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**THE FACTORS CONTRIBUTING FOR EXPANSION OF INFORMAL
SETTLEMENTS: THE CASE STUDY OF YEKA SUB-CITY, ADDIS
ABABA ETHIOPIA**

BY

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**A THESIS SUBMITTED TO DEPARTMENT OF URBAN LAND
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Declarations

I hereby declare that this thesis entitled The Factors Contributing for Expansion of Informal Settlements: The Case Study of Yeka Sub-City, Addis Ababa Ethiopia has been done by me under the continuous advice WONDIMU ABEJE (PHD). I also declare that this work is my original work and that it has not been submitted partially or in full by any other person for an award of a degree in any other university or institution.

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ABSTRACT

In the cities of developing countries especially in sub-Saharan Africa, poverty, unemployment rate, poor living condition, lack transparency and accountability, lack of good governance are the major factors to contribute for the people to hold land informally and built houses for residential or other purposes. In most of Ethiopian cities informal settlement is highly seen in peripheral areas this is because people can easily to hold land for housing from local farmers, brokers, speculators without permission from concerning bodies. Thus, studying the contributing factors for expansion of informal settlement was found to be a crucial.

The general aim of the study is identify factors that contribute for expansion of informal settlement and examine its impact on urban land Administration in Yeka sub city, Addis Ababa, Ethiopia.

A combination of both quantitative and qualitative methods can complement each other and allow for more complete analysis my study. Accordingly, in this study a mixed approach methods which is a procedure for collecting and analyzing both quantitative and qualitative data have been used. However, during the study peripheries of woreda of the sub city that means woreda 10, 12 and 13 were selected with regard to with reliability and validity thoughts. From this total three woredas eleven ketenas has been identified for the study.

In periphery area of Yeka sub city, particularly woreda 10, 12, and 13 illegal houses building was expanded from time to time. Farm plot were the highest vulnerable plot for the expansion of informal settlement in this study area (that means about 55% of the illegal built houses) were exist on the area which was far previous.

On another hand, day to day the population which was migrated from rural to urban area to got job opportunity has been highly settled in this periphery area temporarily, thus, to use this opportunity as revenue generation, illegal house construction was held.

In periphery area to ensure the development of urban land and protect it from being informal settlement, actively involvement of all stockholder will be very important starting from planning to implementation.

Key word: *Factors for informal settlement expansion and its impact on urban land administration.*

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ACRONYMY AND ABRIVATION

AU The African Union

CESO Code Enforcement Service Office

CSA Central Statistics Agency of Ethiopia

FAO United nation Food and Agricultural Organization

LBAT Land Bank and Transfer

MEA Millennium Ecosystem Assessment

NULP New Urban Lease Holding Proclamation

ULDM Urban Land Development and Management

UN-ECA United Nation Economic Commission for Africa

UNECE United Nation Economic Commission for Europe

WB World Bank

CHAPTER ONE

1. INTRODUCTION

1.1. Background of the study

Land is used as a source of development and many people used as the major sources of wealth creation in urban area especially in developing countries. Extremely growth of urban population in most of developing countries including Ethiopia can cause increasing the demands of urban land for housing purpose.

In the cities of developing countries especially in sub-Saharan Africa; the economic level of people, unemployment rate, poor living condition ,lack of good governance are contribute for the people to hold land informally and built houses for residential or other purposes .In the most cities of Ethiopia informal settlement is highly seen in peripheral areas this is because people can easily to hold land for housing from local farmers, brokers, speculators without permission from concerning bodies.

The squatters are new settlements which are established illegally and basically formed as a result of inaccessibility for legal land. The emergence of slums and squatter settlement areas in which they target to the poor community dwellers and not well integrated in economic and social aspects and the developmental works. Many large cities especially in the least developing countries the level of unemployment rate is dominantly inhabited by young people (Hagos.T, 2012).

As stated by UN-Habitat (2006) informal settlements area the main problem especially in developing countries and in Ethiopia informal settlements are an economic, social and political growing problem and most of informal settlements characterized by low basic infrastructures, low utilities service, poor quality of life, and deteriorated housing type, and low living condition (UN-Habitat, 2006).

Today in most cities of Ethiopia one of the challenging areas of urban land Administration and Management system is supply of urban land for all citizen and inaccessibility of the government to supply houses for those people have low income with less price, therefore this consequence

for most people to ask the question of good governance by the people in most of the cities of Ethiopia including Addis Ababa. In Addis Ababa, informal housing refers to residential units or other building types that can be built on illegally-occupied land without conformity to the land use or zoning system, regulations and it is simply held without legal permission from concerning bodies.

As cited by Alebel .W (2016) as many other fast growing cities, Addis Ababa faces with shortage of affordable formal housing. The city has the shortage of housing supply and housing need is not much with the demands of the people. It is estimated that Ethiopia's current housing demands in urban areas is about a million units, and that only 30 percent of the current housing stock is in a decent condition. Many of the capital city's inhabitants live in less standard housing situation without access to important urban services.

Informal settlement has never been defined in Ethiopian laws and has no permeation from any legal bodies. Under the Proclamation 574/2007 that concerns with urban planning, under article 25(1), provides "no development activity may be carried out in an urban center without a prior development authorization." And according to article 24 of same proclamation "development" means the carrying out of building, engineering works, mining or other operations on or below ground, or the making of any substantial change in the life of any structures or neighborhoods.

Even though, informal settlement in Addis is illegal or not permitted by the city Administration or the sub-cities but in peripheral areas of the cities people choose as the only option to own land for housing purpose and this also highly seen in Yeka sub- city of peripheral areas and people can easily buy land parcel with low price compare to legal one from local Farmer, broker, speculators.

As stated by Yeka sub city urban land Development and management office Informal settlement is the problem of the sub-city and this mostly seen in peripheral areas of Woreda 10, 12 and 13 of the sub-city and in the sub-city informal settlement is still the problem of urban land Administration in the peripheral areas of the sub-city (Yeka sub-city ULDM, 2017).

As stated by Code Enforcement Service office the squatter settlement still the observed in periphery of the sub-city and in the year 2016/17 about 443 households in average recorded as informal settlers and 429 informal settlers live in Woreda 13, 12 and 10 (CESO ,2017).

Thus, the purpose of this study will be assess on factors contribution for expansion of informal settlement, the development, the extent and pattern of informal settlements, major characteristics that led to informal settlements, and the strategies used to minimize the conditions of informal settlements in Addis Ababa city case study of Yeka sub-city Woreda10, 12, and13.

1.2. Statement of the problem

In developing countries like Ethiopian governments cannot satisfy basic needs of all citizens. Thus, people choose another option or ways to full fill their interest of housing. In recent year the demand of housing in Ethiopian city including Addis Ababa increase as a result of many factors and these factors causes for expansion of informal settlement.

The study investigated by Kelemu. F (2016) stated that, the weakness of the legal land provision and high housing rents in the cities center are the main causes of squatting in the city. In addition, less attention of government to control open spaces, the limited capacity of the code enforcement office (Denb Maskeber in Amharic) to control illegal house construction, lack of a comprehensive legal response towards the problem of squatting, and the practice of land sale by land speculators as a means of making profit are other factors mentioned by those governmental official that have contributed to the emergence and proliferation of squatter settlements.

In Addis Ababa the access of housing for all citizens is one of the problem of the city in Land administration sectors and even though government to access housing for people formally. But still supply of housing for low income groups is the challenging areas so, people choose to live in housing which built without consent of legal body and against of the city structural plan as squatter settlement.

Squatter settlements are, thus, often the only affordable option used by the majority inhabitants of many cities of developing countries (UNHCR, 1999).

The major problems which contribute for expansion of informal settlement in the city is; natural population growth, weak Land Administration system, migration of people from rural Ethiopia to the city, high unemployment rate, lack of good governance, corruptions, contribution of local Farmers, brokers and speculators are the problem etc.

Natural population growth is one of a factors for expansion for informal settlement this because in recent year in rural areas of Ethiopia the population is highly growth and this cause for increasing unemployment rate and for migration of people to Addis for searching of job because in Addis Ababa the chance of employing is better compare to regional cities. Migration of people from rural to city is highly increased from time to time; when people migrate to the Addis Ababa they need housing for residence. When incapacity of the people town formal housing with high price they choose to another option to build informal houses and simply to live in either in shanty houses or buy plots of land from local farmers, brokers by low prices as an option and they built house without considering the structural plan of city.

Weak Land Administration system contribute for expansions informal settlement in the city this because of lack of good governance, lack of responsibility and transparency, and corruption ,unequal distribution of resource, and less supply of land for housing purpose for all citizen, etc. are factors of expansion of informal settlement in the city.

As literatures show and as stated by Daniel W.Ambaye (2011) the main causes that contribute for expansion of informal settlement in Ethiopia and through its cities including Addis Ababa are; Population growth, the Failure of Governance, Institutional and legal failure. It is true that informal settlements occur when the current land administration and planning system fails to address enough supply of land for housing to full fill of the demand people in the cities (Daniel W. Ambaye 2011).

In Yeka sub-city the rates of informal settlement are minimize by sub-city and take a measure at different times but still in the peripheral areas of the sub-city are characterized by informal. As a result, they have significantly contributed to the unplanned and rapid horizontal expansion of the built-up area and the problem are still observed in the sub cities of woreda 10, 13, and 12 (Yeka sub city; ULDM, 2017).

In the sub-city the most causes of informal settlement are the local Farmers purchase plots from their farm land to local brokers and speculators because of the compensation which given by government during expropriation is very low so they choose to purchase their plot with high price compare to normal compensations which is given by government during expropriation. The participants in this transaction process are Brokers including Framer's family itself, business

man who work in illegal land holding and speculators are the main actors in the problem areas. Speculators who have a business and easily buy illegal plot of land from local farmers in the periphery of the Woreda 10, 12 and 13 of the sub- city, then by speculating land illegally and within short time transfer their plots for third parity who built informal housing. The above factors are the major cause for expansion of informal settlement in the sub-city of selected Woredas (Yeka sub city; ULBT, CESO 20017).

1.3. OBJECTIVE

1.3.1. General objective

The general aim of the study is identify factors that contribute for expansion of informal settlement and examine its impact on urban land Administration in Yeka sub city, Addis Ababa, Ethiopia.

1.3.2. Specific objective

- ✓ To investigate how urban land is hold by informal settlers for housing purposes.
- ✓ To identify the factors that contributes for expansion of informal settlements.
- ✓ To identify the existing policy gaps regarding to urban land administration.
- ✓ To identify the actors those involved for expansion of informal settlement.

1.4. Research question

Based on the general and specific objective of the study and statement of the problem the following research questions were addressed.

- ✓ How does the illegal building process take place?
- ✓ What are the factors that contribute for expansion of informal settlements?
- ✓ How does the existing urban land policy fill the gaps on informal settlements?
- ✓ How does the main actor can contribute for expansion of informal settlement?

1.5. Significance of the study

Hence, currently there is a population exploration and migration of society from rural to urban was increasing from time to time in our country the issue of land was also need more attention. In Ethiopia different study are investigated on cause and its consequences of inform settlements, but there is little and not well addressed on the factors for informal settlement expansion.

Therefore, the outcome of the study may give some clue on the factors contribute for the expansion of informal settlement, legal gap and ways of land management and administration of the peripheral area of Addis Ababa. Second, it may also important in formulating land management and administration policies and strategies at city level and put base line information for further work who would like to conduct detailed and comprehensive studies in Addis Ababa town. Third, it may contribute in creation of awareness for the community on the impact of improper land holding and informal settlement on environmental, social and economic developmental futurity of the town.

Finally, the city may use this finding of the study to protect the illegal house construction and prevent lands from being informal settlement practice to ensure sustainable development.

1.6 Operational definition

- **Informal settlement:** unplanned settlements and areas where housing is not in compliance with current planning and building regulations (UN-HABITAT, 2003).
- **Informal settlers:** households in squatter housing, or housing which has no title to the land on which it stands, and who pay no rents.
- **Squatter settlement:** can be defined as a residential area which has developed without legal claims to the land or permission from the concerned authorities to build; as a result of their illegal status, infrastructure and services are usually inadequate(UN-HABITAT, 2003)
- **Slums:** are areas where people with land ownership live in poor environmental and socio-economic conditions.
- **Yeka sub-city:** the It is one the sub-city of Addis Ababa and composed of a number of Woredas.
- **Wereda:** Administrative stricture next to the sub-city and composed of number of ketenas.

- **Ketena:** are the lower administrative structure in the cities and it is collectives of neighboring peoples.

1.7 Organization of the paper

The study divided into five chapters. The first chapter deals with background of the study, statement of the problem, objectives, significances, and operational definition of the term are involved. The second chapter deals with the review of related literature; the third chapter is methodology of the study. The fourth chapter is Data Presentation, and Interpretation finally in the fifth chapter has organized by the findings, Conclusion and Recommendation were presented.

CHAPTER TWO

2. REVIEW OF RELATED LITERATURE

2.1. Definition, nature and condition of informal settlement

As Srinivas, (2015) stated squatter settlement can be defined as a residential place or an areas of people to live and which has developed without legal claims to the land and/or permission from the concerned authorities to build; as a result of their illegal or semi-legal status, infrastructure and services are usually in adequate (Srinivas, 2015).

Informal settlements, can be defined as residential areas where a group of housing units has been constructed on land to which the occupants have no legal claim, or which they occupy illegally; unplanned settlements and areas where housing is not in compliance with current planning and building regulations (UN-HABITAT, 2003).

Informal settlements are dense settlements comprising communities housed in self-constructed shelters under conditions of informal or traditional land tenure. They are common features in developing countries and are typically the product of an urgent need for shelter by the urban poor. As such they are characterized by a dense proliferation of small, makeshift shelters built from diverse materials, degradation of the local ecosystem and by severe social problems. In Ethiopia, they are known as illegal settlements or commonly “moon shines houses” (Daniel W. Ambaye, 2011).

As Ashenafi G, (2015) sited in his paper informal settlement in Ethiopia are the houses which are cover built on government, communal or privately held land against the will of the holder and/or without having a development authorization building permit (Ashenafi, G, 2015).

As a result of the high cost of housing, lack of good financing schemes, the increasing population is forced to live in substandard housing and unhealthy conditions giving rise to informal settlements (Olotuah, 2005). The term ‘Quality of life’ is used to evaluate the general well-being of individuals and societies but its meaning is very complex, very comprehensive and varies with time and the person's beliefs. (Giovanni, 1998) asserted that quality of life has to do with how people live, feel and understand their daily lives. This includes aspects such as health, education,

housing, employment and participation in decisions. (Arnaldo .R,2005) notes that quality of life is a term that has emerged as a concept of living conditions, health and physical safety, mental and social ability. However, definitions of quality of life have also been diverse. It has to do with how each one sees himself and the community (Constanza, 2008).

Nevertheless the wide range of definition can be categorized into three major philosophical approaches to determining the quality of life (Brock, 1993). The first approach describes characteristics of the quality life that are dictated by normative ideals based on philosophical, belief and other systems. This approach to quality of life depend neither on the subjective experience of people nor on the fulfillment of their wishes (Diener and Suh, 1997). The second approach to defining the quality of life is based on the satisfaction of preferences. Thus, in this tradition, the definition of the quality of life of a society is based on whether the citizens can obtain the things they desire. The third definition of quality of life is in terms of the experience of individuals. In this approach, factors such as feelings of joy, pleasure, contentment, and life satisfaction are paramount.

2.2. General characteristics of informal settlement

Informal settlement is characterized by informal housing development, irregular arraignment housing, there is no permission from recognize bodies, no have enough infrastructures, utilities, sanitation and have an impact on environment and etc.

Informal settlements are often studied in the context of informal housing, recognizing the fact that they incorporate predominantly informal housing developments. The informal settlements range from sub-standard slums to housing that does not have the proper development permit. Informal housing can be described as housing that does not conform to the laws and regulatory frameworks set up in a particular city (UN-HABITAT, 2003).

Informal settlements are mainly characterized by informal land tenure, inadequate access to basic services, both social and physical infrastructure and housing finance (Vienna, 2004)

In most of developing countries the economic social, and political factors are contribute for the peoples to build informal houses without legal permission from government or from concerning bodies, this highly seen in the sub-Saharan Africa including in Ethiopia. In most of

Ethiopian cities including Addis Ababa most of informal settlements characterize by the people who have low or middle income and they built houses informally in against to Urban planning policies and strategies. The problems are highly seen in Addis Ababa and in peripheral sub-cities, informal settlement are highly increase from time to time in peripheral sub-cities of the capital, many factors can contribute for increasing of irregular settlements,

One factor is: migration of the people from regional cities of the Ethiopia or from rural areas of the countries to the capitals because the regional cities have less job opportunities in compare to Addis Ababa. This the migration peoples from all direction of the country to Addis were can easily access job opportunities and generate incomes and can easily, holding land from; local farmers, speculators, broker, and built informal houses without legal permission from concerning bodies

Another problem are, lack of good governances of the country in general are contribute for the factors this because, the governmental bodies specially policy makers, implementers and those concerning bodies and who works in housing policies, and are not properly can designing the policies to ensure the satisfactions of housing demands of low income societies. And the policies itself not permanently solve the problems which targeting to full filling the housing demands of the low income peoples. Because of the above and other factors people obligate to live in informal houses which have no access of infrastructure developments and shortages of utilities service like clean waters, road, sanitation, electric city.

2.2.1 Physical characteristic

In Ethiopia most areas of informal settlement the access of infrastructure and utilities like water supply, electric city, school, health centers are less compare to those formal one. And the government bodies have low attention to take an access to this service for informal settlers and Even if, the service are access for the society it may not have service quality, consistency, strength ,formality so, such societies have amendatory to live in bad condition.

As stated by Srinivas squatting, have no enough utilities and infrastructure services and it is below the standard levels. Such services are both network and social infrastructure, like water supply, sanitation, electricity, roads and drainage; schools, health centers, market places

(Srinivas, 2005). And stated by Ashenafi in his paper utilities like access of water supply for individual households for example may be absent, or a few public or community stand pipes may have been accessed, by using either the city networks, or a hand pump itself. Informal networks for the supply of water may also be in place. Similar arrangements may be made for other utilities such as electricity, drainage, toilet facilities etc (Ashenafi G, 2015).

2.2.2 Social characteristics

In developing countries including in Ethiopia informal settlers are characterize by low income groups of the societies and have generate their income by working in construction sectors, in small industries, as wage labor, in informal works and they earned less income so, they face to full fill their families interests and such like problem highly seen in Addis Ababa including the study areas. Informal settlement areas mostly have no or far from getting social service for example worshipping place; like church, Mosque, School, hospitals and so on. In Ethiopia the social integration between the people are highly seen like with Edir, Ekub, wedding ceremony, worshipping, the religions, and culture of living together are common in most areas of the countries and even though, these social integration among the people are affected due to living standards and less income of the societies but it highly contribute for societies to living together in the squatter areas.

As stated by stranivas (2015), about social characteristics of in formal settlement the most of informal settlers in Ethiopia including study areas are migrants from countryside to the capitals and the characterized by low income and they live in very low quality houses.

Squatter households belong to the lower income group, either working as wage labor or in various informal sector enterprises. On an average, most earn wages at or near the minimum wage level. But household income levels can also be high due to many income earners and part-time jobs. Squatters are predominantly migrants, either rural-urban or urban-urban. But many are also second or third generation informal settlers (Srinivas, 2015).

As cited by Ashenafi 2015, in the srinivas study the key characteristic that delineates a squatter housing is its lack of ownership of the land parcel on which they have built their house. These could be vacant government or public land, or marginal land parcels like railway setbacks or undesirable marshy land. Thus when the land is not under productive use by the owner, it is appropriated by a squatter for building a house. It has to be noted here that in many parts of Asia, a land owner may "rent" out his land for a nominal fee to a family or families, with an informal or quasi-legal arrangement, which is not however valid under law. In general, there are several attributes that act as generative forces and determine the quality and size of a settlement. Such attributes could be either internal to the settlement or external (Ashenafi G, 2015).

2.3. Cause and consequence of informal settlement

In most of developing countries the cause for expansion of informal settlements and the consequences are more or less similar, it is characterized by weak land Administration system, inequitable allocation of resources among citizen in within one country, inability of the government to minimize unemployment rate from time to time, expansion of corruption and so on. The above problems can results citizen live in poverty, crime, low living condition and this affects the sustainable developments one of the countries.

Literatures show different causes for the creation of informal settlement although the consequences are more or less similar. It is true that informal settlements occur when the current land administration and planning system fails to address the needs of the whole community. When the system fails to address social housing needs, then people use their own paths in settling on somebody else's land. Such settlements are characterized by rapid, unstructured and unplanned development (Asamamaw, 2010).

The critical factors causing the formation of informal settlements are notably related to several major interrelated changes: poverty; rapid urbanization and influx of people into urban areas; war, natural disasters and earthquakes leading to massive movement of people to places of opportunity and safety; Ineffective Housing Policies; this were a critical problem of developing countries including Ethiopia, inefficient public administration, inappropriate planning and inadequate land administration tools.

Manifestations of informality are attributed to the lack of effective planning, effective land management system and zoning regulations for urban development.

According to the United Nations Economic Commission for Europe (UNECE), poverty and social ostracism are the primary causes of informal settlements in most nations. Governments around the world grapple with fiscal deficits and therefore promote and subsidize industrial sectors that can revitalize the economy. In addition, governments have implemented policies to provide housing for the urban poor but their efforts have proved futile. According to *Housing the Urban Poor*, several governments have pursued anti-urbanization policies. They have evicted people from informal settlements, razed the housing, and sent the dwellers back to the countryside. These measures fail to stem the tide of urban migration. Rapid urbanization and influx of people into urban areas is another major cause of informal settlements. Rapid industrialization and urbanization have brought an increase in the number of people living in urban areas (JETEMS, 2015).

Similarly informal settlements was developed due to reasons such as; Unaffordable land and housing for low income groups, absence of timely urban planning and land management, absence of policy for social integration of low income groups, population migration and rapid urban growth, lack of resources of the urban authority, irresponsible sub-division of land by private landowners, lack of enforcement of rules due to weak and ineffective governments (UN HABITAT, 2007).

2.3.1. The failure of government

At the global level, policies that have weakened national governments without any countervailing central control appear to be leading to an unrestrained globalization that is accommodating greater inequality and marginalization. At the national level, liberalization and the sectorial fragmentation of policy and analytical and institutional frameworks have failed to support the urban–rural and cross-sectoral dynamics that are critical both to sustainable economic growth and the distribution of its opportunities. At the local level, a startling lack of capacity to cope with, or manage, the situation has left many slum citizens in a no-man’s land of illegality, insecurity and environmental degradation (Daniel .A, 2011).

2.3.2. Inadequate formal land distribution

Throughout the history of the existence of the informal settlements, one of the major causes has been failure or inability of the responsible institution to provide residential plots to the ever increasing urban population. While official applications for residential plots in Zanzibar Town have been steadily increasing, supply of the same is staggeringly inadequate, an average of between 20 and 30 percent per year (DOLR, various files cited Ali and Sulaiman, 2006).

2.3.3. Poverty

The major characteristics of informal settlers in developing countries are fewer living standards this may be the result of lack of good governance, inappropriate access to resources for all citizens, increasing unemployment rate can cause for people living in poverty.

The reality associated with these informal settlements is the poverty levels within which their inhabitants live, and the social exclusion to which they are subjected as a consequence of, among other factors, a lack of sufficient income to satisfy their basic needs (Paudel, 2003).

Their daily challenges according to (Baharoglu and Kessides, 2004) include; limited access to employment opportunities and income, inadequate and insecure housing and services, violent and unhealthy environments, and limited access to adequate health and education opportunities.

He went further to state that poverty in informal settlements is not just a collection of characteristics; it is also a dynamic condition of vulnerability or susceptibility to risks. The fact that they lack all these conditions and the necessity for employment to generate an income to satisfy their needs makes this informal urban environment a fertile ground for illegal informal activities including violence and crime (Lumanti, 2005).

The reality associated with these informal settlements is the poverty levels within which their inhabitants live, and the social exclusion to which they are subjected as a consequence of, among other factors, a lack of sufficient income to satisfy their basic needs (Paudel, 2003).

The countries which live in sub-Saharan Africa have many problems as a result of civil war, corruption, lack of peace between their citizens, lack of modernization, traditional way of living

standard, lack infrastructure development, less access of utilities like power, sanitation, school, hospitals etc.

The above problems have negative influence on housing developments of the countries, including Ethiopia so, all the problem these can influence for expansion of informal settlements including Addis Ababa city administration thought of peripheral sub-cities.

Poverty is the center of informal settlement, majority of the squatters categorized as extremely poor. To construct a house in a planned area one needs to have enough money to buy a plot and build a “decent house” (Ali and Sulaiman, 2006).

The incomes of informal settlers are mostly too low for formally regulated markets to provide them with any kind of permanent housing. One of the inhabiting factors is that the poor have a low propensity to save and hence a low propensity to borrow money from lending institutions (Daniel A, 2011).

2.4. Formation and expansion of informal settlement

As cited by Gossaye ,(2007) in Solomon (2004) study mechanism of land acquisition through inheritances and gifts in most cases are normal, and in some systems they are legal and it is the right of the original owner to do so. Even though the nature of Sub division of land for inheritances and gifts appear to be slow their contribution to the formation and expansion of informal settlements is high. The other mechanism of land airing is through organized way of urban land invasion, this system is obviously illegal from the beginning and they create their own urban informal neighborhoods on both suitable and unsuitable sites they occupied. This mechanism often depends on situations like conflict over the ownership of land but it is not common in all urban centers. For instance, land invasion in informal settlement in Egypt took place as soon as land tenure was in doubt. During the transaction of land property among various governors, the transformation of economy or regulation takes place when national or local election is conducted within the country (Gossaye, 2007).

Among informal settlement expansion movement of society from rural to urban is the crucial one. The immigrants, having come in order to avail themselves of the job opportunities and gain better education, did not wait for the government to build them residential houses. They

arbitrarily fulfilled their housing needs up to a certain level, in accordance with their abilities and their understanding of the circumstances (Mirwais Fazli, 2016).

2.5. Major impacts of informal settlement

An informal settlement has impacts on the environments. This is due to poor arrangements of the houses, inadequate supply of infrastructure, utilities, services, less attention of the governments to access services for the settlers compare to normal dwellers and less providing of such services has resulted environmental, social and economic impacts.

2.5.1. Environmental impact

Quality of human life depends on the health of the ecosystem. From cities point of view, key ecosystem services including regulating services such as water regulation, water purification and waste treatment, erosion regulation and climate regulation. It is well known that many of the recent devastation floods have occurred because the natural watershed flows have been hindered by reckless construction (MEA, 2005).

Expansion of the squatter human settlements has been the major cause for pollution of ground water sources, most of which are located on the periphery of the cities this because most the time poor disposal of liquid and solid wastes around informal settlers which additional cause for loss of vegetation and this results for affecting living things around the environment including human being. Another effect of squatting is that the accessing of municipal services, utilities, infrastructure like roads, water supply, sanitation, solid and liquid waste disposal sites are never provided. Wastes that generate from the houses thrown in properly into derange channels and witch consequences for flooding and erosion of the area.

Assessing various conditions of the urban environment can indicate its livability and sustainability. Urban environment can be generally represented by the level of clean water supply and urban sanitation as well as the air, soil and water quality. In addition to this, proper management of the urban ecosystem and efficiency of the urban system such as transport and energy use can be taken as part of the urban environment. The quality of the urban environment is one of the major disparities among cities of developed and developing nations. In most cities of the industrialized countries basic amenities of the urban environment improved satisfactorily.

On the contrary, third world cities like Addis Ababa are facing major problems due to deteriorated urban environment. The magnitude and severity of slum and Informal settlements are significant indicators for the troubled urban environment. Living standards in slum areas are far below the acceptable level and the water, soil and air qualities are greatly depreciated. Slums are characterized by a lack of access to improved water supply and sanitation, sufficient living area as well as durability of housing and security of tenure (Dubbale D, A., Tsutsumi J., and Michael J. Bendewald, 2010).

When people settle in one place they must need to eat food for serving and this can courses for deforestation of the forest around the environments. Usually informal settlers or the squatters are the poor people they cannot use electric energy for coking purpose so the only option to use natural forest and this has reduced the amount of ground water and resulted in environmental degradation and this affects the ecosystem of the country.

2.5.2. Economic and social impact

The uncontrolled expansion of human settlements has led to conversion of the best agricultural land into settlements. Occupiers usually do not pay property tax or user fees, thus reducing the revenue of the municipality to provide essential services. Records show that between 1977 and 1994 the Zanzibar town has expanded by 2100 hectares mostly into the best agricultural land. There have been genuine complaints and warnings by the ministry agriculture that the agricultural land is consistently decreasing due to over expansion of human settlements. The loss of agricultural land means a decrease of crop production and income of poor agricultural families (Tsenkova, 2008). In economic terms, informal settlements mobilized significant public and private investments, which remain outside of the formal economy and investment cycle (Desoto, 2003)

Where squatting is on government or any derelict land; layout are never prepared and developments are not subject to any control. In cases where the land owning families design layouts; such layout in most cases may not conform to acceptable standard and development meaningful development control in these cases will invariably lead to haphazard or uncoordinated development which characterizes slum formation (Tsenkova, 2008).

Most informal settlers belong to the low income groups of the community that are either unemployed or looking in the informal sector like street hawking or informal service provision and daily laborers (Cho and Park,1995,cited in Meseret,2010). Since residents of squatter settlements lack legal titles; they are usually suffering from the problem of uncertainty in tenure. They live daily with the perpetual fear of eviction and demolition by authority. As a result of which there is no incentive to spend on housing improvements; hence they live in houses constructed with substandard materials (Tsenkova, 2008).

The problem of their low income affects the level of capital formation, which deprives the people of sufficient resources to utilize in improving their homes and keep their environment healthy for comfortable living (George, 1999). The slum residents lack the basic municipal facilities; and thus are exposed to disease and natural disasters (The World Bank, 2002).

2.6. Effects of Informal Settlements on Quality of Life

In informal settlements, the decline in living conditions is accompanied by rapid deterioration of existing housing and homelessness (UN-HABITAT, 2007). The urban poor living in these settlements are especially vulnerable to economic shocks; they lack access to services, safety nets and political representation.

The population growth which drives the increase of informal settlements can impose pressure on the inhabitants of informal settlements. While the people are usually poorly educated, competition in the city is high, and it is hard to find jobs. Pressures can also come from environmental hazards such as floods and fire. These pressures impact upon the well-being of the poor in these informal settlements. Poverty can also create long-term pressures. People are unable to obtain adequate food, clean water and other basic services, as well as education. Their health and living standards often suffer when their settlements are situated close to sources of pollution. The environmental hazards and vulnerable locations of informal settlements mean that the effects of the hazards on informal communities are great.

These inhabitants have little ability to provide for themselves. They live in a state of uncertainty as they have no tenure over the land they occupy are illegally. At the same time, people living in hazardous location have the continuous threat of unpredictable disaster. Both external and

internal hazards affect their livelihoods. World Health Organization (WHO) notes that informal habitants are frequently ill as a result of the poor quality of their environment and exposure to disease. They are in a state of persistent poverty and frustration. Disasters may cause death and loss, while the poor housing and sanitation also threaten their health.

2.7. Housing Quality and Environment

Housing is an important component quality of life and housing is the basic needs for people. (Agbola, 1998) notes that housing is a combination of characteristics which provide a unique home within any neighborhood; it is an array of economic, social and psychological phenomena. In other words, housing could be seen as a multidimensional package of goods and services extending beyond shelter itself. It is also the art of creating a living area through acquisition of land at the top of which buildings are constructed with provision of basic physical, social and cultural infrastructure. (Osuide, 2004), suggests that: “Having a safe place to live in is one of the fundamental elements of human dignity and this enhances human development”.

Housing in informal settlements are characterized by natural ageing of the buildings, lack of maintenance and neglect, wrong use of the buildings, poor sanitation in the disposal of sewage and solid waste and wrong development of land (UN-HABITAT, 2003).

Furthermore, so and Leung (2004) have also established a significant correlation between the quality of life and the comfort, convenience and visual acceptability of the house. Therefore the significance of adequate housing to the social well-being of the people in informal settlements cannot be overemphasized. Quality of life may also address environmental quality such as quality of dwelling air, water and adequacy of open spaces for other land uses.

2.8 National Urban Land Policy

There are different types of land holding system in the world from this one is lease holding system. Leasehold is form of land tenure which is a system of holding land for specific period of time. It was introduced the first time in Ethiopia in 1993. It is a well-known system applied in many other countries of the world as well.

As stated by Daniel(2005) lease hold right may be defined as a contract granting the exclusive right to possession of land for a fixed or determinable period\ shorter in duration than the interest of the person making the grant and the formal agreement between lessor and lessee (Daniel.W, 2005).

In Ethiopia, for the first time, lease holding was introduced in 1993; then revised in 2002; and finally again being repealed in 2011 New urban lease holding Proclamation No. 721/2011 and the objective of this proclamations are to solve land tenure system. The house people representatives passed new urban lease holding Proclamation 721/2011 and the new proclamation has introduced new article comparing from privies two proclamation and it has an objective to ensuring efficient and stabile land market value in the countries by increasing the supply of the land and to facilitate sustainable urban land developments but it still unable satisfy the demands of the peoples. Even though, Lease holding systems are transfer to the users by auction but most poor people could be excluded in competition with small rich competent. The allocation itself have problem of accountability and transparency.

According to World Bank in 2012 study land allocation in Ethiopia is the second most area of corruption in Ethiopia following customs services (World Bank, 2012).

Under conditions of rapid urbanization, competition for secure and serviced land increases. This places pressure on existing tenure systems and requires governments to formulate policies, which encourage efficient land use and improve accessibility to land, without sidelining the urban poor. The central policy issue, hence, becomes what forms of land tenure best achieve these objectives of efficiency and equity (Bacry .Y, Sileshi.T and Admit. Z, 2009).

The lease policy can't be access the demands of the majority of the low income people and in study are about 98% respondents highly disagree with land lease. As result people use another

options for sheltering and own property by illegal land acquisition and also it is also contributes for the expansion informal settlements in the sub-city. The infant of development age of urban land cadaster and information system also another are common problems in Addis Ababa city administration. Even though, Addis Ababa cadaster system were launched since 2013 and it is new established office and expects to solve the cadaster problems and easily access about land information for local people. Generally the current urban land policy implementation and strategies are characterized by: un balance between demand and supply, the system are lack of participatory of low income peoples, excluding the poor peoples in Acquisition processes, inadequacy of land related information, weak land administration system, limited financial capacity, weak monitoring and evaluation mechanisms, lack of transparency and accountability.

Therefore, the policy should be set up on strong land Administration system through: the government increase the supply of housing in the cities, by ensuring urban land tenure, to minimize the problem the government it will work on coordinating of stakeholders , ensuring good governance in the system through transparency and accountability, minimize the migration of people to Addis Ababa from deferent regions of the country by creating job opportunities in regional cities and overall country sides.

2.9. Informal settlement theories:

Different assumption and theories of informal settlement has been seen since the early 1960s in history of informal settlements. The theories was based on the assumption different writers based on economic, social, political and cultural statuses of informal settlers of different countries.

2.9.1 The state of the art

The landscape of the theoretical debates over informal settlement planning and working with the urban poor, especially in the TWCs or LDCs, has received paradigmatic momentum since the early 1960s. From Oscar Lewis to Charles Abrams, William Mangin , John Turner and the World Bank (The Children of Sanchez, Random House, 1961; Abrams. C, 1966. Mangin,W, 1967; Turner, J.F.C, 1967; World Bank, 1974).

Considerable Wandel der Denkungsart (change of the thinking) has taken place. Oscar Lewis' famous culture of poverty concept (Lewis, O, 1966) is based on fatalistic assumptions about the

urban poor. He depicts the urban poor as contented with their situation and intrinsically incapable of self-initiating and sustaining decent living conditions. Based on his haphazard and marginal experiences in Puerto Rico, he advocated the diversion of funds from upgrading the urban poor housing to ‘more rewarding’ undertakings, such as investments in nation building. For Lewis, any investments in the redevelopment of urban poor settlement would be a waste; consequently, attention should be directed to the promotion of industry. The transportation system should rather target industrial and commercial population segments. Lewis’ theory was used to legitimize increased governmental expenditures in housing and servicing urban middle class populations. The other side of the coin is the total abandonment of policies aimed at improving informal settlements. The first countervailing wave of thought came from Charles Abrams. He emphatically impeached Lewis’ idea that the urban poor are unwilling to act and destitute of intrinsic eagerness to take care of decent housing conditions (Abrams, C1966).

Abrams draws on his practical experience in different TWCs (e.g. Ghana, Turkey, Pakistan, the Philippines, Nigeria, India, Jamaica, and Bolivia) to argue that it is not a waste to assist the poor. He maintained that empowerment to self-help was the most appropriate solution pathway. He also proposed to adopt a different perception on slums and squatter settlements. For Abrams, the ‘shantytowns’, ‘bidonvilles’ and ‘favelas’ are not the locus of the urban ills or the expression of a poverty culture per se; they are the poor response to a situation: a rational step on the way to self-improvement (Abrams, C p. 174 ,1966).

Building on groundbreaking thoughts spread by Abrams, John Turner, and William Mangin made seminal contributions in terms of how to initiate change and create an environment propitious to liberating the poor’s energy toward improving their housing standard and social livelihood. Turner regards land tenure security as a pivotal incentive in facilitating the poor’s commitment to the progressive transformation of their shelter (Turner,J.F.C, 1967).

Accordingly, tenure security is the primary step for solving the problem of squatter settlement by the government. Another principle enunciated is the reduction of the burden of charges for informal settlement dwellers by sharing the workload with the government. Thus, the government provides the basic services and amenities whose realization lies beyond the dwellers’ capacity. A realistic portion of the work is then designed to be achieved by the

inhabitants themselves. This scheme has been termed ‘sites-and-services’, which will be analyzed in depth in the subsequent sections (Mangin.W,1967) also highlights the prime necessity for creating access to basic social infrastructures in squatting neighborhoods, where some shelters might probably be over the standard, but where the (unplanned) physical environment remains an obstacle to access or enjoy social benefits (Mangin.W,1967).

This approach has been coined ‘upgrading scheme’, which will also be discussed in greater detail in the forthcoming sections. In a broadly thought perspective, the works of Amartya Sen represent a gigantic conceptual input to the Wandel der Denkungsart, as described above. In fact, the novelty of Sen’s theory of development is to broaden the scope of freedom and to view its materiality in every segment of human activity. Dignity and capability are the core concepts of this interconnectivity between freedom and development. He identifies freedom as a constitutive as well as instrumental attribute to development. The substance of development is viewed as the ‘general capability of a person or people to live more freely’ (Sen, A.K., p. 38, 1999).

The development theories proposed by Abrams, Turner and Mangin for informal settlements firmly emphasize the categories of ownership and dignity. This squarely correlates to Sen’s cherished concept of capability building for the urban poor. Sen has definitely been authoritative in the moral-ethical shift that occurred in the scholarly and policy-directed discourse upon the TWCs’ poor in general, and upon the poor informal settlements dwellers in particular. The World Bank’s adoption and vigorous advocacy of the self-help theory, in conjunction with the sites-and-services schemes, has been an important factor in legitimizing the capability and freedom approach in the international development cooperation.

The demise of structural adjustment programs (Bracking. S, 1999) in favor of the ideology of ‘Poverty Reduction Strategy Paper’ (PRSP) – despite being perceived by some as a rhetorical masquerade starved of genuine innovation – evidences, once again, the re-centering of the poor in terms of capability-building (Mosley, P, 2001).

2.10 Five planning strategies for informal settlements

There is a variety of planning strategies for informal settlements. Their mechanisms and scope vary according to the level of government involvement. The reason for the selection of the five planning strategies that follow is that they are evocative of the evolution of governmental planning practices in Africa since the 1960 decade. We do not intend to explore the history of housing policy in Africa, as it would extrapolate the objective of this research. Our enticement to past and actual planning practices in Africa is to shield eventual criticism that they might be unrealistic or alienating for the African context. This selection does not either reflect or value judgment; it is merely the stocktaking of the most practiced planning policies (Cyril Fegue, *Int. J. Sus*, 2007).

Strategy 1: Eviction-and-demolition schemes

According to Njoh, A.J (1999) this strategy, also labeled direct action consists of clearing up informal settlements, i.e. evicting the occupants and demolishing their spontaneous shelters and other informally erected structures. We can discern two schemes of this policy: hard and soft eviction-and-demolition schemes. The hard scheme does not contain a compensation plan for the occupants, with whom no negotiation of any kind is set up; the occupants are rather perceived as undesired criminals, as the problem itself to get rid of. The soft scheme slightly differs from the hard one in the sense that it is accompanied with a resettlement plan (in the city outskirts mostly) or includes a modest compensation package. It might also include a low level of negotiation with the dwellers and the issuance of a demolition schedule or notice. However, both alternatives of the eviction-and-demolition schemes understand the slum dwellers and the squatters as the problem and not as the solution. Additionally, they do not seek rehabilitation but pure eradication (Cyril Fegue, *Int. J. Sus*, 2007).

Strategy 2: Low-cost housing provision programs

This strategy is rather proactive and pre-emptive in magnitude. It is not aimed at solving an instant problem. The planners assume that the phenomenon of urban slums and squatter settlements is the direct emanation of scarce low-cost housing stock. Thus, more low-cost housing units would eliminate housing shortage and, therefore, ultimately solve the problem of

informality. The salient and critical point is that the long-term success of this strategy is predicated by the mobilization of large financial resources – as exemplified in the cases of Singapore and Hong Kong – which many African countries' low-income economies cannot sustainably afford. However, history indicates that there has been a grand enthusiasm around this strategy in the 1970s in Africa. State corporations such as the Office des Habitations à Loyer Modéré (OHLM) in Senegal or the Société Ivoirienne de Construction et de Gestion Immobilière (SICOGI), the Société d'Équipement du Terrain Urbain (SETU), the Société de Gestion Financière del'Habitat (SOGEFIHA) in the Ivory Coast, and also the National Housing Corporation (NHC) in Tanzania constructed massive low-cost housing units between 1970 and 1979. From 1970 to September 1979, the Ivorian SETU could accommodate 350,000 households and the SOGEFIHA built 17 912 low-cost housing units (Stren. R,1989).

Strategy 3: Sites-and-services schemes/land-and-utilities schemes

The objective of the sites-and-services schemes is to provide an economically accessible physical framework for shelter and related employment needs to the slum or squatter settlement target groups. The major components are: first, the land (subdivision of urban land); second, public utilities; and third, community facilities (Cyril Fegue, *Int. J. Sus*, 2007).

The funding of sites-and-services schemes is a combination of government assistance and largely efforts of community residents – with and sometimes without outside assistance (World Bank, 1974).

The sites-and-services schemes cannot be effective if the issue of land tenure security is not incorporated into the plan. Therefore, we agree with Laquian that the sites-and-services scheme is comprised of four elements (Laquian, A.A, 1983):

1. Residential building plots (so that individual households may build their own dwellings);
2. Public utilities (basic amenities such as water, sanitation, electric lighting, sidewalks, paved roads);
3. Neighborhood facilities (schools, markets, police, fire protection, parks, community centers, religious and cultural centers, etc.);

4. Contractual arrangements (legal relationships between the government and the residents: land tenure, responsibility for basic services, land use regulations). The sites-and-services schemes can be bluntly defined as the subdivision of land and its servicing. As is apparent, this strategy concentrates on land and services and relegates the improvement of the shelter commodity to the very effort of the dwellers themselves.

Strategy 4: Aided self-help/mutual help strategy

Aided or assisted self-help schemes owe their formal inception to the works of Abrams and Turner. The term self-help housing lends itself to different interpretations and meanings, depending on the ideological context. In the 1970s–1980s, during the apogee era of leftist programmatic changes in Africa – as perceptible in the rhetoric of self-reliance, auto-centered and endogenous development – self-help housing meant using local by-products, materials, and traditional techniques to build houses and stepping down from ‘pseudo-Western middle-class standards of housing and environmental planning’ (Njoh, A.J, 1999).

Before the Abrams–Turner concept became authoritative in the area, self-help technically designated housing for low-income families, constructed with their unpaid labor, especially in rural areas (Obudho, R.A. & Mhlanga, C.C, 1988). Turner’s definition supports the variable of the mobilization of dwellers’ unpaid labor. But it also adds the variables of direct investment by the concerned families and of their participation in the decision-making (Obudho, R.A. & Mhlanga, C.C, 1988pp. 340–341). The new configuration of the concept is made of aided or assisted and self-help. This denotes two complementary actions: the governmental support or international agencies’ assistance on one side, and the efforts of the informal settlers on the other side. The role of the government and international cooperation is limited to providing supporting structures such as standard designs and specifications, supervision, know-how instructions, financing, to supplying certain materials, plants and tools, or demonstration prototypes (Obudho, R.A. & Mhlanga, C.C, 1988).

The future occupants supply the labor. The advantages to gain are numerous. First, the sense of belonging and development ownership is cultivated in the dwellers, who will feel emboldened to take care of the maintenance once the governmental partners have withdrawn (the sustainability argument). Second, the costs of building are kept low and shelter deployment can be carried out

quickly at a large scale (the cost-benefits argument). Third, while building their houses themselves, the future occupants familiarize with the environment and develop social contacts with their would-be community (social argument). Finally, as the slum dwellers and squatters best know their own needs, building by themselves allows them to design their shelter in harmony with their expectations (Obudho, R.A. & Mhlanga, 1988).

However, few requirements need to be met for the aided self-help schemes to be really successful. In fact, sound urban planning and provision of suitable infrastructure, good dwelling design, possibilities for future improvements or extensions, availability and use of local materials, simplicity of construction, selection of and reasonable size of participants, careful handling of social sensitivity, ought to be at work (Obudho, R.A. & Mhlanga, 1988).

To conclude this section on aided self-help schemes, let us once again sharpen the understanding of the difference between sites-and-services schemes and aided self-help schemes. While the first is strictly preoccupied with planning the subdivision, by creating access to public utilities and community facilities (the plot or site logic), the latter is primordially concerned with erecting shelters of acceptable standard (Cyril Fegue, *Int. J. Sus*, 2007).

Strategy 5: Slum/squatter upgrading schemes

Slum/squatter upgrading consists of physical, social, economic, and environmental improvements that are done in partnership with informal occupants, community groups, businesses, and local authorities (Cyril Fegue, *Int. J. Sus*, 2007). These improvements often focus on introducing or improving – where it already exists – basic services provision, mitigating environmental hazards, regularizing security of tenure, providing incentives for community management and maintenance, and improving access to health care and education. These basic services can involve water and sanitation, garbage collection and disposal, surface drainage, roads, footpaths, electricity supply. They are often accompanied by community facilities and security of tenure. Upgrading schemes, like sites-and services schemes, do not involve housing construction (Cyril Fegue, *Int. J. Sus*, 2007).

Upgrading schemes require the active participation of all stakeholders: the housers (interested in self-help housing improvement and view upgrading as a tool to increase land tenure security);

the principal engineers (interested in public health, public safety, and clean water provision); the politicians (interested in consolidating their political power or control over constituencies in dwellings they regard as a marketing tool to enhance their social profile); the community-builders (concerned about raising awareness in the community on common interests); the international funders (concerned about providing financial support to projects that can make a difference to the life of the poor); and the slum dwellers (concerned about getting real and instant benefits from the government(Angel.S,1983).

As stated by Mansuri,G. & Rao. V, (2004) thus, the success of an upgrading scheme hinges upon good urban governance; the government should rely upon the urban grassroots democratic participation, on the World Bank fetish concept of Community Driven Development where the affected groups have the due room of maneuver and advantage. The most important element for success is commitment by all stakeholders. A sense of partnership must be at work among them. Second, upgrading must meet a real need, i.e. people must want it and understand its value. For a thriving implementation, the (local) government must get the institutional arrangements right: it should give incentives for agencies to work with the poor, should keep everyone informed, and should coordinate between stakeholders and define clearly the roles of the various agencies. And to keep upgrading going, sustainability concerns must be highly ranked among priorities while devising financial, institutional, and regulatory plans. It is also very important that the government provides training to NGOs and dwellers so that they can fully participate in the entire process (Cyril Fegue, Int. J. Sus, 2007).

2.11 Conceptual frame work

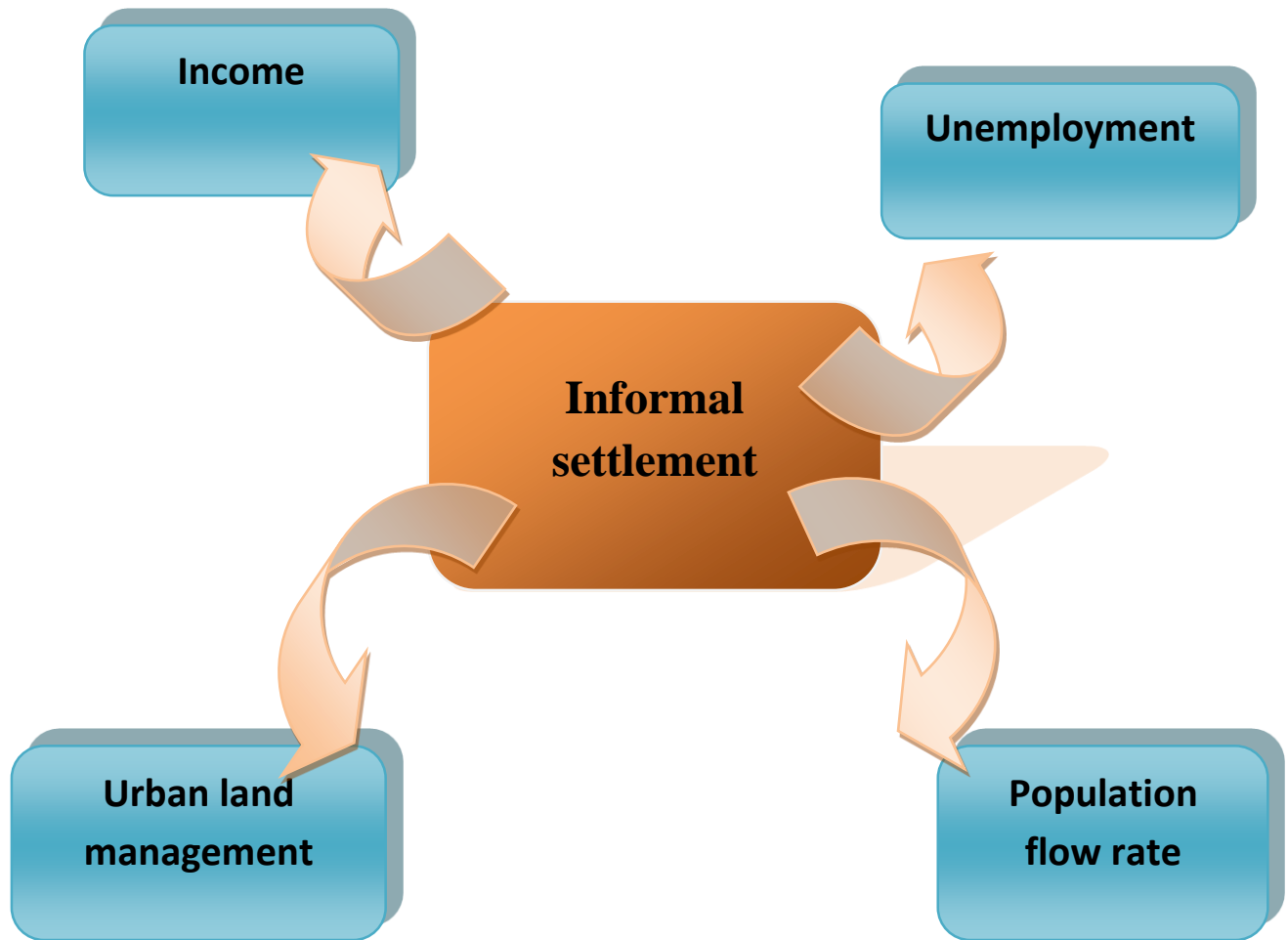


Figure 1 : A conceptual frame work that shows the factors determine informal settlement in Yeka sub city, Addis Ababa, Ethiopia 2018.

Source: from field survey (2018)

CHAPTER THREE

3. RESEARCH METHODOLOGY

3.1 Study area

Addis Ababa city was founded in 1886 as capital of Shewa Province and after the coronation of Emperor Menelik II as King of Kings in Ethiopia in 1889, Addis Ababa became the political, administrative, and religious center of the country (Garretson, 2000).

Current time the city is the home of Nation and nationality and people of Ethiopia, the diplomatic capital of African, residence for numerous embassies and international organizations, including the United Nation Economic Commission for Africa (UN-ECA) and the African Union (AU) and has an estimated population 2,739,551 million as the reports of census Statistical Agency of Ethiopia (CSA) reported for the year of 2007(CSA reported 2007).

The total area of the city is 540sq km out of which 18,174 sq. km is periphery (Meheret 1999 and Wubshet 2002). The city, which lies between 1800 and 3200 meters above sea level, is located at 9° 2' N and 38° 45' E. The lowest and the highest annual average temperatures of the city are 9.89°C and 24.64°C respectively. The annual average rainfall is 1178 mm (Dierig 1999).

It is a fast growing city that is overwhelmed by problems afflicting most cities in the developing world, including extensive urban poverty, joblessness, inadequate housing, severe overcrowding and congestion and under developed infrastructure. Moreover, mounting social ills, such as begging, homelessness and youth delinquency are grim realities of life in the city. The economy cannot create sufficient jobs, so unemployment is a common problem in the society. In 2006, the unemployment rate was 28.6 percent among the population aged 10 years and above (CSA, 2007)

Yeka sub-city is one, of the 10th sub-city of Addis Ababa. It is located in north east part of the Addis Ababa, between 9° 2' 14. 2800'' N and between 38° 50' 5.9964'' E and the elevation of 2470 meters height, as CSA data of 2007 the population about 346,664. People and the sub-city has an estimated the total areas of 8213 hectares (Yeka sub-city planning office 2018).

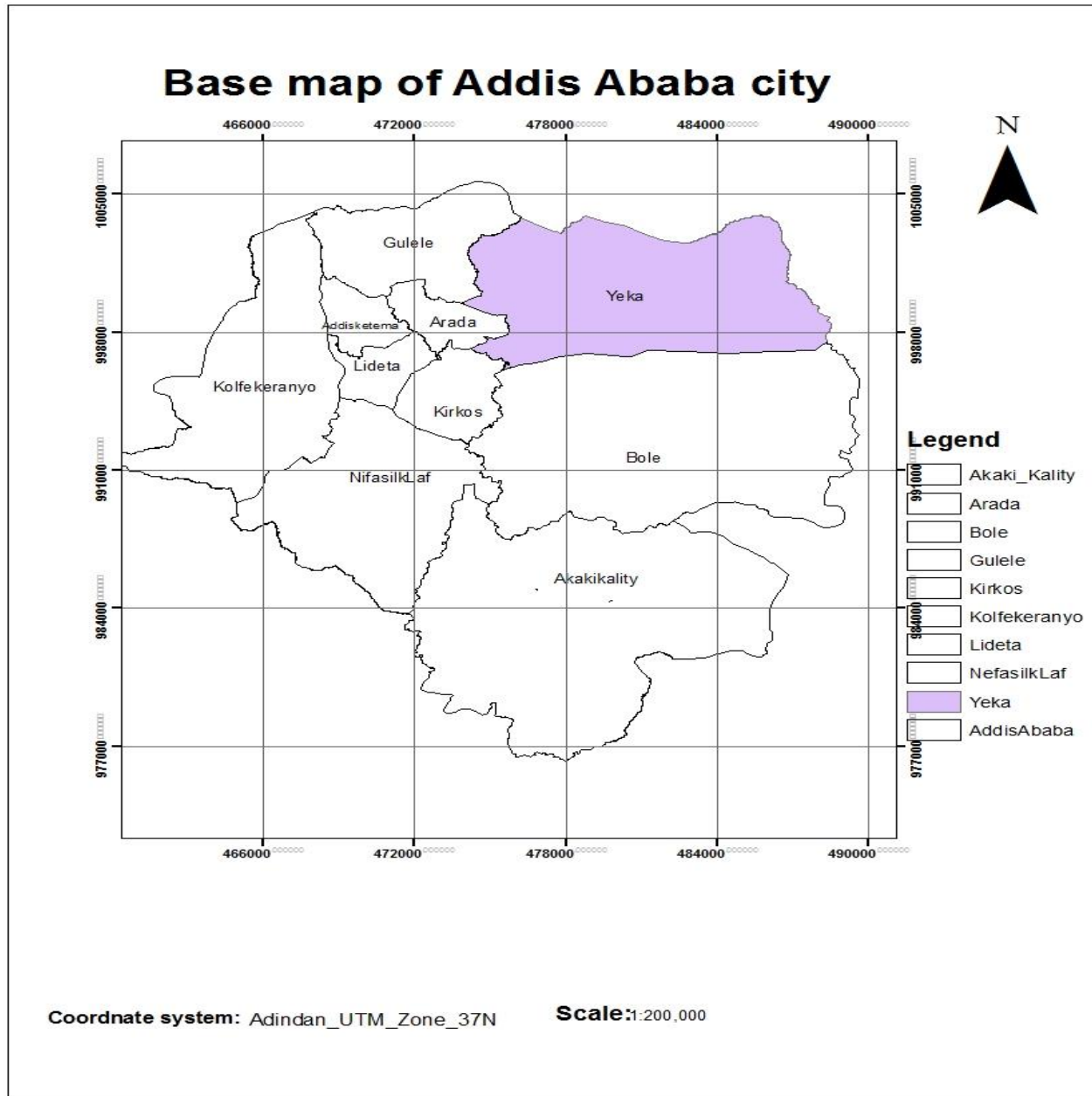
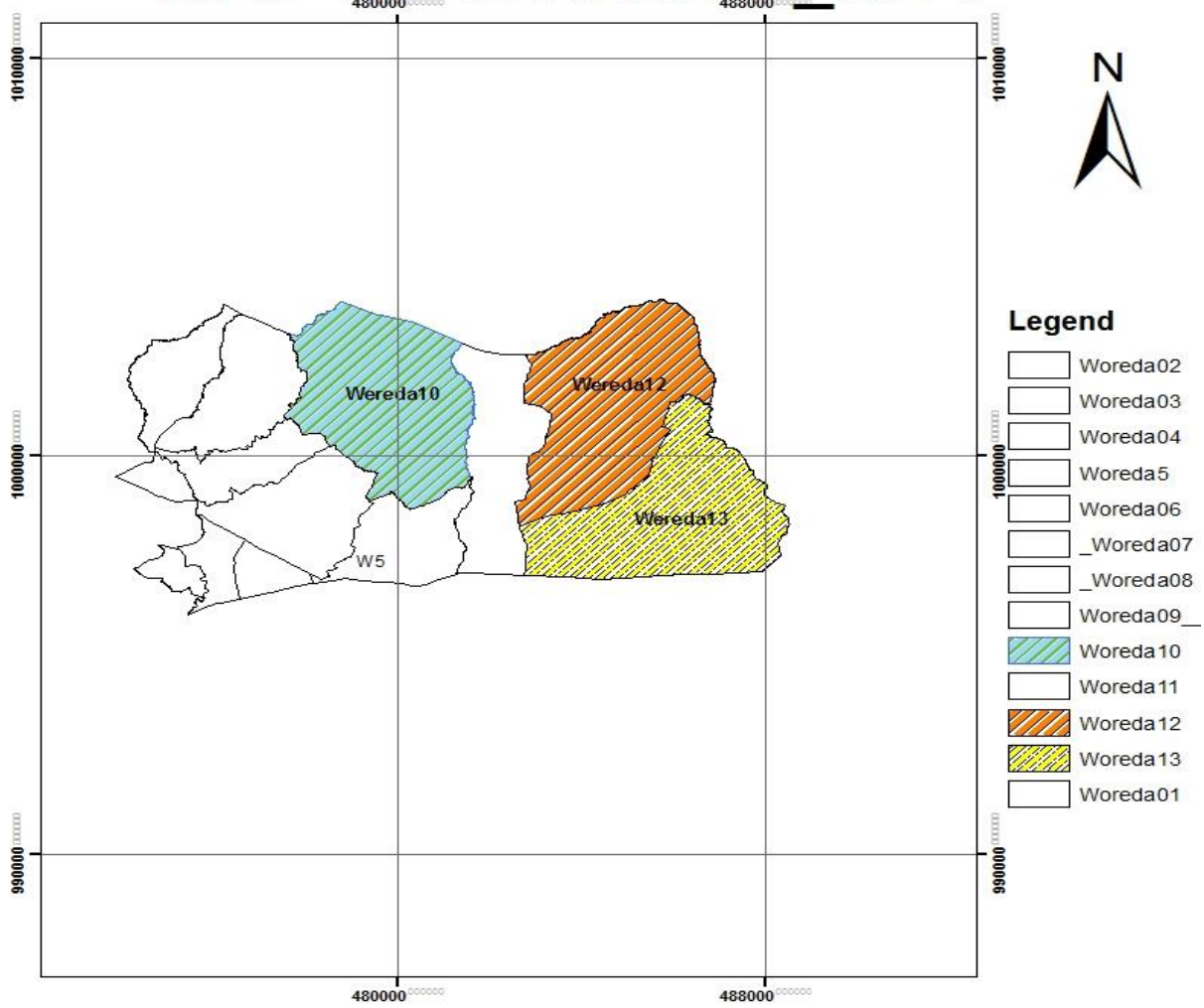


Figure 2: Map of Addis Ababa and Yeka sub-city(Cadastral map of 2003)

Source: Yeka sub-city Land Adjudication registration and information Agency (2018).

MAP OF YEKA SUB_CITY



Coordinate system Adindan / UTM zone 37N Scale: 1:125,000

Figure 3 Map of Yeka sub-city And the study Wereda.

Source: (Yeka sub-city Land registretion and infomation Agency2018).

3.2 Research approach

A combination of both quantitative and qualitative methods can complement each other and allow for more complete analysis (Green et.al, 1989). Accordingly, in this study a mixed approach methods which is a procedure for collecting and analyzing both quantitative and qualitative data have been used at some stage of the research process within a single study, to understand a research problem more precisely.

During the study a quantitative approach has been used for examination of different quantifiable variables. To ensure the consistency and quality of data the investigator has been investigate, supervised, assisted interview, collected filled questionnaires every day. The qualitative approaches have been also used in this study and respondents were interviewed by direct interaction with individuals one. Here open ended question was provided for each respondent and there answer has been appropriately recorded in written as well as in voice.

In this study priority, implementation and integration has been considered while using mixed method study.

3.3 Research design

According to Lofland (1995), sequential mixed methods data collection strategies involve collecting data in an iterative process whereby the data collected in one phase contribute to the data collected in the next. Similarly, a sequential explanatory mixed method design has been used for this study. In the first quantitative numeric data was collected by using questioners and qualitative data was collected using structural and semi-structural interview, document study and field observation.

3.4 Population and sample size determination

The target populations in this study area were informal settlers who occupied land in Addis Ababa on unplanned area and periphery of Yeka sub-city. On the other hand, Yeka sub-city offices of land development and management like Land bank and transfer, planning office, *Yeka sub-city code of Enforcement office* and the study Wereda's Administration offices of the study area was included for this study.

In Yeka sub city the annual report of 2015/16, 2016/17 and 2017/18 were show that in the past three years an expansion of squatter houses has been recorded in periphery of the sub-city. Among this about 429 of squatters are exist in woreda 10, 12 and 13 (Yeka sub city code of enforcement office, 2018).

As Kitchin and Tate (2000) stated that, in judgment sampling the sample elements can selected based on judgment derived from experience.

To have representative samples of informal settlers from the three Wereda, purposive sampling methods are employed. The selection is based on spatial distribution of informal settlers from the selected Ketenas in three study Weredas. Depending on this, the researcher decides to select 129 (30%) of participatory households from the three woreda using purposive (judgment) sampling technique.

3.5 Identification of sample size

Yeka sub-city is one of the 10th sub-cities in Addis Ababa city Administration and it has 13 Woredas. However, during the study peripheries of woreda of the sub city that means woreda 10, 12 and 13 were selected with regard to with reliability and validity thoughts. From this total three woredas eleven ketenas has been identified for the study. Accordingly, from woreda 10 Danse, Ankorcha and Cheleleko, from woreda 12 Yeka Abado, Adama1 and Adama 2, Tserariyamariyam and from woreda 13 Tafo, Meri, Fanuel and Lega jeda of Woreda 13 were used deliberately for this study, hence, they are predominantly inhabited by informal settlers.

Table 1 Distribution of Key Respondents (N=140).

No	Key respondents	Sample population					%
1	Informal settlers of Wereda10	Danse	Ankorcha	Cheleleko		Total	25%
		15	10	10		35	
2	Informal settlers of Wereda12	Abado	Adama one and Adama two	Tseraryamariyam		total	35%
		18	16	15		49	
3	Informal settlers of Wereda13	Tafo	Meri	Lega jeda	Fanuel	Total	32%
		15	12	10	8	45	
4	Officials selected woreda	Woreda 10,12 and 13 code of Enforcement office				Total	2%
		3				3	
5	officials of Yeka sub-city	Land Development and Management	Land bank and transfer	The sub-city code of Enforcement office	The sub-city planning office	Total	6%
		2	2	2	2	8	
All total						140	100%

Sources: *Yeka sub-city code of Enforcement office 2017.*

As it was seen from above table researcher decided to take 140 respondents as a total sample size of the study. Among these 129 (92 %) are informal settlers who live in Yeka sub city, woreda 13, 12 and 10. In addition to these, from Yeka sub-city 8(6%) respondents was selected those are: two officers from land development and management, two officers from land bank and transfer, two officers from code of enforcement office and the remaining two officers was selected from planning office of the sub city. Similarly, 3 (2%) officers were identified and selected from the three woreda offices at which the study conducted.

The participatory households were identified by using simple random sampling method. First from the 13 woredas of the sub city three woreda those are peripheral was used for this study. Next, hence, it was not necessary to use sample from whole ketena, 11 ketenas those are periphery has been selected from woreda 10, 12 and 13. However, the total numbers of respondents vary from ketena to ketena thus proportional allocation method was used to obtain appropriate sample size of each ketena. Finally, systematic random sampling method was used to identify the 140 respondents.

A number between 1 to k^{th} was selected by simple random sampling and the next household was then selected after k^{th} interval. The k^{th} interval was calculated by:

$$k = \frac{N}{n}$$
$$k = \frac{\text{Total Population}}{\text{Required Number}}$$
$$= \frac{429}{140}$$
$$= 3$$

According to the above formula every 3th household was selected after total population was arranged alphabetically in ascending order by simple random sampling and the next household was selected after 3th interval.



Figure 4 Informal settlement of wereda 12 in Tserariyam mariyam.

Source: (field survey, 2018).



Figure 5 Photo image Informal of settlement in wereda 10 Ankorch.

Source: (Field survey, 2018).

3.5.1 Identification of Yeka sub-city officials

During this study officer of different sector those are closely working with land issues was selected by purposive sampling for interview. Because officials were close information about the land lease proclamation, they know what the major problems of land Administration and Managements in the sub-city, to provide solution for the problems of the sub-city. The urban land policy of the country, assumed to be the source of information for most of the activities regarding the contribution of the land administration in Yeka sub-city. Accordingly, two officers from each sector such as; land development and management, land bank and transfer, sub-city code of enforcement office, sub city planning office were assigned for interview.

The interview tool mostly incorporated open ended questions related to the socio-economic conditions, and the causes of land tenure conflicts between the sub-city squatters and government agents.



Figure 6; photo image during interviewing of Yeka sub-city officials.

Source: (Yeka sub-city planning office, 2018)

3.5.2 Identification of Woreda Administrator

Woreda administrators were one of the lowest administration and functional level of the local governance. Each Woreda of the Yeka sub-city has different sectors /offices/ but, for purpose of this study the investigator use only three administrators from Code of Enforcement offices from three wereda's was selected. These three administrative staff was selected by purposive sampling techniques for interview. Because, the three of them in each Woreda were have a direct responsible to ordered the activities of informal settlements and building of squatter houses. The key informants with better knowledge and experience of the researched issues were purposely selected to generate wide array of qualitative data.

3.5.3 Identification of informal settlers

First, the squatter settlers those who settled in unplanned and administrative area of the city without the permission of the government were identified and listed. Those who have acquired land from farmers or pre informal settlers by informal way were also inclusive. Similarly, in this study the squatter has been selected by purposive sampling techniques. This was done to make the number of population manageable. However, the researcher observed only those lived on unplanned area of the Yeka sub-city of Woreda 10, 12 and 13 and not included the squatter who lived under the boundary of planned administrative area of the sub-city.

3.6 Source of data

Primary data regarding the squatter was collected at the household level from a survey of 132 residential houses was collected using different tools such as; interview, observation and check list for analysis of land administration performance and relationship between the variables and field observation.

In addition to this primary data, secondary data were also used from different books, articles, proclamation, regulation, directives, Maps, Basic Plans, Reports, and different web sites for analysis.

3.7 Data collection technique

To obtain adequate information for the study, different types of data collection tools were employed. These were done by developing questionnaire and field observational check list. The structured questionnaire was set for selected households to have information about their socio-economic status and factors associated with informal settling. The data was conducted from participatory households for seven days. The collection was done by nine trained collectors and three supervisors. Every day the data collectors bring data for the investigator. Additionally, the researcher by itself interviews face to face the selected participatory officers from sub city office and woreda administration and their response has been registered and recorded. Finally, the interview response, observational and collected data was used for analysis by the researcher.

3.8 Methods of data organization and Analysis

During the study, the primary data obtained from sample squatter settlers and officers of sub city and woreda administration through questionnaire and interview was analyzed basically using averages, ratio and percentage as a major summarizing tool.

3.9 Limitation

Despite the explanation given to them about the usefulness of the study, willingness of selected households to give reliable information and participate in the survey is also another difficulty.

In general, since no such kind of study has been conducted so far in the sub city, lack of references, baseline data on informal settlements were also the major problems.

3.10 Ethical consideration

The ethical clearance was obtained from Addis Ababa University ethical review board. Permission was also sought from all respondents, officers and offices to commence data collection. Written informed consent was obtained from each individual who participated in the study. The data collected from household has been was used for research purpose only. Household heads were informed that their participation in the study is based on their willingness and refusal has no any service consequence.

3.11 Dissemination plan

- ❖ The finding of the study was presented to college of Regional and local developmental study department of urban land administration and management, Addis Ababa, as part of MA thesis.
- ❖ Besides the findings of the works was submitted to Yeka sub city, Addis Ababa to improve the improper informal settlement practice and show its consequence on land use.
- ❖ Also the results were disseminated through Publication in international journals.

CHAPTER FOUR

4. RESULT AND DISCUSSION

4.1. Social and Economic characteristics of Respondents

Factors associated with informal settlers in the study area were identified through interviewing different respondents of Ketena of the three woreda of Yeka sub city as it indicated in *Table 4.1*.

Table 2; Location of sampled respondents in Yeka sub city, Addis Ababa, Ethiopia

Characteristics		Frequency	Percentage	
Location of respondent	Woreda 10	Danse	15	11.62
		Ankorcha	10	7.75
		Cheleleko	10	7.75
	Woreda 12	Abado	18	13.95
		Adama one and Adama two	16	12.4
		Tseraryamariyam	15	11.62
	Woreda 13	Tafo	15	11.62
		Meri	12	9.3
		Lega jida	10	7.75
		Fanuel	8	6.2
	Total		129	100

Source: (Field survey, 2018)

Regarding to location of informal settlement of the three sampled woreda (woreda 10, 12 and 13) of Yeka sub city, the study revealed that, the number of informal settlements has been high in number in woreda 12 which accounts 49 (38%) than other remaining woredas. For instance in woreda 10 and woreda 13 the study shows that there is a similarity in informal settlers which accounts 45 (34.88%) each of them.

However, there is a similarity in informal settlements, but there is discrepancy from Ketena both within woreda and across the woreda of Yeka sub city. As it was indicated in *Table 4.1* in Danse, Ankorcha and Cheleleko ketena the settled informal house accounts 15 (11.6%), 10 (7.75%) and 10 (7.75%) respectively. Similarly, in woreda 12 Abado 18 (14%), Adama one and Adama two 16(12.4%) and Tseraryamariyam 15(11.6%) and also in woreda 13 Tafo 15 (11.6%), Meri 12 (9.3%), Lega jida 10 (7.7%) and Fanuel 8 (6.2%) informal settlers were located.

Concerning to informal settlers existence, in woreda 12 there is high household informal dweller that the remaining woreda. The finding of study result indicates that, among the total of 11 sample ketana, Abado which accounts 18 (14%), is one of the highest informal settler's existence ketena. Next, to this ketena, in Adama one and Adama two of similar woreda the settler accounts 16 (12.4%) and followed by Tseraryamariyam, Dance and Tafo those account 15 (11.6%) settler's. On other hand, even if there is in formal settler existence in woreda 13 of Fanuel, but there is insignificant settler than other ketena of Yeka sub city.

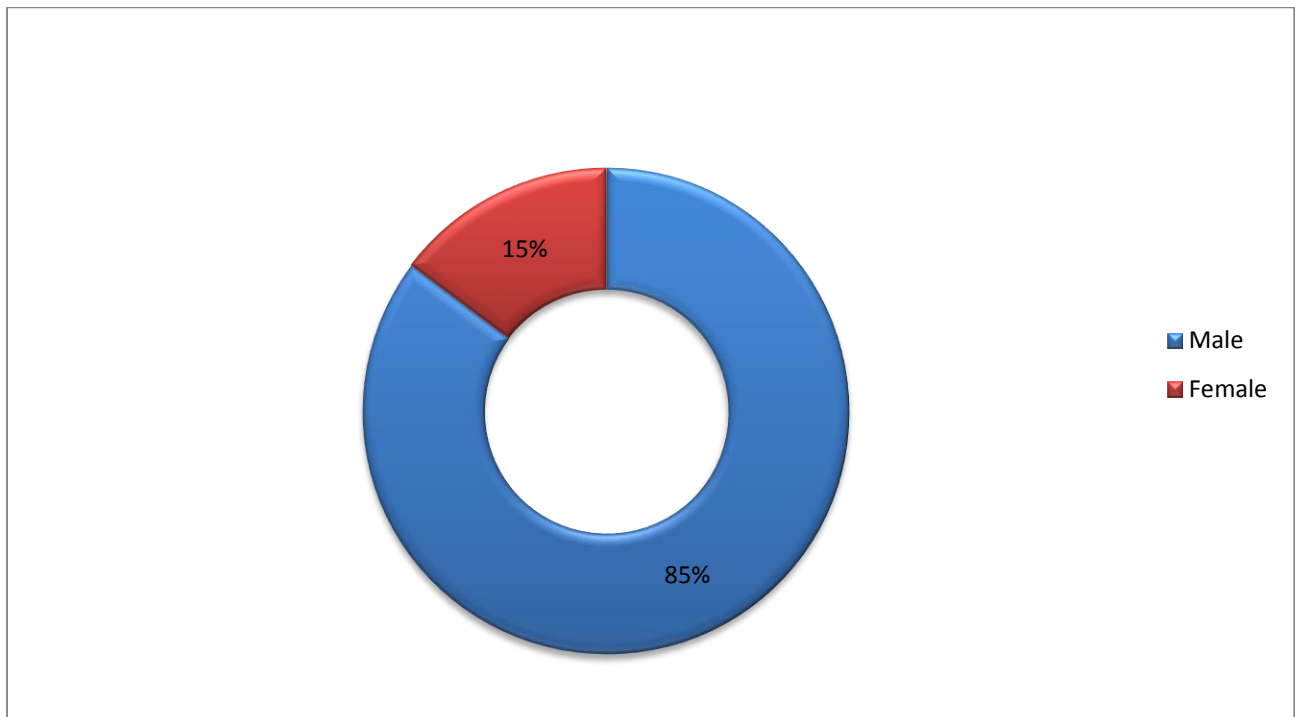


Figure 7: Classification of respondents in sex, Yeka sub city, Addis Ababa, Ethiopia

(Source: Field survey, 2018)

From 132 sample size 129 were analyzed with respondent rate of 97.72%. Out of the 129 informal settlement interviewed, most of them are male (85.27%) and while the remaining 14.73% was female.

Table 3: Marital status of respondent, Yeka sub city, Addis Ababa, Ethiopia

Characteristics		Frequency	Percentage
Marital status of respondent	Single	32	24.80
	Married	80	62.01
	Divorced	13	10.07
	Widowed	4	3.10

(Source: Field survey, 2018)

It is found that, from the total respondents 32 (24.8%) has no married or single, 80 (62%) were married, 13 (10%) has been divorced and the rest 4 (3.1%) were widowed.

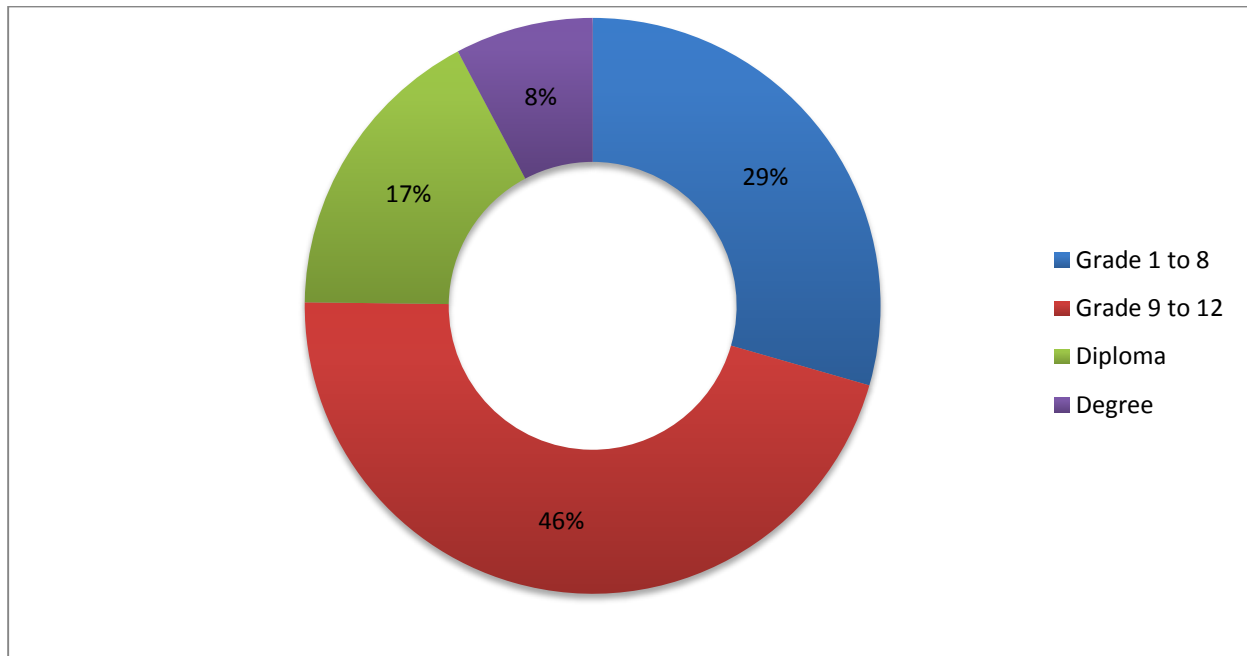


Figure 8: Status of respondent's educational level, Yeka sub city, Addis Ababa, Ethiopia

(Source: Field survey, 2018)

Concerning to respondent's educational level as it was indicated in the table below, 38 (29.5%) attend their education up to 1-8 grade, 59 (45.7%) were attend 9-12, 22 (17%) were attend diploma and the remaining 10 (7.75%) had first degree.

Table 4: Occupational status and monthly income of respondents, Yeka sub city, Addis Ababa, Ethiopia

	Characteristics	Frequency	Percentage
Occupational status	Governmental employment	32	24.8
	Self-employment	72	55.81
	Unemployment	25	19.37
Monthly income	Less than 4000 birr	82	63.56
	4001 -7000 birr	33	25.6
	More than 7001 birr	14	10.84

Source: (Field survey, 2018)

As it was indicated on *table 4.3*: the result of the study found that, from a total of 129 respondents interviewed majority 72 (55.82%) of them were self-employment, 32 (24.8%) government employment and whereas the remaining 25 (19.37%) are unemployment.

Regarding to income, most households received a monthly income of less than 4000.00 (83%), whereas 33 (25.6%) of them earn monthly income between 4001-700 ETB and only 14 (10.84%) received over 7001 ETB.

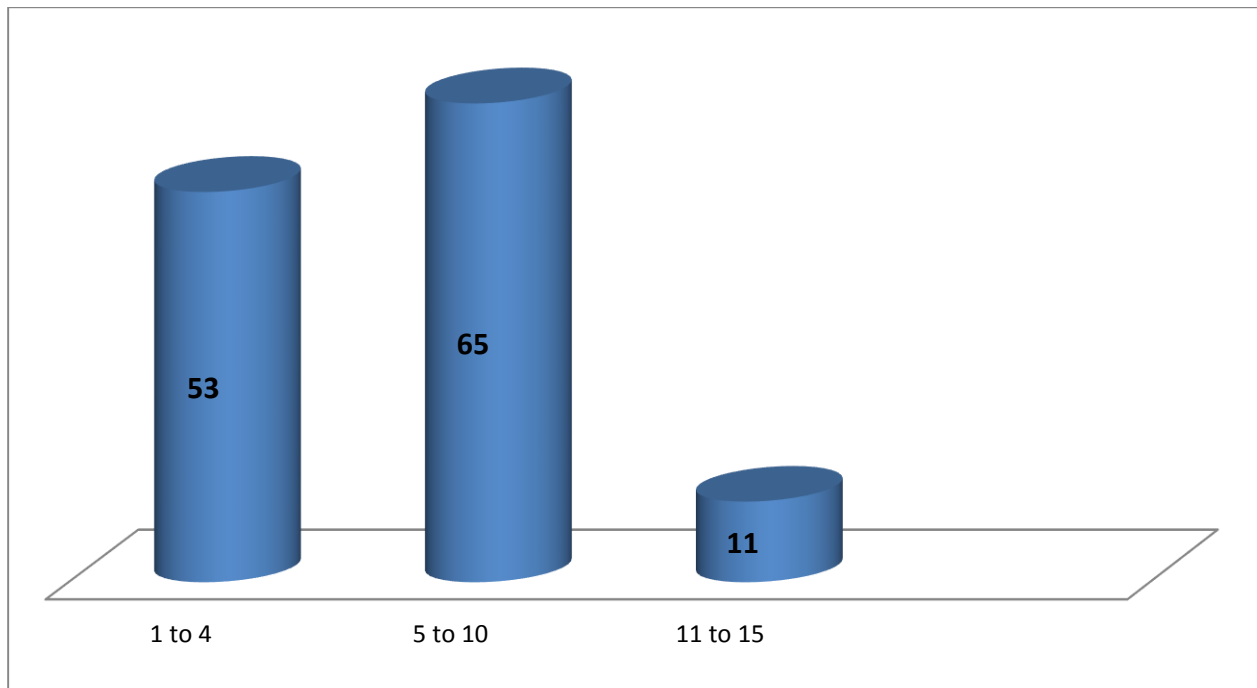


Figure 9; Family size of households sampled, Yeka sub city, Addis Ababa, Ethiopia

(Source: Field survey, 2018)

The average family size of households was grouped in to four classes. Accordingly, a household contain 1-4 persons, 5-10 person and 11-15 family member accounts 41%, 50% and 9% respectively.

In both developed and developing countries informal settlement is highly develop from time to time. As UN HABITAT stated in 2007, the reason behind of informal settlements are unaffordable land and housing for low income groups, absence of timely urban planning and land management, absence of policy for social integration of low income groups, population migration and rapid urban growth, lack of enforcement of rules due to weak and ineffective governments.

4.2. Ways of land ownership practice in Yeka sub-city, Addis Ababa.

Now day, in cities informal settlement were significantly expanded by different factors. The study done in Kabul by Mirwais Fazil (2016) on the factors behind the growth of informal settlement shows that, society has been immigrated to city in order to avail themselves of the job opportunities and gain better education, and did not wait for the government to build them residential house. They were tried to fulfill their housing needs up to a certain level, in accordance with their abilities and their understanding of the circumstance.

The study revealed that, from the total 129 sample households, almost half 49.6% of dwellers has been hold land for house at the year between 2005 up to 2013 G.C. Despite of there is a practice in informal settlement in the sub city, but the result of year before 2005 shows that there is low which means there is only 21.7% who had receive land illegally.

The householders those hold land from 2013-2018 in the study area account 28.7%. This may closely attributes to, there is a low job creation opportunity in most regional cities of Ethiopia where compared to Addis Ababa city, thus, the highly growth and increment of unemployment rate allow the people to choose migration to Addis Ababa for searching job. Despite of, the chance of employing is better than regional cities but they are not well matured by economical and not able to shoulder the expense for residence.

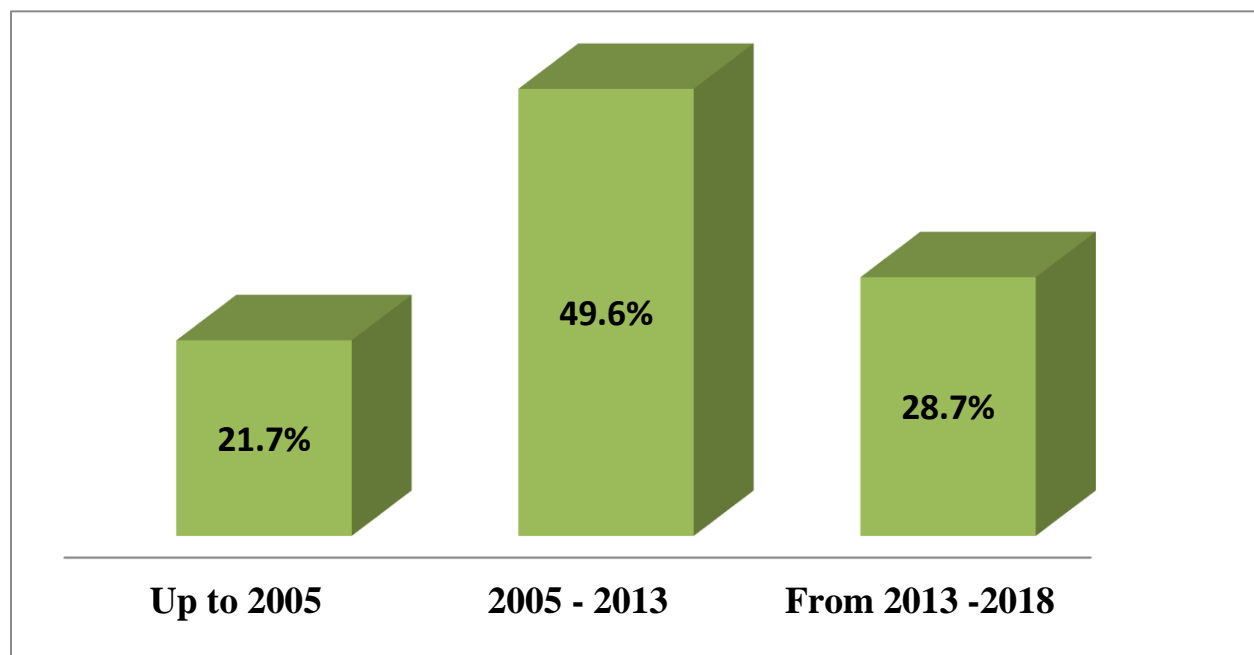


Figure 10 Period of informally land owned in sampled woreda (woreda 10, 12 and 13), Yeka sub city, Addis Ababa 2018.

Source: (Yeka sub-city land development and Management 2018).

Table 5 Table that shows owner, alterative and history of the informal settlers residential of Yeka sub city, Addis Ababa 2018

Characteristics		Frequency	Percentage
House ownership	Private house	94	72.86
	Rental house	11	8.52
	Relative family	24	18.6
Alternative residential	Yes	16	17.02
	No	78	82.98
Previous household	Private	8	8.5
	Rental	67	71.2
	Relative family	19	20.2
Building and construction permission	Yes	0	0
	No	129	100

(Source: Base line survey 2018)

As the result of the study conducted in Yeka sub city indicates that, from a total of 129 respondents interviewed 94 (72.8%) of them were live within their own house that has been constructed informally. Additionally, the founding of similar study shows that, among the 129 household surveyed 24 (18.6%) of informally constructed household has used for relative family and only 11 (8.5%) of them was rented. From those who live within their private informal house, majority (82.9%) of them have no other alternative house than now they have been live. However, there are an individual's those has hold other than this informal house in Yeka sub city which accounts 16 (17%). Concerning to the informal settlers previous living condition, the study shows that, from 94 private informal house owned 67 (71.2%), 19 (20.2%) and 8 (8.5%) were live before in rent house, with relative family and their own house respectively.

Informal house construction is expanded due to different factors. Among this the crucial one of factor is revenue. In the study area, the finding of sampled respondent's monthly income revealed that, more than half 63% of respondents earn less than 4000.00 EB. About 26% of respondents has earn from 4001.00 EB up to 7000.00 EB per month and only few (11%) of them has got more than 7000.00 EB monthly.

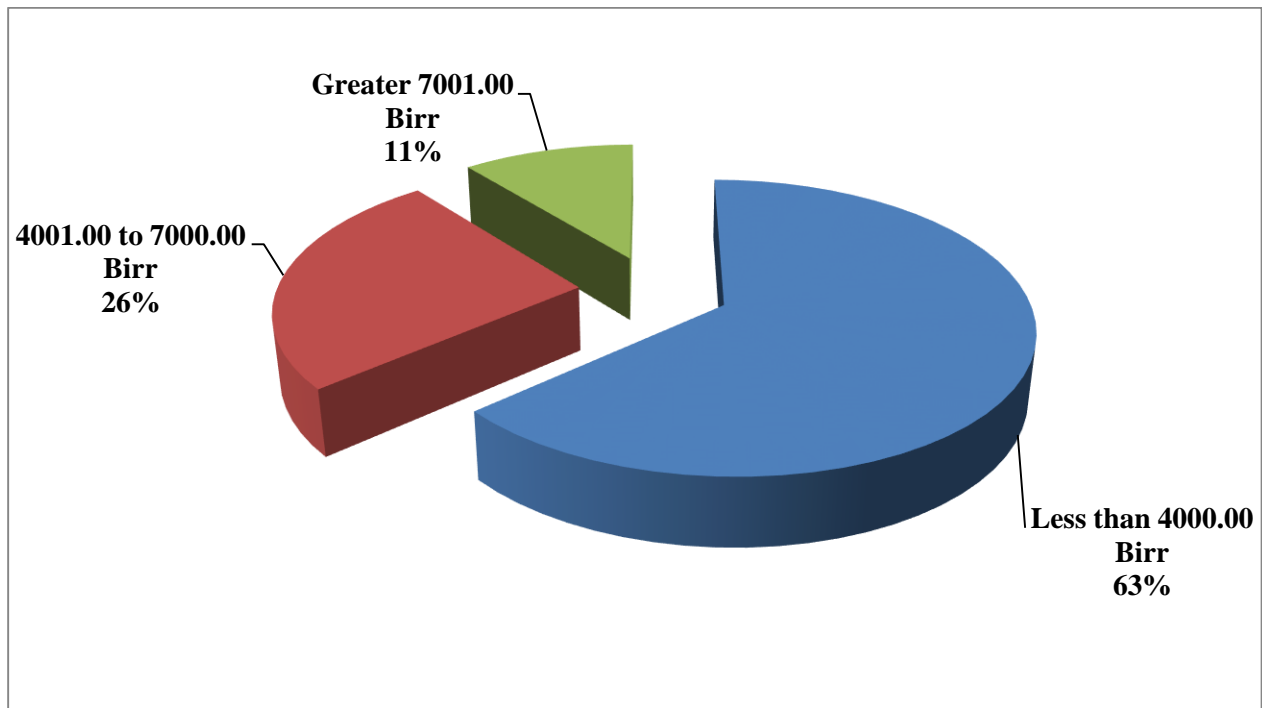


Figure 11: Monthly incomes of informal settlers of the samples household of periphery area, Yeka sub city, Addis Ababa 2018

Source: survey data (2018).

Concerning to awareness and attitude of respondents to ward informal settlement in the study area, the finding shows that, from a total of sampled 34 (10.34%) respondents were raise the negative influence of informal settlement on the sustainable development of urban land and while the remaining 56 (89.64%) has not ensure its influence on the urban development land.

As the respondent says that, this area was preferable for building of informal house due to low follow up, poor law enforcement and requires low finance.

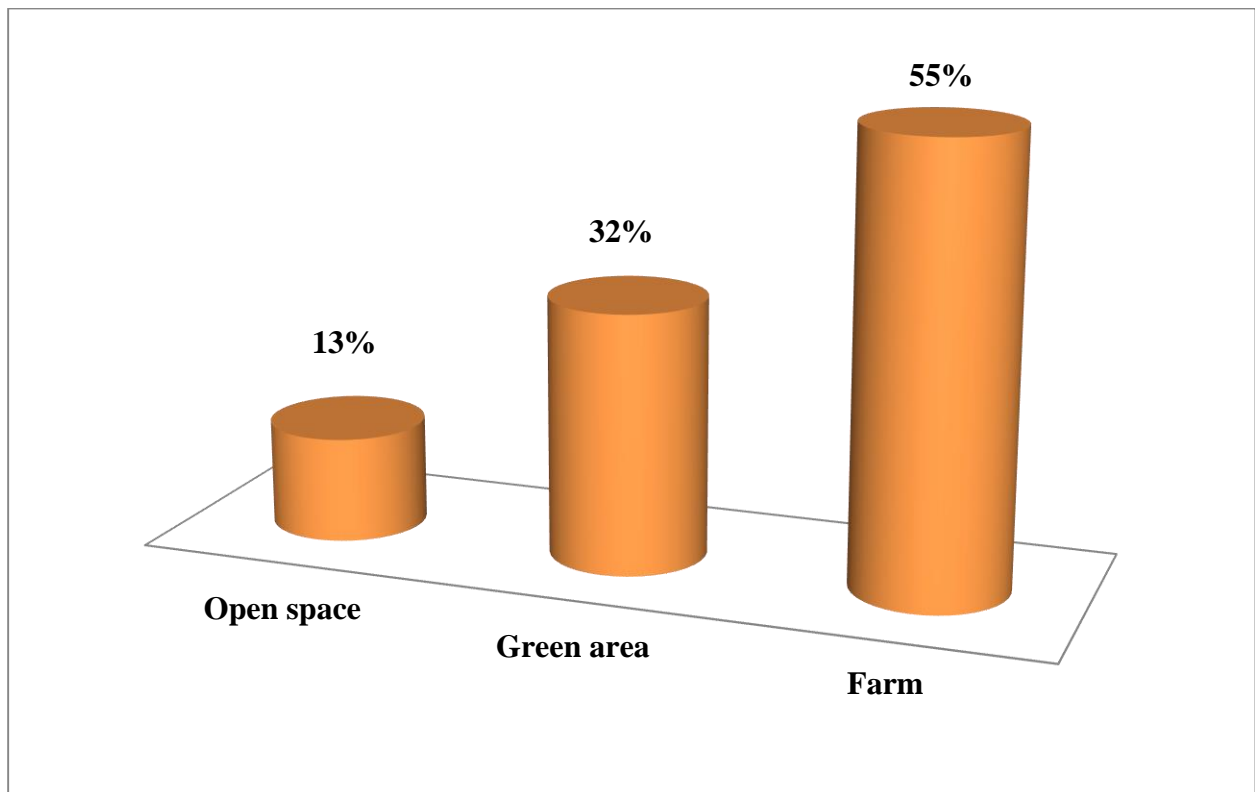


Figure 12: Function of area or plots before used by informal settlers of peripheral area Yeka sub city, Addis Ababa 2018.

Source: Yeka sub-city planning office 2018.

As stated on United Nation conference on housing and sustainable urban development for developing country (2015), lack of government response to and for livelihoods in slums and informal settlements, combined with their lack of integration in to the broader urban environmental, perpetuates long term inequality and inter-generational disadvantage, especially women and youth are some factors that constitute peripheral areas for informal settlement.

In most of Ethiopian cities including Addis Ababa different literature also shows that, most of informal settlers are migrants from Ethiopians rural areas and they have no legal permission from concerning bodies, and they built houses by informally occupying land from; local farmers, speculators and broker. Furthermore, as it was indicated on figure 4.6 majority 55% of the area hold by dwellers were farm before. Next, it was followed by green area which accounts 32%. Only few 13% of residential were built on open space exist within the study area.

As Manaster (1968) stated that, City Administrations are unable to solve such problem based on the demand of land by the people and central areas and on the outskirts of major areas. According to the Millennium Ecosystem Assessment that conducted in 2005, the founding of their study shows that, quality of the health human life depends on the health of the ecosystem. Furthermore, it also shows that, many of the resent devastating floods have occurred because the natural green area and watershed flows have been hindered by reckless construction informal home without plan of city. This may similar with the study conducted in Yeka sub city in which lands are illegally owned by informal settlers.

On other hand, majority of the respondents of the study area has been earning low income. Thus, this phenomenon was allow the respondent to have got land in simple way from the farmer and to build informal house. Additionally, the free space remained for green area that exists around the farmer was also occupied by the informal settlers in the same study area. This may also closely related to the low working of the land administration office on the prevention and controlling of illegal land holding practice in the area.

4.3.Land administration and follow up practice in Yeka sub city

As a founding of paper prepared for presentation for World Bank conference on land and poverty shows that, in Ethiopia, land is not only source of wealth but also a source of basic survival of the majority of the population. The purpose of land management varies from country to country, and bound to be largely country-specific to accommodate peculiarities. Review of the experiences of countries shows that its management varies by countries in the modalities of land transfer, administrative procedures, land leasing as a major source of municipal revenue to finance urban infrastructure, and approaches of delivering housing to the urban poor (Alebel W. 2016).

Almost as all of officers' response that, in Yeka sub city informal settlement was highly expanding from time to time. As they raise that, the main reason for this informal house construction without having legal permission from authorized office were, expensiveness of house rent and the way by which lands are acquired formally from government has need more effort. Hence in the study area, almost all of the informal settlers have been agreed with these reasons to choose the illegal way to hold land for house building than having legal authorized one. Majority of the respondents estimated that, even though the constructed house is illegal, and the age of the illegal house may exist for few time, it is fair to buy land from farmer to survive life.

On another hand, there is poor practice on awareness creation concerning to impact of informal settlement on environment, social and economy of the study area. There is no regular awareness creation programmed for both office worker and community on urban land management and on prevention of informal settlement in the study area. Even, some of the office worker had has no clear and uniform understanding on the futurity of lands exist within their own Woredas. Another problem that constitute for the poor awareness creating practice of the area is the staff turnover. Hence, most of the activity which has to be accomplished did not consistence. Thus, illegal house building increases from time to time. In the study area the cooperation between different sectors such as; land development and management, land bank and transfer, sub city code of enforcement office and sub city planning office was very poor and not able to overcome the improper land holding practice of informal settlers.

As the study conducted in Yeka sub city and referred documents of sampled office shows that, especially informal house building was highly expanded since 2005. This may closely attributes to highly flow of population of low income earn from rural area to Addis Ababa to got job opportunity, farmers starting of being selling their farm land as a revenue generation activity, hence, they has no guaranty on their land either to investment or to be ownership are the main reasons that made highly increment of informal settlement and illegal house building practice in the study area. In addition to this, problems have also phased due to poor urban land administration and poor co-operate work between stockholders.

One of the reasons that made difficulty of controlling illegal house building is the attitude of community toward informal land holding. Response of the sampled officer of different sector revealed that, even if informal house building was unacceptable both by government and society they are confidentially think that, whatever it can scurfy us we will struggle it to legalize it as much as possible. On another hand, the officers by the self say that, to bring this informal house building the government should declare to legalize their property based of the duration they hold land. Additionally, the settlers could be ready to discuss with government body and to share the responsibility.

During the in depth interview the respondents from the side of sampled sector says that, taking measurement on illegal house constructed may create a conflict between government and society, thus taking action is not necessary.

4.4. Policy gaps and implementation problem

4.4.1. Urban Land Lease Policy problem

There are different types of land holding system in the world among this lease holding system is one and it was practiced in Ethiopia as land holding system since 1993. Lease holding is a form of land tenure which is a contractual system of land holding for specific period of time. It is a well-known system applied in many other countries of the world as well.

In Ethiopia, for the first time, lease holding was introduced in 1993; then revised in 2002; and finally again being repealed in 2011 New urban lease holding Proclamation No. 721/2011 and the objective of this proclamations are to solve land tenure system. The house people representatives passed new urban lease holding Proclamation 721/2011 and the new proclamation has introduced new article comparing from privies two proclamation and it has an objective to ensuring efficient and stabile land market value in the countries by increasing the supply of the land and to facilitate sustainable urban land developments but it still unable satisfy the demands of the peoples (Proclamation 721/2011).

As stated by Land bank and transfer office Yeka sub-city (2019), land transfer for users either residential or other land use types through lease system by auction but, special uses may transfer through allocation accordingly the decision of the city administration. The aim and objectives of land lease transfer system are to ensure efficient land planning, give market value of the land, encourage investors and investment; it is one means for the government to generate revenue, to control extreme expansion of the city and other use. (Yeka sub-city Land Bank and transfer, 2019).

Even though, the lease systems have their own objectives but practically it have less advantages and ignore the participation of those low income groups of the people. According to the land bank and transfer of the sub-city from the year between 2015/16-2017/18 the most transfers land for the bidders in the sub-city through auction were for different land use type other than residential (Yeka sub-city Land Bank and Transfer, 2019).

Table 6: Land transfers through lease in Yeka sub-city between 2015 and 2018.

N.o	Year	Rounds	Types of service	No. parcel	Area in m²
1	2015/16	round 9	residential	27	13,304.00
			service	1	365
			mixed	2	3121
			total	29	16,790.00
		round 12	residential	6	2165
			mixed	0	0
			service	0	0
			total	6	2165
2	2016/17	round 17	residential	0	0
			mixed	31	7838
			real state	1	23913
			hotel	1	8998
			total	33	40749
		round 19	residential	0	0
			mixed	5	471
			service	0	0
			total	5	471
3	2017/18	round21	residential	5	959
			mixed	17	22,427
			service	0	0
			total	22	33,386
		round23	residential	2	209
			mixed	8	5281
			service	0	0
			total	7	5490
		round26	residential	1	105
			mixed	8	1375
			service	0	0
			total	0	1480
		round 27	residential	1	105
			mixed	2	315
			service	0	0
			total		420

Source: Yeka sub-city office of land bank and transfer (2019).

As indicated in the above table the land supplied by the sub-city between in the year of 2015-2018 through lease system has been very short compare to the demands of the people and this indicates that the transfer of land for residential uses very less compare to other types of land uses for three consecutive years and the participants were the rich ones.

Lease holding systems are transfer to the users by auction but most poor people have no financial capacity to compete to other rich peoples and this was the problem of generally in Addis Ababa city and specifically in the study areas. The lease policy can't be access the demands of the majority of the low income groups and in study are about 98% respondents highly disagree with land lease.

Generally the lease policies has agapes and excluded to the poor peoples and even have no put an option for the low income groups and the system were excluded the poor peoples in competition and this result has an opportunity for small rich competent wine the auction or the bidders. And as a result people use another options for sheltering and own property by illegal way acquisition and also it is also contributes for the expansion informal settlements in the sub-city.

4.4.2 Gaps between Demand and supply

The primary objective of lease system in Ethiopia is to ensure urban land tenure system and to transfer of urban land for individual through the agreement of lessor and leasee however; they have been problem of the government to incapacity of supplying sufficient land for the demands. In Ethiopia the urban land Administration and Management systems have the problems of corruption, lack of good governance, and they have lack of accountability and transparency in the system therefore they have less supply of land for the users. Demand for land in urban areas has been greater in huge amount than the supply of land given by the land authorities. The applicant people for lease are increase from time to time but few applicants who have wine the auction can be the bidder.

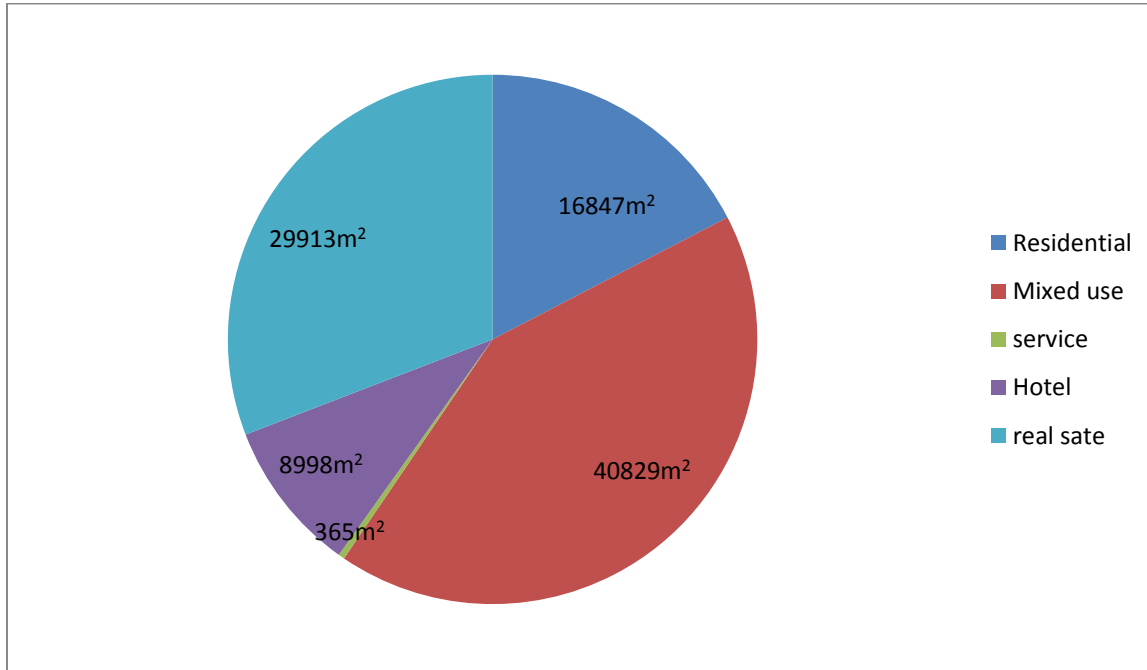


Figure 13: The supply of land for different services in Yeka sub-city.

Source: Yeka sub-city LBAT, (2019).

The above figure indicates that less supply of land for residential use in the sub-city which had less comparing to the high interests of acquiring land from demands sides.

In the year between 2015-2018 the land transfer through lease in the sub-city for residential has been account 16,847m² , for mixed use 40,829m² , for service 365m² , for hotel 8,998m² and for real estate developers 29,913m² (Yeka sub-city LBAT,2019).

Due to the limitation of financial capacity of the government the sub-city had limited to the supply of land for users. According stated by Yeka sub-city land bank and transfer offices there is high competitive among applicants for acquiring for residential (Yeka sub-city LBAT, 2019).

The Administrators bureaucracy, corruption, lack accountability and transparency, lack of good governance are affects and did come repeatedly to finished the individuals cases in different day so, this affects for demands of land applicants. Besides, corruption, non-transparency and injustice have reined in the system, which created a safe haven for few urban speculators and brokers.

The shortages of land supply in the sub-city consequences for the increasing of land price of the market and open for those lower incomes societies to engaging in using of extraordinary means such as squatting and illegal development of land.

4.4.3 Insecurity of Land tenure

Land tenure system is the relationship among individuals with respect to land it can be legal or customary. Land tenure is an essential part of social, political, economic and cultural structure and it is multi-dimensional, bringing into play social, technical, economic, institutional, legal and political aspects that are often ignored in the governmental structure but must be taken into account. In Ethiopian history different types of land tenure system were happened in history before 1974 revolution and after 1974.

According to the FDRE constitution 1995, the land is belongs to government and people of Ethiopian (FDRE constitution, 1995).

The construction itself have no clear about the right of individual over the land even if they have use right if for example the land is need for investments purpose by the government the local farmer have no right to do and so, the farmer or the land holder have no absolute right over their land this indicate that the land holders have insecure of tenure and easily transfer or sell plot of the land illegally for those informal settlers. According to the survey conducted in 2019, out of the total sample of 129 squatter households, those who owned land, the majority of respondents (81.4%) obtained the land by transferring from local farmer. As the respondents mentioned these transfer system had not legal ground and didn't well known. Instead of this the transferring system are bought either from farmers or land dealers, 18.6% had inherited from their families and relatives.

In the study area the price by which squatter bought from the farmer is higher than the compensation paid by the city Administration so they chose to transfer their plot land by informal way. When the government controls the land of individuals under the plan area and they have been pay commensurate and fair compensation of the farmers according to compensation and expropriation law.

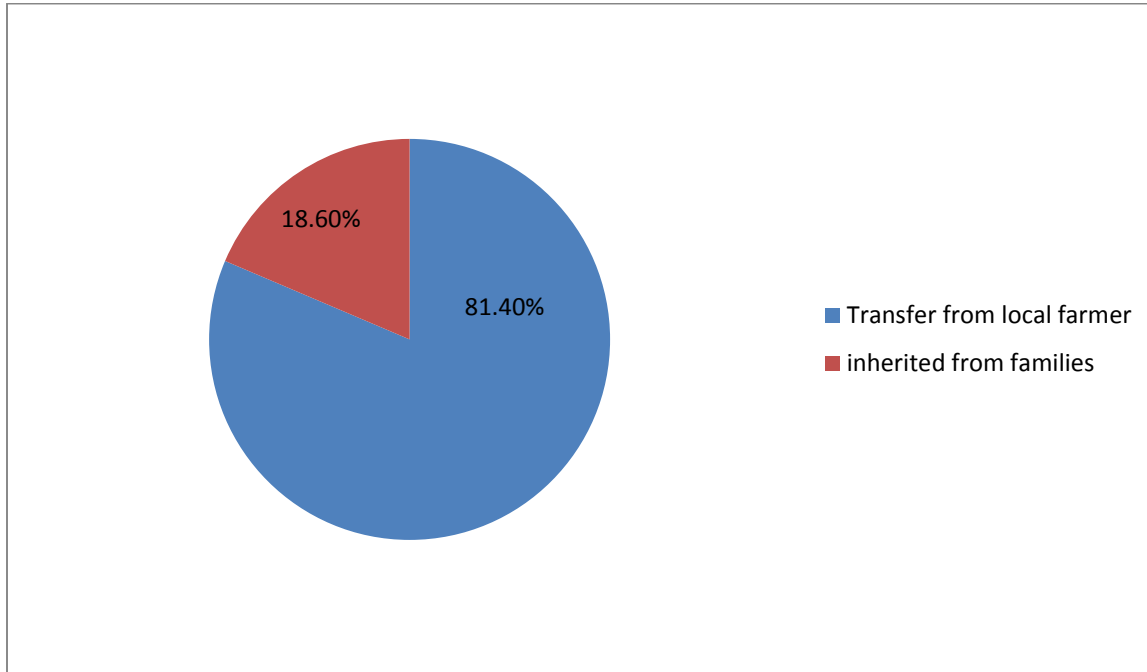


Figure 14: Informal land transferring methods in study area.

Source: survey data (2019).

The Federal Democratic republic of Ethiopia Proclamation No. 455/2005 under Article 7 sub article 1 about Expropriation of Landholdings for Public Purposes and Payment of Compensation, stated that; stated that a landholder whose holding has been expropriated shall be entitled to payment of compensation for his property situated on the, land and for permanent improvements he made to such land (FDRE proclamation, No.455/2005of Expropriation).

According to this proclamation and regulation, a land holder whose holding has been expropriated shall be entitled to payment of compensation for his property situated on the land and for payment improvements he/she made to such land”.

Even if, the government have an obligation to pay the compensation based on proclamation law but the payment by itself not fair and not properly enough for rehabilitation of the displaced farmer to ensuring sustainable life and it is not replacing their property and therefor, most of the displaced farmer can face for Economic, social and political problem.

Therefore the above problem indicates that government has policy gaps so, the land holder or farmers in the study areas they choose to transfer their land plots to the local speculators and brokers than comparing to the compensation that will give by the government during expropriations so this one of the factors for increasing informal settlements.

Insecurity of land tenure has related to the restriction of rights of individuals over the land by government. In Insecurity of land tenure in the study area have highly seen because the farmer have no granted for their land because under Ethiopian constitution article 40 sub article 3 state that The right to ownership of rural and urban land, as well as of all natural resources, is exclusively vested in the State and in the peoples of Ethiopia. Land is a common property of the Nations, Nationalities and Peoples of Ethiopia and shall not be subject to sale or to other means of exchange.

Insecurity of land tenure for farmer is limited to exercise their land rights and the absence of land tenure in the sub-city affected for the local farmer to exercise the full rights over their land and 79.5% of respondent in the study areas strongly agreed on the insecurity tenure of land on Addis Ababa city has the core factors for the expansion of Informal Settlements and Squatter housing.

In the study indicate that form total 129 sample respondents who are dwellers in Yeka sub-city administration , 52 % agreed on high cost of urban house and home rent were the agents in the expansion of squatter houses in the sub-cities , while 45 % also strongly agreed on this concept and only 3% were disagreed this.

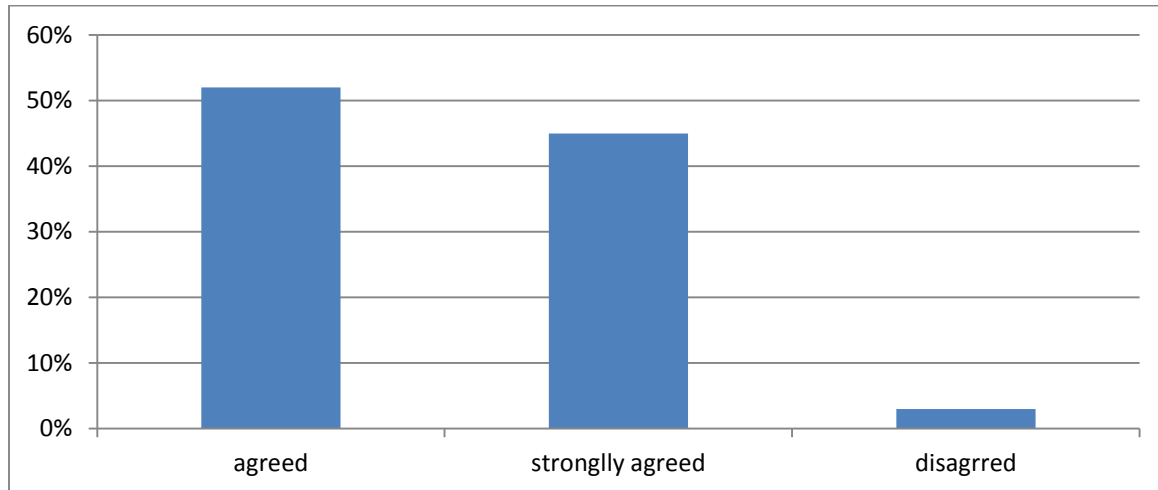


Figure 13 indication of hosing rent in Yeka sub-city.

Source: survey data (2019).

From the response of the respondents to understand that expensive life of the Addis Ababa city on housing market and increasing of the home rent was indicated as the reason for rapidly developed squatter settlements or shanty houses in peripheral areas un planed areas of the sub-city. From the study area 70.56 % of the total respondents form informal settlers mentioned that shortage of houses in the sub-city and high rental price of the existing houses are causes for informal settlements expansion.

It was mentioned that due to the less income and enabling to compute with other high income peoples they could not afford to pay rent for a house. This indicates that the urban poor to involve in Informal land occupation.

4.4.4 Lack of good governance

An effective and efficient land administration and Management is an essential for the sustainable development and growth of urban centers. This also an important for an equitable distribution resource between citizens and it require the delivery process accountable, participatory, equitable, and transparent.

In developing countries in a recent time land management are the core centers for good governance and have a significant effect in one countries economic growth and development. However, in Addis Ababa including Yeka sub-city land delivery practice and processes have a problem of transparency and Accountability so, it have been suffer to corruption and rent sinking.

75% of the respondents revealed that in the sub-city land policy and practice have absences of good governance. As stated by respondents the policy has no community awareness rather the government officials. The majority of respondents have no awareness about land policies; about lease proclamation, urban planning policies, housing policies and practices. These all indicates that the Addis Ababa city Administration and Yeka sub-city the land development and management system had lack of transparency, accountability and community participation. Therefore this indicates that the absence of good governance can affects the formal land acquisition and it expanded informal settlements in Yeka sub-city.

Generally the current urban land policy have insecurity of land tenure, unbalance between demand and supply, excluding the poor peoples in land transfer system, lack of transparency and accountability. Therefore, the policy should be set up on strong land Administration system through: the government increase the supply of housing in the cities, by ensuring urban land tenure, to minimize the problem the government it will work on coordinating of stockholders , ensuring good governance in the system through transparency and accountability, minimize the migration of people to Addis Ababa from deferent regions of the country by creating job opportunities in regional cities and overall country sides.

4.5 The main actors those involved for expansion of informal settlement.

When informal land transaction process took place many actors has been directly or indirectly involved in the transaction process. In the study areas activity of land brokers, speculators, governmental bodies like; officers of Code of Enforcement, the farmers or the land holders itself are involved. The main activities of land broker to bring buyer and sellers together for the transaction process. The local brokers most of the time they supply information about the plot though owners of the land and exchange information to other brokers in the sub-city's wereda and sometimes they have an office to serve their customers. The brokers are most of the time they have engaged an additional work which is serve the people like renting the houses for the people and also have been good social interaction also identify themselves as brokers they do multiple jobs as , land speculators, water vendors and as guards at construction sites. Even though the local brokers involved in bringing together land buyer and sellers and they have relatively generated good income with compare to local other work fields.

During the time of data collections the interview in Yeka sub-city of the study wereda's the people who participating as land broker they have good income and can accumulate capitals engaged with these types of activities for long period of times(Yeka sub-city code of enforcement office, 2019).

This indicates the lands brokers relatively have good income generation compare to the other local people who involved in other work fields and they have took to their own contribution for an expansions of the informal settlement in the study areas.

During the interview the farmer said that without contribution of the brokers we cannot achieve the market because they have a capability influence in transaction of selling and buying process the plot of land and have highly linkage with local Ketena and Wereda officials like from office of code of Enforcement and these purposive relation had advantage to negotiate the Administrators and also officials at the time of built squat house. The above problems indicate that the brokers have strong power on influencing to the people to enter into informal house building and they have been factors for the expansion of informal settlements in the study areas

The Farmers also participating in legal transaction process by supplying plot of lands for the illegal buyers and they generate incomes this because of unproductivity of the land, they suffer holding of parcels by government by the name of investments without commensurate compensation and so on. Therefore the finding indicate that in the study area brokers, local farmers and the local governmental administration officers have involved highly in illegal land market and these results on influencing the powers on the government administrators and an officials on sharing their profit using the relationship. .

CHAPTER FIVE

5. SUMMARY, CONCLUSION AND RECOMMENDATION

5.1. Summary of major Findings

1. The problem of population growth and migration

According Ethiopian Central Statistics Agency and the national population and housing census of 2007 the population of Addis Ababa was 2,739,551 million but this number expected to estimate to in 2015 about 3,273,000 as the Agency projected (CSA, 2015).

The documents a steady indicted that increased in total population in Addis Ababa from roughly people in 2,112,737 in 1994 census to 2,739,551 in 2007 and the growth was increase in 2015 to 3273,000 and if to see the two consecutive counted census year of 1994 and 2007 were increased by 626,814 people. So, urban migration and rapid population growth in the Addis Ababa city does highly contributed to expanded illegal settlements in the sub-city.

Most of the population growth in Addis Ababa and the sub-cities became urban resident and it is estimated that migration of people towards to Addis Ababa from all regional state of Ethiopia will continue in the next future. As a result, land obtaining demand is continue to increase in the sub-city. Urban migration and rapid population growth in the sun-city highly contributed to expanded illegal settlements. The poor quality of environments, overcrowded housing condition, lack infrastructures, sanitation, inadequate provision of water, pollution of air and water, drainage, health care, garbage or waste collection and so on are the main characteristics of urban poverty and this are highly pushing factors for the expansion of informal settlement.

2. The issue of Land tenure

However, the Ethiopian constitution under Article 40/3 provided that land belongs to the state and people of Ethiopia but the respondents in the study area do not have confidence for ensuring tenure security of their land and have no guarantee if the government to the land holder have no absolute right over their land. This indicates that the land holders have insecure tenure. In the study area 79.5% of respondents in the study areas strongly agreed on the insecurity of tenure of land and they were evicted from old possession at any time by the government when the land was used for a different purpose. Due to this, the local farmers easily transferred and purchased their plots of lands illegally for those of informal settlers.

3. The participation of Actors

In the study area, the participation of actors such as land brokers, speculators, are strongly influenced in the purchasing of informal land between sellers and purchasers. The brokers have been highly involved in the illegal land market and have influenced the powers of the government administrators and officials by sharing their profit using the relationship. During the interview, the farmer said that without the contribution of the brokers, we cannot achieve the market because they have a capability to influence the transaction of selling and buying process of the plot of land and have a highly linkage with government bodies and share their profit using the relationship. From the total respondents, 91.48% were strongly agreed and 8.52% were agreed that informal land brokers could dominate the illegal land market and have influential power on government administrators and officials within sharing the profit.

4. Expensive rent and homelessness.

Thus, homelessness and expensive home rent can be taken as factors for the expansion of squatting in Yeka sub-city. The study indicates that from a total of 129 sample respondents who are dwellers in Yeka sub-city administration, 52% agreed on the high cost of urban house and home rent as the agents in the expansion of squatter houses in the sub-cities, while 45% also strongly agreed on this concept and only 3% were disagreed. From the study area, 70.56% of the total respondents from informal settlers mentioned that the shortage of houses in the sub-city and high rental price of the existing houses are causes for the expansion of informal settlements.

5. Issues Related to Good Governance

In the study areas, 75% of the respondents revealed that in the sub-city land policy and practice have absences of good governance. As stated by respondents the policy has no community awareness rather the government officials.

The majority of respondents have no awareness about land policies; about lease proclamation, urban planning policies, housing policies and practices. This indicates that the Addis Ababa city Administration and Yeka sub-city had lack of transparency, accountability and community participation. The lack of transparency and access to information were the key issue and drivers for expansion of squatting in Yeka sub-city.

5.2. Conclusion

In periphery area of Yeka sub city, particularly woreda 10, 12, and 13 illegal houses building was expanded from time to time. Farm plot were the highest vulnerable plot for the expansion of informal settlement in this study area (that means about 55% of the illegal built houses) were exist on the area which was far previous.

As it was found from the study, low income, lack of knowledge of the illegal home building on sustainable development, poor legal enforcement and weakness of structural follow up, prevention and controlling of the administration are the major factor those contribute for the expansion of illegal home built in Yeka sub city. On another hand, day to day the population which was migrated from rural to urban area to got job opportunity has been highly settled in this periphery area temporarily, thus, to use this opportunity as revenue generation, illegal house construction was held.

In general the major issues found in informal settlements studied included administrative failures, physical infrastructures and service problems, increasing socioeconomic problems and poor environmental conditions.

The problem of policy and implementation capability of government and the housing sector, and the range, availability and affordability of urban housing were to be developed, and then this study has suggested the implementation of policies and planning, physical infrastructural development, socio-economic improvement, environment and health improvement, enhancing government buildup of all organizations involved and responsible to improve informal settlements.

5.3. Recommendation

In periphery area to ensure the sustainable development of urban land and to protect it from being informally settlement, active involvement of all stockholders, will the development of urban land become sustainable through by step. To controlling for expansion of informal settlements it should be cooperatively working of sectors such as; land administration and management, land bank and transfer, code of enforcement and planning office. The attitude of the officers in which they understand controlling and taking action on illegal house in correct way. Furthermore, to achieve this, both the administration and political decision making should have to work across sectors.

The Land development and management policy should be set up on strong land Administration system through: the government increases the supply of housing in the cities, by ensuring urban land tenure, to minimize the problem the government it will work on coordinating of stockholders, ensuring good governance in the system through transparency and accountability.

To tackle the problems of informal settlement the government have to corrective measurements on regulation and infrastructure improvement, preventive measures such as land policy and construction of social housing are very crucial.

The government should review the housing policies and to ensure land tenure of the local farmers. Provision of capacity building for officers of Yeka cub city offices such as land management and administration, land bank transfer, code of law enforcement and planning office on sustainable development and transparent structural flow.

The government should minimize or eradicate problems of good governances such as lack transparency and accountability, excessive bureaucracy, lack of honesty and inadequate or excessive institutional arrangement in the land Administration sectors. To improve the customer satisfaction and reduce boring strategies of land allocation process it should be facilitate the discussion within local group on public awareness base on trust. So, the sib-city administrative should work together with Community to prevent illegal land allocation by assigning community wings such as local leader's members, Youth development team and public awareness developers.

Job creation opportunity was also one of the crucial points that require attention particularly in regional areas of our country, which will minimize contribute for expansion of informal settlement in periphery area. Addition to this, to bring the society from illegal house building to the formal it's important to work hard on the per capita per day of society.

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APPENDIX 1:

Questionnaires for Informal settlers

Interview schedule

This Interview Guide is prepared for an academic purpose i.e. as partial fulfillment for the requirement of master's degree in Urban Land Administration and Management in Addis Ababa University in college of Center for Regional & Local Development Studies. My topic of research is the factors that contributing for expansion of Informal Settlements in Yeka sub-city of Woreda 13, 12 and 10.

Dear respondents

The main purpose of this questionnaire is to gather primary information on the topic for factors contributing for the expansion of Informal settlements in Addis Ababa specific areas of Yeka sub-city Wereda 13, 12 10.

The success of this study depends on the responses that you have given, and the result of this study will be used only for academic purpose and be confidential.

Note

- a. It is not necessary to write your name on the questionnaire
- b. Please also be informed that the information you give will be kept secret and hence try to express your ideas without a pressure any one as much as you can.

Direction

- a. Please try to answer every question in accordance to the instruction provided.
- b. For multiple choice questions, please answer by putting "✓" sign in the box provided.
- c. For questions that require your opinion, please give short, precise and honest answer.

Thank for your participation!!!

Part one: personal information

1. Sex: a. male b. female
2. Age: a. 18-30 b. 31-40 c. 41-50 d.>50
3. Marital status: a. single b. married c. widowed d. divorced

4. Name of your Wereda -----

5. What is the highest grade completed?

- a. Primary 1-8 b. secondary school 9-12 c. college
d. under graduate e. post graduate

6. What is your current occupation?

- a. self-employed b. public servant c. part time played
d. farmers e. business f. student g. other

Part- Two: Settlers Information

7. Your annual income:

- a. under 1000ETB b. 1001-4000 ETB c. 4001-6000ETB
d. 6001-10000ETB e. above 10,000

8. Is this property yours? A. yes b. no

9. If no, what is your relationship to the owner?

- a. husband b. wife c. child d. parent
e. relative f. tenant g. friend h. other

10. How many people including you live in this house?

- a. 1-4 b. 5-9 c. 10-15 d. >15

11. Do you believe that your informal settlement has affected the city's development?

- a. Yes a little b. Not at all if you think so how or why not-----

12. How often do you meet with the local administrators to talk about your problem?

- o Always Once every week Sometimes

o Never If never why do you think?

13 How was the quality of your home or building?

a. Low b. medium c. high

14. Did have tried to acquire house in the Addis Ababa city (e.g. Condominium, other government house etc.)?

15. If yes, why didn't acquire?

a. Lack of enough income b. Lack of good governance

c. I won't d. loose in competition e. other

16. Do you have alternative house in the city?

17. If yes, how did you hold the land? a. by lease b. transfer

c. buying informally d. acquire from government

18. When did you come to settle here? -----

19. Where were you before settling here? -----

20. Why did you choose to settle here? -----

21. What was the stage of development on this land before you settled here? -----

22. How did you acquire the plot? -----

23. What rights do you have over the land? -----

24. Do you have a building permit? -----

25. Do you have infrastructures or utilities? -----

26. If yes, what are the infrastructure and utilities you acquired? -----

Appendix 2:

Interviews for selected Wereda Administration officers

1. When was the squatter houses mostly built? A. night b. weekend
c. holiday d. day and night e. other (specify)
2. Why do people want to settle informally in your Wereda?
3. How much is the impacts of informal settlements on the environmental degradation?
a. Low b. medium c. high d. none
4. if your answer is a, b, c or d for the question number 3 above, mention those impacts in the below space?-----

5. Where were the places most settlers hold land and built houses?
a. on degraded land b. on agricultural fertile land
c. by deforesting d. on public field e. other
6. How many informal settlers or squatter houses build per year?
7. Who is responsible to register the data and follow up? How often is the data collection take place?
8. List the factors which push the expansion of the informal land allocation and building sub Standard houses in the city?
9. In your Wereda administrative areas which Qetena has relatively high informal settlers and squatting?
10. What techniques have on the administrative to reduce the problems of informal land allocation and administrative shortage?

11. Which are the stakeholders can involve promoting the awareness of the society on land usage?
12. What is the precondition took by administrative to struggle the informal land holding and illegal building? What measures also taken (by police, administrative, court, community police etc.) to control informal action?
13. Does any written rule and regulation about the measured taken by sub-city Wereda administrative, polices, 'AfrashGibreHayle'' and other legal bodies to evict? Explain.
14. Why did community haven not willingness to struggle the expansion of informal hoses building with Wereda administrative together?

Appendix 3:

Interviews for the selected Yeka Sub-city Administration officers

1. Does the current urban land policy clearly define the informal settlements and squatter housing? If yes, explain.
2. How do you rate informal housing in the sub- city in general? What do you think is the basic cause?
3. How does the sub- city administration create awareness and clarity to the public about the current urban land policy?
3. Would you please explain the trend in informal housing in the sub-city in the previous few years? Who can afford for the
4. As you know informal housing areas are not legal in the eyes of the sub-city.Hence, what tangible measures did the sub-city take so far to legalize the area and provide tenure security to the households in the area?
5. Have you ever noticed how informal households try to secure their holdings individually and/or in group?
6. What do you think are the main reasons for not taking measures on informal households until now?
7. Has passion of equal land opportunities for all people in the Yeka sub-city?
8. If yes, what strategies do formulated to reach the home demand question on homeless?
9. Does the space selected for investment and public organization occupied by informal inhabitants? Explain.
10. If yes, how to evict or upgrade this settlements when you want for its primary purpose?
11. Why people want to settle in informal place and build squatter houses?
12. How and how often the administrative discuss with people to promote the awareness on urban land policies?
13. Why the city structural plan didn't work functionally?
14. Did the current Administrative and plan boundaries of the sub-city well known?

Appendix-4:

Document and Field Observation Check List

The main objective of these observations is to collect data for a research work. The study conducted to generate data on causes for high expansion of informal settlements and squatter housing in Addis Ababa specific areas of Yeka sub-city Wereda 13, 12 and 10. Your willingness on inviting factual document is important.

Thank you for your cooperation

I. Check list of Documents regarding informal settlers Yeka sub-city data.

1. Documents that show informal settlements in the study Area:

- GIS information of the area
- Square kilometer covered by informal settlers
- Urban land lease proclamation
- Population growth rate
- Demands of homeless and number of land request
- Decision making on settlers (written reprimand, upgrading).

2. Squatter Houses

- Rules and regulation about squatting
- Number of Houses built in informal area per year
- Eviction /AfrashGibreHayl/ legal responsibility
- Quality of houses
- Photo of the squatter houses

3. Buildings constructed and Integrated Housing project.

- Status of urban per income
- The habit of Houses average rent in Yeka sub-city
- The main actors participate in building of Squatter Housing
- The strategies of the sub-city and Wereda Administration to reach Houses demand.

II. Observation Check list of the field

1. Take photo and videos of squatter settlements
2. Number of Squatter Houses in a certain area
3. Action of responsible bodies on eviction
 - Monitoring
 - Inspection
 - Legal measure
4. The quality of the squatter settlement area
5. How settlers improve the property in informal place
6. Infrastructure (electricity, water, road) etc.
7. View the action took by illegal Homes.