

Informal Settlement Upgrading in Brazil

The case of Rio de Janeiro's 'Favela Bairro Programme'



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BRAZIL

8.5 million Km²

180 million inhabitants

81.2% living in urban areas

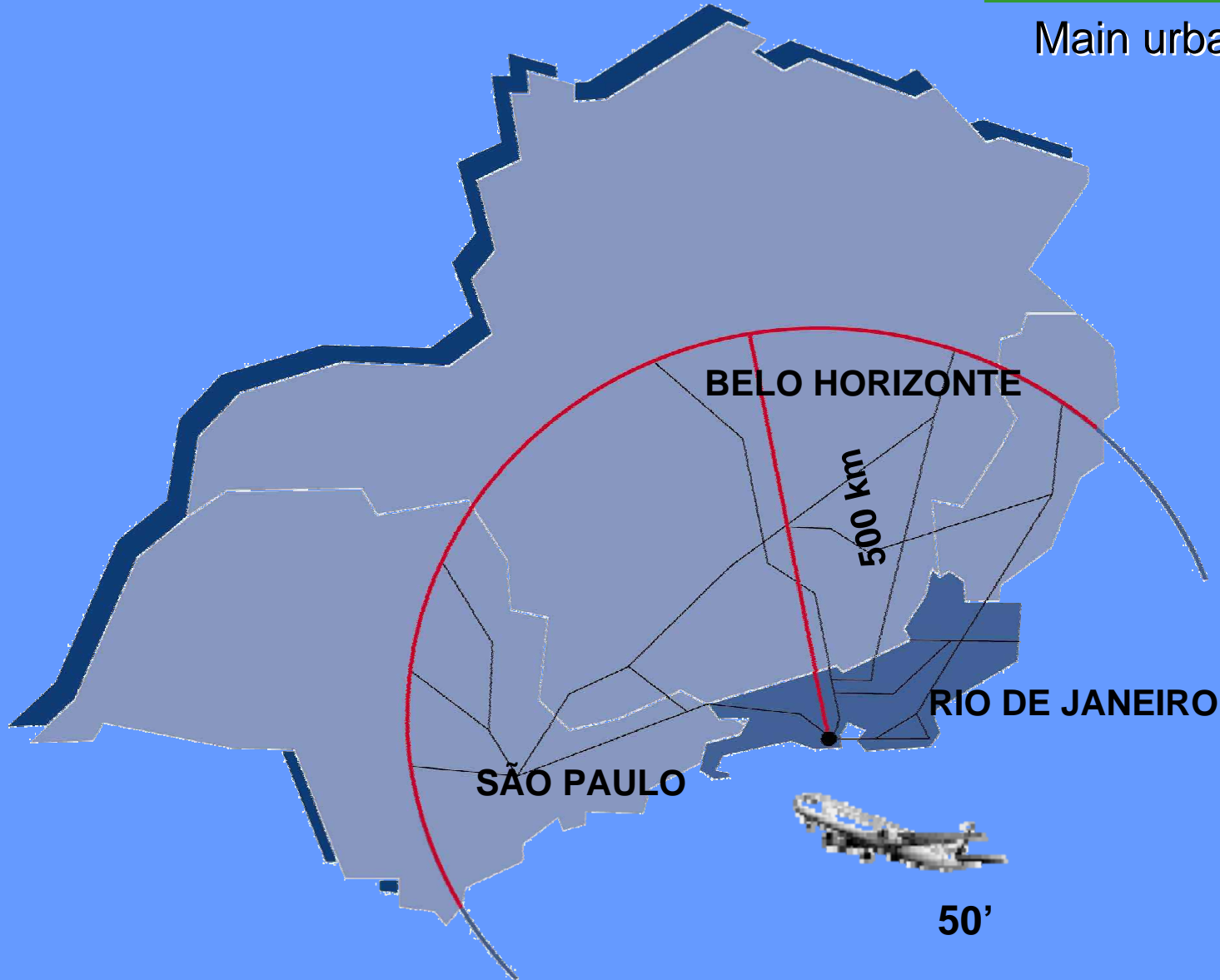
GNP per capita: US\$ 2,970

>5,000 municipalities

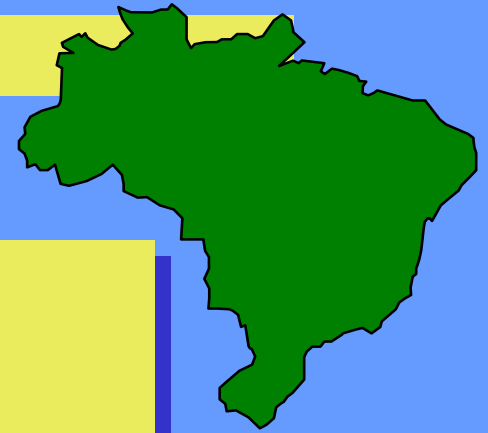
Official development assistance: 0.1% of GNP

Distances

Main urban centres



Local Governments in Brazil



- Complete political autonomy
- Mayors and municipal councils chosen in local election
- Unrestricted, constitutionally-mandated shares of principal taxes levied by Federal and State Governments
- Power to impose variety of local taxes, with unrestricted rates (5 major taxes)
- Control of their own civil service
- Power to set salaries and administrative structure



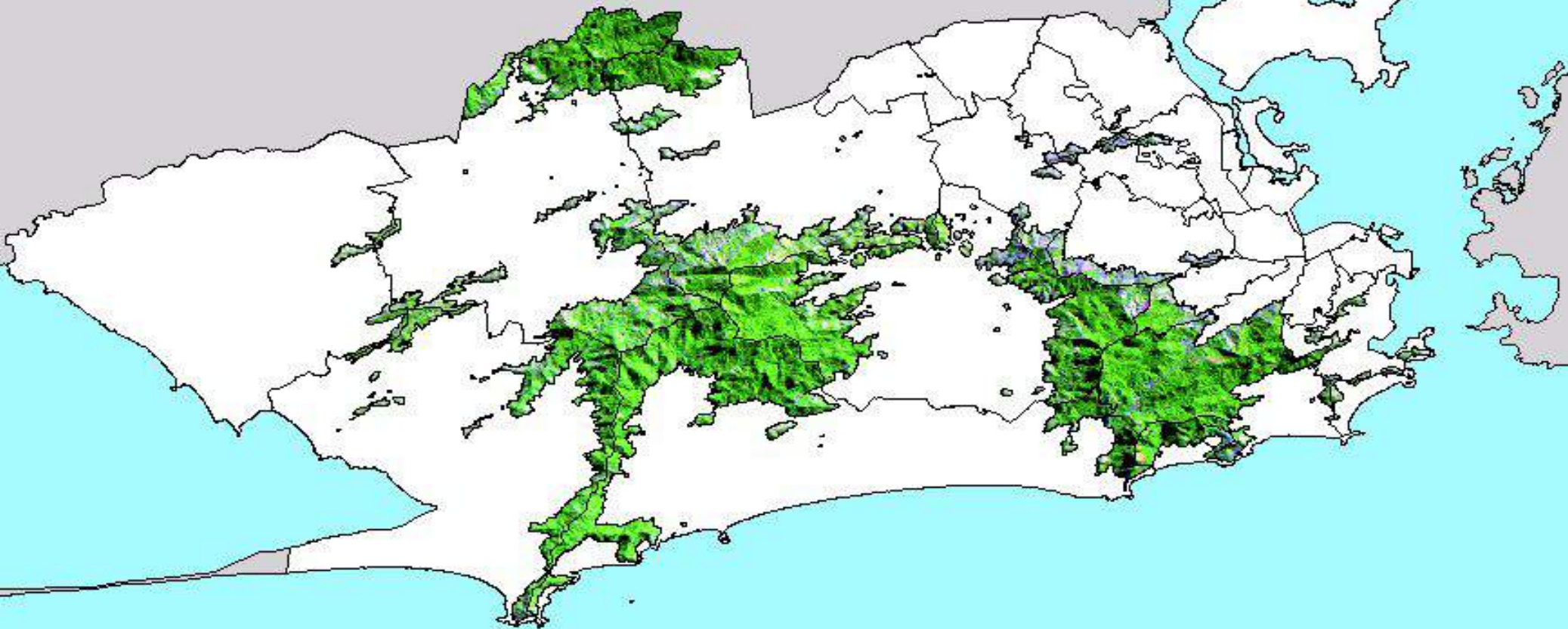
**Informal Settlement Upgrading
Program**

Municipality of Rio de Janeiro

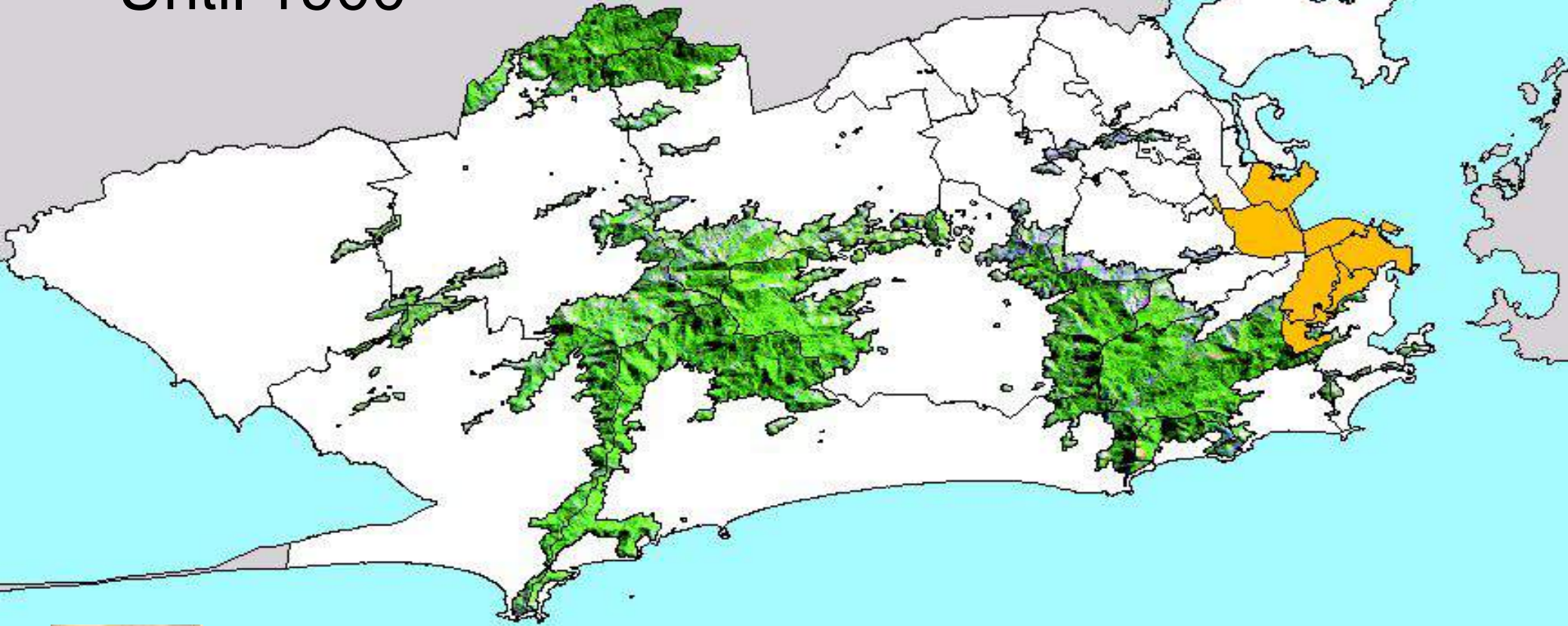
1

**The city grows but loses
its seat as national capital
in 1960**

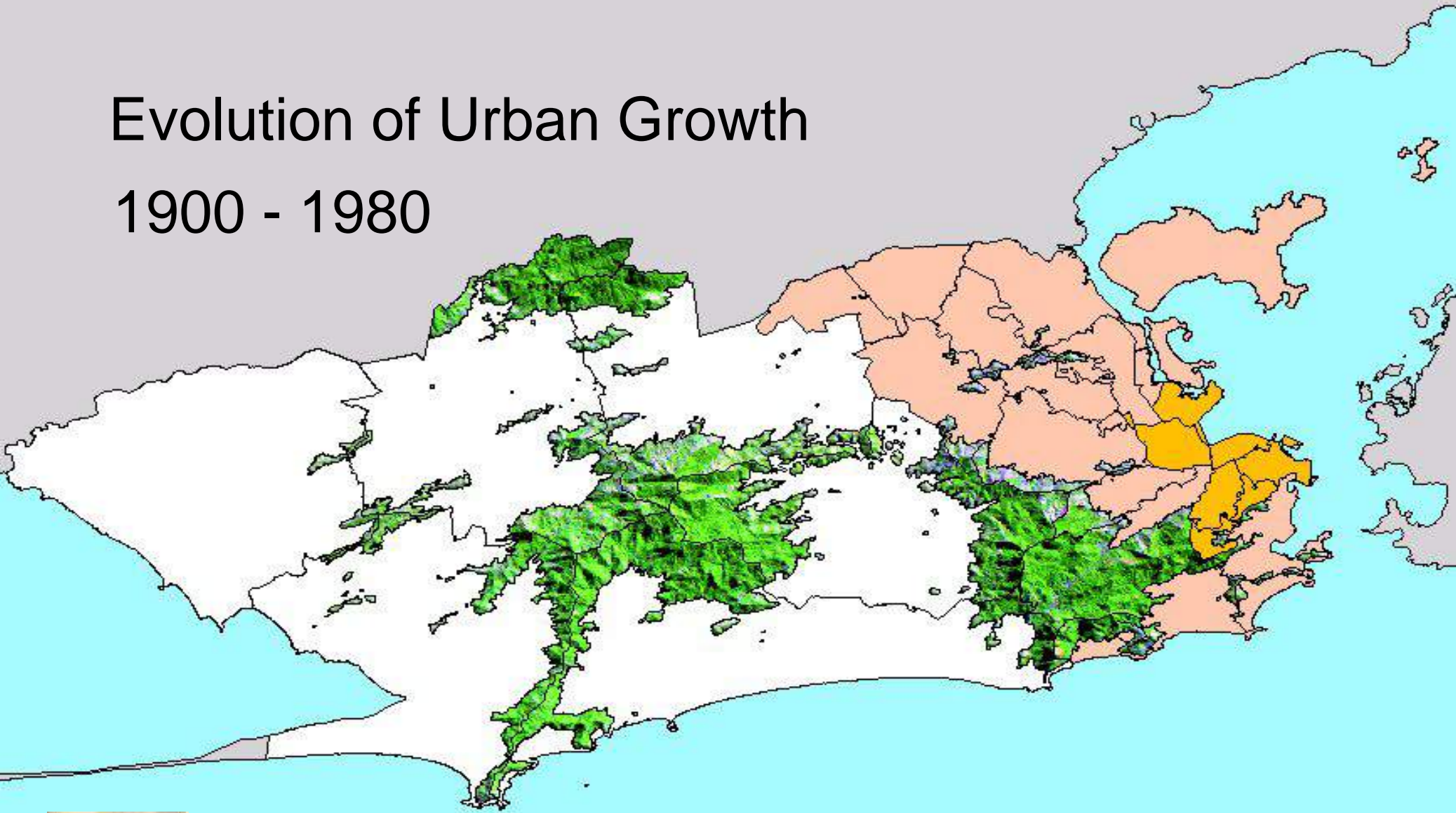
Evolution of Urban Growth



Evolution of Urban Growth Until 1900

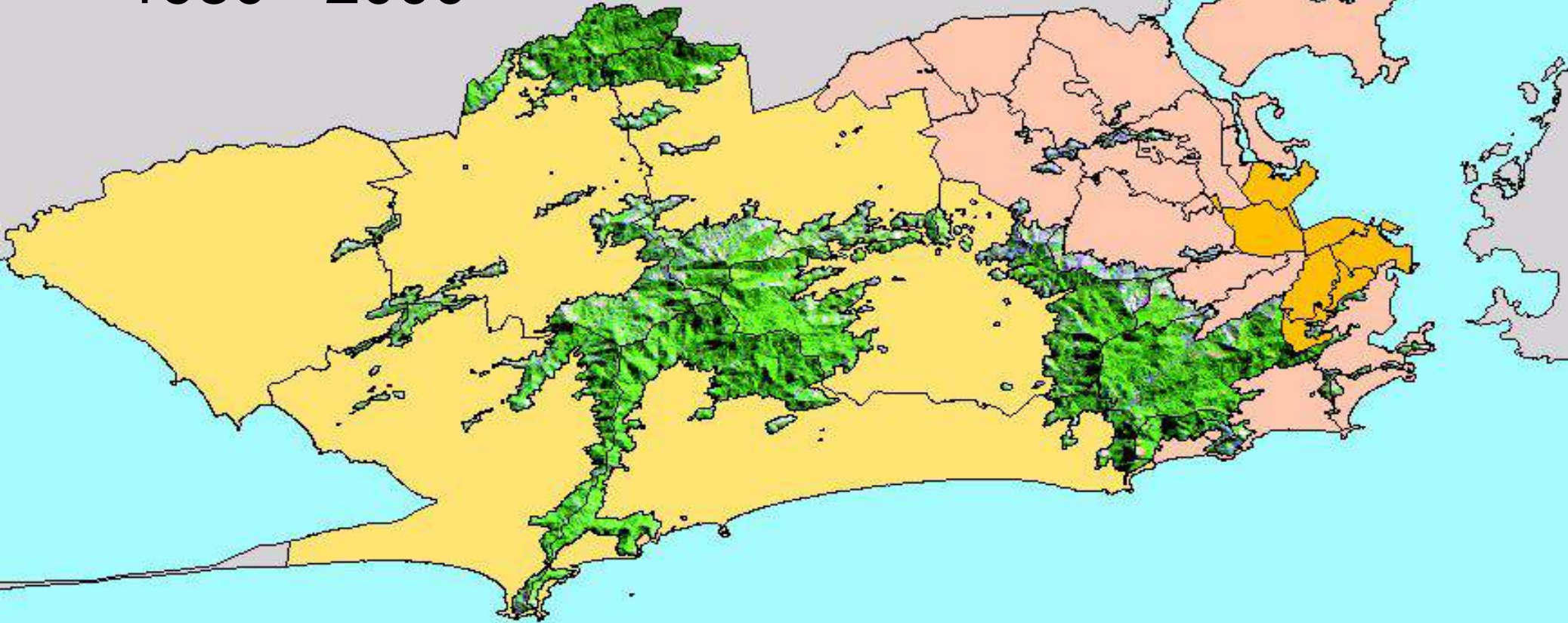


Evolution of Urban Growth 1900 - 1980



Evolution of Urban Growth

1980 - 2000



MUNICÍPIO DO RIO DE JANEIRO





2

Municipality of Rio de Janeiro:

the administrative and planning divisions

Rio de Janeiro in the 90's: administrative planning areas



Municipality of Rio de Janeiro



Rio de Janeiro

Total area: 1 255 Km²

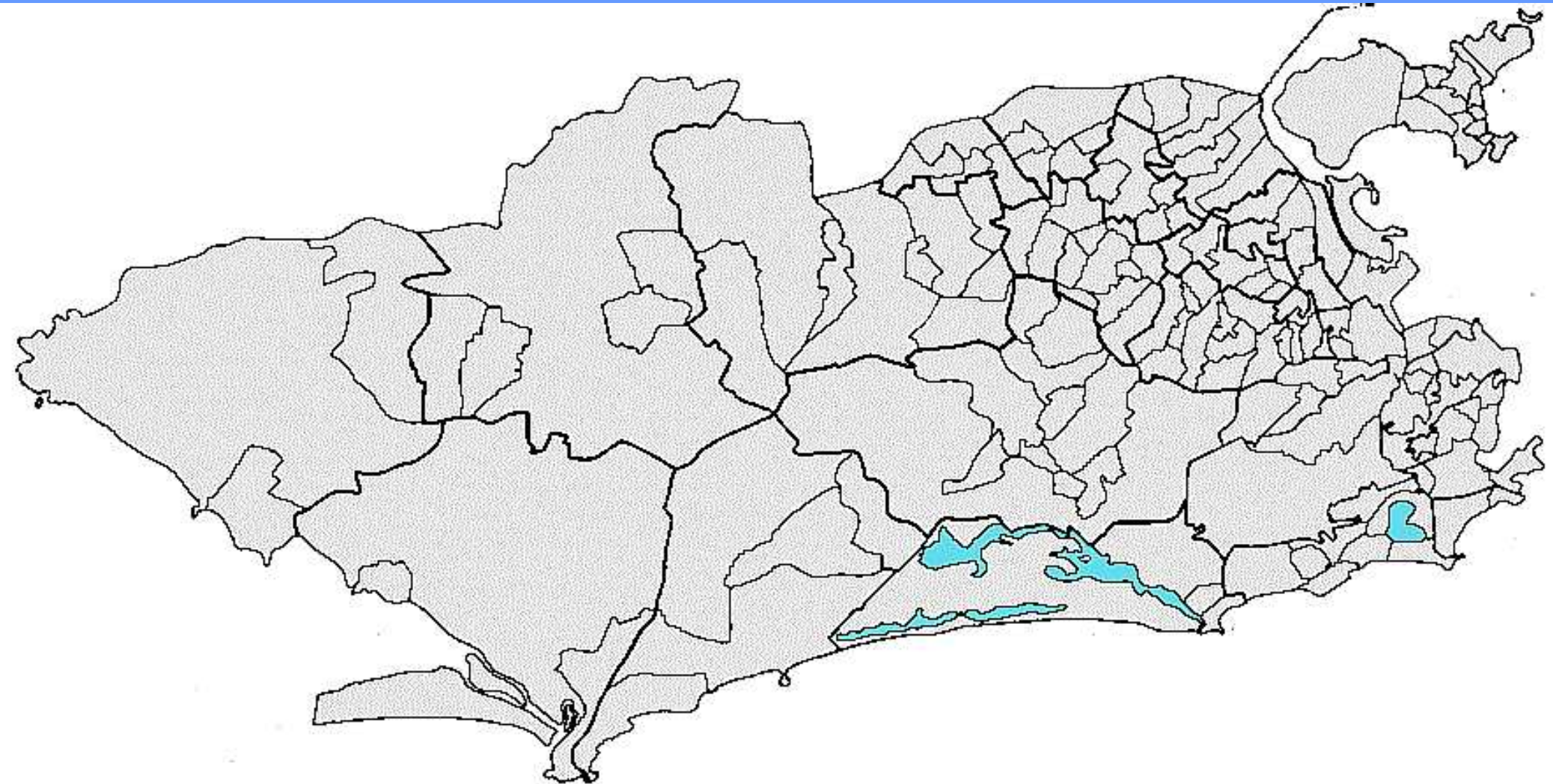
159 neighborhoods

5 administrative planning areas

12 administrative regions

16 general coordination of regional administrations

Density = 44.2 inhabitants/ha





3

The city grows.

But also its favelas.

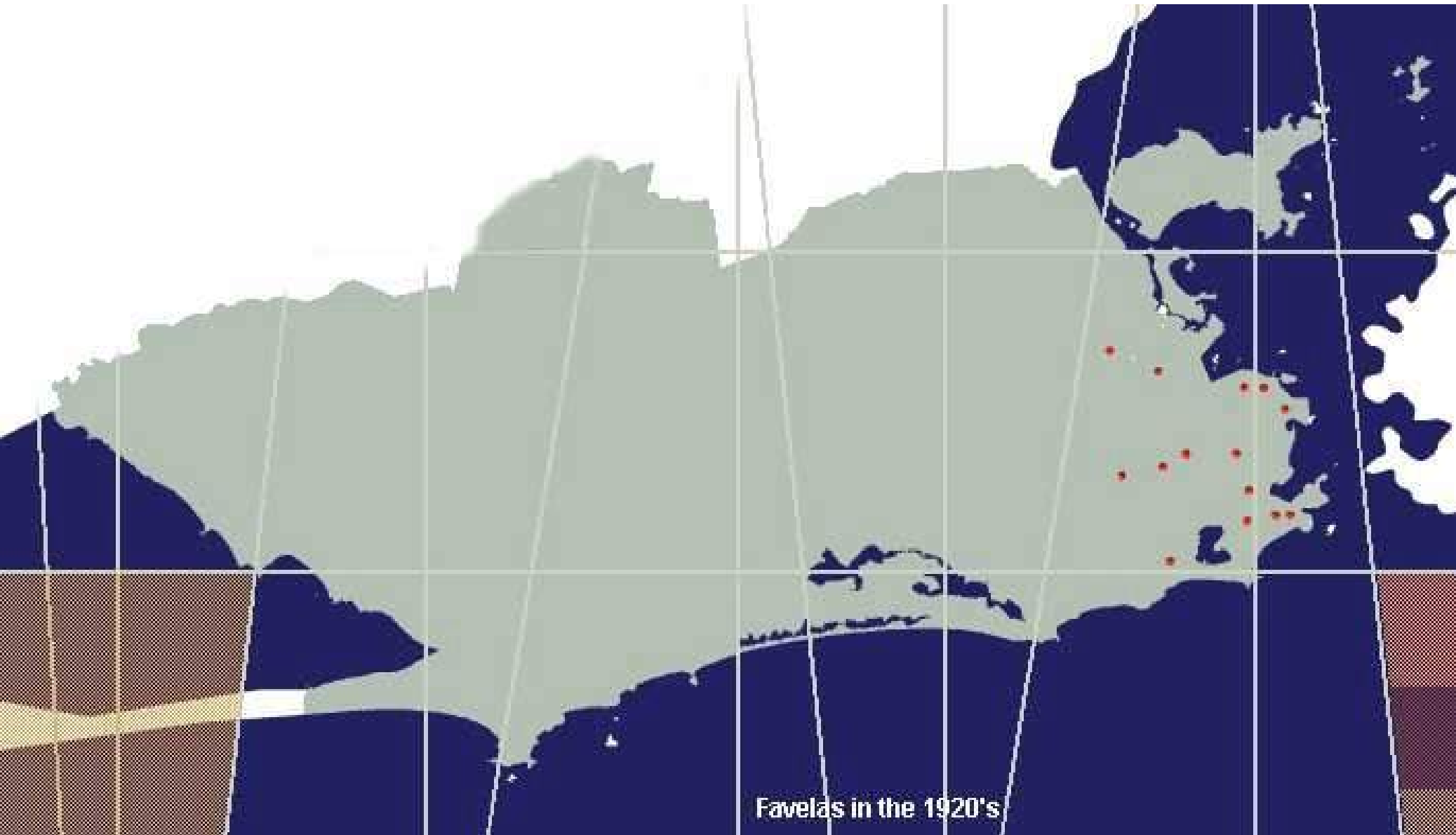
POPULATION OF FAVELA RESIDENTS AND TOTAL POPULATION OF THE CITY OF RIO DE JANEIRO (1950/2000)

Year	Population of Favelas (a)	Total Population of Rio (b)	a/b (%)	Favela Growth Rate by decade	Rio Growth Rate by decade
1950	169.305	2.337.451	7,24%	-	-
1960	337.412	3.307.163	10,20%	99,3%	41,5%
1970	563.970	4.251.918	13,26%	67,1%	28,6%
1980	628.170	5.093.232	12,33%	11,4%	19,8%
1990	882.483	5.480.778	16,10%	40,5%	7,6%
2000	1.092.958	5.857.879	18,66%	23,9%	6,9%

Source: IBGE (Brazilian Institute of Geography and Statistics), 2000

Favelas in the 1920's

Source: Pro-URB



Favelas in the 1920's

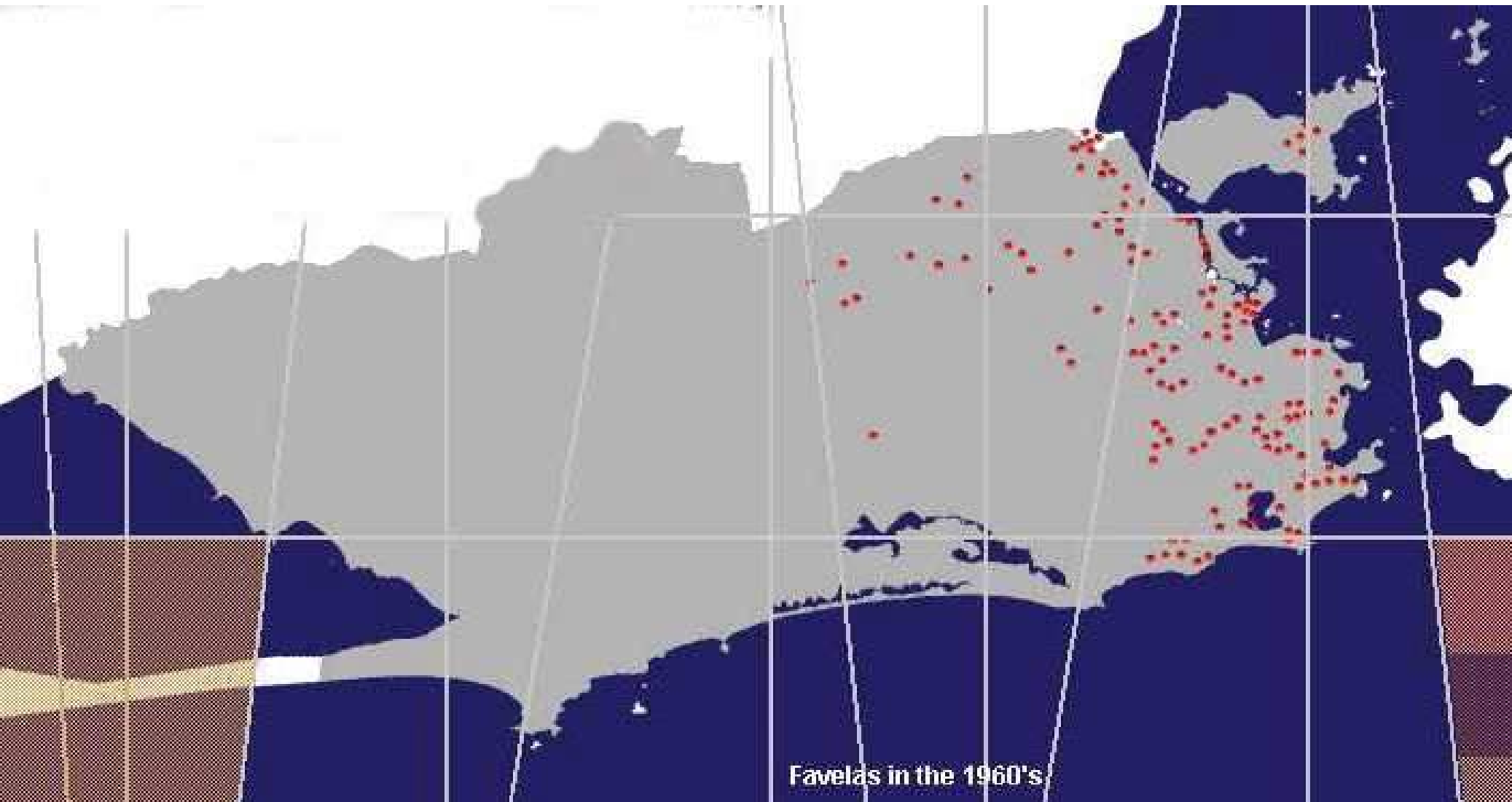
Favelas in the 1940's

Source: Pro-URB



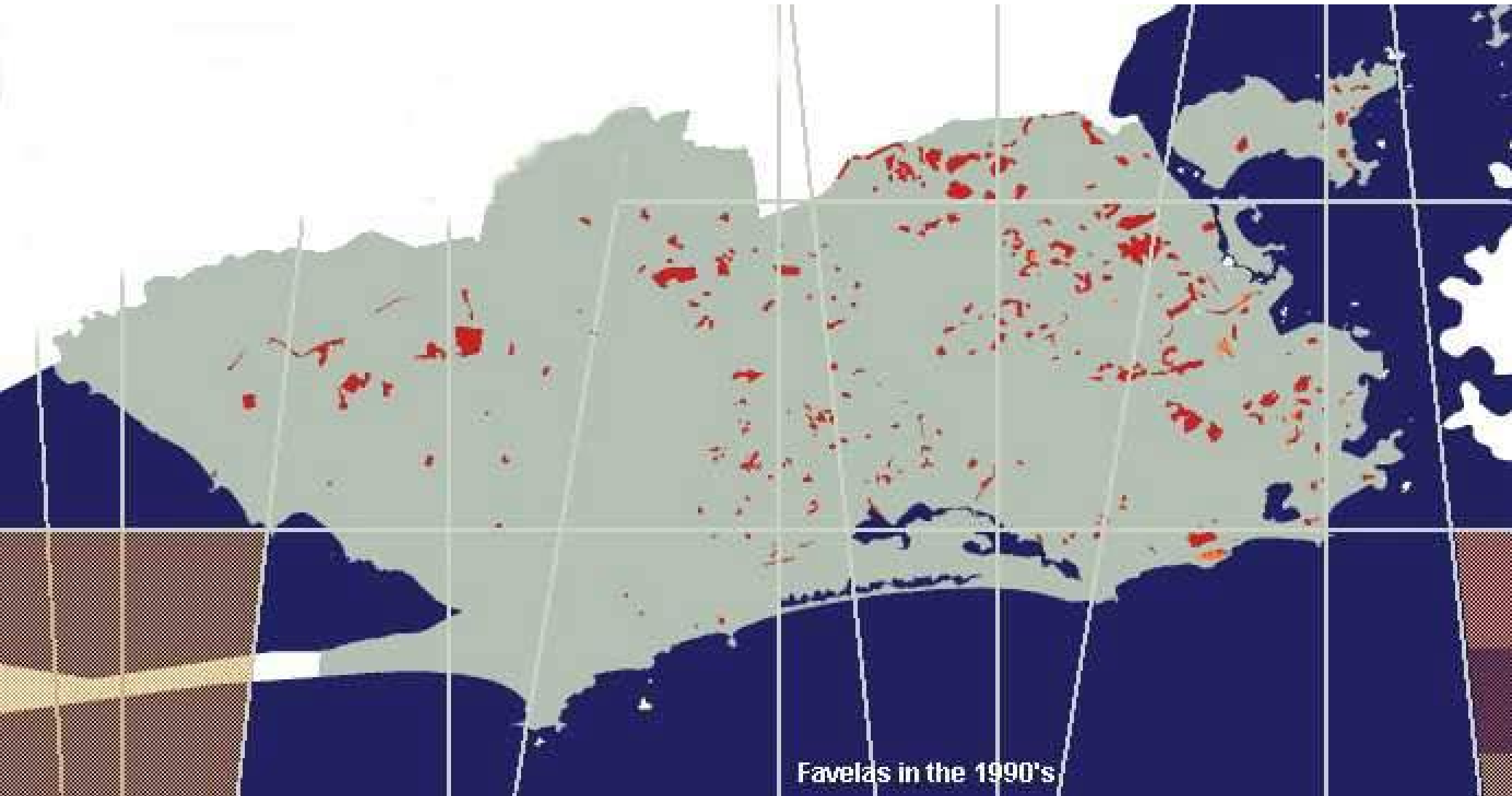
Favelas in the 1960's

Source: Pro-URB

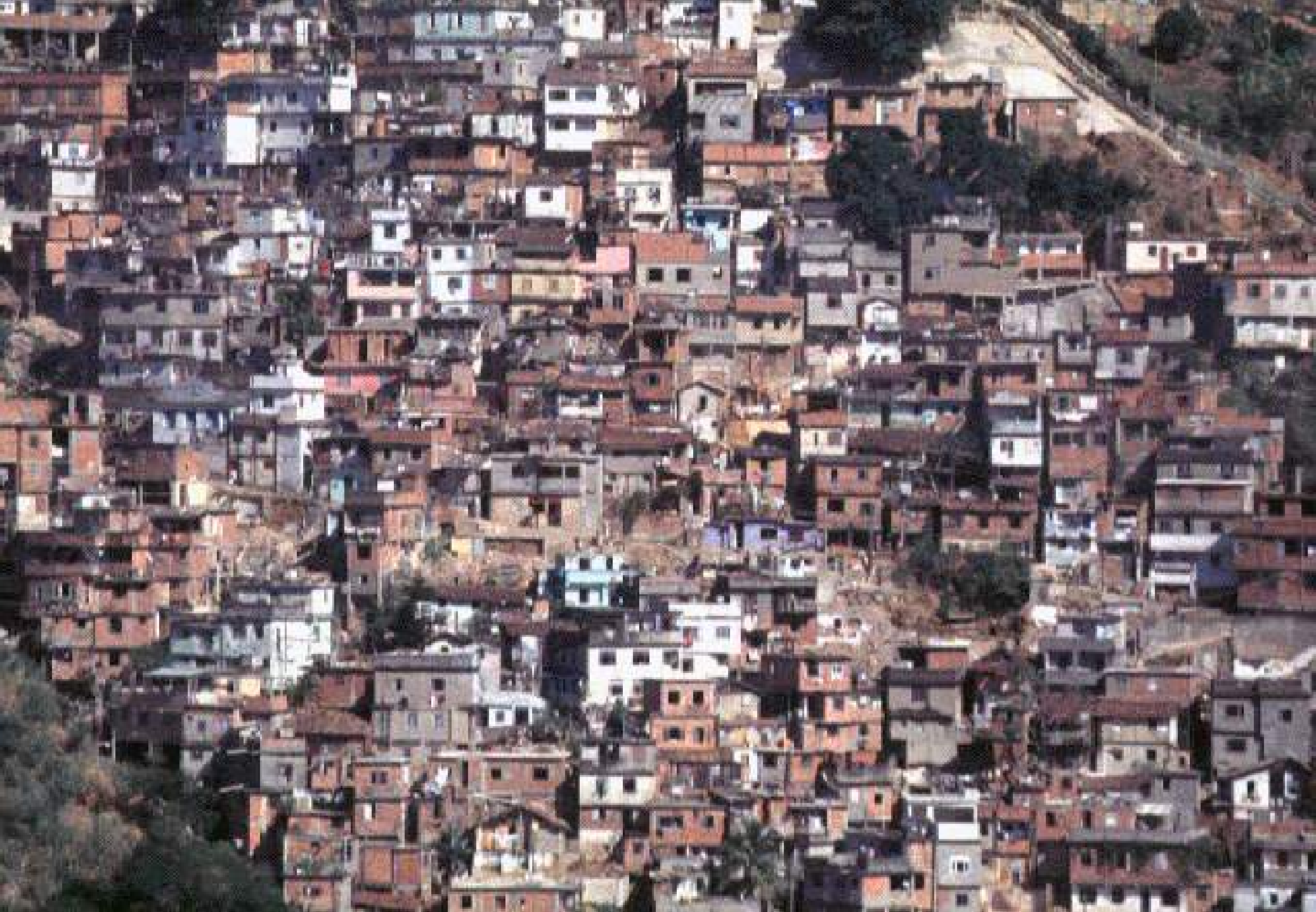


Favelas in the 1990's

Source: Pro-URB



Favelas in the 1990's



GROWTH IN FAVELA POPULATION RIO DE JANEIRO (1980-1992)

Zones	Number of Favelas			Population of Favelas		
	1980	1992	variance	1980	1992	Percent increase
South	25	26	4%	65,596	79,651	21%
North	22	25	14%	49,042	55,768	14%
West	86	195	127%	94,002	195,546	108%
Suburbs	194	270	39%	416,307	532,340	28%
Central	45	57	27%	92,119	99,488	8%
TOTAL	372	573	54%	717,066	962,793	34%

Source: IPLANRIO; Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002









4

SLUM CLEARANCE POLICY!

A government approach to evict and resettle the poor in urban fringe's housing estates.

Favelas, Families and People Removed, 1970-73

- **62 favelas removed**
- **17,048 displaced families**
- **102,288 people affected (aprox.)**

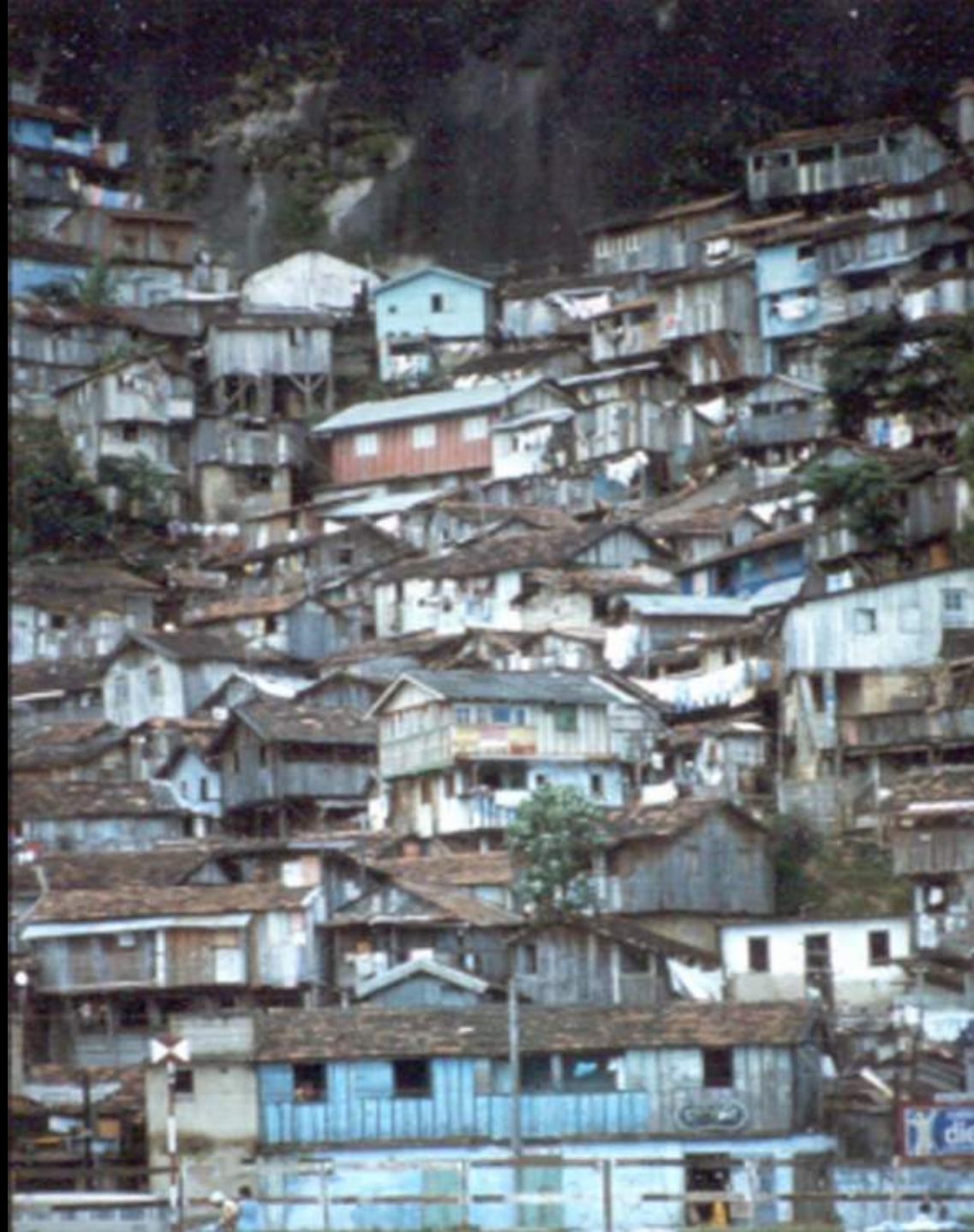
Secretary of Planning and General Coordination of the State of Guanabara (1973)

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002



1968-1974: Large Scale Eviction & Relocation











5

What do we know about the impacts of SLUM CLEARANCE POLICIES!

Results from longitudinal surveys.

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

THE MYTH OF MARGINALITY

Urban Poverty and Politics in Rio de Janeiro

JANICE E. PERLMAN



Winner of the C. Wright Mills Award, 1976

Conclusions: Original Study

- *"(...)favela residents are not economically or politically marginal but exploited and repressed; they are not socially and culturally marginal but stigmatized and excluded from a closed social system"*
- *"In short, they have the aspirations of the bourgeoisie, the perseverance of pioneers and the values of patriots"*
- *They are the victims of asymmetric integration*

Where are they today?

Type of Community

<i>Type of Sample</i>	Favela	Public Housing Project	Neighborhood	
Random (alive)	30%	37%	1/3	100% (N=73)
Leaders (alive)	16%	35%	1/2	100% (N=31)
Descendants	17%	34%	1/2	100% (N=101)

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

Preliminary Analyses

Longitudinal and Intergenerational Analyses

1. Metamorphosis of Marginality
2. Sphere of Fear
3. Social Mobility with Inequality
4. Disillusion with Democracy
5. Agency and Optimism

1. Marginality as Myth

- **NOT Socially Disorganized**
- **NOT Culturally Backward**
- **NOT Economically Parasitic**
- **NOT Politically Radical**
- **BUT Excluded**
- **BUT Stigmatized**
- **BUT Exploited**
- **BUT Repressed, Manipulated**

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

Asymmetric Integration

“The myths of marginality are empirically false, analytically misleading and invidious in their policy implications”

Meaning of Marginality

- 1980's – injustice, spatial segregation
- 1990's – drug dealers and gangs
- 2000 – “the new poverty”

Advanced Marginality

- **Social inequality**
- **Absolute surplus population**
- **Retrenchment of the welfare state**
- **Spatial concentration**

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

2. SPHERE OF FEAR

Fear of what?

1969

Removal/

Eradication by the
forces of the
dictatorship

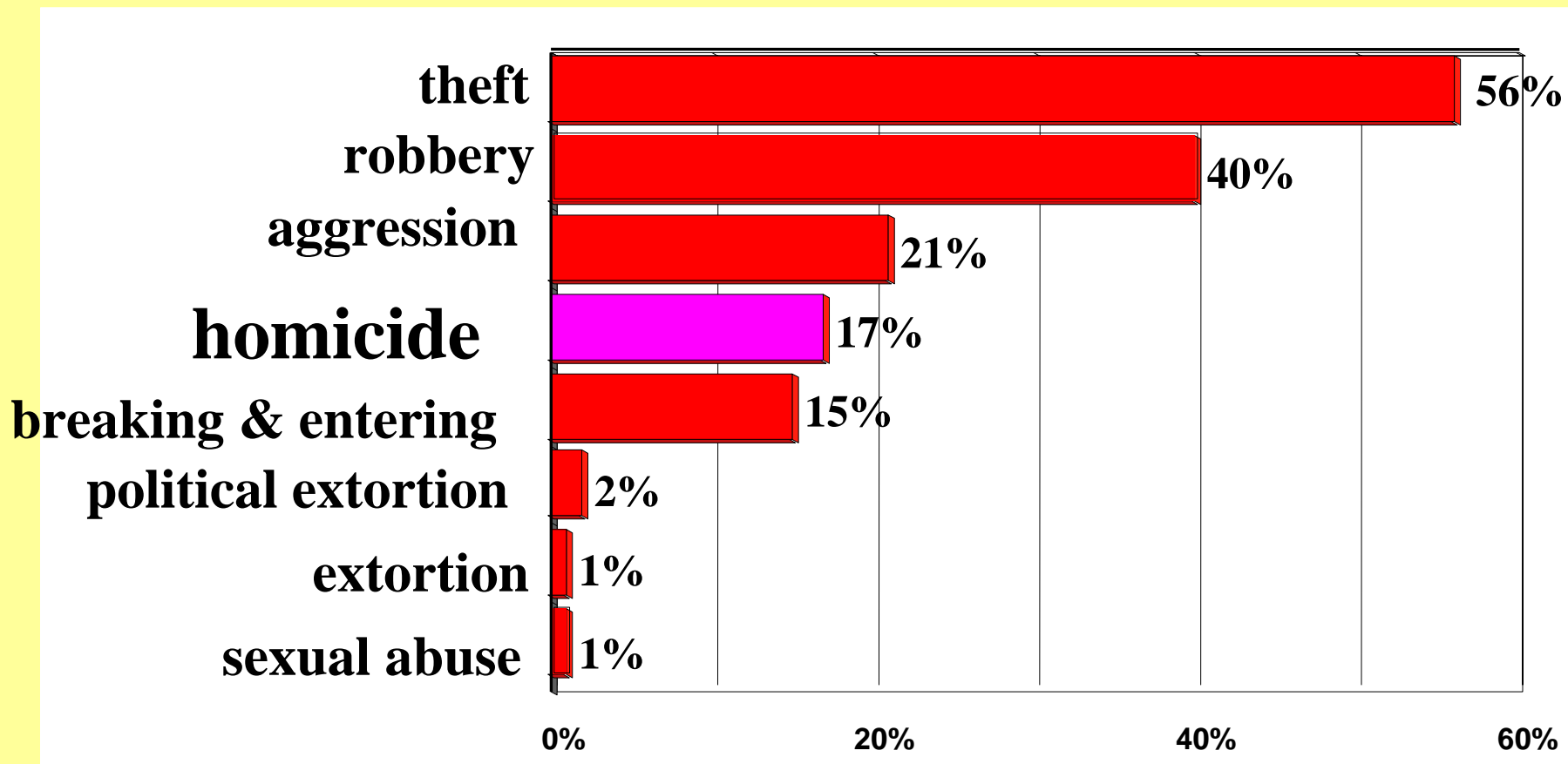
2001

→ cross-fire

→ police

→ drug dealers

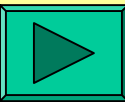
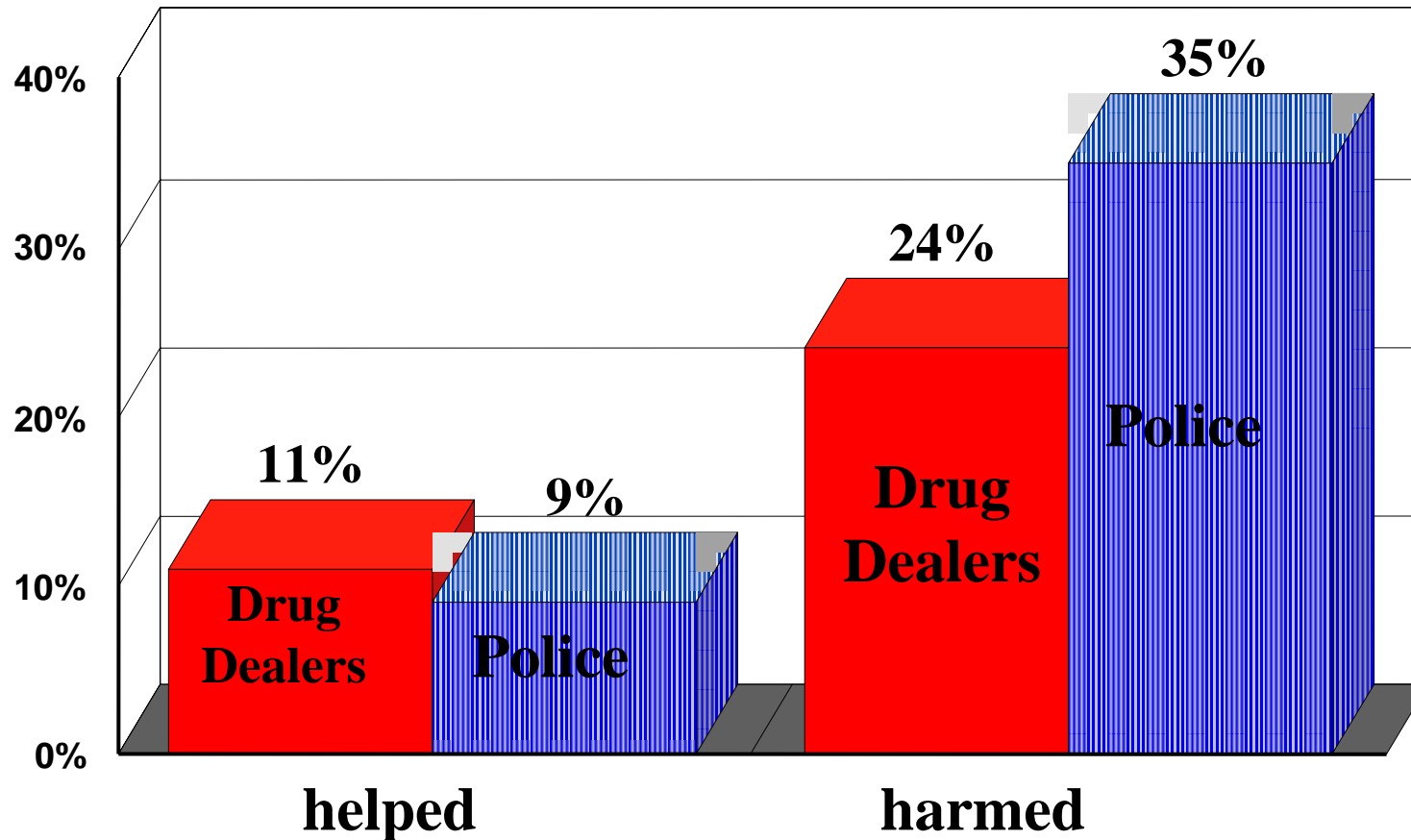
Have you or a family member ever been a victim of:



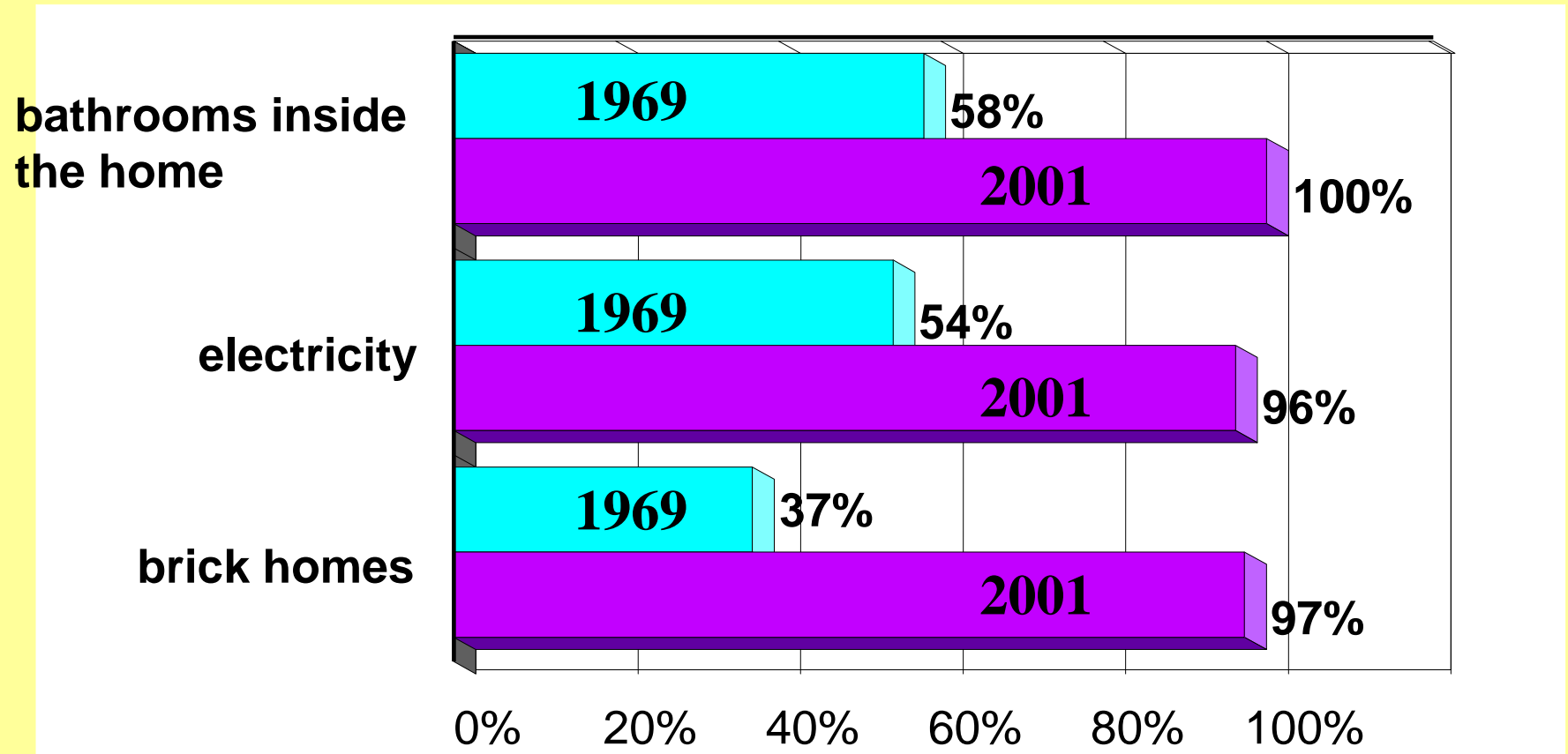
Original Sample

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

Between drug dealers or police, who has most helped or harmed your community?



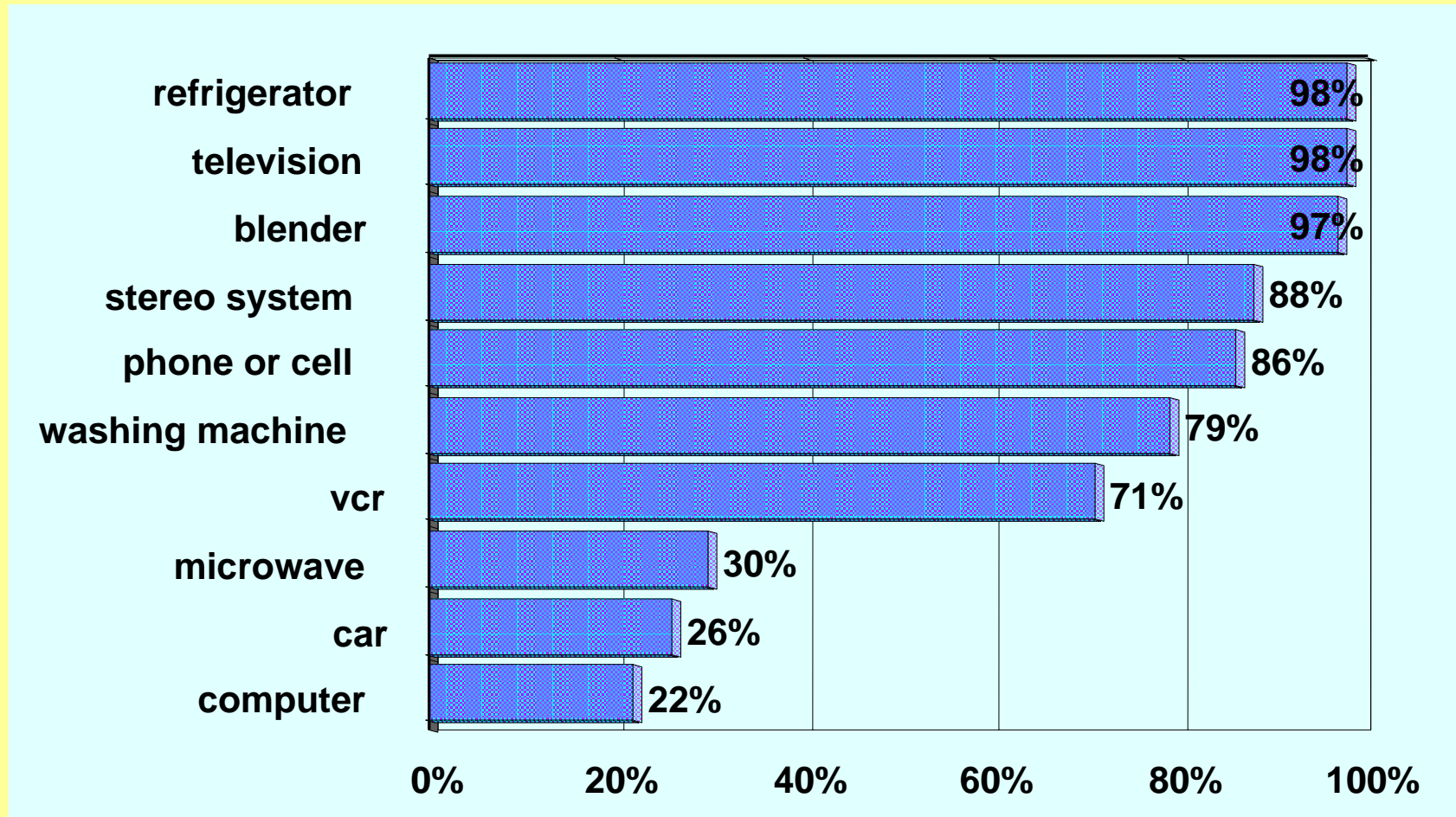
Living Conditions (then and now)



Original Sample

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

Consumption of Next Generation



Children of Original Interviewees

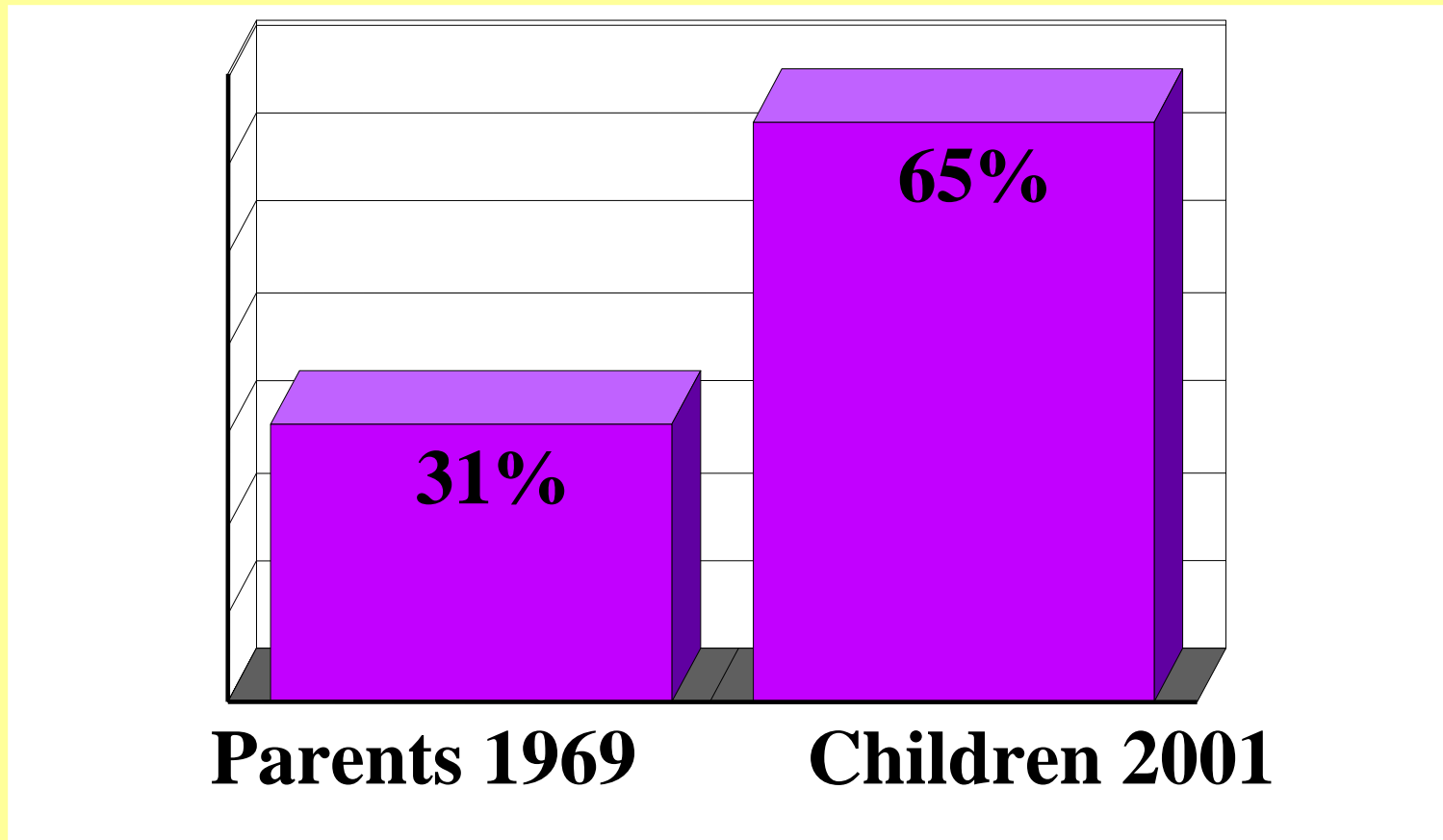
Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

Educational Mobility – case by case comparison

- **85%** of the children have had **more education** than their parents
- **14%** of the children reached the **same** educational level as their parents
- **2%** of the children had **less education** than their parents

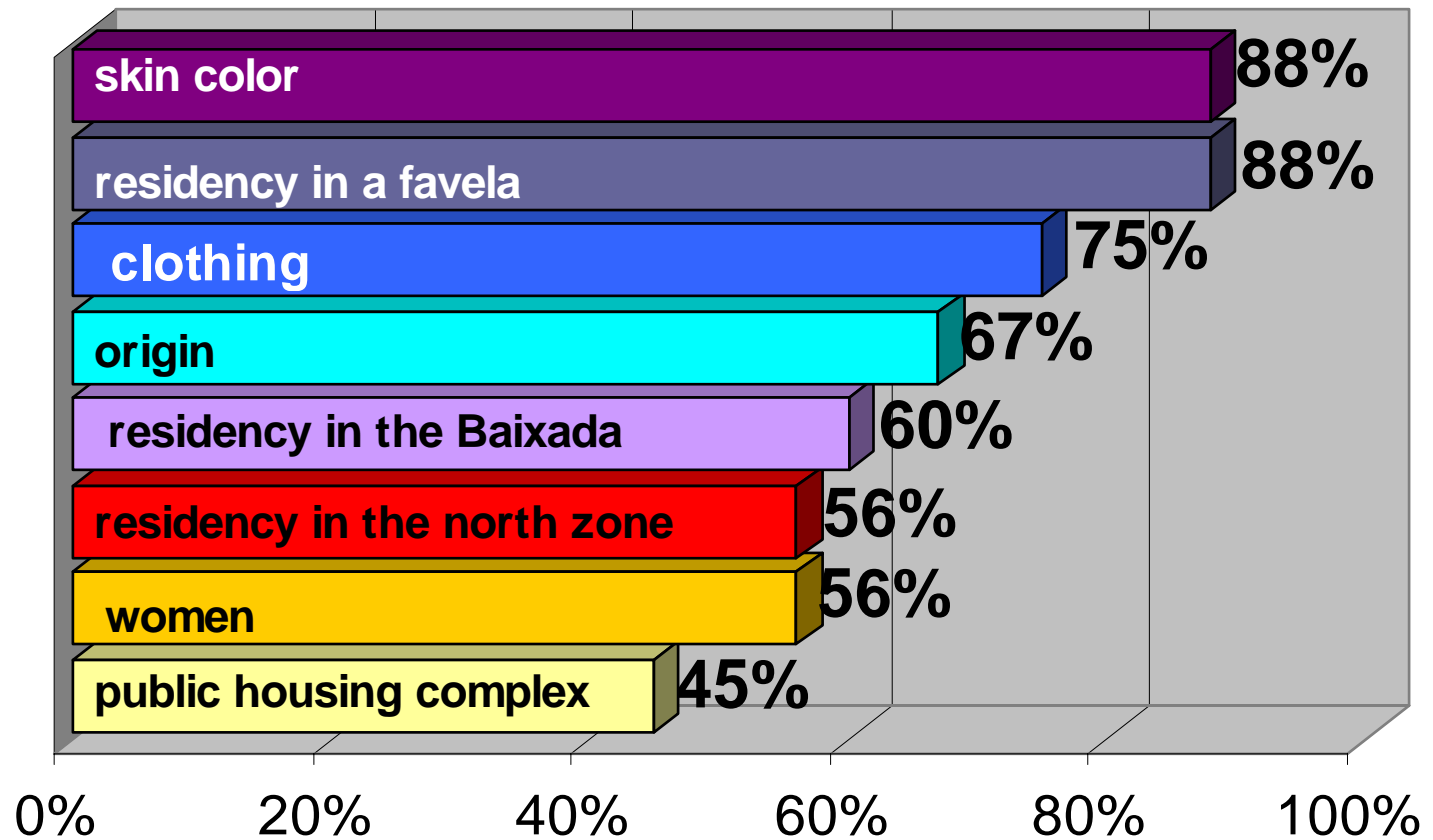
Unemployment

Percent unemployed for more than a month:



Types of Discrimination

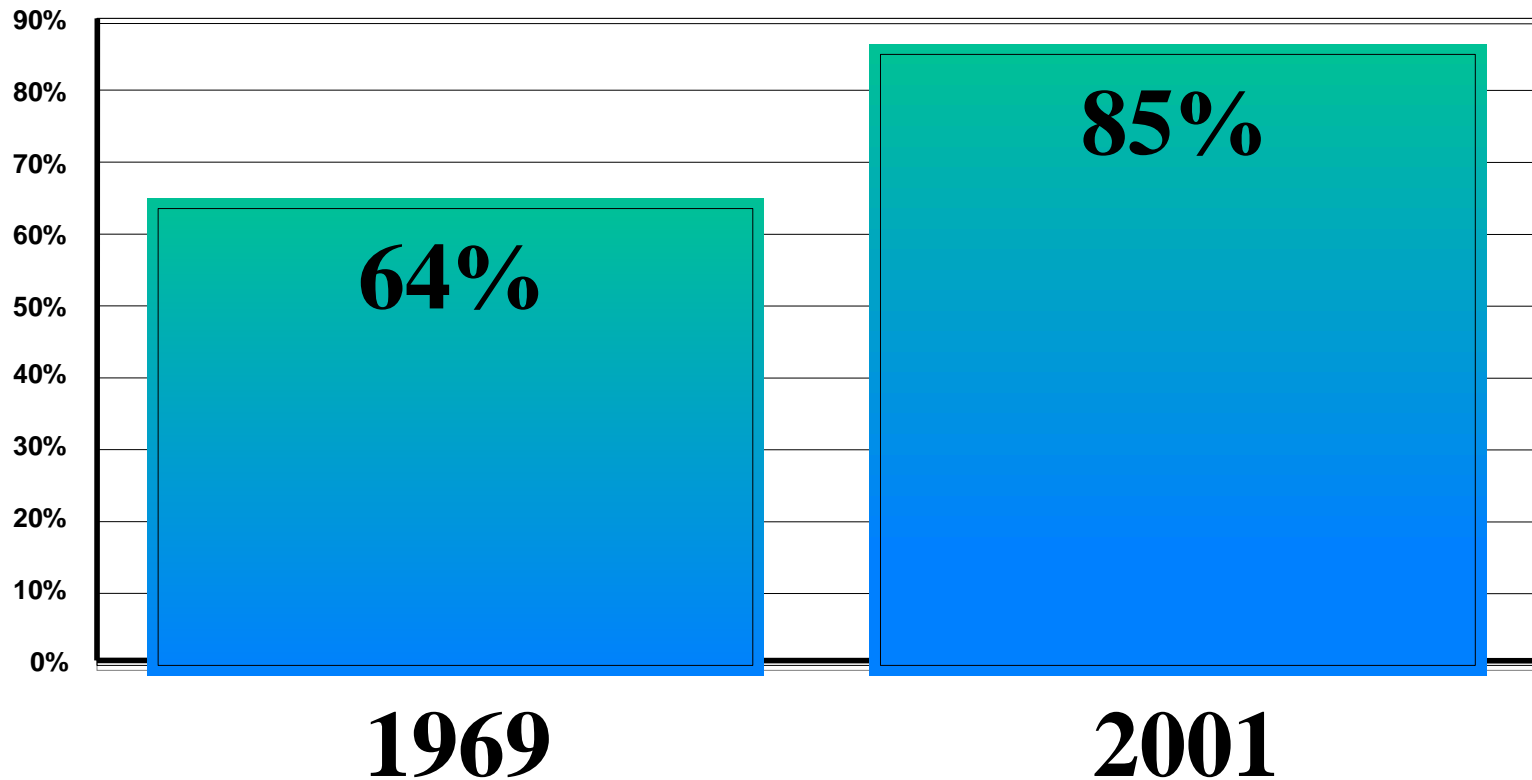
Belief that discrimination exists regarding:



Original Sample

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

Perceived racism Then and Now Does Racism exist in Brazil?



Original Sample

Janice Perlman (2002), MARGINALITY: From Myth to Reality, Favelas of Rio de Janeiro, 1969-2002

6

Rio de Janeiro

The beginning of the 90's

Rio de Janeiro in the 90's





Rio de Janeiro in the 90's

GDP (1991): US\$ 46.7 Billion (2x Egypt's , 3x Peru's)

70% of GDP of the State of Rio de Janeiro

8.5% of Brazil's GDP

Capital of Brazil until 1960 (transferred to Brasilia)

6 Million inhabitants

153 neighborhoods

Greater Rio/Metropolitan Region /14 municipalities: 10 million inhab.

Municipal Budget: 3.807 Billion (1996)



Rio de Janeiro: results of the strategic plan

STRENGTH

1. Very privileged demographic and climatic situation and quality of urban and natural environment

2. International recognition of the city

3. Economic heart of Brazil situated within a radius of 500 km, favouring its position as a connecting pole to the world with São Paulo and Belo Horizonte

4. Large potential of infrastructures and telecommunication

5. Existence of important centres of research and development and a vast number of universities

6. The presence of small, medium and large enterprises and the availability of advanced services and the capacities to adjust to changes in the market and technology

7. Broad local market with a relative high power of purchase of the population;- intense cultural and leisure activities and sports as attracting factors for people and business to settle in the city;-

Rio de Janeiro: results of the strategic plan

WEAKNESS

1. Economic and psychological impacts from loosing the seat of national capital;

2. Urban violence, stressed by the “vitrine” effect and by the intense sensation of insecurity

3. Weak linkages between enterprises, research institutions and universities

4. Low degree of institutional and operational articulation between the city and its metropolitan region

5. Low degree of co-ordination and integration of the infrastructure of accesses, management problems and the fragility of the logistic for the transport of goods

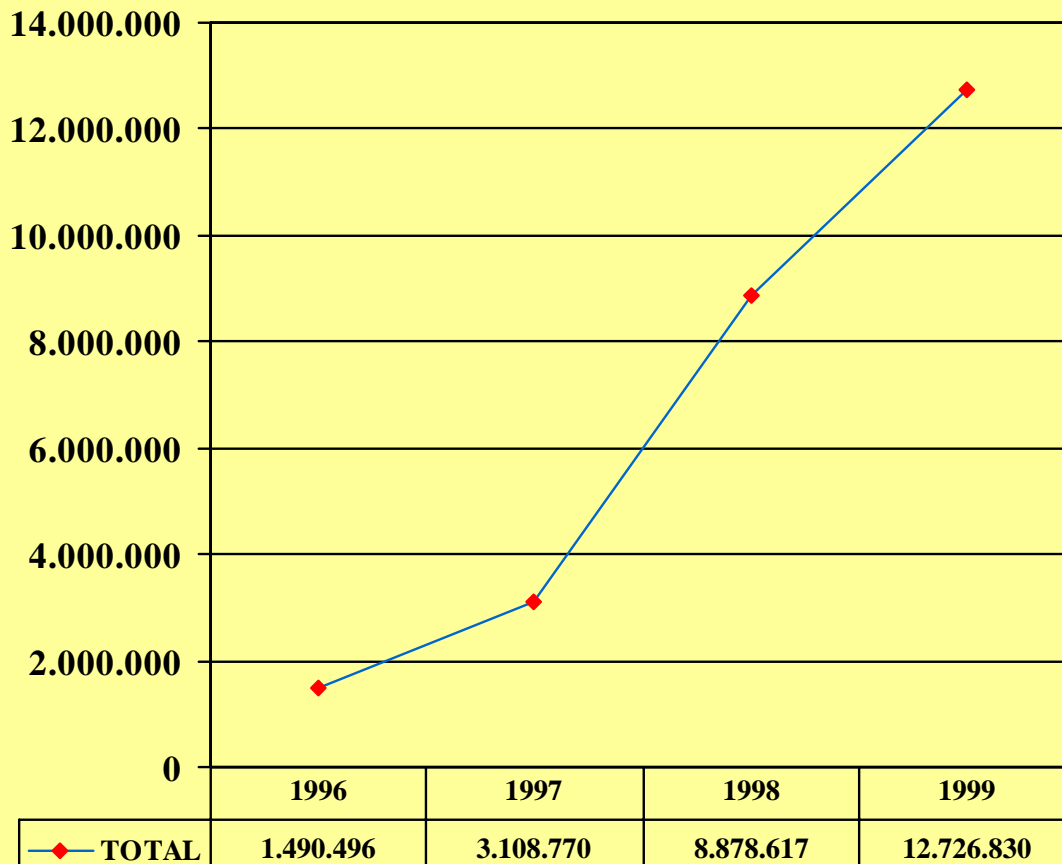
6. The lack of tradition in public-private partnerships and local initiatives to foster the development of the city

7. The crisis in the police system and its negative effect on the security of individuals and citizenship

8. Low performance of transport systems affecting mobility; Severe environmental pollution, worsened by the insufficient coverage of public services, sanitation and solid waste

Rio de Janeiro's Municipal Finance:

1997	1998		1999	2000
2.18	2.52	In Billion US\$	2.74	2.62



- Direct control over 5 major taxes!

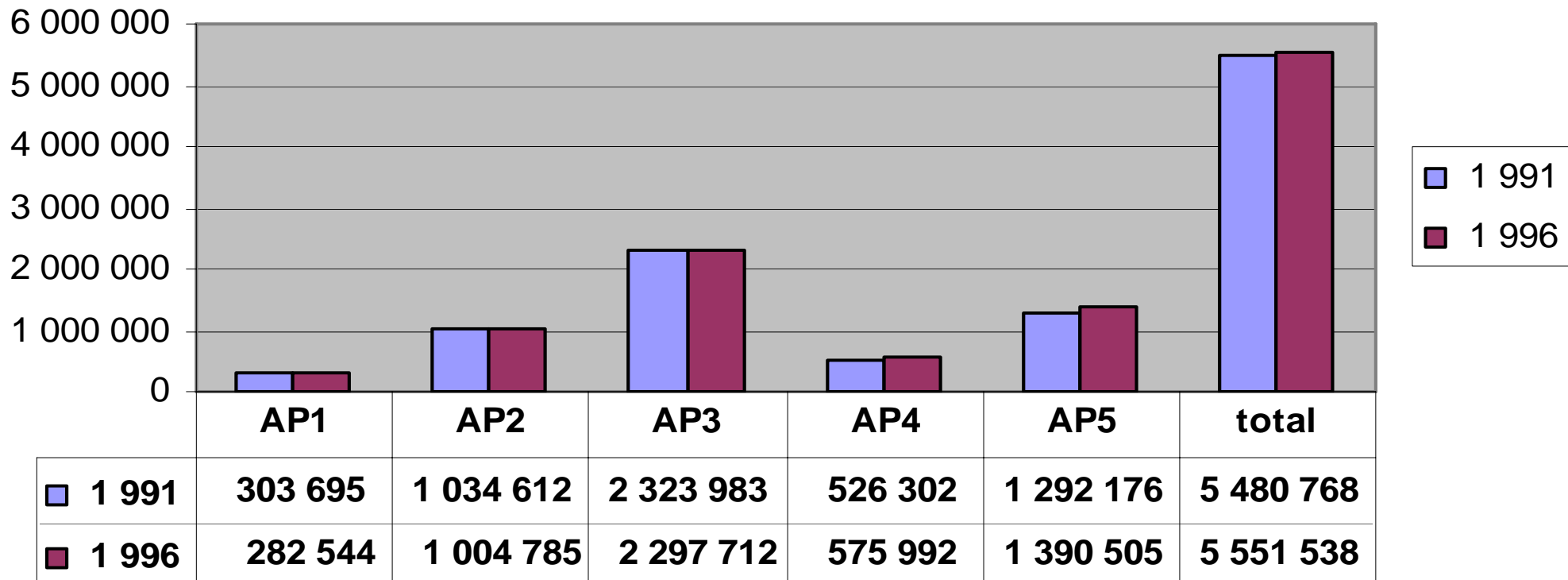
- Loans from capital markets.

**Additional Resources:
TDR-Transfer of
Development Rights**

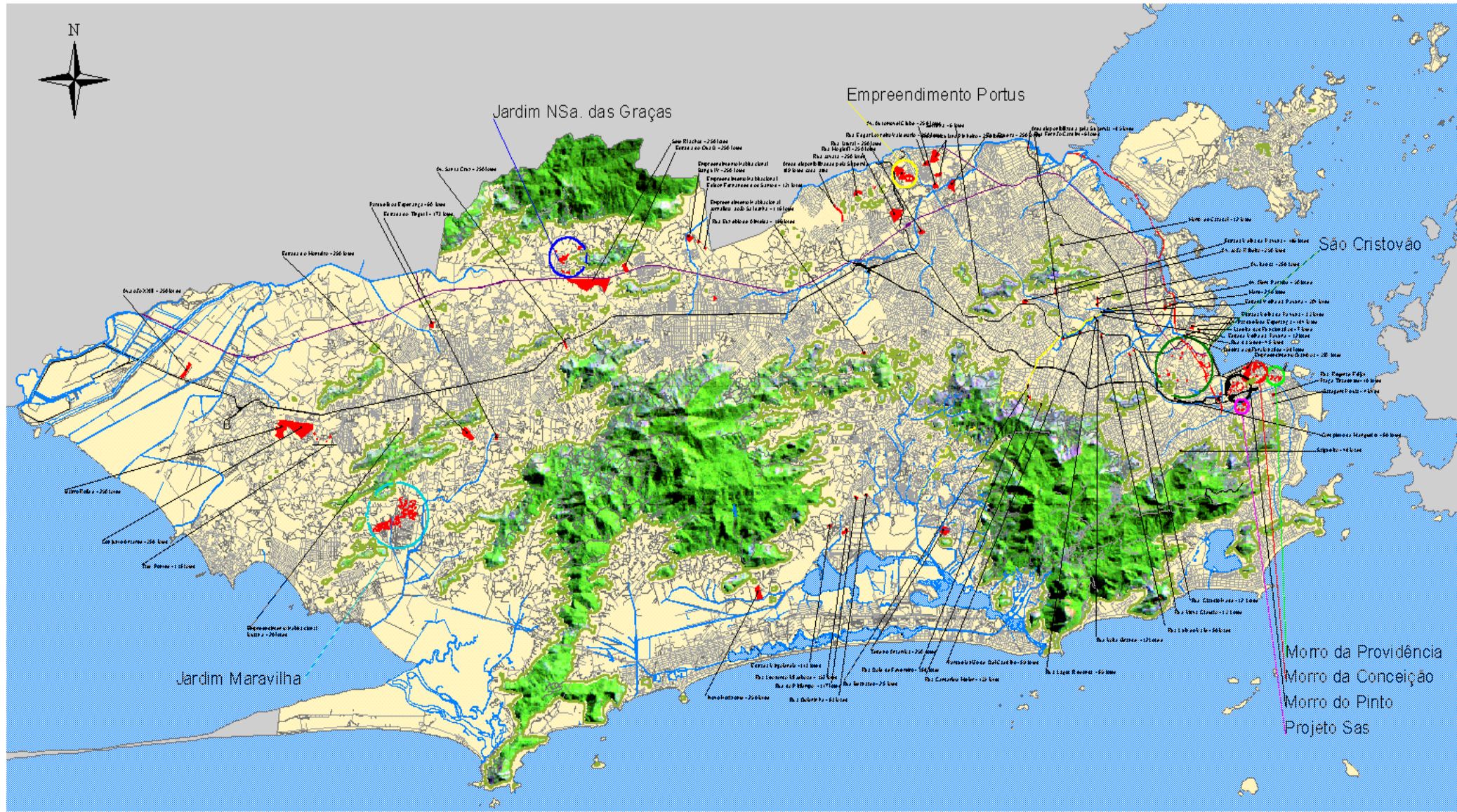
US\$ 28 Million

Rio de Janeiro in the 90's: demography

População da Cidade do Rio de Janeiro por Área de Planejamento



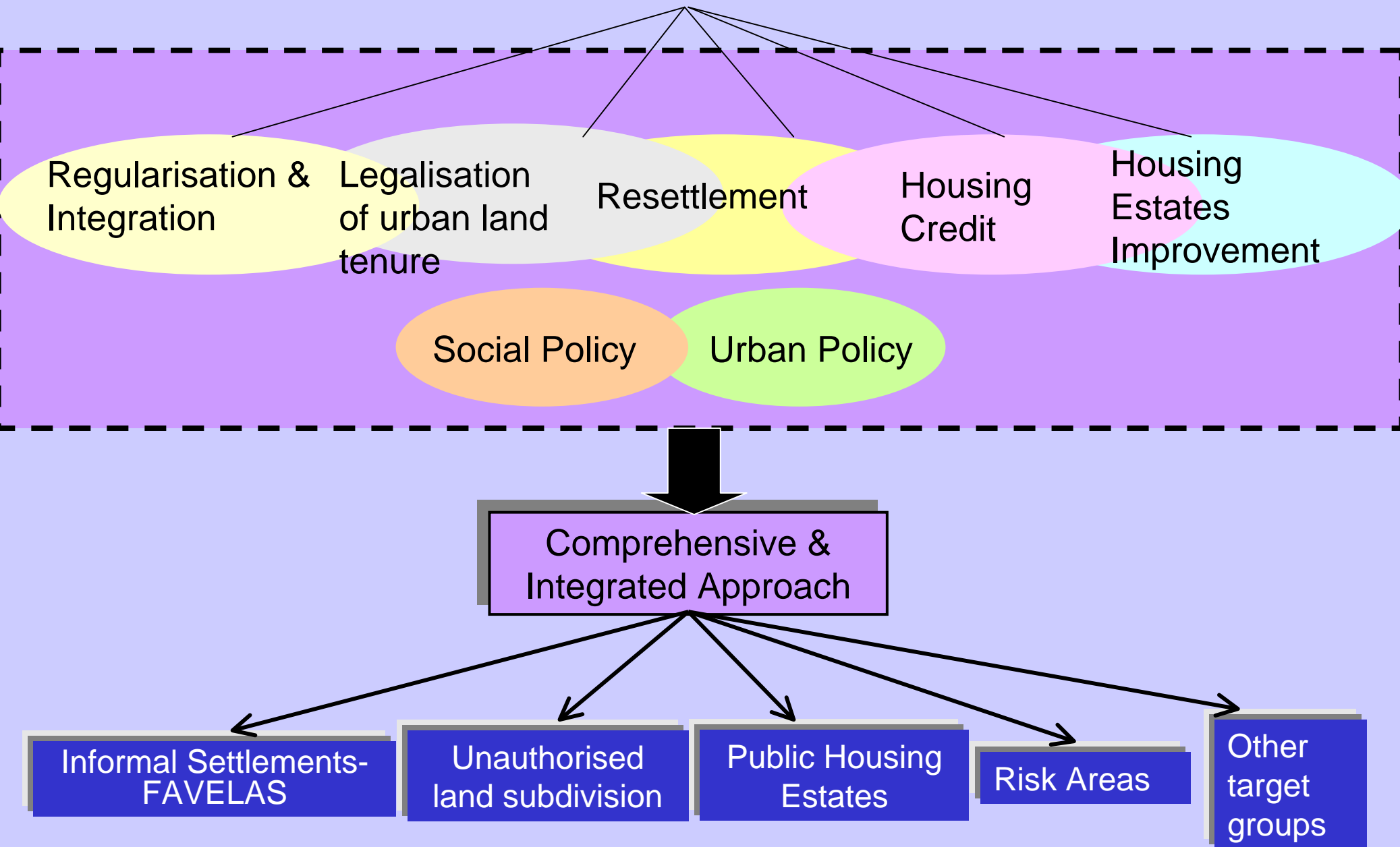
Vazios Urbanos



7.

**A policy and integrated
city wide approach in Rio
de Janeiro.**

Municipal Housing Policy



Situation of Rio de Janeiro's Informal Settlements

FAVELA = squatter settlement

WHAT IS THE DIMENSION OF THE PROBLEM?

412 Favelas (1991 national census)

570 Favelas (Municipality's cadaster afterwards)

33% of the housing units in the Favelas (1991 cadaster)

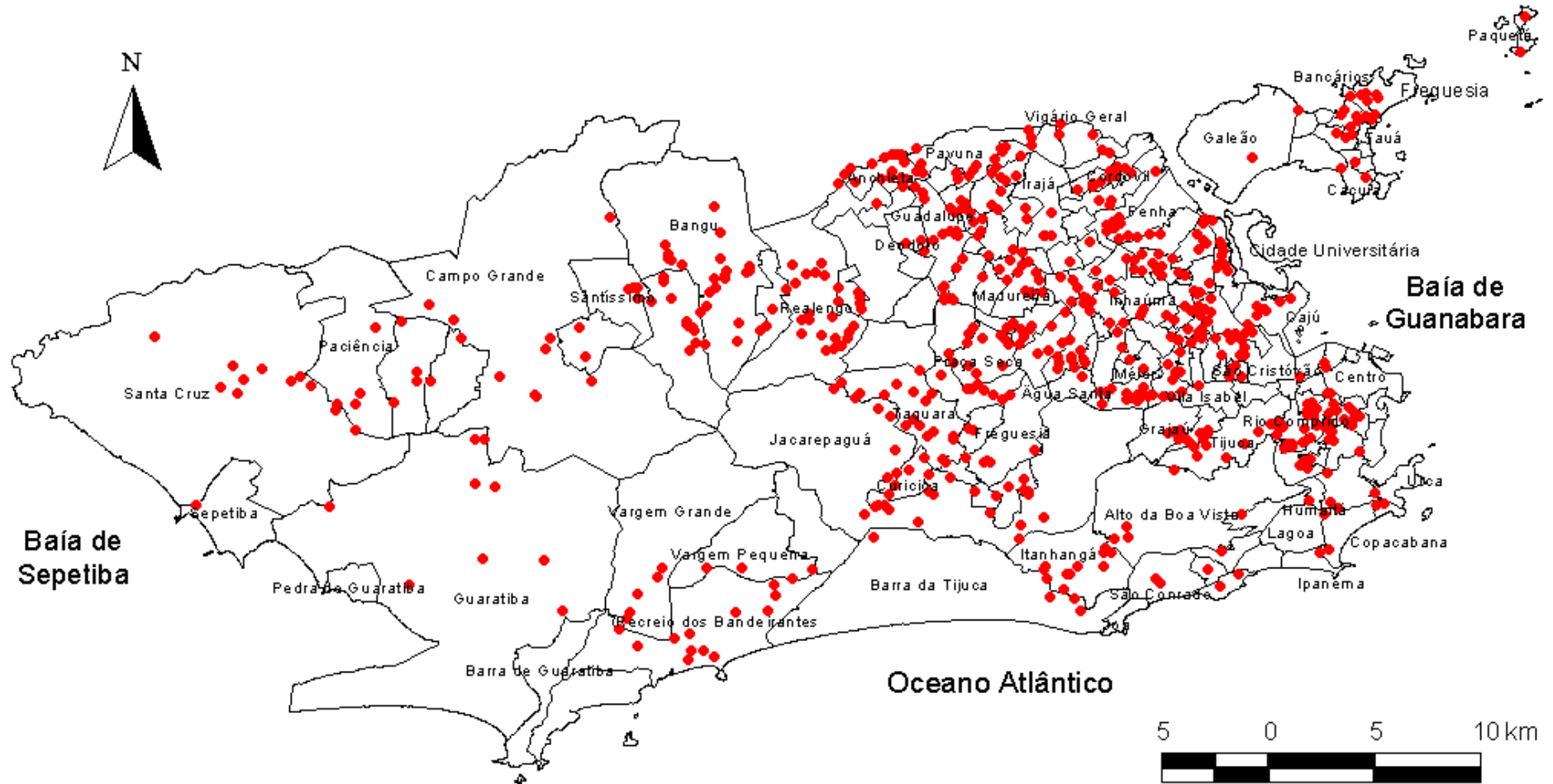
More than 2 Million inhabitants living in poor conditions

926 illegal land subdivisions (clandestine settlements or irregular settlements, mostly in the periphery)

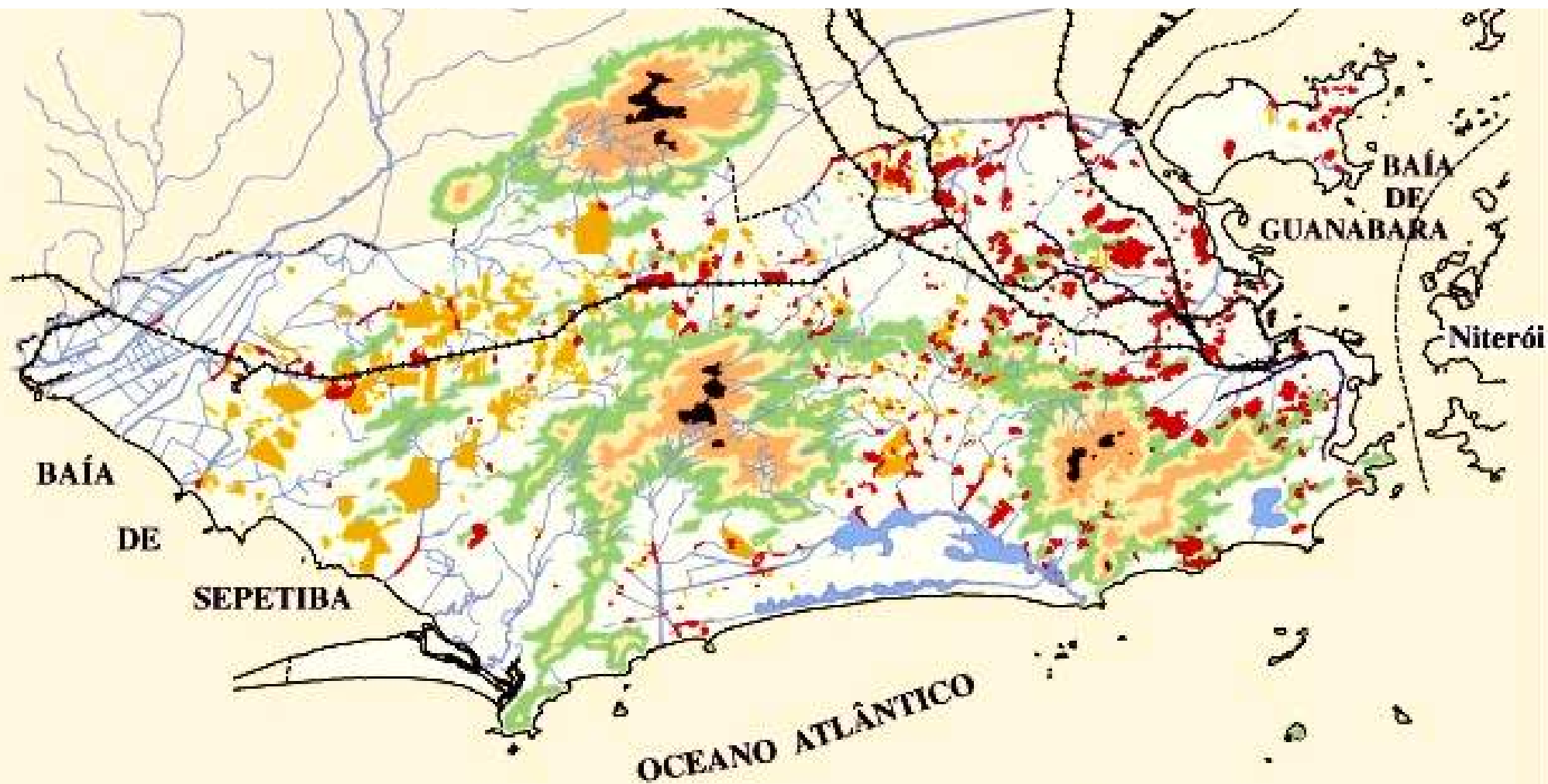
Large population excluded from formal occupation, majority earning 1 to 3 minimum salaries or U\$ 75,00 a U\$ 225,00.



Location of Favelas (squatter settlements) in Rio



Low Income Settlements in Rio de Janeiro -1977



Squatter settlements

Clandestine/irregular settlements



PREFEITURA DA CIDADE DO RIO DE JANEIRO
SMU - IPP - DIG - GEH
LOTEAMENTOS IRREGULARES / CLANDESTINOS DA AP5

MUNICÍPIO DE ITAGUAÍ

MACIÇO DE GERIÃO

MUNICÍPIO DE NILÓPOLIS

MACIÇO DA PEDRA BRANCA


BAÍA DE SEPETIBA

OCEANO ATLÂNTICO

Legenda

	zona_100
	Vias
	Ferrovias
	rs
	Av. Brasil
	Lagoas
	Loteamentos Irregulares

Escala 1:65.000 Data 1995



Patterns of Informal Settlements in Rio de Janeiro

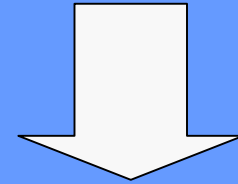
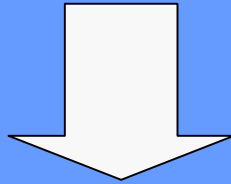
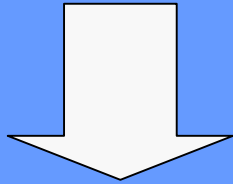
Irregular:

It has an administrative registration in the municipality but does not comply with the legislation and codes for infrastructure, urbanisation and plot sizes

Clandestine:

There is no administrative registry, not known by municipality, considered as areas of spontaneous land occupation.

Irregular and Clandestine Settlements in the Western Zone of Rio de Janeiro



- Total of **475 settlements** mapped and registered in cadastre by the Municipality classified as **255 clandestine** and **220 irregular**;
- 50% situated in Campo Grande Neighbourhood;
- Regional Coordination of Planning of the Municipality of Rio de Janeiro estimates approximately **740 settlements** in the Planning Area 5;
- Actually approximately **1 million inhabitants** live in these areas;

**Illegal subdivision
in Campo Grande**

•Bairro Aurora - 448
plots - 2240
inhabitants



Illegal subdivision in Guaratiba called Jardim Maravilha - 11,754 plots (1720 are occupied) - 5527 inhabitants





7.

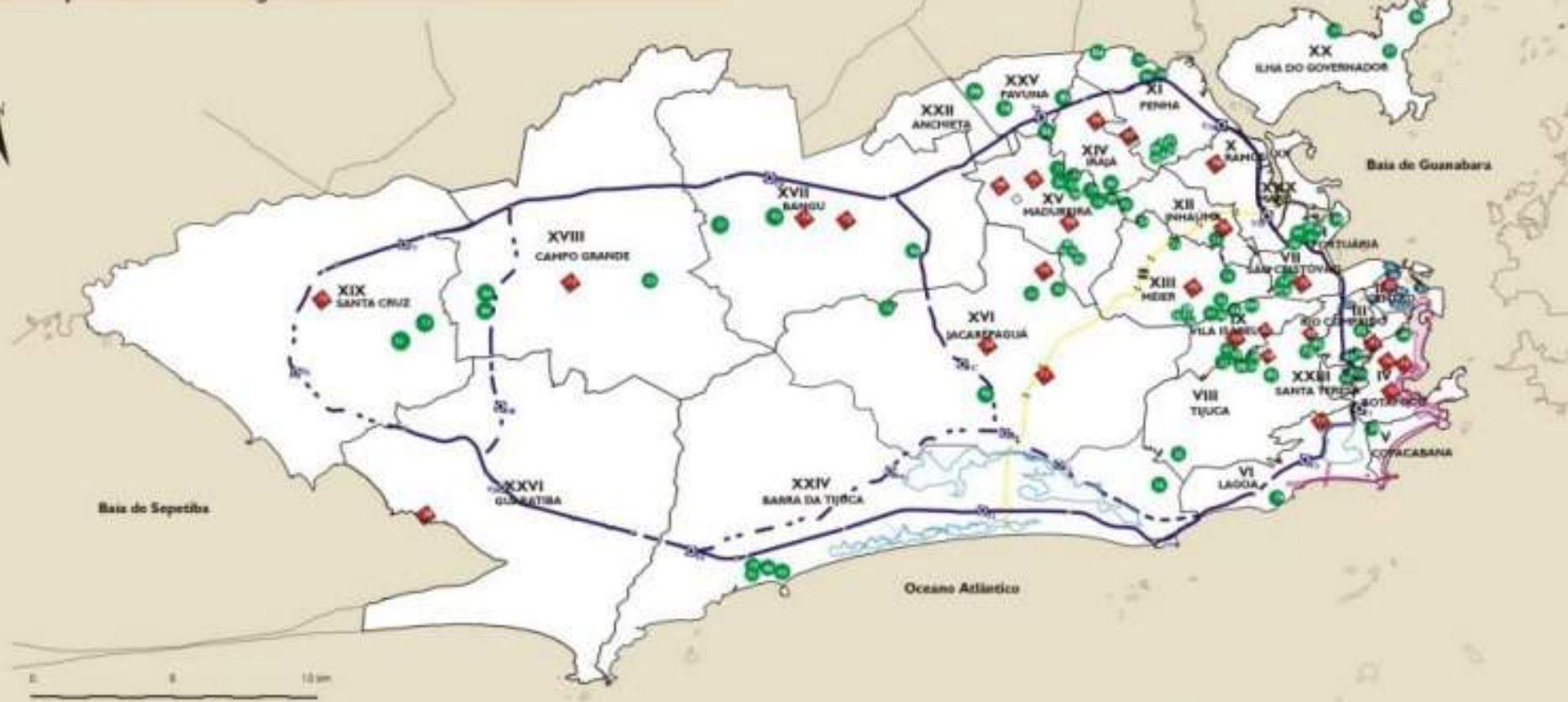
A citywide Slum Upgrading Programme



Município do Rio de Janeiro

Principais Intervenções Urbanísticas 1997 - 2000

XXI
PAQUETA



Prefeitura da Cidade do Rio de Janeiro
Secretaria Municipal de Urbanismo - SMU
Instituto Municipal de Urbanismo Pereira Passos - IPP
Diretoria de Informações da Cidade - DIC

- Regiões Administrativas
- Anel Rodoviário (Limite dos Trechos)
- Limite Intermunicipal
- Linha Amarela
- Anel Rodoviário - Variante (Limite dos Trechos)
- Projeto NoMar

Fonte: Secretaria Municipal de Urbanismo

Ano: 1999

Nota: Escala do Mapa: "Principais Intervenções Urbanísticas 1997-2000" produzida pelo
Secretaria Municipal de Urbanismo - Coordenação de Planejamento - RACD-1999

Contém as principais ações e projetos urbanísticos municipais propostos, realizados ou em realização entre 1997 e 2000.

Projeto No Cidade 1	Urbanizações / Reurbanizações	Projeto Faixa Verde	Projeto NoMar
<ul style="list-style-type: none"> 01 Santa Teresita 02 Vila de São João 03 Vila de São João 04 Vila de São João 05 Vila de São João 06 Vila de São João 07 Vila de São João 08 Vila de São João 09 Vila de São João 10 Vila de São João 11 Vila de São João 12 Vila de São João 13 Vila de São João 14 Vila de São João 15 Vila de São João 16 Vila de São João 17 Vila de São João 18 Vila de São João 19 Vila de São João 20 Vila de São João 21 Vila de São João 22 Vila de São João 23 Vila de São João 24 Vila de São João 25 Vila de São João 26 Vila de São João 27 Vila de São João 28 Vila de São João 29 Vila de São João 30 Vila de São João 31 Vila de São João 32 Vila de São João 33 Vila de São João 34 Vila de São João 35 Vila de São João 36 Vila de São João 37 Vila de São João 38 Vila de São João 39 Vila de São João 40 Vila de São João 41 Vila de São João 42 Vila de São João 43 Vila de São João 44 Vila de São João 45 Vila de São João 46 Vila de São João 47 Vila de São João 48 Vila de São João 49 Vila 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A Policy and Program Approach to Upgrade Informal Settlements - Favelas - PROAP, 1995

Stated Objectives:

- To bring the informal city as close as possible to the legal city, through regularisation and settlement upgrading;
- To transform favelas into neighbourhoods by implementing upgrading, issuing land title and providing community and public services;
- To expand the urban property basis over favelas, residences, plots and housing estates;
- To broaden the opportunities for new constructions by occupying available vacant land and serviced land parcels;

A Policy and Program Approach to Upgrade Informal Settlements - Favelas - PROAP, 1995

HIDDEN OBJECTIVES:

- To re-establish local governance and reinstall “urban order”
- To neutralise the influence & power of the organized crime & drug dealers gangs;
- To incorporate informal settlements into the formal housing markets;
- To incorporate informal settlements into the urban property tax system and revenue collection.
- To reinstall a political basis for citizenship practice!

Selection Criteria for Upgrading

- (1) size of the favela
- (2) the level of difficulty or possibilities to upgrading
- (3) the level of provision of infrastructure already in place and
- (4) the social-economic needs of the inhabitants.

- High costs to upgrade large settlements = exclusion of 114 favelas with more than 2,500 families
- High costs to upgrade small settlements - exclusion of small favelas.

IDEAL SIZE = 500 - 2,500 households or 2,000-11,000 inhabitants as the most effective.

- Level of urbanisation of the favela was rated in indicators
- Percentage of households connected to water and sanitation networks
- Percentage of household heads earning up to one minimum salary (US\$100)

RESULT:final selection of 85 favelas to be upgraded!

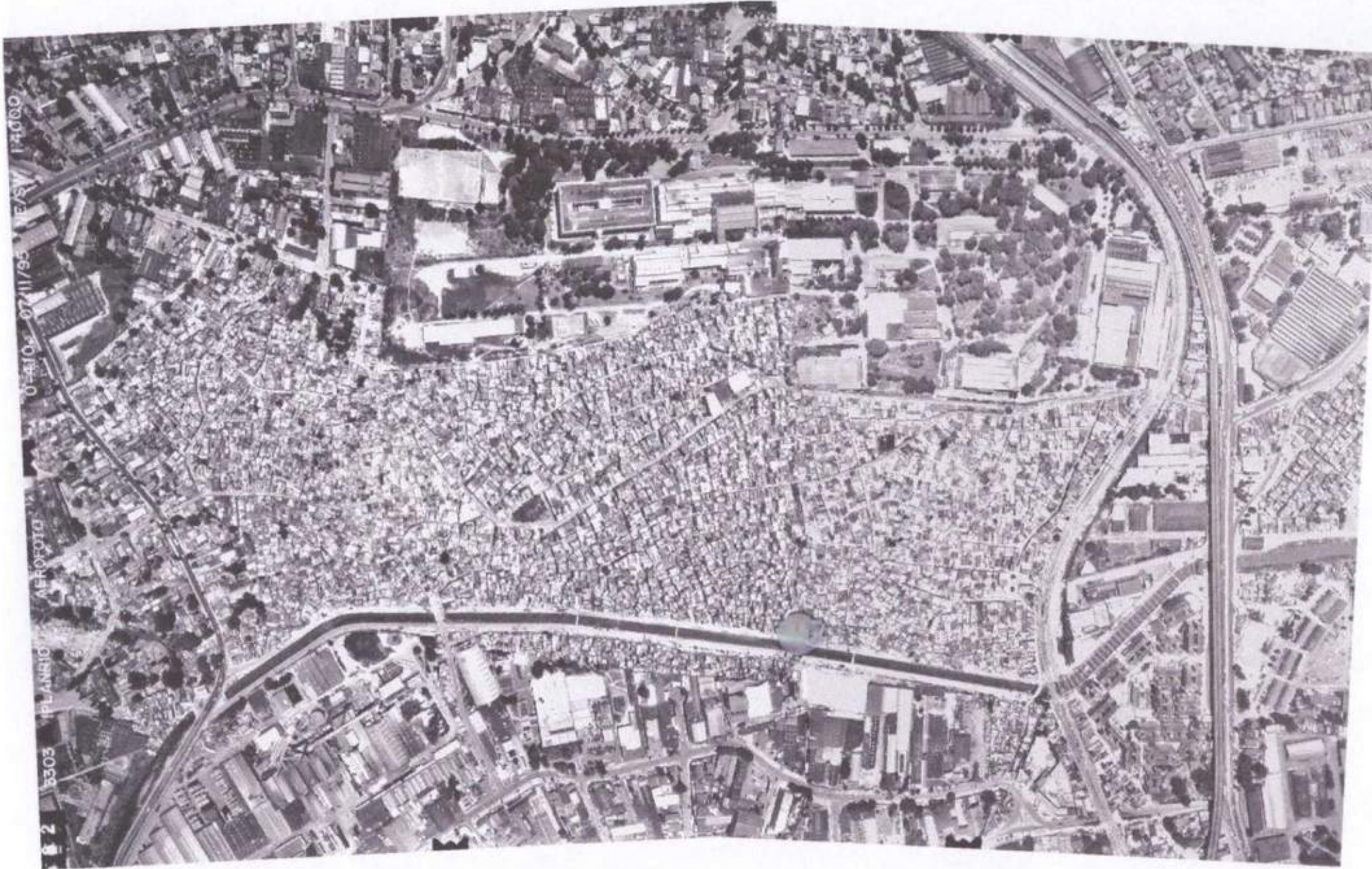
THE FINANCE OF UPGRADING

START: municipal budget = 60%

Midway: financial support from Inter-American Development Bank (IDB) = 40%

Total budget of the Rio's Favela Bairro Program (phase 1): nearly US\$300 million

PRINCIPLE: never exceed US\$ 2,500.00 per family



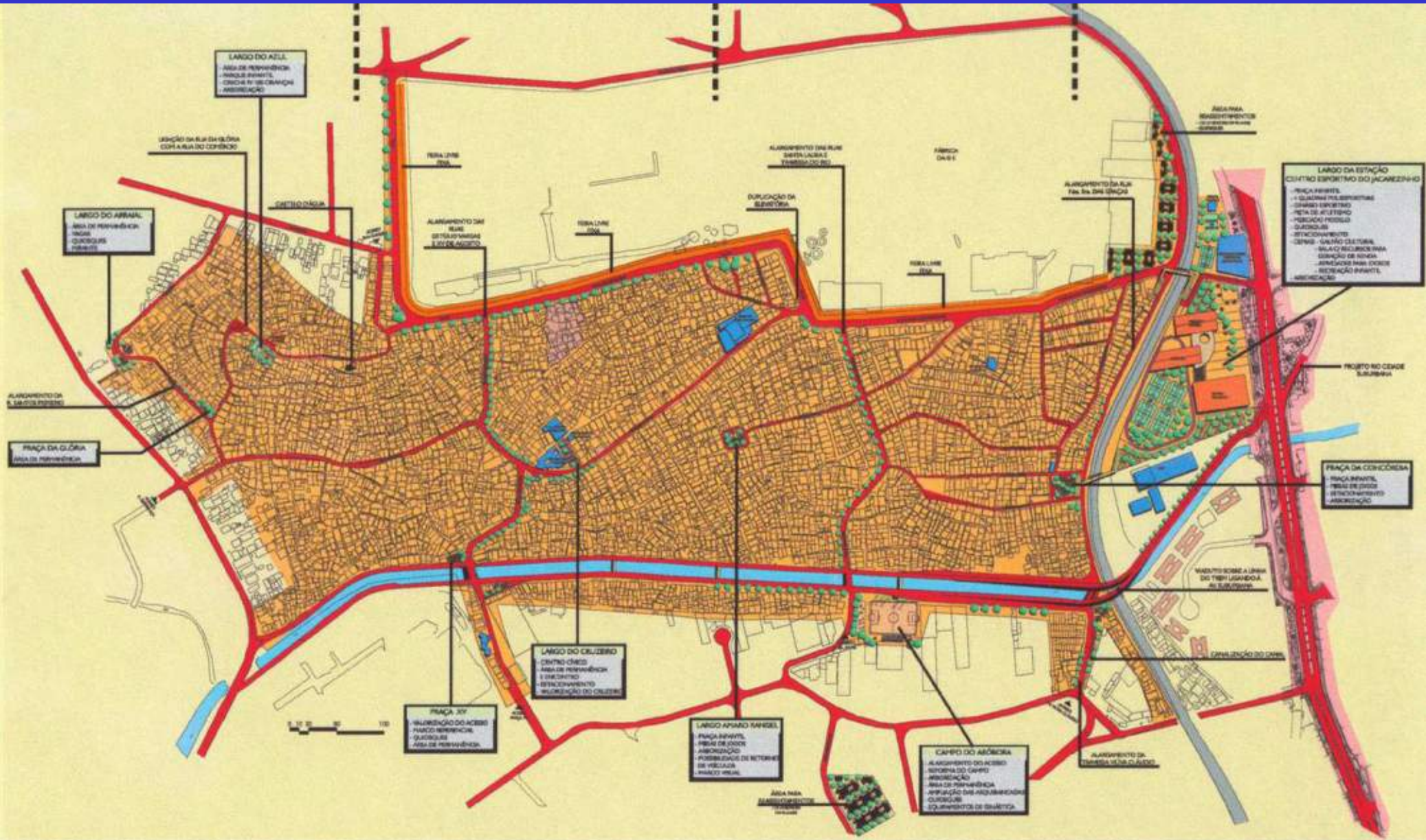
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AEROFOTO

PLANRIO

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2



LARGO DO AZUL
ÁREA DE REPERIÊNCIA
- PAVILÃO PARQUE
- CENTRO DE RECREAÇÃO
- ARREDORE

REDEÇÃO DA RUA DA TRINTEIRA
COM A RUA DO ZEPHERINO

LARGO DO ARRABAL
ÁREA DE REPERIÊNCIA
- QUAIQUES PARQUE

CENTRO DO LAR

ALARGAMENTO DA RUA
SANTO ANTONIO
E DO VILAGEÃO

ALARGAMENTO DA RUA
SANTO ANTONIO
E DO VILAGEÃO

DUPLICAÇÃO DA
SANTO ANTONIO

ALARGAMENTO DA RUA
TIA INÊZ DE OLIVEIRA

ÁREA PARA
RECREAÇÃO
- PARQUE

LARGO DA ESTAÇÃO
CENTRO ESPORTIVO DO JACAREZINHO
- PAVILÃO PARQUE
- QUAIQUES ESPORTIVOS
- PAVILÃO DE ATLETISMO
- PAVILÃO DE JOGOS
- QUAIQUES
- RECREAÇÃO
- SALÃO DE FESTA
- SALÃO DE RECREAÇÃO
- SALÃO DE JOGOS
- RECREAÇÃO NA OCEANO
- RECREAÇÃO PARQUE
- ARREDORE

PROJETO NO CENSO
SANTO ANTONIO

PRACA DA CONCÓRDEA
- PAVILÃO PARQUE
- PAVILÃO DE JOGOS
- RECREAÇÃO
- ARREDORE

ALARGAMENTO DA
RUA SANTO ANTONIO

PRACA DA GLÓRIA
ÁREA DE REPERIÊNCIA

LARGO DO CRUZERO
CENTRO CENSO
ÁREA DE REPERIÊNCIA
- CENTRO
- RECREAÇÃO
- ARREDORE DO CRUZERO

PRACA XV
- RECREAÇÃO DO ACESSO
- PAVILÃO RECREAÇÃO
- QUAIQUES
- ÁREA DE REPERIÊNCIA

LARGO ANTONIO MARCEL
- PAVILÃO PARQUE
- PAVILÃO DE JOGOS
- RECREAÇÃO
- PAVILÃO DE JOGOS DE RETORNO
- QUAIQUES
- PAVILÃO PARQUE

CAMPUS DO ARBÓREA
- ALARGAMENTO DO ACESSO
- RECREAÇÃO DO CAMPUS
- RECREAÇÃO
- ÁREA DE REPERIÊNCIA
- PAVILÃO DE JOGOS
- QUAIQUES
- EQUIPAMENTOS DE JOGOS

ALARGAMENTO DA
RUA TIA INÊZ DE OLIVEIRA

VALETO SOBRE A LINHA
DO TIBURICIANO
AL SUBURBANO

RECREAÇÃO DO CAMPUS

Components of the Upgrading Package

PHYSICAL COMPONENT

- Infrastructure (water, sewage, drains, public lightning, roads)
- Services (garbage recollection, post services)
- Community Facilities (day care centers, libraries, sports facilities, etc.)
- Housing provision (up to 8% relocations)

SOCIAL COMPONENT

- education
- health
- culture
- sports & leisure
- job generation

LEGAL COMPONENT

1. titling

URBAN/ADMINISTRATIVE COMPONENT

1. declaration of special social interest area (AEIS)
2. recognition of roads and pathways

Urban Plan: the physical planning intervention

Infrastructure

1. Water Supply
2. Sewerage System
3. Drainage System
4. Public Lighting
5. Road Network
6. Land slide Protection
7. Garbage collection
8. Boundary Setting

Community Facilities

1. Creche
2. Squares
3. Leisure areas
4. Sport facilities
5. POUISO
6. Library

Land Regularisation

1. Defining an AEIS
2. Approving PA – Alignment Plan
3. Recognising Road Names
4. Numbering Residential units
5. Authorisation to live (Habitate-se).

Community Participation:



1. Thematic workshops
2. Community Meetings
3. Assemblies



Sewerage



Accessibility



Legislation



Square

Integrated Upgrading



Maintenance

Sports Facilities Built



Housing Construction



Identifying & Reconciling Roads

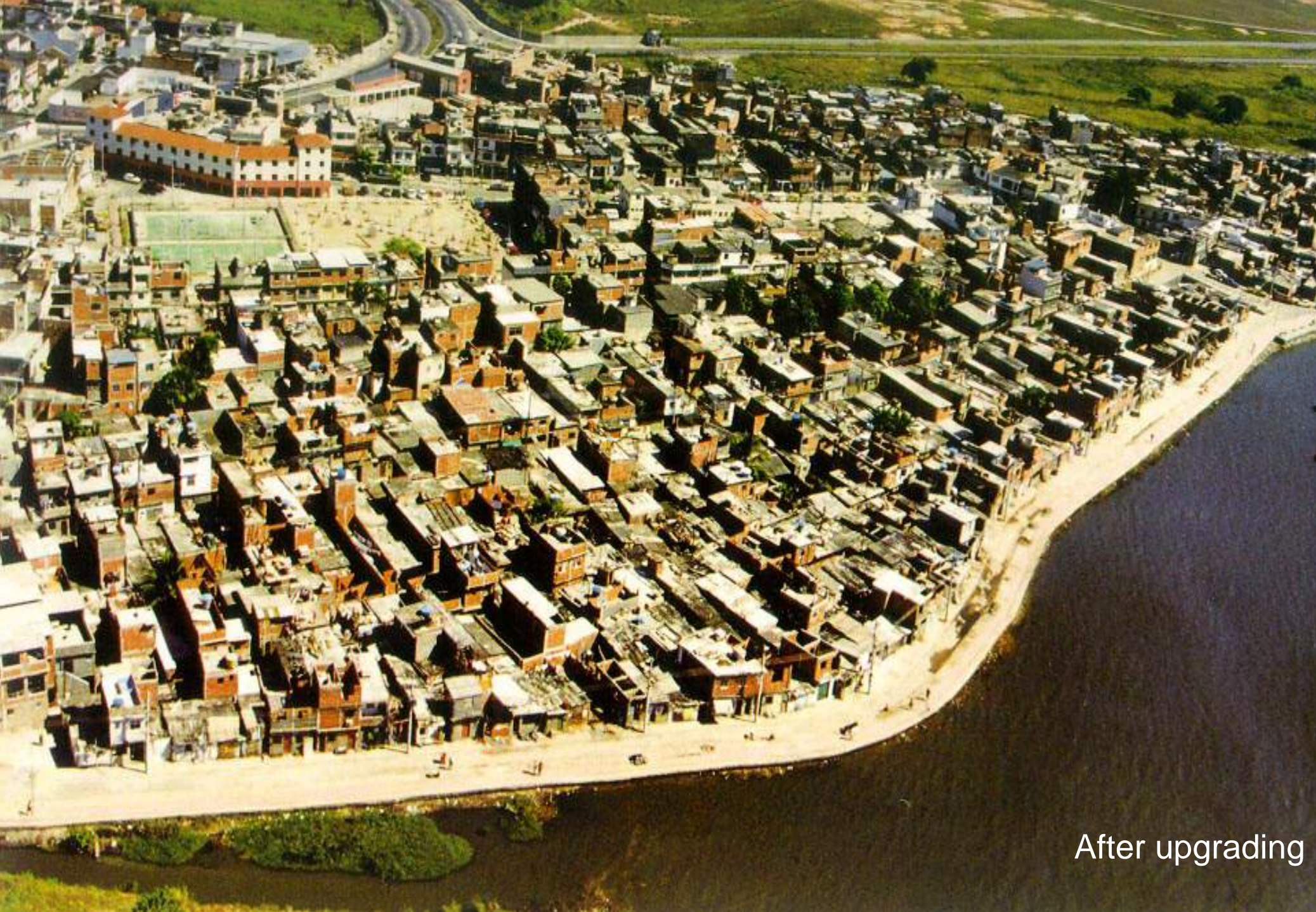
Public Investment to improve living conditions



Public Space

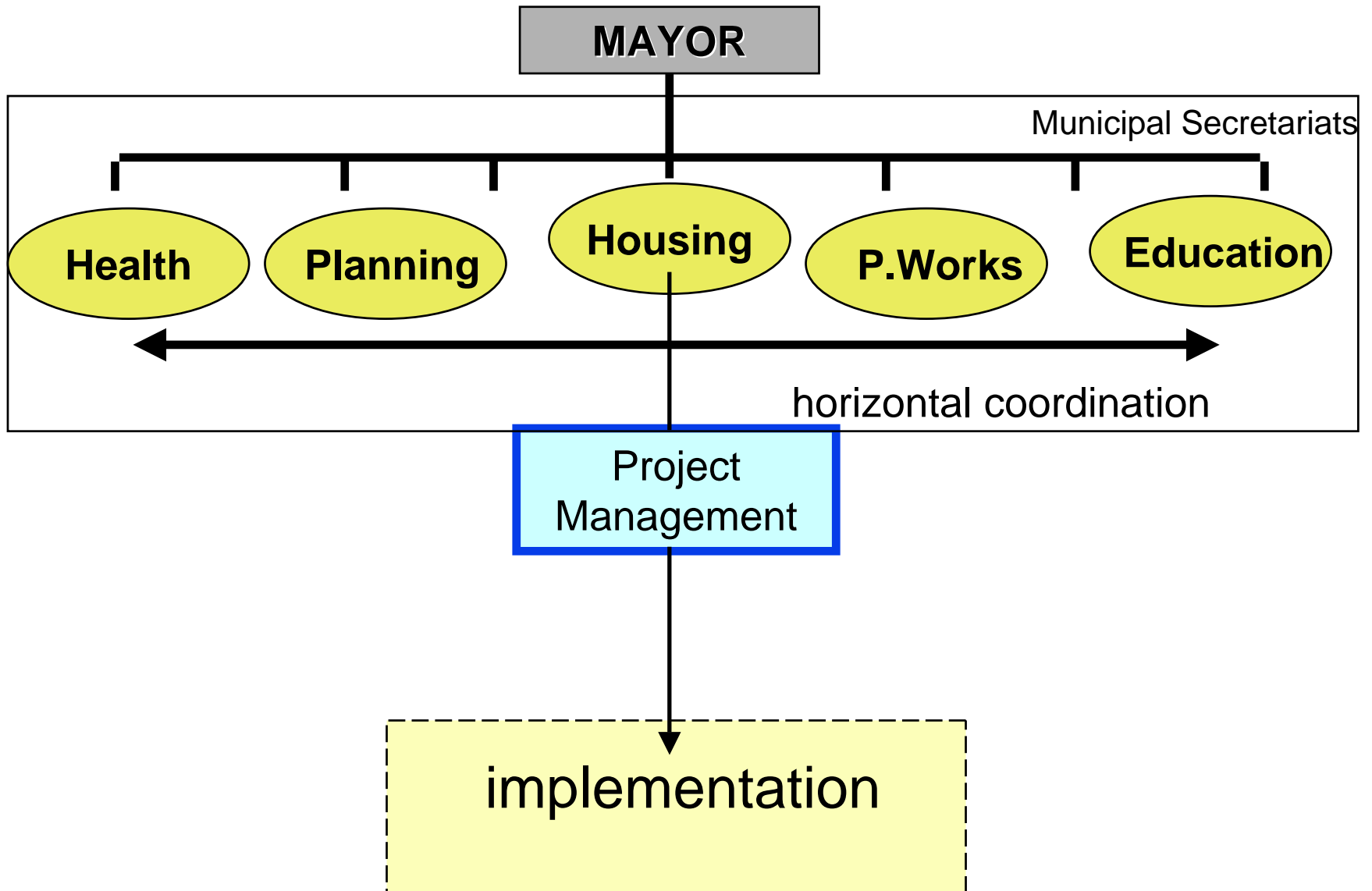


Before upgrading

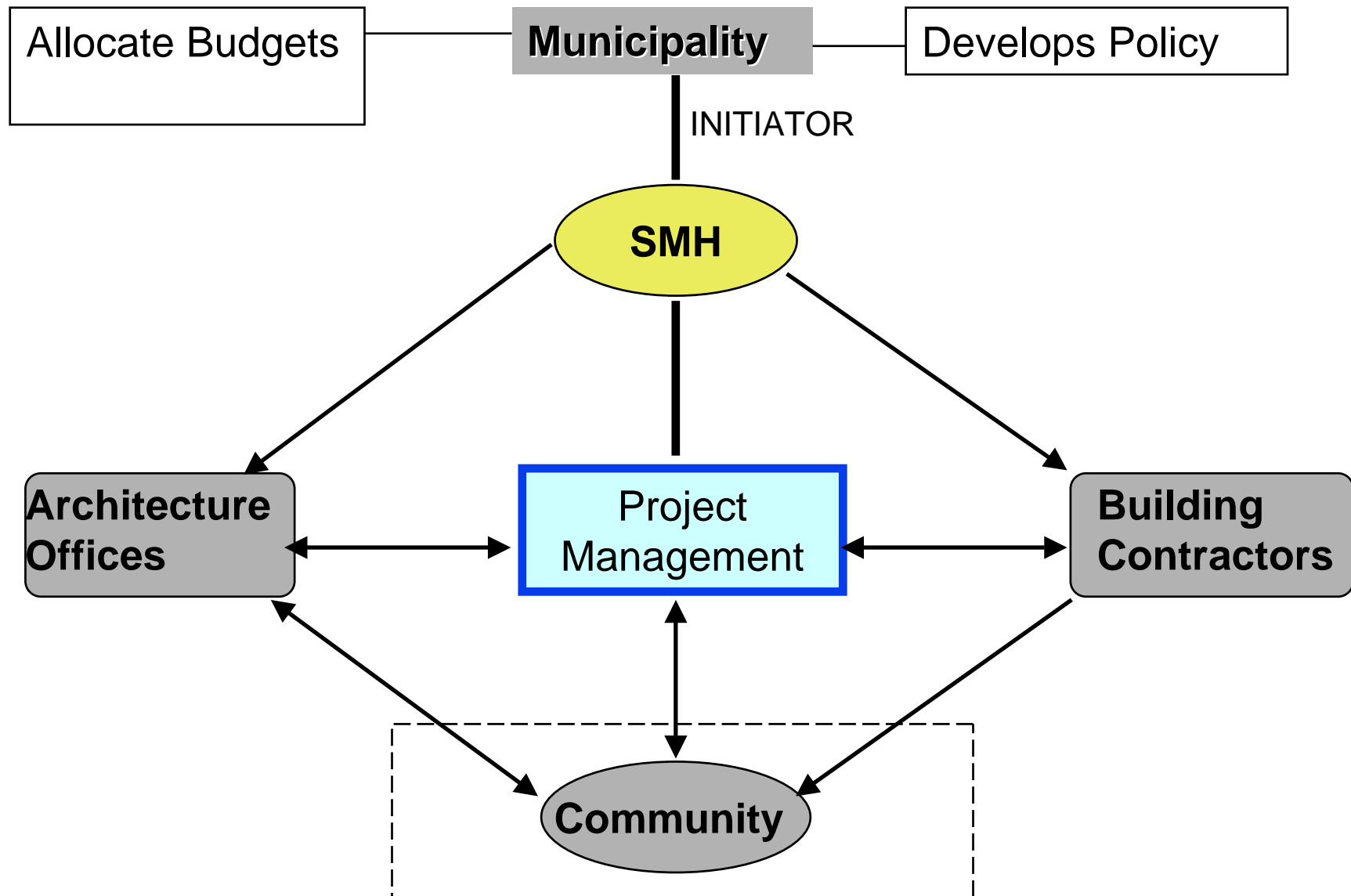


After upgrading

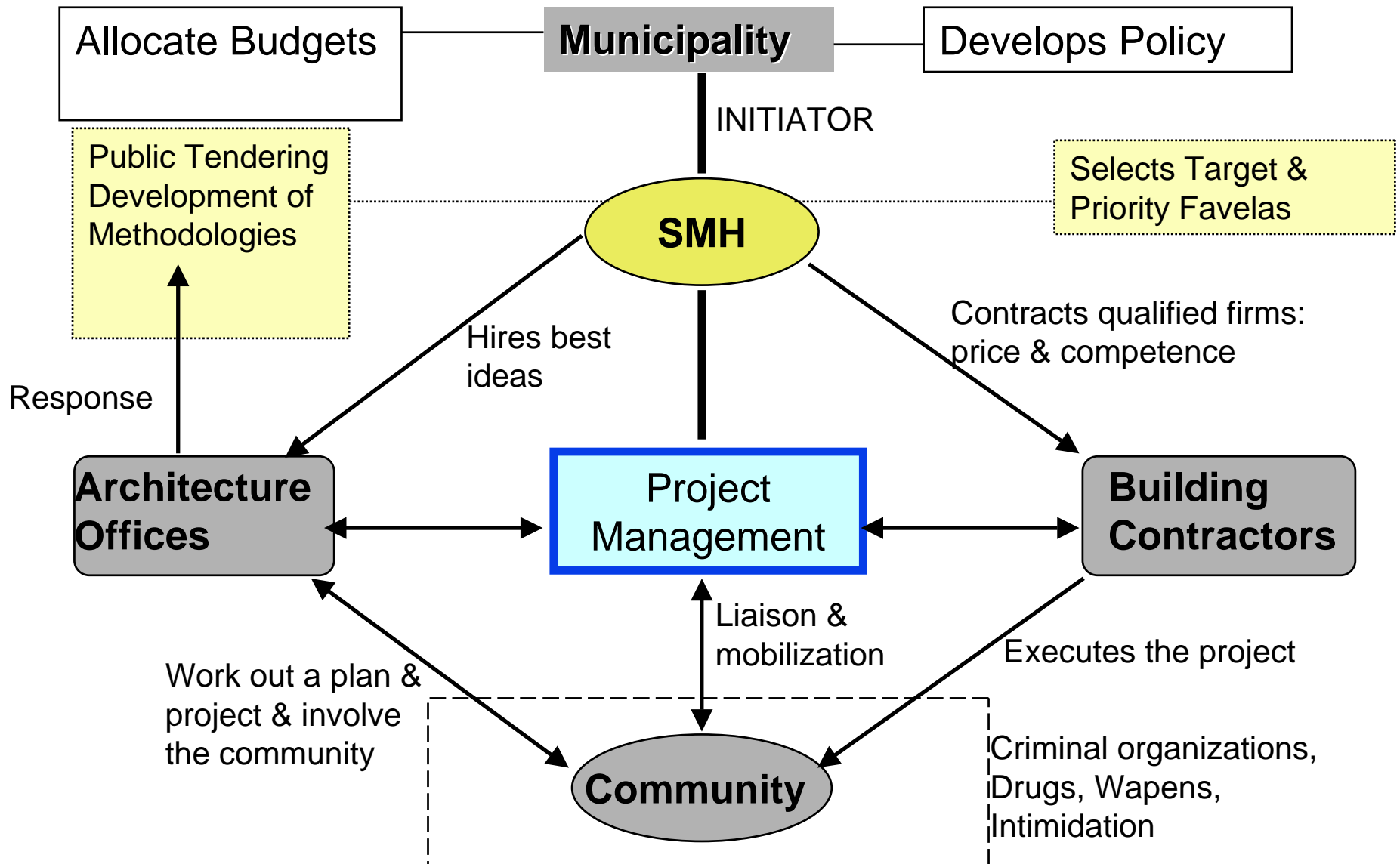
Rio de Janeiro's Upgrading Program - Favela Bairro



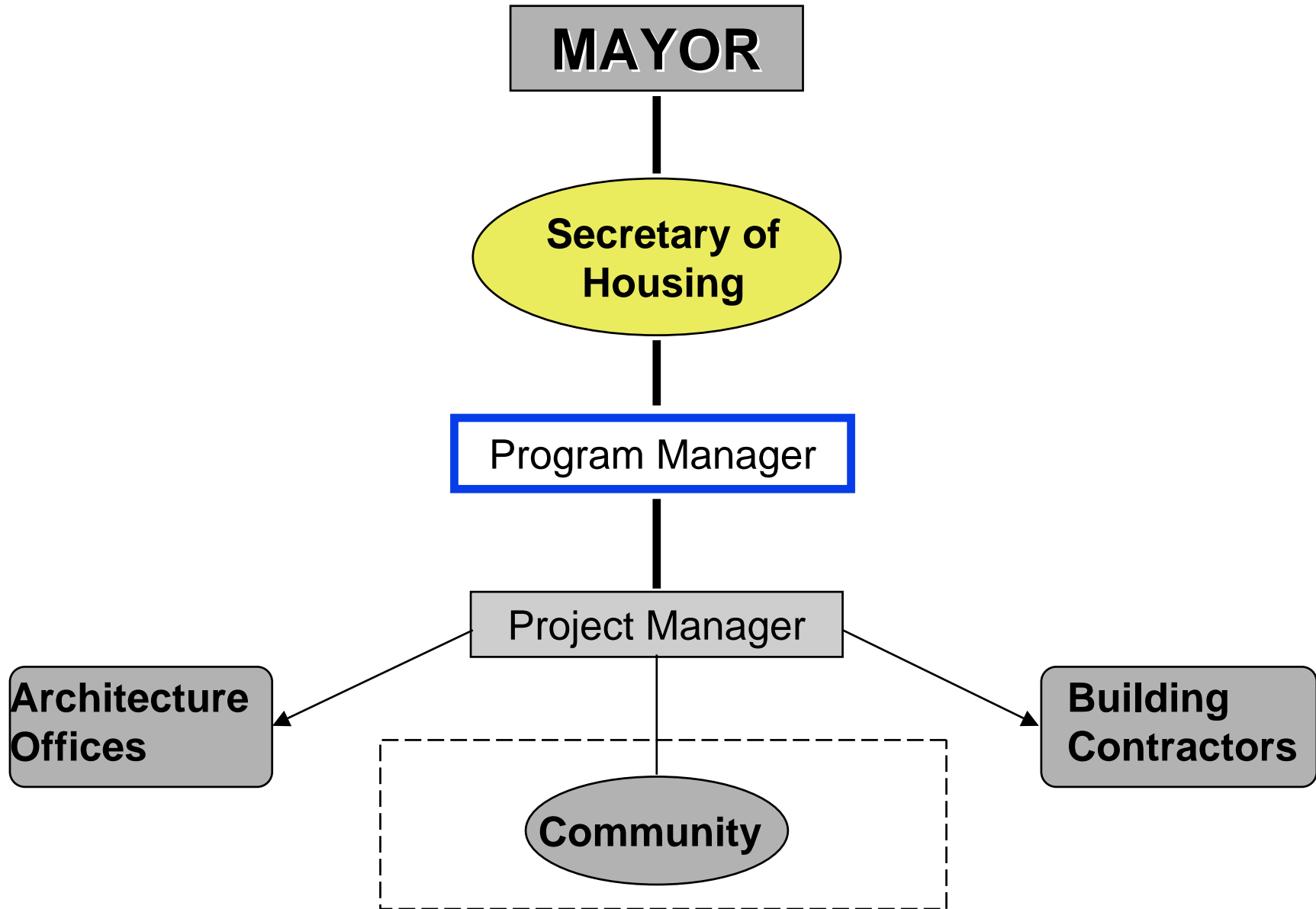
Rio de Janeiro's Upgrading Program - Favela Bairro



Rio de Janeiro's Upgrading Program - Favela Bairro



Rio de Janeiro's Upgrading Program - Favela Bairro



Results 1994 - 2005

Total population living in favelas: 1.092.783 people

Total number of people benefited: 508.728 people **46,55%**

Total number of favelas: 600

Total number of favelas upgraded: 143 **23,83 %**

MATA MACHADO

Localização:

Bairro Alto da Boa Vista, na VIIIª Região Administrativa.

Problemas encontrados:

- Deficiência de infra-estrutura (água, esgoto, drenagem);
- Deficiência de equipamentos comunitários;
- Ausência de áreas de lazer e de convívio social;
- Áreas de risco (desabamento):
- Degradação ambiental;
- Deficiência de coleta de lixo;
- Dificuldade de acesso para penetração de veículos no interior da comunidade.

Soluções propostas:

- Ampliação do acesso existente e das vias internas existentes;
- Execução de redes de água, esgoto e drenagem;
- Aproveitamento das instalações de fábrica limítrofe, desativada, como centro polifuncional para programas







Capacitação especializada



Aumento de escolaridade



Aumento de escolaridade

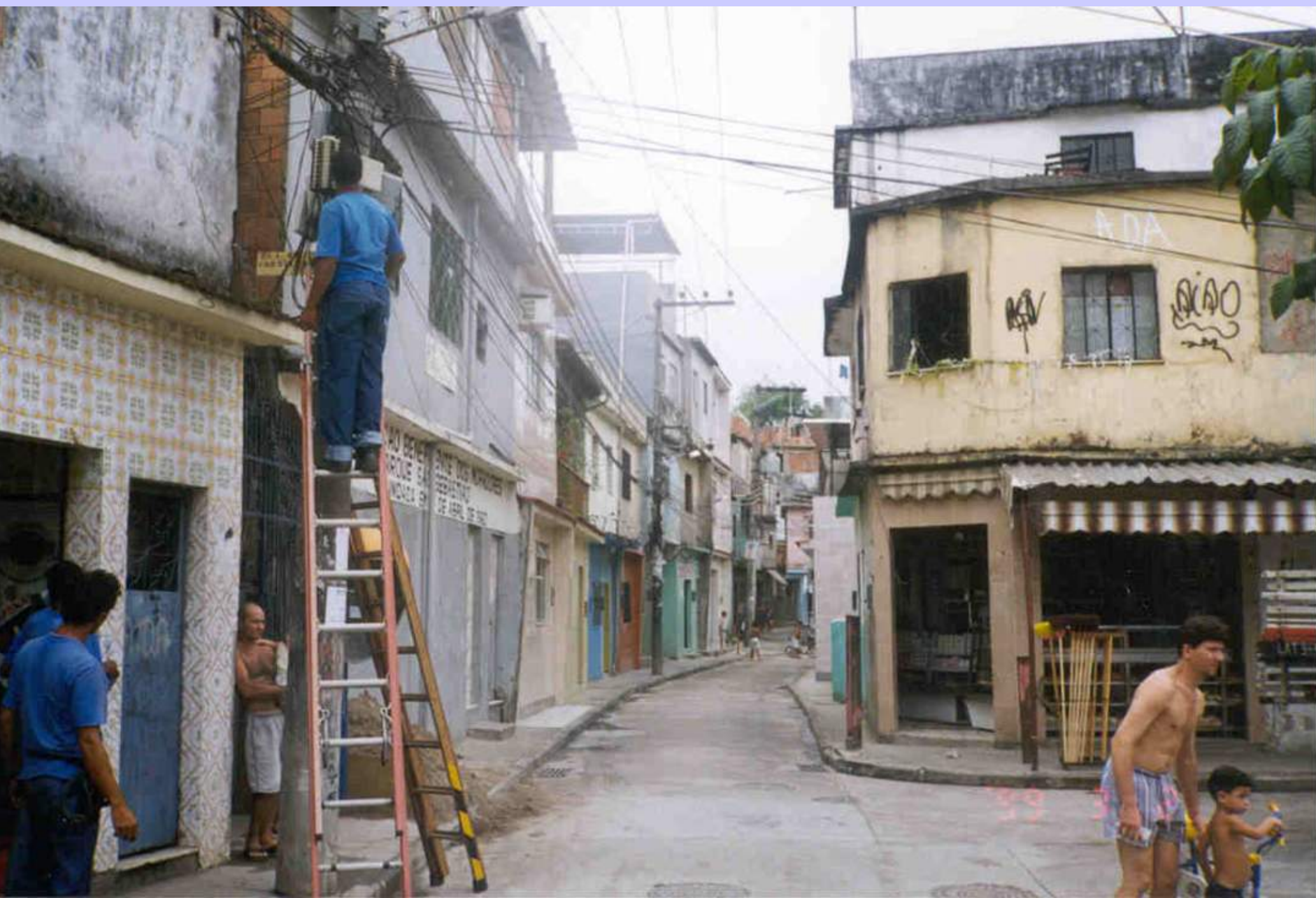














ORVETE

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ANTES



DEPOIS



See
Before

Ladeira dos Funcionários e Pq. São Sebastião

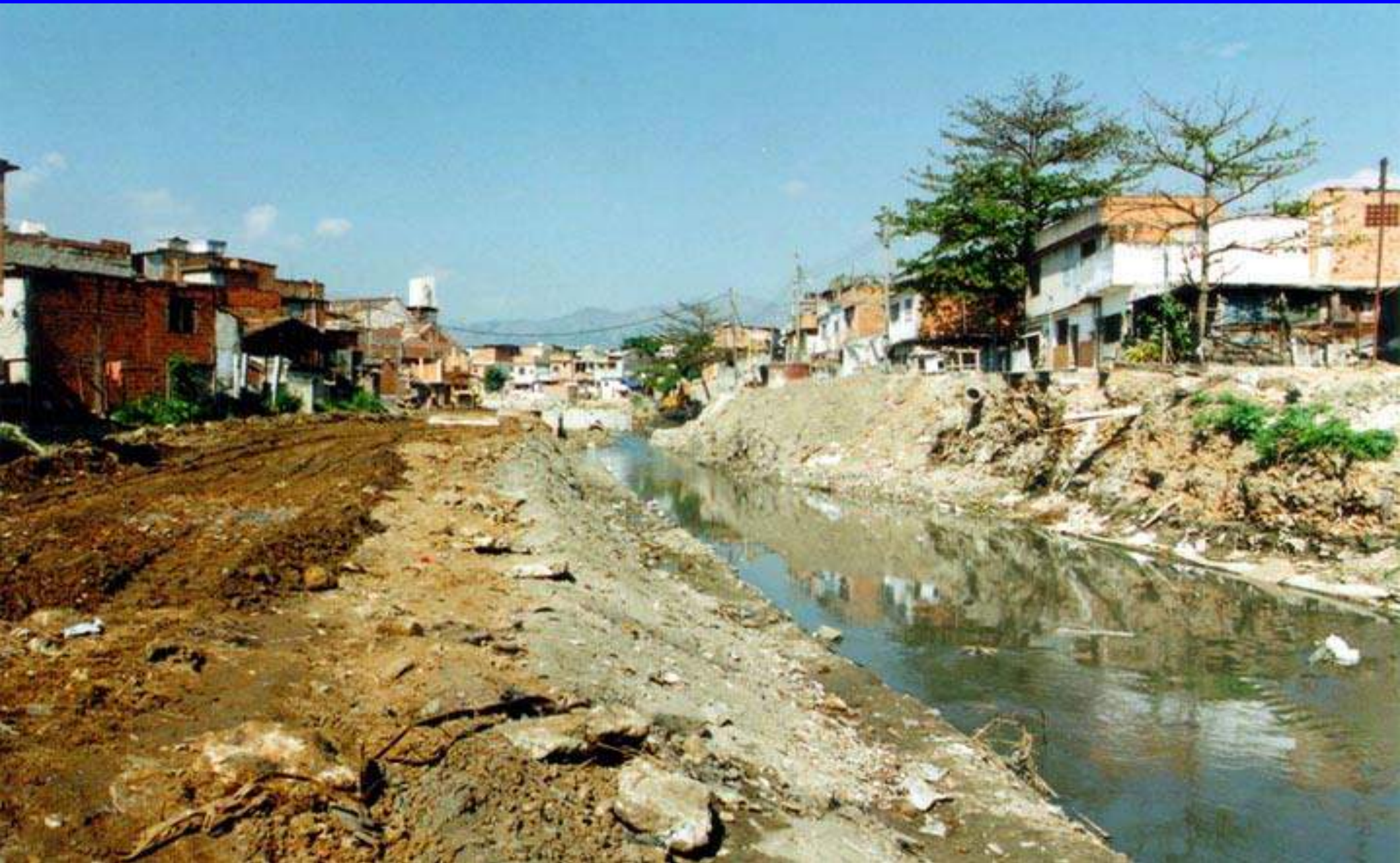


Projeto: Fábrica Arquitetura
Domicílios: 927
População: 3.656 habitantes
Investimento: 7,2 milhões de Reais
Área: 5,1 ha

Componentes do Projeto



Fernão Cardim



antes, durante e depois

Fernão Cardim



antes, durante e depois

Parque Royal



antes e depois

Parque Royal



antes e depois

Vidigal



antes e depois

THE END

FIM

FUND