

# Well-being, Happiness, and Public Policy

Sabina Alkire



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The Centre for Bhutan Studies & GNH Research

# Well-being, Happiness, and Public Policy

By *Sabina Alkire*

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There is no joy like the joy of unleashing the human spirit. There is no laughter like the laughter of those who are happy with others. There is no purpose more noble than to build communities for all. This is our glory. — Eunice Kennedy Shriver.

Virtue is bold, and goodness never fearful. — William Shakespeare.

Let yourself be silently drawn by the stronger pull of what you really love. — Rumi.

We in our life are never more than the crescent moon behind the fullness of ourself. ...

Destiny doesn't mean doing this that or the other. It means touching and savouring the fullness of your being and living more and more clearly and continuously from within it — Cynthia Bourgeault.

The right to search for truth implies also a duty; One must not conceal any part of what one has recognized to be true. — Albert Einstein.



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# ABSTRACT

**At-A-Glance:** Humanity, in our day is restless. But what is the yearning for? This document outlines the concept of well-being, flourishing, and happiness for all which forms the objective of a new development paradigm.

**Purpose:** As a background paper to the International Expert Working Group on a New Development Paradigm, this document seeks to synthesise for busy readers how the IEWG might explain and defend well-being and happiness, and also what value-added this work has in policy terms in compared with the many other aligned and very necessary movements and policy advocacy for a shared well-being.

**What is Well-being:** Drawing upon innumerable consultations as well as Amartya Sen's capability approach, Bhutan's Gross National Happiness index, and others, the concept of well-being here framed is multidimensional and has space for people and communities to always discuss, ponder, shape and re-shape their own objectives.

**What is a 'Domain' of Well-being:** The paper also then upon philosophical traditions to propose how the GNH concept of having nine domains of well-being can be shared in an international context, in which theories and views about the human good will be quite diverse, and yet in which full-bodied discussion of human progress – which we see everywhere – can be constructive.

**Nine domains:** Each of the nine domains of the Gross National Happiness paradigm in Bhutan (which itself is corroborated by many international studies) are presented and their potential value discussed in an intuitive way.

**Policies we affirm:** Each of the nine domains already are the subject of numerous policy proposals. Where these are well-developed, this document suggests that the commission affirm others' work.

**Transformative Policy Cameos:** Some profound aspects of happiness and well-being are simply not widely considered. Most domains provide cameos examples of cost-effective policies whose implementation would distinguish a fully developed paradigm on authentic happiness and well-being. The cameos draw on the Appendix, and IPR conditions for these are the same as in that document.

# Well-being, Happiness, and Public Policy<sup>1</sup>

“The old model is broken. We need to create a new one.... we must unite around a shared vision for the future — a vision for equitable human development, a healthy planet, an enduring economic dynamism.”

~ *Ban ki Moon, the Secretary General of the United Nations*

“Our nation’s Vision can only be fulfilled if the scope of our dreams and aspirations are matched by the reality of our commitment to nurturing our future citizens.”

~ *His Majesty Jigme Khesar Namgyel Wangchuck, the 5<sup>th</sup> King of Bhutan*

Humanity, in our age, is restless. Thanks to technology and economic interchange humanity has never been richer; progress has become ordinary, and each new year, the shy hopes of many burn bright. And yet our economic system seems inadequate to poor and rich alike: to the poor, for too often overlooking them; to the middle class and rich, for its instability and unpredictability; to all, for draining and dirtying the earth; and, because its success does not finally satisfy. While we can, and millions do, learn to be deeply compassionate, creative, and radiantly happy, doing so often requires great innovation and exertion – like swimming upstream.

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<sup>1</sup> This is a background paper for the International Expert Working Group on Well-being and Happiness within the Prime Minister of Bhutan’s Commission for a New Development Paradigm. The term ‘we’ is occasionally used to suggest perspectives which the IEWG might draw upon, discard, improve, or use as it sees fit. I am grateful for the input of the case study team upon whose work I draw liberally for the cameos (Ann Barham, Liz Fouksman, Nimi Hoffmann, Julia Kim, Divya Nambiar, Kim Samuel, Diego Zavaleta), as well as to Putu Natih for checking references, and to Ann Barham and John Hammock for comments. The biggest gratitude is to Dasho Karma Ura who has instigated this study. All errors remain my own.

Many are applying their minds to bring system-wide change, so that our economies sweep us towards, rather than away, from what really matters to flourish as a human being. These include leaders in the new technologies and business communities – including Google and friends<sup>2</sup> – alongside thought entrepreneurs in village communities who are troubled by wisdom discarded. They include public servants who seek to promote human well-being<sup>3</sup>, ‘*buenvivir*’<sup>4</sup>, and gross national happiness<sup>5</sup>, alongside NGOs and citizens and managers who create verdant gardens of balanced and joyous humanity in a billion domains. Academics, journalists, spiritual leaders, network coordinators, artists and entertainers, teachers, and elders engage deeply – to criticise, to organise and to suggest.

In this time of creative ferment, there are many very wise and important reports and convocations and statements on well-being, many on happiness, many calling for sustainable development, many for ongoing poverty reduction, for social movements, for better measurement, for strengthened governance, for a new economics. Most of these initiatives arise from an authentic and legitimate concern over the current economic paradigm (as well as recognition of its positive aspects). And most have critically important insights – from scientific or empirical findings; political analysis, historical observation, systems theory, or from a consensus among a great number of people. The groundswell of reports, movements, and initiatives is a symptom both that the problem is real, and that many are rising to the challenge and seriously seeking ways to address it, personally and collectively.

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<sup>2</sup> See <http://www.wisdom2summit.com/> on an annual conference hosted by Google on wisdom and the new technologies

<sup>3</sup> Many government-led well-being projects are underway – in the United Kingdom, Japan, Canada, Netherlands, Australia, and elsewhere. Their definitions of well-being vary as do the nature of their policies. Wikiprogress provides many links to these.

<sup>4</sup> Latin American governments, particularly Bolivia and Ecuador, are pioneering an integrated policies to support *buenvivir*.

<sup>5</sup> [www.grossnationalhappiness.com](http://www.grossnationalhappiness.com) and contains the Gross National Happiness Index documents and other resources.

Given such a radiant field of human endeavour, what is *distinctive* about this paper? We humbly seek to add a new voice to this orchestra of ideas by highlighting radical policies whose pursuit distinguishes the well-being and happiness paradigm from social and sustainable development. We do so in three sections. First, drawing on Bhutan's own experience as well as on the long literature on this topic, we articulate a multi-dimensional concept of happiness and well-being, recognising it must be specific enough to frame a new paradigm and spur collective action, and wide enough to encompass diverse insights. Second, taking a number of domains in turn, we show how certain aspects of these domains are already being considered in ongoing discussions. We then look beyond these and draw attention to more radical policies and overlooked aspects of each domain, that are visionary yet efficient. Taken together, these policies illustrate the implications of focusing squarely on human flourishing as our fundamental objective, rather than social development or climate change or any other single objective of development such as higher GDP per capita. In each section, we convey concrete possibilities, by mentioning feasible and high impact policies which are cost-effective or cost-saving. Such policies are the kinds needed to reframe and reorient our institutions towards well-being and happiness, and their consideration will spark other examples or possibilities in readers' minds. The third and final section draws attention to the behaviour changes needed to undergird this new paradigm, and draws a realistic hope for the future.

### **Our aim: Success, not Utopia**

In framing a new economic paradigm, we aim pragmatically at success, not utopia – at an organic deepening, not a transcendental leap.<sup>6</sup> The salient difference between utopia and success is this: Utopia provides an ideal scenario of peace and prosperity, sharing and caring. It is perfection. The problem is that Utopia is inhabited

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<sup>6</sup> This argument draws upon Sen's Idea of Justice, which proposes that those advancing justice should focus on comparative gains in this second-best world, and not be distracted by the quest for perfection.

by human beings who agree on some basic principles, who are in sound physical, mental, spiritual, and emotional health, and are reasonable and upstanding. Not all of us fit this assumed (though fictitious) state. **Success**, on the other hand, occurs within a system that is created, run, and inhabited by human beings as we are, with all of our negative and positive potentials, our crooked pasts, our weaknesses, foibles, genius, diversity and mixed desires. Yet that successful system nonetheless maximises the capability each person has to flourish, to fulfill her or his potential, to enjoy valuable and constructive 'beings' and 'doings', to be happy.<sup>7</sup>

**Success:** when an economic system maximises the capability each person has to "be" and "do" what they value and have reason to value, which may include some combination of material, environmental, social, community, cultural, spiritual, and political activities as well as times of silence and rest.

Our fundamental commitment to realism draws on Bhutan's national objective of maximising Gross National Happiness or GNH: "Gross National Happiness (GNH) measures the quality of a country in more holistic way and believes that the beneficial development of human society takes place when material and spiritual development occurs side by side to complement and reinforce each other." The objective is to be 'more holistic' than GDP accounts, and to complement material development with development in community, culture, relationship, spirituality, psychological well-being, and

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<sup>7</sup> The definition of capability and of 'beings and doings' draws on the profound 'capability approach' of Amartya Sen, and through him on Aristotle, Kant, Smith, Marx, and Mill, among others. Sen has long argued that welfare economics should replace its focus on utility with a focus on people's capability sets (in their many aspects); its assumption of self-interest with an assumption that humans have a complex of motivations including altruism and commitment; and its focus on the aggregate sum of utility (or GDP) with a concern for the many dimensions of well-being and their distribution, and particularly for the poor.

harmony with the environment. This is not to say that all Bhutanese are happy, nor that families are not facing momentous challenges as their ancient cultures come crashing into the forces of facebook and entertainment saturation, and resources are drained by fast-growing industrialised corruption. Yet this national objective to maximise GNH is both resolutely and self-critically held, and consciously shapes programmes and policies as well as the GNH Index and the very definition of national success. At the same time, Bhutan has also achieved strong economic growth; alone within South Asia it is on track to attain the millennium development goals; and its forests remain attentively protected. Thus the pursuit of GNH, with its wisdom and with its flaws, has not come at the cost of salutary progress in economic, social, and environmental sectors. Building on Bhutan's and others' examples of courageous pragmatism, our aim is to sketch a new paradigm which can be successfully implemented in this breathtaking yet broken world.

## Motivation: Well-being and its distinct domains

Now anxiety is the mark of spiritual insecurity. It is the fruit of unanswered questions. But questions cannot go unanswered unless they first be asked. And there is a far worse anxiety, a far worse insecurity, which comes from being afraid to ask the right questions—because they might turn out to have no answer. One of the moral diseases we communicate to one another in society comes from huddling together in the pale light of an insufficient answer to a question we are afraid to ask. ~ Thomas Merton *No Man is an Island*.

While we are postponing, life speeds by.  
~ *Seneca 3BC - 65AD*

First they ignore you, then they laugh at you, then they fight you, then you win.  
~ *Mahatma Gandhi 1869-1948*

Words ought to be a little wild, for they are the assault of thoughts upon the unthinking.  
~ *John Maynard Keynes*



Fig. 1: Liberian farmer

## Well-being has multiple domains

Happiness and the well-being of all living creatures in the Bhutanese perspective is a multidimensional concept, which encompasses economic, social, political, and spiritual domains, and which fosters solidarity and regard for the other as well as for oneself.

The need for policy makers to consider human well-being prior to framing policy has precedents in many cultures, polities, and philosophical streams. For example, Aristotle's approach to political arrangements begins with an enquiry into human well-being:

A person who is going to make a fitting inquiry into the best political arrangement must first get clear about what the most choice worthy life is – for if this is unclear, the best political arrangement must remain unclear also (*Politics* 1323a14-17)<sup>8</sup>.

In recent times, philosophical approaches to happiness and well-being have divided, largely, between those who define happiness in terms of one dimension, and those who define human well-being to be multidimensional. Of course, each group has internal diversity. For example, among those taking a unidimensional approach to happiness, some hold this should focus on self-reported happiness or on evaluative life satisfaction or mood or domain satisfaction or positive affect, or meaning.<sup>9</sup>

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<sup>8</sup> Aristotle did not himself establish a plural set of irreducible dimensions of well-being: rather he identified a hierarchy, at the pinnacle of which lay contemplation. His own particular approach also did not ascribe equal dignity to all human beings. However his writings have given rise to a rich vein of philosophy which has gone precisely in these directions. See for example Sachs 2012; Sen (1992); Finnis (1980, 1998).

<sup>9</sup> For various perspectives see Argyle (1991), Cummins (2000), Diener et al (2009), Helliwell and Wang (2012), Layard (2004), Kahnemann (2011), Ricard (2007), Seligman (2011) among others.

On these issues, we do take a stand, and do so unapologetically, with deep respect for and appreciation of others' views and contributions. Happiness includes psychological well-being, widely defined to include domain satisfaction, positive and negative emotions, and spirituality and mind-training. Happiness also is constituted by achievements across a number of other domains, each of which may be in some sense co-equal with psychological well-being. There is no magic number nor terminology for these domains. But in this report we refer to them as: good health, education, living standards, environmental diversity and resilience, good governance, time use, community vitality, and cultural diversity and resilience.<sup>10</sup>

It is time to bring together the wider approaches of human development, quality of life studies, and progress with the literature on happiness and subjective well-being. It is time to affirm and understand human well-being to include the momentous achievement of psychological well-being, alongside momentous achievements in other aspects of life. The past decade has seen the brilliant rise of studies on happiness and subjective well-being. In warranted enthusiasm, the thought leaders have less fortunately asserted that the phenomenally interesting topic of subjective well-being *alone* is the objective of society, supplanting or encompassing all other aims. They also have asserted empirically that measures of happiness provide a single intrinsically valuable endpoint to which all other attainments are but instrumental means or 'correlates'. May the next decade be one in which the different domains of the flourishing human being are held in balance, in which policies are integrated to support the whole person, and become inextricably flexible and multidimensional.

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<sup>10</sup> These nine domains of GNH were developed by Dasho Karma Ura to specify the four pillars of GNH articulated in Bhutan's 10th plan. They were used in the initial pilot of the GNH index, fielded in 2006, in the first national pilot GNH Index in 2008 and in the 2010 GNH Index. For a list of domains that have been used in previous philosophical and social indicators work, which emerged from participatory consultations, and psychological studies, see Alkire (2002a, 2008).

We refer to the multi-domain objective as ‘happiness’ or well-being. The term well-being is often regarded to be multidimensional (and usually to include subjective and objective elements although definitions vary). However the use of the word ‘happiness’ may startle or confuse, so an explanation is in order. It would be possible to confine the term ‘happiness’ to one domain, and deploy a different term for the joint achievements in a human life – a term such as well-being or flourishing. Yet we observe that most of the happiest societies by current subjective well-being measures are those which harm the ecosystems most profoundly [ranking taken from (Helliwell and Wang 2012)]. So we wonder whether this is indeed true happiness? Or is one single domain an incomplete guide even to happiness itself? We take the latter view, in which happiness and fullness of life are supported by all of the domains, not just one. We use the term psychological well-being to refer to the magnificent set of accomplishments related to reflective life satisfaction, positive affect, spirituality and mind-training.

## **What is a dimension (domain) of well-being?**

It may be useful to clarify what we mean, when we identify dimensions of happiness or well-being, which have also been called domains in Bhutan’s GNH index and related policy frameworks.<sup>11</sup> An increasing number of national and international studies are enquiring as to what these domains might be. For example, in the UK the Office of National statistics undertook nation-wide consultations to arrive at their twelve domains of well-being; other such consultations are going on in places from El Salvador to Italy. But what *is* a dimension of well-being? Here we propose an account of these. While there is no ‘magic number’ of dimensions, the account presented here is used to justify the nine dimensions put forward in this report.<sup>12</sup>

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<sup>11</sup> These matters are discussed further in Alkire (2002b), on which this section draws extensively.

<sup>12</sup> Because the nine domains were already established, this paper articulates their intrinsic value(s); it does not further claim that they are the smallest possible set of distinct ‘basic goods’ in the sense Finnis describes.

First of all, we suggest that each dimension has intrinsic value. Perhaps the most succinct method of elaborating this suggestion is to share an excerpt from John Finnis' dense yet masterful treatment, in which he explains with some precision how a domain – in this example knowledge (akin to education) has intrinsic value:<sup>13</sup>

(i) To think of knowledge [or any other domain] as a value is not to think that every true proposition is equally worth knowing, that every form of learning is equally valuable, that every subject-matter is equally worth investigating... (ii) To think of knowledge as a basic form of good is not to think that knowledge ... would be equally valuable for every person. (iii) Nor is it to think that ... any particular item of knowledge, has any priority of value even for the reader or writer at the moment; perhaps the reader would be better off busying himself [or herself] with something else, even for the rest of his life ... (iv) Just as 'knowledge is good' does not mean that knowledge is to be pursued by everybody, at all times, in all circumstances, so too it does not mean that knowledge is the only general form of good or the supreme form of good. (v) To think of knowledge as a value is not, as such, to think of it as a 'moral value'; 'truth is a good' is not, here, to be understood as a moral proposition, and 'knowledge is to be pursued' is not to be understood, here, as stating a moral obligation, requirement, prescription ... In our reflective analysis of practical reasonableness, morality comes later. (vi) At the same time, finally, it is to be recalled that the knowledge we here have in mind as a value is the knowledge that one can call an intrinsic good, i.e. that is considered to be desirable for its own sake and not merely as something sought after under some such description as 'what will enable me to impress my audience' or 'what will confirm my instinctive beliefs' or 'what will contribute to my survival'. In sum (vii) to say that such knowledge is a value is simply to say that reference to the pursuit of knowledge makes intelligible (though not

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<sup>13</sup> Taken from *ibid.*, which extensively discuss how parts of Finnis' thought – in particular basic goods and principles of practical reasonableness – can provide a useful foundation to a multidimensional approach to well-being such as Sen's capability approach. See also Alkire and Black (1997).

necessarily reasonable-all-things-considered [nor moral]) any particular instance of human activity and commitment involved in such pursuit (1980:61).

The identification of discrete domains of intrinsic value is a starting point, but it leaves many questions unaddressed. In particular, specification of which particular aspects of each domain are of particular priority in different contexts, and how to protect freedom for personal diversity, will require separate treatment. That specification is largely beyond the scope of this paper. We have elsewhere suggested, drawing on others' work, that further specification entails the use of plural principles – such as equity, efficiency, sustainability, fairness, respect for human rights, and participation. The principles are unlikely to identify a single 'best' option, but are likely to be tremendously powerful in ruling out *suboptimal* alternatives. The choice between a set of non-suboptimal alternatives is a value judgement – a classic 'free choice' between morally defensible options – which will shape the culture and identity of a person or society in the future. We leave all such discussions to the side in this document, and proceed to elaborate further our specific focus, which is to explain what we mean by domains of well-being and happiness.

Beyond intrinsic value, we claim that the domains are both pertinent to individual's well-being and can also be used to frame the societal goals of well-being. While this point may seem rather obvious, Finnis points out that it must be stated in order to correct for a significant error in economic theories, because these envisage a chasm between individual and societal well-being. For example, at the individual level we may value altruism, sympathy, self-interest and collaboration, but at the societal level traditional economic theory assumes, and provide incentives for, self-interest alone.

Who says that the domains are of value? Anyone can. We do not establish the nine domains based on any single philosophy, religion, or theory of human good. Rather, their value rests, epistemologically, on practical reason, which means it can be corroborated by anyone

who is observant of their own and other's experiences of fulfilment through direct experience, literature, film, or conversation, and does not have a prior ideological or theoretical framework but is open to experience. Others including Finnis and Sen likewise adopt this view. For example Sen writes that no value, to be considered universal, "must...have the consent of everyone" – because not even motherhood is so universally regarded. "Rather, the claim of a universal value is that people anywhere may have reason to see it as valuable... any claim that something is a universal value involves some counterfactual analysis—in particular, whether people might see some value in a claim that they have not yet considered adequately. All claims to universal value ... have this implicit presumption." For this reason, in explaining the intrinsic value of each domain, we often illustrate this 'counterfactual' analysis by explaining the absence of that good.

Other characteristics of these domains are that they are incommensurable, in the sense that all of the appealing qualities of one domain is not fully present in another, and to that extent, they are irreducible (because shortening the list would mean leaving out something of value).

Also, as domains of human well-being, they cannot be 'achieved' once-and-for-all. Therefore it is more appropriate to speak of 'pursuing' well-being, or 'realising' some aspect of a domain, than 'achieving' it.

Another key characteristic of the domains is that they are non-hierarchical. This means that at one time any of these domains could be judged to be "most important" by a person or group, and others domains may be legitimately sidelined. This being said, the domains cannot be arranged in any *permanent* hierarchy either for an individual or for a community or nation.

The domains do have in common the feature that positive achievements within each, or the actualization of human

potentialities in domains, could contribute in its own unique way to the well-being or flourishing of a human life.

Finally, while psychological well-being can be understood to be a separate dimension,<sup>14</sup> happiness is not a domain. Rather happiness is achieved by some participation across domains in a balance that is appropriate to that person or society. Finnis writes,

By participating in [the dimensions] in the way one chooses to, one hopes not only for the pleasure of successfully consummated physical performance and the satisfaction of successfully completed projects, but also for 'happiness' in the deeper, less usual sense of that word in which it signifies, roughly, a fullness of life, a certain development as a person, a meaningfulness of one's existence.

Thus we come full circle from the concern regarding unidimensional conceptions of happiness, to arguing for a multidimensional approach, to tentatively tracing out what a domain of well-being is, to anticipation that the balanced pursuit of these domains will bring forth the happiness that was sought at the start. Furthermore, the account set forth here can easily be used to undergird a new development paradigm. But how? The next section presents Amartya Sen's criticisms of economic frameworks based on wealth, on

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<sup>14</sup> Finnis, Boyle and Grisez (1987) identify two domains that are roughly similar to the satisfaction and emotional questions in the GNH Psychological Well-being index, and that of spirituality. The first is self-integration; the second, spirituality.

**Self-Integration:** [F]eelings can conflict among themselves and be at odds with one's judgements and choices. The harmony opposed to such inner disturbance is inner peace'

**Harmony with a greater-than-human source of meaning and value** 'most persons experience tension with the wider reaches of reality. Attempts to gain or improve harmony with some more-than-human source of meaning and value take many forms, depending on people's world views. Thus, another category...is peace with God, or the gods, or some nontheistic but more-than-human source of meaning and value.'

unidimensional approaches to happiness, and on consumer demand. In place, he proposes that welfare economics and development assess their success in the space of human well-being and freedom, which he describes in terms of functionings, capabilities, and agency.

## **Wealth, Unidimensional Happiness, and Consumer Demand**

Amartya Sen has helpfully categorized the accounts of human well-being that shaped the current economic system: opulence (wealth) and utility (happiness) and revealed preference (market demand), and articulated why a multi-faceted and more direct account of human well-being is necessary to guide economic development. This account can be drawn upon to differentiate approaches in Bhutan and elsewhere that view “happiness as being absolutely multi-dimensional” (Ura 2009).

*Opulence* approaches evaluate well-being on the bases of the resources that a person has, such as income, or wealth. Yet, Sen argues, wealth in the form of money or resources is not an accurate measure of well-being. One reason is that people have widely varying abilities to convert money (or food, or other goods) into actualized well-being. A physically impaired person may require significantly greater resources to achieve mobility; a pregnant woman will require additional food in order to be well-nourished. If Miriam, Adam, and Karma each have the same amount of money, but Miriam is pregnant, Adam is an amputee, and Karma is happy go lucky, then the lives they actually could lead might not be equally flourishing, at least in materially-based domains. Resource-based measures such as individual income levels, are blind to these differences.

*Utility* usually refers to a psychological state of happiness that could be defined (with different implications) in terms of life satisfaction, desire fulfilment, emotional balance, mindfulness or mood. Sen notes that, “We could err either through not being fair to the importance of happiness, or through overestimating its importance in judging the

well-being of people, or being blind to the limitations of making happiness the main – or only– basis of assessment of social justice or social welfare” (2009:270). But is utility an apt measure for the destitute? Sen has observed that the chronically deprived often become reconciled with their suffering and appreciative of small mercies, thus a utilitarian reading of their psychological state may be inflated.<sup>15</sup> Further, a society which gives intrinsic value *only* to life satisfaction (the most powerful definition of utility at present), and values other aspects of human life (health, wisdom, political voice, the environment) only insofar as these prove to be efficient correlates of happiness, could be exceedingly cruel and heartless. For example, human rights advances, or expansions in freedom, might be justified as public policy goals only if they impact life satisfaction. One could imagine a situation in which this would lead to the progressive policy neglect of those with greater mind training (because their happiness does not depend upon external circumstance). Yet seeing this neglect would create stout disincentives for others to embark upon mind training. Further, if life satisfaction scores become supremely powerful as indicators, this could occasionally politicise the response to life satisfaction questions, with those in opposition, or those whose stricken circumstances were not actually correlated with unhappiness, providing very low responses in the hopes of gaining policy attention. Finally, as mentioned above, it is troubling to note that the ‘happiest’ countries are rarely those which are kindest to one another and to the earth – or indeed even living remotely sustainable lives upon it. In short, Sen concludes, “The central issue is not the significance of happiness, but the alleged insignificance of everything else, on which many advocates of the happiness perspective seem to insist” (2009:273).

In the *revealed preference* approach, regnant in market economies, preference is inferred from an observed choice such as aggregate consumer demand or market demand. While choice behaviour conveys important information, Sen jests that the ascription of ‘preference’ here is ‘an elaborate pun’ (Sen 1971), because it reveals

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<sup>15</sup> See also Graham (2010).

nothing about people's true values or reflective preferences. In contrast to economists' assumptions, people do not always choose what furthers their own well-being; they may choose on the basis of commitment (what furthers their partners' well-being), or may be indifferent between options but choose anyway (racing to fetch milk for unexpected guests – any brand of milk will do nicely); or may choose something (coal fire) reluctantly because their desired option (clean energy) is not available or affordable. Further, people's preferences can be manipulated by advertising, misinformation, or peer pressure. Yet in all cases an economist will interpret their actual choices as 'revealing' what they value.

Sen has argued since 1979 that instead of relying on measures of wealth, utility, or revealed preferences we should seek to define and pursue well-being directly. He proposes that the objective of economic activities be formulated in the space of capabilities. Capabilities are directly tethered to people's lives and to value judgements.<sup>16</sup> 'The need for identification and valuation of the important functionings<sup>17</sup> cannot be avoided by looking at something else, such as happiness, desire fulfillment, opulence, or command over primary goods' (Sen 1985: 200). The approach advanced here is compatible with Sen's capability approach, as it identifies well-being and happiness in the space of functionings and capabilities. It may be that Sen's and Finnis' emphasis on freedom – which is less explicitly verbalized to date in Bhutan's work on happiness – might enrich the

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<sup>16</sup> Capabilities are the real freedoms people enjoy to promote or achieve valuable functionings. Capability extends the concept of functionings by introducing the concept of opportunity freedom. 'It represents the various combinations of functionings (beings and doings) that the person can achieve.' (Sen, 1992, p. 40).

<sup>17</sup> Functionings are beings and doings that people actually value, and also that they have reason to value. They can include quite elementary achievements, such as being well-nourished and literate, or quite complex achievements, such as earning a world-class reputation in ice hockey. Sen leaves the judgement of 'what people have reason to value' as an open question, which needs to be asked and answered again and again thoughtfully and clearly, in different contexts.

GNH approach as it seeks to find a shape appropriate for many cultures and contexts.

Sen's capability approach is by no means the only multi-dimensional account of well-being, although it remains one of the most prominent and widely-cited. One advantage of drawing upon it is that, by articulating at length the connections and distinctions between traditional economic approaches and a comprehensive and multidimensional approach to welfare economics in the real world, Sen has articulated a potential way forward which is in line with the GNH approach. Another reason is that the profound implications of his writings for a new development paradigm have been largely overlooked, yet remain particularly pertinent to the work of this Commission, and potentially transformational to the structure of economic thought.<sup>18</sup>

## **Map of Document**

The first sections of this paper set out the overall concept of well-being and happiness. They articulated what we mean by a 'dimension' or 'domain' of well-being. They further clarified a well-being approach from one focused on opulence, utility, or revealed preference. Drawing on Sen's capability approach, they proposed that the domains of well-being be framed in the space of functionings and capabilities.

The remaining sections cover, one by one, a proposed set of nine domains of well-being and happiness, which have been used in Bhutan since the mid-2000s. The aim is to both define and communicate the intrinsic and instrumental value of each of these domains, and at the same time to draw attention to the features which require distinctive, even radical, yet affordable public policies.

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<sup>18</sup> An apt explication of this might be in Atkinson (2012)

The nine domains are:

- i. Education
- ii. Living standards
- iii. Good health
- iv. Environmental diversity and resilience
- v. Good governance
- vi. Time use
- vii. Community vitality
- viii. Cultural diversity and resilience
- ix. Psychological well-being

In focusing upon each dimension in turn, we do not wish to over-emphasise their distinctions, miss the inter-play between them, or overlook cross-cutting features. We can see no way around a dimension-by-dimension presentation, yet wish to accentuate from the very start the need for an integrated, holistic policy response. As Dasho Karma Ura wrote,

In reality, what is most important is the inter-relationship between these domains rather than the domains themselves. The inter-relationship is absolutely non-linear.... [and points] to the profound interdependencies between various aspects of our life - and the lives of others ... The structuring of values according to domains should be viewed merely as a heuristic device: it should not isolate domains into mutually exclusive spheres in practice (Ura 2009).

The need for a joined-up policy approach was present in the 'integrated development' approaches in the 1970s; it has been consistently advanced by the UNDP's *Human Development Reports* and related initiatives; it underlay the 'comprehensive development frameworks' the World Bank enacted under James Wolfensohn; it is enacted by Bhutan's Gross National Happiness commission and in Ecuador's *BuenVivir* programmes, and implemented in many local and subnational activities from China's Village Development

Programmes to Brazil's Travessia programme to a myriad of NGO initiatives.

Yet to motivate such an integrated policy response, it can be useful to consider each dimension carefully and singly. In order to do so, each section of in Part II follows the same structure. It contains a brief definition of the domain, and then addresses the following topics:

- **Intrinsic value of the domain:** In each section, we begin by asking in what sense is the domain an 'end-in-itself': how does it contribute directly to well-being? For example, it is of intrinsic value to be in a state of health rather than pain, illness, or lack of energy. People value health, not *only* 'because it makes me happy' (I can be unhappy and in good health) or 'means I can go to work', but for its own sake.

- **Instrumental value of the domain:** Advances in one domain are useful for the sake of another. For example, being healthy also means greater productivity as people are not absent from work; being healthy means children can learn in school; being healthy means people have the time and energy to volunteer in their communities, and so on. Similarly, in an active community if someone falls ill others will look after them; if they lose their job others will take care of them. If violence enters, the community will seek to confront and resolve the problem by working together.

- **Affirming Calls for Policy Change:** While there is no single 'traditional' public policy in this section, we acknowledge that many groups working on social development, post-2015 MDGs, sustainable development, have identified many constructive areas for policy intervention and are already advocating these. We acknowledge and genuinely, enthusiastically, indeed in some cases urgently affirm their calls. We do not repeat them here. We do regard the emphatic reduction of the many terrible deprivations of poor people in nutrition, preventable health burdens, education, work, living standards, and equity to be particularly paramount to justice, well-being, and happiness.

• **High-impact Policies: Cameos and suggestions:** In a final section, we share concrete policy cameos for this well-being paradigm that cover areas overlooked by many policy advocacy circles. While contexts vary drastically in what is addressed and overlooked, as well as what would be appropriate (or even possible), to concretize our observations, we offer certain cost effective and high-impact policy examples, always considering their opportunity cost (resources invested here are resources not invested in another sector). We demonstrate certain high impact, feasible actions that are 'low hanging fruit' and have made a startlingly big difference in people's lives.

• **Appendix: A Map and An Atlas: 65 Case studies and Innovations:** The appendix lists a great deal more case studies, which can be seen as glints of hope, showing how groups have successfully enacted innovative policies of the kinds we commend, as well as some more traditional policies that yet are examples of good practice. Some case studies are shared with enough texture that readers could think through how to implement them in their own context. Where evaluations have been conducted, their findings are conveyed as well. We begin with the domain of education, starting, here as in each domain, with visuals and quotes to spark the imaginative engagement with the topic.

## Education

The most potent weapon in the hands of the oppressor is the mind of the oppressed.

~ Steve Biko, *Cape Town, 1971.*

A people without memory are in danger of losing their souls.

~NgũgĩwaThiong'o<sup>19</sup>

Education is life, not books.

~African (Swahili) proverb<sup>20</sup>

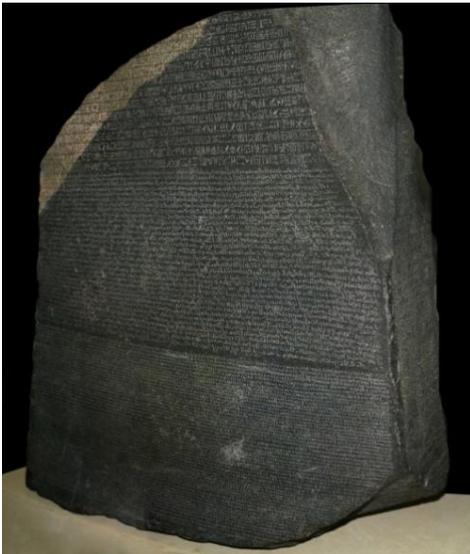


Fig. 2: The Rosetta Stone

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<sup>19</sup> *Consciousness and African Renaissance: South Africa in the Black Imagination.* Fourth Steve Biko Memorial Lecture

<sup>20</sup> Mieder (1986)

*Well-being, Happiness, and Public Policy*

I am a small boy but I am a gentleman of the future; I am the goodness of my land and I will do my best. Teach me that my mind may accept learning. Learning is power. Learning is best.

*~Dinka of South Sudan song for motivating children to attend school.*

Education is not the filling of a pail, but the lighting of a fire.

*~ William Butler Yeats.*

Kings govern men, and learned men govern kings.

*~ Arabian Proverb<sup>21</sup>*



Fig. 3: Nalanda University, Bihar

Wisdom is knowledge plus: knowledge – and the knowledge of its own limits.

*~ Viktor E. Frankl*

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<sup>21</sup> Wortabet (1916)

Buy the truth, and sell it not.

~ *Jewish Proverb*<sup>22</sup>

Education is a domain of GNH. But what kind of education? Education is not merely schooling, for schools may be ghastly or unsafe; textbooks may inflame prejudice; poor children may be mocked whilst bullies reign; tender emotions may be stifled; and geniuses may merely annoy tired teachers.

Education in the context of well-being is full development of each student's personality and of their abilities to serve the greater good. This approach to education is already enshrined in Article 26 of the Universal Declaration of Human Rights (see Box 1). Similarly, Bhutan's constitution states that the country '...shall endeavour to provide education for the purpose of improving and increasing knowledge, values and skills of the entire population with education being directed towards the full development of the human personality.' But what kind of education might conduce toward this full development? Bhutan's Gross National Happiness index contained four indicators. Two relate to traditional schooling; two others cover practical knowledge (including political, health, cultural and historical aspects), as well as pro-social values like truth-telling.<sup>23</sup>

Learning is a life-long process, as a person's curiosity delves into different aspects of life in turn. Furthermore, among children and adults alike, education is accomplished with families and communities and independently, as well as in school or formal courses. Yet the education of children and youth is a stage that all domains of well-being play upon in microcosm, hence we focus on it.<sup>24</sup>

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<sup>22</sup> Kent (1895)

<sup>23</sup> Ura et al. (2012)

<sup>24</sup> Ura (2009) goes through each of the nine domains individually, showing the implications of values education for each one.

A holistic approach to education, is not a luxury; rather it ensues from a sustained and systematic consideration of the definitions of education from a variety of sources including educational theory, educational policy and the perspectives of educators, voices of the poor, and children themselves. In a masterful synthesis of these many approaches to education, Melanie Walker concludes that education entails the cultivation of the following capabilities:

- *Autonomy, Creativity*, being able to solve problems, to plan and make choices, to innovate
- *Knowledge*, of topics which are intrinsically interesting and/or will be instrumentally useful
- *Social relations*, of friendship, collaboration, cooperation, empathy, etc.
- *Respect and recognition*, of the worth of others and of oneself, compassion, generosity, lack of prejudice, listening to others' views, diversity in language, beliefs, etc.
- *Aspiration*, motivation to flourish, to contribute to human well-being, to be happy.
- *Voice*, to be able to speak, write, sing, etc. and in so doing to articulate one's insights
- *Bodily integrity and bodily health*, to develop physically, to be safe and protected from harsh conditions, to experience exercise and games.
- *Emotional integrity and emotions*, being able to recognise, understand, and cultivate positive emotions without fear, and healthy self-understanding and self-management of negative emotions.<sup>25</sup>

Walker draws on the capability approach to frame her study of education because it “offers a compelling and assertive counterweight to dominant neoliberal human capital interpretations of education as only for economic productivity and employment and

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<sup>25</sup> Walker (2006). The descriptions of Walker's capabilities are shortened and adapted to this context; in particular, creativity is added to the autonomy field.

asks instead about what education enables us to do and to be." (p. 164). In fact, this approach to education may itself be more productive economically, as we shall see presently.

How does such an education link to a society which advances the well-being and happiness of humanity and of all life forms? First of all, as one component of well-being, education may have intrinsic value.<sup>26</sup> Educated women and men can enjoy poetry and literature; they can move around with more confidence in society than someone who cannot read train schedules or bills or street signs. They can communicate in writing, and can learn new skills or satisfy their curiosity by reading. The social skills of children in school are more developed than children who do not attend school. Mindfulness and the refinement of positive emotion bring its own reward in terms of inner tranquillity and an ability to weather life's storms gracefully, and bears fruit for the community in kindness and willing service.

Education is also instrumental to a number of useful ends. Education usually supports economic growth and productivity, and individually leads to better employment opportunities, or a more productive use of land or other assets for women and men. So expanding the reach of education improves economic prospects for individuals, for communities, for nations. Education is fundamental for health practices like hygiene and good nutrition. People, particularly girls, who are informed about good practices in sanitation, immunisation, nutrition, family planning, HIV/AIDS prevention and oral rehydration therapy tend to use this knowledge within their families and communities, with significant and well-known impacts. Women's education and women's employment are two signal influences in reducing fertility rates. Similarly, schools may teach other socially valuable practices, ranging from care of the land to recycling to voting to paying taxes. Educated people also have greater capacity to promote their well-being and that of others – through knowledge, public expression, conflict resolution and democratic debate. Conversely a lack of knowledge or an inability to

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<sup>26</sup> This section draws on Sen (1999) as well as on Dreze Sen (2002).

speaking out, can further muffle the political voice of the disadvantaged. Ideally, education fosters values such as tolerance, innovation, and appreciation of culture and traditions. In contrast, an incendiary curriculum, which demeans favourite 'enemy' groups, can inculcate prejudice and prolong political instability. Unchecked negative behaviours by teachers or students may reinforce traditional gender, race or class stereotypes, encourage passivity rather than problem-solving or harm rather than nurture students – physically intellectually or emotionally.

Happily, many aspects of education already have powerful policy advocates, extensive studies, and wide awareness among teachers and educational administrators as well as political leaders. To start with schooling itself, from which millions of children have been regularly excluded, the Millennium Development Goals advanced the goals of universal primary school attendance and gender parity in schooling. Post-2015 conversations articulate the need to consider the quality and safety of that education. Investments in quality education seems productive. For example, many such as Heyneman argue that the link between education and economic growth only unfolds with power when the education delivered is high quality.<sup>27</sup>

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<sup>27</sup> Heyneman (2004); see also Behrman and Birdsall (1983), Keep et al. (2006)

**Universal Declaration of Human Rights, Article 26.**

1. Everyone has the right to education. Education shall be free, at least in the elementary and fundamental stages. Elementary education shall be compulsory. Technical and professional education shall be made generally available and higher education shall be equally accessible to all on the basis of merit.
2. Education shall be directed to the full development of the human personality and to the strengthening of respect for human rights and fundamental freedoms. It shall promote understanding, tolerance and friendship among all nations, racial or religious groups, and shall further the activities of the United Nations for the maintenance of peace.
3. Parents have a prior right to choose the kind of education that shall be given to their children.

**Millennium Development Goal 2: Achieve Universal Primary Education**

Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling.

**Millennium Development Goal 3: Promote Gender Equality & Empower Women**

Eliminate gender disparity in primary and secondary education preferably by 2005 and in all levels of education no later than 2015

We affirm, alongside many others, the need for universal basic schooling across genders and social groups; for safety at school and on the way to school, particularly for girls; for a quality education which fosters high learning achievements according to students' abilities and interests; for the development of key transferable skills and problem-solving strategies; for sport and athletic endeavours; and for the cultivation of pro-social behaviours and attitudes. These policies are not further mentioned in this section.

Building upon these, educational policies may also include attention to emotions, to the practical cultivation of values, to knowledge of culture and traditions; to creativity and pro-active problem-solving, and to mindfulness. We use the term 'values education' as an umbrella concept for these terms. As Dasho Karma Ura wrote, "The

simplest idea of value education is about creating the emergence of a set of beliefs and attitudes as a person's character and personality unfold, so that their beliefs will influence their behaviour and actions in a positive manner and direction." Values education also makes a more universal compassion an instinctive habit. "What is necessary in value education is a process of expansion of our boundaries of consideration and the caring consciousness of others, beyond us, our friends and relatives" (Ura 2009, both quotes).

The case studies provide examples of successful cost-effective programmes and policies which delivered innovative aspects of education to young people, and which might spark other proposals.

### *Learning Relevant Skills, Local Knowledge, Languages*

A common barrier to meaningful education is a lack of affordable textbooks in local languages which reflect the local culture, and beyond that, convey constructive local knowledge and skills, whether these relate to harmony in human relationships, or to knowledge of local plants and ecosystems, to crafts and livelihoods, or to culture, traditions and values (Ura 2009). Siyavula (Open Textbook), running in South Africa since 2008, is a project that allows textbooks to be produced, managed, and distributed collectively, and free of charge, under a Creative Commons copyright license. In 2012, 2.4 million books were printed and distributed – at a cost savings to the Department of Basic Education of 79% or \$33 million in comparison with former textbooks. The textbooks are also freely available online and via mobile phones.

### *Well-told Story: Supporting Positive Behaviours*

A Well Told Story uses stories to "spur positive social changes that can be proved and measured."<sup>28</sup> It engages Kenyan youth (more than half of Kenyans are under 18, and nearly three quarters are under 30)

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<sup>28</sup><http://www.comminit.com/global/taxonomy/term/36%2C57%2C216%2C74>; Rob Burnet, Director, Well Told Story, Interviewed February 2012; <http://wts.co.ke/>

via a monthly comic, a Facebook page, downloads for mobile phones, and a daily syndicated radio show. These share practical ideas young people can use, ranging from seed soaking, to helping street children, to confronting hate speech. The comic is distributed nationwide inside the *Daily Nation* newspaper and via thousands of kiosks and a mobile phone network, to obtain an estimated 5 million reads a month. The Facebook page has 50,000 views per month and 650,000 conversations. Well Told Story operates as a socially oriented business. Around 40% of costs are met by commercial partners; the remainder comes from likeminded organisations. Evaluations amongst youth who regularly read the comic have found a statistically relevant spike in their efficacy.

### *Cultivating Creativity, Empathy and Leadership among youth*

Asian countries such as Japan, South Korea, Singapore, Hong Kong, have efficient effective education systems. Education has formed a cornerstone of Asia's economic strength over the last few decades. Yet a growing movement is asking whether traditional approaches to education might stifle creative thinking and empathy - which are meaningful, as well as vital for economic excellence. For example, in Singapore, Thought Collective seeks to influence traditional education and support the development of socially aware, creative and innovative youth. It offers tuition and mentoring, alternative curriculum, a magazine, an apprenticeship programme, and even a restaurant.<sup>29</sup> Similar examples can be found in South Korea, Hong Kong, and elsewhere. For example, Educate! in Uganda, advocates the need to "re-imagine the purpose of education" in order to develop a "new generations of leaders and entrepreneurs to solve poverty, disease, violence, and environmental degradation."<sup>30</sup> Their guiding mandate is to "be the most cost-effective way to create a change maker" and their curriculum has been adopted in schools serving 25,000 students. While these profiled innovations have not arisen within the education sector, each aims to catalyse system-wide change in pedagogical approaches.

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<sup>29</sup> <http://www.school-of-thought.com/sot/subpage.php?p=aboutus>

<sup>30</sup> <http://www.experienceeducate.org/about/>

### ***Mindfulness in Schools***

A few years ago after a thorough review of what would be needed to advance values education nationally across Bhutan, DASHO KARMA URA observed the absence of training in mindfulness and meditation (Ura 2009). Drawing on and learning from Mindfulness and meditation in schools internationally, Bhutan has embarked upon developing teacher training programmes and classes in meditation and mindfulness. Already in 2003 the central monk body with Bhutan's Ministry of Education had introduced Dharma discourse in all middle and higher secondary schools and two colleges of education, and from 2006 this was being extended to all schools due to its success and at the request of the National Assembly. In August 2009, the central monastic body, the Ministry of Education, and the Royal University of Bhutan launched a "Mind and Mindfulness Education association" based in the college of education in Paro to sustain, support and enhance the program. This is now being extended in partnership with the Gross National Happiness Centre. Mindfulness has been taught and its impacts and cost-effectiveness rigorously yet positively evaluated in the United States,<sup>31</sup> UK,<sup>32</sup> and elsewhere.

These case studies by no means exhaust the innovative, cost-effective and high-impact interventions in values education that are underway across our schools. But they do provide the sense that outstanding interventions in values-education can be mainstreamed; that these can be affordable, and that they make a fundamental difference.

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<sup>31</sup> <http://www.mindfulschools.org/about-mindfulness/research/#research>

<sup>32</sup> <http://mindfulnessinschools.org/press>

## Community Vitality



Honour your tribe, for they are the wing with which you fly.  
~*Arabian Proverb*<sup>33</sup>

The noblest man is he whose friendship may be easily obtained, and whose enmity can be incurred only with difficulty.  
~*Arabian Proverb*<sup>34</sup>

We regard our living together not as an unfortunate mishap warranting endless competition among us but as a deliberate ... community of brothers and sisters jointly involved in the quest for a composite answer to the varied problems of life.  
~ *Steve Biko, "Some African Cultural Concepts."*

Rain does not fall on one roof alone.  
~ *African Proverb*.<sup>35</sup>

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<sup>33</sup> Wortabet (1916)

<sup>34</sup> Wortabet (1916)

It's the mother who knows how to carry her one-legged child.

~*Mandinka proverb* <sup>36</sup>

Pearls are found in old shells.

~*Vietnamese proverb* <sup>37</sup>

Where the cattle stand together, the lion lies down hungry.

~ *African Proverb*.<sup>38</sup>

One may also observe in one's travels to distant countries the feelings of recognition and affiliation that link every human being to every other human being.

~ *Aristotle, Nicomachean Ethics*.

Relationships to others, whether within families, with colleagues, or in more distant and transitory social interactions, can be points of strength, fulfilment, and mutual enjoyment – or the reverse. The domain of Community Vitality affirms the need for constant attention to, and cultivation of, vital communities characterised by relationships of peace, harmony, trust, respect, belonging, and solidarity.

The intellectual roots of community vitality are as wide as the nations that commend it. For example Aristotle and those building on that strand of thought in secular and Christian ethical writings give a prominence to community, to the common good, and to social life. Yet many others do as well. Here we draw upon a philosophical approach of Ubuntu from South Africa.<sup>39</sup> The term “ubuntu” is a contraction of the maxim *umuntu ngumuntu ngabantu* which means roughly, “a person is a person through others,” or “I am because we are.” The maxim signifies that a person's essential humanity is not

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<sup>35</sup> Manser (2007)

<sup>36</sup> Schipper (2006)

<sup>37</sup> Schipper (2006)

<sup>38</sup> Manser (2007)

<sup>39</sup>This section draws freely upon the 2012 *mimeo* of Nimi Hoffmann, “Ubuntu and capabilities”

in-born, but must be striven for and perfected through the care and love for others. Hence relationships carry moral force: our relationships with others – including our responsibility towards them – motivate us to act.<sup>40</sup>

Archbishop Desmond Tutu described a person with Ubuntu as someone who is “open and available to others, affirming of others, does not feel threatened that others are able and good, based from a proper self-assurance that comes from knowing that he or she belongs in a greater whole and is diminished when others are humiliated or diminished, when others are tortured or oppressed.”<sup>41</sup>

The indicators in Bhutan’s GNH index cover four aspects of community vitality: 1) social support which depicts the civic contributions made by community members 2) community relationship, which refers to trust and a sense of community 3) family relationships, and 4) safety from crime and violence.

As these indicators suggest, this is a broad category. Good relationships are important within families, where intimacy is greatest; they are key for personal friendships, which enrich life. But they are also important in geographical communities: the local shops and post offices and temples; in work communities – relationships with the colleagues with whom one spends a good deal of time as well; and in communities of interest, such as savings groups, collective marketing associations, athletic associations, and so on.

The different aspects of community vitality are of intrinsic value: it is simply valuable to live without a high likelihood of crime and violence, to have family relationships of love, acceptance, intimacy and vulnerability, to live in a community in which one has a (legitimate) sense of trust and fellow-feeling and belonging, and to have a fundamental sense that people care.

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<sup>40</sup> For more systematic treatments of Ubuntu see: Metz (2010), Nkondo (2007) and Ramose (1999).

<sup>41</sup> Tutu (1999)

In addition, vital communities and social connections are instrumentally powerful. People with a strong set of relationships report higher life satisfaction, better physical and mental health, a greater likelihood of being employed, of enjoying leisure, and of succeeding in their chosen activities. Furthermore, friends and associates often help in time of serious difficulties such as illness. Vital social networks also help people get ahead in other ways – through introductions, recommendations, sharing information, collective marketing and bargaining, solving common challenges, decreasing search and transaction costs, preventing or resolving conflicts constructively, and so on. Strong social relationships also create benefits in terms of lower costs for contract enforcement, lower policing and prison costs, lower coordination and communication costs, more care for the commons, and so on.

Care for the social fabric of society requires more mindful cultivation in a time of high mobility, family breakdown, in fragile situations of epidemic or conflict, or among people whose history of personal attachments and relationships has left them without healthy relational habits. In such a time, Ubuntu cannot be relied upon as an unconscious instinct: it must consciously be nurtured or even reinstated. Untold families, neighbourhoods and villages already have vibrant relationships. But where these are waning or absent, interventions can foster community appropriately. The case studies here are just a small set of examples illustrating various entry points for creating conscious community.

### ***Story Telling in Burundian Refugee Camps (Tanzania)***

*I may not remember, I may never have been there, but it is still home.*<sup>42</sup>

“In the international context of refugee camps, the intangible cultural heritage of populations who fled conflicts in their home country is put at risk. The individual and collective trauma of violence, feelings of insecurity, the experience of exile, the changes in the socioeconomic and political organization of communities and the

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<sup>42</sup> Lambo (2012)

fostering of a refugee/ethnic/national consciousness contribute to shifts and ruptures of knowledge and savoir-faire... It is all the more urgent to preserve and revive this traditional cultural knowledge as it greatly helps refugees maintain appropriate behaviors and social relations based on socially accepted cultural norms, values and savoir-faire."<sup>43</sup>

A good example of response is a UNESCO program involving Burundian refugees in Tanzania. The programme aimed "to incorporate traditional cultural knowledge as a vital dimension of humanitarian programs in refugee camps" by funding storytelling activities in the refugee camps. A group of selected elders told traditional tales once a week to teenagers, young adults and children at the Youth Center in the Kanembwa refugee camp, preceded by traditional drumming. The stories were recorded, transcribed, and broadcast on Kwizera, a radio station popular in both Burundi and Tanzania. At the end of each story, story-tellers explained the meaning of the stories, retracing their links to Burundian history and tradition, and interpreting its message in the current context of refugee camps. In doing so, it is helping to sustain and transmit a living culture to the next generations.<sup>44</sup> The program was positively evaluated using informal rather than academic methods based on high attendance to the story-telling sessions, a high level of commitment among elders to the program, and the popularity of the radio show.

### *Seongmisan: Creating a village within a city*

Seongmisan is an urban community located within the City of Seoul, South Korea. This cooperative, location-based "village" model lives within an urban context, where faceless individualism and fierce sense of competition is prevalent.

Disillusioned by the heavily materialistic trend in Korea, and catalyzed by a joint childcare cooperative set up by young families,

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<sup>43</sup> Fouéré (2007)

<sup>44</sup> Fouéré (2007)

Seongmisan community sought to form a cooperative, mutually-beneficial society. The community emphasises ecological way of living and a genuine personal and face-to-face social relationships. Seongmisan grew organically, as people recognised shared needs, came together and collaborated to build cooperative childcare, schools, social care, co-housing models, carsharing model, collaborative models of consuming and producing food, community theatre, radio channels, festivals and art projects. In these innovations, the Seongmisan community revived and reinterpreted the “traditional/indigenous” knowledge in the urban and modern context of Seoul. For example, they revived *Dure*, a traditional form of collaboration and shared workload during labour-intensive agricultural seasons. They also emphasized place, utilizing public spaces (restaurants, cafes, open theatre, streets etc.) to engage in community activities.

A horizontal democratic structure, and decision-making by unanimous consent has been there since the very first childcare project. The unanimous consent rule forces people to listen and empathise with other people’s thoughts. The continuous and consistent trust and relationship-building among residents has been key to creating an innovative and resilient community.

### ***Cure Violence (US)***

Cure Violence’s public health approach to gun violence has led to dramatic decreases in bloodshed. Piloted in 2000 in Chicago’s West Garfield Park neighbourhood, which at that time had one of the highest murder rates in the United States, Cure Violence’s<sup>45</sup> model has since been replicated in 50 sites in 15 US cities as well as sites in Iraq, South Africa, Trinidad and Tobago, Kenya and the United Kingdom.<sup>46</sup> Cure Violence’s founder, an experienced epidemiologist, was convinced that the trajectory of an infectious disease and of violence shared similar patterns. And that both could be contained by stopping transmission at the source and changing behaviour

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<sup>45</sup> Formerly Ceasefire

<sup>46</sup> Kotlowitz (2008)

patterns so fewer people became infected in the first place. "Cure Violence identifies those who have been most 'infected' by violence and treats this core group through a staff of 'violence interrupters' – former perpetrators employed to disrupt armed conflicts and educate the community about the consequences of violent behavior. Their work is complemented by coordinated community action to change people's mindsets."<sup>47</sup> Rigorous evaluations have found that Cure Violence led to a decline of 16 to 28 percent in the number of shootings in four of the seven sites studied in Chicago<sup>48</sup> and a 56% reduction in homicides and a 34% decline in nonfatal shootings in the Cherry Hill neighbourhood.<sup>49,50</sup>

*Matchmaking: Grannies and orphans (China, Colombia, Moldova, South Africa)*

Early child development is crucial for social connectedness. Children who do not have early attachments "experience lifelong difficulties with intimate relationships, have generally poor social skills, poor affect regulation, low impulse and tolerance control, difficulties with anger management and a lack of conscience."<sup>51</sup> But what about orphan children? An NGO called Spence-Chapin, has implemented a Granny programme since 1998 in China, Colombia, Moldova and South Africa. Orphan children are paired with elder women from the community who spend one-on-one time with them for several years. The main objective is to provide physical and emotional contact, as "children growing up in institutions are often deprived of basic human interactions [...]"<sup>52</sup>

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<sup>47</sup> <http://usa.ashoka.org/fellow/gary-slutkin>

<sup>48</sup> <http://www.nij.gov/journals/264/ceasefire.htm> NIJ Journal No. 264, November 2009

<sup>49</sup> Johns Hopkins School of Public Health [http://www.jhsph.edu/sebin/u/p/2012\\_01\\_11.SafeStreetsEval.pdf](http://www.jhsph.edu/sebin/u/p/2012_01_11.SafeStreetsEval.pdf), p 3

<sup>50</sup> [http://www.unodc.org/documents/data-and-analysis/statistics/Homicide/Globa\\_study\\_on\\_homicide\\_2011\\_web.pdf](http://www.unodc.org/documents/data-and-analysis/statistics/Homicide/Globa_study_on_homicide_2011_web.pdf), p.9

<sup>51</sup> Interview with Lyn Perry, Director of Jo'burg Child Welfare (JCW).

<sup>52</sup> [http://www.spence-chapin.org/help-children/g1\\_granny\\_program.php](http://www.spence-chapin.org/help-children/g1_granny_program.php)

In the Othandweni Family Care Centre<sup>53</sup> in Soweto, South Africa, grannies are carefully screened, then matched with children under 7 with whom they spend four hours per day. They offer love, care, support, and stimulation to the children and ensure that they develop well mentally, physically and socially. Grannies also receive training, such as reading techniques, discipline and infant brain development, and discuss child needs with key staff. The program also provides social connection for the grannies, most of whom are widowers above 65. The grannies interact with other women in their situation, and report a high degree of purpose and job satisfaction.

While long-term effects are under evaluation; short-term programme results are positive: “Children who previously were unable to sit on their own are soon rolling over and crawling after being assigned a granny. Some who were emotionally withdrawn now raise their arms to be picked up after spotting their grannies.”<sup>54</sup>

Again these case studies – of storytelling in a refugee camp, of curing gun violence by turning the minds of the perpetrators, of creating a village-like community of care in an urban environs, and of matching grannies with orphans to create new and strong social bonds – do not exhaust the possible new policies. But they provide some waymarks, some suggestions that progress is possible, indeed quite inviting.

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<sup>53</sup> <http://www.jhbchildwelfare.org.za>

<sup>54</sup> [http://www.spence-chapin.org/help-children/g1\\_granny\\_program.php](http://www.spence-chapin.org/help-children/g1_granny_program.php)

# Governance



Injustice anywhere is a threat to justice everywhere.

~ Rev. Martin Luther King, Jr., *Letter from Birmingham Jail*.

Rabbi Chanina, an assistant of the high priest said: Pray for the welfare of the government, since but for fear of it men would swallow each other alive.

~*PirkeiAvot*, 3:2.

Democratic politics is a politics without enemies and without a mentality of hatred, a politics of consultation, discussion, and decision by vote based on mutual respect, mutual tolerance, and mutual accommodation.

~ Liu Xiaobo, *Winner of 2010 Nobel Peace Prize, June 2<sup>nd</sup> Hunger Strike Declaration 1989*.

It is not power that corrupts but fear. Fear of losing power corrupts those who wield it and fear of the scourge of power corrupts those who are subject to it.

~Aung San SuuKyi, *Freedom from Fear*.

*Well-being, Happiness, and Public Policy*

Our point of departure is to serve the people whole-heartedly and never for a moment divorce ourselves from the masses, to proceed in all cases from the interests of the people and not from one's self-interest or from the interests of a small group, and to identify our responsibility to the people with our responsibility to the leading organs of the Party.

~Mao Tse-tung<sup>55</sup>

Why should you take by force that from us which you can have by love?

~ Powhatan<sup>56</sup>

“Good governance” refers to people’s ability to engage, influence, and hold accountable the public institutions that affect their lives, at whatever levels. People are able to demand their rights, to dissent and protest, and to resist corruption without fear. This may occur through many channels including regular elections, consultations, communication with political leaders, political debate including between opposition parties but also in tearrooms and living rooms, by proposals for legal and judicial reforms, and by exercising basic freedom of speech and through a relatively free media.

In Bhutan’s Gross National Happiness Index, four measures were used for good governance. These include if people knew of their fundamental rights and felt they were protected, if they trusted public institutions, their assessment of the performance of the governmental institutions, for example in service delivery, and political participation – voting, participating in local government meetings, and so on.

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<sup>55</sup> “On Coalition Government” (April 24, 1945), *Selected Works*, Vol. III, p. 315 quoted in *Quotations from Chairman Mao Tse-tung* (Mao zhuxiyulu, the 'Little Red Book', May 1964

<sup>56</sup> Address to John Smith, ca. 1609, *Biography and History of the Indians of North America*, by Samuel G. Drake, 11th ed., Boston, 1841.) Powhatan (1547-1618)

In the context of discussions of well-being, some find the term 'good governance' to lack the intuitive and compelling force of the other domains. The reason is that 'good governance' sounds rather too large and amorphous to pertain to an individual person. Also, a pouting face with a thought bubble explaining, 'I am unhappy because I am not able to exercise good governance' is difficult to interpret. For in matters political, loyalties and suspicions run high, as readers' own reaction to quotations from Liu Xiaobo and Mao Tse-Tung may suggest. Also, even legitimate losses may be fiercely contested and condemned. To add to the complexity, the modifier 'good' sounds like a warning or implicit criticism, leaving the reader to wonder who judges what 'good' is. In the UK Consultation on domains of well-being, in fact, participants suggested renaming this particular domain. The Sarkozy Commission referred to 'political voice and governance'. Alternatively, the focus on political agency in particular could be broadened to include the exercise of agency and empowerment in social and market domains as well.<sup>57</sup>

Yet at the level of each person, good governance (whatever it is called) arguably has intrinsic value of at least two kinds. First it embodies a type of freedom, as Sen writes, "Acting freely and being able to choose are, in this view, directly conducive to well-being, not just because more freedom makes more alternatives available."<sup>58</sup> Governance refers to one specific form of agency – people's freedom to engage political processes, express their views and, if consensus is reached, to act on them. As seems clear from movements across the world, from the democratic wave sweeping Latin America to the Arab Spring to Indian's protests when democracy was temporarily quelled during the 'Emergency', this domain is widely valued.

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<sup>57</sup>An alternative might be to change this domain to refer to people's wider ability to plan individually and collectively, and proactively engage and shape different structures that affect their lives, be these political institutions, the market, or social structures. Aristotle referred to this ability as 'practical reason'; Amartya Sen as 'agency'; often it is termed 'empowerment'.

<sup>58</sup>Sen (1992a)

The second intrinsic value is that by exercising 'good governance' people are able to contribute to the common good in a way that serves each other and brings meaning. Drèze and Sen (1995) point this out: "Indeed being able to do something not only for oneself but also for other members of the society is one of the elementary freedoms which people have reason to value. The popular appeal of many social movements in India confirms that this basic capability is highly valued even among people who lead very deprived lives in material terms.<sup>59</sup>"

Good governance is also instrumental to many other aspects of well-being. First and foremost, it serves to communicate both information about situations and problems, and values. One reason that famines do not occur in functional democracies, Sen argues, is because in democracies, information regarding calamities is spread widely, enabling an appropriate response. Such accurate and timely information was not available, for example, in China's tragic Great Famine, nor in Bengal's. A second reason is that people's concern or even outrage, expressed via the media, through public protest and through communication with representatives, alerts them to the fact that people's values do not tolerate famine deaths. Even if political leaders are not moved by moral attentiveness itself, they are likely to be moved to respond to famines merely by self-interest in their own re-election.

Indeed governments can constructively harness citizen's expressions of good governance as a countervailing power, to prevent corruption for example, as we shall see in the case studies. Furthermore, democratic debate, the give and take of reasons and positions can be constructive in forging a consensus or at least a widespread understanding of why a particular course of action has been chosen, even if one continues to disagree with it. Sen also argues that "the practice of democracy gives citizens an opportunity to learn from one another, and helps society to form its values and priorities... In this sense, democracy has constructive importance." The public debates

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<sup>59</sup> Dreze and Sen (1995) see also (1989)

at the time of writing around the tragic killing of children may lead to a reform of gun laws in the US; similarly outrage at the death of a gang-raped victim in Delhi may change social norms, behaviours and laws on rape.

Among policy makers, the domain of 'good governance' already enjoys high stature, recognition, and support. This occurs in both developed and developing countries. In a survey of 34 national reports on the 'Millennium Development Goals' found that in all but 3 countries, the topic of 'governance' was stressed as an additional 'pillar', or a 'ninth MDG' or a government priority.<sup>60</sup> As in the other domains, we affirm the existing calls for better governance policies on many levels. Thus a very real question is what 'distinctive' policies might be advocated by a well-being and happiness based paradigm.

This is particularly the case as so many instances of 'good governance' actually mobilize citizens to prevent negative abuses of power, via corruption, a lack of implementation of policies, and so on. Indeed one can wonder whether some governance programmes are mainly seeking to recruit free labour from citizens to hold government to account, instead of undertaking fundamental reforms. But is the 'ideal' situation, then, one in which the freedom to exert good governance was present but rarely required, because institutions functioned fairly and well? Could it be said that the ideal 'exercise' of good governance was at a very low level? Perhaps when it comes to curbing excess, but this is not the only role of good governance.

In a harmonious and equitable society with low corruption, there are still many political decisions to make, and these decisions create culture, identity, and values. For example, as Finnis points out, there is no right answer as to 'which side of the road' cars should drive on in any given country. But it is vital that this be decided, and there may be some identities - for example with the Commonwealth -

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<sup>60</sup> Alkire (2009)

could be strengthened by this choice. Other choices are value judgements. The speed limit set (and enforced) in any region reflects the value of life versus the value of swift transit; where this decision is made will shape both risks and characteristics of a society. A society with a speed limit of 20 would have low deaths from traffic accidents; it would also be decentralized as few people would wish to commute long distances to work. The language (or languages) taught in public schools and used in government documents is another example: teaching only the national language or English might assist with international migration and certain employment sectors, but at the cost of marginalized communities' culture and inclusion. Other decisions might provide incentives for young people to remain in rural communities versus migration to urban areas. There is no precise 'right' answer to these judgments (although there may be some wrong ones), but decisions will need to be reviewed from time to time.

Similarly, as societies change, attentiveness to new needs and their constructive redress can often come from below. Thus good governance can play a role in coordinating action, information, or analyses.

The governance policies described here may fall within the kinds of policies that are already advocated by others. However we share them as innovative and clear examples of the kinds of governance that will *\*always\** be required, in all societies. We begin with a disaster response mechanisms, which engages 'many eyes' – in this case, a crisis mapping approach which spread from Kenya to Haiti and beyond. Next come public sector information and right to food legislations, which among other economic and societal benefits, create incentives for public servants to focus on policy outcomes, and increase accountability and transparency. We follow this with a case study of restorative justice and prisoner-led peer support, and call for concern for well-being and happiness to spread to our treatment of all human populations, including prisoners. Finally, is a case of citizen science, in which the creativity and observation of many creates information that all can use, particularly the government.

*Collaborative crisis mapping Ushahidi*: “Ushahidi”, which means “testimony” in Swahili, is a website set up by a collaboration of Kenyan citizen journalists during a time of crisis in Kenya, after the post-election fall-out at the beginning of 2008, to map incidents of violence and peace efforts throughout the country based on reports submitted via the web and mobile phones. At its core, Ushahidi is geared at building tools for democratising information, increasing transparency and lowering barriers for individuals to share their stories. Juliana Rotich, Ushahidi’s Executive Director, observes that: “Ushahidi enables people to change how information flows. To enable regular people to be part of something, to be part of that narrative that is emerging. Things are in flux all the time, be it politically, be it socially, and technology allows [people] to participate and to connect with others.”<sup>61</sup> Since its inception in 2008, the platform has grown to over 20,000 deployments globally, and has been used around the world to coordinate responses to a wide range of events – in Mexican elections to report problems at polling stations to the electoral commission, to gathering information about harassment in Egypt, to flooding in Australia and fires in Russia.

The Ushahidi Haiti Project (UHP),<sup>62</sup> a volunteer effort to produce a crisis map after the 2012 earthquake in Haiti, represents an important proof of concept for the application of crisis mapping and crowdsourcing to large scale catastrophes. An independent evaluation<sup>63</sup> underscored the power of Ushahidi software in coordinating human aid, particularly in early response to emergencies. This found that the UHP addressed key information gaps in the very early period of responses before the UN and other large organisations were operational by providing situational awareness and critical early information with a relatively high level of geographical precision, and by helping mobilise smaller NGOs, private funders and citizen actors to engage and appropriately target

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<sup>61</sup> Interview with Juliana Rotich, Executive Director, Ushahidi (February 2012)

<sup>62</sup> <http://ushahidi.com/>

<sup>63</sup> Morrow, Mock, Papendieck & Kocmich (2011)

needs. The relevance of the response was aided by directly engaging affected Haitians in articulating their own needs and organising local capacity.

***Public sector information (Kenya), & Right to Information (India)***

*A popular government without popular information or the means of acquiring it, is but a prologue to a farce, or a tragedy, or perhaps both.*

*~ James Madison*

Information is one of the most important goods in our lives. And governments are the biggest single producer and owner of information. How do citizens use it? Kenya, among other countries, is at the forefront of 'public sector information' provision (PSI). Powerful governmental portals provide access to well-organised, digitized information (or information through radio, print, or television), which is licensed under (or based on the license of) a Creative Commons License. This means it is available under a free, perpetual licence without restrictions beyond attribution. Such data is called open data. The data provided concern local and national government expenditure; public health and education data; parliamentary proceedings; weather information and detailed census statistics on topics such as population.

India's Right to Information Act is another stellar example of a courageous investment from government in facilitating accountability and transparency in public life. Under this Act citizens can request information and, within 30 days, public authorities are obliged to provide unrestricted access to most government documents or information. Despite predictable difficulties in implementing the act at first, the RTI has come to be actively enforced, which has generated widespread use of this right. It has been used by an engaged citizenry to detect corruption and diagnose bottlenecks. The first four years were rigorously and positively reviewed.<sup>64</sup>

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<sup>64</sup> Roberts (2010)

PSI and RTI both contribute to governance by enabling citizens to confront corruption or poor performance, so civil servants have new incentives. Nathaniel Heller characterises his experiences working in the US State Department as follows:

[In] everything I did, my success as a bureaucrat, my promotion, my pay raises, were tied almost entirely to how successful I was working within the bureaucracy. It was not at all tied to the public or to public policy outcomes and I think that's the challenge.<sup>65</sup>

PSI and RTI initiatives can be implemented by the public sector, and create civil service incentives to generate public policy outcomes. Public sector information already exists; it has already been paid for; it is about the public. These approaches enable it to belong to the public.

*Imagining a Future without Prisons: Restorative Justice (South Africa, global)*

More than 10.75 million people are held in penal and detention institutions across the world, and both the number and proportion of prisoners is growing in the majority of countries. Yet prisons as a method of punishment are a relatively new phenomenon, arising largely from Benthamite principles in 19<sup>th</sup> century England. Prisons are expensive – the US prisons, housing 2.3 million citizens, cost \$75 billion per year – and their efficacy at crime prevention is questioned. Rather than prevent crime, prisons may indeed engender and institutionalise it.

Restorative justice seeks to restore dignity to the victims of crime and their families and to rehabilitate perpetrators. Such programmes courageously involve the victim, the offender and affected members of the community in responding to the crime and repairing the injuries it caused. The process of involving all parties – often in face-to-face meetings – is a powerful way of addressing not only the

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<sup>65</sup> Hogge (2010)

material and physical injuries caused by crime, but the social, psychological and relational injuries as well.

Restorative justice has roots in many cultures. For instance, it is a central feature of African ubuntu-ist moral theories. Ubuntu theories hold that people's humanity is made up of their love and care for others. Crimes dehumanise both victims and perpetrators, such that both parties are in need of healing.

The number of restorative justice (RJ) programmes is growing, and there are hundreds of examples across the world. The 2007 Sherman-Strang report reviewing randomised controlled trials on the impacts of restorative justice (RJ) across the world, found that in 36 direct comparisons to conventional criminal justice (CJL), RJ has, in at least two tests:

- substantially reduced repeat offending for most offenders;
- doubled (or more) the offences brought to justice;
- reduced crime victims' post-traumatic stress symptoms and related costs;
- reduced crime victims' desire for violent revenge against their offenders;
- provided both victims and offenders with more satisfaction with justice than CJ;
- reduced the costs of criminal justice, when used as diversion from CJ;
- reduced recidivism more than prison (adults) or as well as prison (youths).

Even in the absence of RJ programmes, other initiatives can flower. One low-cost, innovative attempt to focus more directly on rehabilitating the perpetrators so stems from prisoners themselves in Pollsmoor prison, South Africa.

Pollsmoor is possibly the most notoriously violent prison in the country. The Prison Broadcasting Network (PBN) was founded with a CD-walkman in August 1999. Truth Radio, as it became known,

initially broadcast to 1,700 juveniles offenders through the internal intercom system. Over the next few years, broadcasts were extended to all 7,500 offenders in Pollsmoor. Radio programmes were produced for offenders by offenders, and grew, in 2008, into an internal Television Production Training division.

The TV programmes address issues such as how to deal with being an ex-convict and how to cope with prison life. Producers and presenters undergo life-skills training, and spiritual and psychological counselling. In addition to broadcast skills, the programme helps build their confidence, enhance their reading and writing skills, and gives them a platform to voice their reasoned beliefs and values.

*Citizen Science and Monitoring (China, East and South Africa, United States)*

Broadly, citizen science is public participation in scientific research or monitoring. By working collaboratively, non-professionals can aid researchers in critical environmental research. Their efforts can also allow citizens to challenge the accuracy and veracity of official environmental reports, encourage greater transparency on environmental issues, expose polluters, and document changes to the local ecology and their living environment. Citizen monitoring is informed by the idea that the rights of citizenship are coupled with responsibilities to care for public and common goods, and responsibilities to engage with the each other as a polity and the state to build a flourishing society. At the same time, it acknowledges and nurtures the role of public deliberation and the free flow of knowledge in deepening democracy.

Examples include citizens in China taking their own air pollution measurements and forcing the Chinese government to admit that the smog problem was much more severe than it had previously acknowledged and also to begin measuring the smaller, more dangerous particulates. FLOAT Beijing in particular example built on the Chinese tradition of kite-flying to send air pollution sensors aloft. There are dozens, if not hundreds of projects of various scales. Other

citizen science projects include insect monitoring in South Africa and air and water sample collection near a Zambian copper mine and an oil and gas field in Kazakhstan.

Civic engagement in environmental decision-making in the USA was formalized by the passing of the 1969 National Environmental Protection Act (NEPA) which promoted public inputs into environmental decision-making. The EPA encourages volunteer environmental monitoring as a way to complete basic monitoring tasks, to promote more active citizen participation in environmental protection, and to create greater awareness and knowledge about environmental processes.

## Cultural Diversity and Resilience

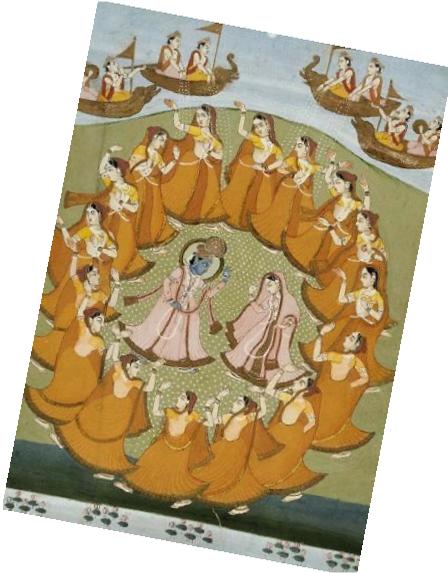


Fig. 1: Krishna & Radha dancing the Rasalila, Jaipur

Perhaps that's what civilization means: knowing too much to be able to feel only one way.

~ L. Raab, *Probable World*.

Whole nations have melted away like balls of snow before the sun.

~ *Dragging Canoe 1730-1792*<sup>66</sup>

Take the best of the white man's road, pick it up and take it with you. That which is bad leave it alone, cast it away. Take the best of the old Indian ways—always keep them. They have been proven for thousands of years. Do not let them die.

~ *Sitting Bull 1830-1894*<sup>67</sup>

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<sup>66</sup> Address to the Cherokee council, 1775; *The Wilderness Road*, by Robert L. Kincaid, Bobbs-Merrill, 1947.

*Well-being, Happiness, and Public Policy*

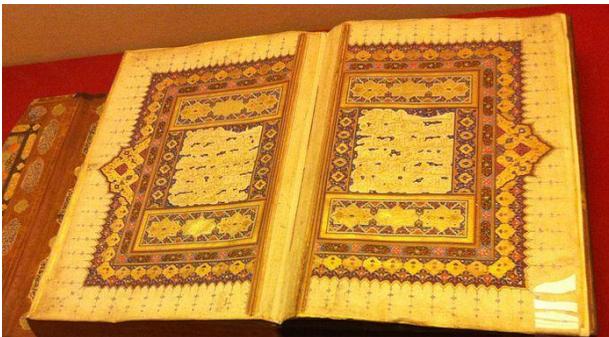


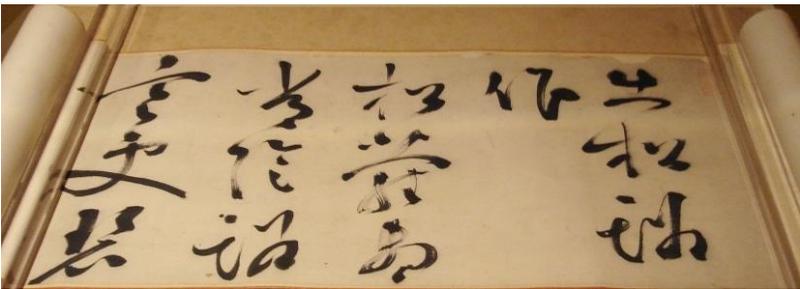
Fig. 5: Holy Qur'an

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<sup>67</sup> Henrietta V. Whitemen in John R. Maestas (1976)



Fig. 6: Gospel of John, Fragment



The domain of cultural diversity, however complex to understand internationally, clearly provides identity, artistic expression, a sense of history, and meaning to people. The preservation and promotion of culture has been accorded a high priority for many indigenous groups and in many traditional cultures. Culture is often manifest in language, traditional arts and crafts, cuisine, festivals, liturgies, drama, music, dress, customs, and shared values. Less tangibly,

culture creates the character and way of living of communities. Culture – even traditional culture – is not static, as we and colleagues said elsewhere, “culture is also dynamic concept, constantly evolving and continuously challenged by external forces and by internal cultural and social change” (Ura et al. 2012).

To assess the strength of various aspects of culture, Bhutan’s GNH Index included four indicators: language, a set of 13 artistic and artisan skills, participation in festivals and cultural events, and *DriglamNamzha* (a form of etiquette broadly translatable as “the Way of Harmony”).

Like the other domains, we understand culture to have intrinsic value, simply as aesthetic expression or appreciation. As Sen wrote,

When Julius Caesar said of Cassius, “He hears no music: seldom he smiles,” this was not meant to be high praise for Cassius’s quality of life. To have a high GNP per head but little music, arts, literature, etc., would not amount to a major developmental success. In one form or another, culture engulfs our lives, our desires, our frustrations, our ambitions, and the freedoms that we seek. The freedom and opportunity for cultural activities are among the basic freedoms the enhancement of which can be seen to be constitutive of development. (Sen 2004a: 39).

Culture also has a number of important instrumental connections. First, to the extent that culture links us with a particular community, it can further strengthen and deepen our relationships. Singing and dancing together crafts a richer kind of intimacy than simply talking together – though you do need to know the same dance, or learn rather quickly. Relationships supported by shared culture may open out other benefits mentioned above in community vitality such as trust, mutual support, and solidarity, and so on. Cultural activities may also support living standards, through tourism, or cultural industries of art, music and craft. It may also support psychological well-being, by providing stable identity on the one hand, or

providing support, training, and understanding of how to cultivate positive emotions, resolve conflicts, and build peace. Depending upon the culture, it may support good governance, by sharing traditions of public debate, generating consensus, recognizing legitimate leadership, and so on. It is likely to contribute to education – for example in history, the natural ecosystem, health, agriculture and herding and cooking skills. And culture practices, whether energy work, dietary patterns, traditional medicine, massage, and so on, may support health itself.<sup>68</sup>

But what does culture mean for the daughter of a Burmese exile living in Thailand? for a child born of native American Indian mother and a Polish father, living in rural Pennsylvania, USA? For a child raised in Accra Ghana, by parents educated in Germany, who attended the ‘international school’ and loves Bollywood music? For the child of a Mozambique construction worker who has been raised between her village and South Africa and is an elder in the local church? For a child raised by a leading family in the mafia, or in a criminal gang, or a drug cartel, or a harmful cult? For a child raised in Mexico city by parents who are from that city. Situations of dislocation, migration, conversion, mixed family, globalization, negative culture, and urbanization have created billions of people for whom a single culture will never provide a solid foundation for their identity. Do they require ‘culture’ to be happy – and if so much – of what kinds – is enough? On these questions, emphatic agreement across populations seems an unlikely prospect.

Alongside traditional and indigenous cultures, modernity has created plenty of cultural forms. Music, entertainment, and sport are arguably cultural choices, as are fast food and fashion, which billions of people enjoy and find to be meaningful and identity-creating across socio-economic groups. There are cultural conventions and expressions in the use of social media, internet pages and cell phone ringtones. Yet these new forms of mass culture have significant

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<sup>68</sup> This section draws on two articles and the references therein: Alkire (2004) and Sen (2004a)

commercial interest and powers behind them, and hardly seem to require investment and cultivation in the same way as a dying language or traditional knowledge regarding medicinal properties of plants.

One option is to restrict the domain of culture to the discerning preservation of traditional wisdoms, and their adaptation and re-making in the modern context. And to acknowledge, at the same time, that billions of people can attain happiness without the enjoyment of an indigenous or ancient culture at all. It is like the spotted owl and other endangered species: our well-being may not reside not in enjoying them directly ourselves, but in being part of a society that respects and protects cultural diversity (Sen 2004b). The argument for doing so is not idle. In some sense, it may be that the wisest cultures – those who eschew violence, who are internally content and feel no need of political or economic conquest, who live in harmony with the ecosystem and within their means, who are spiritually mature, at peace with themselves and with death itself – are those most in danger of perishing. The writings from dying cultures, even screening out the rosy afterglow each has of simpler times long ago, seem to suggest this. And yet it is this kind of society precisely which the new economic paradigm is most seeking to strengthen.

A second option is to single out certain creative expressions of beauty and wisdom, whether these are traditional or not. For example, support for artists and for the arts is often offered by public sector or by charities, regardless of what form of art it is: similarly for music, dance, and so on. Alongside this support for fragile or vulnerable cultural forms, this domain would also cultivate tolerance and respect for cultural diversity.

These options remain open, and different polities and communities will doubtless choose these and other approaches, depending upon their contexts and values. In all cases what is-to-be-protected requires value judgements, and these may be contested when it comes to issues of taste (modern art and modern music), morality (treatment

of women and internal minorities such as same-sex partners; justifications of violence), religion (protection of arguably harmful or false ideologies like the flat earth society or fascist groups), and economic 'cost' both to the funders and to the cultural group itself (supporting rare languages in schools, or economically inefficient modes of production).

Unlike domains of health, education, living standards, good governance, the environment, and even, increasingly, community, the domain of cultural diversity appears on the face of it, hardly mainstream. And yet most countries have, and fund, ministries of culture. Many countries offer public support for the arts, and have special programmes to protect minorities, first nations, and indigenous groups. Thus actually there is more institutional and financial infrastructure for public support of cultural diversity and resilience than may often be recognized.

This being said, mainstream policies vary exceedingly across countries, thus this is an area in which it is most difficult to know what the currently advocated policy options are. Hence in our 'policy' section, we have chosen to highlight policies which may or may not be new in each setting, but do somehow illustrate the principles we have mentioned. This include vital investments in threatened languages, and intergenerational fora for a transfer of skills and wisdom in urban settings.

### *Language Immersion Schools (New Zealand)*

"Preservation [...] is what we do to berries in jam jars [...] Books and recordings can preserve languages, but only people and communities can keep them alive." -- Nora Marks Dauenhauer and Richard Dauenhauer, Tlingit oral historians.<sup>69</sup>

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<sup>69</sup> Lord (1996)

Every 14 days a language dies.<sup>70</sup>By the turn of the next century, more than half of world's approximately 7,000<sup>71</sup> languages – many of them not yet recorded – may disappear.<sup>72</sup> Treasure houses of cultural, historical, and environmental knowledge will be destroyed like burning of the Library of Alexandria a thousand times over.

Large-scale documentation efforts include Google's Endangered Languages, the Rosetta Project of the Long Now Foundation, and National Geographic's Enduring Voices. These record examples of threatened languages and create dictionaries while native speakers still exist. But they do not keep languages truly alive and vital or allow a people to retain a living heritage.

Language immersion schools have breathed new life into a corpus of threatened languages and the communities that speak them. The TeKohanga Reo (language nest) program in New Zealand, for example, is responsible for a resurgence in knowledge of the Māori language amongst younger Māori. A pre-school programme was begun in 1981 in which Māori elders teach the very young in their ancestral language. Instruction is based on a holistic culture-based curriculum that seeks to develop, among other things, a child's understanding of her own sacredness as well as a sense of humanity and humaneness. Parents and community activists then pushed for language immersion schools or Kura Kaupapa Māori. The first opened in 1985. There are now about 60,000 Kohanga Reo graduates and a large network of Māori immersion schools and bilingual programs at all levels.

Māori immersion schools and bilingual programs are funded and supported by New Zealand's Ministry of Education, but are also

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<sup>70</sup> National Geographic Enduring Voices, a joint project with Swarthmore College's Living Tongues Institute.  
<http://travel.nationalgeographic.com/travel/enduring-voices/>

<sup>71</sup> Lewis (ed.) (2009)

<sup>72</sup> National Geographic Enduring Voices, a joint project with Swarthmore College's Living Tongues Institute.  
<http://travel.nationalgeographic.com/travel/enduring-voices/>

strongly community-driven. Results over the past 20 plus years have resulted in a regeneration.<sup>73</sup>“In 2001, about 17% of Māori children of school age were enrolled in some form of Māori-medium education.” It has not dented educational prospects: “Research has demonstrated that ... learning to speak, read and write in Māori means that students are more likely to succeed academically in both Māori and English.”<sup>74</sup> Sustaining the language across generations may require further policies such as Māori language media.<sup>75</sup>

### *Imparting knowledge and skills in traditional arts and crafts (Thailand)*

Aimed at imparting knowledge and skills in traditional arts and crafts, an unconventional school was established in Thailand, called Lanna Wisdom Institute. Local artisans and a non-governmental organisation have joined hands to establish an alternative learning forum which aims to pass on valuable folk wisdom and an eco-friendly lifestyle to the next generations. Students aged 6 to 66 attend for three hours daily on Saturdays and Sundays when the formal school are closed, and learn local music, dancing, singing, handicrafts, local language, and agriculture to forest management, etc. The teachers are volunteers who have sound knowledge and skills in arts and crafts. Many are among the elderly. The programme provides a meaningful exchange across the generations, and a way of passing down wisdom in urban settings where the previous channels of community have taken a new shape.

### **Classical dance**

Classical dance is a “living heritage”. It is simultaneously traditional and modern. Indian dancers inherit an ancient heritage from their Gurus or teachers and add to these traditions – using dance as a medium to describe ancient myths, poems, love stories and contemporary social issues. Through complex facial expressions, footwork and gestures, the dancer communicates ancient myths,

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<sup>73</sup> Spolsky (2003)

<sup>74</sup> May, Hill and Tiakiwai (2006)

<sup>75</sup> Reedy (2000)

stories, poems, hymns and memories – and makes them accessible to the general public. A classical dancer is simultaneously a musician, a story-teller, a communicator and a historian.

Supported by government of India, this project involves creating digital repositories of knowledge to preserve intangible cultural heritage. India's Indira Gandhi National Centre for the Arts (IGNCA) in collaboration with the Ministry Communication and Information Technology (MCIT), initiated a programme called 'Kalasampada' (conceptualized in 2005) to create a digital archive of India's cultural heritage. 200,000 manuscripts, over 10,000 slides and thousands of rare books have been digitized. In addition, this initiative also documents India's diverse classical and folk dance forms from different states through 400 hours of video footage – collected from renowned experts. This is the first such large-scale attempt to create a digital archive of India's cultural heritage and plans are underway to add to this database. Thus, unlike in the past when an individual needed access to a Guru or expert to get an introduction to classical dance – he/ ICTs are a valuable tool to introduce young people into this medium. Though, it cannot replace a teacher – it helps researchers, students and connoisseurs of dance an opportunity to understand dance in a way that was never possible before.

Another example is 'Core of Culture', a non-profit that works with artists, practitioners of dance, scholars and government representatives to preserve material on dance forms from across the world. This initiative specifically focuses on documenting information on endangered dance forms in Asia and preserves and disseminates this information through videos, installations in museums and online databases.

For example, Core of Culture's *Bhutan Dance Project* uses diverse tools – such as audio and video recordings, journal entries and interviews – to collect and document information about these dance forms. The fieldwork generated a wealth of data, including 500 hours of video documentation, 11,000 photographs and 11 ethnographic journals. This information was organized and collated in a

searchable, online database, which contains 200 separate dance entries and over 150 hours of high definition video documentation on Bhutan's dance forms. Information on this database is also regularly updated. An important feature of this archive is the fact that it contains rare footage and interviews with experts and material that has never been collected before, and thus is a valuable resource for practitioners of dance, researchers, scholars and members of the public.

# Health

The wish for healing has always been half of health.-- *Lucius Annaeus Seneca*

Healing is a matter of time, but it is sometimes also a matter of opportunity.-- *Hippocrates*



Healthy citizens are the greatest asset any country can have.  
~ *Winston Churchill*.

Although the world is full of suffering, it is also full of the  
overcoming of it.  
~ *Helen Keller*

When life itself seems lunatic, who knows where madness lies? Perhaps to be too practical is madness. To surrender dreams—this may be madness. To seek treasure where there is only trash. Too much sanity may be madness. And maddest of all, to see life as it is and not as it should be.

~ *Don Quixote, The Man of La Mancha*

If there is a single definition of healing it is to enter with mercy and awareness those pains, mental and physical, from which we have withdrawn in judgment and dismay.

~ *Stephen Levine, A Year to Live: How to Live This Year as If It Were Your Last*



Fig. 7: Ancient human statues from Jordan



Health's intrinsic value is self-evident. It is clearly glimpsed in its absence. The value of being free from pain is known from times of pain; the value of being able to walk, run and manoeuvre from times one has lost these; the value of being able to see clearly is felt when one loses one's glasses or one's arms become too short; the value of having energy, from times of hunger, fatigue, and strain; the value of mental health, after depression or breakdown; the value of being free of illness or cancer or other disease, from undergoing these or being alongside those who do. Health is achieved insofar as physical bodies and minds can enjoy mobility, energy, sensual awareness, mental health, and freedom from morbidity or pain. Naturally, all persons have health limitations, from short-sightedness to intellectual and physical disabilities to temporary or chronic conditions. But insofar as health conditions are provided support, many can enjoy good health for much of their lives.

Health is also instrumental to nearly every other domain, as severe deprivations in health and nutrition cast a long shadow over most other domains. This being said, some with tremendous health challenges rise above them (food insecurity, pain, immobility, cancer, chronic disease, disabilities). Exceptions aside, health is ordinarily instrumental to work, as healthy people have fewer sick days, are able to concentrate better and achieve more at work. It is also instrumental to education and ongoing learning, because healthy and well-nourished people have better concentration.

Bhutan's indicators of health in the GNH index included the number of healthy days in a month, the presence of a chronic health condition, overall physical health status, and mental health.

Health policies are on the rise. In 1978 at Alma Ata was the first international declaration on the need for investments in primary health care and other policies to generate health for all, and this triggered a powerful response. A new wave of policies were advanced to deal with the tragic onset of HIV/AIDS epidemic and the need for prevention, diagnosis, the procurement of affordable drugs, and the administration of anti-retrovirals. The Millennium Development Goals further advanced health goals, for example related to malnutrition, child mortality, maternal mortality, tuberculosis, HIV/AIDS and malaria. Immunization campaigns have been increasing. Alongside this, there is renewed interest in, and advocacy for the provision of universal health care in many countries, OECD and developing countries, as well as in social determinants of health, human resources for health, health system reform, research in priority diseases in developing countries, and public health including awareness of good nutrition and the need for physical exercise. Health has become a high –profile policy area in countries across the globe, and attention to exercise and nutrition are a pro-active sphere of activity for many.

Given this prominence and significant advocacy, what is the 'value-added' of a well-being focused paradigm? First of all, it is to stand alongside and support the important health advocacy of so many others. We affirm the need for urgent attention to malnutrition, which throws a long shadow across future life prospects for millions of children and which has been shockingly neglected in comparison with its sister MDG in Goal 1, namely income poverty. We affirm the need for sufficient public expenditure in priority health care needs, or in sufficient affordable primary health care delivery by other means. We affirm the focus in developing countries in preventing infectious diseases, TB, malaria, HIV, and childhood diseases through public health interventions as well as diet and exercise. We affirm the need for access to family planning support for child

spacing and to limit family size, and reproductive health care for women. Across all societies we affirm the need for universal access to health care, including mental health care. And we call for research into diseases most affecting the poor and marginalized. Finally, we affirm policies addressing health in a holistic fashion, including the social determinants of health, inequality, nutrition, social exclusion, and conflict.

Given the tremendous prominence and attention that the domain of health rightly enjoys at present, and the urgent need for these basic health needs to be addressed, what can we add? This is a legitimate question, as all of the GNH Index indicators could, for example, be met using standard interventions.

Our policy case studies draw out aspects of health that yet are important and under-researched. The first of these focuses at end-of-life care, as the last few months of life cost the most in most health systems, and more holistic attention to this season of life could be intrinsically valuable. The second looks at the anomie in first nations that generated the highest suicide rate. The third looks at how health policies must be integrated into all aspects – in this example, through attention to design issues

Furthermore, the approach to health is holistic, and traditional medicine practices are not sidelined but cultivated alongside modern medicine, so that their wisdom is studied, and where appropriate used to enrich or replace other treatments.

### *End of life care*

No matter how they live, whether their lives are full or deprived, it is a certainty that all seven billion people on this planet will eventually die. A good death is significant not just for those who pass but for those who remain behind. From 1998 to 2004 the Robert Wood Johnson (RWJ) Foundation's *Promoting Excellence in End-of-Life Care* funded 22 projects in a variety of settings, including cancer centers, nursing homes, dialysis clinics, in Alaskan native American settlements, inner-city public health centers, and prisons. They

found, over and over again, that existing resources and services could be used to “expand access to palliative services and improve quality of care in ways that are financially feasible and acceptable to patients, families, clinicians, administrators, and payers.”<sup>76</sup> The key to achieving this was individualizing patient and family assessments, which includes End-of-Life discussions. End-of-Life conversations are associated with a higher quality of life for the patient and better adjustment for the grieving.<sup>77</sup> Another key is that palliative services can and should be practiced concurrently with the treatment of the disease – not simply when all other medical options have been exhausted. When the RWJ Foundation’s involvement concluded, 20 of the 22 of the organizations maintained or expanded their models. Caring for the end of life is primarily a moral and spiritual task. Yet it is also important for other reasons: in the US, 30% of Medicare expenditures are attributable to the 5% of beneficiaries who die each year; about one third of the expenditures in the last year of life is spent in the last month. Costs for aggressive and unnecessary interventions can be partly prevented by providing more holistic support to the patient and their family in the last seasons of life.

### *Addressing Youth Suicide Among First Nations Communities (Canada)*

Indigenous people around the world have the highest suicide risk of any identifiable cultural (or ethnic) group. It is a youth epidemic. Various explanations have been put forward for the high rates of suicide and suicidal behaviour among indigenous youth. Among the proposed underlying causes are the enormous social and cultural turmoil created by the policies of colonialism and the difficulties faced ever since by indigenous peoples in adjusting and integrating into the modern-day societies.

In Manitoba, Canada, First Nations people themselves developed a First Nations suicide prevention strategy, using traditional insights from the Cree, Dakota, Dene, Ojibway and Oji-Cree peoples. The aim

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<sup>76</sup> Byock, Twohig, Merriman, Collins (2006)

<sup>77</sup> Wright et al. (2008)

of the youth suicide prevention initiative was to reclaim and restore their identity, culture, language, history, relationships and spirit of self-determination. Elders were engaged to provide insights. But there was a very important twist: those who shared these teachings in order to prevent youth suicides – were youth.

The youth worked on many levels simultaneously to build and implement the programme, engaging with key stakeholders, leadership and government agencies, listening to suicide-prone friends and advocating for what the youth wanted. An evaluation finds that it not only saw a fall in suicide rates, but also empowered youth and increased intersectoral collaboration. It provides a heartening demonstration that youth suicide prevention strategies are successful – when the youth are leading them. The program has been replicated in three other Provinces.

### *Healthy By Design (Australia)*

Health is holistic, and well-planned neighbourhoods actually help our health. For example, trying to exercise in exhaust-polluted, sidewalk-less streets can be a health hazard as well as a heart benefit. Yet urban design often consider, health, safety and access issues separately, and do not have a clear view of the overall integrated outcome. The Heart Foundation in Victoria, Australia, developed Healthy by Design programme that provides planners with a toolbox of ‘Design Considerations’ to promote walking, cycling, and public transport use, as well as a practical design tool, and case studies. The ‘Design Considerations’ include well-planned networks of walking and cycling routes; streets with direct, safe, and convenient access; local destinations within walking distance of homes; accessible open spaces for recreation and leisure; conveniently located public transport stops; local neighbourhoods fostering community spirit. The ‘Healthy by Design’ matrix tool is a practical device that demonstrates the synergies between the different guidelines that influence built environment design, all of which contribute to positive health outcomes.

### ***National Level Action to Tackle Workplace Stress (UK)***

The Health and Safety Commission identified work stress as one of its main priorities under the Occupational Health Strategy for Britain 2000: Revitalising Health and Safety, which set out to achieve, by 2010, a 30% reduction in the incidence of working days lost through work-related illness and injury; a 20% reduction in the incidence of people suffering from work-related ill-health; and a 10% reduction in the rate of work-related fatal and major injuries.

In 2004, the United Kingdom Health and Safety Executive (HSE) introduced management standards for work-related stress. These standards cover six work stressors: demands, control, support, relationships, role, and change. A risk assessment tool was released at the same time as the management standards; this consists of 35 items on working conditions covering the six work stressors. The HSE management standards adopted a population-based approach to tackling workplace stress aimed at moving organizational stressors to more desirable levels rather than identifying individual employees with high levels of stress. Instead of setting reference values for acceptable levels of psychosocial working conditions that all employers should meet, the standards set aspirational targets that organizations can work towards. The management standards are not in themselves a new law but can help employers meet their legal duty under the Management of Health and Safety at Work Regulations 1999 to assess the risk of stress-related ill-health activities arising from work.

As part of a 3-year implementation programme, in 2006/07 the HSE actively rolled out management standards to 1000 workplaces by providing support for both conducting risk assessments and making changes based on results of risk assessments. So far, evaluations in workplaces adopting the management standards approach have mostly been qualitative and good practice case studies are being made available on the HSE website ([www.hse.gov.uk/stress](http://www.hse.gov.uk/stress)).

A national monitoring survey was conducted in 2004 before the introduction of the management standards, to provide a baseline for

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future monitoring of trends in psychosocial working conditions.  
Source: EMCONET, 2007

## Living Standards

Work as if you were to live forever; pray as if you were to die tonight. – *Russian proverb*<sup>78</sup>



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<sup>78</sup> Mieder (1986)

You make a road by walking on it. -- *South American Proverb*.<sup>79</sup>

A small house may hold a thousand friends. -- *Lebanese proverb*<sup>80</sup>

Money is sharper than a sword. -- *African (Ashanti) proverbs*<sup>81</sup>

Money is sweet balm. -- *Egyptian proverb*<sup>82</sup>

Better is a portion of herbs where love is, than a stalled ox and hatred therewith. -- *Jewish Proverb*<sup>83</sup>

The voice of the poor has no echo. -- *Indian Proverb*<sup>84</sup>

The living standards domain contains distinct components. The first component is meaningful and decent work and livelihoods, including caring and household activities. The second aspect is housing that sufficiently shields from the elements: cold and heat, rain snow and sun. The third aspect is some form of currency – money, assets, or other tradeables. All three sub-categories of living standards, we value, have an intrinsic value. Decent work – work that is meaningful and safe and appropriate is, simply put, a way in which the person applies and uses their talents, fulfils their potential, creates and grows and expresses and gives. Note that work in this wider sense includes childrearing and caring for other dependents, activities of retired persons, and housework. The value of work may be epitomised in a mother who has chosen to remain fulltime with her child for awhile. Her fulfilment, joy, self-growth, and service simply sing out to onlookers. The value of work is clearly seen in a master sculptor who carves with exquisite attention and affection. But it can also be seen in the farmer, the cleaner, the social organiser, the priest, the shopkeeper, the health worker, the banker and the

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<sup>79</sup> Manser (2007)

<sup>80</sup> Mieder (1986)

<sup>81</sup> Mieder (1986)

<sup>82</sup> Mieder (1986)

<sup>83</sup> Kent (1895)

<sup>84</sup> Manser (2007)

manager – in any who do their professions with excellence and experience what Mihaly Csikszentmihalyi calls ‘flow’.

Housing, too, has intrinsic value although it is often considered to be a resource. Like that of health, it is easiest to grasp the intrinsic value by imagining its absence: being rain-soaked with no prospect of drying out soon; being intolerably hot or cold, or exposed to animals, or unsure where one will sleep, having no place to store one’s possessions. The intrinsic value comprises both shelter from the elements and security of self and property.

What could loosely be called ‘currency’ or general-purpose resources and is often used in the form of money, has a kind of value that could, carefully considered, be considered intrinsic. This will be thought an odd assertion, as following Aristotle, money is rightly valued as a means: ‘wealth is merely useful, and for the sake of something else’. Furthermore, the ‘intrinsic’ value depends to some extent upon context. Yet there is a peculiar and particular aspect of freedom that currency brings – a decentralized form of freedom within exchange economies. General purpose assets including money can be converted into alternative goods and services that a person cannot self-manufacture. Currency and trade have no intrinsic value, of course (the value of trade can relate to good relationships covered under community vitality). But there is a valid freedom of having abilities that are not self-manufactured – whether it is the ability to visit an aunt by a bus one neither owns nor drives, or to buy a smart phone one neither made nor understands, or to send your child to piano lessons although you do not play, or to buy bricks you did not fire, or rent a tiller or save up for the future. Without money or some form of local currency, tradeables or exchange economy, we would be limited, day by day, to subsistence agriculture and handouts from the state or others, and would be unable to save for the distant future. This would surely prove a severe curtailment of our freedom to enjoy goods and services we did not self-manufacture, and to be interdependent, to help provide for the future, is the intrinsic value of which general purpose resources such as money and assets are but imperfect proxies.

The instrumental value of these aspects of living standard in terms of advancing other domains of happiness and well-being are better known yet worth rehearsing. Some work is associated, naturally, with income, with learning and skills development, with psychological well-being as well as health. Housing too advances health and living standards; currency and general purpose means such as income and savings can be instrumental to all the other domains in some ways.

Policies to advancing living standards seem to dominate policies in almost any other domain. These range from policies to increase GDP growth or expand domestic and international trade, to policies to reduce unemployment improve workers skills and productivity. They include policies to promote technology and innovation, those that enforce contracts, that introduce roads and establish markets and other institutional structures necessary for 'doing business'. They include policies to encourage firms and enterprises of different scales, to upgrade housing quality and safety. And naturally they include poverty reduction policies, whether these focus on jobs for the working poor, or on pensions, transfers, or the free access to services so that the scant income of poor families can be applied to other aims.

We affirm some, but actually not all, of these policies. We do affirm those policies that address the absolute poor, those deprived in housing and without safe or decent work. We affirm acknowledgment and respect for non-remunerative work, whether child-rearing, volunteering, housework, or responsibilities of care. Yet a key pillar of the new economic paradigm is sufficiency, a principle which the current paradigm does not respect, particularly in this domain. Rather, many policies both public and corporate seek to maximize wealth and profit, regardless of its opportunity costs on other domains of well-being or on well-being in future years.

In the Appendix to this document, we provide eleven case studies and innovations – more than for any other domain. Yet in this overall document we wish to imagine other policies, that are at the moment

less concrete and the least implemented. Many are almost thought experiments. So rather than providing concrete policy cameos, at this stage, we list what those policy cameos, we hope, would convey. Perhaps readers can then propose policy cameos for this section.

The first would be for the creation of **meaningful work** – for jobs that do not alienate or demean – not simply for productivity and remuneration – but which activate the talents and gifts and vocation of the worker, enabling intrinsic value and self-development and service along the career path.

Another is to create a comfortable, determined citizen-wide consensus and understanding that enough *is* enough: that the chosen goals of **sufficiency** (whatever these may be) are life-giving rather than life-suppressing.<sup>85</sup> The sufficiency economy has been actively advanced in Thailand, and others are actively exploring this topic; further investigation of their policy experience could enrich.

A third is a recognition of **unpaid work**, and ways of acknowledging, dignifying, and supporting, incentivising, and celebrating the huge contributions of good parenting, of the home-based caring work, and, yes, housecleaning, gardening and house repair.

A fourth looks at the **long-term** prospects of people's living standards: it entails transforming working poor people's lives so that they are unlikely to fall into poverty in the future. These are not *necessarily* radical investments, but land re-distribution, vocational skills training, the cultivation of savings habits, and safe temporary outmigration policies, may all contribute. Many cases in the Appendix sketch promising options.

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<sup>85</sup> See for example <http://simplicityinstitute.org/wp-content/uploads/2011/04/TheSufficiencyEconomy3.pdf> and <http://hdr.undp.org/en/reports/national/asiathepacific/thailand/name.3418.en.html>

A last is a **re-valuation of money**, to clearly recognise and affirm the intrinsic value that general-purpose resources such as money up to certain levels do have – the freedoms related to security, diversity, generosity, and sufficiency – and to allow these to prevail over approaches that value money itself, rather than the things it is truly good *for*.

Again, our aim in this domain is for success, not utopia. From the oldest of human texts we have seen writings on acquisitiveness and recognise it to be alongside humanity to stay. But we also can see, empirically, cultures in which this human drive has been brought into balance with others, and that balance is our aim here.

## Environment

Where the tree goes, man will go soon after.

-- Thomas Sankara, former president of Burkino Faso.



Cave painting, Lascaux, France, 15,000 to 10,000 B.C.

In the course of history, there comes a time when humanity is called to shift to a new level of consciousness, to reach a higher moral ground. A time when we have to shed our fear and give hope to each other. That time is now.

-- Wangari Maathai of Kenya, 2004 Winner of Nobel Peace Prize.

We humans think we are smart, but an orchid. . . knows how to produce noble, symmetrical flowers, and a snail knows how to make a beautiful, well-proportioned shell. We should bow deeply before the orchid and the snail and join our palms reverently before the monarch butterfly and the magnolia tree.

- Thich Nhat Hanh, *The Sun My Heart*.

In the long course of rebirth there is not one among living beings with form who has not been mother, father, brother, sister, son, or daughter, or some other relative. Being connected with the process of taking birth, one is kin to all wild and domestic animals, birds, and beings born from the womb. --Lankavatara Sutra.

The trees which are growing are tomorrow's forest. -- *African (Bemba) proverb.*<sup>86</sup>

*A wandering monk saw on his travels a gigantic old oak tree standing in front of the door of a monastery. Under it sat the chief monk. The traveller called out to him, 'This is a useless tree! If you wanted to make a ship, it would soon rot. If you wanted to make tools, they would soon break. You can't do anything useful with this tree, and that's why it has become so old.'*

*The chief monk replied, 'Keep your mouth shut! What do you know about it? You compare this tree to your cultivated trees; your orange, your pear and apple trees, and all others that bear fruit. Even before they can ripen their fruit, people attack and violate them. Their branches are broken, their wings are torn. Their own gifts bring harm to them, and they cannot live out their natural span. If this tree had been useful in any way, would it have ever reached this size? You useless mortal man, what do you know about useless trees?' -- Zen*

The term 'environment' or the 'ecosystem' refers to a heterogeneous portfolio of items from animals to trees to ground water to minerals to atmospheric conditions, with many interconnections, and with elements that are at many levels from molecular to atmospheric. The environment is far larger than any being, and largely beyond human control. Yet it is fundamental to the survival of humanity to a degree that differs from other dimensions. As a result environmental diversity and resilience enter the new economic paradigm in distinctive ways from other domains; indeed an entire working group is focusing on related policies.

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<sup>86</sup> Mieder (1986)

Yet like each of the other domains, the study of human happiness adds something new. For harmony with nature has intrinsic value. Natural beauty, and natural harmony are core causes of serenity, wonder, friendship and joy. The strength of these values varies, but they can be described. One regularly reported intrinsic value is aesthetic. This takes many possible forms, and appeals to different senses – the beauty of the mountains at sunrise, of vast beaches or snowy plains; the fragrance of jasmine and orange blossom; the view of blue hills and jagged land formations, of a clear starlit sky; the smell of the rain, the feel of rich soil or of a buffalo’s back, the crash of waves or the late night birdsong. Another intrinsic value regards the natural processes of co-existence, or of growth and death – a sense of harmony between people, the animals and the earth; the deep respect for the land, reverence for a specific sacred grove; the joy of a baby goat’s birth, or of nostalgia in autumn; thanksgiving for a harvest; a feeling of affiliation with nearby cliffs. Also of intrinsic value are relationships with non-human life forms, various animals we live with or alongside. Finally, the sense closeness to oneself or to the sacred, the tranquility and lucidity of being, that sometimes seems more possible in solitary spaces or in nature than in rushed, noisy, dirty urban environs. One only needs to read poetry or novels or prayers (or to notice where people who can take vacations and retreats) to see that these are ways in which nature has been valued across continents and ages.

Contrasting with this, environmental degradation can introduce a set of intrinsic disvalues that directly dampen people’s flourishing. These might include discomfort from, and regret for pollution and smog, erosion and salination and waterlogging, the bad smells of rubbish, and the drain of urban noise; and even poignant regret at the destruction of the earth by commercial farming or resource extraction or by manufacture without safeguards; grief at the destruction of a sacred space, or of the dying off of the harmony and connection of some traditional cultures. Thus like each other domain, the environment itself contributes directly to human happiness or clouds it.

Clearly there are a myriad of ways in which ecosystems and the environment are also instrumental to human flourishing and happiness. These are obvious and often-cited, so hardly need mention.

- Human life depends upon food, water, clean air, and an absence of many toxins
- The livelihoods of farmers, miners, fishers, herders, poultry farmers, loggers – depend on it.
- Humanly-useful produces depend upon others – clean air depends upon forests; fish depend upon a lack of pollution etc. Chains of interdependence extend backwards in many directions.
- Many goods that enable human flourishing are manufactured from the earth's resources.
- Sufficient goods are needed so that *\*all\** members of the community can flourish.

Conversely environmental degradation poses instrumental threats to human flourishing through diverse mechanisms.

- Climate change will threaten survival of humanity and other living beings in different places.
- Human health is threatened by pollution, by poor farm factory conditions etc
- Human livelihoods are threatened by erosion and resource depletion; by pollution.
- Commodities that save time and enhance human flourishing may rely on scarce resources
- Shortages may generate human conflict that directly imperil human flourishing.

There are empirical interlinkages in many different directions, and tracing these, though incompletely, can uncover virtuous cycles which are appropriate for holistic and integrated policies in other domains as well.

Given the vast nature of this subject, and the enormous resources that are being poured into its study and into the development of new policies, institutional mechanisms, and the Sustainable Development goals after Rio +20, what can this Commission add?

We affirm the inspiring bevy of policies outlined in the Rio+20 document *The World We Want* (2012). These pertain to this domain and also to many other dimensions of well-being mentioned in this document. They give a rightful and vigorous priority to poverty eradication, and to promoting ‘harmony with nature’, to the insights of indigenous people, to the need for sustainable transport, and holistic planning of human communities including urban areas.

Yet we observe that *The World We Want* does not encompass the full range of policies for a happiness perspective. As regards this domain, it does not include the word beauty; it mentions in passing the conservation of natural heritage; it mentions the need for education in sustainability practices, it does not emphasize the need to change the underlying mindset and mentality of humanity towards material goods, to shift our deepest hopes away from one day becoming millionaires and billionaires and towards enjoying sustained and mature human happiness and well-being, with all of the self-giving that flowers in this condition. In short, it focuses mainly on the instrumental value of the environment, and only on the ‘intrinsic’ value when it is a particular characteristic of some minority; not a majority view.

For that reason, as in the case of living standards, we seek additional policies, which focus on the change of underlying mindset away from maximization and towards sufficiency. Further, as a support of human agency, we support policies that enable citizen groups to actively shape market forces, for example by creating a market for clean energy. We also share policies that preserve natural spaces for their beauty and not merely for instrumental reasons. And not knowing exactly what ‘harmony with nature’ means, we support policies that protect it, whether RSPCA, homes for stray animals, protection of cruelty to animals.

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**Policies:** As this domain is the subject of a separate working group who are dedicated to this topic, we respectfully suggest that they might consider and propose radical policy cameos.

## Time use

In the end there is nowhere to live but in our days; the kingdom forged within us is enough for praise.  
Don MacLennan, "I'm not sure poetry"

*Time is the most valuable thing a man can spend.* – Theophrastus.

**OCCUPY**  
**THE PRESENT**



**DIG DEEP. POWER UP.**

Lost time is never found again. -- Benjamin Franklin, *Poor Richard's Almanac*.

How we spend our days is, of course, how we spend our lives. What do we do with this hour, and that one, is what we are doing. – Annie Dilliard, *The Writing Life*.

There is not rest for the poor man. -- *African (Hausa) proverb*.<sup>87</sup>



### *Time use*

When people enjoy sufficient time, the values people enact and implement can be read off from two aspects of their lives: how they spend their money, and how they spend their time. Among the destitute, the oppression of circumstances is similarly visible to some extent in their time use.

Time poverty is evinced by those whose lives are controlled by paid and unpaid work, and those who cannot sleep enough. Poor time quality is present when people are constantly in too much of a hurry

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<sup>87</sup> Mieder (1986)

to taste the moments and enjoy those with whom they share them. It is also present in drudgery and uncreative work.

The ideal time use, is one in which a person is 'present' to all the activities of the day, in which even less-than-loved activities are completed with mindfulness and well-wishing, in which there is enough time for sleep, in which tasks are done efficiently yet entered into deeply, in which relationships are well-gended. In ideal time use, most activities are meaningful, intentional, and of intrinsic value, whether or not they are also of instrumental value. For example, work is intrinsically valued as a fulfilment of one's talents, a path of service, having some greater purpose. Naturally that same work may also be instrumental to earning an income.

Interestingly, in the domain of time use, the notion of 'sufficiency' is already well-established. One seeks 'enough' sleep -not too little or too much; as well as 'enough work' and 'enough' leisure. This embeddedness of sufficiency norms is interesting, because it also conveys with brilliant clarity the need for concepts of sufficiency to incorporate human diversity. What is 'enough' sleep for one may be four hours; for another, nine. One may wish 30 hours of work per week; another may with gusto, balance, and time for family and recreation, regularly work 50 hour weeks. The quantity and content of time devoted to different activities will differ for a young family from a middle-aged couple to those nearing retirement age. And, naturally, cultural and social patterns may also shape the ideal time balance across life seasons.

For the destitute, time poverty is often endemic, as much time spent in often inefficient, poorly paid, time-intensive activities simply to feed, clothe, and house the families. The *Voices of the Poor* (2000) study found that "*For every target group, to tackle the problems of unemployment, debts and rising cost of life, [poor people] unanimously agreed to work harder, regardless of the workload and time. Some worked until they were sick.* — Kaoseng, Thailand" A Vietnam *Voices of the Poor* report said of a 29-year-old woman supporting a chronically sick

husband, a mother-in-law aged 70, and five children, “*My life is about managing time.*”

For those who are not materially poor, good time balance, to at least as much or a greater extent than the other domains, is partly self-made. Habits of overstimulation may hamper it, as may socio-cultural pressures or needs to ‘accomplish’ or seem ‘busy’ for self-esteem. Inefficient work habits, stress and procrastination, and unfulfilling leisure or work patterns also contribute to greater-than-necessary time poverty or lack of quality. Sleep deprivation has many causes, among them stress and anxiety, noise, danger, and physical discomforts.

What is ‘sufficient’ time use, or time balance? We can hardly frame this in terms of working and sleeping ours, because this ideal varies dramatically across people and for the same person in different seasons of life. Some seek greater diversity in activities and others less. Some need more sleep; some love their work. Some wish to invest more in family; others in art. There is a lot we are learning at present about time use, which will give greater insights as to what kinds of sufficiency threshold(s) there may be. So how do we proceed?

First, we affirm the policies that others are articulating to limit time poverty. These include a limitation of working hours to 48 per week by the International Labour Organisation, as well as living wages that remunerate workers properly. They include policies of flexibility in working hours and places of work, of holidays and personal leave days, of maternity and sick leave. They include attempts to limit the excesses of shift work, to provide protections for informal workers, and meaningful engagement for retired persons. We also affirm policies in other domains that enable more meaningful time use – such as time-efficient public transport systems, social safety nets, adequate housing, labour-saving devices such as washing machines, noise reduction policies, and social appreciation for unpaid work (cooking, shopping, house cleaning, house repair, washing, ironing, etc). We affirm adequate provision of care services for children, the

disabled, and the elderly, as well as support for their carers. And we affirm policies that increase the meaning-content of, and decrease the 'low-value' programming of radio and television, of computer games and children's entertainment, of social networking, and of advertising.

Our policies stretch beyond this, but in ways that we believe will be high impact.

- Peak performance and time management, Exercise at work,
- Meaningful time Theory U and learning at work
- Quality time with family
- Paternity leave
- Television/Games/Advertising.

### *Policies*

**Time Balance, and Peak Performance:** We recommend that all students and adults have the opportunity to learn good time management and balance skills, and be able to perform at their peak. This knowledge includes yet goes beyond the original 'time management' skills of organisation. It also enables citizens to take advantage of new neurological findings, to 'leapfrog' through learning, habits of low-quality time, to analyse their own time use given their deeper values and priorities, within the confines of the human life, and use it in a way they will never regret. A good understanding of time – including habits like procrastination, workoholism, priority-setting, and so on – enables people's effective time resources to increase: they have *more* time because the time they have, they spend more effectively. In order to do so, we propose:

- Activity-based learning in schools on time balance, time management, priority-setting, flow, and peak performance.
- Short courses available in adult learning centres, civil service, learning institutes in Universities, newspapers, and

companies, in religious institutions and others. These might be parts of lifelong learning systems offered to professionals.

- Short courses also available for populations usually overlooked: retired persons, unemployed persons, stay at home mothers and carers, those in gardening and construction, in factories, those working two part-time jobs, working in restaurants, shops and other service industries, residents of hospitals, prisons, military placements, so on. These groups are rarely exposed to activities that improve time balance, yet they often have the lowest-quality leisure (television), and the largest opportunity for improvement.

Related to the above, work places may seek to adopt innovative policies that support high performance in their staff – such as a nap room, or an exercise facility, or a meditation space.

### *Paternity Leave (Sweden)*

In 1974 Sweden transformed its maternity leave policies to include not simply mothers, but also fathers, legislating for parental rather than maternal leave. But opening parental leave to fathers wasn't enough – by 1991 only 6 percent took any share of parental leave because of disapproving male peers and a punitive work culture. Reforms then reserved two months exclusively for the father. Now 85 percent of Swedish men take advantage of some portion of paternity leave<sup>88</sup> and such leave has become a part of Swedish culture and expected by Swedish companies, not only in the cosmopolitan capital but also in the towns and rural areas of the north.

The other Nordic countries now have similar policies and<sup>89</sup> Continental Europe is also following suit. The policy's spread points to its benefits, not only for mothers, but also for fathers and children.<sup>90</sup> The stated goal of the original Swedish policy was to give

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<sup>88</sup> Bennhold (2010)

<sup>89</sup> Moss and Wall (2007)

<sup>90</sup> Moss (2010)

*men* as well as women greater freedom and flexibility with time use.<sup>91</sup> Paternity leave thus emphasizes a stronger relationship between fathers and children (itself linked to higher child wellbeing) and personal gains for the father as both an employee and an individual through supported leave.<sup>92</sup> These include not only the expected drop in the employment gap between women and men, and a shift in the social expectations of fatherhood that enables fathers to take on a more caring and involved role, but has also been linked with a measurable increased children's wellbeing through long-term father involvement,<sup>93</sup> and even a drop in male mortality.<sup>94</sup>

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<sup>91</sup> Nyberg (2004)

<sup>92</sup> Rostgaard (2010)

<sup>93</sup> Marshall (2008)

<sup>94</sup> Månsdottera, Lindholma and Winkvistd (2007)

## Psychological Well-being

True happiness does not lie in the external world, it is not dependent on the acquisition of material comforts or other people. Your happiness lies within you.-- *Tibetan Proverb*



Fig. 8: Emotion ~ the black box

Generosity is to do a kindness before it is asked, and to pity and give a man who asks. -- *Arabian Proverb* <sup>95</sup>

If you are patient in one moment of anger; you will escape a hundred days of sorrow. -- *Chinese Proverb*<sup>96</sup>

Courtesy is compatible with bravery. - *Mexican Proverb*<sup>97</sup>

Compulsory prayers never reach heaven. - *Slovakian Proverb*. <sup>98</sup>

The more we receive in silent prayer, the more we can give in our active life. -- Mother Teresa of Calcutta.

Let the first act of every morning be to make the following resolve for the day:

I shall not fear anyone on earth.

I shall fear only God.

I shall not bear ill toward anyone.

I shall not submit to injustice from anyone.

I will conquer untruth by truth.

And in resisting untruth I shall put up with suffering.

-- Mahatma Gandhi.



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<sup>95</sup> Wortabet (1916)

<sup>96</sup> Mieder (1986)

<sup>97</sup> Mieder (1986)

<sup>98</sup> Mieder (1986)

### **Psychological well-being**

The cultivation of awareness; the development of an genuine thought for others, so that even when taken by surprise one's instinctive response ushers from compassion; the non-judging sifting of emotions; the healing of memories that haunt or wound - are all characteristics of psychological well-being. When one is tormented by worry, anxiety, or excessive thinking; when one is fundamentally self-oriented; when emotions and desires bubble up and overpower in ways that are later deeply regretted or that badly harm others; when the inevitable wounds of childhood and later life remain raw years later; when one's actions are not integrated with one's emotions and deeply held values, there is space for greater psychological well-being. Naturally healthy psychological well-being is able to acknowledge deficiencies and struggle: harmful constraints of physical pain, poverty, discrimination, or cultural alienation can be acknowledged (and improvements warmly welcomed) even though they may not ruin one's life, and may co-exist with the deeper river of peace.

In the introduction to the *World Happiness Report*, Jeff Sachs wrote,

We increasingly understand that we need a very different model of humanity, one in which we are a complicated interplay of emotions and rational thought, unconscious and conscious decision-making, "fast" and "slow" thinking. Many of our decisions are led by emotions and instincts, and only later rationalized by conscious thought. Our decisions are easily "primed" by associations, imagery, social context, and advertising. We are inconsistent or "irrational" in sequential choices, failing to meet basic standards of rational consistency. And we are largely unaware of our own mental apparatus, so we easily fall into traps and mistakes. Addicts do not anticipate their future pain; we spend now and suffer the consequences of bankruptcy later; we break our diets now because we aren't thinking clearly about the consequences.

This domain is about enabling people to build up, from within, that different model of humanity. Our approach to psychological well-being frames it partly – even largely – as a skill that can be learned, not only as a dependent state that can be studied with reference to by correlates with other achievements. As a skill, it has a kind of independence and stability, and is not merely a function of external circumstances. Recall that education refers to children’s (and adults’) exposure to teaching on different subjects, that by education things can be learned and if learned they can be of both intrinsic and instrumental value. In this view, psychological well-being, too, comprises skills that can be learned, and if learned and used regularly, they can be of both intrinsic and instrumental value. Psychological well-being may also include the personal assessment of how satisfied a person is, all things considered, with respect to different domains of their own well-being.

In the GNH Index, psychological well-being has three components.<sup>99</sup> The first is spirituality – meditation or mindfulness practices, and the consideration of the consequences of one’s actions. The second is emotional balance, which is the outcome of emotional intelligence, and the cultivation of positive emotions such as generosity, empathy, and compassion. The third is evaluative satisfaction with respect to different domains of GNH.

Rather unfortunately, it appears to be rather difficult to describe and present the intrinsic and instrumental values of happiness without making some proportion of happiness researchers unhappy. This is because, at a time of rapid development and great enthusiasm for the transformative potential of happiness research, and in the light of intense lived personal experiences of happiness, passions and conflicts between approaches to happiness are not inconsiderable,

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<sup>99</sup> Our use of the term ‘psychological well-being’ for this dimension departs both from terminology others’ use, and also from other definitions of psychological well-being. For example, Ryan and Deci describe three elements of psychological well-being: competence, autonomy and relatedness.

competition for the dominant understanding is in full swing, and with new research and studies underway in every continent, the field itself is changing rapidly and no single research group has a full overview of the current body of knowledge in all languages and disciplines.

We find this period of intellectual ferment to be a beautiful one in which to advocate the ongoing development of policies related to spirituality, mind-training, emotional intelligence, and so on, alongside approaches of compassion, tolerance, and deep appreciation for others. There is no need to crystallize one or another ideology of happiness into a 'best' option; there is a need to recognise and affirm that there are things to learn, and that authentic improvements can be supported by wise policies. These can bring meaningful incremental advances for most people, regardless of whether we seem at the moment to be imprisoned or free, harried or bored, loved or lonely.

Psychological well-being has intrinsic value. Persons who have learned emotional intelligence are able to understand their own emotions and shape them in positive ways; they can also understand others' emotional responses more accurately, which helps in all relationships, whether personal, professional or other. The negative emotions do not have a crippling hold, and the positive ones enrich more freely. Spiritual practices including prayer, mindfulness and meditation – which is interlinked with emotional balance – bring a core stability and silence, which neither wealth nor penury can rock. And it is of unquestionable intrinsic value to reflect across the domains of one's life and be satisfied with most of them.

Psychological well-being also has tremendous instrumental value, being associated with better health, higher immunity, more stable and satisfying relationships, better performance and upwards progression in work, and much more. Recent literature on this is particular vast although particular associations depend naturally upon the particular measure(s) of happiness that are being used. Some useful findings are presented in Cummins (2000), Diener et al

(2009), Helliwell and Wang (2012), Layard (2004), Kahnemann (2011), Ricard (2007), and Seligman (2011) among others.

The contexts for developing psychological well-being range from extended periods in monasteries or convents. These can vary greatly in length – from five years or more of spiritual formation to take life vows as a monk or nun or religious leader, to three-year retreats in Tibetan Buddhism or the Ignatian 40-day spiritual exercises in Christianity or 10-day courses in Vipassana meditation. Skills can be taught in courses – such as mindfulness training, or the Search Inside Yourself course, or courses in emotional healing – and can benefit from books and audio, visual or web resources, from religious practice, from highly developed teachers, from support groups, and so on. Mobile apps for telephones include mindfulness bells, daily quotes, an ‘examination of consciousness’ for the end of the day, and other things. A great range of resources may appear to be available, although these may require connectivity, or may be limited or censored in contexts that permit only a particular set of religious or ideological practices to be taught. However again and again it appears to that human interaction – of a teacher and of peers – can greatly accelerate and ease the development of psychological well-being. Our case studies for this domain, thus, showcase certain ways in which persons (including children) who may not seek out such resources, are invited to try them and out assess from their own experience their worth. The first focuses on instilling empathy and compassion in young children, given that this is fundamental to psychological well-being but also, as the title of Meng’s book suggests, to world peace. The second focuses on the cultivation of mindfulness among the prison community, the third, among clinically depressed persons, and the fourth, among high-flyer leaders in the corporate sector. As in all the previous domains, in this last and final domain, the case studies do not encompass the range of possibilities – and more are found in the Appendix – but they do suggest that there are concrete avenues by which these practices can be extended in personally and socially constructive ways. Indeed, building on these policies may prove to be one of the most exciting distinctive policy areas of this Commission.

At the same time, it must be noted that public investments in psychological are likely to be controversial in many contexts, particularly if they are not viewed to be an area that is appropriate for public sector activity, and/or if they come at the cost of other policies which primarily fall to the public sector, such as universal health care provision.

***Roots of Empathy:***

*“We have managed to harness the power of the wind, the sun and the water, but have yet to appreciate the power of our children to effect social change... We cannot afford to underestimate the critical role of empathy in moral development and our motivation for justice.”* Mary Gordon, Ashoka Fellow<sup>100</sup>

Founded in 1996, Roots of Empathy offer a streamlined, effective and scientifically-endorsed methodology to teach empathy in elementary schools. The program involves nine facilitated visits of the same parent and his or her baby in a classroom across one year, surrounded by discussions of child development and emotional literacy. “Children learn to understand the perspective of the baby and label the baby's feelings, and then are guided in extending this learning outwards so they have a better understanding of their own feelings and the feelings of others. This emotional literacy lays the foundation for ... children [who] are... more socially and emotionally competent and much more likely to challenge cruelty and injustice.” The programme is implemented in schools throughout Canada, as well as the US, New Zealand, the Isle of Man, Northern Ireland, the Republic of Ireland, and Scotland. It has been lauded by the Dalai Lama, and Canada's First Nations stated that the program is “compatible with traditional First Nations teachings and worldviews.” Research documents that children who participated in Roots of Empathy programs are kinder, more cooperative, and more inclusive of others, less aggressive and less likely to bully compared to children who did not participate. Effects were shown to last at least three years.

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<sup>100</sup> Gordon (2009)

### *Meditation in Prison (India and elsewhere)*

Meditation is not just for the elite, be they religious ascetics, those gifted with calm minds, or those with the financial and family possibility to take time off. Program of meditation in prisons has been shown to improve well-being and reduce violence and recidivism, for example in India (Tihar) and the United States but also other countries. In Tihar, much of the training is done through intensive Vipassana programmes run by teachers from The Art of Living Foundation; others have other approaches.

At the Tihar Jail, which was built in the 1950s for few thousand inmates and was overcrowded, anger and anguish were commonplace – particularly among the innocent who often had to wait months, even years for a court date or to make bail. “That’s why it’s so important to help them to overcome stress,” says Akhilesh Chabra, of the Art of Living. “They are seething with negative emotions, very bitter yet helpless. Meditation improves their frame of mind.” Meditation helps inmates to cope. It has changed the atmosphere, according to staff and the inmates interviewed; inmates are calmer and more co-operative, relations with the staff more harmonious.

A study that examined the psychological and behavioral effects an intensive ten-day Vipassana Meditation (VM) retreats in a maximum security prison found that “VM participants achieved enhanced levels of mindfulness and emotional intelligence and had decreased mood disturbance relative to a comparison group. Both groups' rates of behavioral infractions were reduced at one-year follow-up. Clinically, VM holds promise for addressing self-regulation and impulse control, among other barriers to prisoner adjustment and community reentry.” Other groups – such as the Phoenix Prison Trust in the UK and Ireland, have been working since 1988 and a recent 2012 impact evaluation documents similar transformative effects.<sup>101</sup>

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<sup>101</sup> [http://www.theppt.org.uk/information\\_for\\_prisons.php](http://www.theppt.org.uk/information_for_prisons.php)

"It's the only pillar that has helped me to withstand separation from my wife and son. Once I've done the exercises I feel stress leaving my body in a great surge. If something angers me I know how to control my reactions." -- Sunil Chinchine, Tihar Prison, India.

"Had I learned how to love, even as a 10-year-old boy, things would have been different," he said, not long ago. "I keep referring back to this love thing. It's just so important to the universe, you know. It expands more than just an emotion - it's a way of life. How we interact with each other and see each other ... it's amazing. I had to come to prison in order to be free, and it's stupid, I guess, but it happened." - Leon Kennedy, Donaldson Correctional Facility, Alabama, US.

### **Mindfulness to counter Depression**

"The Oxford Mindfulness Centre, an international centre of excellence within Oxford University's Department of Psychiatry, applies mindfulness techniques to patients with mental and physical problems and monitors outcomes. Its main focus is on serious recurrent depression and its consequences. Patients are taught how to apply mindfulness to forestall, minimize or alleviate recurrent episodes of their illness. Practitioners from various disciplines (psychologists, teachers, physicians) are taught mindfulness so they can apply them to people for whom they have a duty of care. OMC works to spread knowledge of its findings to as wide an audience as possible and has published numerous articles on the subject of mindfulness and mental health in multiple scientific journals and books. It has also conducted randomized trials on the subjects of staying well after depression and mindfulness-based cognitive therapy for anxiety.

"The Centre's Eight-Week Cognitive Therapy course for the public is recommended by the UK's National Institute of Clinical Excellence and is as effective as drugs for preventing depression. There is great potential that widespread availability will have a beneficial effect on the general population, not just those who are diagnosed unwell. As part of this mission, the OMC partners with the Mindfulness in

Schools Project. OMC is also developing mindfulness-based approaches to meet the needs of specific situations and cultures around the world. In this connection it has links with partners in Asia and Africa.”

The OMC has also developed and supported the implementation of significant school programmes to teach mindfulness to children in schools.

### **Search Inside Yourself: Mindfulness at Work**

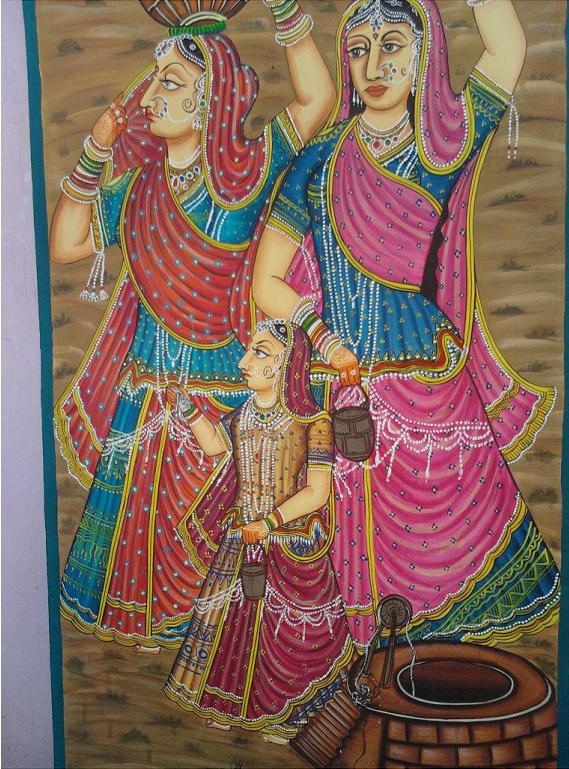
Alongside stories of meditation in prison or mindfulness against severe depression are stories of training in mindfulness or attention, self-knowledge and self-mastery, and the creation of useful mental habits – for staff of Google Inc as well as others. One of Google’s popular courses for staff ongoing development is called “Search Inside Yourself.” The course, which runs for 7 weeks and has 30 students per class, was developed by a Google Employee, Chade Meng, who has subsequently published a widely acclaimed book with inputs from Goleman (author of *Emotional Intelligence*) and others called *Search Inside Yourself: The Unexpected Path to Achieving Success, Happiness (and World Peace)*. In addition to teaching grounding practices of mindfulness and emotional intelligence, it also teaches how to apply these to a fast-paced work environment – skills such as mindful emailing.<sup>102</sup>

This concludes the first draft of the background document for the IEWG. Suggestions, improvements, and corrections are warmly welcomed. Rather than offering a conclusion, I conclude with some quotations which may lead us hastening towards the work that lies ahead:

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<sup>102</sup> <http://www.nytimes.com/2012/04/29/technology/google-course-asks-employees-to-take-a-deep-breath.html?pagewanted=all>, and *Search Inside Yourself* (2012)

## The Future



Twenty years hence will soon become tomorrow. -- Yoruba (Nigerian) proverb

'Hope is not the conviction that something will turn out well, but the certainty that something makes sense, regardless of how it turns out.'  
Vaclav Havel, playwright and previous President of the Czech Republic

It's kind of fun to do the impossible.

- Walt Disney 1901-1966

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# Appendix

## A Map and an Atlas: 65 Case Studies and Innovations

*Sabina Alkire and Ann Barham with Nimi Hoffmann, Julia Kim, Dasho Karma Ura, and others*

It is difficult to define what we are, but our works speak for us.

*~Octavio Paz*

**What This Document Is:** This document is a list of works and workers. Some are case studies; many others are short accounts or citations of innovative programs and policies. All attend to some dimension of wellbeing—often more than one. This collection of 65 case studies and innovations is the result of several people sifting through many, many reports, articles, lists, as well as recommendations from colleagues. Some are backed by statistics and peer-reviewed studies, while the recentness and scale of others means their full impact has not yet been measured. This is particularly true of some initiatives in the developing world. Some are highly innovative; others may be mainstream in certain contexts. This does not mean, however, that their innovations should be ignored or left unshared. It does indicate, though, the tremendous importance of measurement and the need for robust yet straightforward tools for assessing a program’s or policy’s efficacy and effect on wellbeing. **Use this document as map. It is both a point of departure and an atlas of potential destinations.**

We are well aware that these studies are but the tip of the iceberg, and hope that they will catalyse you, the readers, to propose your own, stronger, examples so that together we can build the strongest body of concrete, high-impact and cost-effective policy examples possible, whose consideration will spark within the wider audience a realization that policies to advance well-being and happiness are financially and institutional feasible, and that they would genuinely

enrich, indeed transfigure, the human outcomes of development policies.

Please note that the companion document 'Well-being and Public Policy' (Alkire 2013) includes only a subset of cameos drawn from this more extensive document. Further information about many of those cameos, as well as additional cases and innovations, can be found here.

\*This project was overseen by Sabina Alkire (sabina.alkire@qeh.ox.ac.uk) and Ann Barham, yet is result of genuine collaboration across several people and their own networks. Dasho Karma Ura of CBS requested a policy-focused document and provided the initial inspiration as well as mid-course corrections. The initial format for case studies was jointly designed by Sabina Alkire, Julia Kim and Nimi Hoffman (then at CBS, Bhutan), and Kim and Hoffman were responsible for drafts of most case studies in the health, education, environment, and government dimensions. Ann Barham provided most of the case studies in the other five domains and coordinated other writers as well as substantively checked and edited the final materials of material into a coherent document. Liz Fouksman wrote up several case studies in different domains and provided careful analysis of potential downsides, and Divya Nambiar provided an in-depth study of the preservation of Indian classical dance and of SEAM, alongside other cases. John Hammock and his friends provided suggestions and feedback and Diego Zavaleta and Kim Samuel added the Granny-Orphan program in South Africa.

***Important note on Intellectual Property:*** *Some of the case studies in this document represent primary analyses; other material has been cut and pasted from other sources, which are normally provided. Thus this is a living document rather than an academic reference. Before using or quoting the case studies, please check sources in order to give full credit to original sources as well as to this compilation.*

## Education

### Open Textbook (South Africa)

Brief Description: *Siyavula* is a project that allows textbooks to be produced, managed and distributed collectively, and free of charge. Teachers work together to share and develop knowledge that is openly licensed under a Creative Commons copyright license. The resources can be adapted to ensure that they are in students' home language and are culturally relevant. They can be printed and revised freely without the financial and legal barriers associated with a traditional, restrictive copyright licence. They currently produce science and mathematics textbooks for high school children. Note: *Siyavula* is a specific instance of the knowledge commons in the realm of school textbooks. There are other significant applications of the knowledge commons for university teaching and for academic journals (briefly discussed below).

1. Implemented by: *Siyavula* is a social entrepreneurial firm funded by the Shuttleworth Foundation. It brings together communities of teachers, parents and academics who produce and edit the textbooks. The textbooks are made freely available on the Internet and on MXit, Africa's largest mobile social platform. Children can print them or read them on their phone or computer. The textbooks have also been printed by government and sent to schools.

2. Location, scale, time period: South Africa - *Siyavula* was established as a project in 2008. In 2012, 2.4 million books for high school mathematics and science were printed and distributed. Children have also accessed the textbooks online and via mobiles (on MXit); however this figure has not been tracked.

Open textbooks and open journals have been implemented in a number of different countries. *Siyavula* is perhaps distinct in that it combines collaborative production with open access. Prominent, successful examples include:

## *Well-being, Happiness, and Public Policy*

### *Primary and high school:*

Bangladesh national e-repository: first country to digitize its textbooks and make them freely available to read online, download and print. Currently: 50 000 pages have been digitized. Plans to digitise 5 million pages.

India's National Council of Educational Research and Training digitised all its textbooks from 1st standard to 12th standard .The textbooks are available online for free.

### *Higher education:*

Scientific Electronic Library Online (ScieELO): peer-reviewed, open-access journals from Argentina, Brazil, Chile, Colombia, Costa Rica, Cuba, Spain, Mexico, Portugal, Venezuela and South Africa. It currently has 986 journals. 2004 onwards.

African Journals Online (AJOL), peer-reviewed, open-access journals from all African countries excluding South Africa. 2007 onwards.

MIT - open courseware - free, openly adaptable, online courses, 2011 onwards.

### 3. Impact/Significance:

Open textbooks and journals can produce low cost, high quality knowledge.

In the case of Siyavula, they produced at a cost of \$3.50 per textbook, or \$8.4 million for all 2.4 million textbooks. In contrast, the Department of Basic Education previously paid \$17.20 per textbook, or \$41.38 million in total. That's a saving of 79%, or almost \$33 million.

They produced textbooks for children in their own language and using examples from their own contexts. In many developing countries, children are forced to learn from English-language textbooks that use foreign examples and concepts. This is a big

obstacle to successful learning and can rob children of the joy of learning.

Collective production and critique by teachers minimises biases and information gaps. All of this ensures that poor children have access to high-quality education materials, which is necessary for them to participate in quality schooling. By making sure it's not limited to the rich, they may also reduce education inequalities.

In countries where the state does not deliver textbooks or does not do so on time, alternative access to free textbooks can be a crucial coping mechanism for students and teachers.

For researchers, policy-makers and academics

All of the above also applies to scholars and researchers in higher education as well – academics and researchers from poor countries and institutions can access knowledge. This improves information flows and can help address biases and information gaps.

Hard evidence of substantially improved citation rates for scholars and impact factors for journals that go open.

Historical evidence that the free flow of knowledge is crucial to innovation and creativity. See Paul David's work on the Scientific Revolution in Europe.

Potential problems or critiques: For open knowledge in general – large-scale roll out may encounter opposition from parties who are interested in financially benefiting from intellectual property rights. It may encounter opposition from textbook producers and distributors, and from interested parties, such as politicians, who may have benefited from the tendering process.

A second problem concerns inequalities between the North and the South, particularly with regards to open academic journals. It means that open knowledge often flows in only one direction – from the

North to the South, thereby overwhelming and possibly undermining domestic knowledge production.

Linkages to other Domains: Intuitive connection to cultural diversity and community vitality. Clear link between two theoretical domains – the capabilities approach and the commons, since the free flow of knowledge enhances individuals' intellectual capabilities. Contentious connection between the free flow of knowledge and innovation (and by extension, conventional indicators of economic well-being): some argue against open knowledge, claiming that intellectual goods need to be protected by strong property rights.

While UNESCO has championed open knowledge for the last decade, the issue remains cut off from larger debates about the wellbeing of citizens. Bringing this issue to the fore in areas like GNH and the capabilities approach is both novel and timely.

Potential Policy Recommendation: to treat knowledge as a public good. In schools, this can mean governmental support for creating and distributing open textbooks. In universities, this can mean governmental support for open access collections of journals and textbooks, such as SciELO and AJOL. More detailed policy recommendations can be found in the UNESCO handbooks (see below).

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### **The Joy of Learning (Finland)**

Brief description: “Children who are taught in a supportive environment enjoy the schooling experience: the friends, the play, and the study. In the PROBE survey, we found that when children were asked why they wanted to continue studying, their answer usually referred less to future benefits than to the immediate pleasure of learning – ‘bas, padhna accha lagta hai’. The yearning for this joy comes across most clearly in those who are deprived of it. For instance, young daughters condemned to domestic drudgery after being withdrawn from school, often look back wistfully to their school days. Having said this, it is also true that the school environment often fails to foster the joy of learning, and even alienates many children. Thus, the right to education has to be understood as a right to education of a certain quality. Who would aspire to the right to get crushed, bored, humiliated or punished day after day?” (PROBE 1998) (The Probe survey covered all schooling facilities, and a sample of 1376 households, in 234 randomly-selected villages of Bihar, Madhya Pradesh, Rajasthan, Uttar Pradesh and Himachal Pradesh in 1998.)

Implemented by: Government schools in Finland

Location, scale, time period: Potential examples of joy of learning – Finnish education system, where children are encouraged to play. Tagore’s Patha Bavana at Santinikentan.

Impact/Significance:

Potential problems or critiques: only rich countries can afford to let children experience happiness and enjoy their experience. Response – if I can find a study clearly linking joy of learning to school outcomes, then this objection does not apply.

Linkages to other Domains: psychological wellbeing, time use

Potential Policy Recommendation: to conduct research on understanding what robs children of the joy of learning. Potential obstacles – learning in a language that is not one's own, learning

from books that have no connection to one's context (for post-colonial societies); being taught via rote memorisation, curiosity being punished rather than rewarded, rigid discipline, not being able to be outside on a beautiful day. Being really hungry or sleepy.

### **Well Told Story (Kenya) & Planet Read (India)**

Two programs, one in India and one in Kenya have used various media, including television, radio, and comics to teach literacy skills and to connect and educate young people through the power of story. "In India, which, according to UNESCO, ranks 147th out of 177 countries measured for literacy, hundreds of millions of individuals are either illiterate, or 'neo-literates' – possessing only rudimentary literacy skills despite having attended several years of primary school. Recognizing that literacy skills have to be constantly reinforced, Planet Read appropriated the method of 'Same Language Subtitling' (SLS) – the practice of subtitling television programs, films or video clips in the same language as the audio track – and applied it to the wildly popular Bollywood music videos aired weekly on television throughout the country.

With hundreds of millions of viewers keen to learn the words to their favorite songs, Planet Read's program has a huge reach. More importantly, the impact has been impressive. When exposed to 30 minutes of SLS per week, the functional literacy rate among students who had at least five years of Hindi schooling grew from 25 to 56 percent. The organization estimates that its weekly broadcasts reach an audience of approximately 200 million neo-literates nationwide."<sup>103</sup>

A Well Told Story, on the other hand, uses stories not to teach literacy but to "spur positive social changes that can be proved and measured." Unlike the Indian model, which relies on television and video, "Well Told Story makes comic strips, which can reach those who are unlikely to have televisions and convey complicated social

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<sup>103</sup> <http://www.planetread.org/>; <http://theglobaljournal.net/group/top-100-ngos/article/508/>

issues and information in an engaging way that could lead to sustained behavior.<sup>104</sup>

“Well Told Story engages Kenyan youth (more than half of Kenyans are under 18, and nearly three quarters are under 30) via a multi-media approach, embodied by a monthly comic, a Facebook page, downloads for mobile phones, and a daily syndicated radio show. The multi-media approach engages different segments of their young audience, and helps drive people towards more engaged forms of media participation, and real world action. The radio show and comic reaches out to Kenyan youth with practical ideas they can use to improve their lives. The subjects that have been the focal point have ranged from seed soaking, to helping street children, to national cohesion, to hate speech.

The comic is distributed nationwide inside the Daily Nation newspaper and via thousands of Mpsa money kiosks in the Safaricom mobile phone network. Over half a million are in circulation every month, more than double the biggest national newspaper, with an estimated readership of 5 million reads a month, and 12.5 million have been distributed in the last two years. The daily radio show which they syndicate to 23 FM stations every day – the only syndicated radio programme in the country. The story also plays out on Facebook in a powerful way: with 50, 000 views per month to their Facebook page, and 650,000 conversations.

Well Told Story operates as a socially oriented business, not a charity. Around 40% of their costs are met by commercial partners, for example via product placement. The other 60% comes from work with likeminded development organisations who want to drive behaviour change. Previous tests about self-efficacy amongst young

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<sup>104</sup><http://www.comminit.com/global/taxonomy/term/36%2C57%2C216%2C74>; Rob Burnet, Director, Well Told Story, Interviewed February 2012; <http://wts.co.ke/>

people who regularly read the comic have found a statistically relevant spike in the efficacy of regular readers.”<sup>105</sup>

### **Empathy and Education (South Korea, Singapore, Hong Kong, Uganda)**

Asian countries such as Japan, South Korea, Singapore, Hong Kong, have efficient effective education systems. Education has formed a cornerstone of Asia’s economic strength over the last few decades. Yet a growing movement is asking whether traditional approaches to education might stifle creative thinking and empathy – which are meaningful, as well as vital for economic excellence. For example, in Singapore, Thought Collective seeks to influence traditional education and support the development of socially aware, creative and innovative youth. It offers tuition and mentoring, alternative curriculum, a magazine, an apprenticeship programme, and even a restaurant.<sup>106</sup> Similar examples can be found in South Korea, Hong Kong, and elsewhere. For example, Educate! in Uganda, advocates the need to “re-imagine the purpose of education” in order to develop a “new generations of leaders and entrepreneurs to solve poverty, disease, violence, and environmental degradation.”<sup>107</sup> Their guiding mandate is to “be the most cost-effective way to create a changemaker” and their curriculum has been adopted in schools serving 25,000 students. While these profiled innovations have not arisen within the education sector, each aims to catalyse system-wide change in pedagogical approaches.

Thought Collective, Singapore - In Singapore, the Thought Collective aims to change the educational paradigm through a multi-pronged approach, running four social enterprises, including School of Thought, Food for Thought, Think Tank and Thinkscape. The Thought Collective seeks to change the status quo of traditional education by setting up a tuition school that had an ulterior motive –

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<sup>105</sup><http://findingwhatworks.org/2012/05/03/well-told-story/>,  
<http://wts.co.ke/>

<sup>106</sup><http://www.school-of-thought.com/sot/subpage.php?p=aboutus>

<sup>107</sup><http://www.experienceeducate.org/about/>

to support the development of young people in Singapore who were more socially aware, creative and innovative. They set out to tackle the problem of widespread apathy amongst young people in the face of long-term social problems.

Haja Centre, South Korea - At the Haja Centre, young people are given the autonomy to work on the projects that stimulate their creativity- from making films, creating art, websites, social enterprises. Self-directed learning and self-reflection is encouraged, and the space allows for young people to experiment and be creative. There is also a strong importance placed on relationships - especially peer-to-peer relationships. The Haja Centre has created a platform called 'Show Haja' where young people are invited to share and present their journeys of success and failure. The platform enables the young people to work collaboratively and to understand different perspectives with an open mind.

Make a Difference (MaD), Hong Kong -- Make a Difference (MaD) organised by Hong Kong Institute of Contemporary Culture in Hong Kong, MaD is a Hong Kong-based platform devoted to inspiring and empowering young people aged 19-30 across Asia to create positive personal, economic, social and environmental change. The Hong Kong Institute of Contemporary Culture believes that young people have a power to make a difference and focuses on creativity, entrepreneurship, innovation and discovery.

Bullets taken from Finding What Works website:

<http://findingwhatworks.org/2012/06/25/learning-for-creativity-innovation-and-empathy-lessons-from-asia/>

*Sources:*

Thought Collective Singapore website:

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Haja website: <http://2010.haja.net/>

Make a Difference website: [www.mad.asia/site/organizer](http://www.mad.asia/site/organizer)

### **Non-inflammatory Education**

While education is generally associated with wisdom and positive values, it need not be so. The League of Nations addressed textbooks after the devastation of the World War, in an endeavour to build tolerance anew, even in toddlers. Yet in many contexts, even today, textbooks inflame, in the minds of children and youth, prejudice, bigotry, misinformation. This has been the case not only in Israel-Palestine, but also in China, North and South Korea, Japan, India, Pakistan, Bulgaria, Russia, and the United States in different epochs. Further, this 'learning' can perpetuates political conflict, active discrimination, or even incite new violence. Also, when ideology is taught unadvertised with an aim to sustain uncritically a certain set of attitudes behaviours, 'such manoeuvres can short-circuit the healthy debate ... screening out views that offend or challenge those who wield the blue pencils of power.'<sup>108</sup> In a study of textbooks from 160 countries, a textbook research centre in Braunschweig, Germany finds that 'the most contentious are books covering history and geography...though religion is a growing area of dispute.'

Drawing on work led by Harvard researcher Martha Minow, the Sen-Ogata Human Security Commission profiled the need for attention to inflammatory textbooks. That report stated "Although teacher and peer influence is an important part of a student's education, textbooks remain a critical component of the educational process. They communicate values, and these values are not always consistent with the principles of well-being. Quite the contrary, their messages can be quite destructive of the objectives of social harmony and, in some instances, actually support the infliction of insecurities, violent or otherwise, on others.

The report observes that "Inflammatory content tends to fall into two basic categories: (1) overly complimentary to one's own group (2) overly critical of another group. In the first, students are taught to see themselves as identified with one race, religion, or other group. ... In

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<sup>108</sup> *The Economist*. 'It ain't necessarily so' October 13<sup>th</sup> 2012, page 27-30, this and following quotes

the second category, students are taught malice towards 'enemies.' ... Although we can acknowledge that teaching materials, especially about national and group histories, are inevitably inflected by interests and politics, we can nonetheless identify a real difference between those that emphasize superiority of one group or negative stereotypes of others and those that pursue complexity, balance, tolerance, and peace."<sup>109</sup>

Links to other dimensions: psychological wellbeing, community vitality

Policy recommendations: Link to Open Textbooks – collaborative production, by including individuals from different groups – is plausibly an excellent way to ensure non-inflammatory education materials. It offers the possibility of what Amartya Sen has called *positional objectivity*: the imaginative engagement with views and experiences that are not our own.<sup>110</sup>

Taken from: Commission on Human Security. (2003). *Human Security Now*. New York. p 124.

### **Apprenticeships (Germany, India)**

Technical vocations, such as bricklaying, engineering, and accounting, have high economic value, and are equal in inherent value to other non-technical jobs. They are perhaps best taught through doing and observation, rather than by reading a book. In the same way, one can only learn how to ride a bicycle by riding it. They address profound skills gaps in university-dependent markets, and ensure high levels of technical skills that are important for sustainable economic development.

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<sup>109</sup> Commission on Human Security. 2003. *Human Security Now*. p. 124 [hdr.undp.org/en/media/NHDR\\_Human\\_Security\\_GN.pdf](http://hdr.undp.org/en/media/NHDR_Human_Security_GN.pdf)

<sup>110</sup> See, for instance, Sen's 'Positional Objectivity', *Philosophy and Public Affairs* 22 (1993): 126-145.

Examples of apprenticeships: Germany's apprenticeship system is possibly the best in the world. It values an apprentice-master at the same level as a university graduate. Other examples: Bunker Roy's barefoot college, which has trained about 3 million solar engineers, teachers, midwives, weavers, architects and doctors, largely from India, but increasingly from African countries too.

Policy recommendation: to recognise and support high quality apprenticeships as equal in value to classroom learning at school and universities.

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### **Educating for GNH (Bhutan)**

**What:** The principles and values of Gross National Happiness will be deeply embedded in the consciousness of Bhutanese youth and citizens. They will see clearly the interconnected nature of reality and understand the full benefits and costs of their actions. They will not be trapped by the lure of materialism, and will care deeply for others and for the natural world.

**How:** Bhutan's entire educational system will effectively cultivate GNH principles and values, including deep critical and creative thinking, ecological literacy, practice of the country's profound, ancient wisdom and culture, contemplative learning, a holistic understanding of the world, genuine care for nature and for others, competency to deal effectively with the modern world, preparation for right livelihood, and informed civic engagement.

**When: 3-year goal:** Bhutan's school system will have GNH-minded teachers and a GNH-infused learning environment, and access to these by all Bhutanese children and youth. Within three years, all of Bhutan's teachers will have received effective education in these

areas, and within one year, all of Bhutan's school principals will have received GNH-inspired education.

**Qualities of a GNH-educated graduate:** "We know that what we want to see is very different from the economic animal that conventional educational systems so often seem to nurture, where success is measured by money, career, acquisition, fame, power, and self-aggrandizement.

Knowing how different our vision and goals are, we know with certainty that what we want to see is nothing less than transformative — graduates who are genuine human beings, realizing their full and true potential, caring for others—including other species—, ecologically literate, contemplative as well as analytical in their understanding of the world, free of greed and without excessive desires; knowing, understanding, and appreciating completely that they are not separate from the natural world and from others — in sum manifesting their humanity fully.

I suppose the ultimate test is that a GNH-inspired education graduate will sleep soundly and happily at the end of each day knowing that she or he has given all to their families, to their communities, and to the world. If we and our young do not have this firm commitment, there is literally no future. In the end, a GNH-educated graduate will have no doubt that his or her happiness derives only from contributing to the happiness of others."

### **The Joy of Learning (Finland, India)**

Brief description: "Children who are taught in a supportive environment enjoy the schooling experience: the friends, the play, and the study. In the PROBE survey, we found that when children were asked why they wanted to continue studying, their answer usually referred less to future benefits than to the immediate pleasure of learning — 'bas, padhna accha lag tahai' . The yearning for this joy comes across most clearly in those who are deprived of it. For instance, young daughters condemned to domestic drudgery after being withdrawn from school, often look back wistfully to their

school days. Having said this, it is also true that the school environment often fails to foster the joy of learning, and even alienates many children. Thus, the right to education has to be understood as a right to education of a certain quality. Who would aspire to the right to get crushed, bored, humiliated or punished day after day?" (PROBE 1998) The Probe survey covered all schooling facilities, and a sample of 1376 households, in 234 randomly-selected villages of Bihar, Madhya Pradesh, Rajasthan, Uttar Pradesh and Himachal Pradesh in 1998.

Implemented by: Government schools in Finland; Santiniketan India

Location, scale, time period: Potential examples of joy of learning – Finnish education system, where children are encouraged to play. Tagore's Patha Bavana at Santiniketan.

Impact/Significance:

Potential problems or critiques: Only rich countries can afford to let children experience happiness and enjoy their experience.

Linkages to other Domains: psychological wellbeing, time use

Potential Policy Recommendation: to conduct research on understanding what robs children of the joy of learning. Potential obstacles – learning in a language that is not one's own, learning from books that have no connection to one's context (for post-colonial societies); being taught via rote memorisation, curiosity being punished rather than rewarded, rigid discipline, not being able to be outside on a beautiful day. Being really hungry or sleepy.

## Health

Good Health at a Low Cost (Costa Rica, China, Sri Lanka, India)

Overview: In 1985, the Rockefeller Foundation commissioned a series of papers that explored the question of why some poor countries were able to achieve better health outcomes than others at similar (or greater) levels of income. The original report, entitled *Good health at a Low Cost (GHLC)* identified Costa Rica, China, Sri Lanka and Kerala State in India as areas of the world where dramatic reductions in infectious disease, infant mortality rate, and improvements in life expectancy were experienced in the absence of a parallel rise in their economic output.<sup>111</sup>

This report was followed-up 25 years later by a similar assessment of a new group of GHLC countries. Bangladesh, Ethiopia, Kyrgyzstan, the Indian state of Tamil Nadu and Thailand had more recently been achieving major health gains well in excess of what one would expect based on their incomes.<sup>112</sup> For example:

- Thailand witnessed steep reductions in maternal mortality between 1960 and 1990
- In Tamil Nadu, maternal mortality rates were less than half the Indian national average.
- Ethiopia had gone from being one of the worst performers in under-5 mortality to outperforming neighbouring Tanzania and Uganda.
- Bangladesh and Tamil Nadu had among the longest life expectancies for men and women in their regions.
- Thailand, a country that had achieved all the health MDGs, now adopted MDG+, a set of targets which go well beyond the internationally agreed goals.

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<sup>111</sup> Halstead, S.B., J.A. Walsh, and K.S. Warren. *Good health at a low cost*. in *Proceedings, Bellagio Centre, Bellagio, Italy, 29 Apr- 2 May, 1985*. Rockefeller Foundation, New York. 1985.

<sup>112</sup> Balabanova, D., M. McKee, and A. Mills, *Good health and a low cost 25 years on: what makes a successful health system?* 2011, London: London School of Hygiene and Tropical Medicine.

- Thailand and Kyrgyzstan achieved universal health care coverage through expansion of health insurance schemes, unique among countries at their income level.

Benefits and impacts: What were these countries doing differently that resulted in such major gains health outcomes relative to their per capita income? A number of common elements were observed across countries assessed in both time periods, with striking similarity in the lessons learned. For GHLC countries, a number of crucial perspectives emerged to explain their progress:

- Health was conceived as a social good, and not just the end-product of health sector spending.
- Solid policies and programs were put into place to address the social determinants of health - including education (particularly for women), nutrition, land reform, basic infrastructure and livelihood security.
- There was a commitment to social equity with a special emphasis on reaching out to the most vulnerable groups. This included deploying 'ancillary nurse midwives' to rural areas in Kerala, India and 'barefoot doctors' in rural China.
- Investments focused on primary health care with a strong emphasis on prevention. This was particularly true in the follow-up report, where strong health systems have become an even more important driver of health improvements than ever before.
- There was a commitment to high-levels of community involvement in health care

Potential critiques and Potential Policy Recommendations: The GHLC work and the Alma-Ata Charter upon which it was based are not without their critics. The WHO definition itself, conceiving health as "physical, mental and social well-being" while aspirational, was not felt to be a measurable objective. Growth-oriented economic policies resulted in cuts in public funding for health in many poor countries, with privatization of health care, and the implementation

of user-fees as a mechanism to recover costs.<sup>113</sup> A comprehensive primary health care system was simply out of reach and unaffordable. Many countries still opt for a 'selective' approach, where a few services and commodities are prioritized and administered vertically.<sup>114</sup>

Despite these reservations, the GHLC experience continues to resonate and a range of policy recommendations have emerged. First, access to an integrated package of basic health services is a fundamental right. Every effort should be made to develop an appropriately staffed and well-equipped health system, and to ensure universal coverage for all citizens, irrespective of income, social status or residency. Second, a comprehensive package of PHC services with a strong emphasis on prevention can be implemented at a relatively low cost. Third, addressing health inequalities is possible – with GHLC countries making major inroads to addressing the needs of remote and vulnerable populations. Fourth, global partnerships are essential. The four-fold increase in development assistance for health over the past two decades and the emergence of predictable and stable global financing mechanisms such as the Global Fund has created new opportunities for countries to ensure basic needs are met. Fifth, for rich and poor countries alike is the imperative of community involvement in health care policies and programs. Finally is the crucial importance of efforts to work across sectors to address the social determinants of health.

### **Improving Quality of End of Life Care (US)**

Brief Description: Promoting Excellence in End-of Life Care, a national program of The Robert Wood Johnson Foundation, provided funding (\$9.2 million) and technical assistance to 22 demonstration projects representing a wide range of health care settings and patient populations to develop innovative models for

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<sup>113</sup> Lawn, J.E., et al., *Alma-Ata 30 years on: revolutionary, relevant, and time to revitalise*. Lancet, 2008. 372: p. 917-927.

<sup>114</sup> Cueto, M., *The origins of primary health care and selective primary health care*. American Journal of Public Health, 2004. 94: p. 1864-1874.

delivering palliative care that addressed documented deficiencies in the care of patients and families facing the final stage of life.

Implemented by: a range of urban and rural health care settings e.g. in integrated health systems, hospitals, outpatient clinics, cancer centers, nursing homes, renal dialysis clinics, inner city public health and safety net systems and prisons. Populations served included prison inmates, military veterans, renal dialysis patients, Native Americans, Native Alaskans, and African American patients, inner-city medically underserved patients, pediatric patients, and persons with serious mental illness patients

Location, scale, time period: From 1998-2004. Twenty-two demonstration projects across wide range of health care settings, patient populations and geographic areas across the United States (e.g. one project included eight dialysis centers in Western Massachusetts; another included 32 Alaskan Native villages). The selection group chose projects with potential national implications for improving the quality of end-of-life care by expanding availability of and access to palliative care for people with progressive, life-threatening conditions.

Impact/Significance: Each project conducted its own evaluation using different measures and the specific methods and depth of evaluation varied widely. Details of individual project interventions and evaluation methods are available at [www.promotingexcellence.org](http://www.promotingexcellence.org)

Hosting or adopting institutions sustained or expanded twenty of the 22 models, and feedback from all stakeholders was positive. Project sites developed and utilized new palliative care services and addressed quality through implementation of new standards and clinical protocols. Costs of care, where they could be assessed, were unaffected or decreased for project patients versus historical or concurrent control. The projects demonstrated that by individualizing patient and family assessment, effectively employing existing resources and aligning services with specific patient and

family needs, it is possible to expand access to palliative services and improve quality of care in ways that are financially feasible and acceptable to patients, families, clinicians, administrators, and payers.

Potential problems or critiques: Although it is not possible to aggregate data across projects or to report scientifically rigorous outcomes of the program as a whole because of the variation in methods, the projects used a variety of methods to assess acceptance of new models and their impact from the perspectives of various stakeholders, including patients and their families, clinicians, administrators and payers. Application of palliative care models to other contexts (less developed countries, different health systems, cultural and community structures). Metrics: Can reference efforts to improve measurement (e.g. A Measure of the Quality of Dying and Death: Initial Validation Using After-Death Interviews with Family Members (<http://www.dyingwell.org/downloads/JPSM02.pdf>) and framework for whole-community research, intervention, and evaluation with the goal of changing the community culture related to life's end and improving the quality of life for dying people and families.

*Linkages to other Domains:*

Psychological wellbeing: For the dying and their families: End-of-life (EOL) discussions are associated with less aggressive medical care near death and earlier hospice referrals. Aggressive care is associated with worse patient quality of life and worse bereavement adjustment.

JAMA 2008

<http://www.ncbi.nlm.nih.gov/pmc/articles/PMC2853806/pdf/nihms-191663.pdf>

Standard of living: Costs of end of life care- U.S. health care expenditures exceeded \$2 trillion in 2006 and are expected to rise rapidly over the next decade. A disproportionate share is spent at the end of life (EOL): 30% of Medicare expenditures are attributable to

the 5% of beneficiaries who die each year; about one third of the expenditures in the last year of life is spent in the last month. Previous studies have found that most of these costs result from life-sustaining care (e.g. ventilator use and resuscitation), with acute care during the final 30 days of life accounting for 78% of costs incurred during the final year of life. Advanced cancer patients who reported EOL conversations with physicians had significantly lower health care costs in their final week of life. Higher costs were associated with worse quality of death. Ref Arch Int Med 2009 <http://www.ncbi.nlm.nih.gov/pmc/articles/PMC2862687/pdf/nihms191650.pdf>

Cultural Resilience: Spiritual care at EOL and attention to quality of dying and death are of central importance to many cultures.

Potential Policy Recommendation: Large-scale regional projects that track resource utilization, quality of care and satisfaction should further test the findings from Promoting Excellence projects on a population basis and investigate the potential value of these approaches to national health care systems across different settings.

*Excerpted from:*

Byock I, Twohig JS, Merriman M, Collins K. 2006. Promoting excellence in end-of-life care: a report on innovative models of palliative care. *J Palliat Med.* 9(1):137-51 and <http://www.promotingexcellence.org/>.

### **Health Impact Assessments (global)**

Brief Description: Diverse sectors such as transport, agriculture and housing have profound impacts on health. For example, transport is a major factor in traffic injuries, air pollution and noise – and "healthy transport policies" can help reduce these risks, as well as promoting walking and cycling. In agriculture, fertilizers and pesticides may boost crop yields. But wise use is important to protect farm workers and consumers from excessive chemical exposure. WHO estimates that healthier environments in homes and workplaces, in rural settings and cities, including access to healthy

foods, water, energy and transport, could prevent up to one quarter of deaths annually worldwide.<sup>115</sup> In this context, Health Impact Assessment (HIA) have received increasing attention as a potential means of addressing social determinants of health through public policy. It is a structured process that uses scientific data, professional expertise, and stakeholder input to identify and evaluate the public-health consequences of proposals and suggests actions that could be taken to minimize adverse health effects and optimize beneficial ones.

Implemented by: HIA generally involve researchers, policy makers and analysts, as well as members of the affected population(s).

Location, scale, time period: HIA's are being undertaken in a wide range of countries across the development spectrum. As an example, research on HIA in Thailand began in 2000 and a HIA Commission was appointed by the National Health Commission in 2007. In 2009 the commission proposed a paper to the ASEAN secretariat to promote HIA in ASEAN to member states. There are currently more than 20 ongoing cases of community based HIA in Thailand, examining projects such as biogas and mining concessions. The HIA Commission, in cooperation with the Ministry of Commerce and Ministry of Foreign Affairs, have conducted a study on how to integrate HIA into the Free Trade Agreement (FTA) negotiation process. This study was conducted in accordance with Thailand's National Health Assembly resolution on ensuring participation in the Free Trade Agreement negotiation process. There are plans for an Issue Based Assembly on HIA in FTA negotiations later this year.<sup>116</sup>

Impact/Significance: Few evaluations of health-impact-assessment practice have been conducted. Because conducting assessments will require the investment of public and private resources, research that

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<sup>115</sup> <http://www.who.int/hia/en/>

<sup>116</sup> <http://en.nationalhealth.or.th/sites/default/files/2>

[\\_Summary\\_of\\_Mainstream\\_SDH\\_Across\\_Health\\_Sector\\_Roundtable\\_Discussion.pdf](#)

documents the effectiveness of health impact assessment at influencing the decision-making process and promoting public health would help to support the field. Moreover, the quality of health impact assessment could be substantially improved with better evidence on the relationship of “distal” factors to health outcomes. Nevertheless, despite acknowledging the need for scholarship in health impact assessment, the Committee on Health Impact Assessment (National Academy of Sciences, USA) and WHO conclude that HIA is valuable even with a lack of perfect forecasting data and tools because it is better to consider potential health risk and benefits than to ignore them routinely.

Potential problems or critiques: include the need to balance timely information with variable data quality, expectations for quantitative estimates, synthesizing conclusions on dissimilar health effects, assigning monetary values to health outcomes, enabling stakeholder participation, and the benefits of a peer-review process for HIA. There is a potential for conflicts of interest among HIA practitioners, sponsors, and funders. Methodological problems have still to be overcome, including how to measure health impacts and to attain a practical balance between resource costs and depth of analysis.

Linkages to other Domains: Environment, education, living standards, cultural resilience.

Potential Policy Recommendation: The further development and evaluation of HIA should be encouraged, at both a practitioner and research level, to advance the evidence base for HIA

*Excerpted from:*

Committee on Health Impact Assessment of the National Research Council. (2011) *Improving Health in the United States: The Role of Health Impact Assessment*.

<http://www.iom.edu/~media/Files/Activity%20Files/Environment/EnvironmentalHealthRT/2011-Nov-RT/132291.pdf>

Committee on Social Determinants of Health. (2008). *Closing the gap in a generation: health equity through action on the social*

determinants of health. Final Report of the Commission on Social Determinants of Health. Geneva: World Health Organization.

### **Addressing Suicide among Aboriginal Communities (Canada)**

**Brief Description:** Indigenous people around the world have the highest suicide risk of any identifiable cultural (or ethnic) group. It is a youth epidemic. Various explanations have been put forward for the high rates of suicide and suicidal behaviour among indigenous peoples. Among the proposed underlying causes are the enormous social and cultural turmoil created by the policies of colonialism and the difficulties faced ever since by indigenous peoples in adjusting and integrating into the modern-day societies. The 'youth-for-youth model' case study describes the experience of indigenous youth in developing, implementing and evaluating a First Nations suicide prevention strategy in Manitoba, Canada. The method of analysis was based on the cultural teaching of First Nations people in Manitoba, that is, thoughts conceived within the traditional way of life by the Cree, Dakota, Dene, Ojibway and Oji-Cree peoples. The aim of the youth suicide prevention initiative was to reclaim and restore their identity, culture, language, history, relationships and spirit of self-determination.

**Implemented by:** Indigenous youth themselves. The theoretical and operational framework of the actual youth interventions and implementation were based upon the traditional First Nations values of restoring health as 'life in balance' in First Nations youth and communities.

**Location, scale, time period:** Four key periods of intervention, in which the 'youth-for-youth model' was pursued and tested included (1) organizing and expanding the youth network, and identifying suicide prevention as a priority, (2) training and adapting an effective intervention model through community development, cultural respect and youth leadership development; (3) building cultural identity and developing the community through youth workshops, and Elder and Youth gatherings; and (4) raising awareness among adult leadership within First Nations, federal and provincial

governments as well as the private sector to build youth strengths and obtain resources. The program has been replicated in three other Provinces.

**Impact/Significance:** The themes that emerged were related to the youth-for-youth leadership model, which provided the strength to overcome barriers and a way to implement the changes the youth identified as needed. The youth worked on many levels simultaneously to achieve the goals, engaging with key stakeholders, leadership and government agencies, and advocating for what the youth wanted. The study describes the processes involved in empowering youth, managing intersectoral processes and managing policy change. It demonstrates that youth suicide prevention strategies are successful when the youth are the leaders.

*Excerpted from:*

- Leenaars, Antoon. (2006) Suicide Among Indigenous Peoples: Introduction and Call to Action, Archives of Suicide Research, 10:2, 103-115 <http://dx.doi.org/10.1080/13811110600556624>
- WHO. (2011) Social determinants approaches to public health: from concept to practice. Youth for Youth—a model for youth suicide prevention: case study of the Assembly of Manitoba Chiefs Youth Council and Secretariat, Canada.

### **The Link between Mindfulness, Compassion, and Health-Implications for Public Policy (global)**

Brief Description: “Altruistic (other-regarding) emotions and behaviors are associated with greater well-being, health, and longevity. With some caveats, a strong correlation exists between the well-being, happiness, health, and longevity of people who are emotionally and behaviorally compassionate, so long as they are not overwhelmed by helping tasks. Increasing research data on altruism and its relation to mental and physical health suggests several complimentary interpretive frameworks, including evolutionary biology, physiological models, and positive psychology. Potential

public health implications of this research need to be expanded, as well as directions for future studies.”<sup>117</sup>

There are several well-established approaches that use empathy training or meditation/ mindfulness or specific compassion training which are showing benefits in terms of:

- better self-care for health care staff
- better client care in health and social care
- as therapies for certain physical and psychological conditions
- enhanced empathy, altruism and prosocial behaviour
- improved organizational behaviour and management, with all that flows from that

All of these areas are currently being explored by neuroscientists, social scientists and in the trainers in the field.

The MBSR meditation model has also been applied to the self-care of healthcare staff-with clear benefits.

There are other well-recognised cognitive based therapies like the model of “compassion therapy” Professor Paul Gilbert in the UK has developed or Kristin Neff’s work on self compassion. A separate theme is the work of neuroscientists, particularly Richard Davidson, Cliff Saren, Sarah Lazar, Tania Singer which looks at the impact of meditation and increasingly metta or loving kindness practice. Tania Singer is also looking at prosocial behaviour and has worked a lot with Matthieu Ricard. The Centre for Compassion and Altruism Research (CCARE) at Stanford is covering most of this as well as developing training. Alongside this is more specialised research and training in empathy and emotional intelligence. (Paul Ekman, Daniel Golman, Mary Gordan).

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<sup>117</sup> Post, Stephen G. 2005. Altruism, happiness, and health: it's good to be good. *Int J Behav Med.* 12(2):66-77.

There are other groups who are looking at how to bring more compassion into education and medical training, eg, Robyn Youngson (Hearts in Healthcare, social network, recent book-Time to Care.) Mostly, this is a reaction against the so-called uncompassionate and dehumanising culture of modern Western medicine. There is an emerging theme of compassionate leadership in healthcare as well. There are also projects and networks such as the Empathy and Compassion in Society Conference, which bring together researchers and practitioners to look at how to bring empathy and compassion more into public policy making, education and health and many national based initiatives. <http://compassioninsociety.org/index.php/blog/110-challenged-to-be-a-compassionate-presence>.

Linkages to other Domains: Education, Psychological wellbeing, Community Vitality

Potential Policy Recommendation: The connection between increased empathy, compassion and altruism and the wellbeing and professional and pro social benefits appears established. This area has enormous potential to see improvements in healthcare provision, general wellbeing, and mental health and pro social behaviour.

Further research in this area, as well as promotion of specific training at all levels of education-school, and professional and vocational – could have make a significant change in healthcare culture and could spark a movement in public health that focuses on civic engagement and helping behaviour within communities.”

*Excerpted from:*

Post, Stephen G. Int J Behav Med. 2005;12(2):66-77. Altruism, happiness, and health: it's good to be good.

### **Inclusive health: NHS (UK)**

Description: In the UK, it is illegal for an NHS medical practitioner to refuse treatment to a patient on the grounds that she is not a resident

of the country. Undocumented migrants are entitled by law to full and equal access (Migrant Rights Network 2011)

Impact: economic impact since worker productivity should increase, positive spin-offs for other individuals in terms of prevention of communicable diseases. Inclusive healthcare should promote community vitality and a sense of trust and belonging in the country. Potential problems: some GPs mistakenly believe that only documented residents of the UK are allowed access and ask for proof of residence before registering a patient. This is incorrect and may illegitimately bar large numbers of patients from healthcare. It requires education: patients should know their rights and doctors their duties.

A second, larger problem may be a lack of political will for such policies. This could possibly require high-level lobbying and demonstration of concrete benefits to be a feasible policy option.

### **The London Congestion Charge (LCC) Scheme (UK)**

The primary objective of the LCC was to address the ever-increasing congestion problem that was hampering business and damaging London's status as a world city. A major strength of the LCC is its long-term incremental nature. The LCC area was widened and the cost level raised 2.5 years after its implementation. This is fundamental to a behaviour change programme, as it means that the public can take decisions about their future behaviour based on a firm expectation that the balance of financial advantage will continue to move away from the car.

Key outcomes were:

- Between 35 000 and 40 000 car trips/day switched to public transport, creating an average 6 minutes' additional physical activity per trip compared with private motor transport.
- Between 5000 and 10 000 car trips switched to walking, cycling, motorcycle, taxi, or car share.
- Cycling mileage within the zone rose by 28% in 2003 and by a further 4% in 2004.

- Survey respondents reported improvement in comfort and overall quality of walking and public transport systems.

A large portion of the scheme revenues were reinvested in improvements in public transport, walking, cycling, and safe routes to schools. Source: NHF, 2007

Taken from: Committee on Social Determinants of Health. (2008).

Closing the gap in a generation: health equity through action on the social determinants of health. Final Report of the Commission on Social Determinants of Health. Geneva: World Health Organization.

### **National Level Action to Tackle Workplace Stress (UK)**

“The Health and Safety Commission identified work stress as one of its main priorities under the Occupational Health Strategy for Britain 2000: Revitalising Health and Safety, which set out to achieve, by 2010, a 30% reduction in the incidence of working days lost through work-related illness and injury; a 20% reduction in the incidence of people suffering from work-related ill-health; and a 10% reduction in the rate of work-related fatal and major injuries.

In 2004, the United Kingdom Health and Safety Executive (HSE) introduced management standards for work-related stress. These standards cover six work stressors: demands, control, support, relationships, role, and change. A risk assessment tool was released at the same time as the management standards; this consists of 35 items on working conditions covering the six work stressors. The HSE management standards adopted a population-based approach to tackling workplace stress aimed at moving organizational stressors to more desirable levels rather than identifying individual employees with high levels of stress. Instead of setting reference values for acceptable levels of psychosocial working conditions that all employers should meet, the standards set aspirational targets that organizations can work towards. The management standards are not in themselves a new law but can help employers meet their legal duty under the Management of Health and Safety at Work

Regulations 1999 to assess the risk of stress-related ill-health activities arising from work.

As part of a 3-year implementation programme, in 2006/07 the HSE actively rolled out management standards to 1000 workplaces by providing support for both conducting risk assessments and making changes based on results of risk assessments. So far, evaluations in workplaces adopting the management standards approach have mostly been qualitative and good practice case studies are being made available on the HSE website ([www.hse.gov.uk/stress](http://www.hse.gov.uk/stress)).

A national monitoring survey was conducted in 2004 before the introduction of the management standards, to provide a baseline for future monitoring of trends in psychosocial working conditions. Source: EMCONET, 2007”

Taken from: Committee on Social Determinants of Health. (2008). Closing the gap in a generation: health equity through action on the social determinants of health. Final Report of the Commission on Social Determinants of Health. Geneva: World Health Organization.

### **Intersectoral Action on Obesity**

“Obesity is becoming a real public health challenge in transitioning countries, as it already is in high income nations. Obesity prevention and amelioration of existing levels require approaches that ensure anecologically sustainable, adequate, and nutritious food supply; material security; a built habitat that lends itself to easy uptake of healthier food options and participation in both organized and unorganized physical activity; and a family, educational, and work environment that positively reinforces healthy living and empowers all individuals to make healthy choices. Very little of this action sits within the capabilities or responsibilities of the health sector. Positive advances have been made between health and non-health sectors – for example, healthy urban living designed by urban planners and health professionals working together, and bans on advertisements for foods high in fats, sugars, and salt during television programmes aimed at children. However, a significant challenge remains: to

engage with the multiple sectors outside health in areas such as trade, agriculture, employment, and education, areas in which action must take place if we are to redress the global obesity epidemic. Source: Friel, Chopra & Satcher, 2007”

Taken from: Committee on Social Determinants of Health. (2008). Closing the gap in a generation: health equity through action on the social determinants of health. Final Report of the Commission on Social Determinants of Health. Geneva: World Health Organization.

### **Healthy By Design (Australia)**

“The Heart Foundation in Victoria, Australia, developed Healthy by Design to assist local government and associated planners in the implementation of a broader set of Supportive Environments for Physical Activity guidelines. Healthy by Design presents design considerations that facilitate ‘healthy planning’, resulting in healthy places for people to live, work, and visit. Healthy by Design provides planners with supporting research, a range of design considerations to promote walking, cycling, and public transport use, a practical design tool, and case studies. The ‘Design Considerations’ demonstrate ways planners can improve the health of communities through their planning and design. This is encouraged by providing: well-planned networks of walking and cycling routes; streets with direct, safe, and convenient access; local destinations within walking distance of homes; accessible open spaces for recreation and leisure; conveniently located public transport stops; local neighbourhoods fostering community spirit. Traditionally, planners consider a range of guidelines that have an impact on health, safety, and access, often in isolation from each other. The Healthy by Design matrix has been developed as a practical tool that demonstrates the synergies between the different guidelines that influence built environment design, all of which contribute to positive health outcomes.

*Source: KNUS, 2007”*

Taken from: Committee on Social Determinants of Health. (2008). Closing the gap in a generation: health equity through action on the

social determinants of health. Final Report of the Commission on Social Determinants of Health. Geneva: World Health Organization.

### **Work and Health Among the Landless and Small Landed Farming Population of Brazil (Brazil)**

“In Brazil, 45% of agricultural land is held by around 1% of landowners, while around 50% of proprietors together own only roughly 2% of all arable land. About 31 million Brazilian people (18.8% of the total population) live in the countryside. These people, known as *agregados*, are extremely poor and suffer high rates of many psychosocial, educational, and health problems.

In 1984, landless families organized into the *Movimento dos Trabalhadores Rurais Sem Terra (MST)*, or Movement of Rural Landless Workers. MST is probably the largest social movement in Latin America, with around 1.5 million members. Its fundamental success has been the increasing number of landless families being allocated their own piece of land, rising from a few thousand to more than 300 000 in 2000 settlements.

Research has shown that members of MST communities enjoy better health than other agricultural workers. The improved health of MST community members was attributed to a higher production of livestock, better nutrition (partly due to a greater diversity of produce), community support in case of need, and direct involvement in community decisions. MST has limitations but, from its inception, it has acted as a catalyst for reform – not only agrarian reform, but also reform of health, with a direct impact on governmental decisions, influence on public policies, and a role in the civil society council of the Bolivarian Alternative for the Americas.

*Source: EMCONET, 2007”*

*Taken from: Committee on Social Determinants of Health. (2008). Closing the gap in a generation: health equity through action on the social determinants of health. Final Report of the Commission on Social Determinants of Health. Geneva: World Health Organization.*

## **Governance**

### **Public sector information: Open Government Data (Kenya)**

A popular government without popular information or the means of acquiring it, is but a prologue to a farce, or a tragedy, or perhaps both. -James Madison

Brief description:

Suppose that an agency tries to provide rainfall projections for the coming season to small-scale farmers in southern Africa. However, in each country, the weather bureau charges high fees to access the information and protects against re-use with a copyright agreement. In such cases, it becomes costly to provide information that is vital to the wellbeing of citizens. Wealthy countries also face this problem. Before a recent EU directive, for instance, neighbouring countries could not make plans to deal with common issues, such as flood prevention, because their national geographical databases did not line up.

Although it has always been an important resource, in the 21st century information is one of the most important goods in our lives. Governments are the biggest single producer and owner of information. They collect, curate and store public sector information (PSI), which is typically used for their own purposes.

Kenya, the United Kingdom and the United States are at the forefront of PSI. They have created powerful governmental portals which provide access to well-organised, digitized information. The material is licensed under (or based on the license of) a Creative Commons License. This means it is available under a free, perpetual licence without restrictions beyond attribution. Such data is called open data.

All three countries provide open data on issues such as: population; local and national government authority expenditure; public health indicator data and statistics including hospital locations; education data such as enrollment rates and school locations; parliamentary

proceedings (digital Hansard); weather information and detailed census statistics on topics such as access to electricity, water and sanitation.

Is the Internet a prerequisite for open government data?

No, definitely not. Public sector information can be provided free of charge and without copyright restrictions through a number of different media, including radio, print, television and mobile platforms, such as Mxit. A well-known example of a policy on non-Internet open data is in Kerala state in India, which compels village councils and local government to publish their monthly expenditure on a public notice outside their office: this is both free to access and re-use. More ubiquitous examples include national meteorological offices that publicise weekly or daily weather forecasts via conventional media. It can also be provided through word of mouth. Community healthcare workers and agricultural extension officers are a common conduit for public sector information.

On the flip side, the utility and impact of online government data increases when it is embedded in existing popular media. For instance, a government can announce election results on television and then direct members of the public to the raw data on their website. However, it is important to remember that the medium of communication will shape the data, and the only medium which can handle large amounts of pure raw data is the Internet.

This doesn't mean that open government data is primarily about digitization. What is distinctive about Kenya, the US and the UK is the recognition that information itself constitutes a public good, for which coherent, comprehensive policies should be created.

Why is open government data important?

Public sector information already exists; it's already been paid for; it's about the public and it belongs to the public. Government data is a valuable resource for users outside government. Making it open means more people can benefit from it, in more ways than the government alone can think of or support. Open data can foster a

better relationship between citizens and government, and between citizens and citizens – it can create economic and social value for a country, and help people make better decisions in their own lives.

Who uses open government data?

Users include: different departments and ministries within government; members of the public; journalists; researchers; policy makers; technology developers; companies and private sector service providers; international institutions and even other governments.

How is this different to freedom of information (FOI) or right to information (RTI)?

FOI and RTI is about citizens tugging data out of government, through specific, and articulate requests. Open government data is about governments giving data, proactively: with good open data, you don't have to ask, you can just use the information that's already accessible. If the data you want is not there, you can ask the government to publish it as open data so that everyone can benefit from it. But FOI and open government data can complement each other. Many countries still lack FOI laws, and open government data on maps or weather can be a first, less politically fraught step in the right direction, such as in Kenya. It can help create a culture of proactive data provision within government, and a culture of entitlement to data within civil society that can gradually build momentum towards an FOI law. On the other side, governments with FOI laws, such as the Indian government, have found themselves compelled to create and curate data proactively in order to deal with the sometimes overwhelming number of information requests from politically active citizens.

How did the idea of open data permeate so quickly from the fringe to the centre?

This is not a story of the plucky grassroots winning out over all. "It has to start at the top, it has to start in the middle and it has to start at the bottom", as Tim Berners-Lee puts it – Berners-Lee was hired by the UK government to lead the creation of its data.gov.uk portal (quoted in Hogge 2010). In her study of open data in the UK and

USA, Becky Hogge finds that, “Without a sleeper cell of dedicated and skilled civil servants who could see what open data was about and how it could help them, this project would never have gotten off the ground. And without a good political reason to open up government data, the project would never have soared to the heights it did.”

Implemented by: Government

Location, scale, time period: Kenya, the United Kingdom and the United States are three fairly well-developed examples. In the United States, open government data was strongly driven by Barack Obama when he was a senator. His headline achievements included the Coburn-Obama Transparency Act, which established USA spending.gov, a search engine on federal spending. Following a period of research and development, data.gov was launched in 2009 after Obama was elected as president. This high-level political will was coupled with impetus from a small and influential community of ‘civic hackers’, who worked independently and often without financial reward to repurpose government-created datasets in order to enriched civic life, or address particular problems of a civic nature, such as democratic engagement. For example, in 2004 a student called Josh Tauberer launched GovTrack.us, which repurposes publicly available data about key activities of the US Congress and publishes it in an accessible, searchable form. By law, all federal level data is published without copyright; however copyright varies from state to state, so that state-level datasets tend to suffer from a “swiss cheese” effect, with data from states under-represented or wholly missing.

In contrast to the US, there was limited political will for open data within the British government. Under public pressure from civil society – in particular a vocal group of civic hackers responsible for the development of grassroots political engagement websites, coupled with *The Guardian's* “Free our Data Campaign” which began in 2006, the government commissioned policy reviews on closed government data. The reviews led to the creation of an Open Government License in 2010 (which is based on a creative commons

license) and the creation of a centralised data.gov.uk portal which hosts thousands of datasets and applications for making sense of the data. A comparative study of the UK and US portals found evidence that the initial struggle by civil society in the UK may have helped create stronger ties between civil society and middle tiers of government, resulting in a culture of greater openness in the long term (Hogge 2010).

Kenya is a particularly interesting example. It is a developing country without a freedom of information law. The country has been under a great deal of internal political pressure, and in 2008, seemed to be on the brink of civil war. It also has significant human capital constraints. Nevertheless, it has an extremely dynamic and creative ICT sector and strong civil society. Under pressure from these sectors, and with financial support from World Bank's Open Data initiative, the Kenyan government launched Open Kenya in 2011. As a country at the forefront of public service information anywhere in the world, it has provided an aspirational example to other African countries, and begun to spur regional competition for opening up government data, enriching it, and employing it.

Although most countries lack a clear and coherent policy on open data, let alone a freedom of information law, there is nevertheless a significant and growing number of open government datasets across the world: at last count, there were over 1 million datasets from 192 catalogs in 24 languages representing 43 countries and international organizations.

Impact/significance: Open government data represents an important public good with vast socio-economic potential. This is a big claim, but it is not an implausible one. Information is a crucial driving force in innovation – whether it is social, commercial or technical. At the same time, it is a public good: consumption of information by one individual does not reduce the availability of the information for others. This is why the benefit of information can extend far beyond its initial purpose. As a major producer of information, governments

are in a strong position to spur innovation by promoting open government data.

At bottom, the free flow of information is a significant, constitutive factor of deliberative democracy. As citizens improve their understanding about their context – its social, political, economic and ecological dimensions – the quality of public deliberation should also improve. The well-known example of participatory budgeting in Porto Alegre, Brazil is a good illustration of this.

At a less idealistic level, the free flow of information is important for a functioning government. Corruption in the public and private sector seems to thrive on secrecy. It is increasingly believed that the more transparent a government is to itself and the polity, the less likely it is to be corrupt (the graph below illustrates the connection). For instance, a qualitative study of the efficacy of anti-corruption programmes in Kenya between 1994-2002 found that the single biggest obstacle to countering corruption was the way in which informal centres of political patronage were hidden from public sight (McAntony 2009). At the same time, the free flow of information can help the state and civil society regulate the private sector, particular when they are powerful transnational actors (see the case study on Open Corporates). Furthermore, the free flow of information within government agencies, and between agencies and outside actors such as research institutions, can help governments target government policies effectively, eliminate work duplications, promote faster services and better coordination. While it is difficult to quantify the impact of open government data on governance, given randomisation problems, the broad link between the two is intuitive and plausible. Nevertheless, it is important to remember that open public data is not a panacea for all governmental ills, and the precise mechanisms by which improved access to public information impacts on different areas of governance are poorly understood. Most importantly, by itself open government data cannot change the underlying political economy which shapes the quality of government in a country. This can only be changed by the people in the country.

Public sector information also has substantial economic potential. According to the UK OFT survey (2006), 36% of businesses in the UK use public sector information for their own purposes, 28% use it to produce goods for consumers, and 44% use it as an input to produce products for industry. Among businesses generating products from public sector information, 98 % ranked this information as an important or very important input to their products. Furthermore, three out of four of them reported that they would not be able to continue production in the absence of public sector information. The commercial application of this data essentially centres on the role of the private sector as a bridge between public sector information and the end-user, through adding some value to the raw data. According to the OECD (2006), some of the products and services that the private sector can produce using public data include in-car navigation systems, digital online maps, weather forecasts for different platforms, enhanced legal text databases for research, location-based information on doctors and pharmacies, and location-based tourist recommendations.

There are also indirect economic benefits, which can extend to regional economies. For instance, Dr.BitangeNdemo, Permanent Secretary of the Ministry of Information and Communications in Kenya, argues that an open register of African countries' export products would decrease search costs and cut out various middle men, thereby decreasing barriers to regional trade.

A meta-analysis of empirical research on open government data found that the majority of research supports the view that public sector information benefits the economy most when it is free to use and redistribute (Weiss 2002). These benefits far outweigh the immediate perceived benefits of aggressive cost recovery, since paywalls and copyright restrictions retard economic activity substantially, particularly because demand for information is generally very price-sensitive. It is extremely difficult to quantify the impact of open data. However, a comparison between the weather risk management industry in the EU and United States provides a rough indication. Between 1997 and 2002, the industry generated \$9.7

billion in contract value in the United States, versus \$720 million in Europe (PriceWaterHouseCoopers 2002, in Weiss 2002). Since the size of both economies is roughly equal, and demand for climate-related data is similar, the authors argued that the most plausible reason for this difference was that data in the United States was relatively open, whereas data in Europe was far more expensive and controlled via copyright law (although this is changing). Moreover, the Weiss report also indicates that open government data may be more fiscally beneficial to government programs than cost recovery because more applications built on open data may translate into higher corporate taxes for the government. This is an important consideration, since paywalls have not been able to generate sufficient revenue to cover the costs of unsubsidised services.

Finally, open data has a large number of diverse, substantial benefits for the public at large. While the list is too long to elaborate, one important and urgent application concerns climate forecasts, which are crucial for climate change adaptation and disaster risk management. In order for citizens to plan for climate impacts, such as floods, droughts, or the salinisation of groundwater due to rising tides, they need to have clear and actionable information about upcoming large-scale events and possible ways of mitigating their impacts. A good example of this is Bangladesh, which is using public data to help plan for the increasing frequency and volume of large scale flooding and salinisation of groundwater (see box on climate change adaptation). Such open government data is not a luxury; it is a necessity.

Potential problems or critiques: One problem is that most governments do not have a coherent, overarching policy on publishing and curating public sector information in the public domain. This means that public sector information is often not in the public domain, and even when it is, it is disorganised, of poor quality, and out of date.

Second, government offices may be reluctant to make public sector information open – that is, free to use and reproduce. This may be

because they believe in an aggressive cost-recovery model. However, as the discussion above suggests, such cost-recovery models may end up decreasing government revenue relative to an open model because of lost taxes from businesses that cannot pay high costs for information. More often though, it may be because the incentive scheme within the civil service tends to be “aligned and oriented around the rest of the bureaucracy and not the public”, as Nathaniel Heller puts it (quoted in Hogge 2010: 15). At the time of interviewing, he was managing director of Global Integrity, but before that he worked in the US State Department. He characterises his experiences there as follows:

But the point was that everything I did, my success as a bureaucrat, my promotion, my pay raises, were tied almost entirely to how successful I was working within the bureaucracy. It was not at all tied to the public or to public policy outcomes and I think that’s the challenge.

Third, the provision of open government data may encounter substantial interest from parties with vested interest in high cost, copyrighted data. For instance, the American Chemical Society has lobbied the US government to limit funding to the National Institute of Health for its open PubChem database, which connects chemical information with biomedical research and clinical information, organising facts in numerous public databases into a unified whole. The ACS claims that PubChem competes with its Chemical Abstracts Service (CAS). Such opposition might also come from national agencies. For instance, in 2006 Britain attempted to kill a European project that set out to simplify access to data crucial to the protection of Europe's land, air and water. Inspire is an EU directive that seeks to end the situation in which neighbouring countries cannot make plans to deal with common issues, such as flood prevention, because their national geographical databases do not line up. But making geographical data freely available would destroy the business model of agencies such as Ordnance Survey, which charges users to access maps and geographical data. The good news is that, after four years of pressure from civil society and other government departments, the

folks at Ordinance Survey finally gave in and opened their data for remix and reuse. PubChem is still fighting for survival.

In addition to these problems, developing countries may lack data in certain areas. Sometimes, this lack of data is due to limited financial and technical capacity. At other times it may be because of powerful private sector interests or institutionalised deregulation. For instance, so-called “stabilisation clauses” that exempt mining firms from complying with laws, including basic human rights, are most common in developing countries, particularly in structurally-adjusted African countries. Since governments are prohibited from regulating firm on such exempted laws, there is little reason for them to gather data on their compliance.

A further constraint may be a lack of literacy and numeracy, as well as continuing low levels of meaningful access to the Internet. This means that governments need to forge open data policies around what their citizens can meaningfully access with an eye to the possible complementarities of online digitization. Public sector radio, mobile technologies and community-based services, such as community health workers, are all exciting and innovative sectors, which are pushing the envelope of what is possible.

Linkages to other Domains: Depending on the nature of it information, the free flow of information can have a strong bearing on any given dimension of GNH.

Potential Policy Recommendation: To treat public sector information as a public good and to recognise that it has wide-ranging, substantial benefits. How governments choose to develop and exploit this national resource is up to them and should be a matter of listening to their specific contexts. However, an important component of doing so is creating a tailored policy to deal with the provision and curation of public sector information, which sets out minimum norms and standards for the creation, curation and provision of data. In the mid-long term, governments may seek to establish a central data portal and data management agency, with

well-trained and qualified staff, depending on their resources and context.

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### **Public sector information: Open Corporates (UK)**

**Brief Description:** Companies are increasingly made up of a network of thousands of legal entities across which money and resources flow. Reasons for this can reside in tax advantages or history but such mazes can be so obscure that they become a haven for crooks. Complexity is one effective form of anonymity, and without organised data, it is difficult to regulate corporations.

Open Corporates is a website which shares data on corporate entities as open data under the share-alike attribution Open Database license. The database has an entry for every company/legal entity in the world and compiles publicly available data about those entities. Data includes: company officers, their biographies and political connections, trademarks, health and safety records, tax addresses, operating addresses and contact details. Each company has a URI, so all that data is easily available, traceable and compatible with various systems, such as those of the EU. The data is freely available under an open database license. All of this makes it much easier for governments, journalists, NGOs and interested citizens to hold multinational companies accountable for their actions.

Implemented by: Open Corporates, private firm

Location, scale, time period: UK-based. Launched 20 December 2010.

Data on: 45 million companies in 58 jurisdictions, with information on 39 million company officers and directors.

Impact/Significance : The firm uses an algorithm to automatically gather and curate publicly available data from government bodies. This makes it extremely cheap to gather the data, and it is free for all to access and use.

The potential impact of the open database has not yet been quantified. However, it is widely-recognised that multinational corporations find it easier to engage in illegal and unethical activity. As the World Bank notes, not only the geographical mobility, but also the sheer complexity and scale of many multinationals, can make it difficult to find out what they are doing. Without this knowledge, they cannot be regulated.

One prominent example of this is the HSBC scandal, where a US Senate report found evidence that the bank had laundered money for notoriously brutal Mexican drug cartels as well as suspected terrorist financiers from Saudi Arabia. The sum is unknown, but the minimum is set at \$1 billion. Another prominent example concerns mining magnate and top politician Cyril Ramaphosa in South Africa. Mining firms in which he has a majority interest have been implicated in organising the Marikana massacre and of violating citizens' basic human right to clean water. Understanding and publicising Ramaphosa's personal and political connections have been an important part of civil society's campaign to hold those responsible accountable for their actions.

For this reason, Tim Berners-Lee, credited with being one of the creators of the World Wide Web, argues that: "This tool is invaluable for those who want to find out more about what it is that corporations are doing. It is a remarkable step forward for transparency and accountability."

Potential problems or critiques: The single biggest problem is that governments do not make more data openly available, or keep record of the company numbers of the companies they do business with. Further, they often keep this data in formats which make it difficult for an algorithm to extract (example: pdf format). Companies are also not required to put the company number on their website, so that they can hide behind aliases and shell companies. All of this makes it expensive to gather data, and results in unnecessary errors.

Linkages to other Domains: as the two cases above illustrate, improved corporate regulation may have a positive impact on a number of different dimensions, depending on the industry. These include living standards, physical health, community vitality and ecological diversity and sustainability.

Potential Policy Recommendation: Open Corporates is an example of what can be done when government data is made freely available. But unlike the case study of Open Government Data, it also represents very low-hanging fruit, since it does not require governments to establish a policy on open data as well as a data management agency. At a minimum, it requires government to keep an online, public record of the company numbers it does business with, in a format that machines can understand, and compel companies to put their company number on their website. This is unlikely to run into the problems that a more ambitious open government data policy might encounter.

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### **Imagining a Future without Prisons: Restorative Justice (South Africa, global)**

More than 10.75 million people are held in penal and detention institutions across the world, and both the number and proportion of prisoners is growing in the majority of countries. Yet prisons as a method of punishment are a relatively new phenomenon, arising largely from Benthamite principles in England in the 19th century and spread to the rest of the world through colonisation. Prisons are expensive and their efficacy at crime prevention is highly questioned. For instance, in 2012, the United States prison population was estimated at over 2.3 million prisoners. This means that 1 in every 100 American adults is currently in a prison, at a total estimated operating cost of \$74 billion per year. Yet, experimental research shows that a criminal record in the United States constitutes a major barrier to employment, and helps explain the phenomenon of repeat offenders – rather than prevent crime, prisons may engender and institutionalise it. Most worrying, perhaps, the same research shows that historically oppressed groups, such as African Americans, are substantially more likely to enter into the spiralling cycle of incarceration and unemployment. This example suggests that the costs of prisons extend well beyond their operating costs, and may include substantial negative externalities, such as an increase in crime and institutionalised discrimination.

Restorative justice represents a forward-looking theory of justice. Rather than seek to exact retribution on perpetrators, it seeks to restore dignity to the victims of crime and their families and to rehabilitate perpetrators. Restorative justice programmes enable the victim, the offender and affected members of the community to be directly involved in responding to the crime and repairing the injuries it caused. They become central to the criminal justice process, with governmental and legal professionals serving as facilitators of a system that aims at offender accountability, reparation to the victim and full participation by the victim, offender and community. The restorative process of involving all parties – often in face-to-face meetings – is a powerful way of addressing not only the material and

physical injuries caused by crime, but the social, psychological and relational injuries as well.

Restorative justice often has strong cultural and theoretical roots outside of European cultures. For instance, it is a central feature of ubuntu-ist moral theories, which have their roots in African norms and customs. Ubuntu-ist theories hold that individuals' humanity is a function of their love and care for others, such that their humanity is improved as they care for others, and harmed when they hurt others. A consequence of this is that crimes dehumanise both victims and perpetrators, such that both parties are in need of healing.

While restorative justice programmes can complement conventional prison sentences, their most important role is in supplanting and precluding prison sentences. The number of such programmes is growing, and there are hundreds of examples across the world.

The Sherman-Strang report, a 2007 review of randomised controlled trials on the impacts of restorative justice (RJ) across the world, found that in 36 direct comparisons to conventional criminal justice (CJL), RJ has, in at least two tests:

- substantially reduced repeat offending for most offenders, but not all;
- doubled (or more) the offences brought to justice as diversion from CJ;
- reduced crime victims' post-traumatic stress symptoms and related costs;
- provided both victims and offenders with more satisfaction with justice than CJ;
- reduced crime victims' desire for violent revenge against their offenders;
- reduced the costs of criminal justice, when used as diversion from CJ;
- reduced recidivism more than prison (adults) or as well as prison (youths).

Potential problems or critiques: Restorative justice programmes may encounter political opposition from parties with vested interests in running prisons. For instance, if a party is involved in running a privatised, for-profit prison, or if a party has government tenders to supply prisons with services and goods. They may also encounter opposition from members of a public socialised into valuing retributive justice.

Policy recommendation: to develop evidence-based restorative justice programmes to complement and eventually supplant retributive justice programmes. This is a normative shift in how justice is conceptualised and practiced. The authors of the Sherman-Strang report argue that the evidence on RJ is far more extensive, and positive, than it has been for many other policies that have been rolled out nationally. They contend that RJ is ready to be put to far broader use, perhaps under a “Restorative Justice Board” that would prime the pump and overcome procedural obstacles limiting victim access to RJ. Such a board could grow RJ rapidly as an evidence-based policy, testing the general deterrent impact of RJ on crime, and developing the potential benefits of “restorative communities” that try RJ first.

#### Prison community radio and television

While the removal of prisons is a long-term goal, and may encounter substantial opposition, the implementation of complementary restorative justice programmes may decrease the harm of prisons and their costs. It is also important to note that while the restorative justice programmes in many of the above RCTs focus on repairing the harm to the victim, it is equally important to focus on repairing the harm to the perpetrator, since her crime often reflects a deep-seated psychological or social hurt, and may contribute to entrenching this hurt (for example, in the case of drug abuse or violence). One low-cost, innovative attempt to do so stems from prisoners themselves in Pollsmoor prison, South Africa.

Pollsmoor is possibly the most notoriously violent prison in the country. The Prison Broadcasting Network (PBN) was founded with

a CD-walkman in August 1999 with a vision to make a positive difference to offenders en-masse utilising radio programmes specifically tailored for offenders.

Truth Radio, as it became known, initially broadcast to 1,700 juveniles offenders through the internal intercom system in Pollsmoor Correctional Centre. Over the next few years a Sound Studio was established and broadcasts were extended to all 7,500 offenders in Pollsmoor. The sound studio was utilised to train offenders in music production and radio presenting, so that radio programmes were produced for offenders by offenders.

The radio broadcasts continued for 9 years until the intercom system broke down in August 2008 and it has since never been repaired. However, in January 2008 they launched a Television Production Training division and began training offenders in television production.

The programmes they produce are then broadcast through the internal prison TV networks in order to make a positive difference to the greater prison population. They include issues such as how to deal with being an ex-convict and how to cope with prison life. Producers and presenters undergo life-skills training, and spiritual and psychological counselling. In addition to broadcast skills, the programme helps build their confidence, enhance their reading and writing skills, and gives them a platform to voice their reasoned beliefs and values.

In 2007 they installed an internet server to broadcast their radio programmes to every prison in the country and even globally but as they never managed to get permission from Correctional Services, this never got off the ground.

As far as we are aware, they are the only organisation in the world to house a radio station, sound studio and TV studio in a correctional centre.

At the time of writing, they were about to embark on the largest offender rehabilitation project of its kind in Africa - the very first Corrections Television Station, which will be aired to all prisons in the country.

### **Ushahidi: Collaborative crisis mapping (Kenya)**

“Ushahidi”, which means “testimony” in Swahili, is a website set up by a collaboration of Kenyan citizen journalists during a time of crisis in Kenya, after the post-election fall-out at the beginning of 2008, to map incidents of violence and peace efforts throughout the country based on reports submitted via the web and mobile phones....

Juliana Rotich, Ushahidi’s Executive Director, observes that:

‘Ushahidi enables people to change how information flows. To enable regular people to be part of something, to be part of that narrative that is emerging. Things are in flux all the time, be it politically, be it socially, and technology allows [people] to participate and to connect with others.’<sup>118</sup>

Since its inception in 2008, the platform has grown to over 20,000 deployments globally, and has been used around the world to coordinate responses to a wide range of events – in Mexican elections to report problems at polling stations to the electoral commission, to gathering information about harassment in Egypt, to flooding in Australia and fires in Russia. The Ushahidi Haiti Project (UHP), a volunteer effort to produce a crisis map after the 2012 earthquake in Haiti, represents an important proof of concept for the application of crisis mapping and crowdsourcing to large scale catastrophes. An independent evaluation<sup>119</sup> underscored the power of Ushahidi software in coordinating human aid, particularly in early response to

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<sup>118</sup>I nterview with Juliana Rotich, Executive Director, Ushahidi (February 2012)

<sup>119</sup> Morrow, N, Mock, N, Papendieck, A & Kocmich, N (2011) *Independent Evaluation of the Ushahidi Haiti Project* DISI - Development Information Systems International. Available online: <http://reliefweb.int/sites/reliefweb.int/files/resources/1282.pdf>

emergencies. This found that the UHP addressed key information gaps in the very early period of responses before the UN and other large organisations were operational by providing situational awareness and critical early information with a relatively high level of geographical precision, and by helping mobilise smaller NGOs, private funders and citizen actors to engage and appropriately target needs. The relevance of the response was aided by directly engaging affected Haitians in articulating their own needs and organising local capacity.”

Taken from: <http://ushahidi.com/>

### **Buen Vivir (Ecuador)**

In 2008, the Constitution of Ecuador was changed to enshrine the concept of *Buen Vivir* or “good life.” This created a new foundation for innovative social protection policies and more inclusive economic growth. “The theoretical underpinnings of the *Buen Vivir* strategy look beyond the quantitative measurements of economic performance and establish a new vision for economic inclusion, transparency and citizen participation (Secretaría Nacional de Planificación y Desarrollo, 2010). The objective is not to provide a detailed roadmap of national development but rather to offer a vision of Ecuadorian society with a rights-and-opportunities approach. This is accomplished by establishing legal statutes to social, ethical, cultural and economic rights and is realised through a “territorialised social economy” (Secretaría Nacional de Planificación y Desarrollo, 2010). Due to high levels of inequality within communities and not necessarily between communities, the government sees a local ‘territorial’ approach as most effective in combating high levels of inequality and inputs the ‘social’ component of the economy to incorporate social actors in the development process.”<sup>120</sup>

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<sup>120</sup>Nehring, R. (2012). Social Protection in Ecuador: A New Vision for Inclusive Growth. International Policy Centre for Inclusive Growth. Research Brief No. 28.

<http://www.ipc-undp.org/pub/IPCPolicyResearchBrief28.pdf>

Some examples of plan and projects:

The law on Transparency and Access to Public Information allows for the right of citizens to access information related to public matters and to demand accounts from government institutions. [Ley Orgánica de Transparencia y Acceso a la Información Pública (LOTAIP)].

Eradicate chronic malnutrition in children five years and under by 2015 through a coordinated government program of the ministries of health, education, agriculture and economic and social inclusion.

The Buen Vivir in Rural Territories programme (with the help of funding from the International Fund for Agriculture Development) will benefit some 25,000 rural families by creating new opportunities for poor rural families with limited access to land and water, technical assistance, rural financial services, and markets. The Ecuadorian Ministry of Agriculture, Livestock and Fisheries will implement the programme over a six-year period in order to help it meet its goals related to improved access to land and water, food sovereignty, agro-biodiversity, environmental protection, and enhanced productivity and economic returns for family farmers.

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City Mart (global)

“Less than 20% of cities publish their needs. Cities publish Calls for Solutions on Citymart.com to inspire their investments and regulation.”

“CityMart.com creates mechanisms for spreading innovation into cities, improving governance and radically altering the way cities

deliver much-needed services. The concept promotes cities as tools for new applications of technology, creating a network of innovators and accountable decision-makers, as well as a professional networking and online market intelligence tool.

Understanding risk-averse local politics, City Mart presents a city's needs to be evaluated by an unbiased, international community, subsequently allowing governments to test free new programs on a pilot basis. Utilizing 'Showcase', an online platform where innovators can promote their solution in a global, tagged database, and through its award program, innovations from green housing to automation of urban services have all been channeled into implementation."

Taken from: Citymart.com and [www.ashoka.org/fellow/sascha-haselmayer](http://www.ashoka.org/fellow/sascha-haselmayer)

## **Environment**

### **Community forestry (Bhutan)**

Brief Description: In Bhutan, Community forestry (CF) is an institutional approach for preserving forest resources while providing rural households with forest products. Local community members develop and maintain specific approved area under forest cover for harvesting wood and non-wood forest products for the benefit of members. It is known to accrue several benefits to the members as well as to overall conditions of environment as noted below. "The long term vision for Community Forestry in Bhutan is 'for a future that is sustainable, affordable, makes significant contribution to rural livelihoods, poverty reduction and improved forest condition and is resilient to climate change' (Social Forestry Division, 2010)."

Implementation:

Location, scale, time period: In all 20 districts of Bhutan. Started since 2000 and gaining momentum. It is projected that some 400 community forests by mid-2013.

Impact/Significance: A couple of studies were conducted to assess the benefits of community forestry which are summarised as below;

**Social Impacts:** Socially it is known to promote ownership, empowerment, community participation, and reduction in conflicts among the members due to increased interaction.

**Economic Impact:** Enhances livelihood due to increased and improved accessibility to forest resources, sale of forest, and generation of community fund.

**Environmental Impact:** Increases vegetation cover, soil fertility, and maintenance and protection of watersheds.

<http://www.moa.gov.bt/moa/downloads/downloadFiles/MoADownload6au6238fk.pdf>

[http://www.recoftc.org/site/uploads/content/pdf/Community\\_Forestry\\_Contribute\\_to\\_70.pdf](http://www.recoftc.org/site/uploads/content/pdf/Community_Forestry_Contribute_to_70.pdf)

[http://www.helvetas.org.bt/images/2011\\_phuntsho\\_et\\_al\\_eds\\_bhutan\\_CF\\_poverty\\_reduction.pdf](http://www.helvetas.org.bt/images/2011_phuntsho_et_al_eds_bhutan_CF_poverty_reduction.pdf)

[http://www.helvetas.org.bt/images/2009\\_chhetri\\_schmidt\\_gilmour\\_community\\_forestry\\_in\\_bhutan.pdf](http://www.helvetas.org.bt/images/2009_chhetri_schmidt_gilmour_community_forestry_in_bhutan.pdf)

Potential problems or critiques: Shrinking grazing fields (<http://www.kuenselonline.com/2011/?p=39604>)

Linkages to other Domains:

**Living standard:** Enhances livelihood due to increased and improved accessibility to forest resources, sale of forest resources such as timber harvested from the community forests.

**Community Vitality:** Increased interaction among community members while undertaking such work enhances community relationships.

### **On-farm second-generation biogas generators (Germany, India, UK, China)**

Brief Description: Henry Ford's first car ran on alcohol, a biofuel. That was a century ago, and, with the discovery of fossil fuels, the use of biofuels diminished significantly. As the costs of energy increase dramatically, in tandem with concerns regarding the impact of fossil fuels on climate change and environmental justice, biofuels are making a comeback.

However, first-generation biofuel technologies, which use food crops such as corn and sugar cane, generated significant controversy. They compete with food crops, potentially contributing to rising food prices, require intensive water and nitrogen inputs, and divert land from food production by way of profitability and physical space. The trade-off between food and biofuels seems to be a stark one. A US National Academy of Sciences review attributed 20-40 per cent of the 2007-2008 price spikes to global biofuels expansion. Subsequent studies confirmed this range for the later price increases. The link between high food prices, malnutrition and civil unrest is well-documented.

In addition to potentially undermining the right to food, particularly for poor individuals in the global South, energy crops represent a significant driver in the overall trend of large-scale acquisition or

lease of farmland, representing probably between one quarter and one third of total acquisitions of farmland. Most of this farmland is bought in developing countries, due to cheap land and labour. However, since property rights in developing countries are often poorly defined and enforced by the state (although they may be well-defined and enforced at a community level), first-generation biofuel production also represent a major driver of land grabs.

Finally, it is possible that first-generation biofuels may exacerbate climate change, rather than alleviate it. A study by the University of Minnesota argues that “converting rainforests, peat lands, savannas, or grasslands to produce food-based biofuels in Brazil, southeast Asia, and the US creates a ‘biofuel carbon debt’ by releasing 17 to 420 times more CO<sub>2</sub> than the annual greenhouse gas (GHG) reductions these biofuels provide by displacing fossil fuels.” These findings were corroborated by a Princeton study, which forecasts that corn-based ethanol, instead of producing a 20% savings, nearly doubles greenhouse emissions over 30 years and increases greenhouse gases for 167 years. For all of these reasons, both the World Bank and the UN have expressed strong concerns about the impact of biofuels on world food prices, land grabs, deforestation and rural livelihoods.

However, second and third-generation biofuels, which use non-food products, might represent significant benefits over first-generation biofuels. Second generation biofuels comprise waste biomass and biomass crops, while algae fuel is a third-generation biofuel. They may mitigate the stark tradeoff between food and energy production. Coupling this technology with on-farm production could generate significant benefits for small-scale farmers and the rural economy.

On-farm biogas generators use anaerobic digestion to convert manure, energy crops and organic solid waste into clean energy and fertiliser. On-farm production is a valuable resource for energy-poor farmers in the global South, who can consume and even sell excess energy to earn extra income. Doing so avoids the energy inefficiencies of centralised energy production. Second-generation biogas reduces the leaching of nitrates and burns more cleanly than

oil and coal. It is an excellent way to capture methane, a potent greenhouse gas produced by livestock farming. Captured methane can be transformed and ploughed back into the soil in the form of nitrates, thereby improving soil fertility and contributing towards food production, rather than competing with it.

Implemented by: Governments, social entrepreneurs (for-profit and not-for-profit) and small-scale farmers.

Location, scale, time period:

Indian sub-continent: estimated 2 million generators are used. In contrast to the UK and Germany, these are mainly on-farm generators that do not feed into the gas grid, since many of these households are not on the grid, and generate gas for personal consumption.

China: Over 30 million households have biofuel digesters that convert wastes into clean-burning fuel. Biofuel accounts for about 1.2% of China's total energy use, mostly replacing biomass and fossil fuels used for cooking in rural households.

United Kingdom: There are currently around 60 non-sewage biofuel plants in the UK, most are on-farm, but some larger facilities exist off-farm, which take food and consumer wastes. In 2010, biofuel was injected into the UK gas grid for the first time. Sewage from over 30,000 Oxfordshire homes is sent to Didcot sewage treatment works, where it is treated in an anaerobic digester to produce biofuel, which is then cleaned to provide gas for approximately 200 homes.

Germany currently has the highest number of agricultural biofuel plants in Europe. As of 2010, the total installed electrical capacity of biofuel power plants was 2,291 MW. The electricity supply was approximately 12.8 TWh, which is 12.6 per cent of the total generated renewable electricity. biofuel in Germany is primarily extracted by the co-fermentation of energy crops. Organic waste and industrial

and agricultural residues such as waste from the food industry are also used for biofuel generation.

**Impact/Significance:**

The environmental impact of second-generation biogas production varies considerably depending on the conversion route, the feedstock and site-specific conditions (climate, soil type, crop management, etc.). A further constraint is that data on lifecycle emissions of second-generation biogas only refer to demonstration and pilot plants in the last decade. They are therefore not necessarily representative of older technologies in China and India, nor of large-scale commercial production.

Depending on the estimates, using biogas for heat, transport and power production can reduce greenhouse gases by 60-160% relative to the use of conventional fuels. This high reduction potential is the result of the dual effect of the substitution of fossil fuels and reduced emissions of methane and nitrous oxides from livestock manure.

The social impact of on-farm biogas generators remains unquantified. This impact may be measured relative to the use of conventional fossil fuels, but it may also be measured relative to the use of centralised, large-scale commercial production of second-generation biofuels.

Relative to first-generation biofuel, by mitigating competition between energy and food production, it should have a significant positive bearing on food autonomy at a national scale. Furthermore, it has enabled millions of rural families to produce their own transport, generator and cooking fuel and has thereby contributed to reducing rural energy poverty at the household level. Enabling farmers to enter the energy economy as producers may also help diversify their incomes, thereby cushioning them from agricultural shocks, such as a sudden drop in prices for cash crops, which are notoriously volatile, or changes in rainfall. It may also contribute to their autonomy, understood narrowly in terms of their ability to

make meaningful choices about the uses to which they put the biogas they produced.

Relative to centralised, large-scale commercial production, the relative merits and drawbacks of decentralised on-farm production are not clear. On the one hand, the IEA study points out that large-scale commercial production may engender similar problems to those of first-generation production – trade-offs with food security, land grabs and the undermining of rural livelihoods. Depending on the conversion route, it may also use substantial amounts of increasingly scarce water. It will also rely on technologies, skills and infrastructures that are expensive and difficult to require. In contrast, on-farm production seems to have contributed to strengthening food sovereignty, rather than undermining it, while decreasing rural energy poverty. In situ production may be more energy efficient than centralised production and distribution. And the use of simple biogas generators does not rely on expensive technologies, skills and infrastructures, so there is *prima facie* evidence that it is cheaper. On the other hand, on-farm production may not be a viable strategy for producing energy for urban areas.

Potential problems or critiques: Primary residues are often left on the field, where they are used as fertiliser. If the residues are used for fuel, then their removal could lead to nutrient extraction that would have to be balanced by synthetic fertilisers to avoid decreasing productivity. Given the increasing costs of fertiliser over the last two decades, biogas competition with fertiliser could have a significant negative impact on food production. The trade-offs between fuel and fertiliser would need to be carefully explained to village users, so that they can make informed decisions.

Furthermore, if on-farm second-generation generators are taken to national scale, it may induce competition with conventional fertiliser and fuel producers, who may place significant entry barriers and operating costs to retain their market share. It may also come into competition with second-generation corporate producers, who may seek to undermine household production in order to capture a

greater share of the profits. It may also provide perverse incentives to farm livestock in inappropriate conditions (eg: semi-deserts).

However, if second-generation biofuel is not developed as a decentralised on-farm model, but as a centralised model, in which either the private sector or the state acquire large tracts of land to produce biofuel, then a 2010 study by the Institute for Energy Studies finds that the greater energy efficiencies of second-generation technologies might still be rendered unsustainable by competing land uses. It may generate the familiar problems of food security, land grabs and rural livelihoods.

Linkages to other Domains:

- Environment: greenhouse gas reduction, energy efficiency, soil fertility
- Standard of living: energy poverty, food autonomy & security

Potential Policy Recommendation:

To our knowledge, the costs and benefits of on-farm biogas generation versus large scale commercial production have not been rigorously studied, particularly at country-specific level. This is urgent, since the two operating models may often be in competition with each other. Second, the IEA 2010 report identifies R&D on second-generation biofuels as a crucial, undeveloped area. It is important for governments to provide public funding for R&D on biofuel technologies and operating models, since these can function as substantial public goods (and potentially public bads).

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### **Citizen Science and Monitoring (China, East and South Africa, United States)**

Broadly, citizen science is public participation in scientific research or monitoring. By working collaboratively, non-professionals can aid researchers in critical environmental research. Their efforts can also allow citizens to challenge the accuracy and veracity of official environmental reports, encourage greater transparency on environmental issues, expose polluters, and document changes to the local ecology and their living environment. Citizen monitoring is informed by the idea that the rights of citizenship are coupled with responsibilities to care for public and common goods, and responsibilities to engage with the each other as a polity and the state to build a flourishing society. At the same time, it acknowledges and

nurtures the role of public deliberation and the free flow of knowledge in deepening democracy.

Examples include citizens in China taking their own air pollution measurements and forcing the Chinese government to admit that the smog problem was much more severe than it had previously acknowledged and also to begin measuring the smaller, more dangerous particulates.<sup>121</sup> FLOAT Beijing in particular example built on the Chinese tradition of kite-flying to send air pollution sensors aloft.<sup>122</sup> There are dozens, if not hundreds of projects of various scales. Other citizen science projects include insect monitoring in South Africa and air and water sample collection near a Zambian copper mine and an oil and gas field in Kazakhstan.<sup>123</sup>

Citizen water quality monitoring is most strongly established in the United States, followed by Australia and Canada. The USA programmes are well established and some date from the 1970s, when there was an upsurge in interest in water quality issues in the USA. The USA has the most developed and legislatively advanced citizens monitoring programmes in the world. The benefits of citizens monitoring has been acknowledged, embraced and encouraged by the Environmental Protection Agency. EPA with the result that there are now 872 monitoring groups listed on their website.

Civic engagement in environmental decision-making in the USA was formalized by the passing of the 1969 National Environmental Protection Act (NEPA) which promoted public inputs into environmental decision-making. The EPA encourages volunteer

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<sup>121</sup> LaFraniere, S. (2012). "Activists Crack China's Wall of Denial about Air Pollution." *The New York Times*. January 27.

<http://www.nytimes.com/2012/01/28/world/asia/internet-criticism-pushes-china-to-act-on-air-pollution.html>

<sup>122</sup>[http://www.wilsoncenter.org/sites/default/files/Kites\\_Sensorship\\_Barne\\_s\\_3\\_0.pdf](http://www.wilsoncenter.org/sites/default/files/Kites_Sensorship_Barne_s_3_0.pdf)

<sup>123</sup><http://www.bucketbrigade.net/article.php?id=494> and <http://www.bucketbrigade.net/article.php?id=633>

environmental monitoring as a way to complete basic monitoring tasks, to promote more active citizen participation in environmental protection, and to create greater awareness and knowledge about environmental processes.

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### **Seed Banks (France, India)**

Brief Description: Swapping of saved seeds. An ancient practice with very current and urgent application – it helps curate and innovate new bio-knowledge in the form of seed cultivars. Seed banking has considerable advantages over other methods of ex situ conservation such as ease of storage, economy of space, relatively low labour demands and consequently, the capacity to maintain large samples at an economically viable cost.

Implemented by: Almost every agricultural community in recorded history.

Location, scale, time period: Good examples: Association Kokopelli, headquartered in France, with 6000 members who preserve and

refine heirloom cultivars. Navdanya, headquartered in India, with 200 000 members in 15 states.

Impact/Significance :

Seed banks help curate and generate indigenous knowledge efficiently and cheaply. This has high instrumental value, as biodiversity is crucial for food security. For instance, when a corn disease outbreak threatened corn production in the United States in the 1980s, the industry was able to draw on one of the hundred pest-resistant cultivars in Mexico, which had been preserved through seed saving and seed banks (More detail and reference).

Navdanya has managed to preserve and innovate thousands of different rice cultivars, as well as millet and wheat. Some of these may be more drought resistant, or able to withstand highly variable climactic conditions. As climate variability, water stress and natural disasters increase, such cultivars will be important bioknowledge for climate change adaptation.

Furthermore, seed banks and saving constitutive of the autonomy of farmers - their rights to ownership over the means of production.

Finally, insofar as seed banks help to conserve and create indigenous knowledge and promote the fruitful interdependence in a community, they contribute to community flourishing and cultural diversity.

Potential problems or critiques: The implementation of agricultural seed banks for commercial production in the European Union is only allowed if it has been certified as “distinct, stable and sufficiently uniform.” Seed swapping and saving is illegal for the many plant varieties that are patented or otherwise owned by some entity (often a corporation). Under Article 28 of the Agreement on Trade-Related Aspects of Intellectual Property Rights (the TRIPS Agreement), “planting, harvesting, saving, re-planting, and exchanging seeds of patented plants, or of plants containing patented cells and genes, constitutes use” and is prohibited by the intellectual property laws of

signatory states. However, since it is extremely difficult to prevent cross-pollination of non-patented seeds with patented seeds, many farmers inadvertently save and improve on patented genetic information.

Furthermore, if implemented at a large scale, it may produce significant competition with commercial seed providers. This may induce unforeseen negative results.

Linkages to other Domains: standard of living (food security and autonomy), cultural diversity

Potential Policy Recommendation: to develop programmes that encourage communities to establish and/or strengthen seed banks for both agricultural and non-agricultural plant species. To develop laws that safe-guard seed saving and biodiversity. For instance, the Plant Variety Protection Act of 1970 in the United States attempts to safe-guards farmers' rights to save and use seeds from protected varieties.

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Court of Justice of the European Union, Judgment in Case C-59/11, July 2012

United States, Plant Variety Protection Act of 1970 (PVPA), 7 U.S.C. §§ 2321-2582

TRIPS, Article 28

**Social learning using peer-to-peer technologies (India)**

Brief Description: A number of developing countries have witnessed significant state divestment from small-scale farming in the last two decades. Part of this divestment includes the withdrawal of agricultural extension services. At the same time, NGO and private sector attempts to fill this gap have been largely unidirectional, in which knowledge flows from extension worker to farmer. However, a large body of theoretical literature in pedagogy suggests that multidirectional social learning models are more useful. Recent experimental work in agricultural extension strengthens this claim:

there is strong, statistically significant field evidence that farmers in India tend to follow up on agricultural advice from peer farmers more than when the same information comes from university scientists. Furthermore, multidirectional models can provide information about the problems that farmers face on the ground, as well as innovations that farmers engage in to solve these problems.

At a People's Dialogue Conference in 2010, small-scale farmers' association in the SADC region and Kenya unanimously demanded a return to agricultural extension and government support for small-scale agriculture following divestment from the sector in the 1990s. This indicates that extension services may be of substantial benefit to farmers.

Avaaj Otalo (“voice porch”) is voice-based social media for rural developing regions to access and share relevant, timely information over the phone. It features a voice-based question and answer forum for callers to post questions, listen to previously posted question and answers, and to respond to questions themselves.

Avaaj Otalo was envisioned to complement DSC’s self-produced weekly radio program as an aggregative feedback channel for radio listeners to follow up, ask questions, and leave comments to guide future programming. AO was also inspired by models in India attempting to support grassroots innovator to serve as a platform for farmers to share what they knew with others. Voice keeps the barrier to content creation low; as long as you can speak into the phone, you can be an expert in the system.

Implemented by: A collaboration between the Development Support Center (DSC) in Gujurat, India, Stanford University, IBM Research India, and UC Berkeley.

Location, scale, time period: 2007-ongoing, Gujurat India.

Impact/Significance: There are about 5 billion active mobile phone subscriptions worldwide. Mobile, voice-based interfaces have the

potential to address both the literacy and connectivity constraints of rural populations simultaneously. By providing a peer-to-peer interface, they allow timely and useful information to flow in several directions – between farmers, from farmers to the administrating body, and from the administrating body to farmers. The nature of the information is potentially unlimited. It can include everything from data on climate forecasting, to market conditions, to the latest Bollywood songs.

The successful design and adaptation of the technology depends crucially on (i) leveraging existing systems, such as community radio (ii) inclusion of farmers in the design process, and (iii) empirical evaluation of design choices.

As the design principles illustrate, the technology is only a small component of the process. While the system can provide functionality to better facilitate contribution from the user community, p2p sharing also depends crucially on the cost of sharing, the type of content being exchanged, and the perception of the system amongst users. Unique to typical social media contexts, social media in developing communities often include the administering institution as an influential voice in the online community. Paying close attention to the context in which a technology is embedded is perhaps the most important feature of the case study.

Potential problems or critiques: AO was initially free to access, and then shifted to a low-charge call rate. However, this was accompanied by a large drop in the number of farmers answering each other's questions. Farmers explained that they were worried that they would waste other farmers' money with poor advice. Furthermore, while India has low call rates, other parts of the world do not, and a voice-based forum might be grounded by insurmountable entry costs. However, the principle of p2p sharing is more important than the specific technology used to deliver it. Contexts with high call rates could draw on alternative mobile social platforms, such as MXit, an extremely low-cost social network

through which individuals can connect on chat forums, pay for goods using mobile money and even read free books (see the Open Textbook box), amongst a host of other services.

Linkages to other Domains: Living standards – food security, climate adaptation. Governance – improved data

Potential Policy Recommendation: Re-invest in multidirectional agricultural extension, since this is an investment in (i) food security (ii) climate adaptation, (iii) poverty alleviation and (iv) improved data.

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### **Composting Toilets (India)**

Brief Description: Waterless toilets that generate compost for agriculture or biogas for energy consumption (see link to biogas generators). Suitable for water-stressed regions, or regions where pit latrines are not viable (in areas with a high water table), and flush toilets are too expensive. The first “Ecosan” village was created in 2009 in Sevanthilingapuram, Tamil Nadu, India, when all 246 households received composting toilets.

It is estimated that 780 million people in the world lack access to improved water supplies and 2.5 billion people lack access to improved sanitation (UNICEF 2012). The MDG goal is to halve this proportion by 2015. Yet goals of improving water and sanitation fall far short of ensuring that people have safe drinking water, adequate supply of water for consumption, agriculture and economic development, and sustainable sanitation to protect health and the environment.

The International Water Management Institute (IWMI) projects that 25% of the world's population – or 33% of people living in developing countries – live in regions that will experience severe water scarcity. 1 billion people will be affected by severe water scarcity (IWMI 2012). For these people, it may no longer be possible, let alone sustainable, to aim to provide flush toilets.

Implemented by: Scope NGO, Tamil Nadu state government, UNICEF

Location, scale, time period: Multiple locations, all based in India. 2004 onwards. Examples of composting toilets across the world abound.

Impact/Significance: Cheaper to build than flush toilets and septic tanks. Waterless toilets represent important saving of precious freshwater, particularly for water-stressed areas. Separation of urine and faeces allows faeces to be used in compost or biofuel production, and urine to be used in phosphorous production (for chemical fertilisers). While these products can be used solely for the household economy, they also have commercial potential. The town of Musiri in Tamil Nadu, for instance, pays its residents to use its toilets, rather than vice versa. The World Toilet Organisation, which still uses flush toilets, nevertheless recovers its operating costs through the collection of composted human waste from the toilets every six months.

Potential problems or critiques: One problem might be users lack of familiarity with the technology. For this reason, SCOPE is always careful to demonstrate the toilets before asking communities whether they should build them. A second concern is that composting toilets may not be easily context-transferable. Societies in which there is a spiritual taboo against human waste, or in which flush toilets are an important status symbol, may face stronger challenges to adopting composting toilets. Ultimately, toilets cannot be parachuted into communities without public deliberation and planning (see Community Planning). There are enough examples of broken water pumps, gasoline powered hand-pumps in areas where gasoline is prohibitively expensive, disused latrines to caution against the inefficiencies of undemocratic practices (Moe and Rheingans 2006).

Linkages to other Domains: ecological wellbeing – water scarcity, soil quality; living standards – sanitation, food security, energy poverty

Potential Policy Recommendation: to fund greater public research on different toilet technologies and operating systems. To conduct a feasibility study of the costs and benefits of national transitioning away from flush toilets, which use precious and fast disappearing freshwater sources. To provide institutional and financial support for the government, NGOs and/or private sector firms to build such toilets, depending on which institutional mix is appropriate to the context.

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## Community Vitality

### Cure Violence (US)

Cure Violence's public health approach to gun violence has led to dramatic decreases in bloodshed. Begun in 2000 as a standalone pilot in Chicago's West Garfield Park neighborhood, which at that time had one of the highest murder rates in the United States, Cure Violence's<sup>124</sup> epidemiological model had significant success in decreasing gun violence. This epidemiological model has been replicated in 50 sites in 15 US cities as well as sites in Iraq, South Africa, Trinidad and Tobago, Kenya and the United Kingdom.<sup>125</sup>

"Cure Violence's founder, an experienced epidemiologist, was convinced that the trajectory of an infectious disease and that of violence shared similar patterns. He hoped that one could treat each with the same public health strategy - stopping transmission at the source and changing behavior patterns so that fewer people became infected in the first place. Cure Violence identifies those who have been most 'infected' by violence and treats this core group through a staff of 'violence interrupters' - former perpetrators employed to disrupt armed conflicts and educate the community about the consequences of violent behavior. Their work is complemented by coordinated community action to change people's mindsets about gun violence through mobilizing community leaders, clergy, parents, hospitals, and so on. Both elements of the approach reinforce each other, leading to a comprehensive strategy similar to the most successful methods in eradicating infectious diseases."<sup>126</sup>

"To spread, an infectious disease needs three things: a source of the infection; a mode of transmission; and we need a susceptible

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<sup>124</sup> Formerly Ceasefire

<sup>125</sup> Kotlowitz, Alex. 2008 "Blocking the Transmission of Violence" NYTimes Sunday Magazine.

[http://www.nytimes.com/2008/05/04/magazine/04health-t.html?pagewanted=all&\\_r=0](http://www.nytimes.com/2008/05/04/magazine/04health-t.html?pagewanted=all&_r=0)

<sup>126</sup> <http://usa.ashoka.org/fellow/gary-slutkin>

population,” says April Zeoli, a public health researcher at Michigan State University's School of Criminal Justice.<sup>127</sup> Zeoli and her colleagues' analysis of murders in Newark, NJ, that homicide spread through Newark very much like an infectious disease.

“Being at its core a public health approach to violence, the model is informed by rigorous data analysis which, unlike most other attempts to quell urban violence, carefully measures the impact of its interruption and outreach work (and leads the field in doing so). Cure Violence maps and analyzes “hot spots” (areas with high levels of violence) and concentrates its efforts on these most affected areas. Independent evaluations have found the Cure Violence model to be successful in decreasing shootings and killings, both in terms of quelling violent incidents as well as changing attitudes towards gun violence”<sup>128</sup>

A rigorous evaluation of the program, sponsored by the National Institute of Justice, confirmed that Cure Violence had a significant positive impact on many of the neighborhoods in which the program was implemented, including a decline of 16 to 28 percent in the number of shootings in four of the seven sites studied in Chicago.<sup>129</sup> A Johns Hopkins School of Public Health study of Baltimore's Safe Streets program, which was based on Cure Violence's model, found a 56% reduction in homicides and a 34% decline in nonfatal shootings in the Cherry Hill neighborhood.<sup>130,131</sup>

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<sup>127</sup> <http://www.npr.org/2012/12/06/166600403/can-murder-be-tracked-like-an-infectious-disease>

<sup>128</sup> <http://usa.ashoka.org/fellow/gary-slutkin>

<sup>129</sup> <http://www.nij.gov/journals/264/ceasefire.htm> **NIJ Journal No. 264, November 2009**

<sup>130</sup> Johns Hopkins School of Public Health [http://www.jhsph.edu/sebin/u/p/2012\\_01\\_11.SafeStreetsEval.pdf](http://www.jhsph.edu/sebin/u/p/2012_01_11.SafeStreetsEval.pdf), p 3

<sup>131</sup> Further statistics on Homicide from UNDOC Global Study on Homicide 2011 [http://www.unodc.org/documents/data-and-analysis/statistics/Homicide/Globa\\_study\\_on\\_homicide\\_2011\\_web.pdf](http://www.unodc.org/documents/data-and-analysis/statistics/Homicide/Globa_study_on_homicide_2011_web.pdf), p. 9

A public health approach can also identify positive outliers. Researchers have found that some areas prove resistant to homicides, for example, even when surrounded by areas that have a high rate. If researchers can learn what makes some neighborhoods less vulnerable to infection, policymakers, community activists, and law enforcement to use this knowledge to inoculate other areas and prevent violence from spreading.<sup>132</sup>

### **UNESCO Story Telling Program in Burundian Refugee Camps in Tanzania (Tanzania)**

#### **Brief Description:**

“In the international context of refugee camps, the intangible cultural heritage of populations who fled conflicts in their home country is put at risk. The individual and collective trauma of violence, feelings of insecurity, the experience of exile, the changes in the socioeconomic and political organization of communities and the fostering of a refugee /ethnic /national consciousness contribute to shifts and ruptures of knowledge and savoir-faire. These changes are concerned mainly with the domestication of nature, relations between generations and between genders as well as identity consciousness. It is all the more urgent to preserve and revive this traditional cultural knowledge as it greatly helps refugees maintain appropriate behaviors and social relations based on socially accepted cultural norms, values and savoir-faire. What is more, as it contributes to preserving social, cultural and symbolical links to the home country, it obviously facilitates the decision-making to repatriate. Eventually, its safeguard contributes to facilitating peace-building processes in post-conflict countries, as it promotes national unity with respect to cultural diversity.”<sup>133</sup>

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<sup>132</sup> Zeoli AM, Pizarro J, Grady S, Melde C. 2012. Homicide as infectious disease: Using public health methods to investigate the diffusion of homicide. *Justice Quarterly*. October.

<sup>133</sup> Marie-Aude Fouéré. 2007. Traditional Knowledge in Refugee Camps The Case of Burundian Refugees in Tanzania. UNESCO. [http://www.unesco.org/pv\\_obj\\_cache/pv\\_obj\\_id\\_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf](http://www.unesco.org/pv_obj_cache/pv_obj_id_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf), p. 46

To this end, in 2006 UNESCO implemented a program with Burundian refugees in Tanzania. The aim is to “to incorporate traditional cultural knowledge as a vital dimension of humanitarian programs in refugee camps” by funding storytelling activities in the refugee camps. A group of selected elders told traditional tales once a week at the Youth Center in the Kanembwa refugee camp, preceded by traditional drumming, to teenagers, young adults and children in the camp. The stories were not only recorded in writing (both in English and the language of the tales), but also broadcast on a radio station popular in both Burundi and Burundian populations in Tanzania. At the end of each story, story-tellers explained the meaning of selected stories to the audience, retracing their links to Burundian history and tradition and its possible message in the current context of refugee camps. In doing so, it helped prevent a living culture from being transformed into a set of folkloric tools that would no longer bear any connexion to a specific historical and political context.<sup>134</sup>

Implemented by:

UNESCO and its partner NGO SAEU (Southern Africa Extension Unit).

Location, scale, time period:

Kanembwa refugee camp, Tanzania, 2006-2007; also Burundian refugees in Tanzania and residents of Burundi more broadly as the stories were broadcast on Radio Kwizera in Tanzania and Burundi.

Impact/Significance:

UNESCO argues that ruptures in traditional knowledge and cultural practices contribute to the difficulties of refugees that return and are resettled in their home countries: “shifts and ruptures of traditional cultural knowledge... influence refugee decisions to repatriate and

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<sup>134</sup> Marie-Aude Fouéré. 2007. *Traditional Knowledge in Refugee Camps The Case of Burundian Refugees in Tanzania*. UNESCO.  
[http://www.unesco.org/pv\\_obj\\_cache/pv\\_obj\\_id\\_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf](http://www.unesco.org/pv_obj_cache/pv_obj_id_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf), p. 45

hamper their smooth socio-cultural reintegration in their home community.” It is also a way of easing ethnic tensions, since traditional stories portray Burundians as a harmonious multiethnic society, undermining the presumption that Burundi has been historically plagued by ethnic violence.<sup>135</sup>

Fundamentally, the most immediate aim of the program is in “helping the refugee youth inherit Burundian traditional cultural tradition threatened by the conditions of life in refugee camps.”<sup>136</sup> The objective is not so much about ‘educating’ the youth but about creating symbolical links with their culture of origin.<sup>137</sup>

The implementation of cultural activities that draw on oral tradition can contribute to promote social unity by raising awareness on the values, norms and skills that epitomize Burundian culture and bring people together whatever their ethnic background. Story-telling was selected as the most appropriate cultural activity to transmit oral tradition on the grounds that:

- It develops awareness on the value of Burundian traditional culture to younger generations as well as on the importance to safeguard and revitalize it,

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<sup>135</sup> Marie-Aude Fouéré. 2007. Traditional Knowledge in Refugee Camps The Case of Burundian Refugees in Tanzania. UNESCO. [http://www.unesco.org/pv\\_obj\\_cache/pv\\_obj\\_id\\_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf](http://www.unesco.org/pv_obj_cache/pv_obj_id_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf), p. 43

<sup>136</sup> Marie-Aude Fouéré. 2007. Traditional Knowledge in Refugee Camps The Case of Burundian Refugees in Tanzania. UNESCO. [http://www.unesco.org/pv\\_obj\\_cache/pv\\_obj\\_id\\_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf](http://www.unesco.org/pv_obj_cache/pv_obj_id_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf), p. 45

<sup>137</sup> Transmitting Traditional Knowledge in Refugee Camps for the Prevention of Socio-Cultural Obstacles to a Sustainable Reintegration of Returnees The Case of Burundian Post-Conflict Refugees in Tanzania. 2006. UNESCO Research Mission Report, Kanembwa Camp (Kibondo district, Kigoma region) and Burundi (Ruyigi region). [http://portal.unesco.org/pv\\_obj\\_cache/pv\\_obj\\_id\\_FC13A9BF8CB2BCB94F8F0B032137E44DCB730400/filename/unescoreport\\_burundian\\_refugees.pdf](http://portal.unesco.org/pv_obj_cache/pv_obj_id_FC13A9BF8CB2BCB94F8F0B032137E44DCB730400/filename/unescoreport_burundian_refugees.pdf)

- It revives generational links between elders – as bearers of traditional knowledge – and the youth in camps by facilitating social interactions based on co-operation, cohesion and mutual respect,
- It cements a sense of common identity and national unity among all Burundians through the emphasis it puts on shared values, norms and practices.<sup>138</sup>

The impact of the program was positively evaluated based on high attendance to the story-telling sessions, a high level of commitment among elders to the program, and a popular radio show, though UNESCO's report admitted that deeper evaluation of the impact of the programs was difficult and lacking.

Potential problems or critiques:

The impact of this program on all of the goals laid out by UNESCO is hard to measure and assess. There is little peer-reviewed or secondary literature of the impact of story-telling in the cultural vitality and wellbeing of refugees. One could argue that the resources should be better spent on providing for more basic or fundamental needs.

### **Granny-Orphan Love (China, Colombia, Moldova and South Africa)**

Early child development is crucial for the wellbeing of an individual. According to the World Health Organization (WHO): a) early childhood is the most important phase for overall development throughout the lifespan; b) brain and biological development during the first years of life is highly influenced by an infant's environment; c) early experiences determine health, education and economic participation for the rest of life; d) every year, more than 200 million children under five years old fail to reach their full cognitive and

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<sup>138</sup> Marie-Aude Fouéré. 2007. Traditional Knowledge in Refugee Camps The Case of Burundian Refugees in Tanzania. UNESCO. [http://www.unesco.org/pv\\_obj\\_cache/pv\\_obj\\_id\\_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf](http://www.unesco.org/pv_obj_cache/pv_obj_id_9F50A293913D82CF488616FC755E7B8A109E0D00/filename/00364-EN.pdf)

social potential; and e) there are simple and effective ways for families and caregivers to ensure optimal child development.<sup>139</sup> Moreover, there are huge risks for children who do not have early attachments “as they experience lifelong difficulties with intimate relationships, have generally poor social skills, poor affect regulation, low impulse and tolerance control, difficulties with anger management and a lack of conscience.”<sup>140</sup> Thus, besides the benefits on the physical and cognitive development of a child, early child development provides key aspects that will affect the future levels of social connectedness of a child.

Social connectedness is crucial for human beings. Suffering deprivation in social connectedness – or being socially isolated – affects the ability of an individual to participate in social life with all its emotional and economic consequences. Moreover, new evidence shows that it has dire effects on the health of an individual. For example, it has now been established that chronic feelings of subjective social isolation trigger a series of physiological events that have an impact on health comparable to the effect of high blood pressure, lack of exercise, obesity, or smoking, and can actually accelerate the ageing process (Cacioppo and Patrick 2008).<sup>141</sup> It is also a predictor of functional decline and death among individuals older than 60 years (Perissinotto, Stijacic Cenzer, and Covinsky 2012).

Programs linking foster grannies with orphan children provide an interesting example of an intervention that helps prevent social isolation. The U.S. based NGO Spence-Chapin, for example, started its Granny Program in 1998 and it is currently being implemented in four countries: China, Colombia, Moldova and South Africa. In this program, orphan children are paired with elder women from the local community who spend one-on-one time with them for several

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<sup>139</sup> <http://www.who.int/mediacentre/factsheets/fs332/en/index.html>

<sup>140</sup> Interview with Lyn Perry, Director of Jo'burg Child Welfare (JCW).

<sup>141</sup> All individuals are prone to feel isolation at several points in their lives. However, this becomes ‘an issue of serious concern only when it settles in long enough to create a persistent, self-reinforcing loop of negative thoughts, sensations, and behaviors’ (Cacioppo and Patrick 2008, p. 7).

years. The main objective of the program is to provide proper physical and emotional contact for the children during their early stages of development as “children growing up in institutions are often deprived of basic human interactions [...]” as “[o]verburdened staff cannot possibly provide them with the individual attention and nurturing they need and deserve each day.”<sup>142</sup>

For example, in the Othandweni Family Care Centre<sup>143</sup> in Soweto, South Africa, the programme involves ten grannies (gogos) from the community spending quality time with specific young children resident at Othandweni. Each of the grannies is carefully selected and screened for participation in the programme and they are matched with two children between the ages of 0 and 7 with whom they spend four hours each day. “The granny forms a trusting, emotional bond with her children in an effort to make up for the essential bond missing between mother and child during this crucial time in these children's young lives.”<sup>144</sup> They offer love, care, support, and stimulation to the children and ensure that they develop well mentally, physically and socially. The grannies also play a critical role in identifying developmental lags. They work within a team that involves therapists, a student social worker, and nursery supervisors to assist the children. Review meetings are held monthly to evaluate progress and to improve on certain areas. Grannies also receive training, such as reading techniques, discipline and infant brain development.

The program has an additional major benefit: it provides social connection for the grannies. Many of the participant grannies are widowers and older than 65 years, placing them among the group where social isolation is most prevalent and where, as aforementioned, isolation is a predictor of functional decline and death. The program allows the grannies to interact with other women in their same situation, with the staff of the centre, and

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<sup>142</sup> [http://www.spence-chapin.org/help-children/g1\\_granny\\_program.php](http://www.spence-chapin.org/help-children/g1_granny_program.php)

<sup>143</sup> <http://www.jhbchildwelfare.org.za>

<sup>144</sup> <http://www.jhbchildwelfare.org.za>

establish a bond with two children. Women hired as grannies also talk about having a high degree of purpose and satisfaction in their roles. An additional benefit is that this activity is a source of income for the grannies, highly praised in locations with poorly developed pension systems.

The long-term effects on the children involved and the levels of social isolation of the grannies have not been properly evaluated to date. However, short-term results are positive: "Children with grannies show significant progress in just one year: their motor skills, attachment and emotional development reveal the most dramatic improvement, and their speaking skills and self-confidence improve as well. Children who previously were unable to sit on their own are soon rolling over and crawling after being assigned a granny. Some who were emotionally withdrawn now raise their arms to be picked up after spotting their grannies."<sup>145</sup>

### **Seongmisan: A village within a city (South Korea)<sup>146</sup>**

Seongmisan community is an urban community located within the City of Seoul. The residents in the area around a hill called Seongmisan have created a cooperative "village" model within the urban context, where faceless individualism and fierce sense of competition is prevalent. What is unique about Seongmisan community is that it was able to create a location-based, traditional "village-like" solidarity among residents through active participation and collaboration of community projects. The continuous trust and relationship-building among residents was the key to creating what proved to be an innovative and resilient community within an urban context.

Disillusioned by the heavily materialistic trend in Korea, Seongmisan community sought to form a cooperative, mutually-beneficial society based on value of peaceful and harmonious co-existence of human

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<sup>145</sup> [http://www.spence-chapin.org/help-children/g1\\_granny\\_program.php](http://www.spence-chapin.org/help-children/g1_granny_program.php)

<sup>146</sup> Ku, D. (2009) The Emergence of Ecological Alternative Movement in Korea, *Korean Social Science Journal*, XXXVI No. 2(2009): 1-32.

and nature. The community emphasises ecological way of living and a genuine personal and face-to-face social relationships in an urban neighbourhoods (that are often filled with faceless strangers and apathy).

The creation and growth of Seongmisan community was an organic process. There were no carefully designed plans, structures or hierarchies. Personal needs widened into social needs. People recognised the needs, came together and found collaborative ways to solve community challenges. Various community activities were ideated, proposed, experimented by the residents and these activities naturally evolved into cooperative childcare, schools, social care, co-housing models, carsharing model, collaborative model of consuming and producing food, community theatre, radio channels, festivals and art projects.

*Key features include revival of and reinterpretation of "traditional/indigenous" knowledge, place-based solutions to intractable social problems, democratic decision-making within the community, and mixing formal and informal dialogues to make decisions.*

### **Civic Consumption – Groundswell and Firstbook (US)**

The concept of civic consumption as organized by nonprofit organizations like Groundswell and Firstbook helps individuals and communities join together in order to leverage their collective purchasing power. In turn, this pooled buying power can, for example, allow communities to reduce their energy costs, increase their clean energy consumption, and purchase energy-saving equipment at lower prices. The same concept has permitted economically disadvantaged schools to buy books for their libraries at a significant discount. By aggregating a previously fragmented market, civic consumption makes purchases of goods and services a civic opportunity and allows communities to take part in shaping the economy in ethical, forward-looking ways.

“In Washington, DC, 11 churches and a nonprofit youth group joined together solicit reduced-rate bids for electricity – most of it from

renewable energy sources – from local suppliers. In the first year of its contract, the group received a combined savings of nearly \$100,000.<sup>147</sup> The value extends beyond financial savings. By increasing their reliance on clean energy and negotiating lower prices on items like insulation, the environment also benefits. The Energy Star program calculates that by cutting energy use by at least 10 percent, the United States’ estimated 370,000 religious buildings could save a combined \$315 million a year and reduce emissions by the equivalent of taking 240,000 cars off the road.”<sup>148</sup>

“Likewise, First Book has pioneered groundbreaking channels to provide new books and educational resources at deeply reduced prices – and for free – to schools and programs serving children in need. By combining the purchasing power 35,000 schools and local nonprofits into a single network, First Book provides teachers and program administrators access to high-quality books that otherwise would not be affordable.<sup>149</sup> Since 1992, First Book has provided over 100 million free or discounted books to children in need in the United States.”<sup>150</sup>

The civic consumption model could be applied by citizen sector organizations working across a wide spectrum of market sectors, helping communities to build and apply their purchasing power to achieve a number of socially positive ends.

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<sup>147</sup><http://www.nytimes.com/2011/07/31/science/earth/31churches.html?pagewanted=1&r=2&ref=earth&>

<sup>148</sup><http://www.nytimes.com/2011/07/31/science/earth/31churches.html?pagewanted=1&r=2&ref=earth&>

<sup>149</sup> <http://www.firstbook.org/first-book-story/our-impact> CF Yale School of Management Case Study [http://pse.som.yale.edu/sites/pse.som.yale.edu/files/Case\\_firstbook-text-exh-reformatted\\_0.pdf](http://pse.som.yale.edu/sites/pse.som.yale.edu/files/Case_firstbook-text-exh-reformatted_0.pdf) and case studies from Columbia Business School and LSE

<sup>150</sup> [http://blogs.edweek.org/edweek/bookmarks/2012/10/nonprofit\\_celebrates\\_milestone\\_with\\_book\\_giveaway\\_contest.html](http://blogs.edweek.org/edweek/bookmarks/2012/10/nonprofit_celebrates_milestone_with_book_giveaway_contest.html)

### **Community planning and in situ upgrading (Pakistan, India, Thailand, South Africa)**

Description: The impacts of forced removals do not seem to have been studied using quantitative methods. However, forced removals often seem to result in substantial reductions in living standards, since individuals are often forcibly relocated to areas far away from jobs, healthcare and schools. At the same time as they face unemployment, health and schooling shocks, they may also lose the community that provided a safety net in times of need – with regards to loans, sharing of parenting or emotional support. A common claim is that community disintegration is responsible for the rise of gangs, and alcohol and drug abuse. In South Africa, where forced removals were a notorious component of apartheid, historical evidence suggests that communities who have been subject to forced removal are sites of disproportionate violence and drug abuse (reference).

In cases where evicted families are compensated with brick houses that have running water and electricity, they may not be able to live in such houses. Since forced removals generate large negative shocks for families, families may rent out houses to compensate for such shocks – but the extent to which they do has not been the object of quantitative studies.

Similar results have been found for the impacts of gentrification in wealthy countries. For instance, a meta-analysis of studies attempting to quantify the impacts of gentrification in the UK finds that the existing evidence shows it to have been largely harmful, predominantly through household displacement and community conflict. This suggests that whole-scale displacement of communities – whether violent or not – can have significant negative impacts.

In contrast to this, community planning and in situ upgrading envisions a partnership between local residents, the municipality and other local institutions (such as universities, trade unions, banks and NGOs). The partnership allows for the incremental upgrading of homes and the planning of urban spaces by the people who will live in them.

Shackdwellers' political movements and organisations across the world have long called for community planning and in situ upgrading (Abahlalibase Mjondoloo 2010). They argue that it is a fundamental feature of deliberative democracy, particularly for the most vulnerable in our societies, who are typically excluded from the constitutional safeguards of electoral democracy.

Implemented by: partnership between local residents, local government and other local institutions (such as universities, trade unions, poor people's movements, banks and NGOs).

Location, scale, time-period: The community construction and maintenance of sanitation services in 250 settlements across Pakistan (Hasan 2006); 400 community block toilets servicing half a million people in Pune, India (Burra and Patel 2002); housing upgrades in Bangkok, Thailand (Archer 2012), as well as the design and construction of homes in Harare, Zimbabwe and Stellenbosch, South Africa (reference).

All four case studies show that community planning and in situ upgrading respects and draws on the informational advantages of local residents with regards to what is important for their lives. In doing so, it may help to uphold their dignity. Perhaps the most important feature is the way in which it fundamentally relies on deliberative democracy. The process can only move forward by respecting and engaging the reasoned values and beliefs of poorer residents, and building a partnership between them and local government. If deliberative democratic practices are not followed, then the process leaves itself open to the abuses of power which results in forced removals.

Significance and/or impact: It saves substantial direct costs for the government, in terms of the cost of enforcing whole-scale community displacement, and compensating displaced residents. It may also prevent large, long-term costs to inhabitants – unemployment, health and school shocks, community disintegration. Since such negative impacts substantially increase the challenges that governments face

to ensure the wellbeing of citizens, preventing whole-scale community displacements is in the long-term interest of government at large. Indeed, since community planning and in situ upgrading may generate substantial benefits in terms of community vitality and living standards, it is in the long-term interest of local governments to actively pursue such policies. At the most basic level therefore, community planning and in situ upgrading contribute towards deepening and strengthening democracy.

**Potential Problems/Criticisms:** Local elites in both the private and public sector may stand to gain from forced removals and the whole-scale displacement of communities. They may therefore lobby or agitate against community planning and in situ upgrading. Local government may be more receptive and accountable to the interests of wealthier residents, and may struggle to see the rationale of community planning, which is intended to primarily benefit poor households. If the process of community planning is not a democratic one, then community planning may become a source of tension and divisions, rather than a source of community building.

**Linkages to other domains:** Clear, explicit links to living standards and governance.

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### **Dompét Dhuafa (Indonesia)**

“Dompét Dhuafa has transformed the Islamic religious tradition of charity, called zakat (a mandatory charitable contribution based on income), to help the poor by forming new zakat management institutions, which offer high-quality and affordable health, education, and savings/loan services. Most of the organizations develop financial independence and sustainability. Simultaneously, this umbrella structure has also allowed zakat payers to make independent decisions as to how and where to donate. In 2010 the zakat collected was more than 1 trillion rupiah (from 612 billion in 2007).

Founder Erie Sudewo realized early on that everyone has something to give to others but would not give it, at least through the government system, if they believed the system was corrupt or the process was too complicated. In 1997 Dompét Dhuafa launched Forum Zakat (FOZ) to create greater awareness about and improved management of zakat organizations throughout Indonesia. The forum encourages coordination and partnership at the national and regional levels and assures a high-quality standard of zakat management. Since its founding, 400 to 500 citizen-based zakat management organizations have emerged across the country with millions of beneficiaries.”<sup>151</sup>

### **Azul Solidarity (Argentina)**

“Azul Solidarity creates an education model that recovers the adhesive role of schools in rural communities, by uniting schools that have low levels of enrolment through the creation of *educational circuits*. These circuits improve the quality of education of the

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<sup>151</sup><https://www.ashoka.org/fellow/erie-sudewo>,  
<http://www.dompetedhuafa.org>

participating schools in terms of academic content, socialization, diversity, and accessibility. To address the feelings of isolation and disempowerment among women, Azul Solidarity brought the mothers to school, started sewing classes and discussion groups, and the women began earning an income. To address the reality that the only medical care available is at the hospitals of the county capital, Azul Solidarity convinced the hospital to send out medical teams on a rotating basis throughout the county along the educational circuits.”

Taken from: <https://www.ashoka.org/fellow/veronica-torassa>

### **Think Café (Korea)**

“Think Café is an online/offline social technology model for engaging people in conversations that matter. It provides a space and time for ordinary people to question, discuss, document, share and collaborate in creating a vision for the future. It is also a medium through which knowledge, thoughts and experiences are shared and distributed, especially of those who are excluded from the traditional media.

The defining feature of the Think Café model is that it is able to capture the essence of new technology and changes in the way people communicate within a social platform where they can propose and develop shared social agendas. And, further, it translates online ‘virtual’ forms of engagement and self-assembly into ‘real world’, offline engagement, while maintaining the informal, open-minded, less hierarchical, loose structure that people enjoy on the internet.

Anyone can organise a Think Café anytime at any location. It brings together large, diverse and distributed groups by making it easier for people to self-organise for meaningful and purposeful meet-ups. The strength of Think Café lies in the purposeful act of sharing knowledge and insight. Think Café meetings do not remain as small, disjointed, simply ‘interesting’ conversations. The participants and coordinators document the information of each meeting so that it can

be shared openly with the public on the official Think Café webpage. Refined and synthesised versions are published as a book. Sharing the content with the wider public under the Think Café brand gives collective power to the important social agenda and keeps the debate alive.

The Think Café meetings pop up ‘here and there’, without a specific subject of focus. In order to harness the meetings and network of people into themes, the coordinators of Think Café organise Think Café Conferences regularly where keywords and themes (such as Justice, Happiness, Fairness, Change) are provided to the participants for the event. It uses ‘unconference’ format to engage a large audience in discussions and consensus-building on selected subjects. These large scale, multi-participant conferences can serve as a constructive interaction channel between the people, civic organisations and democratic institutions. The aim of these conferences is to produce a shared vision of how ordinary people can claim a stronger influence on the future of our society, sharing the social responsibility that goes with it.”

Taken from: <http://findingwhatworks.org/2012/06/11/think-cafe-an-onlineoffline-social-technology-model/>

## **Living Standards**

### **Landesa Micro-plot Initiative in India: Land Ownership as Pathway out of Poverty (India)**

Brief Description: Landlessness lies at the heart of poverty. Lack of access to land, is not just a characteristic of rural poverty in developing countries, but a key factor, which prevents the poor from escaping it. It is estimated that over a billion rural poor, worldwide, do not have secure land rights<sup>152</sup>. 17 million Indians are landless, working as sharecroppers or agricultural labourers<sup>153</sup> - trapped in vicious cycles of poverty and debt.

Landesa's micro-plots scheme, which was initiated in India since the early 2000's, emerged as a response to overcome these challenges.

This programme is based on a simple premise: that the lack of ownership and control over the land is the most important hurdle that small farmers face to maximizing productivity. Advocates of this programme believe that owning even a small plot of land (between 1/10 - 1/20<sup>th</sup> of an acre), could make a tremendous difference to the lives of the rural poor, -opening up access to new economic opportunities and making them less vulnerable to negative shocks<sup>154</sup>.

Landesa's Micro-plots scheme is envisaged as a partnership with state governments in India, to provide small plots of land to the landless, rural poor. These plots of land are about the size of a tennis court. Contrary to claims that small land-holdings are economically unviable, a number of empirical studies have argued that owning

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<sup>152</sup><http://www.landesa.org/wp-content/uploads/Is-Bigger-Better-Issue-Brief.pdf> (last accessed on 30 November, 2012)

<sup>153</sup>Rosenberg, Tina, ' What a Little Land Can Do', New York Times, 21, November, 2012. <http://opinionator.blogs.nytimes.com/2012/11/21/what-a-little-land-can-do/> (last accessed 30,November, 2012)

<sup>154</sup><http://theglobaljournal.net/group/top-100-ngos/article/515/> (last accessed on 30 November, 2012)

<sup>154</sup> Rosenberg, Tina, ' What a Little Land Can Do', New York Times, 21, November, 2012.

small plots of land can be beneficial to small farmers. Crucially, they provide an important pathway out of poverty to the rural poor by turning *landless labourers* into *land owners*.<sup>155</sup>

Implemented by: This initiative was envisaged by US based, NGO, *Landesa* (formerly known as the Rural Development Institute), founded by University of Washington's Law Professor, Roy Prosterman - one of world's leading advocates of "democratic land reform". Over the past four decades, Landesa has worked for securing land rights to the poor in over 40 developing countries worldwide. In India, Landesa partners with state governments to implement this micro-plots scheme.

Location, scale, time period: Landesa began researching the impact of micro-plots in India, since 2000 - and these research findings were then presented to four state governments who were persuaded to try a new kind of land reform<sup>156</sup>. This programme was initially implemented in the states of West Bengal and Karnataka and then scaled up to other states such as Andhra Pradesh and Orissa. So far, a total of "11 states across India have allocated 210,613 micro-plots to families through land purchase programs and other micro-plot programs"<sup>157</sup>.

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<sup>155</sup> See, Klaus Deininger and Derek Byerlee, 'Rising Global Interest in Farmland', World Bank, 2011; Roy Prosterman, Robert Mitchell, Tim Hanstad, *One Billion Rising*, Leiden University Press, 2009; M. R. El Ghonemy, G. Tyler & Y. Couvreur, 'Alleviating Rural Poverty Through Agricultural Growth', 29 *Journal of Development Studies*, 358-364, 1993; Hanstad, Brown and Prosterman, (2002)

<sup>156</sup> Rosenberg, Tina, 'What a Little Land Can Do', New York Times, 21, November, 2012. <http://opinionator.blogs.nytimes.com/2012/11/21/what-a-little-land-can-do/> (last accessed 30, November, 2012)

<sup>157</sup> Patnaik, Sanjay, 'Microplots a Foundation for Development', posted on 26, September, 2012 <http://www.landesa.org/microplots-foundation-for-development-blog/> (last accessed 30, November, 2012)

Impact/Significance: This initiative has reached out to over 200,000 rural poor across India<sup>158</sup>. Impact evaluations of this initiative suggest that the allocation of land titles have had a tremendous economic, social and psychological impact on the rural poor<sup>159</sup>.

Economically, the possession of land titles, gives rural poor access to a concrete asset. Thus, the benefits of owning land extend beyond housing benefits, giving the poor a safety net, safeguarding them from risks, and enabling them to invest in the land and use it as a means to earn additional sources of income. Studies reveal that these small plots of land are used for, growing vegetables for personal consumption, growing trees and rearing livestock. These activities help supplement income gained from other non-farm sources.

Studies of this initiative in Karnataka, reveal that that the possession of land titles have not only had economic benefits – but has also led to a range of other positive changes. For example, ownership of land has had an impact on nutrition levels, enabling people to eat 2 or 3 times a day (as people are able to use the land to grow their own food). Access to a permanent dwelling place has motivated more people to enroll their children to school<sup>160</sup>.

Crucially, the possession of land titles, gives the land owner a permanent address - a prerequisite for accessing a wide range of government schemes and programmes<sup>161</sup>. This enables poor citizens

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<sup>158</sup>Rosenberg, Tina, ' What a Little Land Can Do', New York Times, 21, November, 2012. <http://opinionator.blogs.nytimes.com/2012/11/21/what-a-little-land-can-do/> (last accessed 30,November, 2012)

<sup>159</sup>See, Hanstad, Brown and Prosterman, (2002)  
[http://www.epw.in/system/files/pdf/2002\\_37/29/Larger\\_Homestead\\_Plots\\_as\\_Land\\_Reform.pdf](http://www.epw.in/system/files/pdf/2002_37/29/Larger_Homestead_Plots_as_Land_Reform.pdf)

<sup>160</sup>Ariel Schwartz, <http://www.fastcoexist.com/1680128/how-small-plots-of-land-helped-lift-an-entire-indian-village-out-of-poverty#1>

<sup>161</sup>See, Hanstad, Brown and Prosterman, (2002)  
[http://www.epw.in/system/files/pdf/2002\\_37/29/Larger\\_Homestead\\_Plots\\_as\\_Land\\_Reform.pdf](http://www.epw.in/system/files/pdf/2002_37/29/Larger_Homestead_Plots_as_Land_Reform.pdf); Rosenberg, Tina, ' What a Little Land Can Do', New York Times, 21, November, 2012.

to access credit in the form of loans, and opens up access to a wide range of government schemes and programmes. These opportunities are vital to giving the poor a chance to escape the diverse poverty traps that confront them<sup>162</sup>.

Rapid Rural Appraisal exercises with beneficiaries under this initiative also reveal that the scheme had an enormous social/psychological impact on the programme beneficiaries. Respondents emphasized that the ownership of land has led to an increase in social status, within the community – enabling the poor to live lives of dignity within their communities.

These ideas are summarized in the following paragraph:

“Allocating sufficiently-sized homestead- cum-garden plots to the poorest of India’s rural poor can provide them with enhanced status and give them the opportunity to use their own labour and ingenuity to increase their income, augment their food supply, improve their access to credit, better insure against risk, and slowly build up capital assets. This can be part of a revised agenda for land reform in India. A land reform that does not require substantial land resources, is modestly priced, is not market constraining, does not have ‘losers’, would appear to be politically feasible, and offers opportunity to the persisting large numbers of poor, landless families”<sup>163</sup>.

The success of this scheme has also led to the scaling up of this initiative to other parts of India. \$250 million have been allocated towards micro-plot initiatives in India’s 11<sup>th</sup> Five Year Plan and state

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<http://opinionator.blogs.nytimes.com/2012/11/21/what-a-little-land-can-do/> (last accessed 30, November, 2012)

<sup>162</sup> Ibid

<sup>163</sup> See, Hanstad, Brown and Prosterman, (2002)

[http://www.epw.in/system/files/pdf/2002\\_37/29/Larger\\_Homestead\\_Plots\\_as\\_Land\\_Reform.pdf](http://www.epw.in/system/files/pdf/2002_37/29/Larger_Homestead_Plots_as_Land_Reform.pdf) (Page: 3061)

governments of Sikkim, Bihar, Kerala and Tamilnadu have also begun similar initiatives<sup>164</sup>.

Potential problems or critiques: The cost of this scheme is an important concern especially as the programme is scaled up across other parts of India – a point acknowledged by advocates of this scheme. However, others like Tina Rosenberg, of the *New York Times* believe that this is not a major constraint in countries like India. She explains:

“The government doesn’t have to spend much to buy a tenth of an acre – in India, between \$200 and \$600. And there is no expropriation, so the program does not lower property values, cause legal uncertainties about ownership or create political opposition. Landesa has worked with four state governments in India to help them set up microplot programs – so far, about 200,000 families have received one”<sup>165</sup>.

However, the view above does not take into consideration the fact that land acquisition in India has emerged as a complex and controversial issue, in recent years. Large tracts of land are being acquired in large by the government and private real estate firms – to promote industrial growth and for commercial purposes, leading to a sharp increase in the price of land across Indian states. This could pose a major challenge to schemes like Landesa’s Micro-plots initiative.

Linkages to other domains: The micro-plots initiative links closely to the concept of multi-dimensional poverty and this scheme demonstrates how land ownership – can have a positive economic,

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<sup>164</sup> Patnaik, Sanjay, ‘Microplots a Foundation for Development’ , posted on 26, September, 2012 <http://www.landesa.org/microplots-foundation-for-development-blog/> (last accessed 30, November, 2012)

<sup>165</sup>Rosenberg, Tina, ‘What a Little Land Can Do’, *New York Times*, 21, November, 2012. <http://opinionator.blogs.nytimes.com/2012/11/21/what-a-little-land-can-do/> (last accessed 30,November, 2012)

social and psychological impact on the rural poor. This also resonates closely with the capability approach.

Policy Recommendations: This scheme challenges the idea that small plots of land are not economically viable, and demonstrates how land ownership can be a powerful tool to help the rural poor escape poverty.

### **Savings Groups (global)**

Brief Description: Most of the estimated 2 billion people who live on less than \$2 a day do not have access to financial institutions. Over the past 30 years, legions of microlenders have tried to extend financial services to them. But some communities—the poorest, the least densely populated and the most remote—are not attractive to traditional microlenders. And the poorest of the poor are often wary of racking up any kind of debt, even a small one. Some economists argue that what the poor really need, if they are to manage their cash better, is savings.<sup>166</sup>

Modern savings groups can go by a lot of names: *Village Saving and Loan Associations*, *Saving for Change Groups*, *Saving and Internal Lending Communities*, *Community Based Savings Groups*, and others. People have been saving and lending in similar way in villages around the world for a long long time.<sup>167</sup> A village savings scheme typically involves a small group (perhaps 15-30 people) who pool their savings week by week. Each buys a share in a fund from which they can all borrow. They must also contribute a small sum to a social fund, which acts as micro-insurance. If a member suffers a sudden misfortune, she will receive a payout. Members select leaders and draft a constitution. The rules spell out how often the group will meet, what interest rates it will charge and what loans may be used for. At the end of a cycle (usually about one year), all the money

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<sup>166</sup> Small wonder: A new model of microfinance for the very poor is spreading. *The Economist*. Dec 10th 2011.

<http://www.economist.com/node/21541429>

<sup>167</sup> <http://savings-revolution.org/learn-about-savings-groups/>

accumulated through savings and interest is shared out according to members' contributions, and a new cycle starts.<sup>168</sup>

Savings Groups have emerged as an alternative, decentralized, non-institutional savings-led approach in response to widespread financial exclusion. They:

- i. Consist of members who save together, lend their savings to each other with interest and share profits;
- ii. Are simple, transparent and autonomous;
- iii. Often complement existing regulated formal financial institutions' services;
- iv. Reach people who have been completely excluded from access to financial services;
- v. Are catalysts for enhanced social capital, improved gender relations, women's leadership, and community social and economic development<sup>169</sup>

Implementation, location, scale, time period:

Saving groups are old institutions that have existed all over the globe that have for the past two decades been garnering increasing recognition by the development community. CARE International, a charity, began a scheme in Niger in 1991 to help the poor save—a basic form of banking called a village savings and loans association. This was based on savings rather than debt and managed by members of the community rather than professionals.<sup>170</sup> The original model was modified and decentralized more recently and has spread dramatically in the past four years—with programs in 54 countries, mostly in Africa. Major INGOs involved in promoting and establishing new savings groups all over the globe include: CARE

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<sup>168</sup> Small wonder: A new model of microfinance for the very poor is spreading. *The Economist*. Dec 10th 2011.

<http://www.economist.com/node/21541429>

<sup>169</sup><http://www.microfinancegateway.org/p/site/m/template.rc/1.9.48527/>

<sup>170</sup> Small wonder: A new model of microfinance for the very poor is spreading. *The Economist*. Dec 10th 2011.

<http://www.economist.com/node/21541429>

International, Aga Khan Foundation, Oxfam US, the MasterCard Foundation, Plan, Catholic Relief Services (CRS), and Pact-WORTH. There are also many home-grown or grassroots savings groups that do not receive the support of INGOs all over the globe.<sup>171</sup>

#### Significance and Critiques:

While microfinance institutions stress credit, it is savings that improve household cash-flow management and are a better fit for this clientele, which prefers to minimize risk by limiting its exposure to debt. The assumption that the poor want business credit more than any other financial service is not necessarily true, and savings groups fill the gap.<sup>172</sup>

Many studies highlight the social cohesion, solidarity, and mutual aid that the savings groups engender. As members of savings groups, women report feeling less vulnerable and isolated. They own the program and they are accountable to each other. As their economic situation improves, they are often emboldened to undertake collective action to address community needs.<sup>173</sup>

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<sup>171</sup> Hugh Allen and David Panetta. 2010. Savings Groups: What Are They? The SEEP Network Savings-Led Financial Services Working Group. [http://www.seepnetwork.org/filebin/pdf/resources/Savings\\_FINAL\\_web.pdf](http://www.seepnetwork.org/filebin/pdf/resources/Savings_FINAL_web.pdf), p 3.

<sup>172</sup> <http://vsla.net/>

<sup>173</sup> Hugh Allen and David Panetta. 2010. Savings Groups: What Are They? The SEEP Network Savings-Led Financial Services Working Group. [http://www.seepnetwork.org/filebin/pdf/resources/Savings\\_FINAL\\_web.pdf](http://www.seepnetwork.org/filebin/pdf/resources/Savings_FINAL_web.pdf), p. 12.

**Positive consequences:**

- High returns on member savings (better thought of as invested capital), since costs are negligible
- Accessible financial services because it all happens in the community
- Product flexibility, particularly with respect to loan reimbursement schedules
- Accountability and high degree of transparency because all transactions are witnessed by the entire membership
- Ability to manage a large number of very small savings and loan transactions
- Low cost because groups operate independently once they are trained and since groups manage their own fund there is no need for the costly infrastructure of a formal financial institution to manage savings
- Groups become platforms for other development efforts from the NGOs that trained them initially or by other NGO and government development efforts

**Negative consequences:**

- Small scale limits the capital base of the savings group. (Yet groups spontaneously split into smaller groups when they reach more than 30 members to limit the length of the meeting and maintain simplicity of management.)
- Loan sizes are limited by the small pool into which savings and loan interest income is deposited.
- Limited benefits are payable by group-based insurance systems (i.e., the social fund).
- There is some risk of elite capture, although no compelling evidence indicates that this occurs on a significant scale.<sup>174</sup>

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<sup>174</sup> Ibid.

Allen and Panetta (2010) argue that low-cost impact studies show fairly consistent results across projects and regions, and are clearly positive in terms of asset acquisition and protection, improved nutrition, food security, access to health and education services, and changes in social status.<sup>175</sup> Van Rooyen et al. (2012) argue that while the data on micro-savings look more promising than that on micro-credit, as does the theory, savings do not appear to increase income. Micro-savings schemes are also newer and there is less evidence of its effectiveness (either positive or negative). Further research is clearly needed, especially in the light of the microfinance industry increasing turning to saving. Clearly relying on rhetoric, anecdotal accounts, advocacy research, and unfounded assumptions is not sufficient. There is a need for rigorous impact evaluation and systematic review of the evidence to inform decisions.<sup>176</sup>

Linkages to other Domains: This could also be connected to community vitality and governance through the claimed social capital and democracy teaching benefits of savings groups.

### **Skills for Employment in Apparel Manufacture--SEAM (India)<sup>177</sup>**

#### Brief Description

Since 2007, skill-training programmes have emerged as a key policy intervention in India – to reduce rural poverty, generate employment and ensure inclusive growth. This new policy focus is clearly

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<sup>175</sup> Hugh Allen and David Panetta. 2010. Savings Groups: What Are They? The SEEP Network Savings-Led Financial Services Working Group. [http://www.seepnetwork.org/filebin/pdf/resources/Savings\\_FINAL\\_web.pdf](http://www.seepnetwork.org/filebin/pdf/resources/Savings_FINAL_web.pdf)

<sup>176</sup> Van Rooyen, C., R. Stewart and T. De Wet. 2012. The Impact of Microfinance in Sub-Saharan Africa: A Systematic Review of the Evidence. *World Development* 40(11). p. 2259.

<sup>177</sup> Material for this case study has been compiled from Divya Nambiar's fieldwork – working as a member of the SEAM project team (October 2009-September 2010) and from secondary material prepared by the IL&FS Clusters for the SEAM programme.

articulated in Government of India's Eleventh Five Year Plan Document<sup>178</sup>, which explains India's skilling challenge.

India has a demographic advantage, with the youngest population in the world (a majority of which fall within the 15-39 age group); however, there are huge skill shortages. According to the Plan, 80% of India's workforce does not possess "identifiable, marketable skills" and only 2% of the workforce has basic skills training (against 96% in Korea, 75% in Germany, 80% in Japan and 68% in the United Kingdom) (Planning Commission, 2008). The Plan also highlights the fact that 80% of new entrants to the workforce also have no opportunity for training - making them especially vulnerable in a highly competitive job market<sup>179</sup>.

Skill training initiatives were launched as a response to these challenges. Various government departments were instructed to initiate skill-training programmes. In addition, the National Skills Development Mission with a budget of Rs 22,800 crores (nearly £3 billion) was launched to monitor and drive these skilling efforts and aims to reach out 500 million Indians by 2022. The Mission crucially called for increased collaborations with diverse actors - the private sector, NGOs, industrial training institutions and government bodies to achieve these targets (Planning Commission, 2008).

The Skills for Employment in Apparel Manufacturing (SEAM) emerged out of this larger policy context. This was one of India's first large-scale, placement-linked skill training projects, introduced as a pilot project in 2007, as a public-private partnership, between Government of India's Ministry of Rural Development (MoRD) and IL&FS (Infrastructure Leasing and Financial Services), a private Indian company. Funded primarily out of one the MoRD's livelihood

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<sup>178</sup> Planning Commission of India. (2008). *Inclusive Growth*. India's Eleventh Five Year Plan Vol 1. Government of India; Planning Commission of India. (2011). *Mid-Term Appraisal of India's Eleventh Five Year Plan* Government of India

<sup>179</sup> Ibid.

programmes - the Swarnajayanthi Gram Swarozgar Yojana (SGSY - now integrated into the National Rural Livelihoods Mission); SEAM aims to train rural, below poverty line (BPL) youth between the ages of 18-25, to work in India's burgeoning garment clusters.

SEAM not only provides skills training, but also guarantees jobs to trainees who have successfully completed the training programme in some of the leading export-oriented garment firms. Thus, trainees who successfully complete the training programme are given jobs in the leading export-oriented garment factories, across India.

IL&FS' skills portfolio, known as the SPRING (Skills Programme for Inclusive Growth) initiative aims to work with the government of India to train rural, below poverty line youth to work across a wide range of sectors<sup>180</sup>.

As the project implementation agency, IL&FS' role is to create training modules, recruit potential trainees and train them. It also negotiates with representatives of the garment industry to establish placement linkages, and to ensure that the training meets their requirements. In some cases, the garment industries also provide the infrastructure for the training centre, within the premises of their factories - so that trainees are sensitized to the training environment from the very beginning. SEAM plays a key role in bridging the gap between demand and supply: training rural youth and connecting them with jobs in the garment industry on the one hand, and providing well trained workers for India's garment factories, on the other.

The SEAM programme is also routinely audited, by a number of independent assessors. The quality of the training programme, is audited and assessed by a South African certifying agency known as Methods Workshop - which specializes in this area. In addition, the National Institute of Rural Development (NIRD), a think-tank within

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<sup>180</sup> See <http://www.ilfclusters.com/>;  
[http://www.ilfsskills.com/placement\\_linked.html](http://www.ilfsskills.com/placement_linked.html)

the MoRD, also conducts routine surprise visits to training centres, observing training in progress, checking attendance and training records – to monitor the progress of the scheme. In addition, IL&FS also conducts a post-placement tracking of all SEAM trainees – for a one-year period, to monitor the progress of individual trainees. These audits, undertaken by different institutions help create a system of checks and balances to ensure that the funds dispersed under this scheme are well used.

Location, scale, time period:

SEAM was initiated as a pilot project in August 2007, in order to test this innovative approach to skills training. This pilot phase of the programme turned out to be a great success, with IL&FS training 30,000 young people in two years – a whole year ahead of the proposed schedule. The success of the pilot, led to the scaling up of this initiative.

IL&FS' skill portfolio is now diverse - training rural, BPL youth across India to work in a range of different sectors such as: the leather, engineering, construction, health care, and service sectors<sup>181</sup>.

Impact/Significance:

The SEAM programme is now operational across 14 different states in India, and over 100,000 young people have been trained and placed in garment firms across India, since 2007<sup>182</sup>.

Impact studies commissioned by IL&FS, films on the programme and case studies of SEAM trainees, document how SEAM has boosted household incomes, encouraged young women (who were unskilled) to join the workplace and earn a living<sup>183</sup>. SEAM has also established

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<sup>181</sup> See [http://www.ilfsskills.com/placement\\_linked.html](http://www.ilfsskills.com/placement_linked.html) for more information on IL&FS' skills portfolio

<sup>182</sup> [http://www.ilfsskills.com/apparel\\_textile.html](http://www.ilfsskills.com/apparel_textile.html)

<sup>183</sup> Report of Independent Impact Evaluation of Project SEAM, conducted by Madras Institute of Development Studies, February 2010 (unpublished).

placement linkages with some of the leading garment industries – who also contribute to this training initiative.

In 2011, IL&FS also opened up SEAM training centres in two Naxal affected districts (in the state of Jharkhand, which saw a lot of young people join Maoists in revolting against the state). This initiative was launched to provide livelihood opportunities to rural youth, in these remote areas. Senior IL&FS staff explain that this initiative, has opened up economic opportunities to underprivileged, unemployed youth and also helped them to successfully migrate to other states in India, and earn a living<sup>184</sup>.

A major advantage of the SEAM initiative is that trainees who successfully complete the training programme are given certificates (certified by IL&FS Clusters, the Ministry of Rural Development and the Government of India's National Centre for Vocational Training). These certificates enable them – to access jobs in the private sector and provide evidence of the fact that they are trained, “semi-skilled” workers.

Potential problems or critiques:

Initiatives such as SEAM, have been increasingly portrayed as success stories – due to the fact that it has reached out to over 100,000 young people across India. This has led to the rapid expansion of such programmes to other sectors as well.

However, fieldwork on this initiative has demonstrated that opportunities for career progression are still low in the garment industry – which prefers young workers within the ages of 18-25, to work on the factory floor. Few sewing machine operators rise to becoming factory managers or floor supervisors. This also leads to a second, related challenge: high attrition rates, which characterize employment in this sector. Post placement tracking exercises by the IL&FS Clusters show that a significant number of young workers

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<sup>184</sup> Nambia, Divya. Personal Interviews with IL&FS Staff (November 2009; January 2010)

leave within two years of joining the garment industry. In spite of this tracking exercise, it is difficult to track workers once the one year period is over, and it is not known if they continue to work in other garment firms, take up other jobs or remain unemployed.

The question of how to retain workers and ensure that they can continue to rise within the factory hierarchy is a major challenge in this initiative.

Linkages to other domains:

Trainees are paid at the minimum wage during the first six months of employment in the factory; following which their wages increase depending on their efficiency levels. At the factory, the SEAM-trained workers get access to subsidized meals, free transportation to and from the factory and health checkups at the factory site. Anecdotal evidence (based on interviews with IL&FS staff, human resource staff and trainees) suggest that these factors play an important role - in improving nutritional levels of trainees and giving them access to quality medical care. In addition, IL&FS' case studies of SEAM trainees also emphasize how many young women trained as a part of SEAM are entering the workplace for the very first time, and they experience "independence" and a feeling of "self confidence" in joining this programme.

Thus, skill training and employment could have linkages with other dimensions of wellbeing such as: psychological well-being, economic wellbeing, and physical wellbeing.

Policy Recommendations:

SEAM has shown that Skills training can have a short term impact on the lives of rural youth - giving them an opportunity to develop new skills, and acquire new jobs. However, the high attrition rates, and the garment industry's preference for young workers to work on the shop floor highlight the fact that these training programmes do not necessarily offer a long term career path to young people. Policy makers, planners, industrial experts and private companies like

IL&FS need to design skill training strategies that could overcome this challenge and have a long term impact on people's lives.

### **Rolling Jubilee (US)**

Brief Description:

The Rolling Jubilee a (very new) US non-profit that grew out of the Occupy movement in the States and is aiming to buy out debt in the US from banks who would usually sell it in bundles for a fraction of the value to debt collectors, and then release people from the debt.<sup>185</sup>

"The point of Rolling Jubilee is that it's doing secret random debt forgiveness, not because that's the most effective way to help out struggling indebted Americans, but because it's about time that ordinary Americans started getting help with their liabilities rather than just too-big-to-fail financial institutions. Strike Debt is trying to build what it calls "a growing collective resistance to the debt system" – and this exercise is part of what you might consider a broad politically-motivated deleveraging, a way of taking power back from the creditor classes (a/k/a the banks)... In a world where philanthropy is increasingly run by business professionals who want to measure results and return on investment, this is a refreshing throwback from a time where you would just do some good in the world and that was that. US households have too much debt; this reduces their debt burden; therefore it's a good thing – especially seeing as how it also acts as a focal point and rallying cry for a much broader agenda."<sup>186</sup>

This movement has interesting connections to the likes of microfinance organizations such as Kiva. Though Kiva gives (micro) loans (in the developing world), rather than forgives them (in the US) as the Rolling Jubilee is doing, there are interesting parallels in the way Kiva tries to connect people with people (on their website one

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<sup>185</sup> <http://rollingjubilee.org/>.

<sup>186</sup> Felix Salmon, The deliciousness of Rolling Jubilee, Reuters US, November 13, 2012

<http://blogs.reuters.com/felix-salmon/2012/11/13/the-deliciousness-of-rolling-jubilee/>

can seemingly give donations for specific loans, though it's not quite as straight forward as depicted), empowers individually financially, and is not profiting off the debt<sup>187</sup>. However, Kiva has been criticised for its high interest rates and for using intermediary microfinance institutions. Other alternatives include Zidisha<sup>188</sup> and others.<sup>189</sup>

Implemented by:

The Rolling Jubilee is a registered non-profit in the US, but it grew out the Occupy movement and an emergent organization called Strike Debt, "a coalition of Occupy groups looking to build popular resistance to all forms of debt imposed on us by the bank."<sup>190</sup> Also vaguely associated with David Graeber and *Debt: The First 5,000 Years*.<sup>191</sup>

Impact and Criticism:

This is brand new, and has not been evaluated or peer-reviewed in a systematic way, though it has generated a lot of press and conversations - which is one of its main aims. It has already raised over \$425,000 in donations, which it claims is enough to buy over \$8 billion in debt.

One critic has said the debt it buys is the sort that's extremely difficult to collect and likely to be already defaulted on anyway, and thus its practical and psychological impact is small. It also does not improve the credit score of the debt holders.<sup>192</sup> However, overall the

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<sup>187</sup> <http://www.kiva.org/>

<sup>188</sup> <https://www.zidisha.org/>

<sup>189</sup> <http://www.quora.com/Kiva/What-are-some-good-alternatives-to-Kiva>

<sup>190</sup> <http://strikedebt.org/>

<sup>191</sup> Summers, Nick. (2012). To Forgive Is Divine (Then Comes the Tax Bill). *Bloomberg Businessweek*.

November 13. <http://www.businessweek.com/articles/2012-11-13/to-forgive-is-divine-then-comes-the-tax-bill#p2>

<sup>192</sup> White, L. Professor of economics at New York University's Stern school of business as quoted by Adam Gabbatt, "Occupy launches 'Rolling Jubilee' debt forgiveness programme" *The Guardian* 15 November 2012.

project has received largely positive response in the press, even from Forbes and Business Weekly. Many say it is raising critical and much needed awareness of the current 'debt economy'.<sup>193</sup>

### **Chlorine Dispensers for Safe Water (Kenya)**

“Globally, diarrhea is the leading cause of illness and death with an estimated 4-6 million people dying of the illness each year. Around 88% of these are due to a lack of access to sanitation and clean drinking water. The situation is particularly worrying in Kenya, where a series of droughts have lead rural communities to increasingly use contaminated water sources such as shallow wells and surface water. Clean drinking water continues to be unaffordable to these communities and with failed harvests as a result of droughts; the situation continues to worsen.”

“Chlorine use, though cheap and effective has been slow to catch on in this system. In this Kenyan study area, for example, less than 10% of households regularly use chlorine at a monthly cost of approximately US\$0.30, despite several years of vigorous social marketing that has raised awareness about the product.

The research team has developed a way to drastically cut the cost of chlorinating water by reducing packaging and distribution costs -- which account for the majority of the price of chlorine sold in individually-packaged bottles -- by installing chlorine dispensers at communal water sources. Users turn a knob on the dispenser to release a pre-measured dose of chlorine appropriate to treat the volume of water typically collected. The presence of a dispenser

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<http://www.guardian.co.uk/world/2012/nov/15/occupy-rolling-jubilee-debt-forgiveness>

<sup>193</sup> Fensterstock, A. Praise and criticism for Occupy movement's Rolling Jubilee debt-elimination strategy. 15 November 2012, NOLA.com and The Times-Picayune.

[http://www.nola.com/music/index.ssf/2012/11/praise\\_and\\_criticism\\_for\\_occup.html](http://www.nola.com/music/index.ssf/2012/11/praise_and_criticism_for_occup.html)

provides a reminder to treat water and harnesses peer effects to help increase take-up.

During an unannounced visit three to six months after the installation of the dispensers, 61% of households in communities with a dispenser had detectable chlorine in their drinking water, compared to 8% of households in a comparison group. The percentage of households who use the dispensers was rising over time.

Efforts are also underway to expand the program in Kenya and throughout the world. Chlorine dispensers could be appropriate for up to 2 billion people globally. Scaling up this approach globally could drastically alter the rural water landscape and save the lives of 100,000 – 250,000 children each year.”

*Taken from:*

Poverty Action Website: <http://www.poverty-action.org/project-evaluations/sector-search/578>

<http://www.thesff.com/dispensers-for-safe-water-dsw/>

<http://www.sph.emory.edu/faculty/ANULL>

<http://www.econ.berkeley.edu/~emiguel/pdfs/chlorinedispensers.pdf>

### **Right to Food and the Mid-Day Meals Program (India)**

The Mid-day Meals program mobilizes communities to feed children and is one of the center pieces of the Right to Food Campaign, an informal network of organizations and individuals fighting hunger in India. The Right to Food finds its legal basis in Article 21 of the Constitution of India, which guarantees the right to health and its determining factors, including food. The Right to Food campaign engages in advocacy across socio-economic levels, informing and empowering citizens and holding government accountable in a way that advances the goals government itself has. RTF helps to identify corruption in the food distribution process, breaks caste boundaries, supports parental involvement and teacher accountability, and educates children and families about their rights.

The Mid-day Meal program, for example, is a specifically designed to achieve several objectives all while ensuring that children in need receive a critical meal. All castes eat together and the cooks may be of lower castes, which serves to break down pernicious and damaging social barriers. MdM also is intended to engage parents and the community. In a country often beset by high absentee rates among teachers, parents will turn up at the house of the teacher if the teacher fails to report for work (if the teacher isn't present, the children don't receive the meal). The parents have an incentive to participate and protest when the program does not work as it should. The MdM program also creates jobs for the women hired to do the cooking.

With respect to governance, the constitutional Right to Food, provides an essential lever for communities to insist that the government obey the law and fulfill its commitments to its citizens.<sup>194</sup>

### **Echale a tu casa (Mexico)**

In Mexico 5.7 million families live in overcrowded houses made of unstable or dangerous materials. (Source: Sociedad Hipotecaria Federal, 2009) Some 25.8 million people, or almost a fifth of Mexico's population, do not live in physically stable, safe homes and are in need of adequate housing.

“Echale a tu casa has created a community-based model commissioned by the National Social Housing Production Program to help Mexican families at the bottom of the pyramid build their own homes. Échale is designed to bring community organization to the commonplace practice of self-construction in rural areas, in which families generally fend for themselves rather than work together. The centerpiece of the model is a local housing committee appointed by each community that assumes responsibility for the project along with the professional support of the Échale team. All construction work is done collectively, with teams of neighbors

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<sup>194</sup> <http://www.righttofoodindia.org/index.html>

pooling their labor to help each other build their homes. Échale's social franchise replication model—in the pilot stage—is also community-based, with local leaders assuming supervisory roles over multiple community construction projects in exchange for a commission.

Another key element of Échale's approach is the financing model via a legal structure known as a *sociedadfinancieracomunitaria* (community financial society) or SOFINCO in Spanish. Families who put their savings into a SOFINCO fund are essentially buying owner's shares in that fund, allowing their savings to be leveraged as a financial guarantee to obtain loans from the government or private banks. This overcomes the biggest financial barrier that families at the bottom of the pyramid face in Mexico: "The inability to furnish a financial guarantee for credit." Since 2002 Echale has built and improved almost 11 thousand houses.

*Taken from:*

The Echale a tu casa website: [www.echale.com.mx](http://www.echale.com.mx) and the Ashoka foundation's webpage on founder F. Piazzesi. [www.ashoka.org/fellow/francesco-piazzesi](http://www.ashoka.org/fellow/francesco-piazzesi)

### **Growing Power (US)**

Growing Power recognizes that the unhealthy diets of low-income, urban populations, and such related health problems as obesity and diabetes, largely are attributable to limited access to safe and affordable fresh fruits and vegetables. Rather than embracing the "back to the land" approach promoted by many within the sustainable agriculture movement, Growing Power's holistic farming model incorporates both cultivating foodstuffs and designing food distribution networks in an urban setting. Through a novel synthesis of a variety of low-cost farming technologies – including use of raised beds, aquaculture, vermiculture, and heating greenhouses through composting – Growing Power produces vast amounts of food year-round at its main farming site. These two acres of land located within Milwaukee's city limits houses 20,000 plants and vegetables, thousands of fish, plus chickens, goats, ducks, rabbits and

bees. This program has been replicated in the city of Chicago and trainings on this holistic approach take place all over the United States as well as internationally.

*Excerpted from:*

Jones, Van. (2010). "Heroes: Will Allen." *Time*. April 29.  
[www.time.com/time/specials/packages/article/0,28804,1984685\\_1984949\\_1985243,00.html](http://www.time.com/time/specials/packages/article/0,28804,1984685_1984949_1985243,00.html)

Growing Power website: [growingpower.org](http://growingpower.org)

### **Sustainable Agriculture (India)**

In India the Navdanya organisation has trained over 500,000 farmers in sustainable agriculture and is actively involved in the rejuvenation of indigenous knowledge and culture. Navdanya's mission focuses on improving the wellbeing of small and marginalized rural producers through nonviolent, biodiverse organic farming and fair trade. [www.navdanya.org](http://www.navdanya.org)

### **Family Independence Initiative (US)**

Family Independence Initiative (FII) was founded in Oakland, California, in 2001 with the goal of helping low-income working families—who often struggle in isolated circumstances or without clear direction—build their own pathways to self-sufficiency. FII has evolved into a national model that taps into the initiative and capability of low-income households to maximize their own networks and resources and guide themselves out of poverty. Unlike conventional, top-down poverty alleviation programs that proscribe rigid plans of action formulated by caseworkers, FII fosters an atmosphere that is part idea incubator and part learning laboratory among small cohorts who have organized themselves to assist one another. FII staff serve as an information resource but do not direct cohorts or make decisions; instead, they shift the responsibility for setting goals, finding solutions, and initiating action to participating members. Families receive small cash stipends for achieving their self-initiated objectives—such as finding employment, reducing debt, or saving toward buying a home—and for documenting and sharing their progress toward these goals.

FII's success is notable; in a recent review, participating Oakland families reported income gains averaging more than 25 percent over the two-year enrollment period, as well as significant improvement in the level of savings (up 144 percent) and in the grades of school-aged children. From its initial site in Oakland, FII has expanded to San Francisco, Oahu, and Boston, all of which have produced similarly positive results. In addressing the deficits of inspiration, motivation, and information with an infrastructure of peer-to-peer encouragement and social networking, FII is building more resilient communities from the ground up and offering an alternative to the current constellation of private and public anti-poverty initiatives.

*Excerpted from:*

FII website: <http://www.fiinet.org/>

MacArthur Fellows website article on founder Maurice Lim Miller:  
[www.macfound.org/fellows/871/](http://www.macfound.org/fellows/871/)

### **Travessia Holistic Targeting (Brazil)**

A program of the Government of Minas Gerais, a state of Brazil. The program has six components, focused on meeting the multidimensional needs of those deprived in the state. Of particular note is the Door-to-Door program that provides a household diagnostic of the education, health and quality of life of people in need in order to target state government resources. The program uses the global MPI methodology for this targeting.

Program components: Door to door diagnostic; social infrastructure, education, health, employment services, and financial incentives for school attendance.

### **Community Banks in Favelas (Brazil)**

This is a special initiative which creates its own money (parallel or social money) for use inside the favelas (slums) so that money and profits circulate inside the large slums and not to large businesses outside of the slums. These initiatives have the support volunteers groups, religious groups. In Sao Paolo it is a municipal government

initiative with support from the Federal Economic Bank (Caixa Economica).

*Sources:*

<http://blogdolabjor.wordpress.com/2010/05/10/iniciativa-de-banco-popular-muda-realidade-de-bairro-de-periferia> for more information

<http://www.vivafavela.com.br/materias/cidade-de-deus-vai-ganhar-moeda-social>

## **Cultural Vitality and Resilience**

### **Language Immersion Schools (New Zealand)**

“Preservation [...] is what we do to berries in jam jars and salmon in cans. [...] Books and recordings can preserve languages, but only people and communities can keep them alive.” -- Nora Marks Dauenhauer and Richard Dauenhauer, Tlingit oral historians.<sup>195</sup>

Every 14 days a language dies.<sup>196</sup> By the turn of the next century, more than half of world’s approximately 7,000<sup>197</sup> languages—many of them not yet recorded—may disappear.<sup>198</sup> Several scholars estimate that loss may be closer to 90%.<sup>199</sup> Treasure houses of cultural, historical, and environmental knowledge will be destroyed like burning of the Library of Alexandria a thousand times over. In the Andes of Bolivia, for example, a group of itinerant healers known as the Kallawayas “use Spanish or Quechua in daily life, but also have their own secret tongue, used mainly for preserving knowledge of medicinal plants, some of which were previously unknown to science.”<sup>200</sup> While it is true that languages have been lost throughout human history, in the modern period the loss is of a “different

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<sup>195</sup> Lord, Nancy. 1996. *Rock, Water, Wild: An Alaskan Life*. Lincoln, NE: University of Nebraska Press, 68.

<sup>196</sup> National Geographic Enduring Voices, a joint project with Swarthmore College’s Living Tongues Institute.

<http://travel.nationalgeographic.com/travel/enduring-voices/>

<sup>197</sup> Lewis, M. Paul (ed.). 2009. *Ethnologue: Languages of the World*, Sixteenth edition. Dallas, Tex.: SIL International. Online version: <http://www.ethnologue.com/>.

<sup>198</sup> National Geographic Enduring Voices, a joint project with Swarthmore College’s Living Tongues Institute.

<http://travel.nationalgeographic.com/travel/enduring-voices/>

<sup>199</sup> Brenzinger, M. and de Graaf, T. ‘Language Documentation and Maintenance’, in: *Encyclopedia of Life Support Systems (EOLSS 6.20B.10.3)*, UNESCO. (On-line encyclopedia: <http://www.eolss.net/>).

<sup>200</sup> Wilford, John Noble. “World’s Languages Dying Off Rapidly.” *New York Times*. Sept. 18, 2007

<http://www.nytimes.com/2007/09/18/world/18cnd-language.html>

character, in its extent and implications. It is part of a much larger process of in which politically dominant languages and cultures simply overwhelm indigenous local languages and cultures, placing them in a condition which can only be described as embattled.”<sup>201</sup>

Large-scale documentation efforts are underway in a number of venues including Google’s Endangered Languages, the Rosetta Project of the Long Now Foundation, and National Geographic’s Enduring Voices. These and similar efforts undertaken by universities and indigenous communities attempt to record examples of threatened languages and create dictionaries while native speakers still exist. These are worthy and enormously valuable efforts—particularly for the languages that are spoken only by a handful of elders and cannot be sustained. But, as the historians above noted, this is preservation in the sense of pickling. It does not keep languages truly alive and vital or allow a people to retain their heritage a form that has practical meaning in their everyday lives.

Language immersions schools have succeeded in breathing new life into a corpus of threatened languages and the communities that speak them. The TeKohanga Reo (language nest) program in New Zealand, for example, is responsible for a resurgence in knowledge of the Māori language amongst younger Māori. Begun in 1981, Kohanga Reo is a pre-school program in which Māori elders teach the very young in their ancestral language. Instruction extends grammar and vocabulary and is based on a holistic culture-based curriculum that seeks to develop, among other things, a child’s understanding of her own sacredness as well as a sense of humanity and humaneness. Realizing that children would quickly lose their fluency when attending English-only schools, parents and community activists pushed for language immersions schools or Kura Kaupapa Māori. The first opened in 1985. There are now about 60,000 Kohanga Reo graduates and a large network of Māori immersion schools and bilingual programs at all levels.

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<sup>201</sup> Hale, Ken et al. 1992. Endangered Languages. *Language* 68.1(March), 1-42.

Māori immersion schools and bilingual programs are funded and supported by New Zealand's Ministry of Education with policy advice provided by the Department of Māori Affairs. However, as noted by the Ministry of Education, all kura are strongly community-driven. Results over the past 20 plus years have resulted in a Māori language regeneration.<sup>202</sup> "In 2001, about 17% of Māori children of school age were enrolled in some form of Māori-medium education. Research has demonstrated that the most effective schools are those with the highest level of immersion (where most of the teaching is in Māori). Learning to speak, read and write in Māori means that students are more likely to succeed academically in both Māori and English."<sup>203</sup>

Immersion schools have met with significant success in reviving other languages including Welsh and Navaho. There are those, however, who question the very idea of attempting to preserve a language—particularly with government funding—is waste of resources. They argue that cultural loss is simply inevitable and attempting to revive a dying language is more akin to permanent life support than a resurrection. And it is true that 20 years into this program, although the Māori language has been revitalized, only 25% Māori surveyed said they could converse in Māori. While there were few middle-aged speakers, the large number of speakers under the age of 15 indicates a major reversal.<sup>204</sup> Sustaining these gains requires a language infrastructure that supports the use of Māori, including Māori language media and bilingual government services.<sup>205</sup>

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<sup>202</sup> Spolsky, Bernard. (2003). Reassessing Māori Regeneration. *Language in Society*, 32(4): 553-578.

<sup>203</sup> May, S., Hill, R. and Tiakiwai, S. Bilingual Education in Aotearoa/New Zealand. Ministry of Education.

[http://www.educationcounts.govt.nz/\\_\\_data/assets/pdf\\_file/0008/6956/831\\_Bilingual.pdf](http://www.educationcounts.govt.nz/__data/assets/pdf_file/0008/6956/831_Bilingual.pdf)

<sup>204</sup> Spolsky, Bernard. (2003). Reassessing Māori Regeneration. *Language in Society*, 32(4): 553-578.

<sup>205</sup> Reedy, T. Te Reo Miori: The Past 20 Years and Looking Forward. 2000. *Oceanic Linguistics*, 39(1), 157-169.

## Preserving Classical Dance (India)

1. Background and Context: Why is the preservation of Classical Dance important? There is an urgent, global need to preserve *intangible* cultural heritage. Defined as the totality of “oral traditions, performing arts, social practices, rituals, festive events, knowledge and practices concerning nature and the universe or the knowledge and skills to produce traditional crafts<sup>206</sup>, this aspect of cultural heritage is often neglected in discussions about heritage conservation – which tends to focus on preserving *tangible* aspects of culture – such as manuscripts, monuments and artifacts.

UNESCO argues that as societies modernize, and become more globalised, there is a pressing need to preserve the intangible aspects of our cultural heritage. Crucially, this would help preserve cultural diversity and facilitate cross-cultural dialogue, in a rapidly changing world.<sup>207</sup>

What makes the preservation of intangible cultural heritage particularly challenging is the fact that the custodians of intangible culture inherit this knowledge informally and transmit it orally from generation to generation, within their own communities. Outsiders are often excluded from accessing this knowledge. As societies modernize and as youth within these communities, aspire for better paying, “modern” jobs – this knowledge becomes devalued and over time - extinct. The new global movement to preserve intangible cultural heritage is aimed at safeguarding these traditional forms of knowledge and preserving them for future generations.

This case study uses classical dance, as an example of an intangible cultural heritage and explores different attempts to preserve his ancient art form, over time. Crucially it highlights a recent trend: the use of audio-visual, digital and information and communication technology (ICT) to preserve the heritage of Indian classical dance and provide people all over the world to access this knowledge.

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<sup>206</sup> <http://www.unesco.org/culture/ich/index.php?lg=en&pg=00003>

<sup>207</sup> Ibid

Classical dance is a “living heritage” (Mallik et al, 2011)<sup>208</sup>. It is simultaneously traditional and modern. The foundations of India’s diverse classical dance forms are derived from an ancient text known as the ‘*Natya Sastra*’, attributed to a sage called Bharata. Exponents of dance across India, over thousands of years have used this text as a foundation, with every generation of dancers, improvising and building on it, to create the diverse and distinct dance forms that are collectively part of our Indian classical dance heritage. These dance forms include Odissi (from eastern India), Bharatanatyam, Kuchupudi and Mohiniattam (from the Southern India), Kathak (from the North) and Manipuri and Sattriya (from the North East of India). Contemporary Indian dancers inherit this ancient heritage from their *Gurus* or teachers and add to these traditions – using dance as a medium to describe ancient myths, poems, love stories and contemporary social issues. Thus, the heritage of classical dance not only comprises of information about the techniques of dance transmitted from generation to generation over thousands of years – but crucially the history of Indian classical dance reflects the history of Indian society and how it has evolved over time.

Thus, classical dance is a fundamental aspect of India’s intangible cultural heritage in two ways.

First, preserving classical dance can be understood as a means to an end. As a mode of communication or storytelling, it is a vital *tool* to preserve our intangible cultural heritage. Through complex facial expressions, footwork and gestures, the dancer communicates ancient myths, stories, poems, hymns and memories – and makes them accessible to the general public. In this sense, it is an ancient medium of communication, which keeps our cultural heritage alive.

Second, preserving Indian classical dance is an end in itself. As a rich, distinct art form in its own right, Indian classical dance is an

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<sup>208</sup> Mallik, A., Chaudhury, S., and Ghosh, H. (2011). ‘Nriyakosha: Preserving the Intangible Heritage of Indian Classical Dance’. *ACM Journal on Computing and Cultural Heritage*, Vol. 2, No. 3, Article 1. June 2011.

inherited tradition that needs to be preserved. A dance teacher transmits knowledge of dance to a student orally, through an immersive and intense training process, which takes several years. There are no prescribed textbooks and the teacher teaches almost entirely from memory to equip the student with the diverse set of skills (both theoretical and practical) needed to become a good dancer. Thus, the knowledge of teachers, teaching pedagogies and technique, need to be preserved for the next generation of dancers.

## 2. First Steps in the Preservation of Classical Dance Forms: The Case of Bharatanatyam

Traditionally, classical dancers in India came from a specific social group – typically a specific caste or religious group. For example, only lower caste Hindu, women known as ‘*Devadasis*’ could practice Bharatanatyam. These dancers danced in temple festivals and in the homes of nobility and were considered outcastes in the Hindu social order. They lived in a separate part of the village with their teachers and studied music, gestures, expressions, ancient poems and religious texts – as they dedicated their entire lives to practicing this art form. Knowledge was acquired through living a certain kind of life. Learning dance was not a separate pursuit – but was integrated closely with their personal lives. Outsiders (especially those from higher castes) were strongly discouraged to learn these dance forms. Thus, knowledge about the steps, gestures, and facial expressions that characterise Bharatanatyam remained within the *Devadasi* community, and was transmitted orally from generation to generation.

The 20<sup>th</sup> century saw the first wave of attempts to preserve Bharatanatyam by opening up access to knowledge about classical dance to outsiders who were interested in pursuing it. This was closely linked to Indian nationalist movement and India’s struggle for independence – where a number of social activists and reformers worked towards reviving India’s cultural heritage to give Indians a new “Indian” identity that draws from India’s rich cultural heritage, as a response to colonialism.

Rukmini Devi Arundale, one of the first high caste women to learn Bharatanatyam from the *Devadasis* became one of its leading exponents and inspired an entire generation of young dancers (irrespective of their caste or religion) to learn this ancient art form and preserve it. Notably, Rukmini Devi played an important role in establishing the *Kalakshetra Foundation* in 1936 – one of the first institutions in India, dedicated to preserving knowledge about Bharatanatyam and Indian classical music. Kalakshetra trained an entire new generation of dancers and musicians, who studied ancient scriptures and learned techniques of dance from the Devadasis, and went on to teach Bharatanatyam to students worldwide. Institutions like Kalakshetra use a teaching pedagogy that blends the ancient and the modern.

A classical dancer is simultaneously a musician, a story-teller, a communicator and a historian. Institutions like Kalakshetra aim to hone these skills in their students. As a student pursuing an undergraduate degree in dance, one learns at least three Indian languages (Sanskrit, Tamil and Telugu), Yoga, Indian classical music (vocal and instrumental) along with an intense training in the practice of dance techniques. Kalakshetra offers young people, passionate about learning dance, a chance to learn it holistically – from some of its best exponents, so that they can preserve it by transmitting this knowledge to others. While institutions like Kalakshetra have opened up access to this knowledge to a larger group of people irrespective of caste and religion, their teaching methods remain traditional – based on the close relationship between a teacher (*Guru*) and the student (*Sishya*), known as the '*Guru-Sishya Parampara*' – based on mutual respect, dedication and sincerity. The teacher's role is to guide the student and help them achieve their potential, while the student's role is to follow the guru's teachings wholeheartedly. Thus, Kalakshetra is an excellent example of one of the first attempts to preserve Bharatanatyam as an art form, and develop an entire generation of teachers who become custodians of

knowledge about this art form and transmit it to interested students and audiences worldwide<sup>209</sup>.

The rise of audio-visual technology is another major factor, which has played an important role in preserving Indian classical dance. Crucially it is a valuable teaching aid, which does not aim to replace the dance teacher – but facilitates the process of learning and helps the student record specific movements or gestures and study them in detail.

Audiovisual recordings have been particularly crucial in preserving traditional choreographies of well-known artists like Rukmini Devi – and have helped younger dancers learn from stalwarts in the field and build on it.

3. Using ICT to Preserve Classical Dance Forms: Two Key Initiatives, their Impact and Significance: A new, emerging trend to preserve intangible cultural heritage involves the use of information and communication technologies (ICTs) to preserve and disseminate information on Indian classical dance. Over the past decade, ICTs have been used as a tool to document information pertaining to cultural heritage. It has two key advantages: first, it brings together diverse information on classical dance (manuscripts, audio and video recordings and research papers) on a common database, making it easily accessible; second, it democratizes access to information about dance and makes it available, not just to experts but to all those who are interested in it. Thus, unlike in the past when an individual needed access to a Guru or expert to get an introduction to classical dance – he/ ICTs are a valuable tool to introduce young people into this medium. Though, it cannot replace a teacher – it helps researchers, students and connoisseurs of dance an opportunity to understand dance in a way that was never possible before.

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<sup>209</sup> For further information on Kalakshetra see <http://www.kalakshetra.net/> (last accessed on 1, January 2013)

A key characteristic of this new trend is the fact that it involves a network of different actors - artists, musicians, technologists, engineers, international organizations, governments and funding agencies who now work together to preserve our intangible cultural heritage.

Two initiatives in the realm of preserving classical dance epitomize this new trend.

The first is an initiative undertaken by '*Core of Culture*', a non-profit based in the United States. This organization works with artists, practitioners of dance, scholars and government representatives to preserve material on dance forms from across the world. This initiative specifically focuses on documenting information on endangered dance forms in Asia and preserves and disseminates this information through videos, installations in museums and online databases.

One of *Core of Culture's* flagship initiatives is the *Bhutan Dance Project*, which draws on 24 months of ethnographic field research across Bhutan, to study Bhutan's diverse dance forms and document information about them from their exponents across the country. Initiated in 2004 as a collaborative effort between *Core of Culture* and the Dance Division of the New York Library for the Performing Arts at the Lincoln Centre, the Bhutan Dance Project uses diverse tools – such as audio and video recordings, journal entries and interviews – to collect and document information about these dance forms. The fieldwork for this initiative generated a wealth of data, which include 500 hours of video documentation, 11,000 photographs and 11 ethnographic journals<sup>210</sup>.

This information was then organized and collated in a searchable, online database, which contains 200 separate dance entries and over 150 hours of high definition video documentation on Bhutan's dance

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<sup>210</sup><http://www.coreofculture.org/bhutan-dance-database.html> (last accessed on 1 January, 2013)

forms. Information on this database is also continuously updated. An important feature of this archive is the fact that it contains rare footage and interviews with experts and material that has never been collected before, and thus is a valuable resource for practitioners of dance, researchers, scholars and members of the public. This database can be accessed by the New York Public Library and the National Archives of Bhutan and is an excellent example of how ICT is a useful tool to preserve information on traditional dance forms.

Governments are also taking a proactive approach to create digital repositories of knowledge to preserve intangible cultural heritage. For example, Government of India's Indira Gandhi National Centre for the Arts (IGNCA) in collaboration with the Ministry Communication and Information Technology (MCIT), initiated a programme called '*Kalasampada*' (conceptualized in 2005) to create a digital archive of India's cultural heritage. 200,000 manuscripts, over 10,000 slides and thousands of rare books have been digitized<sup>211</sup>. In addition, this initiative also documents India's diverse classical and folk dance forms from different states through 400 hours of video footage – collected from renowned experts. This is the first such large-scale attempt to create a digital archive of India's cultural heritage and plans are underway to add to this database.

For legal reasons, this online archive is not open to all, but any individual with an interest in accessing this database can use it, with the permission of the IGNCA. An important feature of this archive is that it is available in both Hindi and English – making it easily accessible to scholars in India and abroad.

The demand for creating online repositories of Indian culture is growing in India – with the private sector, governments, academic institutions and non-profits working together to design user-friendly platforms to document material on India's cultural heritage. One of the latest such initiatives is a proposal by scientists from India's Indian Institute of Technology (Delhi) and researchers from the IT

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<sup>211</sup> <http://www.ignca.nic.in/dlrich.html> (last accessed on 1, January 2013)

firm, Tata Consultancy Services (TCS) to design and develop an interactive, online portal on Indian classical dance. Known as '*Nrityakosha*', this initiative aims to go beyond just creating an archive or database of knowledge - to creating an interactive portal (created by collaborating with leading dancers across India), which not only serves as a research tool for scholars but can also become a valuable teaching aid. While this project has not yet been implemented - a number of leading dancers have agreed to participate on pilot programmes to test this initiative. Initiatives like *Nrityakosha*, provide a sneak preview into how documenting information relating to classical dance and the teaching of dance itself - will be transformed in the years to come (See, Mallik et al, 2011)<sup>212</sup>.

4. Potential problems or critiques: While researchers, students and dance lovers celebrate the digital preservation of material on classical dance - there are concerns among the dance community that technology will diminish the role of the '*Guru*' in the process of dance teaching. For many dancers, the relationship with the teacher was a fundamental aspect of the process of learning dance, and senior dancers often express concern that the availability of audio visual teaching material could lead students to take "short cuts" in the learning process - and that the role of the teacher could be undermined.

5. Linkages to other domains: The digital preservation of material on intangible cultural heritage plays an important role in making people aware of their culture - and make them value it. This could be related to psychological wellbeing.

In addition, organizations such as UNESCO argue that awareness of one's own cultural heritage plays an important role in facilitating inter cultural dialogue.

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<sup>212</sup> Mallik, Anupama, Santanu Chaudhury Hiranmay Ghosh. (2011). '*Nrityakosha* : Preserving the Intangible Heritage of Indian Classical Dance'. *ACM Journal on Computing and Cultural Heritage*, Vol. 2, No. 3, Article 1. June 2011.

6. Policy Recommendations: International organizations and non-profits have taken a lead in promoting initiatives to preserve intangible cultural heritage. It is important that this also becomes a priority for national governments. Efforts such as *Kalasampada*, highlight the positive role that the government can play in documenting and preserving aspects of intangible culture. Such efforts need to be scaled up by bringing together diverse actors – artists, scholars, researchers, policy makers and IT professionals – who can all work together to creating a society which values and preserves its intangible cultural heritage for future generations.

**Imparting knowledge and skills in traditional arts and crafts (Thailand)**

Brief Description: Aimed at imparting knowledge and skills in traditional arts and crafts, an unconventional school was established in Thailand called Lanna Wisdom Institute. Local artisans and a non-governmental organisation have joined hands to establish this institute, an alternative learning forum which aims to pass on valuable folk wisdom and an eco-friendly lifestyle to the next generations. The institute caters to those interested in learning local arts and crafts. The school opened in 2000, with 85 learners (aged between 6 and 66). School students who are enrolled in formal education institutes but who also have interest in learning local arts and crafts outside of formal conventional classrooms make up the largest group. The institute is operational only on Saturdays and Sundays when the formal schools are closed for the weekend. Students are taught local music, dancing, singing, handicrafts, local language, and agriculture to forest management, etc. The students are taught about 19 subjects. The teachers come to school to teach students on voluntary basis. Most of these teachers are retired people who have sound knowledge and skills in arts and crafts. Teachers who are unable to come to school due to old age conduct classes in their homes.

Location, scale, time period: Northern Thailand. Since 2000, fourteen classes have graduated thus far.

*Taken from:*

Chiang Mai arts and crafts website:

[http://www.openchiangmai.com/chiangmai\\_art\\_craft.php](http://www.openchiangmai.com/chiangmai_art_craft.php).

**Culture Vouchers (Brazil)**

Workers with salaries up to five times the minimum wage will receive cultural vouchers in order to insure access and participation in various cultural activities in Brazil. This is similar to a cash transfer program, but is intended to create demand for cultural events.

*Source:* <http://www.brasil.gov.br/sobre/culture/initiatives>

## Time Use

### Paternal Leave (Sweden)

Overview, Implementation, Location and Scope: Since 1974 Sweden has been on the cutting edge of engaging with time use and the wellbeing of parents. That was the year that Sweden transformed its maternity leave policies to include not simply mothers, but also fathers, legislating for parental rather than maternal leave, and aiming to transform the way that both parents balanced work and parenthood. Yet opening parental leave to fathers wasn't enough – though Swedish men stated support for the measure, by 1991 only six percent took any share of parental leave because of disapproving male peers and a punitive work culture. Reform in 1995 and 2002 gave Sweden's parental leave an even greater socially-transformative dimension – though no parent was forced to take the leave from work, two of the 16 months are now reserved for the mother's leave, and two for the father – and these gender-designated months of paid leave are non-transferable to the other partner, and are simply forfeited if the father does not take advantage of the two “daddy months.”<sup>213</sup>

This provision for “daddy months” has radically transformed the time-use of Swedish fathers – now 85 percent take advantage of some portion of paternity leave.<sup>214</sup> Paternity leave has become a part of Swedish culture and expected by Swedish companies, not only in the cosmopolitan capital but also in the towns and rural areas of the north. This transformation has been aided by the fact that the Swedish system is both generous and flexible. The first 13 months of leave is paid for by the state at 80% of pay (up to a limit), and three

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<sup>213</sup> Bennhold, K. “In Sweden, Men Can Have It All.” *The New York Times*. June 9, 2010. Equality in Sweden. Sweden.se: The Official Gateway to Sweden. <<http://www.sweden.se/eng/Home/Society/Equality>>.

<sup>214</sup> Bennhold, K. “In Sweden, Men Can Have It All.” *The New York Times*. June 9, 2010.

more months are covered at a lower flat rate.<sup>215</sup> The leave can be used in any way until the child turns eight, not only in months or weeks, but also in days and hours – for instance, a parent can choose to take the leave a few months at a time, or work half-time, or take a day a week or an hour a day off. This allows for flexibility in time-use to suit individual parents, families and children.<sup>216</sup> Because of the non-transferable “daddy months” it is no longer frowned upon by peers, employers and friends for men to take a break in their careers to care for a child – and thus most men in Sweden choose to do just this.<sup>217</sup>

The Swedish model has been gaining ground. The other Nordic countries now have similar policies.<sup>218</sup> Indeed, Iceland’s policy is perhaps the most radically egalitarian – of the nine months of paid leave, three are reserved for the mother, three for the father and three are decided by the family. Continental Europe is also following suit. Germany now reserves two months of leave for fathers, with a subsequent surge in the number of men choosing to stay home with their children. The policy’s spread points to its benefits, not only for mothers, but also for fathers and children.<sup>219</sup>

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<sup>215</sup> Moss, P. 2010. Improving the Quality of Childhood in the European Union: Parental Leave Policies. *Parental Leave Policies*. <<http://www.ecswe.com/downloads/publications/QOC-VII/Chapter5-Parental-Leave-Policies-by-Professor-Peter-Moss.pdf>>

<sup>216</sup> Equality in Sweden. Sweden.se: The Official Gateway to Sweden. <<http://www.sweden.se/eng/Home/Society/Equality>>.

<sup>217</sup> Johansson, T. and R. Klinth. 2008. Caring Fathers: The Ideology of Gender Equality and Masculine Positions. *Men and Masculinities* 11(1): 42-62. Marshall, K. 2008. Fathers’ use of paid parental leave. *Statistics Canada-Catalogue no. 75-001-X*: 5-14. Bennhold, K. “In Sweden, Men Can Have It All.” *The New York Times*. June 9, 2010.

<sup>218</sup> Moss and Wall. 2007. International Review of Leave Policies and Related Research. BERR Working Paper. <<http://www.emplaw.co.uk/lawguide?startpage=data/20033221.htm>>

<sup>219</sup> Moss, P. 2010. Improving the Quality of Childhood in the European Union: Parental Leave Policies. *Parental Leave Policies*. <<http://www.ecswe.com/downloads/publications/QOC-VII/Chapter5-Parental-Leave-Policies-by-Professor-Peter-Moss.pdf>>

Benefits, Impact and Other Domains: The increasing adoption of the model across Europe indicated the appeal of transforming parental time use, not only to benefit gender equality, but with the broader aim to impact the wellbeing of both men and women. The stated goal of the original Swedish policy was to give *men* as well as women greater freedom and flexibility with time use.<sup>220</sup> Paternity leave thus emphasizes a stronger relationship between fathers and children (itself linked to higher child wellbeing) and personal gains for the father as both an employee and an individual through supported leave.<sup>221</sup> Indeed, the evidence on the way that paternal leave impacts the wellbeing of men, women and children in a family is still being gathered, but seems to point to a diversity of benefits. These include not only the expected drop in the employment gap between women and men, and a shift in the social expectations of fatherhood that enables fathers to take on a more caring and involved role, but has also been linked with a measurable increased children's wellbeing through long-term father involvement,<sup>222</sup> and even a drop in male mortality.<sup>223</sup> Thus the policy of paternal leave links not only to time-use, but also psychological wellbeing and health.

Critiques and Potential Policy Recommendations: Of course, setting apart a portion of parental leave for fathers is not without its critics. Mothers in Sweden still take four times the amount of leave as fathers. In 2004 only 17 percent of leave was taken by men in

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<sup>220</sup> Nyberg, A. 2004. Parental Leave, Public Childcare and the Dual Earner/Dual Carer-Model in Sweden. *Parental Insurance and Childcare*. Swedish National Institute for Working Life Discussion Paper. <<http://www.mutual-learning-employment.net/uploads/ModuleXtender/PeerReviews/55/disspapSWE04.pdf>

<sup>221</sup> Rostgaard, T. 2010. Setting time aside for the father: Father's leave in Scandinavia. *Community, Work & Family* 5(3): 343-364.

<sup>222</sup> Marshall, K. 2008. Fathers' use of paid parental leave. *Statistics Canada-Catalogue no. 75-001-X*: 5-14.

<sup>223</sup> Månsdottera, A., L. Lindholma and A. Winkvistd. 2007. Paternity leave in Sweden – Costs, savings and health gains. *Health Policy*82 (1): 102-115.

Sweden.<sup>224</sup> And the evidence on the benefits of the policy for the wellbeing of men, women and children is new and limited. The policy is also expensive: it is paid for by the Swedish government (in contrast to Germany, where it is paid for by insurance as well as by individual's employers), and family benefits cost Sweden 3% of GDP in 2010. However, Sweden's deficit and public debt remains significantly low in comparison to most OECD countries.<sup>225</sup> Obviously, directly mimicking such a policy might be inappropriate in contexts with low formal employment or with non-Western family forms. But the common theme within Sweden's policy of parental leave is the allocation and use of time. Time use within childcare maps on to issues of maternal and child health, fertility policy, family policy, gender equality, children's rights and labour market policy. Creating a paternal leave policy that is radical in challenging cultures of gendered expectations around childcare and enabling both men and women to use time more flexibly is thus worth considering in a number of contexts, be the policy details similar to Sweden's or not.

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<sup>224</sup> Nyberg, A. 2004. Parental Leave, Public Childcare and the Dual Earner/Dual Carer-Model in Sweden. *Parental Insurance and Childcare*. Swedish National Institute for Working Life Discussion Paper. <<http://www.mutual-learning-employment.net/uploads/ModuleXtender/PeerReviews/55/disspapSWE04.pdf>>

<sup>225</sup> Bennhold, K. "In Sweden, Men Can Have It All." *The New York Times*. June 9, 2010.

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### **Encouraging Better Sleep Habits or Keeping Traditional Sleep Pattern (global)**

“We are such stuff. As dreams are made on; and our little life. Is rounded with a sleep.” ---The Tempest

Levels of sleep deprivation are climbing globally – both in OECD countries and in the developing world. Insufficient sleep is, in the words of the Centers for Disease Control, an unmet public health epidemic.<sup>226</sup> A 2012 study which surveyed eight African and Asian nations (South Africa, Kenya, Ghana, Tanzania, Vietnam, Bangladesh, India, and Indonesia) found 150 million adults with sleep disorders (16.6% of those surveyed).<sup>227,228</sup> In the United States, the National Institutes of Health estimates “that 50 to 70 million Americans chronically suffer from a disorder of sleep and wakefulness, hindering daily functioning and adversely affecting health and longevity.”<sup>229</sup> Poor sleep has been linked with increases in a person’s risk of developing obesity, diabetes, high blood pressure or heart disease.<sup>230</sup> Sleep deprivation must now be understood as a major contributor to non-communicable disease (NCD). According to the World Health Organization, “57 million global deaths in 2008, 36

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<sup>226</sup> <http://www.cdc.gov/features/dssleep/>

<sup>227</sup> Stranges, S. et al. (2012). “Sleep Problems: An Emerging Global Epidemic? Findings From the In depth WHO-SAGE Study Among More Than 40,000 Older Adults From 8 Countries Across Africa and Asia.” *SLEEP*. DOI: 10.5665/sleep.2012

<sup>228</sup> And the rate maybe even higher as the study surveyed mostly people living in rural areas and rates are expected to be higher for urban areas.

<sup>229</sup> Institute of Medicine (US) Committee on Sleep Medicine and Research; Colten HR, Altevogt BM, editors. *Sleep Disorders and Sleep Deprivation: An Unmet Public Health Problem*. Washington (DC): National Academies Press (US); 2006. 3, Extent and Health Consequences of Chronic Sleep Loss and Sleep Disorders. Available from: <http://www.ncbi.nlm.nih.gov/books/NBK19961/>

<sup>230</sup> Buxton, et. al. (2012). “Adverse Metabolic Consequences in Humans of Prolonged Sleep Restriction Combined with Circadian Disruption,” *Science Translational Medicine*, 4:1-11.

Knutson, K., K. Spiegel, P. Penev, and E. Vancauter. (2007). “The Metabolic Consequences of Sleep Deprivation.” *Sleep Medicine Reviews* 11(3): 163-78.

million, or 63%, were due to NCDs. The burden of these diseases is rising disproportionately among lower income countries and populations.”<sup>231</sup> Lack of sleep is also strongly correlated with mental health disorders.

The causes of this rise in sleep deprivation include increased working hours,<sup>232</sup> shift work,<sup>233</sup> disruption of traditional sleep patterns, noise,<sup>234</sup> electronic interruptions,<sup>235</sup> et cetera. In Spain, for example, the government has relaxed the rules governing how many hours shops may be open. Stores may now be open for 25 percent longer a week—a move which threatens the traditional siesta, which was already in decline in major metropolitan areas.<sup>236</sup>

Beyond the tremendous health consequences, sleep deprivation can have major economic effects. A 1998 study by sleep expert James Maas estimates that sleep deprivation and sleep disorders cost the American economy at least \$150 billion a year -- a result of decreased job productivity and fatigue-related accidents.<sup>237</sup> Lack of sleep was found to be a significant factor in accidents in several man-made

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<sup>231</sup> WHO. NCD mortality and morbidity.

[http://www.who.int/gho/ncd/mortality\\_morbidity/en/index.html](http://www.who.int/gho/ncd/mortality_morbidity/en/index.html)

<sup>232</sup><http://www.brookings.edu/blogs/jobs/posts/2011/07/08-jobs-greenstone-looney>

<sup>233</sup> Plain Language about Shift Work. <http://www.cdc.gov/niosh/docs/97-145/pdfs/97-145.pdf>

<sup>234</sup> WHO Regional Office for Europe. Night Noise Guidelines for Europe. Chapter 3. 2009

<sup>235</sup> In November of 2011 the Government of South Korea took the extraordinary step of establishing a curfew that prohibits those under 16 from playing online games between midnight and 6 a.m. Though the effectiveness (and legality) of this law have been questioned. [http://www.upi.com/Science\\_News/2012/02/02/Gaming-curfew-in-S-Korea-ineffective/UPI-81551328221559/](http://www.upi.com/Science_News/2012/02/02/Gaming-curfew-in-S-Korea-ineffective/UPI-81551328221559/)

<sup>236</sup> <http://www.businessweek.com/news/2012-07-22/spain-scraps-siesta-as-stores-stay-open-to-spur-spending-retail>

<sup>237</sup> [http://www.news.cornell.edu/releases/jan98/sleep\\_dep.hrs.html](http://www.news.cornell.edu/releases/jan98/sleep_dep.hrs.html)

environmental disasters, including Chernobyl, the Exxon Valdez, and Three Mile Island.<sup>238</sup>

Clearly there is a need for an increased public education about the severe health and economic costs of sleep deprivation, as well as further research into its causes and how best to combat it. Why, for example, does sleep deprivation vary according to gender and race? In addition, governments must innovate regarding policies that promote healthy sleep and enforce, where they exist, health and safety regulations that ensure sufficient rest for workers.

### **Supporting Children's Play (South Africa, US, global)**

Who taught you to play tag or hide and seek? Kickball or hopscotch or any childhood game? Chances are it was another kid – perhaps an older sibling or a neighbor or someone in your school yard. It's such a natural process that we forget that the rules of play are not innate. And that the passing on of these rules of how to play can be disrupted by violent neighborhoods or other security threat, by physical displacement or even a simple lack of play space.

Brief Description: Children's play has been demonstrated to be essential to childhood development and cognitive skills.<sup>239</sup> A number of organizations are dedicated to developing children's play in both the developed and the developing world. The three featured here are Clowns Without Borders South Africa, One World Futbol, and Playworks. Clowns Without Borders South Africa is a one of a number of different Clowns Without Borders organizations. Their mission is to work with children in Southern Africa that are affect by violence, AIDS/HIV, poverty or child abuse to "enable children and

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<sup>238</sup><http://healthysleep.med.harvard.edu/healthy/matters/consequences/sleep-performance-and-public-safety>

<sup>239</sup> Paul McArdle. 2001. *Children's Play*. Child: Care, Health and Development, 27 (6): 509-514. Can Tag Help Schools Teach? 2012. *Mathematica Policy Research*. <http://www.rwjf.org/content/rwjf/en/research-publications/find-rwjf-research/2012/03/can-tag-help-schools-teach.html>.

David Bornstein. Hard Times for Recess. *New York Times*, April 4, 2011. <http://opinionator.blogs.nytimes.com/2011/04/04/hard-times-for-recess/>

families to play, laugh, and create.”<sup>240</sup> They argue that play and laughter improve mental wellbeing and strengthen relationships, and use performances and theatre arts (often involving clowns) to do so. Their programs span performances in needy or crises environments, community-based Parenting Programmes, youth theatre and local capacity development and awareness raising on issues around HIV/AIDS, childcare and child abuse.<sup>241</sup> One World Futbol is a social enterprise that has created an ‘indestructible’ football to help “sustain the spirit of play worldwide.”<sup>242</sup> These footballs are virtually indestructible and do not deflate, expected to last 30 years, enabling play in difficult conditions. One World Futbol is a “B corporation” that sells the balls and donates one for every one sold. Playworks<sup>243</sup> is an Oakland-based non-profit that sends trained play coaches into schools who organize an array of play opportunities for children during recess and lunch, as well as in class and after school.

Implemented by: One World Futbol, a social enterprise (B Corporation); Clowns Without Borders South Africa, an NGO; and Playworks, an NGO.

Location, scale, time period: One World Futbol works around the world; Clowns Without Borders South Africa has worked throughout Southern Africa since 2003. In 2008 (the last figures publically available) CWBSA reached over 40,000 children. Playworks operates in nearly 250 urban schools serving low-income students in 15 cities.

Impact/Significance: There are a number of studies on the importance of play in childhood development, cognition and positive behavioural patterns.<sup>244</sup> For instance, randomized control trials of the

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<sup>240</sup> <http://www.cwbsa.org/about>.

<sup>241</sup> <http://www.cwbsa.org/projects>

<sup>242</sup> <http://www.oneworldfutbol.com/spirit-of-play/>

<sup>243</sup> <http://www.playworks.org/about>

<sup>244</sup> Paul McArdle. 2001. *Children's Play*. Child: Care, Health and Development, 27 (6): 509-514. Can Tag Help Schools Teach? 2012. Mathematica Policy

impact of Play works has shown that the program decreases bullying and improves behaviour outcomes and teaching time.<sup>245</sup>

Though there is little available data of the impact of both One World Futbol and CWBSA (though a study is currently being carried out on the impact of CWBSA), the previous argument points to the importance and positive impact of programs that engage with childhood play. The rules of play are not inherent to children, particularly in situations (either due to security or economics) where older children might not be available to teach younger, and such programs step in to fill the gaps.

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Research.<http://www.rwjf.org/content/rwjf/en/research-publications/find-rwjf-research/2012/03/can-tag-help-schools-teach-.html>.  
David Bornstein. Hard Times for Recess. *New York Times*, April 4, 2011.  
<http://opinionator.blogs.nytimes.com/2011/04/04/hard-times-for-recess/>  
<sup>245</sup> Can Tag Help Schools Teach? 2012. *Mathematica Policy Research*.  
<http://www.rwjf.org/content/rwjf/en/research-publications/find-rwjf-research/2012/03/can-tag-help-schools-teach-.html>

## Psychological Wellbeing

### Oxford Mindfulness Centre (UK)

“The Oxford Mindfulness Centre, an international centre of excellence within Oxford University’s Department of Psychiatry, applies mindfulness techniques to patients with mental and physical problems and monitors outcomes.<sup>246</sup> Its main focus is on serious recurrent depression and its consequences. Patients are taught how to apply mindfulness to forestall, minimize or alleviate recurrent episodes of their illness. Practitioners from various disciplines (psychologists, teachers, physicians) are taught mindfulness so they can apply them to people for whom they have a duty of care. OMC works to spread knowledge of its findings to as wide an audience as possible and has published numerous articles on the subject of mindfulness and mental health in multiple scientific journals and books. It has also conducted randomized trials on the subjects of staying well after depression and mindfulness-based cognitive therapy for anxiety.

The Centre’s Eight-Week Cognitive Therapy course for the public is recommended by the UK’s National Institute of Clinical Excellence and is as effective as drugs for preventing depression.

There is great potential that widespread availability will have a beneficial effect on the general population, not just those who are diagnosed unwell. As part of this mission, the OMC partners with the Mindfulness in Schools Project.<sup>247</sup> OMC is also developing mindfulness-based approaches to meet the needs of specific situations and cultures around the world. In this connection it has links with partners in Asia and Africa.”

### Meditation in Prison (India and US)

A program of Vipassana mediation in prisons that reduces violence and recidivism. Introduced in prisons in India (most notably Tihar)

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<sup>246</sup> <http://oxfordmindfulness.org>

<sup>247</sup> <http://mindfulnessinschools.org/press>

and the United States. Much of the training is done by teachers from The Art of Living Foundation (headquartered in Bangalore, India), which was founded in 1981 by Sri Ravi Shankar. Art of Living also trains prison guards and police. Training is intense, usually consisting of days filled with ten hours of sitting meditation.

At the Tihar Jail, which was built in the 1950s for few thousand inmates and was overcrowded, anger and anguish were commonplace—particularly among the innocent who often had to wait months, even years for a court date or to make bail. “That’s why it’s so important to help them to overcome stress,” says Akhilesh Chabra, of the Art of Living. “They are seething with negative emotions, very bitter yet helpless. Meditation improves their frame of mind.” Meditation helps inmates to cope. It has changed the atmosphere, according to staff and the inmates interviewed; inmates are calmer and more co-operative, relations with the staff more harmonious.<sup>248</sup>

A study that examined the psychological and behavioral effects an intensive ten-day Vipassana Meditation (VM) retreats in a maximum security prison found that “VM participants achieved enhanced levels of mindfulness and emotional intelligence and had decreased mood disturbance relative to a comparison group. Both groups’ rates of behavioral infractions were reduced at one-year follow-up. Clinically, VM holds promise for addressing self-regulation and impulse control, among other barriers to prisoner adjustment and community reentry.”<sup>249</sup>

“It’s the only pillar that has helped me to withstand separation from my wife and son. Once I’ve done the exercises I feel stress leaving my

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<sup>248</sup> Dhillon, A. Is this the best jail in the world? *The Times* (London) April 12, 2004.

<sup>249</sup> Perelman, A. et al. Meditation in a Deep South Prison: A Longitudinal Study of the Effects of Vipassana. *Journal of Offender Rehabilitation*, v51 n3 p176-198 2012

body in a great surge. If something angers me I know how to control my reactions.”-- Sunil Chinchine, Tihar Prison, India.

“Had I learned how to love, even as a 10-year-old boy, things would have been different,” he said, not long ago. “I keep referring back to this love thing. It's just so important to the universe, you know. It expands more than just an emotion - it's a way of life. How we interact with each other and see each other ... it's amazing. I had to come to prison in order to be free, and it's stupid, I guess, but it happened.” - Leon Kennedy, Donaldson Correctional Facility, Alabama, US.

### **Suryani Institute for Mental Health (Indonesia)**

“Over the past two decades, the Suryani Institute has been making mental health care more accessible in Bali, Indonesia, while redefining and expanding the definition of a “mental health care provider.” Based on the simple premise that everyone can be a self-healer, the institute has engaged a multitude of groups, including teachers, women, children, volunteers, senior citizens, and health workers, and has taught them how to cope with psychiatric issues. Perhaps most notably, the institute has successfully begun to partner traditional healers with modern psychiatrists to provide a holistic experience that includes community-based prevention, treatment, and rehabilitation.

Using an innovative “biopscho spirit-sociocultural” approach to psychiatry, the institute combines meditation and spiritualism with modern psychological tools and practices. Local governments have adopted and replicated many of these methods.”

*Taken from:*

<https://www.ashoka.org/fellow/luh-ketut-suryani>

<http://www.suryani-institute.com/our-programs/>

Sources:

Lemelson, RB., Traditional Healing and Its Discontents: Efficacy

and Traditional Therapies of Neuropsychiatric Disorders in Bali  
Medical Anthropology Quarterly 18(1),pp. 48-76

Suryani LK, Lesmana CB, Tiliopoulos N. (2011). Treating the untreated: applying a community-based, culturally sensitive psychiatric intervention to confined and physically restrained mentally ill individuals in Bali, Indonesia. *Eur Arch Psychiatry ClinNeurosci*.

### **GNH Projects (Brazil)**

Several municipalities (for example, Itapetininga) of the State of Sao Paulo have adopted community level GNH projects initiated by the Instituto Visão Futuro, a local NGO. The program provides training and workshops in yoga, meditation, self-knowledge, acting and clown techniques given to students at local schools who will then act as agents of change in the communities.

Over the past five years, five major GNH conferences have been held in every region of Brazil, including São Paulo and Sorocaba in the south, Brasília in the West, in Rio de Janeiro during the Rio+20 events, and in Fortaleza, one of the largest and most rapidly developing cities in the northeast of Brazil. The mayor of Fortaleza has requested the Future Vision Institute to implement a GNH project in that city in 2013.

Source:

<http://www.maguiguimaraes.com.br/index.php/projetos-sociais/141-cases-fib> and

<http://www.kuenselonline.com/gnh-shines-bright-in-brazil/#.UN7-9onjkk->

### **Roots of Empathy (Canada)**

Roots of Empathy is an organization that works with children to teach empathy, and thus decrease aggression, anger and bullying in children (and eventually when they grow up, adults). The program involves having a parent and a baby come into a classroom over the course of a year for nine visits. A facilitator hosts pre and post sessions and guides the visits. Children are taught to emphasize with

the baby, to see the world from the baby's point of view, to understand more about parenting and child development.

"Children learn to understand the perspective of the baby and label the baby's feelings, and then are guided in extending this learning outwards so they have a better understanding of their own feelings and the feelings of others. This emotional literacy lays the foundation for more safe and caring classrooms, where children are... more socially and emotionally competent and much more likely to challenge cruelty and injustice."<sup>250</sup>

Location, scale, time period: Founded in 1996, now implemented in schools throughout Canada, including First Nations, as well as the US, New Zealand, the Isle of Man, Northern Ireland, the Republic of Ireland and Scotland. Though started by a Canadian, the program has been lauded both by the Dali Lama and formally endorsed in a resolution by First Nations, which stated that the program is "compatible with traditional First Nations teachings and worldviews." It has now been implemented in a number of First Nations communities and with Aboriginal children. It has reached over 450,000 children altogether.<sup>251</sup>

Impact/Significance: Researchers have found that the program increases kindness and acceptance of others and decreases negative aggression.<sup>252</sup> The program dramatically reduces aggression and increases social and emotional understanding among children who receive it. Children who have participated in Roots of Empathy programs are kinder, more cooperative, and more inclusive of others, and are less aggressive and less likely to bully others compared to

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<sup>250</sup><http://www.rootsofempathy.org/en/who-we-are/about-roots-of-empathy.html>

<sup>251</sup><http://www.rootsofempathy.org/en/who-we-are/about-roots-of-empathy.html>

<sup>252</sup> David Bornstein. Fighting Bullying With Babies. *NY Times* November 8, 2010. <http://opinionator.blogs.nytimes.com/2010/11/08/fighting-bullying-with-babies/>

children who do not participate in the program. These positive effects have been shown to last at least three years.<sup>253</sup>

**Irrsinnig Menschliche.V. (Germany)**

“Despite the fact that 20 percent of all school children in Germany have already experienced a severe mental crisis, psychological problems are still considered taboo and those who suffer from them are ostracized. As a result, children do not dare to talk about their mental illnesses, but instead internalize their problems and withdraw from society. This leads to poor school performance and a further deepening of mental problems, often resulting in unemployment and a life-long dependency on public welfare. Irrsinnig Menschliche.V., changes this pattern.

Prevention program incorporates three innovations that contribute to its success. First, the program re-frames mental problems from the perspective of mental health, placing the emphasis on possibilities and resources rather than deficits and pathologies. Second, the program places people who once suffered from mental illness and mental health professionals in teams who then work to educate and demystify mental health in schools. Lastly, by relying on regional networks, the program provides a stable, low-threshold link between schools and support organizations, which can help students in crisis. Further contributes to removing taboos by cleverly marketing the concept of mental fitness, which similar to physical fitness, requires training to develop.”

*Taken from:*

<http://cms.irrsinnig-menschlich.de/en/main-pages/who-we-are.html>; <https://www.ashoka.org/node/5886>

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<sup>253</sup><http://www.rootsofempathy.org/en/what-we-do/research.html>, David Bornstein. Fighting Bullying With Babies. *NY Times* November 8, 2010. <http://opinionator.blogs.nytimes.com/2010/11/08/fighting-bullying-with-babies/>

### **Specialisterne (Denmark)**

Specialisterne(the Specialists) is Danish social innovator company owned by the Specialist People Foundation that trains individuals with Autism Spectrum Disorder (ASD) and similar challenges (such as ADHD, OCD, and Tourette's) and creates an environment where they use their talents to provide business services such as software testing, quality control checks, and data translation and conversion. Danish municipalities subsidize this training program. Specialisterne now has programs in Great Britain, Iceland, Switzerland, Austria, and the United States.

No one knows what causes autism or how prevalent it is but numbers, at least in the United States are significant and appear to be growing. The Centers for Disease Control and Prevention (CDC) estimates that about 1 in 88 children has been identified with an autism spectrum disorder-- a 23% increase since 2009 and a 78% increase since 2007."<sup>254</sup> And the WHO notes that "despite the high burden of autism and other developmental disorders in children and adolescents, these conditions have been widely neglected by policy makers and public health experts, particularly in low- and middle-income countries. As a consequence, children and families in need have often poor access to services and do not receive adequate treatment and care. Greater investments in advocacy, awareness, research, and services and human resource development are needed."<sup>255</sup>

From the Specialist People's website: "People with autism often have skills that are very valuable on the labour market, such as an outstanding memory or a remarkable eye for detail. Also, they often have a structured way of working, can think out of the box, have a passion for detail and are capable of doing repetitive tasks with unceasing enthusiasm. We define them as "specialist people" -

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<sup>254</sup> <http://www.cdc.gov/features/countingautism/>

<sup>255</sup> [http://www.who.int/mental\\_health/world\\_autism\\_awareness\\_day/en/](http://www.who.int/mental_health/world_autism_awareness_day/en/)

specialists with a business potential that can be realised with special understanding and management.”<sup>256</sup>

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<sup>256</sup> <http://specialistpeople.com/about/>  
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