

Addis Ababa
University

(Since 1950)



**The Impact of Horizontal Urban Expansion on Sub-
Urban Agricultural Community Livelihood:
The Case of Tabor Sub-City, Hawassa city,
SNNPRS, Ethiopia**

By

Firew Bekele

Advisor: Melese Abdissa (Ph.D)

**This thesis is submitted to Institute of Rural Development, College OF
Development Studies as a partial fulfillment for the requirement to
obtain the Degree of Masters of Science in Food Security Studies.**

June, 2010

Addis Ababa

**Institute of Rural Development, College of Development
Studies, School of Graduate Studies
Addis Ababa University**

Thesis Title

*The Impact of Horizontal Urban Expansion on Sub-Urban
Agricultural Community Livelihood: the Case of Tabor Sub-City,
Hawassa city, SNNPRS, Ethiopia.*

By

Firew Bekele

Development Studies, Food Security Studies

Approved By the Board of Examiners: Signature

Institute Director:

Advisor:

Melese Abdissa (Ph.D)

Examiner:

Declaration

Hereby, I, Firew Bekele Worana, whose Identification number is GSR-3603/02, here do declare that this Research is original work of my own and it has not been submitted partially or fully to any Universities so far as a partial fulfillment to Masters Degree award.

Declarer's Name Firew Bekele Worana Signature _____ Date _____

Advisor's Name: **Melese Abdissa (Ph.D)** Signature _____ Date _____

Acknowledgement

To begin with, I would like to express my thank to my advisor, Dr. Melese Abdissa, who had made professional advices and critical comments, without which my study would have not reached to this stage of completion. My thank also extends to my co-advisors, Dr. Degefa Tolossa , Dr. Tilaye Shitaye and Mesfin Lemma (Asst. Prof.). They all contributed invaluable advices and comments to my study from the step of inception up to to the completion of this M. Sc. Thesis research work.

I, moreover, have unlimited thank and respect to Lemlem Tsegaye, my honey. She became the encouraging and inspiring factor for my performance on the whole process of my research works.

My family, particularly Birehanu (Ugado), my intimate & brother, I am very much grateful to your ever supports to all my educational works.

Furthermore, I am very much indebted to Shitaye Cebula, Mato Maru, Tariku Lemma, Belay Tesome, Haile Tadessie, Dinkayehu Birehanu and other unlisted intimates friends, for all facilities, supports and encouragements they offered to my research works and for all the humorous events we had together.

Prior to all, "GOD IS GREAT!!" is my ever saying to all great deeds he did to me.

Table of Contents

Contents	Page
Approval.....	i
Declaration.....	ii
Acknowledgement	iii
Table of Contents.....	iv
.....	
List of Tables	viii
List of figure	ix
List of Appendices	x
Acronyms	xi
Explanatory Notes of Ethiopian Words/Terms.....	xii
Abstract	xiii
CHAPTER ONE	
INTRODUCTION.....	1
1.1 Back ground of the Study	1
1.2 Statement of the Problem	2
1.3 Objectives of the Study	4
1.4 Research Questions	4
1.5 Significance of the Study.....	5
1.6 Delimitation of the Study	5
1.7 Limitations o the Study	6
CHAPTER TWO	
LITERATURE REVIEW	8
2.0 Introduction.....	8
2.1 Key Words and Concepts in the Study Domain	8
2.2 Theories of Urban Expansion and Growth.....	14
2.3 Causes of Urban Expansion.....	15
2.4 Trends of Urban Expansion	16

2.5. Impacts of Urban Expansion.....	17
2.6. Urban Expansion as Socio-Economic Development Process and Ameliorative Provisions to Its Adverse Effects under the Constitutional and Legal Frameworks in Ethiopia.....	18
2.7 Analysis of Socio-Economic Vulnerability of Peri-Urban Agricultural Community to Poverty in Hawassa City through the Application of Pressure and Release (PAR) Model	20

CHAPTER THREE

METHODOLOGY	21
3.1 Description of the Study Area.....	21
3.2 Research Design.....	23
3.3 Data source and Type	23
3.4 Sampling Methods and Frames.....	23
3.4.1 Sampling methods	23
3.4.2. Sampling Frame.....	24
3.5 Sample Size.....	25
3.6 Data Collecting Tools.....	26
3.7 Data Analysis	27

CHAPTER FOUR

DATA ANALISIS AND PRESENTATION	28
4.1 Introduction	28
4.2 The householdsø socio-demographic features.....	28
4.2.1 The Respondentsø	28
4.2.2 Sex of the householdø.....	29
4.2.3 Educational background of the households.....	29
4.2.4 Householdsø Family Size	30
4.3 Issues Related to Farmersø participation in urban expansion program	31
4.3.1 Participation before expansion	31
4.3.1.1 Awareness of the house holds about urban expansion.....	31
4.3.1.2 Ways of householdsø awareness about urban expansion.....	32

4.3.1.3 Farmers' Representatives in decision making on benefit packages.....	32
4.3.1.4 Ways of representation	33
4.3.1.5 Benefits farmers gained as a result of their participation	33
4.3.1.6 Decision maker on compensation and benefit packages	34
4.3.2 Participation During expansion	35
4.3.2.1 Farmers' reaction to land expropriation during urban expansion.....	35
4.4 Urban expansion led-benefits and related issues for farming community	36
4.4.1 Promised compensation for expropriation-led effects.....	36
4.4.2 Executed (Served) compensation	37
4.4.3 Post-expropriation trainings and advisory supports pertained to urban livelihood.....	37
4.4.4 Newly established urban led-services to affected community	38
4.4.5 Levels of farmers' satisfaction with compensation served and benefits gained in a Relation to urban expansion	40
4.4.6 Appeals and grievances with compensations and benefits	41
4.4.7 Peri-urban farming community view towards urban expansion	42
4.5 Impacts of urban expansion on the livelihoods of peri-urban farming community.....	44
4.5.1 Urban expansion impacts on farmers' financial capital.....	44
4.5.2 Urban expansion impacts on farmers' social capital	54
4.5.3 Urban expansion impact on farmers' natural capital.....	57
4.5.4 Urban expansion impact on farmers' physical capital.....	61
4.5.5 Urban expansion impact on farmers' human capital	63
4.6 Urban expansion: its impacts on peri-urban livelihood agrarian community and coping mechanisms this community developed.....	65
4.6.1 Livelihood alternatives the affected households followed after expropriation Periods	65
4.6.2 Job and related condition of the affected households in post expropriation periods.....	66
4.6.3 Beliefs of the affected community towards the newly livelihood Strategy	68
4.7 What should be done to reduce the adverse impacts the urban expansion has on peri-urban community's livelihood?	70

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS	71
5.1 Introduction.....	71
5.2 Conclusion	71
5.3 Recommendation	74
References	76
Appendix 1:- Questionnaire for Sampled households	I
Appendix 2: An Interview guideline to Planers and Implementers as well as Managers	IX
Appendix 3: Guideline for Focus Group Discussion	X
Appendix 4: The Study Area Map	XI

List of Tables

Table No.	Title of the Tables	Page
Table 1:-	Sampling frame used to identify sampled households and FGD participants	24
Table 2:-	Farmers' representatives in benefit decision making process	32
Table 3:-	Ways of farmers' representation	33
Table 4:-	Benefits farmers gained from participation	33
Table 5:-	Farmers' reaction to land expropriation	35
Table 6:-	promised compensation to peri-urban community	36
Table 7:-	Executed compensation	37
Table 8:-	Urban expansion led services to peri-urban farmers	38
Table 9:-	The recipients' Satisfaction condition towards a executed compensation	40
Table 10:-	Whether the "Dissatisfied" groups presented their appeals to a responsive body.	41
Table 11:-	The satisfactorily of the responses to the appeals of the disappointed groups of the households	41
Table 12:-	Whether the households generally support expansion program or not.	42
Table 13:-	Conditions these households consider in order to support urban expansion	42
Table 14:-	The disadvantageous groups owing to urban expansion	63
Table 15:-	Whether households within this community engaged in a productive activity after land expropriation	65
Table 16:	Sector within which these households engaged	66
Table 17:-	Types of non-agricultural activities the affected households engaged	66
Table 18:-	Whether these households believe that they get jobs these days than before	67
Table 19:-	Whether these households have a job currently	67
Table 20:-	Job types these households have currently	67
Table 21:-	Whether they believe that their family secured their livelihood through the newly livelihood strategy or not	68

List of Figure

Table No.	Title of the Figure	Page
Figure1:	Livelihood Framework.....	11
Figure2:	Global urban trends and Projection to 2050	16
Figure 3:	Conceptual model of urban expansion-led imp acts on peri-urban farmers	20
Figure 4:	Map of Hawassa City	22
Figure 5:	the responding householdsø age	28
Figure 6:	Sex of respondentsø.....	29
Figure 7:	Educational background of the house holds	29
Figure 8:	Respondentø Family size.....	30
Figure 9:	communityøø awarness on urban expansion	31
Figure 10:	Decision maker on benefits package	34
Figure 11:	Post expropriation supports to per-urban farmers.....	38
Figure 12:	An average total income before urban expansion.....	45
Figure 13:	An average annual income the affected households earn currently	46
Figure 14:	Oxen the affected households had before	47
Figure 15:	Oxen the affected households have currently.....	48
Figure 16	Cows the affected households had before	49
Figure 17:	Cows the affected households have currently	50
Figure 18:	Sheep the affected households had before.....	51
Figure 19:	Sheep the affected households have currently	52
Figure 20:	poultry the affected households had before	53
Figure 21:	Poultry the affected households have currently	54
Figure 22:	A social relationship the affected households had before	56
Figure 23:	A social relationship the affected households have currently	57
Figure 24:	Land these households had before expansion.....	58
Figure 25:	Land these households have currently	59
Figure 26:	permanent forest the households had before, in ETB estimation	60
Figure 27:	Permanent forest these households have currently, in ETB estimation	61
Figure 28:	House room these households had before, in number.....	62

Figure 29: House in room these households have currently, in number..... 63

List of Appendices

1. Questionnaire to households (Both English and Amharic Versions)
2. Checklist to Key informants
3. Guideline to Focus Group Discussion
4. Study area Map

Acronyms

SNNPRS	Southern Nations Nationalities and Peoples regional State
SPSS	Statistical data Package for Social Science Students
USA	United States of America
NGO	Non- Governmental Organization
CSA	Central Statistical Agency
DFID	Department for International Development
SLS	Sustainable Livelihood Strategy
UN	United Nations
FDRE	Federal Democratic Republic of Ethiopia
ICESCR	International Convention on Economic, Social and Cultural Rights
CRC	Convention on Right of Children
FGD	Focus Group Discussion
ETB	Ethiopian Birr

Explanatory Notes of Ethiopian Words/Terms

Dee- Mutual helps organization (Sidamu Afoo)

Gasha- the smallest unit of administration (Amharic)

Idir- traditional institution for self-help of members during ፊልል ሰዓት (Amharic)

Jite- has equivalent meaning with Idir (Sidamu Afoo)

Kebele-the smallest unit of administration, but higher than Gasha (Amharic)

Meret Larashu-1974ፊልል ሰዓት declaration by the Derg rule having the meaning of land to tiller
(Amharic)

Abstract

Throughout the world, we find human being residing either in urban or rural or in between- peri-urban or peri-rural. Both urbanization and ruralism are counter competing areas whereas the area between is the field of contest. Globally, urbanization has as equal age as the ancient civilization of Babylonians. As it is concomitant with socio-economic development, urbanization has a higher level of development in developed nations than under developed ones. In Ethiopia, although its level is the lowest even among other under developed nations, its rate, however, is the highest and made a country one of twenty-three countries experiencing fast urbanization in the World. As a matter of this fact, Hawassa city is among the Ethiopian urban settings experiencing unprecedented rate of urbanization through expansion. Hence, the objective of this study was to assess the impacts of horizontal urban expansion on peri-urban agricultural community's livelihood in Ethiopia by taking the Tabor sub-city as a case in Hawassa city, SNNPRS. Based on the descriptive research design, the study had applied the mix methods of both Qualitative and Quantitative approaches. A household survey was conducted on 156 households sampled through systematic sampling and non-random sampling techniques. Primary data had been collected through semi-structured questionnaire, semi-closed interview, participant observation and focus group discussion while the secondary one was from different written and documented sources. Having analyzing the collected data through the SSPS software as a model, the researcher had arrived at the conclusion that horizontal urban expansion has adverse impact on the livelihood of peri-urban agricultural community in Ethiopia, as the Hawassa city case had shown us. Hence, the livelihood of such community has been at the verge of risk. This negative externality was attributed mainly to lack of urban good governance & lack of effective rules and regulations on land expropriation from and compensation to farmers while the difference in wealth, power, educational background, family size burdens, livelihood strategies and diversity before and after expropriation were determining factors. Thus, it is the recommendation of this study that there is a need to prevail urban good governance to curtail the problem, especially, following participatory approach on stakeholders, particularly, farmers, in to urban development plans and projects, there should exist effective rules and regulations which guide expropriation from and compensation to farmers when their land is expropriated for public interest, there should, also, be consideration of the recipients' interests on kind and quantity of compensation and if money is only possible resolutions on a kind of compensation to farmers', then, pre-trainings and post coaching need to be carried out to enable such community sustain and secure their livelihood in such changed and continuously re-changing urban terrains.

CHAPTER ONE

INTRODUCTION

1.1 Back ground of the Study

The process of urban expansion is a worldwide phenomenon, recorded in the history of all urban centers. It started with the earliest human civilization of Babylonians (Cemea, 1997).

Urbanization, the process of urban expansion, may involve both horizontal and vertical expansion of the physical structure of urban areas. And it can result in loss of agricultural land, natural beauties, range lands, parks and sceneries (Minwuyelet, 2004).

For case in point, urban centers of countries like England and USA expanded horizontally with loss of agricultural land. Impacts of horizontal urban expansion include not only the loss of agricultural land but also displacement of peasants and change of their livelihood. To this effect, 10 million peoples were displaced globally because of developmental activities per year. And among those displaced, 6 million are attributed to urban expansion, (Cemea, 1997).

Although multifaceted, the main cause of urban expansion is population pressure. The increase in African population is surprising. However, more surprisingly, their urban growth rate is higher than the growth rate of national population in almost all countries of the continent. Among other factors, the population pressure, as Berhanu (2005) argues, caused horizontal expansion of African cities. The horizontal expansion of cities is, however, at the expense of prime agricultural lands and agricultural productivity which of both are the main livelihoods of peripheral communities.

Urbanization and urban growth are considered as a modern way of life manifesting economic growth and development. However, urbanization and urban development in Ethiopia faced a number of socio-economic problems (Tegenge, 2000).

1.2 Statement of the Problem

According to Eyasu (2007), the Ethiopian urban centers are expanding in unexpected rate resulting to peasant displacement with concomitant loss of agricultural land, loss of agricultural production and change of their livelihood.

Generally, urban expansion is spontaneous phenomenon that leads to spontaneous growth by displacing rural farming community. Even planned displacement has its own negative effect on the livelihood and the post displacement life of the affected community. This is also what should be identified and recognized to pursue the sustainable and comprehensive urban development (Tegege, 1999:69).

Comparatively, displacement attributed to urban sprawls is more significant in developing countries than developed ones. The underlying reason for this is that majority of the people in developing countries are highly concentrated in peri-urban areas. They base their livelihood on peri-urban agriculture with fragmented land holdings. Therefore, horizontal urban expansion inevitably results to displacement of peri-urban peasants with small scale economy then by necessitating compensation. However, in developing countries like Ethiopia where land ownership belongs to both public and government, the amount of compensation paid to displaced peasants depends on government's good will and commitment of program implementers. Where there is no or is minimum pay off, it directly leads to tenure insecurity of evicted communities.

Personal observation indicated that the Sub-urb community of the Hawassa city of Ethiopia is prone to displacement and land expropriation due to the horizontal expansion of the city. While land is the highest value and physically fixed asset and hence is base for the lives and livelihood of that community, the expansion of the Tabor Sub-urb seems to result to a significant Change in their way of life, production, distribution, consumption and social structure. Reportedly, unacknowledged costs and the "win-loss" effects have taken place. Therefore, it is imperative to identify the specific impact the horizontal urban expansion has on the livelihood of that community so that the "win-loss" effect is to be meliorated and to realize the "win-win" effect of urbanization and urban sprawl.

The case is worsened mainly due to the absence of land expropriation and compensation directives and rules in solid form in SNNPRS level.

Although Proclamation N^o 455 (2005) on land expropriation and compensation to its effect provides direction on how the private holdings are to be expropriated and what and how the compensation is to be executed at the Federal level of the Ethiopian government, in the Hawassa City, however, there is no such directives and legal provisions in this regards. Thus, the peri-urban agricultural community has been affected adversely as the process of expropriation and the compensation issues remained under the arbitrary decisions.

According to the UN-HABITAT (1996:26), the strategic planning is said to be the key instrument to safeguard the adversary effects of urbanization and to gain most out of it.

And this, the strategic plan, needs to be participatory in such a way to integrate urban development to achieve growth management and responsive remedial actions at both the city and Sub-urb level. The output of the process is not just a physical development planning for the city, but a set of inter-related strategies for the city development. The key characteristics of strategic planning include, but not limited to;

- Cross sectors co-ordination and integration
- Agreement on common comprehensive advantages of public and private sectors in urban development and management
- Bargain based resolution of interest conflict among stakeholders
- Regular monitoring and evaluation of urban development impact to each of community members affected by changes related with urban development programs.

Given at least the above guidelines as the screen in relation to the development of the Hawassa city and the resulting impacts on the peri-urban community, not even a single action has been taken so far by the city's administration. As result of this, the livelihood of such groups is endangered

1.3 Objectives of the Study

Generally, the study was proposed to assess the impacts of horizontal urban expansion on the livelihood of peri-urban agricultural community of the Tabor suburb in Hawassa City.

Specifically this study was to:

- assess the level of urban adjoining farmers' participation, as the stakeholders, in urban development programs.
- evaluate impacts of urbanization led displacement and land dispossession on the livelihood of local communities.
- inspect coping mechanisms the affected households developed as a new means of a livelihood.
- examine the role and responses of the private sector, the government, the NGOs and other stakeholders in dealing with the rehabilitation of community subject to land expropriation and displacement.
- indicate the intervention mechanism to ameliorate the adverse impacts of urban sprawl.

1.4 Research Questions

At its end, the research answers the following questions:

- To what extent was the peri-urban community participation, if any, in the urban development plans by city administration?
- What promises were made for the victimized community when their lands were dispossessed?
- How much of the promised compensation have been delivered by the concerned institutions?
- What impacts had the urban expansion brought about the peri-urban farmers' livelihood?
- To what extent were peri-urban agricultural community well comers to urban expansion?
- What coping mechanisms had the displaced or/and land dispossessed community used to adopt themselves with urban way of life?
- What institutional interventions and follow-up had been made so far to sustain the livelihood of the displaced or/ and land dispossessed community?
- What should be done so as to reduce the spillover impacts of urban expansion on peri-urban farmers' livelihood?

1.5 Significance of the Study

In the developing countries like Ethiopia, urbanization is one of development issues to be addressed. That is why currently scholars, NGOs, governments, partners and other stakeholders have given a due attention on the theme.

Hawassa city is under the fast development and horizontal sprawl at these days. This has been studied significantly by various studies. However, there is very limited studies carried so far concerned the effects of this expansion on the livelihood of the peri-urban agricultural community. This study therefore, attempts to fill this gap by identifying the negative and positive externalities as well as opportunities that come following horizontal expansion of town on the livelihood of affected communities generally.

Particularly, this study had been sought to:

- Create or increase the knowledge on the nature of urban-led displacement and dislocation of peripheral community and implication on their livelihood. Hence, planners, policy makers, administrators, private investors and rehabilitators will be able to consider cause, effects and solutions to the problems associated with urbanization including urban poverty.
- Examine opportunities attached with urban sprawl and hence curtail resistances against urban expansion.

Generally, this study was sought to improve knowledge about consequences of horizontal urban development on the livelihood of peri-urban agricultural communities. As well, Contributes for the advancement of more convincing theoretical approaches which enable better awareness of the impact of urban development on peripheral agrarian community.

1.6 Delimitation of the Study

Hawassa city is currently expanding only towards south and east mainly because of its geographical setting. No expansion is possible to the west and north directions because the city is

bounded by Lake Hawassa in east while the Oromya regional state is in its north. Hence, this fact of natural and artificial barriers has directed the city to grow only towards south and east.

Therefore, the study dealt with the expansion of these directions, with the particular focus to, the Tabor Sub-city expansion which took place in expense of pre-existing farm lands. This sub-city itself has the highest population of the whole city amounting 44,456 with the households of 4,231 by the estimation of the 2010 projection by the Central Statistical Agency (CSA) of Ethiopia.

Furthermore, this sub-city has been experiencing urban expansion at different rate in different directions at different years. Nevertheless, all these differences are similar in one aspect-displacing settlers and dispossessing their natural asset mainly land up on which depend all other assets (Livelihood elements) directly or/and indirectly.

This study assumes that land is a common denominator to all other types of livelihood elements to those the community affected (positively or/and negatively) by horizontal urban expansion. On top of this, as considering whole population is too expensive in terms of resources (time, technical, materials, finance and other logistics) and the researcher has no more interest to does that. Thus, this study is delimited to three villages known as *õGashasö* (as detailed in methodology section) that experienced extensive urban expansions and within which had been the Farmers' land dispossessed by leading them to displacement in two successive years (1998 E.C and 1999 E.C).

1.7 Limitations o the Study

Following the urban expansion, then, there happen changes in both topography and settlement pattern of the pre-urban areas. This study focuses mainly on the households whose lands were expropriated and those who had been dispossessed, dislocated and hence whose livelihood strategies get changed both by form and content. As a matter of this fact, the selected sample household members may not absolutely represent the characteristics of all farmers affected by urban horizontal expansion. Moreover, there has appeared a problem of up-dated address information of the respondents. In the same token, in access to data, response refusal, omission

of responses, non-returns or late return of questionnaire, and misses are what technically limited the processes, accuracy and validities of the study.

In addition, as expansion is a process taking place throughout a series of time, there is a need to get each phase's (year's) information about the expansion. To get all required information, fixing the appointment and meeting the ousted Municipality staff or officials from previous position has contributed to the limitation of the study.

Furthermore, since every research methodologies and designs along with the specific techniques have each of respective pros and cons. As a matter of this fact, the methodology employed, research design developed, techniques selected as well as tools used to collect data have their own limiting effect on validities and other qualities of the study.

CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

This chapter is all about different literatures pertained to the study. Hence, the key words and concepts definitions, theories of urban expansion and growth, causes of urban expansion, trends of urban expansion, impacts of urban expansion on the livelihood strategies of urban peripheries, legal and constitutional provisions on effects and compensation packages to expropriation and theoretical frameworks all have been intensively discussed turn by turn.

2.1 Key Words and Concepts in the Study Domain

2.1.1 Urban

2.1.2 Peri-urban

2.1.3 Horizontal urban expansion

2.1.4 Agricultural community

2.1.5 Livelihood

2.1.6 Expropriation

2.1.7 Compensation

2.1.1 Urban: in this study context, urban (as opposite to rural) refers to areas characterized by denser population settlement per-unit of land, higher heterogeneity of inhabitants (in terms of ethnic background, religious adherence, livelihood strategies and sources, educational levels etcí), greater organizational complexities as well as higher formal social control.

2.1.2 peri-urban areas: as used in this study context, peri-urban areas are amidst between densely settlement (urban areas) and less densely settlement (rural areas). These

are areas partly sharing the characteristics of both urban areas and rural areas then by symbolizing transitional zone from one area (urban or rural) to another.

2.1.3 Horizontal urban expansion: it is synonymous with urban sprawl, the expansion of the attentiveness of people or urban settlement to bordering and surrounding areas whose functions and settlements were not similar with urban ones.

2.1.4 Agricultural community: refers to that community whose economic base and livelihood sources are directly based on farming or /and rearing of animals under traditional production, distribution and consumption patterns.

2.1.5 Livelihood: The definition of livelihood has been extensively discussed among academics and development practitioners including; Chambers and Conway, 1992; Bernstein, 1992; Ellis, 1998; Carney, 1998; Francis, 2000; Batterbury, 2001; Radoki, 2002; Latz, 2003).

The most habitually employed definition of livelihood which the researcher agrees is "A livelihood comprises the capabilities, assets (including both material and social resources), and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base" (Chambers and Conway, 1992:9).

Livelihood assets can be understood by the notion of five main capitals:-human capital, social capital, physical capital, natural capital, and financial capital.

Natural capital: consists of land, water and biological resources such as trees, pasture and biodiversity.

Financial capital: Consists of stocks of money or other savings in liquid form. In this study context, it includes not only financial assets but also it does easily disposable assets such as livestock, which in other senses may be considered as natural capital. It includes income levels, variability over time, and distribution within society of financial savings, access to credit, and debt levels.

Physical capital: Is that created by economic production. It includes infrastructure such as roads, irrigation works, electricity, reticulated equipment and housing.

Human capital: is constituted by the quantity and quality of labor available. At household level, therefore, it is determined by household size, but also by education, nutrition, skills, capacity and health of household members.

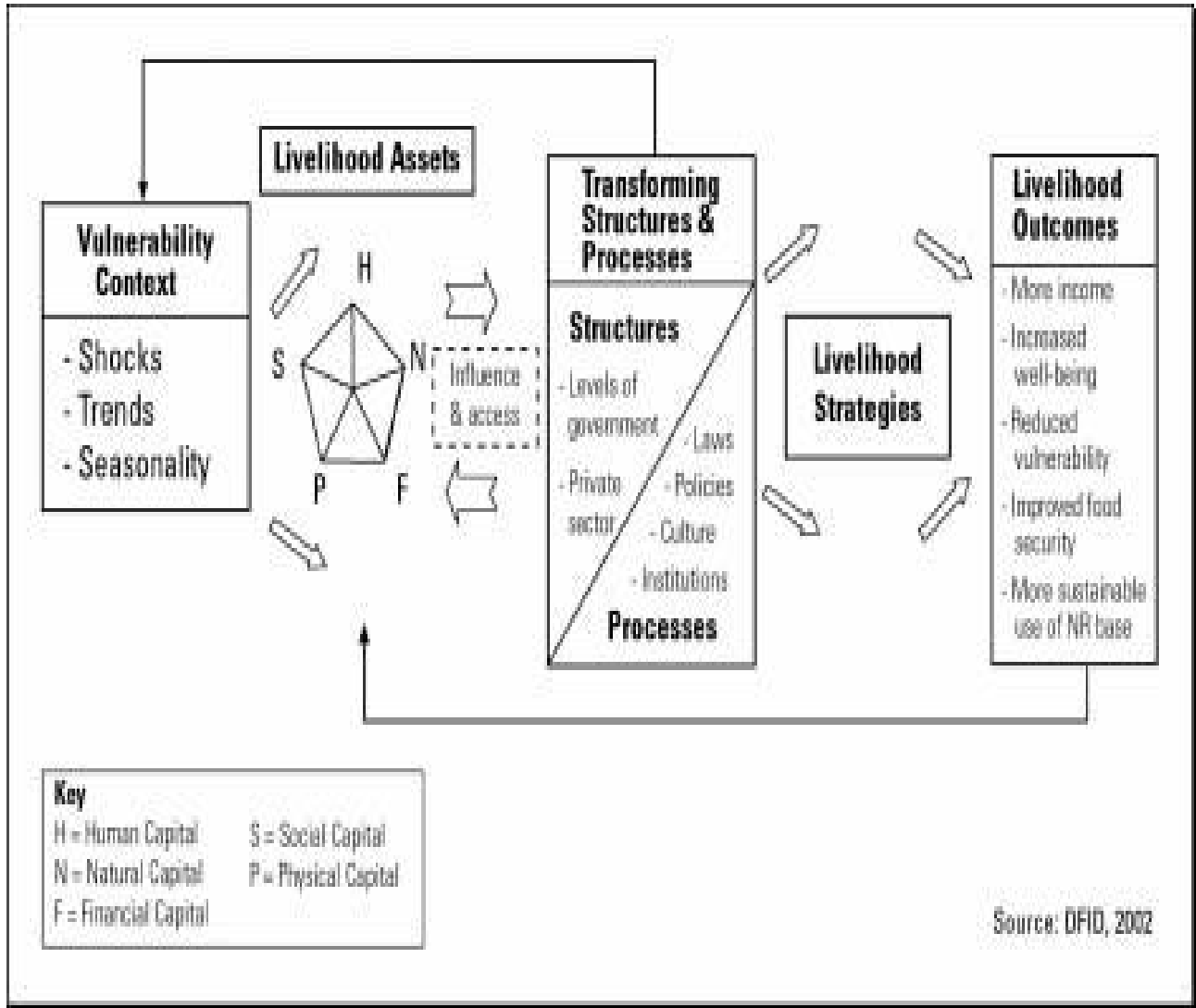
Social capital: Any assets such as rights or claims that are derived from membership of a group. This includes the ability to call on friends or kin for help in times of need, support from trade or professional associations (e.g. framersøassociations) and political claims on chiefs or politicians to provide assistance. In one way or in another the social capital is a function of power a given individual or group assumes and a kind and a level of the relationship that exists in a given societal structure.

The productivity and sustainability of these capitals may be degraded or improved by human management which is determined by favorability or non-favorability of the existed structures, institutions and processes as transforming factors in one hand and trend, shocks as well as seasonality as vulnerability contexts in another hand.

In the folder of this study, the livelihood- the agriculture- of the peri-urban community within the study area is overtaken by urbanization which in turn is the function of global contexts such as globalization (global economic and market conditions, global human migration and global technological conditions) and trends and shocks which are determined by the structures (different levels of governmental, non-governmental as well communal institutions) and process (policies, laws, rules, directives, and common values and norms of these institutions).

This relationship among mega environment (globalization), macro environment (national and regional institutions and their policies) and micro environment (local social, cultural and communal institutions and structures together with their values and norms) and their interplay in affecting a livelihood of a given community has been depicted in the following livelihood framework (model).

Figure1: Livelihood Framework



Source: DFID, 2002

Transforming Structures and Processes:-transforming Structures and Processes represent policies, the institutions, organizations and legislation that shape livelihoods. They are of central importance as they operate at all levels and effectively determine access, terms of exchange between different types of capital, and returns to any given livelihood strategy.

Structures can be described as the hardware (private and public organizations) "that set and implement policy and legislation, deliver services, purchase, trade and perform all manner of other functions that affect livelihoods" (DFID, 2000).

An absence of well working structures often constitutes an obstacle to sustainable development and makes simple asset creation difficult in case of adverse structures impeding access to apply a certain livelihood strategy. In contrast to other approaches, where scarcity and underdevelopment was thought to be a problem of people not having enough due to lacking capital endowments, the Sustainable Livelihood Strategy (SLS) analyses it as a problem of access and the possibility to control the available resources, which are often sufficiently at disposition (Compare Sen, 1981).

Complementary to structures, processes constitute the 'software' determining the way in which structures and individuals operate and interact. There are many types of overlapping and conflicting processes operating at a variety of levels and like software, they are crucial and complex! Important processes for livelihoods are for instance policies, legislation, institutions, and culture and power relations. They may serve as incentives for people to make choices, they may be responsible for access to assets or they may enable stakeholders to transform and substitute one type of asset through another.

Transforming structures and processes occupy a central position in the framework and directly feedback to the vulnerability context, while influencing and determining ecological or economical trends through political structures, while mitigating or enforcing effects of shocks or keeping seasonality under control through working market structures; or they can restrict people's choice of livelihood strategies (e.g. caste system) and may thus be a direct impact on livelihood outcomes (Francis, 2000).

Livelihood Strategies:-Copying mechanism, as also known as, Comprise the range and combination of activities and choices that people undertake in order to achieve their livelihood goals. They have to be understood as a dynamic process in which people combine activities to meet their various needs at different times and on different geographical or economical levels, whereas they may even differ within a household. Their direct dependence on asset status and transforming structures and processes becomes clear through the position they occupy within the framework. A changing asset status may further or hinder other strategies depending on the policies and institutions at work.

When considering livelihood strategies and issues connected to the SLS in general, it is important to recognize that people compete (for jobs, markets, natural resources, etc.), which makes it difficult for everyone to achieve simultaneous improvements in their livelihoods. The households affected by urban sprawl then become heterogeneous by representing partly the urban ways of lives, placing different priorities in a finite and therefore, in highly disputed environment. Compromises are often indispensable. An application of the SLS offers the advantage to be sensitive for such issues in a differentiated manner (Ellis, 1998).

Livelihood Outcomes: - are the achievements of livelihood strategies, such as more income (e.g. cash), increased well-being (e.g. non material goods, like self-esteem, health status, access to services, sense of inclusion), reduced vulnerability (e.g. better resilience through increase in asset status), improved food security (e.g. increase in financial capital derived from the combination of one or more livelihood capitals in order to buy or produce foods). Outcomes help us to understand the 'output' of the current configuration of factors within the livelihood frame work; they demonstrate what motivates stakeholders to act as they do and what their priorities are. They might give us an idea of how people are likely to respond to new opportunities and which performance indicators should be used to assess support activity. Livelihood Outcomes directly influence the assets and change dynamically their level - the form of the pentagon -, offering a new starting point for other strategies and outcomes.

2.1.6 Expropriation: means the action of government taking away a private property from its owner with legal authority (Proclamation #455/2005). The key element or condition the accessibility of expropriation is the purpose of taking over private property. The basic criteria justifying admissibility of expropriation has been and still is the public purpose and public interest,(Proclamation, #455/2005, Muluken, 2009).

2.1.7 Compensation: according to Proclamation # 455/2005, compensation is a means of payment for the property that is expropriated by the respective executing body of government both either in cash or kind. The process of compensating for the evicted house hold should

include all forms of asset ownership or use right among the affected population and provided a detailed strategy for partial or complete loss of assets.

For this, according to Kaganova et al. (2006:35), there are two forms of compensation methods in land acquisitions; these are land to land and cash. The agreement either of which to be served need to be done through collective bargaining of stakeholders.

On the other hand, Articles 8.4a and 8.5 of the proclamation 455/2005 stipulate compensation by the following formula:-

a) For urban property, compensation = RPC +RLC+SL+RLCR;

b) For Rural land holders, it is = RPC + RLC +10 * AAI O r AAI +SLSP

Whereas;

RPC stands for replacement cost of property

RLC stands for relocation (moving) cost

SL stands for some land site

RLCR stands for relocation compensation (cost of renting one year of place stay)

AAI stands for average annual income

SLSP stand for some land with similar productivity

2.2 Theories of Urban Expansion and Growth

As Clark (1996) discusses, there are two major theories explaining urban expansion.

- i) The primacy of economic benefits**
- ii) Role of urban social production**

In urban area, as of economic benefits primacy theory, there are the agglomeration of different economic activities and economies of scale resulting from it. Hence, to improve economic benefits of production, people move to urban area from rural areas and/or even one urban areas to another, rural- urban migration and urban-urban migration. This increment on urban population stimulates urban latexes to grow towards peripheral areas.

The urban social production theory on the other hand argues that, urban is more congested and congregate, and even much denser than rural and peripheral regions. Still, the area has higher

pulling power of attracting people in to it. This pulling force of urban areas is however the result of continuous social interaction and internet work which resulted finally in to the congregation of large people at smaller unit of land than rural regions.

As cited by Muluken (2009: 13) in history of urban evolution, cities began to exist for many reasons such as defense, trades, political or religious centers. Whatsoever the reason, economic force are likely to reinforce the original impulse (Harvey and Juwsy, 2004).

With industrialization, which induced more intensive use of existing buildings, change in the pattern of uses and out ward expansion in the peripheral areas is inevitable (Hall, 2002)

2.3 Causes of Urban Expansion

Urbanization is closely linked with modernization, industrialization, and sociological process of decision making. Most of the rapid urban sprawl in developing nations is due to rural-urban migration (Free encyclopedia-2010).

According to UN state report of the world population (2007), urbanization occurs naturally from individual and corporate efforts to reduce time and expense in community and transportation while improving opportunities of jobs, educations, and housing and transportation statuses.

However, major contributing factor is rural flight. In rural areas, often on small farms, it is difficult to improve one's standard of living beyond basic subsistence [particularly in developing countries case where rate of population growth outpaces resource production rate]. To such communities, their farm is very much dependent on unpredictable conditions such as drought flood and pestilences. Hence, people make decision to migrate to urban areas rural flight. This then contributes to urban pressure towards peri-urban lands.

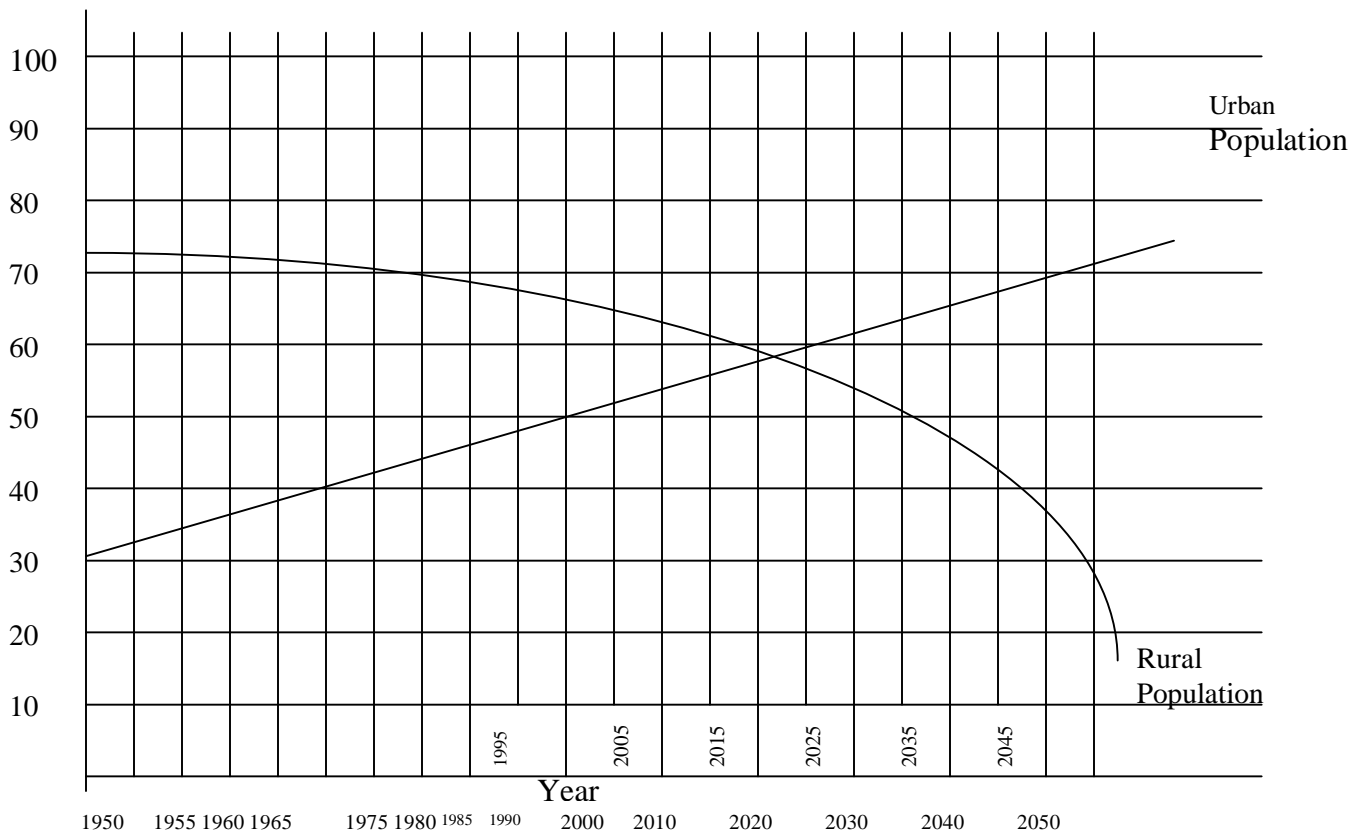
National wise, according to Tagegne (2001) two most important actors leading urban expansion are in-migration (both rural-urban migration and urban-urban migration) and natural population increase.

2.4 Trends of Urban Expansion

According to the UN state of the world population report (2007), sometime in the middle of 2007, the majority of people worldwide will be living in towns or cities for the first time in history. This is referred to as the "arrival of urban millennium" or the "tripping point" as depicted here below.

With regard to trends, it is estimated that 93% of urban growth will occur in developing nations with 80% of urban growth occurring in Asia and Africa. Through this process of development, the report state that, from what it was 30% in 1950s, urban population will be 70% by 2050, globally. Reversely, the rural population becomes 30% by 2050 from what it was 70% in 1950.

Figure 2. Global urban trends and Projection to 2050



Source: UN State report of 2007

Particularly, currently African average level of urbanization is 34% while the Ethiopia's is 18% which is even very low in Africa. Different studies have projected that the proportion of urban population in Ethiopia will reach 23% by the year 2030 (MEDAC, 2002, CSA, 1994). On the other hand, Ethiopia's urbanization rate is one of the highest in Africa. The average annual rate of growth from 1960-1991 was 4.8 percent and this figure grew to 5.8 percent per-annum from 1991-2000. This rate of growth puts Ethiopia among the 23 rapidly urbanizing countries of the world (Tegegne, 2001).

2.5. Impacts of Urban Expansion

Urban expansion may involve both horizontal and vertical types of the expansion. The former refers to the extension of the Physical structure of the urban areas. Such process of urban expansion is a worldwide phenomenon which can be seen in the history of all urban centers as to results in the loss of range pasture and agricultural lands and natural beauties (Minwuyelet, 2004).

Urbanization and urban growth are considered as a modern way of life and centers of varieties of human opportunities which all can highly contribute to socio-economic growth and development. However, as Tegegne (2000:1) argues, horizontal expansion of urban areas in Ethiopia causes a number of socio-economic problems including tenure right violation.

As to Eyob (2010), urban expansion in Ethiopia impedes the livelihood elements and strategies of peri-urban farmers and hence leads them in to vulnerability compounded from trends, shocks and/ or their combination in a given context.

From these scholar findings, we can generalize that, while well planned and managed urban expansion may enhance the common benefits of stakeholders, otherwise, the process leads to high negative externalities particularly to those peri-urban farmers by affecting their livelihood portfolios and strategies.

Hence, whether negative or/and positive it is, urban horizontal expansion obviously has impact on natural, social, human, physical and financial assets (livelihood) of the peri-urban community as Cemea (1997) discusses.

2.6. Urban Expansion as Socio-Economic Development Process and Ameliorative Provisions to Its Adverse Effects under the Constitutional and Legal Frameworks in Ethiopia

“All persons who have been displaced or whose livelihood has been adversely affected as a result of the state [government development] programs have the right to commensurate monetary or [and] alternative means of compensation with adequate state [government] assistance.”FDRE constitution 44(2)

As can be bluntly understood, there is national constitutional provisions that state the right of every persons to claim for the unequivocal and commensurate compensation for their property and land when any government-led developmental programs are founded to adversely affect their livelihood that is based on the land.

For most developing nations like Ethiopian, land means all the part and parcel of their livelihood and hence life. For such nations, land is, among many other things, the means to secure the very basic needs to their lives mainly the food. Therefore, the right to land is equivalently to mean right to food and hence the right to life. Right to life is the Universal fundamental human right. In relation with this, Ethiopia has ratified different International Covenants and agreements including, but not limited to, the International Convention of Economic, Social, and cultural Rights (ICESCR) which protects the right to food (Article 11) as right to life and Geneva Conventions of 1949 and the 1977^os additional protocols on Humanitarian law. The FDRE constitution defines all of them as per Article 15.

For an agrarian community, land is also the physical and natural capital through which they ensure the well being of their family such as provision of health and educational services to their children. Therefore, the well being of the agrarian family child, that is human capital dimension

of the livelihood, is by large extent dependant on the respecting and protection of their parents' right to land. Hence, through this window, we can see that, right of farmers to land means the right of their children. In line with this, Ethiopia has ratified Conventions on Right of Children (CRC) Article 24 & 27. And, the FDRE constitution well defines this as per Article 36(1, a & d).

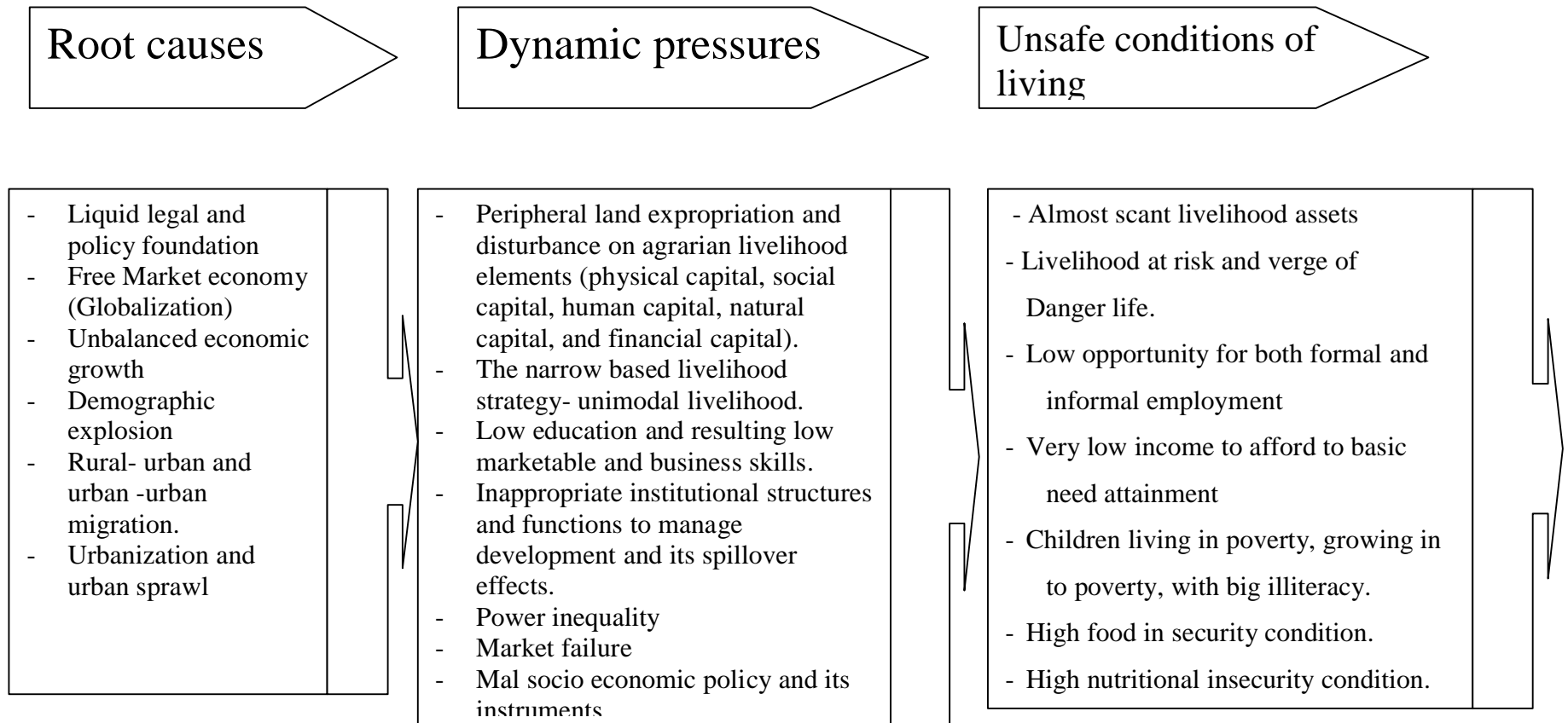
Given the different existing laws, policies and programs, as well provisions of international treaties to which Ethiopia is a signatory, the right to food could be said one of the fundamental rights under the national law. It seems to be therefore, a logical fallacy attempting to ensure the Right to food and food security among agrarian community without maintaining their right to land which is a common denominator to all components of their livelihood.

By the very nature of them, both urbanization and agriculturalism are the two counter competing processes of socio-economic development. Under such conditions, there should be the 'rules of games' which maintain the benefit equilibrium among the stakeholders of both processes.

Thus, as it is obliged by International laws to respect, protect and fulfill the rights of its citizen to food and other basic securities, the national is expected to formulate and enforce laws and policies 'rules of games' which frame-up every development programs and activities in such a way run across their equilibriums.

1.7 Analysis of socio- economic vulnerability of peri-urban agricultural community to poverty in Hawassa city through the application of Pressure and Release (PAR) model

Figure 3: Conceptual model of urban expansion-led impacts on peri-urban farmers



Source: The researcher's own notion

CHAPTER THREE

METHODOLOGY

3.1 Description of the Study Area

Hawassa is a city located on the shores of Lake Hawassa (from which the name of the city was driven) in the fringes of the Great Rift Valley.

Latitudinally, it is located between $7^{\circ}30'N$ $38^{\circ}28'E$, and possesses an elevation of 1,708 meters above the sea level. The city is capital of and is located in the Sidama zone. As well, it is the administrative center of SNNARS. It is 270 km south of Addis Ababa via Bushoofu on the main road to Kenya.

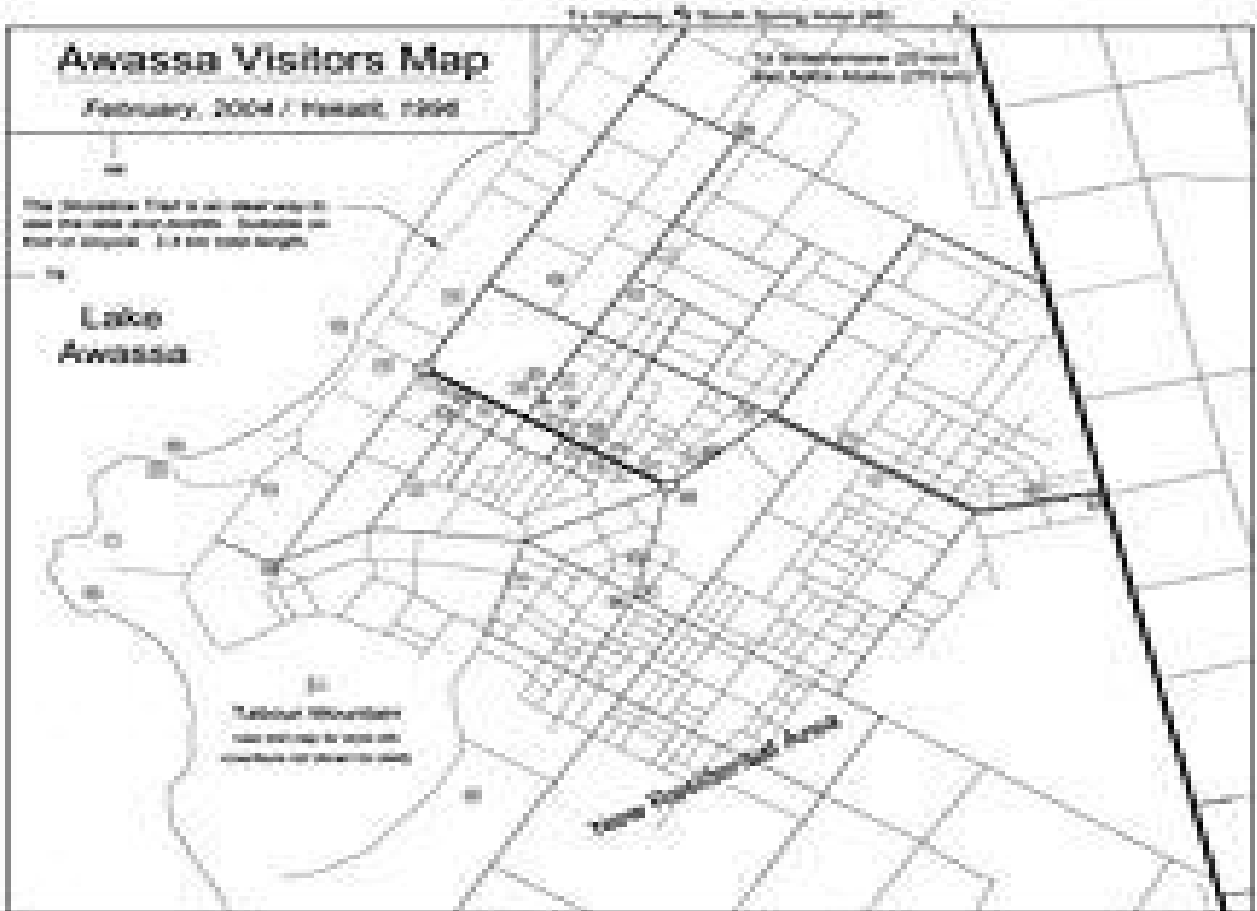
Based on the census conducted by the Central Statistical Agency (CSA, 2007) of Ethiopia, the city has a total population of 258,808, of whom 133,123 were men and 125,685 were women. The city had fast population growth rate of 4.8% with 14 years of doubling time (Samson et al, 2009).

The city has eight suburbs, namely, Addis Ketema sub-city, Hayik-dar sub-city, Mehal Ketema sub-city, Bahl-Adarash sub-city, Misrak sub-city, Menharya sub-city, Tabor sub-city and Tula Sub-City. Each of them has varied number of administrative units known as Kebele which collectively adding to 32.

Unlike most urban centers of the country, especially since the last 10 years, the city has been under rapid development and urbanization (horizontal expansion). The general trend and rate of urban expansion is the highest in Tabor sub-city among the other suburbs. The highest rate of urbanization in this sub-city could be partly attributed to plain land setting of the sub-city conducted for buildings added with the presence of natural barrier on the possible expansion of other sub-cities. For instance, the presence of Lake Hawassa in west and the close proximity of the boundary of the Oromiya National Regional State in the north have limited the multidirectional expansion of the city and thus put expansion impulse on the sub city in question.

The majority of the rural population in fringes of Tabor sub-city depends on agriculture for direct employment, income and food self-sufficiency. Most of the agricultural production is rain fed. The Hawassa city and other nearby urban centers are important market points for rural community bounding Tabor sub-city.

Figure 4: Map of Hawassa City



Source: Hawassa City Administration.

Geographically, this sub-city situates in southern periphery of the Hawassa city. According to the Report of Central Statistical Agency (CSA) of Ethiopia (2010), the sub-city accommodates about 23% (44,231) population of the whole city which is the highest of the other sub-cities. This sub-city is the youngest one whose growth and expansion rate is also the highest among other cities. Hitherto 2005, particularly the northern periphery of the sub-city as the then called ሽGashaö,

smaller administrative unit, characterized by the peri-urban (peri-rural) way of life where agriculture was the main stay of their livelihood. Nevertheless, once the urban expansion arrived there, this, the peri-urban form of life and settlement patterns have been altered and ended with settlers' land expropriation and displacement.

3.2 Research Design

In this research, the descriptive research design was employed to make intensive investigation of the impact of the horizontal urban expansion on the livelihood of peri-urban agricultural community. Hence, to maintain triangulation in its findings, the design manifested the basic features of both the qualitative and quantitative researches.

3.3 Data source and Type

In order to attain the main goal of the research, both primary and secondary sources of data had been collected and used. The primary data was collected from focus group discussions; in-depth interview of the key informants, participant observations and questionnaires. The secondary data was collected from all available written documents & electronic sources.

3.4 Sampling Methods and Frames

3.4.1 Sampling methods

Both the hybrid of random sampling and non-random sampling methods were employed in such a way to reduce the sampling error. A systematic random sampling technique was employed as the random sampling to assure the representativeness of on-target group- households that were subject to land expropriation and thus get displaced- to questionnaire based data source.

Most of the earlier peri-urban communities were dislocated and went to different distant areas because of the expansion of Tabor city. Conversely, some of the community were able to remain intact at their original place and became default dwellers of the city then by creating limitation to employ random sampling technique. Hence, this necessitated the use of purposive or judgmental techniques from non-random sampling method to identify participants of the Focus Group Discussion and informants to the interview based data.

3.4.2. Sampling Frame

The sampling frame to identify respondents was the list of 816 households who were dislocated (displaced) farmers from their farming land. This list contained ሽGashasö as the names of the before expansion places and estimated population of each ሽGashasö of the current Tabor sub-city (Table 1).

Table1. Sampling frame used to identify sample households and FGD participants

Name of Gasha's /place	Total number of households estimated	Years of displacement In GC	Estimated population displaced/in house hold/	“Gashas” renamed
Marima Gasha	980	2006	456	Hitata Kebele
Husen Gasha	455	2007	194	Fara Baadhessa kebele
Hitata village	1230	2007)	166	Hitata kebele
Total	2,665	---	816	

Source: Hawassa City Administration

Following the sampling frame, systematic random sampling technique was used. The study population- list of farmers whose land had been expropriated and who were displaced sequentially in years 2006, and 2007-had been collected from the city Municipality and listed in an alphabetic order.

The sampling fraction was:-

$$f = \text{sample size} / \text{total population in percentage}$$

In this case the interval size, k , was defined as

$k = \text{total population} / \text{sample size}$, and each of the K^{th} cases was picked-up as an element of the samples.

The second unit of the sampling frame was staff members of Hawassa city. All 102 staff members of the Hawassa city from which the key informant group which was purposely selected. The third category of sampling unit was the Focus Group Discussion (FGD). Selection of FGD participants was based on the mix of purposive and snow ball sampling both from the household level and the city administration.

3.5 Sample Size

In order to determine an adequate sample size, the standard statistical approach equation had been employed (Fowler, 2002).

Accordingly, the size of sample (n) was given by;

$$n = z^2 p (1-p) / d^2, \text{ where,}$$

n=desired sample size when population is greater than 10,000

Z=the standard number variable at a required level of confidence which is 95% with the z score is 1.96 for this study

p=the proportion of target population estimated to have the characteristics being measured which is 50% for this study (this proportion is the common for the studies whose variable are not estimated yet)

$$q = 1 - p$$

d=the standard value of the confidence interval or margins of error which is 5% with the standard value of 0.05 for this study.

$$\text{Thus, } n = z^2 pq / d^2 \Rightarrow (1.96^2) (.5 * .5) / (.05)^2 \Rightarrow 384$$

But, population of this study is less than 10,000 (816 < 10,000!). For such case, Fowler proposed the following formula:-

$$fn = \left[\frac{n}{1 + [n/N]} \right], \text{ where,}$$

fn=desired sample size when population less than 10,000

n=desired sample size when population greater than 10,000

N=the estimated population size

Accordingly, size of this study for each systematic random sample is given by;

$$fn = \left[\frac{n}{1 + [n/N]} \right] \Rightarrow \left[\frac{384}{1 + (384 / 816)} \right] \Rightarrow 261$$

Although it is the statistical advice to take this entire size as an optimum sample, considering the shortage of resources, the researcher decided to take 60% of the calculated size. In doing so, the researcher believes that the reliability of the data remains consistent compared with the one which could have been based on 261 because computed level of confidence was higher and the homogeneity of samples were significant. Hence, the sample size considered was **156** with 3% contingency making the actual size.

From the category of non-random sampling frames, 6 key informants and 10 Focus Group Discussion participants were selected.

Therefore, total sample size was the summation of all samples from the three sampling frames and contingency (3%) of the systematic sampling units. Thus, $n = (0.03 * 156) + 6 + 10 = 177$. The contingency was intended to reduce the effects of non-founds, non-willing, non-responds and misses on the desired data sources.

3.6 Data Collecting Tools

Major data collection instruments were questionnaire, interview, Focus Group Discussion (FGD) and personal observation.

While employing the questionnaire as a tool to collect information pertained to a research objective, it was clear that both structured and unstructured questionnaire have pros and cons. For this reason, so as to gain more out of both sub-tools, semi-structured questionnaire was administrated to those respondents selected through systematic sampling from households.

In order to acquire deep information about the parameters of the study, key informants were sought best means. Thus, the researcher purposively selected experts in the area of the study because they were believed to be rich of knowledge and experiences as to how and how well the process of urbanization was taken place in the targeted community areas. Therefore, members of the key informants were drawn from experts, middle and top management members of the Hawassa Municipality.

To organize Focus Group Discussion (FGD), snow ball method was employed where pre-individual referred towards another one till the desired sample size from this tool was reached. This tool complemented to other tools by providing the profound information from inaccessible source.

Finally, the researcher appeared as a participant observer to documents and phenomena and picked different pictures related with the existed livelihood situation and status of the targeted community.

3.7 Data Analysis

Both qualitative and quantitative (descriptive statistics) methods were used in hybrid form to analyze the collected data with the application of SPSS (13) soft ware.

Calculation of inference statistics were carried out through the application of the Sustainable Livelihood model whose main focus is analyzing the livelihood dimensions in a given contexts and mediating processes.

CHAPTER FOUR

DATA ANALYSIS AND PRESENTATION

4.1 Introduction

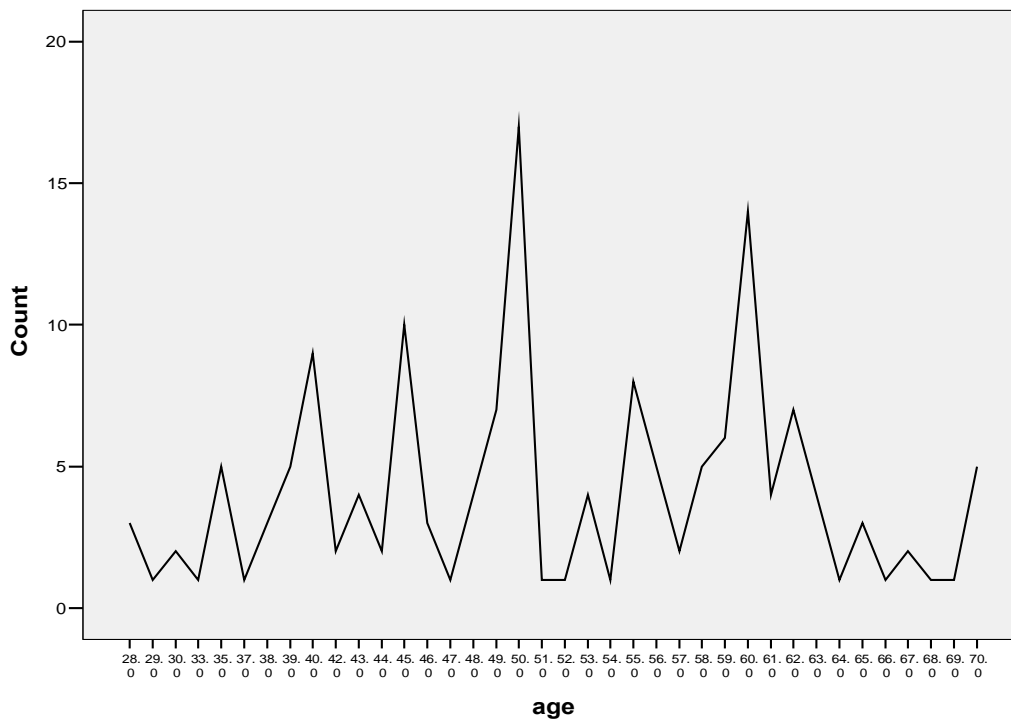
In preceding sections, the whyö & the whatö had been known about and whatö has not yet been about horizontal urban expansion impact on a fringe farming community's livelihood all together with the conductor's model-assumption have been dealt.

Data from the affected households' Survey, the government policies and programs executors along with the opinion of experts and personal field observation had been analyzed and presented through the application of different descriptive and analytical instruments.

4.2 The households' socio-demographic features

4.2.1 The Respondents'

Figure 5: the responding households' age

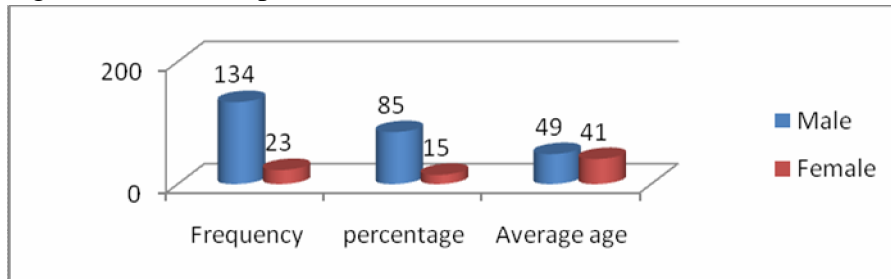


Source: Survey, March 2011

As we can see from the above graph, majority of the households are the age group of 47- 61. And this implies that majority of the respondents are an aged group with higher life experiences in their socio-economic dynamics including urbanization and its expansion in the area under the study.

4.2.2 Sex of the household's

Figure 6: Sex of respondents

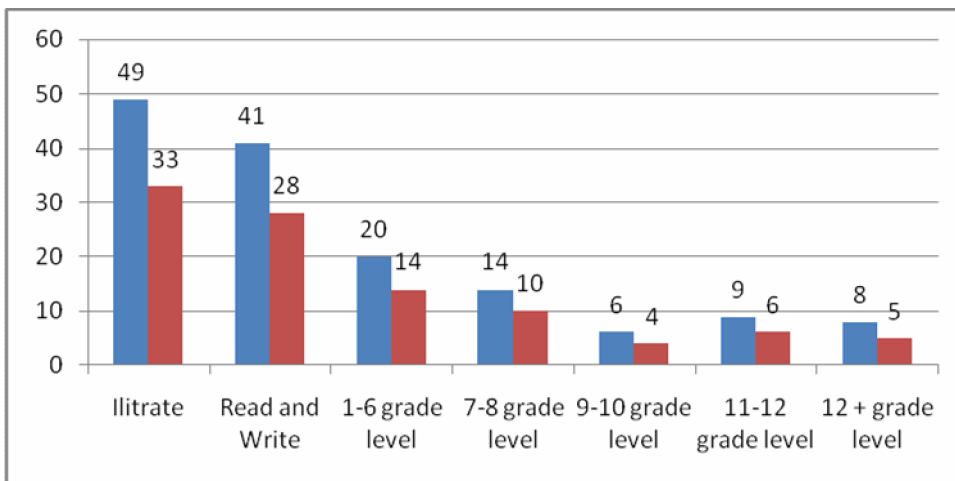


Source:-Survey, March 2011.

This figure depicts us that (85%) of the respondents are the male and the rest, 15%, share is taken by their counter sex.

4.2.3 Educational background of the households

Figure 7: Educational background of the house holds



Source: A household Survey, March 2011.

As far the educational background concern of the respondents,figure7 shows here above that 33% of them are illiterate (a typical feature of the majority Ethiopian farmers).And even the figure of those who have attained the literate status virtually tends to decline vertically from those who can read and write to the grade level of 12 and above.

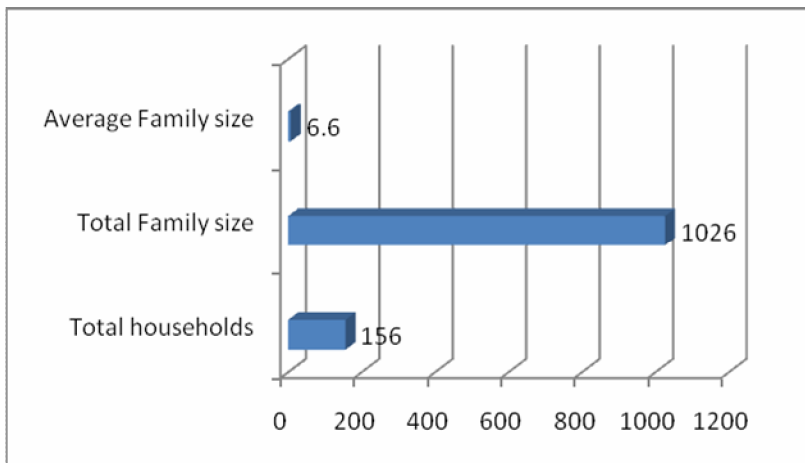
Specifically, those can read and write shared 28% while those who have attained the grade levels of 1-6 were 14%.

Moreover, 10%, 4%, 6% and 5% respectively represented the households of 7-8, 9-10, 11-12 and more educational grade levels.

This implies that most of the peri-urban farming community whose land has been expropriated and thus their livelihood has been affected attributed to horizontal urban expansion have no educational qualifications by which they be able to secure their alternative livelihood after agriculture.

4.2.4 Households' Family Size

Figure 8: Respondents' Family size



Source: A households Survey, March 2011.

Other things remained constant; a given household's expenditure is determined by the family size each of them holds. In the study area context, total family size was 1,026 with the average family size of 6.6 per a household. On the other hand, the national family size of such community is 5.6.

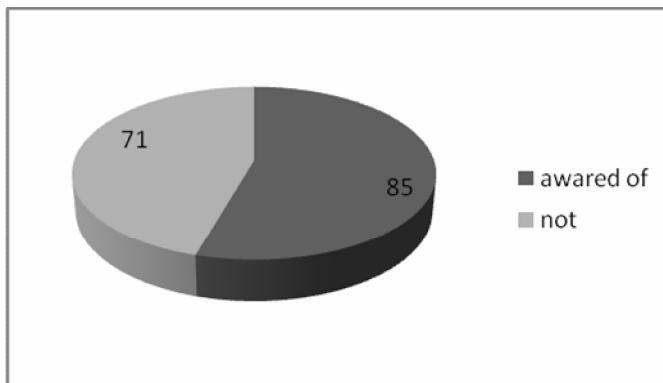
From this, we can learn that those farmers in per-urban areas and whose land had been expropriated have a large family size burden under the narrower income source condition.

4.3 Issues Related to Farmers' participation in urban expansion program

4.3.1 Participation before expansion

4.3.1.1 Awareness of the house holds about urban expansion

Figure 9: Community's awareness on urban expansion



Source: - Survey, March 201.

As has been pointed out in previous parts, it is especially the UN HABITAT's advises to participate the stakeholders in any development programs. In this regards, as figure 9 shown, about 54% (85) households agreed that they had awareness on the city expansion programs through the means of orientation, seminars or and both by the city administration (Table 1); while the rest, 46% (71) households believe that they were not.

On the other hand, the focus group discussion based data shown us that this community had been informed via different means that the land was to be taken for the city's development with which the key informants also agreed.

4.3.1.2 Ways of households' awareness about urban expansion

Table 1:- Means of awareness

ways of their awareness	Frequency	Percentage
Orientation	45	50
Seminar	30	33
Both	15	17

Source: - Survey, March 2011

4.3.1.3 Farmers' Representatives in decision making on benefit packages

Table 2:-Farmers' representatives in benefit decision making process

Is there their representative?	Frequency	Percent
"No"	81	52
"Yes"	75	48
Total	156	100

Source: - A household survey, March 2011

As Table 2 depicts us here above, about 52% of a farming community claimed that they had no representatives in a benefit packages and compensation decision making processes. On the other hand, about 48% of the farmers whose livelihood was affected agreed that they had their own representatives during a scene of decision making processes.

Conversely, among those who believed that they had their representatives, about 53% believed that elected community members represented them while each of 7%, 15% and 13% respectively had believed that they were represented by individually interested groups, Kebele administration and a traditionally institutions (Table 3).

For this regard, contrarily to those who accepted that the compensation decisions were made by the collective bargaining of their representatives, both the focus group discussion participants and the key informants from the city administration together regret that there was no a single representative to farmers on compensation and benefit decision making. This was because, as especially the key informant from the city administration explained, the compensation decision was made based on the reports of the then mono-sectorial ad hoc committee established by the mayor's office. Rather, they believed that there were representatives during discussion on the expropriation of the land.

4.3.1.4 Ways of representation

Table 3:-Ways of farmers' representation

If yes how?	Frequency	Percent
"through elected community members"	40	53
"through individually interested groups"	7	10
"through Kebele administration"	15	20
"through community institution"	13	17
Total	75	100.0

Source: - A household Survey, March 2011

4.3.1.5 Benefits farmers gained as a result of their participation

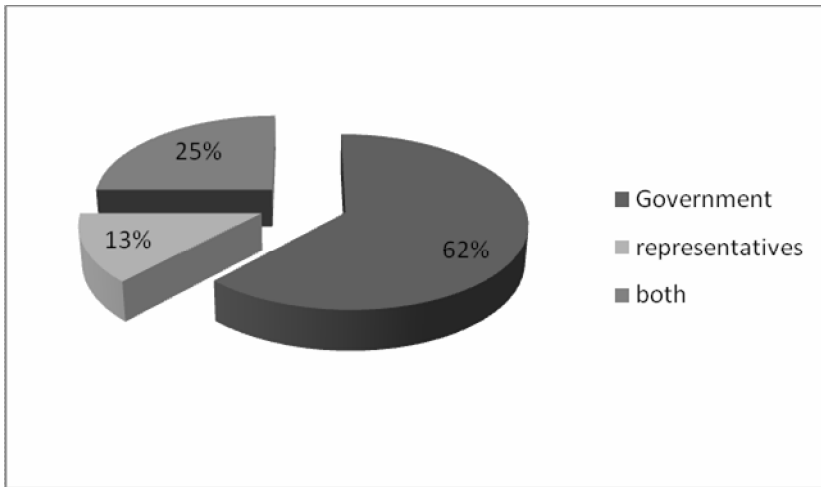
Table 4:-Benefits farmers gained from participation

Participation benefit	Frequency	Percent
"Created access to benefit packages"	7	9
"Created opportunity to livelihood means"	6	8
"Expressed own opinion"	24	32
"Nothing"	4	5
"Raised own interest"	25	33
Expressed own opinion	9	13
Total	75	100.0

Source: - A household Survey, March 2011.

4.3.1.6 Decision maker on compensation and benefit packages

Figure 10: Decision maker on benefits package



Source: - A household Survey.

From figure 10, we learn that the government body was the sole decision maker on a benefits and compensation packages of the land expropriated households as 62% respondents believed while the rest, 25% and 13% households respectively believed that the decision was carried out by the representative and or both the government body and the representatives of such households.

Case 1: Compensation and its commensurability.

Nationally, declaration # 455/2005 states the condition by which expropriation [of land] is implemented for the public interest. This declaration, however, is cascaded throughout the regions with great variations. In some regions, like SNNPRS, it is not even defined which makes the case worsen. After all, the compensation is not based on the interest of the sole stakeholders, the farmers. Nor is it, to be frank, the fair and commensurate in such a way to secure the households' livelihood alternatives. In one way or another, the 200/ 1000 meter square and monetary compensations are very much personal and arbitrary (*MY key informant from the city municipality, March 2011*).

Similarly, the focus group discussion participants pointed out that although some of the community members participated as the representatives of the whole community during the bargaining on the kind of the compensation and related benefits, none of them were made participate and hence only the city administration took the whole process ownership in decision making.

On the other hand, all FDRE constitution, the Kagnovian notion and the expropriation declaration, # 455/ 2005, highly advice on the need of the stakeholdersø participation throughout all phases of the land expropriation for development ends and public interest. When we evaluate the overall process by which it was implemented in Hawassa city where this study had been carried out, there was no sole stakeholdersø participation particularly on compensation and related decisions as data from households, key informants and the focus group discussion shown us.

4.3.2 Participation During expansion

4.3.2.1 Farmers’ reaction to land expropriation during urban expansion

Table 5:-Farmersø reaction to land expropriation

Farmersø Reaction	Frequency	Percent
"Agreed without objection"	15	9.7
"Objected but convinced through bargaining"	84	53.8
"Objected but left forcefully"	57	36.5
Total	156	100

Source: - A household Survey, March 2011.

Majority, 53%, of farmers objected the land expropriation program implementation in Hawassa city by the city administration initially .But the farmers accepted that they get convinced latter on by the administration through a collective bargaining and left latter on. Still some others, 36%, on the other hand, claimed that they were forced to leave no matter how they objected the

expropriation and only the smallest number, 10%, agreed the expropriation without any objection as can be seen from Table 5 here above.

4.4 Urban expansion led-benefits and related issues for farming community

4.4.1 Promised compensation for expropriation-led effects

Table 6:- promised compensation to peri-urban community

Alternatives	money compensation		housing plot		Access to service		Job opportunities		Training to develop skill	
	#	%	#	%	#	%	#	%	#	%
Yes	156	100	156	100	154	98.7	156	100	150	96
No	0	0	0	0	2	1.3	0	0	6	4
Total	156	100	156	100	156	100	156	100	156	100

Source:-A household Survey, March 2011

Table 6 shows us that there were many promises that were told to the farmers whose land had been expropriated and hence whose livelihood elements had been affected in one way or in another. Unanimously, all, 100%, households agreed that the promises were made on the compensation of money, the housing plot allotment, and creating a job opportunity. On similar case, only a few households denied promises on access to some basic services and trainings related to developing the skill pertained to alternative livelihoods of the urban settings.

However, the urban expansion and development program executing institutions and their leaders seemed not to be committed on their promises to the farmers whose livelihood had been affected by the expansion program. As we can see from table 7 below, only a few promises had been served, a housing plot provision as 97.4% households agreed.

As 53%, 56%, 99%, and 99% households respectively disagreed, no matter how the city administration promised to peri-urban community whose livelihood had been affected by the city expansion to compensate money, to provide access to different services and trainings relevant to urban styled livelihood strategies, the said promises have not been served so far.

4.4.2 Executed (Served) compensation

Table 7:-Executed compensation

Alternatives	Money compensation		Housing plots		Access to service		Job opportunity		Trainings and development	
	#	%	#	%	#	%	#	%	#	%
Yes	72	47.4	152	97.4	70	44	1	.6	2	1.3
No	84	52.6	4	2.6	86	56	155	99.4	154	98.7
Total	156	100	156	100	156	100	156	100	156	100

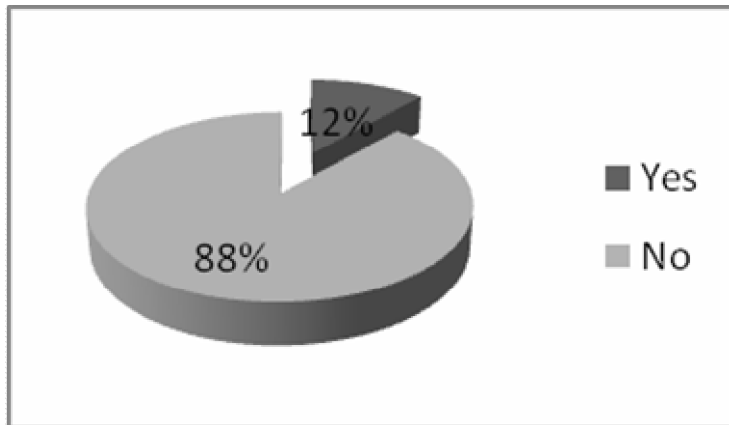
Source: - A households Survey, March 201

4.4.3 Post-expropriation trainings and advisory supports pertained to urban livelihood

Once as the farmers' land had been expropriated for the city's development, then, there need to be post- expropriation trainings and follow up to that community so that they are able to adapt their livelihood strategies with that of the urban life style. But, as we can see from the figure 11, 88% of the households to whom the questionnaire was administered, they claimed that no such services had been provided so far to them while the rest, only 12%, accepted the provision of such services.

Theoretically, it is the responsibility of the transforming structures such as the governmental institutions, the city administration in this context, which executed policies and strategies of the government that has primary responsibility to capable the households through training and advisory ship services so that the latter sustain their livelihood in newly changed environment.

Figure 11: Post expropriation supports to peri-urban farmers



Source: A household Survey, March 2011

4.4.4 Newly established urban led-services to affected community

Table 8: Urban expansion led services to peri-urban farmers

Alternatives	Road		Electricity		Water supply		School		Market		Telephone		Credit service		Recreation		Health institutions	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Yes	148	95	145	93	124	80	69	44	111	78	11	7	9	6	5	3	17	11
No	8	5	11	7	32	20	87	56	38	22	145	93	147	94	151	97	139	89
Total	156	100	156	100	156	100	156	100	156	100	156	100	156	100	156	100	156	100

Source: A household survey, March 2011.

Under this study context, urban led services include basic services such as road, electricity, water supply, school, market, telephone, credit, recreation and health services providing institutions.

At the survey on a household, the researcher asked whether these households have benefited these services as a result of urban expansion over there and these households responded in different way to different questions asked about such services.

On top of this, 95% of the respondents agreed that they had been able to access a road service as a result of urban expansion over there while the rest, only 5%, disagreed on the provision of such services. Similarly, about 93% of these households accepted that they had been provided with the electricity services for which the rest, 7%, claimed as not. About 80% respondents agreed that they had been provided a water supply with which the rest, 20%, ones had not so far.

Moreover, 78% of the respondents agreed that they had also get market services although the rest, 22%, claimed that no such service provisions had been made so far.

On the other hand, almost all, 93%, 94%, 97% and 89% of the respondents respectively claimed that not the said services like the telephone, credit, recreation and health had been provided to them as 'Table 8' shows us.

Moreover, focus group discussion participants also shared the same idea with the data from the household survey on the services of road, electricity, market, telephone, credit, recreation and health as such services were provided except the provision of clear water.

On the other hand, the key informant from the city administration narrated that these households had benefited most social services except recreational and credit ones.

Urbanization vis-à-vis ruralism is advocated, among for many other things, as better area for human residence which being is attributed to better social services which are listed here above. If this is one case that we consider as benefit for its residents, my sample households ó who have lost their farm land, in Hawassa city, these households accepted that they had accessed the road, electricity, water and local market. Nonetheless, these households still alleged that they had not benefited other equally essential services like telephone, financial credit, recreational and health services.

4.4.5 Levels of farmers' satisfaction with compensation served and benefits gained in a Relation to urban expansion

In a relation with this, these households also had been asked whether they had been satisfied or not with the compensation given to them and benefits they had gained as a result of urban expansion towards their vicinity.

Accordingly, as we can read from table 9, 99% of the households had responded as they had not satisfied with the compensation they had been given and benefits these households whose livelihood had been affected cause of urban expansion had gained.

Moreover, data from the key informants in "Cases 1, 2, 3, 4 and 5" and focus group discussion have shown the same condition in this regard.

Indeed, the Kagnovian notion advices, as pointed out in chapter two above, there are the compensation formulae for the land expropriated households in both urban and rural settings. When we evaluate the referred compensation to these households, it neither fulfilled the compensation to rural community, nor did it for urban one as the data from all the households, the key informants and focus group discussion confirm.

That is why the households under this study were not satisfied with the compensation offered by the city administration to them.

Table 9: The recipients' Satisfaction condition towards a served compensation

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"Dissatisfied"	155	99.4	99.4	99.4
"Satisfied"	1	.6	.6	100.0
Total	156	100.0	100.0	

Source: A household Survey, March 2011.

Table10: Whether the Dissatisfied, groups presented their appeals to a responsive body.

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"No"	14	9.0	9.0	9.0
"Yes"	142	91.0	91.0	100.0
Total	156	100.0	100.0	

Source: A household Survey, March 2011

Table11: The satisfactorily of the responses to the appeals of the disappointed groups of the households.

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"Satisfactory"	19	12.2	12.2	12.2
"Unsatisfactory"	76	48.7	48.7	60.9
"very satisfactory"	4	2.6	2.6	63.5
"Very Unsatisfactory"	57	36.5	36.5	100.0
Total	156	100.0	100.0	

Source: A household survey

4.4.6 Appeals and grievances with compensations and benefits

In a regard to appeals these the dissatisfied households presented to the concerned body of the city's administration, about 91% of them agreed that they had presented although the rest did not for unknown reason (Table 10).

None the less, the responses to their appeals from the responsive government institution as can be seen from the (Table 11) varied from the 'very satisfactory' to the 'very unsatisfactory' according to the responses of the 2.6 % and 36.5 % respondents respectively. On the other hand, 48.7% of the respondents which represented majority share of all respondents regretted that they were not satisfied with the responses to their appeals from the government institutions while 12.2% were satisfied.

Moreover, as 'Case 2' from the key informants and the focus group discussion participants' results shown us, the farming community was not happy with both the process the compensation's decision was made and the offered compensation itself.

4.4.7 Peri-urban farming community view towards urban expansion

As far as the households' view towards the city's expansion is concerned, as table 12 shows us, the sampled households responded differently. Only 10.9% of the households strongly supported the expansion while only 2.6% households strongly opposed it. On the other hand, most of the respondents support the urban expansion based on certain conditions to be fulfilled. To such community as farmers in peri-urban areas, urban expansion needs to be not only promissory and institutionally based, but also it needs to be willingness based and participatory as 81% of all respondents agreed in table 13.

Table12:-Whether the households generally support expansion program or not.

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"Strongly Oppose"	4	2.6	2.6	2.6
"Strongly Support"	17	10.9	10.9	13.5
"Support Condition" with	135	86.5	86.5	100.0
Total	156	100.0	100.0	

Source: A household Survey.

Table13: Conditions these households consider supporting urban expansion.

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"Participatory and willingness based"	14	9.0	9.0	9.0
"Promissory and institutional based"	11	7.1	7.1	16.1
"Both"	127	81.4	81.4	97.5
'Other'	4	2.5	2.5	100.00
Total	156	100	100	100

Source: A household Survey

Case 2: Participation, Compensation, Satisfaction with and grievances against it

First of all, there was an attempt not to give any compensation. And we strived not to leave without any compensation for about three consecutive years. Throughout these all periods, we had been bargaining for 500/1000 meter square pilot of the land and other proportional compensations or an equivalent land of farming and appropriate compensations for property and a temporary relief as another alternative.

But later on, the city administration took our land through a forceful execution. No a community member had been consulted and asked on the interest. For example, I have been a representative of the farmers as a Gasha leader and I had been bargaining on behalf of my representee. During the execution of the expropriation, I had resisted and hence get imprisoned and my house had been burned while I was in prison and the land had been expropriated and given to private settler. This even violets long leaved declaration known as Meret Larashuö-the Dergue regime declaration on Land to Tillerö. I had been appealing to a court no matter how my issue had been ignored. Nor I got resolution through an ombudsman. The same was truth for the rest farmers. Thus, we had given up because we are powerless. The above case is an evidence for this. More examples for this, we had been visiting the office of the city mayor on each day. But those who have power like wealthy, like officials visit the office at most once or through their representatives, if not. "who do think is respectable and acceptable?" The later. Hence, we have given up the court appeals and presented our case to the regional president's Office. It was through this way that the 200/2000 meter square pilot was given to some of us. Besides, we continued to claim for compensation based on regularity. However, no enough property compensation had been given like for our forests, houses and other physical belongings. Only an arbitrary estimation had been made and given based on the good will of the city's administration and its leaders. Even not all of the deserved farmers had been lucky of the said money compensation. Let alone other thing, we are not lucky enough even for better school, better health institutions, clean water and other amenities. Hence then of our land expropriation, no one appeared to be concerned with our issue (**My key informant from "Hussen Gasha", March 2011**).

4.5 Impacts of urban expansion on the livelihoods of peri-urban farming community

4.5.1 Urban expansion impacts on farmers' financial capital

To measure a household's financial capital as one of the livelihood element, an average annual income these households used to earn before urban expansion and are earning currently and the household's average number of livestock before and currently, which was in the form of savings, had been measured.

Accordingly, the following analysis has been made on each of them. Before expansion of urban area over there, as figure 12 shows us, these households used to earn an average annual income ranged from 1000 to more than 100,000. Of all this figure, those the households who were earning an annual average income varying from 11, 000- 40,000, ETB, were majority. Specifically, about 11%, 13%, 21%, 23% and 32% of the households used to earn an average annual income respectively, 1,000-10,000, 71,000-100,000, above 100,000, 11,000-40,000 and 41,000-70,000.

But after the expansion, as figure 13 shows us, the categories of income was reduced and the average annual income these households earn had become to ranged from less than 1000 to 40,000, ETB, of whom those the households whose annual average income fallen in the range of 1,000-10,000 were majority, 52%, ones. Specifically, about 16%, 32% and 52% of the households were earning the average annual income respectively 11,000-40,000, less than 1000 and 1000- 10,000 in ETB after expansion. There was no a single households from the sampled ones earning more than 40,000 ETB.

In a regard to livestock these households had before urban expansion over their area and possessed after then, the oxen, the cows, the sheep and poultry were purposely taken in to the account of measurement and the following analysis has been made.

Before the city's expansion over there, as we can see from figure14, the households had an average oxen of 2.78. But after then, currently, figure 15 shows us that these households had the average oxen of 0.389.

From this we can infer that the oxen possession as an asset saving declined by 2.391 which was 86%.

Similarly, the average cows these households possessed before the city's expansion was 6.276 while this figure was 0.9 currently as figure 16 and 17 respectively depicted. This shown us that the average cows possession these households had before had diminished by 5.376 which was also 86%.

Moreover, figure 18 shows us that the average sheep these households had before was 1.519 while this figure was 0.53 after then as figure 19. This then shown us that, the average sheep stock as a financial capital was shranked by 0.989 whose percentage was 65%.

Finally, these households had the average poultry stock of 4.917 before the city had to expand to their vicinity as we can see from figure 20. Currently, however, as well be read from figure 21, these households had the average poultry stock of 2.27. The implication was that the peri-urban agrarian community's average poultry stock as a financial capital diminished currently by 2.647 which was 54%.

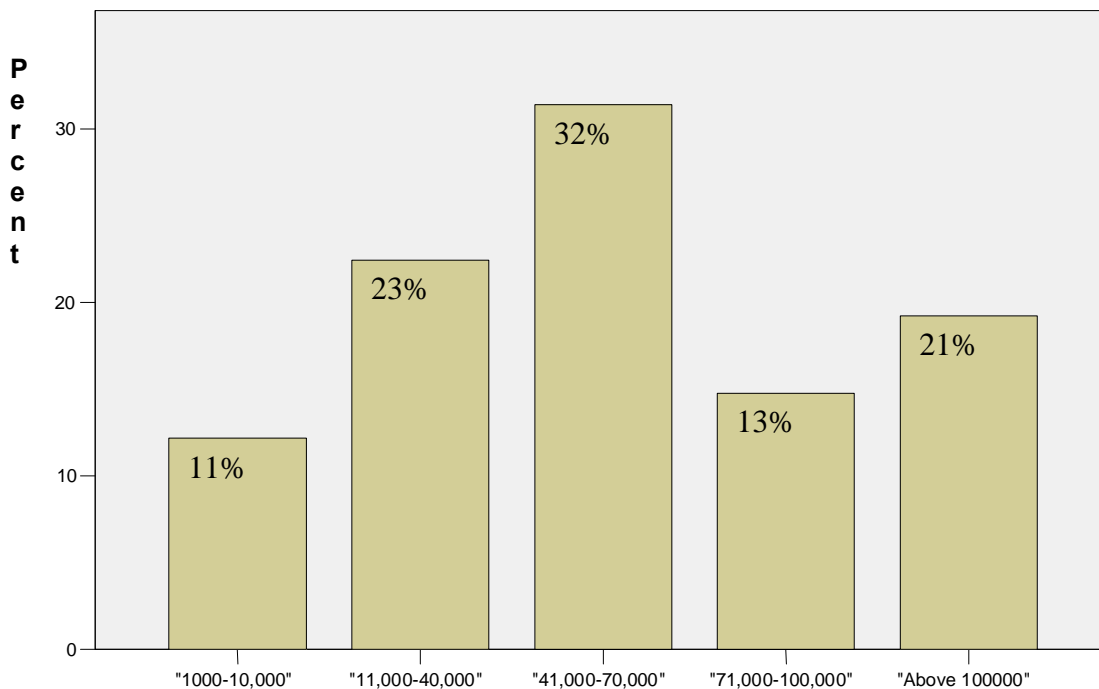


Figure 12: the average total income before
Source: A household survey, March 2011

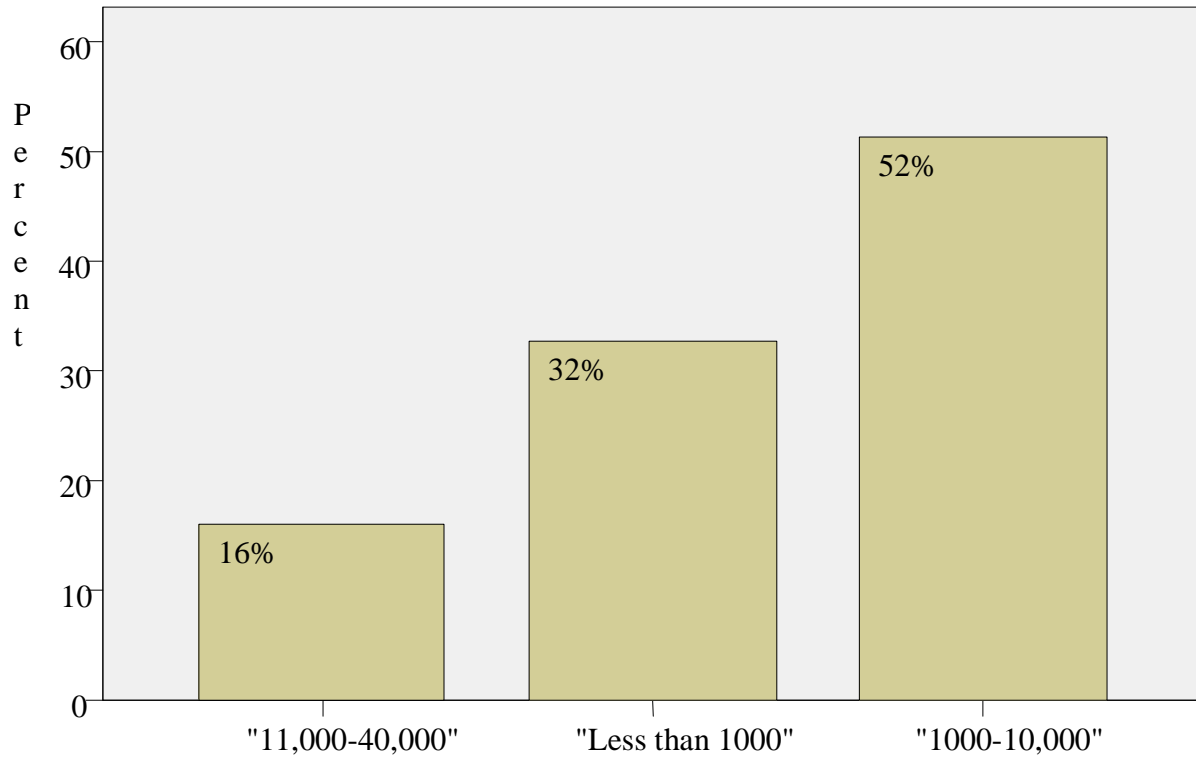


Figure 13: An average annual income the affected households earn currently
Source: A house holdsøsurvey, March 2011

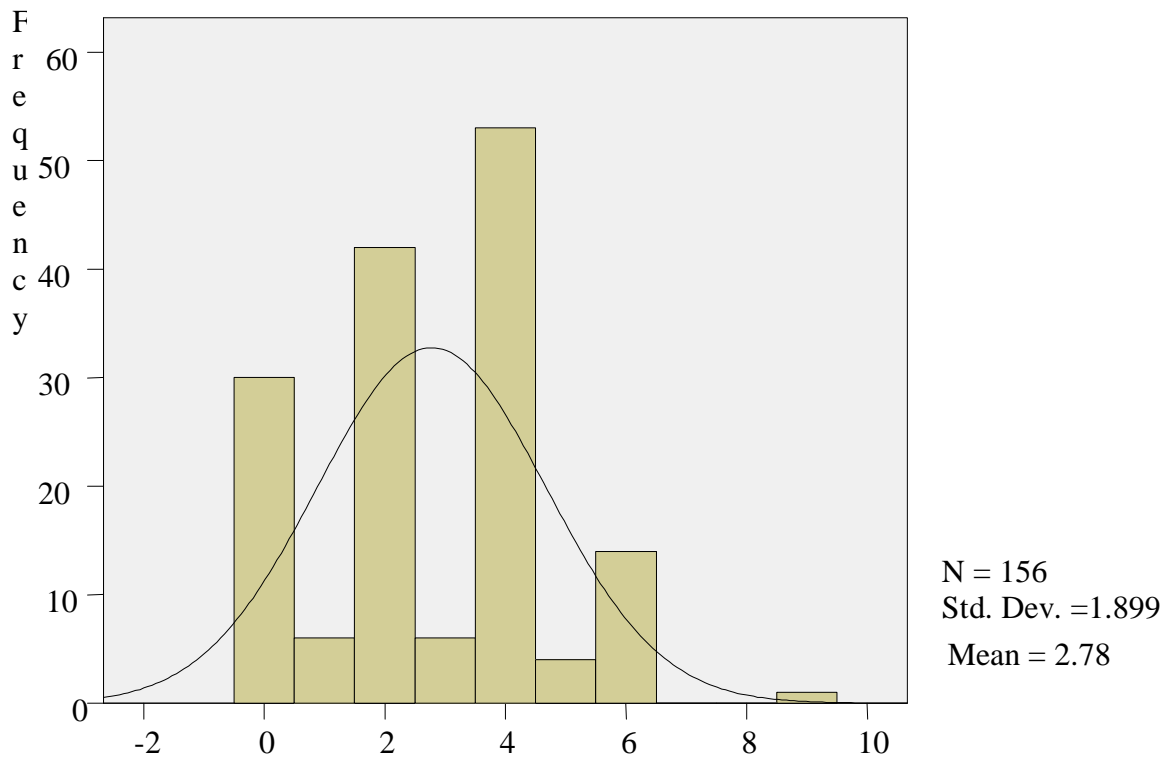


Figure 14: oxen the affected households had before,
 Source: A house hold survey, March 2011

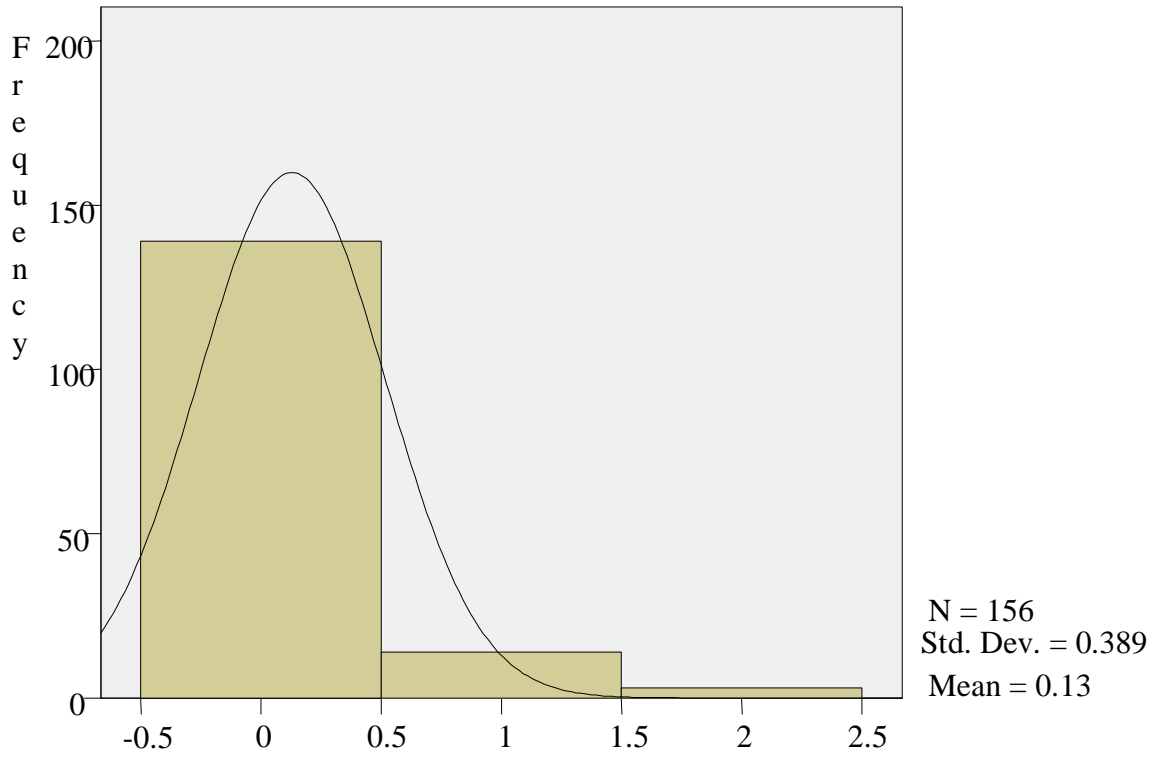


Figure 15: Oxen the affected households have currently
Source: A house hold survey, March 2011.

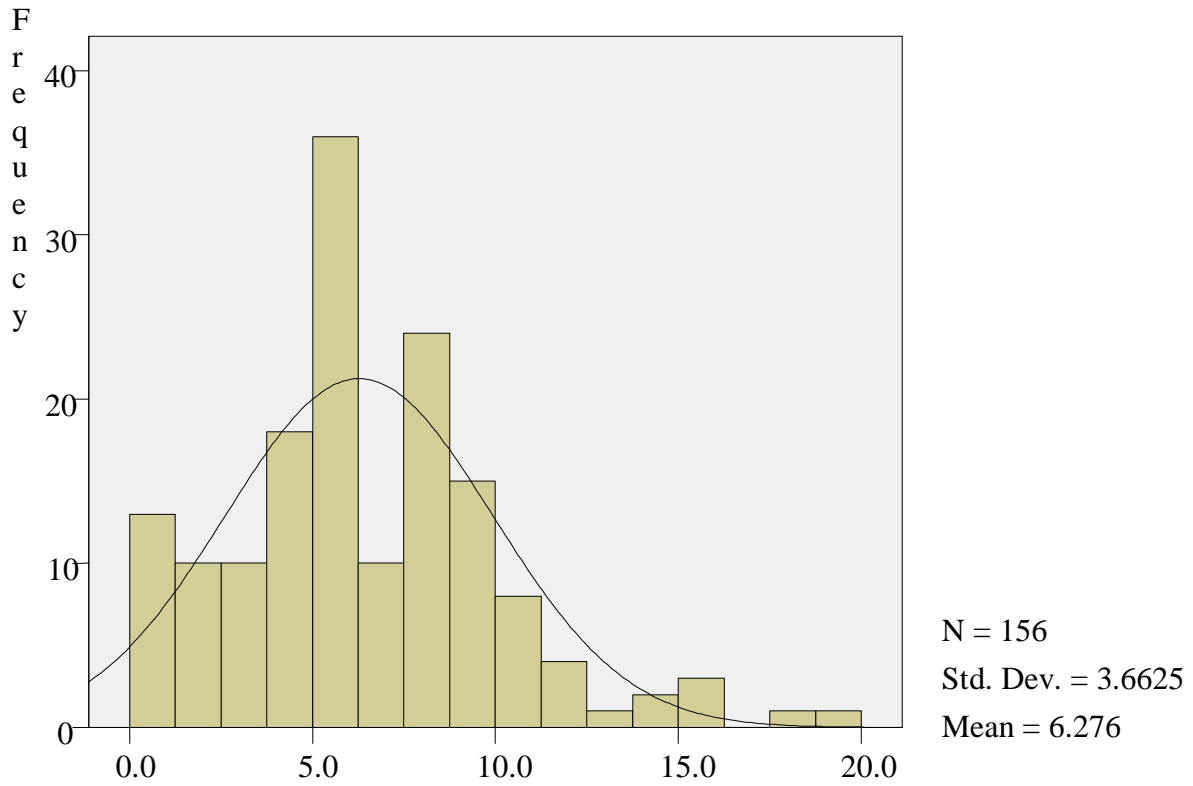


Figure 16: cows the affected households had before
Source: A households Survey, March 2011

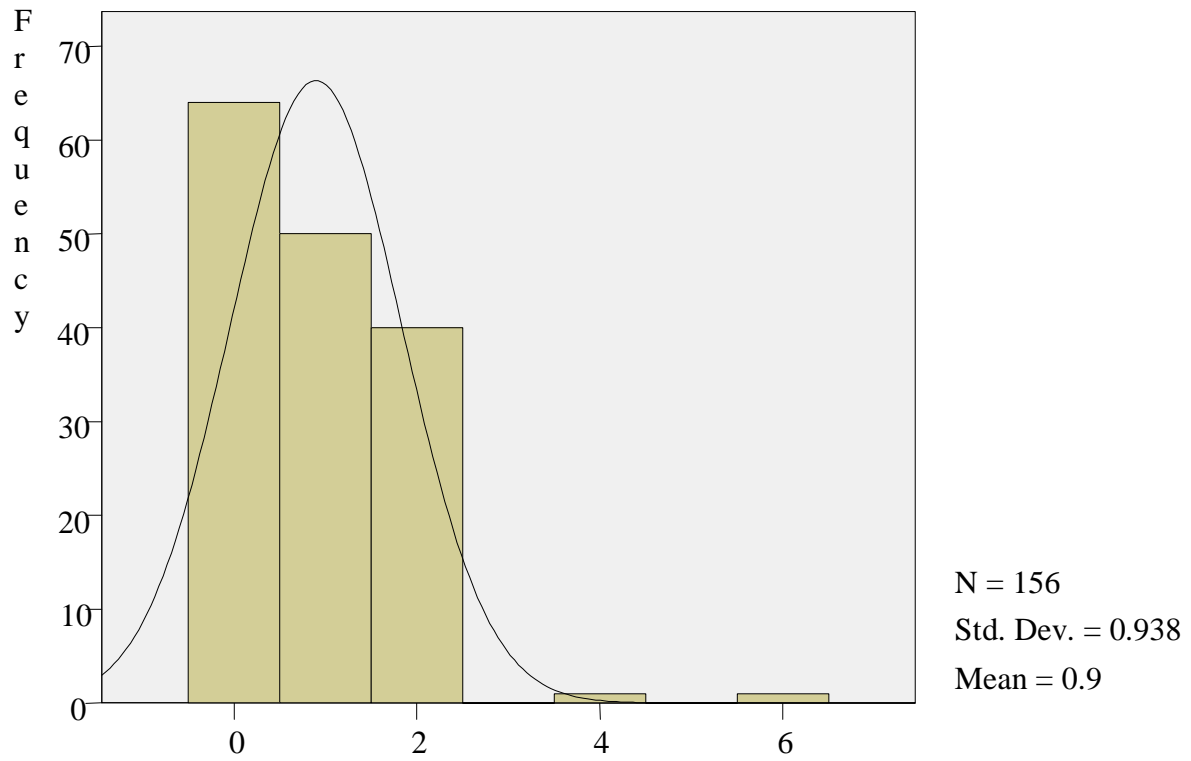


Figure 17: cows the affected households have currently
Source: A house hold survey, March 2011

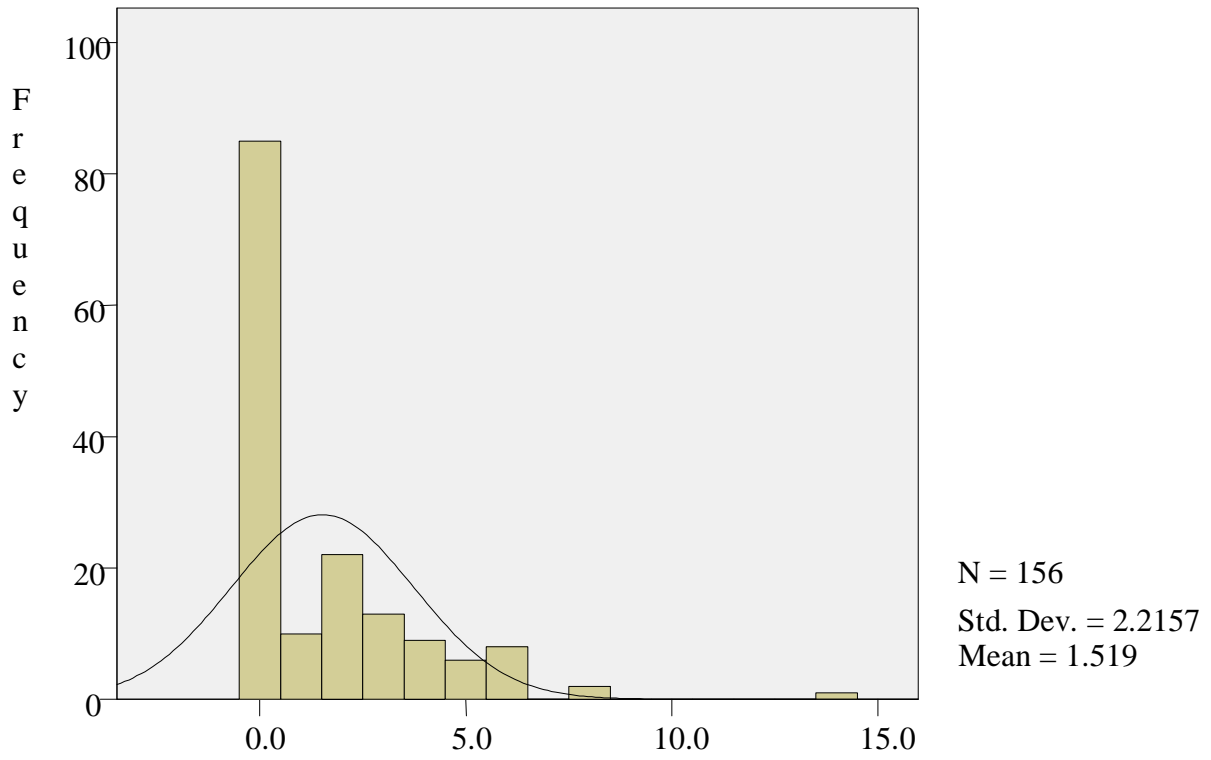


Figure 18: sheep the affected households had before
Source: A house hold survey, March 2011

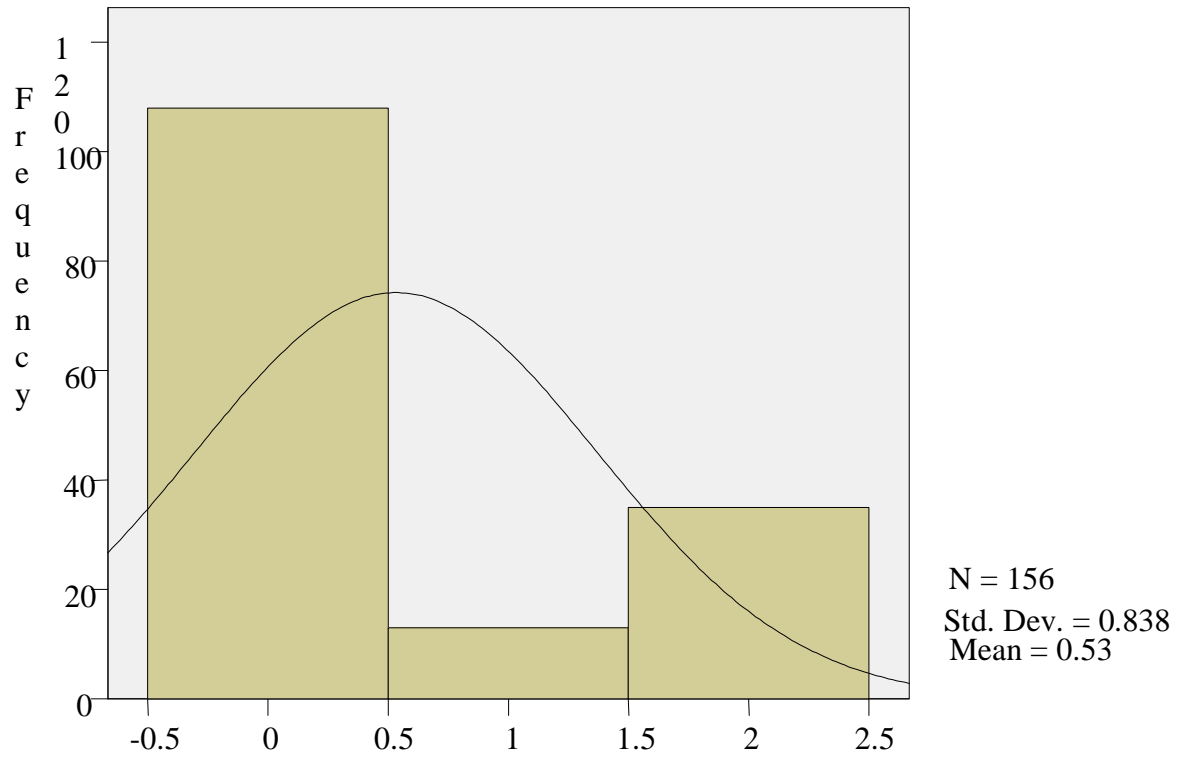


Figure 19: Sheep the affected households have currently
Source: A household survey. March 2011

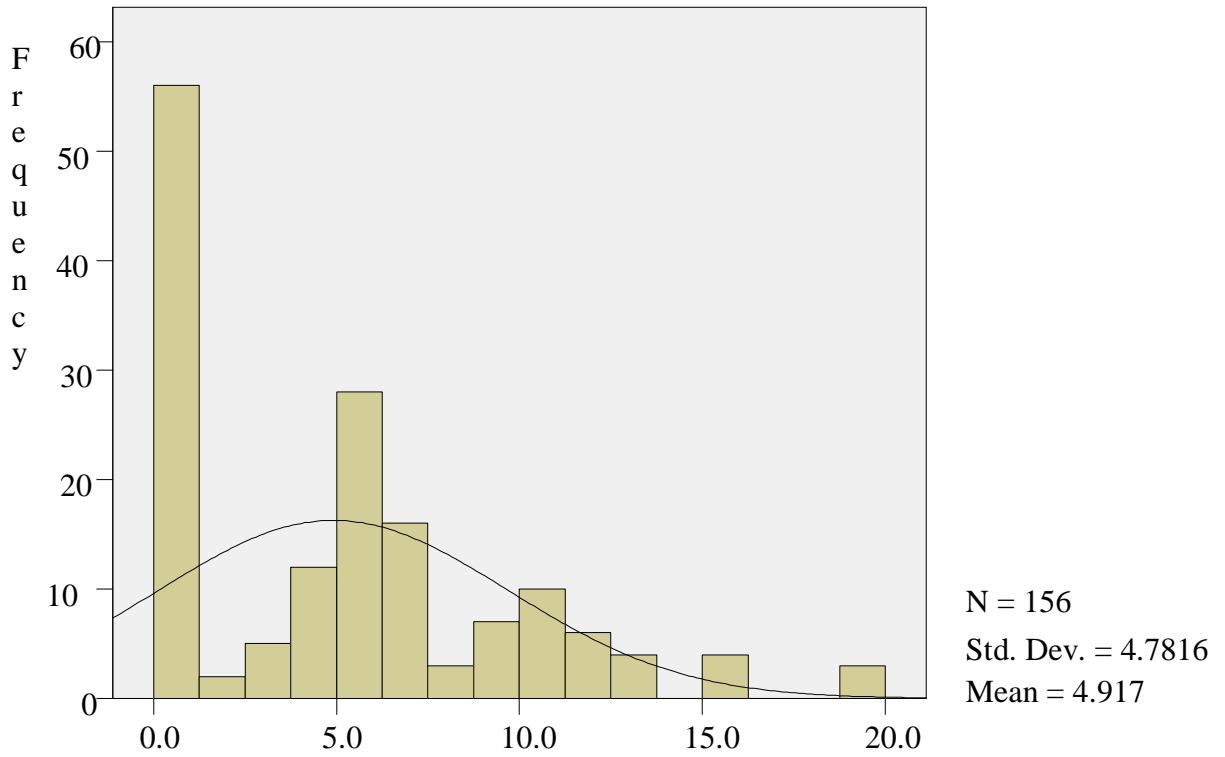


Figure 20: poultry the affected households had before
Source: A household survey, March 2011

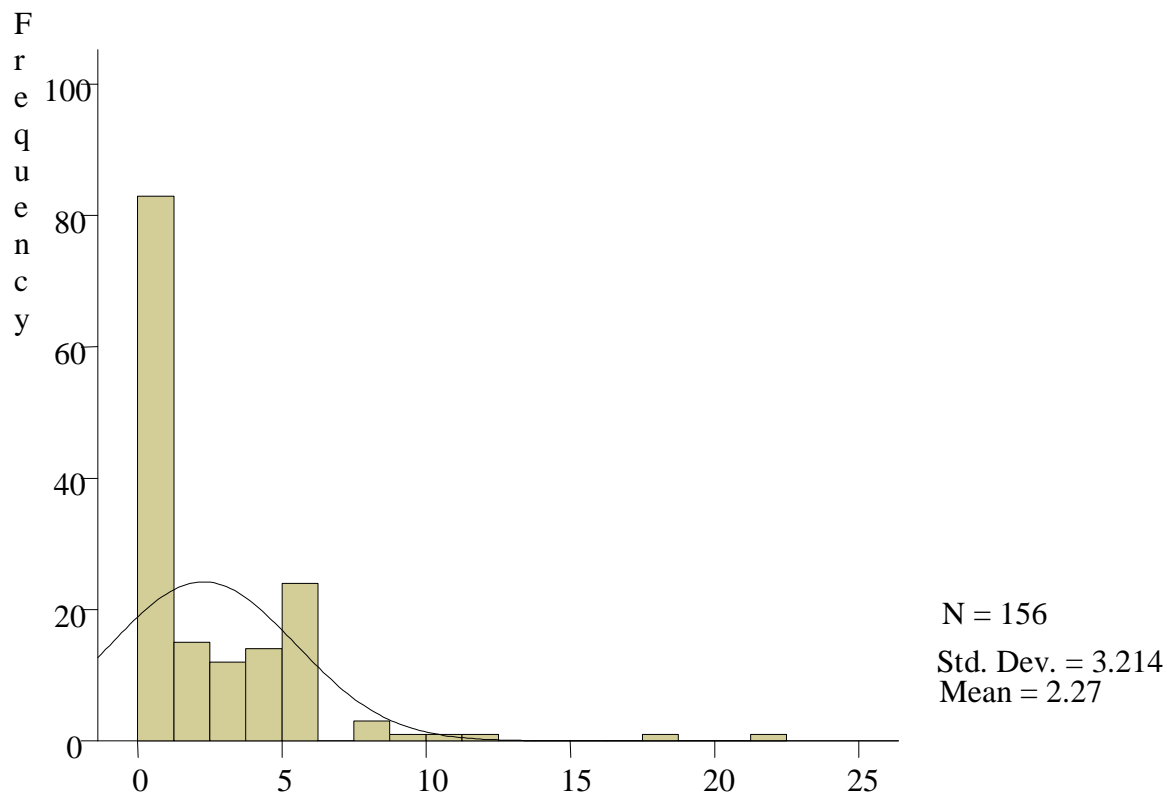


Figure 21: Poultry the affected households have currently
 Source: A household survey, March 2011

4.5.2 Urban expansion impacts on farmers' social capital

By a large extent, the social capital is known to be determined by the social relationship a given household had built in a certain community. To this end, the households in the community where this study had been conducted had a social relationship varying from moderate to very high through high although groups with the latest are majority. Specifically, 1%, 36.5% and 62.8% of this community had a social relationship leveled to "moderate", "high" and "very high" respectively sooner than the city's expansion over their vicinity as figure 22 depicts. On the other hand, after the city's expansion towards their vicinity, 47.4% and 17.9% of this community come to have this capital leveled to "Low" and "Very low" respectively while 33.3% had a "moderate" social relationship. Each of 1% households had the social capital equated to "High" and "Very high" as figure 23 shows us.

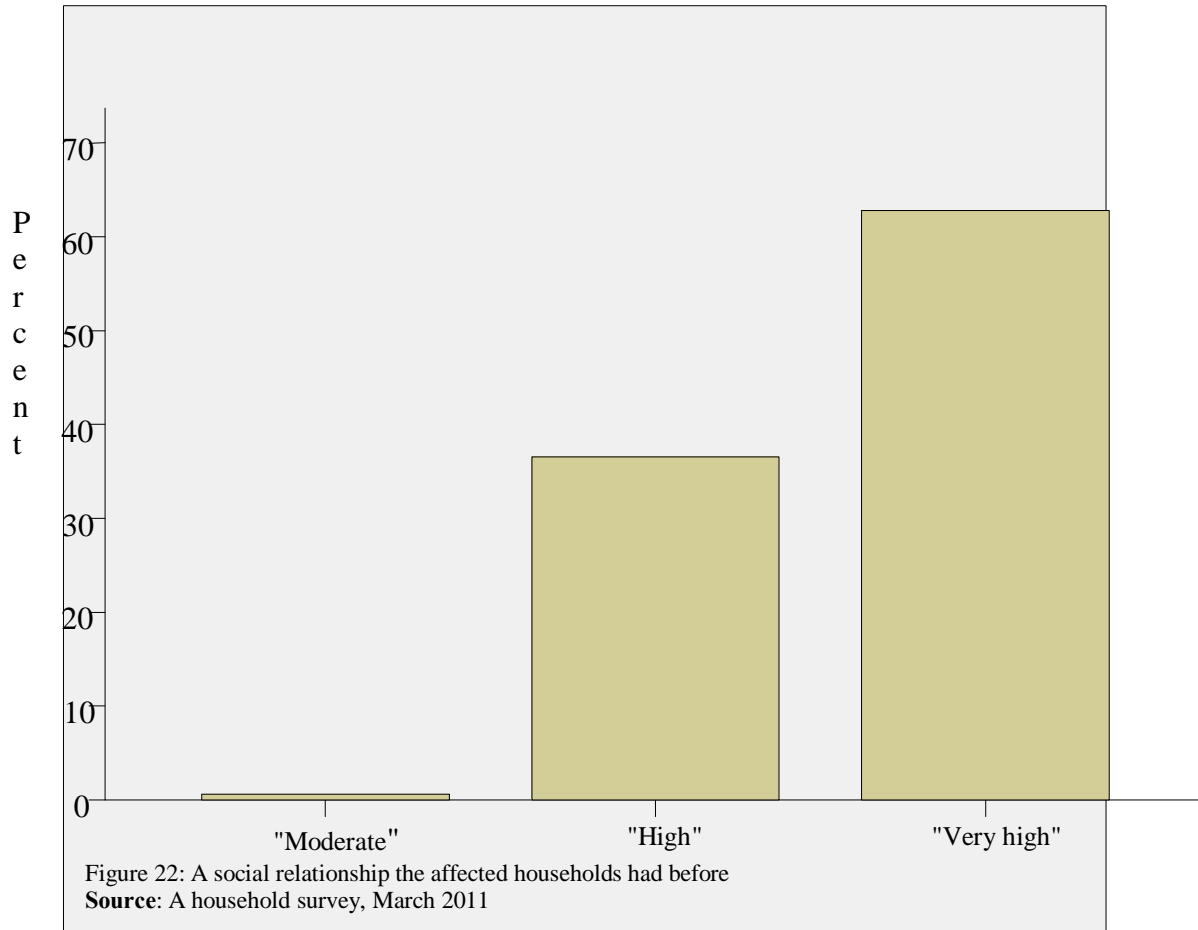
Case 3: Urban expansion and its impact on Social capital

we had very tied relationship not only because we are relatives, but also we had been bonded together through socio-cultural obligation. Formerly, for example, we had ðJirteö, ðDeeö-both of which are socio-cultural institutions- to support the members at the time of a household's risk such as disasters, illness, death and disability, to help powerless households through housing, farming, weddings and related traditional ceremonies, to settle members' disputes and to maintain a common value. But you cannot see such life currently. Of course there is ðidirö which is loose association of urban settlers through their financial contribution. Nonetheless, it never ever replaces former ones. See for example, this is my house; these are the other ones. There are also other neighborhoods. All of them leave each of their own lives. No one has come to be concerned about me and my family well being. My family's hungry is not the neighbor's concern, my family's illness is only my concern, and so does the fall of my house wall. Because I am the poor in the neighbor, my value has become the lesser and my burden has become the bigger. The same is true for the rest of other original residents (**My key informant of the "Hussen Gasha", March 2011**).

As a key informant's narration, case 3, shows us, before the expansion of the city over there, this community had very tied relationship that is based on socio-cultural institutions that obligate each and every members to support others at the time of disasters, and other conditions which are beyond the capability of a household in certain time. Each and every household who are the member of these institutions have the rights to claim support from the members via the institutions which all are the typical features of the rural and peri-rural community. But this kind of traditional institution has been displaced after the city's expansion over there. As a modern society, the social relationship in urban areas is very much defined by the consequentialism and hence it most of the time it secondary type.

On the other hand, the focus group studies participants also have pointed out that there is no such a former relationship as self-helping, neighborhood linkages, traditional institution based claims among the today's residents in their neighbor.

From this, we understand that when we compare the social capital as one of the livelihood element this community had before the urban expansion with that of the current one, the later is declined from above moderate to below moderate.



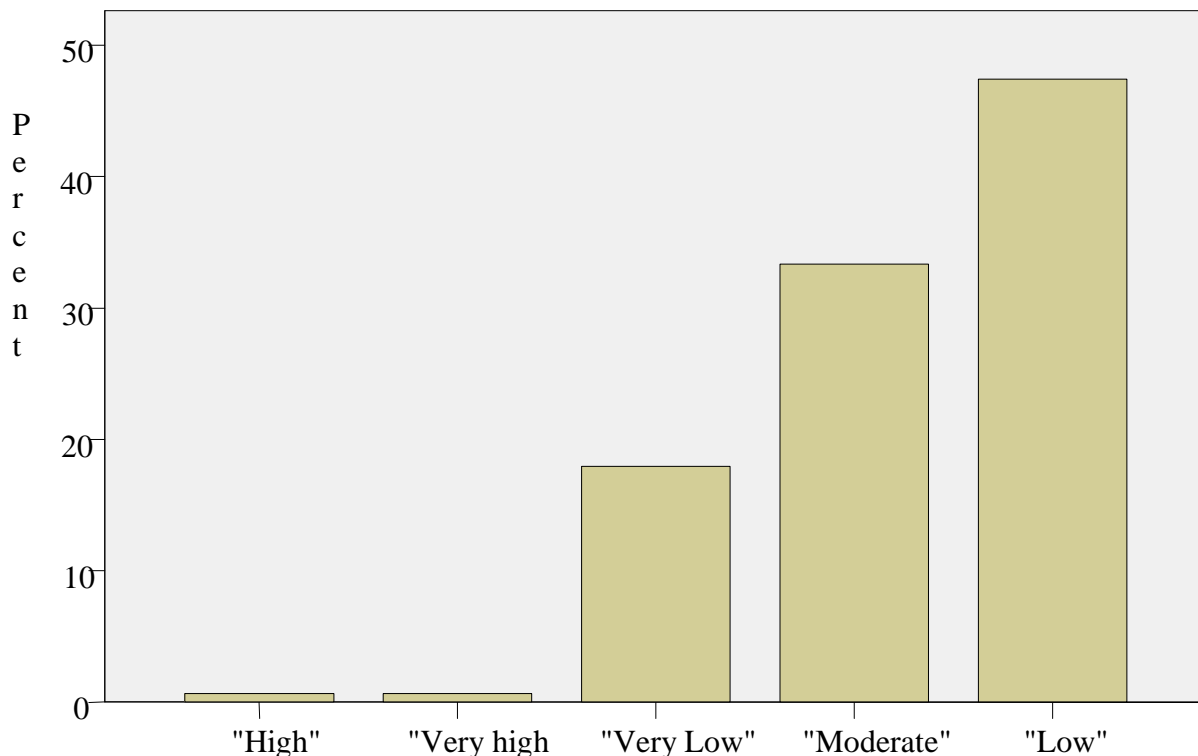


Figure 23: A social relationship the affected households have currently
 Source: A household survey, March 2011

4.5.3 Urban expansion impact on farmers' natural capital

To measure the horizontal urban expansion impact on peri-urban agricultural community's livelihood's elements, the natural capital, I had taken land and permanent forest that community had before the urban expansion over their vicinity as compared to their current's possession status.

Accordingly, when I assessed the land, figure 24 shows us that this community had the average 1.703 ha of land before the expansion. On the other hand, as figure 25 depicts us, this size of their land had been diminished to 0.123 ha after the expansion of the city over their vicinity. This implied us that, the average land size of the peri-urban community had been shrunk by 1.58 ha which is 92%.

Similarly, these community had the permanent forest amounted to average ETB, 5839.7 before the city's expansion over there, figure 26. None the less, this figure had become to be 0.04 currently implying diminishes of the forest as natural capital of the livelihood element by the average ETB, 5,839.66 which is 99.99%, figure 27.

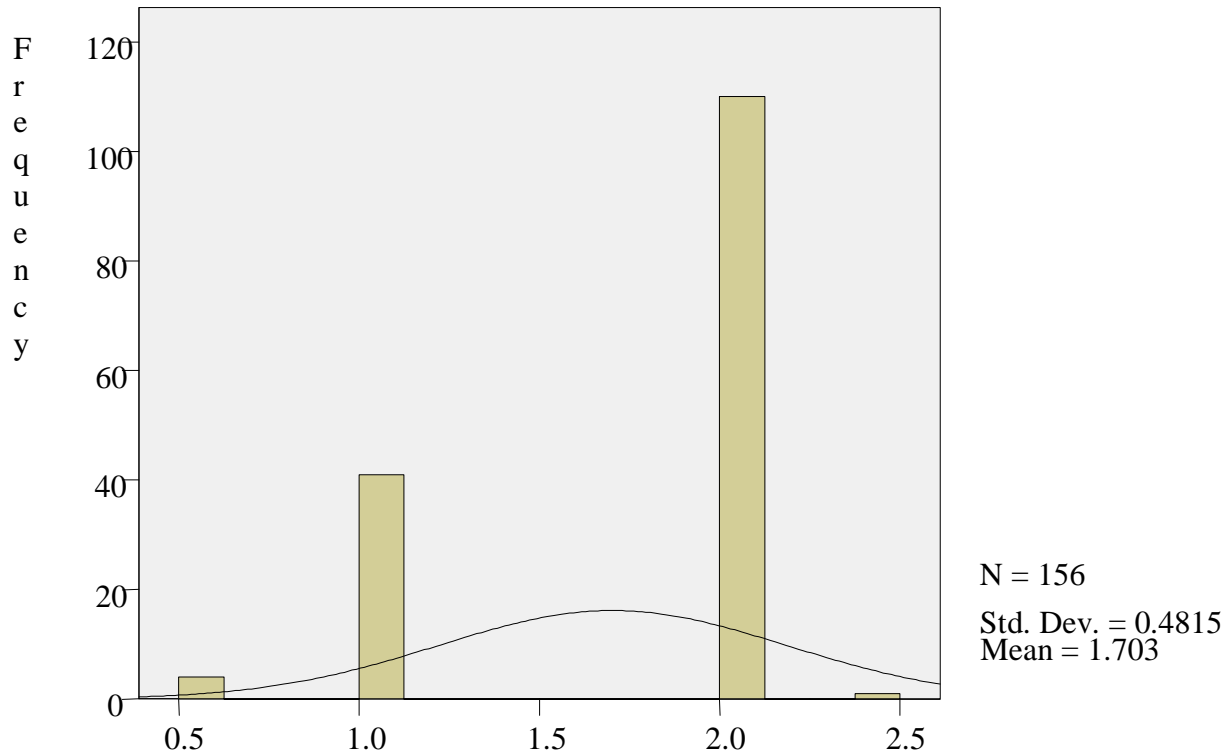


Figure 24: Land these households had before expansion
Source: A household survey, March 2011

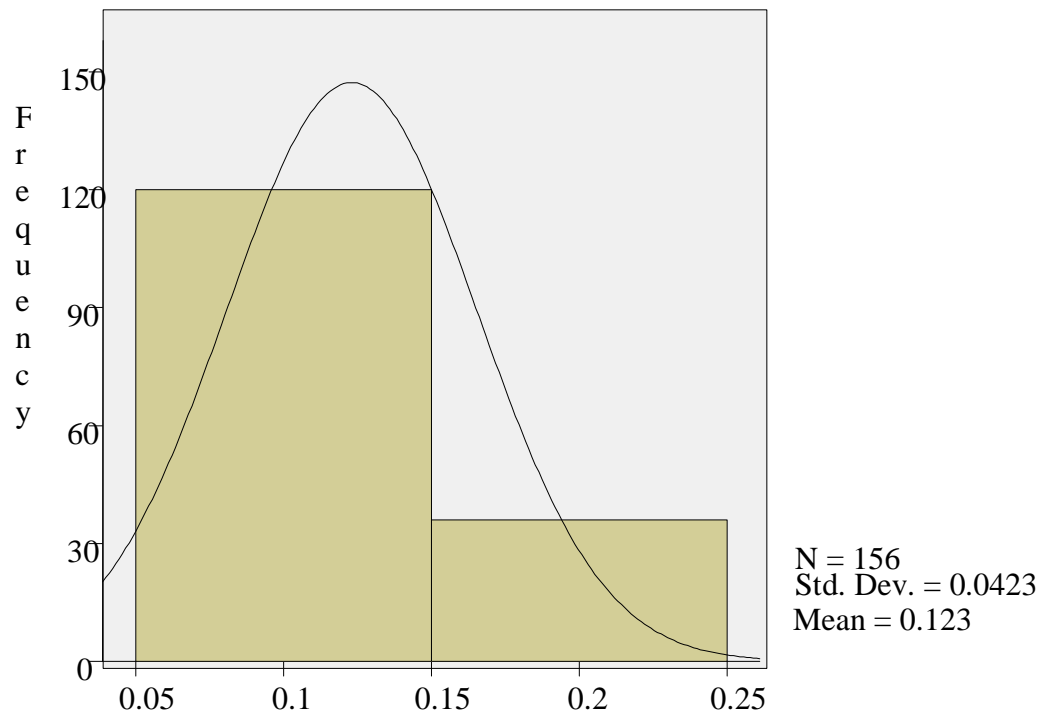


Figure 25: Land these households have currently
Source: A house hold survey, March 2011

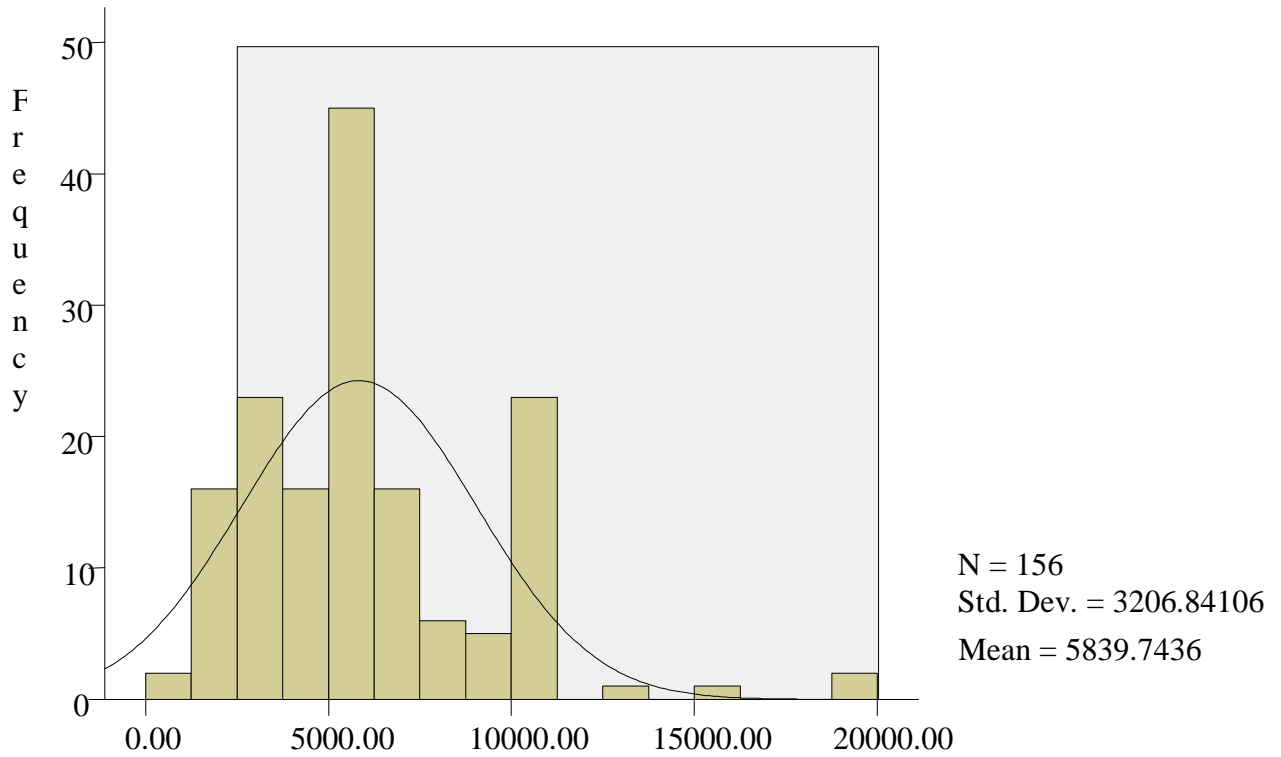


Figure 26: permanent forest these households had before, in ETB estimation
 Source: A house hold survey, March 2011

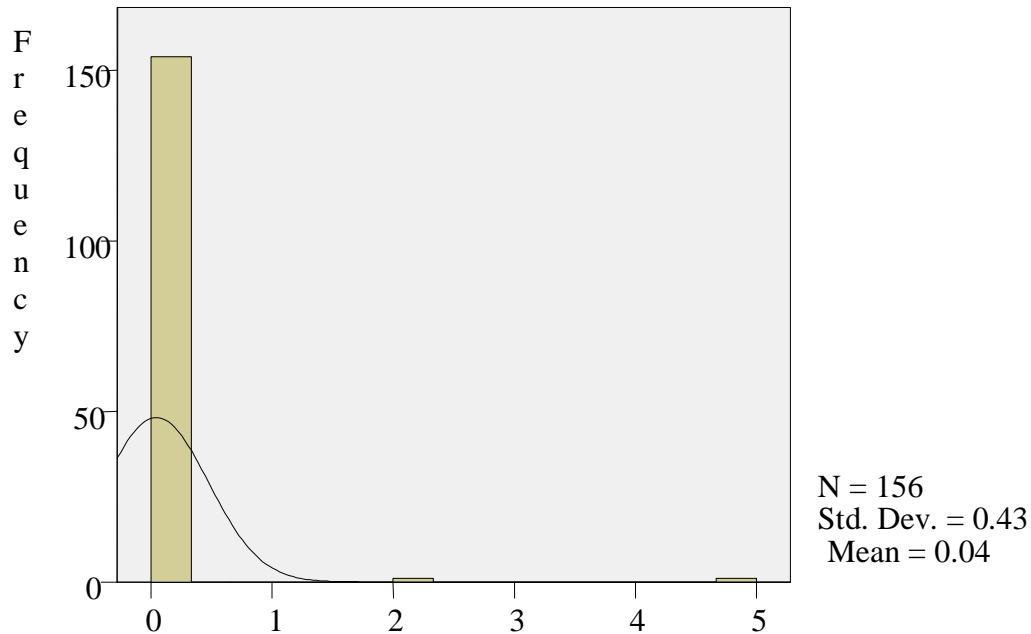


Figure 27: Permanent forest these households have currently, in ETB estimation

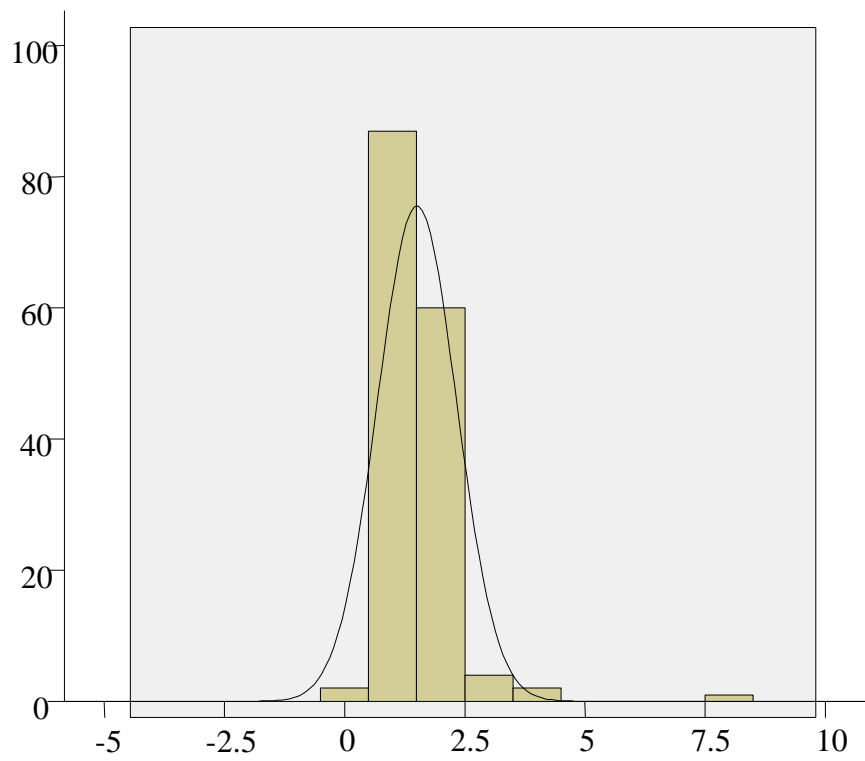
Source: A house hold survey, March 2011

4.5.4 Urban expansion impact on farmers' physical capital

I had employed the house room number these households had before the urban expansion over there and then after math as the measuring tool for physical capital of the peri-urban agricultural community livelihood. Accordingly, as figure 28 shows us, this community had the average of 1.51 houses in room before urban expansion over there. However, this figure has ascended to 3.86 average rooms after the expansion of the city then by showing the difference of 2.35 which equates 156 %, figure 29.

On the other hand, data from the key informants, the focus group discussion participants as well as observation show that, although the number of house rooms these households had after urbanization of their area has shown a significant increase in quantity, the poor investment on the construction of them had reduced the would be income these households were to gain from renting them.

F
r
e
q
u
e
n
c
y



N = 156
Std. Dev. = 0.823
Mean = 1.51

Figure 28: House room in number these households had before
Source: A householdsøsurvey, March 2011

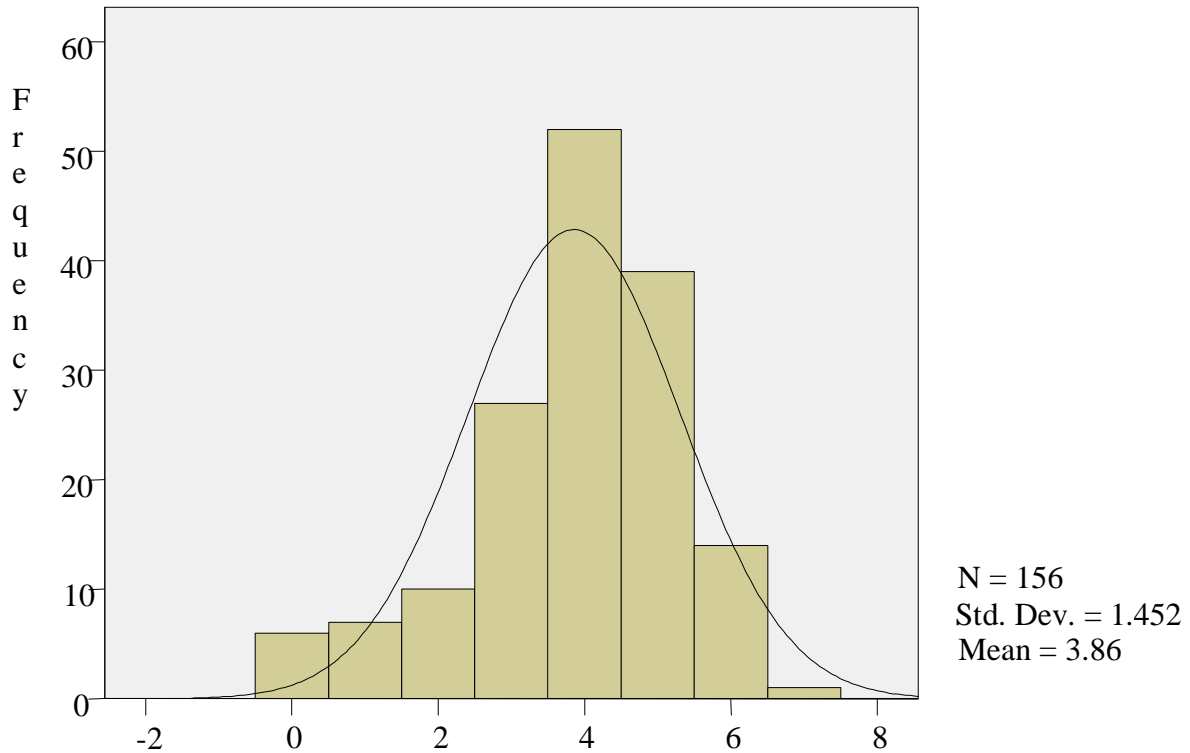


Figure 29: House in room number these households have currently
Source: A householdsøsurvey, March 2011

4.5.5 Urban expansion impact on farmers' human capital

Table 14: The disadvantageous groups owing to urban expansion

Alternatives	Frequenc y	Percent	Valid Percent	Cumulative Percent
"Male"	25	15.9	15.9	16.6
"Female"	3	1.9	1.9	17.8
"Children"	43	27.5	27.5	44.6
"All"	86	54.8	54.8	99.4
Total	157	100.0	100.0	100.0

Source: A household survey, March 2011.

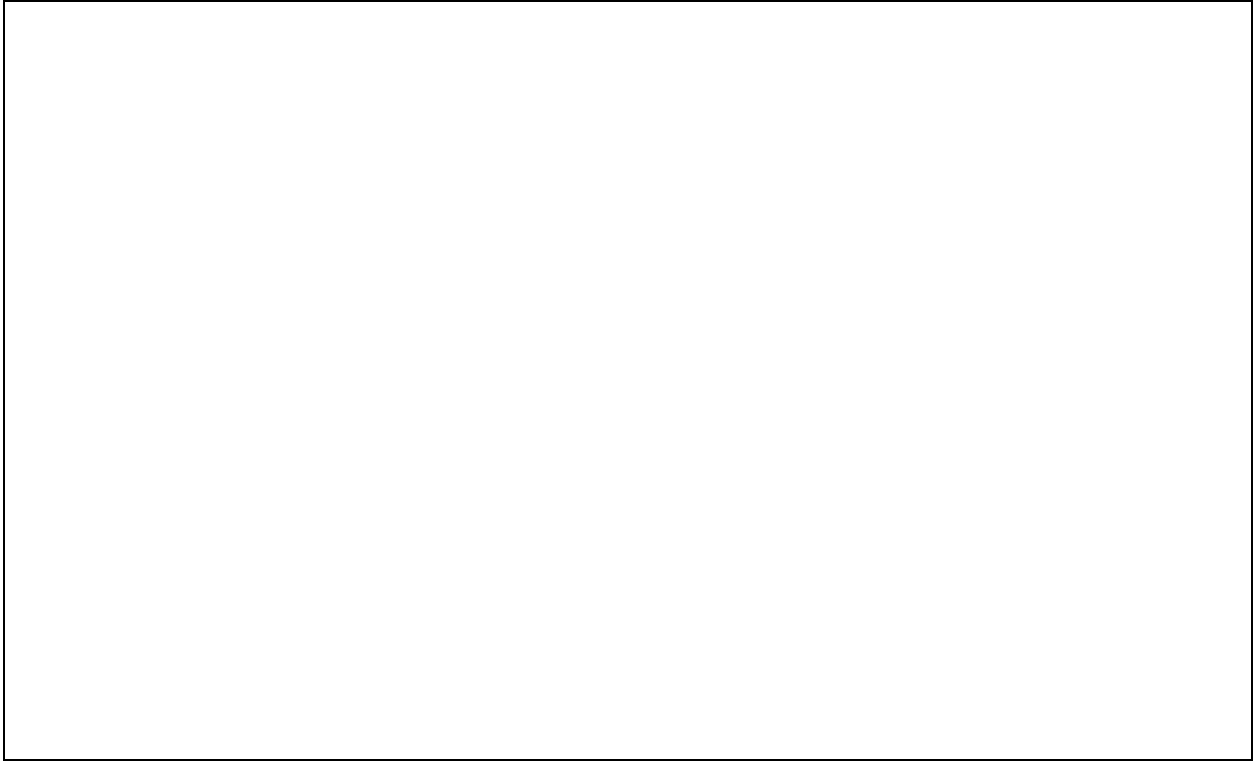
Table 14 depicts us the households' family members affected by the impacts of urban expansion and the led- consequences. As to 1.9%, 15.9%, and 27.5% of the households, the disadvantageous group of the households attributed to urban expansion over their vicinity was respectively, 'Females', 'Males' and 'Children'. However, for 54.8% of the households, all the 'Males', 'Children' and the 'Females' were the disadvantageous groups of the family. The explained reasons for this included among others; the lack of adequate foods, income, education, and the related household's amenities.

Moreover, data from focus group discussion and the key informants, 'Cases 4 and 5', shown that these households had not been able to educate their children owing to the financial constraints and that was why the child had no access to education for which right s/he is deserved otherwise. Hence, the boys and girls of this community had a lack of marketable and more productive knowledge and skills.

From this, it is faire to infer that the households' human capital of such community had been adversely affected by the city expansion.

Case 4: Urban expansion impact on the house holds' human capital

We were rural residents before; but now have become 'Urban'. With this, we cannot deny that our residence has changed from the traditional wide 'Gojo' to modern, but narrower building, my wife no more travels longer distance to fetch water, nor she worries to burn fire to light. Moreover, our child no more travels long distance to school, nor we do to health service need. But money matters to day more than before. As you can see, no farm is around my house, no herd of cattle in it, and no shade of trees in front of it. So, where do think we can afford money for such utilities? No where! Some power full individuals can do that and even more. They eat their choice, they wear what they need and educate their children in a chosen private schools. Sending children to the school is the second thing to us, and going there is too to them. Today, we can't afford to such services. , Everyone starts a morning with a search of his/her daily bread than education. Indeed, we tried to enroll them in September in public schools with a cost of all what we have at hand or with credit. Gradually, we find them dropping the school because we have not secured their educational materials. A few complete their grades, excluding, they have brought no difference in life through their education. And we do not ask them 'why' as we know the very reason (**My key informant from "Hitata Gasha", March 2011**).



4.6 Urban expansion: its impacts on peri- urban livelihood agrarian community and copying mechanisms this community developed.

4.6.1 Livelihood alternatives the affected households followed after expropriation

Periods

As table 15 shows us, all of the households engaged in a productive livelihood activity after the expropriation of their land for the urban expansion. Of all this community members, only 3.8% of the households engaged in their usual livelihood, the "agriculture" while the most rest, 96.2%, turned in to the "non- agricultural activities" as shown in table 16. Of this figure, 7.3 % and 15.4 % of the households, engaged in to "daily labor works" in the city and "Serving in some ones house" respectively. Similarly, 32 % and 45.3%, of these households turned in to "Migrating to far rural areas" and "Raising own business" respectively as can be read from table 17. Moreover, "Case 5" from a key informant groups and focus group discussion results shown that most of the land expropriated households started to engage on non- agricultural activities as a copying strategy with the new life after the expansion of urban areas over their vicinity. Particularly, they had pointed out that some remained over there while some others migrated to rural areas to per sue similar livelihood at diminish. In urban areas, the rest engaged in non-

agricultural activities such as sparking newly business such as grocery, cafeteria, vendoring small householdø goods and salvages in urban areas, serving as guard men and laborers.

Table 15:-Whether households within this community engaged in a productive activities after land expropriation

Alternatives	Frequenc y	Percent	Valid Percent	Cumulative Percent
"Yes"	156	100.0	100.0	100.0

Source: A household Survey March 2011.

Table 16: Sector within which these households engaged

Alternative sectors	Frequency	Percent	Valid percent	Cumulative percent
Agricultural	6	3.8	3.8	3.8
Non-agricultural	150	96.2	96.2	96.2
Total	156	100	100	1000

Source: A household Survey, March 2011.

Table17:-Types of non-agricultural activities the affected households engaged

Alternative activities	Frequency	Percent	Valid Percent	Cumulative Percent
"Daily Labor in the City"	11	7.3	7.3	7.3
"Migration to far areas of rural"	48	32	32	39.3
"Raising your business"	68	45.3	45.3	84.6
"Serving in some one's house"	23	15.4	16.4	100.0
Total	150	100.0	100.0	

Source: A household Survey, March 2011

4.6.2 Job and related condition of the affected households in post expropriation periods

As table 18 shows us, 86.5 % of households did not believe as they may get job at this time than before while the rest, only 13.5 %, did rather. Currently, 25.6 % of all households not have the job while the rest, 74.4 % do as has been depicted in table 19. The stated reasons for this included but not limited to the absence of demandable and marketable knowledge and skills, low availability of the job itself, as well as the lack of experiences in searching and access job in urban setting. Among those who have job currently, those who have been employed by the government organization represented the least proportion, only 6.8 %, while those employed in others represent 8.6%. On the other hand, 12.9 %, 24.1% and 47.5 % respectively were a daily

laborers, employed in private organization and self-employed ones as can be seen from the table 20.

Table 18:- Whether these households believe that they get jobs these days than before

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"No"	135	86.5	86.5	86.5
"Yes"	21	13.5	13.5	100.0
Total	156	100.0	100.0	

Source: A household Survey

Table 19: Whether these households have a job currently.

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"No"	40	25.6	25.6	25.6
"Yes"	116	74.4	74.4	100.0
Total	156	100.0	100.0	

Source: A household Survey

Table 20:- Job types the households have currently

Alternatives	Frequency	Percent	Valid Percent	Cumulative Percent
"Daily Labor"	15	12.9	12.9	12.9
"Employed in government Org"	8	6.9	6.9	19.8
"Employed in Private Business"	28	24.1	24.1	43.9
"Other"	10	8.6	8.6	52.5
"Self Employer"	55	47.5	47.5	100.0
Total	116	100.0	100.0	

Source: A household survey

4.6.3 Beliefs of the affected community towards the newly livelihood Strategy

The households had been asked whether their households secured their livelihood through the newly chosen livelihood strategy or not. Accordingly, 89.1% believed that their households had not secured their livelihood while the rest, 10.9 %, had as table 21 shows.

Furthermore, data from key informant and focus group discussion participants, only a few who had better power even before well managed their livelihood in post-urbanization periods followed by those households that migrated in to rural areas and persuaded their former livelihood strategy at a declined size of the farm.

Others like, those who remained in their original residents with only 200 meter square and granted with an inadequate compensation however turned in to the status as they called "Urban made poor" with the manifestations of uneducated children, non promissory livelihood like labor work, pick pocketing boys and the boulevard girls.

Therefore, it is fair to say that although these households had their own endeavor to engage themselves in different livelihood strategies and alternatives, each of the household's educational background, economic status they had before, the family size they had accommodated, the lack of institutional interventions all limited the output from the newly chosen livelihood.

Table 21: Whether they believe that their family secured their livelihood through the newly livelihood strategy or not.

Do they believe?	Frequency	Percent	Valid Percent	Cumulative Percent
"No"	139	89.1	89.1	89.1
"Yes"	17	10.9	10.9	100.0
Total	156	100.0	100.0	100.00

Source: A household Survey

Case 5: Urban expansion impacts, Copying Strategy and farmers' belief on it

In rural life, you eat from a farm, you drink from a home; you gain income from what you have accumulated & dress and educate your children. You feed your family where you accumulated from throughout the season no matter how no rain and no milk. In urban you buy everything. You worry for a lunch at a breakfast; you worry for a dinner at a lunch. We farmers were new for urban life and haven't managed it therefore. When we had been give money, cash, as compensation, for one thing it was not our interest on it since it ends faster than our livestock does, our farm produces and other assets. Secondly, the given money itself was not proportional to what we lost. But we had no alternatives except taking what we had been given.

Our families followed each of their ways as We did. Some of us bought the smallest plots in rural areas and continued our life at diminish; some to urban centers and started guardsmen, labor work, some smaller business as merchants, and some remained at their origins. And our children's life looks like that of ours. Comparatively, those who had better wealth and power before the coming of urbanization get better off along with their families. Those who escaped to rural also well. On the other hand, those who had no power even before together with those remained at their 200 meter square sized plots and penetrated in to urban centers, of course majority of the community, have become destitute. They are urban made poor. Their children followed the steps of their parents and even some have become to engage in vandalism, crooking, streetism, begging, and no one even knows where some others are. Our former wealth and privileges have become a history at now (*My key informant of the "Marma Gasha", March 2011*).

4.7 What should be done to reduce the adverse impacts the urban expansion has on peri-urban community's livelihood?

Although there were varying views and beliefs that the sampled households had on how to mitigate the problems, majority had pointed out that the government need to be the sole owner of the intervening process under the rational that the city's development program had[has] been and is being run by it. This group of the respondents specified that urban development program was to be participatory where by all the stake holders to take part and have a say, ensure common beneficiary ship vis-a-vis a few powerful beneficiary ship before the implementation periods.

When it is implemented, the farming community whose land is to be expropriated and hence whose livelihood to be interrupted need to be compensated proportionally to, at least, the negative effects the program brings up on them and the livelihood interruption it causes then after. After the program implementation, the executing institution should have a concern to the affected groups of community. The government institution as a central transforming structure (factor) for any livelihood and under whose lead ship the urban development program being run should follow-up the post urbanization lives of the affected community and assist them based on their ability and interest in such a way that their family secure their livelihood.

On the other hand, the focus group discussion participants pointed out that, besides the program's participatory ship before the implementation periods, compensation should be based on the farmers' interest which is usually alternative farming lands. But if the money compensation is only a resolution, then it should be executed after the provision of trainings and other capacity building services to this community on how to make urban businesses, how to manage these businesses under the smaller and micro- industry organizations where strong institutional follow- up exists with which the key informants strongly agree.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

As a socio-economic dynamics, urbanization underwent different phases in Ethiopian urban history, where the current rate is very much unprecedented before. On this top of fact, the Hawassa city is expanding with higher rate and this acceleration of the expansion is the highest in Tabor sub-city owing to the natural and artificial factors. Urbanization, in its overt feature, is the way by which a given society is shaped and reshaped with better socio-economic development. Conversely, urbanization has the shadow feature which is the negative impact it has on the community towards whom it reached. This study has assessed such impacts the horizontal urban expansion had brought on the livelihood of the peri-urban agricultural community in Ethiopia by taking the case of Tabor sub-city's expansion of the Hawassa city in Southern Nations, Nationalities Peoples' Regional State.

Having employing the descriptive research methods, the researcher collected data based on survey on 156 households, whose farming land had been expropriated and hence whose livelihood had been adversely affected. The Key informants' narrations, different stakeholders' focus group discussion, the researcher's participatory observation and documentary resources were tools to collect data. With the application of both quantitative and qualitative analysis approaches, I arrived to conclude and recommend as follows:

5.2 Conclusion

During the city's expansion, despite of the community's awareness of the expansion via orientations and warnings by the city administration, the farming community was not made participant on the decisions about the kinds and amount of compensations and related benefits to them for the farming land expropriated from them, for the property they lost and hence for their livelihood interruption and the resulting impacts on their family. Hence, these households stood to counter the expansion program although the opposition was settled with a combination of common bargaining and a coercive power. While bargaining, for most of the households in this community, the city administration did pledge to offer commensurate compensation of money, to

allot housing plots, to create job opportunity, to provide different social services, trainings and capacity buildings.

At the end however, the promise was not implemented entirely. Even though there was no unanimity among all households, most of the households agreed, but with higher dissatisfaction, that they had been given the housing plot, some money and some social services.

The city had no definite expropriation and compensation policy although different international, national legal provisions and scholar findings have an advice on it. As a result of this, decision on *what kind* and *how much* of compensation remained under the subjectivity of the government program executers.

There was almost scant data showing the skills and entrepreneurial trainings these households were given so that they pursue their livelihood in urban settings. Nor they were provided with job opportunity. Thus, these households undertook to present their appeals to concerned bodies no matter how it was futile. Because of this, the rights and legal provisions of compensation and benefits land expropriated households were deserved for by law remained at the table of conciliation.

The urban expansion, that was carried out in this manner had brought a significant negative impacts on the livelihood elements of the peri-urban agricultural community as this study examined.

Before urban expansion over this community's residences, an average annual income these households used to earn per year was varying from 1,000- 100,000 ETB where the majority's income was in the range of 41,000-70,000 ETB. However, after then, this study had scanned that there was no a single households earning above 40,000 ETB and majority fallen in the income group of 1000-10,000 per year.

Similarly, four selected the households' livestock that are the saving asset as financial capital had shown a significant decline currently from the average amount it was before arrival of

urbanization over the residences of the sampled households. The average oxen and cow declined each of by 86% while the average sheep and poultry declined by 65% and 54% respectively. The average decline for all four livestock was 72.8%.

Moreover, the social capital this community had before declined from above moderate through very high to very low while natural capital mainly land and permanent forest declined by 92% and 99.99% respectively.

Similarly, the study had also pointed out that the horizontal urban expansion affected human capital of these households explained by inadequate food, poor nutrition, poor health, poor education and very limited marketable skills and knowledge all of which are the function of the households' income level that in turn is determined by the type and nature of the livelihood alternatives each of the households have.

Conversely, the physical capital, represented by the number of house rooms- buildings- these households had after urban expansion had shown the percentage increase by 156%. However, this the increased physical capital after urban expansion had been offset by the poor quality attributed to low investment during construction. Thus, the income generating capacity of such capital was very much low.

Therefore, this study had assessed and found that the horizontal urban expansion has adversely affected the financial, social, natural, physical and human capitals of the peri-urban agricultural community's livelihood which was why these community call themselves as 'urban made destitute'. As a matter of this fact, 81% of the samples were against to urban expansion unless it was to be run by a responsive institution, was to be participatory, willingness based and promissory to all stakeholders.

As a coping mechanism, the households engaged in to different livelihood strategies. Some migrated in to rural areas and pursued small farming while some others who were wealthy and powerful even before moved in to urban centers and set up their own urban business. Majority

however stayed at their residence which was limited to allotted plot and engaged in different works like petty trading, daily labor and guardsmen.

In a regard to the newly started livelihood output, the findings shown that, 89% of the households believed that they had not secured their livelihood while the rest, especially those who were better even before expropriation and others who migrated in to rural areas and engaged in small farming had done it. The reasons for poor output of the newly livelihood strategies included among others, poor training driven skills and lower educational sourced knowledge the households had on how to develop and manage money, low experience the households had about urban mode of livelihood and scant or inadequate institutional follow-up and support.

5.3 Recommendation

As a socio-economic development, urbanization need to be the program where from each stakeholders wins equally. But this study had shown that there was not win-win, but win-loss impacts among the stake holders in Hawassa city whereby peri-urban agricultural community constitutes the loser group whose livelihood had been adversely affected. Based on the gaps identified and the impacts assessed by this study; the following recommendations have been forwarded:

- ✚ Although there are varying International, national and scholar prescriptions on the stakeholders participation in every public development programs, the city's administration had not make the farming community participate in such programs like Urban expansion from its inception to implementation. Therefore, since the peri-urban agricultural community had both high interest and influence on the urban development in to their vicinity, they were primary stakeholders. For this fact, urban expansion program should involve them after all.
- ✚ The Ethiopian farmers have a constitutional right to land. However, whenever it is expropriated for the public interest, then; these farmers have a legal right to claim for commensurate compensation for property lost and a livelihood interrupted. However, the study had shown that the compensation offered to this community was neither considered the farmers' interest, nor was it commensurate, but it was very much subjective to

arbitrary decisions by leading institutions program executers. Thus, farmers' right remained under conciliation and their livelihood unsecured.

So, the compensation to such community should be based on the Kagnovian notion, I.e.

$$\text{Compensation} = \text{RPC} + \text{RLC} + 10 \text{ XAAI} \text{ Or } \text{AAI} + \text{SLSP}$$

This is the summation of the replacement cost of the lost property, the relocation cost of the households, and tenfold of the average annual income each of the Households used to earn before or, alternatively, it should be the Summation of average annual income and some land with equivalent (similar) Productive value.

- ✚ Basically, it was not the farmers' interest to be compensated with money, but alternative farm land. Nevertheless, if the money compensation is only a resolution, then it should be effected after the provision of trainings and other capacity building services to this community on how to make urban businesses & how to manage these businesses under the smaller and micro- industry organizations where strong institutional follow- up exists.
- ✚ Given the different existing laws, policies and programs, as well provisions of international treaties to which Ethiopia is a signatory, the right to food could be said one of the fundamental rights under the national law. It seems to be therefore, a logical fallacy attempting to ensure the Right to food and food security among agrarian community without maintaining their right to land which is a common denominator to all components of their livelihood. Conversely, this study examined that there was no solid and formal laws and regulations in the city guiding the expropriation and compensation then by making the farmers' case worsen. Thus, as it is obliged by International laws to respect, protect and fulfill the rights of its citizen to food and other basic securities, the government had better to formulate and enforce laws and policies or rules of games which frame-up urban development programs and activities run across their equilibriums then by ensuring the win-win relationships among the development stakeholders.

References

- Berhanu Zeleke, 2005. Impact of urban redevelopment on the livelihood of displaced people and urban development in Addis Ababa: The case study of Casanchis local development; MA thesis submitted to Addis Ababa University.
- Cermea,1997. ö Implementing the sustainable rural livelihood approachö, In Carney (ed) Sustainable rural livelihood; what contributions can we make? Department of international development: Nottingham, Russell press LTD.
- Clark, T., 1968. öCommunity Structure, Decision Making, Budget Expenditure and Urban Renewal in 51 American Communities.öAmerican Sociological Review 33:576-80.
<http://www;free> encyclopedia-2010: Urbanization and its impacts on periphery in developing nations <URL> [Accessed-15 Dec.2010].
- Minwuyelete Melesse, 2004. City Expansion, Squatter Settlements and Policy Implications in Addis Ababa: The case of Kolfe keranio sub-city M.A thesis, Addis Ababa University.
- Muluken Desalegn, 2009. An Assessment of the Impact of Urbanization on Peripheral Community Livelihood: Akaki kality Sub-city case, M.A Thesis; Ethiopian Civil Service College.
- Tegegne Gebere Egziabher, 1999. Urban poverty and the environmental: illustration from Addis Ababa, in Ethiopia; Ethiopian Development forum Vol. No. 1: 76-84
- Thomas, S. Kleniewski, N. And Cross W., 2002. Urban Problems in Sociological Perspectives, Waveland press.
- UN-HABITAT, 2003. Improving the lives of 100 million slum dwellers, Nairobi, Kenya.
- Kaganova O.et al., 2006. Land delivery mechanism, Land expropriation and property valuation: International experience for Ethiopial.The urban institute,Washington D.C
- UNCHS.2001a.Urban population Trends: Habitat Debate.7(2)
- CHAMBERS, R. and CONWAY, Gordon R.,1992. Sustainable Rural Livelihoods: Practical Concepts for the 21st Century, Institute of Development Studies: Discussion Papers, 296. Cambridge.
- DEVEREUX, S., 2001. Livelihood Insecurity and Social Protection: A Re-emerging Issue in Rural Development; Development Policy Review.

DFID;2000. Sustainable Livelihoods Guidance Sheets; Department for International Development. www.livelihood.org/info/info_guidancesheets.

House of Peoples Representatives, 2005. Proclamation on Expropriation and Compensation [pdf]: available at <<http://www.hpr.et.gov>. [accessed 5 Jan.2009].

House of Federation, 1994. Constitution of Federal Democratic Republic of Ethiopia: Addis Ababa.

Appendix 1:- Questionnaire for Sampled households

Dear respondent:-The main aim of this questionnaire is to collect data as input for the study titled as "The impact of horizontal Urban expansion on the Livelihood of the Per-Urban Agricultural Community: Tabor Suburb case, Hawassa City, SNNPRS, Ethiopia.", whose sole purpose is to qualify the requirement for awarding the Masters Degree of Science in Food Security Studies by Addis Ababa University, Development Studies College, Institute of Rural Development. Therefore, thanking in advance for your co-operation, I assure you that each pieces of information collected via this tool are to be very much confidential except for the purpose pointed out here above.

I. Background of the respondents

1. Sub-city

2. Kebele

3. Age

4. Sex A. Male B. Female

5. Level of education

A. Illiterate D. Junior (7-8)

B. Read and Write E. Secondary (9-12)

C. Primary (1-6) F. Tertiary (12 +)

6. Family size

A. Male B. Female C. Both

II. Participation in expansion program

1. Were you aware of the urban expansion program in your former vicinity?

A. Yes B. No

2. If "Yes", how?

A. Through public orientation

B. Through official training

C. Both

D. Other specify _____

3. What was your reaction when you're asked to move from your former possession?

A. Agreed without objection

B. Objected but left force fully

C. Objected but convinced through bargaining

4. Did you participate in decision making process in the implementation of expropriation program?

A. Yes

B. No

5. If 'Yes', what're benefits you obtained because of participation?

A. Raised own interest

B. Expressed own opinion no

C. Created access to benefit packages

D. Created opportunity to livelihood means

E. Nothing

F. Other specify _____

6. Did you have representatives in decision making on benefit packages allotments?

A. Yes

B. No

7. If 'Yes' how did that represent?

A. Through community institution

B. Through elected community

C. Through individual interested group

D. Through Kebele administration

E. other specify _____

8. Who were the main decision makers in determining the amount of benefit packages to the community?

A. Government body

C. Both

B. Local community committee

D. Other specify

9. Do you, generally, support or oppose expansions policy and process of the city?

A. Strongly support

B. Support with conditions

C. Strongly oppose

10. What conditions do you consider while supporting, if your response for question number above is 'Yes'?

A. Participatory and willingness based

B. Promissory and institutional based

C. Both

D. Others, specify _____

III. Benefit of expansion for peri-urban community?

1. What was the base of your livelihood before the coming of urbanization?

A. Farming on land D. Forestry

B. Raising cattle E. all

C. Fodder production F. others specify _____

2. What are benefit packages had you been promised to be allotted to you as compensation when you're asked to leave the land?(multiple answer possible)

A. Money compensation B. housing plots

C. access to services D. Job opportunities

E. training to develop skill

F. Other specify _____

3. Which of the benefit packages did you get at last?

A. Money compensation B. Housing plots

D. Job opportunities C. access to service

E. Training to develop skill F. All

G. other specify _____

4. What was your reaction towards the kind and amount of compensation (benefits) you received about?

A. Satisfied B. Indifferent C. Dissatisfied

5. If your answer is 'No' for above question, did you apply your appeal for a concerned body?

A. Yes B. No

6. If 'Yes' what response did you get?

A. Very satisfactory C. Satisfactory

B. Unsatisfactory

D. Very unsatisfactory

7. Did you get any training how to use the benefit packages provided to you while you move to new way of livelihood/urban life?

A. Yes

B. No

8. If "Yes" in which of the following training did you participate?

Yes **No**

A. private business development, management and supervision

B. Financial management saving

C. Basic entrepreneurship

D. Technical training for livelihood means

9. Did you get any advisory support from any institutions after displacement or/and dispossession?

A. Yes

B. No

10. Do you think that you become the user of non-pre-existing services because of urbanization?

A. Yes

B. No

11. If "Yes" which of the following up

Yes

No

A. Road

B. Electricity

C. Water supply

D. School

E. Market

F. Clinic and other health institution

G. Telephone

H. Credit service

I. Recreation

J. Other, specify _____

IV. Impact of urban expansion on the livelihood of peri-urban agricultural community and their coping mechanisms.

A-Impacts on their livelihood

1. What was the effect of the expansion programs you faced before its actual implantation?

- A. Frustration because of lack of orientation on where and how to live in urban settlement
- B. In adequate attention from the administration in community development activity
- C. In adequate provision of new skills and knowledge on newly urban form of the life
- D. All
- E. other, specify _____

2. What was average annual total income you used to get before expropriation in ETB?

- A. above 100,000
- B. 71,000-100,000
- C. 41,000-70,000
- D. 11,000-40,000.
- E. 1000-10,000
- F. Less than 1000

3. What is an average annual total income you are gaining these days in ETB?

- A. above 100,000
- B. 71, 000-100,000
- C. 41,000-70,000
- D. 11,000-40,000
- E. 1000-10,000
- F. Less than 1000

4. What was the total asset possession of the household before and after expropriation/displacement/dispossession?

	Before	Now	
A. land (in ha)	<input type="checkbox"/>	<input type="checkbox"/>	
B. Oxen (#)	<input type="checkbox"/>	<input type="checkbox"/>	
C. Cows(#)	<input type="checkbox"/>	<input type="checkbox"/>	
D. Sheep (#)	<input type="checkbox"/>	<input type="checkbox"/>	
E. Goat (#)	<input type="checkbox"/>	<input type="checkbox"/>	
F. Poultry(#)	<input type="checkbox"/>	<input type="checkbox"/>	
G. Horse(#)	<input type="checkbox"/>	<input type="checkbox"/>	
H. Monkey(#)	<input type="checkbox"/>	<input type="checkbox"/>	
I. Mule(#)	<input type="checkbox"/>	<input type="checkbox"/>	
J. Forest (Permanent) plants (in ETB estimation)		<input type="checkbox"/>	<input type="checkbox"/>
K. House (in room #)		<input type="checkbox"/>	<input type="checkbox"/>

- L. Others specify and in ETB estimates) _____
5. How was your social relationship and value within your community before your land expropriation/ displacement?
- A. Very high D. Low
 B. High E. Very low
 C. Moderate
6. What is your social relationship and value now?
- A. Very high D. Low
 B. High E. Very low
 C. Moderate
7. Do you agree that urban expansion in to your area is advantageous to your family members (parents, daughters and boys)?
- A. Strongly agree C. Disagree
 B. Agree D. Strongly disagree
8. Explain for any of your choice for question no. 7 above?
- _____
- _____
9. Which group of Male or Female is more disadvantages because of urban expansion in to your vicinity?
- A. Male B. Female
10. Provide reason for your choice for question number 9 above? _____
- _____

B. Coping Mechanisms

1. Were you engaged in nay of productive (income means) activities just right after the dispossession/ displacement of your land?
- A. Yes B. No
2. If Yes is your choice for question no. 1 above, in which of the following activity did you engage?
- A. agricultural B. Non-agricultural

3. If your response for question number 2 above is B, in which of these you engaged yourself?

- A. Raising own business
- B. Serving in some one's house
- C. Migration to far areas of urban
- D. Migration to far areas of rural
- E. Daily labor in the city
- F. Begging
- G. Others specify _____

4. Do you believe that you get jobs or works easily these days than before?

- A. Yes
- B. No

5. If No is your response for question 4 above, why? _____

6. Do you have a job (work) now?

- A. Yes
- B. No

7. If Yes what type of job (work) it is?

- A. Self employer
- B. Employed in government organization
- C. Employed in private business
- D. Daily labor
- E. Other, Specify _____

8. Do you have any other source of income today?

- A. Yes
- B. No

9. If Yes, which of these?

- A. Rental income
- B. Remittances
- C. farm land income from else where
- D. Supplementary small and micro enterprises
- E. Other, specify _____

10. What did your family decided to do as an individual or group after land expropriation (dispossession)?

A. Raised common business

B. Followed each of their livelihood strategies

C. Disintegrated

D. Other, specify _____

11. Do you believe that the way they turned on become favorable to them to secure their livelihood?

A. Yes

B. No

13. What do you think is major problems you and your family faced while coping up with (to) the urban type of livelihood strategies?

A. Lack of knowledge in financial utilization

B. lack of due follow- up from the concerned institution

C. Lack of skill (knowledge) for job opportunity

D. Discrimination by the new settlers

E. Others, specify _____

13. Who is, as to you, a responsive body to improve the current status of your livelihood?

A. Government

D. Private settlers

B. Philanthropies (NGOs)

E. All

C. Private investors

14. What do you think as better to be done to improve your livelihood status?

Appendix 2: An Interview guideline to Planers and Implementers as well as Managers

Part I:- Background of Respondent

1. Address _____
Sub city _____
kebele _____
2. Lever of education _____
3. Your position in this organization _____
4. Year of services in this organization _____

Part II

Questionnaire about City Expansion

5. What do planning deals with urban expansion?
6. Is the city expansion rate going with planning?
7. What do think is/are the reason if your response isö noö for question number six above?
8. Have the pre- settlers been made participant of planning and implementation programs?
9. What factors, do you believe, are causes for expansion?
10. What benefits and compensations have been given so far or promised to peri-urban Agricultural community whose livelihood is affected by urban expansion?
11. Do you believe the given or promised benefits compensations are faire enough to farmers while considering farmersøeconomic back ground, living cost and land productivity?
12. If your response is önoö for question number twelve above, what has so far been planned to improve the beneficiary ship of pre-farmers from the city expansion?
13. Have the dislocated and dispossessed community been given any training, orientation and Institutional supports in such away that they can easily sustain their livelihood in newly Changed urban way of life?
14. As well known, land is a base up on which life and livelihood of agricultural community Familiesø depend. Hence, if this base is affected, then the lives of all children, parents and their well being get affected directly. As this is the case, therefore, land is equivalently the means to assure the well being and prevalence of fundamental rights of the citizens to life. Do you believe that urbanization has taken place in Tabor sub-city, particularly, in the öGashasö of öHusenö, öHitataö, öWomeö and öMarmaö?
15. As a government institution, what is your organizationø role to internalize negative externalities of urbanization on those peri-urban community livelihood?

Appendix 3: Guideline for Focus Group Discussion

Warm-up:- *For some people urbanization is said to be the better way of life and hence they advocate for it; however, it becomes opposite to others and hence they appear strongly against it. In whose side are you ? And why?*

1. What factors do you think have contributed for urban expansion in this locality?
2. Had you been made participate for planning in urban expansion program and their implementation?
3. Had you discussed on the issues of compensation and benefit packages?
4. And did you agree on a given (promised) compensation?
5. What are the set or kind of compensations you agreed and why?
6. What advantages and disadvantages you believe are the result of urban expansion towards your localities specially interims of social and economic aspects?
7. Discuss the copying mechanisms or livelihood strategy of the community at house hold levels and victims of social groups i.e. newly means or sources of income, job opportunity, social and cultural influences (neighborhood reaction).
8. Discuss whether former agricultural practitioners of the today urban areas have secured their newly livelihood and adapted the urban way of life through resource utilization.
9. Discuss whether the technical trainings, orientations or institutional follow-up are being made to you by any of government, NGOs, privates or their Joints to assist you and your family adapt with, participate in and benefit from urban expansion programs and urbanization.
10. Who is, to you, the responsive body to day to reduce the negative impacts of urbanization on your livelihood and to take first action of rehabilitation of your livelihood strategies and means?

Appendix 4: The Study Area Map

Figure 8 Map of Hawassa City

