys show that residents of the New North communities feel much more positive about their suburbs.</li> <li>▪ 78 per cent believe their communities are now much nicer places to live.</li> <li>▪ 80 per cent agreed that the changes have enhanced their community.</li> <li>▪ 93 per cent believe the changes represent a positive step forward.</li> <li>▪ The social cohesion and community bonding is</li> </ul>	<ul style="list-style-type: none"> <li>▪ Volunteers and local groups participate to help in maintaining the development of the community and to keep the environment clean.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental wellbeing</li> <li>▪ Socio-cultural well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Greater sense of community pride and togetherness has also developed a community based task force to oversee the project.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental wellbeing</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Local craftsmen and skill trained youths are employed by the local people to foster social cohesion.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Willingness and capacity to engage in acts of reciprocity and sharing to build social capital.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
			<ul style="list-style-type: none"> <li>▪ Fostering pride in the local community.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>

	<p>workshops and public meetings involving residents.</p> <ul style="list-style-type: none"> <li>▪ New North builds and supports formal and informal community networks which promote participation and community growth development.</li> <li>▪ The community events organised includes cycling competitions, gardening contests, Club J Kids Holiday Camp, clean-up days, school ground improvements, sports clubs, school based environmental projects, blue light discos, youth scholarships and equipment grants.</li> <li>▪ Annual Christmas Carol Festivals are also organized which attracts thousands of local residents.</li> </ul>	<p>attracting more and more people to buy property in Girrawheen.</p>	<ul style="list-style-type: none"> <li>▪ Communities take pride in helping and sponsoring facilities for the under-privileged and elderly amongst them.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
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**Table 4.10: New North Program, Girrawheen**

Source: Stapleton (2009); Walker et al (2007); DHW Sustainability Report (2005); Eringa (2003)



Table 4.11 below is the assessment based on the table 4.10 above as discussed in section 4.2:

Evaluating items for built environment	Measuring aspects of identity				
	Environmental well-being	Physical well-being	Socio-cultural well-being	Economic well-being	Psychological well-being
Environment and housing	✓✓✓	✓✓	✓✓✓	✓✓✓	✓✓✓
Learning and employment	✓		✓✓✓	✓✓✓✓	✓✓✓
Crime and safety		✓	✓		✓✓
Health and well-being	✓	✓	✓✓✓		✓✓✓
Pride and participation	✓✓	✓	✓✓✓✓✓✓	✓	✓✓
Government responsive	✓	✓	✓	✓	✓

**Table 4.11: Assessment of New North Program initiatives**

The initiatives undertaken by DoH in Girrawheen are measured against the identity aspects in the table 4.11 to check the fulfilment of the redevelopment approaches. The assessment is to identify the key aspect of the built environment that had the maximum impact on the identity renewal of the residents of Girrawheen. The table 4.11 above indicate strong response by the government particularly in the areas of housing and environment, and pride and participation. However, the table also shows some gaps regarding the approaches towards learning and employment, crime and safety, and health and well-being. Nonetheless, for a commendable and award-winning job, government responsive – another evaluating item – has been marked an all five. These three aspects of the built environment are the outcomes of a successful example that has proven to improve the living conditions of the slum dwellers. Thus, the assessment demonstrates that the evaluating aspects for the built environment – housing and environment, pride

and participation and government responsive – can bring positive results in the development of the identity of urban poor.

The following case study has also been analysed for the best practices and gaps of the program in relation to the identity renewal. It will also act as a course of action for the professionals and practitioners of future urban renewal works.

### Best practices of New North Program

- **Competency of the Program:** It is certain that the New North Program has produced significant positive outcomes in Girrawheen by dealing with the backlog of maintenance and development that have caused other State Housing Authorities to prolong this critical issue. Moreover, the program has extensively improved living conditions and revitalised the living conditions of the disadvantaged groups throughout Girrawheen (Eringa 2003).
- **Resilient partnership:** The most resilient characteristic of the New North Program is that the program was initiated by the Ministry of Housing and was executed by the Department of Housing. The partnership and collaboration of such effective organisations made it effective for the private sectors to participate and the residents to believe in the development program (Quirk 2001).
- **Rational strategies:** The New North Program incorporated a high degree of workable community participation and was self-funded through the sale of upgraded properties, vacant land and new brownfield sites created by demolition (Hames, Minister of Housing, Media release, 1999).
- **Transparency in the execution:** Girrawheen residents were regularly provided with feedback and information on the progress of the project in order to keep them involved in the upgrades (Walker et. al 2002).
- **Involving the community:** Local craftsmen and skilled labours were employed by the local authorities in the infrastructure development and refurbishment work. There has been a considerable growth in community spirit and the residents have acquired a sense of ownership and belonging towards their community. The residents now take care of and develop their surroundings to maintain the improvement work done by the renewal program. Many volunteers

and local bodies now willingly participate in organising several workshops, seminars and concerts for community gatherings (Walker et. al 2007). The community also takes pride in developing a community based task-force to oversee the project (Day 2000).

### Gaps in New North Program

- **Gentrification of communities:** One of the most common objectives of the New North Program was to reduce social housing and increase home ownership; this has led some residents to relocate, further disadvantaging the health of the elderly, stressing the unemployed and breaking-up communities of culturally marginalised groups (Walker et. al 2007; Bohl 2000). Analysis of media statements, discussions with the DoH officials and examination of policy statements have indicated that the idea to change the social and tenure mixes to improve public housing areas, was apparently a government strategy to improve the social and economic appearance of the groups living there (Walker et. al 2007). As the profile of purchasers in Girrawheen has completely changed, the urban renewal was criticised as a form of gentrification process affecting marginalised groups living in social housing in the areas that fall under the Program (Smith 2002; Badcock 2001; Shaw 2000). Another concern is that the increased prices of houses and reduced housing stock in Girrawheen have resulted in a considerable increase in mortgage payments and rental prices in the area (Eringa 2003). In the long term, Girrawheen will be completely unaffordable for people with medium and low incomes.
- **Lack of long-term planning:** Further, New North does not have any specific strategy for long term economic wellbeing that emphasises employment, education, or skills training, etc. The presumption of gaining profits from home ownership through an increase in housing prices is the only economic benefit credited to the New North Program; this cannot be trusted for an immediate gain. The issues of poverty and unemployment still persist in Girrawheen (Eringa 2003). However, the total labour force has reduced from 3, 477 to 3, 327 between 2001 and 2006 – when the program was at its peak (ABS 2006).

- **Lack of human resource development:** It was recorded that after the initiation of New North Program in Girrawheen, the age of population, that tend to have more vocational qualifications were older people, while people in their twenties and thirties were more influenced to attend university and were moving out to big cities (City of Wanneroo profile. id 2008). While the total number of adults (18 to 64 years) reduced between 2001 and 2006, the total number of senior citizens in Girrawheen increased from 37 to 49 (ABS 2006).
- **Shift in local ethnic pattern:** The program is controversial, partly due to its size and scope, wherein it requires the support of the State Housing Authority to stabilise the socio-cultural and economic requirements of local communities; and partly due to the substantial reduction in the total number of Indigenous people (from 607 to 438) and local youth (from 5, 448 to 5, 103) between 2001 and 2006 (ABS 2006). However, this raises another question: to what extent has the New North Program actually benefited people of Girrawheen, keeping in mind the falling number of Indigenous people (Eringa 2003). The New North Program has also been criticised for its strong approach and emphasis towards creating a ‘balanced social mix’ through ‘mixed tenure and ‘reduced public housing’, which has resulted in a problematic intersection between age and cultural groupings, also leading to the break-up of communities (Walker et. al 2007).
- **Lack of sense of ownership:** Some residents have also complained of an increase in criminal activities since the commencement of New North as the new people in the area are unknown to others and do not have a sense of community (Walker et. al 2003, 2001).

### Lessons learned

- Through New North Program it has been learnt that for genuine community involvement and development, the community people should be treated as experts in solving the problems of their community. It is also important for the local government, housing departments and other government agencies to adopt a holistic approach of development in collaboration with the private sector

enterprises and other stakeholders to address the interconnected issues and factors of the disadvantaged communities.

- Another approach New North Program incorporated was to make the program self-funded by employing workable and skilled individuals of the community, through the sale of upgraded properties, vacant land and sites created by demolition.
- The complex, interconnected array of socio-cultural, economical, and environmental factors of wellbeing can be tackled by incorporating the role of housing related strategies in order to help build stronger communities and, enhance social capital and collective social responsibility. It is also evident, that changes in physical environment and infrastructure can reduce social stigma extensively.
- Another important element essential for building communities was to give recognition and respect to the existing cultural diversity and support bonding among the people, to develop the community by maintaining its unique character and style and to promote equality for all races and groups. Areas with large number of diverse ethnic backgrounds should be careful to implement mechanisms of equal balance.

### Conclusion

The New North Program, component of New Living Program has produced significant positive outcomes by carrying out the backlog of maintenance and development initiatives that other State Housing Authorities had avoided. Moreover, the program has extensively improved the living conditions and revitalised the disadvantaged groups of Girrawheen. New North Program has also been successful in reducing the percentage of public housing, increasing the rate of home ownership and in raising house prices in Girrawheen (Eringa 2003).

Throughout, the New North Program has proved to be an affirmative experience for many indigenous individuals and families in Girrawheen, with provisions for better housing and closer proximity to pleasant surroundings. Nevertheless, the program cannot independently handle the broader issues of social and economic factors that are

challenging disadvantaged communities. From the analysis, it is evident that the authorities have only focused on the infrastructure development of Girrawheen, whereas human development components - learning and employment, crime and safety, and health and well-being – have not been entirely addressed and still have some gaps to be fulfilled, which are equally important for identity renewal and for endurance of the project. This indicates that there is a need for a mixed use urban development in Girrawheen which provides a wide range of living, permanent employment and leisure opportunities; which is capable of adapting over time as the community advances; and which indicates suitable community standards of health, safety and amenity.

In conclusion, New North Program has transformed Girrawheen by making it attractive, convenient and a safe residential area. In doing so, private home ownership and property prices in the areas have ascended; community pride has been enhanced and government responsibility has been positioned as a valuable community asset.

### **4.3 Field visit case studies**

Field visits were undertaken for two case studies - Ramdev Pir Tekro Development Project, Ahmedabad, India and in Victoria Neighbourhood Renewal, Victoria, Australia. The visits were undertaken - with the help of the stakeholders, Manav Sadhana, a non-governmental body in India and the Department of Housing, Victoria in Australia. These case studies were commenced after literature case studies to take into account the directions and implications suggested in the literature and literature cases. The literature case studies explained the conditions and needs of the urban poor from the ‘actors’ perspectives, thus field visit case studies have the benefit of witnessing the process and give an opportunity for exposure, dialogue and reflection with the residents and the stakeholders of the communities involved. Key elements of the project were determined as were the outcomes of the ongoing programs using both, qualitative and quantitative data. The field visits were undertaken to satisfy the tenets of the case study approaches and to do justice to the selected urban renewal programs by understanding, describing and explaining them.

In the next section of the Chapter, the field visit case studies are discussed in detail, creating a framework for analysis and comparison between the case studies.

### **4.4 Comprehensive description of field visit case studies**

Individual field visit case studies were examined in detail for their different structures and functions. Noticeably these cases shared the commonalities of collaboration, interaction and discourse with different stakeholders, a concentration on the issues of public importance and policy, and they engaged combined actions of various kinds like skills training, education and employment opportunities, and small credit loans to fulfil project requirements. The case studies discussed do not always focus on the built environment improvement strategies, but also include the economical, physical, socio-cultural and psychological approaches and initiatives that revolve around the empowerment of the urban poor. The reason for this was to continue the search for redevelopment approaches that de-stigmatise the identity of the urban poor by responding to the environmental, physical, economical, psychological and socio-cultural

issues of the urban poor. The case studies were also critically analysed for the positive and negative aspects in order to provide the practitioners and professionals the best practices and gaps for future urban renewal programs.

#### 4.4.1 Ramdev Pir Tekro Development Project, Ahmedabad, India

Tekro (settlement) is home to more than 150, 000 people (Pandya 2006). Even though dwellers of Tekro have been living in the area for more than fifty years, they do not have any legal land tenureship as the land belongs to the government (images 23.1 and 23.2). Initially there was no provision of basic infrastructure services such as electricity, footpaths, drainage or water supply (image 23.3). At present, with the aid of NGOs and government interventions, the slum now has many of the basic service provisions (images 24.1, 24.2 and 24.3). However, due to problems with health issues, backward traditions, high-interest loans and illiteracy, many slum dwellers continue to live in the same cycle of despair and poverty (Survey by Manav Sadhana, Vadiyari Vas settlement 2008, verified by Trivedi 2010).



**Images 23: Former scenario of Ramdev Pir Tekro**

Photographs taken by Pandya (2006)



**Images 24: Present scenario of Ramdev Pir Tekro**

Photographs taken by Tiwari (2010) and author (2010)



### Project description – Ramdev Pir Tekro Development Project

The urban centres of India produce nearly 27.4 million tonnes of waste daily, of which the business capital of the state of Gujarat, Ahmedabad alone contributes 2750 metric tonnes (World Architecture Community (WAC), media release, 2009). Unfortunately, the waste is dumped openly in landfill sites, which uses up enormous volumes of fossil fuel and creates an altered, polluted, unsafe and unhealthy landscape. To overcome this issue Manav Sadhana, a social NGO, which engages itself in the service to humanity, and is - inspired by the philosophy of Mahatma Gandhi - of truth, non-violence, uplifting the poor and oppressed, promoting health and sanitation, and educating the poor masses has adapted Gandhi's ideals to support the current and complex issues of the urban poor. Manav Sadhana is an NGO with a strong local base and global connections and has undertaken numerous initiatives to improve the overall conditions of the Tekro. The most significant upgrading project that has been initiated and implemented by Manav Sadhana is the Manav Sadhana Activity Centre, which makes an attempt towards sustainability and capacity building alongside development of the built environment and is constructed in the heart of Ramdev Pir Tekro, the largest squatter settlement in Ahmedabad. The fundamental concerns addressed in this project were those of environmental management (by utilising the recycled waste as building components), empowerment of weaker sections of the society and the use of innovative and affordable building materials and technology (Tiwari and Trivedi 2010). As a matter of fact, Manav Sadhana Activity Centre has proved itself as exemplary through resolving several persisting problems of the Ramdev Pir Tekro. The efforts and results of the Manav Sadhana Activity Centre have proved the Centre worthy of awards from the World Architecture Community (WAC) and the Squat City Urban Inform Forum at Rotterdam (World Architecture Community (WAC), media release, November 2009).

### Project initiatives and approaches

The Ramdev Pir Tekro development project was initiated with an intention to raise the physical levels of the slum to protect the area from annual flooding and to create various public spaces for community usage. The second focus was to develop individual houses, for which a prototype design was developed, that fulfil the needs of the dwellers. The

third stage dealt with different housing components and techniques that will be used in construction. An interesting part of the whole process was that special skills and building techniques were examined and studied by the design team in the settlement before designing the different building elements. These techniques were used in construction in a re-interpreted way so as to ensure the settlers' involvement during construction periods and also their ability to maintain their own houses (Pandya 2008). By promoting values, education and awareness among women and children of the Tekro, Manav Sadhana aimed to eradicate many of the challenges and to raise the standards of living of the dwellers. It was for this reason that Manav Sadhana took the initiative to introduce the project 'Manav Sadhana Activity Centre' (Tiwari and Trivedi 2010).

Manav Sadhana commenced the project in collaboration with the local architectural group the Vastu Shilpa Foundation, community members and local bodies. Manav Sadhana and the Vastu Shilpa Foundation have built a strong institutional network and engaged the slum community at each stage of the project. The Vastu Shilpa Foundation was responsible for the investigation of and the research into Ramdev Pir Tekro to find community skills, community characteristics and local community occupations. Vastu Shilpa was also responsible for the planning and designing of the activity centre, for devising construction techniques and for training the community accordingly (Tiwari and Trivedi 2010; Pandya 2006). Manav Sadhana initiated the experimental pilot project to improve the physical environment of Ramdev Pir Tekro, with the intention that the model would be adapted to the rest of the Tekro development in later phases. The development project was undertaken with a focus on sustainability that guaranteed the long-term existence of the development project. The proposal was geared towards:

- environmental management through recycling of waste;
- the empowerment of women and children; provision of skills to convert waste into various building components; and
- the demonstration of affordable construction technology and building materials for low cost housing (Tiwari and Trivedi 2010).

The affirmative aspect of the Ramdev Pir Tekro development project was to take a comprehensive and innovative slum development approach. The effort was not just to

provide the slum dwellers with essential services or by developing the physical environment. The idea was to create a self-sufficient community that advances and integrates the community as a key stakeholder in the wide-ranging activities in collaboration with other stakeholders of the project such that the project can operate in various dimensions (Tiwari and Trivedi 2010). Slums are a significant entity of the city and need design objectives with solutions to incorporate them with the rest of the city. Thus, the designing and planning of the project components were built, rationalised and capitalised upon the existing physical features, community characteristics, and the occupations of the community (Tewari, Raghupathi and Ansari 2007). As a result, the Manav Sadhana Activity Centre project was initiated.

The three key outcomes of this initiative have been a less-polluting environment, affordable built forms and economic empowerment. Since a huge waste recycling industry flourishes within the settlement (images 25), the main objective of the project was to develop innovative building components that use waste, simple hand operated tools and local resources know-how.



**Images 25: Solid-waste recycling industry in Ramdav Pir Tekro**

Photographs taken by author (2010) and Pandya (2006)

Using municipal waste for building components reduces waste as pollution. Recycled building components are twenty to sixty per cent cheaper and of higher quality than conventional materials, and therefore provide affordable and superior quality building alternatives for the urban poor.

“... for Manav Sadhana Activity Centre, the materials were produced in small quantities as a demonstration; if they were mass produced in a decentralised way they would render further economy.” (Pandya, personal communication, 2010; Tiwari 2009).

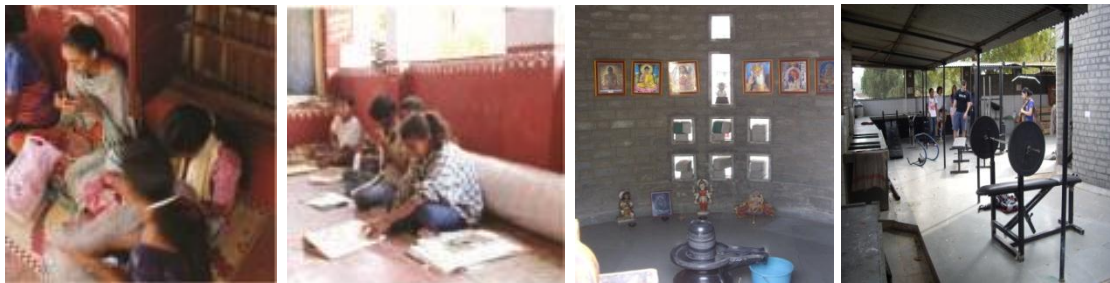
The multi-purpose activity centre serves as an informal school for young children (images 26.1 and 26.2), provides evening education for adults and serves as a training centre (image 26.3) and activity workshop for the manufacturing of craft-based products by women, children and the elderly (images 26.4 and 26.5). These handmade products include paper bags, greeting cards, diaries, albums, envelopes and gift hampers which are sold commercially under the label of ‘Manav Sadhana Manufacturers’; the profit earned from these products is distributed among the women workers. The project also displays the capacity of the structure to be an economic activity. This clearly demonstrates the possibility of becoming a cottage industry for financial independence and has the potential to enhance the quality of people’s homes by using affordable alternative building components (Tiwari and Trivedi 2010; Pandya 2006). This project initiated by Manav Sadhana for the women, elderly and the children is known as ‘Earn and Learn’ and is credited as making a major difference to the lives of the poor (Tiwari and Trivedi 2010). The campus also includes a dormitory, an administrative unit, an all-religion meditation unit (image 26.6) and a gymnasium (image 26.7).



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### **Images 26: Manav Sadhana Activity Centre: The multi-purpose activity centre**

Photographs taken by author (2010) and Pandya (2006)

The hidden value of economic empowerment for the community is one of the most important outcomes. With guidance, the community learns skills of reinterpreting waste materials and techniques and is capable of using these skills when the next phase of individual housing development begins. The potential of the activity centre to become a cottage industry offers economic autonomy for the slum dwellers (Pandya 2008).

“Critical for the formation of personal and collective identity is the direct involvement of men, women and children in the construction process of the communal facility in order to develop a sense of ownership.” (Tiwari 2009, 566)



**Images 27: Women participation in the construction process of Manav Sadhana Activity Centre**

Photographs taken by Pandya (2006)

Involving active participation of local communities in all stages of the project becomes essential for its success:

“the people know their community and its issues; they have to live with the results, and can, want and have the right to participate.” (Cities Alliance 2003, 21)



### **Images 28: Manav Sadhana Activity Centre**

Photographs taken by Tiwari (2009) and author (2010)

Manav Sadhana Activity Centre (images 28) was constructed as a strategy for community development in response to the community's profile and vision for the future and in order to resolve concerns of the community. This strategy was intended to support physical, socio-cultural, and economic objectives of the community and to be sustainable beyond the life of the project. The activity centre has encouraged community people with a sense of hope and enthusiasm between the community members. The centre has created an atmosphere of care and respect for the neighbourhood and the people. The activity centre has given the community a sense of ownership and belonging, increased their awareness of the area and increased community pride in the physical environment (images 29) (Tiwari and Trivedi 2010).



**Images 29: Ramdev Pir Tekro: Four years after Manav Sadhana Activity Centre**

Photographs taken by author (2010)

Outcomes of Ramdev Pir Tekro Development Project

- **Response to the local context:** Tekro's development project approach was specifically developed as a response to existing social conditions and the needs of the slum dwellers. As discussed in the section above, the Tekro development project's aim was to ensure sustainable development through mobilising the community's resources. It has been able to create viable models of community participation and modify technology to suit the project delivery models (Tiwari and Trivedi 2010).
- **Local materials and local skills:** Construction activity in the Tekro development project was managed by the slum community. As the activity centre is constructed by the dwellers themselves utilising recycled materials and their own labour and, skills, they understand the importance of proper maintenance of the services. The products developed for the project, incorporating municipal and domestic waste, prepared with simple hand operated tools, can be seen in the walls, roofs/slabs, doors and windows (Pandya 2006).
- **Community Involvement:** In the Tekro Development Project, the NGO plays a coordinating role between the community and local government agencies. The waste recycling skills of the dwellers have been highly valued in the project;

therefore, Tekro dwellers were engaged in the upgrading project from planning to implementation phase. The positive result of such community participation in the upgrading process was that it has created a strong sense of ownership. Eventually, community members became involved in the day-to-day running and management of the activity centre (Tiwari and Trivedi 2010).

- **A Collaborative and systems approach:** The Tekro development model has set a good example of participatory planning and its benefits. Manav Sadhana and Vastu Shilpa Foundation have built a strong institutional network and engaged the slum community at each stage of the project by utilising the recycling and crafting skills of the dwellers. Vastu Shilpa researched the community's skills, devised construction techniques and trained the community accordingly. With the aid of the NGO and Vastu Shilpa Foundation, the slum dwellers themselves implemented the project, continued their participation by maintaining the structure and got involved in various human development initiatives such as education, environmental cleanliness and so on (Tiwari and Trivedi 2010; Pandya 2006).

Table 4.12 on the next page is the summary of the entire case study and follows the same procedures as discussed in section 4.2 of this chapter:



Issues identified in the Tekro	Actions and approaches	Results achieved and impact of the project	Well-being aspects
<b>1. Project initiative: Housing and environment</b>			
<ul style="list-style-type: none"> <li>▪ Absence of essential infrastructure and services such as water supply, drainage, toilets, roads and street lighting.</li> <li>▪ Overcrowded and unhygienic living conditions.</li> <li>▪ Tekro is located on illegal land with no tenureship and thus is neglected by the government for any kind of development.</li> <li>▪ With the threat of eviction, even slum dwellers continue to live on land of high-risk, unfit for human habitation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The municipal waste collected from the city was transformed into building components in the solid-waste recycle industry run by the urban poor.</li> <li>▪ Tekro dwellers were engaged in the upgrade project from the planning to the implementation phase.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Direct involvement of men, women and children in the construction process has brought a sense of ownership towards the centre.</li> <li>▪ The process has guaranteed the maintenance of the centre in the absence of the NGOs.</li> <li>▪ The slum dwellers have become aware of the cleanliness of the surroundings.</li> <li>▪ The process has also empowered the community with skills of construction and with the know-how of recycling of waste.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> <li>▪ Environmental well-being</li> <li>▪ Psychological well-being</li> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>
<b>2. Project initiative: Learning and employment</b>			

<ul style="list-style-type: none"> <li>▪ Lack of basic minimum education</li> <li>▪ Parentage local skills, but insufficient for city living.</li> <li>▪ No proper education/skills training facility for the youth.</li> <li>▪ Low income through informal businesses, results in poor standard of living.</li> <li>▪ Lack of access to formal land market and job opportunities.</li> <li>▪ Poor health status reduces job prospects.</li> <li>▪ Lack of ability to afford education expenses.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The multi-purpose activity centre served as an informal school for young children, provided evening education for adults and served as a training centre and activity workshop for the manufacture of craft-based products by women and the elderly.</li> <li>▪ These handmade, craft-based products included paper bags, greeting cards, diaries, albums, envelopes and gift hampers. These were sold commercially as ‘Manav Sadhana Manufacturers’ and the profit earned were distributed among the women workers.</li> <li>▪ The community learned skills of reinterpreting waste materials and techniques into new useful products.</li> </ul>	<ul style="list-style-type: none"> <li>▪ This clearly demonstrated to the women of Tekro the possibility of the centre to become a cottage industry for financial independence and the potential to enhance the quality of their homes using affordable alternative building components.</li> <li>▪ Parents and community encouraged children to study and gave more attention to children’s education.</li> <li>▪ Better job due to skill improvement.</li> <li>▪ Increased income.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> <li>▪ Economic well-being</li> </ul>
<b>3. Project initiative: Pride and participation</b>			
<ul style="list-style-type: none"> <li>▪ No authority or rights over land and housing.</li> <li>▪ No power or responsibilities.</li> <li>▪ Social polarisation between rich and poor.</li> <li>▪ Disconnected from services.</li> </ul>	<ul style="list-style-type: none"> <li>▪ As the activity centre was constructed by the dwellers in support with the Manav Sadhana NGO – local skilled craftsmen, unemployed men, housewives and children - utilising their labour, skills and recycled materials, understood the importance of proper maintenance of the services.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The slum dwellers not only participated in maintaining the built structure but also participated in various human development initiatives such as education and environmental cleanliness.</li> <li>▪ Awareness and assertion of rights, well-being, cleanliness of surroundings, skills and local</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Environmental well-being</li> <li>▪ Physical well-</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Community members got involved in the day-to-day running and management of the Activity Centre.</li> <li>▪ Formation of neighbourhood groups and women’s groups gives opportunity to socialise.</li> </ul>	<p>materials.</p>	<p>being</p> <ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>
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**Table 4.12: Ramdev Pir Tekro Development Project, Ahmedabad**

Source: Tiwari and Trivedi (2010); Tiwari (2009); Pandya (2006, 2008)

Table 4.13 below is the assessment based on the table 4.12 above as discussed in section 4.2:

Evaluating items for built environment	Measuring aspects of identity				
	Environmental well-being	Physical well-being	Socio-cultural well-being	Economic well-being	Psychological well-being
Environment and housing	✓✓✓	✓	✓✓	✓	✓✓
Learning and employment	✓		✓✓	✓✓✓	✓
Crime and safety					
Health and well-being					
Pride and participation	✓✓	✓✓	✓✓	✓	✓
Government responsive	✓	✓	✓	✓	✓

**Table 4.13: Assessment of NGO Manav Sadhana’s initiatives**

The initiatives undertaken by the NGO Manav Sadhana, local architectural firm Vaastu Shilpa Foundation, and the people of the Tekro are measured against the identity aspects in the table 4.13 to check the fulfilment of the redevelopment approaches. The assessment is to identify the key aspect of the built environment that had the maximum impact on the identity renewal of the slum dwellers. The table 4.13 above indicate strong response by the stakeholders particularly in the areas of housing and environment, and pride and participation. Even though the stakeholders have attempted to work on each built environment aspect, from the assessment there are still some gaps regarding the approaches towards learning and employment, while crime and safety and health and well-being have not been discussed at all. Nonetheless, for a commendable and award-winning job, government responsive – another evaluating item – has been marked an all five. These three aspects of the built environment are the outcomes of a successful example that has proven to improve the living conditions of the slum dwellers. Thus, the

assessment demonstrates that the evaluating aspects for the built environment – housing and environment, pride and participation and government responsive – can bring positive results in the development of the identity of urban poor.

The following case study has also been analysed for the best practices and gaps of the program in relation to the identity renewal. It will also act as a course of action for the professionals and practitioners of future urban renewal works.

#### Best Practices of Ramdev Pir Tekro Development Project

- **Building self-sufficient communities:** The most positive feature of Ramdev Pir Tekro Development Project was to undertake a comprehensive innovative slum development approach. This was not achieved by providing the slum dwellers with essential services, or by developing the physical environment, but by creating a self-sufficient community that advances and integrates the community as a key stakeholder in the wide-ranging activities in collaboration with other stakeholders of the project such that the project can operate in various dimensions.
- **Accurate planning and execution:** The construction of Manav Sadhana Activity Centre was initiated as a strategy for community development, as a response to the community profile, foresight for future needs and to resolve concerns of the community. However, special skills and building techniques were examined and studied by the designing team in the settlement before designing the different building elements. These skills and techniques were re-interpreted and used in construction so as to ensure the settlers' involvement during construction periods and their ability to maintain their houses themselves. Responding to the local context, using local materials and local skills, involving the community at various stages of development and using a collaborative systems technique have proved to be the four key aspects of a successful participatory approach.
- **Appropriate use of local resources:** All the project components were planned and designed based on the demands of the physical environment, practicality and the occupations of the community. The main objective of the development project was to create a less-polluting environment, provide an affordable built

form and facilitate economic empowerment. Thus through clear observation and research of the Ramdev Pir Tekro, the Vaastu Shilpa Foundation were able to provide a solution of using municipal waste for building components and thereby reducing waste as pollution. Since the recycled building components are twenty to sixty per cent cheaper and of higher quality than conventional materials, they provide affordable and superior quality building alternatives for the urban poor.

- **Economic empowerment of the community:** The project also displays the capacity of the activity centre to be an economic generator. It clearly demonstrates the possibility of becoming a cottage industry for financial independence and has the potential to enhance the quality of homes using the affordable alternative building components (Pandya, 2006). With guidance, the community learns the skills of reinterpreting waste materials and techniques and, is capable of using these skills when the next phase of individual housing development begins.
- **Designing for the community:** The multi-purpose activity centre serves as an informal school for young children, provides evening education for adults and serves as a training centre and activity workshop for the manufacturing of craft-based products by women and the elderly. The profit earned from the handmade products is distributed among the women workers. The campus also serves as a dormitory, an administrative unit, an all-religion meditation unit and a gymnasium (Tiwari & Trivedi, 2010).
- **Progressive planning:** The initiation of the development project and the channelling of all the development work through the NGO is the most influential factor for the engagement of the urban poor in the project. Due to the tailor-made relationship between the NGO and the community, slum dwellers feel more secure and positive towards the project.

#### Gaps in Ramdev Pir Tekro Development Project

Analysis revealed that several adverse aspects of the lives of the urban poor in Ramdev Pir Tekro could have been resolved if local government had participated. The missing element of the project was the partnership between local government and the NGO. All

efforts to make this project successful were channelled through the NGO Manav Sadhana, while the role of the local government was negligible. It is a known fact that the implications of local government involvement would mean that the slum dwellers were being formally recognised as owners of the land. For these reasons the local government did not contribute or participated in any way in the development of Ramdev Pir Tekro. However, the issue of landownership and the threat of eviction are still unresolved; the NGO is working with, and liaising between, the government and the slum dwellers to allow the slums to remain on the government land.

For future projects, it should be noted that the involvement of local government bodies and other legislative bodies is essential to reorientate the planning and financial measures and to facilitate residents' involvement in meeting their own needs and aspirations.

#### Lessons learned

For a successful slum development project, it is essential to search for techniques contained within the community. Identifying opportunities within the community and contributing alternative architectural technology that is economical, which uses and interprets local materials and skills while engaging the community as an entity of the city is crucial. Key components towards development are those of local context and human resources. Encouraging creativity and the artistic energy of the users while empowering them to reclaim their space in the city, brings a deep sense of identity and ownership in the community people towards their community (Tiwari 2009).

Secondly, a single organisation cannot undertake a slum development project alone. Each group of a collaborative project is equivalent and has to contribute equally for a successful project. Government bodies, NGO, private sectors and local bodies are all interlinked and the product is delivered to the community through each ones efforts.

#### Conclusion

To meet the challenges of upgrading, one aspect should be constantly referred to – the participation of the residents - the people whose territory is being affected. From the

beginning, the Tekro project has stressed that the formulation of the upgrade must come from below because then the upgrading become more effective and makes maximum use of the resources. It is evident that the project has been successful in socially empowering the communities by bringing a localised, collaborative and holistic approach. Principles of participatory development strategies that are inclusive of a localised response, utilisation of local skills, community involvement and a systems approach are reflected in the project (Tiwari and Trivedi 2010). The analysis of the study shows similar results, but points out that less focus has been given to the human development components and that there are still some gaps in learning and employment, crime and safety, and health and well-being. However, these components are equally important for identity renewal and for longevity of the project. In spite of this, using today's developmental systems, the project has attempted to transform the community into an institution: self-sufficient, with the capacity to build up individual organisational structures, the ability to accept measures and changes and to recruit entrusted professional practitioners.



#### **4.4.2 Victoria Neighbourhood Renewal, Victoria, Australia**

Unlike the Ramdev Pir Tekro development project of Ahmedabad, India (a developing country), the following field visit case - the Victoria Neighbourhood Renewal program - belong to a developed country scenario in Australia. It is a government initiative intended to support the disadvantaged Victorian communities to overcome socio-cultural, physical, and economical issues through focusing on improving the wellbeing of the communities. However, in spite of the different contexts of the case studies in this research, the research has attempted to search for common ground to bind the projects together through their outcomes. The idea was to ensure that the exchange of knowledge and the re-development strategies from both these case studies when adopted and combined were applicable globally.

##### Project description – Victoria Neighbourhood Renewal, Victoria, Australia

After successful trials in 2001 in the Latrobe Valley and Wendouree West the Neighbourhood Renewal program was launched in 2002 to narrow the gap between the most disadvantaged communities and the rest of the state of Victoria. Nineteen suburbs were identified for renewal wherein disadvantage was visible in run-down housing, degraded physical environments, and unsafe environments (images 30). Plus, high levels of unemployment, poor health status, low educational achievement, inadequate public transport and support services, excessive drug intake, high crime rates, family breakdown, and social stigma were some of the core challenges of the disadvantaged communities. The collective effect of these issues resulted in the isolation of disadvantaged communities from mainstream social, economic and political life (Klein 2005).

To tackle these conditions, the Housing and Community Building Division of the Department of Human Services, managed and directed Neighbourhood Renewal to integrate community reinforcement, place management, and ‘joined-up government’ (Blacher 2005; Considine 2003; Fischer 2003). It was a collective investment plan to accomplish the ‘Growing Victoria Together’ aim of fostering more cohesive communities and reducing inequalities (Victorian Government 2000). Unlike standard

repetitive public policies, Neighbourhood Renewal developed a holistic approach to the multifaceted problem of poverty and social segregation. This particular initiative has brought together the resources and ideas of the community, central government, local government, and private sectors in a whole-of-government and inter-sectoral collaboration (Tiwari and Trivedi 2010; Blacher 2005).



**Images 30: Former scenario of Victoria Neighbourhood Renewal Communities**

Photographs taken by author (2009)

There have been many attempts, in the past, to tackle individual problems such as physical, psychological and welfare services. These were short term responses, disconnected from local communities and economies, and gave little stable change. However, in Victoria, the state government's renewal program has integrated responsibility with the portfolios of individual government departments, such as health, education, and transport and housing to deal with community interdependence. Collectively with the joined-up government approach, residents were also engaged in identifying priority local issues, strategic planning and decision-making about services and social investment (Klein 2005, 2003; Nichols and Wiseman 2003). On the whole the renewal project merged diverse bodies of government, businesses, community groups, local communities and residents in a whole-of-government and inter-sectoral partnership. The idea was to combine resources and ideas to tackle disadvantage and build interconnected and cohesive communities (Wiseman 2006). Each Neighbourhood Renewal project in Victoria implemented a six-point plan of action to:

- increase people's pride and participation in their community;
- lift employment and learning opportunities and expand local economies;
- enhance housing and the physical environment;
- improve personal safety and reduce crime;
- promote health and wellbeing; and
- increase access to services and improve government responsiveness. (Victorian Government 2008, 2005; Klein 2005)

To achieve these objectives area manager, project staff, community development worker and employment and education coordinators were employed for each community. Their responsibility was to accomplish cross-cutting results for their particular neighbourhood, instead of simply focusing on a specific government program or service. The Neighbourhood Renewal staff collectively brought together government programs and services of different departments so as to respond to local priorities and bring significance to the community (Klein 2003).

#### Project initiatives and approaches

The approaches and techniques applied by Neighbourhood Renewal to accomplish their aims and objectives have demonstrated the program's ability to transform the entire neighbourhood, by putting people first and by responding to community priorities. Neighbourhoods were completely altered from facing the challenges of overcoming run-down housing, degraded physical environments, health inequalities, poor educational attainments, high rates of unemployment, low levels of economic activity, high crime rates, a lack of engagement with police, unsafe environments, poor access to services, poor government responsiveness and social, political and economic segregation that has an unconstructive effect on community participation, belonging and pride. The initiative to tackle community challenges was achieved through a joined-up government approach (Blacher 2005; Considine 2003; Fischer 2003) and by combining community resources and ideas (Nichols and Wiseman 2003). Below is the description of the approaches undertaken to achieve the six key objectives of Neighbourhood Renewal.

*Pride and participation*

Neighbourhood Renewal has strengthened the ability of individuals as decision-making citizens. The program undertook community building actions simultaneously with community investments involving strategies for engagement with rational initiatives to renew disadvantaged neighbourhoods (Klein 2005). In the overall collaborative effort, residents showed a stronger role in influencing local investment and service provision. Formally this was accomplished by local governance activities, which required the participation of fifty per cent of local residents, as well as delegates from government and other stakeholders (Wiseman 2006; Klein 2004). These engagements empowered residents to participate in planning, decision-making, and execution with the assistance of government while assessing the success of local initiatives (Tiwari and Trivedi 2010; Nichols and Wiseman 2003). In order to delegate more authority to the communities, Neighbourhood Renewal attempted to promote ‘new forms of organizing democracy which realign relations between government, markets and communities’ (Adams and Hess 2003).

The changes recorded in the neighbourhoods were positive showing real transformations in the areas as places to live, improved levels of community pride, resident interaction and involvement in decision making (Vinson 2004). Residents were also getting involved in various community activities and were celebrating their communities through neighbourhood barbeques, arts and cultural projects, festivals, community gardening and family fun days (images 31) (Tiwari and Trivedi 2010; Klein 2003).

**Images 31: Community engagement activities**

Source: Victorian Government (2008); Revitalising urban communities (2007); Victorian Government (2002)

*Housing and environment*

By 2008 the Victorian government had spent over \$268 million on developing and building public housing estates comprising 7000 property upgrades (images 32.1 and 32.2), outdoor development works and extensive re-development of degraded public housing estates (images 32.3 and 32.4). This has resulted in a twenty-two per cent increase in the acceptance of public housing and an eight per cent reduction in the social housing resident turnovers (Tiwari and Trivedi 2010).

Effective collaboration between local government, Department of Planning and Community Development and the federal government has resulted in significant improvement in local amenities and community infrastructure. More than one hundred projects have been undertaken consisting of the up-grading of twenty-one parks and reserves (image 32.5), the development of thirty community hubs (image 32.6), streetscapes, lighting, and provision of basic services. It was also reported that residents have acknowledged the improvements in the housing and physical environment of their communities as liveable communities (Tiwari and Trivedi 2010; Klein 2003).



**Images 32: Improving public housing and local environment**

Source: Victorian Government (2008)

*Employment, learning and enterprise*

Before launching Neighbourhood Renewal in 2002, surveys were conducted by the Australian Institute of Primary Care, which showed that individuals living in the communities of renewal were at least eighty-three per cent more likely to receive unemployment benefits; forty-five per cent were more prone to receive health care and hold health care cards than the rest of the state. Moreover, sixty-three per cent of individuals were on a disability pension and there were 148 per cent more single parent families in these areas (Klein 2005).

Hence, Neighbourhood Renewal took the initiative to overcome the welfare dependency of the residents of these particular communities by improving access to quality education, jobs training, skill development, assistance in the growth of existing businesses and economic opportunities. Unemployed local people were trained with work skills and engaged to renew their own communities (images 33.1 and 33.2). The Department of Victorian Communities' Community Jobs Program invested over \$5 million to create one thousand community jobs, including positions in construction, landscaping, streetscaping, information technology, hospitality and child-care, which has led to sixty per cent of the graduates of the training program becoming involved in further employment and training (Tiwari and Trivedi 2010; Klein 2005).

Local community-based enterprises were created in horticulture, recycling, construction, hospitality, commercial cleaning services, and gardening contracting to help sustain employment outcomes and for the sustainability of the Neighbourhood Renewal works. Another component of the initiative was to employ one-third of local residents as the workforce for the community renewal and provide at least fifty per cent of the jobs associated with the contract to the youth who had received Certificate III level training as part of their employment conditions (image 33.3) (Klein 2003). This clause not only encouraged residents to seek training but the contract also bestowed individuals with stability, encouragement and empowerment (West 2004; Raysmith 2000).

The next essential key to improving economic and employment outcomes was through the quality of education. Before Neighbourhood Renewal, areas selected for renewal

experienced a fifty-three per cent lower rate of students attending year 12, a higher level of absenteeism, a low level of basic skills in numeracy and, literacy and low levels of student attainments in secondary colleges (Klein 2003).

To overcome these difficulties, through Neighbourhood Renewal program, DoH engaged schools with the broader community to find solutions for themselves. This initiative introduced adult education (image 33.4) and day care to the children (image 33.5) of single mothers such that they can attend schools while raising children. This initiative was funded by the Department of Education. Later, schools reported that absenteeism had reduced by forty per cent with the strong involvement of community and parents (image 33.6) (Tiwari and Trivedi 2010; Victorian Government; Klein 2004).



**Images 33: Increase in employment opportunities and education; skills and economic development in Neighbourhood Renewal communities**

Photographs taken by author (2009). Other sources: Victorian Government (2008, 2002)

*Crime and safety*

Improved employment opportunities, growth in economic benefits and good quality education cannot sustain unless the high level of crime, vandalism and the insecurity among people is acted upon. Before the Neighbourhood Renewal program the areas

under renewal were reported as possessing fifty-eight per cent higher crime rate and a 129 per cent higher rate of child protection notification than the state average (Klein 2004, 2003).

To reverse these figures, DoH attempted to make communities safer by collaborating with police and community crime protection teams. Senior officers were allocated in each renewal area, and security sensor lights were installed in crime hot-spots (funded by the Department of Justice). A crime prevention team was allocated to provide training to the unemployed local people in Crime Prevention Through Environmental Design. Neighbourhood Watch, and Anti-bullying and Violence Prevention Programs were also introduced by local community bodies. Overall, a reduction of twelve per cent in crime and a ninety per cent reduction in crime against individuals was recorded (Tiwari and Trivedi 2010; Victorian Government 2008; Klein 2005).

Additionally, vibrant public spaces were created through major construction plans, re-development of public housing estates, clean-ups, removal of graffiti, repairing of fences and signage, as well as - improvements in community parks, playgrounds, community centres and local shopping areas. This resulted in an increase in community pride and contributed to a reduction in crime against properties by sixty per cent (Wiseman 2006; Klein 2005; VicHealth 2005 - Indicators for Community Strength in Victoria 2004).

### *Health and wellbeing*

The Victorian Burden of Disease Study displays a strong relationship between high burden of disease, low-socio economic status and disadvantaged neighbourhoods (Klein 2005). In order to transform health deterioration, physical health, proper nourishment, mental fitness and social connectedness were acted upon by the Neighbourhood Renewal initiatives by improving a wide range of health focused projects, nineteen community kitchens, eight community gardens and a support group of women, men, youths and volunteers. Park improvements, collaborations with schools to introduce 'walking bus' programs, food cooperatives and school breakfast clubs were some of the initiatives introduced to contribute to the health and wellbeing of children and young residents (Tiwari and Trivedi 2010; Victorian Government 2008).



Through these initiatives a fourteen per cent improvement in the health of the residents has been recorded (Victorian Government 2008). Residents have also perceived improvements in the general health of their community. Neighbourhood Renewal areas were considered to be the areas of main concern in community health and Municipal Public Health plans. Also, access to health and welfare services has been extensively improved through community partnerships and local facility providers (Tiwari and Trivedi 2010; Vinson 2004; VicHealth 2003).

### *Government responsive*

To enhance the responsiveness of government to the requirements of deprived communities, government programs and organisations started operating along with local communities through Neighbourhood Renewal governance and development actions (Blacher 2005; Considine 2003; Fischer 2003). Each project defined their specific Neighbourhood Renewal Action Plan developed for their own community revitalisation.

The scepticism about the government in the minds of community members was transformed as rational and positive improvements were seen in the community. Through community surveys and investigations, it was documented that the residents of the community perceived extensive improvement in the accessibility of and performance in the government actions in a period of twelve months (Klein 2003). The Minister for Local Government and Minister for Housing, Hon. Candy Broad, MLC, stated in *The Victorian Government Agenda for Building Stronger Communities*,

“Neighbourhood Renewal is not just another program. It is not just an add-on. It is a fundamental shift in the way Government does business.” (Broad 2004)

Neighbourhood Renewal planned the models of development to coordinate government programs such that they serve more democratically and efficiently in opposition to the traditional forms of administration and collaborates with local governments, the community sectors, local businesses and enterprises, and with the residents (Tiwari and Trivedi 2010; Wiseman 2006).

### Outcomes of Victoria Neighbourhood Renewal Project

The successes of the six key objectives of Neighbourhood Renewal were measured against a series of progress indicators combining administrative data. For instance, school absenteeism declined. Unemployment reduced to a significant degree – at twice the rate of the rest of Victoria, wherein over five thousand jobs were created and provided to the residents. In addition to this, thirty-three community projects came into action rendering support and assistance to communities and providing training for people to develop their skills. These efforts further resulted in unfurling new directions for employment in the long run. The areas, once considered as no-go-zones, scarred by graffiti, dilapidated buildings and run-down parks are now places where people want to live. By means of a massive investment by the government in public housing and community infrastructure, the entire area is now renewed and transformed into a dynamic place. Likewise, there has been a significant decrease in the number of public tenancies with people coming forward to live in improved housing, accounting for seven thousand with over one hundred infrastructure projects of neighbourhood renewal. Furthermore, improved urban design and direct control of the community has resulted in a noticeable reduction in crime. The regular annual evaluation reports prove that the Neighbourhood Renewal Project has resulted in building stronger communities, wherein the residents feel secure, connected and in control of their lives (Media statement by Richard Wynne MP, Minister of Housing, 2008; Neighbourhood Renewal Evaluation Report 2008).

Below is an analysis of the outcomes in relation to the approaches applied by the Victoria Neighbourhood Renewal Program:

- **Response to the local context:** Since the 2001 success in Wendouree West and Latrobe Valley, Victoria's Neighbourhood Renewal has been narrowing the differences between disadvantaged communities and more affluent communities. The Program now includes nineteen communities across the rest of the state where there were high concentrations of public housing. These areas had run down housing high crime rates, low levels of education and employment, poor health, and a lack of adequate community infrastructure and access to services.

Within this context, the state government of Victoria came up with the solution of Neighbourhood Renewal through joined-up government plan partnering with the local residents for holistic and integrated responses to the complex problem of poverty and segregation (Blacher 2005; Considine 2003; Fischer 2003). At the same time the program to transfer more power to the communities was initiated. Neighbourhood Renewal started ‘new forms of organizing democracy which realign relations between government, markets and communities’ (Adams and Hess 2001). Transferring more powers to the local residents was a crucial step by the Neighbourhood Renewal program to create inclusive and healthy communities through better utilisation and coordination of local resources and ideas (Tiwari and Trivedi 2010; Smythe, Reddell and Jones 2005; Adams and Hess 2002).

- **Community involvement:** Dr. Harold Klein (2005, 4), Victoria’s Director of Neighbourhood Renewal, Department of Human Services, supports the idea that Neighbourhood Renewal is building the ability of local residents as decision-making citizens (image 34.1). The residents were encouraged to participate in planning and decision-making about priorities for action, to execute change with the support of government and in evaluating the success of local action (Vinson 2004). Local residents were given jobs training and skills development and were employed in the beautification and refurbishment of their communities (images 34.2 and 34.3). The residents were also coming together to assist in educational programs (image 34.4), to help in surveys and administration, and to clean and safeguard (image 34.5) their own communities. Residents were participating in large numbers in their community barbeques (image 34.6), arts and cultural projects, festivals (image 34.7), community gardening (image 34.8) and family fun days (image 34.9) (Tiwari and Trivedi 2010). The pictures below indicate community involvement and empowerment.



**Images 34: Community involvement in Victoria Neighbourhood Renewal**

Photographs taken by author (2009). Other sources: Victorian Government (2008, 2002)

- **Local skills:** The Victoria Neighbourhood Renewal program provided unemployed local residents with work skills and employment to renew their community (Hill, Personal interview, 2009). Local community based enterprises were created through Collingwood and Fitzroy projects in horticulture, recycling, construction, hospitality, information technology and childcare (Klein 2005). Resident guardians were employed by the Department of Human Services to implement safety plans. While creating more local jobs this strategy also helped in the reduction of security breaches and led to improved safety. A compulsory public tenant employment clause requiring the contractors to employ one third of local residents for commercial cleaning and gardening services was initiated. A sixteen-week payment of rent subsidy was provided by the Office of Housing to

public housing tenants when they were offered a job, as a further incentive for people to move into the job market. Jobs in public housing refurbishment have resulted in a decrease in the public housing stock turnover in over one-third of Neighbourhood Renewal locations and ninety per cent of areas have had an increase in the number of people who want to live in public housing (Klein 2005; VicHealth 2004). Together with identifying and using local skills for local job creation these strategies have aided towards an overall improvement in the physical and social environment (Tiwari and Trivedi 2010).

- **Collaborative and systems approach:** The Victoria Neighbourhood Renewal has utilised a whole-of-government approach to disadvantaged communities that consists of a better coordination between different government portfolios and is monitored by the State Coordination and Management Council. While at a local level, partnerships formed between governments, businesses, residents, community groups and service providers to support implementation of Neighbourhood Renewal Action Plans is observed by local Neighbourhood Renewal governance arrangements (West 2004; Raysmith 2004). This has brought immense benefits in the areas of housing, jobs, infrastructure provision and safer streets (Victorian Government 2008).

These benefits were investigated by assessing community residents with the help of students from Swinburne University, Melbourne. The actual surveys were conducted by various local academic institutions, which have collaborated with Neighbourhood Renewal Projects across Victoria (Tiwari and Trivedi 2010; Klein 2005). Table 4.14 on the next page is the summary of the entire case study and follows the same procedures as discussed in section 4.2 of this chapter:

Issues identified	Actions and approaches	Results achieved and impact of the project	Well-being aspects
<b>1. Project initiative: Housing and environment</b>			
<ul style="list-style-type: none"> <li>▪ High density of public housing.</li> <li>▪ Need for up grading of inappropriate townhouses, individual dwellings, and public rental housing.</li> <li>▪ Poor condition of infrastructure, community parks and open spaces.</li> <li>▪ No street-lights.</li> <li>▪ Indications of the need for beautification projects.</li> <li>▪ Dark alleys and streets invite criminal activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Victorian government has spent over \$268 million on developing and building public housing estates, comprising 7000 property upgrades, outdoor development works and extensive re-development of degraded public housing estates.</li> <li>▪ More than 100 projects have been undertaken consisting of the up-grade of 21 parks and reserves, development of 30 community hubs, organisation of community activities, streetscapes, lighting and provision of basic services.</li> </ul>	<ul style="list-style-type: none"> <li>▪ This has resulted in a 22 per cent increase in the acceptance of public housing</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 8 per cent reduction in the social housing resident turnovers.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 23 per cent perceived an improvement in the physical environment.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 33 per cent perceived an improvement in housing conditions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ The residents take pride towards their surroundings and volunteer to maintain it.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Psychological well-being</li> </ul>
<b>2. Project initiative: Learning and employment</b>			
<ul style="list-style-type: none"> <li>▪ Lack of employment and educational facilities.</li> <li>▪ No proper skill.</li> <li>▪ Less employment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unemployed local people were trained with work skills and engaged to renew their own communities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The initiative was to employ 1/3rd of local residents as the workforce for the community renewal.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Economic well-being</li> </ul>

<p>opportunities.</p> <ul style="list-style-type: none"> <li>▪ Youth involved in vandalism and graffiti.</li> <li>▪ Less attendance in schools.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Department of Victorian Communities' Community Jobs Program invested over \$5 million to create 1000 community jobs including positions in construction, landscaping, street scaping, information technology, hospitality and child care.</li> <li>▪ Local community-based enterprises have been created in horticulture, recycling, construction, hospitality, commercial cleaning services, and gardening contracting to help sustain employment outcomes and for the sustenance of the Neighbourhood Renewal works.</li> <li>▪ Neighbourhood Renewal has undertaken initiatives of providing day care to the children of single mothers so that the mothers can attend schools while raising children. This is funded by the Department of Education.</li> </ul>	<ul style="list-style-type: none"> <li>▪ 60 per cent of graduates of the training program became involved in further employment and training in the community.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ Schools have reported that 40 per cent of absenteeism has reduced with the strong involvement of community and parents. A reduction in average secondary school absenteeism by 3.5 days.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 12 per cent increase in further education qualifications. Parents and community encouraged children to study and gave more attention to children's education.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 4 per cent reduction in unemployment, from 17 per cent to 13 per cent, this is double the rate of reduction in unemployment for Victoria. Better job due to skill improvement.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ The initiative of Department of Education has empowered the women and single mothers and has given them the potential to enhance the quality of their lives.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Economic well-being</li> <li>▪ Psychological well-being</li> </ul>

<b>3. Project initiative: Crime and safety</b>			
<ul style="list-style-type: none"> <li>▪ High crime rates.</li> <li>▪ Vandalism, anti-social behaviour and domestic violence.</li> <li>▪ Dark alleys and streets invite criminal activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Neighbourhood Renewal has made communities safer by collaborating with police and, community crime protection teams.</li> <li>▪ Neighbourhood Renewal have strengthened communities through Neighbourhood Watch, and introduced anti-bullying and, violence prevention programs, improvements in the local environment and other local strategies to prevent crime hot-spots.</li> <li>▪ Senior officers have been allocated to each renewal area, security sensor lights have been installed in some areas, funded by the Department of Justice, and a crime prevention team provided training in Crime Prevention Through Environmental Design.</li> <li>▪ Vibrant public spaces were created by major construction plans, re-development of public housing estates, clean-ups, removal of graffiti, repairing of fences and signage, improvements to community parks, playgrounds, community centres and local shopping areas.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Overall, there has been a reduction of 12 per cent in the crime.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 27 per cent decrease in property crimes.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 90 per cent reduction in crime against individuals.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ Involving youth in the program by providing skills and training, by employing them in the infrastructure development of their community have resulted in reduction of vandalism and graffiti.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Economic well-being</li> </ul>



<b>4. Project initiative: Health and well-being</b>			
<ul style="list-style-type: none"> <li>▪ Poor health facilities and low amenity levels.</li> <li>▪ Constant apprehension and threat of crime and violence.</li> <li>▪ Poor infrastructure and physical surrounding added to discomfort.</li> </ul>	<ul style="list-style-type: none"> <li>▪ In order to transform health inequalities and reduce the rate of diseases, physical health, proper nourishment, mental fitness and social connectedness were acted upon by the Neighbourhood Renewal initiatives by improving a wide range of health up grading projects, 19 community kitchens, 8 community gardens and support groups for women, men, youth and volunteers.</li> <li>▪ Moreover, park improvements and collaborations with schools to introduce ‘walking bus’ programs, food cooperatives and school breakfast clubs were some of the factors contributing to the health and wellbeing of children and young residents.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Through these initiatives a 14 per cent improvement has been recorded in the health of the residents.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ Residents have also perceived improvements in the general health of their community.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ Access to health and welfare services have been improved extensively through community partnerships with local facility providers to develop suitable and approachable local interests.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 14% of local residents reported an improvement in health through participating in the Neighbourhood Renewal activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> </ul>
		<ul style="list-style-type: none"> <li>▪ 6% reduction in substantiated cases of child protection.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Psychological well-being</li> </ul>
<b>5. Project initiative: Pride and participation</b>			
<ul style="list-style-type: none"> <li>▪ No community bonding.</li> <li>▪ Lack of ties with community.</li> <li>▪ Widespread alienation.</li> <li>▪ Community disintegration.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The program undertook community building actions simultaneously with community investment and, involvement strategies for engagement with rational initiatives</li> </ul>	<ul style="list-style-type: none"> <li>▪ The residents participated extensively in planning, decision-making and, executing the transformation with the assistance of government while assessing the success of local initiatives.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Socio-cultural well-being</li> </ul>

<p>to renew disadvantaged neighbourhoods only if resident participation was 50%.</p> <ul style="list-style-type: none"> <li>▪ Community members and local groups were encouraged to get involved in the day-to-day maintenance and development activities.</li> <li>▪ Formation of neighbourhood groups gave opportunity to socialise.</li> </ul>	<ul style="list-style-type: none"> <li>▪ 4 per cent increase in perceived levels of community participation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> </ul>
	<ul style="list-style-type: none"> <li>▪ 14 per cent increase in resident perceptions that Neighbourhood Renewal has improved government performance.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
	<ul style="list-style-type: none"> <li>▪ The changes recorded in the neighbourhoods were positive showing real transformations as a place to live, and levels of community pride, resident interaction and involvement in decision making.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> <li>▪ Physical well-being</li> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Residents see the neighbourhood as a good place to live.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Environmental well-being</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Residents feel pride and a sense of ownership. There is interaction with and participation in the community.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Psychological well-being</li> </ul>
	<ul style="list-style-type: none"> <li>▪ Local craftsmen and skill trained youths are employed by the local people to foster social cohesion.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Socio-cultural well-being</li> <li>▪ Economic well-being</li> </ul>

**Table 4.14: Victoria Neighbourhood Renewal Program, Victoria**

Source: Tiwari and Trivedi (2010); Victorian Government (2008); VicHealth (2004)

Table 4.15 below is the assessment based on the table 4.14 above as discussed in section 4.2:

Evaluating items for built environment	Measuring aspects of identity				
	Environmental well-being	Physical well-being	Socio-cultural well-being	Economic well-being	Psychological well-being
Environment and housing	✓✓	✓	✓	✓	✓✓
Learning and employment	✓✓		✓✓✓	✓✓✓✓	✓✓✓✓✓
Crime and safety	✓✓	✓✓		✓	✓✓
Health and well-being		✓✓✓✓	✓✓		✓✓✓
Pride and participation	✓✓✓	✓	✓✓✓✓✓✓	✓	✓✓✓
Government responsive	✓	✓	✓	✓	✓

**Table 4.15: Assessment of DoH initiatives**

The initiatives undertaken by DoH are measured against the identity aspects in the table 4.15 to check the fulfilment of the redevelopment approaches. The assessment is to identify the key aspect of the built environment that had the maximum impact on the identity renewal of the residents of the communities under Neighbourhood Renewal. The table 4.15 above indicate strong response by the government particularly in the areas of housing and environment, and pride and participation. However, the table also shows some gaps regarding the approaches towards learning and employment, crime and safety, and health and well-being. Nonetheless, for a commendable and award-winning job, government responsive – another evaluating item – has been marked an all five. These three aspects of the built environment are the outcomes of an acclaimed example and have proven to be successful in the development of residents of Victoria Neighbourhood Renewal communities. Thus, the assessment demonstrates that the evaluating aspects for the built environment – housing and environment, pride and

participation and government responsive – can bring positive results in the development of the identity of urban poor.

The following case study has also been analysed for the best practices and gaps of the program in relation to the identity renewal. It will also act as a course of action for the professionals and practitioners of future urban renewal works.

### Best practices of Victoria Neighbourhood Renewal

- **Network of partners:** From the beginning of Victoria Neighbourhood Renewal, the program has had clear aims and objectives, and a clear policy framework and method of evaluation. It is appreciable that having taken a ‘joined-up’ government approach (Blacher 2005; Considine 2003; Fischer 2003), the Departments had a good communication system and a clear, discussed attitude towards community problems (Wiseman 2006).
- **Involving community in decision making:** A convincing consent through support, management and leadership of the renewal program – politically, bureaucratically and from the community resident - is an achievement in itself for a renewal program (Wiseman 2006; Klein 2004; West 2004).
- **Accessible government:** To make the Departments accessible to the community, the program established community offices with a place-manager and place-management teams for each community in order to scale down all community renewal work to a manageable level (Klein 2005). Another positive aspect of Victoria Neighbourhood Renewal planning was the use of appropriate resources and skilled trained staff who understood the necessity of long term capacity building, respected and addressed the intersection of top-down and bottom-up decision-making, structures and processes of multi-level negotiations and agreements between government departments and the community residents (Wiseman 2006; Klein 2005).
- **Strategies for community to give equal input:** Community participation was encouraged in planning and governance for community investments, delivery of facilities and their outcomes. Formally, to achieve success in local governance activities, it was decided to have fifty per cent participation of local residents, as

well as delegates from government and other stakeholders. These structures of community participation encourage community to participate in the planning, decision-making and, execution of transformation with the support of government while measuring the success of local schemes (Tiwari and Trivedi 2010).

- **Empowering the community:** Moreover, the renewal program took the initiative to employ one-third of local residents as the workforce for the community renewal and provided at least fifty per cent of jobs associated with the contract to the residents who have received Certificate III level training as part of their employment conditions. This clause has not only encouraged residents to become trained but the contract has also bestowed individuals with stability and empowerment (West 2004; Raysmith 2004).
- **Planning for the future:** The creation of local community-based enterprises in horticulture, recycling, construction, hospitality, commercial cleaning services, and gardening has not only helped the residents with employment opportunities but has also assured the sustainability of the Neighbourhood Renewal works (Klein 2005, 2004).

#### Gaps in Victoria Neighbourhood Renewal

- **Easy provisions:** By 2008 the Victorian government had spent over \$268 million on developing and building public housing estates comprising 7, 000 property upgrades, outdoor development works and extensive re-development of degraded public housing estates. This has resulted in a twenty-two per cent increase in the acceptance of public housing and an eight per cent reduction in the social housing resident turnovers (Victorian Government 2008). From a critical point of view, the Victorian government has been investing millions and providing the residents to fulfil their every need. In this case it is difficult to say whether the residents of a social housing estate will have the same sense of ownership towards it and will take care of the property in the same manner, than if the residents had contributed and invested from their own pockets.

- **Multi-level negotiations:** Empowering the community to participate in the planning and decision-making process encourages them in the partnership, but the outcomes of this partnership might not be clear and conflict free. Confronting the issues experienced by the disadvantaged communities brings with it disagreement, heterogeneity and unpredictability in the decision-making process (Klein 2005). Moreover, the multi-level negotiations among various government departments and with relevant Ministers, who must have been to the field merely once, might lead to irrelevant and irrational decisions.
- **Unbalanced social mix:** The up-grading of public housing has diminished the percentage and diversity of the population targeted. Creating socially and economically mixed communities remains a considerable challenge in the sustainability of the up-grading and the components of Victoria Neighbourhood Renewal. Residents with diverse socio-cultural and economic backgrounds will have different sets of issues and different opinions while planning and decision-making. The attempt to create a ‘balanced social mix’ by the departments might not fulfil the demands and satisfy every group, thus leading to conflicts. Heterogeneity and unpredictability in decision making processes were challenges that needed to be faced (Tiwari and Trivedi 2010; Wiseman 2006).
- **Questioning the sustenance of the program:** The community reinforcement approaches and programs put into action by the Victoria Neighbourhood Renewal program is still in progress, but the question remains unanswered as to whether the joined-up government approach will continue with the same drive for community development work, maintaining sustainability and being persistent over time. It is apparent that collaboration between government and community can bring incredible advancements and improvements if the commitment and efforts put in are genuine. It is also vital for the government bodies to make an unadulterated and unselfish investment to address the local apprehension felt towards social and physical infrastructure change. Overall, it is to be noticed that community participation strategies in the re-development process are not panaceas, the process can be a tool to create space and to build

autonomous, self-driven, and frameworks focused organisations, with less policy and better practices for the residents' decision making.

### Lessons learned

- To be integral and equivalent across all age groups and households of different socio-economic groups, the government should be less rigid and more adaptive.
- The establishment of place-management teams to bring the community renewal project to a manageable scale is needed.
- Defining roles and targets for each department when implementing Neighbourhood Renewal Action Plans calls for a stronger role of local government.
- Due to the 'joined-up' government structure, the aims, objectives, and policy framework of Victoria Neighbourhood Renewal had clearly defined and agreed goals and tangible benefits.
- The whole-of-government structure had a State Coordination and Management Council that monitored all departmental inputs. The regional departments had consistent and discretionary powers for coordinating government activities with high levels of trust and a good communication system between all the stakeholders.
- Arrangement and implementation of finance and government funding for various locally identified priority issues whilst at the same time balancing and entrusting this between wide ranging stakeholders – private, public and community is an appreciable achievement.
- Skilled, trained staff and the usage of suitable resources for community capacity building not only assure a long term investment but also a faster recovery of funds.

### Conclusion

While the global and national forces are struggling to overcome the causes of poverty, disadvantage and distress, Neighbourhood Renewal has displayed its capacity to influence local place-based projects. This has been possible by undertaking simple,

functional, rational but significant actions that state and local governments, local enterprises and businesses, community groups and volunteers, and residents can take advantage of to withstand the drift towards disparity and segregation.

Neighbourhood Renewal has demonstrated that it is possible to re-engage communities that are socio-culturally and economically disadvantaged and excluded from the social and political mainstream policy framework. This is possible if the government pays attention, then acts wisely, collaboratively and promptly. But, the analysis of the case study points out, that the governing authorities have concentrated more on the development of built environment whereas the human development components - learning and employment, crime and safety, and health and well-being – were not entirely focused and that there are still some gaps to be fulfilled. These components are equally important for identity renewal and for longevity of the project. If the government works accordingly, prioritising the local needs, investing appropriate resources, connecting with the aspirations and attempting to build the capacity of the disadvantaged communities, it is possible to reverse the trend of failure. Nonetheless, the central learning feature of Neighbourhood Renewal is the component of empowering the local residents as planners and decision-makers, by channelling and binding the right local and regional sources, and thus creating inclusive and sound communities.



## 4.5 Summary of case studies

The discussion of the literature and field case studies in this chapter has taken the research beyond the level of theory and conceptions to the everyday practical issues of the urban poor. The issues discussed in this research are all related to the built environment of the urban poor, which influences their identity.

The projects reviewed for this research, in particular, dealt with upgrading in situ techniques and approaches. These projects have followed the conventional traditions of a consistent development planning process that includes: a survey of the built environment as well as the socio-economic stratum of the communities, a detailed estimation of alternative expenditures for housing and infrastructure, the setting up of reimbursement rates, a comprehensive implementation of schedules and an organised system for monitoring and evaluating project effects and impacts (Horen 2007). These planning processes particularly integrated components such as infrastructure upgrading, secure land tenure provisions, basic housing provision, small-scale credit schemes, environmental improvements, socio-cultural development and bonding, local economy building, and institutional reform. All major decisions on planning and designing were taken by the practitioners and professionals. On the contrary, it was also observed in Sustainable Urban Development Program of Curitiba, New North Program of Girrawheen, Ramdev Pir Tekro Development Project of Ahmedabad, and Victoria Neighbourhood Renewal case studies that implementation of the designs were given to the local people to encourage them to participate and engage at various stages. All the case studies examined for the research had educational and training components for local residents to empower them and help them with employment. Although these projects were designed as social development schemes, the projects stressed the importance of built environment renewal and social upgrading, while leaving some gaps in the human development components.

Overall, the case studies reviewed for the research are noticeably a comparable set of projects. Differences in approaches to upgrading, project planning, stakeholders, implementation, induction of distinct programs for community engagement, restrictions to finance, limited trained people or project management styles, rather than a

consciously designed project based on the particular needs of a region and its community. Nearly all case studies examined had the commonality of demonstrating a keen emphasis on the improvement of housing and the delivery of infrastructure services. For instance, Ahmedabad Slum Networking Program and Khulna Slum Improvement Program focused on improving the infrastructure and basic services of the slum communities. While New North Program in Girrawheen and Victoria Neighbourhood Renewal concentrated on providing better housing and living conditions to the people of disadvantaged communities. Case studies like Curitiba Sustainable Urban Development Program and Ramdev Pir Tekro Development Program focused on the economic growth of the urban poor while concentrating on the infrastructure development, but keen priority was not given to the socio-cultural development of the urban poor. Although in these cases, community involvement was used as a technique for renewal.

On the other hand, it is noteworthy, that these conventional practices of renewal have brought considerable success in their spheres and have benefitted the urban poor to a significant extent. Moreover, these case studies were selected for the research on the basis of their best performances and implications for which they have won many national and international awards in urban renewal world-wide. However, ambiguity still lies in the fact that none of these case studies can guarantee permanence of the renewal, although there are a few excellent influential components in these cases that can be extracted and used in future renewal projects.

The research commenced with a purpose to search for new approaches to create a dialogue between identity and built environment of the urban poor. It is done in order to seek transformation for the better, in a more holistic manner pertaining to the identity renewal of the urban poor. Thus, the next section will discuss the key built environment aspects having maximum impact on the well-being of the urban poor derived from the assessment in each case study. All redevelopment strategies applied to achieve this maximum impact in relation to identity renewal will be listed in a table after the discussion.

## **4.6 Linking back to ‘approaches of identity renewal’**

The working theory of this thesis was that poor urban living is a combination of physical and socio-cultural attributes, wherein the built environment results in drifting of the socio-cultural characteristics of the urban poor (Das 2000). Poverty, as a lack of material and cultural resources, is that which restricts the ability of the urban poor to socialise and blend with the urban fabric of society. These limitations and constraints have been studied and observed while reviewing cases of urban renewal from the literature and during field case studies.

Across the continuum of approaches worldwide for the uplifting of the urban poor, attempts have been made to draw together the different components of upgrading experience into rational frameworks (Laquain 2007). Underpinning any possibility of an effective urban community development a mass program is required, which must be approached with innovative and coherent techniques to affect a large group of individuals. From the theoretical conceptions discussed in Chapter 2, one can deduce that stability, security, ownership and belonging can empower and bestow the urban poor with a renewed identity. Development of home and the built environment of the urban poor can have a significant impact on their identity. Housing and physical environment (being the most visible output, where the progress, involvement, expansion and enhancement can not only be seen but also felt), are visualised as the channel to identity recreation. But it is unlikely that development of the built environment alone can alter the urban social fabric that eliminates stigma, isolation, apathy and other deviant characteristics (Newman and Jennings 2008).

To address the situation and deliver approaches of identity renewal along with improvements in built environment, methods of collaboration and participation are needed. This is apparent from the results of the study, observation and analysis performed on the action-based projects throughout the research. To assure the continuity and success of urban renewal projects, the goal should be to enhance the self-esteem, lessen the probabilities of poverty, render the urban poor independent of emotional and psychological dependency and empower them with methods of shaping their own lives.

Apathy and a lack of trust and confidence were evident at the beginning of most of the renewal projects. A lack of confidence in their own ability and a suspicion of institutional reform proved to be an initial difficulty when approaching the urban poor. Much difficulty was encountered in convincing the urban poor to bring about change or action, as they are reinforced in their socio-cultural and traditional characteristics and do not want to avail themselves of opportunities to change their situation because of their notion that their present identities are impossible to change. Many a time they isolate themselves in order to protect a world that seems secure and comfortable to them (Laquain 2007; Nakata 2003).

In a contemporary social order, an individual's meaning of subsistence is expressed in action, skill, determination, voice and the struggle which are held eventually as a product of attainment of aspirations (Clinard 1970, cited in Dash and Jain 1999). The urban poor, however, are regarded by the main stream society as failures who are not striving, as their accomplishments are not seen in a material form or in their presentation to the outside world. This perception of worthlessness is integrated in the notions of the outside world and also, to some extent, in the conceptions which the urban poor have of themselves. The cure to the 'worthlessness' psychological effect of the urban poor is to undertake social action that redefines them as potentially valuable and individually more powerful (Dash and Jain 1999). To plan an effective mass program that covers all aspects of socio-cultural change, the following features should be inculcated in the program:

- the renewal programs should be designed in a manner in which the urban poor see themselves as a source of action and accomplishment;
- the action will serve as a basis to display potentials and skills of the urban poor, which in many ways will not only change the perceptions of the outside world, but will also, boost their own values and interests;
- the demand of additional struggle and effort to keep the action organised and running will empower the urban poor with self-confidence and conviction;
- the urban poor should experience that the program is revolving around them;

- the program will be a success when it increases the force of action and number of structures of communication indicating the potential value or individual power of the urban poor (Sheng et al. 2007).

Transformation in identity or a sense of self is the most fundamental step to urban renewal. The acknowledgement of ‘who we are’ and ‘where we are’ is essential for the urban poor to accept change. This affirmative change in the self-image of the urban poor, emerging from a local base, connecting to their socio-cultural past, and their security and commitment towards the future represents a whole new meaning of personal value (Sigmon et al. 2002). Identity revitalisation through planned efforts gives a new level of achievement of aspirations for change, improvement of one’s view of self through novel experiences, dedication towards change in self-identity, and recognition of new ideas, roles, norms and style of performances.

As a result, with this understanding of the ‘approaches of identity renewal’, the next segment refers back to the analysis and assessment of all case studies and formulates a table of strategies that have had the maximum impact on the well-being of the urban poor. Through analysis, each case study has shown that housing and environment, pride and participation and government responsiveness are the key aspects of built environment intervention. It is these evaluating items, through which development and success can be assessed and noticed. Perhaps on the basis of these evaluating items, the case studies were examined, awarded and are recognised as best practice examples world-wide. Most importantly, if observed carefully, the results of evaluation are same in all developed and developing country case studies. The table 4.16 on the next page lists all the redevelopment strategies of developed and developing countries case studies under the same table displaying the congruence in the application and their outcomes. The redevelopment strategies identified in the case studies which had the maximum impact on the identity renewal of the urban poor are listed under their respective built environment aspects. The table benefits the research by fulfilling the aim of creating a nexus between identity and built environment and the objective of the search of redevelopment strategies for identity renewal. The information presented in the table assisted in the formation of identity renewal model.

CASE STUDIES	REDEVELOPMENT APPROACHES FOR BUILT ENVIRONMENT INTERVENTION		
	Housing and environment	Pride and participation	Government responsive
<b>Sustainable Urban Development Program, Curitiba</b>	<ol style="list-style-type: none"> <li>1. Garbage collection and recycling program.</li> <li>2. Expansion of parks and protection of green areas.</li> <li>3. Incremental program.</li> <li>4. Environmental education program</li> </ol>	<ol style="list-style-type: none"> <li>1. The garbage bags were purchased from the <i>favelas</i> in exchange of bus tickets and for agricultural and dairy products. Over 70 per cent of the community participated in the garbage collection and recycling program. 52 communities and more than 22,000 households became involved.</li> <li>2. <i>Favela</i> youths were trained and employed in the maintenance of the parks and green areas. The community themselves as volunteers started various programs to protect their community parks such as – ‘Association of Friends of the Park’ and the ‘Boy Scout Bicycle Watch’.</li> <li>3. Old buildings were put into new use in collaboration with the local merchants and local authorities. Commercial activities improved with 24x7 business hours. City squares and parks were developed by employing jobless, homeless and <i>favela</i> youth, leading to less crime and vandalism.</li> <li>4. Children responded positively towards environmental education and programs, and encouraged their families as well.</li> </ol>	<ol style="list-style-type: none"> <li>1. IPPUC has set an example of developing a ‘social capital’ by integrating the community in planning and decision-making with the government agencies, research institutions, community organisations, residents, non-governmental organisations, international agencies and private funders.</li> <li>2. The strategic and ad hoc planning of the IPPUC with limited civic budget and rational ideas suitable to the citizens proves IPPUC to be responsive of peoples’ need.</li> </ol>

		Teenagers from the disadvantaged communities tended city parks and the Street of Flowers in the 24 hours downtown areas. Youth and adults worked as volunteers in cleaning their community to improve their health conditions. The local gangs also started participating in the community programs, thus reducing the crime.	
<b>Ahmedabad Slum Networking Program (ASNP), Ahmedabad</b>	<ol style="list-style-type: none"> <li>1. Improvement of infrastructure and provision of basic services.</li> <li>2. Households were encouraged to be partners in the development and provision of basic services by contributing a sum of Rs. 2, 100/- . Micro-credit loans were made available to the households to encourage them to contribute for the infrastructure development.</li> <li>3. Education and awareness programs were run to keep the surroundings clean.</li> <li>4. Community residents were provided with technical knowledge, to orientate the community towards technical aspects of the implementation and to ensure community consent for a smooth execution and maintenance.</li> </ol>	<ol style="list-style-type: none"> <li>1. Contribution of 20 per cent of the total cost by the households; individuals, made community partners and owners of the project. The community felt positive, both financially and materially.</li> <li>2. Exposure and opportunities for managing savings and subsequent approach to loans empowered the communities and individual households.</li> <li>3. The role of partners and decision-makers rather than beneficiaries made them more responsive and inculcated a sense of belonging and ownership.</li> <li>4. Skilled men and women started improving and maintaining their houses and the infrastructure in their surroundings.</li> </ol>	<ol style="list-style-type: none"> <li>1. ASNP introduced micro-credit loan schemes to the slum dwellers and an easy access to the banks.</li> <li>2. A significant partnership example between AMC, a local government, NGOs and the community.</li> <li>3. The application of equity, transparency, accountability and sustainability has proved ASNP to be an exemplar of good and responsive governance.</li> </ol>

<p><b>Slum Improvement Program (SIP), Khulna</b></p>	<ol style="list-style-type: none"> <li>1. Drainage and sewage system was improved in the slums.</li> <li>2. Awareness programs were driven to educate slum dwellers to maintain the cleanliness of surroundings, to use the garbage bins and of the benefits of clean surroundings.</li> <li>3. Community latrines cum bio-gas plants were provided to promote a sustainable balance between the environment and the requirements of the population. Slum households were encouraged through education of the benefits of sanitary facilities.</li> <li>4. The slum dwellers were provided with one tube well between 10 families for a contribution of 500 Taka.</li> <li>5. One large masonry bin was allotted per 100 families at a cost of 1800 Taka. One corrugated iron dustbin per 20 families was provided at a cost of 930 Taka, where users contributed 2 Taka. A pushcart was used to carry garbage from the dustbins to the masonry bin.</li> <li>6. 'Prodipon', a NGO, also started a door-to-door solid-waste collection program because of the better roads and connection to individual</li> </ol>	<ol style="list-style-type: none"> <li>1. To obtain the services, the households were expected to contribute in the construction of toilets, tube wells and masonry dustbins. The role of partners rather than beneficiaries made the slum dwellers more responsive and inculcated a sense of belonging and ownership.</li> <li>2. A cluster of 5 to 10 families raised funds for the construction and maintenance of toilets for their specific group.</li> <li>3. The households took care and maintained the tube wells.</li> <li>4. Through introduction to solid waste recycling, disposal techniques, collection efficiency and its benefits to health, community started keeping the surroundings clean which directly impacted on the mental and physical health and have helped them in their work.</li> <li>5. Skills training have provided men and women with better job opportunities and have also helped them in retaining their homes and infrastructure.</li> <li>6. The financial support of SIP has empowered women and increased the income levels of the households in slums.</li> </ol>	<ol style="list-style-type: none"> <li>1. SIP encouraged the slum dwellers to partner in the program by contributing for the services provided by introducing micro-credit loan schemes.</li> <li>2. Low-cost and labour-intensive techniques were applied by SIP for physical development, such that the slum dwellers could participate in construction work, shedding the labour cost and empowering themselves with construction skills.</li> <li>3. The working structure was accessible to the slum dwellers as the program was executed at the local level by the community organiser's (COs) appointed by the authorities and liaised with the official decision-making authorities.</li> </ol>
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	<p>households - to provide better services to the community and to create awareness of the recycling of solid waste.</p> <p>7. During the up-grading of the physical environment of the community, the men and women of the community were trained and employed to work for their own community.</p> <p>8. Micro-credit loans were made available to the women in the family to encourage them to participate in the program and to invest in the improvement of their houses or start a new business.</p>		
<b>New North Program, Girrawheen</b>	<p>1. Home ownership was actively encouraged.</p> <p>2. Dwellings in appalling conditions were demolished. New houses were constructed with a set of rigorous guidelines which ensured that all new homes were built to one exemplary standard.</p> <p>3. Development and refurbishment of smaller blocks was undertaken to attract families, professional couples and singles looking for special rates, high quality and established facilities.</p>	<p>1. The percentage of public housing reduced to private home ownership from 32 per cent to around 12 per cent.</p> <p>2. Refurbishment and development of 950 homes per year and the surrounding infrastructure; this has increased employment opportunities and the demand for skilled labour. The number of people employed in Girrawheen increased by 208 persons and the number of unemployed showed a decrease of 358 persons between 2001 and 2006.</p> <p>3. Introduction of Neighbourhood Watch,</p>	<p>1. The initiative undertaken by the DoH has extensively improved living conditions and revitalised the living conditions of the disadvantaged groups throughout Girrawheen.</p> <p>2. The resilient partnership between Ministry of Housing and DoH has encouraged private funders and the residents to participate and believe in the program.</p>

	<p>4. Houses put forward for sale under the program by DoH were affordable than the average sale value of established houses and empty lands.</p> <p>5. Parks and public open spaces were up-graded, streetscapes were enhanced, including reticulation of the street plantation, and provision of entry statements was undertaken in partnership with the local councils.</p> <p>6. All small pocket precincts were ensured to reflect the contemporary urban design standard ideals, including solar orientation, high-quality streetscapes and parklands.</p> <p>7. As part of the plan the private developers in partnership with the local government authorities organised competitions to encourage residents to beautify their front yards and gardens.</p> <p>8. The Department has encouraged the private sector collaborators to employ local trades' people, youths and marginalised groups for the refurbishment of the dwellings and in the infrastructure development of their suburbs.</p>	<p>increase in employment and pride in the community led to the reduction in crime.</p> <p>4. Increase in the number of volunteers, networking and partnerships towards local problems.</p> <p>5. The local authority of the community organises events like competitions, gardening contests, Club J Kids Holiday Camp, clean-up days, school ground improvements, sports clubs, school based environmental projects, youth scholarships and equipment grants.</p> <p>6. Communities take pride in helping and sponsoring facilities for the under-privileged and elderly amongst them.</p>	<p>3. Low-cost and labour intensive ideas of the authority of incorporating workable community in the development and self-funding the up-grade through the sale of vacant land and sites created by demolition have led to unemployment and have increased social cohesion.</p> <p>4. The local authorities provided regular feedback and information of the progress to the community. Regular surveys were conducted. Having a local manager at the site from the DoH also made the government accessible to the community. Thus, transparency, equity and accessibility have made the government responsive of New North Program.</p>
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<p><b>Ramdev Pir Tekro Development Project, Ahmedabad</b></p>	<ol style="list-style-type: none"> <li>1. The municipal waste collected from the city was transformed into building components in the solid-waste recycle industry run by the urban poor.</li> <li>2. Tekro dwellers were engaged in the upgrade project from the planning to the implementation phase.</li> <li>3. The community learned skills of reinterpreting waste materials and techniques into new useful products.</li> <li>4. As the activity centre was constructed by the dwellers in support with the Manav Sadhana NGO – local skilled craftsmen, unemployed men, housewives and children - utilising their labour, skills and recycled materials, understood the importance of proper maintenance of the services.</li> </ol>	<ol style="list-style-type: none"> <li>1. The slum dwellers have become aware of the cleanliness of the surroundings.</li> <li>2. Direct involvement of men, women and children in the construction process has brought a sense of ownership towards the centre.</li> <li>3. The process has also empowered the community with skills of construction and with the know-how of recycling of waste.</li> <li>4. This clearly demonstrated to the women of Tekro the possibility of the centre to become a cottage industry for financial independence and the potential to enhance the quality of their homes using affordable alternative building components.</li> <li>5. The slum dwellers not only participated in maintaining the built structure but also participated in various human development initiatives such as education and environmental cleanliness. Community members got involved in the day-to-day running and management of the Activity Centre.</li> <li>7. The community became aware of their rights, well-being, cleanliness of surroundings, skills and local materials.</li> </ol>	<ol style="list-style-type: none"> <li>1. The NGO has created a self-sufficient community that advances and integrates the community as a key stakeholder in the wide-ranging activities in collaboration with other stakeholders of the project such that the project can operate in various dimensions.</li> <li>2. The NGO in partnership with the local architect has been responsive of planning the project according to the needs of the slum dwellers, by planning it for future, and by designing the centre based on the community profile.</li> <li>3. The project has used appropriate, available local resources. Thus making the community aware of waste recycling, benefits of cleanliness and their potential.</li> <li>4. The project has empowered the community</li> </ol>
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			and has made them financially independent.
<b>Neighbourhood Renewal, Victoria</b>	<ol style="list-style-type: none"> <li>1. The Victorian government has spent over \$268 million on developing and building public housing estates, comprising 7000 property upgrades, outdoor development works and extensive re-development of degraded public housing estates.</li> <li>2. More than 100 projects have been undertaken consisting of the upgrade of 21 parks and reserves, development of 30 community hubs, organisation of community activities, streetscapes, lighting and provision of basic services.</li> <li>3. Unemployed local people were trained with work skills and engaged to renew their own communities.</li> <li>4. The Department of Victorian Communities' Community Jobs Program invested over \$5 million to create 1000 community jobs including positions in construction, landscaping, street scaping, information technology, hospitality and child care.</li> <li>5. Local community-based enterprises have been created in horticulture, recycling, construction, hospitality,</li> </ol>	<ol style="list-style-type: none"> <li>1. Public housing reduced. 33 per cent perceived an improvement in housing conditions. 23 per cent perceived an improvement in the physical environment. The residents now take pride towards their surroundings and volunteer to maintain it.</li> <li>2. The initiative to employ 1/3rd of local residents as the workforce for the community renewal reduced unemployment and people started taking pride towards their community.</li> <li>3. 60 per cent of graduates of the training program became involved in further employment and training in the community.</li> <li>4. Involving youth in the program by providing skills and training, by employing them in the infrastructure development of their community have resulted in reduction of vandalism and graffiti.</li> <li>5. Community took pride in their community and willingly participated in Neighbourhood Watch.</li> <li>6. Community members and local groups were encouraged to get involved in the day-to-day maintenance and</li> </ol>	<ol style="list-style-type: none"> <li>1. The 'joined-up' government approach has extremely benefitted the community in all areas of well-being.</li> <li>2. Asking for consent through support, management and leadership of the renewal program from the community resident - is an achievement in itself for a renewal program.</li> <li>3. Establishing community offices with place-managers have reduced the scale of the project and have made the authorities accessible to the community.</li> <li>4. To achieve success in local governance activities, planning and decision-making for the community, it was decided to have fifty per cent participation of local residents, as well as delegates from government</li> </ol>

	<p>commercial cleaning services, and gardening contracting to help sustain employment outcomes and for the sustenance of the Neighbourhood Renewal works.</p> <p>6. The program undertook community building actions simultaneously with community investment and, involvement strategies for engagement with rational initiatives to renew disadvantaged neighbourhoods only if resident participation was 50%.</p>	<p>development activities.</p> <p>7. The residents participated extensively in planning, decision-making and, executing the transformation with the assistance of government while assessing the success of local initiatives.</p> <p>8. Community residents also started employing local craftsmen and skill trained youths. The initiative has fostered social cohesion and sense of belonging towards the community.</p>	<p>and other stakeholders to execute the plan.</p>
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**Table 4.16: List of redevelopment approaches**

Altogether, the table above confirms that the list of redevelopment approaches encompasses a range of multifaceted and interconnected factors which have relevance in specifying practices, procedures, design characteristics and other decisive aspects that ensure the effectiveness of the case studies of urban renewal. The key built environment aspects in the table also indicates that success is achieved only when there are signs of people's participation and smooth efforts of the stakeholders for a holistic development. But it is still not clearly defined as to what factors should be taken into consideration for a holistic development of urban poor.

However, to recognise the exact measures for identity renewal, the table 4.17 below assembles best practices and gaps from all case studies for future urban renewal programs. The purpose was to highlight the areas where the professionals and practitioners of an urban renewal program need to focus to remove stigma over urban poor.

NO.	BEST PRACTICES	GAPS
1.	Involving citizens	Centralised decision-making
2.	Network of partners	Miscommunication at the bureaucracy level
3.	Resilient partnership	Shortcomings in the bureaucracy
4.	Competency at the organisational level	Lack in expertise and technical knowledge
5.	Accessible government	Multi-level negotiations
6.	Transparency in the execution	Unethical conduct
7.	Limited civic budget	Lack of funds and unconventional planning
8.	Building self-sufficient communities	Easy provisions to the community - Lack of sense of ownership
9.	Empowering the community	Lack in recognition
10.	Progressive planning	No control over population increase
11.	Designing for the community	Lack of human resource development
12.	Empowerment of women	Shift in local ethnic pattern
13.	Strategies for community to give equal input	Unbalanced social-mix
14.	Economic empowerment of the community	Gentrification of the community
15.	Planning for the future	Lack of long-term planning
16.	Appropriate use of local resources	Unable to handle land ownership issues
17.	Rational strategies	Improper division of responsibilities

**Table 4.17: List of best practices and gaps**

Consistent with the factors discussed in the table 4.17 above indicating best practices and gaps for identity renewal of the urban poor, it is evident that the ingredients of community development are the simultaneous actions undertaken by the community people, the government, voluntary resources, local bodies, and the private agencies to resolve the issues of the community. To be precise, development through joint planning, and empowerment through participation are the key factors for identity renewal.

The proposal here is to put forward participatory approaches for identity renewal that collaborate with and incorporate not only citizens, but also organised interests, profit and non-profit organisations, planners and local administrators in a common frame. This is to

ensure that all interested parties are involved, interacting with and inspiring one another while contributing independently in their efforts. The process of participation can be a multi-dimensional model where communication, learning and action are joined together and where the strategy, welfare and community co-evolve (Innes and Booher 2004). This suggests that collaborative and participatory approaches can liberate the urban poor, permitting them to define and develop their own values. Participatory approaches allow the urban poor to design their own outcomes and to determine and control their own needs. It is the interaction and creativity of collaborative participation that generates its own meanings, not just in terms of ownership, but in terms of control, choice and power. It opens up socio-cultural opportunities for the dwellers, which are not limited to processes, expertise and decision making, but also includes the urbanity that emerges from the resourceful development of personal and community identity (Dovey 1999).

To explain the identity renewal model in more detail, we move on to Chapter 5. The next chapter describes the role and concept of participatory approaches for identity renewal of the urban poor by using narratives from the case studies. To assess the implementation of the participatory redevelopment approaches of the urban poor, the chapter also considers its barriers in the process.



## Chapter 5

### **IDENTITY RENEWAL MODELS, OPTIONS AND OUTCOMES**

#### **5.1 Introduction**

The ‘identity renewal models, options and outcomes’ chapter provides a detailed explanation of the redevelopment strategies of the urban poor examined in the previous chapter of case studies. This chapter refers back-and-forth to the narratives, approaches and results of the case studies. It elaborates the outcomes of the approaches by focusing on its best practices, gaps and the lessons learned from the case studies. This chapter is important in order to give references to the practitioners and administrators for future interventions.

In relation to the previous chapter’s context, the research is aware of the wellbeing aspects which are currently under threat by rapid urban transformation, development, population increase, and insensitive urban design processes. This contemporary crisis of change and uncertainty occurs in the name of improvement regardless of the expectations of the beneficiaries. Nonetheless, the recognition of our standard long-term understanding of our consumer-driven culture focusing on the governing organisations as ‘the master figure model’, demands instant, productive action against it (Sarkissian 2009).

The aim was to encourage the local people to take charge of their neighbourhoods and to stand up for their worth with confidence and determination. The intention was to empower the residents to work in partnerships in the community to look ahead, shape strategies, make decisions and take suitable actions (Uzun et al. 2009). The plan was to test, record and apply the community ideas, from local to global. This chapter also designs a course of action for the professionals and practitioners for every ongoing step of considering, questioning, modifying, understanding, testing, examining, and altering that defines and underpins a community’s own quest for a local to global practice (Sarkissian 2009).

Although such aims are beneficial, this chapter considers positioning itself through international and national theories that support current strategies of being directed by notions of human behaviour, which are, deficient of informal interactions and engagements and are often conflicting and problematic. These concerns were carefully measured and were taken into account in this chapter in the light of the case study experiences recorded throughout the excursion.

Within this context, this chapter discusses the identity renewal model by taking into account the implementation process, its purpose, intensity, and challenges. By means of this review, future practitioners and administrators will have an accurate directive for their work.

## **5.2 Identity renewal model**

From the best practice instances of urban renewal discussed in the previous chapter, it has been noticed that the development approaches exercised and the community results were seemingly inspiring. Perhaps if the redevelopment approaches from every case study are combined, it can truly turn out to be an ideal presentation for identity renewal of the urban poor - worldwide. Knowingly or unknowingly, there have been outcomes where the communities have gained equitable rights towards the development of their community and most importantly, individual empowerment and dignity was achieved, when the purpose of the projects was solely to re-develop the physical built environment.

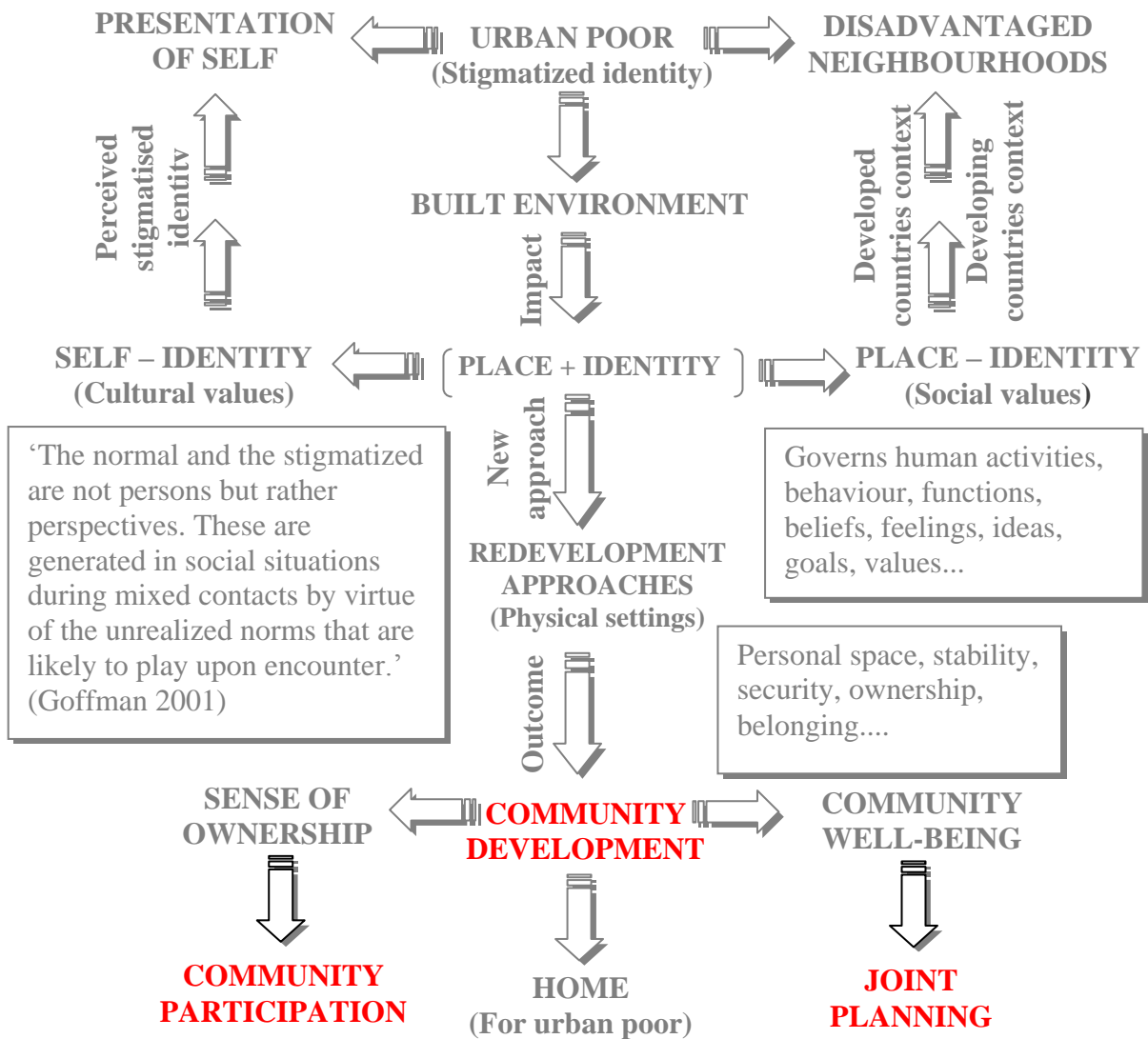
The Ahmedabad Slum Networking Program (ASNP) involved the community as partners in the development by inculcating the condition of cost sharing. Curitiba's Urban Development Program engaged all sections of the society – rich and poor, young and elderly, men and women, employed and unemployed, literate and illiterate – by introducing programs which gave every individual responsibility to protect and safe guard their environment and community. The programs provided employment, education, and gave assurance of long-term sustenance of the improvements. Girrawheen's New North Program and Victoria's Neighbourhood Renewal Program adopted the technique of joined-up government in which all the departments' acted with

a collective investment plan to foster the communities. Khulna's Slum Improvement Program empowered the women by providing them with small credit loans and education. The program also improved the living conditions of the slums which further brought about good health conditions and awareness, resulting in better employment opportunities and more savings for the future. Ahmedabad's Ramdev Pir Tekro project's objectives were designed and planned on the basis of the existing Tekro's components such as built forms, rational and capital physical features, community characteristics, and the occupation of the community dwellers. These characteristics led to the initiation of the Manav Sadhana Activity Centre, which was – built and operated by the slum dwellers.

All these case study approaches have acted at the macro-level in their individual regions, whilst focusing less on human development components (from the assessment of each case study). But, if these efforts are combined and acted on collectively, these approaches can prove beneficial at the micro-level, reaching every individual. The development models should aim to commence the projects by harnessing the community, its resources and culture such that the residents acknowledge, appreciate and participate actively in their own development. The process of community bonding and involvement creates a sense of team spirit and independence, wherein the community learns to use their own resources with the least external assistance, releasing themselves from the long-standing attitudes of being submissive substances acted upon by others, waiting for solutions. For disadvantaged communities, such development models are not empty concepts but are instead a procedure and an aspiration to human rights, dignity and transformation from urban poor to persons (Newman 2006).

Mere participation of the residents alone, however, will not bring about the desired change. The ever-increasing use of technology, use of powerful tools and, in some cases, financial assistance needs expertise and bureaucratic help. Thus, the setting up of appropriate technology and community cooperatives necessitates collaboration with the state governments, non-government organisations (NGOs), non-profit organisations, municipal government and private sectors. Evidently, the process starts from below

through grassroots organisations and eventually the hope of shaping the power of social equality and wealth becomes a reality.



**Table 5.1: Project mapping (Chapter 1.): Building Identity Renewal Model**

Consequently, the identity renewal model includes the building up of integrity and solidarity among communities, through peoples’ organizations and legislative bodies.

**5.2.1 Joint planning**

Throughout, the research has been focusing on the challenges and concerns arising from the problems and opportunities of the co-existence of rich and poor in shared spaces with very different priorities and notions. Addressing these challenges has taken the debate

into key planning concerns and governance trials. The standard approach by governments is to respond on the basis of their perceived notions of the needs of disadvantaged communities and fails to take into account the issues specific to a particular community. In response to the failure of the traditional top-down planning approach, the idea of collaborative planning was introduced and launched by Healey (2003 and 1997). His aim was to overcome the hierarchical and bureaucratic nature that primarily acts around centralised decision-making. Similarly, today's planning has brought the citizens into the decision-making process (Healey 1999, cited in McCarthy 2007) such that the disadvantaged communities and grassroots organisations have an equal say along with the state government, municipal government, public agencies, and private interests (Tiwari and Trivedi 2010).

The idea here is to contribute equally while addressing the interests of all. Interactive scenario planning workshops are considered as basic tools where inhabitants, planners, politicians, and stakeholders can identify, evaluate, learn, and work in partnership regarding the problems and propose solutions for a successful planning project (Tewdwr-Jones and Allmendinger 2002, referring to Healey 1992). It is evident that, due to different organisations, their concerns and expertise, the process of dialogue between each organisation will raise much conflict and dispute, but the core of each dialogue will be in relevance of the people with few differences in the channels. Relationships, learning, reciprocity and creativity are the most significant outcomes of this approach (Innes and Booher 2003). According to Innes and Booher reciprocity is the ability to develop actors' interdependence, creating recognition and identity. They also see a joint planning approach as a creator of relationships among and between actors as well as a process of learning from each other (Innes and Booher 2003). These efforts search for more 'win-win' outcomes of the conflict than an 'I win – you lose' approach (Healey 2003). Mostly, during these processes, learning takes place and innovations emerge (Connick and Innes 2003). The process is of 'give and take' and joint problem-solving (Straus 2002).

For example, administrative rule-making for the environment and society in Curitiba was highly doubtful, with government organisations proposing rules without canvassing

the opinions of local industries or social groups regarding the policies. It is obvious that making a rule for the betterment of the society could take decades, and it might not produce the desired and agreeable outcome for all. However, instead of proposing regulations, the IPPUC, Curitiba's Urban Planning Institute, decided to transform the street overnight into a green-pedestrian 24-hour working street. And over the next few days the businesses escalated, the employment rate increased, and the crime rate declined (as discussed in Chapter 4). The experiment by IPPUC was to express their idea of the pedestrian street to the shopkeepers. This decision was made in full support of the stakeholders, including representatives of the industry of the beneficiaries. Thus, IPPUC discovered that collaborative discourses could often work out ideas that were satisfactory to all (Ryan 2001).

One of the prime elements in joint planning is transparency and sharing the right information between all the parties (Innes and Booher 2004). Local residents of a community have the most authentic data and, if residents are questioned, this can improve the quality of the decisions. Combined search for information can be one of those joint planning strategies in which the groups question data and present their own amongst the community. For instance, in Ramdev Pir Tekro, it was uncovered by the stakeholders that the standard construction techniques and development by the municipality had been a big mistake, particularly in view of the fact that the residents of the Tekro were so rich in skills and local resources. Thus, when the technical knowledge of the stakeholders, plus local information and resourcefulness of the community, was combined Manav Sadhana Activity Centre came into existence.

Financial plans and arrangement of funds are usually due to the concentration of joint efforts and discourses. Traditionally, while arranging finances for a development program, community and other interest groups puts forth their demands and aspirations to the Planning Commission, and are not concerned about knowing the details of where the money will come from (Innes 2004). Formal discourses and contributions from all the parties in joint planning will render each group liable to contemplate options, innovative ideas and the usage of available resources (Yankelovich 1991). For example, in Ahmedabad Slum Networking Program (ASNP), the program was preceded by a joint

effort between the local municipal corporation (the AMC), the private sector and the slum dwellers themselves. It was ensured that each partner of the project contributed equally depending on their individual capacity for the implementation of the project. Wherein the AMC was responsible for an eighty per cent of the total cost of the physical development, the remaining twenty per cent was added by the households participating in the project. The private sectors provided monetary support, and the professionals provided voluntary services for planning and designing of layout of services (Tewari, Raghupathi and Ansari 2007; Parikh 1999). This process led to agreements and improvements proved to be unworkable, both politically and capacity-wise. The strategy adopted to involve the community as partners and owners of the project changed the entire negative inclination (Gautam 2008). Thus, ASNP advanced through joint interaction and a learning process about the city's finances, practices, and services.

Joint planning has the capability to neutralise racial and gender conflicts and reform socio-cultural bonding. During the process of renewing the neighbourhoods under the New North Program in Girrawheen, the Department of Housing (DoH) developed a strategy to create equal partnership between the Indigenous community and government agencies, which was a critical mechanism. It was well known that unless the Indigenous community obtained self-determination, autonomy and cultural integrity, the community would always be sceptical of the government agencies and renewal programs. However, to refine the preconceived notions of the Indigenous community and counter balance the societal differences; DoH encouraged the private sector collaborators to employ local trades<sup>2</sup>-people and youths from the Indigenous and non-Indigenous groups of unemployed tenants to carry out the refurbishment of the dwellings and the infrastructure development of their suburbs (Walker et al. 2007). It was recognised that this technique not only fostered employment and developed skills, but also connected the community and diminished racial segregation. Similarly, in the case of Khulna Slum Improvement Project, the Development Authority came up with an alternative of providing micro-credit loans to women to help them start small informal businesses at home and generate income to support their families. This approach has balanced the contributions of men and women in the family - thus, empowering the women and reducing gender predispositions.

Nonetheless, dozens, if not hundreds, of instances of joint planning have been documented, from public housing, clearance of solid-waste and, resource management, to socio-cultural differences and building civil society (Innes 2004). Victoria Neighbourhood Renewal is one such example where all these subjects were covered by a joined-up government strategy. Here, responsibilities and portfolios of individual government departments such as health, education, transport and housing were knitted together to foster community interdependence. On the whole the renewal project merged diverse bodies of government, businesses, community groups, local communities and residents in a whole-of-government and inter-sectoral partnership. The idea was to combine resources and ideas to tackle disadvantage and build interconnected and cohesive communities (Klein 2005).

Experiments in joint planning and dialogue have flourished globally. Even though joint planning is a very formal system of a development approach, it is never fixed and alters depending on the circumstances. This system of planning commences with social responses: it is collectively designed and re-designed through exposure, exchange of ideas, by re-thinking, by changing perceptions, and through collective mobilisation (Hartz-Karp 2011; Healey 1999). Joint planning provides influences and opportunity for asking probing questions, addressing communal concerns with co-existence in shared spaces, and re-designing institutional structures to allow a productive, creative, locally contingent and inclusionary form of local development planning to flourish. As a result, joint planning has the power of renewing the identity of an individual, wherein the individual creates and re-creates his or her own way, as the powerful governing bodies acknowledges and resist their embedded powers.

### **5.2.2 Community participation**

In the context of urban community development, there are multiple rules and interpretations of the approaches to community up-grading that are discussed in literature and analysed in the practical world. It appears evident that the main ingredients of urban community development are local people and their issues. Sometimes governance and institutional shortcomings such as, authoritarian barriers, unavailability of affordable land, impractical building materials, inadequate human resources, unclear



institutional rules, and lack of political will also contribute to community issues. Furthermore, community development programs can become completely marred by the lack of interest of local government technical staff, a rigid governance of services and limited funds available for upgrades (Das and Takahashi 2009). The remedy for such governance and institutional capacity ills was introduced by John Turner (1978 cited in Seabrook 2000) wherein his imaginative understanding promoted local residents to participate, take democratic action and self-help to meet their own problems created by urban living.

John Turner advocated the maxim that, ‘appropriate technology is technology that people can appropriate’ (Seabrook 2000). Likewise, as contended by Ife (1995, cited in Black and Hughes 2001) and Chaskin (2001),

- Local people know their community better, have fresh perspectives and can often see the problems in new ways.
- Community participation helps to deliver programs that more precisely target local needs.
- The resulting projects are more acceptable to the local community.
- Program outputs which have been designed with input from local residents are likely to last longer because communities sense an ownership towards them.
- The constructive involvement of communities in urban renewal helps to build local organisational skills, making it easier to develop strong successor organisations.

As a result, when residents of a community are enfranchised and encouraged to participate to manage and control their decisions, and contribute to the design and execution, both the process of developing self-confidence and stimulation of social and individual wellbeing is achieved (Mansuri and Rao 2004). Clearly, the idea here is to directly involve local people, primarily seeking the inclusion of the urban poor in the decision-making process, thereby increasing their empowerment by reinforcing their abilities (Das and Takahashi 2009). Empowered community participation is a hallmark of the sustainability of community development and the route to identity renewal.

The above operational definition of community participation can be construed as the nature and scope of identity renewal for the urban poor. From a conceptual standpoint, community participation can be viewed as a process that serves the means of action of identity renewal through the following objectives - empowerment, capacity building of the beneficiaries, task effectiveness, contribution of resources, and efficiency of the participants.

In the broadest sense, community participation is the mechanism of empowerment (Botes 2000). For instance, the development of all neighbourhoods under the Neighbourhood Renewal Program in Victoria was led by the residents who made equitable decisions with the DoH for the community and participated in the development of the neighbourhood through construction/renovation of houses, landscaping, street scaping, fencing, etc. Any development or contributing activity was a means of empowerment for the people such that they were able to initiate actions on their own in the future and hence, inspire the course and product of development (Ibem et al. 2011, referring Rondinelli 1990).

Community participation may also function as a means of capacity building of the beneficiaries. At the time of the up-grading of Curitiba, IPPUC conducted programs to encourage the local people to participate in 'Self-subsistence education and skills' (Moore 2007). These skills and knowledge of the local people not only helped in the organisational tasks of the upgrading program of Curitiba by taking on effective responsibilities but also in the monitoring work. Building capacity of the beneficiaries has proved in Curitiba the sustainability of the program beyond the required period due to the enhanced level of recipients' skills, interest and capability in the management of the project (Botes 2000).

Furthermore, effectiveness of a task can be guaranteed through community participation. In the case of Ramdev Pir Tekro in Ahmedabad, the effectiveness of the project, Manav Sadhana Activity Centre, can be referred through its degree of efficiency, which measures the relationship between the outcome and its costs. The contribution and participation of the slum residents in the design and implementation of the activity centre led to better services and functions since these components were stimulated by the

residents depending on their needs and constraints. The implementation and inputs by the local people for the activity centre can be further devised and delivered in the residents' construction of their own houses suitable to their individual needs.

Another objective of community participation is to improve and make the project affordable by making community resources available to serve its own people. In the case of the Slum Networking Program in Ahmedabad, the beneficiaries were encouraged to participate by sharing the cost of the program. Gradually, SNP became more affordable when the local residents started contributing their local resources, such as labour and, indigenous skills, while undertaking the assurance of maintaining the project components.

Community participation can also improve efficiency of co-production among the residents through interaction, cooperation and mutual understanding (Hartz-Karp 2011). This model of planning and implementation assures an easy flow of the project, plus the delays are reduced. The right inputs by the beneficiaries at the right time also reduce the total costs of the project (Botes 2000). These objectives of community participation may overlap or influence or vary from each other during a real world project, depending on the intensity and characteristics of the community, but a 'people centred approach' are necessary to elicit community assistance. Development projects are not for the community to obtain things according to their needs; they are to provide the community with the freedom to make choices and develop their own tastes (Seabrook 2000; Illich 1973). Community participation is a liberating process which allows the community to define and design their attitudes and level of comfort without any professional help. The ensuing process will slightly endanger the course of community discourse of selecting an alternative but will not harm the sense of attachment with the community. Plus, inadequacies in the physical setting are far more bearable when they are a consequence of one's own decisions. Hence, the process is not only for the participants to learn the procedures or skills of design and decision making, but it is for the community participants to learn about the resourceful research of community issues, consequences, ethics, aspirations and the individual inner-self that emerges as an innovative characteristic of personal and community identity (Dovey 1999).

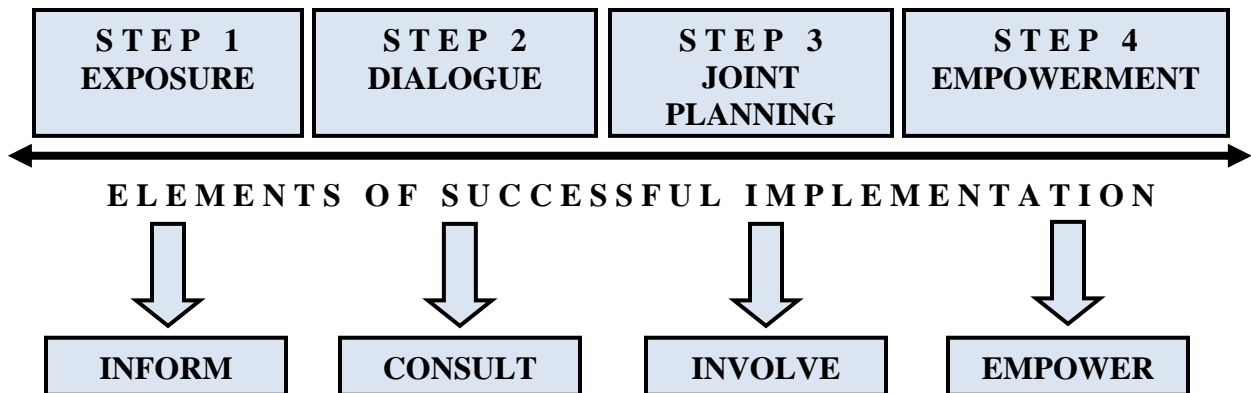
### 5.3 Implementation process: exposure, dialogue, joint planning and empowerment

Creating a dialogic space for honest practical reflection among all the participants for joint planning about needs, priorities and choices for development of a certain neighbourhood can be a frightening task. Although the stakeholders' have made claims of organising various proactive methods and of reaching a large and diverse audience for complete consultation, these claims seem to be an absolute exaggeration comprised of statements from community 'gatekeepers', while the voice of the urban poor remains marginalised (Brand and Gaffkin 2007).

To overcome discontent in the future, the research suggests that the stakeholders to follow the implementation process of:

- Exposure
- Dialogue
- Joint planning
- Empowerment (= community participation)

The figure 3 below is a step-wise guide of the implementation process:



**Figure 3: The implementation process for identity renewal**

Source: Hartz-Karp (2011); Sarkissian (2009)

From the experience of field case-studies, it is an opinion that exposure to the environment and conditions of the real beneficiaries is a genuine opportunity for the stakeholders. It is an opening into the lives of the community dwellers to appreciate their strength and understand their tactics in order to overcome their local problems. The exposure will act as a reality check to understand the situation of the urban poor. The exposure will encourage the stakeholders to think out of the box, broadening their perspective to design new strategies and acquiring the capability to imagine the impact of their work beyond a specific activity or project. It is an opportunity for the project authorities to inform and answer the initial queries of the community on the upcoming project. At later stages, exposure might act as a performance and progress check for the project authorities and will continually remind of the realigned target to be achieved.

Subsequently, the dialogue between the urban poor and the governing bodies should not be considered as a formal discourse, which can become overwhelming for the urban poor. Instead the interaction should be seen as a multi-way dialogue in which the urban poor and the governing bodies talk in formal and informal ways to influence action. This structure is based on Innes (2004) article which asserts governance is no longer about authority, but about the power which is equally distributed in society. As a result, effective participation builds systems for joint planning between public sector agencies, non-profit agencies, private sectors, local organisations and the people. In such conditions genuine dialogues converge, authentic learning takes place, confidence and communal resources builds up, comprehension and recognition of data is increased, mutually planned strategies and resolutions with joint gains emerges, and creative rational solutions for inflexible issues are developed (Hartz-Karp 2011; Innes 2004). These methods provide the basis for building and maintaining the system which creates their own form of action and power with shared heuristics, collective knowledge, joint intentions and meaning (Booher and Innes 2002). In such models, if the dialogue is done well and finalised, even when some dwellers are against the final result they may accept the decision if they had some involvement on the final package. They will be able to see what this impact is through transparency and openness in the dialogue (Roberts 2002). This model in turn will give the urban poor the skills and knowledge to challenge the

powers in urbane ways, the ability to adapt to changes, and become more proficient in addressing controversial and difficult issues.

Perhaps, this model may also dissolve the conflict between the planners and the urban poor. Planners will not have to choose between collective and individual interests. The question as to whether citizens know enough to have their voices heard also disappears as they become experienced and knowledgeable in the process while working with the stakeholders. This kind of interaction between planners and the urban poor will be more of a learning experience than a rifted one.

In the regular practice of implementation there is always a tension between whether to prioritise the development, or give time for exposure and dialogue with the community equally proportional to the value of time and the degree of debate leading to the conclusion. Sometimes excessive pressures for instant results and accuracy in the delivery of services undermine the attention from the marginalised and welfare approaches. Such stress may force the workforce of the project to take the project into their own hands and complete it themselves. From the literature study it can be seen that, many believe community participation and joint planning are too time-consuming and not-cost effective, for the reason that, participation is always a slow and uncertain process.

However, the following assumptions are not always valid (as shown in table 5.2 below). From the examination of case studies for this research, it has been found that community participation and joint planning inputs actually take considerably less time. It has been noticed that whenever a complaint about delays has been made in these case studies, it is officials and authorities who were responsible for the shortcomings in design and implementation (for example, in the case of the Slum Improvement Program, Khulna, Bangladesh). Secondly, even though provision of information, consultation and decision-making for design and planning takes time and costs more, this inconvenience clearly becomes subdued during the execution and maintenance phases, because the process ensures that people take ownership of the project. However, each of these methods needs to be adequately resourced over a lengthy period if community participation is expected to be effective and operative. Whilst it takes time to set up

appropriate means of local residents' participation, it is vital to give them genuine authority in the renewal process and to search for the motives of 'quick-wins' in order to fight disappointment (AHURI 2003, Issue 19).

<b>Process against Product</b>	<b>Decision-making action</b>	<b>Primary notions</b>	<b>Emphasis</b>
<b>Process less important than product</b>	Developer-centred approach: characterised by top-down decisions taken by development elite.	Rely on standard know-how and expertise to resolve development problems in the shortest possible time.	Time and product
<b>Process more important than product</b>	People-centred approach: characterised by bottom-up decisions taken by community members or their legitimate leaders.	The immediate resolution of a development problem is less important than the way in which the process of problem-solving is taking place – even if it requires a longer time. Build on the saying 'it is the approach rather than the outcome of the message that spells success.'	Inform, consult, involve and empower = process

**Table 5.2: Identity renewal model: Process against product**

Source: Botes and Rensburg (2000)

## **5.4 Barriers in the implementation process**

Community participation and joint planning in community development is often encouraged for various reasons which are sometimes perceived as being rhetorical and infused with meaningless sentiment. But to overlook its advantages and adopt strategies against community participation would appear utterly ungenerous. As a paradigm, these implementation strategies if combined will deliver positive results, but it is also important to critically analyse the model before building hope. This critical analysis in itself is a difficult task for the reason that it calls for criticism of the ethical and preached ideals of the research. Therefore, the research attempts to uncover some obstacles and

impediments to community participation and joint planning with some references to literature and experiences in the field case-studies.

The obstacles hindering community participation and joint planning can range from socio-cultural to political, economic, and technical, spreading onto a never-ending scale. These obstacles can be due to the development workforce, professionals, local governing agencies, government at the broader level, or their financial bias. Some of the obstacles can also be results of conflicting community groups or excessive pressures for instant results (Botes and Rensburg 2000). Various related concerns to community participation and joint planning techniques were acknowledged, studied and discussed with the renewal program professionals during case studies; a few are listed below:

- The urban poor suffer from attitudes of apathy, scepticism, and doubt towards urban renewal programs due to earlier attempted and failed programs of inadequate dialogue. Unsatisfactory involvement of the community at the strategic decision-making level often resulted in community apathy (Botes and Rensburg 2000).
- Often the procedures of dialogue or participation processes, for instance, meeting times, venues, at times usage of intimidating language, and lack of respect for local knowledge and expertise, have discouraged community dwellers from participating in renewal programs (Hartz-Karp 2004; Roberts 2002).
- Lack of integration between community and program professionals have resulted in incorrect conclusions and disappointments. Nonetheless, residents selected in the focus groups mostly revealed that they were not informed or consulted and barely knew about the established forums (Carson and Hartz-Karp 2005; AHURI 2003, Issue 19).
- The most common complaint noticed was the paternalistic behaviour of project professionals (Botes and Rensburg 2000). The community delegates and participants often felt dictated to, mistreated or manipulated by renewal professionals and felt controlled and limited in their roles. Several people also experienced that all the work was left to them, while their ability was continuously doubted (Diacon and Vine 2010).



- Community dwellers were also hesitant to participate because of limited and prescriptive participation of the State authorities in some cases (AHURI 2003, Issue 19).
- The ‘expert’ problem, selective participation, inadequate resourcing, excessive pressures for instant results, fear of testing the status quo, over-reporting of development successes, mismatch of techniques and needs, etc., were some of the obstacles facing the community for involvement in the renewal projects (Prins 2005).
- Quite a few residents were upset over the internal conflicts among themselves over decisions, and hence were reluctant to get involved (AHURI 2003, Issue 19).
- However, the project professionals were concerned as to whether the community delegates were speaking for themselves or for the benefit of the whole community (Prins 2005).

Nonetheless, these common obstacles hindering community participation and joint planning can be prevented if the practitioners and professionals follow the implementation process stepwise and with genuine interest. It is crucial for all the partners in a collaborative project to contribute and work with same motto for the success of the project.

### **5.5 Guidelines to adopt ‘identity renewal models’: Reference for practitioners and professionals**

Throughout this research, as discussed in previous chapters, factors such as society, culture, chronicles, government policies, economy and politics have influenced the identity renewal models – joint planning and community participation. These models wherever discussed in the research are context-bound or neighbourhood-specific as such their components do not seem to be universally workable. For obvious reasons, these models of identity renewal cannot be replicated or applied to another region or situation.

To deal with these models in today’s complex contemporary age, where nothing is easy and guaranteed anymore, the research attempts to frame a few guidelines based on the

current study of socio-cultural reality. As these guidelines are for the future renewal programs, based on the suggested identity renewal models, it is advised that these guidelines should not be seen as standard blueprints or recipes, but rather should be customised for that particular neighbourhood and its people, with the same values, principles and methods to promote identity elevation rather than solely concentrating on the physical built environment. Practitioners and professionals should be aware that these models are not strategies for ‘quick fix’ solutions (Carson and Hartz-Karp 2005; Botes and Rensburg 2000). Built on the study and investigation for this research, some of the guidelines listed below can be the route to development of human dynamics. Before taking up the identity renewal model, development professionals should:

- confirm the values of solidarity, conformity, compassion, respect, human dignity and collective unity in the urban poor;
- demonstrate recognition and understanding of their position as outsiders to the urban poor and the potential effect of their participation in the project;
- acknowledge the contribution of the community in the form of their indigenous skills, knowledge and capability;
- be respectable facilitators by supporting and motivating community-based initiatives and questioning practices that obstruct community from putting forward their ideas, such that they realise their potentials;
- encourage joint decision-making when outlining needs, setting goals and, framing policies and plans in the implementation program;
- discuss successes and failures when facilitating meetings with the community;
- pay more attention to the needs of marginalised groups, especially those with less voice and more need;
- protect the program and community decisions from any third dominating party with personal interests;
- engage a sample of interested delegates of the community in the program as partners and community representatives to define and design suitable methods to reach the discussed goals with the community;
- ensure a multi-disciplinary/joint planning approach to project planning and implementation with the inclusion of planners, technical professionals,

community representatives, and social scientists. This will not only respect the process and product related issues, but will also recognise and make use of appropriate skills from within the community;

- engage the community and make use of their skills and creativity with a positive attitude and without exploitation;
- empower the community as equal partners in the benefits and losses of the program through active engagement processes which induce the community to take charge of the development program rather than just receiving a share of benefits in a passive manner.

Professionals and practitioners attempting identity renewal models for development programs should know that the course of action outlined here are not permanent or prescriptive, but are reflections from the literature and field case-studies. These suggested directions have ‘emerged’, been ‘tried and tested’ or ‘ignored’ in different examined case studies, which are all combined to support identity renewal models. Although these guidelines are elusive, they are ethical and real and intended for development. In any case, these strategies direct professionals and practitioners of a development project to work with and not for the community, as facilitators, by minimum intervention and maximum encouragement of the indigenous knowledge.

Taking on the role of facilitators will help the professionals understand their position as outsiders who cannot empower the urban poor by themselves. As facilitators, it is their duty to communicate with and empower the community and then assist its members to pursue solutions in their own way. In a way, this is to provide the community with an opportunity to ponder, review, evaluate and self-investigate. However, a professional or practitioner must be involved with the community only until the people identify their needs and learn to transfer their skills and ideas into practice and run the programs themselves.

## Chapter 6

### CONCLUSION

The research commenced with the objective of analysing the impact of poverty on urban poor that influenced their identity through their built environment. The intention was to seek urban social identity and suitable living conditions for the urban poor through the medium of built environment intervention strategies. These objectives were achieved by examining redevelopment strategies and policies attempting to de-stigmatise the identity of the urban poor, by strengthening their socio-cultural characteristics through their built environment. This examination raised questions of whether a re-designed and re-developed environment can socially empower the urban poor; and, if so, what redevelopment strategies and approaches can be adopted to re-create identity and remove stigma over urban poor? To answer these questions, the research focused on three themes mentioned below, in an attempt to create a dialogue between identity and built environment.

First, the research examined closely the context of the urban poor in developed and developing countries, to identify key aspects of the built environment that are reflective of, and influence the development of the urban poor, leading to social empowerment. Secondly, the research reflected upon the questions of ‘who we are’ and ‘where we are’, to explore and list the key identity indicators. Lastly, the research analysed the redevelopment strategies from the case studies that exemplify best practices and gaps in relation to identity renewal.

#### **6.1 Findings related to identity building of the urban poor**

There is no doubt that the marginalized areas regardless of how they are defined or perceived, are the most attention seeking and influential issue of today’s world’s urban studies and urban policies. Researchers, anthropologist, ethnographers, geographers, planners, government and non-government bodies have all turned their attention towards the speeding transnational and intra-national migrations, the effects of the shifting of socio-cultural environments, identity crisis and definitions that contextualise and de-contextualise norms and behaviour (Low 2001). But, each of these professionals would

perceive the problem of the urban poor differently. In fact, every individual and every sector of the urban social order perceive the urban poor according to their convenience and comfort and from their own territory. For the urban poor themselves, their poverty is an issue, their substandard livelihood, apathy, and stigma associated with life in the appalling conditions of the disadvantaged communities is a concern to them. People from 'outside' cannot perceive the urban poor in this manner; outsiders are mere observers, even if they voluntarily spend time in the community. An outsider cannot have the same view of the urban poor as urban poor themselves, primarily because their roots are not 'inside' and an outsider always knows that he can 'escape' (Share World Resources Report 2010; Kirby 1979).

Thus, the research began by introducing urban poor in the developing and developed countries context. Chapter 2 of this thesis elaborates on preliminary literature study on the urban poor while considering the causes and effects of poverty that are linked and interlinked with each other in complex ways restricting their capability to display their individuality and to socialise. It was observed from these reviews that poverty is not only linked to financial and material inadequacies but is also linked to social and personal inadequacies. In effect it was revealed that urban poor living is a combination of physical and socio-cultural attributes, wherein the physical environment influences the socio-cultural characteristics of the poor; thus generating the questions of 'who we are' and 'where we are'. In response to this effect, the research analysed Phillips and Pittman's (2003) "Triarchic Model of Poverty" and Sen's (1993, cited in Fukuda-Parr 2003) theory on "Capability and well-being", with a conviction that its outcome will add to the current theory and historical beliefs about development, culminating in an attempt to explain how and through what processes connections between self-identity and place-identity might influence development. The process resulted in a set of built environment aspects of the urban poor and means to measure their well-being.

These evaluative aspects of the built environment and well-being measuring aspects are not novel in nature. But, interpreting and defining them into specific terms is an original addition in the philosophical world and have provided a broad informational space to conceptualise and measure the impacts of built environment on the identity of the urban

poor. This analytical framework was utilised during case studies as an iterative process to examine the redevelopment strategies applied to re-create identity of the urban poor and to identify those methodological and rational elements that may be responsible for significant variations in the findings. The purpose was to identify the key built environment aspects having the maximum impact on identity renewal of the urban poor. Thus, the research has explored the hidden link between identity and the built environment. This is in order to seek transformation for the better, in a more holistic manner pertaining to the identity renewal of the urban poor. In consequence, the three key aspects of built environment intervention identified through analysis of the case studies were:

- Housing and environment,
- Pride and participation, and
- Government responsiveness

Altogether, it was noticed that the redevelopment approaches identified under the key built environment aspects encompassed a range of multifaceted and interconnected factors which had relevance in specifying practices, procedures, design characteristics and other decisive aspects, that ensured the effectiveness of the urban renewal. The key built environment aspects also indicated that success was achieved only when there were signs of people's participation and tangible efforts of the stakeholders for a holistic development.

The interventions in the case studies had clear indications that the issues of the urban poor can be resolved if more rationalisation and more engagement of the community is brought into the program. Direct involvement and the contribution of every individual of the community in the process of renewal will result in a deep sense of belonging to the community and a positive transformation in identity. By encouraging the urban poor to make decisions for themselves and their community, by empowering them with skills and techniques to help themselves, and by creating awareness on importance of factors such as education, good health, sanitation and clean surroundings were some of the initiatives adopted in the cases studies. The participation of the urban poor will empower them to regain their position in society, display their potential and detach the stigma

attached to them and their surroundings. It has to be recognised here that urban renewal practices are not mere efforts towards renewing the built environment of the urban poor, but are also efforts to equip the people psychologically, socially, culturally and economically for the future in their own re-developed environment. However, conducting and modifying the schemes and finding solutions of urban renewal program, are not as easy as it might seem to be. The barrier lies in the deeply embedded attitude of the government bodies, professionals and welfare services who regard people as customers, beneficiaries or service users. The emotional detachment from poverty and the lack of will for change and development can be counted as one of the major obstructions towards urban renewal. Thus, by referring to the gaps identified in the case studies, a few recommendations have been set out targeting urban renewal professionals and practitioners, recognising that the success can be achieved only if there is greater cooperation and collaboration between them and the people. These are listed below:

- preference should be given to the development of identity of the urban poor and their sense of belonging towards their built environment;
- personal development, encouragement to build individual capacity and abilities, and strategies of active engagement should be generated for a long term well-being of the urban poor;
- direction and support should be given to the urban poor to help them display their potential and override their lack of confidence by overcoming their inclination to rely on others;
- the working welfare bodies should be creative and constructive in order to offer alternative viable resources to the urban poor that are rational, affordable, uncomplicated and easy to understand;
- feasible methods should be identified in order to build a channel between the well-established recognised systems of welfare and support and the ordinary systems of the poor, without losing the integrity of each (Diacon and Vine 2010);
- available local resources should be sought out and professional aid given to help put ideas to better use, while engaging the local residents;

- most importantly, policies should be formulated to maintain the ongoing and successful practices to encourage the residents and the individuals seeking change and development;
- additional assistance and resources should be provided to the government by the non-profit organisations, private organisations and local bodies to enable them to utilise citizen capabilities. This may help develop multiple sources of capital – the spirit in a community, money and intelligence (Diacon and Vine 2010).

In reiteration to Chapter 4, practices based on the development of community interests, active citizenship and public-service delivery can achieve well-being.

“If people feel respected, they will take up the responsibility to help others.”  
(Lerner 2003)

Thus, an identity renewal model with two derivatives with precise directives of implementation were formed – ‘joint planning’ and ‘community participation’. Exposure, dialogue, joint planning and community participation are the four proposed steps to identity renewal of the urban poor through urban renewal programs. Joint and participatory approaches can liberate the urban dwellers, permitting them to define and develop their own values. Participatory approaches allow the urban poor to design their own ends and to determine and control their own needs. It is the interaction and creativity of joint contribution that generates its own meanings, not just in terms of ownership, but in terms of control, choice and power. This opens up socio-cultural opportunities for the dwellers, which are not limited to processes, expertise and decision making, but include the urbanity that emerges from the resourceful development of personal and community identity (Hartz-Karp 2005; Dovey 1984).

In conclusion to this thesis, it is acknowledged that individuality with sociability is two equally genuine and significant features of an individual’s living. The research has demonstrated a collection of social and personal options for the urban poor and has provided means to evaluate them in the social order; but has not underwritten a particular concept or ploy for the good or an ideal life. Rather, an ‘identity renewal model’ is proposed as a way to superimpose and differ from the various customary urban



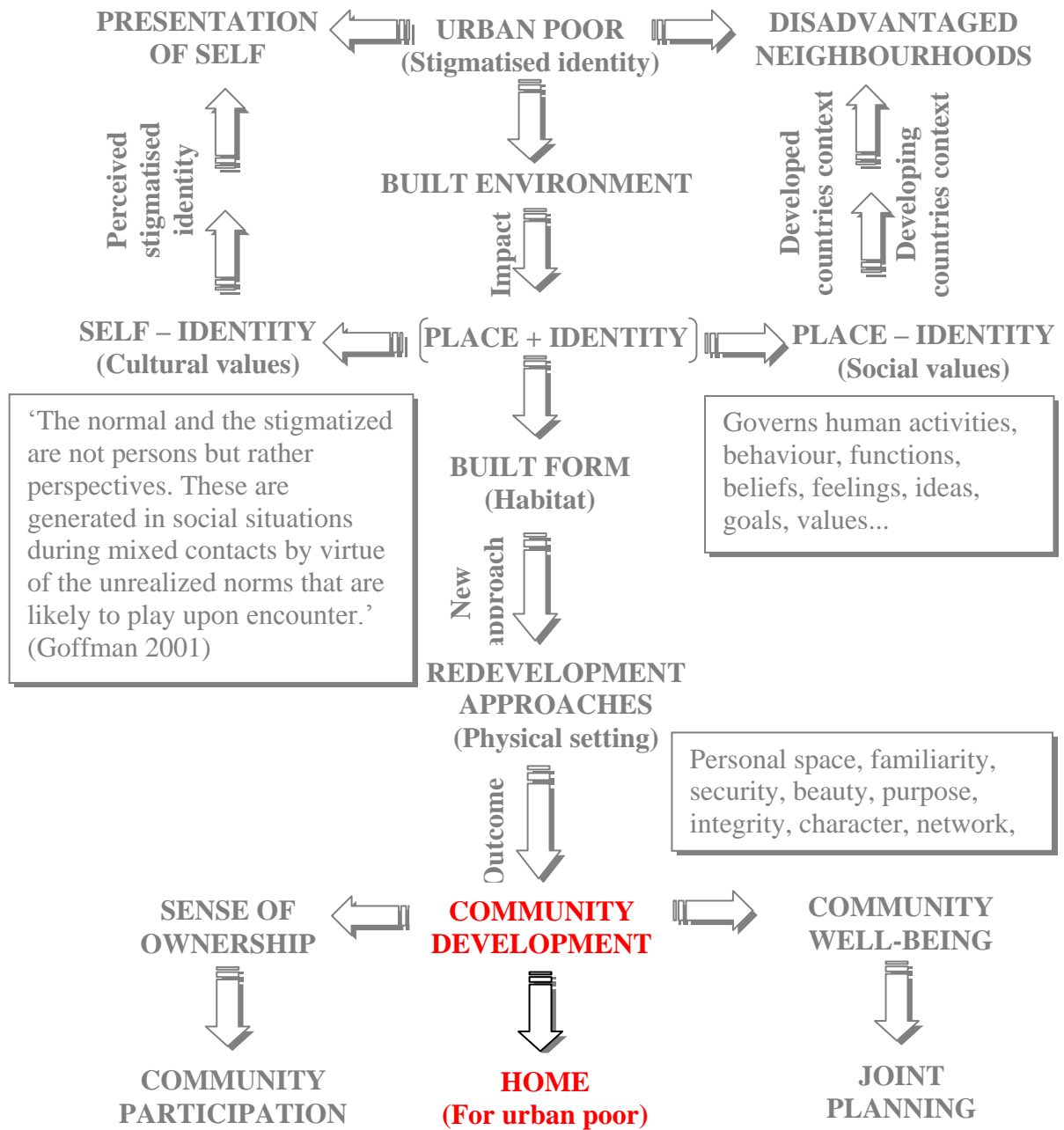
renewal policies. Thus, this thesis has generated specific literature in relation to identity and built environment of the urban poor which constitute an ‘analytic framework’ rather than a theory, and it is hoped that this framework will prove a useful mechanism in the future intervention works; which must be adopted before conjuring any assumptions.

The research is also aware of its limitations in terms of time that is the gap between application of the model and its result. It is a reasonable fact that development takes time and positive results yield over longer periods. As a result, to check the applicability of the model, this thesis proposes area for further research.

## **6.2 Area for further research: To test the precedent through ‘design thinking’**

Although the research has established a stepwise implementation model with recommendations for urban renewal, it is a parameter of the thesis to test the applicability and endurance of these strategies. Therefore, the thesis limits itself in terms of scale from community development to ‘home’, by keeping identity renewal model intact. It is expected that applying focus on a smaller entity will yield more in shorter span of time. It is intended to participate in a real world project to check the practicality of the analytic framework by acting as a conduit in the architectural and humanitarian world.

A ‘design’ can bring revolution, action and interaction. If applied in the case of this research (i.e. to design a liveable space for the urban poor), ‘design thinking’ will act as an approach that works towards greater impacts. With the current research as a foundation for understanding the context and socio-cultural aspects of the urban poor, the future research intends to act upon small local projects in the real world to test the identity renewal model and built environment design strategies. The approach will be able to test the model and design strategies to improve the living conditions of every individual in the neighbourhood. The strategy would be to get hands-on experience in the field through active engagement with the local NGOs, to enable flexibility and effectiveness of the project.



**Table 6.1: Project mapping (Chapter 1.): Liveable space for urban poor – Home**

‘Design thinking’ will act as a human-centred approach, balancing human desires and needs, with technical feasibility and economic viability. The use of locally available materials, local techniques, indigenous skills, innovative local designs and, culturally appropriate, uncomplicated and undemanding home-based solutions with minimal integration of technology and expertise is the antidote that the research seeks to explore.

The idea here is not just to design solutions, but also to raise awareness in the inside and the outside world of this stimulating phenomenon. The aim of the research is to educate, design, engage, build and transform the lives of the marginalised societies, which currently constitute half of the global population, and is estimated by the United Nations (2010) to increase to almost 5 billion by the year 2030. The research does not anticipate playing the role of the designer through the literature, but instead:

- intends to design through action;
- aims to design with, not for;
- intends to design systems, not material;
- intends to record, share and measure;
- aspires to start locally and scale globally; and
- endeavours to educate, design, engage, build and transform.



**Figure 4: Area for further research: Design thinking**

It would be a potential challenge of the research to learn to think outside the box and place tools in the hands of the urban poor to re-build and re-grow. The question here is not to end poverty or control population, but to think about whether design can be a system, a mode of human progress, and whether it can be prototyped globally, focusing on human need as meaningful, productive and profitable.

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## **APPENDIX**

*The draft questionnaires below are some of the selected sample questionnaires, prepared immediately after acceptance of thesis proposal. These questionnaires were prepared at an initial stage of the research for Ethics approval. Since then, the research has evolved to a great extent. However, these preliminary questionnaires might not exactly complement the current research outcomes.*

*As mentioned in Chapter 2 'Methodology', for the reasons of ethics protocol the name of the practitioners and professionals will be kept anonymous.*

*Three sets of questionnaires were prepared each pertaining to a different body:*

- *Government organisations*
- *Non-government organisations*
- *Volunteers*



## **DRAFT QUESTIONNAIRE**

### **OBJECTIVE:**

The aim of this research is to derive urban social identity and sustainability in the living environment of the poor through the medium of built form design. The objective of this questionnaire is:

1. To identify the key aspects of design approach that leads to social empowerment and identity creation for the poor; and,
2. To investigate urban signatures, signifying the conditions of the physical settings of the urban poor and the best practices that have helped in empowering and uplifting the poor.

**NAME:** [REDACTED]

**AGE:**

**PLACE:** DHS-Melbourne

**PROFESSION:** Manager

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### **1. Name of the Organization.**

Ans: Neighbourhood Renewal Initiative operated by the Dept. of Human Services Victoria. There are 19 specific project (site) locations in metro and regional areas.

### **2. Type of Organization.**

- 1) Private                      2) Semi-Private                      3) Government body

Ans: 3- Government

### **3. People selected to work with the organization belong to:**

- 1) The same community
- 2) Particular profession
- 3) People in need
- 4) People's own choice to get a liveable space
- 5) Other

Ans: At the individual project (site) level 1, 2, 3

**4. On what basis/urban signatures, the community/settlement was selected?**

- 1) Poor living conditions
- 2) Overcrowding and Congestion
- 3) To change the land-use pattern
- 4) To prevent slum relocation

Ans: Sites selected based on levels of disadvantage and concentrations of public housing

**5. What was the primary vision of the project?**

- 1) Experimental project on Self-help
- 2) Welfare services
- 3) Upliftment of the people/community
- 4) To provide them with better houses
- 5) To give them recognition of new identities and roles

Ans: To narrow the gap between disadvantaged areas (the project location) and the rest of the State.

**6. Can the experience of upliftment be compared with rural community development? (If applicable)**

- 1) Yes
- 2) No

Ans: not applicable

**7. What was the initial core competency of the project?**

- 1) Ignorance
- 2) Socio-cultural issues
- 3) Deviant behaviour
- 4) Apathy

- 5) Hostility
- 6) Suspicion
- 7) Overdependence on outsiders

Ans: Most communities selected for renewal have had a very favourable response.

**8. What was the response of the people for Self-Help?**

- 1) Reluctant
- 2) Keen
- 3) Unenthusiastic
- 4) Dull
- 5) Indifferent

Ans: Residents have been keen to engage in training and development opportunities.

**9. How well the process of social change was adopted by the people?**

Ans: NR is an eight year program allowing time for people and systems to change the way they work together to assist long term sustainable improvements.

**10. In what way people participated for re-development? Were local skills involved?**

Ans: In NR residents are involved in specific working groups such as health and wellbeing, crime, employment etc. Some residents are also involved in labour market programs undertaking landscaping and energy retrofitting. Residents are also consulted about housing upgrade works.

**11. How was the participatory approach?**

Ans: \_\_\_\_\_

**12. Did it lead to temporary or permanent jobs?**

Ans: Over 5000 jobs have been created through NR and more than 35 social enterprises.

**13. How was the problem of congestion solved?**

Ans: NR is working to create more diverse populations in areas with concentrations of public housing.

**14. Was the community re-planned to accommodate community centres?**

Ans: Creating or improving existing community hubs has been a critical focus of work for NR. This has resulted in improved local amenities and access to services as well as providing a place for people to meet and take on community activities.

**15. Were materials recycled during re-construction?**

1) Yes

2) No

Ans: \_\_\_\_\_

**16. The houses were newly constructed or the existing houses were refurbished?**

Ans: Both.

**17. After the renewal programme, was there any increase in the population census?**

Ans: Don't know as we have only just finished first two projects.

**18. What is identity to you?**

Ans: Identity is about people feeling part or and connected to their community and to decisions that affect their community

**19. Do you think you have achieved it and how?**

Ans: yes, sense of belonging, pride in the community and participation has all gone up in NR areas according to the Community Survey.

**20. Were the people happy with the construction and their Self-Help efforts?**

Ans: The Neighbourhood Renewal evaluation 2008 (and individual project reports) demonstrates that the initiative is achieving its objectives. Specifically –people rated their own housing and the physical environment as improved and participation also went up.

**21. Did people join after seeing the construction/execution work in progress?**

Ans: Yes, as each of the project gathered momentum more people joined in.

**22. Are the community centres regularly used?**

Ans: Yes, all of the hubs have become vibrant and much used places

**23. How does the Department of Housing plans to maintain the change and new look of the neighbourhood?**

Ans: We are working with other state government departments to ensure that the gains made are sustainable and the improvements continue through whole of government targets negotiated against key indicators for housing, crime, education, health, employment, participation and ICT.

**DRAFT QUESTIONNAIRE**

**OBJECTIVE:**

The aim of this research is to derive urban social identity and sustainability in the living environment of the poor through the medium of built form design. The objective of this questionnaire is:

1. To identify the key aspects of design approach that leads to social empowerment and identity creation for the poor; and,
2. To investigate urban signatures, signifying the conditions of the physical settings of the Urban poor and the best practices that has helped in empowering and uplifting the poor.

NAME: [REDACTED]

AGE: 29

PLACE: East Reservoir NR

PROFESSION: Place Manager

1. Name of the Organization.

Ans: East Reservoir Neighbourhood Renewal

2. Type of Organization.

- 1) Private      2) Semi-Private      3) Government body

Ans: \_\_\_\_\_

3. People selected to work with the organization belong to:

- 1) The same community
- 2) Particular profession
- 3) People in need
- 4) People's own choice to get a livable space

Ans: 1, 3, 4

4. On what basis/urban signatures, the community/settlement was selected?

- 1) Poor living conditions
- 2) Overcrowding and Congestion
- 3) To change the land-use pattern
- 4) To prevent slum relocation

Ans: 1 and poor outcomes with health + employment

5. What was the primary vision of the project?

- 1) Experimental project on Self-help
- 2) Welfare services
- 3) Upliftment of the people/community
- 4) To provide them with better houses
- 5) To give them recognition of new identities and roles

Ans: 3, 4, 5

6. Can the experience of upliftment be compared with rural community development? (If valid)

- 1) Yes
- 2) No

Ans: \_\_\_\_\_

7. What was the initial core competencies of the project?

- 1) Ignorance
- 2) Socio-cultural issues
- 3) Deviant behavior
- 4) Apathy
- 5) Hostility
- 6) Suspicion
- 7) Overdependence on outsiders

Ans: All

8. What was the response of the people for Self-Help?

- 1) Reluctant
- 2) Keen
- 3) Unenthusiastic
- 4) Dull
- 5) Indifferent

Ans: 2 but wary or hesitant

9. How well the process of social change was adopted by the people?

Ans: Very community minded group of residents, happy to work with each other for their community. Residents are very action oriented, confusion about exactly what NR as a program was.

10. In what way people participated for re-development? Were local skills involved?

Ans: teamwork, knowledge of local needs fuelled + motivated projects, initial focus on community connectedness

11. How was the participatory approach?

Ans: Residents were involved in decision making, early projects were their priorities and quick outcomes built trust.

12. Education in Self-Help was easy or indigenous help was taken?

Ans: Initial scan of what skills we can find within the community, try to employ local people, identified patterns of skills gaps and trained people → food safety handling, surveys, first aid certificates, drivers licences

13. Did it lead to temporary or permanent jobs?

Ans: Yes → since 2005 - 300 approx temporary jobs ranges from casual to permanent full time NR employing people directly to do things, or employed

14. How was the problem of congestion solved?

Ans: High needs people with social issues living close together is a safety + health issue.

15. Was the community re-planned to accommodate community centers?

Ans: Reservoir Neighbourhood House was planned and built especially for this community. Early Planning got an Early Years Hub - maternal/child health, playgroups, childcare

16. Were materials recycled during re-construction?

- 1) Yes - Front yard program
- 2) No

Ans: \_\_\_\_\_

17. The houses were newly constructed or the existing houses were refurbished?

Ans: Both



18. After the renewal programme, was there any increase in the population census?

Ans: Too early to measure

19. What is identity to you?

Ans: I've noticed a positive change, less stigma, a really significant increase in opportunities across all objective areas, all issues with Housing are identified and planned for improvement

20. Do you think you have achieved it and how?

Ans: We are on track, gained achievements across all 6 objectives.

21. Were the people happy with the construction and their Self-Help efforts?

Ans: People are happy with the progress, yet to be determined on the actual outcomes. Community doubt whether Housing redevelopments solve social issues.

22. Did people join after seeing the construction/execution work in progress?

Ans: Yes, it engaged with people and got them linked in. Dealing with the issues of building/rebuilding brought community together

23. Was the commitment of change in self-identity fulfilled and how?

Ans: In progress. Seen significant changes in individuals and families. The capacity of residents has grown, skills, confidence, knowledge + motivation. Starting to see big infrastructural projects built - Neighbourhood House, community garden, Housing upgrades

24. Are the community centers regularly used?

Ans: Reservoir Neighbourhood House  
Reservoir Leisure Centre - local residents use is increasing  
Schools are being used by organisations to run programs  
Events in parks

25. How does the Department of Housing plans to maintain the change and new look of the neighbourhood?

Ans: Not known at this stage in specific detail.  
Overarching commitment to continued improvement after  
the program finishes, including the prioritisation  
of the Estate redevelopments and ensuring the standard  
of Housing is maintained at a higher level.

Today's date: \_\_\_\_\_

**SURVEY/QUESTIONNAIRE FOR INDIA SLUM ACTION PROJECT**

**OBJECTIVE**

The aim of this survey/questionnaire is to understand the degree of development and outcome of the inclusive approach of the interdisciplinary and intercultural action system driven by researchers, academics, practitioners from India and Australia.

Moreover, the survey/questionnaire acts as a channel to address the needs of the community, better ideas/suggestions and concepts of intervention and implementation for the future.

**PERSONAL DETAILS**

*(Personal details and answers will be kept confidential. These details will be solely used for the project in which names will be kept anonymous.)*

Title:  Mr.  Ms.  Other

Name: \_\_\_\_\_

Date of birth: \_\_\_\_\_ Age: 29 Gender:  Male  Female

Address: \_\_\_\_\_

City: APIMEERABAD Country: INDIA Postcode: 380009

Profession: CONSULTANT PROFESSIONAL

Organization: MAHILA HOUSING SEWA TRUST

Website: sewahousing.org, icaproject.org

Telephone: Home: \_\_\_\_\_

Mobile: \_\_\_\_\_

Email address: \_\_\_\_\_

**BACKGROUND**

1. Nature of your organization? Previous projects towards the upliftment of urban poor/indigenous/low socio-economic group.

Ans: Mahila Housing SEWA Trust is a non profit housing to improve the housing and infrastructure conditions and overall living environment for women.  
 Previous Programs - Providing technical support linked with housing finance, Ahmedabad Parivatan through partnership with local service providers, Sun electrification, Pledge, Training, research and advocacy networking etc.

**THE PROJECT**

(Please do not hesitate to give your ideas or suggestions. After every question, space is provided for your feedback.)

1. Do you think the community is benefitted with diverse cultures and disciplines working together? Why?

Ans:  Yes  No

Yes the community is exposed to these diversities either it can be technical or non technical and end user realises the impact of the impact on their life through interventions.

2. Do you think this cultural and disciplinary exchange should be encouraged on a regular basis and why?

Ans:  Yes  No

It can be value added service given to the existing areas where we are working and for new area where we are planning to work.

3. How often a project or workshop should be conducted?

Ans:  In every two months  every six months  once in a year

4. Does it reduce your workload when students come and work as a volunteer for the project? How do you feel about students' contribution to the project?

Ans:  Yes  No

Well the work load is never reduced but we always appreciate these kind of interventions done by students/volunteers/agencies because we are also exposed to new ideas as an organisation

5. What is community's reaction towards the international students who come as volunteers to work for their settlements?

Ans:  Enthusiastic  Hesitant  Keen for change  Reluctant

Your experience: If the intervention is short term (national/international) community take it as exposure of visitor. So fine, only the long term intervention with community can be an impact for community to realise the process.

6. What were the major challenges for you when you started working in the slum settlement? Please elaborate.

Ans:  People's participation  
 Difficulty in collaboration with the local agencies  
 Difficulty in understanding the problems of the residents  
 Place-based design techniques  
 Other

7. How did you overcome the obstacles? Please explain.

Ans: through focus group discussions, awareness programs, providing financial and technical support and demonstrations

8. Do residents participate in the upgrading process of their dwellings and how?

Ans: Yes <sup>positive</sup> once they realize the impact of the interventions.

9. Do you think the residents are becoming independent with time?

Ans:  Yes, they have learned to help themselves

They rely for few things

No, they still ask for help

Explain: Most of the communities learn to solve their problem as they have to take many other practical issues like finances, technical, decision making. The external body like us can only boost their few processes they choose.

10. How does your organization contribute towards the wellbeing of the community?

Ans: through focus group discussions, creating <sup>local level</sup> CSOs to take up ongoing issues, providing linkages technical and financial support whenever needed

11. What are the global and local attributes of the construction techniques and methods that were used in the project? (Do you think these construction techniques and methods can be used globally and are not region specific?)

Ans:  Definitely, can be used

With few alterations

One has to be innovative to apply them

Have limitations

Explain: It depends how to transfer design/techniques which can be relevant and acceptable. (can be done few modifications based on region/culture/practices)

12. How do you rate your organization for the contribution?

Ans:  Excellent <sup>and</sup>  Good  Satisfactory  Can do better

13. Do you have any suggestions for improvement?

Ans: Well the participation was ~~not~~ appreciated no suggestions at this stage.

Thank you

Today's date: 14/2/10



**OBJECTIVE**

The aim of this survey/questionnaire is to understand the degree of development and outcome of the inclusive approach of the interdisciplinary and intercultural action system driven by researchers, academics, practitioners from India and Australia.

Moreover, the survey/questionnaire acts as a channel to address the needs of the community, better ideas/suggestions and concepts of intervention and implementation for the future.

**PERSONAL DETAILS**

*(Personal details and answers will be kept confidential. These details will be solely used for the project in which names will be kept anonymous.)*

Title:  Mr.  Ms.  Other  
Name: [Redacted]  
Date of birth: 24/6/1989 Age: 20 Gender:  Male  Female  
Address: [Redacted]  
City: Perth Country: WA Postcode: 6150  
Profession: Student  
Organization: Curtin University of Technology  
Website: [Redacted]  
Telephone: Home: [Redacted]  
Mobile: [Redacted]  
Email address: [Redacted]



**THE PROJECT**

(Please do not hesitate to give your ideas or suggestions. After every question, space is provided for your feedback.)

1. Do you think diverse cultures and disciplines can work together towards the benefit of the urban poor? Please elaborate.

Ans:  Yes       No

Provided there is a common understanding of the issues involved

2. Do you think this cultural and disciplinary exchange should be encouraged on a regular basis?

Ans:  Yes       No

Provided the outcomes are useful and are incorporated into

3. How often a project or workshop should be conducted?

Ans:  In every two months       every six months       once in a year

4. Was the time sufficient for the project in hand?

Ans:  Yes       No

I feel

5. What was the physical condition of the settlement? Was it different from your presumption?

Ans:  Yes       Slight difference       No       Is even worse

They seemed generally well off although there is definitely room for improvement. Some were quite bad

6. What was the response of the people for the inclusive approach?

Ans:  Enthusiastic     Hesitant     Keen for change     Reluctant

Your experience: The people also put forward other issues ~~in~~ outside the scope of the study

7. According to you, what was the foremost challenge of the project and why?

Ans:  People's participation  
 Difficulty in collaboration with the agencies  
 Problems to understand cross-cultural practices  
 Place-based design intervention techniques  
 Other

There seemed to be a lack of understanding between the disciplines on the kind of solutions that could be implemented

8. Do you think you were successful in overcoming the 'obstacles'? Please explain.

Ans:  Yes     No

With architects having more knowledge of materials and their characteristics, it was helpful for them to

9. Do you think the implementation techniques applied are simple enough to be adopted by residents of the settlement in the absence of the practitioners?

Ans:  Yes, effortlessly     to an extent     no, you have to be skilled

Any suggestion: They may have some difficulty with exact measurements. But I think at least a few houses should be used as demo houses

10. What have been the learning outcome for you?

Ans: This project has been beneficial in terms of gaining experience in community consultation

11. What are the global and local attributes of the construction techniques and methods that were used in the project? (Do you think these construction techniques and methods can be used globally and are not region specific?)

- Ans:  Definitely, can be used  
 With few alterations  
 One has to be innovative to apply them  
 Have limitations

Explain:  
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12. Have you been successful in contributing towards the project? How?

- Ans:  Excellent  Good  Satisfactory  Can do better

I feel like I could have done alot more in a way

13. Do you look forward to work again for poor settlements?

- Ans:  Definitely  Yes  unless it is a requirement  No

14. Do you have any suggestions for improvement?

Ans: -----  
-----

Thank you

10. What have been the learning outcome for you?

Ans: How lucky I am to live in Australia. The basic conditions in which poor urban communities live, but how these can still provide all the necessities of life & strong social cohesion.

11. What are the global and local attributes of the construction techniques and methods that were used in the project? (Do you think these construction techniques and methods can be used globally and are not region specific?)

- Ans:  Definitely, can be used  
 With few alterations  
 One has to be innovative to apply them  
 Have limitations

Explain: ~~From~~ Most solutions appeared to be globally applicable, but this would always require an understanding of local conditions firstly.

12. Have you been successful in contributing towards the project? How?

- Ans:  Excellent  Good  Satisfactory  Can do better

13. Do you look forward to work again for poor settlements?

- Ans:  Definitely  Yes  unless it is a requirement  No

Many solutions could be applicable in rich & poor nations & communities alike. Hopefully I use what I learnt here in the future where ever I am.

14. Do you have any suggestions for improvement?

Ans: Communication & Preparation

Thank you



6. What was the response of the people for the inclusive approach? <sup>what does that mean?</sup> slum residents?

Ans:  Enthusiastic     Hesitant     Keen for change     Reluctant

Your experience: Most community residents were excited & merdy by our presence, although a few seemed hesitant. Few seemed to have a strong understanding of why we were actually there.

7. According to you, what was the foremost challenge of the project and why?

Ans:  People's participation  
 Difficulty in collaboration with the agencies  
 Problems to understand cross-cultural practices  
 Place-based design intervention techniques  
 Other

Urban planners are neither architects or interior designers. Lack of communication prior to arrival and prior to Day One survey meant that we had little understanding of space issues and what issues to focus on.

8. Do you think you were successful in overcoming the 'obstacles'? Please explain.

Ans:  Yes     No

Somewhat. We were able to devise suggested solutions for many dwellings, but did not gather sufficient information about residents in all cases on Day 1.

9. Do you think the implementation techniques applied are simple enough to be adopted by residents of the settlement in the absence of the practitioners?

Ans:  Yes, effortlessly     to an extent     no, you have to be skilled     Some

Any suggestion: As many techniques have already been proven to work, mass implementation is the critical next step. ~~But~~ What is SEWA/MHT role in this? Direct central role or facilitator? Due to the diversity of techniques, some could be done by individual residents (change globe), but many ~~is~~ (roof installations) would require at least some skills.

Page 3

However SEWA-produced booklets could be sufficient assistance to allow self installations.

10. What have been the learning outcome for you?

Ans: How lucky I am to live in Australia. The basic conditions in which poor urban communities live, but how these can still provide all the necessities of life & strong social cohesion.

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14. Do you have any suggestions for improvement?

Ans: Communication & Preparation

Thank you