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Our cover images are from a Hong Kong park's children  
play area gasebo which were provided by Alan Kinear.



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# Editorial

# Art as Soft Power

Bussakorn Binson<sup>+</sup> Executive Director

In the midst of the current crises that has entered the human world there are three sides – three wars. We have a pandemic affecting the mind, emotions and feelings of souls in our global society, an enlarging territorial war in several countries and an all-inclusive war of potentially irreversible global warming. Humans and nature are being pushed to their limits of adaptability.

The world's population are now considered vulnerable and at risk of mental and economic breakdowns. When people are affected by war stimuli, climate disasters, or Covid-19 they can be motivated to heal one's fragile heart. Medicine cannot cure poverty just as modern technology is unable to restore the inaccessibilities experienced by the underprivileged.

'Soft Power' as set by Joseph Nye mentions three pillars – political values, culture and foreign policy. The culture of art reflects the emotions, values and opinions of the artist as manifested in their painting, performances, music etc. Art is a multi-layered vehicle of communication that reach and connect to people in many ways.

Art and music therapy approaches can reach one's heart in many ways; as form of a listener, a singer, a viewer, a creator – a participant has spread to all continents. For example, at Chulalongkorn University in its Master of Arts in Music Therapy and Master of Arts in Arts Therapy programs aims to address this need with skilled graduates as music therapists or art therapists to treat citizens burdened with emotional, mental or social challenges. While the origin of art and music therapy occurred in the West it can be adapted and effectively applied as a healing tool worldwide. In our previous volumes of the Journal of Urban Culture Research, there are many interesting articles on music and art that clearly demonstrated the healing benefits of music and art therapy approaches through research.

Locally here in Thailand one month after the Nongbua Lamphu shooting (Oct 6, 2022) in which 37 victims were killed by a 34 year old recently fired policeman facing drug charges; our Mobile Art Therapy group (from the Emili Sagol Creative Art Therapy Research & Innovation for well-being Center, Chulalongkorn University)

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held art therapy workshops for the survivors to mitigate their lingering trauma. The activities consisted of event drawing, drama, movement and music. See Youtube.



Figure 1. Left, Nong Bua Lamphu nursery school has been "broken" by a murderer. Over 20 children killed. Right, *Event Drawing*: A art therapy session for survivors of the school's "killing field" in Nov. 2022 conducted the Art Therapy Group of FAA-Emili Sagol Research & Innovation for Well-being Center.



Figure 2. While individual *event drawings* hang as a backdrop, a group music therapy session is held with *angklung* instruments. Right, a survivor's *event drawing*.



Figure 3. Another *event drawing*, left. Right, the art therapy group with participating survivors..

In conclusion, when the world is in turmoil from crises, it is a matter for each human being to find a way to heal themselves from the suffering caused by that turbulence. If the leader of each country could offer more attention and support to art and culture as well as encourage the use of it to bolster social well-being, we would have more *Soft Power* to heal our fragile physical & emotional world.

# Special Feature

# Chiang Mai's

# Intangible Cultural

# Heritage: *Urban Revitalization &*

## *Cultural Identity in a Northern Thai City*

Alexandra Denes<sup>+</sup> & Ajirapa Pradit<sup>++</sup> (Thailand)

### Abstract

Founded in 1296 CE, the walled city of Chiang Mai, Thailand was once the capital of the Lanna kingdom. In the sixteenth century, Chiang Mai's fortunes waned, and it became a tributary state under the Burmese. This was followed by its incorporation into the Thai nation-state in the twentieth century. One outcome of Chiang Mai's administrative integration into the Thai nation was the erosion of its distinctive cultural identity. Beginning in the 1980s, key local figures began to collaborate with communities and academic institutions to revitalize Chiang Mai's intangible cultural heritage, including its craft traditions, rituals, textiles, and dance performances. After tracing a brief history of Chiang Mai and the Lanna revitalization movement, this article analyzes two rituals – the Candle Lighting ritual and the Yor Suai Wai Sa Phraya Mangrai ritual – to illustrate how community-based organizations in Chiang Mai have worked together to restore the city's spirit of place, contributing to its resilience and sustainability.

**Keywords:** Chiang Mai, Intangible Cultural Heritage Revitalization, Urban Identity, Urban Resilience, Urban Sustainability, Ritual, Thailand

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## Introduction

While heritage scholarship has long focused on the value of built heritage for urban identity, more recent studies have been seeking to understand how intangible culture contributes to the resilience and sustainability of urban communities. Defined in the UNESCO 2003 Convention for the Safeguarding of Intangible Cultural Heritage as the “practices, expressions, knowledge and skills that communities, groups, and sometimes individuals recognize as part of their cultural heritage,” intangible heritage is expressed in oral traditions, performing arts, social practices, rituals, festive events, knowledge concerning nature and the universe, and crafts. At the 2019 Forum on Intangible Cultural Heritage in Urban Contexts, held in Bogota, Colombia, scholars, heritage experts, and urban community organizers from eight cities around the world came together to share insights about how intangible heritage fostered social cohesion among diverse urban populations and contributed to social, economic, and environmental sustainability. For instance, in the case of Kathmandu, Maharjan (2020) showed that traditional kinship-based ritual organizations called Guthi were instrumental in organizing an important annual festival called Yena Punhi in the wake of the 2015 earthquake that devastated the city. As Maharjan explains, organizing the ritual after the disaster was a way to strengthen community solidarity in the face of a crisis, thus “avoiding bad omens for the country and people (2002:23).” In another case study from Paris, Bony (2020) describes the work of an association called Île du Monde to inventory and document the diverse intangible living heritage of Paris’ many migrant communities, with the aim of promoting visibility and fostering a more inclusive urban society through social dialog between groups. Given the expansion of migrant communities throughout most of the world’s cities, such efforts to recognize “traveling” (Schep 2020:58) or “diasporic” intangible heritage are vital to nurturing peace and social cohesion.

Turning now to the case of Chiang Mai, this article aims to show that intangible cultural heritage has been essential to the city’s resilience and cultural continuity. Since its inception in the 13th century, Chiang Mai’s identity has been constituted through ritual practices and performances which propitiate the spirits of the city and the surrounding natural landscape. Through an examination of historical sources such as the Chiang Mai Chronicle (Wyatt and Aroonrut 1998), the first section of this article will demonstrate the central role that ritual and festive events played in the establishment and development of the city. From the sixteenth century onwards, Chiang Mai’s fortunes declined, and it became a tributary state under the Burmese. This article will show that once King Kawila reclaimed Chiang Mai from the Burmese in the 18th century, a key part of his restoration of Chiang Mai was the revival of intangible cultural heritage—particularly ritual practices associated with the founder’s spirit and the sacred mountain of Doi Suthep.

The article then turns to a discussion Chiang Mai’s incorporation into Siam, and finally its integration into the Thai nation-state. One consequence of Chiang Mai’s administrative incorporation into the Thai nation in the twentieth century was the erosion of its distinctive linguistic and cultural identity. Beginning in the 1980s, key local figures began to collaborate with communities and academic institutions

to revitalize Chiang Mai's intangible cultural heritage, including its craft traditions, rituals, textiles, and dance performances. After tracing a brief history of the Lanna revitalization movement, this article will present a case study of two more recent rituals—the Candle Lighting ritual and the Yor Suai Wai Sa Phraya Mangrai ritual—to illustrate how different actors and community-based organizations in Chiang Mai have worked together to restore the city's spirit of place in the face of the threats of overdevelopment and tourism. To conclude, this article argues that in all phases of Chiang Mai's history, intangible cultural heritage has been a vital source of community strength and continuity.

### **A Brief History of Chiang Mai and Its First Restoration in the Eighteenth Century**

Founded in 1296 CE by King Mangrai, the northern Thai city of Chiang Mai is widely recognized and celebrated for its rich and distinctive cultural heritage. Chiang Mai, which means “the new city,” was built on an alluvial flood plain of the Ping River at the foot of the sacred mountain of Doi Suthep. With its ancient city walls, moats, and unique Lanna-style Buddhist monasteries, the built heritage of Chiang Mai still evokes the golden era of its history as the capital of the Lanna kingdom, which reached its zenith under King Tilokkarat (r. 1441-1487) in the fifteenth century, encompassing Northern Thailand and parts of present-day Laos, Myanmar, and Southern China.



Figure 1. Panoramic view of Chiang Mai City located on a flood plain of the Ping River. Source: Chiang Mai World Heritage Initiative Project, 2018.

While the distinct built heritage of Buddhist monasteries and brick ramparts are enduring features of the city which are still observable today, the Chiang Mai Chronicle tells us that Chiang Mai's founder, King Mangrai, was equally concerned about the ritual practices and propitiation of guardian spirits who would protect the city and ensure its wealth and abundance. Indeed, before beginning the construction of the city walls, King Mangrai appealed to the spirits of place. The Chiang Mai Chronicle tells us that the founders,

performed an offering ceremony consisting of three parts, /one for the auspicious site where they would found the city; a second one for the albino Mouse Spirit in the midst of the city; and the third one further divided into five parts for the five gates they would erect [...] The three kings had the sacrifice-officiants divided into six groups to petition all the heavenly spirits [devata] to come and protect the city at the auspicious site in the center of the city as well as the five gates, on that day (Wyatt and Aroonrut 1998:78).

In the sixteenth century, the Lanna kingdom weakened and fell to the invading Burmese. Over the course of two hundred years of occupation (1558-1775), Lanna was further fragmented by recurrent warfare and insurrections against the Burmese occupiers. In 1775, Lanna princes agreed to become vassals to the rulers of the Siamese kingdom to drive out the Burmese—a long process which took more than twenty years, during which time much of the populace of Chiang Mai fled or was forcibly resettled. One of the leaders in the revolt against the Burmese, Cao Kawila, became Chiang Mai's new king in 1782. As recounted in the Chiang Mai Chronicle, King Kawila restored the city by resettling populations and rebuilding its walls, forts, and Buddhist monasteries. The Chronicle also describes in detail the return of music, dance, festivities, and ceremonies to the city (Wyatt and Aroonrut 1998:262).



Figure 2. Portrait of Kawila. Source: Chiang Mai Art and Culture Centre, 2006.

It is significant to note that reclaiming the capital of Chiang Mai was not only a matter of driving out the invaders and repopulating the city. Rather, it involved reasserting the continuity of Chiang Mai by restoring both the material and intangible heritage that had been established by its founder and previous rulers. This is exemplified in a quote from the Chiang Mai Chronicle, which describes the renewal of cultural heritage undertaken by King Kawila.

Chiang Mai was now replete with walls, observation towers, fighting towers, and gate towers; and moats wide and deep and formidable with water and filled with profusely spreading white and red lotuses; and it had many temples flourishing; and the city was now replete with officers military/and civil, with chiefs and followers, and with a great population; and amply supplied with food and drink, with coconut and sugar palms, with betel and areca, with fruits, with rice in abundance; and in happiness there were entertainments and festivities, celebrations, music and singing, with all kinds of poetry, with stringed instruments and percussion;/with dancing, the music of orchestras, gongs oboes, khaen, gamelan, thalo and thiso music, phia music, phin, pan do drums, and conch-shell trumpets playing loudly and tumultuously day and night, banishing sadness and melancholy, in religious ceremonies (Wyatt and Aroonrut 1998:261-262).

Another example of the restoration of heritage by King Kawila was his reinstallation of the sacred pillar of the city, called the lak muang (Sanguan 1971, Tanabe 2000). Currently located at Wat Chedi Luang temple, the pillar is believed to contain the spirit of the city's founder, King Mangrai. The worship of a central pillar for fertility and protection was originally an animist practice of the indigenous Lawa people, a Mon-Khmer speaking group who occupied the region of Chiang Mai prior to the arrival of the Lanna kings, who were ethnically Thai. Lanna kings who came to rule in the region from the 13th century onwards adopted these indigenous Lawa beliefs and practices, transforming the pillar into a syncretic Hindu-Buddhist and animist symbol of their own political power and spiritual authority. Records show that the pillar of Chiang Mai was originally located at the compound of Wat Inthakhin, or Wat Sadue Mueang (the Navel of the City), but it was moved to Wat Chedi Luang by King Kawila circa 1800 as part of his restoration of Chiang Mai (Sanguan 1971:213). Since that time, annual rituals invoking the founder's spirit to ensure the continued well-being and prosperity of the city have been held at the Inthakhin Pillar, including elaborate offerings of food, flowers, candles, incense.

Yet another aspect of King Kawila's restoration was the city's relationship to the sacred mountain, Doi Suthep. According to the Chiang Mai Chronicle (Wyatt and Aroonrut 1998), Chiang Mai's founder, King Mangrai, chose the location for the "new city" first and foremost because of its proximity to the auspicious mountain of Doi Suthep. Doi Suthep is a watershed and the primary source of Chiang Mai's water supply. Water flowed from the mountain into the moated city and surrounding settlements via several tributaries and channels (Sarassawadee 2020). The beliefs and practices relating to Doi Suthep as a sacred mountain reflected a local understanding of its important role as the source of Chiang Mai's security and prosperity. Legends illustrate that local populations believed that Doi Suthep was inhabited by ancestral guardian spirits who protected the city's inhabitants and sustained its wealth and well-being (Swearer 2004, Tanabe 2000). The ritual complex relating to Doi Suthep mountain is syncretic, embodying both animist beliefs about the spirits of place and Theravada Buddhist beliefs. Annual rituals to appease the spirits of the mountain and religious pilgrimages to venerate the Buddha's relics at monasteries on the mountain can be broadly understood as a symbolic acknowledgement of the city's spiritual and material dependence on

Doi Suthep for its continuity, protection, and security. As Swearer (2004) states, “mountain and city are inextricably bound together and [...] their fates are mutually interdependent. This symbiosis depends on the fact that the mountain as a unique locus of the sacred, a special symbol of transcendence, is perceived as different from, yet essential to, the identity of the city (35).”

Thus, when King Kawila sought to restore Chiang Mai, he also sought to reaffirm the symbolic and material importance of Doi Suthep mountain, and the holy Buddha relic enshrined in a stupa by Chiang Mai's King Kue Na in 1383 CE. The Chiang Mai Chronicle tells us that in 1806, the king “made meritorious donations and built a vihara on the west side of Wat Doi Uesupabanphotagiri [Suthep] and erected a parasol at the holy reliquary of Suthep which he inaugurated and consecrated on the full-moon day of the sixth month, a Wednesday (21 February 1806) (Wyatt and Aroonrut 1998:257).” The king also built the main vihara on the east side of Doi Suthep mountain (Wyatt and Aroonrut 1998:260). These acts forged the connection between King Kawila and the sacred mountain, thus contributing to his legitimacy as ruler of Chiang Mai.

Through the first half of the 1800s, although formally under Siamese authority, King Kawila's successors were able to rule Chiang Mai semi-autonomously. This changed with the arrival of Western colonial interests in the region, specifically Britain and France. Seeking to protect their political and economic interests, King Chulalongkorn (r. 1868-1910) of the Chakri dynasty of Siam introduced major administrative and legal reforms which brought Chiang Mai and other tributary states under control of the Bangkok government. These reforms impacted all aspects of society in Lanna, as the system of debt bondage and traditional slavery was abolished, leaving local rulers without their laborers and conscripts (Penth 2004:138). Beginning in the 1880s, the Bangkok court also began to send resident royal commissioners to the north to manage the integration of Chiang Mai into the central administration. In 1892, the provinces were brought directly under the authority of the Ministry of the Interior, which introduced a hierarchical system of governance and taxation.<sup>1</sup>

As the Thai historian Sarassawadee (2005) has shown, the incorporation of Lanna into Siam transformed the local culture and political economy. “Local customs dating back hundreds of years came to an end. Lan Na was no longer able to direct its own destiny (2005:179).” While King Chulalongkorn sought to introduce reforms gradually to avoid conflict, the changes nonetheless led to various instances of revolt and resistance. Sarassawadee mentions the case of Lanna nobility asking spirit mediums to contact local tutelary spirits to demand the repeal of taxes and reforms (2005:185). Another rebellion took place in 1902, when over six hundred residents of Chiang Mai gathered at the district office with weapons to protest labor conscription to build roads (ibid:206).

Sarassawadee (2005) notes that these rebellions prompted the ruling authorities in Bangkok to implement further reforms in the areas of education, infrastructure, public health, religion, and communication, with the aim of assimilating the Lanna people and forging national unity. The introduction of the central Thai

language in schools and as the official language of the government led to the stigmatization of the local Lanna script and language. Furthermore, the 1902 Sangha Administration Act brought formerly independent northern Buddhist monasteries under the national ecclesiastical structure. Rather than learning their own Lanna history and traditional knowledge in the local Buddhist monasteries, young people were required to learn central Thai history and customs in state schools.

Many forms of Lanna's intangible heritage were stigmatized and marginalized during this period, including oral narratives, textiles, and other local crafts, as well as rituals involving beliefs about the spirits (particularly spirit mediumship rites), which were viewed as primitive and backwards. Moreover, during the era of hyper-nationalism under Field Marshall Phibulsongkram (1938-1944 and 1948-1957), cultural policies prohibited traditional northern attire and tattoos in favor of a more modest attire considered to be appropriate and modern (Pear 2020). Taken together, by the mid-twentieth century, these government policies promoting national unity and cultural homogeneity had already eroded much of Lanna's distinctive cultural identity.

Those practices that did continue—such as the annual ceremony to worship the Inthakhin pillar mentioned above—were significantly modified, with animist elements downplayed or removed. For instance, for the Inthakhin ceremony, in the past, the ceremony was organized by the Chiang Mai court, which called upon local Lanna chiefs and the populace to join in preparing offerings and performances to venerate the city pillar. Sanguan (1971) explains that historically the ceremony also included animal sacrifice and spirit mediumship rites to foretell the future of the city, but these aspects were abolished at the turn of the 20th century. In the 1960s, organization of the ceremony was taken over by the municipal government, and the aspects dealing with spirit mediumship were relegated to a different time and ritual space, at the northeast corner of the old city wall, called Jaeng Sri Phum. As stated by Tanabe, “The Inthakhin cult was redefined as a display of municipal authority within the modern nation-state (2000:308).”

### **Chiang Mai's Second Restoration: Cultural Resistance and the 700th Anniversary of Lanna**

As we saw above, during the early period of Chiang Mai's incorporation into the modern Thai nation-state, there were numerous instances of popular resistance to cultural assimilation. In addition, prolific local scholars such as Sanguan Chotisukharat sought to sustain local consciousness and pride of Lanna's unique cultural and historical identity through research and writing about Northern history and culture. Another prominent local citizen and activist, Mr. Kraisri Nimmanheimin, formed a network called Chomrom Lannakhadi (Lanna Studies group) and led a campaign to establish a regional university in the north, which could be an educational center of learning about Lanna culture.<sup>2</sup> Despite these early efforts, as the years went by, the socio-economic and educational reforms introduced by Bangkok had significant impacts and led to the erosion of Chiang Mai's language and culture among the broader populace.

As shown by Duongchan (2007), starting in the 1960s, the National and Economic Social Development Plans introduced major infrastructural and economic policies which transformed Chiang Mai's urban and social landscape. As part of the first economic plan, Chiang Mai was designated as a tourism destination, initiating the shift away from the agricultural sector to services. By the time of the fifth plan (1982-1986), the city was designated as the economic center for the northern region, leading to a massive influx of government investments in infrastructure. This was followed by a boom in property investment and business entrepreneurship, mostly by Thais from Bangkok.



Figure 3. The construction of Diamond Riverside Hotel in 1992, taken by Boonserm Satrapai. Source: Chiang Mai University, 2022.

It was during this economic boom period that local heritage revitalization and conservation initiatives began to gain momentum. One of the most important events was the local resistance movement against the building of a cable car up the sacred mountain of Doi Suthep in 1986, which was intended to encourage the commercial development of tourism. Scholars, citizens, students, and members of the Buddhist clergy protested the proposal, arguing that the cable car represented a violation of the sacred space and symbolism of the mountain in the hearts of Chiang Mai people (Swearer 2004:33; Duongchan 2007:363). As Duongchan notes, as part of their protest, monks and local citizens joined together in a Buddhist ritual at the Three Kings monument in the center of Chiang Mai, asserting the sacred status of the mountain and calling for the rejection of the cable car proposal. This was the first instance where ritual was used explicitly as a mechanism to unify the Chiang Mai populace in opposition to developments led by outsiders. Another example of ritual as resistance was the opposition to the construction of high-rise buildings near the Ping River. In this case, rituals to curse those who had built the structures were performed using the ashes of the deceased (Duongchan 2007:364).

Around the same time that civil society networks were leading protest movements against unsustainable development, faculty at the Department of Fine Arts at Chiang Mai University (CMU) were beginning to study and revitalize Lanna intangible cultural heritage, including crafts such as textiles, folk music, lacquerware, and ritual traditions related to spirit of the city, such as the Inthakhin ceremony described earlier. Through the reinvention of elaborate annual ceremonies and traditions, the Department of Fine Arts contributed to the growing visibility and mainstream popularity of Lanna culture among both locals and tourists, while younger generations of students at CMU began to learn about and value their local culture and history.

Another major turning point in the revival of Chiang Mai's intangible cultural heritage was the 700-year anniversary of the founding of the city, which took place in 1996. For this event, the Chomrom Lannakhadi (Lanna Studies group) organized the revival of a ceremony to prolong the life of the city (*seub duang mueang*) based on historical records describing the ritual as it was performed during Chiang Mai's Golden Age (1445-1565 CE). They also spearheaded the recension of the Chiang Mai Chronicle and its translation into English, thus contributing to a wider understanding and appreciation of Lanna's history (Duongchan 2007:361).

In the years following the 700-year anniversary of Chiang Mai, numerous clubs, community organizations and networks dedicated to the study and revival of Lanna history and cultural heritage were established. One particularly important community-based network that developed during this period was the Lanna Wisdom School. Founded in 2000 by Chatchawan Thongdeelert as a center for the transmission and innovation of traditional Lanna crafts, performing arts and other forms of local knowledge, the Lanna Wisdom School has contributed to the revival of Lanna intangible heritage by organizing cultural activities and training thousands of youths (Kemasingki 2011).

In the next section, this article presents a discussion of two recent initiatives to revitalize Chiang Mai's intangible cultural heritage: the *Tham Phang Pa Teet Song Fah Huksa Muang* ritual and the *Yor Suai Wai Sa Phraya Mangrai* ritual.

### **Intangible Culture and Chiang Mai's Urban Revival: Examining the Role of City Rituals**

As described in the previous section, from the 1960s onwards, Chiang Mai was incorporated into a system of national economic and social development plans which promoted urban development, tourism, and land use planning. Numerous mega-scale projects proposed by the central government during the 1980s prompted the formation of local opposition groups which sought to protect the city and the local environment from inappropriate and potentially damaging development projects. According to Chayan Vaddhanaphuti, these local opposition groups have continued to grow into a local civil society network aimed at protecting and conserving the unique character and history of Chiang Mai (Suwaree 2020:16). Today, this network includes academics from local universities, independent scholars, and civil society groups, who all collaborate to resist the state's development plans when necessary and to shape Chiang Mai's future (Suwaree et al. 2021).

Many aspects of local culture were negatively impacted by the rapid growth of tourism in Chiang Mai following the launch of the Amazing Thailand national policy in the late 1990s. For example, the growth of tourism led to the mass release of floating lanterns (called *khom fai* or *khom loi*) during the Loy Krathong or Full Moon Festival held in November. These lanterns created pollution and were a fire hazard to the local community. The growth of tourism also led to the emergence of late-night pubs and bars within Chiang Mai Old Town, which at that time did not have any clear regulations. In 2010, Saowakhon Sriboonreuang<sup>3</sup> began to mobilize affected communities to file complaints with the municipality office, asking the authorities to manage inappropriate behavior and to assess the impact caused by the lanterns which caused damage and affected the safety of the community. One year later, local communities extended their civil society network of Muang Rak Chiang Mai Community, bringing together thirteen communities in the old city. The network concluded that sustainable solutions could not be found by demanding local authorities to fix the problems. Rather, the local network should lead by example by demonstrating Lanna identity and the correct observance of traditional culture.

With this goal of modeling traditional Lanna culture in mind, in 2012, the Muang Rak Chiang Mai Community Network, together with the Thai Health Promotion Foundation, launched a local traditional event called *Tham Phang Pa Teet Song Fah Huksa Muang*, which translates as “candle-lighting on the full moon to protect our city.” The event was launched in collaboration with schools in the Chiang Mai Old City to light candles around the old city as a campaign to demonstrate traditional Lanna cultural practices during the Loy Krathong Festival and to refrain from releasing fire lanterns.



Figure 4. Tham Phang Pa Teet Song Fah Huksa Muang ritual in 2018. Source: Muang Rak Chiang Mai Community, 2018.

Following the success of the candle-lighting event, during the Lanna New Year or Songkran Festival in April 2013, the Muang Rak Chiang Mai Community Network launched the *Yor Suay Wai Sa Phaya Mangrai*, or “Paying Respects to King Mangrai” ritual as a method of demonstrating Lanna culture and continuing the campaign against inappropriate practices. In contrast to the rowdy events organized for tourists, this event showcased local traditional practices to celebrate the New Year, including offerings of food and a fingernail dance performance for the spirit of the city's founder, King Mangrai. The core idea was to revive local traditions and transmit local knowledge to younger generations by supporting the collaboration between the Muang Rak Chiang Mai Community Network, schools with Lanna wisdom programs, and the Chiang Mai Municipal Office.

The *Yor Suai Wai Sa Phaya Mangrai* event usually takes place over the course of two days, starting on April 11 as *Wan Da*, or the preparation day, when local communities and volunteers help prepare foods, make decorative ornaments, and practice fingernail dancing. *Wan Da* is the day that faithful community members come together to join in making merit through donating ingredients or offering their help to prepare ritual ornaments such as cutting traditional flags (called *tung*), making flower arrangements, and preparing ritual offerings from betel nut, bamboo, flowers, and beeswax.

The offerings for worship are also prepared on *Wan Da*, such as desserts made from rice flour, coconut, sugarcane, sesame, and vegetable oil wrapped with banana leaf. The process of preparing these items requires raw ingredients and manpower, and it relies on the cooperation between the elderly who act as instructors for the younger people and children who help with the process. *Wan Da* is very important in terms of the cooperation between various groups of people of different ages, as it fosters the organic intergenerational exchange and transmission of traditional knowledge. The Muang Rak Chiang Mai Community Network sees this importance and it is determined to organize the *Wan Da* event every year at the site of the former Chiang Mai City Hall. The location of the event is significant because the Chiang Mai City Hall now serves as the Chiang Mai Cultural Museum—a public area in the heart of Chiang Mai's Old City which embodies the history and political importance of the Lanna kingdom.



Figure 5. The *Yor Suai Wai Sa Phaya Mangrai* event. Source: Chiang Mai City Heritage Centre, 2022.

The *Yor Suay* ritual day takes place on April 12, which is believed to be the date that Chiang Mai was founded by King Mangrai. The placement of the offerings is determined by local ritual experts, who are themselves associated by lineage with the ancestral spirits of the city. These ritual experts play the important role of guiding the local community networks in traditional Lanna ritual practices.

The procession of dancers, musical instruments and ritual offerings from community representatives are prepared and presented to the local authorities who preside over the ritual. Each year, the procession route is designed differently as appropriate, usually starting from Chang Phueak in the north, which is considered as an auspicious direction, or starting from Tha Phae Gate in the east and passing through the old city axis. When the procession arrives at the Three Kings Monument, where the annual event takes place, there will be representatives from local authorities and community leaders waiting to receive the offerings. Local religious and ritual experts then begin the religious ceremonies which combine Lanna beliefs and Buddhism, such as poetry in the Lanna dialect and Dharma preaching. The ceremony is led by a local ritual specialist who was once ordained as a monk.

After the religious ceremony, participants place a flower bouquet made of banana leaf and domestic flowers. After the flower bouquet offering, there will be performances of Lanna arts, such as a Lanna drum performance, sword fighting, free hand dance, and a bird dance. The community network of Rak Lanna has been cooperating with the Lanna Wisdom School and Lanna performing arts groups throughout Chiang Mai to preserve and transfer knowledge of Lanna traditional performances to the new generation.

According to the secretary of the Muang Rak Chiang Mai Community Network, Saowakhon Sriboonreuang, both Yor Suay Wai Sa Phaya Mangrai and Tham Phang Pa Teet Song Fah Haksa Muang are reinvented rituals based on traditional beliefs and practices. Even though they are relatively new rituals, both events draw upon traditional Lanna beliefs and practices about the spirits of the city, but the communities created them with the aim of addressing current issues. The community faced many trials and errors in terms of ceremony management and ritual procedures, especially for the Yor Suay event that required preparation of offerings for the founding spirits of the city, which needed to be prepared differently from the spirits of ancestors of ordinary people.

Reflecting on the last ten years of ritual activities organized by the Muang Rak Chiang Mai Community Network, there are four important lessons learned about how the revitalization of intangible cultural heritage has contributed to Chiang Mai's urban renewal:

- 1) The revitalization of intangible heritage has strengthened local collaboration between sectors, including urban communities, educational agencies, academic networks, and local authorities, such as the Chiang Mai Municipality and Chiang Mai Provincial Administrative Organization, which have provided support and funds since 2014.
- 2) The revitalization of Chiang Mai's intangible heritage has led to the transmission of cultural knowledge between urban and suburban areas. The most obvious indicator of increased transmission is the number of fingernail dancers which increased from 150 participants in 2014 to 850 people in 2019. Cultural transmission has been intergenerational, and the dance training program organized by Muang

Rak Chiang Mai Community Network includes eighteen groups of dancers across Chiang Mai ranging from 5 to 70 years old. Furthermore, through their participation in the preparation of offerings for the ceremonies and performances by local experts of Lanna culture at the Three Kings Monument, residents have had an opportunity to learn more about their own intangible heritage and to convey these cultural values to the public.

3) Funding and grant management has a clear management structure in the form of a network committee. Moreover, the transparent use of the budget contributes to a sense of shared ownership and trust regarding the use of funds.

4) The cultural events present an opportunity for innovations in crafts and local architectural design, applying local wisdom in the field of crafts to convey the meaning of Lanna culture differently each year. The community network of Muang Rak Chiang Mai works with designers and academics to work with handicraft artisans from various communities and to help support the local economy across Chiang Mai, such as wicker works from Mae Chaem District and pottery crafts from Hang Dong District.

In addition to these positive outcomes of ritual revival, there have also been significant challenges. One major issue has to do with the government support for community-based rituals. The process of securing government funding is quite complex, and moreover, it is unstable and inconsistent. This financial uncertainty leaves the community and network of organizers in a vulnerable position each year, as they frequently must make up budget shortages through fundraising or adapt activities according to a more limited budget. Despite this, the community organizers of the events are determined to hold the rituals every year, as they express Chiang Mai's community solidarity and commitment to sustain Lanna's distinctive intangible culture in the face of various threats.

### Conclusion: Intangible Cultural Heritage as a Source of Chiang Mai's Urban Resilience & Revival

As this article has shown, intangible cultural heritage has been at the heart of Chiang Mai's urban identity and its resilience in the face of numerous threats. Since its establishment in the 13th century, Chiang Mai's identity has been reaffirmed through ritual practices and performances which propitiate the spirits of the city and the surrounding sacred natural landscape. Through a discussion of historical sources, the first section of this article demonstrated how ritual and festive events were part of the renewal of the city after a period of decline and occupation by the Burmese. When King Kawila reclaimed Chiang Mai from the Burmese in the 18th century, a key focus of his restoration of Chiang Mai was the revival of intangible cultural heritage—particularly rituals associated with the founder's spirit and the sacred mountain of Doi Suthep.

In the second section, we showed how Chiang Mai's incorporation into the modern Thai nation-state from the early 20th century onwards represented yet another threat to the city's continuity—that of cultural assimilation and political domina-

tion by the central Thai government in Bangkok. Indeed, by the mid-twentieth century, government policies promoting national unity and cultural homogeneity had already eroded much of Lanna's distinctive cultural identity, in part by restricting the Chiang Mai dialect and disparaging ritual practices associated with the spirits of the city. Following the economic boom period of the 1980s, however, a local resistance movement began to take shape around protecting and revitalizing Chiang Mai's unique urban culture. To foster collective action among various local groups, the movement's leaders drew upon intangible cultural heritage, specifically the beliefs, performances, traditions, and ritual practices associated with the spirits of place and Chiang Mai's founder, King Mangrai. Today, this intangible cultural heritage continues to contribute to the resilience and continuity of Chiang Mai's urban identity.

### Endnotes

- 1 The last vassal king of Chiang Mai was Cao Kaeo Naowarat, who passed away in 1939.
- 2 Chiang Mai University was officially established in 1964.
- 3 Saowakhon Sriboonreuang is a community organizer and Secretary of the Muang Rak Chiang Mai Community Network.

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# Articles

# Effects of Cultural Processes on Heterotopic Spaces:

*The Case of Bomonti, Istanbul*

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## Abstract

The cultural change model covers the cultural change processes and their effects on different spaces in the urban environment. Cultural processes constitute cultural change and may in turn alter the lifestyle of individual human beings and societies. The cultural change model for heterotopic spaces proposes that heterotopic spaces and their close environment physically change by the cultural processes that are taking place in the related society. A case study was conducted in the Bomonti region to obtain the cultural changes and their relations and effects on heterotopic spaces. The Bomonti beer factory which is defined as a heterotopic space in the region that functioned as cultural and recreational facilities, is the focus of this article. In 2015, the Bomonti Brewery was transformed into Bomontiada, which is a creative culture campus. A cultural change model based on observations were used in this case study at Bomontiada.

**Keywords:** *Heterotopia, Heterotopic Spaces, Cultural Processes, Cultural Change*

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## Introduction

In order to search the connections of heterotopic spaces and cultural change processes, this study describes the effects of cultural processes on heterotopic spaces and evaluates the physical changes in these spaces as well as the social interactions of users with these spaces. The interactions of cultural processes with the components of heterotopic spaces and their environment are covered by the cultural change model for heterotopic spaces. The article describes the cultural processes that have an impact on the transformation of heterotopic places and their immediate surroundings.

Cultural processes defined as “the manner in which ethnic and social values are transmitted across generations and modified by the influences prevailing over each” (American Psych. Assoc.), or “the procedure wherein ethnic and cultural traditions are conveyed spanning generations and changed by the impacts continuing to effect each” (Psych. Dict.) in the dictionaries. Moore (1954) considered only diachronic evolution when he wrote that “processes of a culture include not only changes in particular categories of the culture but also changes in the relationships between categories and between individuals performing the roles suited to the activity associated with each category.” Cultural change is defined as “Changes in ideas, norms, and behaviors of a group of people (or changes in the contents or themes of their products reflecting such changes), over time, typically on the scale of decades or centuries” (Varnum & Grossmann, 2017). Cultural change model proposes that “human-made environment is changed in accordance with cultural processes which have been occurring in the related society” (Hacıhasanoğlu & Hacıhasanoğlu, 1997). Definition of heterotopic spaces/places Heterotopias are closely linked to concerns about time, notably time intervals, breaks, accumulations and transitions. Between the eternal and the temporary, heterotopic spaces refer to temporal formations in different contexts (Toprak & Unlu, 2015).

The case study examines cultural changes in the Bomonti neighborhood of Istanbul, Turkey in order to build a cultural change model for heterotopic settings in relation to settlements, daily life of people and their spaces, their subsystems, and the effects of cultural processes on these components. The Bomonti district was chosen as a representative location because it is an ideal location for comprehending how heterotopic spaces change. The case study of the connection between cultural processes and heterotopic spaces is Bomontiada, a former brewery that has been transformed into a venue for cultural and social interaction. The heterotopian spaces function according to a dual logic; either they have perfected environments that are more logical and well-organized than typical spaces, or they are genuine spaces that reveal reality to be an illusion (Boyer, 2008). The article looks to see if Bomontiada reflects the double logic of heterotopic spaces.

Sohn (2008) recognized the idea of heterogeneity as it covered "otherness." Its definition is based on traits as opposed to the meanings of uniformity, and homogeneity. According to Shane's (2005) heterotopia theory, which is focused on urban systems and their fragmentation of change in modern cities, heterotopias are particular locations inside cities where processes of change and hybridization are promoted. Three main types of heterotopia are described by Shane (2005) in the context of modern cities. The first one is associated with standard building

types of the city and hides the agents of changes; the second type about changes in a highly controlled environment and building types in which relationship with members of society restructured a new order that may transform society like universities, clinics, hospitals, courthouses, prisons, barracks, boarding schools, colonial towns and factories; the third type of heterotopic urban places is regarding change fostering places and spaces those also have creativity, chaos, imagination like formal and informal institutional markets, bazaars, shopping arcades, department stores, atria, malls, mega-malls, stock exchanges, casinos, hotels, motels, cinemas, theaters, museums, fairgrounds, universal exhibitions, theme parks, spas and gyms. Although many studies have been conducted in heterotopic settings, there are still no established links between cultural processes and these settings. This study's research was primarily concerned with cultural processes and how they affect heterotopic settings.

The research study asks the following research question: "If there is a relationship between "modes of cultural changes" and heterotopic spaces in contemporary urban places – spaces related to settlements, people's daily lives and their spaces, their subsystems, and the effects of cultural processes on these components in the specific cultures and their physical environment? A methodology has been developed in this study to evaluate the interaction between the "cultural change model," change theories, and approaches about heterotopic places and spaces, particularly specific building types in the contemporary urban environment, in order to find the answers to this question. The next section, which focuses on the cultural change model with particular relevance to heterotopia, evaluates cultural changes and how they interact with heterotopia.

### **Model of Cultural Change with Particular Reference to Heterotopia**

Cultural issues are seen by social and cultural anthropologists as distinct continuities and enduring phenomena. This type of phenomena is referred to as a "process" (Guvenc, 1972). The cultural processes are globally applicable abstract ideas. However, it is impossible to avoid acquiring various spatial shapes associated with cultural processes. According to Guvenc (1972), Berry (1980), and Hacıhasanoğlu & Hacıhasanoğlu (2007), the following cultural changes have occurred:

1. Enculturation
2. Cultural diffusion
3. Acculturation
4. Culturation
5. Culture shock
6. Transculturation
7. Cultural assimilation
8. Deculturation
9. Cultural change

Enculturation is defined as "conscious or unconscious conditioning of a human being, infant or adult, during his or her education and gaining activities in his or her own culture" by Guvenc (1972). Enculturation methods place a strong empha-

sis on education and learning and include knowledge of lifestyle, customs and habits, behaviors, mentality, and spatial usage. Enculturation results in transformed cognitive systems (Menary & Gillett, 2022). Cultural diffusion is related concerning the occurrence of explorations, inventions and cultural developments within a certain region and society at a definite time. Briefly, cultural diffusion refers to the appropriation of equipment from other civilizations as it is, or their adaptation with some modifications (Hacihasanoglu & Hacihasanoglu, 2007). Many new kinds of equipment in all types of spaces, including heterotopic spaces, which are the products of high technology, have been diffused to all countries from the societies of origin. Guvenc (1972) described acculturation as the incorporation of individuals or groups from different cultures to a definite culture with the moral and physical objects obtained by the cultural diffusion processes and the exchange of each other (cultures) due to interaction between them. Berry et al. (2006) define acculturation as the general process of intercultural contacts and their results. Heterotopic space encourages opportunities for those who have immigrated and resettled “to establish themselves in their new community, restore mind and body, develop friendships and new skills” (Hall and Huyskens, 2002). Bevilacqua (2107) suggests that the heterotopic spaces for their function in all human societies are associated with imagination, actually collective and cultural imagination, culturally associated to specific situations. In order to create a new synthesis missing in primary cultures and sub-cultures, groups or individuals representing various civilizations or specific sub-cultures of a known society must come together and interact. This process is called as “culturation” (Guvenc, 1972). The establishment of a new lifestyle and behaviors for squatters that occurs upon the meeting of rural and urban cultures in urban areas seems to be an important example (Hacihasanoglu & Hacihasanoglu, 2007). It is impossible to pinpoint the effects of ethnic groups' way of life during the process of society's culturation.

Guvenc (1972) described culture shock as the difficulties, problems, and depressions that people who are transitioning from one culture to another experience during the period of adaptation and in response to the behavior they exhibit. Immigrants who try to adapt themselves to the identity of a new place and have some problems of adaptation can be considered a good example of cultural shock processes (Hacihasanoglu & Hacihasanoglu, 2007). When members of one culture are forcibly modified by another, this is known as transculturation. The concept of transculturation was identified through the post-modern interpretation of “native” behavior and belief systems to counter Eurocentric interpretations (Kirwin, 2000). Transculturation can simply describe changes brought about in one culture by the introduction of cultural elements from another culture. The hallmark of cultural assimilation is accumulating similarities to another cultural system or to oneself, as well as that system's dominance (Guvenc, 1972). Even if a direct reflection of the cultural assimilation process has not been observed in the spatial formation of houses, the spaces, the equipment, the use of technology and the behaviors are universally influenced by contemporary means of technology and global effects of international companies. But cultural assimilation also handled as “integration of an ethnic minority population into mainstream society in the form of social, economic, and political issues (Mukherji, 2005). Deculturation is defined by Berry

(1984) as a pattern that “occurs when a group’s culture is not maintained and when there is no participation in the affairs of the dominant group.” As a result of the deculturation process, it can be said that groups with social and cultural differences are together in heterotopic spaces and the effect that brings them together is the heterotopic structure of the space.

Cultural change, which is recognized as the outcome of the aforementioned processes, can be described as either a complete metamorphosis of society or a partial transformation with modifications in some organizations and institutions, as well as in lifestyles. “The evolution of cultures takes part in the historical evaluation which occurs as a result of experiences transferred from one generation to another” (Wells, 1971). Different types of structures and urban environments are influenced by cultural processes. According to lifestyles determined by acculturation, cultivation, and cultural assimilation processes, the utilization and layouts of urban spaces and various building types vary across different countries (Hacıhasanoglu & Hacıhasanoglu, 2007). The heterotopic spaces, such as old buildings that have been renovated for modern use, are likewise affected by these shifts. Today’s advancements in telecommunications technology make it possible to quickly spread the goods and ways of life that are popular in industrialized nations around the world. Figure 1 lists the properties of heterotopic regions in relation to cultural processes and their consequences on societies, physical surroundings, and interactions with them.

Complex interrelationships between individuals in various social environments produce and preserve place attributes and have the capacity to link them to a wide range of other locations and times in unanticipated and dynamic ways (Borup, 2014). Time, time intervals, breaks, accumulations, and transitions are issues in heterotopias. Temporary and permanent references to heterotopic areas are made to temporal formations in various settings. There is no single, universal definition of a heterotopia, its purposes might vary, and heterotopias can bring together disparate, incompatible locations, according to one of the principles of heterotopias listed in Foucault’s highly contentious book “of Other Spaces” (Toprak & Unlu, 2015). There are four principles of heterotopias, according to Foucault (1967). The first tenet is that “probably no culture in the world does not constitute heterotopias.” According to the second tenet of heterotopias, “a society can make an existing heterotopia function in a completely different form as its history unfolds.” The third principle is that heterotopia is capable of juxtaposing many locations and sites that are mutually incompatible in a single physical location. The fourth principle is that heterotopias most frequently open onto what can be referred to as heterochrony for the purposes of symmetry. Perhaps time makes heterotopia easier to spot than space does. De Cauter and Dehaena (2008) claim that it is not just space but also a relationship between time and space. Multiple temporalities are defined by heterochrony in a single location (Toprak & Unlu, 2015). Heterochrony can define urban places on smaller or larger sizes, gathering numerous morphological and socio-cultural records of time in addition to architectural interpretations, such as libraries and museums.

In metropolitan settings, user life experiences coexist with historical allusions. In this manner, the urban sphere as heterochrony can support Foucault's claim that urban spaces are heterocronies that provide quick access to knowledge on the cultural traits of those who inhabit them. Information is compiled and provided quickly in museums, libraries, and other public building types and locations. The fact that locations like a library, a museum, a circus, or a farmers' market attract regular strollers, readers, contemplators, chatters, and shoppers does not, however, diminish the everydayness of the heterochronic environment. A museum exhibits an accumulation of historical traces through time, but a two-sided experience of urban space as heterochrony creates a bridge between accumulation/deletion of historical traces through time and commonplace "situations" involving cultural and social changes. This is accomplished by creating an experiential space through which various indicators of time accumulation can find a place for themselves (Toprak & Unlu, 2015). Figure 1 lists the fundamental elements of heterotopia, along with examples from Foucault and other experts

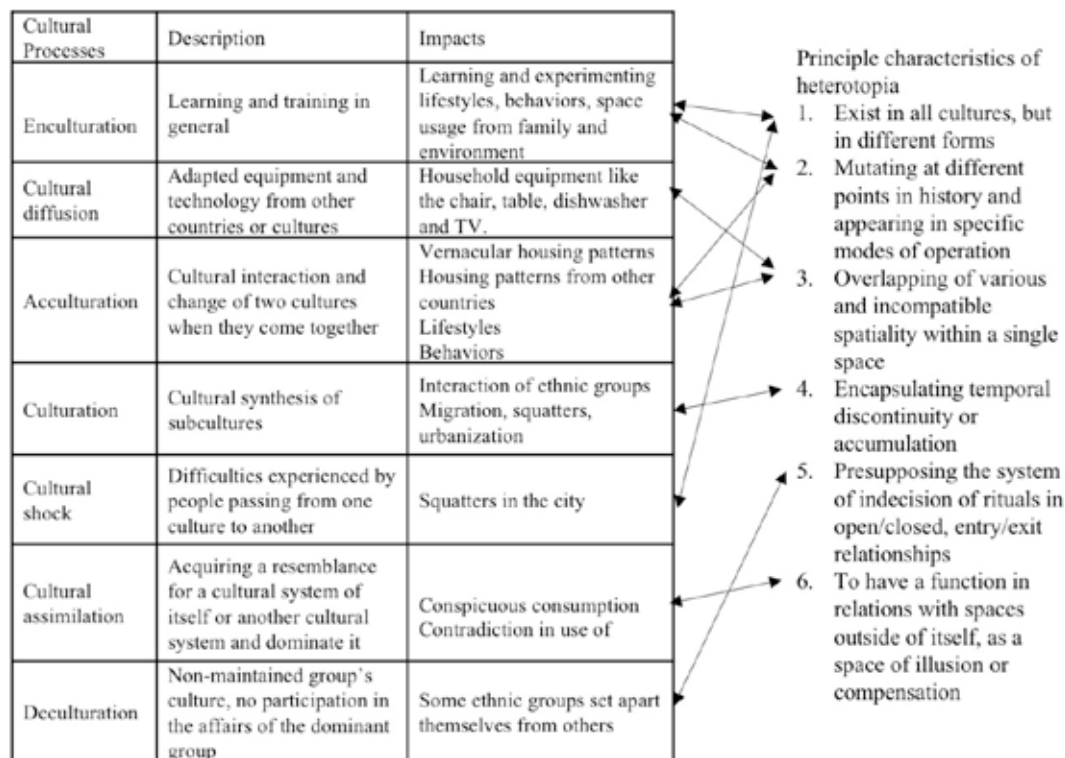


Figure 1. Interaction between cultural processes, their effects and heterotopic spaces.

Heterotopia is pervasive in our modern metropolitan life. Museums, theme parks, shopping centers, vacation resorts, spa hotels, and festival markets make up the increasingly "heterotopian" metropolis. Indeed, heterotopia has grown to be highly prominent in our society (Dehaene & De Caute, 2008). Cultural practices physically alter urban environments. This physical transformation results in a metamorphosis in how urban areas are used, how different building types are used, and how they interact with one another. Settlement types and lifestyle patterns are

impacted by acculturation processes at specific times and locations. The physical environment of this area is changed by ongoing acculturation and culture processes, which also shape and alter housing patterns as a result of lifestyles and activities (Hacıhasanoğlu & Hacıhasanoğlu, 2007). Figure 1 lists the interactions between cultural processes, their effects, and heterotopic spaces in light of these indications. The relationship between the key elements of heterotopia and the examples of a location and a building provided by Foucault and other scholars is shown as a matrix in Figure 2.

<b>Principle characteristics of Heterotopia</b>	<b>Examples given by Foucault</b>	<b>Other Examples</b>	<b>Heterotopic space classification of</b>
1. Exist in all cultures, but in different forms	Spaces of pre-modern crisis and spaces of deviations		<b>Standard building types</b> (Shane, 2005)
2. Mutating at different points in history and appearing in specific modes of operation	Cemeteries	Cemetery (Clements, 2017)	<b>Spaces related to religion</b>
3. Overlapping of various and incompatible spatiality within a single space	Cinema, theater, museums and libraries, gardens, primitive villages	Festival markets, street markets, theme parks, malls, holiday resorts, wellness hotels  Open markets, grocery stores, some local dining facilities, pedestrian malls, and the port, the main gateway (Shondell Miller & Chtouris, 2017)	<b>Spaces of overlapping spatiality</b> <b>Trade-shopping</b> institutional markets, bazaars, shopping arcades, department stores, atria, malls, megamalls and stock exchanges (Shane, 2005) <b>Recreational</b> casinos, fairgrounds, universal exhibitions, theme parks (Shane, 2005) <b>Accommodation</b> (hotels, motels) <b>Cultural</b> theaters, museums, cinemas (Shane, 2005)
4. Encapsulating temporal discontinuity or accumulation	Museums and libraries,	Hospitals (Street & Coleman, 2012)	<b>Institutional spaces</b> universities, clinics, hospitals, courthouses, boarding schools, and factories (Shane, 2005)
5. Presupposing the system of indecision of rituals in open/closed, entry/exit relationships	Prisons, baths, saunas	Gated housing, residences	<b>Spaces of restrictive organization</b> prisons, barracks, spas, and gyms (Shane, 2005)
6. To have a function in relations with spaces outside of itself, as a space of illusion or compensation	Puritan and Jewish Colonies		<b>Colonial spaces</b> colonial towns

Figure 2. Principle characteristics of heterotopia/examples given by Foucault/other examples.

It had been possible to be defined some interactions between the cultural processes and their impacts on the heterotopic spaces when Figure 1 and Figure 2 are examined together. Enculturation learning and experimenting lifestyles, behaviors, space usage from family and environment affected the heterotopic spaces of

pre-modern crisis and spaces of deviations, cinema, theater, gardens, museums and libraries. Culturation is defined as the cultural synthesis of subcultures and relates as a cultural process with the interaction of ethnic groups, migration, squatters, and the heterotopic space characteristics of spaces of pre-modern crisis and spaces of deviations, examples of the building types are cinema, theater, gardens, museums and libraries. The cultural shock process as the difficulties experienced by people passing from one culture to another has interactions with squatters in the city and the spaces of deviations as heterotopic spaces. Cultural assimilation acquiring a resemblance for a cultural system of itself or another cultural system and dominate it. Conspicuous consumption and contradiction in the use of equipment as the reflections of cultural assimilation may have interaction with spaces of deviations, cultural facilities like cinema and theater spaces. Deculturation, which is defined as the cultural processes of the group that differs from the activities of the dominant group, occurs in heterotopic spaces, in villages, colonial settlements and the ethnic groups themselves from others.

### **The Evaluation Method of Impacts of Cultural Changes on Heterotopic Spaces**

The methodology of this study uses many classifications of urban and building spaces from various building types to try to find the relationship with cultural change processes and distinct heterotopic spaces. The suggested approach looks for a fundamental classification of heterotopic spaces in order to determine how these spaces interact with cultural processes. According to Foucault's "spaces of pre-modern crisis and spaces of deviations," the classification of heterotopic spaces begins with "typical building forms of the city." Cemeteries are an example of the second category of heterotopic spaces, "spaces of connected with religion," which according to Foucault's theories are about "mutating at different points in history and appearing in distinct modes of operation." The third category of heterotopic spaces, "spaces of overlapping spatiality," is divided into four subcategories: "trade-shopping," which includes institutional markets, bazaars, shopping arcades, department stores, atria, malls, and mega-malls; "recreational," which includes casinos, fairgrounds, universal exhibitions, and theme parks; "accommodation," which includes hotels and motels; and "cultural," which includes theaters, museums, and cinemas. Institutional spaces are the name given to the fourth category of heterotopic space, which is related to "encapsulating temporal discontinuity or accumulation." The fourth category of heterotopic urban places relates to places and spaces that foster change and also have creativity, chaos, and imagination, such as formal and informal institutional markets, bazaars, shopping arcades, department stores, atria, malls, mega-malls, stock exchanges, casinos, hotels, motels, cinemas, theaters, museums, fairgrounds, universal exhibitions, theme parks. Hospitals are used as examples of heterotopic environments by Street and Coleman (2012). Open markets, grocery stores, several local eateries, pedestrian malls, and the harbor, which serves as the major entrance (Shondell Miller & Chtouris, 2017). In his work on Highgate Cemetery, Clements (2017) provided an example of a cemetery as a heterotopic site.

Processes	Characteristics of Heterochronic Spaces	Space Classification								
		Standard environment and building types	Controlled environment and building types				Formal and informal institutions			
		Standard building types	Houses	Trade-sopping	Recreational	Accommodation	Cultural	Institutional	Prisons, barracks, spas, gyms,	Colonial towns
Enculturation	Spaces of pre-modern crisis and spaces of deviations, Cinema, theater, gardens, museums and libraries									
Cultural diffusion	Spaces of pre-modern crisis and spaces of deviations, Cinema, theater, gardens, museums and libraries, primitive villages,									
Acculturation	Spaces of pre-modern crisis and spaces of deviations,									
Culturation	Spaces of pre-modern crisis and spaces of deviations, Cinema, theater, gardens, museums and libraries,									
Culture Shock	Spaces of deviations									
Trans-culturation	Spaces of deviations, Cinema, theater,									
Deculturation	Primitive villages, Puritan and Jewish Colonies									
Cultural Change										

Figure 3. Relation between types and characteristics of heterochronic spaces and cultural processes.

In this research, a strategy based on 3-phase interaction networks is proposed. The results of an investigation into the interactions of cultural change processes, as outlined in the first phase of the approach and assessed with theoretical and practical investigations on heterotopic areas, are depicted in Figure 1. In the second stage, Foucault and other scholars who advanced the fundamental idea of heterotopia for the space-place and building types examined the characteristics of heterotopic spaces reflecting these aspects on building-ground space examples and their classification. Figure 2 displays the study's findings. The interconnections between the space-place, building classification, and cultural change processes, as described in the first two phases and illustrated in Figures 2 and 3, as well as whether the cultural processes had an impact on various building kinds, were disclosed in the third phase of this study. Thus, the primary inquiry in the research is: "Is there a relationship between "modes of cultural changes" and heterotopic spaces in contemporary urban places – spaces associated with settlements, people's daily lives and their spaces, their subsystems, and the effects of cultural processes on these components in the specific cultures and their physical environment? The Tables created at the conclusion of a three-phase investigation include

the solution. When a field study is undertaken, the responses may alter depending on the building types used as examples from one region to the next, hence different heterotopic ground-space building sample field studies may yield different results. Consequently, site-specific outcomes will be decided by observations in the case study site in various days and period of time in those days about the places usage and the number of people used the spaces in these various time periods.

### Case Study of Bomontiada

This paper looked at typical instances from Istanbul's Bomonti region, which is a useful case study for assessing cultural changes in many ways because it includes a variety of residential and commercial structures. The linkages between cultural processes and the physical changes in the Bomonti district were assessed using a descriptive methodology. Different scholars and authors have observed physical changes that have developed through time in Bomonti; these have been analyzed in concert, and this study describes the connections between physical changes and cultural processes.

The Pera districts of Istanbul were heavily influenced by western civilizations in the 17th and 18th centuries, and neighboring Sisli thereafter started to adopt western ways of living as a result (Hacihasanoglu & Hacihasanoglu, 2007). Starting in the 17th century, Istanbul began to experience the first real effects of westernization. However, after the constitutional reforms of 1839, European culture – particularly French culture – as well as bourgeois morality and dining customs broadly started to permeate the homes of elite members of Istanbul's bureaucracy and commerce (Bozdogan, 2002). The earliest records of this procedure in Sisli date from the late nineteenth and early twentieth centuries. Pera was Istanbul's first fully westernized neighborhood, whereas Sisli wasn't really impacted until the 20th century. The western cultures' impact on the Ottoman Empire is where the history of the Sisli and Bomonti districts began (Sisli, 1987). The oldest areas of this region were Tatavla and Pangalti, which can be seen on the Sisli map in Figures 4 and 5. The Harbiye (Army School), Tesvikiye Mosque, and Notre Dame de Sion French High School were notable regional structures that had been impacted by recent developments in two special districts that were geographically closer to Pera. The lifestyles and education of young people in Istanbul have been greatly influenced by the numerous schools owned and run by foreign (often non-muslim) legations, particularly during the late Ottoman Empire and early Republican periods. Therefore, the impact of westernization through enculturation processes has resulted in these schools and their ideologies.

Bomonti was a sparsely inhabited, agricultural, and close-knit community until the mid-1800s. In Mecidiyekoy and Sisli, there were typically gardens and vineyards to be found. Levantines and non-Muslims transmigrated in the masonry structures around the Harbiye area after the Beyoglu Fire of 1870. Along with affluent foreigners and members of minority groups, Ottoman pashas and senior commanders also relocated to Sisli in the 1890s and ordered the construction of palaces with gardens. Additionally, the prominent institution Sisli Etfal Hospital was established at this time (Bayazitoglu, 2018). The first horsecar tram trip between Taksim and Sisli was made in 1881, although transportation was made simpler by the introduction of the electric tramway. It simultaneously enabled quick

development and accelerated the district's centralization process. Between 1910 and 1920, the first apartment buildings in Sisli developed on Halaskargazi Avenue (Bayazitoglu, 2018). Access for Sisli to Bomonti became simpler with the tramway's help; also, economic connections and the industrialization process accelerated. According to legends, there were beer gardens at Pangalti and Bomonti at the start of the 20th century, and this is where people congregated. A sort of lush green field filled with young people of all ages, all ages, nicely arranged wooden tables of all ages having picnic, everyone is making different cuisines and sharing these meals.



Figure 4. Bomonti District and Bomontiada in Istanbul Aerial Photo.

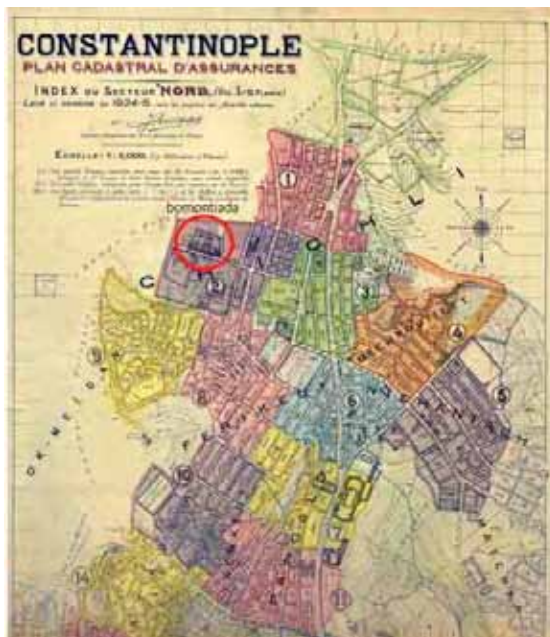


Figure 5. Bomonti District, Sisli, Pangalti, Ferikoy and Tatavla relations in Pervititch Map (Istanbul: The Insurance Maps of Jacques Pervititch, dateless).

The Bomonti Beer Factory, which opened its doors in 1892 and gave the neighborhood its name, was the area's first industrial operation (Doldur, 2009). The opening of the brewery facility in Istanbul, where the Bomonti Brothers are connected to the Sisli District, today known as Bomonti, marked the beginning of the growth of beer as an industrial sector. Besides, there are correspondences in the Ottoman Archives on the granting of licenses to Kifo-rok Aznavur on behalf of German Adolf Bomonti for the construction of a brewery in the vicinity of Ferikoy Cifteceviz; "Request for permission to open an Arpa Water Plant in Istanbul, agreement on the privileges of the plant to be opened" documents and "The amount of money that Mosyo Adolf Bomonti has deposited for the brewery factory that it has built up for the brewery plant has been deposited with the customs official" (Figure 6). It is assumed that the factory is situated where "Ferikari" is currently located on Firin Street and that the start of 1890, the founding year, corresponds to the location of the plant.

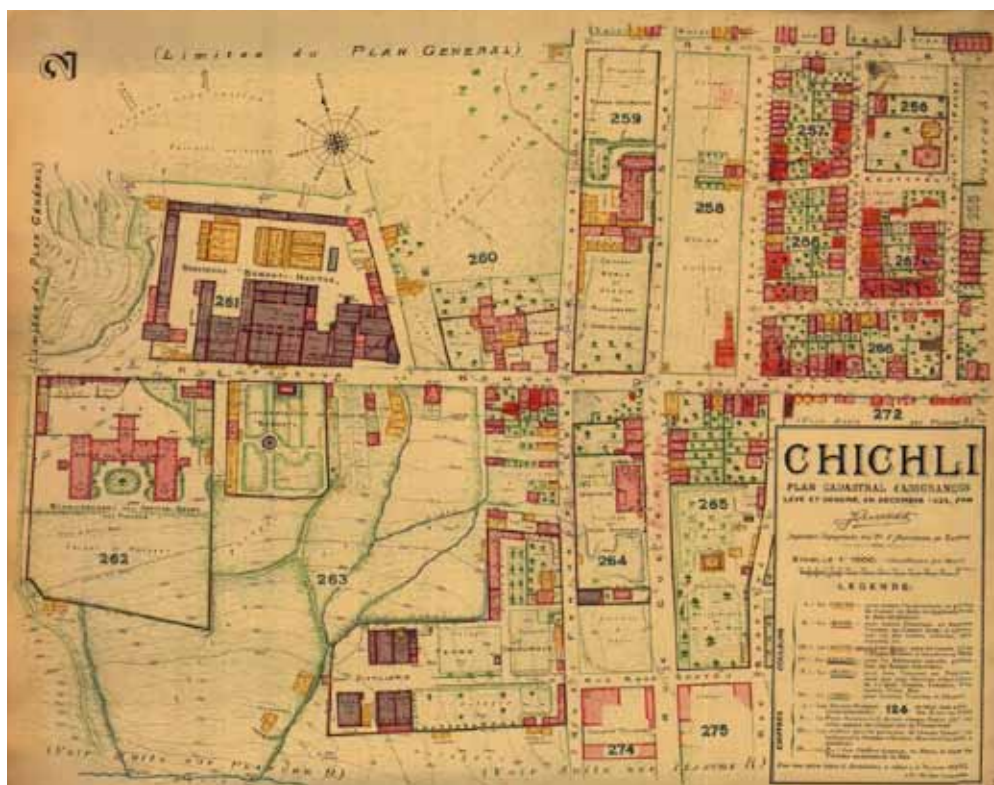


Figure 6. Bomonti Beer Factory in Pervititch Insurance Map (Istanbul: The Insurance Maps of Jacques Pervititch, dateless).

The "Aydin Brewery Factory" first imported raw materials from Istanbul, but soon its own malt requirements necessitated the dismantling of Bomonti's facilities and their relocation here. But in 1928, this factory stopped producing (Zat, 1994). In 1926, the Sisli District, Republican District, Bomonti Beer Company representative in Switzerland Breweries, covering 167 sheets and 1018 block in one parcel, and located in the province of Istanbul, covered 17.600 m<sup>2</sup> of ground space.

The Bomonti Brewery, which gives the neighborhood it is in its name, is created by layering various building blocks on top of one another over time. This route in particular has seen the growth of this factory complex on the structure island moving west from the intersection where Silahsör Avenue in the east stops and Bomonti Avenue begins. The block's boundaries are drawn by the complexes that are dispersed throughout it, and the street-facing facades give the impression that there are nearby layouts. The structure is the lodging house that was built to the factory layout in the 1910s. It is designated as A block in the site plan and situated at the intersection of “Birahane Street” and “Bomonti Arkasi Street.” Some interventions were made over time to create this lodge; balconies and stair volumes have been built, and space divisions have been altered. The building's basement, ground floor, first floor, and roof are all made of a block full of brick braid (Figure 7, Figure 8).

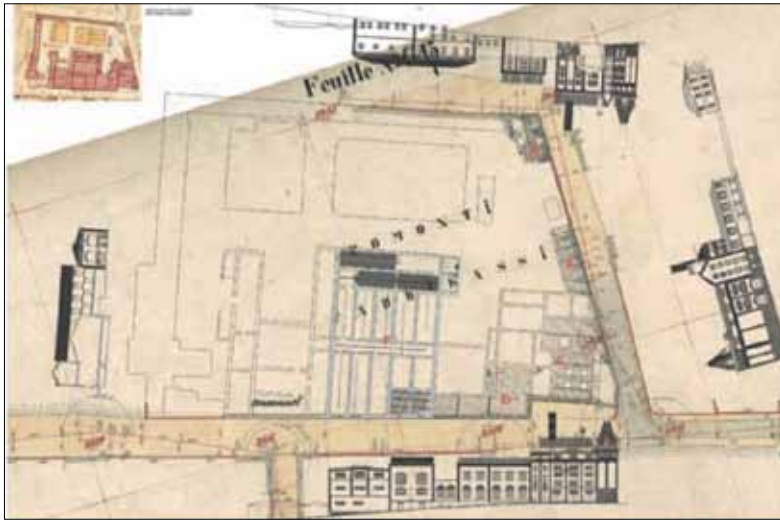


Figure 7. Plan and Facades of Bomonti Beer Factory (Tanyeli & İkiz, 2009).



Figure 8. General view (Tanyeli & İkiz, 2009).

Bomonti witnessed a new development: Over the past ten years, residential buildings targeted at both national and international clientele have been offered under the heading of "smart buildings in a green environment," resuming the residential function that was cut during the planning decision of 1952. High-rise houses are a common type of new housing at Bomonti. They boost the district's population. Several tall buildings in Bomonti exceed even the highest building coverage ratio  $E = 3$  outlined by the most recent 1/1000 Implementary Development Plan dated 08/02/2007 and the currently in effect 1/5000 Master Development Plan, according to Environmental Impact Assessment Reports by the Istanbul Branch of the Chamber of Architects. The majority of the region's new constructions have a ratio of  $E = 6$ , which is double the permitted building coverage ratio (Aygen & Yagci, 2013). New homes, as well as new residents living there, alter the neighborhood's social climate and increase its worth. Old and historic buildings were renovated, and on some vacant lots, tourist-related facilities were constructed. The Bomonti Beer Factory area functioned as the Bomontiada tourism and cultural complex.

Bomontiada: With the quick development of contemporary high-rise apartments, cafes, offices, and restaurants, Bomonti is beginning to grow in popularity. The Bomonti Brewery, a gorgeous brewery, was converted into the Bomontiada complex for creative culture in 2015. It was started off with the idea that the old Bomonti could be recreated in the context of today's lifestyle by developing a hub based on the culture of socializing "invented by the Bomonti brothers. It is reasoned that a stylish spatial design might not be the best place to start. By altering the ancient brewery's industrial aspect, Bomontiada – the neighborhood's hub – transformed into a single, sizable communal area.

It is called "Bomontiada Creative Culture Campus" and the complex is not just a living space, a café, and a food and beverage point; it was designed as a program to change the city's culture and life cycle with the participation of current residents and employees of the district. In Bomontiada, there is a program of cultural activities with performances, concerts, visual art performances and food festivals.



Figure 9. Plan of Bomontiada.

Thanks to Babylon, the city's most significant music hall, which was relocated from Beyoğlu to the Bomonti site in Istanbul, Bomontiada has become a significant hub for entertainment, catering, exhibitions, and conference events. The Bomontiada courtyard's design strategy that honors the original brewery's exterior commands attention as you enter. The historic brewery's renovated areas, including the courtyard and its surroundings, are used for a variety of activities throughout the day, including coffee, lunch, and dinner, art exhibitions, shopping for art and food, concerts, performance events, and teamwork. Next to the old multi-story homes of the Bomonti District, old textile clothing production factories, new residences, the Mimar Sinan Fine Arts University Bomonti campus, and the nearby hotel complex that serves as the accommodations and parking facilities of Bomontiada are the public and commercial social area converted from the historical Bomonti brewery. The buildings are filled with a variety of venues for cultural events, films, concerts, food festivals, and more, and the courtyard contains a variety of places (Figure 9).

The Bomontiada courtyard was designed by the architectural firm taking into account how the outer chamber will be set up as a venue for events and performances. It also functions as a gathering place where individuals may sit and observe the courtyard and other areas while interacting with those coming in via the entryway. Being a part of this multipurpose space and observing the bustling courtyard creates a very stunning visual richness. Aside from the sizable and impressive Babylon concert and entertainment venue, Bomontiada also contains a collaboration studio, a photo gallery, three restaurants, a regional food market, and a brewery. While Atolye is a co-working/makers space, gathering place, and productivity platform for professionals in the creative industries, the Alt exhibition area offers visual and performance art that focuses on both global challenges and changing local realities. Shopping is available at the Bomontiada site from Delimonti and Leica (Yegül, 2016). Delimonti provides food service in the area along with local, regional, and hand-selected distinctive delicacies from 54 cities in Turkey for shopping or on-the-spot dining. The Leica Gallery is a special location that wants to become a focal point for Turkey's photographic community by showcasing both domestic and foreign photographers' work. Along with classes, a professional studio, and a post-processing work space with printing capabilities, the Leica gallery also provides these services. Four eateries – Monochrome, Kilimanjaro, Kiva, and Populist brewery – are also available. The third-wave coffee space Monochrome which is a modern brasserie provide food beginning with breakfast and running all day until late at night. One of the restaurants is called Kilimanjaro has a very contemporary décor with a large bar and darkly lit tables, and it serves wonderful food cooked with seasonal and natural ingredients as well as delectable cocktails. Istanbul's Kiva restaurant also has a branch at Bomontiada that serves up the best of the Anatolian kitchen, as well as live music with

dinner, and the Populist, craft beer experts with three separately themed bars, are also open for business. The interactions between classification about the heterotopic spaces and the spaces in Bomontiada which had effects of cultural changes are listed in Figure 10.

Processes	Characteristics of Heterochronic Spaces	Space Classification								
		Standard environment and building types	Controlled environment and building types				Formal and informal institutions			
		Standard building types	Houses	Trade-shopping	Recreational	Accommodation	Cultural	Institutional	Prisons, barracks, spas, gyms,	Colonial towns
Bomontiada - spaces				Leica	Populist-Kiva-Klimanjar-Babylon-Monochrome-Delimonti		Alt Exhibition	Atölye İstanbul coworking		
Enculturation	Spaces of pre-modern crisis and spaces of deviations, Cinema, theater, gardens, museums and libraries									
Cultural diffusion	Spaces of pre-modern crisis and spaces of deviations, Cinema, theater, gardens, museums and libraries, primitive villages									
Acculturation	Spaces of pre-modern crisis and spaces of deviations									
Culturation	Spaces of pre-modern crisis and spaces of deviations, Cinema, theater, gardens, museums and libraries									
Culture Shock	Spaces of deviations									
Trans-culturation	Spaces of deviations, cinema, theater									
Deculturation	Primitive villages, Puritan and Jewish Colonies									
Cultural Change										

Figure 10. Table of relations of cultural processes versus Bomontiada heterotopic space characteristics.











Classification	Name	Information	Photo
	Courtyard	Day-time outdoor spaces of recreational facilities + activities in activity platform, night-time outdoor spaces of recreational facilities + performances in activity platform.	 (Yalav-Heckeroth, 2017)
Shopping	Lecia	The Leica gallery also offers classes, a professional studio and a post-processing work area with printing facilities.	 (Yalav-Heckeroth, 2017)
Recreational	Populist	Populist, craft beer experts with three separately themed bars are also open for business.	 (Yalav-Heckeroth, 2017)
	Kiva	Kiva restaurant also has a branch at Bomontiada that serves up the best of the Anatolian kitchen.	 (Yalav-Heckeroth, 2017)
	Kilimanjaro	One of the restaurants is Kilimanjaro, which was designed with a very modern interior with a huge bar and dimly lit tables, serving some excellent dishes made from natural and seasonal products, as well as delicious cocktails.	 (Yalav-Heckeroth, 2017)
	Babylon	A large and impressive Babylon concert and entertainment hall.	 (Yalav-Heckeroth, 2017)
	Monochrome	The modern brasserie and third-wave coffee maker Monochrome serves starting from breakfast and continues the whole day until late at night.	 (Yalav-Heckeroth, 2017)
	Delimonti	Delimonti offers local, regional and hand-picked unique flavors from 54 cities in Turkey for shopping or on-the-spot dining at the same time offers food service in the space.	 (Yalav-Heckeroth, 2017)
Cultural	Alt exhibition	The Alt exhibition area offers visual and performance art that focuses on both global concerns and changing local conditions.	 (Yalav-Heckeroth, 2017)
Institutional	Atölye İstanbul Co-working space	ATÖLYE is a meeting spot and productivity platform for people in the creative fields.	 (Yalav-Heckeroth, 2017)

Figure 11. Table for information of spaces in Bomontiada.

The areas of Bomontiada are given in Figure 11 along with details about them. The highly special areas in this industrial heritage building, which were created for various purposes, are used by the diversity of spaces in Bomontiada as shown in the table. The structure housed institutional facilities, recreational facilities, cultural facilities, and places for trade. All the spaces and the exterior surfaces of the building contain architectural components of the time it was built, some original equipment, as well as up-to-date architectural components and new equipment.

### Discussion

Settlement-related spaces, places used by people in their everyday lives, subsystems, and the results of cultural processes in relation to heterotopic spaces and "forms of cultural change" in modern urban areas. Do these components differ depending on a person's culture and environment? is the research question. For the answer of the research question, the relationships between the functions in the indoor space and the open space in the courtyard, which have different functions and serve for the users has been studied in Bomontiada, which is considered to have heterotopic spaces. The impacts of cultural processes, are tried to be determined by observations made on site, on weekdays, weekends, noon, afternoon and evening on the indoor and open spaces in Bomontiada. An old brewery that has been rebuilt as a part of the area's industrial heritage is Bomontiada, a complex for culture and pleasure. The method includes three steps of assessments on the links between the traits of cultural change processes and their effects on heterotopic areas. It is found that many different people from different age and profession come and participate in this space in co-working space, galleries, restaurants, cafes and some visit only the open courtyard for open air activities.

Trade shopping facilities, photograph gallery and shop in the case study, had impacts of enculturation, cultural diffusion, and culture processes according to findings. Recreational facilities restaurants and cafes had the effects of acculturation, culture, culture shock, and transculturation processes. Cultural facilities, art and performance exhibition gallery in the case study, affected by enculturation, cultural diffusion, culture, and transculturation processes. Institutional facilities, a co-working space in this the case study had impacts of enculturation, and acculturation processes. These four different types of facilities had the effects of different processes and because of these impacts the facilities show the results of cultural change process which is the combination of different components of the defined cultural processes.

Multifunctional institutions that deviate from societal norms of everyday living are heterotopic environments, according to Kern (2008). According to the study's findings, the spaces in the field serve a very large user mass by producing spatial solutions that are appropriate for various cultural features. These spaces adapt to new lifestyles that emerge as a result of the changing cultural structure of the society. According to the case study Bomontiada and its courtyard, artists repurpose raw materials to produce value, beauty, and new meaning in addition to distinctive and diverse purposes (Borup, 2014). They also employ ancient materials in combination with modern services to renovate other areas. The cultural processes had clear consequences on the case's spaces as a result of this strategy.

## Conclusion

Istanbul is undergoing a significant urban transition and poses a disaster risk. In addition to cultural and economic factors, one of the reasons is that the consequences of the aforementioned urban transformation method prevented the preservation of important cultural and architectural values to a significant level. It is obvious that cultural change processes will have an impact on urban and architectural settings. Squatting continues to be a site of constant building in urban transformation (Hacıhasanoglu & Hacıhasanoglu, 1997). In this never-ending process of change, we may see some of the results of cultural transformation processes.

Bomonti's district has undergone development and transition in terms of the spatial-social-economic and urban fabric since the 19th century. While some functions in the area have vanished over time, others have continued through differentiation to the present. The profiles of the locals changed as a result of changes in function (Bayazitoglu, 2018). With the shifting of functions and the emergence of Istanbul's urban identity, changes in the city's skyline have been brought about (Hacıhasanoglu & Orer, 1998). New sorts of solutions, such as big housing settlements and high-rise buildings in various parts of the city, were available to address alterations and transformations in the urban image of the city.

The city has been impacted by changes and displacements in culture. Due to this, there are cultural disparities in metropolitan settings. Historic neighborhoods that experience a loss of socio-cultural balance are necessarily affected by a number of urban concerns, including gentrification, neighborhood deterioration, gentrification, illusion, revival, and regeneration (Toprak, Unlu, & Van Nes, 2017). The purpose of this study is to provide an answer to the question of how locations designated as heterotopic spaces interact with cultural change processes. Relationships between a typology of heterotopic settings, cultural change processes, and this technique as applied to a case in Istanbul are outlined by a matrix table. In the example of Bomontiada, a culture and recreation complex that was once an old brewery and has been restored as part of the region's industrial heritage. The technique, which involved three steps of assessments on the relationships between the characteristics of cultural change processes and their effects on heterotopic areas, was approved as being applicable by this case study.

The precise identification of the user profile was one of the study's limitations. However, it has been shown that the majority of users are middle-class, educated, engaged in the arts and culture, and looking to fulfill their social needs in these settings. The effects of some of the cultural processes that are successful in the society have been determined by on-site observations as a consequence of the investigation of the relationships between the indoor functions and the open space in the courtyard, which have distinct functions and serve the users. It has been found that a wide range of individuals of various ages and professions frequent this area, including the co-working space, galleries, restaurants, and cafes, which is a cultural and entertainment complex that has been rebuilt as part of its industrial heritage. Some of these individuals only use the open courtyard for

outdoor activities. The classification of the interaction of heterotopic spaces with cultural processes, as well as the consequences of which processes in which kinds of spaces, will be improved by this study in comparison to previous ones. Architectural components of different times and different cultures, styles and space, technology and field work, the presence of industrial tools of different times in the same space, reveals the interaction of cultural change with heterotopic spaces most clearly. Future research are anticipated to lead to interactions in this direction, particularly in metropolitan public areas, because of how closely cultural processes relate to the social side of sustainability, in particular.

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# AR-sculptures: Issues of Technological Creation, *Their Artistic Significance and Uniqueness*

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## Abstract

The threat of the Covid-19 epidemic quickly influenced the development of remote working tools using modern IT technologies. This has led to the emergence of a significant number of cultural practices for remote (virtual) use. Among them are experimental attempts to create volumetric virtual models that could be considered sculptures. At the same time, these developments have served the emergence of cultural problems: solving questions of uniqueness, artistic significance of works of this kind. In this regard, this article provides the results of a scientific study of the specifics of creating virtual sculptures, authorship issues and artistic significance of virtual content, identified as a result of an examination of the authoring developments of the AR-application “REMS,” as well as works presented at the exhibition “More than a sculpture.” In the example of the author’s development of content for AR (augmented reality) installations, it turns out that virtual content can significantly change the content and ideological significance of art work. The artistic component of these objects determines their designation as art works, objects of fine art. In this way, the uniqueness and artistic significance of virtual sculptures as three-dimensional graphic objects created using augmented reality technology is confirmed.

**Keywords:** Culture, Augmented Reality, Sculpture, Technology, AR-models, Art, AR-application, REMS AR

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## Introduction

Contemporary artists are increasingly using digital technology to realize their ideas and creative ambitions. Moreover, having abandoned traditional techniques for creating their sculptural creations – by means of sculpting from soft material and cutting (carving out) excess fragments from hard material – they increasingly use exclusively digital technologies and mathematical data analysis to create artworks (Roman Minin, Claire Bardeen and Adrian Mondo). At the same time, the created models are completely virtual – they have no subject analogs in real space (Anton Bakker, KAWS).

On the other hand, thanks to this feature of virtual reality technology, it becomes possible to create virtual analogs of volumetric artifacts (models), in particular, sculptures. Digital technology allows to create a three-dimensional image that can be viewed from different angles. In a pandemic, the issue of “visiting” virtual museums, art exhibitions, installations, libraries and archives has become critically relevant and important. Virtual sculpture has become an important and relevant art form of artist-creator's expressing the ideas.

During the pandemic, the practice of creating virtual artwork using digital tools has become popular. After all, it's the only way artists can survive the ongoing and seemingly endless pandemic blockages. In addition, special instructions for creating three-dimensional forms and virtual spaces are also in growing demand from young artists (Binson, 2021). Due to the relevance of the problem, augmented reality content developments that are used in cultural practices are attracting particular attention. Of particular interest are the projects "More than a sculpture," "REMS AR," in which it is possible to create three-dimensional and moving models. Nevertheless, virtual sculpture in most cases is a graphical volumetric analogue of the corresponding reified original. Therefore, the authorship issues and uniqueness of the created digital models are very relevant in the scientific literature. To avoid tautology in the text, the abbreviation AR is used hereafter to denote augmented reality.

## Related Work

3D models creation using virtual and augmented reality technologies was first considered by Louis Rosenberg at the US Air Force Research Laboratory (AFRL), resulting in the pioneering Virtual Fixtures platform (Rosenberg, 1993). Following Steuer (1992) and Rosenberg (1993), a critical review of research was conducted that categorized realities to identify weaknesses, inconsistencies or contradictions in content creation practices using VR and AR technology.

This methodology highlights problems or discrepancies in existing knowledge about the VR and AR specifics. Researchers Q. Hongyan, W. Changbo and L. Junjun (2008), Y. Chen, Q. Wang, H. Chen, X. Song, H. Tang, M. Tian (2019), L. Rau, R. Horst, Y. Liu and R. Dorner (2021), J. Bitter, U. Soierling and R. Dorner (2022) explain the features of AR content creation and the relationship between virtual and real objects. A comparative analysis of VR and AR specifics is carried out in the studies of D. Krevelen and R. Pelman (2015), A. Joseph (2015), C. Flavian, S. Ibanez-Sanchez, C.

Orus (2019). Augmented reality is considered as a technology for combining virtual and real worlds (Chen and Wang, 2019) and active cultural and educational tool for interacting with and informing a user audience about otherwise complex art-historical content (Crolla and Goepel, 2022). At the same time, there is research that proves that AR technology distracts the viewer from the real (subject) art object, fulfilling the function of teaching rather than actual learning (Aitamurto, Boin, Chen and Shridhar, 2018).

Recent developments in the field of AR technology are applied in several industries. In particular, in the commercial industry (Krevelen and Poelman, 2015; Bonetti and Warnaby and Quinn, 2018; Kerrebroeck, Brengman and Willems, 2017), tourism (Griffin, 2017), education (Merchant, Goetz, Cifuentes, Keeney-Kennicutt and Davis, 2014; Joseph, 2015), health (Freeman, 2017), entertainment (Lin, Wu and Tao, 2017) and scientific research (Fan and Liang, 2012; Flavian, Ibanez-Sanchez and Orus, 2019).

At the same time, the issues of technology implementation in the cultural sphere remain under-researched. In the scientific literature, several publications were found that partially reveal the specifics of AR using for artistic purposes.

Director of the Kiev Lavra Gallery, T. Mironova's (2020) analyses of the state of technology development and some art installations where AR is used experimentally. I. Gardabkhadze (2019) explores the impact of augmented reality technologies on the shaping of the fashion industry. According to the researchers, new digital trends have emerged in contemporary art thanks to innovative technologies. For example, thanks to digital tools, virtual sculpture has emerged as an object of digital art. M. Jenkins notes that the case of virtual sculptures refers to objects that "can only be seen with mobile phones and other mobile devices equipped with cameras and not with the naked eye." (Jenkins, 2021).

The literature review shows the lack of a fundamental study of the specifics of the use of augmented reality technology in cultural and artistic practice, analysis of the main characteristics of creating virtual sculptures using digital tools.

### **Research Methodology**

Analytical equation modelling has made it possible to analyze the current practice of creating volumetric models using digital tools. Based on REMS AR authoring it was possible to investigate the technological stages of digital content creation. The theoretical-conceptual method allows one to define the artistic significance and conceptualization of the created models with the help of augmented reality technology.

The results of the comparative-typological method of research, namely the comparative analysis of the principles of creation of plastic and virtual sculpture, AR and VR technologies, the analysis of projects aimed at studying the interaction between AI technology and art, allowed to justify the possibility of creating AR-sculptures.

### **Principles of Creating AR-models Based on the Image of Real (Subject) Art Object**

Augmented reality changes the current perception of the real world environment, while virtual reality completely replaces the user's real environment (Steuer, 1993). This distinction between technologies defines the main functions of their use and points to the importance of compatibility between real-world imagery and virtual content in the use of augmented reality.

The principle of AR using in art is that the artist can use digital graphics to give static works of visual art dynamism and volume, as well as to synthesize a real image with a virtual one. In practice, only a few virtual elements are used, which are synthesized with an image of the real world.

The viewer aims his gadget at a painting, sculpture or a specific point in space and sees through the device screen images of art object and graphic drawings. The gadget's camera recognizes objects as special programmed marks in the frame and adds a graphic image. At the same time, the virtual part is not static, it is linked to the image of the outside world, which the computer constantly monitors on the signal of the video camera (Mamontov, 2009). Digital virtual images are combined with physical reality, art work from a static form turns into a dynamic, mobile, volumetric one.

The technical means use multimedia, 3D modeling, real-time tracking and recording, intelligent interaction, and sensing. Its principle is the application of computer virtual information such as text, images, 3D models, music, video (Chen and Wang, 2019). The screen of the gadget (phone, tablet) shows AR graphics and images, and is captured by the built-in camera. Thus, augmented reality and the environment can be synthesized on the same plane. The synthesis of images is carried out instantly on the screen, without additional manipulations. The viewer becomes a part of this story.

AR graphic model is created on the basis of the image label of the object world. In specialized computer programs and editors, certain coordinates are set and the image is analyzed, on the basis of which a three-dimensional model is created. Therefore, the image of augmented reality serves as an auxiliary means for creating an artistic composition.

### **Authoring 3D-content and Software Applications for AR-installations**

The author of the article proposes to consider the process of creating and presenting AR content using the example of our own graphic and software developments created for the presentation of an advertising booklet of the Department of Directing and Mass Holidays of the Kiev National University of Culture and Arts. The goal of the experiment is to visualize and give artistic form to the text of the document.

The author has developed a software application based on the Unity digital development platform, which allows to view augmented reality compositions based on images from the pages of the booklet.

The application launches the necessary audio sequence (music, reading the text), which allows to explain the reader the rules of booklet use, pay attention to the main keywords and create the necessary solemn atmosphere. In this case, the user sees on the screen the image that the gadget's camera takes. When the lens of the gadget fixes the pre-programmed booklet page, the necessary graphic model appears on the screen of the gadget.

The page is the commit marker. At the moment, five markers have been created – five volumetric graphic compositions (figure 1).



Figure 1. REMS, software developer T. Sovhyra, KNUKiM, 2021.

### Authoring 3D-content and Software Applications for AR-installations

The booklet examines the disciplines that are taught at the department. The author has created virtual graphic models of students, which are programmed to demonstrate the skills and abilities acquired in practical classes. Thus, there is a visualization of the educational process.

The figures are three-dimensional and movable. They appear as soon as the gadget screen corrects the programmed page. The position of the marker changes – the 3D model moves accordingly. If the user changes the viewing angle, the model will expand too. If he turns or closes the page, the 3D model will disappear. In this case, virtual content interacts with real (subjective) content, as a result of which a connection between the two forms of material presentation is created. Three-dimensional graphic models are moving virtual models that carry a semantic load with the help of means of expressiveness of fine art and the digital technologies use.

Another example: on the sixth page of the booklet, dedicated to the specifics of students' work on the stage, the author has created a graphic text model "REMS is the Cosmos" and placed several planets in a visual perspective. The idea of creating this composition is to show the viewer in an artistic allegorical form the endless possibilities of the department to provide students with practical experience on stage.

Thus, a completely new meaning of the created composition is created. Therefore, the question arises of the uniqueness and artistic significance of virtual content in the process of creating models of augmented reality.

### **"More Than a Sculpture:" A Project that Synthesizes Virtual & Plastic Sculptures**

According to "Encyclopedia Britannica" traditionally sculpture is general term for the plastic art of carving, especially in stone and marble, but also in such materials as wood, ivory, metal and gems (Chisholm, 1911).

The presence of new ways and means of creating three-dimensional figures (including digital technologies), the sculpture can be made not in the traditional way. "Down with reality!" – manifested the artist Roman Minin, climbing on a painted metal barrel with a banner in his hands. So he presented his work "Friend / Foe" at the exhibition "More than Sculpture," which took place on March 7 – April 7, 2021 at the Art Ukraine Gallery in Kyiv and combined traditional art with augmented reality technologies. The exhibition includes sculptures made of granite, marble, bronze, plaster, and even works made using a 3D printer.



Figure 2. The exhibition "More than Sculpture," S. Udovik, 2021.

But at the same time, these sculptures are organized using augmented reality – a technology that brings virtual information into reality. "Augmented reality solves

the problem of transporting sculptures: fragile works can be shown in augmented reality instead of being transported around the world. At the exhibition itself, in augmented reality, you can see the sculptures from all sides, and the technology also conveys the structure of materials,” says co-founder of the SIMO AR startup Marichka Velichko.

The new sculptural project is guided by the principle of “do everything and a little more.” The exhibition is based on the study of the interaction of augmented reality, as a simulation, which has become an integral part of the space of modern life in the XXI century, with sculpture, as an art form with a thousand-year history. More than 30 artists took part – both already venerable and recognized authors, and representatives of the younger generation of Ukrainian art. Among them are Vladislav Volosenko, Alexander Dyachenko, Alexander Sukholit, Victor Sidorenko, Pyotr Gronsky, Yulia Belyaeva, Alexey Zolotarev, Roman Minin, Yegor Zigura, Konstantin Zorkin and others. That is why the exhibition brought together classical sculpture – from statues to masks – and futuristic works of young, talented artists. Ukrainian startup SIMO AR helped to combine traditional forms of plastic art with new technologies.

“The alternative reality development is psychologically necessary for society, because it is able to help a person hide from their problems for a while,” explains the artist Roman Minin.

The SIMO AR team met with the sculptors as they were preparing for the exhibition. Having learned about the augmented reality technology, many authors decided to “revive” their work. Some sculptors already had 3D models of their work. It took three weeks to adapt them to the SIMO AR app. The startup’s app recognizes the image and adds virtual content to it. Using an ordinary smartphone in the gallery, you can rotate the paintings 360 degrees, see how the sculpture “disintegrates” and revives again, and also learn more about the authors of the works. To do this, you need to download the application and point your smartphone at the name of the artist or his work.

As virtual installation author Anton Bakker notes, “The internal structure of the database is similar to the three-dimensional grid he uses to create sculptures.” “I feel at home in the space of a cubic lattice.” (Jenkins, 2021)

### **The Issues of the Uniqueness and Artistic Significance of Content in the Course of Creating an Artwork**

The example of the author’s AR installation (REMS AR) shows that the virtual model is conceptually different from the real one depicted on the brochure page. This means that with the help of augmented reality it is possible to change the meaning of reality and to give it the necessary directorial implication.

These results from the author’s practical research led to the need to consider other implemented examples of the use of technologies in cultural projects in

order to study these issues of uniqueness and specifics of the interaction of the augmented reality model with the image of reality (marker). The same applies to virtual content based on works of sculpture. If sculptural works made in solid material are three-dimensional sculptures and are rightfully considered self-sufficient artworks, then with the addition of augmented reality technology, a virtual sculpture (virtual installation) is created. “Curves, loops, and knots seem more dramatic and just more interesting when they appear to be anchored to a specific location – and thus are in dialogue with stone and metal monuments rather than pixels.” (Jenkins, 2021).

The project “More than Sculpture” reveals the essence of things in the modern world, exposing the “reference point” through plastic, and at the same time calls it into question, expanding the content with virtual elements.

Another example of a cultural practice where the uniqueness and artistic significance of virtual models created with the help of technology is observed: an art collection by artists Claire Bardin and Adrien Mondo. The viewer sees a pebble on white paper – nothing else. By pointing his phone or tablet at the exhibit, he can follow a graphic moving object on his gadget screen: on the person silhouette jumping on a pebble. The viewer involuntarily observes the actions of the “moving virtual face.” He can change angles, edit the image scale, moving at the exhibit. The viewer can walk around the stone – the image of the face on the screen is three-dimensional and is viewed from all sides. In this case, the motion sensor is the user’s gadget. The virtual sculpture, like a skilled actor, moves and performs certain manipulations. It is programmed to create a certain graphic pattern and to be in the required coordinates (in this case, on the stone). Thus, the exhibit turns into a visual-spatial installation organized using augmented reality technology. All virtual sculptures in this collection are thematically and stylistically related, representing certain episodes of the general concept of the project.

The issue of authorship in the creative process using augmented reality technology is problematic. Digital engineers, architects, planners and designers are involved in the organization of artistic activities, the creative process often resembles factory production. Given the complex nature of collaboration in the creative process, the independent author is replaced by the collective author.

## Conclusion

On the example of the author’s development of content for AR installations, it turns out that augmented reality technology provides significant advantages in viewing the necessary context: visibility, image volume, interactive use of the necessary material. But the main feature is the creation of unique content, which can be a self-sufficient art form – a virtual sculpture.

Using digital graphics in an AR application, it is possible to give dynamic and three-dimensional images to static works of fine art, to synthesize a real image with a virtual one.

It has been established that virtual content can significantly change the content and ideological content of art work. Based on the image of the marker, a new artistic context is created, organized into an AR installation.

Thanks to the three-dimensional effect and the ability of augmented reality technology to view from all sides, the created graphic models can rightly be considered three-dimensional figures. The artistic component of these objects determines their designation as works of art, objects of fine art. In this way, the uniqueness and artistic significance of virtual sculptures as three-dimensional graphic objects created using augmented reality technology is confirmed. It was found that in the artistic process AR can serve as a digital means of expressing the director's thoughts.

As a result of the analysis of scientific works, existing practices and the author's own developments in creating augmented reality content, it was found that this technology can be used in the process of creating works of art to give the image artistic imagery, volume and dynamics.

Based on the foregoing, it becomes clear that virtual content, created in relation to the author's intention, is an artistic overtone of this experiment, carries a content component that is different from the original source, artistic significance.

An analysis of the current state of development of AR technologies indicates significant prospects for the development of technologies and the need for further analysis of the best practices for using augmented reality in cultural and artistic practice.

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# Exploring Sound Emission in Shanghai Zoo as a Public Space

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## Abstract

The existence of zoos in cities provokes different reactions in people. Some view it to be an entertaining place to visit on an off day. Now, more often that people are not in favor of zoos anymore, for even though the idea of seeing wildlife in person is attractive, it is also sad to see these animals encaged and even more so under less optimal conditions.

The purpose with this article is to investigate the impact of music and other human sounds in animals subject to captivity in the zoo, and if and how it creates changes in their behavior. The following question motivated the study: Is it beneficial for zoos to introduce music into these animals' habitat?

To find an answer, a joint team went to the Shanghai Zoo on four different occasions to collect data, conduct interviews with visitors and caregivers, and observe both select animals and humans. The selection was done according to continuous availability. The results are presented in the paper.

**Keywords:** *Urban Entertainment, Zoo Science, Ecomusicology, Animal Welfare, Perception of Safety*

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## Introduction

The team gathered data in four separate visits to the Shanghai Zoo and met there at different daytimes in order to cover the entire spectrum of a visiting day. The entire study was self-financed and did not involve high technology except for smartphones with a powerful recording system, good picture resolution, printed paper for questionnaires and a computer to process data and to write the reports that were sent in English and Chinese to all participating people and supporters. Data were randomly gathered by using freely chosen visitor numbers, as there were time overlaps with working hours of the staff.

The team separated into smaller groups and followed strictly prescribed question schemes, not allowing for diverted answers.

There were two types of questionnaires, one was for the caregivers, one was for the visitors. We hoped to know more about the animals through talking to the caregivers. In the end, we had to use our own observation notes as caregivers were rarely free, untrained interns, or not willing to discuss details.

## Collected Data

Data were mainly collected during times when weather conditions were fitting the undertaking. Also, lacking measurement tools of behavioral scientists, the outcomes are rather limited and based on personal observation.

Caregivers were often not allowed to talk to us despite not having had enough time to discuss single issues with us. Only from time to time, we could listen to their remarks. Loudness and impact of sound could only be subjectively observed and compared through simple means such as trying to measure distances between communicating subjects at times of understanding. All data were collected during normal opening times. We noted weather conditions and temperatures knowing that these data may play a role in dealing with sound. Animals for closer observation were chosen according to their continuous availability and their importance in the structure of guided tours.

On the first visit, May 29, 2021, the team interviewed an administrator of the zoo, who preferred not to have his name mentioned in any articles, and although he seemed hesitant to be interviewed, he agreed to answer a few questions designed in the first questionnaire:

1. Can you observe changes in the behavior of animals after introducing slow and low volume music to them?  
– Yes, some animals got more used to human visitors.
2. Is the permanent presence of music changing any living patterns of animals?  
– Eating habits stay the same, but the tolerance of visitors is increased.
3. Do you see a difference in their behavior while responding to visitors?  
– Over the time, animals become more adjusted to their life here.
4. What are the most difficult behaviors in visitors and how should animals respond to them?  
– Feeding, throwing things, yelling.

After leaving the administrative building, the team entered the zoo, walked around the main path marked on the map, made an overall observation of the animals and visitors, located the speakers and identified the music playing.



Figure 1. Map of Shanghai Zoo including position of loudspeakers compiled by Gisa Jähnichen (This map is not available in any other language than Chinese).

We interviewed visitors in three different days, chosen by weather possibilities in the respected time frame, and got the following outcome after having reached out for some 26 different visitors who passed by at speaker Number 6 and Number 18, that were chosen due to their strategically important location of interest (most people passed these points as there were toilets and small shops nearby):

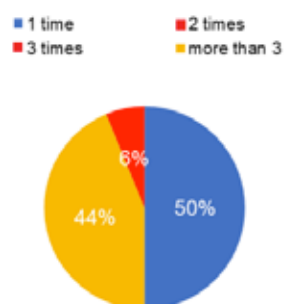


Figure 2. How many times have you visited the zoo? (The red zone combined those who visited 2 or 3 times).

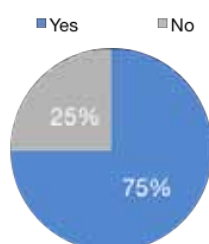


Figure 3. Are you aware of the music in the background?

■ Ok ■ Too loud ■ Too quiet ■ Too fast

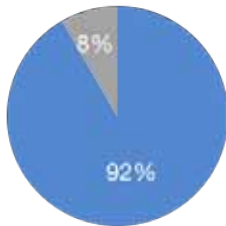


Figure 4. What is your opinion about the music being played? (None of the people asked answered with “too fast” or “too slow.” Also, people found the music never “too loud,” but 8% found it “too quiet”).

■ Yes ■ No

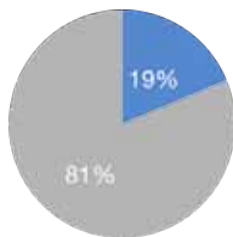


Figure 5. Would you change the music?

■ Yes ■ No

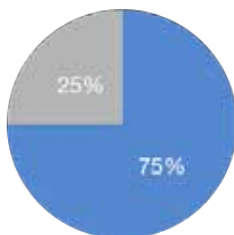


Figure 6. Do you personally feel safe in areas where there is music?

■ Yes ■ No

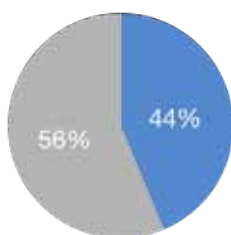


Figure 7. Do you feel attracted to areas where there is music?

On arrival at the zoo's main entrance, there was immediately a disturbingly loud and repetitive megaphone playing an instructional message in an endless loop. This was noticed to be a common greeting in almost every public park known to the team in urban and peripheral China. It is unclear whether messages actually get across this way, but it surely makes one not linger. Perhaps that's the intention after all. Here comes the protocol of the observation of the ring-tailed lemurs:

**Ring-tailed Lemurs (*Lemur catta*) - Madagascar**

Date: June 4, 2021

Observation time: 10:45 to 12:15

Weather: 23°C, overcast

By Loudspeaker: 13



Figure 8. Lemurs at the Shanghai Zoo June 4, 2021 (photo by author).

**Soundtrack:** Classical: Blue Danube Waltz (Johann Strauss II); Rock: Do You Know, Electric Blue, Empty, This Is the Day, Chocolate Brown, Close to You, The Concept (The Cranberries)

**Observation Sheet**

The weather was overcast with a temperature of 23° Celsius. The closest speaker to the observation point was number 13, which was barely audible to human ears. Big city sounds such as airplanes, vehicles and people speaking did not seem to change the lemurs' behavior, neither did animal sounds such as monkey calls and bird singing. During the observation time, the background music stopped for around one hour.

The lemurs' environment was outdoors and surrounded by water, creating a small island with no need for cages or metal grids. Adults and pups stayed together outside, instead of inside the wooden houses available to them. There were more than ten lemurs in this environment and one appeared to have an injured arm. The adults spent most of their time grooming themselves and each other, sitting and observing. Pups spent their time playing with each other, running around and jumping on adults. At this point, the lemurs mostly stayed close to the center of their land, far away from the water.

Since the speakers were off for a while, one team member, Paula, decided to sing a song in order to detect their reaction or non-reaction to music. When she sang a first song, 'Lullaby,' many came by the water and remained there. They seemed curious and even though male lemurs use vocalization in conjunction to agonistic behavior, they did not seem alarmed by the singing.<sup>1</sup> Humans also approached. Shortly after, visitors started feeding the lemurs – without any authorization or supervision from the zoo staff. After being fed, they did not get back to where they were originally playing when the observation group arrived. After 15 minutes, a second song was sung to see if it would generate a different reaction. When singing 'Mercedes Benz' they stayed where they were and it did not change their behavior. At 11:50am, the speakers began playing music again and the lemurs became very still, some even napping. Following, an announcement was broadcasted on the speaker, but it didn't change their behavior, they remained mostly unmoving.

### Further Observations of Specific Animals Interacting with Humans

*François' Langur (Trachypithecus francoisi) - Southwestern China to NE Vietnam*

Date: June 4, 2021

Observation time: 12:42 to 13:01

Weather: 24°C, overcast

By Loudspeaker: 12



Figure 9. François' Langur monkeys at the Shanghai Zoo June 4, 2021 (photo by author).

**Soundtrack** Classical: Warsaw Concerto (Carmen Habanera)

### Observation Sheet

These monkeys live in an environment enclosed by metal grid fencing. There were hundreds of elementary school students divided into a few groups, each group had only one to three adult supervisors. The noise generated by them was exces-

sive and the background music was buried under it. The children visitors fed the monkeys by throwing processed foods at them, they screamed, teased them with objects, jumped on the fence and tried to reach monkeys with their hand near the fence. Meanwhile, their supervisors did not correct their behavior, instead they encouraged it by laughing. There were not enough adults watching the children and I was under the impression that they either had no idea of how to educate these students, or had already given up doing so on the account of being so outnumbered. One of the monkeys had an injured middle finger, which was cause for many laughs between the children and their supervisors. Zoo visitors teasing and disrespecting animals is unfortunately neither a local nor a contemporary problem.<sup>2</sup> Some of the adult monkeys were reaching out for food, but mothers and small pups stayed quietly near the fence.

Monkeys seemed unaffected by the music, since it was overpowered by human voices. There were no staff members supervising this area and adults also fed the monkeys, even precisely in front of a sign prohibiting it. An artificial waterfall was started, but it also did not seem to change anything. Some of the children came to see my notes, some talked about me, and a few pushed me.

Eurasian Brown Bear (*Ursus arctos arctos*)

Date: June 9, 2021

Observation time: 14:45 to 15:00

Weather: 29°C, overcast

By Loudspeaker: 2



Figure 10. Eurasian Brown Bear pups at the Shanghai Zoo June 9, 2021 (photo by author).

**Soundtrack** Classical: Trumpet Voluntary (Jeremiah Clarke)

### Observation Sheet

This time taking the zoo's public car to move around, the ride was fairly quiet, save for the occasional honking, and the road was not too close to the animals. The Eurasian brown bear areas were outdoor deep enclosures of concrete and

rocks, one of the chambers housed one adult the other two pups. The music from the speaker was not loud and the adult bear seemed undisturbed by it – it mainly remained grooming itself. The pups were restless and they were unsuccessfully trying to open some doors that led to an indoor environment, which I suspect is the place where their food comes through. As the speaker could not be heard in the pups' chamber, I sang "So Long, Farewell" to them, but that produced no change in their behavior. The bears finally reacted differently when some visitors started tossing food at them. The response was quickly noticeable, they came as close as they could, started making noises and one of them started waving his paw as if asking for more.

This was a short observation, but long enough to once again find visitors feeding processed foods to wild animals. The music did not help with that.

### Discussion

What I concluded by observing these animals in the zoo, was that sometimes they demonstrated a positive or neutral reaction to music that was neither aggressive nor loud. When non-human animals had a reaction to music, it appeared to be beneficial. Some songs inspired curiosity, others calmness as if having been in a therapy area (Jaehnichen, 2018) and other times they seemed completely unaffected by it. Perhaps music helps them get accustomed to human sounds and reduce the unfamiliarity of it. Animals and music have a long association (Putnam, 2007:157).

The very loud student groups visiting the monkey area were a significant source of distress to those monkeys. The number of hours in which they are subject to this experience daily is unknown, although I know one is already too many. Ideally, they would never have this experience. The sounds were not the only source of distress, the feeding of inappropriate foods caused the most noticeable reactions. Every time I witnessed a visitor feeding one of the animals, and it happens to all three types observed, the animals completely changed their manners. Once fed in this way, it takes a long time for them to resume their normal activities, not to mention the impact that these aliments have on their bodies.

Music also happens in areas that are inhabited both by animals and humans (not with the same order and structure as we conventionally attribute to it), finding that animals react to music is really not surprising. If one considers that long before any musical instrument was manufactured, birds and whales were already singing,<sup>3</sup> one should expect a reaction from non-human animals coherent with the sound/music that is being presented to them. On the whole, it must be admitted that animals and birds are much more appreciative of our music than we are of theirs, for when we do like it we reward the executant by shutting him upon a cage for life (Front Matter, 1897).

So, what can be done about this? One can start by not going to zoos anymore, teaching children that it is wrong to subject them to life in captivity and support serious efforts to preserve their habitats. For zoos not only enshrine the (arbi-

trary) boundaries of humanity and animality, they impose their own boundaries between creatures defined as animal—different enclosures separate paddocks that segregate not only keeper and kept but also (non-human) animal from (non-human) animal, birds from reptiles (Anderson, 1995:278).

Since human made music is not encountered in the animals' habitat, should it be used in zoos or avoided? Although it may be a helpful tool keeping non-human and human animals calmer, the more important question is:

Should wild animals be made to be used to human sounds? In a context in which animals are perhaps inhabitants of sanctuaries which actually help them rehabilitate to life in the wild or those who cannot go back and need a safe place to live, I think yes. In a context in which animals are in captivity merely for exhibition and source of entertainment, I think no. Not because music is harmful, but because they shouldn't be there in the first place. Depriving a living creature from the life they should have the right to live is wrong in my opinion. This matter becomes clear once one is able to imagine oneself under these animals' skin, which should not be so difficult to do hence not so long ago, and to the surprise and outrage of many, some zoos housed human exhibits.<sup>4</sup>

## Part 2:

### Sound-Guiding Large Groups of People through Sound in the Shanghai Zoo

Among the long-time observations, choices were also given to the penguins. Here, is an example of the analyses of our observation notes taken by the team member Gisa Jähnichen. First step is the plain text and time analysis for the penguin observation. There are marked only time and simple facts through underlining and making time numbers bold: In a next step, all spontaneous notes regarding sound and motivations were marked through italics.

#### Observation sheet

Penguins, Shanghai Zoo.

June 4, 2021.

Music from speakers 1 and 18.

Little background noise, Strauss waltzes playing. Penguins calm, busy with body care. Small group visitors chatting louder over the music. Started observation at 10:36. Nothing much happens. The music is at a very low volume. The penguins sleep. One couple runs around. They are irritated by a plane making noise. They listen to other birds. Visitors do not irritate them. 10:55 big group of mixed visitors comes. Penguins are curious. Three taking to the water to get closer. Music is off, seemingly. 11:00, the foreign birds came in. They cooed at 11:04. Temperature is ~25 Degree Celsius. Two males swimming through the new fake plants. Their water immersion never lasts longer than 2 Minutes. Another group of 3 goes bathing at 11:11. I talked to one caregiver. Can it be that he called the music off? I found 2 more speakers on the way. Now, 11:15, many small groups flock in. Noisy, the penguins withdraw their attention. Just swimming from time to time. They only show interest in an elderly women with plastic bags full of food. I had to stop one

from feeding cherries to the penguins. Started Flute-playing. They find it interesting. Maybe, because of the flute looking like a water plant. They do not like people shouting. They look away and hide. The foreign bird hunts smaller birds. But the penguins are not thankful. The foreign bird is pretty much alone. All animals react to singing very obviously. They find it attractive. And come closer. Then they continue working on their fake nests. The foreign bird takes a bath with its long legs. The three penguins who swim the most are 2 males and 1 female. Still very young. They chase each other but stay clear of the foreign bird. Now a big group of noisy children coming. Penguins hide and look into another direction. I finish observation at 11:32.



Figure 11. Left, a heron-type of bird regularly visits the penguins. Right, the penguins love going for a swim and playing with the artificial water plants. Here, a couple (the smaller penguin is the male one) approaches their 'beach.' (Photos by the author).

This textual analysis was followed by visual marking of situations through taking corresponding photographs. In a later step, the way how these photographs are taken and what type of observation bias is playing a role can be analyzed. Here, in the primary observation, an 'invader' was found that tried to be hidden through adapting to the behavior of the penguins. However, this type of bird not only eats smaller birds but also eats fish and there are living many of these birds (heron type) in the area of the zoo. The penguins ignored or mocked the bird, possibly through the food concurrency the bird imposed on them.

### Discussion Beyond the Observation of Zoo Animals

In a follow-up meeting of the team, we discussed:

- To the animals and to the visitors, it obviously does not play a role which music is played. So, this music should be completely legal regarding copyright issues.
- The intensity of sound plays a role to all beings.
- It seems to be important to give options.
- The music played is better used in guiding humans than non-humans.
- Zoo animals we observed are oversaturated with noise. Can this be reversed?
- In music breaks, animals react surprised to natural sound environment. Their short memory capacity may help overcome strange feelings. They can be re-introduced into non-sound treatment.

- While humans might be already long-term conditioned to a necessary loudness in order to feel safely surrounded by the same kind of beings. Can this be reversed as well?

The research tasks carried out in the Shanghai Zoo have shown that most of the time, it does not seem to play a role which music/sound is played, how long, and in which frequency. Important is only that music is played at all and that this music is not too loud. The purpose of the sound emission was probably a positive adaptation to human made sound among all beings in the zoo, but this purpose might have been long time forgotten. Zoos, farms and other facilities where animals are held captive, sometimes 'enrich' the animals' environments with objects and experiences such as ropes, toys, aromatherapy and music to stimulate a desired behavior. It has been studied that musicotherapy can have a positive effect in animals in captivity.<sup>5</sup>

My part of this research is dedicated to the question of reviving or developing a purpose of sound emission in public spaces. Does sound emission in general increase the feeling of safety? Does sound emission coming with this purpose depend on the musical contents? If so, which music is played, how long, in which shape and quality?

These questions were then examined case by case. The research was extended to other places with publicly emitted low volume sound, especially in highly frequented places at tourist destinations and in urban parks.

### Another Hypothesis for Future Studies

The sound that was emitted in the Shanghai Zoo as well as in public tourist spots around Sanya and Baoting on Hainan Island, was gathered and put into a playlist by a person that is often not working in this field anymore. It can have been an intern or a temporary worker who got this task in an unprepared way and just searched for some sound pleasant to themselves and respecting one's own taste and preferences. Interestingly, the average musical taste and the common preferences of listening to low volume emitted sound in public spaces is adopted to this kind of musical contents. Since the average age of the population is increasing, too, the main group of listeners or users among humans is also recognizing this average and unrefined musical taste. Younger audiences may find it a bit old fashioned or little attractive in terms of musical effects. However, also younger audiences agree to the purpose of music emission and do definitely recognize this kind of music as a specific type of music played in public spaces. By them, an age-respecting musical contents or an adaptation to individual preferences is not anticipated. Only schools or similar institutions for small children may have another playlist, which is possibly created by people of a higher age who follow their primary imagination when choosing musical contents, hence creating a kind of "children music list."

## Conclusion

Generally, visitors agreed to the music played. It was remarkable that most visitors felt safer although they did not always feel attracted to the music. Also, the animals were obviously quieter in the presence of loudspeakers, especially observed with the larger birds. They have partly shown surprise when the music was off. Some needed the music to behave normally, such as the Katta, which slept with the music on. A general response could be observed with animals responding to human singing. This phenomenon needs further investigation.

The behavior of the visitors is at times dangerous to the animals and to themselves. It may need a long ongoing education to respect all beings. This education should include all people, not only children.

Music emission can contribute to guide visitors, yet overlapping sound should be avoided, such as observed near the parrots. The music is not to entertain the staff but to guide the humans and to calm the non-humans. Clean sound strategies are as important as clean air and water. The Zoo can improve sound quality by choosing better articulated music that is still well perceivable in low volume, and by planned breaks. Finally, copyright issues may emerge if the choice of music does not follow the basic requirements. This project will extend to select living spaces and gathering spots at different places in China in order to find a larger amount of data. Until now, we collected interview data, pictures, video clips, and descriptions of observations that mount up to approx. 5 GB.

## Endnotes

- 1 Overall, I found that of the five vocalizations tested, the yip, cackle, and twitter calls were used as agonistic submissive vocalizations for the male ring-tailed lemur. (Bolt, 2021: 430).
- 2 At the annual general meeting of the Dublin Society in 1861, two members complained that Sunday visitors teased animals, broke branches of trees and cut flowers. (De Courcy, 2010: 113).
- 3 Singing in this context means rather the production of structured sound using one's voice.
- 4 Human exhibits, also known as ethnographic displays, were a popular practice in Europe between the middle of the 1800's until 1958. In display were people native from foreign lands, mostly African countries, supposedly demonstrating their local behavior and customs to visitors.
- 5 de Assis Maia et al (2011) report that sounds are able to influence the behaviour of animals and can be used as positive and negative reinforcement, which is related to the cognitive capacity of animals. (Maia et al, 2013: 2868).

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# Visual Game Character Design to Engage

## *Generation Z in an Effort to Develop Anti-Corruption Behavior in Indonesian Society*

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### Abstract

This article aims to discuss the visual design of characters in a digital game about corruption and is intended to raise awareness of the danger of it for the Z generation. A visual character "in-game" is a better vehicle for spreading an anti-corruption message as each character has a different background and storyline representing their role and skills in a mission. The character, especially the villain figure, is based on a true story of a corruption case with a bit of modification, to make the message more easily absorbed by Gen Z players in Indonesia. Moreover, the main character in the game, Clapto Bandit Agent, is inspired by a Gen Z imaginary figure. The game would be played with teamwork to represent the values of the traditional game in which each player has a different role. They can feel like an agent (hero) who catches the corruptor who ruined their country.

**Keywords:** *Game Design, Design Research, Character Design, Interaction Design, Corruption, Indonesia, Gaming, Anti-corruption*

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## Introduction

Corrupt behavior in Indonesia is increasingly worrying, often occurring in various sectors; security, legislative, judiciary, executive to the private sector, known to satire as a "culture of corruption." This term appears because corruption is a common phenomenon that can be found in everyday life and carried out by formal or official government institutions. Phrases such as facilitation payments, facilitators, or helpers, are often heard in contexts related to the government, especially in handling documents, such as ID; cards, driver's licenses, and passports. Although nowadays, such expressions are less heard, indicating that reform, transparency, and government oversight are starting to work in synergy with the KPK (Corruption Eradication Commission).

KPK, as an institution that works to eradicate corruption, often provides recommendations to the government or regional heads in the form of input and suggestions on the importance of budget transparency to reduce the potential and opportunities of corruption. That is an act for prevention carried out by KPK besides taking action. In carrying out prevention, the KPK is also actively providing anti-corruption education at the school level. It can be seen by creating a module entitled "Anti-Corruption Education: Module Strengthening Anti-Corruption Values in Primary and Secondary Education." Besides, cooperation was also made with the Minister of Education and Culture, Muhadjir Effendi with KPK, and several other ministries such as the Minister of Research, Technology and Higher Education, Minister of Home Affairs, and Minister of Religion (HTTP // Ministry of Education and Culture, accessed 2020).

However, the problem is that education about corruption is more often included in other subjects because if it is added to the curriculum, it causes more curriculum subjects in schools. Therefore, the form of anti-corruption education is prioritized in its implementation. Anti-corruption education focuses on shaping character as society's social capital, such as honesty, responsibility, and integrity. Often social capital is rarely implemented in everyday life. That can be seen from the cases of corruptors that continue to emerge today. Through this problem, the challenge is how to build anti-corruption values to be implemented in daily life? Through this challenge in implementing Indonesian culture, the answer is to create various traditional games. Mainly, traditional games are not only created for entertainment needs but also a source of values and efforts to realize social norms and values for children, such as group work, honesty, responsibility, and help.

Nevertheless, nowadays, traditional games have been abandoned by Indonesia's younger generation, who prefer to play digital games. Here, digital games are gaining popularity across a broad demographic, from very young to adults. That is also in line with various studies about digital games in the context of behavior, games socio-cultural attitudes and games (Atkins, 2003; Salen et al., 2004; Sicart, 2014), persuasive play (Bogost, 2007), critical play (Flanagan, 2009), a game for change (Swain, 2007; Schrier, 2016; Grace, 2014). This game is suspected of being able to drive change, explore complex problem spaces, raise awareness, develop responsibility, encourage creativity, participate, and change behavior for social innovation

(Bayrak, 2019). Therefore, by adopting the concept of a game synergized with the context of the game, the effort to cultivate anti-corruption behavior in Indonesian society becomes more accessible and enjoyable.

The scheme in this research will be carried out in two stages. The first stage is finding and exploring social values and norms that intersect with corruption. The next stage is the implementation stage, where the visual game character creation process is based on the data obtained in the field, which is used as the basis for creating characters and narratives in the game.

### Methodology

The method used in this research is the mixed method, where data collection is emphasized through observations, interviews, field notes, and questionnaires to the target audience, namely Generation Z. This generation is those born in the mid-1990s to 2000s. The consideration of using mixed methods is due to obtaining more in-depth data. It is important to note that the nature of the data required to implement the work depends on the two types of data to be obtained through the application of these mixed methods.

In addition to using a mixed-method, this study also uses a random search strategy called a random strategy (Sarwono, 2007), a random search for solutions. This strategy is the most independent design stage in its implementation, whether it is accessible in sorting the design components or the sequence of the exploration stages. However, the emphasis of this strategy is the discovery of a concept based on indicators of its target audience. For this reason, data collection and analysis are essential so that the determined solutions can solve problems in the field. It was done before the designer finds and combines design concepts in the form of visual and verbal concepts, which can be poured into a medium that is attractive and close to the target audience's life. So that directly or indirectly, it will attract interest and attention and the target audience's mindset to be excited and attractive to play the visual character of the game that has been designed.

### Data Collection Methods and Sources Method

This study's data collection process was carried out, emphasizing social concepts related to corruption cases. The exploration process focuses on social values, norms, and rules that cause a person to commit acts of corruption. So, the exploration process thus seeks, knows, and finds social concepts in the form of values and norms, which will later be manifested in visual game characters.

This process begins with literature study, observation, and direct interviews structurally or not structurally through messages on social media and video calls at Google meet and making appointments to meet face to face with the speakers. Interviews were conducted with four informants who have different insights and expert fields. Some of the informants are considered experts in their fields, such as

Legal Counselors (advocates) who like and are interested in handling corruption cases. These psychologists focus on Gen Z's development and behavior, Games Design Branding Consultants who have experience in making games, and one of the Gen Z who is also Gamers, where their daily lives are never separated from the world of digital and games.

The following data is the distribution of e-questionnaires via Google form to all target audiences. That aims to determine the target audience's taste for the visual game's aesthetic appearance, figures, and characters.

### **Design Analysis**

The data analysis stage in the study was implemented and obtained from the field of the visual game character. The data will be identified based on the character and purpose of the data, after which it is followed up by starting to make a visual design of the game character. The important thing at this stage is the data interpretation process so that the design of the visual game character can solve the problems found in the field, following the message to be conveyed and meeting the target audience's needs. For example, in an atmosphere of fear, the visual character creator can interpret the language of fear through facial expressions. They were interpreted through the creation of appropriate font shapes and colors. The finale of the design will be informed by a logo, character/avatar characters, user interface (U.I.), and game environment.

### **Results**

Games as entertainment tools are not a new phenomenon. People can access games anytime and anywhere, commonly found games on cellphones. Realized or not, every android cellphone holder has been equipped with games, whether to play it or not. Games as a creative medium can drive change, suggest empathy, and instill awareness (Flanagan & Nissenbaum, 2014; Poon, 2018). Besides, the game can be a tool for learning and developing critical thinking skills, responsibility, and behavior change (Burke & Kafai, 2014). For this reason, the design of games in this study is used as a medium for reminding, informing, and communicating messages containing social problems such as the issue of corruption to the community, especially for the Z generation in Indonesia. That is something new and exciting to design. Furthermore, games can be as effective and communicative as interactive media.

It is because most Indonesian people can spend almost 8 hours daily with their phones. They use a phone for several purposes, such as the internet, social media, streaming for watching a movie or listening to music and game. Internet and social media have become the majority of people who uses their phone; it can be seen from the graph released by statista.com seeing the average Indonesian spend their time with their phone. The survey involves the number of people between 16 and to 64-year-old.

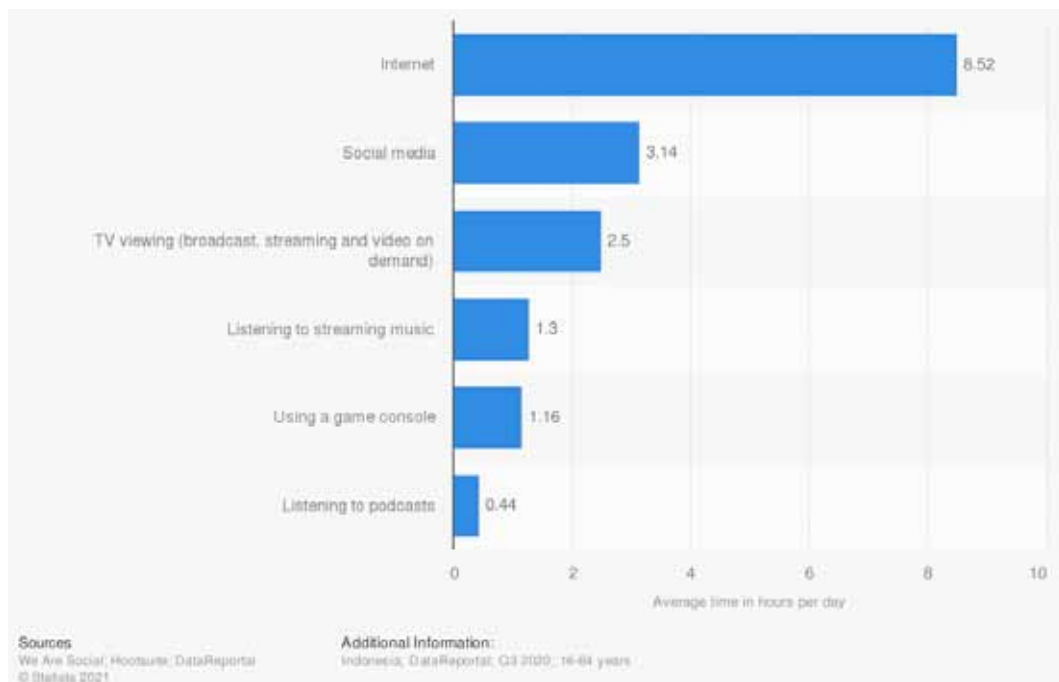


Figure 1. The data about time spent on online media in Indonesia from Statista.com and accessed on 20-09-2022.

However, for the game activities on mobile phones, the average number of people around 20 years old in Indonesia spend playing games on their mobile phones around 40 percent for less than 2 hours per day. Then, from 2 to 5 hours, approximately 45 percent, and more than 5 hours under 20 percent. Despite it, the gamer user can be divided into three distinct types; first, people who play for under 2 hours mostly play the game for entertainment, meaning they play only to enjoy their free time. Second, people who spend from 2 to 5 hours can be called moderate in playing the game for entertainment and challenge themselves to finish the mission in the game. Moreover, the third type is an addict, for people can spend more than 5 hours playing games. Furthermore, the most popular media used for playing games is a mobile phone with almost 100 percent and followed by P.C. (Personal Computer) and Console, respectively.

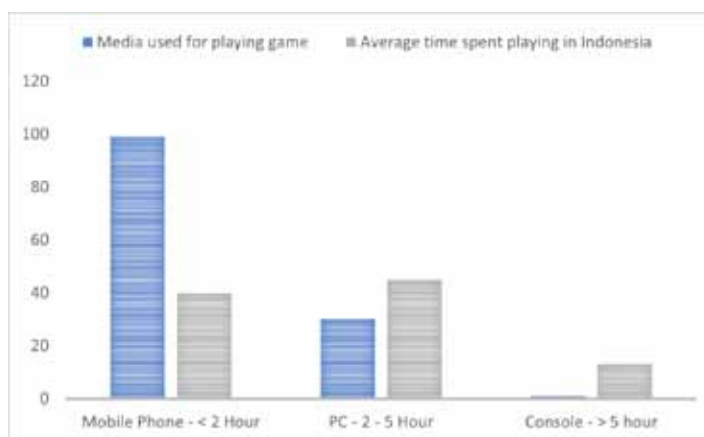


Figure 2. The data about the popular media used for games and time spent playing games in Indonesia.

Game design is also a fun design activity for creating interactive, fun experiences. The ability of game design brings the complexities of human design and social behavior into playable contexts has been explored by several researchers for value building, sexuality, morality, empathy, persuasion, and socio-political awareness (Flanagan & Nissenbaum, 2014; Sicart, 2014; Anthropi, 2012; Bogost, 2007). Additionally, it is supported by technological advances that make reality simulations look more accurate with stunning visual and audio effects, exciting stories, and players who can interact directly.

This statement followed various data obtained in the field and from the analysis of the results of the collected questionnaires. From 133 random samples of respondents who were asked to fill out, the e-questionnaire stated that the game was the alternative solution of the most choices, namely 34 %, and was followed by other media such as film and music in 32 % and 13 %, respectively.

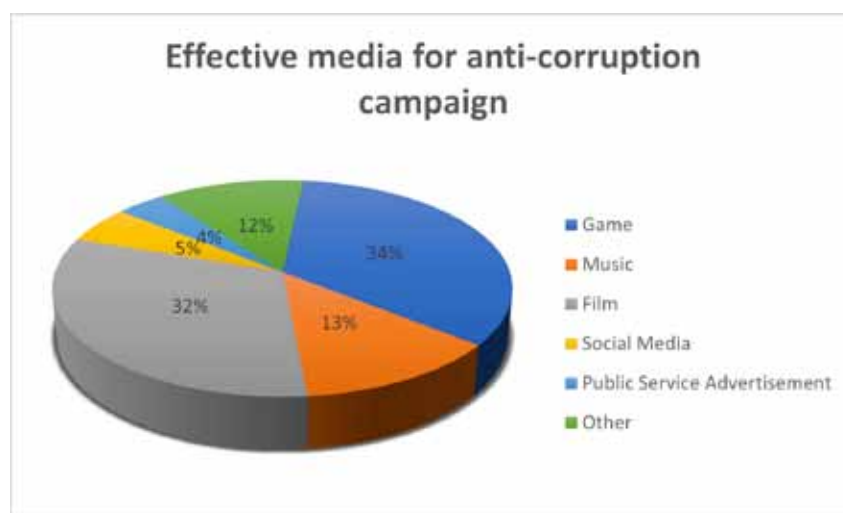


Figure 3. Effective media for the Anti-corruption campaign.

To start designing games, designers first begin by determining the game's identity. Here, the Logo plays an important role; the Logo is an element of the game's identity system, which will differentiate one game from another. Logos as elements of the identity system is often manifested in several forms, namely; 1. A logotype is a logo in the form of writing the entity's name that is specially designed using lettering techniques or particular fonts, 2. The actual logogram is a symbol representing a word/meaning. However, because of the similarity of words to logotypes, many assume the logogram is an image element in Logo (Rustan, 2009). In principle, humans make logos to become a sign of ownership, as a distinctive symbol of a company, object, publication, people, service, or idea (Adams, 2004). Besides, the Logo also serves as a sign of quality assurance and prevents imitation or piracy.

The Logo that is worked on designing this Visual Game Character is a logotype and logogram. Here the Logo is a marker of the entity and the game's identity. Making a logo starts by generating ideas about the game's concept and making alternative sketches that refer to the concept that has been set. This concept is later derived from becoming the name or brand of the game, the character profile designed, the

environment, and the scenario built from the game. This concept also refers to the characteristics of the target audience determined based on data obtained in the field.

The concept of designing the identity of this game packs anti-corruption values such as discipline, care, responsibility, hard work, simplicity, independence, courage, and justice into the form of visual game characters as a form of learning and awareness of corruption in a more pleasing to generation Z. The message conveyed in the visual design of the characters in the game is to present anti-corruption values in Malay culture through the characters in the game, both from a physical, psychological, and social perspective.

The big idea of this character design is to combine elements of Malay culture using a contemporary style. It can be a bridge to convey anti-corruption values to adolescents, especially Gen Z. From a psychological perspective, it includes a character's way of thinking according to their personality, how to create stereotypes and archetypes of characters that have physical characteristics that can represent Malay culture and have social capital which refers to anti-corruption behavior such as honesty, discipline, and responsibility.

To consider the game's name, we conducted a focus group discussion with the expert game designer Taufik, a Ph.D. student from Indonesia Institute of the Art in Yogyakarta Nofrizaldi, and Bandung Institute of Technology named Arif Budiman. The student Gen Z could represent is Faisal and Duhan from the Indonesia Institute of the Art in Padang Panjang. We shared several game names and then asked them to give their opinions. Based on participant recommendations, most of them choose Clapto Bandit because it is specific, imperative, and provokes the curiosity of the Z Generation. The game abbreviation C.B. is memorable like the other game P.B. (Point Blank) and ML (Mobil Legend).

Game Name	Participant's Opinion or Impression
Thief and Rob (TAR)	To general, it cannot provoke curiosity
The Greedy Bandits (GB)	Not memorable. It seems to complex
Clapto Bandits (CB)	Memorable, specific, imperative & provocative

Figure 4. Table of the results of the Focus Group Discussion about the game's name.

From the design concept that has been determined above, the visual game character can be represented by the name of the game or Logo and the visual form of the character's identity/game avatar. Visual identity in a logo, namely "Clapto Bandits." "Clapto" or "Klepto" refers to Kleptocracy, which comes from the Greek words Kleptes (thief) and Kratos (power). The Kleptocracy means the government of thieves. Based on its name, Kleptocracy is a term used to show the seriousness of a country's level of corruption (Mustofa, 2010). That refers to a form of government that takes levies (taxes) from the people or the public to enrich certain groups or themselves. This government is usually not far from corruption, injustice, and criminalization practices. The characteristics of a kleptocracy are that

the bureaucracy's level of corruption is very high, not only in the government (executive) but also in the legislative and judicial bureaucracies (Mustofa, 2010).

"Bandits" in Indonesian etymology are defined as criminals, thieves, and villains in the drama story (KBBI V offline). Clapto bandit is a new brand of online games based on android, where the narrative of the story that is built is the embodiment of a realistic simulation or corruption case that has been revealed. The avatars in the game world are replicas or imitations of actual reality, but the construction of space and the time depicted is the visual fantasy of the designer. The logo concept created is displayed in a futuristic typeface without eliminating the noble values of Malay culture. The Logo of the brand is represented through a logogram and logotype. The font used is the "Raleway" font type, re-modified and adjusted to a predetermined concept.

The process of creating a logo starts with making several sketch alternatives. The sketch here is a rough design or part of a design composition consisting of a collection of design elements (Eva, 2020). According to Yandri in Sketch Textbook I, sketches are minor strokes/signs, generally in smooth and fast lines of light effects captured from what is seen (Yandri, 2008). In an Introductory Book: DKV methods and research, Eva further states that sketches can also be understood as visual patterns or rough outlines in a design (Eva, 2020).

The number of visual patterns that are made depends on the designer's satisfaction. The visual pattern from the selected manual sketch results will be used to reference the exploration process using computer software.



Figure 5. Game Identity, Source: Rizki B. Documentation.

The "Clapto Bandits" game is classified in the RPG genre. It is because most Gen Z in Indonesia prefers to choose RPG games (see figure 6). This game has elements of a storyline and very diverse characters in it. RPG games have the following characteristics: enemy characters or monsters throughout the game, leveling, inventory, skills, and elements of quests or missions must be completed. Then there are items and magic for upgrading the level of the characters being played.

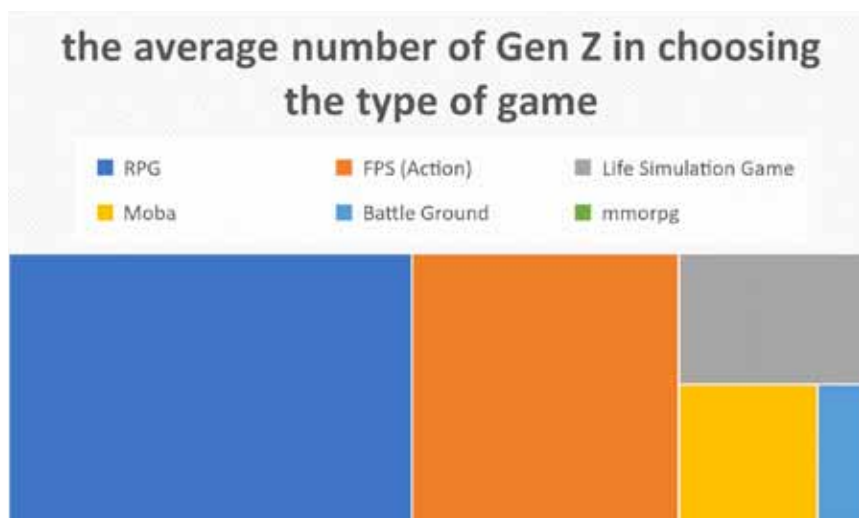


Figure 6. Gen Z in Indonesia prefers to choose the types of game.

One way to describe the flow of interactions in Clapto Bandit is through the game's storyline. In Clapto bandits, the storyline moves forward or straight, starting from start to finish. The flow of interaction in this game begins by choosing a predetermined avatar character, Ve, Tri, Ryz, Leo, to play (fighting with Croco robots and the Bandits).

### Game Narration

Name	Abbreviation
Clepto Bandit	C.B.
Joko Candra is a corruptor's name in Indonesia. In this game, he represents the Bandit or Villain.	J.C.
Jaksa Pinangki is also a corruptor, and she represents an Impostor in this game's character. However, Jaksa means prosecutor, and Pinangki is her name. In real-life Pinangki was released in Agustus 2022 due to the case of bribes.	J.P.
Clapto Bandit Agent	Agent C.B./ C.B. Agent
<b>Background Information</b>	
Player and Actor	Clapto Bandit: Corruption Eradication Agency Clapto Bandit Agent: Ve, Tri, Ryz, and Leo Bandit: JC (Joko Candra) Impostor: JP (Jaksa Pinangki) Robot Croco: J.C. Soldier
First Mission	Revealing the case of Joko Candra (J.C.)
Mission Background	This mission involved one of the prosecutors, so the Clapto Bandit Corruption Eradication Agency sent a member named J.P. (Jaksa Pinangki) to solve the J.C. (Joko Candra) case.

Figure 7. Table of game narration and background information.

### Player and Actor Background

C.B. (Clapto Bandits) is an anti-corruption agency with a core agent called the C.B. Agent. Headed by Ve, and recruits Leo, Tri, and Ryz to carry out a mission to find J.C. (Joko Candra) and prosecute him. The mission to be completed is in the case of J.C. (one of the corruption bandits), who disappeared, and his existence is difficult to trace/detect.

Ve is the leader of C.B.; She has high discipline and intelligence. She was involved in the mission of the J.C. case because the track record of C.B. agents was weakening and suspected infiltration by interests of the Bandits.

Leo: The oldest agent in the C.B. agency, he is the Executor and helps carry out the mission. It has destructive power that can paralyze Croco robots.

Ryz: A reliable hacker who has broken into many Bandits' websites and savings. He was often in and out of jail for his actions and decided to end his career in reverse engineering. Due to his reputation in the I.T. field, Ve recruited him as a C.B. Agent.

### The Background Story of the Mission

The story begins in 2090, at the end of the 21st century when the world's great allies are in a cold war. With the unstable world conditions, the corrupt mafia took the opportunity to expand the scope of their territory. One of the well-known corruption mafias is J.C. He has significant influence and power right up to the government. In response to this situation, a secret team was formed to look for evidence and arrest the corrupt mafia to end all crimes and their power.

Due to the unstable environmental conditions of the country, there has been much chaos in various regions. One area that is experiencing severe chaos is "Kota." There was born a child named Tri. Tri was born in a slum, chaotic, and poor environment. Tri has a friend named Ryz, who is an I.T. enthusiast. Tri and Ryz were born in the same neighborhood. Tri hates corruption, especially after his father and mother died due to being killed by bandits who wanted revenge because one of the bandit members was thrown into prison by Tri's father. After his parents died, he decided to enter the military and was recruited by the Clapto Bandits (anti-corruption agency) as a corruption eradication team (C.B. agent), but Tri has a weakness; he has kleptomania. To reduce his illness, he had to collect energy coins (loyalty) in every battle against the robotic Croco that was scattered by a Bandit boss named J.C. Besides loyalty coins, Tri can be healed with a manipulated capsule left by the robot Croco, but this capsule can weaken all of Tri's energy.

Another character is J.P. (Jaksa Pinangki), a participating prosecutor appointed to pursue J.C., who has the highest camouflage power and intelligence; J.P. is an avatar of traitors (impostors) who collaborate in carrying out the actions of the bandits. She likes the manipulated capsule. Because inside the manipulated capsule, there is greed energy, camouflage, and data evidence of corruption cases in the form of gratuities (car keys, airplane tickets, audio recordings, savings books

in the name of J.P.), which can add strength to J.P. Due to her high camouflage and intelligence, she was able to infiltrate the government and take part in missions. Manipulating capsules can also transform J.P. into their original form.

On their way, C.B. agents confronted the Croco robots; they were the envoys from J.C. apart from sending the Croco robots. J.C. also left the manipulated capsules for J.P. The capsule helps disguise J.P.'s role as an accomplice of J.C. On the other hand, the C.B. agent on this mission is headed by Tri, who is also experiencing some difficulties because Tri is interested in manipulating capsules to cure his kleptomania. Here Ryz tries to prevent Tri from taking a manipulated capsule because the capsule can weaken all of his good energies (social capital: discipline, loyalty, and intelligence) from Tri. Ryz must accompany and prevent Tri from avoiding the manipulated capsules.

At the end of the search mission, C.J. is caught, while J.P. runs away, and the mission continues to the next level.

NOTE: The Manipulate capsule contains: energy, intelligence, loyalty, evidence of corruption cases in the form of plane tickets, correspondence, audio recordings, photos, audiovisuals, receipts, and other gratification materials

### **Game Mechanism**

At the beginning of the game "Clapto Bandits," players will choose an avatar such as TRI, RYZ, VE, LEO, and J.P. to be played in the quest for JC (Bandits). After the avatar is selected, players can enter the battle arena. In the battle arena, players can fight with Croco robots scattered by J.C. In combat, players can collect energy loyalty coins and manipulate capsules to increase the energy of each avatar. Energy coins are a reward for the player for destroying the Croco robots. Nevertheless, there is a surprise in the middle of the game because one of the agents will turn into an impostor (traitor) whose job is to destroy the manipulated capsule's evidence. Unfortunately, players are not easy to find impostors. To find the impostor, one of the agents must reconstruct the evidence that has been destroyed. So, each agent knows the existence of an impostor and the existence of J.C. In the game, players will win when completing the mission list.

Meanwhile, the impostor will try to obstruct the search and destroy evidence from the J.C. corruption case. Players will win when completing the mission list. Meanwhile, the impostor will try to obstruct the search and destroy evidence from the J.C. corruption case. After the evidence is reconstructed, players can find clues to the existence of J.C. and win the mission.

### **Character Visual/Avatar**

Estidianti and Lakoro understand that a character consists of all characters who support the course of the story, both the protagonist, antagonist and supporting characters (Estidianti and Lakoro, 2014). The character/avatar design in "Clapto Bandits" is an illustration that comes with a human form and all its physical, natural, psychological, social background, and various behaviors. Character creation

here results from inspiration and thoughts born based on events directly experienced by the research team or from stimuli in reading a story or visual literature. The characters present in the Clapton Bandits game consist of 4 C.B. agents, namely: VE, TRI, RYZ, LEO, and one traitor avatar (impostor), namely J.K. and 1 Bandit: J.C. and Croco robots as supporting characters for the Bandits in blocking the mission.

Based on the participant's opinion, developing the game character is essential because each character brings the role and mission in the game and the narrative or storyline behind it. Therefore, the participant can understand the game's message based on the game's narration (Plow, 2015). It is, likewise, what happens in a movie when the author builds the character in their actor so we can follow the movie plot. However, according to Taufik, a character in-game is different because a player can choose the character based on their self, meaning the player sometimes chooses the character in a game as a self-representation (Interview Taufik, November 2020).



Figure 8. The comparison between Movie and Game Character.

To develop an emotional attachment between the player and the character/avatar, Maldon and Hayes Roth made ten keys to character presentation, both mentally and visually. Ten keys to presenting this character are giving identity, background, appearance, the content of the conversation, speaking style, gesture, emotional dynamism, social interaction patterns, roles, and role dynamics. Fulfilling the ten keys containing visual, physical, and social qualities will improve the quality of the character (Maldona do and Hayes Roth, 2004). For this reason, the first thing to determine before being visually designed is the formation of a written character concept. The thing to note is the "character description." Here, the character's various things, such as name, age, gender, nickname, and abilities, are clearly described. Next is the relationship between the characters and other characters, commonly referred to as the "character triangle," The last stage is the character design stage based on the storyline and environment. This stage includes interpersonal, social, and cultural. The character specifications described are as follows:

- 1. The drawing style is an illustration with a *shounen* visual concept where the visual character is adjusted to the target audience of the design, specifically adolescents.
- 2. Costume: As much as possible to maintain historical elements, but will be changed according to preferences.
- 3. Use a different color tone for each character.
- 4. Expressions: facial expressions and expressions based on traits, not historical evidence. Adapt the cyber fantasy trend from the hairstyle, and the model used.
- 5. Character-building elements include costumes and accessories using Malay patterns that have been modified according to the target audience's tastes.

Based on the considerations above, an alternative sketch is made, the starting point for producing the character/avatar design of the game "Clapto Bandits," as described below.

Sketch	Line Art	Color Base	Final Artwork
			
			
			

Figure 9. Stages of sketch, line art, color base, and character final. Source: Eva & Tri Documentation.

Sketch	Line Art	Color Base	Final Artwork
			
			
			
			

Figure 9 continued. Stages of sketch, line art, color base, and character final. Source: Eva & Tri Documentation.

After the sketching process is completed, the process continues with the line art and color base stages. In the color base stage, the colors used are determined based on the design concept.

Color Palettes

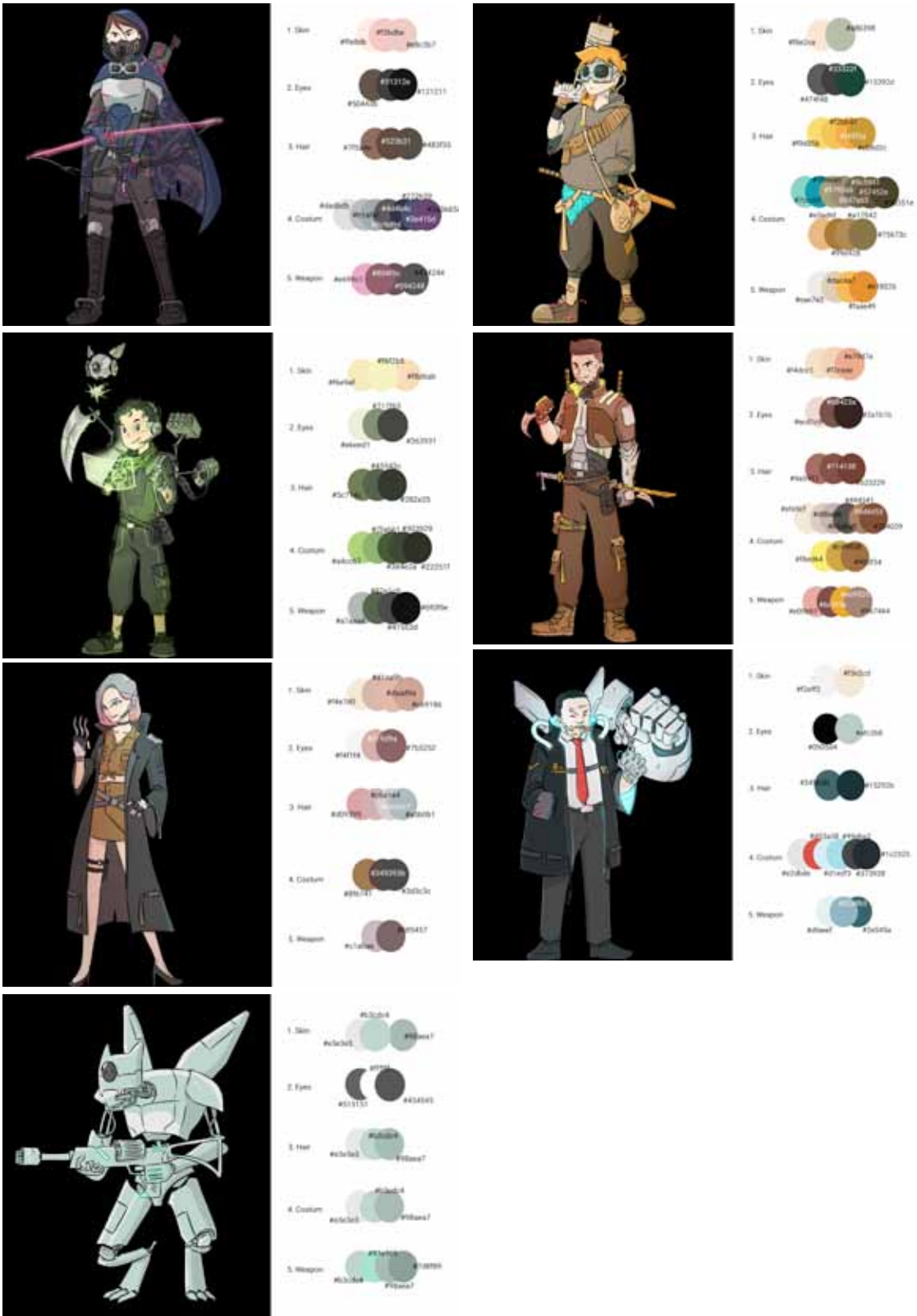


Figure 10. Color pallet Character Ve, Tri, Ryz, Leo, J.P., J.C. & Croco robots. Source: Eva Documentation.

The predominant color used here is tertiary, the third color in the shade that Brewster understands. The first is the primary colors, namely blue, red, and yellow. Then the secondary color consists of a mixture of primary and tertiary colors. A tertiary color is a mixture of colors between secondary colors. This color often appears based on the expression and interpretation of imaginative colors that broadly have not been defined by color experts. These colors arise as a result of the exploration and interpretation of the research team in understanding the design concepts determined based on the tastes of the target audience.

Meanwhile, the dominant use of these tertiary colors can create an imaginative effect for the players. Most digital games always use tertiary colors as a strategy to give the players a futuristic, imaginative, and fantasy impression.

### U.I. - User Interface (Start Pages, Game Play, Game Over, and Winner) and Environmental Game

U.I. is a visual display design of a system or application. This display allows users to connect and interact with the game application. Apart from functioning as a link, U.I. also has functions to beautify the page appearance of the application, so it can increase user satisfaction in using a system-based product, including the games made in this study. However, it not only has to be attractive, but the U.I. also has to be easy to use.

U.I. bridges the system (game application) with the target audience (user). The analogy is like visiting a house; the first thing we can see is the house's appearance, from the front yard of the house, the location of the main door, and the windows. However, some components are often seen, including buttons, typographic icons, themes, layouts, animations, and other interactive visuals. This U.I. interface is usually applied to operating systems, applications, websites, and blogs. However, in this study, the U.I. design focused on the attractiveness and convenience of the target audience in using the Clapto Bandits game. The following is the U.I. design from the Clapto Bandits game starting from the start pages, gameplay, game over, winner, and *Environmental Game* pic.

Creating environments in a game for players to explore is an equally important aspect of designing a game. It can be seen from the development of various games by several game developers today. Environmental game design has become a significant part of creating a world inhabited by avatars. Examples include depictions of old buildings, dying cities, buildings that began to fall apart in the Souls series, the original environment that is alive, like in the game Horizon Zero Dawn, and many more. That indicates that environmental design has always been a significant highlight for game developers to explore continuously.

The environmental design itself is an architectural aesthetic built into a game. That is intended as a place to live/environment that each avatar uses to interact with. In creating environmental designs, designers not only integrate a platform with the environment but also pay attention to the relationship between the nar-

rative, the players, and the environment to achieve a more alive (or dead) atmosphere under the theme of the game being made. That is very important so designers can build a quality game atmosphere. The goal is for users or gamers not to get bored if the game environment design is built very interestingly and creates a different taste or fantasy when playing the game. Therefore, the environmental designs that have been made in the game "Clapto Bandits," are inspired mainly by the environment in Indonesia. Especially in Jakarta and Sumatra, this game's environmental design follows the game's concept, where the emphasis is on Indonesia and Malay. The following is a display of the environmental design of the Clapton Bandits game.



Figure 11. U.I. - User Interface (Start Pages, Game Play, Game Over, and Winner) and Environmental Game Source: Tri & Riski Documentation.

## Conclusion

This study's primary concern is building Gen Z awareness of anti-corruption attitudes through gaming media. Games are used in this study as a medium that is considered the most effective in building this awareness. That is based on several assumptions, such as the condition of the Gen Z environment, which is so intimate with smartphones and games that are facilitated by these tools. Meanwhile, character-building could be elaborated with people's understanding of social capital. Social assets are social capital that every individual should own in a culture. Social capital is realized in many ways, such as rituals, punishment, exile, and advertising. However, in many social cultures, traditional games also realize capital. In games, honesty, sportsmanship, responsibility, and discipline are manifested in many games. Thus, the process of value realization or social capital embodied in the people's games is adopted to realize anti-corruption values. Social capital is not only a matter of exemplary values such as responsibility, loyalty, and honesty, negative values such as greed and camouflage (a metaphor for being two-faced). So, in this game, the social capital values will be transformed into the abilities

of each character. Through it, we can see which character is the antagonist and which is the protagonist.

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# The Transformative Power of Fashion Within Beauty Pageants: The Case of “Ghana’s Most Beautiful”

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## Abstract

Pageants can be competitions for ladies with qualities of beauty determined by societal values and norms. In pageants’ orientation toward continuous change, they tend to achieve results through the engagement of fashion; the most visible medium of change found in aesthetics, culture and social events. Ghana’s Most Beautiful Pageant’s engagement in traditional fashion has chalked up many successes. However, since its inception 15 years ago, little has been assessed on its transformative power. An exploratory sequential design was employed with a population comprised of viewers, fashion designers, organizers, judges, traditional rulers and contestants. Purposive sampling was used in selecting categories of respondents followed by simple random sampling. Sample size was 904, comprising 509 females and 395 males. Data from interviews, observation of videos and pictures were developed into questionnaire items, pre-tested with Cronbach alpha of 0.85. Findings revealed fashion played a transformative role on beauty pageants, it enabled contestants to act with a cultural sense, express egos and feel confident. The study recommends that pageant organizers and fashion designers engage more effectively the fashion concept in all activities for best results.

**Keywords:** *Beauty Pageant, Transformative Power, Fashion, Ghana’s Most Beautiful, Ghana*

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## Introduction

Beauty pageants whether on the local or global stage are lively events for production and contestation of cultural meanings (King-O Riain, 2008). Pageants have aims of uniting the communities through redefining beauty and projection of a country's diverse cultural values. The orientation toward continuous change can be found in modern society through beauty pageants of which fashion performs a vital role. According to Swale (2017), an article on conceptual fashion, fashion designers are cultural beings who link fashion to social issues and debates that play philosophical and political roles in society. Hence, fashion is the most visible medium of change reflected in aesthetics, politics, economics, culture and social activities.

As individuals and society use fashion to communicate lifestyles due to its abilities of causing change, so do pageants engage clothing and style as a tool for the purpose of achieving their objectives. Sproles cited in Karunaratne, (2016) defines fashion as a culturally endorsed form of expression, in a particular material or non-material phenomenon, which is discernible at any given time and changes over time within a social system or group of associated individuals. In the generalized concept, fashion object is either a special stylish product in the form of any behavioral practice, ideological philosophy, material or a non-material "social" product. Though designing of trendy garments are usually termed as fashion, there is the non-material aspect which bears similar characters within the society.

The fashion concept requires an object such as a beauty pageant to exhibit its principles of being stylist, non- permanent, functional and novel. This process must possess aesthetic expressions, psycho-social satisfaction coupled with adopter friendliness for possible transformational effects. Its acceptance must be based on the country's social systems with the dimension of change evidence to all. Fashion often has the power to formalize and direct individual and social lives due to its symbolic nature, which is largely not examined. It has a primary role for societal control and maintenance of social hierarchies (Campbell, 2015). Fashion has a primary role in every lifestyle and is an essential element of identity. It reflects the culture and the society we live in. Beauty queens embody their community's standards of femininity and morality. The idealized version of femininity, beauty, culture, morality and education are all bell-wearers of social change, celebrations of identity hence, the engagement of women and fashion in achieving results.

Beauty has always been a craft which is very local in its products and traditions with no global standard of what is meant to be beautiful. Standard of beauty varies from nation to nation but remain similar in value to the society at large. Beauty pageants normally select a woman to serve as a symbolic representation of their collective identity to a larger audience. A contestant represents common tastes and life of her community. The common tastes and lifestyle of members of society collectively form and represent the tastes and lifestyle of its people. The fashion and culture of a particular time symbolizes the spirit of the time (Chalactatpinye, Padgett and Crocker, 2002). For a beauty pageant, fashion and culture work together in achieving a common goal.

Pageants are competitions for ladies with beauty qualities determined by societal values and norms. It is mainly a performance art geared towards outlining beauty in all its totality within a nation or continent.

Beauty pageants also bring happiness to people, just like singing and dancing. Pageants are a highly popular form of entertainment for recreational and leisure purposes around the world with their queens embodying a community's standards of femininity and morality.

Preserving culture through beauty has always been the dream of every nation which is normally interrupted by global fashion. Within the fashion concept, contestants within every pageant are required to give several presentations on culture as required of organizers in every activity. These among others include appearances of clothing, performance and behaviors. Contestants who chose to sing or dance to exhibit their talents must also complete it in a traditional newest style as required in theories of fashion.

Balogun (2012) asserts that in emerging nations, beauty pageants perform important dual roles by both creating a more diverse vision of femininity that places a nation squarely in the international arena and unifying vision of a country's femininity within itself. GMB pageant primarily focuses on "cultural values" and its contestants come from the numerous ethnic groups residing in all regions of Ghana. The pageant seeks to re-define Ghanaian beauty; promote cultural awareness and preservation, of the regions of Ghana through the concept of fashion and among other things. It was also staged to re-unite the nation by showcasing national distinctiveness and pride, coupled with the exhibition of various Ghanaian cultures.

According to Frimpong (2016), the President Osagyefo Dr. Kwame Nkrumah crowned Miss Monica Amekoafia as Ghana's first beauty queen, in the year 1957 after independence. The biggest and oldest national beauty pageant in the country "Miss Ghana" offers the independent Ghanaian woman a platform to positively impact on her society. Since that introduction, more deserving intelligent young ladies have been successfully crowned in other similar pageants. Notable amongst them are Miss Malaika, Miss Tourism Ghana, Miss Earth and others from academic institutions and traditional festivals. All of these pageants came with unique set of approaches in addressing social issues affecting the country through the engagement of the fashion concept.

In the year 2007, an insightful pageant culturally educative with a national patronage called Ghana's Most Beautiful pageant (GMB) was established with the theme: "Redefining Beauty to Promote National Unity and Development." Its reality show became a replacement of the then 45-minute television programme on Ghanaian culture entitled "Akwaaba." Later the programme was extended to all sixteen regions of Ghana for a wider knowledge of the Ghanaian culture resulting in the name "Ghana's Most Beautiful" pageant. GMB pageant was an adaptation of a beauty pageant in Malaysia called "Malaysia's Most Beautiful" in 2007 with the main objective of showcasing Ghanaian cultural values. The pageant is organized

by a television station in Ghana called TV3 which uses the female gender as a powerful symbol of communication (Personal communication, Prince Dartey, TV3 GMB organizer, 3rd August 2016).

Fashion as an educational discipline has its own unique methodologies and principles but as a field, its strength exists in what it borrows and adapts from other disciplines. This is because it is universal, hence its power to integrate and perform well in two main areas; as a field and that of a discipline. Breward (2003:9) revealed that "Fashion's very existence points to a profound shift in attitude amongst historians whose profession has not always been so open to suggestion and change." The term fashion is at the intersection of many different disciplines aiding their progressing, so was it observed at the pageant Ghana's Most Beautiful. A finding which supports Breward (2002) call for fashion scholars to continually emphasize the validity of fashion as field for academic investigation due to the numerous values it has to offer.

Perhaps the tendency to address fashion field in a singular manner might be one of its weaknesses in the new emergence of its studies. Similarly, a pageant is made up of various activities borrowed from other fields. It is observed that the fashion concept was the only tool that blends all other aspects of a pageant into a unique purposeful event. Studying it as a cultural sign, designed consumables, or as evidence of broader historical and social processes must be the order of the day. The question that continues to linger is whether fashion has something unique to offer in beauty pageants. Lang and Lang (1991) define fashion as an elementary form of collective behavior with a compelling power in implicit judgment of an anonymous multitude. If the power of fashion is underrated then it is as a result of it not being well understood by the public. Perhaps one weakness of fashion is in its tendency to be addressed in a singular manner, (Breward, 2003) stated. When pageant's practices misconstrue then it results from the organizers' inability to connect all activities to the main purpose of pageant. Similarly, the forces of fashion which directly influence the acceptance process have not been appropriately explored.

To what extent is GMB pageant pursuing its agenda through fashion? Hurlock, Elizabeth a sociologist, a philosopher, an economist, and a psychologist affirmed, "The fashion impulse is the most astonishing and potent social force that influences upon the behavior of the individuals due to its universality and rapidity. It has close relationship to the social and economic life of nations. She tried to find out satisfactions derived from people's obedience to fashion and the motivational basis for this form of human behavior. MacLeod (2013) explains that fashion in its most general sense is the pursuit of novelty for its own sake. A pageant with fashion as the main tool must continue to employ new ideas into its activities. This explained why Karunaratne, (2016) asserted that "For centuries the phenomena of fashion behavior have been the varied subject of social analysts, cultural historians, moral critics, academic theorists, and business entrepreneurs." Sproles again believed that the generalized concept of fashion has significant interest to social and cultural scientists. This is because, deductively, the universal definition could be modified to define any specific phenomenon. For example, in the classic

arena of clothing fashion, application of the generalized definition may be derived in solving other problems. The purpose of a local pageant is to influence the public into accepting desirable beliefs and values and consequently the adaptation of the fashion concept and ideals.

### **Generalized Fashion Concept Theory**

Karunaratne (2016) describes fashion as a form of expression that, is material or non-material culturally endorsed phenomenon, discernible at any given time but changes over time within associated individuals of a social system. He explains this through Sproule's theory that is constructed to reflect a generalized concept of fashion represented in a wider realm of non-material as well as behavioral phenomena. An assessment that conceptualized fashion in two different dimensions: the object of fashion and the mechanism of fashion with its distinct connotations: The fashion object, like any behavioral method, is either a trendy commodity or a non-material "social" product. For instance, Ghana's Most Beautiful pageant as well as its contestants are fashion objects that consist of unique appearance in clothing styles and characters for the fulfilment of purpose.

Fashion has series of stages through which a possible object or its mechanism travels from its development stage to public presentation and acceptance. In the cycle, members of a social system are introduced to a possible object and embraced by some leading individuals sometimes referred to as innovators. This is eventually disseminated by a certain degree of acceptance to other members of the social system causing change.

The cycle of fashion reflects a complex system through which the object finally emerges as accepted or rejected. The pageant over the years presented various cultural activities including traditional clothing and practices through the engagement of the fashion concept. The rate of acceptance or rejection of a pageant determines its success or failure of achieving its objective. However, the extent to which the fashion concept is engaged makes the difference.

Fashion objects such as clothing, style of behavior and activity possess unique properties that distinguish one phenomenon from the other. Contestants portray these characters to distinguish themselves from each other. Some stakeholders claimed there were critical features and elements in the pageant that could result in changing of the Ghanaian society. While earlier research works outlined main activities of the pageant some gave an overview of beauty standards culturally portrayed within GMB. However, limited assessment has been done since 2007 on the transformative power of fashion within beauty pageants.

Even though it is evident that, fashion is always present in beauty pageantry, its concept was sometimes not fully explored. Fashion designers in the quest to exhibiting their creativity rather create flamboyant designs that overshadowed some specific roles of contestants. Certain styles of activities were also not complying to main objectives of pageant. This study looks at the transformative power of the fashion within GMB beauty pageant in the Ghanaian society and sought to find answers to the following:

### Research Questions:

1. What characterizes fashion objects within Ghana's Most Beautiful pageant?
2. What is the essence of fashion within Ghana's Most Beautiful pageant?
3. Are there any transformative potentials of fashion within Ghana's Beauty Pageant?

### Methodology

The study employed a mix-method approach with the exploratory sequential design. The exploratory sequential design investigates and surveys research cases that require qualitative data built to quantitative data for the attainment of findings on a phenomenon (Creswell, 2016), a design process which enabled the researcher explore Ghana's Most Beautiful pageants to ascertain in-depth knowledge on transformative power of the fashion concept from selected stakeholders of the event.

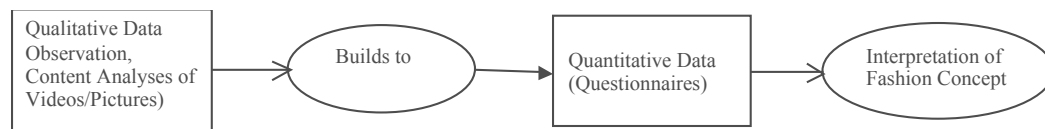


Figure 1. Research Design (Exploratory Sequential). Source adapted from Creswell (2016).

The study employed the exploratory sequential type of mixed method design (see Figure 1). This approach is often employed in investigating and surveying on research cases to explore and ascertain in-depth knowledge on a research problem. The process enabled the researcher find out the characteristics of a fashion object, its essence and transformative power. The fashion perception within beauty pageants from key stakeholders such as traditional rulers, organizers, fashion designers was explored to ascertain an in-depth understanding and to further test their views on the general viewers of the pageant in a quantitative study.

The target population consisted of TV3 staff, producers, judges, Council for National Art and Culture officials, traditional rulers and general participants of the GMB Pageant. Accessible population was made up of categories of selected stakeholders at the pageant centres. A sample size of 904 respondents was selected through purposive sampling from selected individuals with special link to the pageants. Stratified random sampling was applied in selecting strata from categories of respondents while simple random sampling was used in selecting individuals from three strata developed. Data was collected during auditions, regional durbars, launching, reality shows of 2016, 2017, 2018. Observation, interview, content analysis (pictures and videos) and questionnaire were employed.

Observational instrument was used in studying variables under study as indicated by Baker (2006) that a personal observation reveals various attributes of variables in question. Interview was employed to discuss the research problem thoroughly as stated by Saunder, Lewis, Thornhil (2016). It is a study that gives one the opportunity to explore for an in-depth knowledge on key variables such as the power of fashion in pageant.

Content analysis was used for the examination of the fashion concept within the pageant. It is a research technique used in making valid interpretations from data to context through live performance, pictures, video and documents (Bell 2010). Contestants clothing and judges' comments delivered during reality shows were also studied. Content analysis technique was employed for making inferences through systematic selection and identification of specific fashion characters.

Research data was first gathered qualitatively and analyzed to discover the characteristics of fashion and its role within the pageant. Quantitative items were developed from the qualitative findings and related literature, e.g., questionnaire items were constructed from data collected through observation, interviews, pictures, judges' comments and contestant performance. These were categorized into various divisions with both open ended and close ended items. Likert scale with responses on "Strongly Agree" (5), "Agree" (4), "Not Sure" (3), "Disagree" (2) and "Strongly Disagree" (1) was used. The items were constructed in positive statement with the score of 5 being the highest and 1 the least. The Cronbach alpha value of the piloted items at GMB inauguration ground was 0.85. Simple random sampling was employed to various groups of participants present at the function.

The moral principles that govern the conduct of a person, group or institution is known as ethics. Consent was obtained from TV3 and respondents. Respondent anonymity was also assured of respondents. Data was collected through observation, pictures and interviews. The Cipp Evaluation model approach of Stufflebeam (2017) was used for assessments during the pageant activities. Descriptive research was used to examine the fashion concept within the pageant and supported by theory understudied: generalized fashion concept of Sproles cited Karunaratne (2016).

Data was then analyzed through frequencies, percentages, mean and standard deviation to ascertain the essence of fashion in the yearly events. Findings from both qualitative and quantitative methods were then presented justifying the potential impact of fashion on the Ghanaian society.

Status	Category	Sample size
TV3 Staff – 4 APL Producers – 7 Contestants – 16 Past Queens – 3 Judges – 6	Category A (Stratum 1)	36 (Qualitative)
Traditional Rulers – 14 Fashion Designers – 11 Chaperone – 1	Category B (Stratum 2)	26 (Qualitative Data)
GMB Viewers on activities grounds – 846	Category C (Stratum 3)	846 (Quantitative data)
Total		<b>904 (Qualitative &amp; Quantitation)</b>

Figure 2. Table of sample size of respondents. Source - field work 2022.

The respondents were from the different categories of participants within the pageants however the study required data on their general views regarding the fashion concept within the pageants. While selected traditional rulers, judges, organizers and fashion designers were interviewed for expert views, all others participants were administered questionnaires.

## Results and Discussion

### Demography of Respondents

Gender	Frequency	Percentage
Female	709	67.5
Male	342	32.5
Accessible respondents (Total)	1051	100
Retrieved questionnaires (Total)	<b>904</b>	<b>86.0%</b>

Figure 3. Table of total number of respondents.

Total number of respondents was 904 with 509 representing 56% females and 395 (44%) males. The age range for the highest respondents was 21- 25 years with a total of 445 representing 43.2 %. The least age range was 45-49 with a total number of 42 respondents representing 4.1%.

### The Characteristics of Fashion Objects within Beauty Pageant

A fashion object in beauty pageants is a contestant and her unique appearances which portray features of societal taste, novelty and with specific functionalities. It was observed that, the appearance of each contestant and her behavior were purposefully exhibited with striking qualities. The fashion objects were either a stylish product in the form of any behavioral practice, ideological philosophy, or a non-material "social" product as confirmed by Karunaratne, (2016). Three members of the organizing team indicated that fashion within beauty pageants was the striking force associated with their success exhibited in the event. It also aided the progression of each contestant and her fashion designer in the competition. The mechanism of stages through which a contestant appearance moves from its creation stage through public presentation to acceptance was influenced by the fashion concept. A person performing an activity to the admiration of the public describes both the totality of the fashion object and its process.

GMB pageants over the years presented various cultural activities including dressing in traditional costumes of the Ghanaian society. It also presents ladies of different structures, talents and characters but at the end, the rate of acceptance or rejection determined the success of the fashion roles each played within the event. Both fashion object and process have unique characteristics that differentiate one phenomenon from the other. A summary of some of the critical characteristics and elements of fashion illustrate how an object could be differentiated from specific behavioral ones (Sproles 1974). Fashion differentiates an individual from the other through dressing, projection of one's personality, and beauty. Performance of a contestant is announced, enhanced, and described through the functional clothing worn. The fashion object particularly in all pageant activities

and physical products, have several unique characteristics (Karunaratne, 2016). The fashion characteristics exhibited at the GMB pageant were as below.

#### ***Non-permanent Features of Fashion Objects in GMB Pageants***

Fashion objects are subject to change, undesirability, and eventual replacement by "newer" ones. It is dynamic and changes within specific time periods; so also, was the activities of GMB especially contestants clothing and appearance. An observation on content of pictures and videos revealed that the pageant yearly activities were not fixed, though there were common ones that keep repeating themselves each of the three years study come with an entire novelty. For example, every year regional representatives' costumes were culturally adorned and endorsed during regional durbars; contestants' traditional costumes in 2016-2019 were same form of outfits. On the other hand, contestants' reality show presentations kept changing to suit trend of the day and meet societal demands. Karunaratne, (2016) asserted that fashion object is continually modified from its present state for the purpose of its continual acceptance hence traditional costume should be stylist and for possible adoption. For a pageant like GMB to be successful it must continually present its activities in an innovative manner since fashion is not static. The desire for traditional wears received prominence through the pageant due to the continual creative form of dressing.

#### ***Functional Utility Roles of Fashion***

A fashion object has characteristics of functional utility. Designing or performing in abstract does not promote pageant's objective, fashion clearly spells out the particular role played aside entertainment. During the reality shows, it was observed that most designs were made for general admiration and acceptance of object (contestants) but not linked to the roles played. This was continually observed by GMB judges through their comments on each performance suggesting the point of fashion playing the functionality role. A behavior of a fashion object in a beauty pageant must be symbolic, tasks purposive and results oriented. Most viewers when interviewed approximately 51% affirmed that clothing played a role in defining a contestant identity, status and profession being exhibited on stage. While the remaining 49% still believed there is more room for improvement regarding their projection of African appearance. A revelation confirming the functionality of the fashion concept.

#### ***Fashion Characterized by Conspicuous Newness/Novelty***

Most times, the "current" or "acceptable" fashion styles are subject to and defined by public "tastes." Fashion objects of any given time symbolize the "collective tastes" of the social system. Though all types of products are out in the market for sale, fashionable products are more acceptable. Similarly, the endorsement of a pageant or contestant by their community suggests its general approval.

### *Fashion Objects are Characterized by Conspicuous Newness/Novelty*



Figure 4. Fashionable presentation of local dishes by GMB Finalists. Source: (Field Study, 2018).

When a fashion activity or object is initially introduced, the object must be characterized by conspicuous newness/ novelty and to become "exclusive" when compared to existing objects. (Karunaratne, 2016). Figure 1a has a small basket and bowls set from a local home transformed into a traditional stylish table set (1b) during a cooking competition by GMB contestants. Spectators admitted that the practice was a beauty to behold in the local kitchen. They further acclaimed that fashion comes with a compelling force that brings out the exclusive beauty of every object or events. MacLeod (2013) confirmed this in his statement that fashion in its most general sense is the pursuit of novelty.

Objects lose their exclusiveness as a desired item after they have been utilized, or conformed to by many persons for a long time. It takes the practise of fashion to repackage and re-design them to acceptable standards, a practice that was observed in Ghana's Most Beautiful. Lang and Lang (1991) revealed that fashion has an elementary form of collective behavior with a compelling power in implicit judgment of an anonymous multitude. The pageant according to all traditional rulers interviewed has brought so many dead traditional practices back to life. Innovation brings about acceptance and constant renewal makes it trendy and most desired. The question is, to what extent would the Ghanaian society adapt this transformative process initiated through the fashion concept. Africa also has its standard of beauty which could be explored and promoted but is often neglected. GMB pageant through its fashion concept introduces new stylist forms of presentation of the African beauty for possible adoption.

### *Psycho-social Characteristics of Fashion*

The fashion activity/object contains directly relevant psycho-social characteristics such as high social visibility or conspicuousness, and expression of high personal ego. Pictures gathered suggested every contestant's appearance portrayed their inner values as well as their representative regions to establish their personal and social high-class attributes. The social characteristics of the fashion object (con-

testant) constituted the critical motivations for its acceptance. Hence Karunaratne, (2016) statement that fashion is a culturally endorsed form of expression within a social system or group of associated individuals. It does not only exhibit personal attributes.

#### ***Fashion Product as a Luxury***

The fashion product sometimes represents a "luxury" rather than a necessity or commodity product. For example, in physical products the object could qualify as a luxury if a premium price is discretionarily paid for "desirable" designs. Within the GMB pageant, such designs were perceived as being the newest, more aesthetically appealing, or generally more "attractive" as compared to other alternatives. Most of the designs worn by contestants at the Ghana's Most Beautiful pageant were either traditional woven cloth or local prints, which eventually promoted their patronage.

#### ***Essence of Fashion within GMB Beauty Pageant***

The fashion object is socially differentiated for various cultural utilizations such as the creation of sex appeal, social role performance, life-cycle position, occupational position, prestige position, and other life-style functions (Karunaratne, 2016). These are all made possible through clothing and for that matter fashion. The table below provides a clear description of what clothing does during pageants.

Item	M	SD
Clothing of contestants portrayed in all sections of the pageant is culturally accepted in Ghana.	3.89	1.250
Fashion objects has the essence of portraying the Ghanaian culture during GMB pageant	4.33	0.913
Clothing reflects the true values of each region's culture.	4.22	1.020
The traditional costume during durbars promoted its patronage	3.71	1.205
The local textiles prints gained its value through the pageant	4.00	1.014
Contestants' costumes bring out the African beauty of women	3.54	1.242
Contestants' clothing promotes cultural consciousness in community.	4.09	1.050

Figure 5. Table of the essence of fashion in beauty pageants. #  $p = .05$ .

Results in the table suggests that fashion objects have the essence of portraying the Ghanaian culture during GMB pageant (M- 4.33, 0.913,  $P=.05$ ). Upon finding out if clothing worn during GMB pageant reflects the true traditional culture of each region, respondents indicated a score of (M- 4.22, SD 1.020,  $p=.05$ ) suggesting a high mean of fashion being of essence to the event. Again, the results show that traditional costumes worn during the regional durbars promoted their patronage (M-3.71, SD-1.205  $p=.05$ ) implying the power of clothing to market a culture, an idea or concept within a segment of a pageant is very vital. Swanson and Everett (2015) describe fashion show as another promotional tool in the industry with the

most thrilling effect. Although fashion shows are produced for a variety of reasons, the primary aim is the making of an authoritative visual statement. Costumes worn within the GMB pageant revealed African beauty and subsequently gained their value through glamorous presentation (M- 4.00, SD-1.014 p=.05). Contestants' clothing therefore promotes cultural consciousness in the community. (M-4.09, SD-1.050 p=.05).

From the statistical results, it is established that clothing aids the accomplishment of one's intentions in social and personal lives. Fashion as a catalyst in beauty pageants also has the power to distinguish between cultures, standards, trends, temperaments, and type of events. Furthermore, it plays roles of advocacy, projection of culture, revelation of beauty, advertising of products and enhancement of value. A tool which could transform a scene into an emotional, socio-psychological, communicative and educative expressions. Fashion is a powerful tool for changing lives especially through pageants.

### **Transformative Potentials of Fashion within Beauty Pageant**

Koomson (2016) explains that pageants are public entertainment events of selecting young girls in an elaborate, colorful and competitive manner. It traditionally focuses on judging and ranking of a contestant's personality and physical attributes. Intelligence, talent, and ability of answering judges' questions satisfactorily help in defining a participant's beauty in a pageant. Fashion is not only clothing but essentially symbolism with relation to habits, arts, ideas, living and morals. Karunaratne (2016) affirmed Sapir's definition by further describing fashion as behavioral phenomenon broadly based and evidenced in a variety of material and non-material contexts. He further explained that it is an inclusive realm of non-material as well as behavioral phenomena. To confirm this, Calefato theory termed it as an interdisciplinary field that has a meaning system within which cultural and aesthetic portrayals of the clothed body are produced. Wilson (2005) crown all by defining fashion as a kind of performance art, with which clothes act as a picture announcing the action.

Organizers indicated that, variety of performance within a pageant must exhibit different forms of appearance through outfits worn by contestants. Judges emphasized that apparels must announce the act or role of a contestant on stage. Traditional rulers during regional durbars ensured their representative put on clothing that relates to their culture while fashion designers add creativity to styles worn. Wilson delights in the power of fashion to mark out identity or subvert it. In the sense of beauty pageants, clothing is signifying systems in which the individual and social order are defined, created, experienced, understood, and communicated (Barnard, 2019). Based on this assertion, judges repeatedly suggested to fashion designers to coordinate designs with what a contestant intended to communicate.

### **Fashion Differentiation and Individuality Ability in Pageants**

Apart from the fact that fashion (clothing) certifies basic functions of protection, adornment, modesty, and expression of social status, other reasons for adopting fashion include meeting social, psychological, and cultural needs. Fashion

also satisfies the desires for uniqueness, affiliation, and distinction. Azuah (2014) revealed that one of the earliest theories which formed the hypotheses of wearing clothes was the Modesty/Shame theory. A theory known as the fig leaf theory connected to the story in the Bible when Adam and Eve realized their state of being naked when they ate a fruit from the knowledge tree (Genesis 3:7). Recognizing shame, they both stitched clothes out of fig leaves to cover their nakedness, hence the name fig leaf theory. The extent to which one covers herself is determined by fashion yet must be defined through culture. In an interview with GMB judges, it was explained that a contestant clothing must therefore differentiate her from the others since all contestants come from different regions.

All contestants admitted that the pageant brought out their unique potentials. Their confidence in public speaking, boldness and desire to be different while receptive of all was the best thing that ever happened to them. According to Inglessis (2008) study on “Fashion, Culture and Communications,” fashion provides a way for individuals to differentiate themselves from others; express their egos; feel overconfident; proclaim their uniqueness; create self-symbols; express personal creativity and aesthetic talent; and to cover or hide feelings and manage their moods. Clothing reveals information about an individual's personality, and economic standing which do not operate in a vacuum. It is normally situated within an acceptable environment which is again created by fashion. In an interview with traditional rulers, they affirmed that contestants clothing during regional durbars were culturally appropriate. The African must follow his/her traditional norms, values, and beliefs to be more appreciated within same environment. A pageant that seeks to promote culture should not be seen doing things contrary to society norms. Cheng (2015) concluded that while culture and traditions inspire what one wears, events also influence one's choice of clothing. Thus, the pageant event could possibly change life styles of viewers when the fashion concept projected in GMB is properly engaged. Further investigations revealed quantitatively the power of fashion and social affiliation.

#### *Social Affiliation of Fashion among GMB Contestants*

Beauty of customs and traditions were portrayed by contestants through clothing worn	4.39	0.864
Contestants portrayed special identity of every region or tribes	4.38	0.763
Cultural consciousness was gained through the fashion concept of GMB pageants	3.98	1.066
Practices learnt in the pageant are relevant to the Ghanaian society	4.11	0.855
My beliefs on culture have changed through GMB pageant.	3.50	1.226
Valuable cultural skills were exhibited by contestants of the various regions	4.31	0.843
Contestants' style of communication during presentation is culturally accepted in the Ghana	4.00	0.971

Figure 6. Table of viewers responses on fashion concepts within pageants.

With regards to the fashion concept's relevance in Ghana's Most Beautiful (GMB) pageants, participants believed the pageant concentrate on good social practices that enhance affiliation. Contestants portrayed special identity of every region or tribe with a mean record of ( $M=4.38$ ) and standard deviation ( $SD=0.763$ ). Cultural consciousness was gained through GMB pageants ( $M=3.98$ ,  $SD=1.066$ ). Practices learnt in the pageant were relevant to the Ghanaian society ( $M=4.11$   $SD=0.855$ ).

Some participants indicated their beliefs on culture changed through the pageant with a mean of ( $M=3.50$ ) and standard deviation of ( $SD=1.23$ ). The results also showed that valuable cultural skills were exhibited by contestants of the various regions with a mean score of 4.00 and standard deviation of 0.971.

One important need which was satisfied by fashion was that of social affiliation which could not be overemphasized. Appearance or certain behaviours give clues to who or where a person belongs. Sometimes members of social groups adopt particular clothing styles that eventually become means of group identification. Individuals who want to achieve or maintain social approval, acceptance, and a sense of belonging conform to the group dressing norms. For example, compliments about one's dress become a tangible component of group acceptance (Azuah, 2014). The extent to which Ghanaians are identified with particular costumes worn within GMB pageants indicates their acceptance for the outfits. During the presentation segment of the pageant, individuals or groups of people were identified by their clothing. This maintains conformity and emulation of taste of admired members within the group (Kaiser, 2015). This went a long way to promote the region from which this costume originated.

#### *Fashion Expressing Social Status Through Transformation of individuals*

Fashion has been engaged in expressing the status of personalities.



Figure 7. Left, Drum appellation. Right Clothing expressing status. Sour (Field study, 2018).

The pictures above show two types of activities, status, postures and clothing expressions. The one on the left illustrates a man of higher status comfortably seated and being praised by another traditional drummer that squats on the knees. The different types of clothing worn and activities performed coupled with the postures communicate status. The comfortably seated man dressed in blue “Bermuda” pair of trousers with brown shoes to match and a neatly folded red towel on the left shoulder is more superior than the drummer, squatted and dressed in a normal smock with a light blue towel placed on his neck. The right image expresses a fashion object in an excited and self-fulfilled state. The main distinguishing feature of status here is the type of clothing worn. Fashion according to Cambell (2015) often has a strong role in formalizing and directing individual and social life due to its symbolic nature.

People frequently judge others' social worth and status according to what they wear. Clothing can indicate the status an individual has in the economic system of a given society by reflecting his or her occupational role. In the GMB durbars, traditional rulers were identified with various regalia symbolizing authority and power. Traditionally, in the northern regions of Ghana, a married woman would put on two pieces of cover cloth while the unmarried lady wears one piece. This explains why contestants from the three regions would dress the second pieces on either the shoulder or on the head to represent a princess or young unmarried lady. Similarly, a young lady from the southern part of Ghana wears the traditional costume with the length hanging around the knees while the married and elderly had the length of cloth below the knee. Again, the use of clothing can also indicate status in other dimensions such as gender and age (Craik, 2019).

In general, cultures use clothing to differentiate males from females, and the younger from older people. For example, the use of trousers, heavy materials and facial hair has been traditionally associated with masculinity, whereas the use of high heels, skirts, and delicate materials has been associated with femininity. Fashion as witnessed in the GMB pageant brings about cultural and artistic differences in the Ghanaian culture. Craik, (2019) affirmed that fashion also satisfies the need of recreation, the need to be modern and up to date, showing the individuals awareness of what is going on in his or her environment. Fashion recreates from what is existing, modifies and does not throw away all that relates to culture.

#### *Fashion Transformative Role in Pageantry*



Figure 8. Left, contestant changes into an old lady. Right, lady transformed into a male. Source: (Field study, 2019).

The left image shows a young lady transformed into an old lady with a walking stick through the wearing of clothing, application of make-ups and other accessories. In the right image a contestant was transformed into a male through clothing worn. The outfits here were used to define the role of each participant in the scene. Inglessis (2008) opine that clothing represents one's identity and communicates nonverbally. Clothing in some societies is as functional as language. Outfits have the power to represent a person's age, gender, marital status, ethnicity, social status, and role played. Judges were heard repeatedly commenting that contestants' clothing must reflect the roles played and messages intend to carry across.

Fashion communication goes beyond material characteristics (Karunaratne, 2016). A traditional symbol in Ghanaian clothing communicates specific messages. According to semiotic theory, language is systematically organized and similar to the linguistic code, clothing and fashion have denotative (literal) meaning, and connotative (implied, symbolic) meaning (Craik, 2019). One thing that relates fashion is the fact that it builds its foundation from tradition, culture and continues to modify itself from existing trends. Fashion also allows for future projections. Some authors argue that the type of coding contained in clothing can only be compared with the linguistic code in a metaphorical way because the fixed rules that control language have no parallel in the clothing code system (Boyce-Davis, 2002). Craik, (2019)) affirmed that the difference is that clothing is basically a closed code and does not possess the combinatorial freedom that language has to express for example, sarcasm or irony. This is because material culture (clothing being a part of it) is limited in its expressive range. Finally, clothing styles and elements are subject to under coding, meaning that they do not offer a dependable interpretative system of rules for interpretation.

Regardless of the complications of the language metaphor and the differences between the clothing code and the linguistic code, it is clear that clothing exhibits a great deal of sign convention. Elements of clothing can be linked to various meanings with transformational intentions. For example, elements such as angular or curvilinear design can be related to masculinity or femininity respectively, and dark colors are linked to formal occasions while light tones are usually linked to informal or casual occasions (Boyce-Davis, 2002). The ability to transform all features into communicating special intents depends on the creativity power of the fashion designer.

In the GMB pageant, fashion and clothing are considered as traditional symbols and connotations accepted in Ghanaian culture with deeper meanings. These suggest that the perception and interpretation of appearance take place in a holistic manner that is composed of cues of physical message, context, or background of event (Damhorst, 2001). It is normally necessary to consider the physical surroundings of the wearer and the cultural environment to aid information management in clothing. This is as a result of meanings given to various styles, appearances or trends varying between social groups. Different clothing items or styles evoke different associations for diverse groups.

## Conclusion

Fashion has functional characteristics associated to psycho-social values that has mostly conspicuous freshness and uniqueness. It has non-permanent trait occasionally represented as luxury defined by public state but gradually diminishes after a certain period. Fashion is a creative instrument that plays important roles in beauty pageants and has the determined power to transform appearance, identify, and associate contestants with their respective regional cultures. Not only that but continues to differentiate between personalities and further determines one's state of mind and behaviors. It offers each contestant the opportunity to distinguish self from others, express egos, feel confident and declare her uniqueness. Fashion in the GMB pageant to a large extent portrayed cultural and artistic

differences in Ghana deserving emulation by other pageants. An expression enhanced through outstanding appearing of contestants for which viewers encountered emotional changes as a result of the glamorous nonverbal communications, symbolic interactions, and entertainment presented. Fashion encourages ordinary people to behave in certain ways, accept new behaviors and cultures, and has an exciting dynamic results-oriented effects. The concept when fully engaged in beauty pageants has the tendency of achieving maximum results due to its power in advocacy.

It is recommended that producers and organizers of beauty pageants such as GMB, Miss Ghana, Miss Malaika, Miss Tourism and others should employ more effectively the fashion concept for accomplishment of their main goals. They should not only focus on clothing but also on the non-material behavioral aspect. The study recommends the fashion concept within beauty pageants should be more effectively engaged to achieve greater psycho-social, economic and cultural development impacts in the community or nation where the pageant is organized.

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# The Devil in the Details: Analysing the Ethno-Cultural *Blending in Malaysian Museum Buildings*

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## Abstract

Museums are often used as a 'visualizing technology' to project the cultural identities of a nation or a particular demographic. The choice of building, either newly constructed or converted from an historic structure, places the importance of its architectural features to convey certain meanings over others. Using comparative analysis on multiple case studies as the main method for data collection, this paper identifies the architectural features on three selected building facade of Penang museums in relation to one another. It will then determine the cultural influences to explore the mechanism of ethno-cultural blending integrated into the architectural styles. Penang was chosen due to its heterogeneous population, allowing for symbiotic blending of diverse cultures, ethnicities and religions. Hence, highlighting the significant role that architecture plays in shaping not only the design of a museum but also in projecting the national identities through the political and historiographical complexities of cultural blending.

**Keywords:** Asian Architecture, Ethno-cultural Blending, Museum Design, Malaysian Buildings, Malaysian Architecture, Malaysia

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## Introduction

Many of the listed heritage buildings that have outlived its original purposes are often re-adapted into new uses and functions. Among its later incarnations, was to be converted into a heritage museum, which ensuring the survival of the building into the future all the while retaining its architectural features of the past. Indeed, not all heritage buildings could serve this specific purpose, as it should be deemed suitable enough to be able to cater to the needs of a museum. Apart from the technical particularities, often the building also has historical connections associated with the theme or subject presented in the museum.

The UNESCO's Convention Concerning the Protection of the World Cultural and Natural Heritage (1972) has already defined the criteria of cultural heritage in three main classifications of Monuments; Groups of buildings; and Sites. These classifications are all adopted into the Malaysian National Heritage Act 2005 for heritage property listings and conservation works (Siti Norlizaiha, 2011). While the 2005 Act refers to a set of unique architectural criteria to be present, it has yet to include a further specific requirement for the conversion of a heritage building into a museum building. This study emphasizes on how the choices of heritage buildings converted into museums should be drawn from the application of criteria item no. I of "the historical importance, association with or relationship to Malaysian history" and item no. Vi in possessing "the importance of exhibiting a richness, diversity or unusual integration of features, " as part of Malaysian National Heritage Act 2005 criteria (Act 2005 in Siti Norlizaiha, 2011) rather than just be derived out the convenience for the heritage list upkeep and maintenance.

From the museological perspective, a museum could be symbolically defined as a curated representation of a nation or a particular community. Museum, as an institution reflects what self-identity the nation or the community wants to project. Using Macdonald's framework (1996) of theorizing museums as a 'visualizing technology,' this paper argues that the museum building itself, either purposely built or a conversion from an existing structure, is part of the chosen 'visual' to represent the constructed projection of self. Focusing on museums housed in heritage buildings, this paper seeks to analyze the facade of the chosen museums, which serves as the first outer layer of this visualizing technology. This paper therefore, intends to highlight the significance of heritage museum buildings as a proxy for the nation's constructed identity. The city of Georgetown, Penang provides a suitable case for showing how this mechanism works.

## Literature Review

Architecture has a way of connecting the functional physicality of a designed space with personalized memory and meanings from its surrounding context. From the perspectives of cultural and heritage research fields, buildings are considered as a form of culture embodiment that shares much of their social, political, economic stories (Lounsbury, 2010) within its structure, properties and intricate elements. This is where heritage buildings, particularly ones that have been refashioned and reconciled its use into becoming museums, can contribute to providing the "details" about the identities of the people shaping the ethno-cultural architectural styles.

Building facade conformation and configuration are one of the vital urban physical factors which effectively harmonizing the ambience of the urban space (Alishah et al., 2016). The building styles can show phases of trends according to historical periods, regions and cultural effects. The uniqueness of architectural styles comes from the fact that each style combines a certain set of architectural elements and ornamentations in its period of conception that represents a function and meaning. Facades of architectural styles do not repeat each other, since the variations of structural elements; facade decorations and ornamentations are unlimited.

### **Ethno-cultural Blending in Malaysian Architecture**

While post-independence Malaysia is known for its ethnically diverse demographics, many scholars have suggested that much of the mechanism that contributes to its current multi-ethnic architectural vibrancy took place between the 14th to the early 20th century (Ghafar, 1994). This is also due to the unique development of a particular Malaysian architectural style known as the *Peranakan* style, particularly concentrated in several of the selected geographical areas where of the Straits Settlements were located: namely Melaka and Penang Island, along with Singapore which was also part of the Malay Peninsula at the time. It is important to note that these identified areas are also the same settlements where multi-ethnic society lived together and thrived.

The term *Peranakan* is a Malay reference for the lineage of descendants of mixed marriages between the local indigenous people of the Malay Peninsula and immigrants that had throughout generations, managed to assimilate the two cultures together in their everyday life. Although the term could be technically used to describe the various communities of mixed descendants, it is however commonly used to refer to those of Chinese descent, the *Baba-Nyonya*, due to their larger numbers and more prominent positions in society. This paper specifically uses this term in the context of architectural heritage features of a building, which highlight examples of cultural blending process in Malaysia. Further description of the concentrated *Peranakan* Chinese architecture is detailed in the next section.

On the matter regarding the evolution of the *Peranakan* or “Straits” architectural style, it must be noted that before the East India Company was disbanded in 1858, the foundation of the “Straits” architecture started with the establishment of military engineers that advanced from Britain to India and the Strait Settlements. According to Lim (2015), during this period the engineers shared equal privileges in the architectural practices, with architects remaining subordinate to engineers. It was only after 1895 that the British colonial governments started employing qualified architects and many who came brought their architectural skills and their knowledge of the burgeoning empire to reflect the sense of imperialist tradition (Ghafar, 1994). Their private projects, on the other hand, which consisted of townhouses and mansions, reflected on the ethnic background of the elite clients who commissioned them. These architects had to adapt their designs to satisfy the varied living conditions in the multi-ethnic society at the time of the construction.

These adaptations resulted in an architectural hybrid between the European colonial influences, modelled in a fusion of various cultures, each with their own needs and varied lifestyles. The variety of influences for the eclectic architectural style originated from the migration of people from other parts of Asian regions, traders and travellers from China, India, and the Middle East from before and during the colonial period. It was only appropriate for architects involved to devise an architectural scheme to suit the taste and the outward appearance for the affluent classes. Different clients favoured certain styles; with the Chinese Peranakan clients often preferred more intricately ornamented houses (Lim, 2015).

While the ports of the Strait settlements existed before the colonial rule, this process of ethno-cultural blending, together with the European cultural heritage and legacies that existed in colonial times had left significant impacts on the country's cultural development, which can be visibly appreciated in many heritage buildings that remain today.

### Chinese Peranakan Architecture

The start of the Chinese *Peranakan* lineage is said to begin in the five port centres of Southeast Asia (Melaka and Penang (Malaysia), Singapore, Phuket (Thailand) and Yangon (Myanmar)). These towns were linked not only by its business interest but also through the bonds between the temples and personal alliances that facilitated the continuation of inter-marriages between the local townspeople (of each town) and the established Peranakan families. For the Chinese *Peranakan*, much of the local culture in practice included food preparation, traditional costumes and use of local languages. How these features are assimilated into their culture and the everyday environment is also present in the architecture of Chinese *Peranakan*.

In Penang, up until the late 19th century, the Chinese craftsmen mainly duplicated the styles of existing buildings with the aid of readily available book references. During that time, it was the combination of building materials imported from China, using trading vessels, with local materials such as timbers that created a pleasant grand residence which purposely imitated the style back home for the Chinese *Peranakan*. Meanwhile, some tropical climatic considerations, mimicking the indigenous Malay house, were adapted which can be seen in the building design such as the use of projecting verandah, broad eaves overhangs, walls' ventilation grilles, roller blind made for shading and large windows and doors.

The combination of specially skill-set knowledge applied in the construction of these shophouses can be seen and identified by studying the detailings of the facade composition where the characteristics of the ethnic-influenced architectural elements are placed. These elements include the Chinese friezes, '*pintu pagar* half door,' the Palladian-style fanlight, the arched French windows, the intricate Malay fretwork and ventilation grilles, egg and dart moulding, extravagant cornices, tropical timber louvres, the glazed English tiles, the fluted pilasters as well as the ornate Corinthian and the austere Doric columns. Borrowing the western architectural elements, adapted to hot and humid living conditions, coupled with

symbolic enhancement derived from traditional Chinese motifs are what made the Chinese *Peranakan* architecture unique, as recognized by UNESCO with the inscription of the historic centres of George Town and Melaka as part of the World Heritage Site in 2008.

Other notable features include the use of the external color schemes that differentiate between the urban structure in Southern China and the early Southeast Asian urban settlements. Whereas the original construction method was commonly made of lime plaster that turned into a mottled white and muted earth tones by ages, wherein the Chinese *Peranakan* architecture in the Straits Settlements, more vibrant tones in time began to emerge, first with ochre, green and indigo.

### **Museum as a Symbol of National Identity**

Museum can be defined as 'a non-profit, permanent institution in the service of society and its development, open to the public, which acquires, researches, communicates and exhibits the tangible and intangible heritage of humanity and its environment for the purposes of education, study and enjoyment' (International Council of Museums, 2007). Museums like to be perceived as neutral, although activities they conducted thrust them into the position of power; able to influence the way societies make sense of the world. The choice of building to house a museum, either in a new construction or historic structure, therefore reflects the ideals and aspirations museums like to project, and such choices need to be scrutinized.

The proliferation of museums in the late 19th century coincided with the rise in the nationalistic tendencies within the European nations which later spread to the other parts of the world throughout the 20th century (Whitehead, 2013). These national museums serve as a validation for the nation's constructed history, showcasing the pride and achievement of often-fragile national identity. In Malaysia, where cultural heritage is regarded both an attraction and a learning tool for the public, museums are quickly becoming a niche product in the Malaysian tourism industry (Shamsidar et al., 2013). Ramey-Gassert, Walberg and Walberg (1994) acknowledge the fact that museum as one of the cultural institutions that form an integral part of the broader learning experience, playing a key role in educational leisure. It could be argued that apart from serving as an institution to spread knowledge, the role of museums should also be seen as an asset for investment in supporting the tourism industry not only in the cities but also for the country.

### **Methods**

Several qualitative methods were employed to collect data and assess the aesthetic nature of this study. The recognition of the historic schemes on the façades of heritage buildings in Malaysia began first with a literature study of the socio-demographic and architectural history of the case study area of George Town, Penang. Relying on sources from secondary data, which included textbooks, reports

and publications from an already established body of scholars such as the literature provided by George Town World Heritage Incorporated (GTWHI), were used to determine how to conduct the research and proceed with case study selection, data collection and analysis methods.

The case study method was used for this project as Yin (2009:4) suggests that "the case study method allows investigators to retain the holistic and meaningful characteristics of real-life events" and when the focus is on a contemporary phenomenon within some real-life context (Yin, 2017 & 1992). It was important that each of the site selected represented a significant period of social and economic changes at the time it was built, and that the architectural facade (along with its elements) reflected the intricate cultural influences into the architectural style.

The next phase of data collection was a site visit to each chosen case studies to allow for physical examination and collection of photographic evidence of its current condition. Records were taken to allow detailed analysis of every constructed feature and element on the selected buildings. Further description of each of the case study, its location within the heritage area and significance follows the next section. It is important to note that this study covers only to the parameters set by the scholarship and allocated time of limitation, where funds are sufficient for only a set number of site visits and data collection of (secondary data gatherings) within Malaysia. Much of the historical information and accuracy of data regarding the events of the colonial periods were totally dependent on the reliability and relativity of the secondary data gathered as listed in the references section.

### **Historical Significance and Site Selection**

The island of Penang became a trading post of British East India Company in 1786 from the time it was still a part of the Kingdom of Kedah State. It was not long before the island became one of the Straits Settlements states, as it was an important seaport for Malay Peninsular where they attracted a great diversity of traders and travellers. The wealth of architectural variations prevalent in Penang reflects its historical complexities - from a colonial trading post to the vibrant cultural melting pot, which presented an opportunity to investigate the ethno-cultural blending phenomenon.

Selection of cases is an important aspect of building theory from case studies. The three (3) selected museums are located in areas of former trading areas in the historic centre of old George Town as marked in the figure below (Figure 1). The museums are the Teh Bunga Mansion, the Sun Yat Museum and Pinang Peranakan Mansion. Street locations marked the socioeconomic levels of the early urban settlers, therefore highlighting their status and wealth, and to some extent the influencing demographics of the area. Locations of case study sites on Hutton Lane, Armenian Street and Church Street each depicted the affluence of the building owners that until today remains as part of the historic part of the island.

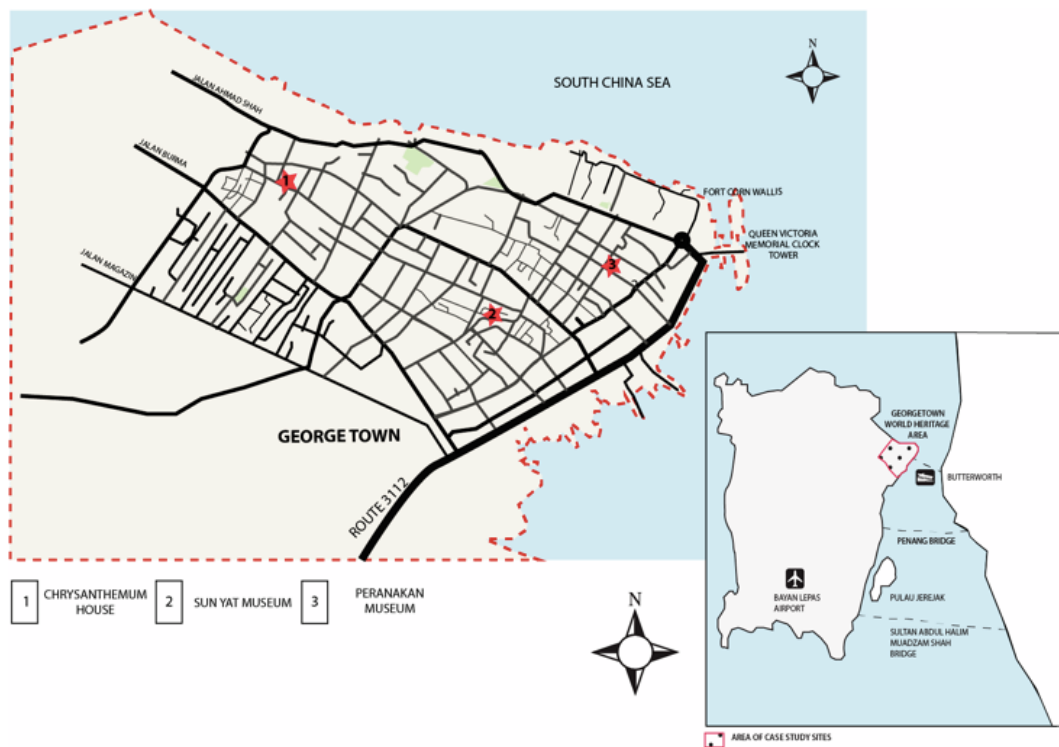


Figure 1. George Town map showing the Teh Bunga Mansion, the Sun Yat Museum and Pinang Peranakan Mansion. (Source: Authors).

## Results

### Case Study and Comparative Analysis

This study chooses to adopt a descriptive case in investigating a process of ethno-cultural blending of heritage museum buildings in Penang, Malaysia. A descriptive case study differs from an exploratory case study in that it relies on existing details from hard collected evidence (such as detailed photographs from site visits) coupled with one or more verified secondary sources to support the validity of its findings. A primary tool used for this research was to compare evidence collected from the on-site observation to several sources of scholarly literature from corresponding disciplines such as history, ethnic studies, anthropology, and sociology to help identify and explain the architectural paradigms. By cross-referencing each of the detailings on the architectural elements of the facades separately to a specific time, the particular needs of a specific ethnic group, type of material and construction style, an approximate account of ‘for whom’ and ‘for what style’ it was built for can be revealed. The next section describes a brief historical overview of each site, building typology, previous functions followed by illustrated figures of the architectural elements identified.

### *The Teh Bunga Mansion (Chrysanthemum House)*

The *Teh Bunga* Mansion is a stately double-storey heritage building in George Town. It was reportedly built by a prominent Malay trader, M.Z. Merican, the son-

in-law of Mohamed Ariff Mohamed Tajoodin, one of the richest Jawi Peranakan in the late 19th century. The *Jawi Peranakan* are Malays whose ancestral blood traces back to outside Penang, to Java, Kedah and even to Arabia. It was named the *Teh Bunga* Mansion due to its ochre hue, and also because the owner happened to also be known by the same nickname. The mansion is divided into several sections or blocks that comprise the main house, the link, the kitchen annex and the garage.

The *Teh Bunga* Mansion was occupied by several generations of a Chinese family until it was bought over by the *Jabatan Warisan Negara* (National Heritage Department). Conservation work on the mansion began in 2007, over a good 18 months, and at a cost of around RM2 million. The work included replacing parts that have been damaged and strengthening the structure. As far as possible, the original tiles are retained.



Figure 2. The *Teh Bunga* Mansion facade with identified features of architectural elements (Source: Authors).

### ***The Pinang Peranakan Mansion***

Pinang Peranakan Mansion is a large double-storey heritage mansion building located on Church Street, George Town. It was owned and built in the 1980s by one of the richest 'Kapitan China' (a government servant of the Colonial Governance) from the state of Perak, Chung Keng Quee. The mansion was also formerly known as Hai Kee Chan, which means "the Sea Remembrance Hall" in Penang Hokkien dialect. The ownership of the mansion was passed down to the descendants of Chung Keng Quee after he died in 1901 but was also formerly used by the Chinese secret society, known as the Ghee Hin. A property developer later bought it in the 1990s where it was repurposed into a museum dedicated to showcasing the Peranakan lineage of Penang. Currently, it also consists of a local gift shop to the tourists.



Figure 3. Pinang Peranakan Mansion facade with identified features of architectural elements (Source: Authors).

### ***The Sun Yat Museum***

The Sun Yat Museum was formerly a two-storey townhouse built around 1880 in the heritage core zone of the World Heritage Site of Penang. Dr. Sun Yat Sen, the founding father of Modern China had frequently visited Penang Island in his determination to convince the diaspora of Chinese citizens living abroad to support the revolutionary movement to overthrow the Qing government in the late 1800s - early 1900s period (Akram & Azizi, 2017). The building was the residence of Dr. Sun Yat Sen in his visits and also served as a gathering place for special meetings.

This building underwent a few renovations and restoration work in 1993 and completed in 1994. At present, only the ground floor is accessible to the public to be used as Dr. Sun Yat Sen's Museum, where an exhibition on the memorabilia of Dr. Sun Yat's accomplishments is shown along with the photograph past owners of the townhouse. The first floor is now converted as a hostel for travellers (Jasme et al., 2014). The ongoing renovation of the upper floors of the building into the research centre has been carried out currently.



Figure 4. Sun Yat Museum facade with identified features of architectural elements (Source: Authors).

### Façade Elemental Study

The chosen case study in this research consists of a former townhouse (Sun Yat Museum) and two former family mansions (Pinang Peranakan Mansion and Teh Bunga Mansion) currently open to the public as museums. While presented photographs of the selected case study museums illustrate several key facade features which identified the three main styles of European, Chinese and Malay, evidence also shows that the featured ornamentations (on the building facade) are of the Peranakan Chinese origins as well as the Arabs. Data collected from site investigation is reviewed into a summary of the comparative table below.

The table presents a division of identified facade features categorized according to the style features followed by columns in the order of each case study museums. Specific architectural details and distinguishing features on the building facade are organized from 'top-down,' beginning with the roof elements and ending with the ground-floor elements.

Façade Element	Sun Yat Museum	Pinang <i>Peranakan</i> Mansion	<i>Teh Bunga</i> Mansion
European			
Pediment			•
Clay roof tiles		•	•
Cornice		•	•
Column with pilaster	•	•	•
Keystone		•	•
Fanlight		•	•
Transom window		•	
Roman Arch			•
Round Arch			•
Porte Cochere			•
Chinese			
Terracotta roof tiles	•		
Gable roof	•		
Air Vent (butterfly-shaped)	•	•	
Air Vent (circular shaped)			•
Ceramic vent	•		
Signage	•	•	
Malay			
Pitched roof		•	•
Ornamentation on pediment			•
Low wall	•		
Louvered shutters	•	•	•
Timber louvered	•		
Double leaf timber door	•	•	•

Figure 5. A matrix summary of the identifiable architectural elements from each case study façade.

The results of the findings resemble other similar studies in the literature review, confirming the identified style influences from three main sources of - European, Chinese *Peranakan* and Malay origins. The elements of the European influences are the pediment, the clay roof tiles, the cornice, the column with pilaster, the keystone, the fanlight, transom windows, the roman round arches and the porte-cochere. On Sun Yat Museum, the European architectural elements adapted are the columns with a pilaster. Meanwhile, on the facade of Pinang *Peranakan* Mansion, the elements that were adapted are the clay roof tiles, the cornice, the column with pilaster, the keystone, the fanlight and transom windows. Whereas in *Teh Bunga* Mansion shows a higher European influence with all the characteristic features of transom windows. The dominance of European style in these two mansions could be attributed to the fact that the style was the height of fashion at the time, associated with the elite merchant class who were often in the same social circle with the European traders and the colonial administrators. Many of them were keen to emulate the lifestyle brought over by their European counterparts, including the house design.

The Chinese influences can be seen the most on Sun Yat Museums' facade elements such as terracotta roof tiles, gable roof, butterfly-shaped air ventilation, ceramic ventilation on the first floor and signage. On Pinang *Peranakan* Mansion, only two elements of Chinese influences - the butterfly-shaped air ventilation and signage. The least elements on Chinese influences can be seen at *Teh Bunga* Mansion on its circular-shaped ventilation. This could be attributed to the fact that the building was not originally made for a Chinese client.

The Malay influences can be categorized mostly on environmental parts of the facade elements: the pitched roofs, low walls, louvered shutters, timber louvered, double leaf timber doors and ornamentations on pediment. Most of these Malay influences can be seen on all of the case study museums, which were originally designed in such a way due to the local context and its climatic conditions.

## Discussion

The findings of this study show a summary of comparison of facade elements featured in the three different heritage museums in George Town, Penang. Findings also related on how the different types of heritage building typology - a former townhouse and two mansions - all retrofitted and renovated into museums share an array of architectural features, a result of ethno-blending exercise, from different styles of origins in Penang.

The argument proposed by Coombes (1988) is that museums are not always a natural entity, but rather a political statement actively shaping the public's opinion on issues concerning the nation and its identity. For this reason, buildings listed as national heritage that also serve as museum buildings - as the case for this paper - should not be studied in isolation. These monuments must be able to relate within the contexts in which they seek to serve as a place for the public's education and enjoyment. Keeping in mind that the ethnic-blending process in museum buildings is only one form of mix-cultural expression in a spectrum of

possibilities, other types of eclecticism in heritage architecture can help to open up fresh ideas as to what might be the most effective adaptive style and serve as an exercise in building a national identity. This study also hopefully could serve as a way to start a dialogue about the need to keep preserving and reusing this type of heritage building as a museum for the future.

### Conclusion

This paper achieves its objective to add towards the present literature on the epistemological function of the museum building for heritage architecture. This paper identifies each of the detailed elemental features on the facade buildings of the Sun Yat Museum, the Pinang *Peranakan* Mansion and the *Teh Bunga* Mansion to demonstrate how the ethno-cultural blending process is part of a symbolic exercise in embracing a new identity. It can be concluded that the type of museum architectural styles for the selected case studies inclined its preferences towards several combinations of oriental eclectic architecture. This can be seen specifically in the assimilation of Chinese and Anglo-Indian European styles, combined with the needs for local climatic considerations, which borrowed some elements from the traditional Malay architecture, particularly in the use of the pitch roof, clay materials and covered porch as part of the facade design. Results from this study have shown how significant that the role of architecture plays in shaping not only the design of a museum but also in projecting the national identities through the political and historiographical complexities of cultural blending. This study demonstrates how the ethno-cultural blending shown in architectural styles suggested that adaptation is part of a natural process in a city that embraces its cosmopolitanism and modern transition.

Overall, this study elaborates the narrative on ways to utilise architectural approaches as a means of cultural integration. These can be seen through the ways in which the assimilation of Malay-Islamic, Chinese, Anglo-Indian, and European styles blended creating not only harmonious facade, but also taking into consideration of climatic adaptation as well. Apart from that, this study also points to the way of utilizing old buildings into new purposes, and how one seeks to go about it. Conservation of buildings and cultural heritage requires knowledge and understanding of those resources and the history they represent.

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# Conservation of Row Houses in Old Commercial District, *Mekong Riverside, Nakhon Phanom Province, Thailand*

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## Abstract

The objectives of this research paper are; 1) to study the development of towns & commercial districts, 2) to study the architectural characteristics of the row houses and 3) to propose guidelines for their preservation by studying related theories & research, conducting field surveys & interviewing the owners or tenants. This study found that a group of Chinese immigrant merchants formed a commercial district and built row houses to trade, store and live by the Mekong Riverside & Sunthon Wichit Road. Traditional row houses can be divided into 3 types; 1) Mixed Chinese influenced style of a single storey 2) French-influenced style and 3) a modern-style. Conservation methods were used to preserve their original identity. Also, stabilization & consolidation were chosen to strengthen restoration efforts.. During rehabilitation modern materials were used to mimic the originals while improving structure's usability. Today, this old commercial district has been renovated and developed to promote tourism according to Nakhon Phanom Province's policies. As a result, the old way of life of a trading community has changed to one of tourism. Many of the original row houses were renovated to meet this new business model as being tourist attractions.

**Keywords:** Row Houses, Old Commercial District, Nakhon Phanom, Architectural Characteristics, Conservation

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## Introduction

The old commercial district is a traditional form of community settlement; it used to be a commercial and economic hub. The old commercial district is rich in resources; somewhere distinctive or ethnically divided. For example, the Chinese Sampeng commercial district, the Westerners' Phraeng Nara and Phraeng Phu Thon commercial district, and so on. Evidence of wooden and concrete structures was discovered during an investigation of buildings in the old commercial district along the Mekong River in Chiang Khan, Loei province, Meechai Road in Nong Khai province, Sunthon Wichit Road in Nakhon Phanom province and Khemmarat, Ubon Ratchathani province. As the city grew, new economic sources emerged. As a result, the old commercial district's role and importance have been diminished. Commercial buildings in the district had been abandoned or were being used inappropriately. Many agencies, organizations, and academics are looking for a solution in various fields. The most common process is the modification of new usage in order to keep original form and use consistent (Chanjianasthiti, 2009).

The old commercial district of Nakhon Phanom province is located on Sunthon Wichit Road in Wat Okad community which is a historical commercial district located in the heart of the city (The Fine Arts Department, 1990) with a rich cultural resource consisting of tangible things such as single and two-storey townhouses that retain their original appearance and have been influenced by the architectural styles of Thailand, Laos, China, Vietnam, and France. In 1960, the Vietnamese built the clock tower as a memorial to their return to the country. It was a gesture of appreciation for Thailand. Later, it became a community landmark. Additionally, the district has intangible cultural heritage, including traditions associated with Chinese, Vietnamese, and Isan and distinctive regional traditions, such as the Christmas Star Parade, flowing fireboats are a long-standing tradition, long boat races on the Mekong River, for example. A group of Chinese merchants founded this commercial district. They bought local products, shipped them to Bangkok for sale and resold consumer goods to locals. The building was constructed as the business grew on both sides of Sunthon Wichit Road with mixed-use function (Pimolsathein, 2012) Most of the commercial buildings in this area are rectangular in shape and have the same exterior. For protection from sun and rain, there is a long corridor in front (arcade) the same, as row houses in southern China are known for making it easy for consumers to acquire things (Shan 2004). As a result, this area has become the economic hub of Nakhon Phanom and Khammouane province in Lao People's Democratic Republic. Thus, Nakhon Phanom's old commercial district is like a cross-border kitchen; that's been serving both sides of the Mekong River for years. While urban development policies want to demolish old row houses to expand roads, caused people in some areas to oppose and support its preservation as a historical district. Until the Nakhon Phanom municipality office, built a new fresh market in the middle of the city. A group of Chinese merchants relocated to a new business district. Consequently, some row houses were sold or abandoned in this commercial district.

Nakhon Phanom has had a policy of promoting cultural tourism for the last five years and has been responsible for the development of the Mekong River area and the row houses in this historic commercial district, including; 1) Adjusting the district's landscape by burying electric cables and installing light poles. 2)

Establishing bicycle lane and pedestrian walkways alongside the Mekong river 3) Restoring the physicality of the row houses along the Mekong River, and 4) Organizing a walking street activity resulting in the revitalization of this economic hub. Such changes can have a positive or negative effect on the community's historical value. The objectives of this research paper were to 1) Examine the evolution of cities and districts 2) Assess the architectural significance of row houses, and 3) Propose guidelines for row houses preservation.

### Research Methodology

This research divides the study process into 4 parts. 1) studying data from related documents and research on the historical and architectural value of the area, to indicate the source of the influence that affects the style and development of the row houses. 2) Field surveys by taking pictures, recording important details of the row houses such as the form, structure, material, space usage in current conditions, and decoration by surveying and collecting data of 30 valuable row houses to identify their architectural characteristics. 3) Case studies were selected applying a specific method, considering the criteria, values and importance, history, age, value in terms of form and condition as a city element value and a way of life value, and conserving cultural originalities and 4) interviews with landlords or tenants to notice the history and changes of the row houses.

### Literature Review

In this research paper, the study of commercial buildings in the old commercial riverside area consisted of 1) Physical, the location was a commercial center, with various important places. There is a transport route from the port connecting to the main road within the district. Resulting in the unique characteristics of the row houses that are placed parallel to the river. 2) Most of them are flexible in trading activities, services, accommodation, and storing goods and 3) Meanings, the commercial area has a social and cultural value that has been passed on from generation to generation through trading activities, and there are beliefs involved. For example, a shrine is built near the market and the pier (Ngawtrakun, 2008). The study of the concept of city elements is to understand the social and economic roles that influence the physical of the city. Showing the shape, positioning, and density of buildings, open spaces, traffic networks, and usage of buildings and land (Conzen 1981). It also indicates the building construction wisdom of people in each era (Rossi, 1999). Knowing the physical changes of the community's uniqueness must not destroy valuable elements. It should take an integrated approach between building the new with the old physique of the community (Worskett, 1969). Moreover, the study of the theory of perception and recognition of the city (image of the city) comprises Path, Edge, Districts, Node, and Landmark, is to analyze the characteristics of the city which resulted in an impression of the beauty of the city (Lynch 1960). Also, the study of the value and importance of the row houses; 1) Historic value, the wisdom of the builders in the past, 2) Architecture value that is outstanding in construction and materials 3) Aesthetic value, the beauty of the decoration of the row houses, and 4) Age value, the criterion for assessing the age of the row houses which older than 50 years old, to analyze the architectural characteristics of the row houses (ICOMOS, 1987). Besides, the concept

of adaptive reuse is modifying old buildings to meet new economic and functional values that can create attraction to activities in the district by maintaining the value of elements that represent the place or identity of that building (Ngawtrakun, 2008). In addition, studying the preservation of row houses, this article consists of 1) conservation as a way of preserving the condition and identity of the original building (Feilden, 2003), 2) stabilization and consolidation to reinforce old structures (The Fine Arts Department, 1990), 3) restoration to restore buildings to their original appearance, and 4) rehabilitation is a method of improving, repairing, adding to the current usability for economic benefit (Sutthitham, 2011).

Area of the study is traditional row houses with load-bearing wall structure, mixed wood, masonry, and plaster in the old commercial district that represents the past and present of architecture in Mueang district, Nakhon Phanom province, along the Mekong River parallel to Sunthon Wichit road, from the Vietnamese memorial clock tower to the 260 meter, Luk Suea road intersection. (Figure 1)



Figure 1. Area study the old commercial district Nakhon Phanom (Source: Edit from <https://traffic.longdo.com/> and <https://earth.google.com>, 2021).

## Results

### Settlement development of Nakhon Phanom City

Nakhon Phanom is a border province in Thailand's northeast, located on the right bank of the Mekong River, opposite Thakhek, Khammouane Province, Lao PDR, with a longitudinal settlement (river linear settlement). Many ethnic groups migrated to Nakhon Phanom in large numbers, divided into three groups: 1) Thai-Laos in Wat Pho Si, Wat Klang, Wat Klang Mak, Wat Mahathat and Wat Phra In Plaeng community who were forced to cross the Mekong River to establish a community, occupied agriculture and fishing. In the first phase, all houses were built of wood on stilts; and was aligned along the Mekong River's north-south axis, according to their ethnic beliefs; and the building faces the street (Suwanasaksri, 1987) 2) Groups of Vietnamese immigrants affected by the Indochina War

and WWII from Nam dinh, Ning binh, and Son tay in central Vietnam. They came to establish a community at Ban Nong Saeng, working as a trader, a builder, and a furniture maker and 3) a group of Chinese merchants who came to Ban Nong Saeng to set up a community. They came from Kwangtung province in southern China to establish a trading community around Wat O kad on Wichit Sunthon selling agricultural products, food, and service business. (Figure 2)



Figure 2. Settlement along the Mekong River of Nakhon Phanom.

- a. Vietnamese Community, Christian, Nong Saeng.  
Source: [https://www.youtube.com/watch?v=yC\\_gmhWShrs](https://www.youtube.com/watch?v=yC_gmhWShrs)
- b. Chinese Community, Wat O Kat, Sunthon Wichit Road.  
Source: <https://www.facebook.com/richardbarrowthailand/>
- c. Thai-Lao Community of Wat Pho Si, Wat Klang, Wat Mahathat and Wat Phra In Plaeng.  
Source: <https://www.facebook.com/Nakhonphanom02/>

### Architectural Value of Nakhon Phanom City

For Nakhon Phanom's Mekong River community, in addition to being a historically significant settlement, the area has valuable architecture worth preserving. Most of the buildings were built by Vietnamese immigrants who settled in Nakhon Phanom; they were craftsmen with a background in colonial building construction during French colonial ruled in Vietnamese (Atipattayakul, 2019). Architectural survey and evaluation categorize the building according to usage to three types; (Figure 3).

1. Religious and beliefs building, due to the fact that the city is a Christian settlement from the reign of King Rama V to the present; the following buildings exhibit the characteristics of brick and mortar construction: 1) St. Anna's church, which is influenced by Gothic architecture 2) Temple foundation building, which is influ-

enced by French architecture (Chiranthanut, Thungsakul 2015) and 3) Modern architecture is inextricably linked to religious belief. Moreover, Phraya Sisattanakarat is the common faith of the people living along the Mekong River. It serves as a new landscape symbol and promotes tourism in Nakhon Phanom province.

2. Public and government buildings, Nakhon Phanom province was an important outpost for Thailand and the Lao People's Democratic Republic during the separatist war of 1893, as a result, the Thai government placed a high premium on this area. Also as, central Thai government administration and significant buildings are centralized showing as bricks and mortar structure characteristics (Atipattayakul 2019). The notable buildings are the following: 1) Commemoration library Nakhon Phanom 2) The provincial museum in Nakhon Phanom 3) The old provincial court in Nakhon Phanom and 4) The Sunthon Wijit school building.

3. Row houses and local houses, this is the time period during which Chinese and Vietnamese immigrants arrived in Nakhon Phanom to trade. On both sides of Sunthon Wichit Road, they had constructed commercial and residential buildings with mixture of brick and wood, ranging in height from one to two storey. According to surveys, many row houses are between 80-100 years old and have retained their original appearance. Residential is defined by wooden and brick structures, influenced by indigenous Thai-Laotian and French colonial populations spread throughout various community.



Figure 3. Architectural value of Nakhon Phanom city. **Top, left to right:** Saint Anna Nongsaeng Church, Eduard Nam Lap Building & Phaya Sri Satta Nagaraj (new landmark). **Middle:** Commemoration Library Nakhon Phanom, Former Governor's Residence Museum & Nakhon Phanom Provincial Court **Bottom:** Row houses of Commercial District, Local Thai house - French Influences & Goo Ba house - French influences.

### Development of Commercial District

Nakhon Phanom's historic commercial district is located on Sunthon Wichit Road which is widely regarded as the focal point of border trade for people living on both sides of the Mekong river. The Thai-Lao community, in particular, benefits from a fresh market, trading and exchanging agricultural products such as household goods, vegetables, forest products, and fisheries. Vietnamese people gradually migrated into the area later, during the French occupation of Vietnam in 1893. Later that year, between 1917 and 1927, a group of Chinese merchants moved from Kwangtung to Bangkok. Then they spread to various provinces of Thailand, where Chinese groups discovered the Mekong River's border trade channel. After that they were inviting one another to settle down and permanently commerce in Nakhon Phanom. To facilitate the trading of agricultural products, food, and services, a group of Chinese merchants began constructing row houses for trading and living. The majority of row houses were located along the Mekong River. Row houses were built in brick masonry style, combined with single-layer wood, facing Sunthon Wichit Road (the district's major road), with a platform extending down to the Mekong river at the back. They were constructed by Vietnamese craftsmen and workers skilled in wood and masonry construction and following World War II, a large number of Vietnamese immigrated to this area between 1946 and 1947. Later on, as the Vietnamese became more prosperous, they purchased land and constructed row houses.

Since Chinese and Vietnamese merchants had entered the trade, along with enlivening the commercial district, it helped establish Thailand, Laos, China, and Vietnam's cultural traditions. Until the 1960s, a small number of Vietnamese returned to their homeland. Additionally, a memorial Vietnam clock tower was constructed to express gratitude to Thailand and the people of Nakhon Phanom for their hospitality. When completed, this clock tower became a district landmark. (Figure 4)

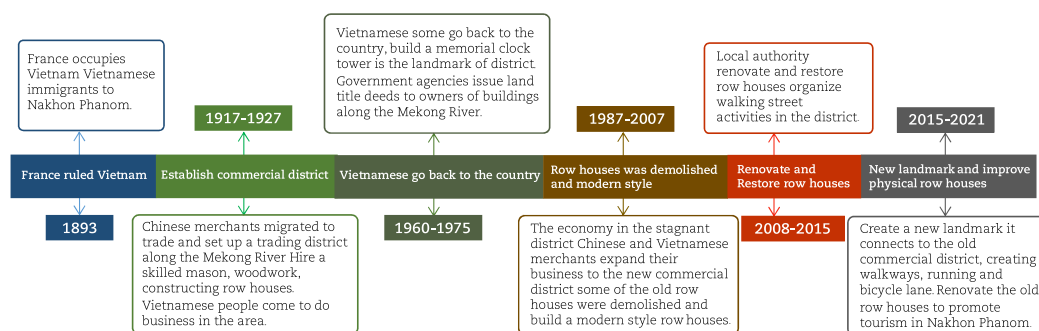


Figure 4. Settlement development of commercial district in Nakhon Phanom.

This commercial district had been in continuous operation for over a century. Until the end of the Indochina War in 1975, the Thai government designated Nakhon Phanom as the site of the US military base and airfield. With over 8,000 soldiers stationed in the commercial district, the economy has grown rapidly. Numerous hotels, pubs, and bars catered to the American troops and distributed to various communities, resulting in the presence of foreign merchants, both Thai and foreign, (Figure 5) in this area until 1974. When the US military withdrew, the commercial district's economy slowed as a result and several row houses deteriorated. Additionally, the row house's footprint cannot be increased, combined with

the gradual erosion of land along the Mekong River caused by the current erosion during the flood season, some Chinese groups sold commercial buildings to Vietnamese and then relocated to conduct business in the area of Aphiban Bancha Road, resulting in a row houses of commercial buildings. Until the establishment of a new commercial district in Nakhon Phanom between 1997 and 2007, the municipality of Nakhon Phanom wished to improve the landscape along the Mekong River. Thus, they expropriated and demolished row houses along the Mekong River, provoking opposition from conservationists and local residents. As a result, a conservation policy was established for communities along the Mekong River. And from 2015 to the present, the utility of the row houses has changed. It functions as a restaurant, clothing boutique, and coffee shops, but retains the row house aesthetic as a selling point. Also enhances the exterior in order to attract tourists. (Figure 6)



Figure 5. The past commercial district in Nakhon Phanom. Top row, commercial district during the American era to set up an army base at Nakhon Phanom. Source: <https://www.facebook.com/SvenH.Lundquist>. Bottom, The condition of the back of the row houses in the past. Source: <http://www.nkp2day.com/>.



Figure 6. The current condition in commercial district of Nakhon Phanom. Top row, front view of row houses in commercial district of Sunthon Wichit Road. Bottom, back (river side view) of row houses in commercial district by Mekong River. Source: <https://www.posttoday.com/social/local/594743>.

### The Image of Nakhon Phanom Commercial District

The imaginary element of this old commercial district (Figure 7) is classified according to the theory of five forms as follows: 1) Path, with waterways, specifically the Mekong River, a vital thoroughfare for Thais and Laotians and overland route, Sunthon Wichit Road, which runs parallel to the Mekong River north and south, also connects the roads to form a grid, allowing for quick and convenient access to the area. Along the banks of the Mekong River, there is a path that connects the old commercial district with new tourist attractions. 2) Nodes, Lan Tawan Boek Fa is for traditional events and Lan Chan Song La is an area for exercise. In terms of the neighborhood, the vacant space between row houses are used as cultural courtyards. 3) District is comprised of a pedestrian street and an old trading area where local products and food are sold. The Indochina market sells goods and processed foods. 4) The edge is a bicycle path along the Mekong River and 5) The landmark serves as a landmark for residents and visitors alike, consisting of the followings: (1) Vietnam Memorial clock tower (2) A cluster of traditional row houses on both sides of Sunthon Wichit Road (3) The entrance to Wat Okad and (4) The pier building and the Nakhon Phanom immigration checkpoint.

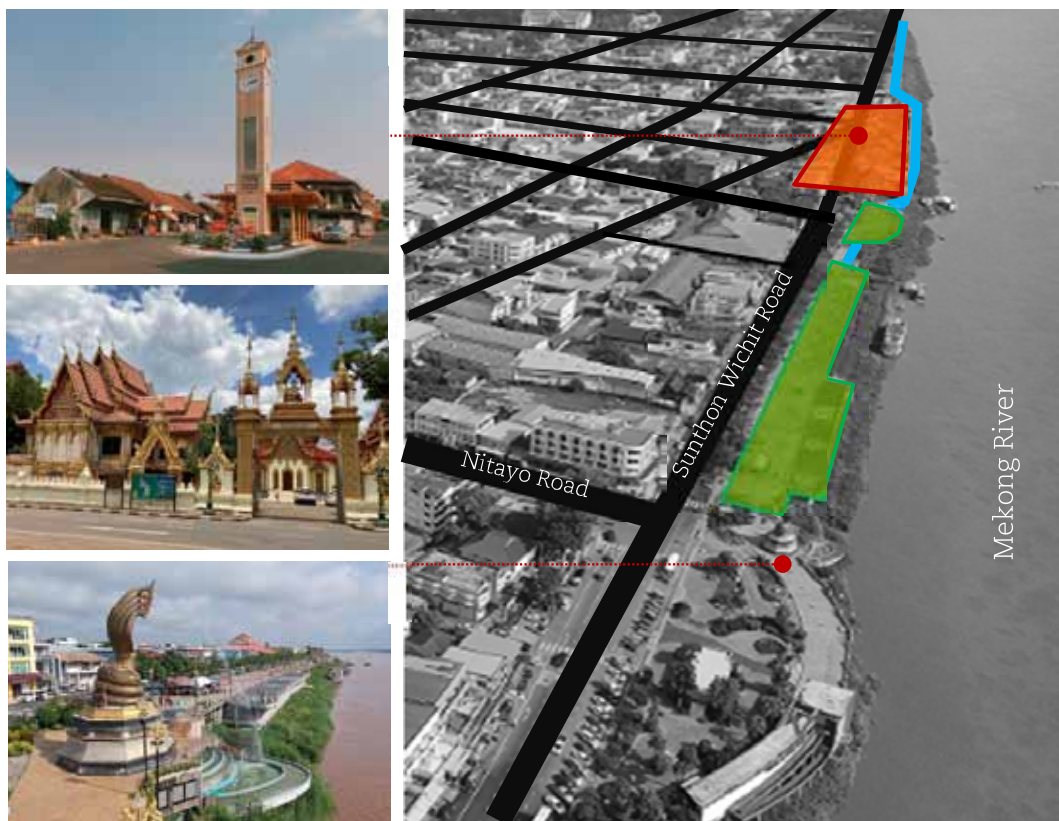


Figure 7. Images of the commercial district of Nakhon Phanom. Landmarks: L1 = Vietnam Memorial clock Tower, L2 = Wat O Kat and bottom the new landmark, Phaya Sri Satta Nakharat.



Figure 7 Continued. **Path:** P1 Sunthon Wichit Road, P2 Mekong bicycle lane (Blue) and P3 Ferry across the Mekong River. **Node:** N1 Lan Tawan Boek Fa N2 Area space between the buildings and N3 Lan Chan Song La. **District:** D1 Old commercial district & D2 Indochina market. **Edge:** E1 Mekong bicycle lane.

### Architectural Development of Row Houses in the Old Commercial District of Nakhon Phanom Province

The development of historic commercial row house style have occurred in 3 phases; Phase I: vernacular Chinese styles during 1917-1927 (Srikeaw 2015); it was a time when transportation and commerce were largely reliant on waterways. They were originated from a group of Chinese traders who settled along the Mekong River, hired Vietnamese builders to construct retail and residential buildings parallel to the road. The arrangement of enclosed living spaces are open to internal interaction through the use of an open courtyard, at the same time, they must adapt to local conditions. It is a load-bearing wall, primary materials are clay, brick, and wood. This style also found in southern China (Qingzhou, 1997) that combines elements of the traditional Isan style. The layout is classified into two types; 1) A

collection of single-storey row houses planned according to the Mekong River's physical layout. The front is narrow, but deepens towards the back. The trading section is located in the flat area to the front. The living area is located behind the raised basement, which has an increased floor count by lowering the ground level in accordance with the slope of the bank. The front of the row house appears to be one floor high from the road, but when viewed from the Mekong River side, the back of the building is two to three floors high. 2) A line of single-storey row houses plans along the road; the width of the front is greater than the depth. The buildings are all on the same level, occupying space for commerce and storage in the back. Phase II, French style during 1940-1957; it was during the Indochina War and the propagation of French culture in the region. Two-storey weight-bearing wall with brick and mortar structure characteristics, constructed by Vietnamese craftsmen who previously constructed a Christian church in the French architectural style and government buildings which inspired Vietnamese craftsmen to learn construction techniques and influence the construction of row houses. The front ground floor is serving as a trading area, the kitchen is located behind the house, while the bedroom is located upstairs. And phase III, modern style, which lasted from 1957-1975, was when Nakhon Phanom shifted its emphasis from rail to road transportation. Along the road, the city expended. And with additions of prefabricated component and building materials such as concrete, steel, steel doors, glass, and zinc had been available. Row houses in this era typically have 2-3 storey, reinforced concrete structures, and masonry walls, and are loosely decorated, constructed by contractors and local technicians. And it was also during this time period that municipal building control laws became effective.



Figure 8. Locations of commercial row houses in the old Nakhon Phanom. Brown (C1-22) Traditional one-storey row houses. Grey (F1-6) Traditional two-storey row houses. Orange (M1-3) Modern style.

From the area survey, row houses can be classified into three types based on the influencing factors during each period (Figures 8-11): 1) Single-storey row houses with a mix of Chinese styles 2) Two-storey row houses with French influences and 3) Modern row houses. The analysis classify their architectural characteristics into four categories; 1) Layout in accordance with the physical of the area 2) Internal space utilization 3) Aesthetics and 4) Structure and materials. See table in fig. 12.



Figure 9a. **1917 – 1927, Chinese and Vernacular styles** of single-storey row houses in the style of mixed Chinese influences. These row houses are 80-110 years old, located parallel to the Mekong River facing Sunthon Wichit Road, locations C1-C14.



Figure 9b. **1917 – 1927, Chinese and Vernacular styles** of single-storey row houses in the style of mixed Chinese influences located in the flat area facing Sunthon Wichit Road and Feung Nakorn Roads, locations C15-C22.



Figure 10. **1940 – 1957, French influenced style** of two-storey row houses. Facades of 65-80 year old two-storey row houses located along the Mekong River, Sunthon Wichit Road and Feung Nakorn Road, locations F1-F6.



Figure 11. **1957 - 2005, Modern style** of various forms of reinforced concrete & glass row houses. Facades are 2-3 stories, 45-46 years old, located along Sunthon Wichit Road. The front ground level area hosts trading activities and behind are the kitchen, dining, restrooms. The 2nd and 3rd floors are residential areas. Located at M1-M3.

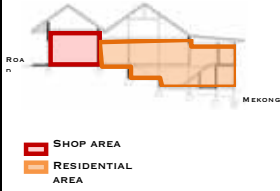
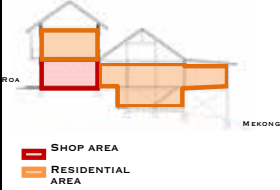
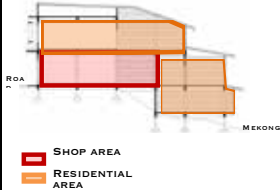
ROW HOUSES STYLE	ARCHITECTURAL CHARACTERISTICS OF ROW HOUSES			
	LAYOUT	USE OF SPACE	STYLE	CONSTRUCTION AND MATERIAL
<b>1. VERNACULAR CHINESE INFLUENCED STYLES OF ONE-STOREY</b> 	THE LAYOUT CAN BE CLASSIFIED INTO TWO TYPES: 1) ALONG RIVER LINE LAYOUT; THE FRONT IS LAID OUT PARALLEL TO THE ROAD, RECTANGULAR PLAN, DEEP IN THE BACK, DIVIDED INTO 3-5 COLUMN SPANS AND 2) ALONG ROAD LINE LAYOUT; THE FRONT IS LAID OUT PARALLEL TO THE ROAD, RECTANGULAR PLAN DIVIDED INTO 3-5 COLUMN SPANS.	USAGE IS SEPARATED INTO TWO SECTIONS: 1) MEKONG RIVER ROW HOUSES; THE TRADE SECTION IS LOCATED AT THE FRONT. IN THE REAR, THERE IS A RESIDENTIAL AREA AND EXPANSION USED AS A BEDROOM STORAGE AND BALCONY AND 2) ROADSIDE ROW HOUSES; THE TRADE SECTION IS LOCATED AT THE FRONT. THE RESIDENCE IS CONSTRUCTED INDEPENDENTLY OF THE ROW HOUSES.	ROOF STYLES CAN BE CLASSIFIED INTO TWO CATEGORIES: 1) MEKONG RIVER ROW HOUSES; TWO GABLE ROOFS COLLIDE AND 2) ROADSIDE ROW HOUSES; SINGLE GABLE ROOF, THE GABLE SIDE PERPENDICULAR TO THE ROAD. THE FRONT DOOR WAS ORIGINALLY A WOODEN FOLDING DOOR.	TWO TYPES BOTH EXIST: THE FRONT STRUCTURE IS MADE OF LOAD-BEARING BRICK WALLS, WHILE THE REAR STRUCTURE COLUMNS, BEAMS, AND ROOF ARE MADE OF HARD WOOD. FLOOR FINISHING IS CLAY TILES. THE FRONT WALL IS CONSTRUCTED OF BRICK MASONRY, WHILE THE BACK WALL IS CONSTRUCTED OF HORIZONTAL WOOD. ORIGINALLY, THE ROOF WAS TILED WITH CLAY TILES, ZINC ROOFS WERE LATER MIXED.
<b>2. FRENCH INFLUENCED STYLE OF TWO-STOREY</b> 	THE RECTANGULAR LAYOUT IS CLASSIFIED INTO THREE TYPES: 1) PLAN ALONG MEKONG RIVER 2) PARALLEL TO THE ROAD LINE AND 3) PARALLEL TO THE ROAD ON BOTH SIDES. COLUMN SPANS ARE DIVIDED BY TWO TO FIVE.	USAGE IS SEPARATED INTO TWO SECTIONS: 1) THE GROUND FLOOR ADJACENT TO THE ENTRANCE IS FOR TRADING. THE KITCHEN AND BATHROOM ARE AT THE BACK AND 2) THE RESIDENTIAL AREA IS ON THE UPPER FLOOR.	MEKONG RIVER ROW HOUSE CONSIST OF TWO GABLE ROOFS COLLIDE. WHILE ALONG ROAD ROW HOUSES CONSISTS OF GABLE ROOF WITH THE GABLE SIDE PERPENDICULAR TO THE ROAD. A WOODEN BALCONY EXTENDS 1.00 METERS IN FRONT. THE FRONT DOOR IS BOTH WOODEN OR STEEL FOLDING DOOR.	TWO-STORY STRUCTURE, THE GROUND STRUCTURE IS CONCRETE COLUMNS AND BEAMS, THE UPPER AND ROOF STRUCTURE IS MADE OF HARD WOOD. THE GROUND WALL IS BRICK MASONRY, WHILE THE UPPER WALL IS CONSTRUCTED MASONRY OR HORIZONTAL WOOD. ORIGINALLY, THE ROOF WAS TILED WITH CLAY TILES, ZINC ROOFS WERE LATER REPLACED.
<b>3. MODERN STYLE</b> 	TWO AND THREE-STORY HIGH ARE COMMON WITH TWO DISTINCT LAYOUTS: 1) ALONG RIVER LINE LAYOUT; THE FRONT IS LAID PARALLEL TO THE ROAD AND 2) ALONG ROAD LINE LAYOUT; PLAN DIVIDED INTO 2-5 COLUMN SPANS.	TRADING AREAS IS THE MOST EMPHATIC. USAGE CAN BE DIVIDED INTO TWO SECTIONS: THE GROUND FLOOR AND THE TRADING AREA. THE KITCHEN AND BATHROOM ARE LOCATED BEHIND. AND THE UPPER FLOOR IS RESIDENTIAL.	ROOF IS MADE OF CONCRETE. ONLY AFTER THE ROOF WAS CONSTRUCTED TO PROTECT AGAINST THE RAIN. STEEL DOORS AND SHUTTERS WERE STRETCHED. THE EXTERIOR IS CLAD IN CONCRETE PANELS AS WELL AS STEEL BATTENS.	COLUMNS, BEAMS, AND FLOORS ARE ALL REINFORCED CONCRETE. ALL WALL MATERIALS ARE MADE OF MASONRY AND FINISHED WITH SMOOTH PLASTER. FLOOR FINISHES WITH CERAMIC TILES. WINDOWS MADE OF WOODEN FRAME AND GLASS. THE REAR EXTENSION IS STEEL-FRAMED MIXED WITH SYNTHETIC WOOD.

Figure 12. Architectural characteristics of row houses in Nakhon Phanom's historic commercial district.

The analysis of the architectural characteristics of row houses in Nakhon Phanom's old commercial area along the Mekong River revealed that the row houses in this area follow the Mekong River area's physical layout and planning in accordance with Sunthon Wichit Road's physical layout. The first phase involves the construction of a single-storey row houses in the vernacular Chinese styles which divided into 3-5 column spans. A plaster load-bearing wall structure supports the front trading area enclosing by sliding doors. The rear portion is a residential area with hardwood structures. Two gable roof styles collide, resulting in a single gable and parallel the gable's side to the road. Roof material originally made of clay tiles, then was later replaced with zinc. The front walkway is enclosed by pillars. For the French-influenced style of two-storey, consists of 2-5 column spans. The trading section is structured with load-bearing wall, located on the ground floor in front. And a residential area on the upper floor with a hardwood structure and brick and plaster walls. Roof structure is constructed entirely of wood. Initially, thatched with clay tiles, and zinc roof is mixed as a contemporary style. Modern style row houses with two and three storey, divided into two - five column spans. It is a row house with a strong emphasis on the use of space for wholesaling activities. The trading section is located on the ground floor and the upper floor is devoted to residential purposes. The foundation is made of reinforced concrete and all wall materials are made of masonry and finished with a smooth plaster. Floor paved with ceramic tiles.

### The Results of Architectural Characteristics of Row Houses

This research examined and selected traditional single-storey row houses with a mixture of vernacular Chinese influences that have remained in use from the past to the present. The architectural style is also diverse and well worth studying. As well as it is a type of tenement building that still exists in significant numbers throughout the study area. So case studies will be used to develop conservation guidelines by applying the architectural conservation criteria's, in terms of valuation, anything that benefits, whether physical or social is considered valuable. And that illustrates the building's distinctive features and history in relation to life which can be classified into several categories. 1) Historical value 2) Age value 3) Form and condition value 4) Urban composition value and 5) Value of lifestyle and preserving ethnic culture. (Figure 13)

According to surveys of retail buildings, the key variable affecting the row houses' distinctive characteristics in both cases is the Mekong River's physical layout. Because of the waterfront, area is very steep; this enables it to be used by building a row house on a flat level and increasing the number of basements, or by lowering the level to match the slope of the riverbank. When viewed from Sunthon Wichit Road, the row house's front is a single-storey structure. However, when viewed from the Mekong River, the back of the row house is 2-3 storey high, with two gable roofs juxtaposed. Consequently, this style of row house is a unique architectural feature in this area. Besides row houses face Sunthon Wichit Road in both cases and parallel laying out to the physical of the road which is the district's main and traditional thoroughfare. This complex consists of a single-storey structure with additional living space beneath the roof for storage.

The analysis of the architectural characteristics of row houses in Nakhon Phanom's old commercial area along the Mekong River revealed that the row houses in this area follow the Mekong River area's physical layout and planning in accordance with Sunthon Wichit Road's physical layout. The first phase involves the construction of a single-storey row houses in the vernacular Chinese styles which divided into 3-5 column spans. A plaster load-bearing wall structure supports the front trading area enclosing by sliding doors. The rear portion is a residential area with hardwood structures. Two gable roof styles collide, resulting in a single gable and parallel the gable's side to the road. Roof material originally made of clay tiles, then was later replaced with zinc. The front walkway is enclosed by pillars. For the French-influenced style of two-storey, consists of 2-5 column spans. The trading section is structured with load-bearing wall, located on the ground floor in front. And a residential area on the upper floor with a hardwood structure and brick and plaster walls. Roof structure is constructed entirely of wood. Initially, thatched with clay tiles, and zinc roof is mixed as a contemporary style. Modern style row houses with two and three storey, divided into two - five column spans. It is a row house with a strong emphasis on the use of space for wholesaling activities. The trading section is located on the ground floor and the upper floor is devoted to residential purposes. The foundation is made of reinforced concrete and all wall materials are made of masonry and finished with a smooth plaster. Floor pave with ceramic tiles.

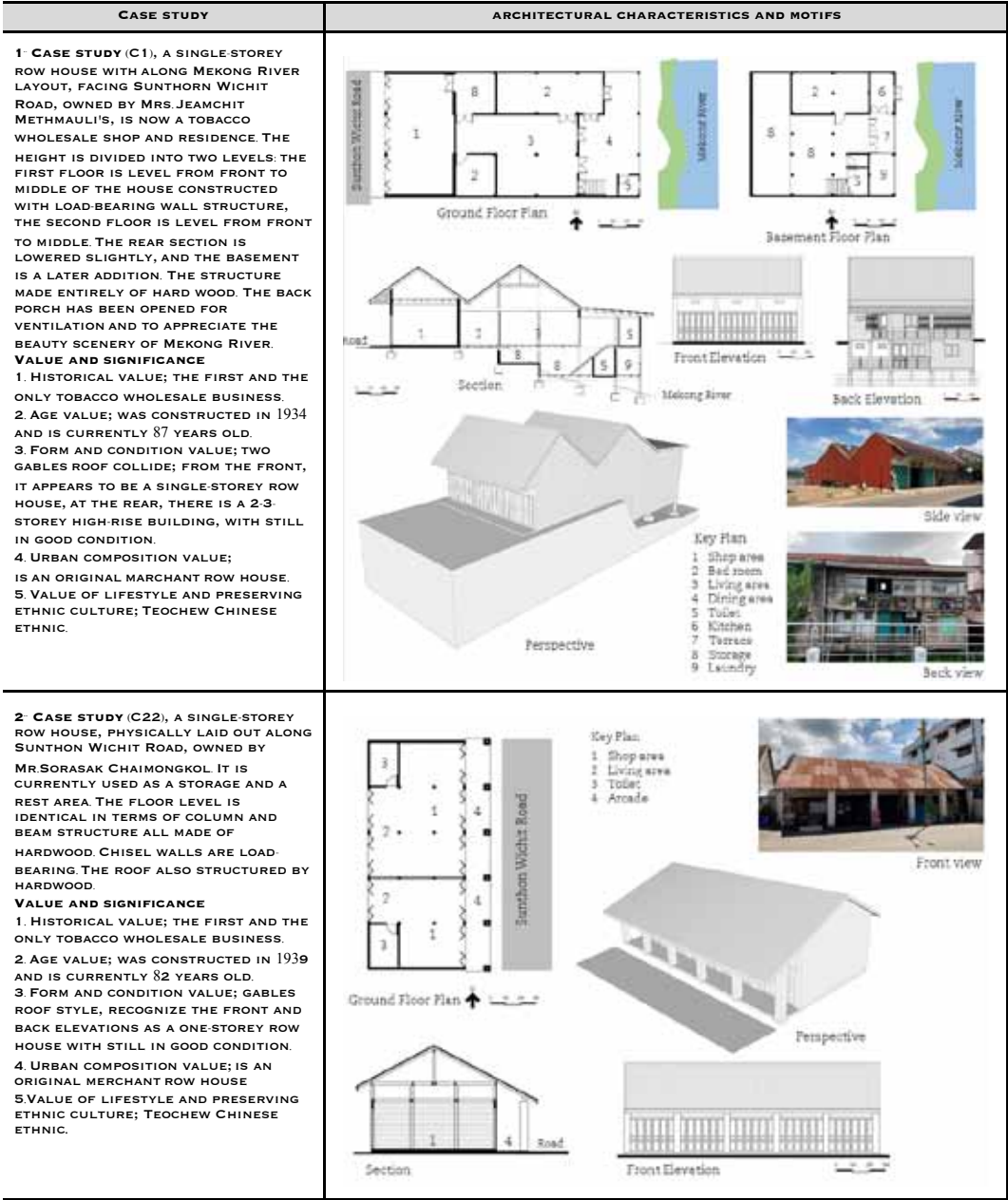


Figure 13. Evaluation of the values of a vernacular Chinese influenced single-storey row houses.

The Renovation to the Architectural Elements of Row Houses

On the Mekong River's old commercial district of Nakhon Phanom, the first tenement houses had a distinct character that reflected the local identity. The majority of activities were trading and residential (Figure 14), which has been blended with vernacular Chinese styles influenced by China, Vietnam, and France, giving each era's tenement houses a distinct characteristic. Nowadays, the way of life in this area changes in response to changing economic conditions. The same type of trade that our forefathers and mothers practiced in the past, such as food stores, agricultural product stores, and service shops are being shut down, due to a lack of successors. Certain properties have been sold, transferred, or leased, row houses have been converted into restaurants, beverages or coffee shops, pub and bars (Figure 15), by emphasizing the row house's traditional style as a selling point. As a result, a household trade community gave way to a tourism community. Six row

houses were discovered to be in a state of disrepair during the survey. Some of the row houses were abandoned (Figure 16), but ten row houses were renovated with two critical goals: 1) The tenant and owner proceeded to renovate the row houses, to redesign the interior space to accommodate the current business model, which includes restaurants, coffee shops, and clothing stores by removing the original wall and polished brickwork, replacing zinc roofs with steel roofs, replacing a glass door for the stretched steel door. The improvement has the advantage of attracting tourists, however, the disadvantage is that the motif value is diminished and 2) Nakhon Phanom Municipality renovated six houses into one-storey row houses with a mixture of Chinese style, five houses, and one modern style row house to promote tourism by modifying them with synthetic wood and were repainted, replacing wooden shutters with aluminum-framed glass shutters and zinc roofs with steel roofs. The renovation's positive outcome is that the row houses now have a distinctive appearance with vibrant colors that help attract tourists. The disadvantage is that it has historical significance and the motifs were diminished.



Figure 14. Six row houses were in either in disrepair or abandoned.



Figure 15. Renovation by tenants and owner.



Figure 16. Renovation by Nakhon Phanom Municipality Office.

### Conservation of Row Houses in the Old Commercial District

From surveying and analyzing the architectural characteristics of the row houses in the old commercial area by adopting a conservation approach to modify the type of row house and according to the theory of building conservation, in order to develop recommendations to relevant agencies in the area in the future. (Fig 17)

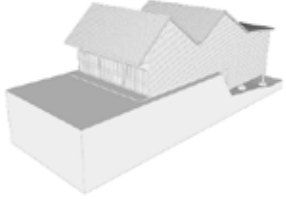

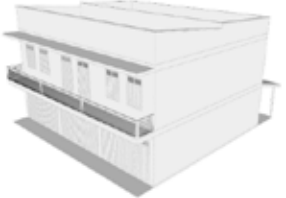
TYPE OF ROW HOUSES	ARCHITECTURAL ELEMENTS	CONSERVATION METHOD
<b>1. VERNACULAR CHINESE STYLES OF ONE-STOREY ROW HOUSES</b>  	1. RATIO OF HEIGHTS	CONSERVATORY METHOD; MAINTAIN THE ORIGINAL PROPORTIONS.
	2. ROOF FORMS AND MATERIALS	REPLICATION METHOD; RETAIN ORIGINAL ROOF SHAPE AND STYLE, CHANGING THE ORIGINAL ZINC ROOFING TO STEEL ROOFING, BROWN OR CREAM TONES ARE RECOMMENDED.
	3. PRIMARY STRUCTURE	STABILIZATION AND CONSOLIDATION METHOD; TO ASCERTAIN THE STRUCTURE'S LOAD BEARING CAPACITY ACCORDING TO CURRENT APPLICATIONS.
	4. WALLS	REPLICATION METHOD; TO CONSERVE MASONRY WALLS, CRACKS SHOULD BE REPAIRED USING AUTHENTIC MATERIALS, DECAY OF AN ANTIQUE WOODEN REPLACED WITH SYNTHETIC WOOD AS SUBSTITUTE, BROWN TONES ARE RECOMMENDED
	5. DOOR AND WINDOW DESIGN	CONSERVATORY METHOD; CONSERVE THE FRONT AND BACK DOORS USING TO MAINTAIN THEIR ORIGINAL STYLE, REPLACE WITH ONE THAT IS MADE OF THE SAME MATERIAL AND HAS THE SAME BROWN HUES AS THE ORIGINAL.
	6. TERRACE AND BALCONY	REPLICATION METHOD; CONCEAL THE DECAYED WOODEN RAILING, OR USE STEEL RAILING WITH SHAPES AND SIZE ARE ACCURATE REPRODUCTIONS OF THE ORIGINALS.
	7. AWNINGS AND DECORATION MATERIALS	CONSERVATORY METHOD; EACH PIECE IS DESIGNED TO HAVE A DISTINCT STYLE AND ARE COMPARABLE IN SIZE, BRACES, PILLARS, AND EAVES ARE DECORATIVE MATERIALS THAT PRESERVE THE ORIGINAL STYLE.
<b>2. FRENCH INFLUENCED STYLE OF TWO-STOREY ROW HOUSES</b>  	1. RATIO OF HEIGHTS	CONSERVATORY METHOD; MAINTAIN THE ORIGINAL PROPORTIONS
	2. ROOF FORMS AND MATERIALS	REPLICATION METHOD; RETAIN ORIGINAL ROOF SHAPE AND STYLE, CHANGING THE ORIGINAL ZINC ROOFING TO STEEL ROOFING, BROWN OR CREAM TONES ARE RECOMMENDED.
	3. PRIMARY STRUCTURE	STABILIZATION AND CONSOLIDATION METHOD; TO ASCERTAIN THE STRUCTURE'S LOAD BEARING CAPACITY ACCORDING TO CURRENT APPLICATIONS.
	4. WALLS	REPLICATION METHOD; TO CONSERVE MASONRY WALLS, CRACKS SHOULD BE REPAIRED USING AUTHENTIC MATERIALS, DECAY OF AN ANTIQUE WOODEN REPLACED WITH SYNTHETIC WOOD AS SUBSTITUTE, BROWN WHITE AND CREAM TONES ARE RECOMMENDED.
	5. DOOR AND WINDOW DESIGN	CONSERVATORY METHOD; CONSERVE THE FRONT AND BACK DOORS, USING TO MAINTAIN THEIR ORIGINAL STYLE, REPLACE WITH ONE THAT IS MADE OF THE SAME MATERIAL AND HAS THE SAME BROWN HUES AS THE ORIGINAL.
	6. TERRACE AND BALCONY	REPLICATION METHOD; THE RAILING RETAINS ITS ORIGINAL FORM AND MATERIAL.
	7. AWNINGS AND DECORATION MATERIALS	CONSERVATORY METHOD; EACH PIECE IS DESIGNED TO HAVE A DISTINCT STYLE AND ARE COMPARABLE IN SIZE, BRACES, PILLARS, AND EAVES ARE DECORATIVE MATERIALS THAT PRESERVE THE ORIGINAL STYLE.
<b>3. MODERN STYLE OF ROW HOUSES</b>  	1. RATIO OF HEIGHTS	CONSERVATORY METHOD; MAINTAIN THE ORIGINAL PROPORTIONS.
	2. ROOF FORMS AND MATERIALS	CONSERVATORY METHOD.
	3. PRIMARY STRUCTURE	CONSERVATORY METHOD.
	4. WALLS	CONSERVATORY METHOD.
	5. DOOR AND WINDOW DESIGN	CONSERVATORY METHOD. FRONT DOOR AND REAR WINDOW RETAIN ITS ORIGINAL FORM.
	6. TERRACE AND BALCONY	CONSERVATORY METHOD.
	7. AWNINGS AND DECORATION MATERIALS	CONSERVATORY METHOD.

Figure 17. Recommendations for preserving row houses along the Mekong River in Nakhon Phanom Province.

From the survey, data analysis and community opinion, can be summarized to three types of row houses conservation through four conservation methods; 1) Conservation; to maintain the row houses original condition and identity specifically (1) the original height ratio (2) the shape of the gable roof (3) the style of the door and window and (4) supportive columns, eaves and decoration 2) Rehabilitation; to improve and repair for economic gain 3) Stabilization and consolidation for column, beam, floor, roof and 4) Replication; using synthetic cladding, metal sheet roofing and steel balconies by implementing brown, cream, and pale-yellow tones while considering partially renovated row houses.

### Conclusion

Nakhon Phanom has a long history of settlement, with proper physicality, next to the Mekong River and was established as the first commercial district. People of various nationalities, including Thai, Laotian, Vietnamese and Chinese, have migrated to live in different communities in this area. The way of life of the people is related to the Mekong River, temples, and religious sites. The growth and physical transformation of this commercial district were formed by a group of merchants moving out to do business in a new commercial area around Aphiban Bancha Road and infrastructure was developed to promote tourism according to the policy of Nakhon Phanom Province. Such as improving the landscape, bringing electric cables underground and installing light poles, and constructing bicycle lanes and walkways along the Mekong River, which is consistent with concept of the composition of cities (Conzon, 1981). It discusses the role of society and the economy in the physical transformation of cities. The development that occurs in this area does not destroy the identity and values of the district. Applying a method to combine the new with the old physical of the district, for example, the renovation of the old row houses along the Mekong River, and improving the usability of the old building as a restaurant, coffee shops, clothing stores, and walking street activities are in line with concept of neighborhood transformation which must not destroy valuable elements, but should combine the new with the old physique of the community (Worskett, 1969). According to the theory of perception image of the city revealed that the neighborhood is unique to the city and people perceive and recognize that uniqueness. Resulting in the impression of the people comprising 1) the route (path) of the Mekong waterway by boat and the land route on Sunthon Wichit Road 2) the community center (node) for organizing the tradition and exercise areas; 3) a district, a pedestrian street, and an Indochina market; 4) an edge, a bicycle path along the Mekong River, and 5) a landmark, the Vietnam Memorial Clock Tower, old row houses along the Mekong River, and Nakhon Phanom Immigration (Lynch, 1960).

Row houses in the old commercial area of Nakhon Phanom Province is a historic commercial district. In the development of commercial buildings in the old Nakhon Phanom commercial district, in the beginning, most of the row houses were owned by Chinese merchants, constructed by Vietnamese craftsmen, which is along the Mekong River, and expanded on both sides of Sunthon Wichit Road. With characteristics of a single- storey row house in the style of mixed local Chi-

nese influences. It is the introduction of the style of row houses that are popularly built in the south of China, combined with the technique of using brick and hardwood materials that can be found locally. Later, during the Indochina War and the propagation of Christianity by French bishops, the style was combined with single- storey row house buildings scattered throughout the commercial district. The merchants then turned to build two- storey row houses that were influenced by France. But also focused on arranging the living space in a mix of local Chinese style and constructed by Vietnamese craftsmen. This characteristic is with weight-bearing walls. After the city expanded along Pastoral Bancha Road, Chinese merchants moved out of the old trading district and built a new modern-style row house, 2-3 storey high, and a structure with reinforced concrete. The contractors were hired in the area with a simple design, focusing on using the area for trading as the main function. From the study, it was found that the single- storey row houses were mixed with local Chinese influences, lined parallel to the Mekong River, the usage of the building is flexible, and has social and cultural value. This corresponds to the study of the characteristics of the row houses in the riverside commercial district (Ngawtrakun, 2008). The architectural characteristics consisted of 1) the planning of the row houses along the road and the Mekong River. There is a walkway in front (arcade), used as a connection between the buildings, and used as a selling area. 2) 3-5 column division, but the interior uses interconnected areas. 3) The shape of a row house, from the view at the front from the road, a row house is seen with a height of a single-storey, but looking back from the Mekong River, a row house is seen with 2-3 storey in height. Two gable roof shapes combine` together, facing Sunthon Wichit Road and facing the Mekong River. 4) The front of the row house is a trading area, bearing wall structure, brick, and hardwood materials. The back is a residential area with a hardwood structure. 5) The row house has a balcony at the back that connects to the basement, and 6) The front door is a double door along the column. So, it is easy to access and place.

The row houses in this old commercial area are worth preserving because of the expression of the value of row houses is preserving their historic value, which embodies the construction heritage of Vietnamese craftsmen. Architecture value, the use of brick wall materials and hardwoods in the area and aesthetic value have a unique style and are suitable for the location. And the age value of the row houses is 50-110 years old, in line with the concept (ICOMOS, 1987). Currently, many row houses in this commercial area have changed their usability to meet the usage and support business of tourism, which is consistent with Sutthitarn's findings (2011). Conservation guidelines for row houses have presented and exchanged ideas with the community and conservation methods suitable for Chinese and Vernacular styles of one-storey row houses and French-influenced style of two-storey row houses were used. Conservation methods were 1) conservation of the original height ratio (Feilden, 2003), 2) conservation of shape and roofing materials, walls, and balconies using replication methods and 3) reinforcement to strengthen structures using stabilization and consolidation methods (The Fine Arts Department, 1990). For the modern style of row houses, also suggest applying conservation methods in every element of the row houses.

## Recommendations

From policies and plans to promote tourism in Nakhon Phanom Province, Nakhon Phanom City Planning and Design Project developed as a classic city along the Mekong River. As a result, this old commercial district developed a physical structure. The local authorities have renovated the exterior of six row houses by using the concept of decorating the walls with synthetic wood materials. The steel sheet roof uses bright colors: light green, yellow, pink, blue and red, to create the ultimate eye-catcher for tourists. This concept may result in the loss of the historical value of the row houses and the architectural identity of the area. Therefore, local authorities, owners or tenants of the row houses, and conservation scholars, including tourists, should assess the visual quality of the row houses along the Mekong River in these commercial districts both before and after the renovation. Furthermore, conducting public relations to create knowledge for people in the community to realize the value and importance of the row houses in this commercial district before proceeding to renovate the row houses in the future. In addition, the impact of the construction of a bicycle path along the Mekong River along the back of the row houses, causes the view from outside and inside to be obscured and also causes residents to lack privacy in using the space at the back of the row house as tourists are using the bike path all the time, especially in the morning and evening. It should include designs of a balcony or blinds as the part of the back of them, resembling the traditional style as much as possible.

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# Thai Folk Theatre's Contribution to Wellness Support:

## *A Case Study of Likay Performance for Hypertension Education*

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### Abstract

This work demonstrates the employment of Likay, a folk theatre performance, as an educational tool for promoting the awareness of hypertension in elderly Thais. Utilizing interdisciplinary approaches across the academic fields of health science and the performing arts, this project created a Likay production dealing with the topic of hypertension and related medical information. Fifty elderly people from the Ta Ma Prang subdistrict, Kaeng Khoi district of Saraburi province, Thailand, were included in this study. A survey questionnaire was distributed prior to and after the performance to monitor the improvement of understanding as well as the awareness of hypertension by the participants. Results showed that knowledge increased by about 10% as the pre-test score was 64 points, and the post-test score was 74 points out of 100 points. This work is a pioneering education tool for special groups suitable for specific interests which may contribute to the understanding of employing the creative arts and media in community empowerment, particularly for the elderly.

**Keywords:** Likay, Creative Production, Interdisciplinary Research, Community Empowerment, Arts for Health, Hypertension, Thailand

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## Introduction

Likay, a traditional folk theater performance combining entertaining dialogue, singing, and dancing, was identified as a performing art form to realize this research objective. This work aimed at demonstrating and studying how creating a Likay performance could be a useful tool for provoking healthcare knowledge and awareness in elderly people. As the elderly population and community are quite complex and introducing new knowledge as well as stimulating awareness regarding health concerns can be challenging, using and encouraging interest would attract attention and benefit the learning process.

The present study utilized experts of Likay performance and its creators with the help from health care resource persons. Hypertension (high blood pressure) is considered as an importance health problem in older adults (Hedner, 2004:4). The quality of vessel walls as well as the physiological properties of cardiovascular related organs decays with age. Arteries are shown to lose their elasticity and compliance in aged adults, causing higher blood pressure (Oliveros et al., 2019:99). In addition, heart function declines with age causing an insufficient blood supply for the body, which lead to the activation of increased blood pressure. Generally, people with hypertension often ignore their health signs including headaches and dizziness, as these conditions are commonly found in elderly, leading to the development of severe conditions (Rigauud and Forette, 2017:217). Therefore, hypertension is referred to as "the silent killer."

The researcher initiated this creative project with collaboration from the Faculty of Fine and Applied Arts and Faculty of Pharmaceutical Sciences, Chulalongkorn University, Thailand. The result is a Likay performance that presented information and knowledge related to hypertension awareness, prevention, and treatment. Such content was designed into a performance dialogue and songs and made the information accessible for the elderly community. In brief, this research adopted a creative production research approach that an involved inter-disciplinary study between performing art and health science. It aims to employ a Likay performance as a creative medium to support community development, particularly to educate the elderly on matters related to hypertension prevention and treatment.

Likay is one of the most popular forms of folk theatre since the period of the late King Chulalongkorn (late 19th and early 20th century). It is an intangible cultural heritage that features local wisdom and creativity. Likay performers are required to have talents that can be spontaneously performed under given circumstances; it is a form of performance that involves performers' improvisation in dialogue and songs all the time. It is, therefore, to be considered as a high-skilled performance, for which the performers need to have talents and skills to handle the show. A well celebrated Likay performance is no doubt a performance that can engage the audience and receive an instant complimentary reaction. The moment when performers receive gifts prepared by the audience or fan club is the highlight of the show and is always seen as a specialty of Likay.

Knowledge about community health is an academic trend that many people are interested in. Being healthy is necessary so that people should learn and adapt their lifestyle. According to the proverb "It is the best to have no disease" it means when people get sick, it might be a waste of time, money and opportunity to

work. Thus, people need to stay safe and healthy, eat properly and have a healthy work-life balance in order to enhance the efficacy of living in an urban community safely and healthily. In particular, music has been shown to be beneficial for student performance (Forn, 2009:52 and Saarikallio, 2007:89-99). Music was shown to improve the quality of life for students (Eerola,P.S.;Erola.T, 2014:88) and help control emotions (Foran,L.M, 2009:51;Golbeck and Ellerkamp, 2012:395).

For content about healthcare, nutrition and theories, the researcher analyzed all and then concluded many points to form a base of a Likay show that includes comedy with techniques, mixed forms of performing, a contemporary style for adolescent audiences in the community, so that the performance is interesting and interactive between the actors and the audience. However, some traditional concepts need to be preserved as well. The researcher expects that the Likay Performance for hypertension learning would be useful for people in the Elderly Club in Ta Ma Prang Subdistrict, Kaeng Khoi District, Saraburi Province.

### Objectives

The objective of this research is to create a performance that employs Likay as a creative medium to educate the elderly community on medical knowledge and issues related to hypertension. Through this Likay performance, the elderly people who were involved in the project developed a better understanding of hypertension prevention and treatment.

### Subjects

The researcher created a Likay performance to foster elderly people on hypertension learning. Subjects involved in this research were the elderly community (aged between 60 to 70 years old) from the Elderly Club at Ta Ma Prang Subdistrict, Kaeng Khoi District in Saraburi province, Thailand. This research was approved by the office of the research ethics review committee for research involving human subjects, the second allied academic group in social sciences, humanities and fine and applied arts, Chulalongkorn University, Bangkok, Thailand (IRB 030/63) (Date of Approval: 15 April 2020).

### Process

The researcher initiated and realized the research using the following steps. (1) The researcher conducted primary and secondary research about hypertension and health issues related to such conditions. (2) While preparing the content of the performance, the researcher invited Prof. Dr. Pithi Chanvorachote from the Department of Pharmacology and Physiology, Faculty of Pharmaceutical Sciences, Chulalongkorn University to provide information related to hypertension learning. (3) The researcher discussed issues related to elderly health management with Prof. Dr. Pithi Chanvorachote and compiled relevant content to be included in the Likay performance. (4) The researcher arranged and composed selected content in dialogue and songs for the Likay performance. The content used for the performance is mostly information concerning problems, prevention, and the treatment of hypertension. (5) The final version of the script was cross-checked by Prof. Dr. Pithi Chanvorachote to ensure the information's relevance and accuracy. (6) The selection of the performance characters was organized with a total of six main characters arranged based on the story of "The Jealousy of the Widowed

Mother," and several rehearsals were organized. The final casting of the performance involved professional artists and students from the Department of Dance, Faculty of Fine Arts, Chulalongkorn University. Both artists' and students' selections are based on their experience and availability to participate in the project under the restrictions of the pandemic. (7) The actual performance was executed and documented in the format of a video and made available on YouTube. (8) The researcher coordinated with Ta Ma Prang's Elderly Club from Saraburi province in order to involve the elderly community in the research. A series of questionnaires was executed before and post-performance. (9) In total, 50 participants (aged between 60 to 70 years old) voluntarily participated in the data collection process. (10) The researcher summarized the findings by analyzing the data collected from the questionnaires. In the meantime, the researcher discussed and reviewed the research processes and suggested further research related to this study.

### **Research Sample**

The researcher selected the Elderly Club from Ta Ma Prang Subdistrict under the Kaeng Khoi District in Saraburi province. This particular club was selected due to its active involvement in community development since 1997. The club has more than 100 members that come from five villages. They are usually very active in participating in culture and community development projects in Saraburi province, especially on activities related to the religious festivals such as Buddhist Maka Bucha Day, Wisaka Bucha Day, Asanha Bucha Day, Buddhist Lent Day and etc. Apart from religious festivals, on the regular basis, the club assembles members for all kinds of community projects such as exercise, planting organic vegetables, and so on. In total, 50 participants of the age of 60 to 70 years old were invited to participate in this research. They were selected by the researcher based on the criteria that they must be able to read and write and complete the questionnaire.

### **Benefits of the Research**

Likay performance research for hypertension learning is an interdisciplinary research project that combines knowledge and practice from performing arts and health sciences. It is a creative project that involves knowledge and expertise from Chulalongkorn University and the Elderly Club in Ta Ma Prang subdistrict to realize a creative approach in educating the elderly about hypertension medical-related issues. Through this project, different levels of knowledge exchange have also been realized. Participants including both professional Likay performers, students, and the elderly participated in this research and were able to take part in an academic activity that improves their knowledge related to healthcare, particularly on hypertension.

### **Types of Hypertension**

According to the Medical Sciences Unit, under the Nation Health Department, hypertension is a medical condition that concerns "blood pressure is the force exerted by circulating blood against the walls of the body's arteries, the major blood vessels in the body." Hypertension occurs when blood pressure is too high. It is diagnosed if, when the systolic blood pressure readings on both days are  $\geq 140$  mmHg and/or the diastolic blood pressure readings on both days are  $\geq 90$  mmHg. In general, there are two types of hypertensions (Hedner, 2000). It is believed that

essential hypertension is caused by two factors: genetics and environment. The other factors are obesity, stress, smoking, and alcohol drinking. Secondary Hypertension: the secondary type of hypertension is usually caused by other diseases, which need to be treated first, such as pheochromocytoma, chronic kidney disease, renal artery stenosis, coarctation of the aorta, and include illnesses found in those who overuse steroids and are under 45 years old.

In general, factors and risks that are caused by hypertension might be connected to non-modifiable risk factors, which include a family history of hypertension, or being over 65 years with a chronic illness such as diabetes or kidney disease. Another factor is related to the nature of gender. Based on existing medical research, there are more males than females who suffered from hypertension. This is due to females having less estrogen hormone that affects their blood vessel flexibility. However, for the elderly who are aged over 60 years old, both genders are found to have an equal chance of getting hypertension. In short, modifiable risk factors include obesity, high fat consumption, alcohol drinking, consumption of salty foods as well as a lack of exercise and anti-insulin/ diabetes also being factors that will cause hypertension.

### Plot

The plot of the performance is centered around the love between a mother and her daughters and the jealousy between her siblings. The character of the mother is an aged woman who consumes lots of spicy and salty food and does not like to exercise. She loves her daughters unequally, the elder daughter from the ex-husband is very health conscious and likes to consume healthy food. On the contrary, the younger daughter is living completely the opposite life to her elder sister. Moreover, the younger sister is secretly in love with the elder sister's boyfriend. Therefore, she is jealous of her sister. Unfortunately, the mother spoils the younger one. One day, the mother is ill and diagnosed with hypertension. Under such circumstances, the elder daughter is concerned and takes care of her. She is then advised to eat healthily and live a healthy lifestyle. Eventually, the mother realizes who is caring for her and rewards her elder daughter with more love and respect.

### Process of Creating the Performance

To realize the research objectives, the following preparation was done prior to embarking on the data collection process.

### Script

Script preparation began in May 2019 and the final version was ready in September 2019. The artist responsible for script preparation was Pradit Prasatthong (National Artist in Performing Arts Year 2004). He composed a script that involved a storyline, characters, and songs that were able to put forward relevant information about the medical condition of hypertension. Meanwhile, the researcher coordinated script preparation with the National Artist, and eventually, the story of "Look Rak Look Chang" (The Love of Mother and Daughter) was created. The main characters in this play are:

1. Ka-Wao (Thai name): A mother who has a daughter from her former mar-

riage and another daughter from her new marriage. She did not like her elder daughter because she always refuses to listen to her.

2. Ko-Bua: The elder daughter. She is interested in learning new knowledge related to healthcare and living a healthy lifestyle with a healthy diet.
3. Ko-Kaew: A younger sister who is always jealous of her sister.
4. Doctor Kritsana: A community doctor who has a one-sided love for Ko-Bua.
5. Comedian one: A supportive friend of Doctor Kritsana.
6. Comedian two: A supportive friend of Ko-Bua.

After the script was completed, Prof. Dr. Pithi Chanvorachote, who is a healthcare expert, was invited to review and revise the healthcare-related content of the performance to ensure the information provided was academically reliable, especially on topics of food consumption and exercise concerning hypertension.

### **Casting**

During the production stage, the researcher works with Pradit Prasatthong to assign Likay performers to their selected character. As such Mr. Chalomchit Chana-jai, who is an experienced Likay performance with over 10 years of stage experience, played the role of Ka-Wao. Students from the Department of Dance, Faculty of Fine and Applied Arts, Chulalongkorn University who had passed the course on Likay were selected to play the other supporting characters. However, due to the pandemic restrictions, the performance had to be short and maintain high quality. Consequently, to ensure the quality of the performance and to shorten the time for rehearsal, the main characters of the performance were all given to professional Likay artists. As a result, the main actor, Thiti Chaiyaporn, was given the character of the younger son of Ka-Wao, Nun Yada as the character of the younger Ka-Wao, Nice Petch-Banternng as Doctor Kritsana, and other students as supporting Likay dancers.

### **Changing Actors and Context**

With the researcher as a director and professor, and Pradit Prasatthong as the screenwriter, they consulted with the team of actors to study the scripts thoroughly for about three days. This included a learning process to practice singing and storytelling, to define the characters' personalities, and to visualize and act properly, especially the role of the youngest daughter, Ka-Wao, performed by Thiti Chaiyaporn. This process involved three professional Likay artists. Thus, the way the show was performed was adjusted along with the knowledge about hypertension in order to educate the audience.

### **Practicing Performing and Singing**

When an actor reads a chapter and understands the role shown, the actors and actresses must practice their role so that they can perform the show successfully to achieve the academic goal. The performers must not only learn their own script, but also the others' script in order to understand the mood of the show better. The songs for the show are according to the framework of the research with the core songs of Likay consisting of Tung-Le, Lae, Ranikleng and Lao-Cheang.

All acting practices require singing exercises to be assigned to a vocal key or vo-

cal channel. This must be done accurately and not too high or too low, or it will not create the correct melodies of the music. Singers may also have to go down a rhythm with chimps and tapers directing rhythms, especially singing along. The singer must keep the volume of the vocal channels relevant, which is difficult. Singing in this Likay show is challenging because the singer needs to concentrate on poetry, so they must practice the melody and keep singing at volume. This is throughout the melody, as well as expressing emotions and dance moves, communicating the meaning while performing. Moreover, all performers have to recite the script and rehearse in each scene, focusing on singing, dancing, interpreting the script.

### ***Rehearsal***

After each rehearsal, to ensure the accuracy of the role in their scene, during stage performances the Likay performers need to improvise their speech. No matter what problems may arise, they have to solve them spontaneously in order to run the show fluently and smoothly.

### ***Recording***

When rehearsals were in the setting, the researcher recorded the performance on a video-CD on 5th June 2020, recording each sub-scene and editing in order to finish the whole performance on VCD.

### ***Performance***

The props of this show are important for the performance. The researcher used traditional Likay colors to paint the main scene for the performance, as well as the equipment. Moreover, on the rehearsal day, sound effects were tested to make sure that there would not be any problems on the performance day.

### ***Costumes***

Likay costumes are considered to be one of the most important elements for the performance, the researcher highlighting glittering costumes, which are very strong characteristics of Likay performance. It is iconic and therefore must be focused.

### ***Orchestra***

Traditionally, Likay orchestra consists of five Pi-Pakt-Mon instruments: (1) Thai Xylophones, (2) Drums, (3) Bronze Bells, (4) Mon-styled Peng Mang, and (5) Mon-styled Pipe. On the production day, a full orchestra was arranged. The performance was then executed with a live musical composition along with the songs and dialogue.

### ***COVID-19 Pandemic Situation***

Due to the COVID-19 situation, the whole performance had to be shortened. Such consideration was also due to the consideration of the overall performance time and YouTube accessibility. A YouTube video was then made available for the elderly to be involved in this research. In total, 50 participants who volunteered to

join the research watched the performance, followed by answering a pre-test and post-test questionnaire. The results are listed as follows:

	Pre-test		Post-test	
	correct	incorrect	correct	incorrect
1. Foods to be avoided for people with hypertension	41 (82)	9 (18)	40 (80)	10 (20)
2. Normal blood pressure	40 (80)	10 (20)	50 (100)	-
3. Reliable health resources	25 (50)	25 (50)	12 (24)	38 (76)
4. Which types of desserts/fruits are suitable for a person with hypertension?	47 (94)	3 (6)	50 (100)	-
5. What is an appropriate lifestyle for an elderly person?	48 (96)	2 (4)	49 (98)	1 (2)
6. Which of these does not cause hypertension?	30 (60)	20 (40)	36 (72)	14 (28)
7. Which of the following diseases are more likely to occur in the case of the hypertension?	34 (68)	16 (32)	20 (40.0)	30 (60)
8. What foods should I consume?	38 (76)	12 (24)	48 (96.0)	2 (4)
9. What type of exercise is suitable for the elderly?	49 (98)	1 (2)	50 (100.0)	-
10. Which are the right herbal medicines for the elderly?	39 (78)	11 (22)	43 (86.0)	7 (14)
Overall	391 (78.2)	109 (21.8)	398 (79)	102 (20.4)

Figure 1. Table of the scores from the questionnaire.

### Analysis

According to the table, the three highest pre-test scores of hypertension learning were: (1) What type of exercise is suitable for the elderly? (2) Proper behavior benefiting patients with hypertension, and (3) Which types of desserts/fruits are suitable for people with hypertension? The least known part was the reliable health source.

For the post-test, we found an improvement in terms of general knowledge of hypertension and what suitable behaviors are. The analysis results indicated that watching to this created performance could increase the post-test score by 10% as the pre-test score was 64 points, and the post-test score was 74 points out of 100 points.

Test score	Pre-test		Post-test	
	n	%	n	%
8-10 points very good	32	64.0	37	74.0
4-7 points fair	18	36.0	13	26.0
1-3 points low	-	-	-	-
total	50	100	50	100

Figure 2. Table of audience pre and post results. The pretest score is high, 32 people, 64.0%, fair 18 people, 36.0%. The post-test score is high, 37 people, 74.0% and fair 13 people, 26.0%.

## Conclusion

By and large, this research employed a Likay performance as a creative approach to educating the elderly community for a better understanding of the medical condition of hypertension. It is interdisciplinary creative research that integrated health sciences and performing arts. To achieve the research objective, the researcher: (1) Orchestrated information about hypertension into the content of a Likay performance. (2) Through the Likay performance, such messages were incorporated into play storylines to educate the elderly people from the selected community from Saraburi province. (3) Due to the restrictions caused by the pandemic, the Likay performance had to be adapted into a much shorter version, and the performance was recorded as a video and made available on YouTube. The video was utilized as a tool to collect data from the elderly, they were instructed to answer a questionnaire before and after watching the performance. Altogether 50 participants took part in the research. Data was collected by the researcher through pre-test and post-test questionnaires.

For the sake of the research, this performance project was a creative output of a working group that involved researchers from health science and performing arts. The researcher would like to express his gratitude and appreciation to (1) Prof. Dr. Pithi Chanvorachote (Faculty of Pharmaceutical Sciences, Chulalongkorn University) for providing information on the medical condition of hypertension that served as the main content for the performance. (2) Pradit Prasatthong, a National Artist awarded in 2004, (3) Bunsueb Phanprasert – Project Coordinator of the Elderly Club of Tha-Maprang, (4) Four Likay artists - Chalomchit Chanajai, Thiti Chaiyaporn, Nice Petchbanterng, Noon Yada, (5) Students from Department of Dance, Faculty of Fine and Applied Arts, Chulalongkorn University. Furthermore, the Likay performance utilized by this research was selected to be broadcast on Thai PBS TV channel, which means that, the performance will be available to a larger local and international audience.

To conclude, this study is interdisciplinary creative performance research that integrated folk culture and performing arts for healthcare education. The researcher successfully disseminated information to the elderly community on the medical condition of hypertension through a Likay performance. Through this creative ap-

proach, the elderly community demonstrated a better understanding of hypertension and health knowledge concerning such conditions. It is fruitful research that can benefit the elderly community and utilize folk culture and performing arts for the community and sustainable development.



Figure 3. Poster of Likay Performance for Hypertension Learning (Source: Researcher).



Figure 4. Likay Performance for Hypertension Learning, on youtube: see [https://youtu.be/bbp2P6\\_LdMk](https://youtu.be/bbp2P6_LdMk) and QR Code for quick viewing.



Figure 5. Likay Performance for Hypertension Learning, on Thai PBS TV channel August 5, 2020. See <https://www.thaipbs.or.th/program/Tuktid/episodes/71477> and QR Code: Likay Performance for Hypertension Learning, on Thai PBS TV channel. August 5, 2020.

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# Selected Piano Works by Klaus Pringsheim's Students *at the Tokyo University of the Arts: Analysis, Interpretation & Performance Techniques*

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## Abstract

This research article discusses selected piano works by Thai and Japanese composers who studied with Klaus Pringsheim (1883-1972) at the Tokyo University of the Arts in Japan around 1931-37. Pringsheim established the conventional Romantic musical language among his students. A few students, including Prasidh Silapabanleng and Komei Abe, also furthered the idea of integrating vernacular musical language in their compositions. Silapabanleng incorporated Thai traditional melodies in many compositions. Abe also interlaced a koto playing technique in his *Piano Sonatina No.3 in C minor* which required specific musical knowledge and interpretation in order to convey the performance perfectly. This article focuses mainly on harmonic analysis, interpretation and performance techniques of selected piano works to widen one's repertoire for examination and recital.

**Keywords:** *Musical Interpretation, Klaus Pringsheim, Prasidh Silapabanleng, Komei Abe, Piano Pedagogy*

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## Introduction

Klaus Pringsheim (1883-1972), a German composer, was one of the most important professors in music invited to teach music at the Tokyo University of the Arts according to the Westernization Policy in Japan. Pringsheim put great effort in establishing classical music and significantly influenced many composers under his supervision in terms of German Romantic musical language of Gustav Mahler (1860-1911), Richard Strauss (1864-1949), and others. Mahler's compositional ideas are inevitably influential since Pringsheim was his pupil and assistant. Therefore, Mahler's compositional procedure and master works were thoroughly discussed and later casted the framework of composers under Pringsheim's supervision. All students responded well to the Western musical language and enjoyed composing compositions for chamber ensembles and orchestras. Not too many students composed in the area of piano repertoire. However, Prasidh Silapabanleng and Komei Abe composed a few piano compositions and even furthered the idea of integrating vernacular or folk musical language in their compositions. Silapabanleng incorporated Thai traditional melodies while Abe interlaced a koto playing technique in his *Piano Sonatina No.3*. If a pianist can envision additional interpretation and performance techniques which has not been written in the musical score, he can convey the performance with style more perfectly. Selected worked will be mainly discussed on harmonic analysis, interpretation, and performance techniques to widen one's repertoire for examinations and recitals.

## Klaus Pringsheim

Pringsheim was a pupil of Mahler and worked as an assistant conductor at the Vienna Court Opera around 1906-07. Later in his career, Pringsheim also directed and conducted many known orchestras, including the Geneva Opera House, the German State Theater in Prague, and the Max Reinhardt Theater in Berlin where he brought out the first Mahler's cycle with the Berlin Philharmonic. From 1931-37, Pringsheim was appointed professor in music, with the recommendation from the German Ministry of Culture, at the Tokyo University of the Arts in Japan. He taught, conducted, and performed with his students and was praised as the most important and inspiring foreign composition teacher in Japan.

For a short period in 1937-38, Pringsheim accepted a position as a music advisor at the Fine Art Departments in Thailand. After leaving a position in Thailand, Pringsheim went back to Japan briefly as a conductor of the US Army Orchestra in Tokyo and taught a few private students. After having a long break in the United States of America, he finally went back to Japan and became a professor in music at the Musashino Music Academy in Tokyo until 1972 (Pringsheim, 1995).

Pringsheim's compositions include symphonies, string quartets, concertos, and other works. His *Siamese Melodies: Suite for Violin and Piano* also incorporates Thai melodies. He also composed a few piano compositions, mostly for students; for example, *21 Short Piano Studies for Beginners* and *36 Kanons for Klavier*.

## Pringsheim's Students at the Tokyo University of the Arts

Among Pringsheim's first group of students enrolled at the Tokyo University of the Arts were Hiroshi Wakasugi, Taijiro Iimori, Kozaburo Hirai, Isotaro Sugata, Komei Abe, and a Thai student, Prasidh Silapabanleng. Most of them responded well to

the Western musical language and enjoyed composing instrumental compositions or conducted chamber ensembles and orchestras in Japan (Ishii, 1997). Many composers extended their skills by integrating nationalistic elements like folk melodies or traditional instruments into the compositions too. Silapabanleng (1912-99) a Thai musician and composer who had solid background in Thai classical music transmitted from his father, Luang Praditphairoh, infused Thai traditional melodies in compositions like *Siamese Suite*, *Siang Tian* and a collection of beautiful songs for performances on stage (Silapabanleng, 1999; Srikananda, 2021). Abe (1911-2006) was also a composer who experimented combining Japanese modal melodies with Western Romantic harmony. Moreover, a trace of Mahler's vernacular musical language and bird calls usually found in his symphonies (Judd, 2018) can be also found in Abe's works, particularly *Piano Sonatina No.3 in C minor*.

### Prasidh Silapabanleng

Silapabanleng was the first Thai musician who studied Western music outside Thailand and was credited as an important composer who composed with Western musical language and able to transform musical ideas with outstanding approach. Silapabanleng had solid background in Thai classical music transmitted from his father, Luang Praditphairoh (1881-1954), one of the most important Thai classical musicians in Thailand. Silapabanleng had studied violin, piano, and Western music rudiments prior studying with Pringsheim at the Tokyo University of the Arts in Japan. When Silapabanleng graduated in 1938, he went back to Thailand and was engaged as composer and conductor at the Royal Fine Arts Department for 4 years. Later he helped his family found the Phakavali Institute of Dance and Music and composed music for the stage performances. Silapabanleng composed large number of songs and orchestral pieces including *Siamese Suite*, *Damnern Sai for String Quartet* and *Siang Thian*. He also composed a piece for voice and piano and a few arrangements for piano conductor scores. His compositions had been presented in many important occasions, including the performance presided over by King Rama VIII and King Rama IX of Thailand. His compositions had been performed and recorded by notable orchestras both in Thailand and abroad. According to his contribution and improvement in the Western music study in Thailand, he was awarded as National Artist for Performing Art (Composer) in 1998.

### Komei Abe

Abe started his first music lessons playing a violin. Later when entering the Tokyo University of the Arts, he studied cello with Heinrich Werkmeister (1883-1936), and composition with Pringsheim. Abe's music repertoire includes symphonies, string quartets, concertos, and a few piano pieces. His piano pieces for children, like sonatinas and short character pieces, are compact and encompass basic piano techniques perfect for piano teaching up to the intermediate level.

Abe composed three *Sonatinas for Children* and published them as a whole set around 1972. Each sonatina has unique character together with influence of German Romantic music. The third sonatina is particularly notable since in the second movement, Abe shows a trace of Japanese music identity and imitation of koto playing techniques.

### Analysis, Interpretation and Performance Techniques of Compositions by Silapabanleng

Many songs with Thai traditional melodies Silapabanleng composed had been transcribed for piano by himself and his student, Apsorn Kurmarohita, to perform in many events organized by Sod-Nian Kurmarohita Foundation. All of the songs are in ternary form with conventional Western harmony. The most important idea to perform those arrangements for piano is how a pianist can imitate Thai words and convey them beautifully.

In *Dachanee Chai Lai*, each melodic line must be projected out with tenderness and clarity. Phrases can't be played with straightforward note values seen in the score, but they need to be contoured and flexible. Appoggiaturas in bar 22 and alike need to be played gently and 1 or 2 seconds slower than written.



Figure 1. *Dachanee Chai Lai* (bars 20-25).

Accompaniment line in the left hand in bars 12-13 and 17-18 has to be also projected out since it represents beautiful supportive lines. A pianist can press with a little more weight and sustains the line for its full length (tenuto).



Figure 2. *Dachanee Chai Lai* (bars 12-18).

Pedal is very essential to connect harmonic and melodic lines. A damper pedal can be slightly pressed down at the end of bar 7 and deeper in bar 8. Pedal change can be made after note F in bar 9 for a smooth transition.



Figure 3. *Dachanee Chai Lai* (bars 7-10).

Same interpretation and techniques can be applied in *True Love*. Melody with series of triplet should not be played with blunt or rigid interpretation. On the contrary, the triplets need to be well projected with rubato like singing. The descending triplets in bar 16 can be played slower and slower until the end of the entire phrase in bar 17 where a fermata was added to complete the whole phrase.



Figure 4. *True Love* (bars 13-18).

About pedaling, many arpeggiated bridge passages had been put between melodies; harmonic analysis needed to be examined before making decision for pedal change. When the passage is under the same chord or harmony, pedal can be kept unchanged. For example, pedal can be kept for 2 bars from bar 39 to 40 when arpeggios in D Major ascend to the last note D. However, the pianist must explore the sonority and adjust the depth of the pedal accordingly.



Figure 5. *True Love* (bars 37-40).

Same pedaling idea can also be applied in many sections in a song with beautiful piano accompaniment, *To Daffodils*. The pedal can be held thoroughly for almost 2 bars in bars 54-55. The only thing the pianist should avoid is pedaling too deep and obscure the impressionistic and clear accompanying line in the left hand.



Figure 6. *To Daffodils* (bars 54-55).

### Analysis, Interpretation, and Performance Techniques of a Composition by Abe

Abe composed many piano pieces designed as a tool for preliminary and intermediate level. A set of 3 sonatinas is a very good start for musical analysis as well as exercise for technique building. Piano Sonata No.3 contains imitation of Japanese instrument and bird calls considered very innovative at the time.

#### Piano Sonata No.3 in C minor, I

The 13-minute long sonatina is in 3 movements. The first movement is in C minor and in sonata form. Piano techniques like scalewise passages, repeated notes, and triplets are designed to establish good foundation in piano playing. The first theme starts in C minor and presents members of tonic triad by using arpeggiated melody with repeated chords in the accompaniment.



Figure 7. 1st movement, first theme in C minor (bars 1-4).

A trace of descending Japanese pentatonic scale (intervals like major second, minor third, perfect fifth and minor sixth) in triplets is shown in bars 140-143, bringing the melodic line to tonic note C in bar 144. The coda is back in C minor and involves mostly in the key of C minor which is repeated softly and ends with a pause in bar 155.



Figure 8. Sonata No.3, 1st movement, descending Japanese scale with suggested fingering (bars 140-144).

For interpretation and techniques, the movement, marked with Allegro, is lively and energetic in general. Firm fingertips and clear sound projection must be well perceived. To perform with ease and produce relaxed sonority, a pianist should not stiffen his wrists, but lift nicely after each phrase instead. For phrases with *f* and *ff* dynamics, one can put more weight onto the keyboard and feel the bottom of those keys before lifting off.

When linear chromatic phrases are involved, there are many approaches to analyze and practice. How to visualize the direction of the phrase or the core notes is very important to prepare both movements and fingers ahead of time. A pianist

can make a reduction of complicated phrase regardless note values, study the main melodic notes, and fill in other non-chord tones (Beach, 2016). For example, a long phrase with triplets and accidentals (bars 140-144, shown in Figure 8) can make one consume time in reading and practicing than expected. The pianist should study the chord progression and analyze the chord tones before practicing only the core notes. Optional fingering is also provided, but can be adjusted according to personal preference. A reduction of the RH in the phrase mentioned with same fingering is shown in Figure 9 below (LH can be done likewise).

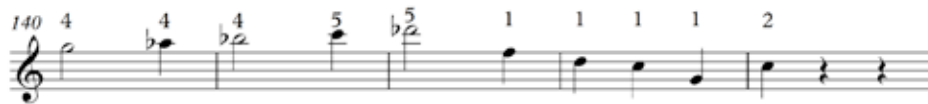


Figure 9. Sonatina No.3, reduction of a chromatic phrase (bars 140-144).

For the second approach, practicing vertical chromatic intervals in bars 67-70 and alike can be executed by pressing notes in each interval together while studying its direction. Accent on the top notes or melodic line and practice until ready to play separately as written in score.



Harmonic intervals of phrases above with same fingerings is shown below.



Figure 10. Sonatina No.3, 1st movement, practicing chromatic intervals by pressing notes together (bars 67-70).

Fingering is very important to perform with ease and precision. In this movement, fingering is typical and doesn't need any special focus. Only one suggestion in a dominant preparation from bar 91 when note G has been added to the lower note of the F octave and repeated for 4 bars is made. A pianist can use fingers 1 and 2 in the right hand as usually executed, but for a pianist with a small hand, he can press both F and G with his thumb. Moreover, in bars 95-96, when intervals with less than octave are written, the pianist can resume using fingers 1 and 2 for F and G. However, if he doesn't want to confuse himself or abruptly change finger positions, he can continue using a thumb for both F and G until bar 96.



Figure 11. Sonatina No.3, optional fingering in a dominant preparation passage (bars 91-96).

Pedaling is also important in order not to inhibit the clear and natural nuance with too much damper pedal. When rests are applied like passages in bars 92-96, damper pedal should be completely up at the same time with hands. In addition, if possible, in bars 93 and 95-96, the damper pedal can be pressed a bit ahead of time to prepare for greater resonance. Suggested pedaling is also shown in Figure 11.

### Piano Sonatina No.3 in C minor, II

The second movement, entitled *Song of the Quite Wood*, shows the use of Japanese modal melodies portraying bird calls and serene Japanese wood. Mahler's affection in sound of nature and folk elements (Judd, 2018) shown in his works can be depicted in this movement. Abe also imitates sound of a Japanese stringed instrument, koto, by using arpeggios, articulation like staccato, grace notes or acciaccatura (bars 46-49 and alike), and repeated notes (bars 46-49 and alike). A method of combining traditional instruments and its unique sound with Western compositional technique was first introduced in Japan and became popular around 1920s (Garrett, 1998). Abe was one of the composers who explored and composed according to the method.

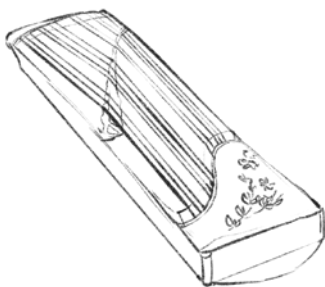


Figure 12. Japanese stringed instrument, Koto. Source: Drawing by Partita Chulapan, February 23, 2022.

In this movement, complicated harmony and use of dissonance can be observed. Non-chord tones like second, flatted fifth, and eleventh notes are added freely to adorn the simple harmonic structure. The movement is in ABA or song form, starting with quiet phrases with members of B-flat Major chord. Harmony changes temporarily to G minor in bar 17 and back to B-flat again in bar 25. Pedal tones in F in bar 31 lead to passage imitating bird calls. Pedal tones have also been presented in reverse in the right hand in the next 5 bars during the imitation of the

bird calls. The bird calls focus on note F; each F is accentuated by usage of triplets, trills, and added acciaccaturas. The bird call section ends with a whole bar rest in bar 40.



Figure 13. Sonatina No.3, 2nd movement, bird calls (bars 34-39).

Idea of repeated notes is also carried on in different registers. Bridge passage with repeated D also merges nicely onto the A section in bar 59 in B-flat Major. So to speak, repeated notes resemble the woodpecker sound, the weak and gentle ones.



Figure 14. Sonatina No.3, repeated woodpecker sound (bars 55-60).

In the second part of the A section from bar 75, more notes have been added for thicker texture. The accompaniment is still in the arpeggiated form. At the end of the movement, V-I progression has been used many times from bar 85 and ends the whole movement in B-flat Major in bar 91. Short “cuckoo” motifs in thirds in the right hand end the movement depicting sound from the quiet wood perfectly.



Figure 15. Sonatina No.3, “cuckoo” motif in the last phrase (bars 87-91).

Relaxing “Lento” movement imitating the koto performance can be executed by focusing on the flowing singing melodic lines from bar 1 to bar 33, right before the bird calls. Consider rubato and ritardando between phrases more than written out in the score to make them more flexible and sectional. For example, at the end of bar 24, a small break which was not written can be made before the return of the first theme in bar 25. Even more time can be taken in bar 30 before approaching the repeated pedal tones in bar 31 and sudden bird calls.



Figure 16. Sonatina No.3, flexible rubato between phrases (bars 29-33).

Same flexible interpretation can also be taken from bars 55-58. Pedal can be pressed throughout the part and re-pedal in bar 59. Italian terms like *accelerando* and *ritardando* are meticulously designated and can be applied with discretion for best performance. Figure 16 also shows possible pedaling in the bridge passage and the A section theme from bar 59.

### Piano Sonatina No.3 in C minor, III

The third movement, rondo, is vigorous and perpetual. Offbeat accents, brisk rhythm and chords with added 4th and 7th intervened with rests make the movement even more driving. Compositional techniques shown in the last movement are somewhat advanced than the previous 2 movements; sequences, modes, augmentations, and imitations are found.



Figure 17. Sonatina No.3, 3rd movement, A section, theme in C minor (bars 1-6).

Driving mood by strong and steady pulse is interrupted from time to time by different offbeat accents and rests. Japanese modal melodies have also been exploited throughout the movement. Circle of fifth and sequential conventional composition techniques are also applied. In terms of performance interpretation, straightforward and determined conduct is needed to convey the dynamic character of the last movement. For accented notes in the first phrase and alike, the pianist needs to drop his wrists and fingers firmly, press and lift the wrists a bit in the same manner before pressing notes in the next bar. Too much up-and-down movement in similar phrases will reduce playing speed and ruin connectivity between notes.

Rests should be taken seriously; rigid pulse and precise note value are important to maneuver the whole movement ceaselessly. To press notes precisely in time, a pianist should practice with over-accented movement using metronome to adjust the precise downbeats. Also beware of pressing the eighth notes in bars 69-76 for too long since it will slow down the agitating spirit.



Figure 18. *Sonatina No.3*, precise note value to be executed for agitating spirit (bars 69-72).

Sudden contrast dynamics like *ff* to *p* or vice versa seen in bars 73-78 must be well observed since the extreme contrast will also enhance the sudden mood change. Complete lift, both hands and pedal, in bar 76 before continuing to the next phrase stating with *p* will separate the 2 phrases and enhance clear perception of the next section.



Figure 19. *Sonatina No.3*, extreme contrast between phrases (73-78).

For pedaling, barely use the damper pedal for most of the places and, when needed, only half a pedal is preferred. Full pedal can be operated in legato or long phrases like bars 7-12 and alike. Gradual pressing pedal with different depth in one phrase is also possible to increase or decrease the effect of damper pedal. A long phrase from bar 199 to 206 is applicable for the pedaling technique mentioned. In bar 199 marked *ff*, the pianist should press the damper pedal with firm and certain depth and, around bar 205, gradually release the pedal little by little until lift nicely together with both hands in bar 206. In the last 4 bars, from bars 207-210, when dynamic *ff* is put next to *p*, the use of full pedal is needed to enhance the contrast texture and dynamics. Also press the pedal a second before bar 209 to amplify the perfect ending.



Figure 20. *Sonatina No.3*, pressing pedal ahead of time to enhance nuance in the last phrase (bars 207-210).

## Conclusion

Interesting piano repertoire by Pringsheim's students can be brought to light to widen repertoire for examinations and recitals as well as learning materials for musical analysis. A few piano works of Silapabanleng and a sonatina by Abe have been cited about analysis, interpretation, and techniques with musical excerpts. Although the compositions were composed with conventional German Romantic musical harmony, they are remarkable and worth studying because of unique adaptation of folk materials. They need to be executed with awareness in style and flexible interpretation to convey the beauty of the Oriental culture. Interpretation and techniques suggested are essential in establishing fundamental performing skills. Performance technique, body movement, fingering, and pedaling need to be well observed and accomplished for best performance.

## Acknowledgements

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# Composition Plus: A Process-Compositional Approach *in Music Therapy to Empower Creative Potential*

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## Abstract

This paper presents a music therapy method *Composition Plus*, a process-compositional approach that is rooted in the music therapeutic improvisational practice. *Composition Plus* arose from an increasing need in today's field of music therapy for short-term treatment models that are approachable and accessible, to guide and empower individuals in their creative capacities. The purpose of this paper is to present the therapeutic and theoretical framework and to illustrate this with (musical) impressions from two cases. *Composition Plus* exists of a predetermined number of sessions with clearly predefined objectives, split in three subsequent phases. Three core features are underpinning these sessions: (1) a circular process of musical improvisation and composition, (2) a spectrum of improvisational interventions and (3) a shaping process that fosters a sense of interpersonal trust. *Composition Plus* empowers the patient's creative potential, fostering a sense of interpersonal trust through a joint process working towards an explicit artistic product.

**Keywords:** *Music Therapy, Creative potential, Process-compositional Approach, Improvisation*

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## Introduction

We live in a constantly changing world. No matter how conscientiously we try to plan, every day we are confronted with situations that deviate from preconceived scripts. We bravely enter day by day an unscriptable social and cultural play-ground, an engagement that stimulates us to be creative, i.e., to tap into an 'improvisational plasticity' (Glaveanu, 2020a; Krueger and Salice, 2021). This plasticity, as a form of fluency, is necessary to be open and responsive for a multitude of possible encounters in our interpersonal world.

Patients without improvisational fluency (e.g., psychosis, autism and trauma) are often solid players, out of resonance, sheltered by protective mechanisms for the possibly risky challenges of human everyday life (Foubert, Sebrechts, Sutton, and De Backer, 2020; Sutton and De Backer, 2009). They tend to avoid unpredictable and potentially threatening conditions, and consequently are faced with an existential danger of being excluded and alienated. (Re)discovering the liberating craft of improvising and creating is an almost necessary resource, pivotal to experiencing oneself as an embedded being in the world (Glaveanu, 2020a).

This paper presents a music therapy method *Composition Plus* to guide and empower individuals in their creative capacities. *Composition Plus* is rooted in improvisational music therapeutic processes and arose from an increasing need in today's (music) therapeutic field for short-term treatment models that are approachable and accessible and lower the threshold for therapeutic treatment and assistance.

While this method is inspired by artifact-oriented methods such as songwriting/composition (McFerran, Baker, and Krout, 2011), *Composition Plus* is first and foremost grounded in the essence of improvisational music therapy: to listen truly to the (expression of the) patient and to sense the affective tone of the patient "already present in the music, before it sounds" (De Backer, 2004:177). Like a child being enchanted while playing, so becomes the patient evoked by co-creating a composition to explore genuine ways to (re-)engage with the world. Within the emergence of an intermediate space, the composition, as a shared "transmediate" artifact, is shaping the patient's actions as improvisational and creative qualities (Glaveanu, 2020a; Winnicott, 1960).

*Composition Plus* is a method that exists of a predetermined number of therapeutic sessions with clearly predefined objectives. The basic design is fostering an intermediate space of improvisation where patient and therapist engage in a singular process of aesthetic experience and meaning. Patient and therapist co-select musical themes (and/or musical elements such as melody, rhythm, timbre etc.) and compose an artifact to complete at the end, to consolidate the musical experience. In brief, *Composition Plus* empowers the patient's creative potential and relationship over longer periods of time, fostering a sense of interpersonal trust through a joint process working towards an explicit artistic product.

The paper is structured as follows: first, the therapeutic framework will be described in detail, interspersed with impressions of cases Gill and Sarah in order to illustrate the framework with examples from the clinical practice. Afterwards

three core features will be explained upon which the method is build. Finally, potential difficulties will be elaborated in the discussion, to conclude at the end with defining the potential therapeutic impact that could be explored in further research.

## Therapeutic Framework

### Organization

Sessions are organized individually and take place weekly, with a total of 12 sessions. The duration of every session is flexible (approximately 30 - 45 minutes), depending on the possible attention and vividness of the patient.

### Musical Setup/Setting

*Composition Plus* adopts a varied spectrum of acoustic musical instruments available in the music therapy room, e.g., piano, conga, drum, acoustic guitar, bass and electric guitar, kettle drum, accordion, metallophone, xylophone, slit drum, temple blocks and the voice. The specific timbres of these instruments are considered to be an important part of the musical creative process as they are coloring the creation just like the colors of a painting. Patients can also make use of virtual software instruments (sampled instruments) available in digital workstations such as GarageBand and BandLab.

The musical improvisation emerging in the sessions is audio recorded. Audio recordings are used to relisten the musical improvisation and to select meaningful fragments together. Selected fragments are notated with pencil and paper or via musical notation software such as Sibelius or Finale. The therapist is saving all the recorded, selected and notated musical material in a music therapeutic logbook.

### Trajectory

*Composition Plus* is structured in three phases: (i) overture, (ii) development, (iii) coda.

#### 1. The Initial Phase: Overture (First to Fourth Session)

“... The initial phase is often a very exciting phase. You get to know patients in a musical way while your own creativity is called upon. You get many ideas and you become enthusiastic yourself...”

(Impression music therapist)

In the first session, the patient and therapist start to work together, making a musical anamnesis to understand the musical background, preferences, and creative aspirations of the patient and how this is related to expectations toward *Composition Plus*. Subsequently, the patient and therapist meet in a short musical improvisation to explore the musical setting, to introduce the available instruments and to get a first glimpse of their musical being in the presence of the other. It is not yet the intention to search actively for specific musical material to include in the composition.

During the next sessions (second to fourth), the therapist attunes via musical improvisations to the idiosyncratic style of the patient, waiting patiently for musical themes, e.g., rhythms or melodies, to appear. Improvisation is the method par excellence to generate musical ideas, always tied to a sense of beginning. Every next moment is a marking of an undefined space and musical present moments will carry the traces of this unmarked origin. In the process of moving along in the improvisational encounter, musical themes emerge, evoking both patient and therapist.

“... Gill enters the room, runs to the piano and immediately starts to play a short excerpt of a Billie Eilish song, endlessly repeating it. The music therapist is taking place next to Gill on the piano, adding a countermelody. Gill reacts to this therapists’ musical gesture, by ignoring it. He talks about his piano lessons, meanwhile playing around with the notes of his Billie Eilish motif. Till his play seems to disappear in a diminuendo; the notes are falling apart, fragmenting, until one note remains, indeterminate, a split second of precarious threat, just before the therapist is adding a harmonic chord guiding the musical moment to a new potential direction. Surprised by this sudden change, Gill adds chaotic and unstructured melodies. While there is no clear musical direction, the uninhibited and unbounded sounds are framed in a joint intention to search, explore and compose, initiating a continuous process of trial and error...”

(Impression of a session with Gill during the overture phase)

The overall aim of the overture is to create playfulness in an intermediate space by witnessing inspiring or surprising ‘now moments’ with authentic wonder, and flagging them as potential emergent musical properties which opens a potential space of convergent and divergent creativity (Lewis and Lovatt, 2013; Stern, 2004). Flagging these moments is extremely important to facilitate their recall and use later on. In recognizing the creative potential of patients, new encounters can be explored, liberated from habitual patterns (Glaveanu, 2012). While it can be tempting for the therapist to seize this opportunity to let ‘moments of meeting’ (Boston Change Process Study Group, 2010) evolve and resonate, the intimacy is often not endured by patients – e.g., open spaces of creativity are abruptly broken and enacted in speaking or laughing.

“...After a short silence, Sarah decides to play the piano, alone. A musical improvisation without a clear and intentional beginning. An improvisation that sounds as a concatenation of aleatoric associations. The therapist sits beside her, ready to join in, with the guitar in his hands. When the therapist joins the musical improvisation, Sarah immediately nips his sound in the bud. With a deep sigh, Sarah interrupts the therapist with her high-pitched voice “no, no, no, it has to sound more like this,” she runs to the other side of the room, opens her computer, and starts to explore the sounds of sampled instruments. At high speed, some virtual instruments are selected and assigned to different tracks. Sarah is jumbling around a thousand ideas, accompanying herself with expressive gestures, and meanwhile murmuring: “no, no, no, more like this, yes ... no, no, no .....” The therapist feels helpless, at the sideline.

He puts his guitar down and observes with wonder the expressivity emerging in the gestures of Sarah. Gradually the therapist takes on the role of audience, surrendering himself to Sarah's pace, and meanwhile witnessing and flagging the dynamic (musical) gestures during her act of writing..."

(Impression of a session with Sarah during the overture phase)

At the end of the overture, certain musical themes appear to the foreground, which, in negotiating with the patient, are marked to serve as guidelines for further elaboration of a composition in the next phase.

## 2. The Middle Phase: Development (Fifth to Tenth Session)

The middle phase will proceed with great care for the aesthetic relation between the patient and their composition. Attention is placed in the service of the creative work and takes precedence over any intersubjective purpose to engage. During the middle phase the musical material is shaped in a meaningful musical form through a circular process of moving between joint music-making (progressing towards musical improvisation) and composition (positioning, selecting and shaping), so that a completed artistic product arises. Moving between musical improvisation and composition is pivotal, inevitably tensioned, as both modes are driven by an opposing force. Musical improvisation is mainly done in an intuitive way, guided by the music itself, while composition is rather a controlled act (Preston, 2021).

The apparent categorization between improvisation and composition is not an absolute differentiation. Pressing emphasizes that "even in the most exhaustively notated score or precisely imagined aural conception, gaps and ambiguities remain" (Pressing, 1992:23). However, we have deliberately chosen to distinguish between improvisation and composition. This differentiation mainly emphasizes the therapeutic potential to shift between the two modes. For instance, the transition from improvisation to composition implies a shift of attention, and it allows the patient to control the level of engagement and immersion, which is often necessary to facilitate the continuity of the therapeutic process. As such, improvising and composing goes hand in hand. Veering between both stances they inextricably influence each other throughout the middle phase.

*The process of musical improvisation* entails being guided by surprising shifts that announce the transformation of habitual elements towards major musical themes (e.g., Iyer, 2004; Sparti, 2016). A multitude of ideas can be perceived as progress, which has a positive effect on the atmosphere and motivates the patient to continue their creative work.

"... Suddenly a Bossanova motive emerges in the patient's play, it passes by, quietly, and 30 minutes later in the session this motive appears surprisingly again in the playing of the therapist, being transformed as a major theme.

(Impression of a musical improvisation in a session with Gill during the development phase)

Improvisation assumes a porousness for moments of failure or mis-attunement (Peters, 2009). Especially for patients, sheltering themselves in a repetitive or fragmented isolated play (e.g., sensorial play, De Backer, 2008), this is not an easy task as there is the fear of the unknown and the unplanned, of failure and ridicule, and above all of nothingness – “that nothing will happen and the work will fail to begin” (Peters, 2009:44). Therefore, the embeddedness of improvisation in creative processes requires a well-trained therapeutic stance, open and porous, where the music therapist has the soughness (and the right timing) to articulate edges between the known and the unknown (Foubert, Gill, and De Backer, 2021).

“... Sarah continues to write the music on her computer. The therapist, listening to Sarah’s high-speed typing, sits at the opposite side of the table. After a while, Sarah turns her head to the therapist and asks: “I don’t know how to write this sound ... it has to be weeeeeee ... .” A forced vibrating nasal sound fills the room. Huddled in her chair, hesitantly, she looks from behind the computer to the therapist. “I don’t know” answers the therapist “maybe it sounds a bit like an accordion.” For the first time the therapist is invited by Sarah to contain her gestures in music and words. He takes the accordion, and together they explore different timbres and dynamics, until they find the right sound. Carefully, the therapist is initiating an ‘unknown’ musical vocabulary, carrying Sarah’s musical imaginary ideas...”

(Impression of a session with Sarah during the development phase)

Inevitably, a lack of improvisational fluency will affect the music therapist’s own creative capacity. Therefore, the therapist is invited to improvise in between the sessions –which is referring to musical rêveries (De Backer, 2008) emerging in the therapist that originate from the patient’s musical material. It is most inspiring when the therapist improvises directly after the session or better together with another music therapist, creating space to contour new directions. The patient on the other hand, is invited to reshape selected musical themes or to continue to shape new musical themes in between the sessions.

*The process of composition (positioning, selecting and shaping)* towards an artistic product, concerns a goal-directed quest for proportions and relations between musical ideas. A composition is designed within a time span, where every musical element has its place. Evidently, the therapist’s familiarity with the principles of composition is essential –to attend to specific proportions and relations as the process entails techniques such as transcribing, analyzing, and recapitulating. These techniques are helpful to move towards a fixed mode of potentially finished structures.

Transcriptions transform raw musical themes or fragments to a visual format. This transformation supports the work of selecting, i.e., to select and discuss musical elements that emerge during musical improvisation. Selected musical themes and properties can be transcribed in a musical logbook. Additional information such as the date of the session and the precise location where the selected musical material can be found in the audio recording, will be included as well. By doing this, the music can be easily retrieved and selected themes will be grouped together in a music notation software environment (e.g., Finale, Sibelius, Muse-

score). While it is better to transcribe together during the session, it can disrupt the workflow at some moments. Therefore, the therapist can deliberately choose to postpone this work till after the session.

The collection of selected themes within a notation software environment creates a clear overview of the different themes which makes it easier to shape them together, to move forward in a targeted way. Based on the transcriptions, both patient and therapist can select preferred musical parameters of the themes (melody, harmony, rhythm, timbre and dynamics); analyze relations between themes such as repetition and variation; explore different sequences of themes and different instrumentalizations. Afterwards, these themes are inserted as building blocks in a digital workstation to master and complete the composition.

To contain the composition throughout the sessions, the therapist begins each session with a brief summarized recapitulation of the previous session, focusing on the current state by playing the provisional composition on the piano or listening to a sound recording. This recapitulation is a vivid experience that will stimulate the patient to remember their meaningful involvement in the creation. New developments emerging during the session will be also recapitulated musically at the end of the session. To further support a sense of interpersonal trust, the therapist briefly discusses with the patient further options and next steps at the end of each session. By doing this, the creative process doesn't degenerate into an aimless quest, but keeps a clear track and gains direction.

Composition implies a heightened concentration on certain musical ideas and actions, i.e., positioning as a centering of attention on a limited stimulus field (Frye, 2021). However, as mentioned before, to keep the creative experience going, it will be necessary to complement the process of composition with structured and goal-oriented improvisations through attuned improvisational interventions (Richard, Holder, and Cairney, 2021). Unfolding improvisations pivot body and mind to new habitual patterns of relationalities, leading to the exploration of sequentiality, awareness of subtle nuances, and experiences of unity (Saint-Germier and Canonne, 2020). The use of such improvisations will also be helpful to decrease an outside perspective ("Am I doing well?"), and might facilitate the merging of awareness and action (i.e., flow experiences, Csikszentmihalyi, 2014) to liberate oneself of rigid habitual tendencies (Glaveanu, 2020b).

"...Sarah lingers around two notes on the accordion. She plays joyfully with the pull and push of the accordion. An open play, where Sarah is listening with wonder to the vibrating sounds and resonance, not yet embedded in the direction of a pulsation. The therapist goes to the piano, harmonically grounding the two notes played on the accordion. Meanwhile the therapist explores the emergence of an imaginary pulsation, introducing carefully accentuations in his piano playing, by which he is intuitively guided to the Gestalt of a waltz rhythm..."

(Impression of a session with Sarah during the development phase)

### 3. The Ending Phase: Coda (Eleventh to Twelfth Session)

During the final phase of the creation, specific work is done towards a creative product. Even when the patient insists on giving up, it is imperative that the therapist will strive to complete the composition. This attitude is establishing a strong holding and fosters a sense of intrapersonal trust in resilient capacities of the patient to pass through difficult moments, strengthening faith in one's own creative potential. In finalizing the composition, the patient is assisted to have a complete experience with a beginning, middle, and end [i.e., Stern's (2010) vitalizing wave of experience]. Complete experiences build not only a sense of relational trust, but shape also a sense of meaningful appearance and contemplation.

When musical ideas are established, the composition can be refined. Specific bottlenecks within the composition, such as transitions or instrumentation, can be worked on. By running through the musical fragments, considered and sequentia, the patient gets the chance to develop or polish them in an efficient and productive way. Small adjustments can be made that are immediately tried out and experienced again. This refining can be done by having the patient or therapist repeat a musical fragment while the other simultaneously improvises on this fragment until one finds an evoking sound. The composition is mainly listened to and rehearsed in order to finalize it. Once the patient is satisfied, arrangements are made for the recordings.

A final recording of the composition will be provided, performed in a Digital Audio Workstation (DAW). To date, there are several accessible, user-friendly and high-quality DAWs that approximate the quality of live instruments/performance such as *BandLab*, *Garageband*, *Ableton* and *StudioOne*. The recording of the composition can be understood as an object of symbolization. It is, for instance, the very translation of the creative process in a concrete and tangible form and therefore contains specific characteristics of Anzieu's "sound envelope" (Anzieu and Segal, 2016) that prefigures the skin self, Winnicott's transitional object (Winnicott, 1991) that facilitates identification with particles of the self, or Meltzer's aesthetic object (Meltzer and Williams, 2018) that facilitates integration of some essence of self-ishness. These authors describe processes of symbolization through elementary mechanisms of prefiguring, identification and integration.

An extension of *Composition Plus* recommends that recordings will take place in a live setting, together with musicians/music therapists. During the recordings with the necessary musicians, it is best for the patient to be present in order to be in an agentic position to decide over minor corrections or changes. Furthermore, witnessing a live performance of one's own composition results in bodily-affective reactions of resonance with the genuine experience of creating (Kim and Gilman, 2019). Being equally spectator and creator can cause an unheimlich experience of mirrored interior qualities, producing a sort of unconscious (self-)love-at-first-sight (Meltzer and Williams, 2018). In the intrinsic incompleteness of the product, one's own creative potential is addressed, in its indefinite essence, awakening a sense of true creative self (Winnicott, 1991).

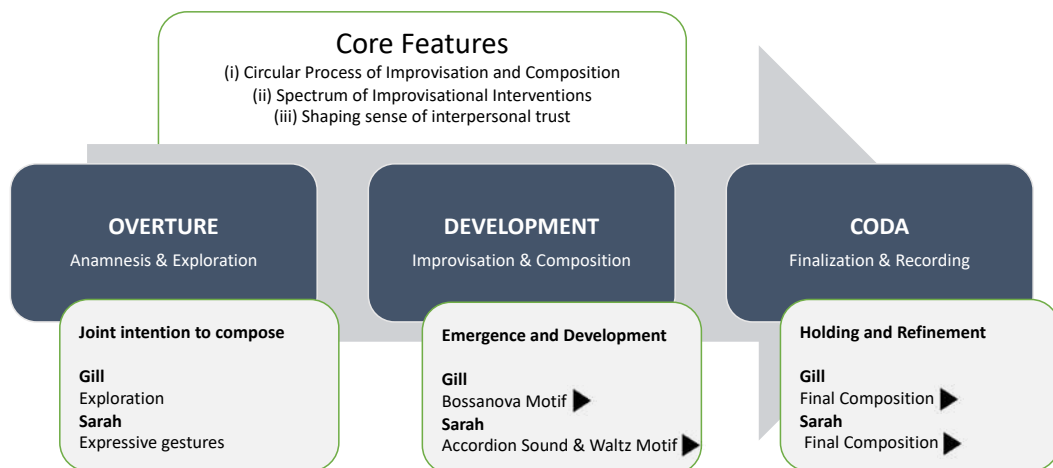


Figure 1. This figure summarizes the core features of the method *Composition Plus*, and shows the general procedure organized in three consecutive phases (overture, development and coda). The elaboration of the procedure is illustrated by musical impressions of two clinical cases, i.e., case Gill and case Sarah.

### Core Features of Composition Plus

#### *Circular Process of Musical Improvisation and Composition*

The patient and therapist start to work together and move towards the shared goal of creating a composition through a circular process of moving between joint music-making (progressing towards musical improvisation) and composition. This means, respectively, establishing meaningful musical material so that, at the end, a completed artistic product arises. This approach affords a range of tempos in ways of being with another by gradually shifting between *accelerando* (improvisation) and *ritardando* (composition) in the course of the creative process, closely related to the shifting between intuitive processes during musical improvisation (e.g., simultaneity, fleetingness, speed) and reflective processes during composition (sequential, considered, slow).

In moving along together, the therapist directs the patient towards different potential versions that are subject to a selection process guided by current motivational states. Early stages of embarking upon a new composition can be intensely troubling and leaving it too unguided and open-ended often leads to stagnation or regression (Foubert et al., 2021; Johansson, 2022). Therefore, it is important that the therapist has the technical capacities to be directive when needed. Well-timed attending or marking directions fosters creative potential, and therefore enhances improvisational fluency (Foubert et al., 2021).

#### *Spectrum of Improvisational Interventions*

The genuine play of patients is often raw and unconventional, similar to what is described as outsider music (Chusid, 2000). This defines solitary work created from pure impulses by artists who are not able to assimilate with the mainstream sociocultural context (Dubuffet, 1986). Proceeding from within the musical improvisation, the therapist senses the vitality of such impulses and motivates the pa-

tient in specific directions through calibrating improvisational interventions to the present receptiveness of the patient. This process of getting back “into the groove” of interacting with others (Krueger and Maiese, 2018) entails a possible transformation of pure impulses into a fluid process of improvisational quality – trial and error, rupture and repair, variations and changes – until a concrete musical theme unfolds itself (Iyer, 2016; Sparti, 2016).

It demands a work of “knowing the unknown” (or “knowing how”), to musically contain impulses such as a patients’ distinct musical rhythm, melody or sonority. A meaningful “Gestalt” or a purposiveness can take place within seconds in the unpredictability and messiness as part of this intentional unfolding process (Stern, 2004). Nevertheless, being evoked towards an intermediate space of improvisation without a history of incorporated forms might not contain in itself the potentiality of growth. Additional interventions of composing are necessary – i.e., moving between positioning, selecting and shaping – in a decelerating tempo, in which the patient can musically digest and experience an unfolding creative field (Richard et al., 2021). In addition, often patients need to block or break the improvisational flows because variations or movement of play brought in by the therapist are experienced as rather threatening. Complementary composition-based strategies allow patients to control the level of engagement and immersion in improvisation. The process of *Composition Plus*, therefore, builds on circular moving encounters between improvisation and composition where both, patient and therapist, co-create a repertoire of shared habitual patterns on how to re-/direct the creative process.

### ***Shaping Sense of Interpersonal Trust***

The concept of circularity between improvisation and composition is ever-present throughout the different phases of the method. The patient is assisted in the holding quality of the therapeutic relationship to continue (“keep going”) from the beginning to the end. Irrespective of what happens, the therapist will hold the composition, throughout the sessions, guiding the process of shaping and reshaping, underpinning a sense of interpersonal trust (Foubert et al., 2021). Inevitably, experiential fragments stick to this composition, enveloping a coherent appearance or gestalt, composed in an explicit artistic product. In between sessions, the patient is invited to reshape selected musical themes or to continue to shape new musical themes. The therapist on the other hand is invited to elaborate the musical material of the sessions, which originates in musical rêverie and intension (De Backer, 2008). By doing this, both therapist and patient endures the sustained experience of uncertainty and unpredictability, inherent to the creative process and necessary for spontaneous leaps or shifts to emerge, playing with the raw musical material of the session to infer a musical direction. The moments in between sessions can be considered as moments of musical digesting, creating space to contour new directions, to invest in the future sessions and to further support a sense of interpersonal trust (Foubert et al., 2021). This makes it possible for the patient to aim their intention, to continue their creative process and to anticipate their future motivational states.

## Discussion

This paper presents a novel method *Composition Plus* to foster patients, as peer musicians/composers, in their creative developmental processes. The focus is on creating, experiencing and shaping, as a kind of empowerment, and is based on a distillation of embodied, embedded, enacted and extended competences (defined in this paper as core features) that in recent years have been increasingly identified as important for continual resilient development (Malinin, 2019; Schiavio and Kimmel, 2021). *Composition Plus* is based on the method of musical improvisation that strikes immediately at the primacy of bodily-affective experiences and it exists of a predetermined number of sessions with clearly predefined objectives, split in three subsequent phases: an initial, middle and ending phase, respectively themed overture, development and coda. Three core features are underpinning these sessions: (1) The circular process of musical improvisation and composition, (2) the spectrum of improvisational interventions and (3) the process of shaping sense of interpersonal trust.

### A Messy Process

Musical improvisation and composition are described in the procedure, for reasons of clarity, as two distinguishable modes. However, this is not an accurate representation of the messy reality of a therapeutic session (Preston, 2021). For example, the process of musical improvisation has also a structuring character and the process of composition is also influenced by new materials or ideas that appear in those moments. Both modes are intertwined and overlap in those different features, yet, the primary purpose – improvising or composing – differs. Moreover, the creative process is merely moving on because of the circular flow between those temporal poles, i.e., between fast (improvisation) and slow (composition) musical modes.

### A Work of Calibration

Freedom of the creating-movement must remain the primary goal at all times. However, therapists sometimes experience being slowed down, or having to slow down for the patient, who does not seek complex aesthetics but finds pleasure in monotonous and repetitive patterns of play (e.g., sensorial play, De Backer, 2008). In this process it is important for the therapist to listen carefully and to understand the countertransference feelings of boredom (often experienced by therapists working with severely impaired patients) since it may be a sense of urgency from which the therapist feels compelled to break the dumbness play of the patient (Schiavio and Kimmel, 2021), but it may also be the therapist who is not attuned to the developmental needs of the patient (extreme patience and slow or repetitive movement) and whose own desires resonate too loudly or refer too much to an imaginary construct about successful therapy, allowing themselves to be guided too much by ambition. Moreover, we often notice some reluctance among participating therapists, due to the fear that the composition is expressing the quality of the creative process from the sessions, and therefore susceptible to evaluation by third parties. Because of their own imaginary fantasies, therapists see the implication of their own therapeutic qualities reflected (also to the outside world).

### A "Lead-sheet" Transcription

The transcription of musical improvisations is very time-consuming and compromises the flow of an intersubjective movement. In particular when the therapist withdraws from the contact in order to focus on precise notation, the dialogue with the patient might fall into an almost deadly counter-creative silence, chilling the creative atmosphere. The focus on precise notation gives emergent musical ideas during the sessions an exact character. By doing this, the impression is given that creating is an absolute (f)act, and it could bring – the often vulnerable- improvisatory background processes to a halt.

Interestingly, therapists indicate that they struggle with the freedom of only sketchily noting the musical play of the patient, as this would compel the therapist to distal composing elements, less authentic or less related to the patient. One of the participating therapists, for instance, reflected that he did not dare to allow himself any varying liberty, fearing negligence or lack of care for the patient. We argue, however, that the quick sketches, used in and between the sessions, is just as authentic because it inhabits the essential process of moving on in time together, which is inherently connected to continuous filling in 'the blanks' with small improvisations.

The use of sketched notes or transcriptions needs to be clearly explained to the patient as being part of the experience or the process of creating together. If, however, for all sorts of reasons, the patient responds sensitive to the exactness of his/her creation, this needs to be taken into account during sessions, and affords the possibility to understand what the patient considers for instance the most suitable timbre or dynamic. Rather than this sensitivity would bring about a compelling exactness in the therapist, and by consequence would decrease free associations and variations, the therapist stays true to the recommended therapeutic stance, resulting in a space for the patient to experience for instance his urge for rigidity so that it can become a confrontation and a meaningful theme to work with.

Patients often do not have the possibility to hold the creative process in time, therefore, the transcription of the composition can also be considered as a meaningful way to hold the relational process of creating. The composition will be a shadow of what was sounding in the relationship between the patient and the therapist.

### Conclusion

The method of *Composition Plus* originates in slow, fragile, often very challenging therapeutic processes with patients that are inhibited in their daily improvisational fluency. The method is developed from clinical experience – i.e., extensively reported clinical cases – and committed to accessibility. Specific improvisational interventions are calibrated to patients' needs, aiming to stimulate their curiosity to rediscover the liberating craft of improvising and creating. Such creative processes are pivotal to experiencing oneself as a unique and authentic individual, embedded in the sociocultural world, maturing a sense of interpersonal trust.

Summarized, *Composition Plus* intends to foster an ongoing development by empowering patients' explorative ability and bravery to engage in the playground of human everyday life. Further research is needed to validate these therapeutic processes of change and to build towards an evidence-based model of treatment.

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# Gangnam (Life) Style as a Global Culture:

## *Consumption and Connections for Upward Mobility*

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### Abstract

This study examines the political economic and social contexts of lifestyle of cultural consumption in Gangnam area of Seoul, South Korea. By focusing on consumption in the Gangnam area, in which the glitz of successfully riding the wave of globalization has crystallized, this study discerns major cultural and spatial features of the city's new global urbanism. Whereas the dominant narrative on global cities emphasizes the financial concomitants of globalization in relation to global cities, this study draws attention to cultural dimensions of the dynamics that are manifest in "lifestyle" to which many residents of this global city in East Asia have come to adopt as a strategic investment. Using secondary archival data, the paper sheds lights on important ways in which the high-rent residential opportunities, culinary and retail establishments available, the educational opportunities and the global style with which it imbues customers of its beauty industry have come to be a powerful model for the aspirations of upward mobility in Seoul.

**Keywords:** Gangnam (Life)Style, Global Urban Culture, Consumption, Upward Mobility, Korea, Lifestyle

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## Introduction

Cultures are constituted in space and under specific economic and social conditions; they are physically and spatially as well as socially constructed, whether in regard to the economic basis of economic lives, the regions and places they inhabit, the degree of segregation between them, the symbolic meanings of the world they create, the way they represented themselves through dwellings, or the visual markers they use to communicate meaning. (King, 1997:150).

Asia's global cities including Beijing, Shanghai, Singapore, and Seoul, have become pivotal spaces in the flows of capital, information, and people.<sup>1</sup> With deepening globalization, such cities are fundamentally transformed, both physically - most obviously in the built environment - with respect to the social fabric of each - the changing constellations of groups defined by occupation, ethnicity, citizenship status, and wealth. Seoul's increasing prominence in global connections (Friedmann, 1995; Taylor, 2004; Shin & Timberlake, 2006) has been fueled by South Korea's export economy of consumer goods such as electronic devices and automobiles. The city has become an important destination for medical tourism in the plastic surgery industry and a transnationally influential center of popular culture, called *Hallyu*. These are just two examples of capitalist production that both generate aspirational cultural models associated with upward mobility to the middle class and beyond. In discussion of globalization and the making of transnational consumption, the questions such as who the global middle class are and what important features of their cultural identity are determined more by transnational contexts of consumption pattern and their lifestyle than shared positions in the economy (Derne, 2005). This study is to explore the possible theoretical payoff of emphasizing different aspects of the global city than scholars who usually feature the globally prominent cities: *where are we led when the global city is framed in terms of cultural aspect, i.e., lifestyle, as an important element of global urban culture?* Urban culture refers to characteristic ways of lifestyle of city dwellers, which are closely associated with social development. Global urban culture is a bundle of ideas and practices travelling across the world through transnational networks in an assumption that capitalism and democracy are ubiquitous norms and capable of overcoming the poverty and injustice which are seen as pervasive across even global South (Sheppard, Leitner & Mariganti, 2013). This study is an effort to deconstruct the image of global urban culture with the case of *Gangnam*, Seoul in South Korea.

This study goal will be accomplished by describing the prominent ways in which the middle- and upper-class residents seek to fulfill their lifestyle aspirations in *Gangnam* area. It is believed that the analysis of *Gangnam* as a space of global connections and consumption will provide an important ground to understand the urban culture in Korean society. The study highlights striking aspects of the consumption-oriented urban culture among residents in Seoul's *Gangnam* area<sup>2</sup> (south of the Han River) which contains the districts of *Gangnam-gu*, *Seocho-gu*, and *Songpa-gu*. The *Gangnam* area was the result of first planned project aiming

at development of a middle-class residential district (Yang, 2018a), and continued large-scale urban projects of redevelopment to build high-rise apartment complexes under the paradigm of ideological neoliberalism since the 1980s. It evinces the middle- and upper-class-based opportunities for consumption aimed at satisfying lifestyle aspirations, not only in terms of real estate, but other place-based opportunities, including its schools, available leisure activities, and its shopping and entertainment opportunities. Specifically, many of the ostensibly consumption activities can be understood as investments in their individual and family's social or human capital. The *Gangnam* area manifests a number of spatial and cultural features of the city's new global middle class, whose consumption and lifestyle reach over across the nation.<sup>3</sup>

The description of *Gangnam (life)style* in this study is based on secondary sources, including news reports and official statistics from the national government and Seoul city, along with the observations of two-week field works by the author. These sources inform the description of key aspects of the consumption-oriented lifestyle, including gaining ownership of upscale expensive residential apartments, and the widespread practice of sending children to private tutorial institutions (called hagwon) and abroad in order to attend schools in which they will learn English, and the body-altering promises of the booming plastic surgery industry. The study considers these patterns as the pursuits of cultural lifestyle that middle- and upper-class individuals and families deploy as strategies to achieve upward mobility in Korean society. Following this introduction, next section offers a review of some of the scholarship on the cultural consumption and Asian global city. Then, the study examines the socioeconomic features of *Gangnam* with a focus on the speculative investment and booming beauty industry of plastic surgery as cultural consumption. These consumption and speculation behaviors are salient elements of new global urban culture called '*Gangnam (life)style*,' which are expected to enhance the social and human capital of those who thus engage in the society. The study notes that the consumption-oriented lifestyle among residents in *Gangnam* area has emerged in the midst of the marginalization in the spheres of education and space (Gelezeau, 2008; Koo, 2007).

### Global City and Lifestyle of Cultural Consumption in Asia

Veblen (1934) theorized the critical relationship of consumption and class identity, featuring the famous idea of "conspicuous consumption" by the leisure class in American cities.<sup>4</sup> Capitalism produces a widespread materialistic culture, especially in terms of stylized consumption patterns that are made available through markets every day (Featherstone, 1991). The general public seeks to achieve this largely by purchasing diverse commodities, especially new and exotic ones, for their "calculated hedonism," which is increasingly evident across national boundaries today (King, 1997). The pattern of consumption is not the total result of atomized consumers' will, but rather infused systematically and incessantly into culture through marketing and advertising. Robinson (2004:31) finds that "global elites in each country increasingly tend to share similar lifestyles, including patterns of higher education (e.g., attendance at world-class business schools) – but the global culture also involves the rise of global mass culture of petty consump-

tion inspired by capitalist icons.” High-income professionals and technicians below the layer of global elites are more likely to share the consumption culture with their counterparts in different societies than with the lower class fellows within their own countries.

Scholarly attention has been paid to the economic miracle and rising new middle classes which created the conditions for new lifestyles and consumer culture in Asia over the last two decades (Fernandes, 2006; Goodman, 2008). Asia became one of pillars of the global economy, which has been reflected in terminology describing the shift: the “global rebalancing” (Pieters, 2011), “new rich in Asia” (Robinson and Goodman, 1996), and ‘Global East’ (Shin, 2021). Kharas and Gertz (2010) anticipated that the consumption by the middle class in the Asia Pacific region will expand from twenty three percent of global expenditures in 2009 to forty two percent in 2020, while that of the European middle class will drop from thirty eight percent to twenty nine percent and that of North America from twenty six percent to seventeen percent respectively (p.39). Despite variation across countries, a number of scholarly works indicate similarities of neoliberal developmental emphasizing economic growth in the Asian context (Carroll, 2012; Park, Hill & Saito, 2012). Zhang (2010) argues that in South Korea, China and India, “the new middle class is a complex and unstable social formation consisting of people with diverse occupations and social backgrounds – but a similar orientation in lifestyles expressed in homeownership, consumerism, and economic liberalism” (p.5). The global prominence of a city appears to occur simultaneously with its structural transformation, including the rise of a middle class, their consumption, and the polarization of the urban labor force, i.e., increasing irregular job holders and foreign workers within the city.<sup>5</sup> Globalization tends to make cities look alike (Zukin 2009). As middle class sector increases within a society,<sup>6</sup> different social life emerges such as moving into distinctive lifestyle, which is an expressed form of activities close to the material and cultural consumption (Katz-Gerro, 1999). It is a cultural phenomenon centered on material acquisition and upward mobility that neoliberal developmentalism has been embedded within individual attitudes of life. The discussion of changing pattern of consumption has originated in urban places century ago, and the divide between urban poor and middle class is crucially important in defining today’s lifestyle in conjunction with technological development and globalization. The political economy structure impacts tremendously on cultural pattern of space (Logan and Molotch, 1987; Jaffrelot and Veer, 2008).

### **Who Lives in There? Socioeconomic Characteristics of Gangnam**

The population of the Gangnam area is 16.5% of total population of Seoul city; Seocho-gu with 451,258 (4.38%), Gangnam-gu 581,760 (5.65%), and Songpa-gu 667,480 (6.48%) (Seoul city, 2016). Just a few decades ago, the Gangnam area (see Figure 1 – Map of Seoul and Gangnam) was filled with rice paddies, now it has become the new urban area where investment in apartments and real estate has been so intense and lucrative that have generated a class of newly rich Koreans (for the political economic process of Gangnam development, see Kang 2006; Shin & Kim, 2016; Sohn, 2008; Yang, 2018a). Noticeably, the new middle class (white collar, professionals and managerial workers) and capitalists comprised more than half

of population in the *Gangnam* area since 2010.<sup>7</sup> Developers built new high-rising apartment complexes, along with facilities for recreation and consumption, the emergence of which was all coordinated by real estate developers, the state, and the Chaebols' capital (Yang, 2018b).



Figure 1. Map of Seoul with Gangnam.

The employment structure of Seoul reveals a post-industrial pattern: a low level of manufacturing employment, higher service sector employment, and the development of professional and managerial types of jobs. Despite South Korea's large success in manufacturing industries (steel and shipbuilding, automobiles, computers and mobile phones), the labor force in manufacturing industry accounts only 4 percent of Seoul's employed labor force (because factory and plants are located outside of the capital city). The employment in service sector of finance (5.9 percent) and real estate (2.9 percent) has been growing, and the producer services such as accounting and management are far more developed, reaching 15.7 percent (Seoul City, 2021). In particular, *Gangnam-gu* (the first developed district in *Gangnam* area) contains larger population of Professionals, Science & Tech services (16.7 percent of workers in the district) and Publication, Pictures, Broadcasting Communication Information Services (9.3 percent) than other districts in Seoul. Mostly, they are professionals and elites in the information technology industry, such as computer services and IT venture corporations, which makes the district highly tech-dependent and consumption-oriented.

The district of *Gangnam-gu* leads the other twenty-four districts in Seoul in social investment and economic activity of spending on consumer goods. *Gangnam-gu* has 58 tourism hotels out of 334 and 43% of mass culture and arts planning businesses registered in Seoul, which is a structural manifestation of urban

post-industrial economy (Seoul City, 2019). The residents of three districts of Gangnam area pay around one-third of national inheritance tax (31.3% in 2016 data) and eighteen percent of super rich – with more than US\$1 million in cash – concentrate in the area (Seoul City, 2019). The Gangnam area is also outstanding in number of medical organizations including plastic surgery clinics compared to other districts of the capital: Seocho 1,209, Gangnam 2,619, and Songpa 1,132 out of 17,387 in the city (Seoul City, 2019). In sum, Gangnam area has seen the rise of ICT industry, entertainment business that has led to the success of Hallyu, hotel & tourism business, and educational (Hagwon) industry, which all drove the district's economy. For the reasons of residential location choice, residents in Gangnam districts have selected good educational environment (36.7%), good living environment (11.9%), and property investment opportunity (11.0%) (recited from Bae and Joo 2020). A Gangnam address is a means to gain geographic proximity to other rising global middle- and upper-class opportunities including schools, shopping, and entertainment as well as an emblem of “making it” in term of upward mobility.

### Consumption for Investment in Gangnam

The current development of Gangnam is the result of a series of large-scale urban redevelopment projects under the profit-based neoliberal policy led by the alliance of state, residents' (owners) redevelopment association, and capital (construction Chaebols) (Kim, 2015; Park, 2019; Shin & Kim, 2016). The middle- and upper-class households made a big profit through the gap between market price and preconstruction price of new apartments in the process of new apartment units supply and redevelopment, which has become a crucial tool for the increasing return on property investment in Korean society. Despite all apartments purchased by lottery system are not the cases of speculation, it is fair to say that Gangnam's economic success has been possible largely due to the booming real estate business (Bae and Joo, 2020; Lee, Y., 2017; Yim and Lee, 2002). Yang (2018b) calls the scramble for high-status housing in Gangnam a “speculative urbanism.”

The apartment lottery system (a'pat'u punyangjedo) was an important policy that aimed to promote homeownership by providing middle-income families with apartment units for affordable prices. – Those lucky enough to win a Gangnam lottery (often by manipulating the system) eventually profited from housing price inflation – leaving behind many others who did not enjoy such an opportunity and producing a collective sense that class mobility was a matter of luck rather than hard work and merit. (p.63)

It is observed that the strong coalition between the Korean state and capital (Chaebols) “led to less equitable housing distribution than in Hong Kong and Singapore” (Yang, 2018b:20). In particular, the redevelopment model tends to overrule the voice of housing owners and tenants who do not wish to have their old apartments demolished; only a third of the original owners relocate to the newly built apartments, and as a result, housing is reduced to nothing more than a financial asset (Kim and Meulder, 2018). Gangnam's higher exchange value-oriented urban development greatly contributed to the formation of a unique place identity of

gated community, called ‘danji’ (Bae and Joo, 2020) for the middle and upper class (see figure 2). In the expectation of rise of asset values, Korean conglomerates (Chaebols) settle down in *Gangnam* area, such as Samsung group’s Samsung Tower in Seocho-gu, Lotte World Tower in Songpa-gu, and Hyundai Global Business Center by Hyundai group.



Figure 2. Aerial view of apartments in *Gangnam* area taken by the author from Lotte World Tower.

Numerous reports describe *Gangnam* area as the epicenter of speculative investments in apartment housing (Xiao and Park, 2009). Table in figure 3 shows the trend that apartment prices have been continuously rising every year between 2013 and 2021, and the apartment prices in *Gangnam* area is much higher than other districts in Seoul. The rises of residential prices have been fueled by the demand for scarce high-quality condominiums in popular districts like *Gangnam*. Although the housing supply rate in Seoul marks 96.3% in 2017, the housing ownership rate is 49.2% and that of *Gangnam* is 48.6% (Seoul City, 2019:287). It implies the existence of large number of households owning multiple number of housing units (Yunhap News, 2020). More than half of households live in rental housing (Jeonse or monthly rent), which contributes to high rise of Jeonse price<sup>8</sup> that has been used as leverage for real estate investment especially in *Gangnam* area (see table in figure 4). With the data from 1987 to 2014, Yoo (2016) found a substantial evidence of apartment price bubbles in Seoul city and especially *Gangnam* district. Despite the recent tightening property rules by the Korean government, the volatility of apartment prices is due to speculative investments: “some 72 percent

of homes traded in *Gangnam*, southern Seoul, where apartment prices have soared over the past decade, are believed to have been made by speculative forces seeking short-term wind-fall gains” (Lee, 2020). Recently, it has been known that Chinese investors might be driving up the prices of real estate in the city of Seoul (Tomlinson, 2020).

	Seoul	Southeast Area of City (Gangnam area)
<b>2013</b>	<b>79</b>	-
<b>2015</b>	<b>82.6</b>	-
<b>2017</b>	<b>93.4</b>	-
<b>2018</b>	<b>101.9</b>	<b>106.3</b>
<b>2019</b>	<b>112.2</b>	<b>114</b>
<b>2020</b>	<b>122.2</b>	<b>132.6</b>
<b>2021</b>	<b>146.1</b>	<b>157.2</b>

Figure 3. Table of apartment price index (Seoul City). Source: Korea Real Estate Board (reb.or.kr/r-one/statisticsViewer.do?menuId=TSPIA\_41100).

Districts	Average Jeonse Price	Average Purchase Price
1. Gangnam-gu	1,130,650 (\$942,000)	1,942,180 (\$1,618,483)
2. Seocho-gu	1,071,810 (\$893,000)	1,881,590 (\$1,567,991)
3. Songpa-gu	854,010 (\$711,000)	1,524,800 (\$1,270,666)
4. Yongsan-gu	779,020 (\$649,000)	1,386,790 (\$1,155,658)
5. Gwangjin-gu	722,160 (\$601,000)	1,128,730 (\$940,608)
Seoul City	624,020 (\$520,001)	1,078,240 (\$899,853)

Figure 4. Table of districts with high price of apartment purchase and jeonse. Units: (thousand Won; 1\$ as 1200 Won). Source: Korea Real Estate Board (2021). \* Jeonse price is weighted one of highest and low-price in average. \*\* Purchasing price is from KB Kukmin Bank statistics (Chosun Ilbo, 2020).

### Upward Mobility and Transnational Connection

*Gangnam* is typically displaying such features of urbanism with the orientation of global consumption and investments. Several areas within *Gangnam-gu* (Gangnam District), such as Apkujong-dong, Shinsa-dong, Pangbae-dong, and Chongdam-dong, have come to rival the glitz of Hollywood or Tokyo's Shinjuku district (see Lett, 1998:105). The Myong-peum<sup>9</sup> streets of *Gangnam*, with high end boutiques and department stores, house the most fashionable department stores of Seoul attracting middle- and upper-class residents and visitors who want to distinguish themselves as bonafide members of a new class--as part of the “global bourgeois” (Koo, 2007). Various forms of conspicuous consumption and “unique” nouveaux riche life style elements, such as fashion designers' dressing, driving luxurious sports cars, and riding onto the ‘golf boom,’ are the avenues for pursuing higher status in the society, increasingly replacing the Confucian hierarchy of status with a model of consumption and lifestyle of the very rich social stratum associated with the large family-owned industrial conglomerates (Cotton and Leest 1996).

The model of consumption as an investment for upward mobility is well found in English education by enrolling in private learning institutes (*hagwon*) that are concentrated in *Gangnam* area and studying abroad in early age. According to government statistics, the economic size of private education has grown up that each individual student in the society is paying around 4,399,000 Won (US\$3,665) yearly and 367,000 Won (around US\$305) monthly, and about 75% of all students are participating in private education (Korea Statistical Office 2022). The private education businesses in *Gangnam* area with higher percentage in number of *hagwon* (38.8%) and number of students (attendees) (49.1%) than other districts have been the most activated and developed in various forms in the city of Seoul. There also is a popularity of English *hagwon* offering various specialized services of teaching such as English for Interviews, English for Statement of Purpose, Thesis Writing in English, and even English kindergarten for young children. By the government policies, English proficiency has been considered as indispensable tool for the competitiveness of individuals and nation in global market for the past decades (Chung & Choi, 2016). It can be said that general characteristics of *Gangnam* (life) style is consumption-based and calculative, transnational, and investment-oriented for the upward mobility of future life.

More notable example of important strategies locally deployed in pursuing (global) upward mobility is altering one's body through plastic surgery and other appearance-altering services which are widely available in *Gangnam's* bustling globalized beauty industry belt. Countless Koreans as well as foreigners come through the district every day seeking to purchase a "*Gangnam*-Style Plastic Surgery with the science of Westernized beauty" (Leem, 2017) for a more pointed nose, more rounded eyes, a slimmer jaw line, or even a gentler smile. A foreign media wrote that in the Seoul subway, "the wall of the stations are plastered with large billboards advertising plastic surgery clinics, many picturing cheerful- and young-looking women, sometimes wearing jeweled tiaras and sleeveless party dresses, and often standing next to former versions of themselves ("before" pictures) – Everyone but you has done it, another said" (Marx, P., 2015) (see Figure 5). South Korea records the highest rate of cosmetic surgery per capita in the world. An estimate is that between one-fifth and one-third of women in Seoul have undergone a plastic surgery procedure, and around fifty percent or higher of women in their twenties have done so.<sup>10</sup> There exists a connection between booming plastic surgery that has been the service available for individual households and become social trends gone global with policy from government as an outcome. Table in figure 6 reveals the numbers of plastic surgery clinics and how they have changed between 2010 and 2020 (Medigate News, 2020). In 2020, there are 538 clinics in Seoul, of which 74.3% (400 clinics) are located in *Gangnam-gu* and 14.1% (76) in *Seocho-gu*. The biggest concentration of plastic surgery clinics is found in *Shinsa-dong* within *Gangnam-gu*. Plastic surgery in *Gangnam* has been very popular for many Korean middle- and upper-class women and gone transnational. With government policy to boost medical tourism (Kwon and Kim, 2013), increasing numbers of foreign tourists from China, Japan, Taiwan, and Russia and Middle East are often seen walking through the shops and restaurants in *Gangnam*, covering their bruised eyes and noses as best they can with large sun glasses. The number of medical tourists who visited plastic surgery clinics in Korea has grown from 4,708 in 2010 to 66,969 in 2018 (Korea Health Industry



Figure 5. Posters inside Apkujung subway station, Gangnam-gu (Picture by the author).

	2010	2012	2014	2016	2018	2020
Nation	770	799	839	891	954	1,008
Seoul	396	411	435	458	494	530

Figure 6. Table of the number of plastic surgery clinics in Seoul and Korea. Source: medinews.com/news/976636924.

Development Institute 2020) (see table in figure 7). The *Gangnam* area has become an important space for cultural production along with the popularity of Korean Wave, which connects many cities in Asia and beyond. New bodies are produced to increase chances of “making it” in terms of employment, promotion, and marriage market; spending on plastic surgery is likely seen as a social and human capital investment as well somehow intrinsically fulfilling. In combination of the beauty & health industry and the Korean pop culture, as a consequence, the *Gangnam* area has transformed from specializing in residence and consumption to a global space of cultural production (Suh and Byun, 2017).

Year	2010	2011	2012	2013	2014	2015	2016	2018
Number	4,708	10,387	15,898	24,075	36,224	41,263	47,881	66,969
Percentage*	4.6	6.7	7.7	8.6	10.2	11.1	11.3	14.4

Figure 7. Table of foreign patients visits to plastic surgery clinics. Source: Korea Health Industry Development Institute 2020 (www.khidi.or.kr) \*percentage out of total tourists arrived in Korea for medical treatment.

### Discussion: Gangnam (Life)Style in Vulnerable Economy?

This study finds that affluent middle and upper-class households in Seoul specifically those in the *Gangnam* area, as a new way of asserting status, subscribe to cultural patterns that are consumption-oriented and linked to their aspirations to conform to some ideal of global standard. It is based on investment-oriented urban development. *Gangnam*'s materialistic lifestyle are characterized with the elements of 1) real estate as an important basis of not only residence but also a means to increase their assets, 2) residents living in isolated neighborhoods, often in a gated community, and 3) generally consumption-oriented, competitive and ostentatious lifestyle (Ji, 2016; Yim & Lee, 2002). Importantly, these characteristics are now found in most other local areas, in nation, which has been named 'Gangnamization' (Park & Hwang, 2017). The *Gangnam* lifestyle has become a powerful ideology for the most households in Korean society. In particular, living in apartment housing is favored with not only its lifestyle of convenience but also easy moving in and out (purchasing and selling) as investment of an asset (Park, 2019; Kim & Meulder, 2018). The aspiration to ascend to middle- and upper-class status has been widely shared by many people, and the rapid economic growth over the last decades made this aspiration available. The old system based on traditional practices of patronage and Confucian loyalty are being annihilated by the explosion of materialistic, individualistic and conspicuous modes of consumption made possible by the growth of private, disposable wealth (Robison and Goodman, 1996). Like the "American Dream" transmitted directly to citizens by consumption of television (Rosenberger, 2016), the consumption of educational services and purchase of medical cosmetic services demonstrates this upward mobility orientation. The *Gangnam* area is a locality where the aspiration of upward mobility towards membership of global middle class is well cultivated through consumption-oriented culture and speculation among (inter)national middle- and upper-class. Despite the development of *Gangnam* area was not intended for making a 'creative city,' the global success of Psy's *Gangnam Style* and Waves of K-beauty, K-drama, and K-pop afterwards, led the *Gangnam* (life)style through strategies and social interaction to become a model of seedbeds for the newly emerging global urban culture in Asia (Huh, Chung & Lee, 2020).

However, it is likely that the engaging in these consumption activities is made to seem all the more necessary by an increasing sense of precarity on the part of many. Fulfilling these *Gangnam* lifestyle ambitions is not easy with obstacles. In fact, a large proportion of middle-class households in *Gangnam* area have been experiencing their declined status and growing insecurity in their lives with the ever-rising cost of housing (Yang, 2018b:95-118). Reportedly, over 70 percent of households' debts by apartment owners in *Gangnam* area are for the housing purchase, which indicates financial vulnerability of households (Jeong, 2021). Except for the affluent minority, the majority of the middle-class households struggle to maintain their status position in the globalized economy (Koo, 2016). Social polarization becomes evident even in *Gangnam* itself. In Seoul, *Gangnam-gu* has the largest number of franchised convenience stores (Pyonuijeom) with 642, which are owned by the Chaebols and staffed daily by young, low-wage student workers<sup>11</sup> who represent an ever-present lower layer in the everyday lives of *Gangnam*'s more

affluent residents (Jeon & Choi, 2017). Although the *Gangnam* skyline is dominated by a sea of middle- and upper-class' high-rise apartment complexes inhabited by Koreans exhibiting upper-class characteristics, it is undeniable that there also exist numerous smaller, older, and less appealing housing apartment buildings and individual houses that are not within the category of middle- or upper-class, as seen in the stark contrast between Tower Palace and Guryong village, a shanty town in *Gangnam* (J. Lee, 2020). However, whether cultural consumption as typical phenomena in capitalism has an impact to bring in social and spatial polarization or vice versa in the city of Seoul is an open question that demands historical and empirical examination especially in terms of the relationship between creativity and sustainability of the city (Sawangchot, 2016).

### Conclusion

By emphasizing the cultural consumption of the global city, this study suggests the extension of the global city framework that are not available when the focus is on their roles in economic production networks. It becomes possible to see how a given city's residents hedge their bets on achieving middle- upper-class status by doing more than gaining. They invest in choices as consumers that they hope will increase their social and human capital, leading to success in terms of upward socioeconomic mobility. Both, how some consumers' spending can be regarded as investments in "making it" and what purchased to consume varies by each city's particular history and culture, by the social class, ethnicity and gender of the consumers, and by the city's global standing. Consumption and upward mobility per se do not contribute to illicit problems as urban residents are supposed to do so along with social development. It seems that *Gangnam* (life)style has successfully brought prosperity and erase the poverty and inequality to some extent. However, deconstructing the image of *Gangnam* (life)style is a necessary effort to provincialize the global urban culture, which would contribute to approach to 'alternative theoretical perspective' of global urbanism (Sheppard et al, 2013). When global city scholars studying specific cities are sensitive to the possibility - even likelihood - that people are making them and that there are themes to be seen in these choices collectively, we will have a more nuanced and complete understanding of urban culture within the Asian global city.

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### Endnotes

- 1 This study presupposes that Asian global cities with their legacy of development history engender a unique characteristic of middle class- and upper class-orientation in terms of cultural pattern, identity and lifestyle. For theoretical account of Asian urbanism, see Bunnell, Goh & Lai (2012) and Shin, H.B. (2019).
- 2 A large number of studies examined the relationship between Korean economy and development of *Gangnam* area (Cho & Choi 2016; Kang 2006; Sohn 2008; Yang 2018b; Park 2019).

- 3 This study views the residents in *Gangnam* area as wealthy middle or upper class, despite the existence of small segment of low class. Generally, the concept of 'class' is thought of as operating within the sphere of nation-state. 'Global middle class' is the concept embracing both global and local characteristics in the context that their aspirational behaviors of consumption called, *Gangnam* (life)style, is in the making. For the definitions of global middle class, see Koo (2016).
- 4 Leisure class are member of upper class who are exemptive from productive work in industrial society (Veblen 1934), but 'new middle class' in *Gangnam* area is mostly middle class with managerial and professional jobs in post-industrial era.
- 5 Several quantitative studies support for this alleged pattern of polarization accompanying more global centrality to be evident across a number of cities (Monaghan and Ikeler 2014; Shatkin 2007).
- 6 The definitions of middle-class are elusive with different determinants of subjective class identity as well as of "objective" class designation, embracing new lifestyles that are evident in living standards, levels of consumption, emphasis on leisure activities, and greater concern with education as a crucial mechanism for securing status and wealth.
- 7 Using the 2% population sample, Han and Shin (2017) observed that the middle class declined from 56.7% to 51.9% between 1990 and 2010, and that the old middle class shrank by 15%, while a new middle class grew 10% in South Korea.
- 8 There are different mechanisms in determining apartment rental (Jeonse) and selling prices depending on the standard interest rate, supply and demand of housing, government policy, and so on (Nam and Kim 2015; Ko 2014). Empirical examination of them in detail is beyond the scope of this study.
- 9 Myong-peum refers to prestigious and luxury goods including expensive brand-names such as Louis Vuitton, Gucci, and Prada, or expensive foreign sports cars. The myong-peum street is a shopping area where such items are available.
- 10 According to the International Society of Aesthetic Plastic Surgeons, South Korea leads countries with 0.65 in plastic surgery procedures per 1,000 people followed by Greece, Italy, and the US (Economist 2013).
- 11 Through an ethnographic research, Jung (2017:747) observes that many young adults in Seoul face 'social precarity' of substandard housing such as "panjiha (semibasement flat), okt'appang (rooftop room), and kosiwon (extremely small single-room rental)."

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# Artistic Yarn Portraits on Streetism in Ghana – Highlighting the struggles of Street Children

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## Abstract

Textile art is widely used by artists to communicate a message. This concept simply employs materials and techniques unconventionally to produce works of art that strives to gain the attention of viewers. This project exercised the concept where yarns of different textures were used in the production of works of art that falls in the ambit of textile art. These works communicate the emotional state and ordeals street children undergo on the streets of Kumasi. The philosophical underpinnings of each textile art seeks to draw the attention of citizens about the struggle of these children in our society and support to minimize their increasing numbers. In achieving the focus of the project, a conceptual framework influenced by Marshall (2010), Aesthetics-action model was developed coupled with art Studio-Based practice. Participant observation and unstructured interview were the instruments employed in the creative process. Experiments conducted under studio-settings revealed the working possibilities of materials and techniques. It was revealed that, adhesives such as uhu glue, super adesivo and Fevico SH adhere well with yarns (cotton, acrylic and polyester) depending on which yarn pattern technique used. The study however recommended strict regulation and implementation of policies on streetism that seeks to eliminate children on the streets.

**Keywords:** Textile Art, Techniques, Ordeals, Streetism, Yarn, Ghana, Street Children

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## Introduction

Art in recent times is taking a gradual bend, leading contemporary artists to a path where they are keen on inculcating elements of textiles in their artistry. Artists are now desirous in the field of textiles so much so that a lot more research is being carried out to arrive at not just the basic functions textiles has to offer but also to explore alternative uses of textiles. A relevant instance is the Ghanaian artist Ibrahim Mahama, who delved extensively to the repurposing of the coal sacks to produce an art installation centred on the conversation of commodity, migration, globalization and economic exchange (Aidoo, 2017). Another contemporary artist that can also be mentioned is Prof. El Anatsui, whose installations mimics the drapery nature of textiles even though the material he uses has no affiliation with textiles.

Benitez (2007) perceives streetism a state where individuals mostly children, are left on the streets due to circumstances such as poverty, homelessness or both. Implicit in this work reveals that, such homeless youth are termed as street kids or street children. Martin (2010) also expresses that, street girls are sometimes called gamines in Colombia. Martin further reveals that, street children may be termed as thrown-away children. Such individuals according to Martin may result from single-parent homes and neglect.

The research of The Charity Street Child (2014) reveals that, Streetism is mostly prevalent in regions such as Africa, South America, Eastern Europe and Southeast Asia. UNICEF (2015) estimated figures over 100 million children are growing up on the streets. Ball (1994) brings to light that the subject of streetism has been in existence dating from 1848. He then contends that, abandoned and orphaned children have been a source of misery from the earliest times. Bosswell (1988) also observes that over 30,000 naked and deserted filthy children could be found in London. According to Flowers (2010), there were evidence of about 7 million homeless children in Russia, This according to the author, happened by 1922 and was due to the First World War coupled with the Civil War in Russia. These abandoned children resulted in gangs, thefts and prostitution.

Nicola (2015) however reveals that, streetism as a phenomenon are caused by factors not limited to poverty, political instability, breakdown of families, social disruption, domestic violence, mental health problems etc. In a similar instance, Abari et al. opine that, streetism could be triggered by religious purposes. In this vein, these authors reveal that, children in the northern regions of Nigeria are forced to leave their homes to indenture them under a mallam. UNICEF (2015) explain that, there are about 250,000 street youth in Kenya and over 60,000 in Nairobi. Inferring from the ongoing submissions, it is very clear that, streetism or street children as a phenomenon is a global issue as it is prevalent in most parts of the world.

Emotions however play a significant role in a work of art, making the work more relatable to the masses, since emotions are engraved in our very self. Human as we are, particularly children, have the tendency of growing up with a lot of bitterness in them when their emotional needs are unattended to. Unfortunately, this very instance is prevalent in the Ghanaian society today, causing a tremendous

rise of children on the streets. The youth, especially children as opined by Awatey (2014) represents the most important human resource prospects that can significantly contribute to an immense development of a nation. Regardless of this fact, there is close to nothing being done at the local and national level to utilize in extremity, this massive potential which to an unmeasurable extent, determine the strength and resilience Ghana requires in pursuing the socioeconomic and political development goals of the nation. It is rather unfortunate that while we have a significant number of children attaining good education, we also have a significant number of children who are on the streets fighting for survival due to the inability of their parents to take care of them. Children falling prey to this unfortunate situation does not only put them at risk, but also further dents the image of our country.

Streetism is one social issue that has been on the discussion table for a while, and by far one of the commonest and unpleasant societal problems in Ghana today, which is witnessed by both the young, and the old each passing day. This menace is an issue that has engaged the minds of social workers as well as the public and it is becoming more relevant because turning a blind eye to this situation presently might graduate into a far worse problem exceeding the challenges society faces now. The concept of “streetism” refers to a way or a system where young children find themselves on the streets for various reasons but mainly as a source of shelter or employment to sustain their livelihood. The study further noted that homeless children are confronted with stressful and traumatic events which consequently results in a higher incidence of mental disorders. The violent behavior of these children was experienced by the researcher on the streets of Madina, Accra when offering money to some children on the streets. When the others caught a glimpse of what was happening, they surrounded the researcher attempting to take personal belongings such as wallet and bag. This activity persisted for a while until one of their guardians calmed them. In that moment, the researcher came to the realization that the violent nature of these children may have stemmed up from the fact that they are broken inside and by way of venting how they felt, they resorted to violence. This phenomenon struck the mind of the researcher to retell their stories through art just as artists like Aran Illingworth, Victoria and Carolyn Cohen sought to portray in their work of art so as to leave an indelible impression in the minds of onlookers.

On the brighter side, it has been observed that contemporary artists are now in the pursuit of fixing societal problems. This hunger has led to the emergence of artistic expressions or art works that seek to address societal ills, strike conversations and debates among people or even at best, be the starting point to curbing a situation. In addressing social problems, the press play a role in creation of awareness but usually their news items do not have lasting impressions in the minds of people but since art can be experienced, one tends to leave with the message dented in his or her mind.

In respect to what is driving contemporary artists in their artistic expressions, this study seeks to paint an image that reflects the exact emotional state of these unfortunate street children and also seeks to translate the issue of streetism in

Ghana through portraiture, challenging the on-looker to better appreciate the intensity of this problem and its negative impact on the country. Each portrait will attempt to reveal the inner realities of these children and put to the conscience of appropriate authorities to find sustaining solutions to the problem.

### **Ethics of Working with Children**

One concern in research with street children involves the prospect of gaining true informed consent. It is usually not possible to secure parental consent because finding the parents – if they exist is very difficult. Researchers can get the participants' assent to participate, but in many countries, minors cannot legally give informed consent. Even if youngsters are considered "emancipated minors" because they are living on their own, many children do not have the cognitive skills to understand all the implications and possible consequences of the research (Hurley, 1997).

The problem is compounded by the lack of institutional ethical control of research with human participants in many developing countries. In Ghana, for example, binding ethical guidelines for research were not fully established and most universities still do not have ethic committees or review boards to evaluate research projects. This situation places a great burden on researchers in developing countries.

Research conducted with street children is often used to design public policies and intervention programs. However, the reliability and validity of data collected from street children are always doubtful (Aptekar, 1994).

### **Streetism in Ghana**

#### ***First Study of Street Children on Their Physical Emotional State***

There are various reasons why street children leave home, which differ between high- and low/middle-income countries (LMIC). Families conflict and child maltreatment have been established as the main reasons of leaving home in high-income countries (Hadland, Kerr, Li, Montaner, & Wood, 2009) and while these are also risk factors in LMIC, poverty is a further significant contributor (Olley, 2006). Children reported emotional problems such as sadness, crying, sleep disruptions and suicidal ideation, which did not appear to be detected by adults. Instead, all stakeholder groups recognized social withdrawal or isolation and externalizing behaviors, such as aggression, as reflection children's adjustment difficulties. Findings from qualitative research with other vulnerable groups of children, such as, refugees, children who suffered maltreatment and/or live in public care, show that capturing their voice is extremely important in planning interventions and improving services (Davison, Zamperoni, & Stain, 2017; Frauenholtz & Menderhall, 2020).

Consequently, some families, and in some cases children of migrated families or children without families in the city or elsewhere resort to living on the streets or in unauthorized places close to their stations of economic activities like water ways, along major roads and other makeshift structures.

Street children in general are viewed worldly as problems rather than humans whose first home is the street, (Awatey, 2014) in that some of them if not most of them steal to survive. Agyemang (2011) observes that, streetism is a major challenge in Ghana. Similarly, Darku (2005) makes mention of four groups of street children in Ghana. These according to him are rural migrant children, children from poor homes, children who play truancy and finally children who prefer staying on the streets to learning a trade. Making deductions from the foregoing claims, rural migrants are those children who come to the cities with the objective of seeking for greener pastures to make a living; children from poor homes are the ones forced to the streets just to make ends meet. In corroboration to the above, Jawula (2010) opines that, head porters known as 'kayaye' constitute streetism and such comprise child labourers who left their respective rural areas for the cities in order to make a living. According to Jawula (2010), the issue of labour migration from the rural to cities dates back as far as the Gold Coast Times. Advancing on this subject matter, Agyemang (2011) further makes an observation and distinguishes between three classes of street children in Ghana namely; children of the street, children on the street and abandoned children. *Children of the Street* - These refers to those children who live on the streets, selling, hawking and striving to make ends meet and at night, such find a place to sleep in the streets. This class of children during the nights, either sleep at unauthorized places or overcrowded rented places subjecting them to unforeseen circumstances like sexual abuse, bad weather conditions, verbal abuse as well as physical abuse. *Children on the Street* - These are those who live with their parents or guardians but such children are compelled to work on the streets for their own survival and also the survival of their families financially. *Abandoned Children* - This category sadly have no family, friend or helpers and are therefore forced to work on the streets. Unfortunately, such children have no place to also sleep at night and hence, migrate from one location to another for their survival.

Awatey (2014) explains that parents and guardians are expected to ensure that their wards are well-catered for in all areas be it social, moral or educational. But according to Awatey, that is not the case in most cities in Ghana. Implicit in the proceeding attributes to the menace of streetism or street children in the country. Though this phenomenon is a global distress, Awatey asserts that, it is a rather challenging subject bothering on the socioeconomic development of Ghana. Awatey further states that such children may steal to survive and this poses a threat to our society. Making inferences from the submissions of streetism in Ghana, it made evident that, it is a major challenge bedeviling the country as it is also a global challenge. It is revealed that streetism may result from factors such as poverty, neglect, migration or truancy. Nonetheless, the Ghanaian society is not made safe for socio-economic development of the country due to the major challenges streetism poses to the nation. It is against this background whereby increasing streetism continually aggravates the underdevelopment and exploitation of vulnerable children and the need to make this issue a national priority area of concern that this study seeks to examine.

### Art as a Social Communication Tool

According to Elin (2012), communication from the Latin etymological perspectives 'communist,' can be in two forms namely; verbal and nonverbal. Elin further observes that, painting and drawing have been a form of nonverbal communication since ancient times till date. Thus, the oldest form of art as a communication tool dates back to the cave paintings during the prehistoric times around 30,000 BC. Nonetheless, art not limited to paintings and drawings provide the yardstick for effective communication in areas such as politics, culture, economic and social. Smith (2009) similarly clearly opines that, human beings since prehistoric times have developed artistic signs and symbols that serve as yardsticks for communicating their feelings, ideas and thoughts to each other. Such ways of communication according to Smith (2009) could be termed as cultural tools of which, paintings and drawings are typical examples. The foregoing conversation forms underpinnings whereby the above authors believe in the power of art as a yardstick for communication.

Ontarion (2017) is also of the view in the submission that, art forms a key component of communication. According to Ontarion, art such as graffiti is a medium for communicating on social issues. The preceding thought go to say that, graffiti possesses the capability and power to broadcast many messages concerning the society. Ontarion (2017) additionally asserts that, graffiti on walls and monuments during ancient Rome and Greece communicated love, social ideals and political opinions. Another art form worth mentioning as a communication tool in the 21st century is photography, specifically conceptual photography, where the central focus of the photograph is driven by ideas, symbols and themes. This form of art is geared towards bringing to visibility ones imaginations through photography to communicate messages that could touch on issues pertaining to societal issues, politics etc.

Textile artist however also use the textile materials available to them in sending across their messages. Juliana Antacruz Herrera, transformed the streets of Paris through her artistry using braided strips of colorful fabrics that have been coiled like yarns to mimic its structure. She asserts that, she visualizes the crack and potholes of the city as a canvas and by way of adding beauty to an unfortunate situation, long lengths of colored fabrics are braided and then coiled into potholes in the street. Although she sought to transform a bad situation into one that would be appreciated, her use of bright colors in her art communicates the bad state of roads to the public and authorities in an artistic way.

Beck (1987) opines that, art serves as an imperative social communication tool for the advancements of human relations via greater comprehension of human experience. Making reference to the foregoing claims reveals that, art as a communication tool serves as an appropriate medium of expression to unleash, elevate and grasp our fears, conflicts, tensions, aspirations as well as our hopes coupled with our ideals. According to Beck, art forms such as craft, architecture, music, dance, drawing, painting, sculpture, literature and drama constitute very appreciable avenues for the dissemination of social messages.

In addressing or raising awareness on some social vices in our society, artists in contemporary times have adapted varying techniques to produce textile art to drive home the brutalities suffered by the victims. Phillips (2015) observed an artist, Carolyn Harper Cohen, who experiments with techniques such as hand embroidery, batik, applique and painting to produce portraits. The subject matter of her work sought to address the brutalization of women, children and individuals belonging to the lesbian, gay, bisexual and transgender (LGBT) community throughout the world. She further argues that her art provides faces to those who are faceless, nameless and powerless and comment upon the blind eye that is turned to those who are suffering. Buami et al. (2019) also uses varied textile material collected from the floor of dressmakers and other materials from land fills (conventional and non-conventional) to produce textile Art on the struggle of kayayie in Ghana. He adopted a technique of doodling, cross-hatching of twisted yarns, superimposing of materials to create a three Dimensional look of the ordeals of the female head potters. Victoria Villasana, a textile artist as cited in Taggart (2017) uses embroidery patterns to highlight what certain iconic individuals in the society stood for. This stitching technique was applied in some portions of a captured photograph to primarily add aesthetic value and also depict their social standing. Still employing stitching or embroidery as a technique in producing figurative textile art, Aran Illingworth adopts the same technique coupled, with applique to produce art that depicts the struggling state of women living in India. These works according to her turn to evoke the viewers' response to the predicament of women living in poverty (Gottesman, 2016).

Art is a very symbolic expression of feelings and ideas and therefore a necessity for social communication. Art as an effective communication tool, it is made evident that there are endless possibilities of utilizing art for the purposes of communicating ideas, thoughts, perception or concerns in all human and societal jurisdictions. Thus, art can be used to communicate in the circles of politics, religion, culture, social, etc. Thus, art has become a very imperative medium to which non-verbal communications are made. It is made evident that, be it, drawing, painting, sculpture, graphics, photography etc., it may serve as effective and efficient yardsticks for communication. Wherever art is seen or exhibited, there is a certain feeling or significance being communicated. Further inferences from the literature reveals that, issues pertaining to politics, human relations, social issues, religion, culture etc., may be addressed through appropriate art mediums. Art may also communicate commemorative or historical ideas. Briefly, it is of certainty that, art provides a non-verbal mode of communication among humans.

### **Materials and Methods**

The art studio-base practice under the qualitative research approach was employed in the study.

Studio-based research in art and design according to de Freitas (2002) refers to those research projects in which creative practice plays the most important role

in the cluster of research methods used. It is usually initiated by the artist or designer in response to his/her own particular studio or design practice. Art and design studio practice results in artists and designers acquiring knowledge about concepts, materials, processes and applications.

Studio-based research method was chosen for this study because various materials were interacted and manipulated, and different creative techniques were employed in a unique way based on concepts that are likely to produce desired results. Also, the feasibility of the materials employed was experimented and the materials which could not produce desired results were replaced with alternatives.

According to Mason (2002), qualitative research aims at producing a more holistic and contextual understandings on the basis of rich, nuanced and detailed data. Her thought brings to visibility that qualitative research aims at gaining a deeper insight into a subject matter, giving keen attention to an appreciable number of variables. Considering this, to be able to carefully obtain and capture the emotional state of the street children, field observations were carried to essentially appreciate their struggles. This coupled with personal interactions with the children undoubtedly gave a great insight into their ordeals which subsequently influenced the concept (broken mirror) developed in producing the portraits. This phenomenon gives a philosophy behind the art works which aims at drawing the appropriate awareness.

The art studio base practice was employed in the study. This method essentially offered the means to conduct relevant research in the subject area that influenced the production process (Marshall, 2010). This method is dependent on studio activities which required the use of materials, techniques, tools and aesthetic analysis. Considering this, appropriate images of street children were captured from the field (Accra and Kumasi), after which variants of yarn art techniques were explored. The yarn was used as a medium to effectively execute the final art pieces because in textile production chain, yarn is a textile material which has to go through a number of processes to be transformed into a finished product. This product could take the form of dyeing, weaving etc. Similarly, in connection with the subject of focus which are children, they also need to go through transforming stages that propels them into adulthood. The twist inserted in yarns reflects a certain physical texture that no other textile material can give beside a yarn. The resultant effect of these explorations then informed the production of the final art works. Systematic procedure during the creative process were carefully illustrated.

With the adaptation of Cora Marshall's aesthico-action research cycle as a foundation, a model capturing six phases (observe, reflect, plan, create. Exhibition and feedback) was developed in order to effectively attain the set objectives and in connection with the conceptual framework.

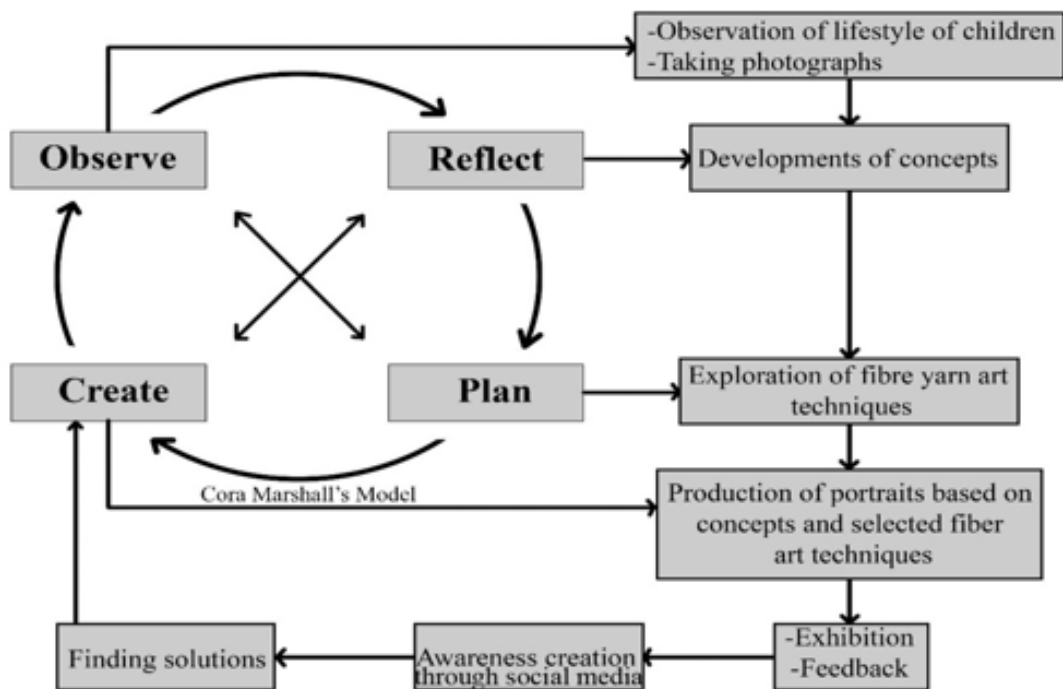


Figure 1. Conceptual Framework (Adopted from Aesthetico-Action Research Cycle by Cora Mashall).

Source: Researcher's Construct (2019).

### Observation

Observation in research as captured by Atlas (2016) involves the direct observation of phenomena in their natural setting. It further went ahead to state the non-participation and participation as the main components of this research. Deductions from the above thoughts lead the researcher into adapting the participant observation considering the kind of emotions the study sought to invite into the project work. The participant observation permitted the use of unstructured interview where the participant (street children) responded to open-ended questions structured by the interviewer (Streubert & Carpenter, 1999). Moyle (2002) adds on to this statement by asserting that this type of interview aids in ensuring that the participant has full ownership of the narrative and by no way is it influenced by the interviewer. Additionally, ethical considerations were established before their imagery depicting their physical emotional state were captured. These tools aided in projecting the facial expressions the researcher sought to invite into the work as well as created avenues for questions pertaining to their livelihood to be asked.

### Reflection

Reflection according to Hofman-Kipp, Artiles, and Lopez-Torres Weber as cited by Marshall (2010) is characterized by the thoughtful gathering of critical reflections and actions that highlights or reflects the underpinnings in our practice concerning our assumptions, biases, and perspectives. Based on these thoughts, brainstorming as well as the creation of concepts in alignment with what the project seeks to achieve was created. The base emphasis of the project is to put a

spotlight on the physical emotional state of these children and hence, expressing the intensity of how damaged and broken they are. A concept of depicting imagery from broken mirrors was developed. This concept was built on the grounds that, images viewed from broken mirrors are distorted and have irregular patterns and therefore, projects a sense of incompleteness. Additionally, the patterns created by broken mirrors are accidental, meaning, one has no control over the patterns broken mirror create. Linking this to the many problems street children go through, this assertion established the fact that these children also have no control over their life pattern and therefore swallow whatever life throws at them.

### **Planning**

This stage of the model explores a variation of fibre yarn art techniques, drawing inspiration from the notable yarn painting from the people of Huichol who are inhabitant of Mexico and the art of stitching. Additionally, preliminary sketches were made to ascertain the outcome of the final project. A variation of yarns composed the main media of the project, specifically, cotton, acrylic and polyester yarn. Like gold, yarns also go through tedious phases throughout their production process. Similarly, street children are also witnesses to a significant number of struggles. Among them, according to Hai (2014) are lack of access to basic amenities, lack of protection and security, poor health and vulnerability, lack of capabilities and powerlessness, only to mention a few. Considering both scenarios, the struggle a yarn goes through necessitates a successful outcome whereas with the children, a successful outcome is undefined. The choice for the use of yarns as a media in telling the story of these street children stems out from the thought of compare both struggles and conceptually depositing the success of a yarn into the struggles of these children with a glimmer of hope that someday, their struggles would pay off.

### **Creation**

This phase embodies the build-up of portraits that project the struggles these children go through, putting to significant use, the various fibre yarn art techniques explored thus yarn painting and stitching.

### **Exhibition**

Since the project is centered on the issue of streetism, the final project works were taken back to the streets, for appreciation, criticisms and for the children to further dialogue with the work. Further exhibitions were done via social media for more discourses and input as to how we as a country can help reduce this unfortunate situation. This provided the researcher with information that could further make the work more meaningful.

### **Feedback**

Results based on information gathered from the exhibition on the streets and on social media contributed philosophically to the whole artworks. In addition, some recommendations were made based on the feedbacks from the exhibitions that were carried out.

### Field Study of Street Children on Their Physical Emotional State

Processing of facial expressions of emotion is fundamental to human interaction, and has significant effects on human behavior and affective state (Bourke, Douglas and Porter, 2010). Facial expressions play a significant role in unearthing a person's state of mind and even emotions that have been buried within them. As part of the conceptual framework (observe), a field survey in Madina, Accra (Personal observation, August 2018) was carried out in the pursuit of capturing images that reflected the struggles they go through. In satisfying the first objective to the study, a dialogue between the researcher and the street children were carried out with the intent of without their consent, capture their facial expression whenever a sensitive issue is brought up. This dialogue revealed some emotional expressions on their faces but per reflection and critical analysis, the images were opened to critics that suggested that the images were not engaging enough to be used to speak to the issue of streetism.

The second stage of the conceptual framework required that after observation, there is the need for reflection. Based on the reflection of these images and critics made, another field study was carried out in Adum, Kumasi (Personal observation, April 2019) but this time, accompanied with a concept broken mirrors. The study found that the issue of streetism has received considerable attention, but the discussion of it surrounds political and social views, neglecting the main subjects of the issue, the people subjected to the menace. We are more focused on how they affect the society more than how society affects them. Society has affected them physically, psychologically and even socially, as a result, they are walking beings with broken personalities. Based on this analogy, the concept surrounding the fact that reflections from broken mirrors seem to be incomplete and distorted was used to visually depict their broken identity.

Ridley (2014), put to use the same concept where the broken mirrors served as a reflective examination into her own identity reformation from the abuse she experienced as a child. The video "reflections in a broken mirror video," explored into identity using the mirror as a tool for self-reflection. According to her, through her creative process of breaking the mirror into fragment and then reconstructing them back again, the mirror metamorphosed into a tangible reflection of an existential crises. In the same vein, the accidental patterns in broken mirror conceptually, represents the many unconscious ways by which society has tainted their very existence leaving them in broken pieces.

Conceptually, that state of wholeness represents the lifestyle each child is expectation of in coming into the existence. A lifestyle where he or she feels a sense of belonging, feels loved, protected and cared for, but unfortunately these street children are hit by the ills of society, leaving them in broken pieces. In representation of these children's narrative, the mirror was disintegrated into broken pieces, which was subsequently glued back to its support. The broken mirror was then taken to the streets to capture the images of these children through the mirror and just as the mirror reflected an existential crises of Ridley, so did the images that were taken through it. Fig.2 shows the resulting images that were captured through the mirror.



Figure 2. Street children captured through the broken mirror. Source: Field research at Adum, Kumasi (2019).

As captured in Fig. the expressions on the faces of these street children in Adum, Kumasi clearly transcend from the challenges they are confronted with on the street. This undoubtedly points to their ordeals encountered as the day goes by. A critical example shown in the rightmost image in figure 2 shows a street child who from the struggle on the streets, developed a problem with his eye. This has resulted in a situation where the brother aids him to move about. Considering this, it is evident that their struggles sometimes tend to affect them physically, resulting in permanent deformities which subsequently adds up to their daily hardships on the streets.

#### *Creation of portraits reflecting the emotional state of street children*

This section clearly details the creative phase of the conceptual model. This phase is where the portraits were created which involves the process of manipulating selected images by way of minimizing the amount of colors via Adobe Photoshop, transferring the rendered image onto selected substrates and finally giving depth to the image, using yarns as a media.

#### *Execution of Project One: The Endless Stride*

Based on the images that were captured from the field, an image with the intention of giving insight to the name of project one was selected for the production process. The image through the use of Adobe Photoshop software was converted into a vector image.



Figure 3. From left to right, converting an image to a vector image, center to a vector image, right.

A wooden substrate of size 24 by 34 inches was painted with white acrylic paint. On drying, the grid lines (Fig.4, left) was drawn onto the substrate so as to be able to achieve to perfection the outline of the image. With an interval of 1 inch, nails were driven into the edges of the wooden substrate so as to be able return the continuous yarn after it has moved over a horizontal, vertical or diagonal distance. With a pencil, the vector image was drawn on the wooden substrate, after which the very dark portions of the drawn image was painted with black acrylic paint as demonstrated in Fig.4, center.



Figure 4. The production process.

With the help of Uhu glue, a single black polyester yarn was made to travel from one end to another, using the doodling yarn pattern, making sure that each strain of yarn was well winded around a nail when it gets to the edge of the wooden substrate. The process of moving the yarn over the whole surface of the image continued until the full depth of shade of the portrait was realized.

#### ***Execution of Project Two: Pain in Saturation***

The selected image captured from the field was pixelated using Adobe Photoshop. This process made it possible to obtain individual colored squares. To achieve such, the following procedure was undertaken; the selected image was imported into Adobe Photoshop, which by default was placed the RGB mode. The size of the image was reduced (1728 pixels by 2160 pixels) by clicking on image from the menu bar > Image size (38 pixels by 47 pixels). The resolution was still maintained at 300 to give the best possible quality required to make visible the color squares. The image was then zoomed in to 1200%. The final pixelated image after zooming presented an image built with colors of different squares. A wooden substrate of 39 by 49 inches was prepared by way of painting with a white acrylic paint, after which with a wooden rule, grids amounting to 1,862 squares were drawn.

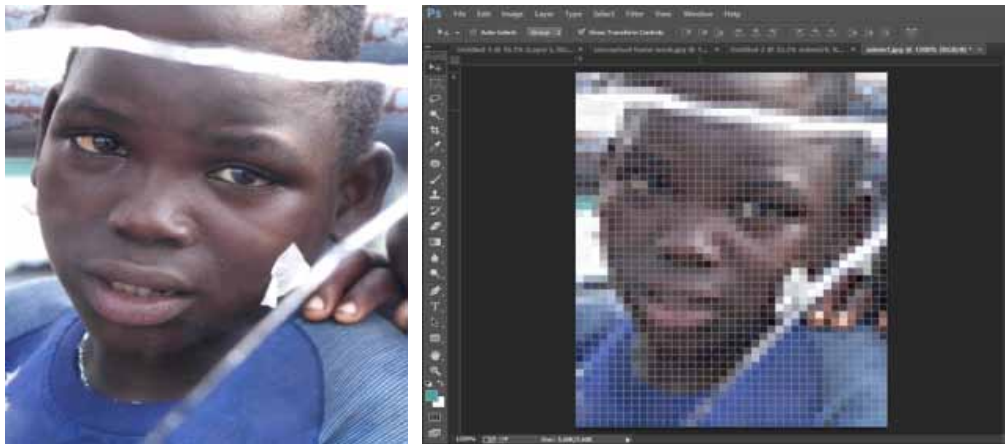


Figure 5. The pixelation process.

Using the pixelated image that was manipulated via Adobe Photoshop as a reference material, yarns of different colors and shades were winded using the tail chase pattern, together with super Adesivo in a particular fashion to fit all 1,862 square boxes (Fig.6). After the use of yarns of different shades and colors were adhered to the substrate, the final image was realized.

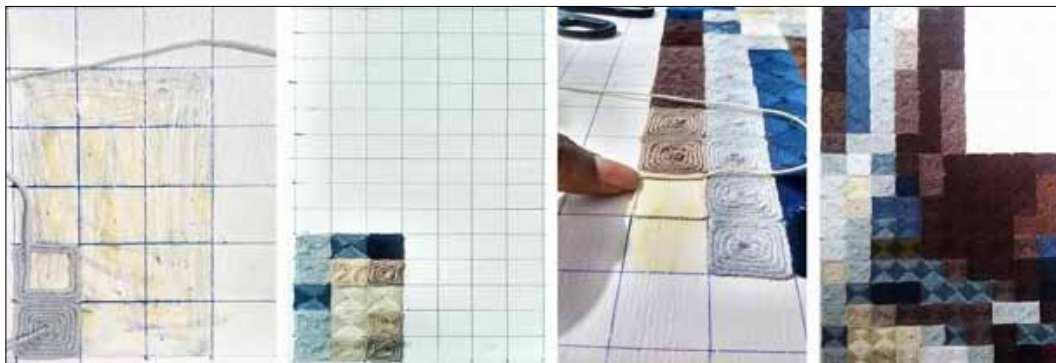


Figure 6. Adhesion of yarn to substrate.

#### ***Execution of Project Three: Wither in the Weather***

With this project, stitches of different types were used in giving depth to the image. The type of stitch that was dominant in the work was a fusion of running stitches which were then overlaid and under laid with a continuous yarn. This fusion mimics a weave and embroidery pattern which is popularly seen in tapestry. With project three, four individual canvases were used as the substrate. In preparing the canvas to be worked on, they were bagged in a polythene bag, put in the rain and dried in the sun so as to achieve some form of effect on them. This phenomenon created an uncontrollable stain effect on the white canvas in layers which subsequently affected its property. Stained portions were stiff, compared to other portions, which played a vital role in the philosophy.

The image was transferred onto the canvases by means of glue photo transfer. The image was firstly flipped horizontally via Adobe Photoshop; after which it was printed on a 24 by 34-inch paper. The four canvases were pieced together with an adhesive to prevent the canvases from shifting when the image is being transferred onto it. Fevico SH adhesive (white glue) was then evenly spread on the surface of the canvases. Following that process was a careful placement of the already printed image after which all canvases were turned. With the help of canvas keys, a little pressure was applied by way of stroking on the canvas back and forth to ensure the paper was well adhered to the canvas.



Figure 7. The process of transferring the image onto the canvas.

The adhered image was allowed to dry for over eight hours. On drying, a slightly wet foam was used over the glued paper, exposing the paper to a wear and tear state. With a little amount of pressure, the layers of the paper were rubbed consistently until the layer on which the printed image was exposed. In achieving a more visible image on the surface of the canvas, a little amount of vegetable oil was rubbed overall surface of the canvas. The canvases were detached from each other, following a partial detachment of each canvas fabric from the frame in order to get access to every part of the image when rendering it with the yarn. According to the shade visible in the image, yarns of similar shades were stitched in a particular order to that bring out the depth in the image.

### Results and Discussion

During the field research, it was observed that most of the Ghanaians who live on the streets are migrants from the Northern part of Ghana. According to interactions with a few of them, their migration was primarily due to the fact that they struggled to make ends meet and this struggle in effect, cripples their responsibilities in taking care of their young ones. In addition, the daily ordeals of these children which may result in injuries leads to permanent deformation. This is largely due to the fact that they are unable to gain access to daily healthcare.

#### *Feasibility of Selected Adhesives and Yarn Types on Different Substrates*

These experiments are to establish the cohesive strength between various adhesives (Water glue, fevico SH, super adesivo, UHU glue and tooth paste) and yarns (cotton, acrylic, and polyester). It also ascertains the reaction of various adhesives

to selected substrates (wood, leather, fabric). Per the experiments carried out, it was discovered that super adesivo, fevico SH and UHU adhesive adhere well on wood, leather and fabric, however, their cohesive bond with yarn patterns are dependent on the rate of drying. The state at which bonding is effective also plays a significant role in pattern creation with the yarns. For example, per the experiments, it was observed that due to the fact that super adesivo adhesive bonds at a dry state, it was more suitable in the creation of well-defined yarn pattern, compared to the other adhesives. Also with the substrates experimented with, it was concluded that wood is the most suitable substrate even though the others can serve as alternates. On evenly spreading Super Adesivo adhesive on the gridded wooden substrate as seen in Fig.8, it was observed that an amount of pen ink is transferred when there is a slight drag of the adhesive across the area where the ink is visible, creating a contouring pattern. This observation can be further experimented on to ascertain the components present in the adhesive that permits the retransfer of the pen ink to add to the varying ways by which pen ink can be transferred onto other substrates.

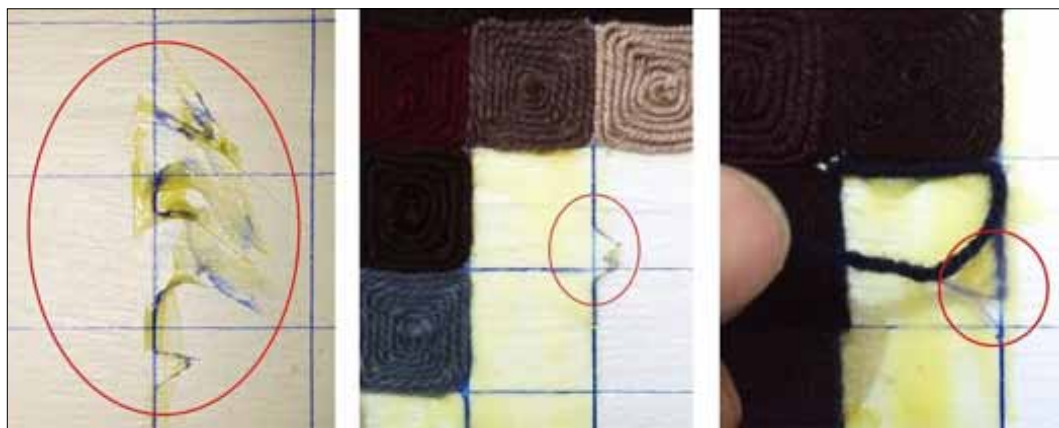


Figure 8 a-c. Retransfer of ink after a shift of Super Adesivo Adhesive.

Even though Fevico SH's disadvantage during the experiment was deposit of glue stains on the yarn, it was recorded as the adhesive that had the highest peel strength compared to the other adhesives that were experimented with. The peel strength was so high that it peeled off portions of the substrate on which the yarn was adhered onto when the yarn was being taken off from the substrate. All the yarns (cotton, acrylic, polyester) used gave off some amount of luster but with the polyester yarn, its luster was very visible showing a symmetric balance of luster when winded in the tail-chase yarn pattern. The luster according to the yarn pattern orientation created triangular shapes at one end and its mirror image on the other end. The sequential arrangement of these yarns of different colors throughout the work then created a one up, one down diamond shape pattern arrangement as shown in Figure 9.

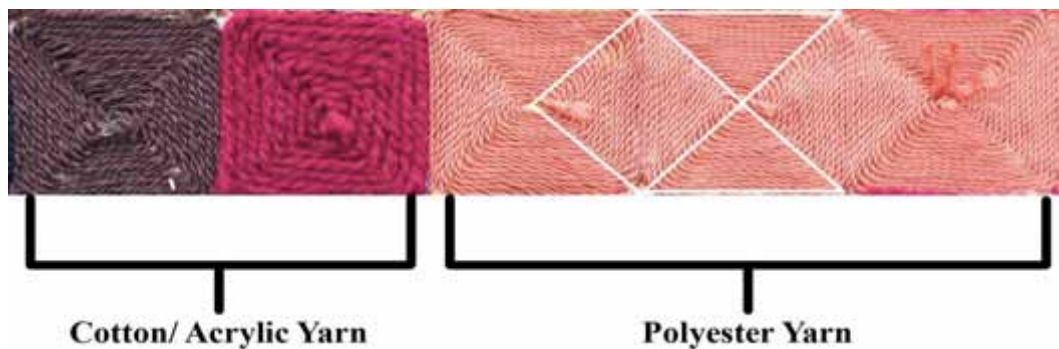


Figure 9. Luster Effect of Cotton, Acrylic and Polyester yarn.

The philosophies that detail the works of art produced are clearly outlined in this chapter. This largely giving a great insight to understanding the art that evidently relates to the happenings in the society. The choice of materials and arrangements in the art works collectively embodies the ideologies that points to the struggle of street children in Ghana. As outlined in the exhibition phase of the conceptual framework the final project works were sent back to the streets to initiate a dialogue between the works and the children who have been victimized to the menace of streetism. The result of the dialogue generated conceptual photographs which Tate (2019) describes as any use of photography within the Conceptual Art movement. These photographs further strengthened the philosophies governing each work as well as initiated discussions as to why they were on the streets. The study in addition took advantage of social media outlets specifically, facebook and instagram as a means of outdoor the project works to invite discourses centered on the issue of streetism in Ghana.

#### Project One: The Endless Stride

The final artwork is shown in Fig.10. The popular quote, “a journey of a thousand miles begins with a step” defines this art piece. Street children begin that step only to realize that the journey never ends. This quote is in the direction of motivating every human to take a step with a glimmer of hope that they would someday reach their destination. But in the case of street children, that light that is supposed to be at the end of the tunnel is so dim that it is almost nonexistent.

These children undoubtedly undergo sufferings and challenges as they walk and stay on the streets throughout their life. In representation of the endless journey of street children, a continues yarn was made to travel from a starting point and somehow diminish in the work, in such a way that from an onlookers view, there is an identification of where the yarn started but there is absolutely no clue as to where it ended. Throughout their endless journey on the street, no matter what path they chatter, they come face to face with the dark side of the very society that is supposed to care and provide shelter over their heads. They are exposed to all forms of cruel happenings on the streets. These include road accidents, violence by individuals, rape/ sexual assault, among others. This phenomenon “hardens” and “breaks” their hearts unconsciously as they grow. This is well represented in the fragmentation of the image as well as in the contouring way with which the

yarns were adhered onto the wooden substrate. The nails that were used at the edges of the substrate personifies individuals in society who instead of helping them exit from their situation, inflict pain on them by way of verbally and physically abusing them when they ask for help (Azumah, 2019). In addition, the choice of a black yarn superimposed on a white background depicts the dark side of life that brings undue hardships to this earth we live in.

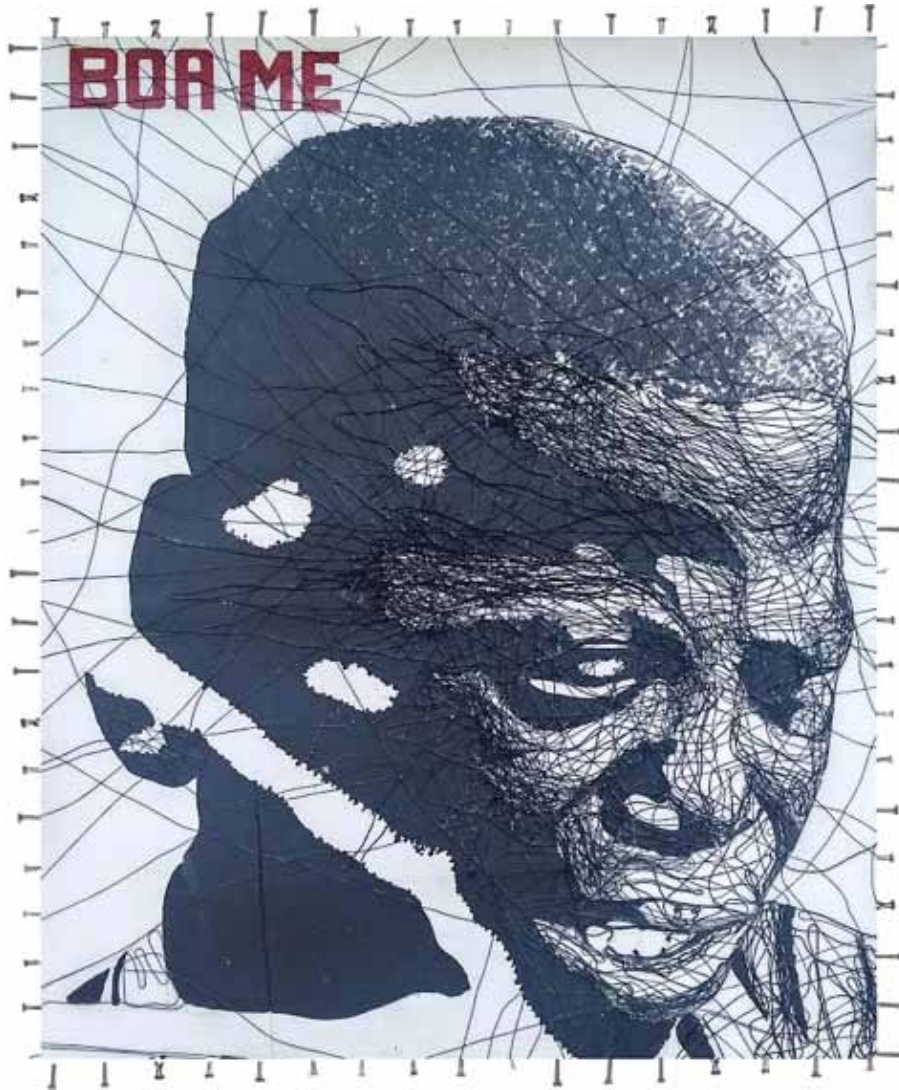


Figure 10. The Endless Stride.

### Project Two: Pain in Saturation

Saturation is the depth or intensity of color present in an image. Placing this definition in context of what this project sought to achieve, pain in saturation (Fig.11) is an expression that denotes the pain of street children in full bloom. This expression was couched from the fact that this work of art hosts a significant number of color square boxes. With this art work, the whole being of an individual is characterized with small colorful squares of emotions and happenings in the society. This dovetails in a pixelated image that houses a range of color shades that

collectively form its quality. These housed colors in square blocks philosophically represents the emotional state or mood these children go through thus happiness, sadness, anger etc. According to Chapman (2010), colors carry some emotional symbolism which can contribute significantly in understanding a work of art. She further details the meanings of some colors in relation to emotions. Examples of such colors includes; white (cleanliness), yellow (hope), green (growth or new beginning), blue (calmness), dark blue (strong), gray (depression), Tan (conservation) and black (power, death or evil).



Figure 11. Pain in saturation.

Considering this, the art work displayed in Fig.11 invited all these color and what they stand for into the work. The choice of different yarn textures (rough and fuzzy for acrylic yarns, soft and smooth for polyester and cotton) further speaks to the variation of emotions and moods they experience while they are on the streets. Also, the yarns were creatively employed using the tail-chase pattern that was developed from the scribbles of the street child. This technique imitates how these children run in circles in the pursuit of chasing success by drifting from one place to another but yet, still go through an ending cycle of suffering. During the field research, there was an instance where from a distance, the researcher caught sight of a street child who was rudely sent away after he asked for money from a passerby who even though was in direct contact with the child, was negligent on the intensity of the child's struggle. This phenomenon whereby the passerby who was more closer to the child but was blind to his plight as against the researcher who even though was at a distance, appreciated the struggles the street child was going through. Making inferences from the event, there is a realization that when an onlooker is closer to the artwork, all the onlooker is previewed to are square boxes of different colors till he walks into a distance to realize the true content in the artwork.

Another observation that was made concerning the visibility quality of the image in “pain in saturation” was that, in the dark, the various colors with dark hues merges into each other presenting a clearer imagery. This observation translates into the narrative of choosing the people you call friends wisely, because false friend in the mist of darkness would readily diminish into the background, leaving the true ones on the surface who eventually would help your transition back from the dark to the light. In another vein, the artwork in darkness advocates that whenever we as humans are in a place of darkness, we should not give up and that there is always that trace of light that would propel us from that state to an imaginable state of light.

The final observation that was made after the production of this work revealed that at a squint of the eye, the image becomes clearer. Juxtaposing this observation into the realities of life, it can be deduced that in life, one should not always look or tackle situations the conventional way thus by looking at it with eyes wide opened, but sometimes one should look at situations unconventionally by squinting the eye, thus looking at them from a different perspective.

The project work “pain in saturation” was also exhibited via social media specifically Facebook and Instagram to invite their thought on the issue. In Fig.12a, (Facebook) the respondent avers that fathers play vital and essential roles in foundation building of their children by genetics and training, which goes a long way in establishing good and fertile grounds for these children to thrive in society. According to him, sadly many fathers in our generation have lived outside that purpose and abused their roles as fathers, which have contributed significantly to a number of young children who are now living on the streets. He further claims that what a nation needs primarily in curbing the issue of streetism are good responsible fathers.

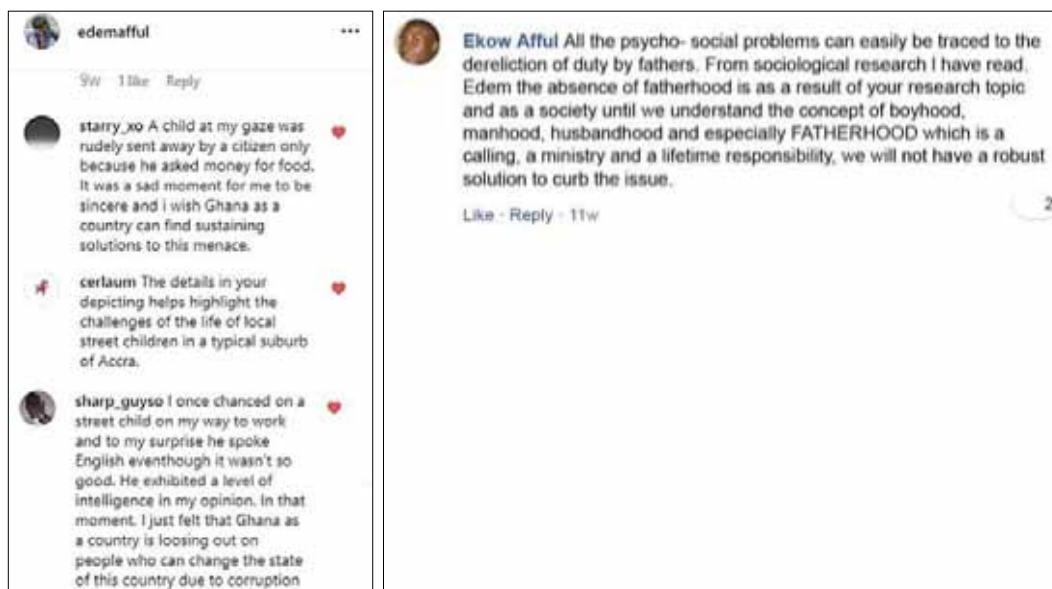


Figure 12 Exhibit responses from Instagram, left and Facebook, right.

In Fig.12, the respondents (Instagram) shared their encounter with these children, expressing how bitter they felt witnessing what they go through for their survival. According to the first respondent, she witness a street child who was verbally abused in his quest to ask for some money from a citizen. This form of abuse (Johnson, Cohen, Smailes, Skodol, Brown, and Oldham, 2001) increases the risk for the development of personal disorder by increasing the likelihood these children experiencing profoundly maladaptive thoughts and feelings, such as mistrust, shame, doubt, guilt, inferiority, and identity diffusion during their most critical years of psychosocial development. These disorders negatively affects the personalities of these children and hence they develop a sense of resentment for the society.

The second respondent in analyzing the situation links the strain the researcher went through in the production of the project work “pain in saturation to” to the struggles these children also go through. His comment put a spotlight on how tedious the creation process was, likewise the stress these street children have to go through for their survival. The third respondent however shared an experience where a street child exhibited some level of intelligence but his potential that could have positively affected Ghana would be unrealized due to the situation he finds himself. The comments generated goes to suggest that citizens are fully conscious of the fact that streetism is an issue of paramount concern in Ghana, however there is the absence of channels for them to air their views concerning the issue. The exhibition of this artwork via social media therefore opened up an avenue for discourses and suggested as to how the issue curtailed.

### **Project Three: Wither in the Weather**

This project (Fig.13) narrates the story of how street children lose their value over time after being on the streets over a period of time. Additionally, the work sought to expose how items including street children deteriorate gradually under weather conditions. This project began with a background story on how these children fair under hush weather conditions by way of exposing the substrate (canvas) to sun and rain. Resulting from this exercise was a canvas fabric that had on it, moldy stains. The wooden frame also having parts of it stained and chipped-off. With this exercise, one is prone to better understanding that under hush weather conditions, any item is subject to deterioration.

In the pursuit of helping these street children through the artwork “wither in the weather” the project went further to replace worn-out items with new ones so as to invite the histories of these items into the artwork. This approach according to Ibrahim Mahama in an interview with Hudson (2019) brings to their awareness the significance of mundane and common objects around them and how those objects can somehow work beyond the ordinary. These items were then put in frames as seen in Fig.14 a-d, which also speaks to the idea of them street children confining their emotions to themselves.



Figure 13. Wither in the weather.



Figure 14. Footwear belonging to street children.

This project goes to say that society has so turned a blind eye to their very situations, which is having adverse effect on them and for that matter, unable to express how they feel, leading to unrealized potentials. “What if” exposes the many possibilities of what the children on the streets could have been if they were not on the streets. In building this exhibit, a number of educated children

were asked the professions they would like to take in future. They made mention of professions like doctor, teacher, lawyer, fashion designer, pilot, nurse, engineer among others. On hearing the dreams and aspirations of these children, there was a cast back to the street children who have been denied the dream of putting thoughts to what they could do or be in future. The children in the exhibit are children who have the prerogative to dream, essentially because they have access to education. In contrast, they hold in their hand an artwork of a street child who is not priviledged to that right. In between the artwork and these children are the many unasked questions. "What if" is a visual representation of the many unasked questions concerning these street children. "What if" they were not on the streets? "What if" they were born by different parents? "What if" they had access to education?

### Conclusion

Art over the years has been instrumental in the expression of one's ideas and emotions. Art based on evolutions besides its aesthetic value are now centered on speaking to issues of great concern to a country or society. In this vein, the project explored the use of fibre and yarns to speak to the issue of streetism in Ghana. Drawing from the trajectory of contemporary art textile designers, this studio based research sought to produce textile art works that effectively communicate the emotional state, suffering, struggle and undue happenings street children undergo in the very society that needs to protect them. With all the constitutional provision and policies drafted to protect child right, children are evidently abandoned by parents to wonder on the streets. This phenomenon largely exposes them to varying ordeals that put undue emotional struggle on them. As a contemporary textile artist, the project was deemed necessary to exercise my practice in projecting the emotional state/ struggle of these children on the streets of the two biggest towns in Ghana; Kumasi and Accra. Street children like other children as stated in the children's act, 1998 have the right to healthcare, food, education, shelter and clothing. Besides telling the stories of streetism, the project also sought to sensitize the public and government officials on the intensity of this social problems, thereby serving as the starting point to curbing this issue. The study has added to already existing yarn pattern designs and developed surface designs that can be adapted by interior decorators in production of designs for upholstery.

In the advancement of technology, social media has created a great platform for producers, artists, designers among others to carefully market and create the needed awareness on relevant issues through their practice. Considering this, the study recommends that designers and artists employ such media spaces to put across social issues affecting the society. By so doing, the artist obtains the views and comments from a wider audience that tend to further better the practice and subsequently propagate the issue across the media space. The increasing rate of street children is largely because incapable individuals are rampantly still giving life to children they surely cannot take care of. Government, therefore should put systems in place to be able to foretell if unborn children are at the risk of being neglected by their parents and convince them in giving the child for adoption even before the child is born. Once these systems are put in place, these individuals

would now be cautious when bringing children into the world because they would now walk with the fear of their child being taken away from them if they are unable to take care of them. Additionally, government should construct more children home centers to camp these children, monetize them and see to their needs. Policies by the government should be directed towards improving the art industry, most especially creative art exhibition. This is of importance because artists have a voice and when attended to, can go a long way in helping curb various social issues confronting the country.

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# City of the Future Theories: A Diachronic Comparative Study

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## Abstract

This paper strives to interpret the future city or the future of the city by searching published articles. To do this, a review of literature had been made and articles from urban planning and architecture perspectives were studied. We collected information on the time-varying indicators that make up the cities of the future. In this study, it is investigated how the problems arise periodically and the indicators in the formation of the city plans of the future. It concludes with some foresights about next fifty years' city futures of the millennium.

**Keywords:** Cities, Future, Urbanization, Overcrowding, Disaster and World, Pandemic

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## Introduction

"Cities of the future" has been talked about for centuries, not a new issue. In each period, there are works on the preliminary vision of the city's planning, construction, adaptation, and analysis by imagining the cities of the next period (Geen, Elizabeth, Lowe, Jeanne and Walker, Kenneth (eds) 1966; Glasgow City Council, 2011; Hall and Pfeiffer, 2000; Hall, 1988). These studies reveal how cities may integrate into time and period in the future. It is important to question the issue of the preparedness of cities for tomorrow to foresee what might happen in the future. That is why the unavoidable population growth (World Bank, 2013) creates 40 metropolitan cities every year (Verlag, 2008). This data requires planning of the cities of the future from today on both micro and macro scales.

Throughout history, cities have been at the center of social, physical, economic, ecological, technological, and more recently digital developments (Mumford, 1961; Gauzin-Müller, 2002; Wheeler, 2004). In the digital age, we can also talk about the attempts of the digital game designers who tried to find solutions for ideal city life. Firstly, Micropolis and later Sim City forced the users to solve daily problems of cities at the end of the 20th century. It should not be forgotten that Hollywood filmmakers are also one of the visionary groups for this issue. With the help of science fiction films, the audience could be able to predict the future conditions and lifestyles of future cities. Thus, all predictions underline that the detailed analysis of cities provides information on city indicators (urban indicators) of that period. The indicators of the period are guiding in the planning of the cities of the future. Through their work on the cities of the future, researchers produce fundamental concepts of the cities of the future in line with the urban indicators of the period.

The phenomenon of climate change as a result of global problems threatening the future of mankind such as the overconsumption of non-renewable natural resources, pollution of air, water, and soil, the release of fossil fuels into the atmosphere, and rapid urbanization due to growing populations have brought the development of unhealthy residential tissues. During this period, when the world population has reached 7 billion, a significant part of the population is made up of developing countries in Africa and Asia. It is thought that 342 million people will be added to the world population in China alone by 2030, and another 80 million in Indonesia (UN, 2019). After all, cities will deal more with poverty, pollution, and diseases. In cities with an increased population density, climate change will bring greater destruction. Cities, as dynamic and living organisms feeding each other, are affected by changes caused by global problems (Ercoskun, 2012).

The cities of the future are being arranged in accordance with today's urban indicators and, as in the past, each period creates its own cities of the future. The search for the ideal city of the future has always been influenced by some of the requirements of its era and the problems experienced at that time, for example; the search attempt for a Garden City is looking for solutions to the needs of London, which is being suppressed by the rapid population growth in London. The city of the future is a search for the ideal. However, this ideal is limited to the knowledge gained/accessed by humanity on that day. It is important to determine the concepts that will make up the city of the future from today.

## Methodology and Approach

The purpose of this research is to determine which concepts the cities of the future were developed in accordance with the urban indicators of that period in search of ideal cities throughout history. It is envisaged that the concepts of the future cities of this period can be figured out through an understanding of the concepts, literature research and analysis of examples, and holistic documentation of the concepts of the city of the future. The method used for holistic documentation is to determine the problems that arise periodically by conducting retrospective literature reviews and to determine the relationship between these problems in forming indicators of the urban plans of the future by reading analyses on the city.

## Future Cities

Each period has questioned the city plans of the future for the next period in accordance with its own indicators. In this study, the urban planning models of the future are interrogated by considering the development according to periodic effects (Figure 1).

### *Pre-Industrial Time*

Life in pre-industrial cities was more based on agriculture and the trade of agricultural products, but this trade was mostly within the city limits. These trade activities were carried out with limited lands, cultivation tools, and limited transportation potential. In this life circle, painters and thinkers have tried to visualize the cities of the future. As a result of the reflection of artistic ideas between the years 1450-1650, geometric city diagrams were projected. 'Filarete' described a dream city called Sforzinda in his thesis written in Milan (Morris, 1994). This is an attempt to explore a future city. It is a city diagram consisting of 8 pointed stars placed in a circle with radial road axes. 'Scamozzi' explained a city plan with road axes in a work published in 1615, and later, he carried out the construction of the Palma Nova radiant and symmetrical urban plan phenomenon with a polygon protection wall and applied the urban plan from theory to practice (Kostof, 1991). In the late 1800s, when there were no concepts of urban planning and regional planning yet, city planners began to discuss urban forms (Ferriss, 1929).

### *Industrial Time*

Theories and principles aimed at eliminating the problems that the services sector, which is increasing with the industry, will create in the city center, have also been developed. The "Garden City" model designed by Ebenezer Howard in 1892 is still the decentralization city model, which is a contrasting approach to the idea of a compact city center today (Ward, 1992; Fisher, 1903). The main idea of Howard is to create a model that unites the countryside and the city further from the crowds of London and takes the positive sides of both. As an example: Ebenezer Howard, "Ward and Centre Garden City Diagram," 1902, Extract from Garden cities of to-morrow (London, 1902), RIBA Library Photographs Collection. Analyzing the environmental indicators of the period, the scarcity of open and green spaces in the city center, noise pollution, and the chaotic planning situation in terms of urban health allow us to produce the concepts of Howard's ideal future urban model. Garden cities constitute the fiction of the model. Howard interpreted polycentric garden cities as a modern unit with a modern understanding, divided them into

regions through the main city and the satellite cities it forms around it, divided them into green belts, connected all areas with railway networks. Studies similar to this model in the modern trend include the industrial city of Garnier, the Linear City of Soria Y Mata, and the ideal city studies of Le Corbusier (Ward, 1992; Frey, 1999). Soria Y. Mata made the Linear City (La Ciudad Linear) proposal in 1882, and this first proposal, which was born from the problems caused by industrialization, eventually inspired an extremely important principle such as the linear city proposal for an industrial city (Özdes, 1985:132-133). Garnier proposed to leave a city that is a candidate for industrialization as it is in its current form, without growing it like an oil stain, and to develop the new city linearly on an axis connected to the existing city. Garnier, who concentrated the industrial zone in one place and separated only some special industrial facilities in a way that fits the linear format, created a transition to the idea of a 'Linear Industrial City' (Özdes, 1985:133). Garnier designed the industrial city horizontally, while 'Le Corbusier' proposed vertical elevation, arguing for forcing against nature. According to Le Corbusier, man will control nature and make it accept its existence. In 1922, Le Corbusier theoretically revealed the city of the 20th century, suggesting that the "modern city" should include tall buildings raised from the ground, with large numbers of people living in it, rather than the large number of buildings spread across the land by destroying green. With this understanding of planning, he aimed to ensure that nature would be protected and people would benefit more from green.

The researches decentralization approaches that promote sustainability and compact form issues, which are a centralization/dissemination model. After the 1900s, with the new urbanism approach in the 1960s, mixed-use urban functions and regions were separated as an alternative to today's unsustainable cities, thus studies with the idea of walkable, clustered, mechanical, self-contained, and sustainable urban models were put forward. Compact cities are denser, non-expanding, clustered, and mixed-use settlements, maximizing the protection of agricultural land. We can take examples of developing cities by rising in a vertical direction.

A human-scale design has been created in the divided city model (mixed-use urban functions and zones are separated), and all transportation systems with mixed-use layers are connected to the light rail system with five-minute transit stations (Jacobs, 2011). The density of transportation axes and the urban population growth has enabled the concept of a divided city to be established. It was understood from literature research that the indicators of the period caused the production of the concepts of layered transportation axes, close-distance transportation systems, and low carbon emission vehicles in traffic (Dahinden, 1972).

### ***Industrial Time – Consumption Society***

Cities have undergone great changes since the 1940s (World War II), and their consequences have been discussed for the past decade. The discussions are certainly not limited to the results, they are also aimed at ensuring better and sustainable living conditions for cities that have completed or are projected to complete the urbanization process. The Industrial Revolution has created great changes and brought new technological developments to different areas with it. After the 1850s, technological and economic progress began to make the transition from agricultural-based settlements to industrial-based urban areas. Each compo-

ment of modernization has become a risk-creating factor, in addition, it has been strongly argued that the main cause of the risk for the community is not scarcity, but overproduction (Beck, 1992). "Now we travel more, we want more, and we use more," with this understanding, cities have been under "extreme pressure" and are beginning to lose their natural value. Rapid and unplanned urbanizations through space uses and rapid developments brought about by the industrial revolution are important for the perception of the indicators of the period.

As a result of these important processes experienced by our world, rapid and unplanned urbanization has led to the fact that future cities are planned to be useful and divided into layers. An example is the work of Geoffrey Jellicoe – *Motopia: A Study in the Evolution of Urban Landscape*, 1961 - with dedicated and planned solutions for the user of the future city at that time. The ramped-up city model, which proposes the separation of transportation by creating a layered city consisting of raised streets that are specially reserved for the user (vehicle, pedestrian, green) of the transportation axes of the city, is encountered with today's large-mass construction such as shopping malls and residences.

After 1960 and nowadays, the tendency for increasing unavoidable migration from rural areas to cities has given impetus to urbanization and caused it to increase. Urbanization has caused population growth and, in parallel, high structuring. In this direction, it is more difficult to get to the desired place to go and more time is spent. Urbanization, population growth, and high construction, which were the indicators of that period, led to the idea of the ideal city of its era in the moving city (walkable city) model. As an example: Colin Buchanan, *Illustration from Traffic in Towns*, Ministry of Transport, 1963 and Department for Transport 2014.

Buchanan's walkable city model (Buchanan, 1963) is considered to have an approach to combining several transport principles, including elevated traffic reserved for transport networks, combining several principles of transportation, including pedestrian paths and peripheral areas (traffic deceleration and speed ramps).

Cluster city, Peter Cook's proposal, is a network of configurable clusters and interchangeable units that complement the city. An example of leadership of Plug-In City, Yona Freidman *Ville Spatiale* (1958) is Peter Cook (Archigram), *Plug-in City, Overhead View, (Axonometric)* 1964. Image supplied by the Archigram Archives 2014. It consists of a very large part of adaptable, dia-grid space frames that can change indefinitely, facilitate parceling, influenced by the Pop Art era. Modular reconstruction is available through cranes at the top of each structure. Transport axes connect different cities, while existing cities are connected by a monorail system and a parallel-flying hovercraft route path. With the benefit of the technological flexibility and convenience, it is seen that structures that could be protected by pneumatic roofs in bad weather conditions, modular roads that could be opened and closed, as well as railways and public spaces, have been thought (Perez-Gomez and Pelletier, 2000). They can be applied modularly with the influence of the era and the convenience provided by technology; It is understood that an ideal urban period was built in line with the indicators where perfect detailed solutions and flexible spatial solution planning are seen.

### *Industrial Time – Digital Society*

A mechanical city is a city with architectural integrity that is considered mechanical, mobile, and compatible with its surroundings (Hollein, 1934). The decisive idea of the technology of future cities produced models that characterized a series of urban visions in the last half of the twentieth century, such as Buckminster Fuller's Tetrahedral city (1965) and the linear city of McMillan, Griffis and Mileto (1967). It is seen that an approach is exhibited in the produced model in which mechanization, mass production, adaptation, and technology, which are indicators of the period, are at the forefront.

Hollein fictionalized the Aircraft Carrier City in 1964 with a group of off-road photographs, giving up buildings altogether and proclaiming the forms of the land as architectural expressions - he evidenced the expression of "everything is architecture" by his photographing method. In connection with this ironic, politicized outlook, the aircraft carrier is an iconoclastic relic of its former function for Hollein; Its use here appears to be the common narrative of their search for ideas on what it means to build in the natural environment; For example, Hans Hollein, 1934: Aircraft Carrier City in Landscape. Project. Perspective 1964. Unbuilt. New York, Museum of Modern Art (MoMA). Cut-and-pasted reproduction on four-part photograph mounted on board, Philip Johnson Fund.

The fact that the mechanization and industrial period provided different kinds of materials created the utopian DIY architecture (do it yourself) approach of Jungmann and Ant Farm, 1967; Hans Rucker, 1967; Hall, 1974), for example, Jean-Paul Jungmann, DYODON flottant. Dyodon-Habitation pneumatique expérimentale Dyodon et constructions pneumatiques: annexes, 1967. Centre Pompidou, MNAM-CCI, Dist. RMN-Grand Palais/Jean-Claude Planchet. DIY Architecture is a self-built space made of floating and inflatable material. The use of fabric, which was the only material known up to that time in places or cities to be visualized with the help of air pressure, also paved the way for the production of different types of materials. Examples of works developed in accordance with the indicators of that era are the architectural technology of air structures by Dante Bini of 'Bini Domes'-inflatables, Fredric Price and Coop Himmelblau, 1970, Edinburgh Sports Dome in Malvern by architect Michael Godwin, 1977. These studies reflect an indication of material experiments in architectural research in the late 1960s and 1980s. It is understood that the increase in the possibilities of materials causes the diversification of the ideal city idea when approaching the city of the future.

Reacting to the functional structure of the city, which is constantly rising vertically with the post-war period of mechanization, C. Nieuwenhuys, 1948, tries to focus on the routines and actions of citizens in "everyday" life together with the Lettrist movement. Lettrism is a French avant-garde movement founded in Paris in the mid-1940s by Romanian immigrant Isidore Isou. Lettrists have applied their theory of thought to all areas of art and culture such as poetry, film, painting, and political theory (John, 1992). Lettrism has continued the concepts of detachment and repetition in the form of psychogeography in the ideal urban thought. As Guy Debord (1955:5) stated, the approach " the study of the precise laws and specific effects of the geographical environment, consciously organized or not, on the emotions and behavior of individuals " enabled a new graphic communica-

tion and critique of capitalist community architecture and urbanism to plan the psychological-geographical relief of urban centers, which apparently encourages or enables certain movements and activities (McDonough, 2002:55-87). In essence, the psychogeographic study, 1957, can be cited as an indication that the codes representing the new city, which will be an interrogation theme, are being investigated. Because the project proposed as a consumer-oriented urban landscape is a state of emancipation due to its emptiness and featureless state and allows us to be anyone on anywhere, anytime. The future city described here is the growth of the traditional and widespread urban form to create the unlimited reproducible anonymous structure model of the spatial logistics of supermarket and factories (Taylor, 1998), for example, Constant Nieuwenhuys, 'Symbolische voorstelling van New Babylon' (Symbolic Representation of New Babylon), Collage, 1969. Gemeentemuseum Den Haag.

With the addition of the current ecological crisis conditions to the utopian visions of sky cities in line with the ever-renewing world and the increasing population, Saraceno focused on the flying city model in 2011. In utopian thinking, his installations explore biological and sociological configurations and network relations between spaces (Unlike traditional works of art, installation art is a type of art created for a particular space that does not contain an environmentally independent art object, uses and examines the qualities of the space where audience participation is a fundamental necessity. It can be done indoors or outdoors). The idea of using helium balloons, developed as a competition project for disaster housing, emphasizes the action to remove people from the devastated area, while it generates the idea of hanging the space on another floor. For example, Tomas Saraceno, *Cloud Cities*, 2011. Sketch Installation view, "Cloud Cities," Hamburger Bahnhof – Museum für Gegenwart, Berlin 2011. Photography York, NY, USA, Andersen's Contemporary, Copenhagen, Denmark, and Pinksummer Contemporary Art, Genoa, Italy. Sketch by Studio Tomas Saraceno, 2011. Floating cities, being both air and water-based, focus on sustainability and indicate the vision indicator of the period, for example, Studio Linfors (Clouds Architecture Office), (Cloud Skippers, 2009; Saleh Y. et al., 2022).

Sustainable smart cities and communities have accelerated the development of smart technologies in cities by implementing the European Innovation Partnership after 2010. In this context, they focused their research topics on the themes of energy, transportation, and recycling (Riffat, Powell and Aydin, 2017). In 2013, €365 million of EU funds were allocated for the demonstration of smart urban technology solutions.

Ecological city, Eco-city, smart city plans have been formed with the concept of smart/digital cities. These plans, which include many proposals for plans related to technology, networking, and integration of urban systems, are clearly visible. Sample recommendations include 'Smart Alarms' using sensors to understand human daily routines, superfast broadband installation, and Wi-Fi areas of the whole city. However, it is understood that there are some indicators regarding the role of technology in future smart cities, ecological city plans prepared by cities, companies, and universities. We see that future city innovations are imagined holistically with environmental changes and new systems (Gary, 2014).

Case of idea/author		Time	Reasons	Future time	Indicators	Concept
Sforzinda Palma Nova	Pre-Industrial Time	1450-1650 1615 later	<ul style="list-style-type: none"> <li>For agriculture and trade in agricultural products</li> </ul>	1965	<ul style="list-style-type: none"> <li>Leadership</li> <li>Identity</li> <li>Security</li> </ul>	<ul style="list-style-type: none"> <li>Wars</li> <li>Palace and settlement separation</li> </ul>
Garden City/Howard E. Industrial City/Garnier T. Linear City/Mata Y.S Ideal City/Le Corbusier	Industrial Time	1898 1924	<ul style="list-style-type: none"> <li>Lack of Green Space</li> <li>Chaotic planning</li> </ul>	1902	<ul style="list-style-type: none"> <li>Percentage of usable green space</li> <li>Marriage of city and country</li> </ul>	<ul style="list-style-type: none"> <li>Water garden</li> <li>Splash parks</li> <li>Recreational space</li> </ul>
Divided City- Motopia City/ Jellicoe G.	Industrial Time – Consumption Society Period	1961 1962	<ul style="list-style-type: none"> <li>Increasing number of transportation levels</li> </ul>	1913 1930 2009	<ul style="list-style-type: none"> <li>Public transport facilities</li> <li>Increasing populations</li> </ul>	<ul style="list-style-type: none"> <li>zoning of the multitude of urban transportation</li> <li>Inter-connected city</li> <li>Low carbon-energy grid</li> </ul>
Moving city/Buchanan C.		1963	<ul style="list-style-type: none"> <li>Rise of traffic</li> </ul>	2013	<ul style="list-style-type: none"> <li>Urbanizations</li> <li>Rising populations</li> <li>Rising constructions</li> </ul>	<ul style="list-style-type: none"> <li>Separated traffic-traffic calming and speed ramps</li> <li>Closed to public space</li> </ul>
Cluster city/Cook P. Plug In City/ Freidman Y.		1964	<ul style="list-style-type: none"> <li>Overhead view</li> </ul>	2009	<ul style="list-style-type: none"> <li>Grinder module</li> <li>Precise ordered</li> <li>Prefabrication</li> </ul>	<ul style="list-style-type: none"> <li>Megastructure</li> <li>Price detail</li> <li>Easy changing space</li> </ul>
Mechanical city- Tetrahedral City/Fuller B. Linear City/ McMillan Griffi, Mileto	Industrial Time – Digital Society	1965	<ul style="list-style-type: none"> <li>With the mechanical rethinking</li> <li>Complexity of human relation</li> </ul>	1965	<ul style="list-style-type: none"> <li>Mechanization</li> <li>Mass production</li> <li>Adaptation</li> <li>Technology</li> </ul>	<ul style="list-style-type: none"> <li>Aircraft carrier city is placed in situ to a pastoral landscape</li> <li>Without aesthetic</li> </ul>
Aircraft Carrier City/Hoolein H. Diy city/Jungmann J.,Rucker H.,		1967	<ul style="list-style-type: none"> <li>Floating</li> <li>Inflatable structures</li> </ul>	1977 2007	<ul style="list-style-type: none"> <li>Differences of materials</li> <li>Practical and deferent</li> </ul>	<ul style="list-style-type: none"> <li>Linear city</li> <li>Floating city</li> <li>Self-made space</li> </ul>
Lettrism- Plucking and Repetition City /Debord G.,		1969 1992	<ul style="list-style-type: none"> <li>Everyday life</li> <li>Routines</li> </ul>	2002 2013	<ul style="list-style-type: none"> <li>Routine</li> <li>Monotone</li> <li>Repeatable</li> </ul>	<ul style="list-style-type: none"> <li>Geographical relief of urban centuries</li> <li>Spatial logistics of the supermarket and factory can be repeated unlimitedly</li> </ul>
Space city and cloud city/ Saraceno T.,		2009	<ul style="list-style-type: none"> <li>Ecological cries</li> <li>Post-coastal disaster</li> </ul>	2011	<ul style="list-style-type: none"> <li>Sustainable</li> <li>Reduced Resources</li> <li>Over populations</li> </ul>	<ul style="list-style-type: none"> <li>Utopia of new space and life</li> <li>Another layer</li> </ul>
Ecologic city, Eco-city, smart city/ European Partnership		2010 2019	<ul style="list-style-type: none"> <li>Energy</li> <li>Transportations</li> <li>Overcrowded</li> </ul>	2014	<ul style="list-style-type: none"> <li>Innovations</li> <li>High Technology</li> <li>Comfort</li> </ul>	<ul style="list-style-type: none"> <li>Using natural resources efficiently</li> <li>Waste city</li> </ul>
Healthy and comfortable City/ Inclusive city	Meta – verse – Time	2020- later	<ul style="list-style-type: none"> <li>Pandemic</li> <li>Metropolitan</li> <li>Climate change</li> </ul>	2020 2021 2030	<ul style="list-style-type: none"> <li>Loss of life</li> <li>Infectious, disease</li> <li>Water scarcity</li> <li>Ecological crisis</li> <li>Scarcity</li> <li>Famine</li> <li>Diversity &amp; inclusion</li> </ul>	<ul style="list-style-type: none"> <li>Reducing the urban density</li> <li>Sustainable, ecological efficiency</li> <li>Re-emerging public space</li> </ul>

Figure 1. Table of periodic concepts and indicators in the formation of cities of the future.

### **Meta-verse Time**

The effects of the information age have brought about rapid and fundamental changes in lifestyles, consumption habits, production methods, and interaction between individuals, societies, and countries, especially in communication methods. With the advent of the Internet and the development of social networks, individuals have started to realize new forms of communication such as acquaintance, political expression, and discussion on virtual spaces collectively rather than public spaces of the city. The production of cyberspace began not with the advent of computers, but with the reduction of the time of communication over long distances to a period that can be called insignificant. As the time required to overcome the geographical area decreases, this area also loses its context and is replaced by an area that is clearly not geographical (Tannöver and Kırılı, 2015). Although the trivialization of geographical boundaries seems to provide endless freedom of communication at first, in fact, this is not the case. Andreu (1999) says that when a boundary is removed, one of the other boundaries in this layer will be replaced. Discussing this issue through border situations at airports, Andreu (1999) emphasizes that while geographical borders have lost their importance along with flights, political borders have been crossed in different forms at airports, but checkpoints and electronic crossings have revealed new political boundaries (Tekkaya and Turkmen, 2018). The pandemic, that started in China in 2020 and has gradually spread all over the world, as well as the climate change crisis and the famine, has become the most basic criteria to be paid attention to in planning the cities of the future. Moreover, with the widespread acceptance that human rights are prominent in the design of public spaces and that no one should be excluded because of their differences, more inclusive, safe and violence free cities have had remarkable impact on planning the future cities (Skylstad, 2018; Punpeng, 2020). In parallel with the specified criteria, with the transformation of the digital universe into a meta-verse phase in its entirety, city planners should emphasize that it is important to understand the indicators for questioning the "cities of the future." It is believed that this study will help to understand the whole.

### **Evaluation**

Theories about the cities of the future have been produced for each period, but within the scope of this article, how the indicators of the period created the theoretical ideas about the formation of future cities, prominent concepts including the period in which we are, and indicators related to these concepts were tried to be reviewed holistically.

It is seen that the existence of a land-based production system before the industrial period was reflected in the city plan and fiction. It is understood that there is a palace-centered planning attitude with an effort to establish a settlement order around the land. According to the indicators of the period of centralism, identity separation, and security concerns, it is seen that city projection planned for the future is preferred where there is a palace in the center surrounded by fortification walls and where the distinction is made according to the social and economic levels of the people.

In the industrial period, an effort is being made to produce solutions in city planning aimed at establishing the relationship between machinery and settlement. Mechanization has also created urbanization and increased population density. This situation has created indicators that indicate a complex setting and a lack of green space. It is understood that there are more green areas for solving these deficiencies, and planning of the cities of the future is carried out accompanied by re-creation regulations.

In the later years of the industrial period, with the acceleration of industrial production and the spread of the understanding of fabrication, the status of consumption society in a social structure was reached. The fact that it is now possible to move in masses has caused an increase in traffic and human density. Within the scope of these concepts, we understand that multi-layered urban plans have been created as a solution to the density (vehicle-human) problem that occurs when the cities of the future are planned. When a separate solution is produced for each transportation axis, we see that vertical growth is realized towards the ground and air in city plans. In this context, we understand that cities no longer have only one plan, but on the contrary, there are different city transportation plans for each layer.

The unstoppable rapid intensity and accumulation experienced in every direction during the industrial period have accelerated analytical thinking along with it. Now the era of digitalization has begun for mass consumption and practice, where machines are in mass production, rather than manpower. Now we know that problems are solved digitally and thinking machines-robots are designed for humans. This period of rapid digitalization has created the idea that human beings may one day run out of resources. We understand that the planned future in accordance with these considerations is built with an approach that aims to conserve the resources of urban plans and pass them on to future generations. Under these approaches, we see that utopian thoughts can also be realized in the planning of future cities. Today, with the digitally defined meta-verse period of the digital era, we read that the planning of the cities of the future is made for the solution of global problems such as energy, water, climate change, disaster, diseases, etc.

Even if the new thoughts and plans of the city planning of the future are utopian, today's utopias do not mean that they will not happen one day in the future. Let's not forget that the cities of this day were utopias in the past, and these dreams contribute to the science of urban planning by stimulating the progress of humanity, social and cultural development, creative thinking.

### Discussion and Conclusion

The issue of "cities of the future" should be considered and evaluated with a multidisciplinary approach. Cities should be planned according to population growth not in a short-term understanding, but with solutions that can respond to problems on a global scale. It should be focused on the development of a human-oriented city plan within the framework of a technologically comprehensive,

environmental, social, and economic sustainability that can be integrated into the vision of the future without anticipating economic efficiency.

Developed countries anticipating that the young population will live in the city revise their urban plans for energy, water, food, housing, and other services while keeping the problems of the Earth in their agenda in addition to these needs. Problems of the Earth such as the fight against climate change, changes in population and demographics, energy, resource shortages, pressure on health care and basic resources, etc. lead us to the topic of sustainable, efficient, attractive, and durable cities of the future by transforming the cities of the future into innovative technologies-based unified cities.

The issue of the cities of the future continues to be discussed in dynamic integrity in line with new requirements in the changing environment as long as mankind exists today and tomorrow as it has been yesterday. We understand that the concepts that each period raises in accordance with its own conjuncture constitute the indicators of the city planning of the future. Our recommendations, which are foreseen in accordance with our periodic readings and indicators that we have determined, are as follows:

- When the cities of the future are evaluated within the framework of the sustainability concept, the metropolitan cities of the future become unsustainable (the demand for small-scale cities will increase).
- When the cities of the future are evaluated within the framework of the concept of efficiency, they should be considered in the meta-verse universe where renewable resources are used efficiently (there will be competition between cities that are compatible with advanced technological developments)
- When the cities of the future are evaluated within the framework of the concept of attractiveness, they should be some medium-sized cities where comfort conditions are provided (the demand for cities where individual comfort is provided will increase)
- When the cities of the future are evaluated within the framework of the concept of resilience, there should be city planning that is resistant to pandemics and destructive disasters (self-sufficient cities will increase in number).
- When the cities of the future are evaluated within the concept of inclusivity, no one will be stigmatized in contrary can participate to daily life (quality of life and social sustainability will increase).

The city of the 21st century will bring nature-man and technology into a new unity. In this union, humanity will cease to consume wildly and will continue to exist, realizing that it must care about nature for its own existence. Technology will continue to create virtual worlds and spaces, trying to satisfy the human desire for pleasure and consumption. Due to the problems experienced during the pandemic, small and medium-sized cities will be in demand instead of large and crowded megacities and metropolises. In these directions, the cities of the future will not only guarantee control of innovative technologies and sustainability components but also new strategies will be created to achieve short and long-term management, organization, and development goals.

To conclude, what will motivate the future cities? This is not an easy task, but, we can guess some characteristics as we understood by conducting diachronic comparative study on literature review of cities since the 15th century. We called them as indicators and can specify them for future cities as: loss of life, infectious, disease, water scarcity, ecological crisis, famine, diversity and inclusion. Unfortunately, future cities motivations consist of mostly negative indicators. This is deeply related to the Covid-19 pandemic, climate change and the rise of authoritarian regimes. Our prediction for future city concentrates on challenges about inequalities, scarcity and crisis in terms of social, ecological and economical. Public space will probably a rising feature of future cities. Moreover, future cities will be more inclusive in order to avoid all stigmatized actions against women, youth, refugees, LGBT and people with disabilities. The future cities will be democratically governed and tries to protect all natural resources with reduced urban population than now.

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# Urban Identity Represented by Concept Stores

## *Converted from Machiya in Central Kyoto*

Supitsara Intaraksa<sup>+</sup> & Nawit Ongsawangchai<sup>++</sup> (Thailand)

### Abstract

The city grid plan of Kyoto gave birth to rectangle street blocks and long narrow land plots for the layout of *machiya*, a traditional townhouse. From the last two decades, many old buildings in Kyoto including *machiya* were restored for contemporary use as concept store which widely known for its distinctive design that can represent Kyoto's urban features. This research aims to clarify the relationship between modern concept stores and the traditional urban fabric of Kyoto by selecting nine concept stores as case studies to collect data on-site for doing content analysis from their spatial planning to physical design; from brand concept to urban context and from selling items to façade design. The study found that the relationship between concept stores and urban fabrics was created through visual connection from interior items for sale, to exterior design of building facade that blends with the context of the neighborhood.

**Keywords:** *Urban Identity, Kyoto, Machiya, Concept Store, Retail, Architecture, Japan*

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## Introduction

The period from the 1990s to the first decade of the 21st century, called “regeneration urbanism” (Daisuke Abe, 2012), is the period where urban spaces, especially the old core areas, were regenerated by a new group of people who moved in and adapted old dwellings for contemporary use that fit their urban lifestyles. The trend of urban regeneration has continued to the present day and is regarded as an alternative way of preserving and developing an old district in an urban area for modern use. The image of the district is enlivened by new usage of space inserting into the architectural fabric, recreating a contemporary identity upon the existing urban structures and elements. The urban elements typically involve road structures and both public and private community facilities and recreational space where its residents can indulge themselves fully determining the usage of such spaces in urban and architectural spheres as well as the process of regeneration. Some of these transformations are modern concept stores housed into the framework of the original building. “Concept store” is a retail business providing a variety of merchandise carefully selected in accordance with an overarching concept to offer unique value in the market. Concept store is initially appeared in Europe, where the stores offer specific sustainable products or handcrafted items of high quality with attractive background story (Rexhepi, 2014.). Careful selection of products makes the concept store different from general retail shop which generally sell goods of daily or ordinary use for the mass market. In concept store, selection of categories of items may vary according to the concept of the shop owner such as clothing, furniture, cosmetic, books, and food. At the same time, concept stores also specialised in cross-selling different products and services related to design, fashion, music, and arts in one integrated space (Popescu and Popa 2012). In this approach, for concept store, buying becomes more “leisure and pleasure” than “shopping for a purpose.” To create a consistent and harmonious experience, the store layout, products, services, and spatial environment have to be integrate combined according to the overarching theme of the store through product display and the store's architecture and design. By this aspect, strategically creative design with consistent brand personality and visual merchandising to create successful and engaging retail spaces is very important. (Chandan and Lottersberger, 2013). Westernization had a strong influence on Asia countries, particularly Japan, while following the West in city development has an impact on the urban regeneration practice, including the phenomenon discussed above.

Kyoto is one of Japanese cities influenced by this phenomenon of urban regeneration from Europe, which is obviously visible in the core area of tourist district. As an old capital of Japan, Kyoto, a melting pot of Japanese culture is one of the most popular tourist cities in Japan by beautiful city grid plan, ancient shrines, grand temples and refined townhouses from its long history of more than 1,300 year. It is also one of the most ancient yet liveable cities in the world due to its consecutive inheritance. However, the city is undoubtedly modern at the same time, because many old buildings, especially *machiya* (townhouse) were renovated for new usage. This is the result of being influenced by the above-mentioned phenomenon. The benefit of building conversion for contemporary usage is not only that old buildings were preserved, but the physical features and livelihood of the quarters

where building located were also regenerated. Consequently, the recreation of these obsolete buildings is considered not only an architectural issue but also as a social challenge (Bie Plevoets and Koenraad Van Cleempoel, 2009). Kyoto is one of appropriate places to verify this assumption due to popularity in conversion of its old buildings into modern commercial spaces. One of these distinctively adaptive reuses is the transformation of old *machiya* located along the street of Kyoto grid plan into concept store which are apparently well integrated into the urban fabric of Kyoto.

Based on the above background and observation, this study aims to investigate the factors that generate a connection between contemporary concept stores and the original urban structure and identity of Kyoto. In addition, the study also aims to clarify the mechanism of these factors that contribute to modern images of concept stores, while linking the urban identity of old Kyoto, and to describe how contemporary spatial attribute and new lifestyle experience in building level can represent itself in the traditional atmosphere of urban level. The study selected 9 concept stores located in the tourist core area of Kyoto as case studies. Site survey by doing measure work and close inspection of their designs in both spatial and physical attributes from interior to exterior, from selling items to store façade were done. Simultaneously, information about brand concept and store design approach were collected from related articles and interview with shop staff.

### Kyoto's Urban Development: An Overview

#### The Transition From Commercial Districts To A Core Tourist Area

The grid city plan of Kyoto represents the standard defining form of *Kyo-machiya*, a traditional townhouse for merchants and craftsmen, used as space for stores and residences. *Machiya* first emerged during the age of Heian and had developed through the Edo and Meiji period. During the Edo period, *Kyo-machiya*, was ubiquitous and considered a commercial and service sector, which later became the main economic sector. Attempts to make the most out of the limited spaces were made: shops were integrated with living quarters in the *Kyo-machiya*'s narrow rectangular strip land plot. A typical *machiya* plot is only 5.4 m. to 6 m. wide but 20 m. long, extending to the depths of the block with one or several courtyard gardens, known as *tsuboniwa*. *Kyo-machiya* are one and a half or two stories high, built with earthen walls and baked bricks. The front of the building was usually used as a store space, called *misenoma*, with sliding or folding shutters that open to display products. Space behind the shop was divided into the living room, composed of divided rooms with raised timber floors, covered by *tatami* mats. *Kyo-machiya*, also featured a *toriniwa*, unfloored earthen service space, and served as the passage to the rear of the plot, where a storehouse called a *kura* could be found. The front of the *machiya* is replenished with wooden lattices called *goshi*. The second storey's facade is normally made of earthwork, with a unique opening called *mushiko-mado*. Due to its unique design, *Kyo-machiya*, is recognized as a significant cultural heritage of Japan. Moreover, Kyoto's landscape plan considers it as an iconic structural element and a future image of Kyoto, making it an indispensable part of urban Kyoto's grid plan.

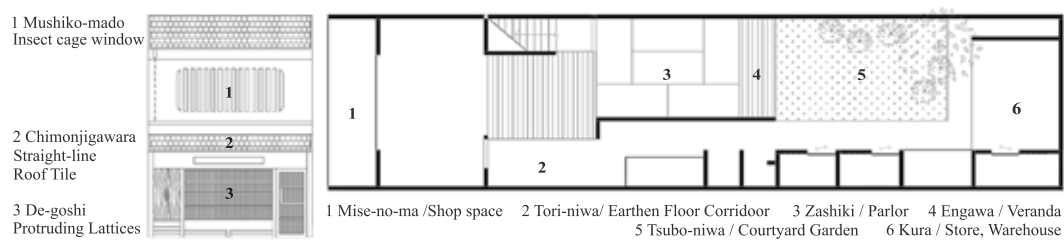


Figure 1. Elevation and Layout plan of Kyo-machiya.

Two decades ago, *Kyo-machiya* would not have much value at all; considering the practical and financial difficulties of fundraising, repairing *Kyo-machiya* was painstaking work. However, at present, *Kyo-machiya* are highly appreciated. The price of the areas in the vicinity of *Kyo-machiya* has increased for not only the properties that are located by a main road but also those nestled on narrow, isolated road. A number of *machiya* were renovated to be concept stores to reflect their value in a contemporary way and at the same time help shop owners draw attention to their design items. With integration of new usage into the old *machiya*, this allows people to live and work in the same neighborhood, contributing to a heart-warming sense of community that brings a *Kyo-machiya* to life again.

#### Contemporary Use Under Kyoto Urban Policy

The iconic landscape district was established during the year 1930 to preserve its main roads and buildings. In fact, the nation's first decrees on the urban landscape were implemented in order to maintain the special territories, such as Gion, in 1972. A year after that, new height zone restrictions were passed and the height of construction is limited to 45 metres or lower. In 1996, the landscape district was expanded, and not long after that, in 2003, the Government of Japan implemented the Regional Preservation Law which is used as a guideline to achieve a scenic country.

#### *The Current Landscape Policy of Kyoto was enacted in 2007 and Has Five Categories*

The first category lowers the height limits that were adopted in the 1973 urban planning policy, since the height of buildings is considered an important factor that shapes city landscape and environment. Maximum heights have been reduced – the commercial-residential zone is curtailed from 93 feet to 45 feet. The second category underscores building design and prohibition of the materials and styles used when constructing new buildings so as not to pose any harm to the scenic view of the city. For example, the policy requires that people use oxidized silver or copperplates roof tiles that are either plain or blue-green. The material of the outside wall must be matte, excluding glass and natural materials. The third category does not allow any constructions that would pose an impact on the surrounding scenery and views of the main landmarks resulting in the local government applied a strategy – the segmentation of Kyoto city into eight parts. The fourth category restricts outside advertisement. There are restrictions on where leaflets can be left outdoors, as well as their size and colors. Roadside signboards that protrude over roads near main roads are prohibited, as are all outdoor advertisements that use flashing lights and outdoor advertisements on roofs all over

the city. The fifth category emphasizes threats to the *machiya* by presenting financial difficulties regarding cost of renovation and maintenance. Despite the continued gradual disappearance of *machiya*, the government's decision to establish the *machiya* restoration fund demonstrates the government's belief that *machiya* are in fact an asset worth keeping for future generations to appreciate.

### Toward Contemporary Use Through Restoration of Historical Buildings

In terms of methods for differentiation, many shop owners seek old buildings to set up their stores. In order to avoid the potential degradation of the building itself and the cityscape it belongs to, people realized that they could enliven those isolated buildings that have lost their initial functions. Adaptive reuse for commercial purposes of those buildings is a solution and it became a proper discipline within the broader field of architectural conservation (Plevoets and Van Cleempoel, 2009). Considering an urban level, the fact that old buildings are now used for retail purposes probably leads to the optimized use of historic centres and may ultimately result in urban regeneration (Plevoets, 2009). Furthermore, Kirby and Kent (2010) also address how reuse of the city's architectural heritage can act as part of the city's image and branding. The transformation of architectural restoration of historical buildings, regardless of preservation, also plays an important role in urban development by enhancing a town's quality and creating a feeling of place both spatially and historically (De Arce, 2014). These enabled people for generation after generation to experience a sense of continuity in their physical surroundings. Restoration of historical buildings is so one of the utilitarian tools for the process of urban regeneration, which can bring new lively ambiance to the building and adjacent neighborhood, especially restoration of urban dwelling located in the old core area of the city for modern commercial use or service business. One type of outcomes of this conversion is the concept store, a new retail form that carefully selects and integrates selling items under a consistent brand identity or image according to "concept" of the store, a medium to convey its vibrant uniqueness to the world. Hence, entrepreneurs can create their own uniquely modern version of retail in the space housed in historical building.

Kyoto is well known for valuable traditional buildings and fine restoration of them for modern commercial use due to the status of the city as the premier centre of Japanese culture and tourism. Downtown Kyoto is full of retail stores selling both local and international products from antique items to modern objects. Some of these stores are converted from roadside *machiya* built from the Edo period, while some are detached buildings in the temple compound. The design of these stores represents the importance of consistency among contemporary shop design, urban fabric and cultural environment of the area where they are located. They try to utilise the existing unique characteristic of the architectural element and urban fabric of Kyoto as a medium in their stores design to enliven the atmosphere of their neighborhood which then will persuade clients to come to the area

and make a visit to their stores. The city grid plan and the elongated land plot give birth to the unique townscape of Kyoto, while new use in these historical buildings especially *machiya* keeps the old street lively.

Restoration or renovation of Japanese wooden structure may be different from the West which mostly built by stone or brick. However, in Japan there is no commonly agreed method of restoring or renovating *machiya*. Unless of 40,000 *machiya* has been designated a "cultural heritage" is carried out in such a way as preservation method of their historical value. This means that the vast majority of *machiya*, including many concept stores in Kyoto, which are not regarded as cultural heritage, can be freely restored under the supervision of store owners and designers to show the connection between their goods and context of the city.

### Methodology and Scope of the Study

This study mainly based on the field survey of representative concept stores which nine case studies were selected for doing measure works and observing their spatial and physical arrangement from the brand items to the exterior façade of the buildings concerning attributes that create connection between interior space and urban fabric. Kyoto has *machiya* more than 40,000 units, thus this study is representative rather than illustrative approach. The nine case studies for conducting an in-depth study of concept stores were carefully selected by four criteria. Firstly, the store must be founded by local entrepreneurs with a unique concept for representing their modern blending with historical attributes of Kyoto. Secondly, the year of building renovation for new usage must be from the year 2000 onward - when the trend of adaptive reuse in heritage buildings is at a full stream. Thirdly, the distinctive location of the case studies must be varied - from along the main road, down to the alley and in the middle of the compound. Fourthly, the case studies must be located outside the preservation districts of Gion in central Kyoto and not regarded as Cultural heritage under the Law for the Protection of "Cultural Properties," so that the selected buildings are the stores freely renovated by architects or craftsmen following their own preferences and brand concepts.

Consequently, from the above - mentioned criteria, although *machiya* is the most common type of buildings converted into concept stores, however not only road-side *machiya*, but also detached building in the temple compound were selected as case studies. Their building types may be different, but they share the similarity of being traditional wooden structure of long narrow layout.

Relevant information of brand identity and design concept of the selected case studies were also gathered from design-related articles and websites, and interviews with store staff. The collected data will be arranged and categorized into maps, drawings and diagrams for classification and comparison to facilitate content analysis further.

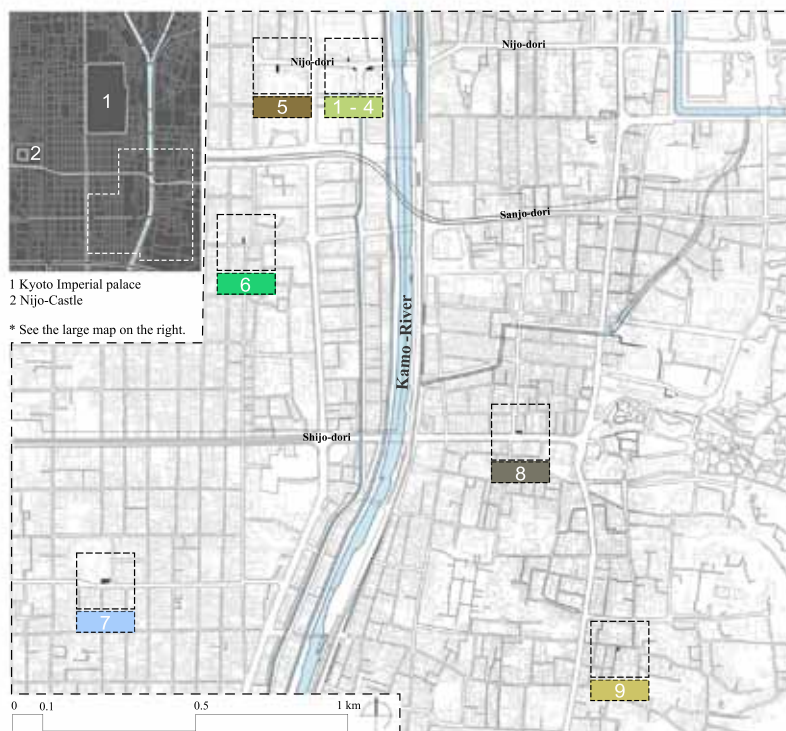


Figure 2. Location of nine stores. Source: Author, 2020.

### Design Product, Spatial Arrangement & Physical Characteristic of the Nine Stores

Each case study of a concept store has its own unique characteristics that reflect the essence and identity of that store. These characteristics can be described as follows:

#### Brand Identity and Image

Each selected case study is based on a flagship store of a specific brand. All brands are widely known in Kyoto in terms of art and design items. Their stores and brands are usually publicized in the magazines and other media, making the stores must visit places in Kyoto. All nine stores are nestled around central Kyoto, just along the Kamo River. Although both sides of the river are well connected to central tourist places, the image of each side is different. West of the river is a modern commercial and financial district mixed with international and local products and services for contemporary life while east of the river is a cultural and heritage district. Seven of the stores are located on the west side: five stores – &SHOP, HIN, CORNER, ARTS & SCIENCE, and yamahon – are located on the main street of Nijo Dori, near Teramachi Dori, a street full of art galleries and craft stores, and two – Yuni and D&DEPARTMENT – are located between the two main streets, Shijo Dori and Karasuma Dori. Yojiya and Otsuka Gofukuten, are located on the east side of the river in a famous tourist area of Gion.

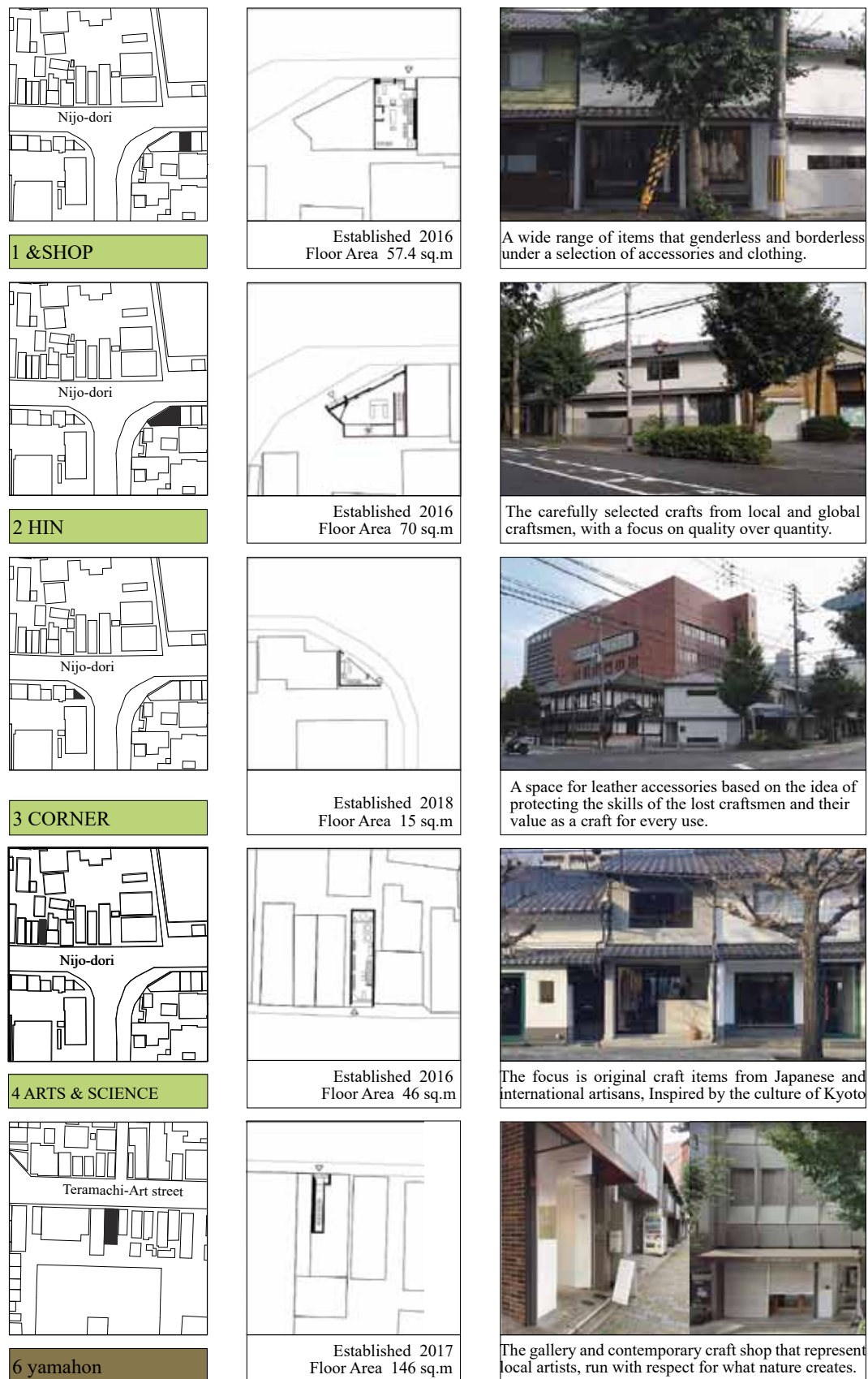


Figure 3. Facts of nine concept stores. Source: Author Observations, 2020.

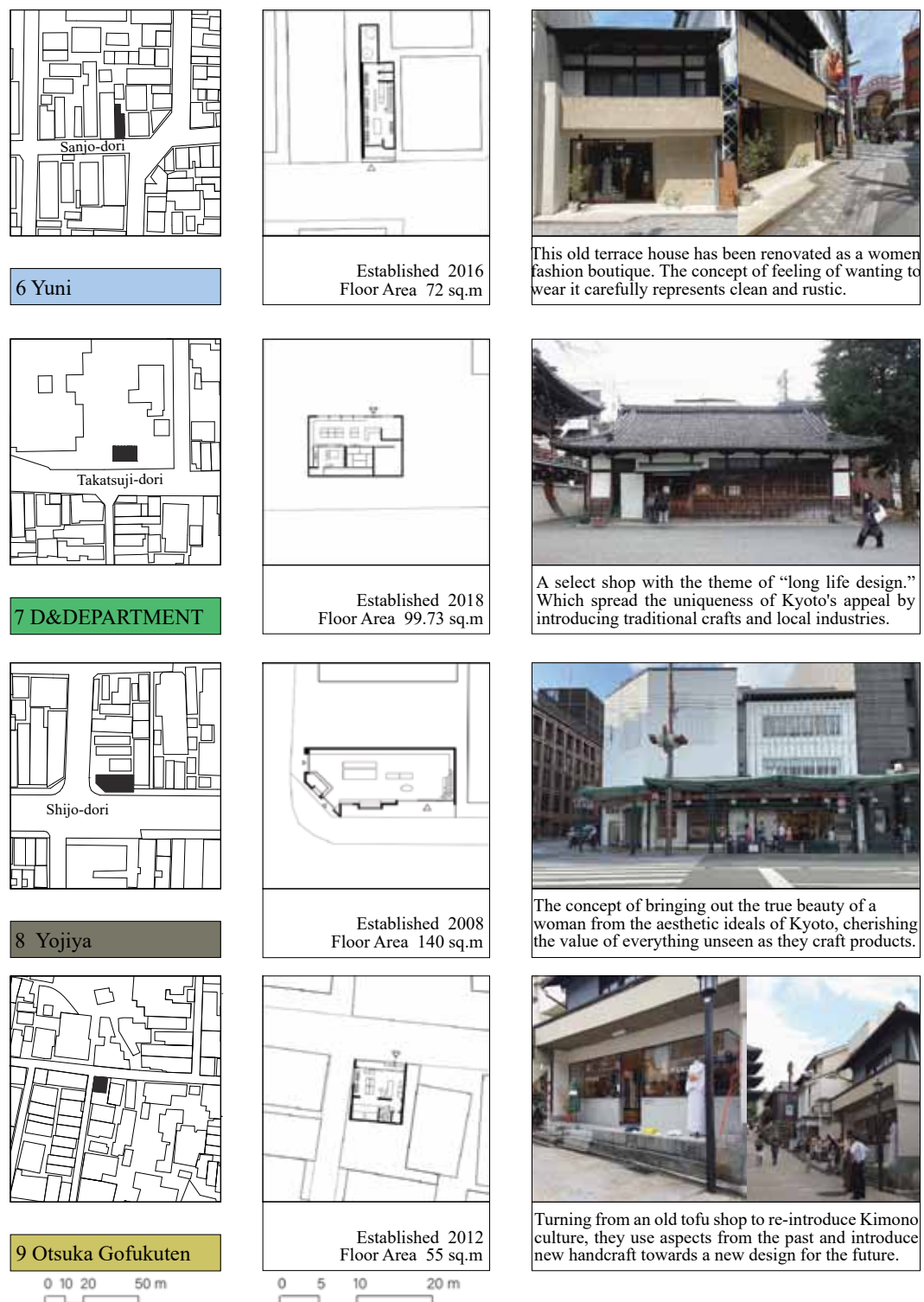


Figure 3 cont. Facts of nine concept stores. Source: Author Observations, 2020.

All nine stores are operated by local entrepreneurs and most of their items are products crafted by young artists for daily use. The products in &SHOP, CORNER, and ARTS & SCIENCE are selected by the owners and sold under their brands along with other products, such as clothes and accessories. D&DEPARTMENT uses the same method of distribution for a wide variety of their products, including ap-

parel, home furnishings, books, foods, and beverages, while HIN and yamahon sell only handicrafts and homewares. Yuni and Yojiya are cosmetics stores, and Otsuka Gofukuten sells kimonos. These last three stores curate only products made under their own brands. Despite a variety of products, all stores share the same tendency to devise some local or historical attributes in their products in order to represent the connection between the high quality of their modern products and the old city of Kyoto.

In terms of the brand image, it was found that the location of each store is carefully selected. Yojiya, the oldest among the nine stores, has a strong brand image that reflects the traditions of skillful artisans in its products. Establishment of the shop in Gion, which has the distinctive image of being an old high cultural district in Kyoto, reinforces the positioning of Yojiya's brand and products. Located in the same neighborhood of Gion, a great shopping district for local souvenirs, Otsuka Gofukuten sells traditional products as well. The store specializes in kimonos; a traditional Japanese formal garment worn for important ceremonies and occasions. For this reason, the store attempts to bring kimono closer to people's everyday life with effortlessly modern and simple design.

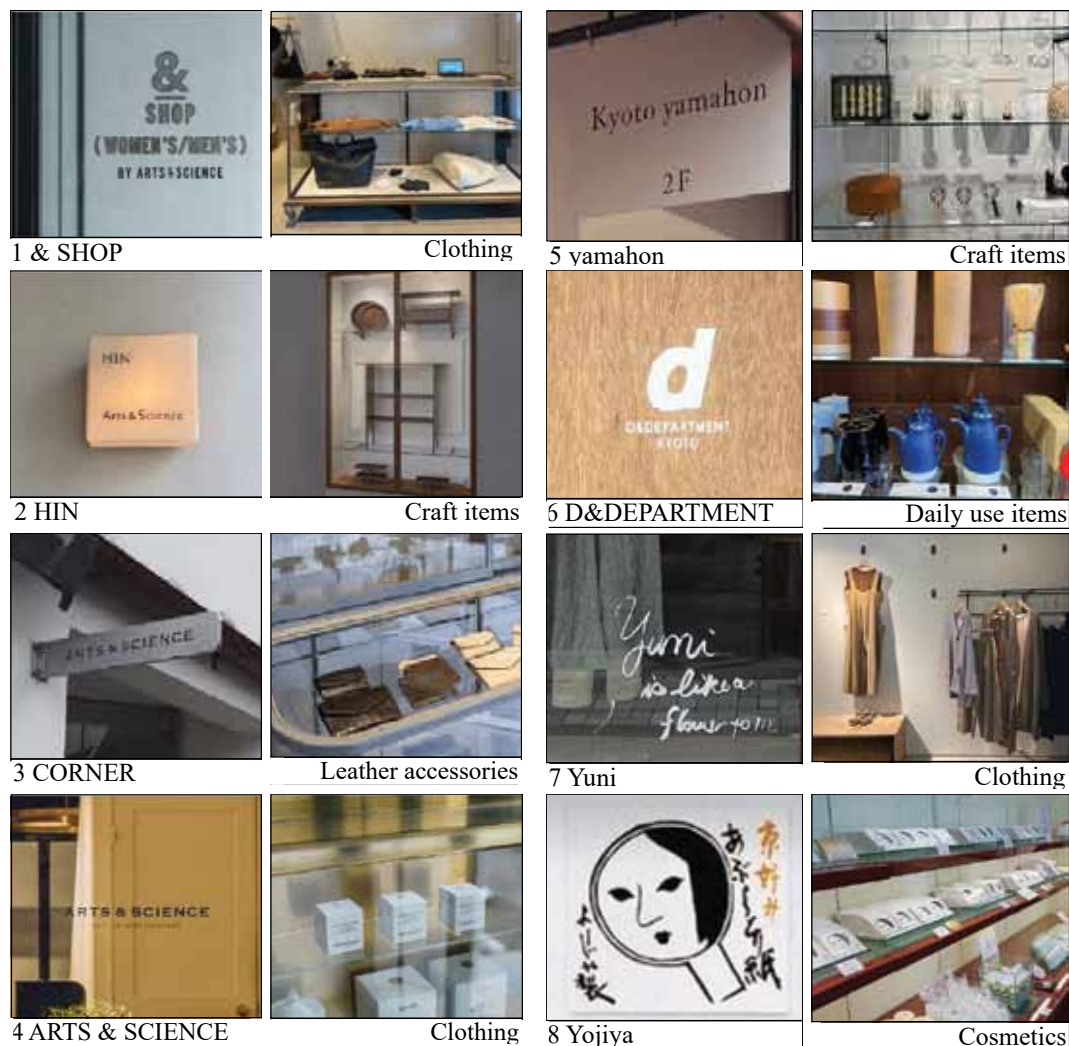


Figure 4. Store logos and product placements. Source: Author Observations, 2020.



9 Otsuka Gofukuten

Kimonos

Figure 4 cont.. Store logos and product placements. Source: author's observations, 2020.

The other five selected stores – & SHOP, HIN, CORNER, ARTS & SCIENCE, D&DEPARTMENT, and yamahon – are characterized by products selected by their owners. These stores are branches of stores from other prefectures of Japan. Yuni and Otsuka Gofukuten do not really have the air of Kyoto identity but still reflect the design architecture under the prime location of the city. The brand image uses the advantages of the location to enhance its appearance while maintaining brand image and identity. Within a city that has such a strong identity and culture as Kyoto, the point that makes brand image work is features of the city and location. These stores connect artisans, artists, and customers, using the architecture to represent them. Therefore, the stores combine the local and international aspects because Kyoto's handicraft products help attract more tourists than international brands. At the same time, bringing imported products can captivate both local people and tourists as they may wish to visit a storefront that looks different from its branches in other cities as well.

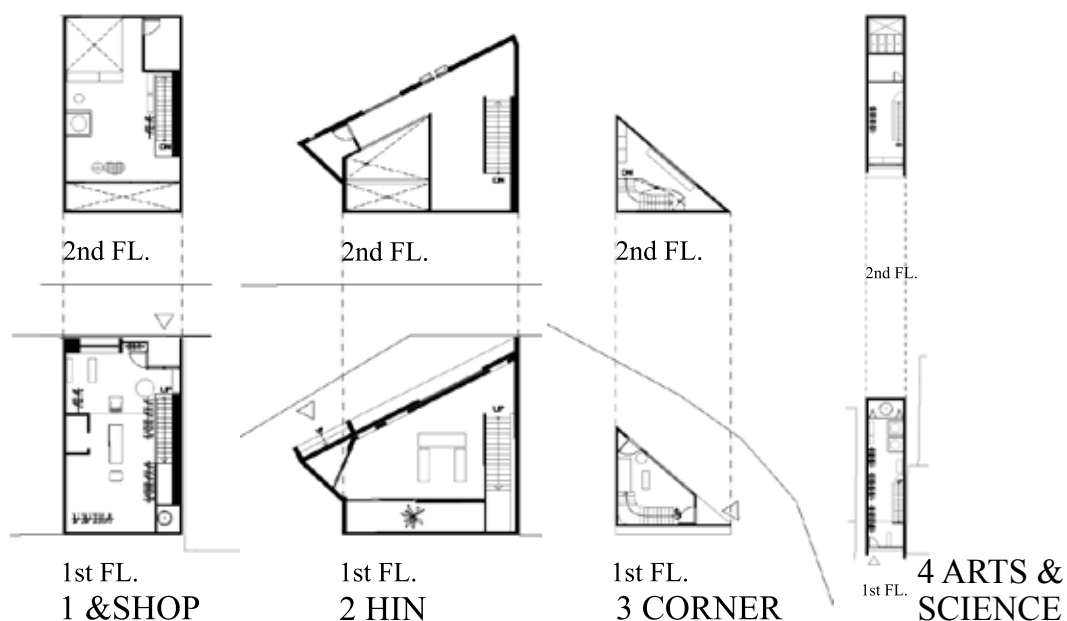


Figure 5. Layout plans of the nine stores. Source: author's observations, 2020.

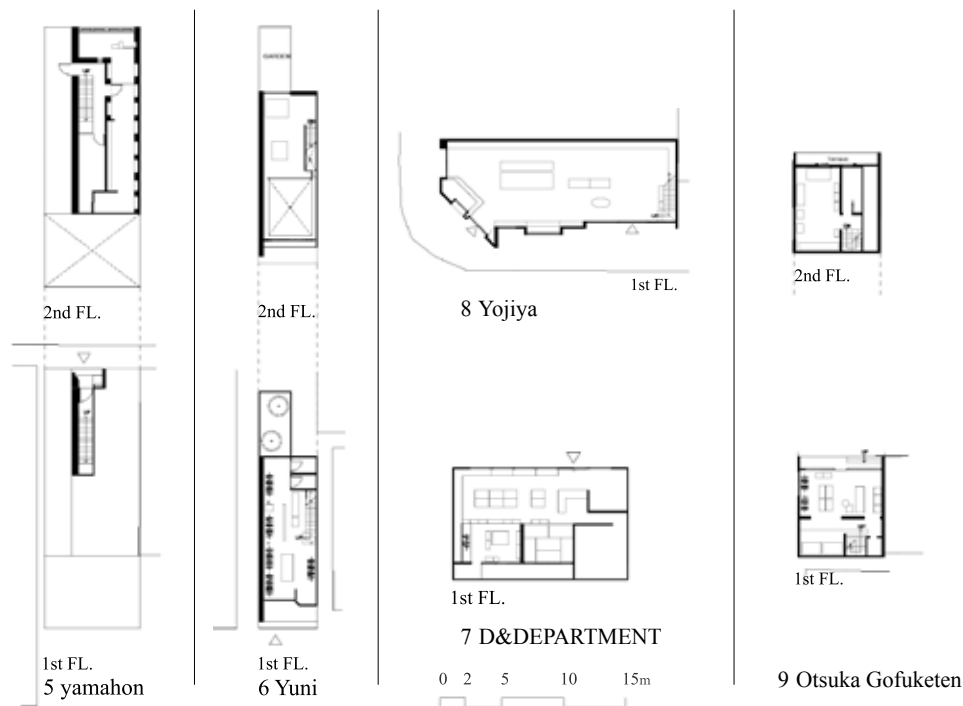


Figure 5 cont... Layout plans of the nine stores. Source: author's observations, 2020.

### Layout and Planning

Although all nine stores are located in the heart of the city, access to the stores is often from alleys; for example, D&DEPARTMENT and Otsuka Gofukuten are not located on the main road, and most visitors use the front entrance. However, there are some stores, namely HIN and CORNER, that are located on a street corner with incomplete square planning. They maintain a point of view of access to curved walls and corners, rounded merchandise displays, and other curved fixtures to manage the customer flow. Four out of the nine stores still use the building's original long and narrow layout as the entrance model. It gives the sense of a modified *tori-niwa*, giving the building a straight layout, probably the most recognizable type of store layout design. Another common style is buildings with horizontal axial layouts, where the buildings are focused on access from the centre. The customer flow in this format is characterized by the loop layout, a route that leads customers from the store entrance to the payment area. This store preserves *tatami* and *shoji*. Although the traditional Japanese garden style is no longer available, stores such as &SHOP, HIN, ARTS & SCIENCE, and Yuni maintain order of access to the *machiya* building with a *tubo-niwa* section in the end of the building plan, which has been changed according to the new format: the floor is changed into concrete and some plants are put as a decoration to add a refreshing vibe to the building. Based on the entrance of the original building, the building plan is not the same. The front of all stores except Yuni and D&DEPARTMENT act as window display areas to display products. Products are arranged and the counter for payment

is often the first thing customers encounter when they enter the shop. However, there is another style where the counter is situated at the end of the layout plan. This style is found in stores that do not show window displays before entering. For example, Yuni, D&DEPARTMENT, and Otsuka Gofukuten, in addition to the aforementioned layout, use a free-flow layout which does not comply with common layouts and designs that are commonly used and affect customer behavior.

Layout and planning plays a very important role in the implementation of urban structure, the strongest identity of Kyoto, and also influences the relationship between both the building layout and the product placement in the store. People can still feel a sense of the city, starting by manipulating the whole approach to style so that it flows with the city plan with an entrance that still gives a sense of *machiya*. Although the product styles or the perception of the area have changed through time, certain elements of customer flow within the space have a story that guides the walk by aligning people's familiarity with the original building's layout. The merchandising area is on the first floor of the store, and new functions such as exhibitions are often set up on the second floor of the building, enabling efficient use of the old building.

### Spatial Quality

Within the interior space of *machiya*, there is a quiet and emotional atmosphere. The spatiality has a deep relationship with the typical Japanese mentality. Although all nine shops are located in the centre of the city, the shops are not so busy; rather, they are quiet and completely cut off from external disturbances. For example, HIN has designed a spacious double space, including a court in the middle to allow outside light to enter the building. At this point, the designers want users to get a sense of contrast between the interior and exterior by limiting the view of the outside and guiding the users to focus on the products and enjoy the different zones. Furthermore, Yamahon uses the natural element symbolically by taking the form of five river rocks stacked on the ground, expressing how our world is evolving and becoming more comfortable. The designer's respect for natural creation is reflected through these stones. Every aspect of a design has a story and contributes to the store's overall atmosphere.



Figure 6. Interior space of &SHOP, HIN, CONER, ARTS & SCIENCE stores.

The interior does not focus much on the customer-flow, concerns itself with how to effectively present the products despite the small space. Luxurious stores with relatively higher prices and more expensive items, like HIN and Yamahon, make use of indirect light, the same lighting used in museums, to enhance the product values. In addition, the shopkeepers are responsible for telling the history and the origin of products, which enhances a product's sales value and allows customers to fully experience the space. Other than that, customers are not guided through or distracted from the aesthetics of the stores, and they can fully enjoy themselves choosing a product.

Spatial experience is used to communicate a Kyoto identity. It is something that people can perceive through all senses, regardless of whether they have experienced the space and regardless of how the buildings look. Every shop uses the same technique to convey the differences between “Old and New.” The designers do not change the original structure much at all, reflecting how precious the old building is. In fact, new materials enhance the appearance of the stores. For example, Otsuka Gofukuten recreated a section of the interior design and then added value with the white tiles taken from the original tofu shop, expressing a characteristic aged effect from the historic edifice interior fabric. The selected layout is reflecting what a traditional building possesses. For example, an indoor garden recalls the features of *tsubo-niwa*, which conveys the changing seasons.

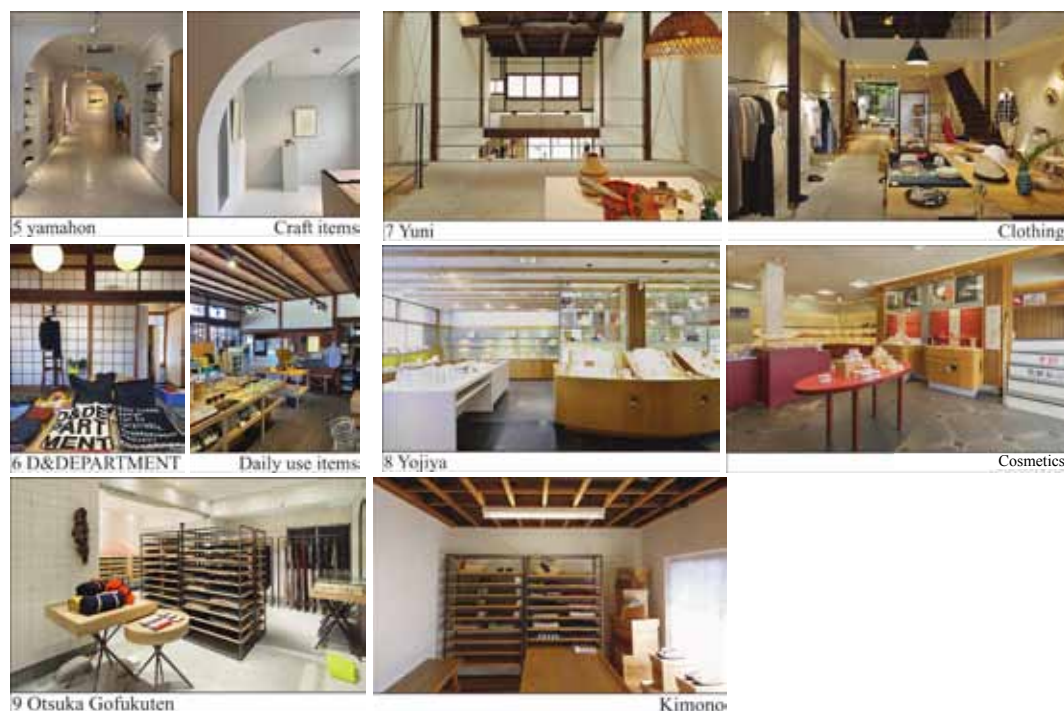


Figure 7. Interior space of Yamahon, Yuni, D&DEPARTMENT, Yojiya, Otsuka Gofukuten stores.

### Facade and Elevation

In all nine stores, the first thing that grabs people's attention is the facade of the building. The front of a *machiya* features wooden lattices called *goshi*, now rarely found in the front section, the styles of which are an indicator of the type of shop the *machiya* held. Only the D&DEPARTMENT preserves the facade of the old

building inside the temple, retaining the original wood and the details of the slats and creating a new functional difference in the form of a room added using glass panes. Otsuka Gofukuten preserves the original materials of the building such as the tiles and the original proportions of the frame openings in the front to represent the history of the building and uses new materials such as steel or concrete to differentiate between the old and the new. However, the rest of the seven stores have transformed the facades into a modern style or glass window. Though the appearance has changed, the proportion of width and length remain the same as the original windows.

The first floor of Yojiya, a large white building towering over the corner of the street in the Gion district, also uses a facade style with a large glass pane opening that allows people to see the activities and products in the store and is blended with corridors and lines of Shotenkai. HIN and CORNER use the building’s facade as to emphasize the openings, eliminating the traditional style but still maintaining the initial proportion of the composition. The opening has a unique form characterized by a slightly tall rectangular shape and a gap that at eye level, allowing people to look inside. In fact, the facades of &SHOP, ARTS & SCIENCE, Yuni, and Otsuka Gofukuten appear to be a large and transparent opening used to showcase products according to their collections or the products that the store wants to feature during different periods of time. At present, the designer tends to use openings of different forms and sizes, but these still function as window displays, serving as a main facade to attract attention, which is different from the traditional purpose, to emphasise utility.

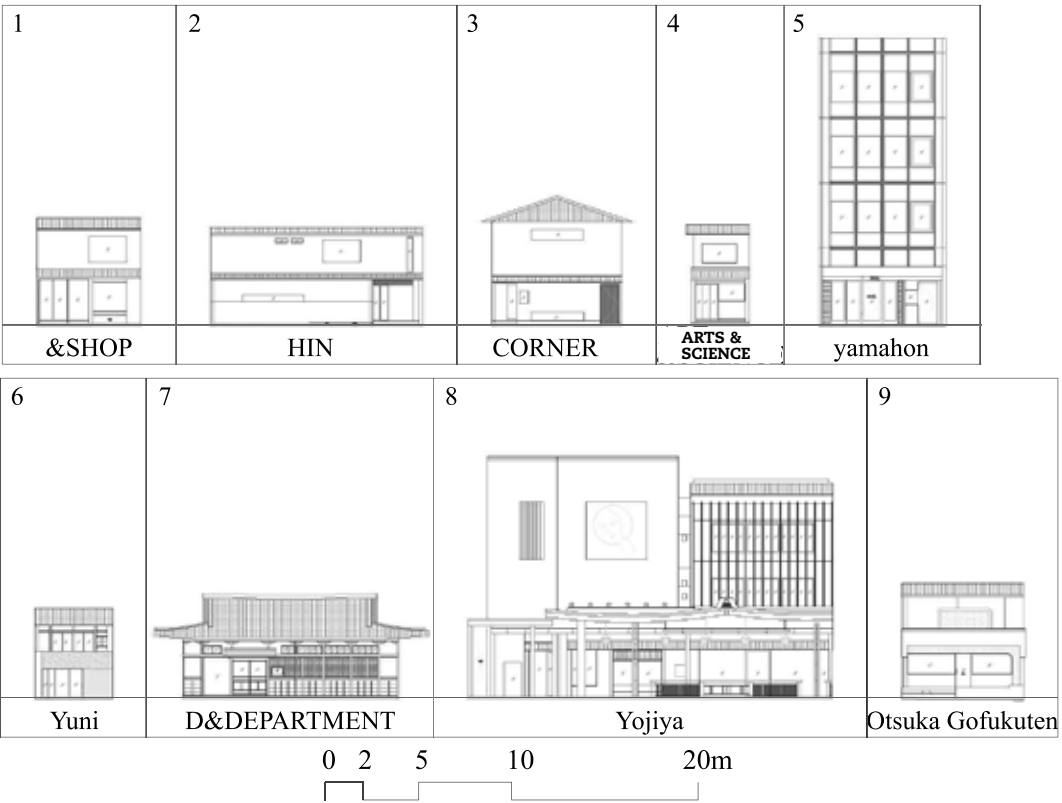


Figure 8. Elevation of the nine stores. Source: Author’s observations, 2020.

### Connection with Context

Despite the fact that none of the nine shops are in preservation areas, the characteristics that unify the neighborhood include certain elements that define the proportion of the buildings; for example, along the main street of *shijo-dori*, there is an orderly roof line or the ridge line of an old building or buildings that has the same fixed height. As the city developed, a number of new types of buildings emerged. There might be some interfering buildings, classified by their different colors or the materials of their facade. Therefore, these concept stores are bringing the same context back, but in a new perspective.

### Interior Connection

Eight of the stores are enclosed by a city planning condition, causing the rear and sides of the buildings to be surrounded by neighboring buildings. Thus, most of the buildings are enclosed by shops. There is only one store in the case study – D&DEPARTMENT – in the temple compound, a detached building. Interestingly, while the merchandise section is a closed space, the exhibition area is an open space with a large pane of glass connecting and giving the experience of the interior to the context of the temple. Some techniques allow a building to use the view outside as a part of the interior, such as &SHOP, where a scenery cut out in the large window on the front brings the atmosphere of Nijo-Dori into the store. The exterior view becomes a part of the interior of the store where customers can enjoy themselves while shopping.



Figure 9. Connection from interior to exterior. Source: author's observations, 2020, except: &SHOP.

### Exterior Connection

Although the storefronts of eight of the stores are different from the neighboring buildings, the entrance characteristics of the buildings still have the same proportions as other buildings of similar scale. The proportions of the adjacent buildings are maintained either in vertical or horizontal lines, including the proportions of the openings. This represents the existing form, though function is different from the others in the area. Various architectural elements of the surroundings such as replacing the steel and wood lattice by the shape and the edge of the opening that contrast with the surrounding buildings.

Accordingly, this store stands out against the rest of the buildings, reducing details from the surroundings. The yamahon store, for example, can be distinguished by the design of the window display in the entrance that is distinct from the other stores in the area.

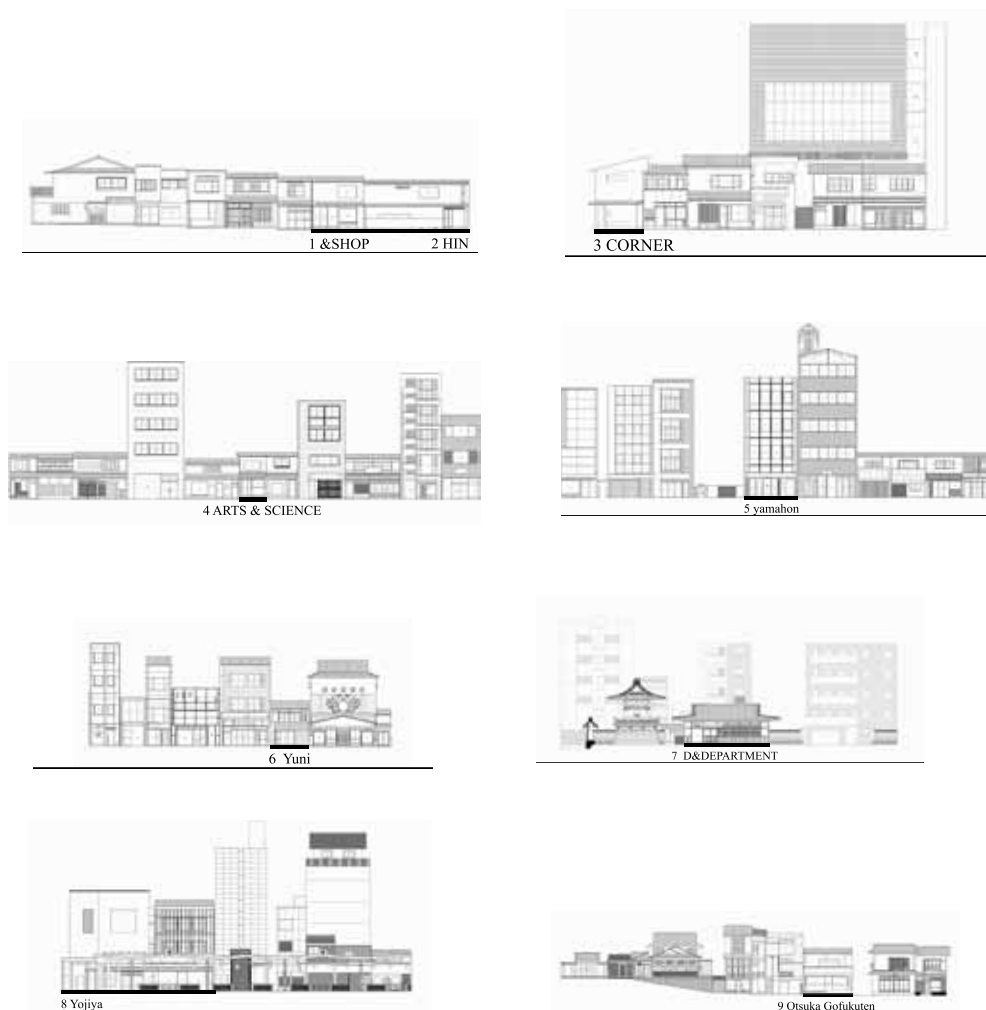


Figure 10. Concept stores among urban contexts. Source: author's observations, 2020.

### Urban Identity Represented by Concept Stores

Above analysis of the nine concept stores ranging from products to urban contexts reveals that there is a relationship among product display, interior arrangement, façade design, and adjacent urban structures. It is the relationship that allows products arranged inside the stores to connect with the original shape of the buildings and structure of the areas, which is the key that connects to the identity of the city. This connection can be described by two aspects:

#### Coherence of Space and Form from the Smallest Element to Urban Context

Due to its roadside location, a concept store can be regarded as a small-scale store that directly connects with the city. Therefore, the connection between the store and the neighborhood can be multi-level, from the smallest element in the store, product sale, to building exterior design. Basically, in terms of concept, product sale is designed and manufactured under the image of the brand, with stories that forge a connection with target clients, people, communities, and cities. There are some cases where objects are made from local materials, preserved colors, tex-

ture, and other initial characteristics to express the richness of original and natural essence of those materials. That is a fundamental means by which stores make sense of belonging to their setting. In some cases, even though product sales may not obviously represent characteristics of local Kyoto, their arrangement in the interior space still maintains the connection with the city grid plan and surrounding buildings. Therefore, it gives the impression that the area is not totally separated from the city. Eventually, the location of the store is also an element that further enhances the store's image, making the concept stores visible and therefore a part of the city.

### From Tradition to Contemporary: Simplification of Spatial Form and Elements

Under the concept of the establishment of this type of store with a contemporary utility, the original charm of the *machiya* is still lurking. Although the products are not directly related to the city, product distribution under the architectural elements of the city makes no sense for these modern shops, and neighborhood identity and the boundaries between the shops and the city itself are not so clear, it is still important that the two are seen as somehow connected. It was found that there is a blend between modern and traditional aspects through the use of techniques that reduce simple elements and achieving a balance between the two things, making perception easier on every level.

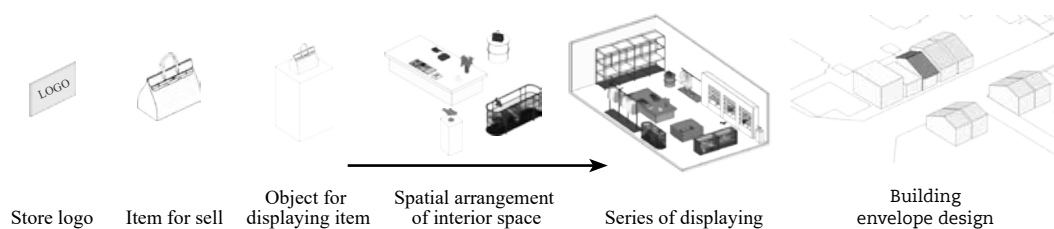


Figure 11. Relationship from products sale to urban contexts. Source: Author.

The new element of the district enhances the image of the area, and people's perspective of using the space changes. For example, the store in the temple compound coexists with the original remains and the traditions that have not been lost or destroyed overtime but have been adapted in a way that preserves the original context. However, the building layout is not as complicated as the old building was traditionally. It has been transformed into a simpler open plan while maintaining the existence of spatial composition that makes the building appear uniform and outstanding. Whether a store has a layout in the corner of the street or is a single building in the temple, the view of every shop is controlled by the angle and thus every shop has to be built on the same axis of the district. The goal is to retain the front of the road as much as possible. Apart from the historical value, it is also a logical layout.

The concept stores are built by employing traditional construction methods. The interior of the building is the original structure, made of wood. At present, it does not only depend on the use of original material, but is also selected to maintain

the original building structure as much as possible, and the extensions with new materials are just additional elements. The simplicity and orderliness that represent the “newness” are blended with the imperfection of the old structure. From the research it was observed that the old items were no longer replicated and completed as originals. Each store uses various techniques and approaches, but they have the same aim to maintain the *machiya* original materials. The repurposing of original materials is a key aspect of the improvement of *machiya*, not only the physical perceived qualities, but also the surrounding environmental and technical characteristics: the transmission of natural light through the window, spatial elements, and using the local materials. It is indeed an advantage that people can appreciate the building’s old designs that don’t feel old anymore. A *machiya* sliding door, for example, which in the past was opaque or lattice and gave physical privacy, has been removed. Today, the sliding doors are maintained but modified to glass material that uses wood or aluminium frames that are easier to use. In fact, the products in the store radiate a modern vibe because the structure and selections of furniture are still of the old design with perhaps a small glimpse of contemporary air in it.

### Conclusion

Kyoto was selected as a city to attest the connection of concept stores, where modern usages were combined with traditional spatial and physical structure of old buildings, with the rigid grid plan of the city. Kyoto is also a good city to demonstrate how concept store comes to play a significant part in city development process by its restoration. This study shows that concept stores can represent urban identity by creating a connection from the concept of the brand which represents through logo and selling item, to the layout of the store on the land plot of grid city plan. This connection from item scale inside to urban scale outside the stores is generated through visual communication by simplifying traditional characteristics for uncomplicated communication with clients. This simplification can be observed in building structure, interior planning, and building envelope design. As illustrate in Figure 11, every element is not separated but represents a connection to each other at different levels towards the goal of being part of an urban identity. Hence, concept store is not just space for selling or displaying products but a physical manifestation of local history and culture along with the brand's philosophy which grows with the city as well. Multi-level connection among various elements of the stores from interior to exterior also distribute an urban identity to other traditional stores in the neighborhood helping clients understand their brand personality and instantly get a sense of what the brand is about. This indicates that the grid plan has contributed to the effective atmosphere and infrastructure of store location, which is mainly cluster between the old Kyoto imperial palace and the western city edge, or the Kamo River in the smaller frame. These stores are established as standalone rather than in the commercial center or business complex in order to express the meaning of their locational establishment in Kyoto city. It is noticeable that concept stores contribute the value of urban identity by enhancing attractive image of Kyoto which relates to the city grid plan.

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Fig 6. Interior space of &SHOP store: [pressreader.com/Japan/casa-brutus/20210201](https://pressreader.com/Japan/casa-brutus/20210201); Interior space of HIN store: <https://arts-science.com/en/shop/hin/?exNum=1>; Interior space of CONER store: [https://www.instagram.com/arts\\_and\\_science/](https://www.instagram.com/arts_and_science/) and Interior space of ARTS & SCIENCE stores: [pressreader.com/Japan/casa-brutus/20210201](https://pressreader.com/Japan/casa-brutus/20210201).

Fig 7. Interior space of Yuni: <https://aplan.jp/works/yuni/>.

Fig 9. Connection from interior to exterior of &SHOP store: [pressreader.com/Japan/casa-brutus/20210201](https://pressreader.com/Japan/casa-brutus/20210201).





# Journal Policies

## Journal Policies

### About JUCR

The Journal of Urban Culture Research is an international, online, double-blind, peer-reviewed journal published biannually in June & December by the Faculty of Fine and Applied Arts of Thailand's Chulalongkorn University in conjunction with the Urban Research Plaza of Osaka City University, Japan. JUCR offers its readers two categories of content. One is a window into the latest international conferences and reviews of related sources – books etc. along with guest articles, special features and case studies. Secondly, its main core is a range of peer-reviewed articles from researchers in the international community. No fees are charged.

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This journal on urban culture aims at establishing a broad interdisciplinary platform for studies of cultural creativity and the arts that brings together researchers and cultural practitioners to identify and share innovative and creative experiences in establishing sustainable and vibrant, livable communities while fostering cultural continuity. The journal embraces broad cultural discussions regarding communities of any size as it recognizes the urban community's rural roots. JUCR encourages researchers and the full range of artists in visual art, design, music, the creative arts, performance studies, dance, cultural studies, ethnomusicology, and related disciplines such as creative arts therapies and urban planning. Articles related to either the academic or wide vernacular interpretation of urban culture and the arts as a tool promoting community and individual well-being, health, and diversity are welcome.

JUCR has the objective of stimulating research on both the theory and practice of fine and applied arts in response to social challenges and environmental issues as well as calling for solutions across the creative realms. Moreover, JUCR supports advocacy processes, improvements in practices, and encourages supportive public policy-making related to cultural resources. JUCR intends to offer readers relevant theoretical discussions and act as a catalyst for expanding the knowledge-base of creative expression related to urban culture.

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