

# Asia & Global Digital Media

TEACHING ASIA WORKSHOP

Penn State University, Friday October 22, 2010



2010 MID-ATLANTIC REGION ASSOCIATION FOR ASIAN STUDIES ANNUAL CONFERENCE



## TEACHING ASIA WORKSHOP: ASIA AND GLOBAL DIGITAL MEDIA

The Teaching Asia Workshop provides training in contemporary and historical issues related to globalization and digital media in South and Southeast Asia, East Asia and the Asia Pacific. Held in conjunction with the Mid-Atlantic Region Association of Asian Studies (MAR/AAS) 2010 annual conference, this one-day workshop encourages the integration of materials on Asia in the K-12 classroom. This year our sessions will explore cultural, religious, and political aspects of Asia, with a special emphasis on the new challenges and opportunities presented by a wide range of global digital media as pedagogical tools. Our presenters will draw on both the theory and pedagogical practices to help K-12 teachers incorporate Asia in the curriculum.

<http://asian.la.psu.edu/maraas2010.shtml#TAW>



### CONTENTS

The *FREE* Workshop is generously sponsored by the Association for Asian Studies (AAS), the Mid-Atlantic Region Association of Asian Studies (MAR/AAS), and Penn State University Asian Studies Program, and is co-organized by Prof. Alexander Huang, Prof. Charlotte Eubanks, and Prof. Jonathan Abel at Penn State.

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# Highlights, Themes, Goals

## Highlights

- **ACT 48 certification for 6.5 credit hours**
- Japanese woodblock prints exhibition, Palmer Museum of Art Print Study Room (free and open to the public; participants will also be able to study the prints close up during the workshop)
- Complimentary tickets to an evening performance of Japanese *shakuhachi* flute
- Lunch will be provided
- Course materials
- Free registration to the MAR/AAS Annual Conference (Oct. 22-23)
- One year's membership in MAR/AAS

## Topics

- Incorporation of contemporary and traditional Asian cultures into the curriculum
- Design Web-based assignments including wiki tools and student blogs
- Promote cognition and student-centered, Web-based learning
- Expand educational boundaries through multi-school collaboration
- Adapt e-learning to different learning styles

## Themes

The MAR/AAS Teaching Asia Workshops have proven to be a successful model for outreach and education to the community of K-12 teachers. As in previous years, we plan to hold several panels to increase understanding of contemporary issues involving Asia, and to discuss the practical ways in which they can be integrated into the K-12 curriculum.

## Goals

With the rise of Web 2.0 and a new wave of Asian “cool” media culture (such as Japanese anime and comics popular among K-12 students), the present moment in globalization compels us to take a closer look at Asia in the framework of globalization and digital media, an important avenue for cross-cultural understanding. Therefore, our emphasis this year lies on the global



digital media as both an important site of transnational cultural flows and a versatile pedagogical tool in K-12 classroom.

<http://asian.la.psu.edu/maraas2010.shtml#TAW>

# Lipcom Auditorium, Palmer Museum of Art

## Venues

All sessions are held in the Lipcom Auditorium, first floor, in the Palmer Museum of Art, unless otherwise noted.

Michael Gould, *shakuhachi* bamboo flute musician

2:50-3:10 pm Evaluation and Discussion

11:00 am-11:50 am South Asian City and Architecture  
Dr. Madhuri Desai (Penn State)

3:30-4:30 Woodblock Print Exhibition at Palmer Museum of Art, 2<sup>nd</sup> floor Print Study Room

## Schedule

8:00-9:00 am Registration, HUB-Robeson Center 106

11:50 am – 1:00 pm Lunch Break in Old Botany Building

5:30 -6:30 pm Cultural Event: *shakuhachi* Japanese bamboo flute concert, Schwab Auditorium

9:00-9:10 am Welcome and Introduction: Teaching Asia in the Global Digital Age  
Dr. Alex Huang (Penn State)

1:00-1:50 pm Teaching Cultural History in Language Courses

## Rationale

Teaching and learning outside the limits of time and space at the present moment is not only educational reality but also a large part of the mandate of K-12 education. Our workshops seek to balance the pedagogical and technological aspects of these rapid changes ushered in by globalization and the rise of Asia in our century. With its blend of new ideas for the classroom, the Teaching Asia Workshop will enrich the work of K-12 educators.

9:10-10:00 am Japanese Pop Culture, Print Culture and Digital Media  
Participants will be able to avail themselves of the Japanese Woodblock Prints Exhibit at the Palmer Museum on campus curated by Prof. Charlotte Eubanks  
Dr. Jonathan Abel and Dr. Charlotte Eubanks (Penn State)

Dr. Nick Kaldis and Shu-min Tung (Binghamton University-SUNY)

1:50-2:00 pm Coffee Break in Old Botany Building

10:00-10:15 am Coffee Break in Old Botany Building

2:00-2:50 pm Educational Technologies for Learning Communities  
Dr. Wen-hua Du, Dr. Meredith Doran and Dr. Kyle Peck (Penn State)

10:15-11:00 am Traditional Asian Music in the Classroom



# Presenters

## Featured Musician

**Michael Chikuzen Gould** lived in Japan from 1980 to 1997 and studied *shakuhachi* under renowned masters Taniguchi Yoshinobu and Yokoyama Katsuya. Gould earned a “Shihan” (Master of Shakuhachi) in 1987 and was given the name “Chikuzen.” In 1994, he became one of only a handful of non-Japanese to hold the title of “Dai Shihan” (Grand Master of Shakuhachi). After returning to the U.S., Chikuzen taught Zen Buddhism and Shakuhachi at the University of Michigan, Oberlin College, and Wittenberg University. One of the most prolific performers outside of Japan, Chikuzen has presented over 500 solo concerts and has also played with traditional Japanese music ensembles, Taiko drumming groups, Chinese harp and pipe organ. He appeared in the world premiere of the opera “Madame Butterfly” using Japanese instruments, performed Karl Jenkins’ “Requiem” with the Metropolitan Detroit Chorale, and provided the music for the prestigious Dance Company of Ann Arbor at the University of Michigan in a presentation of the works of Mary Cassatte. Chikuzen is also a shakuhachi instructor at the annual Shakuhachi Camp of the Rockies in Loveland, Colorado.

→ <http://www.chikuzenstudios.com/>

## Speakers and Organizers

### Jonthan Abel

Jonathan Abel is Assistant Professor of Comparative Literature, Japanese, and Asian Studies Program at Penn State. He has recently published articles on Japanese film, war fiction, and translation. His translation of Azuma Hiroki's *Otaku Japan's Database Animals* was published in 2009. He is currently completing a book manuscript on censorship of Japanese literature in mid-twentieth century Japan. In addition to teaching upper level Japanese courses, his courses include classes covering Japanese film, pop culture, modern literature, and theory.

### Madhuri Desai

Madhuri Desai is Assistant Professor in the Department of Art History and Asian Studies Program at Penn State. Her research interests are in South Asian architecture and urbanism and she teaches upper level lecture and seminar courses in this area. She also teaches surveys in Asian architecture and art, South Asian architecture and art and Islamic architecture and art. She is currently finishing a book manuscript on the eighteenth and nineteenth century remaking of the city of Banaras, India. She is also co-editing a book on colonial urbanism. Dr. Desai is a recipient of a postdoctoral fellowship

awarded by Yale University's Paul Mellon Centre for Studies in British Art, London, for fall 2010.

### Meredith Doran

Ph.D., Cornell, 2002. Assistant Professor of French and Applied Linguistics at Penn State. Dr. Doran specializes in second language acquisition, pragmatics and second language pedagogy, language and identity, and language ideologies. She is a member of the American Council of Teachers of Foreign Languages (ACTFL).

### Wen-hua Du

Dr. Du is the coordinator of Chinese program and Senior Lecturer at Penn State University. She holds a Ph.D. in curriculum and instruction from the University of Wisconsin-Milwaukee, where she was the Chinese Program coordinator, and M.A. in Teaching Chinese as a Second Language from the National Taiwan Normal University. Before joining Penn State, she was Visiting Assistant Professor in Chinese at the University of Wisconsin-Madison. She specializes in teaching Chinese as a foreign language.

# Presenters

## Charlotte Eubanks

Charlotte Eubanks is Assistant Professor of Comparative Literature, Japanese, and Asian Studies at Penn State. Her research centers on the intersections of material culture, performance studies, and ethics in literature. Her first book, entitled *Miracles of Book and Body: Buddhist Textual Culture and Medieval Japan* (University of California Press, 2011), is a study of the relationship between human body and sacred text in the Buddhist literary tradition. The book explores questions concerning the nature of text, the place of writing, and the sensual aspects of religious experience. Her second book project (tentatively titled *Archival Memory: Art, Politics, and Visual Culture in Trans-War Japan*) moves to the modern period to examine links between visual art, human rights, and testimonial narrative, with a particular emphasis on the development of an "atomic ethics." She has articles (published and forthcoming) in *ADFL Bulletin*, *Asian Folklore Studies*, *Book History*, *Critical Asian Studies*, *Japanese Journal of Religious Studies*, and *PMLA*.

## Alexander Huang

Alex Huang is Associate Professor in the Department of Comparative Literature and Asian Studies Program at Penn State, Vice President of the Association for Asian

Performance (AAP) and Research Affiliate in Literature at the Massachusetts Institute of Technology (MIT). His research on comparative drama, modern and contemporary Chinese-language literary and performance culture, and translation and globalization has been sponsored by the American Council of Learned Societies (ACLS), Chiang Ching-kuo (CCK) Foundation, and other agencies. His recent publications include *Chinese Shakespeares: Two Centuries of Cultural Exchange* (Columbia University Press, 2009) and articles in *MLQ: Modern Language Quarterly*, *Asian Theatre Journal*, *China Review International*, *Archiv für das Studium der neueren Sprachen und Literaturen*, and other journals and books.

## Nick Kaldis

Nick Kaldis is Director of Chinese Studies and Associate Professor of Chinese Studies in the Department of Asian & Asian-American Studies at Binghamton University (S.U.N.Y.). He received his B.A. in English from Ohio University, an M.A. in English from Purdue University, and an M.A. and Ph.D. in East Asian Languages and Literatures from The Ohio State University. He is Literature Book Review Editor for the journal *Modern Chinese Literature & Culture*, and serves on the Editorial Board of *Journal of*

*Chinese Cinemas*. His teaching and scholarship focus on the areas of Chinese cinema, literature, and language. He has published essays on modern Chinese literature, contemporary Chinese film, and numerous translations. His manuscript on Lu Xun's *Yecao* is currently under submission, and he is co-editing a collection of nature writing essays by Taiwanese author and naturalist Liu Kexiang.

## Kyle Peck

Dr. Kyle L. Peck is Associate Dean for Outreach, Technology, and International Programs, and Professor of Education at Penn State University. He is the Principal Investigator for the NASA Aerospace Education Services Project, the home of the NASA Educators Online Network (NEON), an online learning community linking STEM teachers, scientists, and engineers. Dr. Peck is also Director of the Regional Educational Lab for the mid-Atlantic region (a research and technical assistance organization funded by the US Department of Education). He recently completed six years as Associate Dean for Research, Outreach, and Technology in the College of Education at Penn State, and two terms on the Board of Directors of the International Society for Technology in Education (ISTE).

**more ...**

# Presenters

## **Kyle Peck (continued)**

He is a Past President of the Association for Educational Communications and Technology (AECT) and its Pennsylvania affiliate, PAECT. Before coming to Penn State, Dr. Peck taught middle school for seven years, and was involved in corporate training for five years. He is Co-Founder of the innovative "Centre Learning Community Charter School," a technology-rich alternative middle school that uses multidisciplinary project based learning and has been operating successfully here in State College for 11 years.

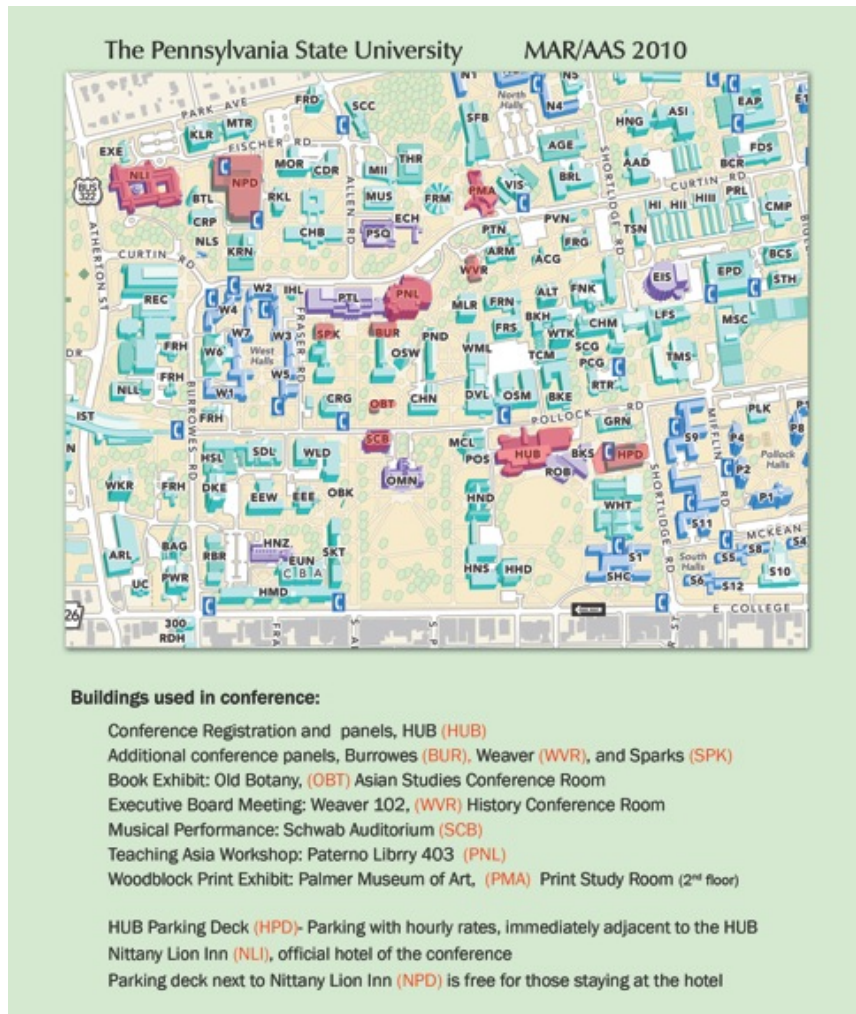
## **Shu-min Tung**

Shu-Min Tung-Kaldis is a Lecturer in the Chinese Studies Program in the Department of Asian & Asian American Studies at Binghamton University (SUNY), where she teaches courses in 1st- and 2nd-year Mandarin. She holds an *M.F.A.* in Printmaking from Rhode Island School of Design and has taught fine arts and printmaking courses at RISD and Binghamton University.

# Directions, Parking, Lodging

Penn State University's University Park campus is 10 minutes to the University Park (State College) airport, with direct flights from Washington, D.C., Philadelphia, and Detroit and connections to all cities throughout the mid-Atlantic region. The campus is approximately 4 hours by car from New York City, 3 hours from Philadelphia, 1.5 hours from Harrisburg, 2 hours from Baltimore, 3 hours from Washington, D.C., and 3 hours from Pittsburgh. State College is 40 minutes away from the Amtrak station in Lewistown, PA, where daily trains are available to major cities throughout the mid-Atlantic area, including New York, Philadelphia, Washington, D.C., Pittsburgh, and Baltimore. Greyhound services are also available with a bus station directly across from our campus.

Conference delegates staying at the Nittany Lion Inn receive free parking at the Nittany Parking Deck on campus. Others can also park at the Nittany Parking Deck and pay hourly or daily rates. Another choice is the HUB Parking Deck (next to the HUB, one of the main conference venues). If you are staying at a downtown hotel, you can walk to campus and take advantage of the free parking offered by your hotel.



The two conference hotels are the [Nittany Lion Inn](#) (on campus; walk to conference venues) and [Penn Stater Hotel](#) (5 minutes by free shuttle to the conference venues on campus). You must call the hotel and use the booking code MARE10A (which does not work online) to get the discounted rate. The discounted rate with tax is \$ 129.12 per night at both hotels. There are plenty of other hotels in town, including several that are within walking distance to the campus:

[Best Western University Park Inn & Suites](#) (\$ 84, free parking, and shuttle to/from campus)

115 Premiere Drive  
 State College, PA 16801  
 PH-814-234-8393  
 Fax-814-234-8397

Please use booking rate: Asian Studies Conference when calling to reserve your room.

[bwupsales@nittanyhotel.com](mailto:bwupsales@nittanyhotel.com)

[Atherton Hotel](#)

125 South Atherton Street  
 State College, PA 16801 For reservations and sales:  
 800-832-0132 or 814-231-2100

Visit <http://www.visitpennstate.org/visitors/> for more lodging options.



## Charlotte Eubanks: INTRODUCTION TO JAPANESE WOODBLOCK PRINTS

### Sources

All text in this section are from The Floating World of Ukiyo-E Library of Congress, (2010). The floating world of ukiyo-e: shadows, dreams and substance Retrieved from <http://www.loc.gov/exhibits/ukiyo-e/>

### Historical Background

The Japanese art of Ukiyo-e developed in the city of Edo (now Tokyo) during the Tokugawa or Edo Period (1615-1868). These two names refer to the relatively peaceful 250 years during which the Tokugawa shoguns ruled Japan and made Edo the shogunal seat of power.

The social hierarchy of the day, officially established by shogun rulers, placed the merchants, the wealthiest segment of the population, at the lower end of the scale. With their political power effectively removed, the merchant class turned to art and culture as arenas in which they could participate on an equal basis with the elite upper classes (warriors, farmers, and artisans). It was the collaboration among the merchants, artists, publishers, and townspeople of Edo that gave Ukiyo-e its unique voice. In turn, Ukiyo-e provided these groups with a means of attaining cultural status outside the sanctioned realms of shogunate, temple, and court.

Although Ukiyo-e was initially considered "low" art, by and for the non-elite classes, its artistic and technical caliber is consistently remarkable. Reading the images demands an extremely high level of visual, textual, and cultural literacy. From its earliest days, Ukiyo-e images and texts frequently referred to themes

from classical, literary, and historical sources. At the same time, Ukiyo-e constantly expanded to reflect contemporary tastes, concerns, and innovations over the two and a half centuries of its development. The result was an art that was both populist (of and for the people, readily accessible, plentiful, affordable) and highly sophisticated. In summary, Ukiyo-e presented both the historical and all that was current, fashionable, chic, and popular. In the hands of the Ukiyo-e artist, the ordinary was transformed into the extraordinary.

### Ukiyo-E Woodblock Prints and Books

The art of the woodblock is exemplified in Ukiyo-e, which exploited the full potential of this printmaking medium. In Ukiyo-e, each image was created through the collaborative effort of four skilled individuals: the publisher who coordinated the efforts of the specialized artisans and marketed the artworks; the artist who designed the artworks and drew them in ink on paper; the carver who meticulously carved the designs into a woodblock, or, in most cases, a series of woodblocks (during the Edo period the number of blocks averaged ten to sixteen); and a printer who applied pigments to the woodblocks and printed each color on handmade paper. Each member of this team was highly skilled and had nearly equal responsibilities for the final result.

The woodblock images in this exhibition display a broad spectrum of styles and printing techniques. The early prints are spare and monochromatic, printed in black ink only, some with minimal hand-coloring. Later works are built up in

lavish layers of printed color, some with embossed areas created by the interplay of pressure, carving, and paper texture. In some works, flecks of ground metal or mica have been applied to surfaces, creating areas that shimmer; in some a thick passage of glue and black printing ink creates a lacquer-like surface.

Perhaps most associated with loose sheet prints, Ukiyo-e is also richly represented in woodblock-printed picture books, called *ehon*. Printing techniques which both text and illustrations were carved into woodblocks provided the means by which large numbers of books could be produced without having to undergo the laborious and expensive process of hand copying, which had previously been the norm. Popular books, art manuals, and albums were produced in quantity using the same techniques that allowed for the mass production of Ukiyo-e prints.

As a vehicle for Ukiyo-e, woodblock printing was particularly successful, producing in quantity stunningly beautiful artworks that were available at a relatively low cost. The Library's collection numbering approximately 2000 woodblock prints and 400 block-printed *ehon*, attests to the unrivaled craftsmanship, technical excellence, and spectacular results that Ukiyo-e artists were able to achieve in woodblock printing.

## Charlotte Eubanks: INTRODUCTION TO JAPANESE WOODBLOCK PRINTS

### Early Masters

The earliest Ukiyo-e prints date from about 1600. These early works were monochromatic, with the design laid out in bold black lines. Beginning in the seventeenth century, artists began to add color by hand, including red, blue, yellow, and orange. They also began to experiment with light-catching textures. With the advent of multicolor printing around the mid-eighteenth century, single prints were built up in layers of aligned blocks, each carrying different colors and pieces of design. Erotic works and images of actors and beautiful women were common subjects in early Ukiyo-e. Also popular were themes from Japanese myth, legend, literature, and history.

Ukiyo-e prints by early masters working from about 1600 to 1740 were issued in limited numbers and are extremely rare today. The Library of Congress collection contains many examples of these so-called "primitives" by early Ukiyo-e masters of the seventeenth century.

### Realia and Reportage

Ukiyo-e prints and picture books depict Japanese material culture in a strikingly graphic and visually appealing manner. Whether the subject is one of the thirty-six views of Mount Fuji or a portrait of an actor or beautiful courtesan, each image includes a vast array of items, both everyday things and luxury commodities. In the prints and books in this exhibition, elegant kimonos, elaborate furnishings, hairpins, fans, spectacles, kites, brooms, paper lanterns, umbrellas, and more are

shown in vivid detail, allowing a glimpse at the implements of Edo life.

In addition to decorative items are images that serve a more utilitarian purpose of describing or reporting things in their own right. Thus, Ukiyo-e prints and books depict the great Kyoto disturbance and fire of 1864, the heyday of the Japanese whaling industry, and how to prepare fish and fowl for a general's meal. Pattern books and design albums provide important practical information on the popular designs of the time and their effect on current fashions in Edo. Gazetteers and prints that focused on famous places provided the opportunity to experience vicariously the sights and products of the most remote spots in the country and even exotic foreign lands.

**NOTE: All TAW participants will receive a CD-ROM with this information, as well as more than 150 pages of illustrations and background on various woodblock prints in the Palmer collection. This material is the result of an undergraduate research internship run by Charlotte Eubanks (Assistant Professor, Asian Studies) and overseen by Dana Kletchka (Curator of Education, Palmer Museum of Art).**

### Further References and Resources

Feel free to contact Henry Pisciotta, Arts and Architecture Librarian, at [henryp@psu.edu](mailto:henryp@psu.edu) with questions or queries about further possible resources. Jade Atwill, the Asian Studies Librarian, is also an excellent contact person. You can email her at [yya2@psu.edu](mailto:yya2@psu.edu).

### References at the Palmer Museum of Art

- Hiller, Jack. *Japanese Color Prints*. London: Phadon, 1966.
- Hockley, Allen. *Inside the Floating World: Japanese Prints From the Lenoir C. Wright collection*. Greensboro, N.C.: Weatherspoon Art Museum, 2002.
- "Impressions: Official Publication of the Ukiyo-e Society of America, Inc." Vol. 1–15, March, 1976–Summer 1989.
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- Japanese Prints from the Iowa City Collections*. Iowa City, Iowa: The Museum, 1981.
- Jenkins, Donald. *Images of a Changing World: Japanese Prints of the Twentieth Century*. Portland, OR: Portland Art Museum, 1983.
- Katsushika, Hokusai. *One Hundred Views of Fuji*. New York: Frederick Publications, 1960.
- Koizumi, Kishio. *Tokyo: The Imperial Capital*. Miami Beach, FL: The Wolfsonian, Florida International University, 2003.
- Marks, Andreas. *Japanese woodblock prints: Artists, Publishers, and Masterworks, 1680–1900*. Tokyo: Tuttle, 2010.

more...

## Charlotte Eubanks: INTRODUCTION TO JAPANESE WOODBLOCK PRINTS

### Further Readings continued

McKee, Daniel. *Japanese Poetry Prints: Surimono from the Schoff Collection*. Ithaca, NY: Herbert F. Johnson Museum of Art, Cornell University, 2006.

Meyers, Bernard Samuel. *Encyclopedia of World Art*. New York: McGraw-Hill, 1959-1987.

Mirviss, John. *The Frank Lloyd Wright Collection of Surimono*. New York: Phoenix Art Museum, 1995.

Mueller, Laura. *Competition and Collaboration: Japanese Prints of the Utagawa School*. Leiden: Brill, 2007.

Thompson, Sarah. "Bulletin of the Philadelphia Museum of Art: Japanese Prints." Vol. 28, nos. 349, 350, winter, spring 1986.

Roberts, Laurance P. *A Dictionary of Japanese Artists: Painting, Sculpture, Ceramics, Prints, Lacquer*. Tokyo; New York: Weatherhill, 1976.

Swinton, Elizabeth de Sabato. *In Battle's Light: Woodblock Prints of Japan's Early Modern Wars*. Worcester: Worcester Art Museum, 1991.

Swinton, Elizabeth de Sabato. *The Women of the Pleasure Quarter: Japanese Paintings and Prints of the Floating World*. New York: Hudson Hills Press, 1995.

*The Edward Burr Van Vleck Collection of Japanese Prints*. Madison, Wisconsin: Elvehjem Museum of Art, University of Wisconsin, 1990.

Stewart, Basil. *Japanese Colour-Prints and the Subjects they Illustrate;*

*A Guide for the Collector & Student*. New York: Dodd, 1920.

Utagawa, Kuniyoshi. *Along the Tokaido: Twelve Views by Uttagawa Kuniyoshi*. Brooklyn, N.Y.: Brooklyn Museum, 1977.

Van Den Ing, Eric. *Beauty and Violence: Japanese Prints by Yushitoshi*. Seattle: Univ Of Washington Press, 1992.

### TEACHING UKIYO: PEDAGOGICAL WEBSITE LINKS

#### [Imaging Japanese History](#)

From the University of Colorado at Boulder, this site contains 5 modules centered on different time periods in Japanese culture and artistic style. Each module includes an introductory essay on the topic (for background information) and a 2- to 3-day lesson plan.

<http://www.colorado.edu/cas/TEA/curriculum/imaging-japanese-history/index.html>

#### [Visualizing Cultures](#)

"Launched at MIT in 2002 to explore the potential of the Web for developing innovative image-driven scholarship and learning, the VC mission is to use new technology and hitherto largely inaccessible visual materials to reconstruct the past as people of the time visualized the world (or imagined it to be). Topical units to date focus on Japan in the modern world and early-modern China. The thrust of these explorations extends beyond Asia per se, however, to address "culture" in much broader ways—cultures of modernization, war and peace, consumerism, images of "Self" and "Others," and so on."

<http://ocw.mit.edu/ans7870/21f/21f.027/home/index.html>

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#### [Education About Asia](#)

"Published three times each year (January, May, and October) since 1996 by the [Association for Asian Studies \(AAS\)](#), EAA will greatly enhance your understanding and knowledge of this important region of the world. The AAS also publishes a series of booklets designed for classroom use — [Key Issues in Asian Studies](#)."

<http://www.aasianst.org/EAA/index.htm>

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#### [Smithsonian Education—Japan: Images of a People](#)

"Japanese art — beautiful but mysterious? Demystify some examples of Japanese painting and help your students better understand and appreciate the culture that produced them with this issue of *Art to Zoo*. The lessons have been adapted from materials developed by the education department of the Smithsonian Institution's [Freer Gallery of Art and Arthur M. Sackler Gallery](#), the two national museums of Asian art. After learning how to look at paintings, your students can make paper screens that resemble Japanese screens."

[http://www.smithsonianeducation.org/educators/lesson\\_plans/japan\\_images\\_people/introduction.html](http://www.smithsonianeducation.org/educators/lesson_plans/japan_images_people/introduction.html)



## Charlotte Eubanks: INTRODUCTION TO JAPANESE WOODBLOCK PRINTS

### TEACHING UKIYOE: PEDAGOGICAL WEBSITE LINKS

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#### **[Minneapolis Institute of Art: Object in Focus: Ukiyo-e Prints](http://artsimia.org/education/teacher-resources/objectinfocus.cfm?v=105)**

Printable worksheet activities that include worksheets on haiku making (inspired by Ukiyo-e prints), team art projects, historical background on printing, Kabuki theater and a virtual tour of the museum's collection

<http://artsimia.org/education/teacher-resources/objectinfocus.cfm?v=105>

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#### **[EDSITEment Lesson Plan: Life in the Floating World: Ukiyo-e Prints and the Rise of the Merchant Class in Edo Period Japan](http://edsitement.neh.gov/view_lesson_plan.asp?id=611)**

“This lesson will help teachers and students to investigate Edo Period Japan through the window provided by these images of the landscape, life, and interests of the rising townspeople. Students will use the famous woodblock prints of artists such as Hiroshige (1797-1858) and Hokusai (1760-1849) as primary documents to help them gain insight on Japanese history.”

[http://edsitement.neh.gov/view\\_lesson\\_plan.asp?id=611](http://edsitement.neh.gov/view_lesson_plan.asp?id=611)

## Nick Kaldis and Shu-min Tung: TEACHING CHINESE CULTURE IN THE LANGUAGE CLASSROOM

TEACHING CHINESE CHARACTERS  
TO LANGUAGE STUDENTS &  
TEACHING TRADITIONAL LUNAR  
HOLIDAY TERMS

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### **WORKSHOP PRESENTATION Part I:**

TEACHING CHINESE CHARACTERS  
TO LANGUAGE STUDENTS:

***ENGAGING LANGUAGE STUDENTS  
WITH THE COMPONENTS,  
HISTORY, & ORIGINS OF CHINESE  
CHARACTERS.***

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#### **A. OVERVIEW:**

I'd like to present to you some Classroom exercises I have developed for introducing students to the use of Chinese-English dictionaries, as well as for teaching the elements and origins (字源) of Chinese Characters.

I will explain some activities and provide sample materials that I have developed and use in the classroom, and explain how each activity is structured.

#### **HANDOUT #1:**

**B. SOURCES FROM WHICH I'VE  
DRAWN MY LECTURES & IDEAS  
INCLUDE:**

1. 《國語活用辭典》。周何 & 邱德修

2. 《說文解字》。許慎

3. ***The Historical Evolution of Chinese Languages and Scripts***  
《中國語文的時代演進步兵》。周有光

4. ***The Chinese Language: Fact and Fantasy.*** John DeFrancis

5. ***The Languages of China.***  
S. Robert Ramsey

6. ***Chinese.*** Jerry Norman

7. ***Chinese Characters.*** L. Wiegner

8. ***The Origin and Dissemination of Chinese***

***Characters.*** Theresa L. Wu

9. ***Analysis of Chinese***

***Characters.*** Wilder & Ingram

10. 《如何認識中國文字》。衛聚賢

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#### **C. RECOMMENDED DICTIONARIES FOR CHINESE LANGUAGE LEARNERS:**

1. Simplified Characters: Oxford  
***Concise English-Chinese  
Chinese English Dictionary***  
(Paperback: Third Edition. ISBN:  
9780195964578).

2. ***Far East Pinyin Chinese-English  
Dictionary.*** Edited by Teh-ming  
Yeh. (Paperback: ISBN:  
957612462X or 9576124638).

#### **D. DESCRIPTION OF CLASSROOM ACTIVITY I:**

##### **LEARNING TO USE DICTIONARIES:**

The typical writing activities in my 2<sup>nd</sup>-year Intermediate Mandarin Language courses (CHIN 203 & 204) occupy one day per lesson, but could be expanded to two classroom sessions per lesson.

I require that all students bring their dictionaries to class on days with writing activities. At the beginning of their very first writing class, I begin by helping students to locate the various indexes in their dictionaries, and briefly explain how to use them:

1) Pinyin Index ,

2) Radical List ,

3) Radical Index ,

4) Stroke Number

Index ,

5) Radical Plus Stroke  
Number Index

Students generally remain confused at this point, so I then provide them with that day's classroom exercise handout (**HANDOUT #2**), which is a numbered list of traditional forms of characters selected from that week's lesson's new vocabulary. Following this, I assign each student one character<sup>2</sup>, according to that character's number on **HANDOUT #2**, instructing them as follows:

## Nick Kaldis and Shu-min Tung: TEACHING CHINESE CULTURE IN THE LANGUAGE CLASSROOM

老師: “請每一個學生用你的辭典查一個字，然後請你們在黑板上寫:

- 1) 你查的字，
- 2) 那個字的發音 [拼音]，
- 3) 是什麼部首，
- 4) 加上幾個筆畫。”

{學生再黑板上寫下來: “這個字念: ‘-----’, ‘-----’ 部, 加上‘-----’畫。” }

The first few times one assigns these tasks, written versions of these Chinese instructions should be handed out or posted on the overhead or blackboard, and read aloud together, with the Instructor providing English explanations. Once students are more familiar with the Chinese instructions and with their dictionaries, one should switch to all Chinese for the exercise.

As students struggle to find their character, the instructor must circulate incessantly, as upward of 25-50% of students will have difficulty using their dictionary and finding their character (this decreases greatly with each lesson, as students become more adept at using their dictionaries). The Instructor will be greatly assisted by carrying around **HANDOUT #3**, a list of the Traditional & Simplified Radicals next to each character (together with pronunciation and English definitions), and must also be prepared for potential multiple radical cross-listings for a single character in simplified dictionaries.<sup>2</sup>

When students find their characters in their dictionaries, they should then write their character number, the character, and other information on the board. Once all students have finished, they can take turns reading aloud what they've written on the board: “這個字念: ‘-----’, ‘-----’ 部, 加上‘-----’畫。”

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## Nick Kaldis and Shu-min Tung: TEACHING CHINESE CULTURE IN THE LANGUAGE CLASSROOM

### E. DESCRIPTION OF CLASSROOM ACTIVITY II:

#### **PRACTICING STROKE ORDERS:**

While students are engaged in D. CLASSROOM ACTIVITY I, the Instructor can post on the overhead E. CLASSROOM ACTIVITY II (HANDOUT #4), a stroke-by-stroke guide to writing the (traditional forms) of the characters listed. Students who have already finished writing on the board can practice filling in the stroke orders in the blank boxes on their HANDOUT #2. There is usually not enough time for students to copy out all the stroke orders, so the Instructor can either distribute copies of HANDOUT #4 at the end of class, or post them on a BlackBoard site, course website, or Instructor website.

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### F. DESCRIPTION OF CLASSROOM ACTIVITY III:

#### **INSTRUCTOR'S EXPLANATIONS OF THE RADICALS (AND OTHER COMPONENTS) OF CHARACTERS FROM HANDOUT #2:**

As students one at a time read their character's pronunciation and radical plus remaining stroke numbers, the instructor can simultaneously explain the difference between the simplified and traditional radicals for that character, as well as the meaning and other information about the traditional radicals (from HANDOUT #3). The Instructor can also indicate which radicals are more frequently encountered and useful to memorize.

## Nick Kaldis and Shu-min Tung: TEACHING CHINESE CULTURE IN THE LANGUAGE CLASSROOM

### G. DESCRIPTION OF CLASSROOM ACTIVITY IV:

#### **INSTRUCTOR'S EXPLANATIONS OF THE CHARACTER ORIGINS (字源)/COMPONENTS FOR SELECTED CHARACTERS FROM HANDOUT #2:**

The Instructor can now introduce, from **HANDOUT #5**, more detailed and/or visual cultural components of the characters from **HANDOUT #2**.

Depending on the level, age, and interests of the students, the Instructor can vary **G. ACTIVITY IV** to suit the classroom context and learning goals. While **HANDOUT #5** includes much Chinese, English can be substituted wherever appropriate, or it can be accompanied by the Instructor's explanations in English or Pidgin. Younger or lower-level language students seem to especially enjoy seeing the original ㄉ ㄝ ㄝ forms of characters, as found in 《國語活用辭典》，《說文解字》，and some other dictionaries.

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### H. ADDITIONAL HANDOUTS FOR LECTURES AND DISCUSSIONS:

#### **HANDOUT #6:**

**THE 6 MAIN CATEGORIES OF CHINESE CHARACTER FORMATION**  
**THE 5 BASIC CATEGORIES OF CHINESE CALLIGRAPHIC FORMS**  
**THE "4 TREASURES" OF A TRADITIONAL SCHOLAR'S STUDY**  
**THE 5 MAIN STROKES OF CHINESE CALLIGRAPHY : 書法筆畫的種**

**HANDOUT #2:**

漢語 二零三：

第七課：寫字練習

柯老師 / 佟老師

一	難									
二	翻									
三	脾									
四	躁									
五	體									
六	戲									
七	鏡									
八	嗅									
九	厲									
十	聽									
十一	醉									
十二	樂									
十三	裡 = 裏									

漢語 二零三：

第七課：寫字練習

柯老師 / 佟老師



十五	害									
十六	細									
十七	急									
十八	興									
十九	趣									
二十	典									
二十一	處									
二十二	背									
二十三	破									
二十四	放									
二十五	談									
二十六	麗									

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**HANDOUT #3:**

漢語 二零三：

第七課：寫字練習

柯老師 / 佟老師

一	難	難	NAN2/4:	佳ZHU1	[TAIL FEATHERS OF] A BIRD
---	---	---	---------	-------	---------------------------

二	翻	翻	FAN1: TO FLY, FLUTTER; TO TURN, UPSET, CAPSIZE; TO RUMMAGE; TO TRANSLATE; TO QUARREL/BREAK UP		羽Yu3	FEATHERS, BIRD'S WINGS; ONE OF THE 5 NOTES IN CHINESE MUSIC'S PENTATONIC SCALE	
三	脾	脾	PI2: THE SPLEEN; TEMPER, DISPOSITION		肉Rou4	FLESH/MEAT	
四	躁	躁	ZAO4: IRRITABLE, HOT-TEMPERED; RESTLESS; RASH		足Zu2	[HUMAN] FOOT	
五	體	體	TI3: THE BODY		骨Gu3	BONE	
六	戲	戲	戲	XI4: TO PLAY, TO JEST; A DRAMA/PLAY; A GAME ; HU1: 'ALAS/OH/AH'	戈 GE1	A TYPE OF ANCIENT CHINESE SPEAR	
七	鏡	鏡	JING4: A MIRROR		金 JIN1	Metal	
八	噢	噢	OU4: AN EXCLAMATION; IN DICTIONARIES, THE PRONUNCIATION IS USUALLY GIVEN AS YU3; THIS MAY BE A VERY RECENT COLLOQUIALISM		口 Kou3	Mouth	
九	厲	厲	LI4: A COARSE WHETSTONE; HARSH, VIOLENT, SERIOUS; BAD/EVIL; OPPRESSIVE/CRUEL; A SURNAME		厂 Han3	Cliff overhang, where one can find natural shelter	
十	聽	聽	TING1: TO LISTEN		耳 Er3	Ear	
十一	醉	醉	CU4: VINEGAR	酉 YOU3	酉: Is a picture of a container for liquor/liquid; traditional Chinese medicine is often mixed with alcohol; YOU3: 10 <sup>TH</sup> OF THE 12 TERRESTRIAL BRANCHES; 5-7 PM		
十二	樂	樂	YUE4: MUSIC; SURNAME/ LE4: HAPPY, CHEERFUL; ELATED; WILLING; PLEASANT/ YAO4: TO LOVE; TO BE FOND OF			木 Mu4	Wood
十三	裡 = 裏		LI3; INSIDE; WITHIN; THE INNER LINING OF A DRESS/CLOTHING			衣 Yi1	Clothing

漢語 二零三：

第七課：寫字練習

柯老師 / 佟老師

十四	憋	憋	BIE1: TO SUPPRESS INNER FEELINGS WITH [GREAT] EFFORT; TO FEEL OPPRESSED.		心Xin1	Heart
十五	害	害	THE TRADITIONAL WRITTEN FORM IN OUR TEXTBOOK & IN MANY DICTIONARIES/COMPUTER FONTS IS WRITTEN INCORRECTLY, ACCORDING TO MATTHEWS, 活用辭典, & 詞源. THE VERTICAL STROKE SHOULD PENETRATE THE LAST HORIZONTAL STROKE AND TOUCH THE TOP OF THE MOUTH RADICAL		口 Kou3	Mouth

十六	細	細	TINY, SMALL, THIN; PRECISE; SLENDER; DELICATE; EXQUISITE [OF WORKMANSHIP]	糸糸糸 糸 Mi4	Silk
十七	急	急	QUICK, QUICKLY; URGENT, HURRIED; HASTY; WORRIED; VERY ANXIOUS; EAGER	心Xin1	Heart
十八	興	興	XING1: TO RISE; TO THRIVE, PROSPER; TO HAPPEN, TAKE PLACE, OCCUR; TO START, BEGIN; TO ESTABLISH, FOUND XING4: CHEERFUL, HAPPY, GAY; INTEREST, ENTHUSIASM	白Jiu4	Mortar
十九	趣	趣	QU4: INTEREST; FUN; INTERESTING; FUNNY	走Zou3	Walk
二十	典	典	DIAN3: A RULE, STATUTE, LAW; A CANON; A TALE OR STORY FROM THE CLASSICS; AN ALLUSION; TO PAWN, MORTGAGE	八BA1	EIGHT = 8
二十一	處	處	CHU3: TO PLACE ONESELF IN; TO BE FACED WITH; TO DWELL/LIVE [IN]; TO GET ALONG; TO DISPOSE OF, TO HANDLE; TO SENTENCE, PUNISH // CHU4: A PLACE/SPOT/LOCATION; A DEPARTMENT IN A GOV'T AGENCY; A SPECIAL QUALITY	虎 HU1/3 ?	TIGER ?
二十二	背	背	BEI1: TO BEAR OR SHOULDER [A LOAD OR BURDEN]; TO CARRY ON THE BACK BEI4: THE BACK/REVERSE SIDE; TO CAST AWAY; TO TURN ONE'S BACK ON; TO GIVE UP; TO GO AGAINST, REBEL; TO MEMORIZE; TO FAINT, LAPSE INTO A COMA	肉 Rou4	Flesh/meat
二十三	破	破	PO4: TO BREAK; DILAPIDATED, DESTROYED, RUINED; TO BEAT THE ENEMY; TO CAPTURE ENEMY [TERRITORY]; TO EXPOSE, LAY BARE; TO SEE THROUGH; TO SPEND [\$]; TO SOLVE, BREAK [A MURDER CASE, ETC.]; TO COME TO AN END; PALTRY	石 SHI2	ROCK/ STONE
二十四	放	放	FANG4: TO LET GO, RELEASE, FREE; TO LOOSEN, RELAX; TO PUT, PLACE; PUT IN, ADD; TO DISSIPATE, DEBAUCH, INDULGE	支=支=女 PU1 ≠ THE RADICAL: 支 ZHI1	Tap ?? ?
二十五	談	談	TAN2: TO TALK, CONVERSE, CHAT; WHAT IS SAID OR TALKED ABOUT; A TALK	言 Yan2	Words
二十六	麗	麗	LI4: BEAUTIFUL; ELEGANT, FINE, MAGNIFICENT; TO HANG; DUAL, DOUBLE	鹿 LU4	DEER

**HANDOUT #4:**

SEE SEPARATE HAND-WRITTEN STROKE ORDER HANDOUT





## HANDOUT #5:

### SELECTED CHARACTER ORIGINS (字源) & COMPONENTS FOR CHARACTERS FROM HANDOUT #2:

#### 第七課: 寫字練習: 字源

1. 鬧 :: **MEANING:** “to disturb, to trouble; noisy”:

Type of character: “會意” = “ABSTRACT IDEAS + PICTOGRAPHIC MEANING”: 從市 + 鬥: “市”為買賣場所; “鬥”為兩人爭鬥; 所以, 兩人相爭於買賣場所, 擾攘不靜為鬧。

{ 鬥 ] DOU4; 鬥 場所 [LOCATION, PLACE; ARENA] / 爭鬥 [TO STRUGGLE, CONFLICT] / 相 [XIANG1, MUTUALLY] / 擾攘 [RAO3RANG3 = TUMULT; SHOUT & HARASS; HUSTLE & BUSTLE; AGITATE & DISTURB] }

鬧: In the 小篆 calligraphic script, was originally written/drawn:

2. 翻 :: **MEANING:** “turn over; cross over; to flutter; rummage through; translate; fall out, break up”:

Type of character: “形聲” = “SOUND + MEANING”: 從羽, 番聲

{ 羽 = YU3 [FEATHERS] 番 = FAN1 [FOREIGN, BARBAROUS; A TURN/TIME (M); OUT OF GOOD INTENTION] }

翻: In the 小篆 calligraphic script, was originally written/drawn:

3 · 詳 : **MEANING** : “complete, detailed; to know the details”:

Type of character: “形聲” = “SOUND + MEANING” : 從言，羊聲： 在古時候，“羊”是吉祥的動物，有完美的意思，所以準備細密為“詳”。

詳: In the 小篆 calligraphic script, was originally written/drawn:

4 · 細 : **MEANING** : “thin, slender, tiny, fine; careful, meticulous”:

Type of character: “形聲” = “SOUND + MEANING” : 從系，囟聲。

{ 糸 = 纟 = MI4 [SKEIN OF SILK] + 囟 jì XIN4 [TOP OF HUMAN HEAD, SKULL; SMALL, TINY] }

細: In the 小篆 calligraphic script, was originally written/drawn:

5 · 厲 : **MEANING** : “A Course whetstone; harsh, violent, serious; bad/evil; oppressive/cruel; a surname”:

Type of character: “形聲” = “SOUND + MEANING” : 從厂，萬聲。:

本意為粗硬的磨刀石。

{ 厂 = [HAN3 [SHELTER, LEAN-TO] \ 萬 = WAN4 [10,000, ORIGINALLY A DRAWING OF A SCORPION] }

厲: In the 小篆 calligraphic script, was originally written/drawn:

隹部:

隹部	集	隹	雙	雥	雥	隹	雥
----	---	---	---	---	---	---	---

ZHUI1	JI2	木部 ?	SHUANG 1	CHOU2		ZA2	CHOU2
SHORT-TAILED BIRDS; A BIRD'S TAILFEATHERS	TO ASSEMBLE, COLLECT , GATHER TOGETHER		A PAIR; TWO	A PAIR OF BIRDS	= 隹 ?	A FLOCK OF BIRDS	AN ENEMY, A RIVAL

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**HANDOUT #6:**

CHINESE 203/204:

寫字練習: “六書”、書法、和筆畫

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The 6 main categories (六書) of Chinese character formation, 1st defined in 許慎's 說文解字 are:

許慎的 <u>說文解字</u> 的 “六書”
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Chinese category NAME		English term and description	Reference	Examples
一	象形	<u>PICTOGRAPHS</u> DRAWING OF PHYSICAL OBJECTS	REFERS TO HOW CHARACTER IS CREATED	日\月\馬\子\車\水\ \目\果\飛\木\山\龜\
二	指事	<u>IDEOGRAPHS/SIMPLE INDICATORS</u> INDICATE SIMPLE IDEAS BUT RETAIN SOME PICTOGRAPHIC MEANING	REFERS TO HOW CHARACTER IS CREATED	一\二\三\上\下\
三	會意	<u>ASSOCIATED COMPOUNDS/COMPOUND INDICATORS</u> INDICATE MORE ABSTRACT IDEAS BUT RETAIN SOME PICTOGRAPHIC MEANING	REFERS TO HOW CHARACTER IS CREATED	1. 明: THE <u>SUN=日</u> NEXT TO THE <u>MOON=月</u> 'BRIGHT, CLEAR' 2. 休: A <u>MAN=人</u> RESTING BY A <u>TREE=木</u> 'TO REST'休 3. 信: A <u>MAN=人</u> STAMDOMG BY HIS <u>WORDS=言</u> 'HONESTY, CONFIDENCE; TO BELIEVE/TRUST'
四	形聲	<u>PICTOPHONETIC WORDS/PHONOSEMANTIC/SOUND+MEANING</u> [ONE PART INDICATES PRONUNCIATION & ONE PART INDICATES MEANING. FOR MANY OF CHARACTERS IN THIS CATEGORY, THE PART INDICATING PRONUNCIATION OFTEN CONTRIBUTES TO THE MEANING AS WELL. @80% OR MORE OF CHINESE CHARACTERS, BY SOME ESTIMATES, ARE 形聲]	REFERS TO HOW CHARACTER IS CREATED	糖\機\註\廁\校\被\路\燃\ 1. ' <u>TO TAKE</u> '=取 + ' <u>WOMAN</u> '=女 = 娶 'TO MARRY (A WOMAN)' 2. ' <u>TO HANG DOWN</u> '=垂 + ' <u>EYE</u> '=目 TO SLEEP' = 睡
五	假借	<u>BORROWED WORDS/PHONETIC LOANS</u> [WHEN A SPOKEN WORD DOESN'T HAVE A WRITTEN FORM, AN ALREADY EXISTING CHARACTER WITH A SIMILAR SOUND IS BORROWED. FOLLOWING THIS, ONE OF THE TWO IDENTICAL CHARACTERS IS SLIGHTLY ALTERED TO DISTINGUISH THE TWO WRITTEN FORMS]	REFERS TO HOW CHARACTER IS USED	來 [WHEAT= STALK OF WHEAT WITH GRAINS, BORROWED TO USE IN WRITING 'COME'; SO, 'GRASS' 艸 = 艹 IS ADDED TO ORIGINAL, IN ORDER TO DISTINGUISH THE 2 字] \萊 [LAI2] 北 [BACK=2 PEOPLE STANDING BACK TO BACK, BORROWED TO USE IN WRITING 'NORTH; SO, 'FLESH 肉 = 月 IS ADDED TO ORIGINAL, IN ORDER TO DISTINGUISH THE 2 字]: 背
六	轉注	<u>TRANSMISSIVES</u> [LEAST UNDERSTOOD , MOST DISPUTED CATEGORY OF CHARACTER CREATION; CONSTITUTES ONLY A SMALL PORTION OF TOTAL	REFERS TO HOW CHARACTER IS USED	六

		CHARACTERS]		
--	--	-------------	--	--

The 5 basic categories of Chinese Calligraphic forms: **1) ZHUAN STYLE SEAL SCRIPT (篆書): 2) LI STYLE OFFICIAL'S SCRIPT (隸書): 3) KAI STYLE REGULAR SCRIPT (楷書): 4) XING STYLE RUNNING SCRIPT (行書): 5) CAO STYLE CURSIVE ['GRASS'] SCRIPT (草書).**

The "4 treasures" of a traditional scholar's study are: inkbrush, inkstick, grindstone, and paper: (文房四寶 : [毛]筆, 硯, 墨, 紙).

**THE 5 MAIN STROKES OF CHINESE CALLIGRAPHY : 書法筆畫的稱號 :**

筆畫	
一	一點 :
二	一橫 :
三	一撇 :
四	一豎 :
五	一個鉤 :

**HANDOUT #7:**  
**EXTRA WORD ORIGINS SAMPLES**

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## **TEACHING TRADITIONAL LUNAR HOLIDAY TERMS**

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感恩節 = 感恩节			
繁體	简体	拼音	英文
感恩節	感恩节	gan3 en1 jie2	Thanksgiving (holiday)
火雞	火鸡	huo3 ji1	Turkey
烤火雞	烤火鸡	kao3 huo3 ji1	(oven) Roasted turkey



塞	塞	sai1	To stuff/fill
餡	馅	xian4	Stuffing, filling
洋芋泥	洋芋泥	yang2 yu4 ni2	Mashed potatoes
馬鈴薯泥	马铃薯泥	ma3 ling2 shu3 ni2	Mashed potatoes
地瓜	地瓜	di4 gua1	Sweet potato
肉汁	肉汁	rou4 zhi1	Gravy
餐包	餐包	can1 bao1	Bun
麵包	面包	mian4 bao1	Bread
南瓜派	南瓜派	nan2 gua1 pai4	Pumpkin pie
胡桃派	胡桃派	hu2 tao2 pai4	Pecan pie
核桃	核桃	he2 tao2	Walnut
蔓越莓醬	蔓越莓醬	man4 yue4 mei2 jiang4	Cranberry sauce

中秋節 = 中秋节				
1	中秋節	中秋节	zhōng qiū jié	the Mid-Autumn Festival; the Moon Festival
2	農曆	农历	nóng lì	the traditional Chinese calendar; the lunar calendar
3	陽曆	阳历	yáng lì	solar calendar
4	月亮	月亮	yuè liàng	Moon
5	月圓(圓月)	月圓(圆月)	yuè yuán (yuán yuè)	Fullmoon

6	象徵	象征	xiàng zhēng	symbol; signify
7	團圓	团圆	tuán yuán	to have a reunion
8	賞月	赏月	shǎng yuè	enjoy the beauty of the moon
9	月餅	月饼	yuè bǐng	moon cake (esp. for the Mid-Autumn Festival)
10	皮	皮	pí	piecrust; skin; peel; fur
11	餡	馅	xiàn	pastry filling; stuffing
12	豆沙	豆沙	dòu shā	red bean paste
13	棗泥	枣泥	zǎo ní	red date paste
14	蓮蓉	莲蓉	lián róng	lotus paste
15	雙黃	双黄	shuāng huáng	double yolk
16	鳳梨	凤梨	fèng lí	Pineapple
17	模型	模型	mó xíng	model; mould; matrix; pattern
18	烤	烤	kǎo	to roast; to bake; to broil
19	烤箱	烤箱	kǎo xiāng	Oven
20	柚子	柚子	yòu zi	Pomelo
21	柚子皮	柚子皮	yòu zi pí	pomelo peel
22	帽子	帽子	mào zi	hat; cap

1	傳說	传说	chuán shuō	Legend
2	故事	故事	gù shì	story; tale
3	古時候	古时候	gǔ shí hòu	ancient time
4	很久，很久以前	很久，很久以前	hǎn jiǔ, hǎn jiǔ yǐ qián	once upon a time
5	后羿	后羿	hòu yì	a mythological Chinese archer and husband of Cháng é

6	英雄	英雄	yīng xióng	Hero
7	太陽	太阳	tài yáng	Sun
8	弓	弓	gōng	Bow
9	箭	箭	jiàn	Arrow
10	射	射	shè	to shoot
11	王母娘娘	王母娘娘	wáng mǔ niáng niáng	the Lady Queen Mother
12	仙丹	仙丹	xiān dān	elixir of life
13	嫦娥	嫦娥	Cháng é	a fairy who lives on the moon, wife of Hòu yì
14	偷	偷	tōu	to steal; to pilfer
15	飛	飞	fēi	to fly
16	處罰	处罚	chǔ fá	penalize; punish
17	玉兔，兔子	玉兔，兔子	yù tù, tù zi	jade rabbit; rabbit
18	石臼	石臼	shí jiù	A round stone mortar/bowl, with a stone or wood baseball bat shaped pestle.
19	木棍，木棒	木棍，木棒	mù gùn, mù bàng	wooden stick
20	搗	捣	dǎo	pound; crush; stir
21	搗藥	捣药	dǎo yào	to grind medicine

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## MAR/AAS 2010

### The South Asian City through Cinema

#### Themes:

1. Urbanism and Urbanization in South Asia
2. Colonial Legacies and Urban Modernities
3. Globalization and South Asia
4. The South Asian City through Fiction and Travel Literature
5. The South Asian City through Film

#### Suggested Films:

1. Shree 420 (1955)
2. Slumdog Millionaire (2008)
3. Outsourced (2006)
4. Delhi 6 (2009)

#### Suggested Readings:

1. Varma, Rashmi. 2004. "Provincializing the Global City: From Bombay to Mumbai." *Social Text* 22 (4): 65 - 89.
2. Chalana, Manish. 2010. "Slumdogs vs. Millionaires: Balancing Urban Informality and Global Modernity in Mumbai, India." *Journal of Architectural Education* 63 (2): 25-37.
3. Prakash, Gyan. 2010. *Mumbai Fables*. Princeton, NJ: Princeton University Press.
4. Mehta, Suketu. 2004. *Maximum City: Bombay Lost and Found*. New York: Vintage Books.
5. Dalrymple, William. 1993. *City of Djinn: A Year of Delhi*. London: Harper Collins.

# Slumdogs vs. Millionaires

## Balancing Urban Informality and Global Modernity in Mumbai, India



Mumbai and other Indian cities are rapidly transforming to address the needs of global commerce and the expanding middle class. Mumbai's vernacular environments, home to most working-class residents, are consequently being redeveloped using supermodern global aesthetics. The urbanism emerging from the current wave of modernism is an unprecedented radical departure from existing patterns of place. Proponents claim the new developments serve low-income residents' interests, when actually they ignore fundamental socio-cultural and economic realities. This paper considers two case studies, Dharavi and Girangaon, highlighting a subset of Mumbai's vernacular environments to argue for their significance and to explore alternative redevelopment approaches.

### Introduction: India's Trysts with Modernism

India has experienced several waves of modernism in architecture and planning. The first, brought about through colonialism, saw the creation of New Delhi by Sir Edwin Lutyens and Herbert Baker, as well as distinct European sections in many Indian cities. As King argues, "the notion of 'the modern' was firmly and powerfully fixed in 'the West' and then conveyed into other parts of the world through the uneven relationship of colonialism and global capital."<sup>1</sup> Nevertheless, patterns of colonial modernity in Indian cities developed hybrid forms, as Hosagrahar's work on Delhi demonstrates. Its products were not essential versions of European modernity, but rather negotiated imperfect and localized readings that resulted in an urbanism which engaged the traditional and the modern, the new and old.<sup>2</sup> In the mid-twentieth century, a second wave of modernism, unhinged from tradition and cultural restraints, was a choice of style used to express a spirit of unified nationalism in newly independent India. Le Corbusier's Chandigarh was developed as a symbol of modern India, and continued to influence development of new towns around the country for decades.<sup>3</sup>

Currently, India is experiencing a third wave of modernism, one brought about through post-

colonial economic and cultural globalization. This global modernity promotes some of the same ideals of large-scale modernistic planning theory, but is distinct in its use of abstract, "hyper-modern" or "supermodern" architecture, also called the architecture of "non-places."<sup>4</sup> The force of this wave is unprecedented; as in much of Asia and other rapidly developing economies, entire urban centers are being progressively redeveloped in a new global image. The mega-projects in Indian cities showcase styles, materials and technologies in a scale that does not readily facilitate indigenization of this modern wave, as previous waves allowed to varying degrees.

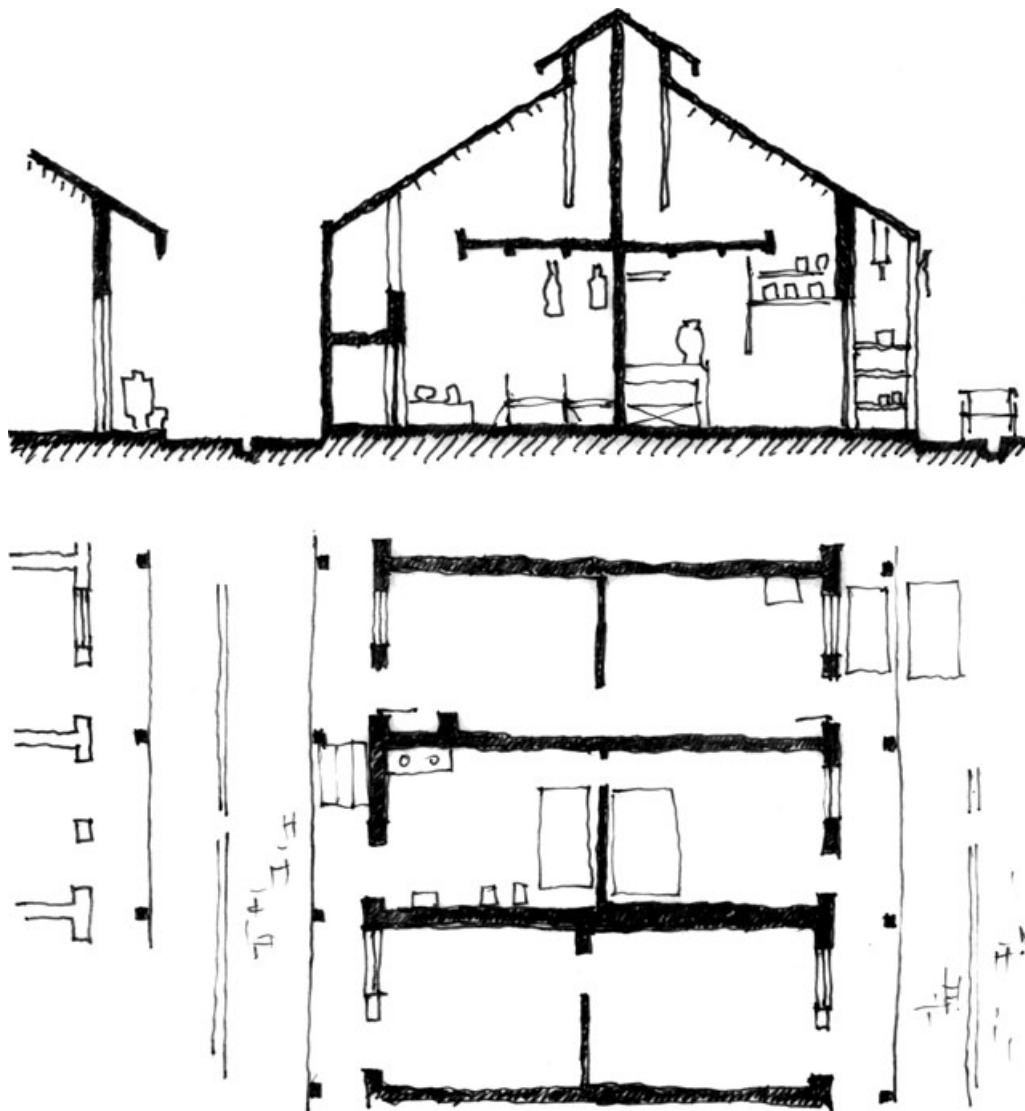
The city of Mumbai provides an ideal location for looking at how the existing vernacular environments are transforming in the face of rapid globalization. In a city that retains a rich variety of vernacular environments from its indigenous, colonial and post-colonial past, the creation of global spaces is often in direct competition with the local.<sup>5</sup> These locally produced spaces, however, have been relatively powerless in the face of global capital. At the same time that patterns of global modernity are spreading across the city, there is a growing resistance to western ideas of planning and design that disregard the local experience of place and its production.

Through this work I argue that the global-modern design approaches being applied to redevelopment in Mumbai are detrimental to existing patterns of the city's rich vernacular environments, especially places where the working class populations live and work. The large-scale projects that are replacing these communities undermine and neglect the inherent spatial patterns and disregard the practice of everyday life that these places facilitate. With the disappearance of these vernacular places, the city also loses its memory and history about its own development and the struggles and aspirations of the citizens who built it.

### Path to Global Modernity: Bombay Dreams Shanghai

Mumbai (formerly Bombay) is India's largest city, home to fourteen million residents. With a population density of about 57,000 persons per square mile, it is more than twice as dense as New York City.<sup>6</sup> Roughly two-thirds of the city's population is concentrated on less than 10 percent of the land area, making these areas some of the largest concentrations of humanity on earth. Despite growth of smaller and midsized cities in India in recent decades, the appeal of megacities like Mumbai remains unparalleled. The city attracts immigrants from around the country in search of





1. Plan and section of a unit in Ganjawala Chawls in Tardeo, Tulsiwadi. Single story *chawls* are rare today. The mezzanine in the chawls is a useful feature for storage and creating additional living areas. Today squatter dwellings utilize a similar arrangement of floor spaces. The graphic is redrawn by Amit Ittyerah from a sketch in Mayank Shah, "Chawls: Popular Dwellings of Bombay," *Architecture + Design* 7 (1991): 48.

to modernize select cities (including Mumbai) into "world class" cities.<sup>8</sup>

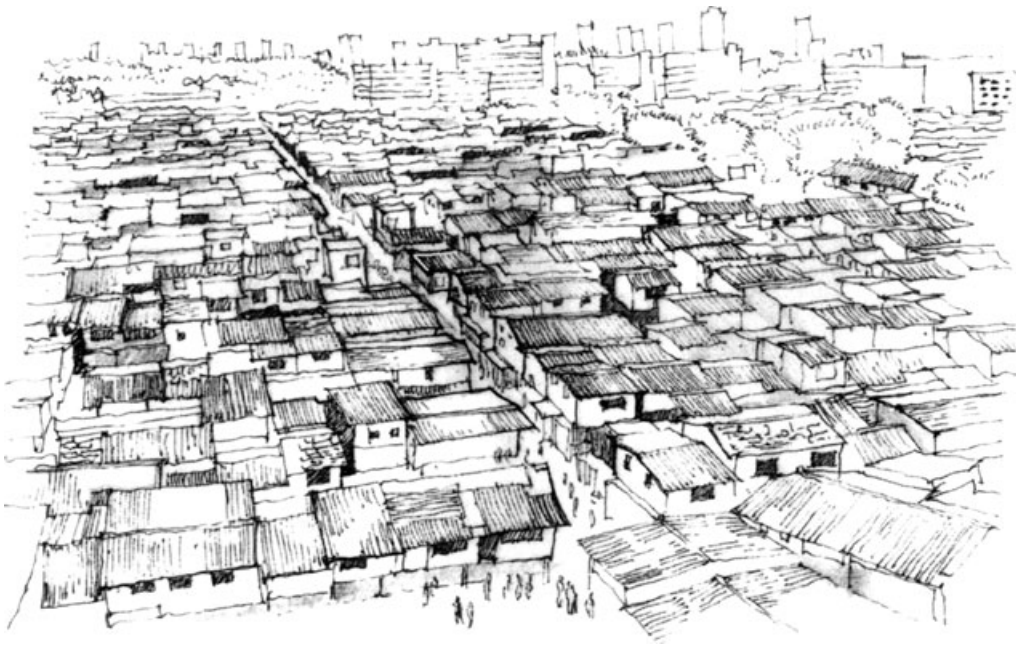
Mumbai has long been a stronghold of the *Shiv Sena*—a far right political party that continues to promote a divisive anti-immigrant and pro-Hindu agenda. The party is also anti-slums, and has on several occasions tried sanitizing the city using their slogan: "Beautiful Mumbai, Mumbai for Maharashtrian." In 1985, it launched a massive slum clearance program, but quickly abandoned it realizing that the votes they needed to remain in power came from the poor Hindus who also lived in the so called slums (along with immigrants and Muslims).<sup>9</sup> In 1990, *Shiv Sena* proposed another redevelopment program that relied on demolition of existing informal settlements and rebuilding using greater densities. This program eventually evolved into the Slum Rehabilitation Scheme (SRS) in 1995 with greater involvement of free market and public-private partnerships. Under this Scheme the residents are eligible for an apartment (at no cost to them) in new mid-rise apartment blocks on or off site depending on the specifics of the project. The "free" apartments are cross-subsidized by market rate real estate from bonus FAR (floor area ratio).<sup>10</sup> Given the astronomical real estate prices in Mumbai (comparable with London and New York) the SRS remains a lucrative business proposition for many local (and global) development companies in neoliberal Mumbai.

*Vision Mumbai*—a plan created by the US-based McKinsey & Company in 2003 to revamp Mumbai according to the dictates of global capital—relies extensively on the changing institutional climate around slum redevelopment that SRS facilitates. The plan seeks investment in upwards of forty billion dollars over a period of ten years to achieve a Shanghai-like transformation of the city. The plan notes that to achieve such an urban renaissance, "entire city blocks will *have to be* demolished and rebuilt with modern infrastructure: earthquake resistant buildings, wide roads, correct infrastructure and open areas for gardens."<sup>11</sup> Among

employment, which can be relatively easy to find in the growing economy. Adequate shelter, on the other hand, is not. Over three quarters of Mumbai's residents live in tenements and squatter settlements defined by the generic term "slum," which has given the city the disrepute of being the "global capital of slum dwelling."<sup>7</sup> The largest such area in Mumbai, Dharavi (featured in the popular motion picture *Slumdog Millionaire*), is located in the heart of the metropolis and is often dubbed the largest slum in Asia.

Nearly half of Mumbai's squatters are located on private lands, while the remainder is split between city, state, and central government (i.e., federal) lands. As the population of Mumbai continues to grow (expected to double by 2025, at

which time it is projected to be the world's second largest urban conglomeration after Tokyo), the city struggles with rapid urbanization fueled by global demands, but constrained by geography. For Mumbai the availability of buildable land is particularly acute, given its location on a long, narrow peninsula at the end of an island. Mumbai is currently participating in a major urban overhaul that would upgrade the city's crumbling infrastructure, create new housing, and initiate "beautification" projects. It would make land that is currently in other uses (including tenements and squatters) available for urban renewal projects. The city seeks both the involvement of the private sector and monies from the national urban renewal program of the Central Government—India's vehicle



2. Often dubbed as Asia's largest slum, the expanse of Dharavi reveals fine grain urbanism resulting from self-built and incremental housing using found materials. This informal neighborhood is located in the geographic center of the city, and on land that has very high value. The city plans to redevelop the neighborhood using global modern design aesthetics. Some resident groups are contesting the proposal. Sketch by Sudhir Prakash.

the new construction will be high-end retail, Class A offices, luxury residences, sports complexes, and a convention center that would potentially serve only a sliver of the city's residents.

Despite the replacement of existing affordable housing with high-end construction, the plan does read as sympathetic to the concerns of the urban poor. It includes a section on housing reforms aimed at increasing the availability and improving the quality of low-income housing stock. Unfortunately, the world-class standards that Mumbai is trying to achieve through *Vision Mumbai* is derived from a survey of cities, mostly in the West.<sup>12</sup> The plan for housing rehabilitation includes fundamental misunderstandings about life, community and economic networks in existing low-income settlements, and undervalues the city's own historic and cultural heritage. The *Vision Mumbai* plan has already received strong criticism from various groups, and renowned Indian architect and planner Charles Correa bluntly referred to it as having "very little vision" and more "hallucinations."<sup>13</sup> Yet, in the words of McKinsey themselves, the plan has already played an important role in "influencing policy makers both at the central and state levels to recognize and address the immediate need for urban renewal in the city."<sup>14</sup> To recognize the short-sightedness of the plan, it is necessary to understand Mumbai's heterogeneous forms of low-income housing communities that *Vision Mumbai* seeks to eliminate.

### Places of Their Own: Low-Income Urban Vernacular Environments

Mumbai retains a rich variety of vernacular environments, covering the full span of the city's urban history from its agrarian and industrial past up to the present time.<sup>15</sup> In this article, I focus only on a subset of the vernacular environment in two low-income neighborhoods of the city. These include the tenements (*chawls*) in Girangaon and the squatter settlements (*Jhuggi-Jhopri*) in Dharavi. Although the emphasis is on two neighborhoods, it should be noted that over half of the city's populations (the bulk of the working class) live in similar environments spread across the city. As a result, these places remain dominant in the urban landscape of the city as they continue to provide affordable housing and informal livelihoods for the majority of the city's residents.

#### *Chawls*

In the nineteenth century, Bombay emerged as the base of the Indian textile industry. This labor-intensive industry brought thousands of men from Maharashtra state—particularly from the Konkan and Deccan regions—to work in the mills.<sup>16</sup> Following a general pattern of emerging industrial communities around the world, the companies developed worker housing possessing three qualities desired by the employer: "cheap, convenient and controllable."<sup>17</sup> In the case of Mumbai, the form that housing took came to be

known as the *chawl*. This highly utilitarian form was adapted from earlier housing and barracks styles, and possessed a series of one- or two-room dwellings facing an open (but covered) hallway with shared toilets (Figure 1). Many *chawls* during colonial times were timber frame structures, and some displayed individualized styles and features such as decorative gateways and uniquely crafted building details. Others also displayed hybrid styles mixing colonial and traditional elements. The one-to-five story structures were usually organized in a linear form, but other shapes were common. Their appeal extended beyond the textile industry, and they quickly became ubiquitous in the city; entire neighborhoods of *chawls* developed, and persist to this day. They were built for mass housing by the state; for example, the work of the Bombay Improvement Trust (a colonial public agency) constructed sanitized *chawls* with larger rooms (10 × 10 feet) and a latrine for every six to eight units, for which it charged higher rents.<sup>18</sup>

Even in their compactness the dwellings in the *chawls* accommodated a variety of uses and a host of activities, including cooking and washing. In the case of the two-room dwellings the back room usually contained the kitchen while the front room served all other functions. *Chawls* facing the streets were generally lined with retail on the first level and residence above. The *veranda* or open hallway was roofed with projecting eaves and extended across the front and side of the *chawl*. This was a particularly useful feature in hot and humid climates, as it kept the interiors cool and the rain out. It was also used as an extension to the small living quarters for a variety of activities, including socializing, sitting, sleeping and drying laundry, among others.<sup>19</sup> Due to the compactness of the living quarters, the alleys and the courtyard around the *chawls* evolved as communal spaces, used as playgrounds and for festivals and celebrations, including marriage ceremonies.



3. Slum resettlement housing on Tulsi Pipe Road from 2006. The concrete blocks of the low-income housing are spaced about 10 feet apart to maximize land usage. The development presents a grim living environment reminiscent of the worst type of public housing projects that funded the urban renewal program in the United States. Photo by Robert Verrijt, courtesy of the photographer.

Currently *chawls* house nearly 20 percent of Mumbai's population, and provide the bulk of the affordable housing in the city outside the squatter settlements. Most *chawls* are regulated by Mumbai's rent control act, which maintains rents at a tiny fraction of the market rate, and allows tenancy to be passed through generations. Although well-intentioned, the legislation discourages owners from taking care of their properties, as they see no benefit in the form of increased rents. This has resulted in all types of dilapidated vernacular building stock around the city, but especially for *chawls*, as overcrowding puts excessive stress on the timber framed structures.<sup>20</sup> Despite the congestion and neglect, most *chawls* are highly functioning neighborhoods where lower-middle class residents have stable jobs and send their kids to schools. Low rents and costs of services in the neighborhood allow for additional savings and potential upward mobility. Yet the *chawls* are often described as "vertical slums" and have been targeted for redevelopment.<sup>21</sup> This process has recently accelerated with a court ruling that allows the

owners (and tenants) of *chawls* to redevelop their properties, simplifying the permitting process from the state housing authority. Many *chawls*, irrespective of their condition, could be redeveloped based on the ruling.

#### *Jhuggi-Jhopri*

Squatter settlements, on the other hand, are characterized by super-high densities in low-rise urban form, typically one or two stories, although sometimes as high as four. They are also generally organized around a non-grid street network (Figure 2). They exhibit a variety of building traditions from different regions of the country, reflecting the immigrants' native places, and ingenious use of materials and techniques of construction. They are self-built incrementally over decades, as funds to purchase new or recycled materials become available, to be "recycled into new spatial narratives and informal infrastructure."<sup>22</sup> The *jhuggi-jhopri* areas are commonly defined by the blanket term "informal sector," but they are not homogenous places. The

larger settlements in particular are incredibly diverse, organized into districts (*mohallas* or *nagars*) that cluster by regional, linguistic, religious, caste and occupational affiliations that give them unique spatial and social qualities.<sup>23</sup> Irrespective of their scale, they are mostly mixed use, which are especially beneficial for women, as close proximity to work and home means that they can pursue economic mobility without foregoing familial responsibilities.<sup>24</sup>

Squatter settlements are certainly not without problems. Most lack even the most basic of services, and residents have to deal with the stresses of intense overcrowding, insecure tenure, poverty, pollution and social exclusion.<sup>25</sup> In the absence of proper land tenure, they may face harassment and extortion at the hands of the police and slumlords. Although different governments have actively participated in the production of these places as a way of dealing with the massive waves of immigrants (and amassing a "vote bank"), they have also systemically neglected them to "fend for themselves." These neighborhoods are simultaneously places of hope and despair, but they are generally projected as one or the other, more often the latter.

The *jhuggis* have other assets that are important to keep in mind, particularly for those considering their redevelopment. One is their relative environmental efficiency. The structures require significantly less energy to build and maintain than any other housing form, a valuable asset for Mumbai as a whole when climate change is impacting the city more rapidly than the rest of India due to its coastal geography. Moreover, owing to the unreliability of state-subsidized housing, the *jhuggi* is particularly efficient in providing affordable living and work space in a relatively familiar social environment that helps new immigrants cope with urban life. However, although the social leverage in these neighborhoods provides opportunities of upward mobility to some, most residents can only





4. A typical *chawl* neighborhood in Girangaon where most workers lived within a short walking distance from their places of work. The small living spaces encouraged use of outdoor spaces (including the veranda) for a variety of activities. Sketch by Sudhir Prakash.

depend on the existing social support to sustain a basic life and livelihood.<sup>26</sup>

### Urban Transformations: From Vernacular to Global

The *chawls* and *jhuggis* are classic examples of “everyday urbanism,” reflecting a “fabric of space and time defined by a complex realm of social practices—a conjuncture of accident, desire, and habit.”<sup>27</sup> Their urbanism is completely devoid of the “spectacle” of architecture that professional designers often place great emphasis on; instead they are developed for the practice of everyday life.<sup>28</sup> As a result, residents tend to have greater control on the production and/or appropriation of space and architecture, which reflects their needs and aspirations. Although they lack the monumentality and regularity of colonial Bombay, or the high-tech glass and steel modernity of the emerging global city, these places are rich repositories of the city’s social meaning and cultural history.

Many of these neighborhoods today are under threat of redevelopment, dividing them into districts of hypermodernity funded by global capital, and designed with their needs in mind. The original residents are relegated to nondescript “project-like”

concrete blocks away from or in the shadow of the emerging global centers (Figure 3). Here I consider two major cases of this ongoing transformation.

#### Case Study I: Mill Village

The area of Girangaon in South Mumbai is widely considered to have been the birthplace of India’s textile industry in the 1860s. The booming cotton trade in the city led to the establishments of mills in Tardeo, Parel, Lalbaug, and Byculla districts to the north of the colonial settlement. Collectively these districts are identified as “Girangaon,” *Marathi* for “mill village.” For over a century, the textile industry was a major driver of the economic, political, and cultural character of the city, and a majority of the mill workers lived in the *chawls* with their families at walking distances from the mills (Figure 4). The physical proximity led to the formation of distinct social communities and institutions (labor unions), networks (committees), and spaces (community halls, playgrounds and gymnasiums).<sup>29</sup> Historically, Girangaon has been recognized by the rest of the city for its vibrant community life and tolerant attitudes. Today, however, the neighborhood is seen largely in terms of its prime real estate potential, due to the

availability of developable land and its proximity to the existing business districts of Mumbai.

As in many of the megacities of Asia, the economy of Mumbai shifted dramatically in the 1980s and 1990s from predominantly manufacturing to service-oriented. Even as the textile industry declined, the mill lands could not be sold for development due to the Urban Land (Ceiling and Regulation) Act of 1976. As a result, there still remain over fifty functioning cotton mills (of which nearly half are government-owned) and many *chawl* neighborhoods in Girangaon. The Act was reversed in 2006, however, and since then there has been a spate of activities around sale and redevelopment of private and public mill lands. The National Textile Corporation (a central government-owned agency) recently sold three historic *chawl* complexes in Girangaon spread over eight acres that would potentially dislocate over 1,200 families.<sup>30</sup> Mill redevelopments are required to rehabilitate the residents in small (250 square feet) flats, and can only proceed with a 70 percent resident approval. In exchange, the developers receive bonus FAR allowances that make the redevelopments financially viable.

If early redevelopments on mill land are any indicator, Girangaon is on its path to becoming a supermodern skyscraper city. Consider a redevelopment project in the Lower Parel area of Girangaon by Indiabulls Real Estate Limited (IBREL). The original Elphinstone and Jupiter Mills have been demolished, and the mill sites are slated to house multiple skyscrapers. These include One Indiabulls Centre (the company’s headquarters) designed by Hafeez Contractor and providing world class amenities for global capital and commerce (Figure 5), Jupiter Mills Tower (a seventy-five-story luxury residence tower), and Elphinstone Mills Tower (a sixty-story Class A office tower) both designed by Chicago-based Adrian Smith + Gordon Gill Architecture (Figures 6 and 7).<sup>31</sup> The development includes underground parking, high-end retail, and landscaped plazas on what was until recently the sites of mills and the homes of



5. One Indiabulls Centre, showing large footprint and global aesthetics. Indiabulls Real Estate's website (<http://www.indiabulls.com/RealEstate/microsite/oneindiabulls/>) advertises the development as providing a "world-class work environment [for] prestigious firms from around the world [in the] emerging new business centre of Central Mumbai." Site plan from the Indiabulls Real Estate website (ibid); view taken from architect Hafeez Contractor's website (<http://www.hafeezcontractor.com>). All sites accessed on October 12, 2009.

architecture of steel and glass towers. This type of development is a complete departure from the existing urbanism of the mills and *chawls* it is replacing.

Once the transformation is complete, a working-class neighborhood with a rich history, sense of community, and vernacular architecture will be transformed into a space that reflects the culture of US-dominated global capitalism. With the erasure of the industrial fabric of Girangaon, the city is losing virtually all of its physical connection to the early industrial and cultural history that allowed it to gain its current prominence. However, there are two exceptions to the prevailing pattern of mill redevelopment: the United Mill and the Phoenix Mill. The former has been set aside for preservation as a museum to interpret the city's industrial history, while the latter already has been adapted for reuse as a shopping mall for high-end retail. Although both of these approaches are certainly improvements over complete loss of the historic fabric, they are still greatly limited in their value. For the former, this kind of "museumification" of a site frozen in time does little to ensure continuity in the ways of life that the existing built environment facilitates and the opportunities that it offers the residents. For the latter, the reuse may help to preserve portions of the built fabric of the industrial landscape, but the high-end nature of the project severs all connections to the social and cultural life that the existing neighborhood's built fabric fostered (Figure 8).

#### Case Study II: The Dharavi Redevelopment Project

Dharavi was originally located on the fringes of the city in swampy lowlands. In fast urbanizing India, however, the city periphery is a constantly shifting boundary.<sup>32</sup> Today, this informal sector occupies a prime location in the heart of the city close to the Bandra-Kurla business center and the airport (as well as along suburban railways lines). Dharavi is



millworkers. Despite the obvious negative social and environmental impact of these large-scale projects, both mill towers are slated to meet LEED

(Leadership in Energy Environmental Design) platinum standards. Almost all of the remaining mills are likely to be replaced by similar global





6. Jupiter Mill Tower (foreground) and Elphinstone Mill Tower (background). Jupiter Mill Tower (a.k.a. Indiabulls Sky) will be luxury residential, while Elphinstone Mill Tower (a.k.a. Indiabulls Financial Center) will be high-end corporate offices. Design Architects Adrian Smith and Gordon Gill of Adrian Smith + Gordon Gill Architecture, Chicago, USA. The buildings' aesthetics and forms are unadulterated versions of global modernity. Image © Adrian Smith + Gordon Gill Architecture.

spread over 530 acres, with an estimated population of at least 600,000; the resulting population density is at least ten times that of Manhattan. The area is organized in roughly eighty districts (*nagars*) with distinct populations and spatial organizations. For example, Kumbharwada is a 12.5 acre district settled by immigrants from the state of Gujarat who earn a living making pottery using the traditional methods of their homeland. Their homes are organized to accommodate this livelihood, with a workshop in the back for the production of pottery. Beyond this is a common area where the pottery kiln is located and shared among residents. The potters sell their finished product from the shop room or the road in front of their homes (Figure 9). Another district, 13-compound Nagar, is largely industrial with a bustling recycling industry. In contrast, Koliwara, an old fishing village that has been incorporated into Dharavi, is now

predominantly residential with commercial activities on the fringes. Koliwada is defined by the Holi Maidan—the largest open space in Dharavi—used for celebrating weddings and festivals, political rallies and cricket matches, and home to a large fish market. Koliwada retains its village-like spatial organization even as it is part of a dense urban neighborhood (Figure 10).<sup>33</sup>

A typical housing unit in Dharavi is a rental structure between 100 and 200 square feet shared among families and without a water closet. These homes are incrementally built using a variety of materials, many of which are “found” or recycled objects. In their low-rise form, they have the ability to be flexible, allowing for multi-use and appropriation to suit individual needs and livelihoods.<sup>34</sup> The housing here demonstrates “an underlying intuitive grammar of design that is totally absent from the faceless slab blocks that are still being built around the world to

‘warehouse’ the poor.”<sup>35</sup> Although the city government has addressed issues of urban marginality by extending some basic services such as water and sewerage, they have been very cautious to limit themselves to incremental improvements in order to discourage squatters.<sup>36</sup> As a result, all of the *nagars* of Dharavi suffer some disinvestment and neglect and from overcrowding and decay, some considerably more than others. Even the mid-rise concrete-block “social housing” built by the Slum Rehabilitation Authority in 2000 along the periphery of Dharavi is already exhibiting more signs of decay than one might expect of a well-maintained property of its age.

Since the 1990s, there have been ongoing efforts by the municipality to reorganize Dharavi into formal housing. However, none of the previous attempts have been at the scale of the most recent Dharavi Redevelopment Project (DRP) touted as the “Opportunity of the Millennium” project. DRP seeks to completely restructure the neighborhood as a zoned high-rise city—a “glittering township of parks, skyscrapers, shopping arcades and good life.”<sup>37</sup> The U.S.-based MM Construction Company is in the process of creating a master plan that divides the neighborhood into five sectors, each of which would be developed by companies selected through a competitive global bidding process. Residents who can demonstrate evidence of residency prior to a cut-off date of 2000 (initially 1995) would be eligible for a 250-square foot apartment (originally 225) in the new buildings. MM Construction’s master plan entails building the rehabilitation housing zones on less than half of the original land, and allocating only 2 percent of the land to retain “non-polluting” industries. The remainder of the land is set aside for upscale residential, commercial, and open space. The plan was approved by the government of Maharashtra in 2004 and work was to start shortly after, but due to the contentious nature of the project and the slowdown of the global economy, the project has been delayed until now (2009). In the meanwhile, project costs have escalated significantly. The design



7. Entrance to the Elphinstone Mill Tower exhibiting the materiality and high-tech modernity of global architecture. The building provides a covered parking area for 3,000 cars along with other luxury amenities including outdoor terraces and garden atria at all levels. The site is promoted internationally by Houston-based Richards/Carlberg firm. Image © Adrian Smith + Gordon Gill Architecture.

still not satisfied with the way the project has been conceived by MM Construction and the community participation process thus far. In a recent development (July 2009) a State committee appointed to advise on the planning and implementation of the DDP released its findings in which they likened the project to a “sophisticated landgrab” that does not take into account issues of livelihood in the redevelopment proposal.<sup>38</sup> The Committee made the point that housing the majority of the current residents in less than half of their existing land (so as to make the remaining land available for market rate developments) would increase the density of people per square foot of built residential space, even after factoring in the excess FAR. And, although the developers are required to make some infrastructure improvements in the locality, the added densities would put considerable stress on the existing transportation, electricity and water infrastructure. (A study on the potential impact of a development of this scale on the already stressed infrastructure of the city has yet to be conducted.) The plan is not only non-inclusive; it is also divisive as it is already creating friction between residents who would be rehabilitated and those who would not, based on the arbitrary cut-off date. Finally, the DDP would likely create additional homelessness, as some estimates suggest that about a quarter of the existing residents would not be eligible for rehabilitation based on the residency requirement. The Committee of Experts recommended “an alternative approach to the redevelopment of Dharavi” which is less commercially exploitative and takes into account the “wishes and preferences of the people who live there.”<sup>39</sup>

details of the master plan are not publicly available. Yet, based on a schematic rendering and the allowable FAR, much of the redevelopment is expected to incorporate high-rise towers (Figure 11).

Few disagree with the need to improve the infrastructure of Dharavi, but there are multiple views on how the redevelopment should occur. There is a growing consensus among the residents, and (to a lesser degree) design and planning

professionals and policy makers, that the proposed DDP is problematic on several fronts, particularly in its use of Western-style modernist planning (and urbanism) for redeveloping an area that depends heavily on mixed-use for livelihood. The project has faced increasing grassroots resistance, and residents have been able to successfully extend the cut-off date for rehabilitation from 1995 to 2000 and increase the size of the rehabilitation apartments from 225 to 250 square feet. However, many are

### Lessons from History: Potential Development Alternatives

In this section, I review some prototypes that may provide useful sources for current and future redevelopment of informal settlements in Mumbai. While I contend that these approaches should





8. The Bitia Mills (later renamed Phoenix Mill) that began operation in Parel in 1905 was converted into a luxury mall, High Street Phoenix in 2000. This is one of the largest malls in Mumbai with nightclubs, multiplex and a bowling alley. Some of the mill workers now live across the street in Tapovan—a resettlement housing neighborhood—and cannot afford (or have much interest in) the many offerings of the mill-mall. Photo by S. W. Ellis, courtesy of the photographer.

State and its Institutions? –too little from and towards the human interest of each neighborhood, the individuality of its homes?<sup>42</sup>

Geddes's observations on Colonial Bombay hold true a hundred years later in neoliberal Mumbai. The State continues to promote a "blank slate" approach to urban redevelopment, which is inspired by grand modernist planning traditions, clearly detrimental to the continuity of the vernacular built environments and the communities that created them. Geddes's conservation surgery is but one precursor to the modern field of historic preservation planning. That he developed it partly as a result of his experiences in Mumbai lends it a particular sense of contemporary relevance for Girangaon and other *chawl* neighborhoods. As cities around the world have discovered, maintaining and reusing their historic vernacular built environment is in their long-term cultural, environmental, and economic interest. Mumbai is no exception.

#### *Contemporary Vernacular*

For both *jhuggi* and *chawl* residents, rehabilitation into high rise apartments might ensure better services, but it does not guarantee better quality of life or living conditions. On the contrary, the drastic rearrangement of life in a vertical high-rise has great potential to lead to social isolation and the breakdown of community and economic networks, as seen in the failure of public housing projects from the 1960s in the United States.<sup>43</sup> Research indicates similar issues of dislocation and disruption in previous projects in India and elsewhere.<sup>44</sup> Often the residents are unable or unwilling to organize their lives in vertical urban forms with partitioned internal spaces, and feel uncomfortable in those spaces. More importantly, for many, the house is not only a home, but also a place of work. The small apartments do not accommodate live-work (including storage) uses readily. A vertical formal

resonate with the present-day Mumbai, their usefulness in the current sociopolitical context of the city is by no means assured. Their success would require more support and engagement from the State than is currently occurring in neoliberal Mumbai, and a more robust public participation process. I return to this point below.

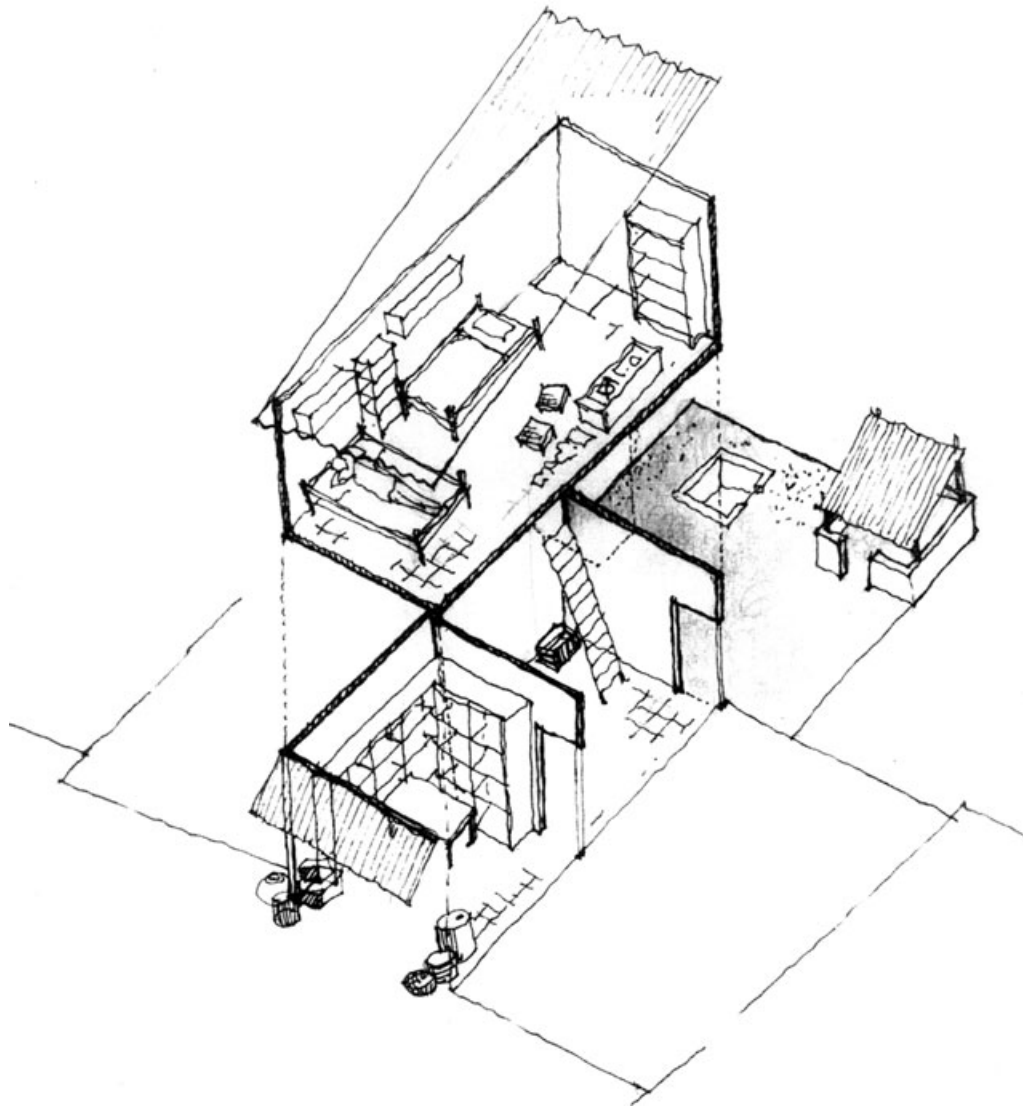
#### *Conservation Surgery*

The issues being faced in both Girangaon and Dharavi are not new. A century ago, the British sought to improve living conditions in native cities throughout urban India; they created civic institutions like the Public Works Department (PWD) and the City Improvement Trust (CIT). The former was originally created in 1854 to undertake public works projects, but by the turn of the century had evolved into a vehicle for "modern" town planning. The latter began with the establishment of the Bombay Improvement Trust in 1898 following an epidemic of bubonic plague. The Trust worked on improving the squalid housing conditions in the native city by demolishing areas of blight and rebuilding sanitary housing. However, they were not able to build housing at the same pace at which they demolished, perpetuating the problems they set out to eradicate.<sup>40</sup>

The Scottish sociologist-town planner Patrick Geddes, who was in residence in Bombay in 1915,

was extremely critical of both the PWD and the CIT. He advocated "conservative surgery" as an alternative to the grandiose slum clearance being applied to entire neighborhoods, focused on documentation, preservation, and rehabilitation. This approach reflected a deep appreciation and understanding of the indigenous experience and local ways of building and planning.<sup>41</sup> Geddes was equally disheartened by the experimentation with modern town planning paradigms to address urban issues in India. This was a time when India was experiencing its first wave of modernism through colonial projects, most notably the development of New Delhi by Lutyens and Baker in the tradition of the City Beautiful. In *Cities of Evolution*, Geddes underscored the gap between grand modernist designs and local needs:

From ancient Egypt to eighteenth-century London to nineteenth-century Paris, twentieth-century Berlin, has it not ever been the fault of the generalising and masterful city architect to become so satisfied with his stately perspectives, his massive façades and formal proportions, as to forget the simpler beauties and graces which are needed by the people...? Is not [a] disastrous reaction inevitable, so long as such architects continue to derive their inspiration mainly from the majesty of the



9. The residents of Kumbarwada in Dharavi are potters who produce mostly utilitarian pottery for domestic use. Their homes demonstrate the intimate live-work arrangement where the upper floor is used as living quarters and the lower floor (and outdoor spaces) are used for producing and selling pottery. Sketch redrawn by Sudhir Prakash based on a sketch by Wahid Seraj, in Matias Echanove and Rahul Srivastava, "The Tool-House" in Urban Design Research Institute, *Mumbai Reader* (Mumbai: Urban Design Research Institute, 2009), p. 386.

arrangement destroys the informal economy on which many families rely. For some, renting out the apartments is a good supplemental income, supporting their families. Although illegal for the rehabilitated apartments, this practice is quite common. Others are persuaded by developers to sell their yet-to-be-constructed dwellings for less than the market rate. Hence the apartments are often occupied by people other than those for whom they were intended.<sup>45</sup> Finally, cost of living and consumption of scarce resources is greater in the apartments, as opposed to traditional houses, owing to an increased need for maintenance, especially when residents cannot readily rely on the informal network of inexpensive (and barter) services. As Correa argues:

[Many low-income housing projects] perceive housing as a simplistic problem of trying to pile up as many dwelling units (as many boxes) as possible on a given site, without any concern for the other spaces involved in the hierarchy. Result: the desperate effort of the poor to try and live in a context totally unrelated to their needs—a state of affairs not only inhuman, but uneconomic as well.<sup>46</sup>

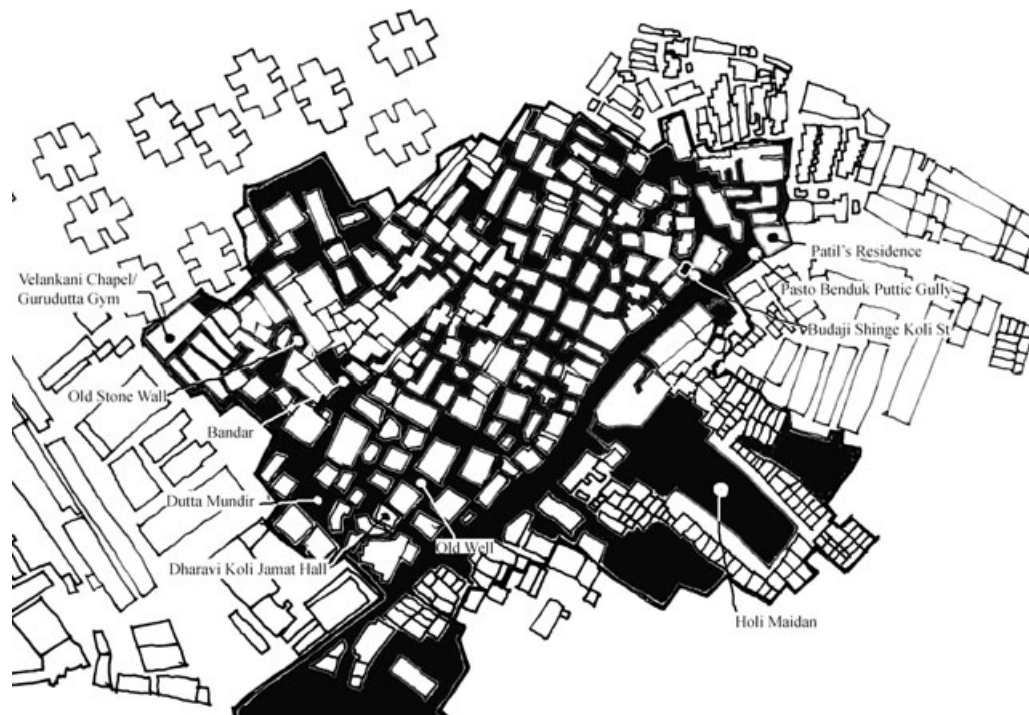
Even the current Slum Rehabilitation Scheme continues to rely on the outdated concrete block housing models designed without the economic, social and environmental needs of the residents in mind. Correa argues that the most economical and culturally appropriate housing in the Indian context

is a "low-rise, high-density configuration, making extensive use of terraces, verandahs, and courtyards."<sup>47</sup> It is also the most resource-friendly; instead of squandering resources to "air-condition a glass tower under a tropical sun," buildings create the climatic controls the users need through their design.<sup>48</sup>

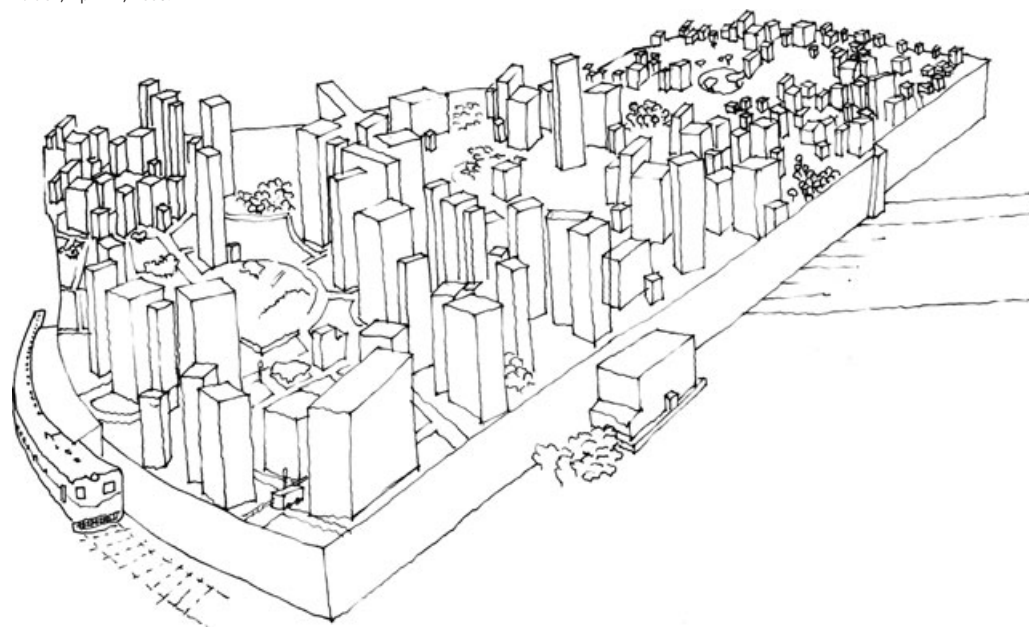
Solutions to many of the issues facing the redevelopment of Dharavi and other *jhuggis* can be found in examples from across India, including one right across the harbor in the city of Navi Mumbai (New Bombay). There, at Belapur, Correa developed a project implementing many of the locally evolved architectural and planning concepts for housing. This incremental housing project is spread over 136 acres and organized in low-rise structures around courtyards. The houses are organized in clusters of three that form modules of twenty-one houses; three such modules create a micro-neighborhood (Figure 12). Following this spatial hierarchy, the entire township is created with houses that can grow incrementally.<sup>49</sup> This makes them far more able to accommodate the types of residential and occupational integration crucial to the lives of current *jhuggi* residents. In Belapur, Correa also experiments with the concept of "contemporary vernacular" which he defines as a "self-conscious commitment to uncover a particular tradition's responses to place and climate, and thereafter to exteriorize these formal and symbolic identities into creative new forms through an artist's eye that is very much in touch with contemporary realities and lasting human values."<sup>50</sup> In doing so, he provides a template that is far more sensitive to the needs of the residents for a familiar and non-alienating environment.

Elsewhere in India, the Aranya Housing project in Indore exhibits many elements of an ingenious spatial grammar well-suited for the socio-economic reality of the residents and the local climate. For this "sites-and-services" project spread over 210 acres, architect Balkrishan Doshi used a spatial network of

10. Koliwada is one of the fishing villages or *Kolis* that existed on the Mahim Creek before Dharavi became an urban informal settlement. This map of Koliwada demonstrates the original village-like layout and highlights some of the significant sites in the neighborhood. Based on their ancestral claim to the land, the residents of Koliwada are considering legal action against the Dharavi Redevelopment Project. Map redrawn by the author based on a schematic map generated by the Urban Typhoon Koliwada-Mumbai workshop. Open source material courtesy of <http://www.urbantypphoon.com>.



11. A schematic rendering of Dharavi Redevelopment Project showing the vertical massing, wide roads and open spaces. Although the Dharavi Redevelopment Project (DRP) proposed by U.S.-based MM Consultants has been approved by the government, it has not proceeded on schedule due to its contentious nature. Sketch redrawn by Amit Ittyerah from Nauzer Bharucha, "Blueprint for Changes Ready" Times of India Mumbai Edition, April 24, 2006.



high-density, low-rise clusters around courtyards and streets integrating different socio-economic and religious groups. The project was awarded the Aga Khan Award for Architecture in 1995.<sup>51</sup>

Both Belapur and Aranya have achieved densities of 500 and 650 persons/hectare respectively (compared to current density of Dharavi at about 1,000 persons/hectare). Although any redevelopment of Dharavi would need to achieve higher densities than these developments, the differences are not so great that the projects cannot be considered a useful template. Well-known examples in other countries include the Ju'er Hutong redevelopment in Beijing, and more recently Teddy Cruz's work with Mexican immigrant communities in San Diego, where he uses design strategies rooted in traditions extracted from the shantytowns of Tijuana.

Best practices as these provide a clear alternative vision for the redevelopment of informal settlements like Girangaon and Dharavi. As approaches of this kind are currently out of favor in the strongly neoliberal environment of contemporary Mumbai, it is incumbent upon us architects and planners to document and disseminate the long-term positive impacts of these projects in concrete economic terms.

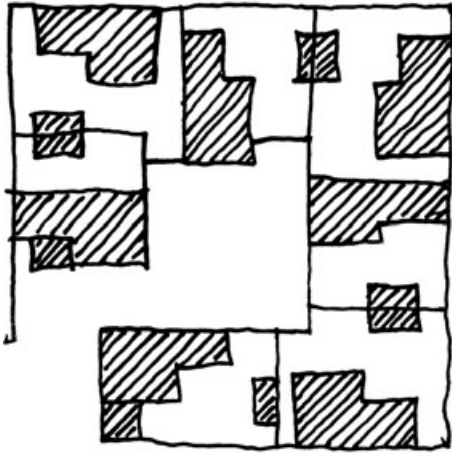
### Past Forward: Embracing Equitable Change

Mumbai can become a "global city" while retaining its urban vernacular and upgrading or rebuilding its urban informal sector. But, to do so, the city must learn the lessons of past attempts, both locally and elsewhere, before it is too late.

First, any redevelopment must begin with an appreciation for the working classes and their economic and cultural contributions to the city. The informal settlements accommodate local, home-based, informal industries, and any attempt at rehabilitation that does not address this simple fact is bound to be far more disruptive than helpful.

Second, the city must rethink the future of its vernacular environments including Girangaon, and





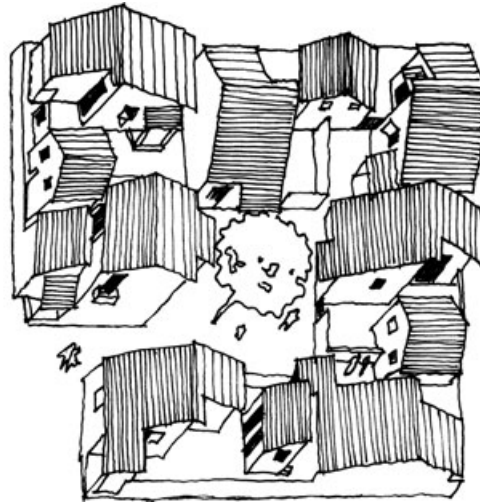
recognize their great historic and social value. They remain the clearest evidence of the history of working-class people in Mumbai, and shed light on “neglected aspects of urban history and its pluralistic nature.”<sup>52</sup> Such places help us all to recognize the slums of the developing world not merely as “doomed, deforming environments,” but as communities built by “displaced, formerly rural, people drawn into the modern urbanized economy and energetically aspiring to a better life.”<sup>53</sup> In the process of helping today’s urban poor, the city should not aim to erase all physical evidence of the struggles and aspirations of the generations who came before them.

Third, any plan must recognize that without the influence of professional planners and architects, Dharavi (and the city’s many other working class neighborhoods) have

“created an organic and incrementally developing urban form that is pedestrianized, community-centric, and network-based, with mixed use, high density low-rise streetscapes. This is a model many planners have been trying to recreate in cities across the world.”<sup>54</sup>

That is, such neighborhoods not only create the small-scale economic opportunities needed by new immigrants, they also encourage social and community support, make a wide range of services accessible to a population unable to afford transport, and impose little environmental impact per capita. Current rehabilitation plans do little to address any of these points.

In the redevelopment projects of Mumbai, the architects and planners involved have an



opportunity to cross the paramount divide in our profession—“the gap between social responsibility and artistic experimentation.”<sup>55</sup> The aesthetic of global modernity undoubtedly has its place in the city, as it seeks to find its niche in the emerging global marketplace. But in the rush to find new ways to house the city’s massive population of working poor, designers and planners must not prioritize the values of this approach over a true respect for local urbanism and for the lives and livelihoods of those affected. In the words of Mehrotra, “we cannot jump from our present situation to some ideal condition. The city here is not about grand design but about grand adjustment.”<sup>56</sup>

### Acknowledgments

I would like to thank William Stanford, and Steve Goodreau for his support through the development of this work. Thanks are also due to Abha Narain Lamba and Sultan Singh Chambyal for showing me their Mumbai. I am grateful to Dan Abramson for his continual guidance. Finally, thanks to Daniel Friedman for financial support through the College of Built Environments, University of Washington to publish the manuscript in its current form.

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