

# **ENVIRONMENT PROTECTION AND DEVELOPMENT IN ADDIS ABABA:**

**The case of revitalized neighborhood open spaces in housing cooperative**

A Thesis Submitted to the School of Graduate Studies of Addis Ababa University in partial fulfilment of the requirements for the Degree of Masters of Arts in Development Studies, specializing in Urban Development and Urban Challenges in East Africa

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**Addis Ababa University**



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Thesis for the Masters of Arts Degree

Collage of Development Studies  
Specializing in Urban Development and Urban Challenges in East Africa

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February , 2015

## **DECLARATION**

I declare that 'Environment protection and development in Addis Ababa: the case of revitalized neighborhood open spaces in housing cooperatives' is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

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This is to certify that the thesis prepared by Segen Yainshet Tesfamariam entitled: *Environment protection and development in Addis Ababa: The case of revitalized neighborhood open spaces in housing cooperatives*, and submitted in partial fulfilment of the requirements for the Degree of Masters of Arts in Development Studies specializing in Urban Development and Urban Challenges in East Africa, complies with the regulations of the university and meets the accepted standards with respect to originality and quality.

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## ABSTRACT

Urban Open Spaces are considered as the 'lungs' of a city. The study examines the phenomenon of neighborhood open spaces development approach and practice in one of the oldest cooperative housings in Addis Ababa. It focuses on environment policy process in FDRE and its relation with spatial transformation of neighborhood open spaces. The phenomenon is investigated through the analysis of a case study located in Bole sub city, *Woreda 03* commonly known as *Bole Medhanialem*. The data are primarily collected through qualitative techniques supported by ethnographic research method to validate the study area. The research is approached with the perspective of policy as a dynamic process embedded in local context and development as a multifaceted activity of different stakeholders with varying interest and participation. Three theoretical frameworks have been discussed based on the course work in urban development and challenges. Based on these the case study has been analyzed and general themes have been drawn for action, agents and change. Environment policy process is a recent phenomenon in Ethiopia along with the global quest for sustainable development. Therefore policies remain beautiful and elusive in script than in play while politics have also a dominant factor in shaping the understanding of society in general and opinion of individuals in particular. The role of lower administrative organs (*Woreda*) has been found critical in communicating environment policy down to neighborhoods and monitoring development activities. However the theories of good governance and participation face challenges in practices which requires an extensive research into policy and its process in general. Community development associations in the neighborhood were found to be very instrumental in mobilizing and motivating community development works through volunteer members. Especially women associations were crucial in negotiating with the local governance and the people in developing the neighborhood open spaces. However the role of children and youth was found to be minimal which has generated discrepancy in what is intended and what is implemented for youngsters. Equally important finding was the spatial transformations of the neighborhood open spaces after three years of development project. These spaces have now sports area and children play ground facilities, however the proposed project and the final output is inconsistent and didn't consider the need for football playing area. Therefore the findings from the environment protection and development approach in the neighborhood have been used to link their implications to the agents, actions and changes in the overall process of environment protection and development.

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## ABBREVIATION AND LOCAL TERMS

Abbreviation	
AACA	Addis Ababa City Administration
BPGA	Beautification, Parks and Graveyards Agency
EIA	Environment Impact Assessment
EPA	Environment Protection Authority
EPRDF	Ethiopian People's Revolutionary Democracy Front
FDRE	Federal Democratic Republic of Ethiopia

Selected Local Terms	
<i>Birr</i>	Ethiopian Currency
<i>Bole</i>	Local name for Sub – city
<i>Derg</i>	Committee for transitional military power
<i>Kebele</i>	Local government ,smallest administrative organ in neighborhood
<i>Ketena</i>	Smallest unit organization of blocks in neighborhood for development
<i>Medhanialem</i>	Local name for Holy Savior
<i>Woreda</i>	Administrative unit between sub – city and <i>Kebele</i>
<i>Tukul</i>	Traditional cone-shaped mud hut found in Ethiopia

## **PART-I: INTRODUCTION AND METHOD**

## **CHAPTER 1: INTRODUCING THE STUDY**

### **1.1. Introduction**

The changes we see in our daily environment are evidence of the evolution and transformation we undergo influenced by our choices and activities. Urban areas are therefore mirrors of social development since ancient times and centers of modernization process and excellence by creating a network of environment, economic, social, political, cultural and technological aspects where diverse groups and races can live, work and meet to bring innovators, entrepreneurs, financiers and academicians (The City Alliance, 2007, Perrons, 2008). Therefore academic research have been attempting to explain the complex meditation of social and natural dynamics within the urban environment for decades. Especially the recent transformation in urban areas are presenting alarming evidence of various challenges to urban spaces in developing nations. As the developed countries have reached a level of urbanization which can be called stable, African and other developing cities have yet to face extensive transformations. Inadequate housing, economic decline, poverty, ill health, social polarization, traffic congestion and environment pollution and other related problems are some of the major challenges these cities are facing nowadays (Michael, 2009, Rigg, 2007).

Government and different actors have used different development approaches and practices to alleviate the environment crisis and maintain a balance between social, economic and environmental needs (The City Alliance, 2007). They have adopted environmental protection goals, policies, strategies and other methods to enforce sustainable development (Sally, 2009) through different development discourses and notions in the global arena. In recent years, the increase in literature and research around the world has also created spaces and scopes for studies in local environment and their relation with global discourse. Therefore this research is inspired through the review of literatures and particularly theories during the course work of Masters of Arts Degrees in Urban Development and Urban Challenges in East Africa.

In light of the above departure, the second section will go further in introducing the study and personal motivation and academic relevance to give insight on background and overall view of the research objective. The perspective from which the research is approached will be discussed in the third section to guide the overall theme of the study. The scope of the study, limitations and challenges which are bare during the study are highlighted in the fourth section. With this pillars, the final section illustrates the research questions paused in relation to the different theoretical and literature reviews made in the later chapters.

## 1.2. Motivation and relevance

Globalization and urbanization have been identified as major components of global transformation in recent years. Developing countries have particularly experience higher rate of urban growth in the last 50 years (David et al , 2013). In the sub-Saharan Africa for instance, urban population grew from 15% in 1950 to 32% in 1990 (Odindi, 2011), and it's expected to increase to about 57% by 2050 from 47% in 2000 (ADBG, 2012) . This unprecedented urban growth has cause socio-economic and environment challenges in which rapid influx of population and sudden expansion of formal and informal physical infrastructures has significantly affected sustainable urban growth in developing countries (Awais & Peter, 2003). These have led to an extra ordinary disengagement of humans from nature in urban environment, exposed to too much artificial stimulation, in which the protective factor of nature for health improvement and sustainability have been reduced (Katcher & Beck , 1987) (Axelrod & Suedfeld, 1995), and as a consequence, individuals and communities and cultural well-being have suffered from this (Maller et al., 2006). Urban open spaces are among the valuable assets which are being threatened in developing cities through this rapid urban transformation. Therefore in recent years the scientific, professional management of environment to meet economic goals of the government has become a priority in settling sustainable development adgendas.

High quality public environment is belived to have a significant impact on the economic life of urban centers and is an essential component of development strategies. Formal or informal urban open spaces play a crucial role in mentaining the ecological health and environment in a highly developed urban matrix (Esbah et al., 2005). They influence the urban structure; their spatial generosity contrasts with the density of the buildings and act as separating and binding elements (ibid.). Naturally or urban designed open spaces fulfill a lot of functions: they are living spaces for humas, flora and fanua, they influence the water cycle, the climate and metabolism and they have considerable impact on air quality. The presence of good parks, squares, gardens and other public spaces in urban areas have also become a vital bussines and marketing tools in the developed world where companies are attracted to locations that offer well designed, well managed public spaces and these in turn attract customers, employees and services (Jason & Neil, 2010). And also a good public landscape offers benefits to the local economy in terms of stimulating increased houses price (ibid.). Open spaces also imply social functions like meeting, communication, playing, lesiure and recreational and commercial functions like trade and tourism (Catharine, 2002). Therefore urban open spaces work best when they establish a durect relationship between the spaces and the people who live and work around them (ibid.). The UN convention on the Rights of the Child also clearly states on the right to play and recreation as a crucial aspect of children's development in the acquisition of social skills,

experimentation, confrontation and resolution of emotional crisis, moral understanding, cognitive skills such as language and comprehension and also physical skills (Chawla, 2002).

At a bigger level of concern for people's well-being, the way urban open spaces are provided and interacts with the need for natural spaces is one which raises interesting challenge in developing countries. In this regard protecting urban open spaces and maintaining a sustainable growth in cities is considered to be vital. Therefore during the past decades the role of government has been steadily changing, with increasing emphasis being placed on setting the overall direction through policy and planning, on engaging stakeholders and citizens, and sometimes on empowering stakeholders or partners to deliver programs and services for sustainable urban development (David , Gordon , & Barry , 2013) (Chawla, 2002). Since today's cities are part of the global environment in which their policies, their people and their quest for productivity has impact far beyond the city borders; the city level experiences are essential to the economic stability of the state in the global environment (The City Alliance, 2007). Therefore increasingly urban policy and planning are required to adopt long term perspective role. This particularly so when society, in managing urban change, seeks to strike a balance between economic priorities on the one hand and social and environmental on the other (Michael, 2009). Regardless of the governmental level at which they are applied, public policies for managing growth and protecting open space are therefore, at the center of the issue of sustainable development (ibid.).

Similarly, urban open spaces in Ethiopia are expected to function effectively for their users to maintain and sustain quality of life. Therefore different policies have been enforced to enhance the environment with a set of strategies and goals in recent years along with the global notion towards sustainable development. Addis Ababa city administration has also been implementing urban environment policy, through different planning and regulatory tools and institutions. The role of good governance and participatory approaches to development has been key ingredients in the quest for better management of resource and implementation of projects and management of urban environment. Therefore it's undeniable fact that there are significant transformations in urban open spaces in Addis Ababa in the past few years. Trees are being planted along street sides, private stakeholders are investigating in the beautification of green areas and open spaces are being protected building fences around them and other different measures are being taken by the city administration. This transformation of open spaces can be seen more closely as one goes to the lower administrative echelon in the city which is the *Woreda* where we can trace neighborhood open spaces significantly shifting their forms and functions. However these spaces are also constantly under threat of land acquisition, changes and modifications, their provisions in many developments are usually either

compromised, for largely ignored, or merely treated and included as 'left-over spaces' (Tadesse, 2008). Particularly in the neighbourhood I grew up in, open spaces have transformed significantly over the past 20 years. Most of the vacant lands where children and youth grew up playing are now mostly constructed and altered their land use, the common football playing area are now deserted and roads and streets have been built without due consideration of capacity and movement pattern. This transformation undergoing bring about challenges to the community in particular and the ecosystem in general. Eventually the very reason for undertaking this study are equated with my practical experience of the study area and academic interest in contributing towards the urban development and challenges issues in Ethiopia.

### **1.3. Approach to study**

The concept of sustainable urban development embraces more than environmental issues and has over the years adopted two broader approaches, which the first is an environmental protection approach with the focus on a municipal program to reduce the consumption of resource and minimize the environmental impact of development (Clark & Fabrice, 2003) and second being on a holistic approach including an ecological component (stressing the importance of environmentally sound policies), economic aspects (development activities and fiscal issues) and social-equity issues ( a fair distribution of resources and the distribution impact of policy) (ibid.). In light of these, two powerful ideas have jointly produced a new form of public policy in many developing countries. Environmentalism is at the core of post materialists issue and decentralization, is at the core of the new federalism and appears in a variety of new central-local governmental partnership around the world (ibid.). Policy makers, donors and scholars long frustration by the lackluster performance of national governments now increasingly advocate the marriage of environmentalism and decentralization (Clark & Fabrice, 2003, p. 28). The assumption is that making lower-level officials responsible for the provision of a wide variety of goods and services should result in more appropriate policies because they are more familiar with their environments and users' need. This is advocated in hope of harnessing local knowledge for better environmental protection through a decentralized act of the central government in which formal cede of power is exercised to actors and institutions at lower level in a political administrative and territorial hierarchy (Agrawal & Ribot, 1999; Mahwood, 1983; Rondinelli, 1990; Smoke, 1993 cited in Clark and Fabrice, 2003). Therefore from the broader perspective the ideal sustainable community is characterized by environmental integrity, economic validity and social wellbeing.

At the same time, the environment for policy and planning has increased in complexity and issues. Environmental policies are now part of a more dynamic intervention process and interdependent with other public policies, which have drawn attention (Sally, 2009, Keeley & Scoones, 1999). The evolution of policies concerning environment management reflects this conceptual change in the conventional wisdom about the proper locus of governance. However the ownership of issues is often unclear, especially when more than one department and often more than one level of government are involved and communities are also increasingly claiming ownership of policy issues and process (ibid.). Globalization and fiscal resource limitation also contribute to the confusion. In this complex environmental demand for good public policy development is steadily increasing, as must the capacity of managers, policy analyst, planners and others involved in the design and delivery of policy and programs.

A technical approach to policy analysis can explain why a particular policy is 'bad' and 'misguided' and suggest how it might be improved (Crispin et al , 2001, Keeley & Scoones, 1999). This perspective views policy as a problem solving process in which rational, balanced, comprehensive, analytical and linear issues are amenable to technical analysis and solution (ibid.). However, if when there is something intrinsic to the policy process; that means when policies invariably take a particular shape, then technical policy analysis may have limited utility, and what may be needed is a more wide ranging examination of policy making itself (IDS, 2006, Keeley & Scoones, 1999, Rebecca, 1999) . Therefore the intention of this study is not to analyze the Ethiopian Environment Policy in terms of what the agenda was and its accomplishments and failures, rather it focuses on reviewing the policy process through the institutions in play and their execution at the lower administrative organ in Addis Ababa city.

The study assumes to highlight other more decisive components that emanate from the interaction between the diverse actors involved in neighbourhood open spaces development as an inherently political process as well, rather than simply the instrumental execution of rational decisions and policy process. The institutions in protecting and developing open spaces in Addis Ababa city are therefore explored to highlight the governance structure underplay in protecting the environment and development approaches. The study departs with theoretical understandings of good governance and participatory development. This approach is used to understand environment policy process as a multi-faceted entity to highlight the continuous interplay of discourse, political agendas and the agency of multiple actors in neighbourhood open spaces development. Therefore, any future

involvement of partnership in the delivery and/or formation of environment policy is crucially dependent of the way in which such institutional relations are constructed.

Figure 1: Policy Process



Source: Adopted from IDS, 2006 page 9

As such, studies of existing community development provide commentary on the strength and weaknesses of current relations. Housing cooperatives represents one of the best examples of institutions established in the 1980's in Addis Ababa to present a dynamic 'single-minded' approach to regeneration of neighbourhoods. Therefore this research would like to contribute to the ongoing study in community involvement in policy process in general through the study of neighbourhood open spaces development approaches and practices and the significant spatial transformation that occurs in the housing cooperatives. The study will explore the 'association of the 25 housing cooperatives' as a case study to highlight the significant transformation of neighbourhood open spaces in the past 20 years. In 1999 the general assembly of the housing cooperatives established a subcommittee responsible for the development of the 9000m<sup>2</sup> open spaces within the residences and extends local authority plans for the redevelopment through property led regeneration initiatives. The research examines the relation of the committee with the local community association such as the 'iddir' and particularly focus on a small voluntary women association, which emerged in the wake of the open spaces development program. It is also the theme of the study to elaborate the role of the community development committee and its relation with the local authorities to further investigate the current opportunities and challenges of the association. Finally the study would like to pinpoint the development of local politics to tackle the issue of partnership in order to combat selective community representation, legitimacy and exclusion in the process of local governance and participation. It will further highlight the significant spatial transformation that took place in the neighbourhood open spaces within the three year period (2009 – 2012) in which the current development was elected as the executive body and the open spaces development project was implemented.

Therefore the study assumes combinations of these different analytical perspectives could improve understandings on complex, dynamic and structural constraints in urban open spaces protection and

development approaches and practices. The finding of the research through such interdependent issues and approaches hopes to draw important themes and generate implications for agency, action and change in environment policy, process and institutions. It's the best to analyse urban open spaces development as a dynamic process and the need to reflect in development notions from global perspective which are implemented at local spaces and places in geography in designing effective development approach and practice, which is vital for stakeholders.

#### **1.4. Scope and delimitations of the research**

As mentioned above, urban open spaces development is an action of multiple actors and decisions are interdependent on various national policies within a country. The challenges in the cities of Ethiopia regarding urban open spaces are also wide in scope, including social, physical, economic, political, environmental, health and many other aspects. Understanding all these aspects of a given phenomena would take inevitably long time and be very complex to handle. Therefore setting a boundary to the study is wise so as to cope with the limited time and resource available. Therefore the purpose of the research is to briefly review environment policy process as a backdrop to further investigate case study in neighbourhood open space development approach and practice in Addis Ababa city by focusing on the significant spatial transformation set by the stakeholders.

By reviewing theories of good governance and participatory approach to development, the central focus shifts to investigate community association participation and their relation to local government. The premise is that good governance and participatory development are approaches and practices which bring about sustainable urban environment; therefore neighbourhood developments are practical evidences of the interplay between such discourse and local attitudes and practices. Hence the study's title 'Environment Protection and Development in Addis Ababa: The case of revitalized neighbourhood open spaces in housing cooperative' has been adopted. In dealing with the research questions regarding the interplay of environment policy and protection approach and practice in Ethiopia and the significant spatial transformation in urban open spaces in Addis Ababa, is done in different levels of geography. The federal government was assessed to highlight the background from which the environment protection and policy arrived to the current platform. The Addis Ababa city administration, Bole subcity and particularly *Woreda* 03 are investigated to relate how the governance approach and community participation involve in environment protection. Housing cooperatives are therefore selected as the final level of investigation in order to understand the interdependent actions of the above institutions and the current and on ground spatial transformations taking place in

neighbourhood areas. Therefore the study has bounded its area of analysis in such a manner in order to arrive at a deeper meaning and understanding of urban environment protection.

### **1.5. Research questions**

Based on the above discussion, the research attempts to reveal the increasing importance of understanding how environmental policies are constructed and put in practice in order to comprehend how they affect the spatial transformation of urban areas through the different development approaches and practices in play. Hence the research tries to see the historical context and background of environment policy in Ethiopia and the current institutional organs in Addis Ababa. The different stakeholders acting within these administrative organs and their relation with the community is assessed to pinpoint what development projects are underway in the neighbourhood open spaces and the significant spatial transformations they have set. Therefore the objective of this research is carried out through four basic research questions which are interdependent.

#### ***Context Based Question (CQ):***

In order to fully understand neighbourhood open space development, the study puts it in the context of the dominant environment protection approach and practice in Ethiopia. Therefore a research question related to environment policy, process and institutions in the context of Ethiopia is put forward to serve as a backdrop for the main question:

- ***How is the development of environment policy, process and institutions in FDRE?***

#### ***Main Question (MQ):***

The next two main questions are posed to understand the approaches and practices of environment protection and development approaches in Addis Ababa city. Through investigation of the major stakeholders involved and their relation in the development of open spaces in the case area is expected to further highlight on the theoretical bases of development and reflect on current local forces in play. With this objective the following questions have been asked:

- ***How is the current approach and practice in developing neighborhood open spaces in Addis Ababa city?***
- ***What are the significant spatial transformations that occurred in neighbourhood open spaces in Addis Ababa?***

### **Normative Question (NQ)**

In addition, the research has an additional objective of drawing reflection from the above findings in order to further put implications for agents, actions and change involved in environment protection and development; hence a fourth normative question is added:

- ***How do we set environment protection approach and practice which promote sustainable spatial transformations at neighbourhood level?***

Table 1: Summary of Research Question

Research Question	Theory Reviewed	Key Issue
Context Based Question	Policy Process	Environment and Development Policy
Main Question 1	Good Governance & Participatory development	Environment and Development Process
Main Question 2	Housing Policy	Environment and Development Ethics
Normative Question	Sustainable Development	Environment and Development Role

### **1.6. Organization of research**

The research has adopted a study framework from Elias Yitbarek 2008 PhD Work, which was found to be more convenient and inspirational for this research. Therefore, the study is divided into five parts: Part-I looked into the introduction as presented above and will go on to discuss the method used to mitigate the research. Part-II further presents the theory reviewed based on the course work in this study program by highlighting some of the literatures reviewed to promote three of the four research questions. Part-III will give the background of the study which is used both to address the context-related question and to serve as a backdrop to the normative question. Part-IV discusses the case study in details by presenting empirical data with reflections to answer two of the main questions. The last Part-V presents the findings from the case study, concluding remarks, implications and recommendations to agents, action and change.

Table 2: Structure of Study

Part	Chapter	Topics	Contents in Berief
I	1	Introduction	<b>What?</b> Introducing the study
	2	Method	<b>How?</b> Research method and approach
II	3	Theory	<b>What is the knowledge base?</b> Review of theory and litrature
III	4	Background	<b>How is the context?</b> Origin and development of Environment policy process in FDRE and urban open spaces development approaches and practice
IV	5	Case Study	<b>What is the evidence?</b> Description and analysis of study area and negiborhood open spaces development project
V	6	Synthesis of Findings	<b>What are the findings?</b> Synthesis of findings from case study
	7	Conclusion and Recommendation	<b>What can we conclude?</b> What are the implications and recommendation towards environment protection and development.

Source: Adopted from Elias Y. 2008, page 12

## CHAPTER 2: METHOD AND APPROACH

### 2.1. Introduction

Geographers have given attention to an enormous range of subject matter related to most of the world aspects whether physically or environmentally determined, or politically, economically or culturally constructed (Clifford , French , & Valentine, 2010). Traditionally geographers have considered the human and physical world together with their historical configurations, thus extending geographies to the past and present (ibid.); however the range of geographic enquires continues to increase with the increase in the human interaction with the environment. Physical geography has now access to new techniques and is increasingly conducted under the umbrella of 'earth system science'; while technological advancement in human geography in areas such as GIS allowed for more flexible and creative analysis of data (Clifford , French , & Valentine, 2010). And further with the domain of psychology and cultural anthropology, there are now for example, imagined and mystic geographies, whose foundations, or connections with the real world are almost entirely interpretational, rather than empirical (ibid.).

It's only recently that serious attention has been paid to 'aspects of disciplinary practice that tend to be portrayed and mundane or localized, but that represents the very routine of what we do' (Clifford , French , & Valentine, 2010). Authors are claiming that we fail to appreciate much about the discipline without recognizing that geographic knowledge is embodied through a range of practices, like traveling, dwelling, seeing, collecting, recording and narrating. They further worry that many of 'knowledge producing activities' remain largely absent from how we represent our research, suggesting that 'our product of knowledge' could do more to make available this tension of the present tense of the world (ibid.). This turn in geography has brought emphasis on meanings, representations, emotions and so on which brings challenges of interpretation, as method of research associated with them may be radically different (even fundamentally irreconcilable with one another), or so new that they have yet to formalized into transferable schemes to inform other research programs (ibid.). Given these wide scope of geographical enquiry, it isn't surprising the subject is similarly broad with respect to the methods employed and the philosophical and ethical stance it adopts. Therefore this study tries to use selected approaches in geographic research which can best suit in answering the research questions forwarded. The following chapter will discuss the different issues related with research methodology selected, the key issues to be addressed, the type and sources of data generated and the collection and analysis techniques undertaken. Finally in

conjunction with ethical issues like reflexivity and positioning in the course of the research will be discussed to show the validity of the study.

## **2.2. Choice of method:**

Studying development approaches and practices requires understanding of local and historical contingent factors in a given context. The study aims to understand the phenomena of neighborhood open spaces development in housing cooperatives to highlight the complex and dynamic process of environment policy process in order to best understand environment protection and development approaches and practices in Addis Ababa city. This process is shaped by the constant interplay of stakeholders and their respective interests which needs a deeper understanding and provides explanation. Therefore the choice of methodological approach depends on the objectives of the study and the corresponding research questions in addition to the researchers' personal beliefs and preference. And recent trend in ethnographic research has shown that the complexity and dynamics of reality requires a careful understanding and process of mitigation in field works in order to fill the knowledge gap between theory and reality. Therefore researchers' personal observation and understanding of the study area will be linked with main empirical findings using qualitative research methodology.

Qualitative research has an emphasis on the qualities of entities and on processes and meanings that are not experimentally examined or measured (if measured at all) interims of quantity, amount, intensity, or frequency (Kitchin & Tate, 2000). In support of this view, Maxwell (1996) noted that there are five major reasons for which qualitative studies are especially suitable. These are:-a) Understanding the meaning, b) Understanding the particular context, c) Identifying unanticipated phenomena and influences, and generating new grounded theories about these, d) Understanding the process by which events and actions take place, and e) Developing casual explanation. Considering the above mentioned realities, the research have chosen qualitative methodology with the hope to investigate the phenomenon in depth, generate rich information and assess practical situation. Besides, it is chosen because it will enable to grasp the spatial transformations in neighborhood open spaces in depth. The topic of study per se leads to more qualitative research approach as it seeks to uncover the open space development approach and practice, where different stakeholders mediate to bring about spatial transformations in neighborhood open spaces. However, the gaps that could rise regarding primary data collection through qualitative approach will be addressed by collecting and analyzing secondary data.

In order to look in depth at the research issue, a “case study” method is also adopted for this study. Case study approach involves a careful and complete observation of a social unit, be that unit a person, a family, an institution, a cultural group, or even the entire community. And also, it places more emphasis on the full analysis of a limited number of events or conditions and their interrelationships. It is used to build on theory, to produce new theory, to dispute or challenge theory, to explain a situation, to provide a basis to apply solutions to situations, or to describe an object or phenomena (Dooley, 2002: 343-344). Accordingly, the case study method is used in order to fully exploit the above mentioned significances as it involves multiple sources of data which will enable to assess the issue from different dimensions to arrive at valid conclusions about the phenomena.

### **2.3. Case study area selection and sampling size**

Understanding urban environmental policy process needs a closer look at the role of Federal state, City and Sub-city administrative hierarchy and at the different stakeholders' relation and their implication at a neighborhood level. In search of such understanding, Bole Sub-city was chosen as the major study area for this research to investigate the variant actors in play and particularly *Woreda* 03, *ketene* 23 to assess the spatial transformation occurring in neighborhood open spaces. The study area is chosen with the inspiration of researchers' background and the relatively dynamic transformations undergoing in the neighborhood. The research has attempted to bring prior knowledge and the diverse information available in the study area to fully highlight on the research questions set forward. In depth discussion about the boundary and context of the study area will be followed in the case study.

In order to obtain purposive samples from the study area, subjective judgment were constructed and attempt has been made to select sample units that are more fit and relevant to the study. Since the research is focused not in generalizing from data but rather in understanding a particular situation, key informants with the relevant knowledge and experience of the study area were selected to answer. To fully meet the scope of the study and transcend the limitations, the sample size is determined by the quality, accuracy and the amount of data needed during field work.

### **2.4. Key Issues, type and sources of data and collection technique**

The study of this phenomenon as highlighted in the previous chapter is carried out through three inter-related issues; the dominant approaches to environmental policy making in Ethiopia and particularly to Addis Ababa city, stakeholders level and degree of participation in neighborhood open space development and the significant spatial transformations undergoing in neighborhood open

spaces. The data collection took place from August 2012 till February 2013 focused in answering the paused research questions and other relevant themes through different visits to study area and informants.

### **2.4.1. Purposes**

The main purpose of the research is to review the environment protection discourse and policy adopted by the state and how these policy and strategies are communicated to the city in general and particularly to the lowest administrative body in the city to assist neighborhood developments. Therefore the main issues assessed during the field work were the role of the state, city, sub city and *Woreda* in environment policy process. Then departing from *Woreda* administrative level, data was collected to investigate on how the different stakeholders of neighborhood open spaces participated towards the development of these spaces. This relation of stakeholders and the state was further assessed through a case study to generate the significant spatial transformations they set in motion.

Table 3: Key Issues of Research

Key Issues	Research Question	Theory	Source	Type	Technique
Environment Development Policy	& Context based Question	Good Governance	Federal	P + S	Informal Documents Literatures
Environment Development Process	& Main Question 1	Participation	City Sub City <i>Woreda</i>	P + S	Interview Documents Observation
Environment Development Style	& Main Question 2	Housing	<i>Woreda Ketena</i> Informants	P + S	Interview Participant Observation

### **2.4.2. Types and sources**

For the purpose of this study primary data is generated through qualitative method, however quantitative data is also deployed to fill the gap of primary data and to formally use secondary source of data. Therefore the main source of data can be classified into three broad groups; government agencies, community members and the physical environment under study. These categories are briefly discussed below;

### ***Government agencies***

Government officials at the *Woreda* 03 administration, Bole sub-city, Addis Ababa city administration and the federal agency for the environment protection authority were approached. At the *Woreda* 03, the manager for the agency of Beautification, Parks and Grave yards agency was very instrumental in explaining the overall process of open spaces protection and development process. Alongside the manager, the chief officer in environment protection authority for the *Woreda* was also a major respondent in explaining the concept with the practice of environment protection at local levels. In Bole sub-city, the environment protection officer was interviewed to further investigate the role of the sub-city along with the manager for community development coordination to understand local governance and relation in environment protection. In Addis Ababa city administration, the agency for community development coordination office was the main source of data regarding participatory development concepts and practices. Further the cities environment protection authority was source of primary data in relating the overall process of environment protection in the city administration. At the federal administrative level, the Ethiopian Environment Protection authority was the sole source of data in narrating the overall historical background of the process of environment protection in Ethiopia (See Appendix 2A for the list of sources).

### ***Community members***

The individual dwellers which were sources of data within the neighborhood were distinguished and administrated in two levels; 1) Four people from the development committee of the housing cooperatives in which two are the founders of the committee, a woman who is resident in the cooperatives and part of the women's association and the current chairman of the development committee in case area were part of the semi structured open ended interview. 2) A total of five young people living and working in the case study area along with the guard for the open spaces in the case area, were part of group discussion and informal conversations (See Appendix 2B for the list of sources).

### ***The physical environment***

The spatial environment of the case areas is source of data in which the open spaces developed and under development along with their components was crucial in collecting both primary and secondary data for the transformation that occurred in the case study area. Therefore the following table summarizes the type, source of data and the questions they are set to answer.

Table 4: Type and Source of Data

Type of Data	Sources of Data	Research Question
Primary Data	Federal	CQ
	City	CQ & MQ. 1
	Sub City	CQ, MQ. 1
	Woreda	All
	Informants	MQ 1 and 2
	Physical Environment	MQ 2
Secondary Data	Documents	CQ, MQ 1, MQ 2
	Publications	MQ 1, MQ 2
	Literature and Theory Review	All

\*see appendix 1 for interview guide

### **2.4.3. Methods of data collection**

According to Creswell (1997) data collection is defined as a serious of interrelated activities aimed at gathering good information to answer emerging questions. It is the most important input to get reliable and useful output in any research work. It encompasses a number of data collection ways, which differs with respect to the objectives and context of a particular study. The specific approach to produce data for this research is ethnography. Ethnography seeks to understand the world as it is 'seen through the eye' of the participants (Kitchin & Tate, 2000 p. 224). Since the aim of the research is to gain an understanding of open spaces and the development approaches and practices, this approach provides an empathetic character which combines aspects of informal conversation with straight and participant observation (ibid.). In view of this, the following methods of data collection used during the research are further elaborated.

#### ***Interviewing***

In qualitative research interview is one of the most used techniques and important sources of information (Kitchin & Tate, 2000). It deals with the human emotion like experience, opinion and also feeling (ibid). Which gives you a great adventure in brings new information and opens windows into the experience of the people you meet by reducing errors and feeling gaps. According Patton's cited in kitchin & Tate, 2000, there are various different classifications of interviews which are *closed quantitative interview, structured open ended interview, interview guide approach, the informal conversational interview and group discussions*. For the purpose of this study semi structured, informal conversational and group discussions were used. Mainly the interviews were conducted with government officials and community members to fully navigate the experience of the individuals in the light of the research questions asked (See Appendix 1).

Table 5: Type of Interviews and Interviewees

Type of interviews	Type of interviewees	Number of informants
Semi structured open ended interview	Federal	1
	City Official	1
	Sub City	2
	Woreda Official	2
	Ketena Official	1
	Key Informants	4
Informal conversations	Key informants	3
Group discussion	Key Informants	3

\*see appendix 2 for list of interviewees

### ***Participant observation***

Wolcott (1995) cited in Kitchen & Tate (2000:219-220) suggests that the difference between interviewing and observation is that in observation you watch as events unfold whereas with interviews 'you get nosy'. Observation then 'entails the systematic noting and recording of events, behaviors, and artifacts in a social setting' (Marshall & Rossman, 1995, p. 79). In participant observation however the researcher takes more active role by engaging in the activities under study (Kitchin & Tate, 2000). There are mainly two types of participant observation, namely the first is participant as observer and observation undertaken covertly. In the first type of observation the intentions of the researcher is communicated to the observed group while in the later the community has no knowledge of being observed (ibid.). For this research informants were communicated about the research and its aim to build confidence and open communication. Information was gathered through this technique to substantiate stakeholders' role and responsibility and the overall relation in the governance structure of the state. However the overall community under study area was not communicated and therefore a more covertly observation was made in relation to the socio spatial transformations and data was generated without the active participation and consent of community members.

### ***Official documents***

In addition to the above primary data collection techniques, secondary data was generated from official government documents on policy and guide lines and publications of city and sub city. And further reviews were made on the communication between the community development and the Woreda administration (See Appendix 3). These sources of data are both pillars in answering the research question as well as in substantiating and filling the gap in primary data. Basically secondary data was collected to fully describe the background of study area and to answer the context based question forwarded. These sources were collected directly and indirectly from respected

administrative organs when needed. Further different open literatures and publications were gathered to support discussions and themes in the research.

### ***Field notes, sound recording and photographs***

Field notes are those records that are written during the field work for the future use. The difference between fieldwork and field experience is field notes in which they are not small scribbles that you make on a piece of paper , but consists of a system which helps you plan, observe, record and interpret all facets of your field experiences (Bernard, 2006). Considering the human mind as great as it may be in collecting, analyzing and storing data, it is not perfect, as a consequence, it is impossible to remember all the important details of the field work, therefore data collected in the field work was stored in a way that could be later retrieved for review and analysis. Field notes were used to keep trace of important themes and gaps in data generating techniques and to fully capture the interview and store it for further analysis, voice recording were made with the consent of the participants and pictures were taken to seemingly faithful recording of the study area and allow easier data management and reviewing process.

Table 6: Key Issues and Data collection Method

<b>Data collection Method</b>	<b>Interview</b>	<b>Participant Observation</b>	<b>'Official' Documents</b>	<b>Field Notes</b>	<b>Sound Recording</b>	<b>Photograph</b>
<b>Key issues</b>						
<b>Environment Policy Process in FDRE(Addis Ababa)</b>	✓		✓	✓		
<b>Urban Open spaces development Approach and Practice in Addis Ababa (Bole Sub – City)</b>	✓	✓	✓	✓	✓	
<b>Spatial transformation In Bole Sub City (Woreda 03, Ketena 23)</b>	✓	✓	✓	✓	✓	✓

## 2.5. Data analysis and reflection methods

Dey (1993) cited in Kitchin & Tate (2000) proposes that there are three key strategies for the analysis of qualitative data. Viz: description (transcription, annotation); classification (categorizing, splitting, splicing); and interconnection (linking, connecting, corroborating evidence). By this way, Kitchin & Tate (2000:231) put forward that "the process is more iterative than linear". That is while, classification cannot precede description, and the making of connections cannot precede classification, we can go back to modify the previous task and to take a new route in to the next task (Ibid). However, in qualitative work there is no clear boundary between data collection and analysis rather it's a process where researcher is constantly engaged in a chain process of data gathering and reflection (Stake, 1998 cited in Elias 2008). Accordingly, interview was transcribed after being conducted and then, data was organized on the basis of their similarities and differences. Predominantly the data generated in this research were analyzed qualitatively with the use of discussions and explanations after the completion of data collection.

The thematic approach to data analysis is adopted and eventually an attempt is made to evaluate the findings in relation to theoretical framework of the study so as to guide the research and reach a valid reflection. The general analytic strategy of the study was guided by the theoretical discussions and related research questions developed. The relationship between the Environment policy context, Urban open spaces development approaches , practices, and the spatial transformations of neighborhood open spaces were over layered for analysis which was expected to generate a complex, but coherent pattern of reflections .

The cases study is organized in a way so as to present the link between contextual background and existing transformations in the housing cooperative. The area and the people of study area is discussed before assessing the role of local governance in urban environment development by investigating the neighborhood open space development project. The project will be discussed through the role of stakeholders and relation by emphasizing on the significant spatial transformation within the open spaces.

The findings from the study area are subdivided into three main key issues derived from the research questions to give conclusion and recommendations for agents, actions and change. Therefore the first part synthesizes the actions on Environment and development in Ethiopia particularly in Addis Ababa and draws conclusion and implication for policy; while the second part point the development agents in play and draws conclusion from their relationships to highlight implication for theory, the third and final part will navigate and identify the significant spatial changes that occurred in the case

area and recommendations are put forward on how best sustainable spatial transformation can occur through environment protection approach and practice.

## **2.6. Validity of study**

Whatever the type of the research, it should be considerate of ethical issues throughout the research process if it is aimed to achieve the objectives of the study. Ethics as broadly defined as being about 'the conduct of research and their responsibilities and obligations to those involved in the research, including sponsors, the general public and most importantly the subject of the research' (Dowling, 2000, p. 25). Since most qualitative researches invade the privacy of people and their day to day life there lies a great need to ethical reflections on findings. During applying the selected methods of research discussed previously, there was a variability and unpredictability along the research, which was necessary as a researcher to constantly consider the ethical implications of researcher's activities.

Since research is an ongoing and dynamic process which constantly throws up new relations and issues that require constant attentions, self-critical awareness of ethical research conduct must pervade the research (Dowling, 2000, p. 28). In light of these the interviews conducted during the research are stored and transcribed in a safer manner which allows confidence to develop among the different informants. And based on these the people to be interviewed were communicated precisely with the objective of the research, what kind of data to be generated, its academic relevance and their role in the overall process of the project.

Power relations are also vital in the social character of qualitative research. Power inters research through the stories and interpretations the researcher creates. Since both the researcher and the informants occupy different 'speaking positions', they both have different intentions and social roles. England (1994) cited in Dowling identifies the different sorts of power relation typically entered into by social researchers which are; reciprocal relations, asymmetrical relation and potentially exploitive relation. Therefore since we can't eliminate the power dimension within the research, this was critically reflected in the research design to constantly update the research process and modify it when necessary. In this aspect researcher's position and personality have a significant role in the study conducted.

Objectivity of research has two components in geographic discussions of qualitative research methods. The first is related to the personal involvement between the researcher and other participants in the study while the second refers to the researcher's independence from the object of

research (Dowling, 2000). Due to the social nature of all researches, it is difficult to achieve this kind of objectivity where there is no interactive relation between the researcher and the data collection and interpretation. It is difficult to have dispassionate interpretation since we all bring personal histories and perspectives to research. Therefore subjectivity tries to bring these personal opinions and characteristics into research practice (ibid.). Qualitative research also gives emphasis to subjectivity as it has an inherent social interaction which also involves reading texts and landscapes, which pretty much depends on the researchers' everyday understanding of the world.

Therefore if subjectivity is important then intersubjectivity is as well vital in geography research. Intersubjectivity refers to the meaning and interpretation of the world created, confirmed or disconfirmed as a result of interactions with other people within a specific context (Dowling, 2000). Since collecting and interpreting qualitative information relies upon a dialogue between the researcher and the informants, personal characteristics and social positions of the researcher are crucial for such a social interaction. Since it's difficult to be entirely independent from the object of research, trying to become aware of the nature of involvement and the influence of social relations has been found important and critical reflectivity as crucial in dealing with the issues of subjectivity and intersubjectivity (ibid.).

Since the research also involves reviewing participatory project to redevelop neighborhood open spaces which grew out of a community initiative the study tries its best to relate the project in ground with that of academic intentions. As a researcher I am gendered, historically continued, social and political actor with close ties to the study area. Therefore this task requires recognition that as an ethnographer and as a women to be in the "continued spaces of betweenness, which is neither inside nor outside" (Katz, 1994, p. 72). By dwelling within this multiple contexts, it helps the researcher to learn not to displace or separate the issue of seeing and speaking; but rather be able to see, speak, listen and be heard in the multiple determined fields that the researcher lives and works in, by building a politics of engagement and simultaneously practice committed study (Kobayashi 1994 cited in Katz 199, p. 72). Therefore in order to fully appreciate the social nature and constitution of research it has been recognized and acknowledged the concept of reflectivity.

Reflectivity as defined by Kim England (1994) cited in Dowling (2000), is a process of constant, self-conscious, scrutiny of the self as researcher and of the research process. Being reflective in other words means analyzing one's own situation as if it were something you were studying (Dowling, 2000). Building on the same logic developed by feminists and others across the social science and humanities that have brought the personal into light would also benefit from the exploration of the self

to include our individuality. It's reasonable to expect researchers, particularly those conducting intensely social field work, to have an understanding of their emotional abilities and how their personality affects the research process and outcome. Therefore the process of examining one's own personality was found to be fruitfully integrated with the research using the technique of reflectivity once again, to deeply explore how personality affects the fieldworks and knowledge production. Even if critical reflectivity is difficult it was found as rewarding for this research because it initiated new research directions and would benefit from more thorough evaluation of such aspects of ourselves that are most relevant to our research context.

It's also known by fact that while working on qualitative research it is really important to be reliable and valid in which "reliability refers to repeatability or consistency of a finding and is of particular importance in approaches that utilize a deductive strategy of inquiry", While, "validity concerns the soundness, legitimacy and relevance of a research theory and its investigation" (Kitchin & Tate, 2000.P, 34-35). Therefore, the research has looked into various sources of data so as to validate the results of the study, use pertinent methods and theories which could fit the research problem. Concurrently accountability, originality, and completeness of data was checked both by constructing and collecting data from recognized sources such as, books on related issue, scientific journals, research papers, reports, official documents and websites. Cross- checking was applied for secondary sources but also data generated from primary sources were critically reflected to substantiate the validity of the study. However, readers must be aware that the results of this assessment cannot be conclusive, owing to the number of people who responded to the interviews and the geographic coverage but rather regarded as a more indicative of the situation.

## **PART-II: REVIEW OF THEORY AND LITRATURE**

## CHAPTER 3: THEORETICAL FRAMEWORK

### 3.1. Introduction

Theoretical framework has different interrelated concepts and ideas which would be a foundation and set parameters or boundaries for the study. It is also possible to determine problem areas, content considerations, research questions that need to be addressed, and the methodology or way in which the researcher plans to go about finding an answer to the research question. In order to conduct a systemic review of literature and theory and arrive at a better understanding for the research question proposed it was tried to investigate the question using two development approaches as theoretical frameworks. These analytical frameworks consists of coherent set of theories linked to primary and secondary data with a methodology allowing a connection to be made between theoretical proposals and emerging observations and experiences.

In order to fully capture the spatial transformation occurring in neighborhood open spaces, there is a need to investigate the governance structure and the stakeholders involved in the context of Ethiopia. Environment policy, process and institutions will be reviewed in order to help further discussion on the role of good governance. Therefore the context based question of this research will be reviewed in light of the discussion presented on good governance in development. This discussion is drawn from a paper presented on the partial fulfilment for the course 'Urban Governance'. Primary data from environment protection authorities and agencies in different levels of the state and city were collected to correspond with the theoretical perspectives. Uncovering the simultaneous process involved in Environment governance using empirical methodology with rigorous criteria promotes the context related question which leads to investigate the first main question on how different stakeholders relate in the overall governance structure.

The first main question for this research is presented in order to further investigate environment policy process and the current approach and practice of open spaces development. Since the major goal and objective of environment protection is both for the wellbeing of human beings and the ecosystem in general, there is a defined need to review the human interaction. Therefore reviewing neighborhood open spaces development and spatial transformation undergoing is tried to be seen in the eye of few actors and individual research. Based on this quest a theoretical discussion on participatory development approaches and contemporary critiques is presented to further navigate through the real sense of governance at community level. Like the previous section this discussion is also drawn from a paper presented in partial fulfilment for the course 'Theories of Development'. The role and

action of stakeholders in the development of open spaces in the *Woreda* administrative level will be elaborated in this perspective to strengthen the finding of the review.

Finally the spatial transformations occurring in neighborhood open spaces are greatly in tie with the housing development project in the study area. Therefore a theoretical discussion is presented in the policies towards sustainable housing projects, to capture the impact of public policies in a time frame. In this regard the open spaces found within the neighborhoods are transforming spatially with the aid of community participation; therefore reviewing these changes in light of the housing policies will be a back draw for the second main question raised in the research.

In conclusion, this research paper tries its level best in analyzing the three research questions systematically in order to arrive at a deeper understanding of their implications. Understanding the context of environment policy process in Ethiopia and neighborhood open spaces development particularly in Addis Ababa will further help us to answer the fourth normative question. In order to achieve the objective set forward by the research, drawing generative themes and lessons from the findings could help to indicate what can be done to insure a more sustainable neighborhood open spaces transformation in Addis Ababa.

### **3.2. Good governance in development**

'Governance' is a buzzword in international development, with different definitions about, but all have to do with the way power and authority are exercised. The term can be traced back to classical Latin word for the steering of boats (Hufty, 2009). Governance now generally refers to a range of institutions, including government but also wider structures of power and authority at local, national and global levels, and the ways these function. The Encyclopedia of International Development defines governance as:

... an inclusionary means of politics. It can be distinguished from 'government' because it refers to an official body – elected or unelected – that conducts policy making. 'Governance', however, refers to a process of decision-making that includes bodies more than just 'government', and is a process that, ideally, implies willing participation within politics by all citizens.

Governance is a broad term for processes of decision-making. But good governance has come to mean something much more specific in the international development arena – a bundle of political and economic policies promoted by international financial institutions and some development agencies (Beban, 2010). The term can be traced back to a 1989 World Bank publication on African development. African academics Thandike Mkandawire notes that the inspiration for the term in fact

came from African scholars who were commissioned to prepare background reports for the World Bank, in which they highlighted the need for state-society relations that were developmental, democratic and socially inclusive (ibid.). It was initially being used as a methodological tool for identifying the effective sites of power (Hufty, 2009). It has become a political tool for changing societies rather than an analytical approach (Shivji, 2004). Its use has normative connotations, and refers to what 'should be' and not to what 'is' (Hufty, 2009). In this regard it generally refers to a list of admirable characteristics of how government ought to be carried out and the positive images it embodies. Although the organizations which advocate good governance has no definitive homogenous list, attractive characteristics of good governance were championed (ibid.); for example the World Bank set out accountability and transparency, efficiency in how the public sector works, rule of law, and ordered interaction in politics to be indicators of a well performing state (Beban, 2010). The UNDP, which has taken a strong interest in promotion of good governance, singles out characteristics like participation, transparency, accountability, effectiveness, and equity as its most important characteristics (Grindle, 2008).

In the 1990s, the World Bank blamed 'bad governance' for ongoing development failures, and multilateral agencies and donor countries took up the pursuit of good governance (particularly anti-corruption) as an increasingly common aid objective (Beban, 2010). Through time good governance was used to refer to normative concerns about what government should do; reduce poverty, maintain macroeconomic stability, or provide basic services (Grindle, 2008, p. 2). Despite some differences in definition, the idea of good governance has also resonated across a wide political spectrum. As Grindle points out

... for those on the political right, good governance has meant order, rule of law and the institutional condition for free market to flourish. For those on the political left, good governance incorporates notions of equality and fairness, protection of the poor, for minorities and for women and a positive role for the state. For many others found along the continuum from right to left, the concept is attractive for its concern about order, decency, justice and accountability. (...) Increasingly, then, the idea of good governance became a way not only to assess the role of the state in development and invade safely the minefield of domestic politics, it became a defining quality for development and a necessary condition for it. The normative ingredient of the definition of good governance were shown empirically to be not only conducive to development but also necessary to it. (...) Thus, the concept of good governance proved expansive enough to embrace many causes. Each of these causes is no doubt good and worth of support and commitment. Yet, by identifying good governance as a precondition to development, each of these good causes become transformed into necessary component of initiatives to stimulate growth and

political stability. Getting developed became more and more onerous as increasing numbers of preconditions were tacked on the agenda (2008).

Different academic research, development practice and advocacy have reached a strong consensus on the importance of good governance; in academic research, we have statistical proof that good governance is critical to development; in development practice, we have mountains of evidence of bad practices and weak institutions constraining the potential of development (Grindle, 2008). They began to make loans conditional on a set of policies they defined as good governance, including economic and political liberalization and democratization. Aid agencies followed suits. In this regard focus on governance makes sense (Sharma, 2007). After all, aid will arguably have little positive effect if it is captured along the way and does not get to the people who need it (Beban, 2010). For citizens of countries where limited civic participation, a breakdown in the rule of law, a lack of independent media or high levels of corruption mean that people are unable to demand their basic human rights, good governance in the form of opportunities for people to meaningfully participate in decision-making is necessary (ibid.).

However, on one hand as a result of research and practice indicating good governance is critical to development; institutional blueprints for its achievement became common (Grindle, 2008, p. 11). There are, then models and 'best practices' for a good parliamentary democracy and effective checks and balance systems and blueprints for how to regulate environmental hazards, judicial institutions, tax agencies and federalism; the list could go on (ibid.). On the other, it is more necessary to sustain a state structure, which depends not merely on criteria for good governance derived from a certain single model, but on the deeply embedded social attitude and cultures, which are needed to make such governance work (Abdellatif, 2003). Rather than preaching for the uniqueness of one model and its application to different societies disregarding the diversity of their composition, application to different societies and nations should be seen in the context of local circumstances and according to local conditions (ibid.). According to Grindle some critical questions about the role of good governance in development are necessary challenging researchers, practitioners and advocates to step back and assess its promise realistically and historically (2008, p. 8). Since the danger is not the advocacy of good governance or the good things that various groups forward, but overloading the development agenda, inflating what 'what must be done' beyond the capacities of most countries, and making good governance a precondition (rather than a result or ancillary process) for development to occur (Grindle, 2008, Shivji, 2004, Beban, 2010).

Developing countries with weak formal institutions of governance are likely to have weak or non-existing institutions for making public decisions, allocating resources, protecting citizens and the

question of where to focus resources and what to do remains elusive (Grindle, 2008). Thus, a critical problem of good governance agenda in practice is the burdens its length places on countries that are in worst position to respond to them (ibid.). The agenda specifies an end goal in itself or a means to improvement in human wellbeing, and donors assume that good governance will improve the chance of development taking place but doesn't indicate how to get there (Beban, 2010). According to Kurtz and Schrank cited in Grindle 2008, they conclude that "the oft-asserted connection between growth and governance lies on exceedingly shaky empirical pilings." Some scholars have also claimed that much development assistance undercuts the governance capacities of developing countries since good governance agenda is imposed with a number of overwhelming reforms in which the time and attention of public officials in developing countries is fractured among a host of donor activities, and foreign experts take in the task of administrating policies, programs and projects (Grindle, 2008). Even if development assistance agencies have to some degree acknowledged this critiques, in practice the influence remains overwhelming with participation being window dressing for changes initiated and pursued by others (ibid.). Good governance has become a flexible tool in the hands of global hegemonies, to undermine sovereignty of developing nations and the struggle for democracy by the people (Shivji, 2004). The concept is dependent on the 'moral and political underpinnings of its architects'. The World Bank may use it to push an agenda of neoliberal policies, while the UNDP pushes its agenda via the inclusion of local government officials and civil society (Beban, 2010). At the end good governance "has no conceptual or theoretical value in understanding a phenomenon with a view to change it; rather, it is a best, a propagandist tool, easily manipulated by whoever happens to wield power and deployed in the dominant, neo-liberal development discourse in which the people are no longer the agents of change but, rather the victims of 'bad governance', to be delivered or redeemed by the erstwhile donor-community (Shivji, 2004, p. 3). It largely overlooks the possibility that institutions functions is subjected to timing and context. Grindle further elaborates that,

... the good governance agenda has grown with little attention to the historical experience of countries deemed to have good governance. It is obvious they didn't always have this, so how did they get better? Priorities, sequences, timing – are all institutions equally important? Are they independent of each other as they develop? How long does it take to develop good governance? Even without good responses to these questions, however, the practical work of 'fixing' bad governance has proceeded apace, far outstripping knowledge about how institutions. Within a short period, developing country governments have become laboratories for any number of efforts to generate good governance; many have been overwhelmed by the attention. (2008, p.12)

In recent years however, the global financial crises has fired up critics of the so-called 'good governance agenda'. According to Alice Beban review,

... the crisis, which stemmed largely from the inability of the global financial system to control corporate corruption and excessive risk-taking, has caused people to question the assumption that corruption and governance issues are a problem of the majority world. The financial crisis calls into question the legitimacy of the reforms majority world countries have been encouraged to follow in the name of good governance. In fact, as the CEO of France's International Development Agency (AFD) argues, definitions of good governance used by the World Bank and other aid agency risk discrediting the entire concept. Many current definitions suggest that the economic components of good governance, such as economic liberalization, and the political components, such as the promotion of democratic structures and transparent decision-making, are intimately connected. But now that the faults of the international economic system have put the economic components in doubt, what does this mean for the political aspects of the good governance agenda?

Therefore the question remains to be; what kind of reform, in whose interest and conceive and implemented by whom? (Shivji, 2004). The argument is not that good governance isn't important, but rather that it might not be essential or necessary for growth and poverty alleviation or democracy; good governance in fact, may even be a consequence of development (Grindle, 2008, p. 13). It is now the struggle of the developing world to think for themselves and to chart their destiny. In spite of what looks like the omnipresent and omnipotent global power, however, one must recognize Africa's unremitting potential to cope with the effects of political and economic crisis (Raeymaekers, Menkhaus, & Vlassenroot, 2008). "Africans have shown a great capacity to absorb and adopt to the effects of crisis and uncertainty in their everyday lives and have continues to pose alternative discourse, based on bottom-up struggles and aspirations of their people (ibid.). In light of the above discussion, the first research question tries to uncover the contextual background of environment policy process is discussed in light of the above theoretical debt. The research will review the major environment policy in Ethiopia, Environment Protection Authority and agencies in local administrations along with neighborhood open spaces development stakeholder in which the empirical data is then further elaborated in accordance with the theory and practice of good governance in development.

### 3.3. Participatory development

Over the last decade participation has passed different stages, generating new thoughts in different schools, changing political circumstances and new agendas in development thinking, in the development discourse (Hickey & Mohan, 2004). Currently, participation has become the central paradigm of alternative development being championed as solution for almost all the problems faced regarding poverty in developing countries. However, participatory development has recently been questioned by different scholars about the political and economic aim, agenda, approach and its success. Therefore these short review will first see the origin and progress of participation in the development discourse and the different approaches used to its success and further attempts to see the different critiques regarding the approaches and tyrannies of participation by giving empirical examples from participatory development programs. After highlighting the challenges it will conclude by giving out some of the contemporary approaches to participatory development which are based on the contemporary critiques over the year.

#### *Origin*

After the end of the Second World War, Modernization theory and mainstream development strategies became the response to the challenges faced by the World regarding development (Dube, 1988). It was believed that rapid industrialization and technological changes could be the driving forces for development in poor countries (Yossef, 2009). Hence development in the third world countries meant following the advanced countries by which planning was made by experts (Mohan, Participatory Development, 2001). Therefore in the 1950s according to some Modernization theorists participation was not regarded as such important (Martinussen 1997 cited Yossef, 2009, p. 42) , in fact Brohman and other authors referred participation as "populist movement" (Yossef,2009, p. 43) which could invite political instability and could be beyond the capacity of the official institutions accommodation(ibid.).This was believed because they viewed the masses as lacking the skills and foresight to plan for the future (ibid.) and the local people or „non experts" were sidelined and their only role was being objects of grandiose, national schemes (Mohan, Participatory Development, 2001).

But the beginning of the 1950s marked the time when modernization was challenged by political, economic and dependency models of development and underdevelopment (Yossef, 2009). Since the development programs of the mainstream development and modernization didn't yield much benefits, and were evasive on the vital issues of the poor (Dube, 1988) and also biased with the concept of

eurocentrism, positivism and top downism, created massive criticism (Escobar, 1995). According to Botchway it was during this period the term participation and participatory development also called alternative or people centered development appeared for the first time in development jargon (2000). It was the outcomes of frustration from different working groups, who joined a development program who saw the failure of this projects which didn't address the problems of the people (Rahnema, 1992). They started to advocate the end of top down approach by proposing participation as an essential dimension of development (Botchway, 2000).

Although participation has attracted a growing attention since the late 1950s, described as the importance and criticality of people for success of development interventions (Green, 2000), it was not until the 1980s that the concept of "participation" gained popularity and usage and became an established approach to development, especially among small nongovernmental organizations (Prokopy & Castelloe, 1999). During this period, participatory development became part of the alternative development approach which was a terrain of the "third system"<sup>1</sup> project (Pieterse, 2010) founded by the international federation for development alternatives IFDA<sup>2</sup> in 1976 (Friedmann, 1992). The project referred development as "who are best able to look for alternatives if not those who suffer from the existing disorder and who need change?" (IFDA 1988 cited by Friedmann, 1992, p. 3). According to Friedmann, the third system and generally the alternative development approach saw development at different scales and regarded that the "local space" was the "most significant for peoples creative unfolding" and participation was the tool (1992). He also cited

Development is lived by people where they are, where they live, learn, work, love, play- and die. The primary community, whether geographical or organizational, is the immediate space open to most people. It is in the village, the neighborhood, the town, the factory, the office, the school, the union's local, the party's branch, the sports club, the association-whatever its purpose- that personal and societal development first and best interact" (1992, p. 4)

Therefore Participation became a buzz word around the 1990's (Green, 2000) and started to be conceived as 'universally applicable' since its free from normative biases from outsiders and address the local people (Mohan & Stoker, 2000, p. 252) it compelled Makumbe to assert "participation is here to stay"(Makumbe, 1996 cited in Yossef,2009, p.179).

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<sup>1</sup> A project founded by the IFDA in Nyon, Switzerland which promotes the consciences of people role by humanization of people to be active participants in their affairs by organizing and expanding the autonomous power of people (Friedmann, 1992)

<sup>2</sup> IFDA is a Swiss non-profit foundation established in 1976 composed citizens and scholars from both third and the developed countries engaged to come up with new approaches to development and international cooperation (Wiser Earth, 2005)

Over the years participation had different meanings and definitions depending on the approaches and methods it use to address development (Mohan, 2001). The oxford English dictionary states that participation is 'the action or fact of partaking, having forming part of'. Julius Nyerere refers participatory development as the active involvement of people in the planning, development, implementation and evaluation of projects and activities that affect them (Prokopy & Castelloe, 1999, p. 213). The World Bank also defines participation as "the involvement of stakeholders who influence and share control over development initiatives, decisions and resources which affect them" (Cooke & Kothari, 2002, p. 5). Mohan tries to state that participation as direct involvement of beneficiaries from development will increase the effectiveness and efficiency of the development programmers (2001). Therefore over the years Government, development agencies and non-governmental aid agents have shown a precedent interest in the idea of participation (Prokopy & Castelloe, 1999). Rahnema suggest six reason as to why that is (1) Due to the need of governments and other officials need to fulfill bigger tasks with low cost with the help of participation, (2) The feeling and perception of participation has created the feeling of trust and started to be attractive slogan for politics, (3)created reliable in poverty alleviating programs if it is organized under a good appealing way to propose for economic aids, (4) it was perceived to bring close knowledge of the reality in which development practices are been done, (5) Different donor countries have started to see the flow of their donation right to the people in the system of participation which has increased many NGOs and other institutes to use participation as a tool,(6) it has started to attract the private sector to be directly involved in the development agendas and businesses (1992, pp. 117-120).

### ***Participatory approaches to empowerment***

In alternative development approach, participation as tool has four basic intended functions to bring development (1) **Cognitive** terms which help regenerate the development discourse and practice, (2) **Political** function of empowering the voiceless and the powerless. (3) **Instrumental** function to provide new alternative and (4) **Social** terms of participation giving a new lease of life to development discourse. (Rahnema, 1992, pp. 121-122). Therefor in carrying out these functions, participation has now come to its ideal and radical state of empowering the people (Prokopy & Castelloe, 1999). Empowerment is a state that recognize the 'local' people or people who were marginalized by the mainstream development and been dominated by the elite, to bring their perspectives, opinions and knowledge as part of decision making in development agendas (Green, 2000). One of the foundational concepts for empowerment of those who are powerless goes back to Mahtem Gandhi's concept of '*antyo daya*', the idea that true development puts first those that society puts last."(Durning 1989 cited in Prokopy & Castelloe, 1999, p. 215). Friedmann also points out participation is a tool to

transform the claim of the poor into their right to have (1996 cited in Mohan and Hickey, 2004, p.61). As a result empowerment is believed not only achieve economic and social changes in development but also to bring about a moral transformation in the participants attitude as a change agent (Green, 2000).

In order to achieve better outcomes from projects and also act as a processes in which people will build their capacity (Cleaver, 2002) participation has brought different approaches and techniques in order to go through locally managed changes (Green, 2000). Prokopy and Castelloe reviewed approaches to participatory development which emanated from the global south depending on the actors and agents involved in the development agenda (1999). Approaches to participatory development from the global south included (1) The *Animation Rurale* which was developed by French Colonist in the 1960s tried to bring development or change within the community using indigenous change agents, who are trained in a regional level (Friedmann, 1992) and the local people in the community by focusing mainly on the center of the village. The global south still continues the practice of using indigenous change agents in the practice of participatory development (Prokopy & Castelloe, 1999, p. 215). (2) *External agent approach* which is similar to that of *Animation Rurale* trying to approach development from the local community but only using external agents as animators rather than local people (Burkey 1993 cited in Prokopy & Castelloe, 1999). Burkey also tries to see how the external agents go into the community first to listen and learn about the people by helping the community to *conscientization*<sup>3</sup>. These agents help local or community based organizations by giving out trainings on different aspects and helps the local leaders to build their capacity as co-creators of change in order to share experience with other local organizations and create collaborations (Prokopy & Castelloe, 1999, p. 216). (3) *Participatory rural approach* also highly overlaps with the above two models, but it doesn't have an actual approach but a collection of approaches to participatory development (ibid.). Chamber states that "PRA is a growing family of approaches and methods to enable local people to share, enhance and analyze their knowledge of life and conditions, and to plan, act, monitor and evaluate" (ibid., p. 102). It's generally facilitated by external agents following a step wise sequence beginning from analysis through planning and action to monitoring and evaluation in which each step is centered on a participatory method associated with PRA (Prokopy & Castelloe, 1999, p. 216). We can summarize that most approaches to participatory development state that identifying and "codifying" the local knowledge comes first in

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<sup>3</sup> Paulo Freier presented the theory of popular education which has also contributed for the foundation of the concept *conscientization* process by which people critically discuss on the current social and political issues in which they live to come collectively and work to change a system (Prokopy & Castelloe, 1999).

developmental changes and the process among the community even if they get training from external agents (Mohan & Stokee, 2000, p. 252). In which some cases external agent could acts as a catalyst to the changes in the community by initiating the process with a few ties to the community.

Table 7: Role and Relation of Actors in Participatory Development

Participation Type	Outsiders' Objective	Roles and Relations		Control/Ownership
		Outsiders'	Local People's	
Totalitarian	State Political	Dictator	Complier	Outsiders'
Nominal	Superficial Legitimization	Manipulator	Puppet	
Extractive	Obtain local Knowledge or better planning	Researcher/ Planner	Informant	
Induced	Gain action through material incentives	Employer	Worker	
Consultative	Gain action through material incentives	Rational Economizer	Collaborator	
Partnership	Shared responsibility	Co-Equal Partner	Co-Equal Partner	
Transformative	Facilitate sustainable development by local people	Facilitator/ Catalyst	Analyst/Actor/ Agent	
Self-Mobilizing	Support spontaneous actions	Supporter	Controller/Owner	Local Peoples'

Source: Adopted from (Chamber 2005, p.106) that draws from several sources, including the version of Andrea Cornwall and Petty (1994, 1995b ) cited in Elias 2008 page 59

### ***Contemporary critiques on participation***

It is been seen from different approaches to development and participatory development programs, that participation has become a 'fate in development' (Clever, 2002, p. 36), in which it is believed that participation is a good thing and adjusting and fixing the technical limitations of participation will solve and guaranty the success of participation, to insure the good will of the people and empower the participants (ibid.). The use of participation as a word is so powerful with a strong concept and appealing idea; however it suffers from many ambiguities in which most part of project implementation its complexity goes unrecognized (Michener, 1998). The key arguments that arise in participation and participatory development tries to point out the obsession of participation with the word 'local' (Mohan & Stokee, 2000), inadequate knowledge of external agents in their role to change and using participation to perform technical works than the sole purpose of empowerment, the challenges in a marginal group regarding power, economic and social relations (Hickey & Mohan, 2004). One of the major critiques to the participation and its approaches face the question of "who participates and who benefits from the participatory development" (Cornwall, 2003, p. 1328). For approaches which focus

greatly in the participation of local people could end up being unfavorable to minority groups of the community and their voices could still be ignored (Prokopy & Castelloe, 1999).

Box 1: Case study from India and Nepal

Agarwal also explain this as “participatory exclusions” by using a classical example of participatory development in forest management program from India's and Nepal crisis in the decline of forest resource in 1970"s (2001, p. 1626). The crisis in India led to the emergence of the *Joint Forest Management* program which “Forest Department and the village community enter into an agreement to jointly protect and manage forest land adjoining villages and to share responsibilities and benefits” (<http://www.rupfor.org/jfm.asp>). JFM has a structure made of two bodies; the General Body<sup>4</sup> and the Executive Committee<sup>5</sup>, each of these bodies made of the community and has a great contribution on passing decisions which affect the management and use of the forest (Agarwal, 2001). But through the study it was seen that women only made up 10 percent of the general body and even missing in the executive committees (ibid, p.1626). Due to the fact that one person from a household is a member of these bodies and men were the head of the household as a consequence women were participating at a very low rate in these meetings which lead the committee to be a men's group and override the outlook of women's perspective (Agarwal, 2001). Since the management strategies and the decisions made have been highly influenced by men, the lives of women got difficult and they suffered from high workloads in finding and collecting fuel woods (Cornwall, 2003). This project has also brought problem regarding graze land for those who highly depend on livestock , who made up the poorer group of the community and had little say in the decision makings (Hildyard et al, 2002). Even though Participation through this project has brought substantial change in the forest management, the exclusion of women and the poor makes the project fail on this count (Agarwal, 2001). This is caused due to the ignorance of culture and the values of society in which most developmental practitioners assume that culture and tradition hinders the activities of the society (Cleaver, 2002), and not having a clear understanding of the relation among different parts of the society

The debate on participatory development approach based on the example given above continues by pointing out that the political imagination of this approaches in taking and treating the term local as a homogenous and harmonious (Mohan & Stooke, 2000) and as static who share common needs regardless of their variation in terms of age, sex, class, ethnicity, and religion (Cooke & Kothari, 2002). It overlooks the changing identity of the community and the difference among people's choice on whether and how to participate (Cleaver, 2002). Interestingly most approaches to participation states that participation is a moral command for an individual and it would be irresponsible if one doesn't

<sup>4</sup> It is potentially drawn members form the whole village meeting once or twice a year (Agarwal, 2001, p. 1626)

<sup>5</sup> Composed of 9 to 15 people meeting once a month (Agarwal, 2001, p. 1626)

participate and it's believed that a person will participate with the incentive to a community development as a whole (ibid.). This approach to participation lacks the economic rationality of a person and only deals with society and participation are the only things needed to ensure the economic development (ibid.). Assuming that participation by the community will be considered positive and helps to unleash the driving force for development once local people are mobilized adequately, has its own limitations when it comes to reality (Cleaver, 2002).

However at this stage of development and development discourse, participation is not only criticized from the angle of approach, practice and techniques; but also from deep rooted political perspective and is questioned the tyranny related to power (Cooke & Kothari, 2002). The intention of participation to empower people and function as a legitimate political notion in order to protect the people from brutal power abuses was pure and noble (Rahnema, 1992), but in reality, this discourse is challenged highly as who gives power or transfer power to whom and most of the time unclear in who is to be empowered (Cleaver, 2002), and also hard to evaluate or weight the impact of popular empowerment (Rahnema, 1992). Green also explains that participation as a politically acceptable phenomenon by development workers who thinks it will bring a fair world, creates a question on whether they think the poor are capable of creating their own realities and transform their developments goals own their own; or are they dependent on the development practitioners and also external agents to facilitate this process (2000). He also points that "empowerment through participation is a fantasy divorced from political actions beyond the local community, imagined as homogenous mass of the poor and very poor with an inherent tendency towards collective actions" (2000, pp. 72-73). The biases in empowering people continues by the performance of external agents referring the local knowledge as the need of the people; while it is actually a need structured by themselves which is a manipulation of a new knowledge by the agents rather than the involvement of people in new ideas and decision makings (Mosses, 2001). Bill Cooke further sees this biases from the face to face sessions tool in participatory developments which manipulate the decisions making of an individual(2001). He points out that most people could be influenced by the opinion of others, which led people to take a collective decision than individual opinions which has a higher risk in decision makings. Therefore participation is witnessing different critiques weather it is a means or an end to development (Cleaver, 2002) and on who is to be empowered and how; in order to address development problems with the people for the people by the people.

#### Box 2: Case study from Burkina Faso

According to Michener, a case study in Burkina Faso on participatory project to bring about a non-formal education to the illiteracy problems faced by the country shows quite clearly the biases behind the term participation among different stakeholders (1998). External agents like Save the Children who are working on this project see participation as empowerment in decision making at each levels and steps of the program in which the community actively participates (ibid.). They think participation has a lot to do with surrender of power in the projects and allow the beneficiaries (local people) have control over funds and make decisions. But the major problem is this policy to empowerment didn't have a method or technique on how to implement it. On the other hand FDC (*Foundation Pour le Développement Communautaire*) a local organization in Burkina Faso, saw participation as a value paid by participants for the services they receive from agents. They saw empowerment and decision making by the local community as a white scale and couldn't see the capability of the communities' full commitment to participate (Michener, 1998). Therefore over the years, the relationship between agencies and the local community have not been clear. This is due to the project beneficiaries' perception of participation is highly related to their past experience in which most saw working on participation and development projects as a way to wealth and a ticket to the city (ibid.). Therefore for the community, participation has become a "physical and financial payment for receiving a development project" (Michener, 1998, p. 2115). From these we can draw that all the stakeholders in development programs and participatory projects none of them are really engaged in the practicality of the policy and have been fully committed to its success which is one of the limitations of participation in development discourse (ibid.).

#### **Conclusion**

Participation in development discourse have moved unchecked through different levels since the 1980's witnessing problems in which it failed to bring empowerment and transformation in development as it was hoped (Hickey & Mohan, 2004). Even though participatory development has brought very real benefits to some localities, the concept however have been abused and misused as well as did little to address the extra local process (Mohan, 2001). Due to the lack of adequate theoretical framework and analytical tools as a political process about participation for transformation in development resulted in depoliticisation of participation which as a result served for technical fix for unequal development. (Mohan & Hickey, 2004). Therefore over the years these and many more critiques have brought as to contemporary approaches that have been developed based on the contemporary critiques of participation (ibid). These contemporary approaches tries to see how participation can bring transformation in development agendas by finding alternative and stressing on ensuring the efficiency and focus of the methodology to be distributed across all arenas and levels

in which decision is made . They also respond by incorporating political sense of agendas by showing the overlap of participatory governance by working on "citizenship", "rights", "political space", "political capability", "political contract" and also "political capacity" (Hickey & Mohan, 2004, p. 12). Hickey and Mohan also suggest that participatory approaches should be "ideologically explicit and tied to a coherent theory of development" in which the previous practices have lacked suggesting that the center of focus in which participatory transformation should go beyond the level of individuals and the local people and be also part of the process and the relation among one another and between the different stakeholders (2004).

Based on the contemporary approaches to participatory development we are at the age where we need to diagnose what participation really means and appreciate its complexity in order to critically work on why we need empowerment, who needs it and how can we achieve it. Therefore it's vital to build a clear frame work regarding its approach, application and success by development planners, practitioners and academicians as well as participants to bring it to reality and respond to field level. With this discussion as a departure, the research sets out to explore the first main question in depth by investigating the level and degree of participation in open space development within the case area. This theoretical discussion will strengthen the findings from the context based question and relate to the overall governance system at the *Woreda* administrative organ both to gain an understanding and later reflect on the general participatory approaches and practices to environment protection and development.

### **3.4. Overview of housing policies**

We are living in a period of profound and accelerating technological, social, economic and political changes. These major transformations are highly occurring in the spatial structures of cities in the developing world due to rapid urbanization, globalization, environmental crisis and the changing relation of the state and civil (Rod, Marisa, & Theo, 1997, p. 3). Since these changes to a new urban form bring concerns regarding sustainability and competence of actors in managing the built form, in which different spatial models were used to understand and interview in the occurring spatial structures in the past (ibid.). Housing as one of the determinants in changing the urban form has been debatable and subjected to different policies and strategies in the last 3 decades in responses to the transformation. These approaches have evolved over time, and many are still being implemented despite their failure to find lasting solutions, constituting the essence of the contemporary urban planning challenges thus requesting change in the role of professionals in urban areas and their practice accordingly.

Benign neglect or *laissez-faire* attitude in the 1950's in developing countries towards proliferation of new shanty towns in squatter settlements which were assumed as the direct results of migration of rural people to cities (William & Ondera, 1982) were tolerated because they were seen as transition of the poor to the new urban systems (Arimah, 2008). In turning a blind eyes to slums, governments pursued a program of low-cost housing as a strategy for meeting the needs of low-income households having faith on high and steady economic growth to eliminate squatter settlements. However the program failed due to not enough dwellings provided, unrealistically and high standards, very expensive for low-income families and corruption (*ibid.*). In the sixties when it became clear that the policy of benign neglect would not lead to disappearance of slums the urban policies argued slums and squatter settlements were diseases to urban structures (Turner, 1966) derived from modernization theory with its strong western bias (Elias Y. , 2008). Therefore infrastructures and service provision by the state to slums and squatter settlements were reduced, eradicating or rehousing of inhabitants from this settlements and solving the source of immigration from rural areas were adopted as a spatial model to overcome challenges (*ibid.*). In reality, slum clearance of the 1960's, which happened in Brazil, Nigeria and South Korea can be cited as endless cycles of slums and their evictions (Hardoy, 1989, cited in Elias, 2008, p. 44) which hardly involve any meaningful dialogue with those evicted and lacked careful planning, and are hastily undertaken without proper coordination by the implementation agencies and financial and resource constraints of city authorities worsened the housing problems and living conditions of evicted households (Arimah, 2008).

The current polices of urban professionals towards squatter settlements, slums and low income settlements evolved out of the 'revolution' in housing policy that occurred in the seventies (Rod, Marisa, & Theo, 1997) provoking a response from two fronts (Abbott, 2002). The experiences and lessons learned from the *Barriadas* of Lima, Peru and other similar cities were the main empirical basis for the first response in academics by Jhon F.C. Turner and others to develop the self help (Elias Y. , 2008, p. 45). They strongly argued that instead of suppressing and supplanting uncontrolled settlement, it would be wise to understand, support and guide such settlements, in which government's role is to concentrate on the provision of land and access to resource and control their values and use, rather than constructing unaffordable public housing developments (Turner, 1976). The second response was recommendations from the first habitat conference in Vancouver in 1976 with alternative approach advocating to replace social housing with guided self-help, and the mechanisms of delivery were the provision of sites-and-services and in situ slum upgrading (Pugh, 1995, p.64 cited in Abbott, 2002, p.306) and a shift in planning experts focusing on projects in search of affordable, minimum subsidies and replicability criteria's in housing development (Rod, Marisa, &

Theo, 1997). Sites and services schemes were later criticized for not having a sustainable basis for housing delivery failed at being neither affordable nor meet cost recovery and replicability criteria (Arnott, 2008). Effectiveness of slum upgrading strategies and self-help theory were challenged as well through different scholars for overlooking the commodity status of any shelter and ignoring the political face of the housing and the role of architecture in housing (Elias, 2008). According to Herbert (1999), the most expensive slum upgrading efforts in Calcutta, Jakarta and Manila showed a remarkable results at the beginning but later were challenged by affordability and cost recovery due to the expose of projects to taxations, rental increase and high cost of maintenance leading to gentrification of low income people in the urban areas. It was also limited due to falling to have city wide effect; inability to address the more fundamental supply constraints of land, finance and building materials; weak institutional and financial mechanisms as evidence by the high dependence of external funding; and the absence of any clear focus on poverty reduction (Arimah, 2008, p. 7).

In Mid 1980's and 1990's the change in world economy obliged many countries to implement adjustments programs to improve their international position and a new consensus were reached on the macroeconomic and regulatory environments as important; the informal housing sector has significant contribution to make; projects have limited impacts; attentions should continue to shift to housing sector as a whole and emphasis should shift from projects to institutional reform (Arnott, 2008, p. 22). Neo-liberal views of market oriented development were reflected on privatization of public housing in different countries (Elias A. Y., 2009, p. 944), deregulation and regulation of reform, institutional capacity building; political and administrative decentralization (UN-HABITAT 2001 cited in Elias, 2008). Again the role of urban professionals shifted from project to program leading and with the rise of theory and practice of enablement, with a decrease role of government, NGOs served as intermediates between aid institutions and the grassroots (Potter et al, 2004 cited in Elias, 2008). Misconception of communities, state and market as homogeneous in character and interaction (Hamdi 2004: pp. 110-111 cited in Elias, 2008, p. 50) with free market's aim is to earn profit rather than to improve housing (Duran, 1995) had a cost in social degradation and environment squalor, varying in many African countries on the deprivation of human dignity with its effect continued to this date.

Therefore the second main research question will investigate the significant spatial transformation that occurred in one of the housing projects of the late 1980's in Addis Ababa city by making the neighborhood open spaces as a central theme. The 'association of the 25 housing cooperatives of Bole *Medhanialem*' background history will be briefly discussed to elaborate on the relation of public

policies and their relation with community development approaches and practices. The self-help theories that established this neighborhoods has continued till this day in providing basic services and infrastructures to the community. The open spaces development project within this neighborhoods was found to be a good case study to further correlate how self-help theories and policies on housing have a long and progressive influence over the environment protection and development approaches and practices and the significant spatial transformations occurring on urban open spaces.

**PART-III: BACKGROUND STUDY**

## **CHAPTER 4: BACKGROUND STUDY**

### **4.1. Introduction**

The following chapter discuss the situation of environment policy process and urban open spaces development in the context of Ethiopia particularly in Addis Ababa. It focuses on the process of decentralization in Ethiopia and the influence on local governance in protecting the environment and delivering service to the community members to highlight the important themes of good governance in the process. It further tries to discuss the trends of urbanization and how they are influencing both the governance structure and open spaces in Addis Ababa to highlight the major challenges and opportunities of urban growth. The process of decentralization has been key in the implementation of policies and strategies in the FDRE since the inception of the constitution in the 1995 G.C., therefore the following sections will discuss the environment protection policy process in FDRE to give a backdrop for the case under study. The constitution of the FDRE is also reviewed to highlight important themes for environment protection and development policy process and institutional framework set in motion.

### **4.2. Decentralization and urbanization in Ethiopia**

Ethiopia is situated in the north-eastern part of Africa. It is bordered by Sudan to the West, Eritrea to the north, Djibouti and Somalia to the east and Kenya to the south, covering 1,133,380 square kilometers. Ethiopia is the second most populous country in Africa with a population of about 80 million (UN-HABITAT, 2011). There are two major seasons encompassing dry and wet seasons; the dry season prevails from October through May, while the wet season runs from June to September. Much of Ethiopia has a temperate climate, because of its elevation. Economically, it's one of the poorest countries in the world however recently it is experiencing fast economic growth in its region. From 1974 to 1991 G.C., Ethiopia was governed under a Provisional Military Administrative Council (PMAC or *Derg*), which promulgated the Peoples' Democratic Republic of Ethiopia under a new constitution modeled on a Marxist-Leninist state in September 1987 (Elias Y. , 2008). After the overthrow of the military administrative council (*Derg*) in 1991 G.C. by the Ethiopian People's Revolutionary Democratic Front (EPRDF) a conference was held on June the same year with the objective of designing a transitional program and administration for the country (ibid.). The conference approved the transitional charter, which upheld the sanctity of democratic rights and civil liberties, and established the Transitional Government of Ethiopia, which implemented extensive economic reforms and radical form of federal devolution of nine new regional states (UN-HABITAT, 2008). Following the election in June 1994, the new constitutional assembly abrogated the 1987 constitution

and approved its replacement in December 1994. It entered into force on August 1995 G.C., establishing the Federal Democratic Republic of Ethiopia (FDRE) (ibid.).

The Ethiopian government is based on the parliamentary system whereby the political party or parties with the greatest number of seats form and lead the executive body (UN-HABITAT, 2008). A legal basis was provided for the establishment of the nine regional governments drawn along ethno-linguistic lines as part of the new federal arrangement and two chartered, autonomous cities which are Addis Ababa and Dire Dawa (ibid.). According to the Constitution, the House of Peoples' Representatives (HPR) is the supreme lawmaking body in all matters under federal jurisdiction. Furthermore, the council of Ministers is responsible to the HPR in all decisions and submit draft laws to the house on any matter falling within its competence (FDRE, 1995). Further, the House has the power to call and question the Prime Minister and other federal officials and to investigate the executive's conduct and discharge of its responsibilities. The House of Federation (HF), on the other hand has the power to interpret the constitution when any federal law is contested as being unconstitutional. Members of HF are elected by the state council and are composed of at least one representative of each nation and nationality (ibid.).

Decentralization is the outcome of the adoption of a federal system of government in Ethiopia (Tegegne, 1998, Mulugeta, 2012). With the devolution of power to the regional governments, implementation of economic policies and development programs has shifted, to a large extent, from central to the regions, therefore the regional governments are responsible for implementing public policies and for maintain order (ibid.). By way of deepening and broadening the decentralization process, measures were taken to pave the ground to render lower administrative organs (*Woredas*) the center for socio-economic development in order to ensure their autonomy on resources, they take on new functions and develop required core competencies (Tegegne, 1998, Serdar & Varsha, 2008). These was planned as a meaningful participation by the people in the local development programs and gender equality continued to be emphasized in the process of decentralization and empowerment (ibid.). In order to be sustainable, measures were also taken in the area of capacity building, as technical capacity limitation is believed to be the major constraint in the course of implementing the decentralization process, which in turn is expected to foster socio-economic transformation at a grassroots level (MoFED, 2004). The democratic aspects of decentralization was also dependent on strengthening the capacity of communities and civil society groups to federate and more effectively take advantage of the opportunities for the voice that decentralization affords (ibid.).

### ***Urbanization in Ethiopia***

Urbanization both as a social phenomenon and a physical transformation of landscapes in one of the most powerful, irreversible and visible anthropology forces on earth (Masakazu, 2003, UN-HABITAT, 2008). It has been the dominant demographic trend throughout the entire world during the last half century in which uncontrolled growth of city and town populations, lack of infrastructure, congested traffic, housing shortage and environment degradation have become the major issues faced by cities and towns (UN-HABITAT, 2008). Urbanization doesn't have only local environmental impacts but also a large 'ecological footprint' beyond its immediate vicinity (Masakazu, 2003, p. 4). Intensive and extensive exploitation of natural resources to support the urban economy contributes to the degradation of the natural support system and irreversible damage and loss of critical ecosystem functions (Dubbale et al , 2010). Other effects can be felt further afield, such as pollution of waterways, long-range air pollution that have impacts on human health as well as on vegetation's and soils at considerable distances (ibid.).

Though urbanization is not yet a major problem in Ethiopia, the rate of population growth in urban areas is much higher than in rural areas, mainly due to in-migration. Ethiopia's regional urban centers, secondary cities such as Adama, Bahir Dar, Mekelle, Hawassaa, Dire Dawa and particularly the capital city Addis Ababa are growing at unprecedented rate (Brooke et al, 2009, Aynalem, 2007 cited in Tadesse A. , 2008, p. 61). In 2007 G.C., 16.1 percent of the urban population was dwelling in urban areas (PCC, 2008). The environmental impacts of urbanization in Ethiopia include the negative health consequences of crowding and increased exposure to concentrated waste, unsustainable resource consumption and settlement on environmentally fragile land (UNDP 2004, Alemu & kohlin 2008 cited in Tadesse, 2008, Dubbale et al , 2010). Thus meeting the ever increasing demand for public service delivery, particularly in urban areas and surrounding rural hinterlands has become a challenge to municipalities (ibid.). For a variety of historical reasons, municipal governments were not adequately integrated into the larger legal and accountability framework of regional governance, and therefore have been limited in providing essential services to their residents by their ability to raise own-source revenues (Tegegne, 1998). Shortages of skilled personnel have also hampered municipal performance. Drought and war were also major causes to the high population influx into cities and towns, which in turn contributed to the deterioration of infrastructures and services (ibid.).

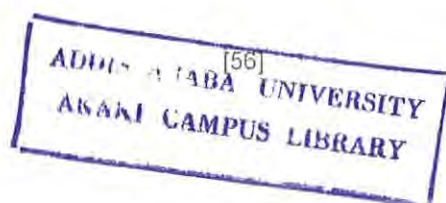
Nevertheless, Ethiopia's urbanization was not only seen as a challenge but also as an opportunity and potential for the development of the country by different stakeholders. The government has increasingly focused its attention on the needs of Ethiopia's rapidly growing urban population.

Therefore there was a growing attention to urban challenges since 2005 and 2006 G.C. where it was highlighted on how well managed cities could contribute for the reduction of poverty through economic diversification and innovation, growing market centers and the potential for urban-rural linkages (MoFED, 2006). The urban governance and decentralization program adopted by the state continued to achieve this program through a more comprehensive process of strengthening the policy, legal, regulatory and institutional frameworks and through consistent capacity building for urban, regional and federal authorities with performance monitoring and evaluation system (ibid.).

#### **4.3. Urban open spaces in Addis Ababa**

Addis Ababa is the capital city of Ethiopia located at the geographic center of the country covering 54,000ha of land (AACAA, 2013) with an estimated population 2,738,248 and growth rate of 2.1 percent per annum according to 2007 census (CSA , 2007) and is estimated to have reached 3.2 million (Elias Y. , 2008, p. 66). Demographic data from the 2007 Population Census also showed that Ethiopia is a country of young people with 66 percent of the population of 74 million younger than 25 years old. If those aged 25-29 are also included, this gives 74 percent of the population, or 55 million children and youth. This balance is also found in the Ethiopian urban youth population with 51 percent aged 15 to 19, but that of Addis Ababa being 56 percent (IDS 2009 cited in Tadesse, 2008, p. 74). Addis Ababa serves a dual purpose of city and state and its hub of commercial, industrial and service for the various people coming from all corners of the country. The Mayor is the chief executive of the city government and the second tier of the city government refers to the sub-cities in which the city is divided into ten sub-cities with the responsibility of municipal and non-municipal services. The lowest administrative of the government used to be *Kebele* until 2011 G.C which later was merged into 116 *Woredas*, for the purpose of strong institutional capacity at community level (AACAA, 2013).

Urban open spaces in Addis Ababa are usually termed as 'green spaces' because they are planned for recreation, beautification and low cost service giving to the community and are usually associated with vegetation cover. However, open spaces have been encroached and misused over the years in the city, which has created a serious problem for city dwellers to live in an area with access to clean and environmentally friendly neighborhood. According to the demographic senses of 2007G.C. Ethiopia is a country of younger generation, which present an enormous potential to the country in alleviating poverty and create a sustainable environment, however, the negative situations regarding the urban environment, particularly lack of proper recreation areas contribute to undermining the quality of life for the people by diverting their behavior toward immoral, unhealthy and dangerous acts (Tadesse, 2008). This situations force many children to stay at home and have excessive access to



television and artificial stimulants rather than having social interaction and playing with their age mates in natural settings. Similarly the elderly and different parts of the society can't find convenient and clean place to meet and enjoy each other's company in the outdoor environment.

Addis Ababa has an area of 7,734 hectares of eucalyptus tree coverage, which is about 15 percent of the total area or only 35 percent of the planned green boarder for the city (Tadesse, 2008). This shows that the city still lags on its green area target, and the current construction boom in city centers even threatens the remaining rudimentary forests and green areas. It's wise to acknowledge how religious institutions, especially the Ethiopian Orthodox Church contribute in conserving indigenous forests, but this spaces are also indiscriminately chopped down for either burial spaces or building and other construction purposes (Wondimu, 2007 cited in Tadesse 2008). The public park of Addis Ababa is also estimated to be only 196 hectares till recent years, in which the Addis Ababa city Development plan for 2001 – 2010 G.C., has designated 3000 hectares of the city's land for future development of public recreation parks, which would have increased the ratio of green area per person ratio of existing 0.7m<sup>2</sup>/p to 8m<sup>2</sup>/p (Wondimu 2007 cited in Tadesse 2008, p. 75). But by 2009 G.C., no evidence of this plan being put into operation could be seen (ibid.)

Generally Addis Ababa has not been lucky enough to have these critically important spaces included as one of its main components for health livelihoods in the past. Though there seems a lot of attention is being given to open spaces in Addis, the real situation still needs a lot of working towards sustainable environment protection and development. For example, more than 10,000 hectares of planned green areas in the development plan has been used for purposes other than its original intended use (Wondimu, 2007 cited in Tadesse 2008). The availability of recreational facilities, sport centers and urban center green areas still remain low as compared what's needed to make the city an environmentally friendly one. This could also be related to other urban centers in the country. Therefore, Addis Ababa still lacks the capacity to implement what has been planned, in which this bottleneck can be traced to social and cultural outlook towards open spaces and economic power and priorities regarding urban open space utilization.

#### **4.4. Environment policy process in FDRE**

##### ***The 1995 constitution of FDRE***

A separate enactment of environment policy is a recent phenomenon in the history of making laws in Ethiopia (Mellese, 2008). This a case trough out the world with an increase in environment challenges faced by many. However, there were legal provisions in Ethiopia which more or less dealt with environment issues, such as the famous *Fetha Negast* (The Law of Kings) of the thirteen century

(Mellese, 2008, EPA, 2003) Therefore these study will try and asses the environment policy, process and institutions in brief to answer the context based research question and later reflect on the normative research question forwarded. This assessment is limited to current bases of environment policy in Ethiopia, which is the 1995 constitution of FDRE by highlighting the major environment and development rights of citizens and the institutional frameworks set to achieve such goals and objectives. Thus it will first look into the constitution preamble as a background in order to see the shared vision of the state in which different national policies are based and further go to the specific articles which promote sustainable development and environment rights. With this Box 3 will put the preamble of the 1995 constitution and Box 4 will look into Article 43 and 44 of the constitution.

**Box 3: FDRE Constitution Preamble**

We the nations, nationalities and peoples of Ethiopia:

Determined to build by the exercise of our right to self-determination, for ourselves and our free will, a single political community which is based on our common consent and the rule of law so as to ensure lasting peace, an irreversible and thriving democracy and an accelerated economic and social development for our country Ethiopia.

Strongly convinced of the necessity of respect for the fundamental rights of individuals and of the nations and nationalities as well as the even development of various cultures and religions for the attainment of these objectives;

Convinced that we, the nations, nationalities and people with our own individual and admirable culture, territories and modes of life have by virtue of the fact that our country Ethiopia has been and still is our common home in which we have formed a common bond of relationship in various fields and in varying degree, developed a common interest and outlook.

Recognizing that our common destiny needs to base upon the rectification of historically distorted relationships and promoting common interests;

Convinced if the necessity of building a single economic community so as to promote our common rights, freedom and interests;

Determined to ensure the maintenance of the peace and democracy we have achieved through our struggle and sacrifice;

Now therefore, in order to consolidate these aims and beliefs, do herby adopt this constitutional assembly of this \_\_\_\_\_ of 1994.

Box 4: Sustainable development and environment rights

Article 43: The right to development

- The people of Ethiopia as a whole, and each nation, nationality and people in Ethiopia in particular have the right to improve living standards and to sustainable development
- Nations have the right to participate in national development and, in particular, to be consulted with respect to policies and projects affecting their community.
- All international agreements and relations concluded, established or conducted by the state shall protect and ensure Ethiopia's right to sustainable development
- The basic aim of development activities shall be to enhance the capacity of citizens for development to meet their basic needs.

Article 44: Environment rights

- All persons have the right to live in a clean and healthy environment
- All persons who have been displaced or whose livelihoods have been adversely affected as a result of state programs have the right to commensurate monetary or alternative means of compensation, including relocation with adequate state assistance.

Source: (FDRE, 1995)

In chapter ten of the constitution the guidelines for national policy principles and objectives are presented. Article 85, 86, 88, 89, 90, 91 and 92 are presented below in Box 5 to further show the themes presented within the constitution which backs the environment policy process in Ethiopia.

Article 85: Objectives

- Any organ of Government shall, in the implementation of the Constitution, other laws and public policies, be guided by the principles and objectives specified under this Chapter.
- The term "Government" in this Chapter shall mean a Federal or State government as the case may be.

Article 86: Principles for External Relations

- To promote policies of foreign relations based on the protection of national interests and respect for the sovereignty of the country.
- To promote mutual respect for national sovereignty and equality of states and noninterference in the internal affairs of other states.
- To ensure that the foreign relation policies of the country are based on mutual interests and equality of states as well as that international agreements promote the interests of Ethiopia.
- To observe international agreements which ensure respect for Ethiopia's sovereignty and are not contrary to the interests of its Peoples.
- To forge and promote ever growing economic union and fraternal relations of Peoples with Ethiopia's neighbors and other African countries.
- To seek and support peaceful solutions to international disputes.

Article 88: Political Objectives

- Guided by democratic principles, Government shall promote and support the People's self-rule at all levels.
- Government shall respect the identity of Nations, Nationalities and Peoples. Accordingly Government shall have the duty to strengthen ties of equality, unity and fraternity among them.

Article 89: Economic Objective

- Government shall have the duty to formulate policies which ensure that all Ethiopians can benefit from the country's legacy of intellectual and material resources.
- Government has the duty to ensure that all Ethiopians get equal opportunity to improve their economic condition and to promote equitable distribution of wealth among them.
- Government shall take measures to avert any natural and man-made disasters, and, in the event of disasters, to provide timely assistance to the victims.
- Government shall provide special assistance to Nations, Nationalities, and Peoples least advantaged in economic and social development.

- Government has the duty to hold, on behalf of the People, land and other natural resources and to deploy them for their common benefit and development.
- Government shall at all times promote the participation of the People in the formulation of national development policies and programs; it shall also have the duty to support the initiatives of the People in their development endeavors.
- Government shall ensure the participation of women in equality with men in all economic and social development endeavors.
- Government shall endeavor to protect and promote the health, welfare and living standards of the working population of the country.

#### Article 90: Social Objective

- To the extent the country's resources permit, policies shall aim to provide all Ethiopians access to public health and education, clean water, housing, food and social security.
- Education shall be provided in a manner that is free from any religious influence, political partisanship or cultural prejudices.

#### Article 91: Cultural Objective

- Government shall have the duty to support, on the basis of equality, the growth and enrichment of cultures and traditions that are compatible with fundamental rights, human dignity, democratic norms and ideals, and the provisions of the Constitution.
- Government and all Ethiopian citizens shall have the duty to protect the country's natural endowment, historical sites and objects.
- Government shall have the duty, to the extent its resources permit, to support the development of the arts, science and technology

#### Article 92: Environment Objectives

- Government shall endeavor to ensure that all Ethiopians live in a clean and healthy environment.
- The design and implementation of programs and projects of development shall not damage or destroy the environment.
- People have the right to full consultation and to the expression of views in the planning and implementations of environmental policies and projects that affect them directly.
- Government and citizens shall have the duty to protect the environment.

Source: (FDRE, 1995)

### ***Environment policy, process an institutional framework in Ethiopia***

Demands on natural resources often deplete those resources, and especially when not managed well, disturb the local ecosystem, causing general land degradation. People, in their attempt to survive, are forced to disregard the long-term wellbeing of the environment and thus degrade it further. Environmental degradation and poverty are thus interactive leading into a spiral of environment and human calamity. The environment policy of Ethiopia, which was extracted from the conservation strategy of Ethiopia (CSE), was approved on April 2, 1997 G.C. by the council of Ministers (EPA, 2004, 2003). The CSE and thus also the environment policy is the result of seven years of consultation and data collection analysis, it's overall goal is 'to improve and enhance the health and quality of life of all Ethiopians and to promote sustainable social and economic development through the sound management and use of natural, human-made and cultural resources and the environment as a whole so as to meet the needs of the present generation without compromising the ability of future generations to meet their own needs' (EPA, 2007, p. 119) . Therefore the Environment Protection Authority (EPA) was established under the Ministry of Natural Resources Development and Environmental Protection (MNRD&EP), in May 1994 in which later, EPA as environmental regulatory and monitoring body has become independent institution and re-established by proclamation no. 295/2002 (EPA, 2011, MoFED, 2004). The EPA supports constitutional rights through its guiding principles for subsequent policy, strategy and program formulation and their implementation. Box 6 gives out some of the environment policy background for EPA in order to relate the mandate of the institution with the policy objectives.

#### **Box 6: Constitutional background of EPA**

- Every person has the right to live in a healthy environment;
- The development, use and management of renewable resources shall be based on sustainability
- Appropriate and affordable technologies which use renewable and nonrenewable resources efficiently shall be adopted, adapted, developed and disseminated.
- Full environment and social costs (or benefits forgone or lost) that may result through damage to resource or the environment as a result of degradation or pollution shall be incorporated to public and private sector planning and accounting, and decisions shall be based on minimizing and covering cost;
- Regular and accurate assessments and monitoring of environment conditions shall be undertaken and the information widely disseminated within the population ; and ,
- Natural resources and the environmental management activities shall be integrated laterally across all sectors and vertically among all levels of organization.

Source: (EPA, 2007)

Regional environment coordinating committees were also created that oversees environment protection in their respective regions, drafted laws on overall environment regulation, environment impact assessment (EIA) and pollution control (MoFED, 2006) (EPA, 2003). The procedural and sectorial guidelines for EIA's have also been developed to enable the integration of environmental concerns into development planning, thus pre-empting environmental deteriorations and contribute to improved land management (ibid.). Therefore in order to undertake a sustainable management of the countries resource, the EPA is directly responsible to the council of ministers, with powers and duties. Box 7 highlights few of the authorities of the institution among the several aspects it deals with.

Box 7: Some of the authorities of EPA

- Prepare environment protection policy and laws, and upon approval follow their implementation
- Prepare directives and systems necessary for evaluating the impacts of social and economic development projects on the environment; monitor and supervise their implementation
- Prepare standards that help in the protection of soil, water and air as well as the biological systems that support, and follow up their implementation.

Source: (EPA, 2011)

The environment policy of Ethiopia focus environment protection and development at local communities, with the premises that local communities autonomy in decision making on the rehabilitation and sustainable use of environment resources was to be greatly strengthened by the implementation of strategies the public at large. Given the multi-sectorial nature of environment issues, public sectors (federal, regional), private sectors and non-governmental organizations where emphasized to be sensitive to any development activities they under take. In this regard EPA plays its facilitation and regulatory role and makes sure the different development actors comply with the standards set for Environment Impact Assessment (EIA) as well as Environmental Pollution Acts. In Box 8, we can see what conditions make the EPA be part of an EIA.

Box 8: Federal EPA involvement in EIA

- Have an environmental effect across international boundaries of Ethiopia
- Have an environmental effect across regional boundaries within Ethiopia
- Have an effect on environment of national and international significance; including but not limited to natural forests, wetlands, national parks, cultural heritage sites;
- Have a government department, relevant regional authorities or another statutory body as the proponent; and,
- Have the federal investment authority as the investment approval body

Source: (EPA, 2003)

Devolution to *Woredas*, among others, is meant to create enabling environment for them to play their roles in environment protection and development. Consistent with the principles of operating with in the regular government structure, the different tiers (federal, regional and *Woreda*) will play their roles in accordance with the powers and duties they are given in a coordinated manner. Thus all executive bodies in the country are to operate with close co-operation with the EPA to ensure the proper environment protection and development approaches and practices (EPA, 2003).

## **PART-IV: CASE STUDY**

## CHAPTER 5: CASE STUDY

### 5.1. Study area and inhabitants

The 'Association of the 25 cooperatives of Bole Medhanialem' was established in the late 1980's in the current Bole sub city, *Woreda 03* during the former Derg administration of the country. Among the establishment of 10 sub cities in Addis Ababa city administration, Bole sub city is one of them (See Figure 2 for the map of Bole Sub city). After the revised proclamation of 2010 Bole Sub City has 14 *Woreda* administrations within its borders. This sub city is highly regarded as the future of the city's development hub covering 11,711 hectares of land (BSC, 2012). Over 300,000 people reside in this sub city which is about 11.28% of the total population of Addis Ababa; in which 46.9% are male and 53.1% are female. Among the sub city dwellers 43.3% are 15-29 years of age in which again female have 58.2% ratio (BSC, 2012, p. 22). Since Addis Ababa is home for various cultures around the nation, the sub city has also a fusion of different culture and religions and is also a place for different embassies and foreign dwellers.

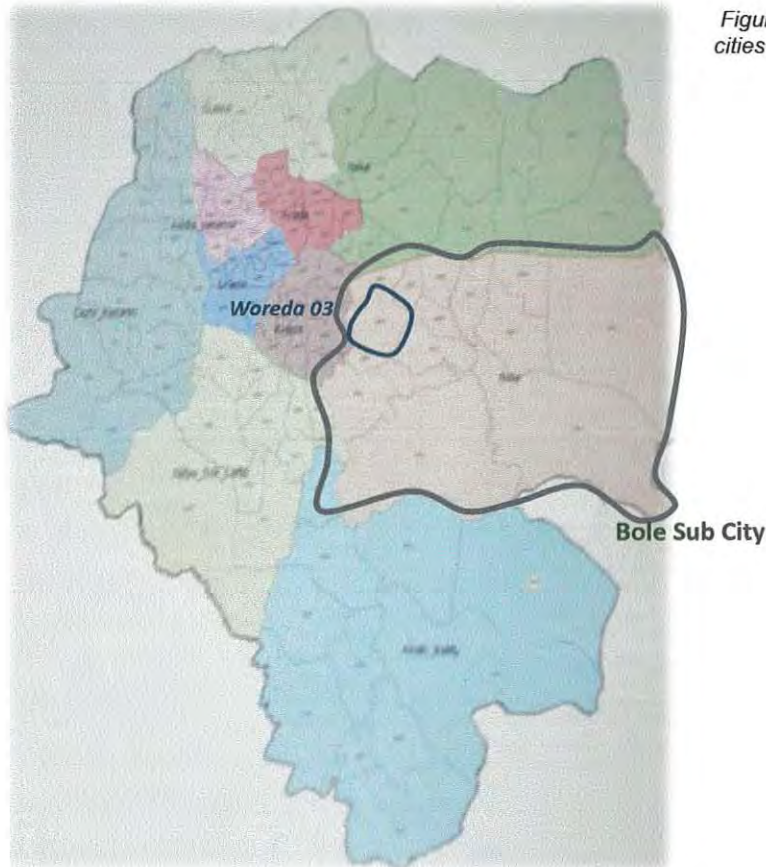


Figure 2: Addis Ababa City Map with 10 sub cities and particularly Woreda 03

Originally the 25 cooperatives that made up the community had a total of 448 households and between 2,500 and 3,000 family members (See Fig 3 for location of study area). The design of the site has three elements: plots for housing unity, community open spaces provided for the purpose of supplying good aeration through greening to fulfill the community social needs and the internal roads for circulation. The project was primarily designed as a pilot demonstration in Addis Ababa of lower cost approaches to housing development and upgrading of infrastructure services based on the priority requirements of the city in 1970s (Abraham, 2000). As this project was the first of its kind in Ethiopia, the physical design of the schemes, which were being developed by the implementing agencies, evolved during the early years of implementation, taking into consideration materials availability and local practices (ibid.). While it was always expected that new houses would be developed utilizing self-help techniques, it was not originally envisioned that construction would be carried out exclusively by housing cooperatives, which was considered as a government policy which turned out to be highly successful (ibid.).

Given the limited experience of the government in implementing sites and services and upgrading programs in the past, the scope and scale of the project were considered appropriate and the project was assumed timely in that it was launched when government was beginning to evaluate the impact of nationalization policies of urban land and rental houses were considered a useful demonstration of a public private partnership in housing development, employing cost recovery of the services provided thereby reducing the burden on the Government's budget (Abraham, 2000, p. 3). According to Abraham

Ministry of Urban Development, Housing and Construction (MUDHC) was to be the key implementing agency for the project, responsible for design and construction of all physical works, except maintenance and community facilities, which were to be the responsibility of the Addis Ababa Administration Region (AAAR). For its purpose, MUDHC established on a temporary basis a project implementation unit, the Urban Development Project Office (UDPO). However, as AAAR was responsible for development programs in the capital, it was questionable why responsibility for design and implementation of the sites and services and upgrading projects was vested in a temporary office under MUDHC created solely for the purposes of the project rather than in AAAR. These overlapping roles later lead to confusion and a less than satisfactory working relationship between the two agencies. Although this arrangement did not hamper physical implementation, which was largely carried out by contractors, it did create difficulties in record keeping, confusion with regard to the financial obligations which were to be absorbed by AAAR upon transfer of the assets created, and Institutional rivalry (ibid.).

Figure 3: Location of Study Area in Bole Sub city, Woreda 03, Ketena 23



The cooperatives were organized by blocks in which it has eight or twelve houses sharing common wall. Individual households are the sole members in order to promote active participation of the people. Therefore each block has one elected chairman and secretary which facilitated the construction of the houses in collaboration with the government and the private contractors. The general assembly of the 25 coops is the highest body which has each household as a member with elected chairman. It is organized in such a manner to facilitate better participation by the community and promote accountability of projects. However this association has no legal entity till this day in the state since there has not yet been a framework to register and license such associations.

When the settlers moved to the area, only the housings were finalized partially and the roads were graded and the open spaces were not yet developed. The community has established a common form of local association called '*iddir*' as a legal body in the state, with the aim of helping people at the time of grief by contributing 10 birr monthly fee. The level of development on the other hand in the neighborhood was poor and there was a pressing issue for infrastructure development. During 2000, was the time when different subcommittees were established by the community from the coops in response to the security issues, road infrastructure and other neighborhood development projects? The executive committee is organized from volunteer and elected members of the community which is accountable to the general assembly of the 25 coops and responsible for the execution of the community development project. The executive committee consists of chairman, vice chairman, secretary, financial controller, treasurer and two other members of the community.

Since the roads were poorly constructed and very difficult to access both for pedestrians and car owners especially during the rainy season, the annual meetings of the community stressed on these issues and went further in pointing out the enhancement of the roads could consecutively enhance the market values of their homes. Therefore the development committee was delegated to facilitate and promote the road project. The major task of this committee was to establish a working framework for the project, collecting public opinions and reporting the development of project back to the community. Public opinions were gathered at the identification of the road problems with in the neighborhood; what should be done how to fund the project and pointed out the need to construct the road using asphalt rather than gravel to maintain market value and durability. Therefore another 15 birr monthly fee was appointed to the project as well other development works planned ahead. The monthly contribution was allocated for the security guard house and fees as well as the road construction. Further discussions were held on how to generate money with the help of government intervention in aiding the project besides the contribution of the community. A scheme was considered in which the community contributes 10% and government covers the rest 90% of the cost to

implement a project; in which an open ditch was constructed by the community using this scheme at a previous time. However this was no longer in practice, which required further money source from other actors in the development of neighborhoods. The Committee went on planning the road by a private consultant incorporating the feedbacks from the community. At this stage the planning was presented to the community to be discussed and were further enhanced before approval and implementation. The actual cost required for the project was also presented and went into further discussion on how to generate the money.

During the implementation of the project however there were difficulties. Since the money collected from monthly fees over a period of three years was not enough to cover the project; the committee had to work in finding other funding and it went to a special agreement with Addis Ababa Road Authorities to build the project in custody. This agreement required an additional 6500 birr to be contributed by each household in addition to the monthly fee. This particular situation has been of no interest to some members of the community. Some were unwilling to pay the fee either by personal matters or the absence of community participation motives. Active participation of the community was also challenged due to the high rented homes around the neighborhood and private life commitments. Meetings were called full house with only 200 and so number of people present; however the participants of the meetings were highly active concerning the project given the middle class and educated social background they have. The lack of law forcing individuals to abide to the communal participation and integrated social framework has made the collection of money to take up to a one year time. Around 7,000,000 birr still remains, which was planned to be collected from members.

After the roads were finished during 2008, AARA took the full custody of the road. These had its own impacts on the post implementation of the project and provision of further services. Drainage system which was supposed to be completed with the road has been delayed and has not been provided till now. Even if AARA has delayed some maintenance and provision of facilities, the sense of ownership by the community has further went on protecting the road from heavy trucks by providing check points and putting out street signs. After the road project is completed the monthly fee has gone to green area and recreation development in the neighborhood in the year 2010. The professionals in the community then made an integrated and detailed design for the open spaces with much facility on it such as internet café, basketball court and others.

Therefore based on the practices and approaches to developing the roads within the community, a summery is drawn to point out the basic relation of the community and the state in the development of the neighborhood. Further these summery points out the level and the depth of participation by

community members to highlight the significant social relation in the study area (See Table 8 and 9 for summery and Fig 6.3 for different development activities in the study area).

Table 8: Summery on the role of community and government in Road Construction

<b>Project Cycle</b>	<b>Level of Participation</b>	<b>Depth of Participation</b>
<b>Identification</b>	Full Control	High
<b>Planning</b>	Full Control	High
<b>Implementation</b>	Consult	Average
<b>Post-Implementation</b>	Shared Control	Average

Source: Adopted from Elias Yitbarek, 2008, Arnstein, 1969

Table 9: Summery on the level and depth of participation by the community in Road construction

<b>Project Cycle</b>	<b>Level of Participation</b>	<b>Community Role</b>	<b>Government Role</b>
<b>Identification</b>	Full Control	Principal	None
<b>Planning</b>	Full Control	Principal	Resource
<b>Implementation</b>	Consult	Interested Group	Technical Assistance
<b>Post-Implementation</b>	Shared Control	Stakeholder	Stakeholders

Source: Adopted from Elias Yitbarek, 2008, Arnstein, 1969

## Developments done in the community



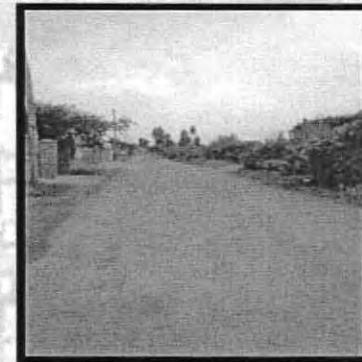
One of the guard Post located within the neighborhood



Check points and street signs provided to protect the road



Ground Tennis field under construction



Asphalt Road constructed in the community



Asphalt Road constructed in the community



Children Playground under construction



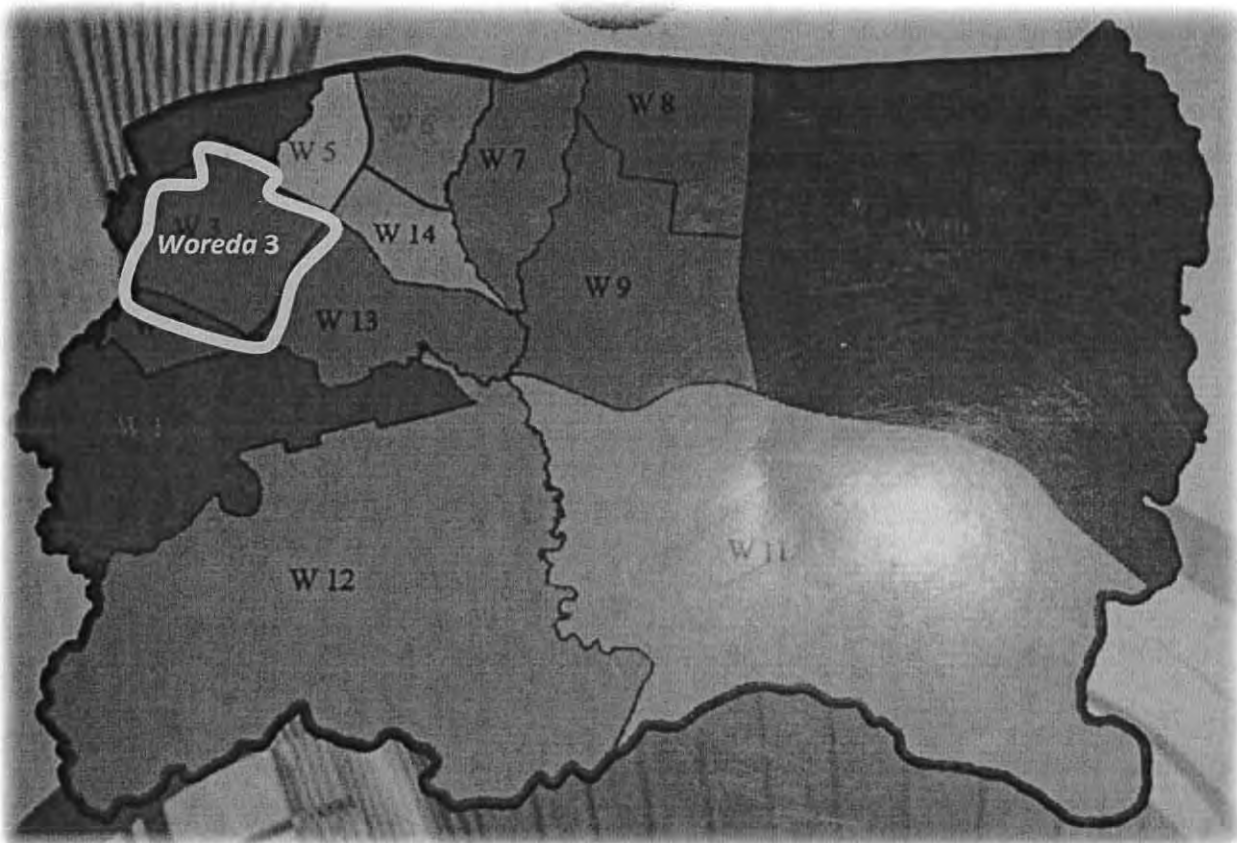
Basketball Field under construction

Figure 4: Development activates by the community

## 5.2. The role of local government

*Woreda* 03 is one of the 14 *Woredas* in Bole sub city. This *Woreda* is the current lowest administrative organ after 2011 reshuffle in the Addis Ababa city administration. It comprised the former *Kebele* 17, 18, 19 and 23 in the *Derg* administration with a population over 30,000 in which the four *Kebeles* were organized into *Woreda* 03/05 in 2009. Once again the administration restructured and was called *Woreda* 03 in 2011 (See Fig 5 for *Woreda* 03 Map). This was done with anticipation of budget increase and integrated city planning and service giving to the community. The community within the different *Kebeles* now uses the *Woreda* to get a range of activities and has constructed a ground plus 4 building for public use. Since the city administration has identified active community participation and good governances as the pillars for sustainable urban development, it has established agencies and guidelines for community development and ownership.

Figure 5: Map of Bole Sub city with its 14 *Woredas*



Community development organization under the *Woreda* 03 has four ketenes which used the previous *Kebele* organization structure. These ketenes are organized according to the population size and development level. This organization further goes into neighborhood and block level which finally tries to organize communities within blocks in 1 to 5 in which one person is elected among other five block members to coordinates community development. They call public meetings and door to door visit to create awareness and bring people to actively participate in the *Woreda*. Especially during election period this call out for participation is done very extensively. According to the sub city's community development coordination officer;

... this is designed to help identify problems and challenges of development within the block level to address collectively at the ketene then at the *Woreda* and finally at the sub city level. The city administration is therefore the highest authority in addressing the matter and handing support back to the sub city after collecting and analyzing the 10 sub cities regarding community development. However this structure of development has not yet been fully implemented and is yet done under the ketene development committee with continuous transformations of guidelines.

The *Woreda* beautification, parks and grave yards agency was also established in 2011 in response to protecting the environment and fulfill the Vision of the AACA "Making Addis Ababa green by 2020" within its administration. This motive has been communicated to *Woreda* level to integrate more people in protecting open spaces. As the agencies general manger explained

... the growing attention towards climate change and forest depreciated over the years has created concern towards making the environment sustainable. The *Woreda* is therefore accountable to the sub city and has the mandate of getting geographic data for open spaces in order to produce title deeds by the sub city and also prepare and enter into an agreement with community and private developers in the neighborhood for a period of three years.

The agency in the *Woreda* is also responsible in monitoring and report progress both to the developers and the sub city. The *Woreda* has eight executive officers and 2 managers who currently work to fulfill the above mentioned responsibilities. However the private developers cover all the cost for the projects and develop the spaces. Since the *Woreda* has low budget and employee shortage it was clearly an advantage for the agency when people come forward with the matter themselves. However there are few clients who abuse these rights and use the spaces for other services regardless of the agreement and the standards set. This is a major concern for the agency since it has a limited power and capability in managing such conflicts. As the agencies manager also expressed

... the skilled labor shortage and the lack of desire to work in such administrative organs for smaller salary scale have hindered the office from fulfilling the tasks. This has been communicated to the sub city and the *Woreda* is informed that it is under study. There are also no Architecture or Urban professionals in the *Woreda*, therefore the sub city produces a design and set standards through its urban design department and pass it to the *Woreda*.

This standards and designs are the guideline the *Woreda* has to follow and implement as per the agreement. The *Woreda* also reports challenges and opportunities to the process through the sub city. Therefore public participation is handled at the *Woreda* and *Ketena* level while open spaces development and management is done at lower administrative organ. The manager for the agency has also elaborated that

... despite the shortage of skilled professionals and budget, the availability of the agency has contributed to a closer understanding of open spaces development in neighborhood areas. Recent developments in the neighboring community are also the transformations influenced by the structural shifts in governance and participation at the *Woreda* level. Streets, pavements and road islands have been developed through different stakeholders. Religious Institutions (Bole *Medhanialem* Church, city of refugee Church) , Private sector (Edna Mall, Harmony Hotel, Beer Garden, Ambassador Real Estate), NGO's (DKT Ethiopia, Bole greening pilot project ) are some of the actors in developing open spaces in the *Woreda*.

The environment protection authority is also a recent office in the *Woreda*. It was established in 2012 and there are only two staffs currently working. However the EPA had its office in the sub city which monitored environment impact assessment, environment resource management and noise pollution. During the field visit to *Woreda* 03 EPA the institutions is very recent and has only been engaging in noise pollution and other related issues than Open space development. However, the EPA has restructured itself to accommodate the tasks of digitalizing and having title deeds for neighborhood open spaces. According to one of the officers in the office,

... the task of digitalizing and giving title deeds for open spaces was performed by the *Woreda* and sub city beautification, parks and graveyards agency. The data and information's within this agency have not yet been transferred to the EPA within the *Woreda*. There is a clear gap in how the respective departments and agencies cooperate for the protection of these open spaces.

Once again since the budget allocated in the *Woreda* is still low for the Environment Protection Authority and the incompetence of analyzing multiple data has been pointed out as challenges faced by the office at the *Woreda*. Therefore there is a clear gap in communicating information to the sub

city and city level and to the federal agency because of the weak links in the information documentation and transfer. However, the attempts to bring the authority down to the *Woreda* level have been positive in regards to access to information and management system of open spaces in neighborhood areas.

### **5.3. Neighborhood open space development project**

#### ***Origin of Project***

The Green Area Development Project of the 25 Housing Cooperatives of *Bole Medhanialem* Area was a project proposed by the development committee of the coops in 2010. These green areas had no title deeds number with in the sub city and were assumed as part of the few housing blocks neighboring the open spaces. Therefore a dispute has risen with the members of the community and the land bank administration in the sub city over these open spaces in 2009. According to the chairman of the development committee

... the market demand for inner city land has led for the land bank in identifying these open spaces as underdeveloped and fit for private development. Members of the community were in fear that this will be taken by wealthy developers and new housing units such as condominiums or other mixed use complexes will be developed in the open spaces.

Therefore the current chairman of the development committee and another member of the community advised the outgoing committee to establish a women development committee under the general assembly which will facilitate these open spaces development projects. Therefore the women association was formulated by the initiation of few volunteers who applied to the beautification, parks and graveyards agency in the sub city. The women called a meeting for the general assembly to discuss and develop the open spaces. It was this women cooperative which did the first negotiation with the government in developing the spaces jointly. Then the recent development committee was elected during 2010 in this transitional period. Since the previous committee was engaged in road construction and has led the next leaders of the association with a mission to develop the open spaces. In collaboration with the women's association the committee went further in negotiating with the sub city and *Woreda* to further enhance these spaces. However, still the land banks were eager to put a market price in these lands as there title deeds were under the government. Once again according to the chairman of the association

... the private developers with money have been a challenge for the committee since there association only had small amount of money contributed by the members. Therefore the

committee took all the vital needs of these spaces and discussed with the sub cities chairman which they got a positive response. But the land bank administration has continued putting pressure in developing these spaces with the private developers. Therefore I took the matter to the Mayor of Addis Ababa in person. Kuma Demekesa the then mayor of Addis Ababa was positive in sorting this dispute and forwarding a personal call to the sub city chairman regarding the matter. Therefore, after different meetings held with the women cooperatives and the sub city, the land were being considered as green area for the whole neighborhood and be developed by the community in a contract signed with the development committee and the *Woreda* BPA in April, 2010 for a period of three years (See Appendix 3 for the detailed communication between the association and the *Woreda*).

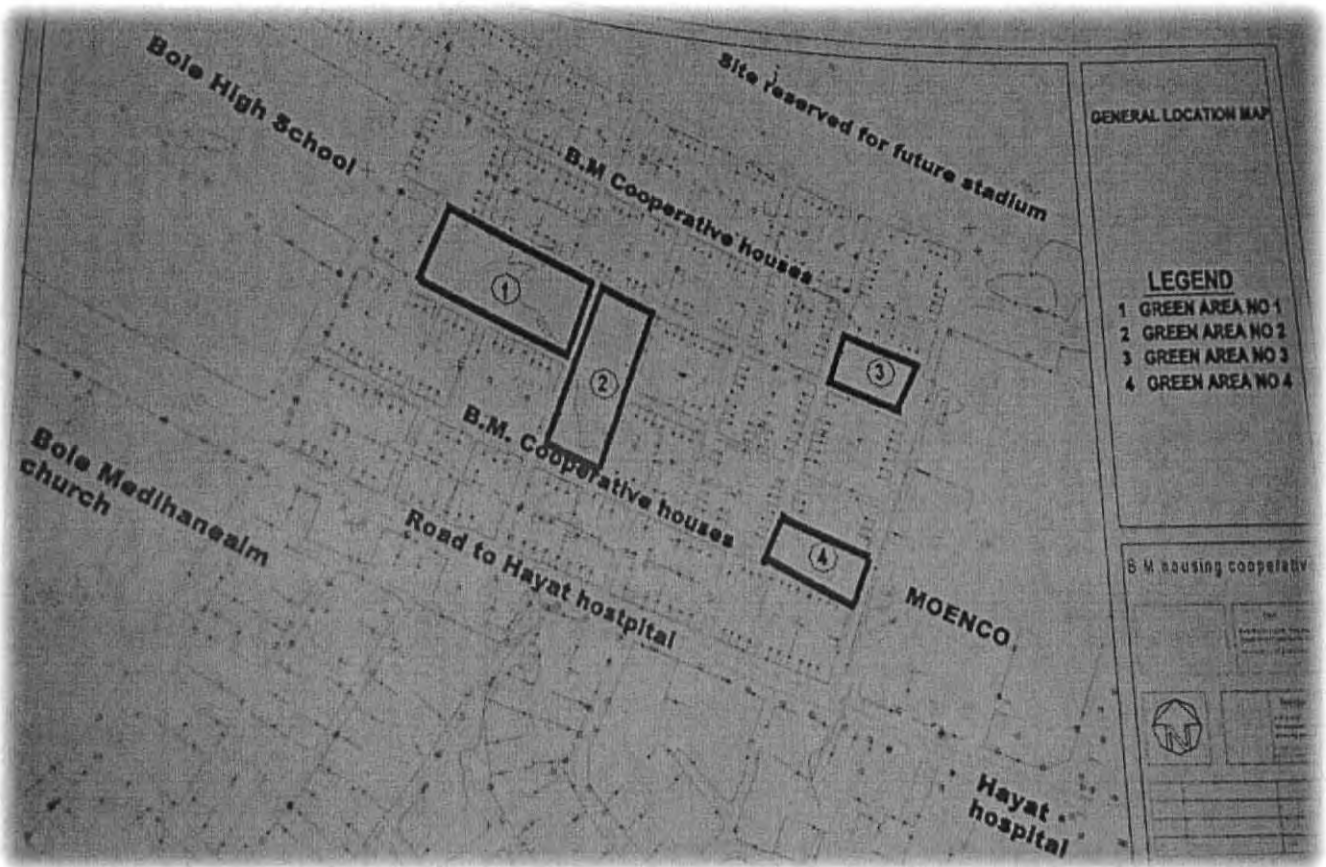
The development committee then went on and presented the case for the general assembly of the coops as well as the government the need for developing these open spaces. The effort and willingness of the community was asked in achieving this mission of the committee at the general assembly held in June 2010. At this meeting the proposal and the design were presented for the community participation and 1000 birr contribution per member was proposed. The proposal states that it is planned to make the open spaces green, to withdraw their offspring for bad habits by having social facilities like internet café, volley ball court and tennis court. It was proposed to increase the social interaction of the people and to reduce air pollution by planting tree, flowers and grass of the green area. The vision of the community is declared in the project proposal to be in line with the policies of the FDRE, which stipulate measures to be undertaken to enable the youth to become citizens with democratic outlook and competence and protect the environment (See Box 9 and Figure 6 for the site plan of green areas and projects proposed)

**Box 9: Introduction to Green Area Development Project**

The open spaces in the neighborhood were delegated by the design as green areas to the people in the community. Therefore the project identifies that due to lack of social services in this spaces, many children have no option but remaining locked in their houses. This was identified as a serious problem particularly during the summer vacation where youth and children have nowhere to go almost for two months. On top of that most of the children belong to busy parents as a result of this became victim of bad habits and they are getting drawn into crime and other forms of anti-social behavior. Parents also shared the same problem particularly weekends. They needed to go a long distance to get internet service and other facilities. This was the status and challenges identified by the project proposal to develop the neighborhood open spaces through initiating the community once again.

Source: Green Area Development Project Proposal

Figure 6: Site Plan for Neighborhood Open Spaces



Legend ① Green Area No 1 ② Green Area No 2 ③ Green Area No 3 ④ Green Area No 4

The overall objective of the project was I) to establish sports and recreation park that would contain basketball, and ground tennis court, II) to construct park for entertainment that will contain tea room, and internet café with temporary shade. III) To establish park which will have a fountain and chairs for adults to relax, playground, merry-go-round, seesaw and others for kids. The scope of the project was in general to change or develop the open not much used spaces to a level acceptable by the rules and regulations of the municipality of Addis Ababa and ensure the maintenance of developed areas (See Box 10, 11 & 12 for detailed proposals in the green areas and Fig 7 for the proposed plan of green areas).

Box 10; Green Area No.1

This is the biggest of all the open spaces in the community with an area of 4,150 m<sup>2</sup> (96m by 43 m) located at the center of the neighborhood. This open space is where sport facilities are planned to be located. Two international size ground tennis courts, one basketball court, one children game area and a small *tukul* with traditional architecture providing soft drinks and sweets were proposed to be built in these spaces. And after the areas are constructed part of the area is reserved for the development of indigenous trees. The size of the two tennis court was proposed to be 24m by 12m in which one was used for adults and the other for children and youth. However it was considered that since on weekdays, parents will not be around both courts could be used by children and on weekends, parents will get the priority since it's their resting time. Since the proposal states that both tennis courts will be of international standard in size and quality, they could be used for competitive games. It stressed that the construction of this courts will need great care in order to apply the right slope for water to drain on both sides of the pitch and there will be a 5m height mesh wire for fencing and lighting system for evening games. The basketball field is also proposed to be 24m by 13m which is again an international size mainly for children and adults. It was indicated in the proposal and quoted "that parents could also use this court as long as they make sure they don't break their legs". This court will also be provided with adequate lighting and drainage system as well.

The children playground is to be situated in 340m<sup>2</sup> along the proposed cafes where it will help parents to have an easy visual access to their kids. And the refreshment building (*tukul*) is proposed to be made in a circular building of vernacular architecture which provides refreshment, toilet facilities and a small emergency room. It was planned to be constructed with local materials such as wood, stone and thatched roof. Part of the site will be reserved for the development of indigenous trees where it will be pleasant for those sitting in the café and refreshing. The issue of combining indigenous trees and architecture in the site was believed to promote a sense of belongingness to the community and the country as a whole.

Source: Green Area Development Project Proposal

Box 11: Green Area No. 2

This is also the second largest open space in the community with an area around 3,750 m<sup>2</sup> (107m by 35m). It's located adjacent to green area 1 where a small football field (which used to be a playing area for the neighborhood kids), volleyball court, a changing room and car parking are proposed to be built in. The Football field will be provided in this area which is smaller in size for children and youth and host competitive games. The proposal states the field only requires proper care, fence and a tap to water the grass for the time being till it's developed fully. The volleyball court will also be provided in these spaces which will be constructed like the previous courts. Changing rooms are proposed to give service for those coming to participate in games. It will have rooms for changing, toilet and lockers for both sexes that will be facilitated by a care taker who will be stationed fulltime.

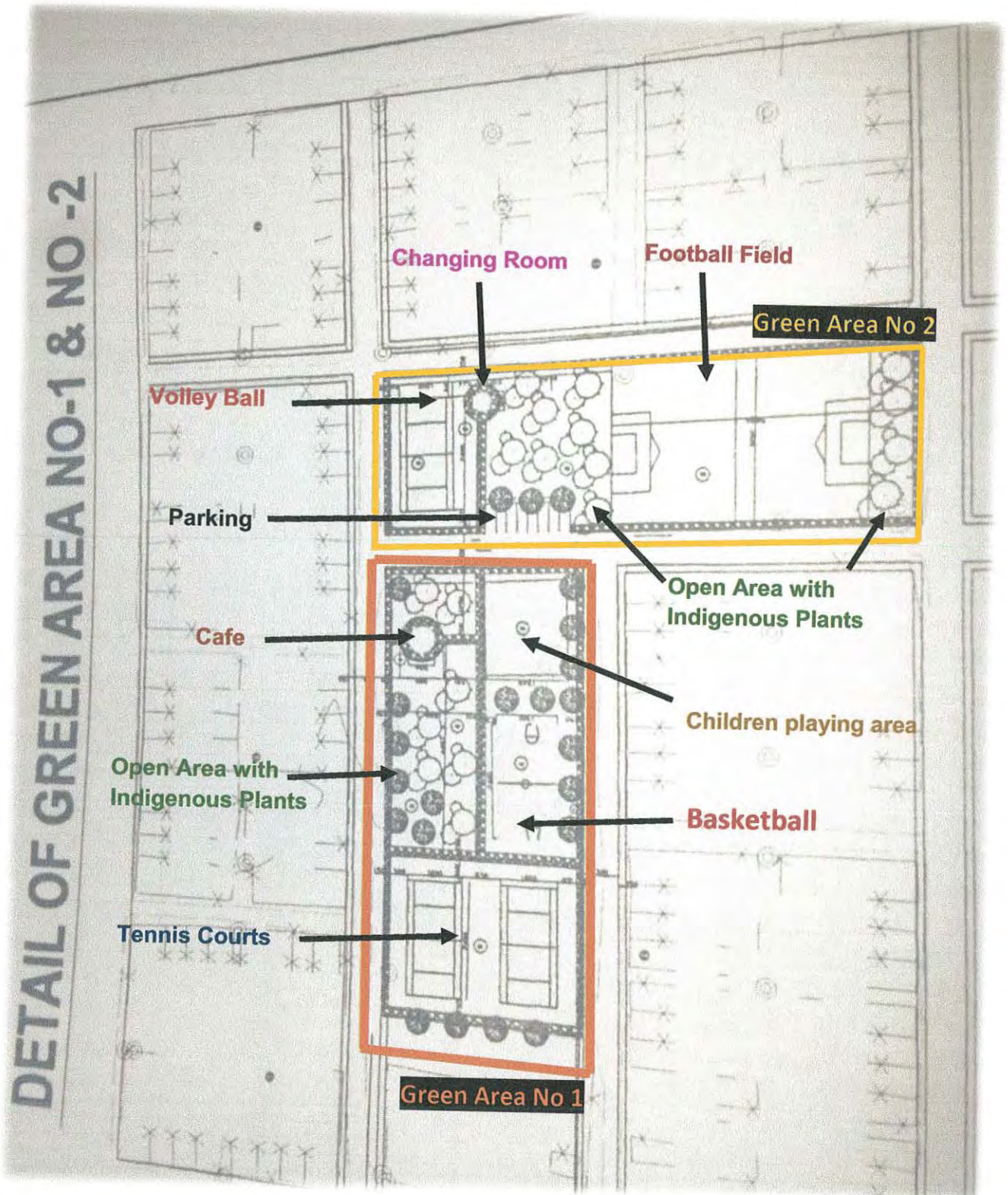
Source: Green Area Development Project Proposal

Box 12: Green Area No. 3 and No. 4

Due to the small size and location at the periphery of the site, these two are exclusively for planting trees. This was proposed to give variety of open spaces and to segregate sport and public activities with that of more quiet and calm areas. Therefore the proposal states that planting trees in the four open spaces will address the needs of all the community members.

Source: Green Area Development Project Proposal

Figure 7: Proposed Site Plan of Green Area No 1 & No 2



Therefore the proposed open spaces development project included landscaping architectural design, landscaping and costs of construction and supervision. The landscaping architectural design was proposed to cost around 50 thousand birr, while landscaping work costs 20 thousand birr. The constructions of the various components of the project have been given in the following table. Therefore the total cost of the project was estimated to be 526,000 birr plus 10% for project supervision cost and miscellaneous expenses which amounts to 660,000 birr (See Table 10 for detailed estimated construction cost from the project proposal).

Table 10: Estimated Construction Cost

	Activity	Quantity	Cost of Construction
<b>A</b>	<b>Green Area No. 1</b>		
1	Ground tennis court	2	100,000
2	Basketball Court	1	150,000
3	Children Play Ground	1	165,000
4	Refreshment Building	1	30,000
	<b>Sub Total</b>	<b>5</b>	<b>445,000</b>
<b>B</b>	<b>Green Area No. 2</b>		
5	Football Field	1	15,000
6	Volleyball Court	1	50,000
7	Changing room	1	16,000
	<b>Sub Total</b>	<b>3</b>	<b>81,000</b>
	<b>Total Cost</b>	<b>8</b>	<b>526,000</b>

Source: Green Area Development Project Proposal

In order to fund the project the proposal indicates it to be collected from the community members, through contribution from various fund raising events, and from local and international funding agencies. There was initially 130,000 birr at the bank which was collected from the previous contributions using bazar and also there were other means of raising fund. Organizations like the Development Bank of Ethiopia had also agreed to pledge around birr 50 thousand. Therefore it was highlighted in the project proposal that around 340,000 birr will be collected from different sources of fund and there will be a continuous effort by the committee to find other means to fund the project (See Table 11 for estimated source of fund for the project proposal).

Table 11: Estimated Source of Fund and Amount

No	Source of Fund	Amount in birr
1	Contribution of the people in the community (150 birr per home) <sup>6</sup>	40,000
2	Contribution in kind from Architects <sup>7</sup>	50,000
3	Collection form monthly payment <sup>8</sup>	100,000
4	Contribution for Volunteers	20,000
5	Collection form Bazar	30,000
6	Contribution from other sources	100,000
	<b>Total</b>	<b>340,000</b>

Source: Green Area Development Project Proposal

In order to execute the tasks regarding the above mentioned green areas development, the executive committee is organized under the general assembly of the 25 coops which consisted of chairman, vice chairman, secretary, financial controller, treasurer and two other members. There is also a technical team under the vice chairman who will closely follow up the execution of the project with the assistant of a consultant that will be hired to supervise the day to day activities. Therefore the project was planned to be implemented in a period of three years from 2009 to 2011 with different activities planned to be accomplished in the given time frame (See Box 13 for the implementation plan, Table 12 for the proposed time frame and See Box 14 for proposed monitoring and evaluation techniques).

Box 13: Implementation Plan
<ol style="list-style-type: none"> <li>1. Design of exotic and indigenous trees and flowers in all the four green spaces was the first activity in the implementation strategy. The tasks include selection of types of trees, flower and grass, selection of site for planting and lawn.</li> <li>2. Building fountain, tennis and basketball court, play grounds and internet café on Green Area No.1.</li> <li>3. Put up small football and volleyball court on Green Area No. 2</li> <li>4. Park development on green area No 3. And No. 4</li> <li>5. Path to different parts of the park will be developed</li> <li>6. Furniture will be provided in the park</li> <li>7. Merry-go-round, seesaw and swing for kids will be introduced to the parks</li> </ol>

Source: Green Area Development Project Proposal

<sup>6</sup> This was highlighted in the document as a sign of the eagerness and determination of the community for the project.

<sup>7</sup> It was these professionals who developed the integrated and detailed design plan which costs 50 thousand birr.

<sup>8</sup> The community members have been contributing 30 birr for security and community development projects since 2006.

Table 12: Planned Time Fame

Year	Activities
<b>One</b>	Designing for greening of the four green areas
	Selection
	Planting
<b>Two</b>	Planting indigenous and exotic trees, flowers and other plants
	Construction fountain, volleyball court, children play ground, internet café on Green Area No. 1
	Constructing small football and basketball court on Green area No. 2
<b>Three</b>	Ground Tennis Court will be constructed on Green Area No. 1
	Park will be developed on Green Area No. 3 and No. 4
	Path to different parts of the park will be made
	Furniture will be introduced to the parks; and Merry-go-round, seesaw and swing for kids will be introduced to the parks

Source: Green Area Development Project Proposal

**Box 14: Monitoring and Evaluation**

The consultants were obliged to report for the chairman of the technical committee who is also the vice chairman in the executive committee. The technical committee is organized from professionals in the community who will held regular meetings to identify the progress and problems. It was proposed by the committee that the project will be evaluated using a step by step problem solving approach to identify the success and failure with the reasons by conducting discussions with individuals and groups besides visiting the physical activity conducted on the Green areas.

Source: Green Area Development Project Proposal

## **PART-V: SYNTHESIS OF FINDINGS, CONCLUSIONS AND RECOMMENDATION**

## CHAPTER 6: SYNTHESIS OF FINDINGS

### 6.1. Introduction

In the beginning of the study, four research questions were forwarded to address the objective of the research. The two main questions deal with understanding the approach and practice of environment protection and development in Addis Ababa through a case study to identify the role and relation of stakeholders and further investigate spatial transformations in open spaces. These questions were paused to reflect on development theories and their implications for development agents

*Main Questions:*

- ***How is the current approach and practice in developing neighborhood open spaces in Addis Ababa?***
- ***What are the significant spatial transformations that occurred in neighborhood open spaces?***

The study departed with these issues and further reviewed the background of the study area through the context related question forwarded to generate empirical findings and point on actions for environment protection.

*Context Based Question:*

- ***How is the development of environment policy, process and institutions in FDRE?***

The findings from background study were assumed to highlight on important local factors in relation to global discourse on environment protection and development. Therefore a fourth normative question was added to find a harmonious reflection towards sustainable open spaces development practice.

*Normative Question:*

- ***How can we set policy processes which promote sustainable spatial transformation at a neighborhood level?***

In general the findings are fused with the researchers' background knowledge of the study area in order to arrive at a concluding remarks and reflections on actions, agents and changes regarding sustainable neighborhood change and transformation. Therefore the following sections will give a brief synthesis of findings followed by conclusion and implications.

## 6.2. Neighborhood open spaces stakeholders relation

### Community Members and Development Committee

From the discussion in the case study, the development committee had the support of the general assembly during the meetings it held. However this assembly was held with the absence of half the members of the community in June 2011. This has its own connotation in the concept of full participation. The members present in the meetings were assured to have been granted access to full opportunities to communicate with the committee and pass on decisions collectively. The project proposed was approved and delegated to the committee for implementation. The local *iddir* has also contributed financially for the development of the project. The development committee chairman has mentioned that;

...since the *iddir* is financially stronger than the development committee in which it has also legal bases within the government, therefore the development committee has also tapped into this resource within the community. The women association has also shown a key role in developing these spaces, since it was the women *iddir* in one of the housing blocks which took the initiative and promoted the development of the green areas before they were taken and redeveloped by the city administration.

The ability to negotiate and mobilize of the women *iddir* was found to be crucial in the overall development process as further explained by the chairman, and the former chairman of *Woreda* 03 (who is also a resident in the housing cooperatives)

... these women come from different social groups and academic backgrounds, allowing them to actively participate in the community. They have mobilized women in the community to contribute 20 birr per month through their women *iddir*. However, their role has been minimal once the agreement was signed with the development committee and the *Woreda* and the execution of the project was majorly handled by the development committee. The women associations have tried and sustain the contribution, however still many people have not yet paid the fees.

The Children and youth in the community on the other hand had no say in the development process. They are represented by their parents and are deemed to accept what is by passed by the assembly. In the neighborhood open spaces development as well, the role of children and youth was minimal. They have not been able to contribute in any format to the process. However, it was understood that they have their own perspectives and concerns regarding the designed facilities within the open spaces. As some youngsters mentioned

... they don't even use these open spaces more frequently for various reasons, except playing football on the basketball court. However they have the motive and willingness to be part of it, since they know what kind of things entertain and relax them. But the current state of the spaces is not that conducive to their needs, especially during evening hours it's not safe to move around and spend time in the sitting areas.

Since many of the open spaces in the neighboring communities were places for the children and youth to play football, this activity is essential in how they relate with their peers. The different games they had with other children from part of the city were part of their previous activities in the open spaces. However the recent development has not allocated any football space unlike the proposal. Therefore the basketball court is converted into a concrete football space as well. However the development committees' chairman strongly argues that

... no one should play on the football field since they are clearly not built for such purpose and they could be very dangerous when they fall down. The football area is not planned because the space is small, therefore the children can go to nearby areas to play football, and otherwise we will take strict measures on those found playing.

### **Local government**

The first planning and development of the neighborhood open spaces was initiated because of the dispute within the local land administration and the communities' development committee. This situation has triggered a reason for the development of underutilized open and green areas. Therefore the existing governance system within the neighborhood plays a key role in finding and allocating land issues. And also the process of digitizing and having agreements signed with stakeholders is designed in protecting resources and managing data regarding the environment. The development committee of the 25 coops and the *Woreda* therefore had a close relationship through BPGA. The *Woreda's* Beauty, parks and Grave yards agency (BPGA) have the authority in preparing agreement with open spaces developers in the community. It is also the duty and responsibility of this agency to monitor and evaluate progresses as per the agreement. The chairman of the development committee is also a member of the *ketena* development committee in the *Woreda*. This was an advantage for both sides to have a frequent meetings and relationships and made the bureaucracy less stressful. Some members of the community were also elected in the *Woreda* for other administrative activities.

The sub city on the other hand is the bridge between the *Woreda* and city administration. The sub city is also responsible for designing the neighborhood open spaces and report to the city

administration of meeting the standards and construction quality. At the beginning of the neighborhood open spaces development project in 2002 E.C. the unclear roles and responsibilities of the administration on open spaces have raised a controversial issue. However it was later resolved by the higher officials through communicating the need for such spaces. At this point also the environment protection in the *Woreda* level didn't have strong opinion on the matter. The focus on environment varies and the degree given to pressing issues entirely depends on trends. Therefore the EPA in the sub city has also limited authority over the open spaces. Further than that the designs and construction of these spaces are provided by the sub city regardless of the project proposed by the committee. This had a huge impact in the transformations of these spaces in later stages. Therefore for the general summary on the relation of different stakeholders and the local government see Table 13 and 14.

Table 13: Summary on the level and depth of participation by the community in Open Space Development

Project Cycle	Level of Participation	Depth of Participation
Identification	Full Control	Average
Planning	Full Control	Average
Implementation	Consult	Low
Post-Implementation	Shared Control	Low

Source: Adopted from Elias Yitbarek, 2008, Arnstein, 1969

Table 14: Summary on the role of community and government in Open Space Development

Project Cycle	Level of Participation	Community Role	Government Role
Identification	Full Control	Principal	None
Planning	Full Control	Principal	None
Implementation	Consult	Development Committee	Agreement and Design of Open Spaces
Post-Implementation	Full Control	Stakeholder	Monitoring

Source: Adopted from Elias Yitbarek, 2008, Arnstein, 1969

### 6.3. Spatial transformation in neighborhood open spaces

#### Green area No 1

Figure 8: Developed Site Plan for Green Area No 1



Currently one tennis court and one basketball court has been built in this open space. The rest of the space has been reserved for planting trees. Some furniture's has been provided for sitting arrangement (See the above Figure 8 for the development undertaken in green area No 1). The committees and the *iddirs* office are also located in this space.

The children in the community now use the tennis court with a monthly membership fee. The basketball court has also been used by youngsters for both basketball and football games. Out of the two tennis courts proposed at the beginning of the project only one was constructed and is being used by the community. Different people come and play in these fields during weekends and after school hours to have a good time. However, the field still needs more treatment and constant protection (see figure 9 for developments in green area No 1).

Figure 9: Tennis and Basket Ball Court Constructed in Green Area No 1



The indigenous trees planted at the boarder have given the spaces an interesting green space. These trees were planted by local workers in the community by a traditional method of aligning trees in a row. Some of these plants were received from the *Woreda*. However not many people use these spaces and sitting areas still yet. However the committee has started to serve soft drinks for people who come to enjoy this open green area and promote incomes to sustain the open spaces (See figure 10 and 11 for developments in green area No 1.)

*Figure 10: Indigenous Trees Planted in Green Area No 1*



Figure 11: Sitting Area and Indigenous Trees Planting Area in Green Area No 1



## Green area No 2

This site has now provided the community with children's playground. This play ground can be accessed through children under the supervision of parents with a daily fee. However the rest of the site has been planted with trees which has eliminated the football field space and changed it to sitting area (See Figure 12, 13 and 14 for the development undertaken in green area No 2). Practically the same way as in green areas No 1, trees are planted in a grid manner. However most of the day or night this sitting areas are vacant and underutilized.

Figure 12: Developed Site Plan for Green Area No 2

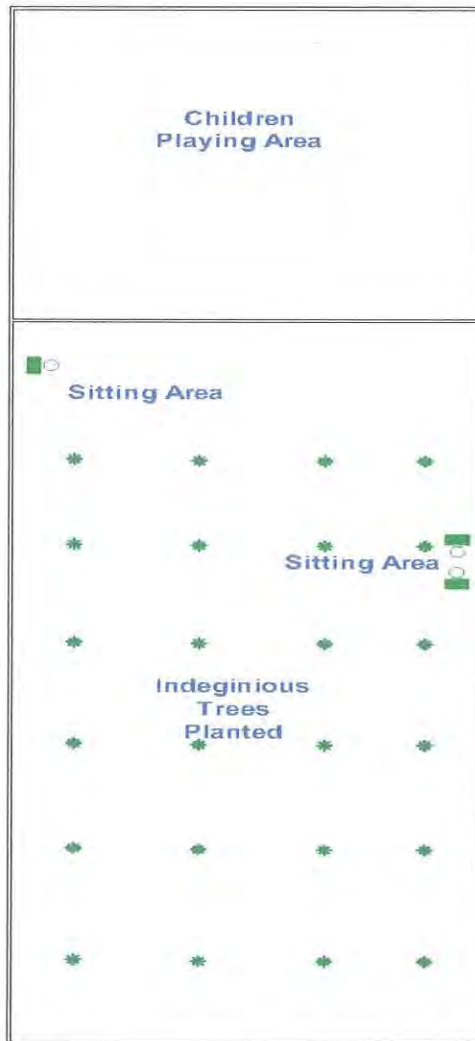




Figure 14: Siting Area with planted Indigenous trees in Green Area No 2



### **Green area No.3 and No. 4**

Green area No. 3 has been preserved for planting trees, therefore only fence and some trees are planted within this site. However Green area NO.4 has not yet been developed because there exists a dispute with the development committee and households who have been in the plot for over 20 years now. Green Area No. 3 however is sometimes used by community members to walk their dogs and let kids out play. But during summer time the grass grows densely prohibiting users for easy access (see Figure 15 for development in green area in No 3).

*Figure 15: Green Area No 3*



## **CHAPTER 7: REFLECTION AND RECOMMENDATION**

### **7.1. Actions on environment and policy process**

#### ***Environment policy, process and institutions in FDRE***

The constitution of FDRE is the guiding principle for environment protection policy and process in Ethiopia. Subsequent regions and city administrations follow these principles to set standards and proceed with development which is environmentally sound for citizens. In this regard the environment policy of Ethiopia is in line with the global discourse of sustainable development. Its implementation is significantly in tight with the role of good governance in local governance and active participation of citizens in development. Therefore, the environment protection authority is the subsequent authority in fulfilling the policy along with other sectorial and cross sectorial agencies; this mandate of the authority doesn't incorporate policies of urban development, which is under a different ministry office.

The Addis Ababa city Administration has established Environment protection Authority which is on an ongoing development to decentralize the management of environment in the city. However this decentralization has not yet been fully implemented and lacks both financial and skilled labor to perform the tasks concurrently in *Woreda* Administration. In this regard the various issues that come with in environment have made the state and the subsequent EPA to prioritize activities. Therefore neighborhood open spaces have not been part of the overall green infrastructure. Rather they are left for private developers in negotiation with *Woreda* and sub city administrations.

#### ***Neighborhood open spaces development stakeholders and relation in Addis Ababa***

The current transformations of open spaces developed by private and other institutions shows the clear potential that lies within citizens for better management and protection of environment. However when these open spaces are underutilized or misused by developers, the respective administration lacks competence to protect and avoid such activities.

The elements of good governance have been introduced in the *Woreda* administration and there are efforts to participate citizens in creating awareness about environment; however the lack of interest by the majority of the public is an issue that not only needs to be addressed by the city administration but also by the federal state.

The perception of citizens on the local governance system needs a due attention both by the civil servants and the government in play. As environment is a common and shared resource, this notion of politics should be resolved if it's to encourage peoples participation in protecting the environment and promote good governance.

### ***Influence of policy process in neighborhood open spaces transformation***

The social and spatial transformations occurring in neighborhood areas are direct and indirect impacts of the policy process. Therefore the change in neighborhood open spaces needs to be studied critically, in order to investigate how far the notions of good governance and participation come to play in physical spaces. .

The actual use and understanding of knowledge needs to be promoted through citizens in protecting the environment through responsibility sharing than merely participation of citizens and efficiency of local governance.

## **7.2. Agents in open spaces development**

### ***Local governance***

Local governments have a leading role in protecting and harmonizing development works with that of the city as a whole. This is done through an agreement signed with developers and monitoring and evaluation through the progress; however this task is challenged because of budget shortage and skilled labor. Therefore innovative way of developing communities with different stakeholders is crucial and better management of the existing volunteers in community will help future development projects.

Good governance and participatory development need to further investigate the local arena they come in play. Discourses in development need to have room for local knowledge and practice so as to facilitate policy process embedded in context. Therefore the role of governance and participation in development is needs to address the cultural and historical factors that have come to shape the state in depth.

The role of the state of the years is shifting towards creating an enabling environment. This however has its own opportunities and challenges. Free market economy and state led development intervention have significantly transformed urban environments in Ethiopia. Constitutional objectives and national policies have tried to emphasize sustainable development to all nations and nationalities.

However, this understanding and implementations of public policies prove to show the complexity and dynamics in play. Due to this contemporary critics and approaches to governance and participation arise in response to single minded approaches of state and politics regarding development.

### ***Community development associations***

The role of the citizens in development and particularly the environment is crucial in the context of Ethiopia. Since the country is struggling to alleviate poverty and institutional bureaucracy, mobilized citizens have better chance in solving their own affair. However the knowledge bases for their action needs to be clearly outlined and needs to become responsible for the transformations they set in motion

Community development associations have to work intensively to assure the full participation of the community by showing the rights and responsibilities of members, in order to sustain the development underway. Community members need also to actively monitor the works done if they are as per the proposed, through the feeling of ownership and commitment.

However members who are not willing to pay contributions for community development present challenges for collective action of community. Even if participation and contributions are best when they are willingly, social laws and legal frameworks could promote a better accountability of members to the community they live in.

### ***Women***

The role of Women in development is crucial since they have there on way of setting agenda and implementation. Tapping to this resource, just like in the study area, will benefit the society for a more integrated approach in alleviating community development challenges. However we can still feel the small amount of girls joining the sports field and actively using the playing areas. In this regards, further studies need to highlight the gender aspects of using public spaces.

### ***Children and youth***

Children and youth need a space and place to express their need and be part of the development at all levels. If these spaces are to be provided for youngsters, who best fits in discussing the needs than those who uses them. However this requires willingness from parents and committees in general in sharing responsibility with the youth.

The constitution has clearly identified the right and the responsibilities of citizens regarding their environment. Therefore the development of these open spaces is ideally in line with it; however the level and degree of participation by the all stakeholders remains structural and highly affiliated with institutional outlook. However, these structures of government still present opportunities for communities to better understand and live within their environment. Therefore public awareness on constitutional and individual roles in environment and development could promote responsibility sharing in a more harmonized way.

### ***Volunteers***

Community volunteers are indispensable assets for any development practice. It's therefore important to find a better organization, management and leadership of such individuals to harness a more productive and sustainable transformation. Allowing community associations in development generates social and spatial transformation that is more local and meaningful to them. Therefore the role of volunteers was found to be critical in carrying out development and need to be further strength in policy process.

## **7.3. Changes in neighborhood open spaces**

### ***Policy process and open spaces***

The Housing cooperatives have been found to be best in examining the social and spatial transformation they set in a period of time. Even if these occurred out of the then housing shortage, they have now transformed to be part of the cities heritage and active development corner. Therefore setting housing policies is not only about solving a temporary problem but also a long progressive act of transforming the life's of households and the urban space in general.

The provision of open spaces within the neighborhood was found to be critical, however how it's to be developed and used was a progressive and collective act by members of the community. Therefore the housing policy set in motion in late 1980's had the best interest of middle income households and civil servants with an average family sizes. These open spaces have not been developed for nearly 20 years. However the current changes in the political, economic and social context of Addis Ababa are triggering transformations in these spaces. Therefore current policy process that is in play should take lessons from ongoing practices and trends of open spaces development.

### ***Spatial transformation of neighborhood open spaces***

The development of neighborhood open spaces by the community has led to a significant transformation in both social use of these spaces and also spatially. The development committee prior proposal and current transformations however don't much both in terms of location, quality and quantity. Both the tennis ground and basket ground are functional for children however the fees subjected for the tennis court were not in the project proposal neither the *Woreda* administration is aware of the situation. The committee has proposed these fees in order to have capitals for running cost and maintenance.

The basketball court is used as an alternative for football playing which endangers youngsters while playing in a concrete field. The development committee also prohibits this activity and is prepared to take legal measures against those who play football in this field.

The football field was out of the construction due to the hypothesis that there is no enough space for such activity and the children and youth can use neighboring open fields when needed. Even if the spaces were used for football prior to the new development, this space now has just been reserved for planting trees and sitting areas.

The playground for the children has provided kids with opportunity to play in a nearby place and their parents to be around in close proximity. However the fees and time boundary for these spaces could hinder visitors from coming often and ultimately from discouraging users.

The sitting areas are not used frequently by residents because they still lack the motive to use these open spaces. The sitting areas are frequently used by students from the neighboring high school. However both the committee and the community have a concern as to how people use these spaces. There are illegal activities been performed in this area such as smoking drugs, alcohol drinking and misconducts.

Trees have been planted within the sites in a more traditionally way of alignment. And the proposed indigenous plants have not yet been planted. Especially green Area No 3 lacks proper management in terms of planting trees and other.

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## APPENDICES

## **Appendix – 1: Interview Guides**

### **Appendix 1A: Questions for semi structured open ended interviews with Federal government administration officials and Addis Ababa City Administration**

- Environment policy and its process in the context of Ethiopia
- Stakeholders in environment protection and development practices
- Role of administrative organs in environment protection and development
- Planning, design and development of open spaces in Addis Ababa
- Level and degree of participation by communities in environment protection and development

### **Appendix 1B: Questions for semi structured open ended interviews with Bole sub – city and *Woreda* 03 Administration officers**

- Environment protection and development office brief history and responsibility
- Beautification, parks and graveyards office brief history and responsibility
- Open spaces development approaches and practices in the sub city and *Woreda*
- Opportunities and challenges in open spaces development the sub city and *Woreda*
- Significant transformations of open spaces in the *Woreda* particularly the housing cooperatives
- Relation of community members and the local administration

### **Appendix 1C: Questions for Community development association leaders and members of the housing cooperatives**

- Origin of open spaces development in the neighborhood
- Relation of community members and local administration in neighborhood open space development
- Opportunities and challenges of the neighborhood open spaces development
- Significant spatial transformation of neighborhood open spaces

### **Appendix 1D: Questions for informal conversations and group discussion community members of the housing cooperatives**

- Entertainment choice
- Access to open spaces in neighborhood open spaces and frequency of visits
- Activities in open spaces
- Pull and push factors in using neighborhood open spaces
- Individual role in neighborhood open spaces development

Appendix – 3: Terms of agreement

Appendix 3A: Open Spaces development request letter from community development chairman to the Woreda BPGA Manager.

