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PARTICIPATORY HOUSING IN ACQUIRING SPACE

IN THE INNER CITY REDEVELOPMENT
THE CASE OF *SENGATERA FIRDEBET* PHASE I

A Thesis submitted in Partial Fulfillment for the Degree of Master of Science in
Housing and Sustainable Development

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This thesis is submitted to the Ethiopian Institute of Architecture, Building Construction and City Development (EiABC) and to the School of Graduate Studies at Addis Ababa University in partial fulfillment of all requirements for the degree of Masters in Housing and Sustainable Development.

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Declaration

I, the undersigned, declare that this thesis is my own and is an original work and has not been presented in partial fulfillment for a degree in any other university, and that all sources of material used for the thesis have been duly acknowledged, following the scientific guidelines of the Institute.

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Abstract

The Inner city of Addis Ababa has been categorized as “slum” due to deteriorated and congested physical condition, which overshadowed its praised socio economic potentials built for a century. Current interventions made to improve the poor conditions of these inner cities involved resettlement on site/ nearby sites or elsewhere. Previous studies made by other researchers on Impacts of redevelopment due to renewal from different perspectives in the inner city of Addis Ababa indicate that relocation was concluded through negotiation than consensus. These studies also show the benefit of participation of the residents in the process. The conclusions specify resettlement on or at nearby sites benefit the re-settlers and help create healthy neighborhoods. However, while most studies made in the area stress on the necessity of participation and show major interventions lack involvement of stakeholders in decision makings, deep studies on “How” & “Why” the process affected the result were not conducted on community participation. So, “depth and level of participation” explored in this study taking the case of *Lideta Firdebet phase I* inner city renewal pilot project in Addis Ababa. It analyzed in light of theories, local and international practices, the level of participation of the affected residents based on research questions relating participation of action area residents and renewal objectives before and after implementation. Primary and Secondary data were used mainly from archives, interviews, survey, personal observations and mappings to organize and interpret in qualitative approach.

Findings of the study show that residents and developer reached a consensus either to be resettled back or at nearby relocation sites and also to be part of redevelopment activities. However this was later reversed and the residents were relocated to distant different 53 locations. So, lack of transparency from inception stage to resettlement process keeps the participation level and depth to be informative or convincing process rather than consulting. Even though tenure transfer from renting to owning a house and standardized infrastructure considered as achievement ; distrust in the actions of the developer, unexpected loss of social and economic capitals happened to be unresolved.

In order to create a win –win situation a mediator represented from government and resettlers proposed to conduct the consultation process. On the other hand to minimize displacement repurposed shipping containers as transitional shelters recommended to be built within the existing settlement by aligning future open spaces to the existing ones.

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Addis Ababa

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Abbreviations

AARH	Agency for the Administration of Rental Housing
AU	African Union
AAU.....	Addis Ababa University
AAUPII	Addis Ababa urban planning and information institute.
CBO	Community Based Organization
CFDRE.....	<i>Constitution of Federal Democratic Republic Of Ethiopia</i>
CSA	Central Statistical Authority
EiABC.....	Ethiopian Institute of Architecture, Building and Construction
HDPO	Housing Development Project Office (Currently HCPO-Housing Construction Project office
ha	Hectare
EDO	Environmental Development Office
EC	Ethiopian Calendar
HDO	Housing Development Office
HSD(S)	Housing and Sustainable Development (Students)
IHA_UDP	Integrated Holistic Approach Urban Development Project
IHDP	Integrated Housing Development Program
LDP	Local development plan
MSE	Micro –and Small-Enterprises

NHDNeighborhood

NGONon-Governmental Organization

PRSParticipatory Rural Sustainability

ORAAMPOrganisation for the Revision of Addis Ababa Master Plan

RPFResettlement Policy Framework

Selected Local Terms

BirrEthiopian Currency

ChikaMud with straw used as wall construction material

DejazmachRank of nobility (in the imperial times of Ethiopian history)

Dergue (also spelled Derg) -----Committee (in Geez, ancient language of Ethiopia) used to refer
Military junta that held power in Ethiopia from 1974 to 1991

IddirVolunteer's social institution for social encounters especially burial

IngeraEthiopian national dish that is a sourdough –risen flat bread (spongy)

KebeleLocal government smallest administrative unit currently replaced by *Woreda*

EkubInformal lottery systems with individuals as a member pay regular fixed
Contribution and members receive sum of contributions

Meskel SquarePublic square for gathering or for demonstrations and festivals

SeferAn area of a neighborhood one feels he/she belongs

WoredaLocal government smallest administrative unit

General Note:

According to the Ethiopian naming system, for Ethiopians, first names are given in the citations of the text; while first names followed by father's name are given in the reference for the ease identification of the author by both Ethiopians and other readers.

CHAPTER 1: INTRODUCING THE STUDY

1. Introduction

Housing shortage is a long time problem in the history of urbanization. Ethiopia as a developing nation only with 18% urban population but with a high rate of urbanization in the present time is facing an immense housing back log. This back log in the capital city (Addis Ababa) caused by a number of factors basically influenced due to internal population growth and migration from every corner of the country. The city is under massive scale of slum clearance giving especial attention to the inner city to fill the backlog and in redeveloping to meet international provisions of infrastructure standards.

At this high time of intervention, this study focused to the inner city where renewal project is being implemented within the existing urban fabric. Effect of participation in such settlement areas questioned and analyzed how it affects or benefits social, economic, political, physical and environmental issues which will determine the sustainability of the project in long term and short term effects. The study is initiated due to a paradox between aim drawn by the local administration bodies as “strong participation of stakeholders” and the public house renters no more able to resettle back in the area. These communities have developed strong social and economic capital in their life time for a number of decades in the past and the opportunities they were granted the very prime location in the inner city; understanding these problems a research question is drawn to analyze the paradox between strong participation and total displacement. In this regard ‘level’ and ‘depth’ of participation effects discussed in facilitating housing shortage in the city in a sustainable way with a help of deep study involving different stakeholders with questionnaires and interviews of particular focused groups in the study area under theoretical reflections.

Participation being as a system reversing the usual way of project implementations “top to down” by considering the public at large as a start and end user also analyzed by discussing with the actors to indicate the gap in providing spaces. According to Somin Shin “public participation is a primary right of people potentially affected by a design” (Somin Shin@asu.edu) so, contents and qualities of the spaces need to be prepared as per results of professionals involvement and users contribution are going to be evaluated how far it has gone either from a delivery of a blue print or design with consent of users.

Development tracks to be sustainable and flourished from day to day activities and customs' of the community it has to respect and accept a room in responding the existing backgrounds and project the future accordingly. Respecting to cultural values, norms and way of living will leave the community at large to concentrate how to develop and make changes economically or psychologically. Sen (2000) argues that development consists of the removal of various types of freedoms that leave people with little choice and little opportunity of exercising their reasoned agency. In this respect the consideration given to the interest of the dweller's and their choices during the participation process shall be considered in the process with tangible results hand in hand with the possibilities in looking for options. The problem to be stated in this study area arises due to two major issues. The primary one is the nation projected to be a middle income by 2025 seems no longer keep its poor residents staying in a very prominent land with high revenue potential while the land is owned by the state. Secondly socio economic fabric of the original settlers blocked jeopardizing their livelihoods due to physical detachments between neighbors and their prominent location.

1.1 Research Questions

The following are the research questions of this study:

1. To what level does the city administration practice public participation in the urban renewal pilot project?
2. What were the reasons of the city administration in applying renewal which force original residents to be relocated somewhere else?
3. What were the reactions and attitude of the community towards the renewal project?
4. What are the after effects of the renewal project on the community?

1.2 Objective (focus) of the research

The general objective of this research is to study level and depth of participation in the inner city redevelopment specific to public house relocates and consequent effects on their lives. So, specific concerns of the research are:

- Current practices of participation in terms of consultation with residents in the study area.
- Impacts caused due to level and depth of participation on residents while redeveloping the area focused on spatial needs and socio-economic links.

- Recommend possible ways of participatory planning approaches, in line with the findings of the study and other best practices aimed at maintaining sustainable redevelopment process without interruption of socio-economic fabrics.

1.4. Methodology

Research method formulated to address the research questions and meet the objectives through theories based on contextual realities of the study area. The very fact that the study area taken as a “Pilot project” may entertain unexpected results and methods of implementations since it is a break through to be projected in consecutive city wide interventions. However, this study follows scientific methods from raw data collection followed by sorting the data and undertakes analysis on specific issues related to the study topic.

1.4.1 Steps in organizing the research:

First step: General data gathered and sorted to the specific topic from participation point of view regarding the renewal project and housing programs in the inner city.

Second step: Analyzing the data how participatory it was and its effect on spatial needs and socio economic fabrics in a comparative way before and after relocation .Triangulating stakeholders based on archive data and, questioners and observations on target groups conducted.

Third step: Research questions and conceptual frameworks reviewed with literatures in theoretical and experiences gathered from different corners of the globe including local case studies.

Fourth step: Findings and conclusions drawn from renewal process of the study area representing the inner city to propose alternative mechanisms in consecutive actions.

Fifth step: Recommendations achieved to be drawn both in redirecting policy directions and concerns twinned with spatial proposals to safeguard the endangered socio economic fabrics.

1.4.2 Data Collection strategies and Analysis Methods

In collecting data variety of resources are used; local administration archives, newspapers, public medias, published books, pamphlets, websites, observation through interviews and review of recorded video. Literature reviews in understanding theory’s and discussions on this issue also organized well in order to be interpreted with backgrounds of international and national practices So, in order to perform the mentioned objectives qualitative and quantitative analysis methods applied since the nature of the study require empirical observation and numerical relationships on spatial and socio economic fabrics of the action area residents.

Qualitative and Quantitative Methods

Participation as a major concern in empowering the users deal with soft human development which can be analyzed in a discussion and observation on a purposive sampling on one of the 53 relocation sites where the majorities are located .Interviews, reviewing a recorded video and personal observation on their reaction discussing the issue used as major mechanism of qualitative analysis in this research.

Secondary data for quantitative analysis gathered by the developer starting from idea inception to demolition process analyzed comparatively to relocation consequences interpreted through numbers and percentages (LDP's, Census, etc.).A structured questioner is also part of the study on top of *Lideta* sub- city archives which covers socio-economic data with physical records of the area to the individual space needs.

Census conducted by the developer primarily taken as source of data and on top of these governmental officials, relocates who were part of the process interviewed. So, governmental offices like

- Addis Ababa City administration land development bank and urban renewal project office in providing compensation and relocation directives with a deep briefing interviews of the officials
- Addis Ababa City administration housing agency together with an interview has provided comparative price list of condominiums for four years together with subsidy rates.
- Ministry of Construction and City development ;design department and library provided basic information regarding master plan details and manuals
- *Lideta* Sub-City provided major data on census details and results, choices of relocation figures and documents, video records, demolition process and focus group details.
- *Lideta* Sub-city *Kebeles* currently restructured and embraced the study area as there part of administrative vicinity provided relocated residents record
- *Arada* Sub-city *kebeles* shared their experience in resettling residents back on site
- *Gofa* condominium neighborhood owner's association officials interviewed about their past and present experience on socio-economic issues.
- Previous iddir leader interviewed how the iddir's involved in the process and dissolved at the end.

1.4.3 Rationale behind Case area Selection

The case area selected to be a pilot project in *Lideta* sub-city in the inner city for two major reasons:

1. Concerning housing development in a participatory approach the developer pronounce it to be conducted through “Strong Participation of Stakeholders” while on the other hand the action area covers 26h. This size compared to other proposals from different sub-cities reported to be the smallest one while in history of the city especially in housing project within an existing fabric still is the highest (Fana 2010) in area coverage and also house hold size which is 1445.
2. The opportunity in documentation process for a semester paper helped to notice some gaps how the government enunciates its achievement on participation of the localities while on the other hand original settlers are apprehensive of the development displacing them far from center of the city

1.4.4 Data Collection approaches

1. Interviews

Interviews with the following stakeholders conducted and their inputs used as data and references for the research. 1. The state (government bodies) 2. German Technical Corporation (GTZ) 3. Professionals and consulting firms 4. NGO and 5. Residents (relocatees) and their representatives

2. Review of Video records during different meetings

The sub-city communication and publication office equipped with professionals (both in man power and material) recorded about a total of 72 hours different meetings in different locations and subject matter was also critically reviewed to observe and note the vibe of the residents and methods of participation conducted. Out of these records the researcher watched 15 hours of various issues related to research targets and quick covers of 7 additional hours on related issues. This record has helped to gather a great deal of information's with its clarity of sound, light and pictures.

3. Questioners

Questioners to be relevant in responding or documenting the case prepared initially and with some adjustments after a test conducted translated to Amharic to avoid unnecessary interpretations from supportive data collectors. In coordinating this questioners from *Gofa* site where half

of the kebele tenants (450) relocated 10% of them addressed in a random sampling. On top of this from supportive cases 10house holds in *Serategna sefer* and Tourists condominium sites each and from previous researches semester paper documentation 22 households in kebele 42 *Teklehaymanot* area responses included(see annex 16).

1.4.5 Case Studies

In the theoretical review El Dakrour in Egypt and Mathew Henson Hope VI project (Arizona) included as a summary in order to see practices in developing and developed nations consecutively. The study area Local case study in the beginning was listed and tested further to some extent in response to participation and formulating research questions (*Serategna sefer* and *Tourist site* condominiums ---see annex 17). The first criteria were cases achieved to resettle on site or nearby within the inner city and test their participation level in housing process. (Annex 17)

1.5 Relevance of the Study

This study focuses on the effect of participation on redevelopment process to minimize displacement and enhance socio-economic capitals of residents. In doing so, a win-win situation will be created between the developer and settlers to keep the redevelopment sustainable. A pilot project by definition is an experimental one which needs special attention and even direct delegations and empowerment of local authorities to follow up in a daily bases reducing bureaucratic routines. In the explanations earlier every actor get lessons out of the pros and cons so that after this project there are a number of locations in different sub-cities to proceed by amending what was missing promoting participatory redevelopments to be implemented.

Relevance of the study also goes hand in hand with the aim in duplicating the achievements and re-correcting failures. Findings on participatory planning principles in reducing constraints as well as empowering the original settlers will benefit:

- Other sub-cities get lesson and achieve a better result in creating a win-win condition
- Relocatees of the study area disclose their problems regarding socio-economic situations
- Propose possible mechanism in minimizing displacement so that reshuffling of citizens from one corner of the city to the other will be reduced.

1.6 Scope and Limitations of the Research

Participation seeks collaboration of every actor in the action area; even though it seems a single issue it covers vast concerns like affordability, ownership, policies, actors, political, social and

environmental ideas etc. These factors affect every actor in the renewal process and makes the nature of the study complex; so that a scope has to be underlined concerning depth of research and time constraints .Public house renters are the main concern of this research since 76% of the study area is under kebele house ownership (UPII,2009) and they are the one forced with no option to resettle back on site as it is observed from their choices. Displacement of these residents ended up to 53 different locations limited data collection and *Gofa* condominium site chooses for its relatively high number of relocatees. In addition to this the very nature of participatory process and democratic governance respondents were also unwilling to give interviews not to be publicized and create hostility from government side.

1.7 Organization of the Research

The research is organized following five steps and divided into seven chapters (see Diagram 2 Organization of the Research below)

Chapter One-Introducing the study

The first chapter contains an introduction section which briefs about housing problem in the city of Addis Ababa and its complexity if it happens without an active participation of the stakeholders as a takeoff. It also includes motivation of the research, statement of the problem, objective (focus) of the research, research questions and hypothesis, scope and limitations of the research with with a brief how the thesis organized. Research methodology, case areas and selection methods used, data collection strategies and source identifications based on primary and secondary data.

Chapter Two- Literature Review

Different author's ideas and theories accompanied by best practices as case study both from developing and developed nations included. Definitions of basic terms, concepts and objective of participation in housing process wind up with Implementation process and level of participation effects.

Chapter Three-Background and Nature of The Study Area

Detailed background about the study area related to housing provision mechanisms and current experiences briefed in detail about the Integrated Housing Development Program, Policies related to participation in housing finance methods and tenure types in the area.

Chapter Four: Case Study

This chapter focuses on the study area and its process of the development as a pilot project being developed by the government.

Chapter Five: Findings and Discussions

Findings of the study well-presented and discussed in this chapter focused on the study area in the perspective of literatures and referring back to research questions.

Chapter Six: Recommendations

This study concluded with a recommendation both on how policies help to facilitate housing and also keep consensus results during participation to be implemented.

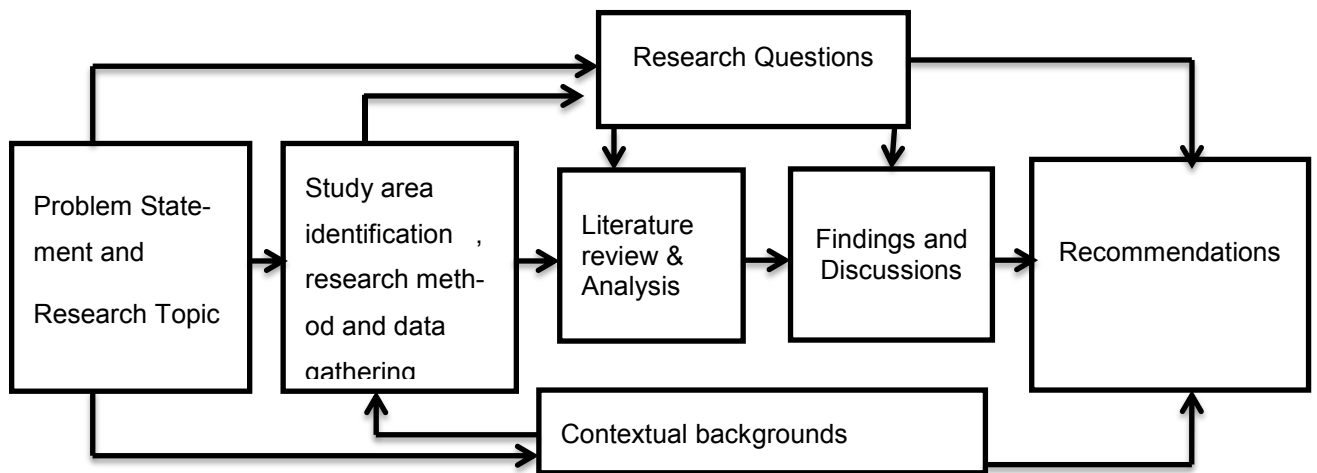


Diagram 1: Organization and presentation of the Research

CHAPTER TWO: LITERATURE REVIEW

2 .Housing

Definition: Housing as a central issue needs to be defined before relating it with other terms, house be it in the developed or in the developing nations ranks among the basic human needs. In order to meet these needs addressed to the users (humans) a number of ways has been practiced under the term “housing”. Housing intending to house people through a lengthy process and activities to serve as a means to lead their life considers a wide range of issues in the life span of multiple generations and its surrounding environment, following this different approaches and views are being experienced.

Turner's view can be seen in two categories as ‘provider paradigm’ and ‘support paradigm’ looking the term as noun and verb consecutively. Provider paradigm entertain it as what it is or as a shelter and provided as a stock .In the second approach which is support paradigm focuses on “what it does” to support the ongoing life one is already depending and also leading the house hold; beyond the physical protection it has greater link to the socio –economic activities performed because of the existence of the structures and interdependence character between the beings.

Defining the term in the specified approaches bring completely different success in the practical real world .So, theories of practices further seen by Nabel Hamedi in overlapping with the idea of Turner as provide paradigm and support paradigm clearly indicates in comparative way on issues like objectives, methods; products and key actors tabulated below in table 1:

Housing addressing from individual to society level needs to include different demands. According to UN in 1976¹ cited on Ashenafi Gossaye the residential environment, neighborhood, micro-district or the physical structure, all service facilities, equipment and devices need for the physical health and social well-being of the family and the individuals are the elements to be incorporated in housing. In addition to these elements the Habitat II Agenda (Istanbul 1996) expand the issue to “adequate housing” to reach on an international consensus which is to be appropriate with housing and urban problems to include different actors and active involvement of them on the process (see Annex2).This consensus even though made under a title of adequate

¹ UN ,(19 76),Habitat Recommendations for National Action on Land ,New York

housing it has also emphasized active involvement of different actors in getting space for living and other issues which is according to Bryan Lawson –space is the essential stuff of a very fundamental and universal form of communication” (Lawson 2001, pp6) entails housing is not only about physical protection barely as a shelter but it is also an interactive media in arranging space for social and economic activities.

Providing	Supporting
Objective	
Build houses for people Use House building to fuel economy Centralize resources to facilitate Management and control standards Build organizations that facilitate central Initiatives Consolidate and centralize building production Sectionalize development activities For ease of management, single –function projects	Allocate resources for people to organize their own house building Use the economy to fuel house building Decentralize resources to support local enterprise and home building Building regulations to support and give structure to local initiatives Fragment building production and support small builders Integrate development activities and link housing to larger urban systems of employment and production.
Methods	
Build large projects to achieve scale Manufacture housing to speed production Build fast by building instantly Standardize project and operations Clearance and redevelopment Tell what to do	Build programs and allocate resources for many small projects Manage resources to increase volume Build fast by building incrementally Promote variety ,improvisation, infill, sites, and services Tell how to find out what to do, then how to find out how to do it
Products/Component	
Projects Behaviorally deterministic planning Industrialized building systems Master plan	Interventions Technical aid centers Training Housing options and loan packages Guidebooks, guidelines, tool, and methods Appropriate technologies Structure plans

Key Actors	
Consultants Government agencies Funders Large contractors/developers	Families, Community groups, tenant ,organizations, on-governmental Organizations Nonprofit and voluntary organizations, Government agencies ,Small contractors ,Funders, Formal and informal private community developers and Consultants

Table 1 Provide and Support paradigm with comparative issues

Source: Theories of Practice: Key Characteristics adopted from Nabel Hamed, 1995

2.1 Participation

Definition: Nabel Hamed :experimenting participatory housing designs define the term as It usually refers to the process by which professionals, families, community groups ,government officials ,and others get together to work something out, preferably in a formal or informal partnership (Hamed 1995)

James L.Creighton :defines participation as informing the public ,listening to the public ,engaging in problem solving ,and developing agreements ,within a framework where the government officials retain decision-making authority.He argue participation can have a number of benefits : improved quality of decisions,minimising cost and delay,consensus building,increased ease of implementation,avoiding worst-case confrontations, maintaining credibility and legitimacy,anticipating public concerns and attitudes,and developing civil society. (C.Goodspeed 2008,pp23)

In particular cases or a project one may need to re-ajdust the above definations accordingly inorder to make it specific to the nature of problems to be solved ;for example as in the case of slum upgrading project in Latin America Ivo Imparato and Jeff Ruster has set a working defination:-as a process in which people,and especially disadvantaged people,influence resource allocation and the formulation and impleementation of policies and programs,and are involved at different levels and degres of intensity in the identification,timing,planning,design,implementation,evaluation,and post-implementation stage of development projects. (I. I. Ruster 2003)

Participation in the above definations or consideration is used as a means to address concerning stackholders needs and achieving a workable strategies in providing space for different and interlinked requirements . Individuals as a member of a house hold with different levels of tenure to social institutions agglomerating different spectrums of cultures, economical

status and governmental and non-governmental developers are expected to be identified and participate. Social institutions with great power of governing men behavior and way of life from household to a society level do play a great role in designing and implementing housing projects .In addition to this and as a main factor to be assimilated in the development discourse is economic links of the community to each other and locational benefits related to the surrounding.

In the view of Henry Sanoof (2000) –Current community participation theory suggests that politicians and bureaucrats have exploited ordinary people and such people have been excluded from the community development process. Leading proponents are found in international agencies such as the united Nations (UN), the world Health organization (WHO), the UN International Children’s Emergency Fund (UNICEF) .The emergence of community participation theory as an approach to social development is an outgrowth of the United Nation’s popular participation programs that required the creation of opportunities for all people to be politically involved and share in the development process.” So, beneficiaries if not limited to provision have a lot to contribute remarkably in the development opportunities. Different studies as indicated by Sanoof housing design and failure of present housing policy to meet user’s socio cultural and economic needs shows the following conclusions:

- A house is not a thing that can be designed or built it is the result of a housing process. The important act in this process is that of the user who lives there. The act of living there is the only act that makes a house something special, If the house is not a thing but an act (user) becomes important (Harberken 1986)
- Users are far more accepting of what they have designed and built than that which has been built by someone else (Hardie 1988)
- In most societies a house is more than a physical structure. It has a social and cultural value, whose shape is often determined by cultural tradition. So, housing options have to be socially ,economically and culturally more appropriate than those generated by theories of housing development tied to fixed notions, statically formulas ,and ideological commitments rooted in western industrial society (H. J. Sanoff 1988)
- Because housing providers place an emphasis on producing “units” to meet housing demands, there is an argument for the redefinition of housing problems as functions of mismatches between people’s socio economic and cultural situations and their housing process and products (J. Turner 1977)

These studies clearly agree on the influence of social and economic needs on top of physical structures. On the other hand participation as in the case of self-help people may be deluded the level of participation to a direct involvement of the users in building the houses but this as stressed by Turner is an error with an assumption that construction matters more than management and maintenance (J. Turner 1991, 140) .This can be seen in Transport and Urban road network in study of 121 completed projects in Africa, Asia and Latin America financed by various agencies showed that projects with high participation in project selection and design were much more likely to have the projects maintained in a good condition than would be the case with more centralized decision making [HIS, p.76] . So,participation as it is indicated in the definations different parties involvement and reaching to a consensuss during construction and post construction periods are the core ideas being a process rather than as an end product.

Participation completely not as an approche may incounter in development discourses but when it happens to be the way forward its measurability can be reflected from weak to strong participation mechanisms or co-existing in one system. In HABITAT,Planning sustainable cities 2009 citizen control over decision making is generally regarded as the most transformative and empowering form of participation.

Form	The purpose of participation	What „participation“ means to the implementing agency	What „participation“ means for those involved	Potential approaches
Nominal	Display manipulation	Legitimatization to show that it is doing something :prompt opposition	Inclusion ,in the hope of gaining access to potential collective or individual benefits	Token representation on decision - making bodies
Consultative	Assembling useful information	Better informed decision making with no loss of control	Policies and plans that are more appropriate ,but with no guarantee that the outcomes of consultations are taken into account	Information collection through systematic data collection Consultative process Responses to proposals
instrumental	A means of increasing effectiveness and stretching external resources further	Efficiency to draw on beneficiaries' resources increase cost effectiveness, and improve the prospects for successful operation and maintenance.	Access to facilities and services that are normally provided only to those that can afford to pay	Contribution to costs(money ,labour,etc)

Representative	To give people a say in decision-making through the political system or specific channels	Sustainability; established Systems are used for the expression of voice, improving responsiveness and ensuring accountability; provide a means of organizing and aggregating different views.	Leverage , direct or indirect to influence	Representative electoral political system(national local government Decision making and advisory at city or local level)
Transformative	Both a means and an end	Partnership with non-governmental actor's collaborative decision-making and implementation.	Joint analysis and development of plans; empowerment to enable people to define objectives, make their own decisions, control resource and take action.	Governance arrangement that involve partnerships or 'contacts' between government and citizens groups ;devolution of powers responsibilities and resources

Source :based on Pretty ,1995 White 1996 p 7-9; Cornwall, 2008 p 273

Table 2The form, meaning and purpose of citizen participation

Source (Habitat, Planning Sustainable Cities 2009,pp93)

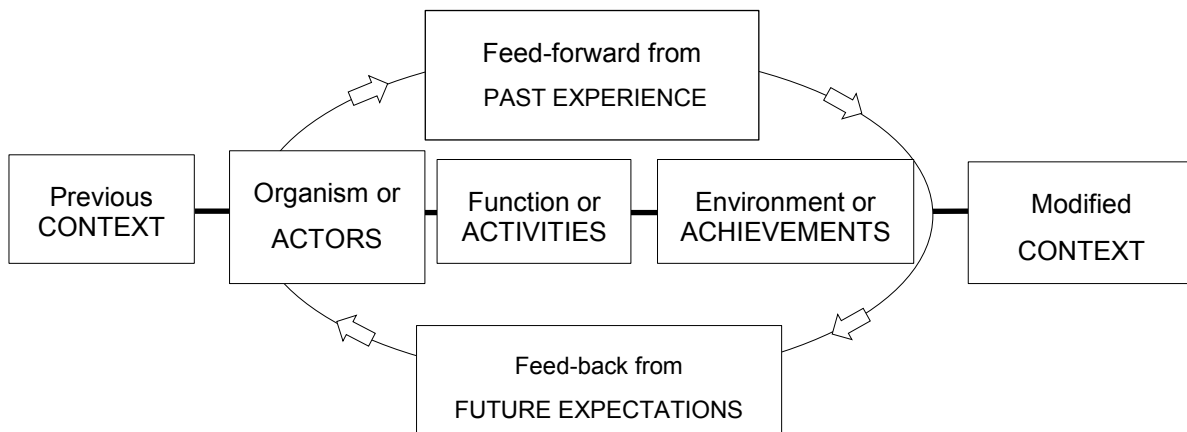
2.2 Participation as a Concept in Housing

Participation of different stakeholders in housing issues needs to be conceptualized in order to make policy directions and application strategies in democratic and good governance. Turner briefing this fact has questioned it as “Whose participation in whose decision?” In this question and as a central issue in participation “control or the power to decide” matters what level of participation in a development discourse implemented.

Participation level of end users becoming limited in a development conceived fast to be categorized as indicator of ‘under-development’ according to Hamdi which later by the UN Vancouver conference reaching to a significant shifts in policy. (since most policies continued to be engineered by western dominated interests and agencies and critiqued by WESTERN academics) and in line with experience and developments in Europe and United States, redevelopment gave way to upgrading ;the poor were seen as a resource and not as a burden to the economy; the informal sector was productive and not consumptive in economic terms; housing agencies became supporters ,facilitators, and enablers rather than providers; public expenditures or improvement programs were viewed as investment rather than charity; and so on. With these poli-

cies and the programs that emerged came community participation in planning, building, and management.” (HAMDI, 1995)

The conceptual benefit to be achieved from such approach as mentioned earlier relies in empowering the beneficiaries through which different kinds of contributions can be delivered, — experience with participatory housing and urban development projects demonstrate that community-based organizations and housing users can make important contributions to the provision and operation and maintenance of housing and urban systems”(M.Nour 2011).Development strategies in the past may have been conducted in regress and motivated approaches but as it is questioned in Arif Hassen ,Sheela and David Satterthwaite how to meet the MDGs in urban areas and its failure lays on exclusion of the poor or not consulting and working with them in devising locally appropriate solutions (Habitat April,2005) . Communities living in sub-standard houses and areas with such infrastructure does not mean they do not have good socio-economic attachments particularly in Addis Ababa where slum areas are more attached with physical conditions of houses and surrounding areas (Elias ,2008 pp37).This issue of attachment in particular is strong w it is in the inner city where services and job places and opportunities are in a walking distance.Concerning living space and its relation with the surrounding Turner also stress on —Questions about the consequences of housing in people's lives can only be asked in words that describe processes and relationships. Housing must, therefore, be used as a verb rather than as a noun - as a process that subsumes products. Real values are those that place in the relationships between the elements of housing action - between the actors, their activities and their achievements.” (F.C.Turner, 1991) This conceptual questions emphasize on housing in people’s lives by using words that describe process and relationships also discussed by Turner using Bertalanffy model which recognise direct relationships of feedbacks(and feed-forwards) in a previous context changed to a new or modefied context .(see fig 6 below)



“On the understanding that the actors” or decision makers” will and their reasons are functions of past experience and future expectations, the model maybe stated as the following composite question: Under what circumstances, will who, do what, why and with what consequences?”

Figure 1 A simplified model for the housing process based on Geddes(1877) and Bertalanffy's(1948)
Source: J. Turner 1991 pp 62

This questions in order to look forward the possible meanses of participation identify every parties and their contribution levels in the process. This conceptualized questions briefed by Sanoof as follows in the table 2 below: Questioning these way will help to identify and structure the beneficiaries in order to prepare workable stages of participation according to specific project types.

2.3 Objectives and Necessary Conditions to apply participation in housing

Participatory strategy needs detailed and vast coverage of actors involved in the process of the project as discussed earlier, by doing so the objective needs to be clear and stated transparently. According to Ivo Imparato and Jeff Ruster, information gathering and analysis making do benefit a lot from a participatory process which also provide the following objectives as in table 3 below:

<p>Henry Sanoff</p> <p>Conceptualizing the issue means asking simple questions: Who, what, where, how, and when?</p> <ul style="list-style-type: none"> • Who are the parties to be involved in participation? Individuals or groups who will or should be involved in the participation activity being planned must be identified .Generally ,people who will be affected by design and planning decisions should be involved in the process of making those decisions. • What do we wish to have performed by the participation program? For example, is the participation intended to generate ideas, to identify attitudes, to disseminate information, to resolve some identified conflict, to review a proposal, or merely to serve as a safety valve for pent-up emotions? • Where do we wish the participation road to lead? What are the goals? • How should people be involved? Appropriate participation methods have to be matched to purposes. Methods such as community workshops and charities allow for diverse interests and promote human resources development .They may afford the opportunity for the participants to have control over decisions. Public hearings, on the other hand ,may provide information but may not promote community support. • When in the planning process is participation needed or desired? It is necessary to decide where the participants should be involved, that is, in development, implementation, evaluation, or some combination thereof.

Table 3 Conceptual Questions of Participation

Source: Adopted from Henry Sanoff (H. Sanoff 2000)

In the objectives categorized from making the participants visionary to a working environment ending in compatibility of proposed solutions needs a principle to be followed in participation which summarized by Henry Sanoff(2000,pp13) as follows in participatory planning process:

1. There is no “best solution” to a design problem. Each problem has a number of solutions to design and planning problems are traditionally based on two sets of criteria:
 - a)Facts-the empirical data concerning material strengths, economics, building codes, and so forth:
 - b)Attitudes-interpretation of the facts, the state of the facts, the state of the art in any particular area, traditional and customary approaches, and value judgments. Thus design and planning decisions are by nature biased and depend on the values of decision maker(s).
2. “Expert” decisions are not necessarily better than “lay” decisions designers or planners should be considered a participant who identify, discuss and state opinions not as decision makers.
3. A design or planning task can be made transparent
4. All individuals and interest groups should come together in an open forum.
5. The process is continuous and ever changing. The product is not the end of the process. It must be managed, reevaluated, and adapted to changing needs.

This principles show the objectives can help actors to be equally important in the process, achieve them to be part of the development, always seek for a better solution and also keep the process open with the changing facts. In order to achieve the specified objectives the process how participation to be implemented different authors have shown the following stages to be followed:

Objectives by different authors in planning participation	
Ivo Imperato and Jeff Ruster	Henry Sanoof
<p>Confirm a vision of the problems that includes, in addition to technical aspects, the knowledge, views and expectations of the community.</p> <p>Transform the local residents involved into communicators and resource persons, strengthening the link between the population and the project.</p> <p>Create trust and establish a working relationship between socio-technical support providers and local residents</p> <p>Help create a core group of community organizers with attitudes and skills that will be necessary throughout the project.</p>	<p>Is the participation intended to generate ideas?</p> <p>Is it to identify attitudes?</p> <p>Is it to disseminate Information?</p> <p>Is it to measure opinion?</p> <p>Is it to review a proposal?</p> <p>Or is it merely to serve as a</p>

Contribute to the building of an interdisciplinary vision that takes into account the community's diversity and contributes to the compatibility of the proposed solutions.	safety valve for pent-up emotions?
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Table 4 Review of Objectives by different authors in planning participation

Source: (H. Sanoff, Community Participation Methods in Design and Planning 2000)

Stages	Participation stages by different authors	
	Ivo Imperato and Jeff Ruster	(Rosner 1978) cited on Henry Sanoff
1 st	Consensus building, or pre-identification	Identify the individuals or groups who should be involved Decide where in the design process the participants should be involved: that in the development, implementation, or evaluation
2 nd	Pre-feasibility or program identification	Articulate the participation objectives in relation to all participants who will be involved
3 rd	Feasibility studies and program design	
4 th	Setting up a system for monitoring and evaluating program implementation and impact and Program rollout	Identify and match alternative participation methods to objectives in terms of the resources available Select an appropriate method to be used to achieve specific objectives.
5 th		Implement chosen participation activities
Remark		Participation in Design based

Table 5 Review of participation process by different authors

Source: (Ruster 2003) and (H. Sanoff, Community Participation Methods In design and Planning 2000)

The objectives of participation in resulting transparent development process do result in equitable resource distribution and efficacy of the projects in a sustainable way so as a means of poverty reduction and adequate housing approaches. According to Selman Erguden World Bank and UNCHS(Habitat) launched the "City Alliance" with two principle operational components. First is the city development strategy (CDS) which is an action-plan for equitable growth in cities, developed and sustained through broad-based participation to improve the quality of life for all citizens. Second, the Cities Alliance is engaged in slum upgrading that consists of a range of physical, social, economic, organizational and environmental improvements undertaken cooperatively to improve the quality of life in informal settlements and slums. This approaches as a

local agendas need to be performed by orienting the objectives and necessary conditions in overlap with international commitments.

2.4 Sustainability in Participatory Housing

Development opportunities and urbanization with critical demand of adequate housing needs a sustainable approach which is appropriate and participatory of all stakeholders, in particular the vulnerable and disadvantaged one's (Habitat II Agenda, 1996). Empowerment as a basic issue to be benefited out of participation will benefit in the longer period by creating equitable resource share through belongingness, preserving cultural heritage and spiritual and cultural values(Habitat II Agenda,1996).

'Sustainable development' being defined as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs"(WCED1987:8) even though some criticized it as western development paradigm (Wolfgang Sachs) it is being implemented and resulted in Rio Declaration a criterion as 'Agenda 21'. Especially Chapter 7 of Agenda 21 is particularly about sustainable urban development (UN,1992).So, the guiding principles towards sustainable development undergo four major issues: Economic Sustainability, Social sustainability, Physical sustainability and Ecological sustainability. Local Agendas as approaches to address in a micro level need to be prepared as a guide line in respect of the "Agenda 21".This to happen Janice put it:

There is no magic bullet for creating sustainable, equitable, and peaceful cities. But there are some necessary if not sufficient conditions for such transformations: transparent governance, decent work or basic income, innovative infrastructure to conserve the environment, intelligent land use with integrated community development, and social cohesion along with cultural diversity."(Janice E.Pearlman, et al)

So, in order to meet at least the objectives of human settlement under Agenda 21 transparent governance, democratic leadership with active participation of communities using awareness creating medias as basic tools to implement other objectives. Projects to change housing conditions in slum areas by the governing bodies that run the political system and the citizen to be served socially linked each other and economically interdependent needs such factors to be considered strongly. Willingness and genuine political system to allow users to participate will perform a sustainable arena in development issues. In the case of political advantages to be achieved manipulation of the subject matter may happen. So, "When participation is politically demanded ,as in the case of housing design the process and outcomes of public participation are often ineffective" (Somin Sohni).This scenario also reflected in UN-HABITAT(2002)as dem-

ocratic political system representatives of a society takes the position with election process and promises during such periods –strengthens ... and revert to the previous status quo situation” so, success to come hard political choices need to be achieved (see table7 below) .

Un-Habitat’s analysis of country shows that when legislation, investment and governance are targeted at the urban poor the results are good. Countries that had success in improving their slums share similar policies:

Government commitment backed by bold policy reforms

Scaling up (dare we say –large scale”?) slum-upgrade programs

Adopting urban planning measures and equitable economic policies to prevent further slum growth

Offering formal (title deeds) or informal (customary rights)means for securing land tenure

The creation of zones of affordable services land for housing to prevent the growth of new slums

Increasing investment in basic services such as affordable water and sanitation through innovative tariff structures and subsidies

Instituting the devolution of finance and decision-making from central to local government

Table 6:UN-Habitat’s analysis on success stories of policies in improving slums

Source: UN –HABITAT (STATE OF THE WORLD’S CITIES2006/7)

2.5 Living Rights in the City and Good Governance Indicators

Slums giving physically deteriorated socially disturbed and economically unstable are bad images of urban areas due to this and other factors like MDGs governments would like to clear and build standardized modern structures. However, the structures are too modern or up-to-date its sustainability depends on not only on the physical look but also social, economic and environmental issues as discussed earlier. So, deeper issues need to be raised like:

- Agenda 21 Under Social matters it specifies combating poverty, Community empowerment, Gender equality, Youth and elderly Inclusion , Racial integration and indigenous rights. Acknowledgment and inclusion of informal process adopt the Subsidiarity principle promote the enablement approach strengthen local governance and democratize the decision making process recognize and strengthen the role of major groups and actors. Strengthen local authorities as facilitators of local action and improve their management capacity. Improve dialogue between local society through LA 21, improve regulatory frameworks promote North and South –

South to South cooperation and exchange promote decentralized Cooperation (Andriana Al.and Nicholas Y:PP 33) ”

- Amartya Sen (2000) argues that development consists of the removal of various types of un-freedoms that leave people with little choice and little opportunity of exercising their reasoned agency. One of the vital points is that one human freedom tends to promotes is freedoms of other kinds: There are very many different interconnections between distinct instrument freedoms. (Sen,2000:43,Potter Binns)

The poor who cannot afford either to keep land at their hand and secure tenure right or living in worst conditions of houses under rent does not mean they do not have the right to live within the city close to work places , favored with low cost on transportation and near to service areas.

-One of the most articulate explanations of the need to listen to the urban poor comes from Rose Molokane of the South African Federation of the Urban Poor ,or FED UP .She recently told an audience that included development professionals: -We are fed up of being subject of the agenda. We are fed up with you not listening to usWe are poor, but not hopeless. We have money, but no chance to come to the bank and open an account because we have no address. If you give me security of tenure, then I have an address, and I will open an account .We will show you we can do itThe only thing we are concentrating on are how to organize ourselves. If communities are organized, they are a tool to address issues that are giving you double stress.” (Molokane, 23 June 2006).....In the words of Australian aboriginal elder Lilla WATSON: -If you have come to help me ,you are wasting time .But if you have come because your liberation is bound up with mine, then let us work together.” (Watson, 1999)

City centers covered by slums while embedding great potential within are being bulldozed resulting majorities in displacement .This at the end of the day is seeking for a wealth from taxes and to utilize high density and settle more citizens. In this way slum clearance for wealth if the displacement result in excessive number of original settlers ,exclusion of the poor according to Richardo Toledo the plundering of environmental resources for capital accumulation is an obvious violation of social rights, and social control aimed at counteracting and prevention this violation is important (Rod Burgess 1997) .

Equity is a central issue of development since wealth distribution between citizens is creating layers of class. Development strategies and information’s accessibilities has to be available for everybody to use the opportunities. So, in order to address the venerable society and also keeping the developers encouraged a coordinated and participatory approaches needs to be struc-

tured considering the following points stated in Habitat Agenda II and Cities Alliance in table 2 below.

Habitat Agenda II	Cities Alliance
The right to adequate housing Sustainable human settlement Partnership and participation Gender Equality in human settlement development Mobilizing finance	Promoting informal settlement upgrading Promoting inclusive and participatory approaches to urban development and sound urban governance.
See Annex2	

Table 2 Summary of Key Strategies in addressing urban problem

Source: Reserchers review

2.6 Implementation Process and Level of Participation

Participation which needs a lengthy process even never to end in most of the time after construction concluded in its full control by the end users achieved to sustain and serve the maximum during maintenance period. So, the implementation process with level of participation and depth of participation which gives enough or acceptable room for every stakeholder to reach to a consensus. Participation requires a process which allow all stakeholders to be part and contribute or reach to a consensus in the subject matter and details of the project intended to be implemented

Key elements to implement a participatory strategy (Imparato & Ruster, 2003) :

- The access of the community to information about the process based on a permanent and efficient communication strategy
 - The implementation of adequate participatory planning tools, so that the community may influence the process and planning may benefit from local knowledge
 - A change of attitude on the part of the staff of the agencies promoting projects
 - An institutional arrangement which needs to be integrated, flexible, and demand responsive
- In a similar manner but focused on stakeholders participation in poverty reduction spectrum of

participation by Walter Eberlei refers to ‘ladder of participation’ by Mc Gee and Norton(2000)² ranges from: i)information-sharing, ii)consultation ,iii)joint decision making to ,iv) initiation and control by stakeholders. Open –Ended Methods: Informing a large audience about proposals, generating interest, or securing approval can take the form of a community meeting, also referred to as a public hearing or a public forum. Public meetings allow community leaders to present project information at any time during the process. The tight structure of such meeting, however, does not permit ample time for discussion. Although this is referred to community participation, only the most aggressive personalities tend to participate and often dominate the discussion. Public reactions open meetings determined by a vote through a show of hands. (Sanoff 2000)

2.7 Levels and Depth of Participation

Definition: The issue of participation and its levels are now days a concern of international organization even to allow funds, loans and collaborations among governments. So, the application methods of the concept have to be analyzed not to be manipulated to achieve the later cases rather than original targets.

Henry Sanoff (2000,pp 8) exemplifying Deshler and Sock (19850) levels of participation as contextual that may result in varies types, level of intensity ,extent, and frequency describing as follows:

-Pseudo participation” is a non-participatory where control of project rests with administrators:

- *Domestication*- This involves informing, therapy, and manipulation.
- *Assistencialism* - This includes placation and consultation.

“Genuine participation” occurs when people are empowered to control the action area::

- *Cooperation*- This refers to partnership and delegation of power
- *Citizen control* - Which means empowerment.

Citizen control	Collective action	Self-mobilization	<div style="display: flex; flex-direction: column; align-items: center;"> <div style="border: 1px solid black; padding: 2px 10px;">Strong</div> <div style="margin: 5px 0;">↑</div> <div style="border: 1px solid black; padding: 2px 10px;">Weak</div> </div>
Delegated power	Co-learning	Interactive participation	
Partnership	cooperation	Functional participation	
Placation		Participation for material incentives	
Consultation	consultation	Participatory consultation	

² McGee and Andy Norton 2000:17f) cited on (Eberlier 2007pp21)

Informing or Therapy		Passive participation
Manipulation	compliance	Token participation or manipulation
1	2	3

Table 3 Levels and Depth of Participation Source: Adopted from Elias,2008

2.8 Challenges in Participation

The basic concepts of participation in giving power to the users and responding to their demand might face a number of constraints; participation ideas and challenges encountered from the developer side to the beneficiaries and also intermediary’s needs attention to avoid obstacles in the realizing of the goals. Thomas Siebold (Siebold INEF Report 86/2007) discussing about constraints in participation on PRS focuses on among other things time, capacity, communication, and urban–bias. Consultation to be conducted as it was mentioned previously the need for intervention and its objectives have to be drawn clearly and with initiation from participants, to do so information dissemination and making it available to everyone is a necessity.

In design inputs in planning the professionals also if comes with their ideas as a sole solution to be implemented this also can be taken as constraint on the process ,instead can be taken as one input to be discussed thorough out the participants.

Legal frameworks concerning housing delivery mechanisms and citizens say on development issues if not incorporated in institutional right and if capacity to implement is not balanced with ambitious plans. Housing policies not being well organized and documented in developing countries (Arnott 2008) can be taken also as one of the hindering constrains in participation (Ayman M.Nour).

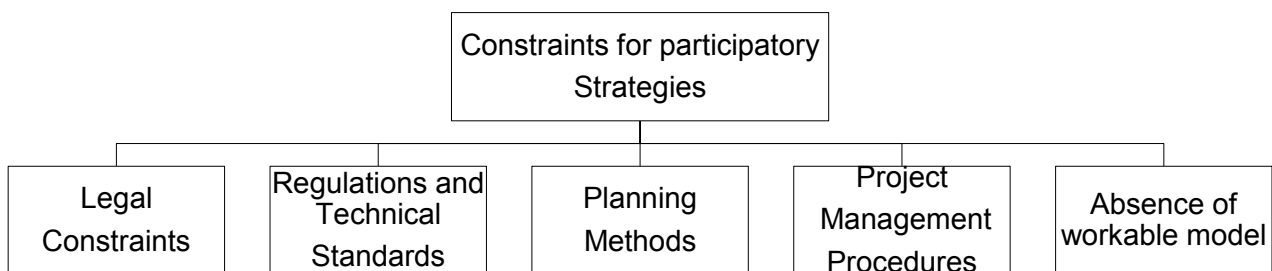


Figure 2:Constraints for Participatory strategies in Urban Development Project

Source: Adopted from, (Shubeler 1996)³

³ Schubeler, Peter. *ibid.* 1996 cited on (M.Nour 2011)

2.9 Project Effectiveness

Three distinct generations are distinguished in the area of urban renewal: the era of the bulldozer (in 1930s in Britain and in 1940s in US), neighborhood rehabilitation (in the 1960s) and the era of urban revitalization starting from the 1970s (Belachew Kale –et-al 2003). The difference between these two approaches has created immense relationship and implications between the developer and direct affected settlers, i.e. while bulldozing systems are forceful acts the era of revitalization is considering slums hidden potentials which create admiration from users. Bulldozing acts were against the recognition of settlers concern and effectiveness rely on the developer shoulder without getting willingness from affected people.

2.10 History of Participation in Housing: (developed and developing countries)

This section as historical development of participation in developed and developing countries is a review of an article by Hamedi under ‘participation and Community’ unless specified.

Participation as an ideology born of 1960s followed similar events in Britain and United States. Primarily England has institutionalized participation in 1956 and then with the Housing Act and Skefington Report of 1969 while the Federal Law incorporate in the planning in 1970s. In developing countries in mid -1970s the concept was as a buzzword followed by site and services implemented by the World Bank in its Urban development policy. as “Like other reforms in housing, community participation was institutionalized out of necessity rather than benevolence and in response to growing public militancy as well as the demand for environmental justice.” (Hamedi 1995) England is the first country (1956) to incorporate in the legislatives allowing people in the decision of planners by offering the right of objection or appeal to development plans in case of new construction and of compulsory purchase of slum clearance. The real change came with the Housing act of 1969 (and later 1974), this was realized due to two reasons one a public protest and by the “shear burden of casework involved in planning appeals” (Ravetz 1986) cited on (Hamedi 1995)

Period	Phase	focus	Instrument
1960's-early 1970's	Modernization & urban growth	Physical planning. Produc- tion of shelter by public agencies	Blue print planning: Slum clear- ance and direct construction of housing
Mid 1970s mid 1980s	Growth & redistri- bution	Self help	Upgrading; sites and services

Late 1980s early 1990s	Enabling approach	Securing an enabling framework for action by people., private sector and markets	Public and private partnership; community participation, capacity building
Mid 1990s onwards	Sustainable urban development	Holistic planning to balance efficiency equity and sustainability.	As above, with more emphasis on environmental management & poverty alleviation.

Table 4 Historical development of housing provision

Source Elias,2008

2.11 Examples of Participatory Urban Projects

a) Egypt; *Participatory Urban Development Project El Dakrou;the first and second phase 1999-2001 & 2001-2003and the third phase,2004-2007*

This project started in1998 in the framework of bilateral cooperation between the Arab Republic of Egypt and the Federal Republic of Germany with Giza Governorate as the counterpart and the district of Boulaq as the executing agency. The project ultimately to improve the living conditions of the local population was conceptualized to be implemented as a traditional upgrading project focusing on infrastructure, urban planning, public space and environmental improvement. However, consultations with the local communities revealed that the priorities of the population did not correspond to the initial assumptions of the local administration and the consultants who designed the project as an upgrading project. Economic development and income generation provision and improvement of social and community services as well as Environmental improvements particularly garbage collection was the major concerns of the community members. As a consequence of this priorities reconceptualization of the objectives in accordance with the priorities identified by the local people .(The World Bank, Ministry of Planning 2007,cited on M,Nour 2011)

According to M,nour the intervention were designed to provide learning experiences in participatory planning, decision making, execution and maintenance and key action areas were readjusted as per the priorities of the local people. M.Nour referring Piffero, Elena clarified the participation levels as follows. During the project planning of the two phases ,the concept of “participative urban management” was left without a clear definition, and attempts to identify a more precise orientation regarding the procedural and organizational issues(about what “participative urban management” could or should be) were avoided. It is possible to conclude that a sort of silent consensus existed among the project staff (in BeD) and its partners according to which participation is approximately referring to the involvement of the important stakeholders (includ-

ing the residents) in the general planning and development process. This silent consensus might be an acceptable working agreement during the explorative phase ,but after six years of pilot implementation the project team felt the need of better characterize the participatory approach and to clearly define a path to follow in order to translate it into practices”, which were defined as being “process of consultation and planning”. Such consultations require an incessant process of negotiation between the community and the government represented by the local administration (Piffero,Elena 2009,cited on M.Nour,2011)

M.Nour after conducting this case study has concluded on the type of participation and effects expected in the process:

“What emerges from this case study analysis is that participatory development process has no predetermined outcomes: they can lead to transformation and change in the political and social patterns. But sometimes they do not really affect the way decisions are taken and implemented and the relations of power among the various stakeholders. In this sense, it is possible to differentiate between two types of participation: participation as social inclusion and participation as social political transformation. Participation as social inclusion refers to a dynamic in which those groups and individuals that were previously marginalized are involved in the development process, but in ways might reinforce the very same exclusionary mechanisms which caused their marginalization in the first place(Kothari U,2001).Participation as transformation ,on the contrary, refers to a process which modifies and changes the relations of power that objectify and subjugate people ,leaving them without a voice (Cornwall A.2000).In certain cases ,even micro level project somehow succeed in triggering broader political and social transformation that allow the marginalized population to become integrant part of the social and political systems , and enable it to get full citizenship rights (including first stage responsibility in the decision making and a full reintegration in the allocation of governmental resources(Piffero,Elena 2009)”.

b) USA:Mathew Henson Hope VI project

It is the first housing development in Arizona with 372 housing units with most convenience of that time. This area was under this process because the inner city phoenix declined and neighborhoods of MH suffered more crime and blight with few amenities of HOPE VI projects is (U.S...Development, 2002) :

Participation Techniques (group meetings for group consensus) were in three groups:

Group	1.Community Action	2.Focus Groups	3.Advisory Group
-------	--------------------	----------------	------------------

Meetings	Team Meeting		
Activities and objectives	Information from the community action team meetings was given to the master developer and the community advisory group. Every month since 2002	Conducted by a trained moderator who draws out participants' thought to a project Different focus groups were organized and addressed in their categories: a)DFG-3 meetings (2004,2005 and 2006), b)SFG -9 meetings(2002-2005) and every month since 2006 c)YFG-since 2002	Litsenand comment to summarise and review residents comments inorder to help the city make disision and move forward. Support public recommendations in the community and even provide vehicles to people who cnot attend
Remark	Community and focus groups ,as well as four sub-groups were (a) community and supportive services (CSS),relocation,section 3⊕b) community relations and outreaches (c) financial and economic development:and (d) planning and design.Each sub group included residents and officials from the city of Phoenix.		

Table 5 Revision of Hope VI projects U.S

Source:U.S...Development, 2002 ---researcher summary

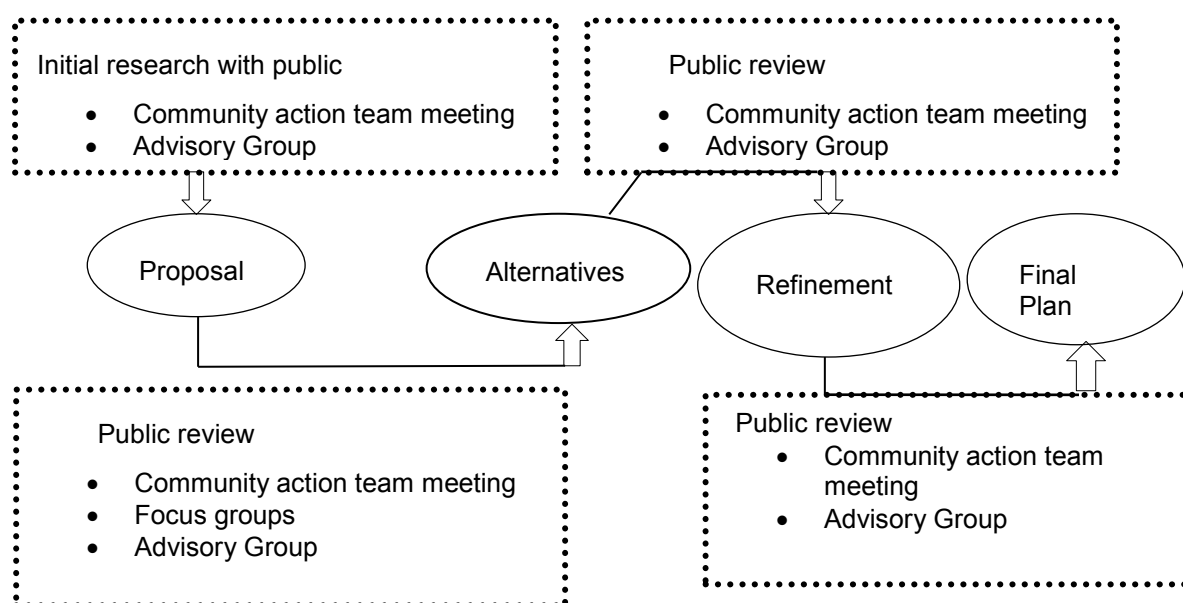


Figure 3 Participation in the development of Matthew Henson HOPE VI Project

Source: (Sohin n.d.)

In addition to this quarterly newsletters and occasional meetings such as move-in workshops and community garden meetings were employed as communication tools to identify planning and design strategies.

2.12 Conceptual theoretical framework

The conceptual idea of participatory housing is that socio-economic fabrics formed over long periods are assets for a healthy community that cannot be easily replaced. Participation process helps to preserve these soft elements like culture, natural environment, interactions and economic interdependence between people and so on with the built environment to archive a livable atmosphere while enhancing human development. Participatory planning and design is shown to bring sustainable neighborhoods as seen in the examples of Latin America (Ivo Imparto and Juff Ruster); the practicality of participatory planning as amplified in the case of Curitiba (Kirsteen MacLeod 2002) without any discrimination from small kids to the aged once is being celebrated and taken as best practice.

In the process of keeping the idea workable conceptually with practical means and valuations are the frames to be considered in participation as:

Participatory Planning and design rests on the following pillars:

1. Democratic and good governance strategy
2. Empowering the society to form a sustainable settlement
3. Enablement truck and minimum displacement
4. Stakeholders to filter out priorities of development strategies and identify what they need related to their life-style, socio economic and physical conditions.

PARTICIPATION

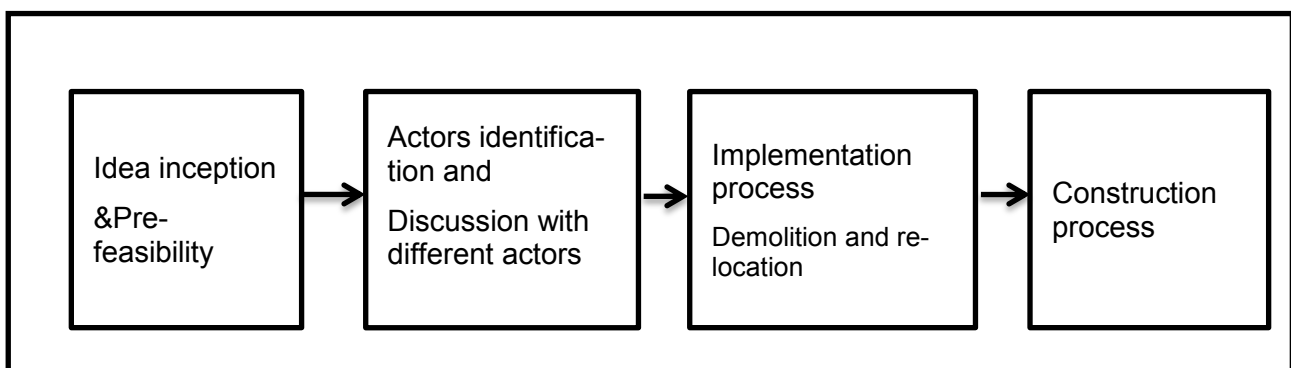


Diagram 2: Conceptual theoretical Framework of the Study

CHAPTER THREE: BACKGROUND AND NATURE OF THE STUDY AREA

3. Introduction

Addis Ababa as a central city ending small kingdoms in Ethiopia by emperor Menilik II and his wife Taitu aged more than 125 years with a territory of 54 hectare land. The city located at an altitude of 2440m above sea level is surrounded by mountains. Addis Ababa established at 1986 with a local knowledge of settlement centering the palace keeping it at a strategic high altitude and loyalties down to the terrain in hierarchical positions organized by nodes like churches business and market center (ORAAM P 2002).

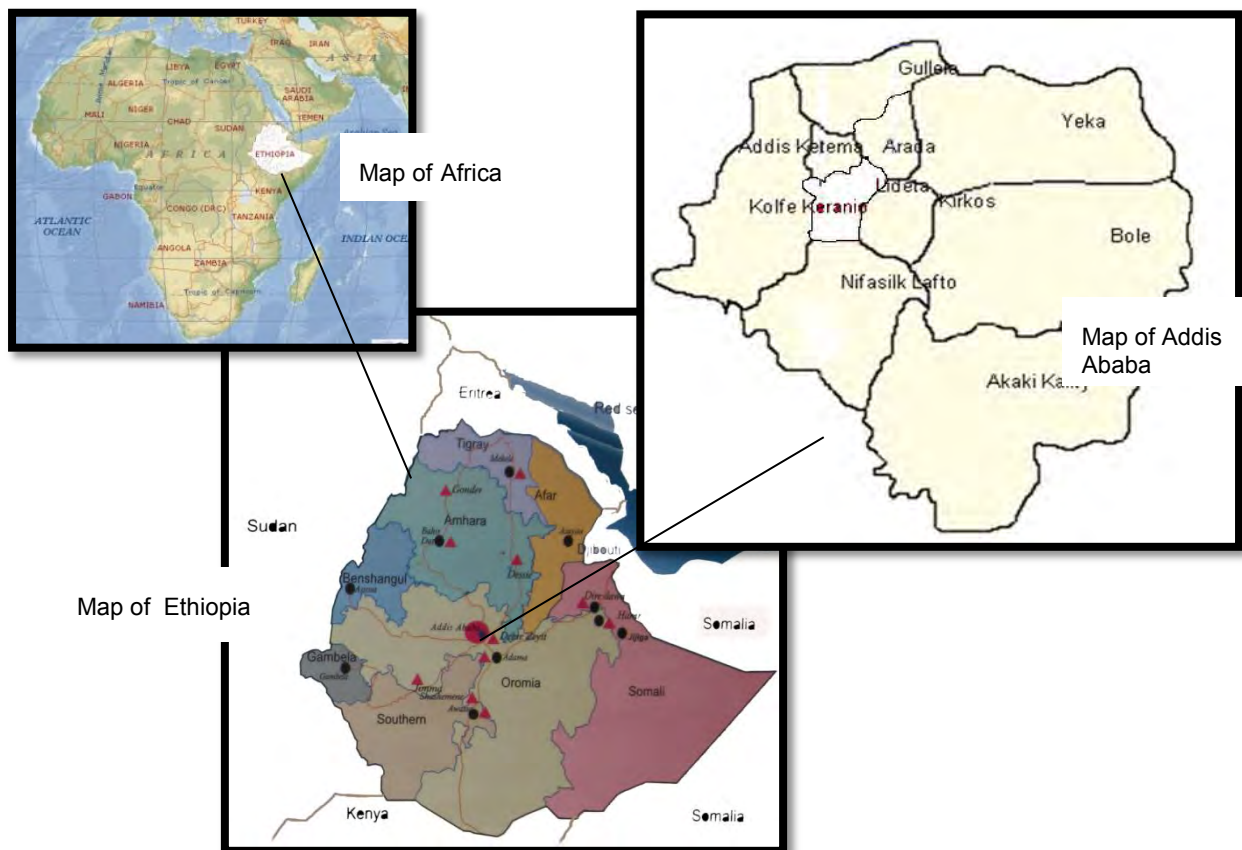


Figure 4 Location Addis Ababa

The city has been developing following 'Taitu- Menelik' development plan till the coming of Italians in 1936 and five years occupation established basic features of the current structure (ORAAMP 2002). After this basic structures laid a number of known professionals and organiza-

tions have revised and some of them implemented up to the current condition being administered and controlled by the Addis Ababa Master Plan Project Office. The morphology of the city from single stories to multiple story buildings start to be changed during emperor Haileseilase and its pace was retarded during Derge regime because of a civil war lasted close to two decades.

Currently through leasehold system the private sector is participating in developing better image to a multi-story system according to the master plan which is being revised every ten years. Single story houses with temporary construction materials still are the common images of Addis especially in the old and central part demanding intervention for better life environment and other related issues:

- Slums are being created here and there due to unplanned settlement and aged structures with alarming population increase.
- Dilapidated structures especially in the city center built before 1974 are becoming unhealthy, insecure and inefficient places for living.

3.1 Inner city of Addis Ababa

Inner city, built before 1974 is full of dilapidated physical structures and extended structures through time (Esayas 2000) originally intended for feudal land lord's residents and rental purposes for the rest of the citizens. Due to proclamation number 47/1975 with consecutive directives which hinder any change on the structure and even material type of the houses nationalizing extra urban houses and rural lands resulted in highly congested, unhealthy and substandard infrastructure in the area during *Derge* regime. Extra properties transferred and owned by *kebele* administration (those estimated to be rented below 100 birr) and others over 100 birr administered by AARH. The ownership transfer with low rent and relatively high tenure⁴ was actually achieved by the renters. However, the *kebele* administration failing to manage all the maintenance and upgrading of these structures aggravated the phenomena which forced master plan in 1991 proposing renewal as a last option of intervention mechanism⁵ (Y. Elias 2008). So, known as older part of the city, currently full of problems layered resulted in deteriorated structures with degraded environmental conditions while population growth aggravates crowdedness

⁴ Individuals who were living previously renting these spaces continued to live-in under the administration ownership

⁵ Master Plan of 1986 proposing renewal as a sole means to be discussed further under "renewal as intervention Mechanism".

requiring unplanned extensions or *kitiya* in demand of space (Esayas 2000). Migration from rural part of the country destined the location as transition space on the other hand accumulates different social strata's and economic activities booming over time. According to Ashenafi (2001pp 170) income level of Addis Ababa's population are low and poverty is widespread with data from World Bank estimate that about 65 percent of the households in the city could be regarded as living at or below the subsistence level (Baker, 1997, cited on Ashenafi April 2001). The economic status between residents is not in a segregated manner rather a mixed nature is one of the result of the social capitals built for long periods. Residents living in this area look for locational opportunities to services in the area the centrality nature from where regional transportations hubs divert towards also generate finance both for self-employed and the unemployed working age group.

3.2 Slum Clearance and Resettlement through Participation in AA

Slums as potentials advocated by international organizations currently are forcing member states in housing 100 million's before 2020. This act focuses on minimum displacement by applying participatory systems benefiting the poor to develop sustainably. Ethiopia as a member of the UN and practicing renewal as Inner city Intervention mechanism Prime Minister Meles Zenawi⁶ addressing parliament in 2004 will be done with participation of the action area dwellers without displacement or a nearby relocation.

Definitions about slums and their existence differ place to place; according to Elias Yitbarek –starting from the 16th century the word is being used and at that time it was to signify squalid, overcrowded and wretched housing' and in the 19th century in quotation marks associated to: crime, drug abuse, epidemic etc. later on in the 20th century words such as tenement houses' and deteriorated neighborhoods were also used." (Elias, 2008) The same issue by Cotton and Frances (1991 cited on Mathewos) relating to situations of housing in Addis Ababa defined as –old dwellings which through overcrowding, neglected and breakdown of supporting services have deteriorated to an insanity, unsafe condition." Here, as Elias Yitbarek stress the case of Addis Ababa the term best fits to the deteriorated physical condition of settlements rather than the social aspect. Clearance act to this areas may arise due to one or many of the reasons mentioned above or –re-use of cleared land for the implementation of new projects, either the same as, or different from, the original use (Ashenafi April 2001)."Major interventions in Addis

⁶ Meles Zenawi Prime Minister of Ethiopia from 1991-2012 addressing the House of representatives in 1998EC

Ababa like the case of Kassan-chess and Sheraton hotel indicate these facts of slum clearance rather than a concern of housing as a content of development.

Renewal as an approach to this city in history actually started in the pre-1974 while Addis Ababa was nominated to be a diplomatic city and when a need for constructing modern structures arises. (Elyas Yitbarek 2008) .In the period 1974-1991 the inner city was left untouched even though the structures were degraded. Long after almost three decades proclamation 47/1975 the inner city is now facing a renewal project different in magnitude and management from activities performed under NGO initiated projects and others few with direct involvement of the government under the administration of the city. According to an Urban Upgrading Manual prepared by Mathew's consult -Starting from 2003, the Addis Ababa City Government has put urban renewal/upgrading as one of its top development agenda addressing urban poverty and improving physical image of the City".

Resettlement on site or nearby relocations through participation of dwellers achieved in few cases but not limited in the following locations:

1. *Serategna sefer* originally with 42 settlers achieved to resettle back 24 of them after constructing two blocks G+4 condominium; the 18 of the households choose to be relocated on other condominiums due delay of construction.
2. *Tourist* condominium site as one of early time condominiums in the inner city served as nearby relocation for action areas in *Arada* Sub-city including *Serategna sefer* .
3. *Teklehaymanot* area Kebele 42 different from the above two cases are an NGO initiated project in the Derge regime .In this renewal spot 32 households were beneficiaries in resettling back on site with standard structures as per their previous consensus.

Revising issues of housing related to participation different authors compare and show the spectrum of housing policies in the last ruling eras as it is summarized below in table10 followed by level of participation in particular cases in Addis Ababa in table 11 :

1886-1936---1941-1974	1975-1991	Post 1991	
Feudo-capitalist" oriented Italian occupation from 1936 - 41(colonization effect)	-Marxist Oriented"	-Market Oriented"	Remark
Use right up to 1907 Private landownership	Nationalization of extra houses	Leasehold and free market economy	Major policies

Land lords permanent houses & rental spaces	Public housing ,NGOs CBOs & Housing Cooperatives, Self help	H. Cooperatives ,Condominium law ,Real estate ,NGOS &CBOs	Means of housing
Individuals controlled the system No communication with the public	Participation for material incentives (capacity building) Gov. employees with saving and passive participation	Consultation with the community as stated on <i>Article 43 no.2</i> of the constitution Renewal sites with deep census including formal tenants &co-dwellers	Participation

Table 6Housing mechanisms Systems and participation in Ethiopia in different eras

Source: (Y. Elias 2008)

Stage in project cycle	Identification	Planning	Implementation	Location
Levels of participation	consultation	Inform	Indirect	<i>Arada</i>
	Full control	Inform	Indirect	<i>Kolfe</i>
Degree of participation	Medium	Low	Low	<i>Arada</i>
	High	High	High	<i>Kolfe</i>

Table 7 Cases of housing in Addis Ababa particularly levels and degrees of participation

Source: Y. Elias 2008

Renewal in the past from the above discussions can be seen limited to small activities, but currently ambitious large scales areas being bulldozed in the inner city, *Sengatera-Firdebet* phase I(study area of this research) being taken as a pilot project is an active renewal project under the “Integrated Housing Development Program” covering 26 hectares of land affecting 927 resident households with 3572 families which is 80% government houses,18% private ,1%private rental and 1% others(LDP2009).

3.3The Integrated Housing Development Program

This government-led housing program came in picture to address a number of issues benefiting out of housing : reducing the housing backlog with a better living environment and standard of life ,improving the socio-economic situation, reduce unemployment by creating small scale industries to participate in the development discourse towards a middle income countries projected to 2025. When this project was launched 450,000 people registered and expect every completion of construction to be delivered through lottery system basically to avoid corruption and accessibility of citizens to every development equitably. The expected output in annum was around 125,000 houses but in effect for the last seven years the administration has transferred

only 89,000 houses to the users which clearly show the plan was an ambitious one (UN HABITAT, Condominium Housing In Ethiopia 2010).

The targets as it was initiated in enabling slum dwellers to have decent houses focuses on the low and middle income households .The first pilot project was managed by German Technical Corporation(GTZ) on behalf of the city administration in Bole sub-city neighborhood of *Gerji* area accommodating 750 residential units along with office and commercial units. Later on the decline in direct involvement of GTZ (interview GTZ)resulted in the establishment of Housing Development Project Office (HDPO) in 2005 .Land preparation for the implementation of this condominium houses needs large areas reserved for its purpose but such preparations and coordination's were not available at a marked spot .Different mechanisms assessed by AAHDPO and decisions left for the city cabinet sites in different locations were marked and construction in the Inner city, Intermediate zones and expansion areas of the city conducted .In the expansion area agricultural land was consumed for housing displacing suburb farmers with different compensation accommodations for the farmers while it is turning its face back to the inner city as it was dreaded large number of residents affected. So, currently the Land Bank and Renewal project office is responsible in preparing delivery of land and coordinating the project in action area.

3.4 Policy

Housing as a single issue and comprehensive policy was not given attention in different political eras; according to Ashenafi housing sector has been given a fairly low priority in the national socioeconomic development planning process; –in the last two decades not more than 2.4 percent of the country's GDP was allocated to national housing developmentDuring post 1991 under the EPRDF especially in the past decade housing is becoming the main industry responding to many factors like: job creation, inner city and expansion areas redevelopment, promoting saving culture and affordable modalities for the dwellers". (Ashenafi, 2001 pp. 133-134)

In the current government consultation with settlers stated as (Dejene,2005)

- Nationals have the right to participate in national development and in particular, to be consulted with respect to policies and projects affecting their community. (*CFDRE-Article 43 no.2*)
- Article 22/1 of Proclamation No. 17/2004 states that the studies should constitute, useful opinions found through the discussion forum of the City residents strategic for gathering

comments. The next article of the same proclamation also states that where local development plans are prepared or updated or revised by the manager:

(a) An opportunity shall be given for the residents of the city residing in the area covered and affected by the plan to have a clear knowledge and discuss on it.

(b) Shall present and exhibit for those residents of the city who are interested to see.

The procedures in participating residents of the city in the preparation of local development plan are outlined in article 3 of the same proclamation as follows:

(1) Arranging a one day meeting for the residents of the city on which the general idea of the plan and strategy is presented, opinions are gathered through discussion in order to create common understanding.

(2) Announcing the meeting 30 days, prior to the meeting day.

(3) To call the residents of the city participate in the preparation and revision of the local developments plan by the meeting.

In the ~~Compensation~~ calculations, replacement of land and replacement house delivery director no.3/2002, Participation of settlers to be evicted for a development usable to the general public follows the following procedures:

1. City or Sub-city administrators and sub administrators, also coordinators and communication officers: Sub-city and Woreda governing bodies will discuss to the settlers identified to be evicted.

2. Reaching up on a consensus on about the totality of the development

As WekWete (1992) observes, ~~in~~ most situations urban residents are objects for policies; they are not active participants in policy formation". (A REAPPRAISAL OF THE URBAN PLANNING PROCESS pp20)

AA Housing development Project Office NGH-FINAL shows Participation; Neighborhood projects need to be planned and designed in consultation with stakeholders, users, cooperatives and targeted communities. Additionally it is required to conduct professional's jury with senior experts from the municipality and other sector offices to ensure technical feasibility of the prepared neighborhood plan and design

Policies as explained include acts, bylaws, government orders and guidelines. This ~~For~~ the sake of implementing the Master Plan, the Regional Administration can issue an order and execute a building to be expropriated or removed. Where the building which such an order is given

is constructed in accordance with the law, compensation shall be made to the owner” (Proclamation No,7/1994)

Thus urban housing development is identified as a key pillar in the priority intervention areas of the government’s policy. The policy envisages not only the provision of decent urban housing to citizens, but also the utilization of housing as an instrument to promote urban development, create jobs ,revitalize the local urban economy through MSE development ,encouraging saving and empower urban residents through property ownership ,and develop the capacity of the domestic construction industry. These intervention areas identified in the policy document form the bases for the development of the Integrated Housing Development program (IHDP) in 2006,which is designed for implementation between 2006 and 2010.Thus the IHDP is initiated and implemented with clear policy direction and political commitment on the part of the federal government .The Urban Development Policy and IHDP are formulated through extensive consultation with the Regional Government and Urban Local Administrations and has gathered considerable support and confidence among stakeholders.

Table 8 Housing Policy

Source : Ashenafi, 2001

CHAPTER FOUR: CASE STUDY

4. Introduction

The statement of the problem and research questions raised at the beginning questions the paradox between participation and total displacement of public house renters in the study area (Sengatera- Firdebet Phase I). As an objective or a focus on the study area regarding participation process applied in the development of the inner city; the government as a developer and especially in this study public house renters who afforded condominium house will be reviewed from idea inception to implementation and final output of the whole process. Due to different relocations with dispersed nature *Gofa* condominium site is the only relocation site included in this study to interview either the process or after effect of relocation since it is where majority of the relocatees are found.

4.1 Location of the Study Area and Rationale to be a pilot project

Sengatera Firdbet Phase I site is located in the western part of the main center of Addis Ababa in the inner city which is part of the 4.5 km radius of enclosure (Elias 2008). This area covers 26 hectare of land which is characterized as lowest grade area in slum identification project (Sengatera LDP 2009). In this intervention areas there are two *kebeles* (39 and 49) currently part of Woreda 08⁷. The residents and the city know it as „*Lideta sefer*“ in general and kebele 39 as *Geja sefer* and kebele 49 as *Dejazmach Balcha Abanefso* in particular. *Merkato*⁸ is in the North within a walking distance, *Dejazmach Balch Abanefso* Hospital, Police Hospital, St, George Brewery Factory and also Mexico square are in the East side, *Lideta Mariam* (St, Marry) church in the south across a principal road leading to *Jimma* road and in the West direction *Anbessa* Shoe Factory, Federal high Court and EiABC (Ethiopian institute of Architecture, Building construction and City development) are the basic distinguished land marks in the area. The study area is centrally located in *Lideta* sub-city as part of the main center of the city (see below in Fig-7).

⁷ Woreda in the current structure of the administration of the city is the lowest administrative unit

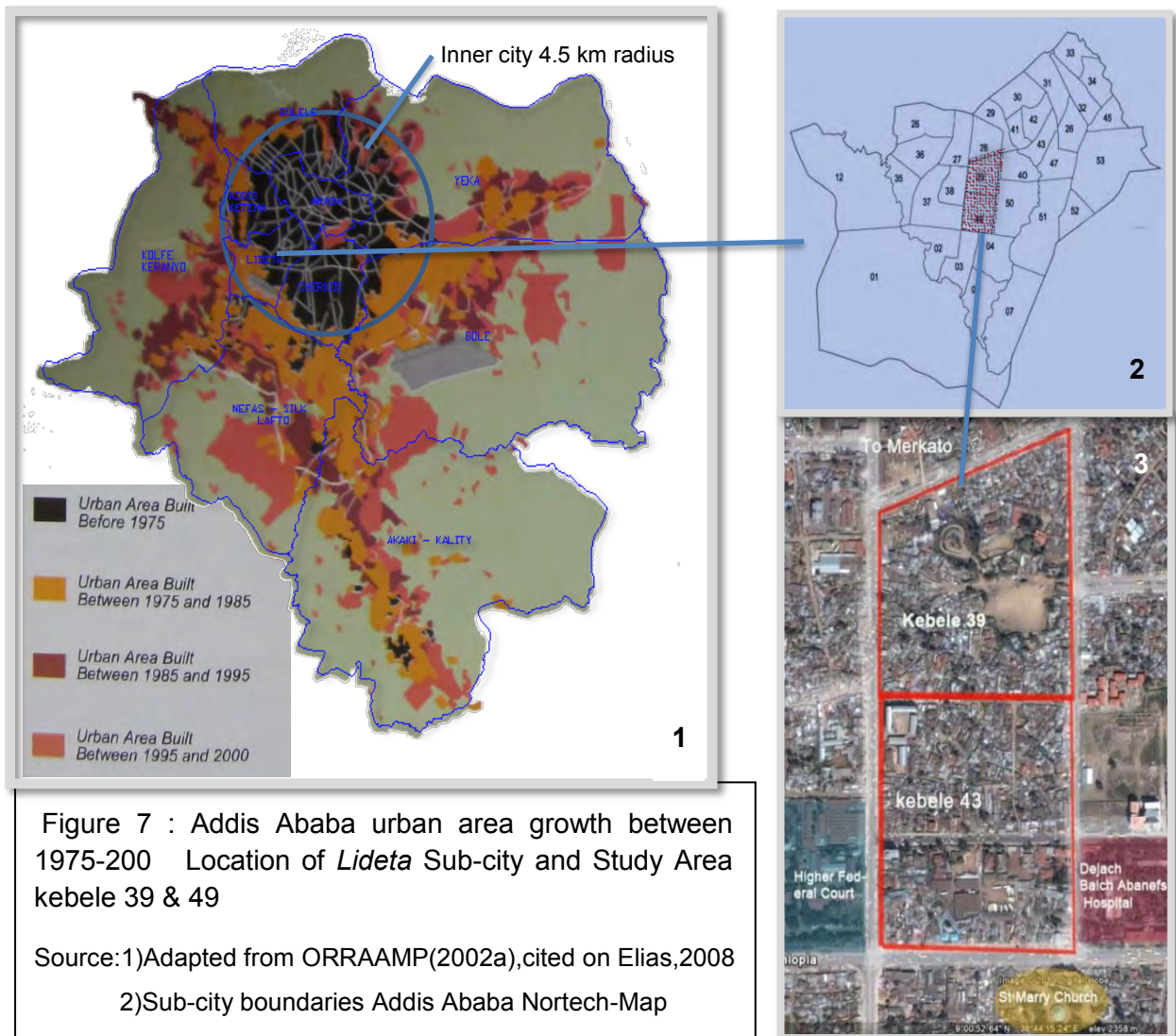
⁸ *Merkato* is the largest open market in Africa and the major commercial center of the country. It was established during the short Italian occupation in the Second World War and it covers an area of 113.6 hectares. (Merkato LDP, 2005)

4.2 The Contextual Background of the Action Area

Socio-Economic ,Physical and Environmental Condition of the study Area

The inner city of Addis Ababa with all the facts that it was not established in a planned strategy and due to age of single story buildings it is getting deteriorated and becoming unsafe space for living.

Roofs are rusty, walls are lining one on another and access are unpaved full of wet surfaces due to lack of sewage lines both for surface drainage and human waste. *Sengatera Firdebet* phase I is



one of the areas exposed to such problems as it also shown in the photos below. Slums as previously defined by Eliyas the case of Addis Ababa are more of the physical conditions of structures and utilities are the main issues. So, social capital of this area matters a lot since strong ties were built from individuals to community level through institutions like:

Idir, ekube and other forms of associations further playing economic benefits in the society.

The very fact that this area is part of main center of the city, taking the location for granted as economic gear and possibilities in earning labor based opportunities are likely high.

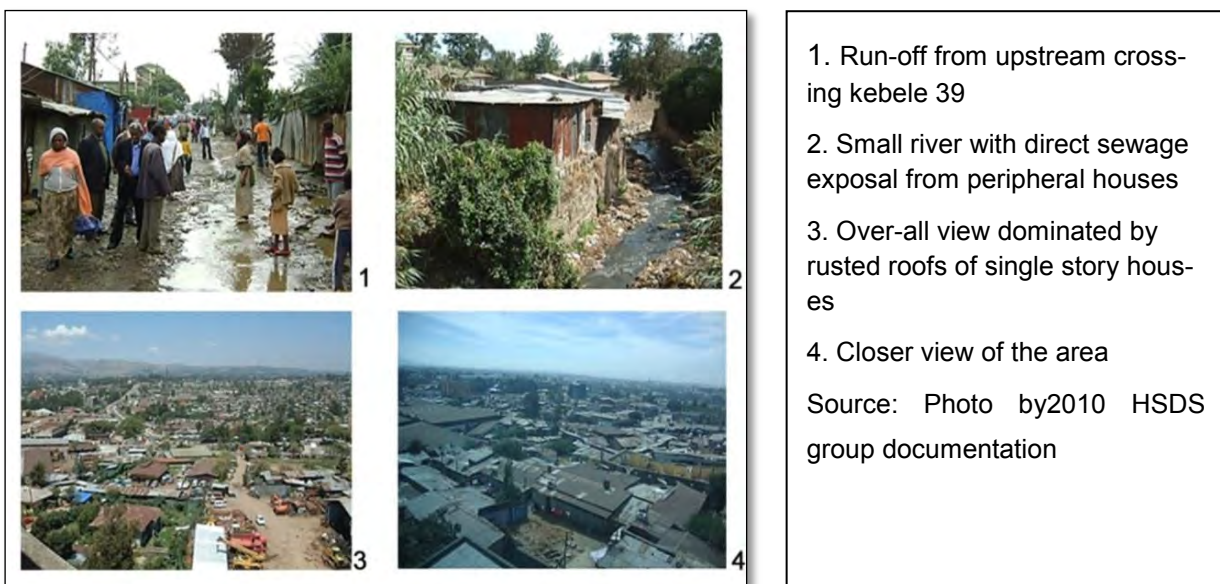
4.3 LDP proposals

The objective of Local Development Plans is to provide detailed direction and procedures for undertaking specific area development projects within the framework of the structure plan. This incorporates urban design, legal issues (rules and regulations) and implementation strategies.

LDP's focus on areas of the city designated as strategic investment areas. Two principles guide the preparation of LDPs: Participation of stakeholders specifically of the locality in identifying the local needs and goals and their conformity with long-term vision set out in the structure plan. The overall aim of the LDP is to give a set of physical and social guide lines, rules and regulations for the development of a specific locality. This will be attained through by maintaining the dual nature of the city ("traditional"/"modern") and the functional and social mix. (ORRAMP2001-2010, pp52). Comparisons of different LDPs for this area in different years respecting data gathered during census for redevelopment process taken as a main feedback from the residents (see annex13)

4.4 Urban Design

The design process of the study area was done totally by professionals without direct involvement of settlers. According to Ato Worku Geda during the meetings especially with the private house owners there was a repetitive request in getting the design and even there was an initiation to contribute ideas, too. The LDP was conducted under Urban Plan Preparation and Inspection



tion Department in June, 2005 and Urban Plan and Information Institute, in May 2009 . In 2005 the study covers the area between *Sengatera* (construction and business bank traffic light) up to the federal high court and from Ministry of Health up to Joss Hanson junction. This in administrative terms covers more than 90% of Kebele 07/14 of *Lideta* sub-city(based on the current administration structure) with a total area of 89ha and the rest around 10%is included in the *Teklehaimanot* LDP. Within this study two zones were identified and the first zone is the one which includes previous kebele 39 and 49 in 2009 taken as a pilot project with 26 hectares of land.

4.5 Participation Mechanisms

Participation of the original settlers in the proposed development process unfortunately started in a secret way while developer was collecting actual data regarding socio-economic and physical as well as environmental documentations. Participation mechanisms following the data collection and even after LDPs in 2005 and 2009 by UURAMP put forward implementation or involving the settlers particular to the action area started in 2010.Consultation as a citizen's right declared by constitutional law and democratic approach followed by the developer kept forward the following methods:

4.5.1 City Wide public hearing and Other Participation Forums

The necessity of development and changing the look of Addis Ababa was an issue before election 2005(1997 E.C) which was under discussion with residents under their respective *Kebele*'s. According to ORRAMP,2002 changing the look of deteriorated structures of slum areas was done through participations of different stakeholders from master plan revision process to local development strategies. (See below in fig 8)

Participatory Planning Process: –Consultation have been held repeatedly with key stakeholders in the City Administration, other professionals and representatives of civil society groups....Altogether ,ORRAMP has hosted over 150 workshops and consultative meetings with a wide range of stakeholders .Mechanisms applied in coordinating this workshops were :Addis Ababa Public Forum and Exhibition of May 2000 the Addis 21 conference of December 2000,and wider stakeholder workshops of july4-6 and july25-26,2002.ORRAMP,2002)".In interviews with the relocatees about any participation about development 29 out of 45 remember public hearings that was conducted in developing Addis Ababa especially slum areas and 5out of the 29 remember about *Meskel-square* exhibition ,11 out of 45 never participated but heard of the issues through mass medias or neighbors.

During action area meetings with private house owners there was a request from participants repeatedly to get the contents of LDPs even after notified to evacuate the area in 45 days. Responses from developer representatives were “any person who is interested can come to our office and ask for the drawings and details ready to be delivered”(from Video record of the meeting) . This mainly shows two basic points:1st that far in the development process original users were not informed about the details of the LDP.2nd as primarily to be affected as occupants of the area they were not participating in the process of the LDP preparation except being informed as the rest of the city residents are addressed through different medias. So, this gap between highly organized workshops and forums were in effect for the politicians, professionals and may be for private investors but not for the affected community in particular the case of *Sengatera-Firdebet* residents.



Figure 8: Photos (different participants in the master plan revision and public display)

Source: ORRAMP 2000(Draft summary)

4.5.2 Idea Inception

In the interview organized to analyze the issue of idea inception on relocatees in *Gofa* site 33 out of 45 respondents (see Annex 3) the idea was initiated by the Kebele administration. The rest do not know who is the originator of the idea to apply the project in their area. According local administration personnel's like Ato Dagmawi¹¹ and Ato Anteneh¹² the idea came from

¹¹ Ato Dagmawi is a chief administer of Woreda 08 which includes the previous kebele 39 and 49(during census till now)

¹² Ato Anteneh :during the study conducted in the area and in the discussion process he was chief administrator of the kebele 07/14 ,currently he is -----of land Bank and renewal office

members of the society who live around a river side being victims due to runoffs in the winter period following proper development request procedures as stated below.

- **Request for development of the area**

In 2008 according to Ato Anteneh the request for development was raised from the dwellers in the area as mentioned above even though during the survey no other actor found to witness this. According to Ato Dagmawi executive chief of the Woreda part of the pilot project were prone to runoff because of a river passing in this neighborhood .He also expressed the area as one of unsafe zone in the city because of an illegal act of trade on vehicular bodies dismantled and ready for sell after burglary actions happened elsewhere. Even though data are not available for the researcher how many people and on what context a petition signed in requesting development of this area , there is a procedure ready in the local administration structures to entertain such movement stated as procedures and requirements on request for development :¹³

- Members of the group has to be minimum 10 in number
- The request has to be signed by representatives and members of the group.
- Location of the area and members has to be indicated
- The Function of the area in current scenario need to be specified
- Members ownership legality has to be known
- Reason of development
- Proposed function after renewal
- They have to know and act accordingly other mandatory explanations to be incorporated

The above procedures and applications according to Ato Anteneh was followed initially even though declaring the list was impossible for him .During the interview¹⁴ of the relocatees and within the scope of the research's no one responded as initiator except accepting the truth that there was a runoff problem followed by applications to tackle the problem.

4.5.3 Identification of Action area

Action areas: this area spotted as an action area by the city council accepting different proposals from different sub-cities with three major criteria's as(Fanna Interview and researcher interview):

¹³ Own translation from a document prepared by office of the Head executive chief of Lideta Sub-city to conduct discussion on issues of the Renewal(March,2009)

¹⁴ 45 interviews conducted in Gofa site on relocatees from *Sengatera Firdebet* Renewal Site phase I.

1. The land coverage which is 26 he is a manageable size as compared to others proposal.
2. Most of the land is covered by government owned houses which will reduce compensation and issues related to land ownership will not be complicated.
3. Availability of service providers like garages and ware houses with minimum built up area minimize unpredictable displacement of dwellers.

During discussions with this kebele residents there was a question raised in similar manner, why they were choose to be the first? And representatives were responding in general that they are lucky to be the first that they will benefit by changing their tenure status and provided with standardized infrastructure. However, participants were repetitively asking for other especial reason and reflecting their view that it is because the main purpose of the development is majorly for beautification purpose than as it is being said focused on human development.

4.5.4 Identification of Actors:

Detailed and well organized census of the two *kebele*'s concerning socio-economic and physical data was conducted with structured interviews and measurements consecutively. According to compensation officer of the *kebele* there was no pre-notification on the reason behind the census to the public in order to minimize speculations. So, in this process land users are identified to be:

1. Residents of the area: Private house owners, Kebele and AARH house owners, Tenants within private house owners and in public houses and Co-dwellers (in private and kebele houses). In addition to residents there were social institutions and service giving bodies that occupy land: *Idirs*, governmental bodies, elementary school , NGOs and religious centers.(see below in table 13)

2. Government bodies: (service providers) were also marked before the project was launched to mark out and assign concerning stakeholders to participate either in the demolishing process or reconstructing the area ,this are: Addis Ababa Road Authority, Land Development Agency, Addis Ababa Housing Development Project, Addis Ababa Environmental Protection Authority, Urban local body (Sub city and Kebele, Addis Ababa Trade And Industry, Addis Ababa Works And Urban Development Office and Beautification and Park Development Agency.

3. Potential developers: Land preparation for lease purpose was part of the LDP as revenue of the city administration by increasing density of population in the area either achieving additional form of ownerships or responding towards centrality of the area by enhancing the land use.

According to LDP prepared in 2009 five percent of the land allocated for potential investors to develop the area following the land use (Annex 13); the periphery is dedicated for commercial purpose in the action area.

H. Ownership type	Quantity	Percentage
Kebele(residents)	932	64.6
Kebele (commercial)	117	8.1
AARH	48	3.3
Private(residents and commercial)	330	22.9
Social institutes/ <i>idirr</i> houses/	3	0.2
Governmental organizations	2	0.1
Others (NGOs and Religious centers)	6	0.4
Miscellaneous/schools and entertainment centers under the kebele's/	4	0.3
Total number of houses	1442	100

Table 9: Available Ownerships in the renewal site

Source: Summarized from *Lideta* sub-city documentation

The interaction of these actors illustrated by Belachew Kalekirstos and et-al included here in diagram:3 to show how it is blocked a working environment between current land user and potential developer even though it was prepared in previous years .

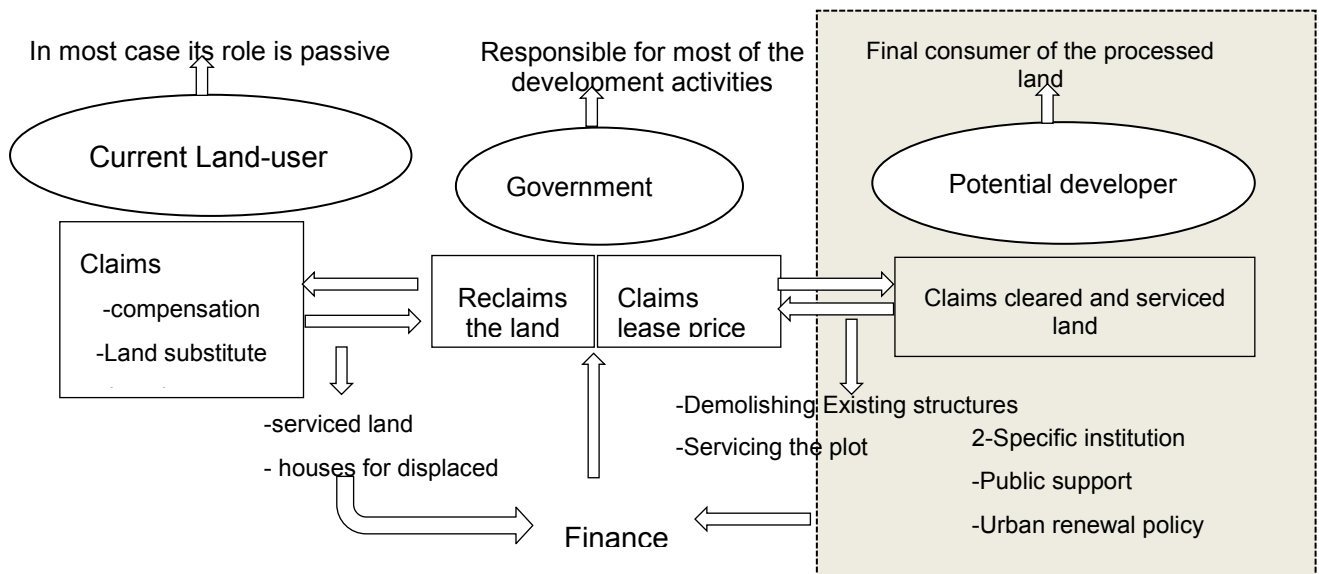


Diagram 1: Interaction of Key Stakeholders in land development process

(Shaded section in this study area comes later-on after the government cleared the settlement, no discussion or cooperation was there between current land users and a potential land developer)

Source: Adopted from Belachew Kale-Chirstos—et.al February2003

4.5.5 Meetings with different Actors:

Meetings concerning the renewal process were conducted in two major concepts, in the researcher views. The first one is creating awareness and discussion to hear the reflection of the settlers; following this the second step was implementation procedures and preferences of the settlers to be relocated and undertake the renewal process. These processes were held majorly by sub-city and kebele administrators representing the government and later on from settlers' side representatives elected in one of the meetings. The first meeting was addressed with the presence of every tenure type house hold heads in *kebele* 53 hall (neighboring kebele). This approach was witnessed not to be effective since concerns of private house owners and public house tenants were extremely different. So, in consecutive meetings two major groups were formed as public house owners (basically incorporating kebele and AARH tenants) and private house owners as different group. On top of this different target group meetings were conducted with women as a house head to enable them to be house owners and youths to be organized and benefit from the development process especially in the demolishing process and later on construction stage.

The first meeting as part of the awareness creating step remarkably remembered with its announcement that only 45 days are given to be relocated away from the action area'. This for the dwellers' was a bad news which was repeatedly raised even in the consecutive meetings. In other meetings people raised questions most of the time requesting for clarification on the issues that concern them which are disseminated in their area as a rumor by lacking direct information or later on in the clarification by *Ato Anteneh* groups intentionally misleading the society not to cooperate in the development process.

Following in the discussions individual life styles and problems were covering majority of the time such as: how they are attached to the site in getting different opportunities from the social links developed for long time and centrality of the area benefiting economically so that everyone at least feed him/herself by working as labor, vender ,food preparation and other jobs as a regular employ or irregularly practiced.

4.5.6 Target group identification

1. Social Institutions

Idir leaders were given deep explanation on benefits of development for the specified location as well as nationwide. According to head of one of the *idirs* –“Since we are part of the relocation and at the same time leaders of such institutions the developer (government) was using us to facilitate situations so that the society will accept this easily when discussions held among us.” In this institutions in organized way with government hands and individuals as a hot issue of the area were discussing and reflecting their views. According to interviews with the residents even though such organized institutions were open for discussions on relocation matters there was no one incident especially from public house renters tend to be organized by themselves and call for the developer to discuss an issue they were concerned on.

In this *kebele*'s there are 86 recognized *idirs* forced to be vanished selling their property and shared among members, even though this *idirs* are located in the action area residents out of phase I renewal site were also members which is true also for the relocatees in some other neighboring-*kebeles*.

2.Women Participation

Women count in the study area before the implementation was indicated to be 53% and further identification of the pro poor with women headed housings under taken when affordability issues were raised during the meetings. In this process 200 of them identified and together with local NGO (NEWA) and Addis Saving Bank offered a loan of 10,000 ET birr for first down payment up to 7000ET birr and the rest as a working capital to generate earning out of the activities in the renewal site. Accordingly these women were organized to work in different business like Food preparation and Blocks production. In the interviews with five of the respondents show their complain saying that they were promised in the beginning the down payment is a donation but at last ended up to be a loan, because of this as to *Wro Fatima* she withdraw herself but luckily enough has got a helping hand from relatives to pay the down payment.

Focusing on women headed households is a response to poverty eradication by addressing the most vulnerable society groups however the effort was achieved only to those who can pay back either being part of the MSE's or generate money depending on house based business.

During interview in *Gofa* Site in Block no.13 most of these women live four of them (five respondents) are over 45yrs and out of this two of them did not take (relatives contribute for them) the loan while the others used it as down payment for their studio types. Two of the respondents are working on garbage collection and the other one who used to work in the building construction material is staying at home for the last three months since their workshop demolished

to do the site work of the condominium's; so with her colleagues they are for the moment expecting the sub-city to give them alternative working place.

In the same block *Wro Mamite* basically with a helping hand from her son achieved to get a studio unable to generate a business like in her previous settlement area by selling *ingera*. So, her son an employee in a private firm and a relative living with her as a day laborer are her financial sources. (see annex8)

3. Youth Participation

The development strategy in the renewal process as a main part of the objectives includes in creating jobs and minimizing unemployment in the city. In this regard unemployed 550 youths were organized in 45 groups. These groups bought kebele houses from the administration to demolish and sell usable materials item by item. Individuals within a group by saving 40% of their profit have able to save 8,000 to 15,000 birr in the demolishing period.

Youths as heads of a family were also given attention in getting house but they were actually required extra criteria's like:

1. If they are forming an independent household with their parents as co-dwellers at least for the last five years.
2. If they inherit legally their parents property and signed an agreements with the kebele administration as a descendent legal tenant.

According to *Wro Aster* who was a co-dweller with her parents having two children benefited out of this opportunity given by the administration in *Gda Site* condominium.



Figure 9 :Community Participation choosing bedroom types of the condominium

Source :Melaku 2011(Woreda 8 administration communication office)



Figure 10 Target groups as beneficiaries (women and youths)

Source :Lideta sub-city Kebele 7/14 website

4.6 Implementation Procedures and Preferences of the settlers

Discussion on relocation types

Public house tenants were offered different choices for resettlement and relocation. Resettlement possibilities were kept open for the public house renters with two choices:

Temporary shelter: this option was one of the driving forces during the census to respond for the development in the area in a positive attitude since it makes resettling back on site possible (interviews and video tape) . Concerning period of construction versus inflation on construction materials even though official explanations were not announced from interviews people were doing their own analysis that it will be expensive by the time it is finished. Basically from data collected on inflation and changes of prices from HDPO research has increased in square meter 31.82 %¹⁵ for studios and the maximum for the two bed room 31.99%. (See Annex5) (HDPO 2011) So, the fear which is developed in the community even if not supported with data has a base in referring the above figures.

Public house tenants relocation choices were:

- 1) Kebele house tenants :
 - a) Kebele house in the sub-city, if not in the nearby locations

Kebele houses especially in the inner city are in a threat of demolishing .So, this will be ridiculous to move people sefer to sefer from one place to another place exposing them for repetitive

¹⁵ In the first round transferred price for studio type was 665 birr/sq.m increase to 1100 in the third and fourth round and in the fifth and sixth became 1,450 birr/sq.m

relocations. Possible prediction why people might choose these houses while there is a better chance to high level of tenure change can be, firstly this people cannot afford to pay the down payment and consecutive payments, afraid of the practicality of the pilot project or their attachment to this area and using it as a source of income will be discontinued.

Household heads who have chosen this choice were given second chance to choose if they are not comfortable with the location, condition of available house or for any other reason they do have, for example Ato *Assefa* after investigating the intended kebele house for him and his family has changed their mind to a one bedroom type house in Gofa site. The reasons according to him were first it is close to a river which is not appropriate for living and also the condition of the house is in a worst condition as compared to the previous one. This option was accepted by 245 (22.3% of the total relocatees) households in nearby location 91% of them relocated in *Lideta* sub-city (Melaku 2011, See annex9)

These relocatees were transferred to areas under a future redevelopment which result in further relocation either a permanent settlement possibility arranged for these people.

Sub-city	Relocatees to kebele houses and number of rooms					Sub total
	1	2	3	4	7	
<i>Lideta</i>	95	110	13	4	1	223
<i>Nefasilk-lafto</i>		5	3	2		10
<i>Kirkos</i>		4	5			9
<i>Gulele</i>		3				3
Sub-total	95	122	21	6	1	245
Total						1216

Table 10: *Kebele* house tenants and number of rooms they used to live before relocation

Source: *Lideta* Sub city documentation

b) Condominium in available sites :In getting a condominium house there are two major steps followed for redevelopment relocatees different from the lottery system which is available for the general public: first the house hold head or a legal representative supposed to notify his or her choice of bedroom type and second according their bedroom type choices locations assigned and with a lottery system their destination will be determined. This two methods even though are good for minimizing corruptions and transparency on the other hand forced communities to dissolve who were settled and constructed social structures for a number of decades.

Sub-City	No.of H.H	Studio	One bedroom	Two Bedroom	Three Bedroom
Lideta	78	48	8	21	
Nifasilk Lafto	604	42	159	310	93
Kirkos	2		1	1	
Arada	20	2	7	11	
Akaki Kality	2			1	1
Addis Ketema	47	24	21	2	
Kolfe Keranio	113	18	51	24	20
Bole	13	9	4		
Yeka	16		14	1	1
Gullele	16		10	6	
Total Sum	911	143	275	377	115
Percentage	100%	15.7	30.3	41.4	12.6

Table 11: Number of households and bedroom types delivered in ten of the Sub-cities

Source : *Lideta* Sub city documentation

c) Temporary shelter: to be provided by the government (this was less focused during discussion time but in the census 79% of the tenants responded to be accommodated temporary shelter).

2) AARH tenants

- a) Condominium in available sites

3) Private house owners were given three relocation possibilities:

- a. Land on site as per specified proportion (see annex 10)
- b. Land on expansion areas of Addis Ababa
- c. Condominium on available sites

Private house owners are among the actors with secured tenure right which is also reflected on the way they were treated by the government, i.e. meetings except the first one the rest was conducted in D'Afric ¹⁶hotel while the public house tenants were congested in a very low ceiling kebele administration hall even sometimes people unable to be inside but trying to pip and hear through openings observed from the video. Choices of either resettlement or relocation was there, since this area has got LDP every one is abide to respect the requirements of *Sengatera- Firdebet* phase I LDP.

¹⁶ D'Afric hotel is a three star hotel located juxtapositions to the redevelopment site

1. Individually to develop Compensation mechanisms ¹⁷ for private house owners in this regard the government offers proportional land in the project site. In utilizing this option 81 individuals have received land but according to Ato Worku Geda 76 of them are under construction .In the interview with two of the developer's height regulation changes from G+2 to G+4 has created discrepancies even for some of them to be relocated in the expansion area.
2. Land in the expansion area: Private house owners in this area with a minimum of 75sqm and maximum of 330sqm were offered in the expansion area. Following this choice 241 of them(75% of the total private house owners) are under construction. The compensation mechanism here to assist them also accompanied by annual rent fee with an assumption of construction to be finished in a year. Current land size is one of the decisive factors how much area of land is to be compensated in the expansion area. Compensation in finance is also determined by the structure quality and condition by the time the technical team assigned with available expertise according to the compensation estimate, replacement of land and house delivery directive no3/2002 (A. A. Administration 2010), photographing and measurements with structured format (see annex 10) was coordinated. According to the land allocated for the households 148 of them have received land in *Nifas-Silk* Sub-city, 6 of them in *Kolfe keranio* and one governmental organization in *Akakai* sub-city.
3. Condominium in available location according to their choice regarding bed room types. If the private house owners cannot utilize the above mentioned choices a condominium house similar to the kebele house relocatees apply except they will be compensated of their property.

4.6.1 Representatives from different actor's public house renters (kebele and AARH) and Private house owners

Representatives of corresponding tenure types undertaken after explanations and discussions held. During nominations (public house renters) the general public has shown repetitive comment on criteria's how to nominate (from video); i.e. individuals who are party members, government officers and new comers to be excluded. So, with an informal consensus on the criteria's 10 people were nominated from the kebele tenants side and seven of them were taken as legal representatives with high number of hands shown .The private house owners were informally mobilizing a committee that achieves to call a meeting with the government representatives in D'Afric hotel and discussed on subject matters arranged by themselves. Most of the members of the informal committee were choose back in the regular nomination process.

¹⁷ Contents of compensation discussed further down

The representatives, according to *Ato Worku* were given offices in the sub-city compound and also allocated minimum budget in order to process paper works during their service. The missing element as per the interviews with the relocatees these representatives never show back and discussed with them about the proceeding ongoing process. As it was discussed in the meetings the representative's main job or necessity is to sign the document prepared by the government containing points discussed in the consultation process. The paradox comes at this point that the document was not disclosed to the general society weather it is as discussed or not.

4.6.2 Census

The renewal project in this area was not disclosed to the settlers while socio-economic data were collected .This according to kebele administration officers was done deliberately to avoid any speculations that may affect the process. In addition in the interviews people were stressing that results of the census were not disclosed in detailed ways except informing them in the meetings .Information's disclosed in such meetings were not in an organized information delivery mechanism rather while a random subject raised information regarding the subject mentioned from the data. Due to lack of transparency on the data people were complaining that their choice is different than it is being mentioned in the meetings.

In the census particular to this action area the following data were collected in detail both on the private house owners and public house renter's properties by local government bodies:

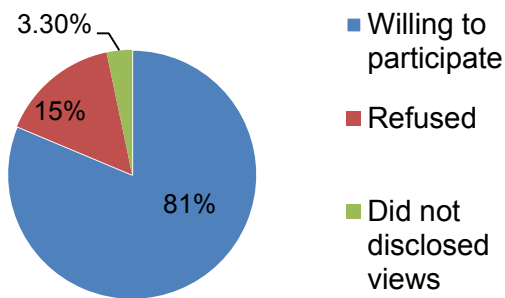
Physical data-Materials of houses, Size and room types, fences and trees (particularly in the private houses) were registered.

Socio-Economic data: Social institutions like *idir's*, *mahibers*, *eqkubs* as a general data if settlers were members of any of these institutions and in addition to this household heads ethnic background and their religion were documented. The economic data were also well documented like: monthly salary, occupation area, capacity to pay one time down payments for condominium houses and if there are any other means of income. In addition to this the willingness of the settlers in the development necessity was also questioned and found to be 81.4% as indicated in the table below in the data analysis.

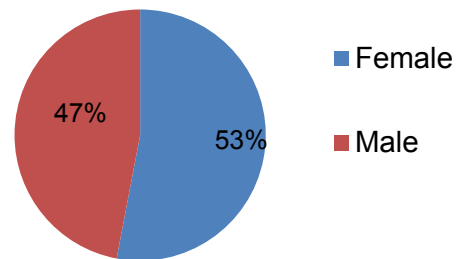
4.7 Data analysis

Data in this research are mainly from the census archive for both qualitative and quantitative approaches used but primary data were surveyed from different actors to organize and interpret the validity of information's. In regard to primary data a review of video¹⁸ recorded in the meetings, interviews of the relocatees and concerning key government bodies conducted.

Willingness to Participate in the Development



Gender of Area's ppln.



Source: From *Lideta* Sub-city Documentation

Willingness in the development necessity was questioned and reflected positively from the community which is as shown below with 81.4% while 15% refused the development ideas .This question was raised in the meetings while youngsters and aged people were mentioning repetitively difficult to say yes or no without having detail information about the development which is in paradox compared to data mention earlier majority of them showing their willingness hoping to be relocated back on site.

4.7.1Physical Data

Dwellers in this area were living in under serviced infrastructure, temporary looking single story houses built of mud walls covered with rusty CIS roofs. According to *Sebawit*(2006) cited on *Melaku*2011) about 82.2% of houses in the inner city are in poor or fair condition. Room sizes and household numbers in this settlement area are not balanced .So multiple functions like using living areas as bedrooms or bedrooms as living areas in the day time are common, sharing toilets and kitchens are also ranges from two to eight households as indicated in the table below in different sub-cities including *Lideta* sub-city.

¹⁸ Video record of the meetings which elapsed 72 hours was available in the *Lideta* Sub-city documentation office, out of which the researcher covered 15hrs of the record relevant to the subject matter.

Sub-city	Relocatees to kebele houses and number of rooms					Sub total
	1	2	3	4	7	
Lideta	95	110	13	4	1	223
Nefasilk-lafto		5	3	2		10
Kirkos		4	5			9
Gulele		3				3
Sub-total	95	122	21	6	1	245
Total						1216

Table 12:Kebele house tenants and number of rooms they used to live before relocation

Source :*Lideta* Sub- city housing agency cited on (Melaku 2011)

Preference	Frequency	Percent
I <u>will</u> live in public provided temporary shelter	844	78.9
I'll rent in other areas	31	2.9
I'll go and live with relatives	7	0.7
Other	1	0.1
Else/No response	187	17.5

Table 13:Resettlement options data collected from *Sengatera-Firdebet* Phase I

Source: LDP by UPPID, January ,2005

Keeping the physical facts and residents concern in the area during the census people were questioned what mechanisms would they prefer to settle back after the construction of condominiums and related infrastructure was as shown in table 13.

In fact such preferences were conducted in a similar way on those areas LDP's being prepared and willingness towards development is in direct relation to promises filled by resettles using public provided shelters.(see annex 7)

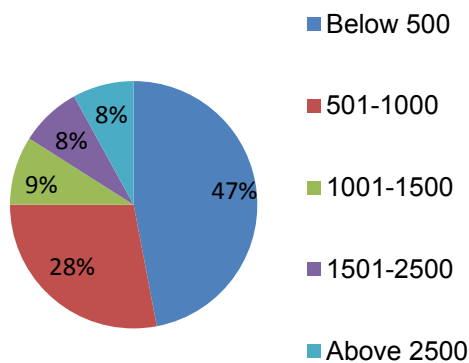
The possibility of resettlement and knowing to be provided a temporary shelter freely are among submissive promises the dwellers kin to development. Giving this option one could assume or hope this is the one to be implemented and able to resettle on site benefiting socio and economical attachments between the community and the area. Unfortunately' said one respondent with a sense of humor after signing the agreement that shows we are willing on the development discourse we were hurried to choose condominiums available in the city and we picked our destinies through lottery system.

4.7.2 Socio Economic Data

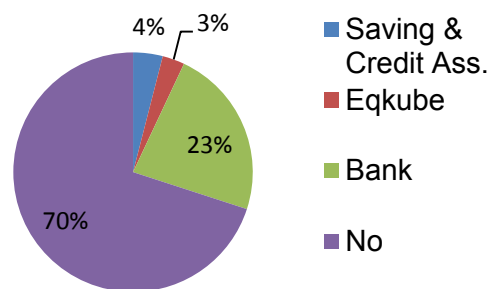
Socially mixed character of residents are basic features of Addis Ababa residents of the inner city, these people are glued further by institutions established by themselves and run by volunteers. The most common institutions are *idirs*¹⁹, *mahibers*²⁰ and *equbs*. In these two kebeles 86% (Melaku 2011) of the residents are members of *idirs*. Even there is a saying about this –‘What makes a man to be a man is Eqkub’ i.e the luckiest person on the ‘Eqkub day’ will collect a sum of money and use mostly for a preplanned action, it is like a lottery system. These structures in linking neighbors economically and socially play great roles; even though attachments between neighbors is high with their stay in the area early settlers joined by late comers as per the rules and regulations of particular institution do share equal benefits, responsibilities and obligations.

The result drawn from the census in the LDP (2009) shows that most residents are categorized in low income which is 55.5% earns below 750 birr which is mainly from informal self-employment and 64% do not have any kind of savings. Even though the initiation for development is reflected 55% of the residents disclose their capacity is up to 10,000 birr (one bedroom condominium house down payment was 13,000 birr see annex 6) to raise at once as down payment which is in contrary to the type of bedroom types they have chosen earlier.

Household Income

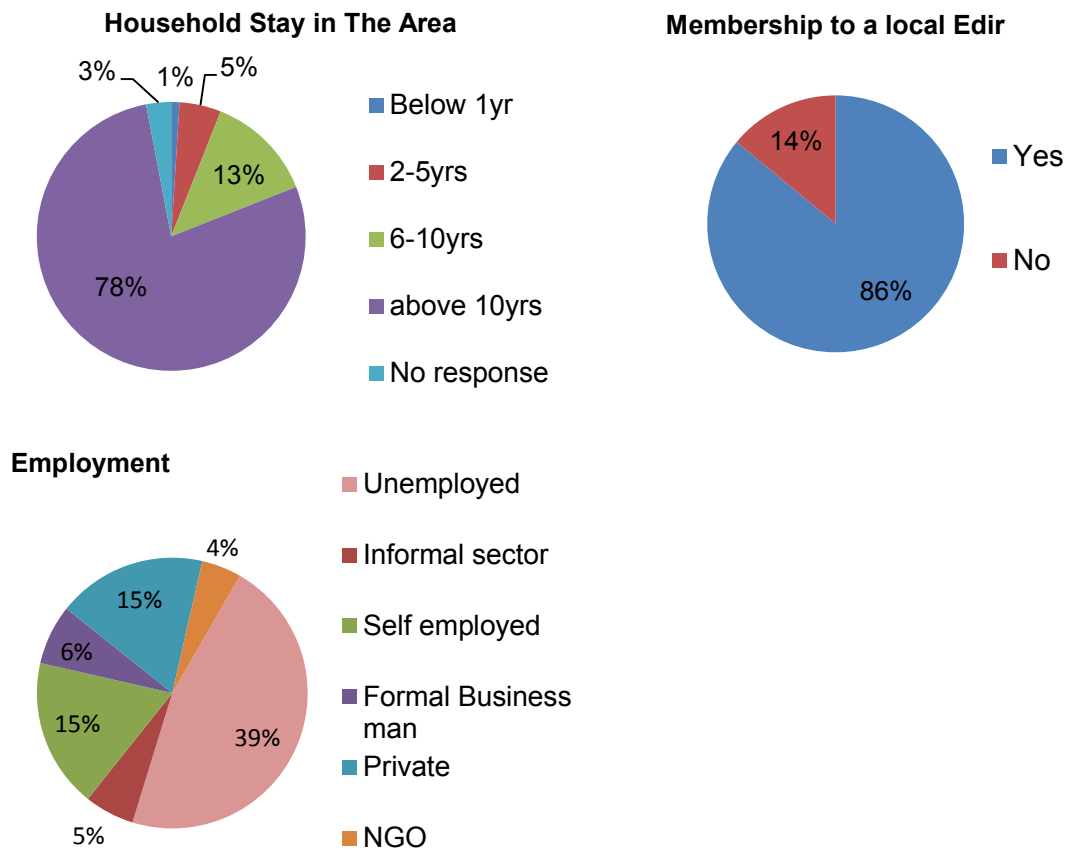


Saving Behaviour



¹⁹ *Idir* is a social institution created by neighbors' living in nearby area basically to serve as funeral organization among members with minimum fee.

²⁰ *Mahibers* are also social institutions based on religious bases to entertain among colleagues.



Source: From *Lideta* Sub-city Documentation

Capacity to be raised for a down payment at once (ability to pay) as shown in the table 14 below in a comparative way relating to current prices shows who can afford what, depending on data responded and how much they can raise for a down payment.

The inner city dominated by kebele tenants with minimum monthly rent and relatively secured tenure agreement with the government than the private tenants were shocked being informed to be moved out within 45 days. During this period of consultation there was a form delivered by kebele administration bodies to fill by residents different from forms / surveys during door to door census. Here it is worth to mention again that during the meetings public provided shelter was pictured as temporary shanty areas; so kebele house in the nearby was given as alternative option for the pro poor and who do not want to be relocated far away.

In this process around 445 households were choose 'kebele to kebele houses' in the data collected at the beginning which shocked back the administration. This actually also has gave a signal either condominiums are unaffordable or the reaction is against relocation far from their

original settlement, so the local administration with local NGO (NEWA)²¹ and Addis Credit and Saving Bank achieved to organized 200 women to be enabled by giving them a loan to be used as down payment and initial capital to form a business related to the construction site. So, 8 MSE groups were engaged in food and construction materials production(see fig.10 below).

The transfer of houses and previous willingness to pay or raise for condominium shows that on-ly studio type is compatible to the “40,000 birr” to raise as down payment which is 55%while choices for studio was 15%.Here it is worth mentioning that 242 kebele house owners are offered kebele houses regarding affordability issues. In this analysis (Table 20) except the studios other bedrooms preferences show a decline in percentages (specially three bedroom declining by 8.4%) while the studio type inclined comprehensively. This again is a controversy between ‘want’ and ‘ability to pay’ reflected. The project as it is stated on the goals of HDPO benefit a wide range of society than the action area coverage.

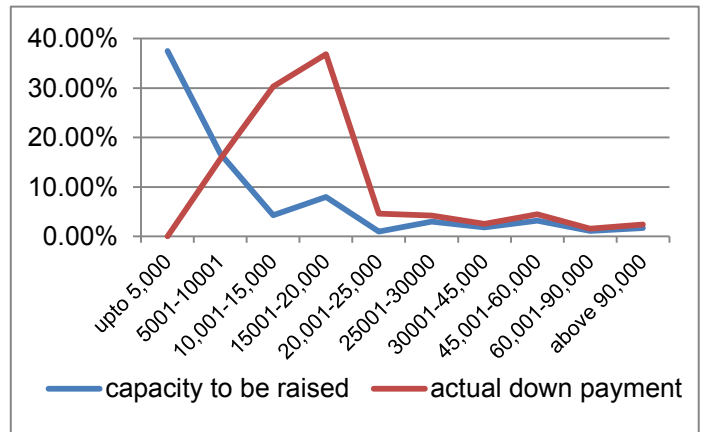
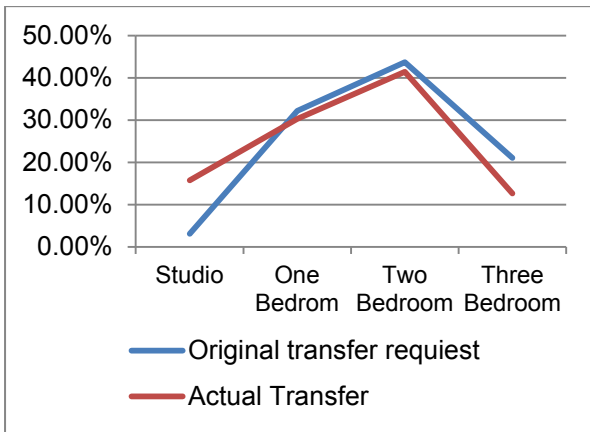


Diagram 2:Original transfer request /Actual transfer and Capacity to be raised /actual down payment

²¹ NEWA is Network of Ethiopian Women’s Association (a non –profit,non-partisan,non-governmental network of women)established in 2003

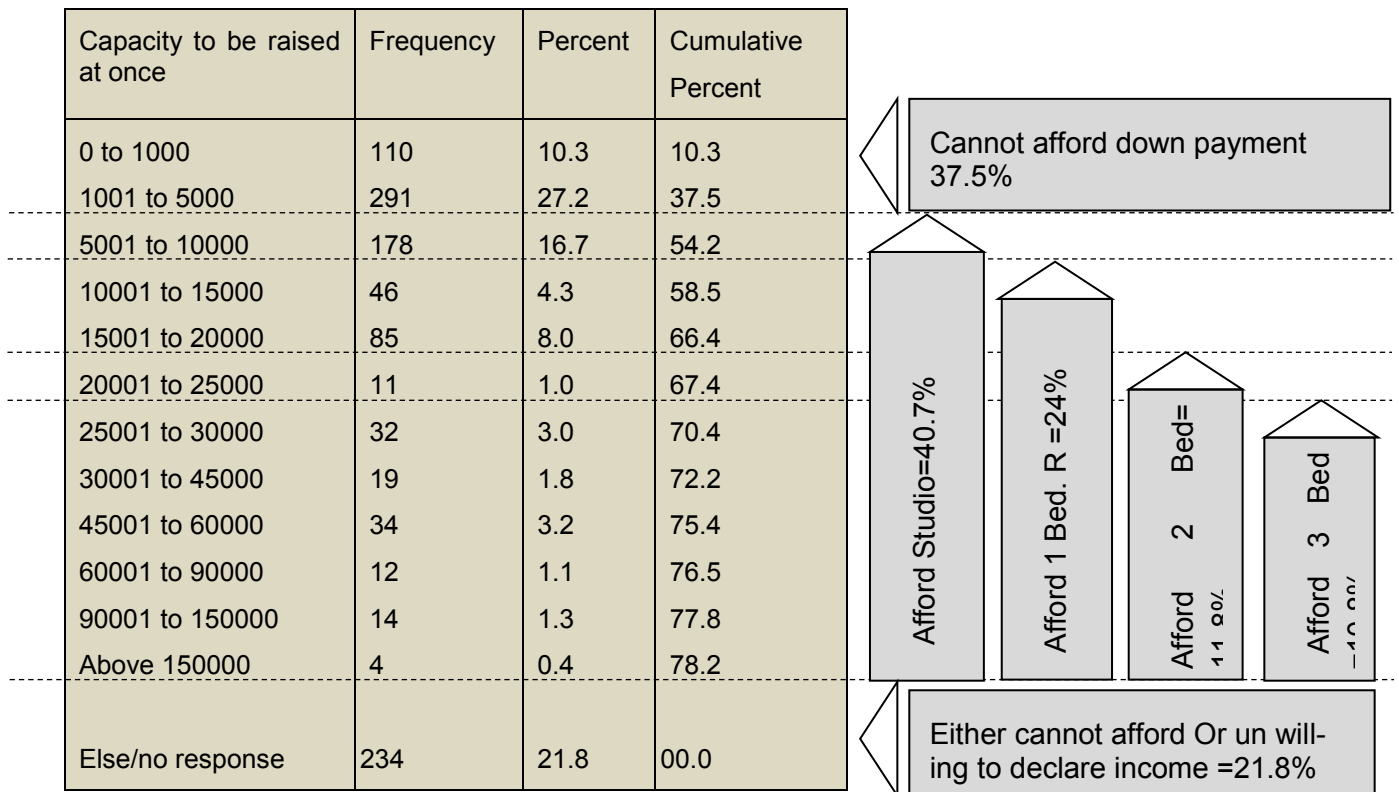


Table 14: Relationship of Bedroom and Down payment expected against capacity to be raised by the residents
 Source *Sengatera* LDP phase I,2009 and AAHDPO actual transfer



A.Block Production **Food production area**

Figure 11:Temporary working area for low income relocated household associations within the development area

Source: Melaku 2011

4.7.3 Tenure

The inner city as older part of Addis Ababa, according to Ashenafi G. was owned by individuals before 1974 with feudal landholding system later on changed to public ownership policy at list as a principle and later on from 1991 to date in addition to public ownership lease holds with use of right and time limit was institutionalized. So, 80% of the properties on this site belong to the government. Ownership of properties under a census conducted in 2010 in this area to be used for the renewal process and later on used as identification of actors is summarized in the table below;

Ownership type	Quantity	Percentage
Kebele(residents)	932	64.6
Kebele (commercial)	117	8.1
AARH	48	3.3
Private(residents and commercial)	330	22.9
Social institutes/idirr houses/	3	0.2
Governmental organizations	2	0.1
Others (NGOs and Religious centers)	6	0.4
Miscellaneous/schools and entertainment centers (kebele'	4	0.3
Total number of houses	1442	100

Table 15: Available Ownerships in the renewal site

Source: Summarized from *Lideta* sub-city documentation

4.7.4 Houses demolished in the area and owners respectively

The tenure types indicated in the percentage above shows dominated by public house tenants with low rent price ,especially in the kebele tenants they pay less than 100 birr (\$5.7 at that time) unchanged till now for decades. This houses according to CSA(1999) cited on (Yonas 2003) are part of 82.2 percent of the total housing units of Addis Ababa made of *chika* wall(wattle and dub construction) .This properties abandoned for decades not to be upgraded to a better material by the master plan (1996) aggravated the condition to be categorized as slum.

Tenure type was the central actor's identification factor in the process of the renewal project. In these categories of participation representatives were elected by the community and given the authority to mediate the government and the tenure type they represented. In addition to this actors identification mechanisms women leaded households and youths were also considered as target groups involved in detail.

4.7.5 Consensus building on development type and procedures of implementation

Effectiveness of the project

Effectiveness of the project can be evaluated in two terms; first up to reaching a consensus how the development to be implemented in the area and second implementation process including demolition of the existing structures.

Starting from a census being conducted in the area the final goal was not clear for the residents .Due to such secrecy while data collectors were around people would not like to respond either honestly or lock their houses and never show up till these people are away (Ato Shewangizaw)²².In addition to this children's as co-dwellers keeping in fact that they are dependent of their family do not like to be recognized which later on they declared it by appearing in the administration offices. So, this approach to minimize speculations in any dimensions has created some inconveniences both for the data collectors and the process as a whole.

During meetings even though data were available in the hands of the administration they were released only during meetings which has created rumors to be distributed based on assumptions and according to Ato Anteneh deliberate actions by some groups who are against the development ideas has created confusions.

Another barrier confronted in the site was the demand to withdraw the site in 45 days has created a disturbing environment for the residents. Referring back the regulation it is clearly stated that if an area is in demand for a development and a consensus is reached 90 days of evacuation has to be given to the settlers. After wards during evacuation according to the relocatees organized youths were urging them to move out to demolish their houses. In this process there were a number of quarrels happened to the extent requiring the sub-city higher officials presence in some of the cases. According to a respondent she was expressing her initiation to demolish it by herself if it was not in such a rush and disagreement the way the youths are approaching them. So, even if there is no a concrete data how much this quarrels damaged the effectiveness it can be seen it has created uncomfortable situation for all of the parties involved in the process. So, in both mentioned situations lack of transparency and readiness due to the rush created on the settlers has created unfavorable working environment which may cause an impact on the effectiveness of the project as well

²² Ato shewangizaw one of data collectors during the census and currently compensation officer of the *Woreda*

4.7.6 Complaints

When individuals have complaints the local administration offices were cooperative in hearing and directing to the concerned offices of kebele house co-dwellers(see annex 16) cases in request to benefit out from the development .In addition to this during interviews of the government officers specially Ato Worku Geda's and Ato Anteneh Enchalew _offices were open for residents every Friday discussing and resolving matters in the specified project.

4.8 In-depth Interviews

In depth interviews to the original settlers who currently relocated in Gofa site where relatively found in mass conducted in addition to this local administrative heads and representatives of the settlers elected during meetings in discussion with the developer also included.(for interviews location see annex 12)

Interview No.1

She is 35 years old; she has lived in Lideta sub-city kebele 39 for 10 years establishing her own family as a co-dweller with her parents.

Participation and development activities:

→ did not participate in the meetings for two reasons ,primarily in the regular meetings arranged for the kebele house renters only one member was required to be represented so my mother was fully participating and secondly there was no particular meetings arranged for co-dwellers. However ,with a repetitive and painful follow up and discussion with the kebele administration personally I have filled the form to show our choice of bedroom type considering our capacity and future need, my choice was a two bedroom and now as you see we are in *Gofa* condominium neighborhood through a lottery system conducted openly with our presence . I really support the development but I felt there was a forceful and urgency in the discussions. The fact that we were given 45 days to evacuate was shocking news before knowing where to go and in what bases we are leaving the area. In addition to this originally during there was a choice or possibility avail to resettle back after the development of the area, unfortunately without knowing the reason this was omitted.

Comparison between previous and current settlements:

→ m glad to be an owner of a house in well-structured and standardized environment with a choice to live in it or rent it out as most of our friends do since this area is too expensive either for day to day expenses or monthly purchased goods, transportation and schools. *Lideta* which

is a center for the city you can live with minimum wage and even can do whatever job and access most of the things by walking .Keeping the fact that we were renters from the kebele administration especially for me dependent on my parents this grant me a golden opportunity.”

Interview no.2

She is 24 years old her parents lived in Lideta area for 35 years, her mother is too old and sick most of the time.

Participation and development activities:

–I have participated in three of the meetings out of five or six totally conducted representing the family. First of all the 45 days evacuating time limit was unexpected and meetings after that were totally uncontrolled. In the discussion with the government representatives they were telling us we are lucky to be the first in getting the project applied prior to others. In our side we were requesting in what bases this benefits us? but the responses were not convincing saying that we will be granted condominium houses elsewhere forgetting that initially condominiums will be available either in neighboring *kebeles* or even after developing the area to be settle back in the new structures(through transition shelters). I do support the development but the process was not genuine in practicing what was promised and even during the meetings there was no enough time to reflect our ideas so that the coordinators were up to their own agendas than ours. As to them settling back will be difficult because the expense for the new structure will be unaffordable for us since it is going to be up to the standard and well finished the fact that it is near to international organizations and as pilot project it is expected to be full-fledged to give lessons for the proceeding projects. In addition to these when demolition was started there were a number of quarrels and incidents between settlers and demolishing crew”. Talking about the lottery system of the condominium particular to our case, our mam age was not considered to be on fourth floor which is changed after two years of bureaucracy in housing agency offices to ground level as you see now.

Comparison between previous and current settlements:

–My mother was a member of an old *idir* not existing anymore and never played a role even there on this issue. We were sharing kitchens and toilets with other households previously but now we do have our own, good quality and we are well protected talking about privacy. Life in *Lideta* was simple we do really believe it is not good to be evacuated from your settlement area especially from locations like *Lideta*. Everything in Gofa area is expensive regarding house rent, transportation and even there is shortage of water supply.”

Interview No.3

She is 50 years old and kebele house renter in kebele 49, she lives with her two children's.

Participation and development activities:

→have participated every meeting, of all the issues we all were shocked and the meeting was discontinued when we were informed to evacuate in 45 days. In our case I was happy when we were informed to evacuate and granted condominium since our area was prone to run-off; on the other hand we were also dissatisfied since the promised advance payment to be covered by NGO was not applied rather we get loan instead even at this point I was unable to qualify since I was not sure to pay it back. So, another religious organization paid for me the down payment. As part of 200 women leading families I have got the opportunity my elder daughter to be trained in HCB production for the construction of the condominium. I'm paying 211birr per month for our studio. Currently the production of the HCB is no more functional because the construction is finished which left us for three to five months out of income but with others we are now earning 400-500 birr through garbage collection.

Comparison between previous and current settlements:

→This area never compared to our previous 'sefer' in its healthy, comfortable and security. Transportation is too expensive even I am using public transport to our production site back to our previous 'sefer'. Goods are also expensive even for monthly consumption I do to 'Merkato' where I used to buy and know where things are cheap.

Interview No.4

He is 40 years old and kebele house renter in kebele 49 for 20 years. He has 6 family members.

Participation and development activities:

→was a member of an 'idir'; we were happy initially when we were informed that our idirs will exist and we will be part of the developed area back after completion staying in a temporary shelter and rehoused in the developed *Lideta*. This as I remember when raised in the meetings the coordinators responded as if it is not a burning issue saying that it will create health problems in general. My wife was supporting the family with a suke in the front door for which we did not compensated even if we built it in the knowledge of the kebele administration leaving alone now missed the opportunity to earn more. The development process was forceful we did not fully accepted its application systems which was reflected in most of the meetings.

Comparison between previous and current settlements:

–These condominiums are up to the standard in full filling infrastructure and I own now three bedroom condominium house which is positive part of the development but in *Gofa* and on second floor. So, you see I cannot have the *suke*“ back or create other business for my wife. On top of this everything in this area is expensive, there is shortage of transportation and since it is far from our previous links we either have to spend more money for transportation or keep our contacts minimal. Since the evacuation period was in a short time our children were expected to wake early and even after class arrive too late.”

Ato Worku Geda

Chief executive of the sub-city and coordinator of the meetings with different stakeholders conducted as a consultation process before the realization of the project.

–We have conducted census before discussions with different stakeholders and as a result 81% of them supported the development, 16% were against and 3% did not give their vote, so from this we understood that the majority of them are willing and will be supportive. Discussions with settlers were among the priorities before implementing any action on the site from the government side and data were also publicized during the meetings. Since the concept of renewal in general was new to the city there was some sense of daughter from the residents that the options will not be practical. In this particular case so many options were available for the residents to choose and made practical except publicly provided transition shelters; this was because as a government kebele halls, AARH houses or CIS built houses believed to be congested and shanty areas will be created. So, only this option was not applicable otherwise others like Kebele to Kebele house replacements and Kebele to Condominium (as per their bedroom choice) conducted. As a matter of fact some people were mentioning the prime minister speech that says –development will be conducted without getting far from your original settlement area--” but due to the mentioned reasons and also considering sanitation and security problems this option was not believed will benefit any one. Representatives of these two kebeles were nominated and have worked close to our office.

Regarding social aspects of the settlement like *Idirs* and other local social structures to continue we have managed to settle them in mass.” Considering economic attachments particularly for selected women led families we have arranged around 3,000 birr as a working capital individually and eight small scale associations were formed to work on the site in food preparation and HCB production. As a matter of fact this was done for the first time by coordinating NEWA (local NGO) and Addis Saving and Loan Bank”

4.9 Summary

Techniques of participation applied according to the chief executive²³ of the sub-city has changed from calling a meeting to declare starting date of a project to a participatory process based on LDP's. Following this change and immediately in the first five years plan after losing 2005 election for the city administration the need for public hearings are taken as mandatory in the project. The initiation of the government and attitude change needs to be applauded and assisted in the future to reach to the limit people do be part of designs in neighborhoods and also in the contents of typologies being produced every time a new site launched.

Theoretical approaches and experiences in different corners of the world show varieties of participation levels with low community control to full community control mechanisms. In this early stage of the trial even though there are no as such clear and structured participation techniques it has a great resemblance to Sanoff's open-ended method.

In the video record the researcher reviewed after few number of individuals take long time talking about their personal issues actually concerning the renewal process and in some cases generalized conclusions about the public either how beneficiary or victim they are also presented. In this process the researcher noticed that those who presented as if the society is going to be beneficiaries were always followed by mass reaction not to continue while those reflecting as a victim supported by applause. This action noticed by the co-coordinators several times gave a notification to hear everyone's idea, for our purpose this shows that the majority have issues instead of the only concerns this delegates bring to the discussion. It was clear that the discussions were concentrated to two major issues from the government side after issuing "necessity of the development in this area" one participant explained "it is a question you don't say yes or no, since we do not know what consequences will follow" for such reflections

The answer from the stage was a bit general in saying "individual cases will be handled after consensus reached". The focus of this meeting regarding public house tenants was how to conduct relocating the majority while with a parallel but separately with the private houses on compensation issues.

²³ Chief Executive of Lideta sub-city Ato Worku Geda's interview

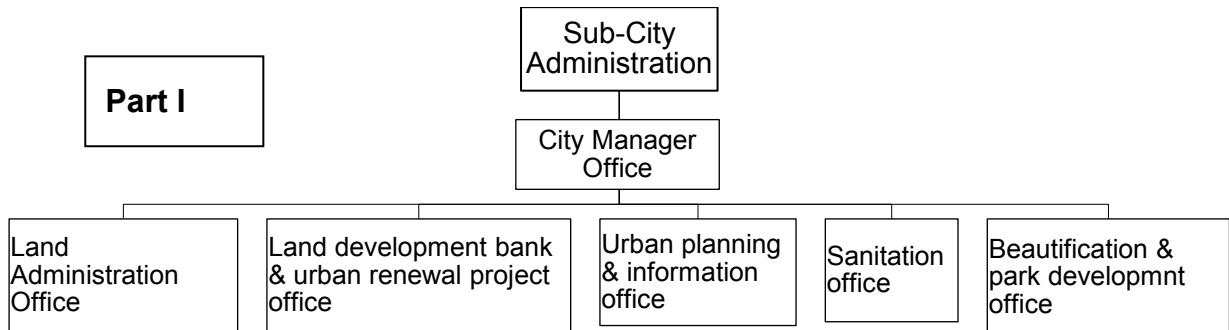


Diagram 3: Responsible governmental organization structure for the resettlement process

Source: Melaku 201

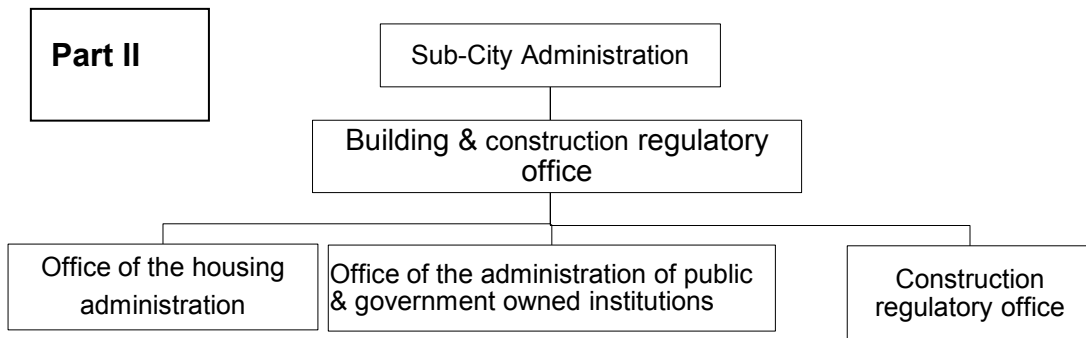


Diagram 4: Responsible governmental organization structure for the resettlement process

Source: Melaku 20

Depending on the above two diagrams, reviewing circulars and observations on how the re-development was progressed the researcher identified the following flow of activities currently followed by the developer in fig 12 below:

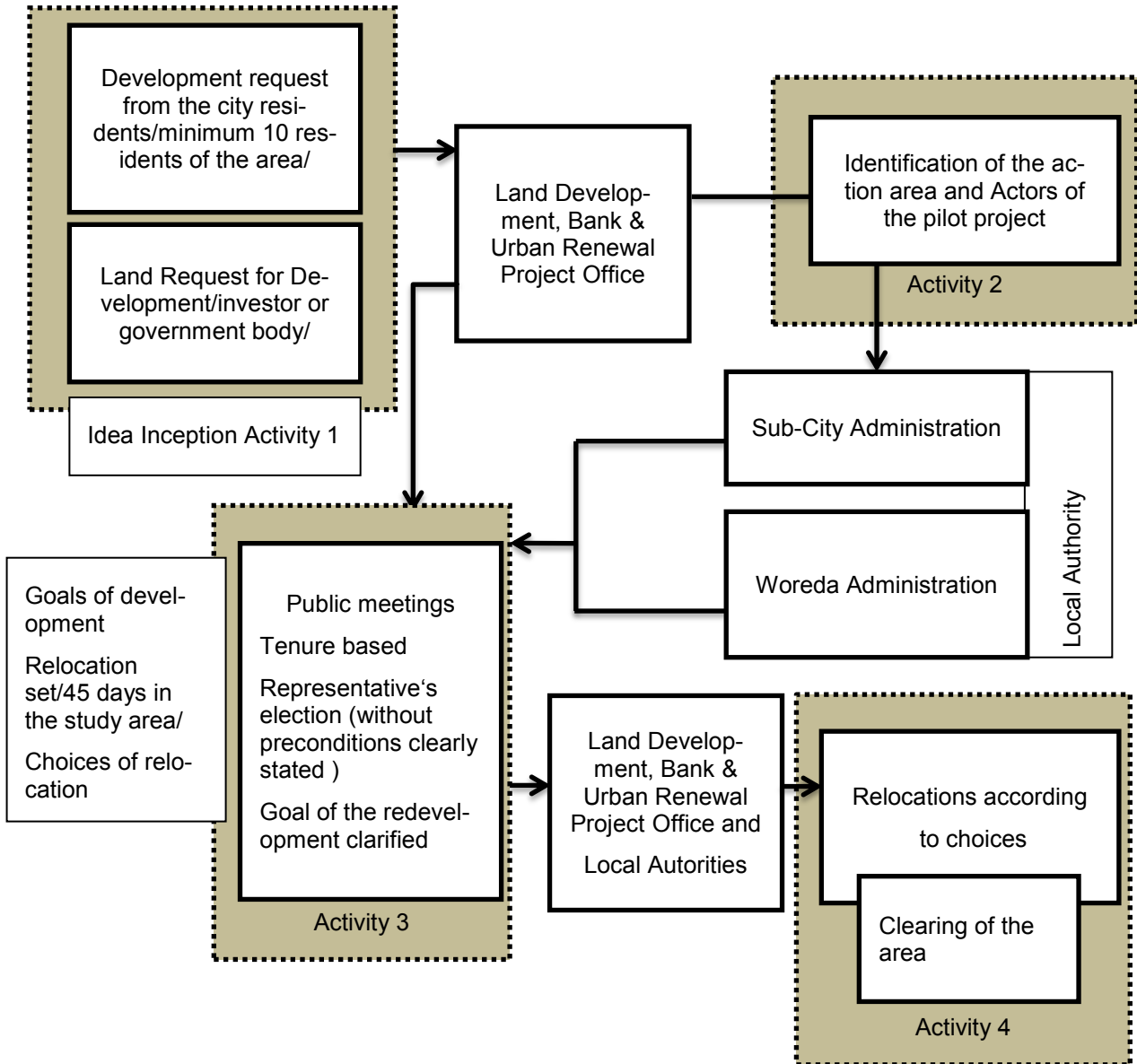


Figure 12: Participation process in the action area and corresponding offices

Source: Researcher's review

CHAPTER FIVE: FINDINGS AND DISCUSSIONS

5. Introduction

Participation as a democratic and good governance element empowering the citizens at large allows users to decide their fate by themselves. The research question in this study stated to be five major points related to housing in the pilot project to identify level and depth of participation. The questions are reviewed here and findings are also structured in sequential manner (responses to research question) as below:

1. To what level does the city administration practice public participation in the urban renewal pilot project (*Sengatera –Firdebet Phase I*)?
2. What were the reasons of the city administration deciding to use renewal as intervention mechanism (resettling original residents somewhere else)?
3. What was the reaction and attitude of the community towards the renewal project?
4. What is the after effect of the renewal project on the community?

5.1 Public Participation in the pilot project

Settlers of the pilot project area in general participated in government arranged forums eleven times while five meetings were for kebele house renters in particular. Only in one occasion private house owners of the two *kebele*'s separately organized discussions with government representatives, in the other hand kebele house owners unable to do this lacking to be organized even after representatives were assigned. Regarding principles of participation from the government side the following sequential diagram was set to be guiding one's but discussions were not reached to consensus but used as if it is a brainstorming and informative stage.

In these sequential and alternative approaches of participation in the pilot project detail briefs tabulated as below according to activities type and issues raised to show who controls the process and how decisions were made .

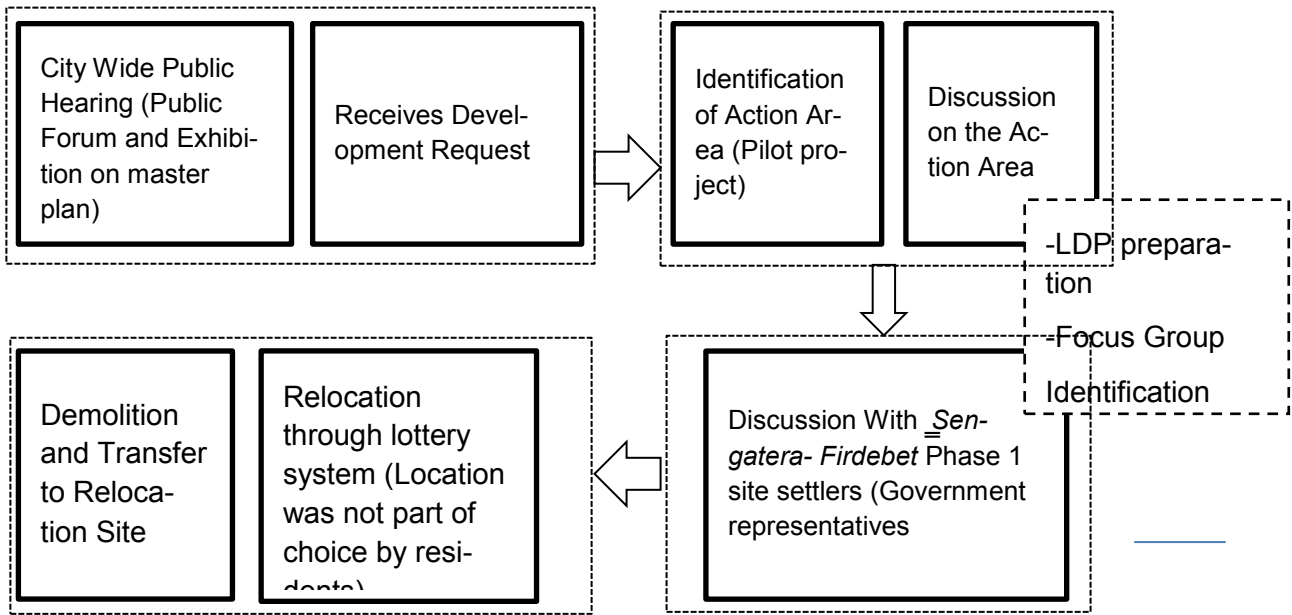


Diagram 5: Current Process flow of Participatory process in the study area

Source: Researcher review

Steps	Activity	Participants /data included	Conducted by	Control by the end users(resettles)	Remark
1 st	Public hearing	Kebele house and AARH renters (city residents were all part of it)	Government representatives	Time limit, Personal issues dominate the discussion Representatives from Households limited to be one.	Dominant individual's personal issues controlled the opportunity
2 nd	Census	Socioeconomic and Physical data	Government representatives	No control/clear goal were not disclosed	Data well documented
3 rd	Discussion	Kebele house and AARH renters (registered respective <i>kebele</i> 's residents)	Government representatives	No control (agendas were pre-set by government bodies alone)	No platform to forward ideas before meetings as agendas or in restructuring
4 th	Choices of relocation Bedroom types were selected by residents but sites were not known	Kebele to Kebele <i>Kebele</i> to Condominium AARH to Condominium	Government representatives conducted the process while household representatives' picked pre-determined available locations	Choices pre-determined by government bodies and professionals(type of bedrooms determined by availability in different locations)	Social and economic integrity of the community were out of consideration

5 th	Demolition and relocation	Job creation and target group identification	Youths' from the surrounding Relocation transportation by residents themselves	Dwellers were forced to evacuate and demolition was being performed while they were living inside their house .	Disputes between Youths (contracted to demolish and dwellers were observed Transportation service was promised but not applied
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Table 16 who control and how decisions made in the pilot project

Source: Researcher's findings

In addition to activities mentioned in the above table (16) according to focus group interviews discussions in meetings were with limited control on the issues directed to the interest of the government.

- **Idirs**": mainly used only to convince the society without considering continuity of the institution itself by using leaders .So, all *idirs* properties sold out and distributed among members.
- **Women headed families**": from data collected on choices of relocation 200 women selected as poorest of the poor and 76.5% of them favored to get loans from Addis Saving Bank as first down payment and business start-up in the renewal site.
- **Youth**: demolishing the action area was sub-contracted to youth; in addition to this there were also some relocatees who work as day laborer's in the project .This has contributed a lot in reducing unemployment. However transportation cost was mentioned to be high by respondents.

5.1.1 City Wide Public Hearing

Addis Ababa City Administration had organized city wide public hearing of the residents in their respective *kebele*'s. In these meetings the need for redeveloping the city infrastructure to an international standard ,efficient and equitable distribution of resource utilization especially land and changing the city image as a capital city of the nation as well as a political city of the continent were the core ideas of the discussion .According to pilot project area residents in this meeting they were convinced on the necessity of a redevelopment intervention since they are main victims of the back draws of substandard infrastructure and congestion due to population increase day in and day out. In addition to this settlers were happy with the proposal forwarded by the government to relocate them back on site after redevelopment or if this is not possible to a nearby relocation site as an alternative. However, now after three years they feel what they were promised was not fulfilled and they were forced to start a new life from scratch far from

their original settlement in the inner city where their livelihoods were established and their social structures were built for decades.

5.1.2 Development Request

As part of the redevelopment procedures, redevelopment request procedures and contents are available for private Investors as well as for residents with a minimum group of 10 to develop on their own or request the government to redevelop for them. According to government officials of *Lideta* sub-city and *Woreda* 08 development of the area was initially requested by residents who were prone to flooding. However when the researcher asked concerned officials of Land Bank Development Project Officers respond –it is a secret document not to be publicized” .So, this shows the limited transparency level on the side of the developer even on research levels. In triangulating the issue among the 45 respondents of among relocatees none of them recall such a request made by them or their neighbors. However, three respondents recognized that the flooding problem existed.

5.1.3 Identification of Action Area

The pilot project location was selected for three major reasons according to *Ato Israel Tesfaye* in brief interview with *Fanna Magazine*(Fanna 2010):

- i). Based on a petition signed by community of the area in 2008
- ii). The initiation, readiness and willingness of the sub-city administration bodies
- iii). Regarding area coverage, among several proposals *Sengatera –Firdebet* considered to be a manageable one since it is 26 hectare while others are around 40 hectare and above.

In addition to this in the video discussion between developer representatives and the residents, *Lideta* Sub-city being near to international organizations like AU and others lay emphasis on its choice for redevelopment in order to change the image of the city. Furthermore in the 2009 LDP prepared by URRAP availability of services like garages, ware-houses (covering major part of the land) and large percentage of kebele house renters was believed to minimize relocation impacts and reduce the cost due to compensation.

5.1.4 Census on the Action Area

Census on the action area was thoroughly conducted before; however reasons and results of the data collected were not publicized .So, in the meetings (*Lideta* Sub-city video documentation) a number of questions were raised:

1. Whose decision or preference was to be relocated away?
2. Lack of transparency on the reason behind data collection; resulting repetitive complaints to come to kebele administration offices.

3. Socio-Economic issues especially from low income or poorest of the poor were raised. They were concerned that they would either be relocated to distant locations or to other kebele houses which are in the verge of renewal project and would too be demolished soon.

4. Looking back to the contents of data collected and the realities that happened during relocation, people were asking regarding paradoxes on the following issues:

a) Willingness for development against relocation mechanisms on site or nearby areas.

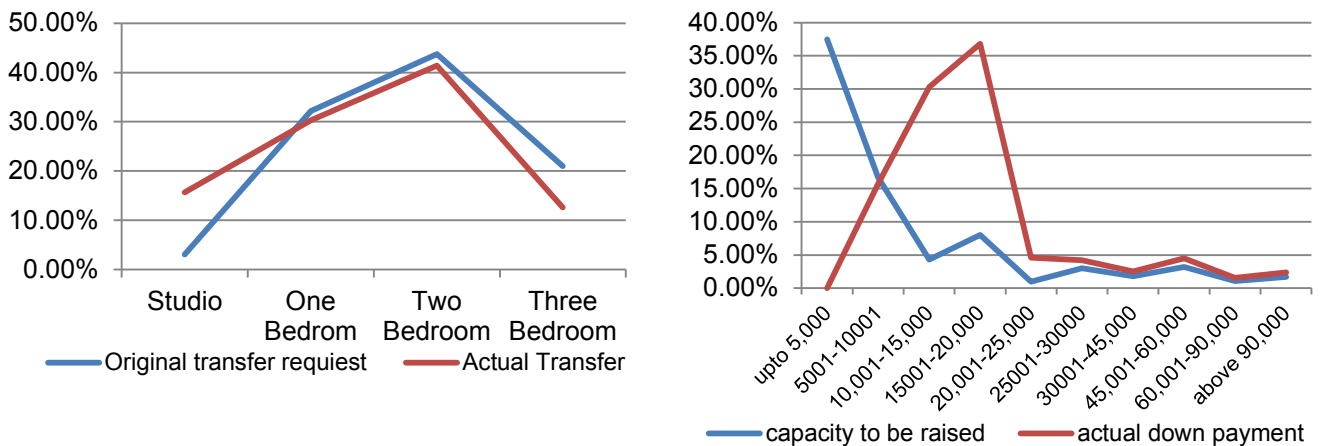
b) Human development issues and creating employment opportunities (with less expense if located to nearby site)

According to compensation officers during data collection there was no clear brief for the residents because from the developer side there was a fear of:

- Children's who were away from the area earlier may be registered as if they are co-dwellers with parents in the area
- Register additional family members who are not in the area
- Hide income level
- Other premeditated information's may be prepared

This action of conducting census without brief on its final goal has created repetitive disputes and unwillingness from residents side to the extent never showing around their house when officers are in their vicinities. However, the process was conducted in such approach data from this census has shown the reflection of residents in favor of the development were 81% and 15% against while 3% not disclosing their view. Regarding willingness to be relocated in public provided shelter 78.9% of them accepted and 2.9 % to rent out other areas and 0.7 % to live with relatives elsewhere till construction conducted which keep the cumulative to 82.5 % keen to resettle back passing through difficult situations. To assess additional reflection on willingness (to be relocated in public provided shelter) a minimum of 75.6% and a maximum of 97.4 % accepted the provision in seven locations within other five sub-cities.

Socio Economic Data also has shown 86% of them are members of local Idir's and neighbors are in strong relationship with each other different from international slum characters praised for its social capital. Income levels study and capacity to be raised for condominium down payment according to preferences made by residents determined by bedroom types were not well-matched which can be seen from original transfer request and actual transfer ,capacity to be raised and actual down payment data as in the charts below.



Original transfer request and capacity to be raised to own condominium house originally shows in one hand interest of residents in changing their status in changing tenure .The actual transfer and actual payment clearly show the interest in getting wider area and capacity wishes at first were not compatible putting majority to shift from one and two bedrooms to studio type.

5.1.5 Issues unresolved in meetings:

Initially meetings were thought to be organized by keeping different kebele residents at one place with every tenure type together, but this has created or noticed to be revised meetings to be organized based on tenure type since the contents of issues to be discussed are basically influenced by tenure type.

Emotional and betrayed feelings were reflected from participants concerning:

1. Social issues concerning *Idirs* and other related factors.
2. Economic dependence on the location and social conglomeration built for a number of decades
3. Human development concerns against beautification of the city
4. Willingness to be relocated in a public provided shelter as a mechanism retaining all other questions as above.
5. Affordability issues and kebele to kebele transfer with a treat of being exposed to relocation.
6. Not being well informed or lack of trust on the government to pass the land for individual developers instead of what is being propagated as housing project.
7. Short notice and period of evacuation to be 45 days

5.1.6 LDP preparation

The design process of the study area was done totally by professionals without direct involvement of settlers. According to Ato Worku Geda private house owners were showing him some case studies from China and on meetings requests were raised to get the contents of the

LDP(2005 and 2009) . Here it is noticeable that citizens were not even aware a right to participate in the preparation rather asking for the output. Response for such requests from the coordinators was “those of you interested to know, you can come to our office and collect the document”. So, this shows that the level of participation by local residents on LDP’s is limited and even on the publicizing of the products the developer lack transparency in addressing all stakeholders. LDP’s even though lack direct contact to settlers in the proposal stated, government has to respect willingness of residents towards renewal project as well as in resettling them back after development.

5.2 Renewal as Intervention Mechanism

The major factor or prescription made to the inner city to undergo renewal was by a master plan revised in 1991(Y. Elias 2008) and a research made by AAHA (1996E.C) due to the deteriorated structures and sub-standard infrastructure of the area .After this proposal two LDPs were conducted in the study area in2005 and 2009 proposing renewal with strategic phases respecting responses of dwellers during the census as follows:

- a) Locate service functions where occupy large areas and use them as primary intervention portion of the site
- b) Public provided shelters for those to be displaced till construction concluded

So, what was proposed in the LDPs and practiced when the relocation started were in conflict which shows a hidden hand even on top of the professionals decided to act once on the 26hectar land ambitiously. According to chief of the sub-city and Kebele07/14 public provided shelter was not practiced further because there was a fear of contagious diseases will cause deaths as it recorded in previous other cases.

5.3 Policy Effects

Policy shifts during post 1991 under EPRDF considering housing as “main industry responding to job creation, inner city and expansion area redevelopment, promoting saving culture and affordable modalities for the dwellers” (Ashenafi, 2001) .In the same concern when national development conducted a right to participate were stated in CFDRE-Article 43 no.2

In detail discussion on article 22/1 of proclamation no.17/2004 when LDPs prepared or updated or revised by the manager:

- (a) An opportunity shall be given for the residents of the city residing in the area covered and affected by the plan to have a clear knowledge and discuss on it.
- (b) Shall present and exhibit for those residents of the city who are interested to see.

Concerning article 22/1 according to developers words even though a request for development was initiated from settlers LDPs contents were not at list publicized . As it is also included in the literature review:

- Arnott (2008) emphasizes on housing policies if not well organized and documented will be a major constraint(Ayman M. Nour)”
- Thomas Siebold (Siebold INEF Report 86/2007) consultation to be conducted the need for intervention and its objectives have to be drawn clearly and with initiation from participants, to do so information dissemination and making it available to everyone is a necessity.

Consultation mechanisms according to interviews with the dwellers show that it is a convincing process than consulting and reaching on consensus .This is due to absence of full information on documents and disposed to rumors not being cleared on final visions of the development.

5.4 Implementation of the Relocation

5.4.1 Facilitating relocation

Resettlement possibilities with condominium rental were the only means available for the public house tenants away from inner city while benefiting a change on tenure type. This was not affordable for most of the residents who used to pay less than 100 birr(majority below 10 birr per month) were given 150birr to 450 birr/month rental payments which actually were not given good coverage in disseminating the information so that no one used the opportunity. Temporary Shelters as temporary publicly provided transition spaces were pictured or presented as shanty areas which can cause wide-ranging health problems and discomfort if used as a means. In addition to this another issue that is not officially declared but from interviews both from developer side and residents were inflation on construction material cost .In this regard residents were after take hold of the available option to be relocated and own condominium house rather than wasting time in practicing their full right.

Temporary shelters

Willingness to be relocated to publicly provide temporary structures was given as a choice by the developer and rejected by themselves for two main reasons according to clarifications forwarded in the meetings:

- A. Contagious deaths can cause death's due to overcrowdings and river side settlements in most cases (to dispose sewage and looking for open lands)
- B. Shanty areas will be created till construction concluded and transfer achieved

C. Settlers were feeling insecure about the promises after construction since there are similar temporary shelters aged more than five years in the city.

These reasons are results of current practices in the city by the developer which is in most cases dependent on corrugated iron sheet (CIS) as wall and roof material while floors are rammed earth, and in some cases unoccupied *Kebele* houses, AARH and halls. So, during interviews imagining the current practice respondents were saying *“kememot mesenbet”* to mean better to stay alive than dying earlier. This means of provision being taken as a sole means and difficulties imagined to be unresolvable the extent of overriding willingness of settlers towards renewal project drastically changed from resettlement on site or a nearby relocation to dispersed (53 different locations) and away from center of the city. As a result of this act against the goals stated initially which consider settlers as end users changed as well to undefined but in general to other city residents to be determined in a lottery mechanism clearing the original citizens.

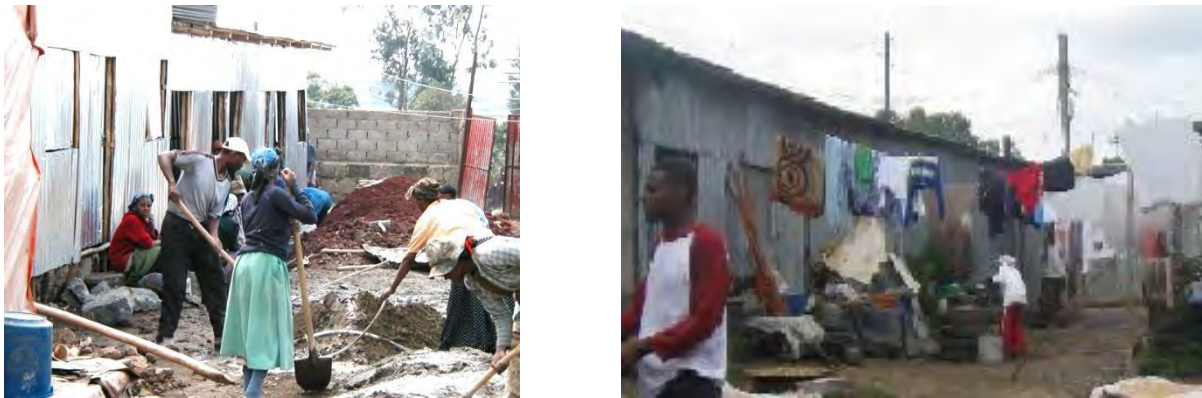


Figure 13: Temporary shelter provided by developer

Source Yidnekatchew Tessema 2009

5.4.2 Reaction and Attitude of Residents

Renewal of the inner city even though proposed decades before the implementation there was city wide forum and exhibitions were conducted in between 2000 and 2002 (ORRAMP, 2002). When residents were introduced the case either on site or nearby relocations were the main hopes of being part of the development as it observed from their response; willingness to be relocated on public provided shelter and resettling back in the study area was 78.6% while on other five sub cities ranked from 75% to 94%. Later on when the pilot project discussion started and the mentioned choice were avoided people were disturbed and developed mistrusting the government to a level that the site possibly transferred to a private developer. This mistrust developed due to lack of enough information desks, even the available ones are far from the action area so that rumors were dispersed and being strong than actual government words about

the development concern and mechanisms applied. In addition to these 90 days of evacuation period stated as time limit when an area demanded for development shortened to 45 days has created disturbance before knowing where to be relocated. This as a result can be taken as a constraint in provoking negative attitudes towards development.

5.4.3 Effect of Relocation

Social institutions like *Idirs*, *Eqkubs* and others started from scratch by relocatees in memory of their previous location excluding other localities of the new settlement which needs further research on its effect in the future. According to an interview with previous leader of an *Idir* and currently a secretary of the new one the involvement of members is not yet strong and incomparable to the previous one in addition to this since settlers in Gofa condominium are from different corner of the city residents are living behind closed doors not disclosing their identity to each other. This as a result has created limited interactions and even robberies are happening repeatedly both in day and night times.

Low income people who were dependent on the locational value and mix of economic levels of previous area are now among those in distress and shortage of incomes. Particularly about among women leaded families from 45 respondents six of them are now struggling by forming association depending on collecting wastes from their neighbor's to cover their day to day costs and monthly payments for their studio type houses.

Transportation which was totally an available in earlier time is now getting better but still limitations area also available till now after three years of settlement in the area. Youths' who were participating in the construction of the pilot project were walking long distances to reduce their expenses; according to Melaku,2011 analysis made between previous and current (on new relocation site) transport expenses show that 79.7% of employees either on formal self-employments or informal activities were about reduced to 7% as a result of distance increase.

5.5 Summary discussion

Depth and level of participation as a finding from this research can be seen in the table ---- Which control and how decisions made in the pilot project that: discussion issues pre-set by developer and a convincing strategy used instead of consultation mechanism so that it is an informative type of participation can fit the situation. On the other hand during data collection detailed socio-economic structures, including co-dwellers as beneficiaries and giving respect to focus groups show a strong participation approach.

Housing policies not found to be unimpeded in detailed and under one institution are creating gaps in the implementation process in practicing a transparent mechanism for the developer and for the residents in achieving their full citizenship right. As a result of this and lack of enough information dissemination mechanisms responding to rumors were being major part of the routines for developer's representatives in most meetings. So, availing information desks in the action areas in proportion with the development has to be emphasized one of the mechanisms in clarifying and resolving doubts about the development.

Constraints regarding laws, policies, time, decision giving bodies and other uncovered points in this researches need to be identified and defined as early as possible before and during discussions with settlers and end users. So, that amendments and adjustments to the benefits of the project and in fulfilling citizen's interest can be achieved as a result of level of participation uplifted to a strong and genuine one. In such approaches possibilities of creating win-win mechanisms will be high and overriding initial promises will be minimized.

CHAPTER SIX: RECOMMENDATIONS

6. Achieving genuine Depth and levels of Participation Mechanisms

Participation to be taken as a mechanism in development process first of all needs the initiation of politicians to empower the society (stakeholders) than excluding to impose, decide following blue prints produced by professionals and policy makers. As it is clearly seen in these days interests are being observed to participate the city residents while reviewing policies in housing sector and also in redevelopment activities. So, as indicated in the findings depth and levels of participation of relocates remains far from the goal to be achieved or manifested. In reviewing theories and interpreting data in the pilot project the following mechanisms will step up levels and depth of participation to a genuine level.

- Access to information has to be strengthened (During idea inception to Implementation within the action area)
- Participatory planning tools to be followed in benefiting out local knowledge's
- Change of attitude on staffs in agencies promoting projects (officers from the developer side has to be trained in this regard)
- Institutional arrangement which needs to be integrated, flexible, and demand responsive.
- Housing policies needs to be organized and documented under a specified institution
- Minimizing constrains hindering developer to achieve as targeted like ;time, capacity ,communication and urban bias are among basic points

6.1 City administration Practice

The city administration has been engaged in different mechanisms of development approaches following a revised Master plan (2010) in changing deteriorated infrastructures and beautifying the city. In these activities depth and levels of participations of stakeholders especially the public house renters were limited to informative kind of participation .The reasons for this kind of participation are due to time constraint, lack of previous experiences and overriding acts on initial consensus. So, the practice has to focus in changing the following points to the recommended ideas in order to raise participation levels to a strong level.

- Settlers Unable to coordinate meetings by themselves : allow general public to be coordinated with the help of their representatives and master developer to generate a win-win situation

- During census they were not informed well about the final goal which has created confusion and clarified during meetings, but pre hand preparation in creating awareness has to be given much more weight.
- Evacuation was set within 45 days while in the policy it is indicated to be 90 days: when urgencies in implementations are there from the developer side frequent meetings has to be assigned and information's has to be abundant as stated earlier.
- Focus groups were limited to women leaded families and youths while other part of the society is equally need attentions towards affordability and employment concerns.
- Census results according to questions to resettle to a nearby relocation or on site totally avoided for public house renters while they are majority of the settlement.
- LDP proposals has to be respected as far as produced following consensus need to be displayed and presented to the action area residents
- Compensations are limited to private house owners but it need to consider kebele house owners who extended their house or improve structures for commercial use
- Reviews and further researches have to be conducted on the differences of settlement effects between inner-city relocatees and those far from their original locations.

6.1.1 Positive Findings To Be Recommended in the Future

- Politicians and administrative bodies' offices were open for the public to discuss on their problems with small groups and with individual cases once in a week..
- Meetings when conducted by the sub-city officials were recorded professionally which helped for this research also to be dependent in witnessing the emotions and real attitudes of meetings
- Census conducted covering almost every actor in the action area
- Private house owner's representatives have conducted meetings in collaboration with the developer which needs to be applicable to the public house renters, too.

6.2 Proposed Work Flow

- 1st step; If a group of 10 people set to be a minimum number to apply development request; before conducting door to door data collection discussions at neighborhood level (proposed action area) has to be coordinated. In addition to this temporary information centers need to be erected to avoid confusions and rumors about the redevelopment goals

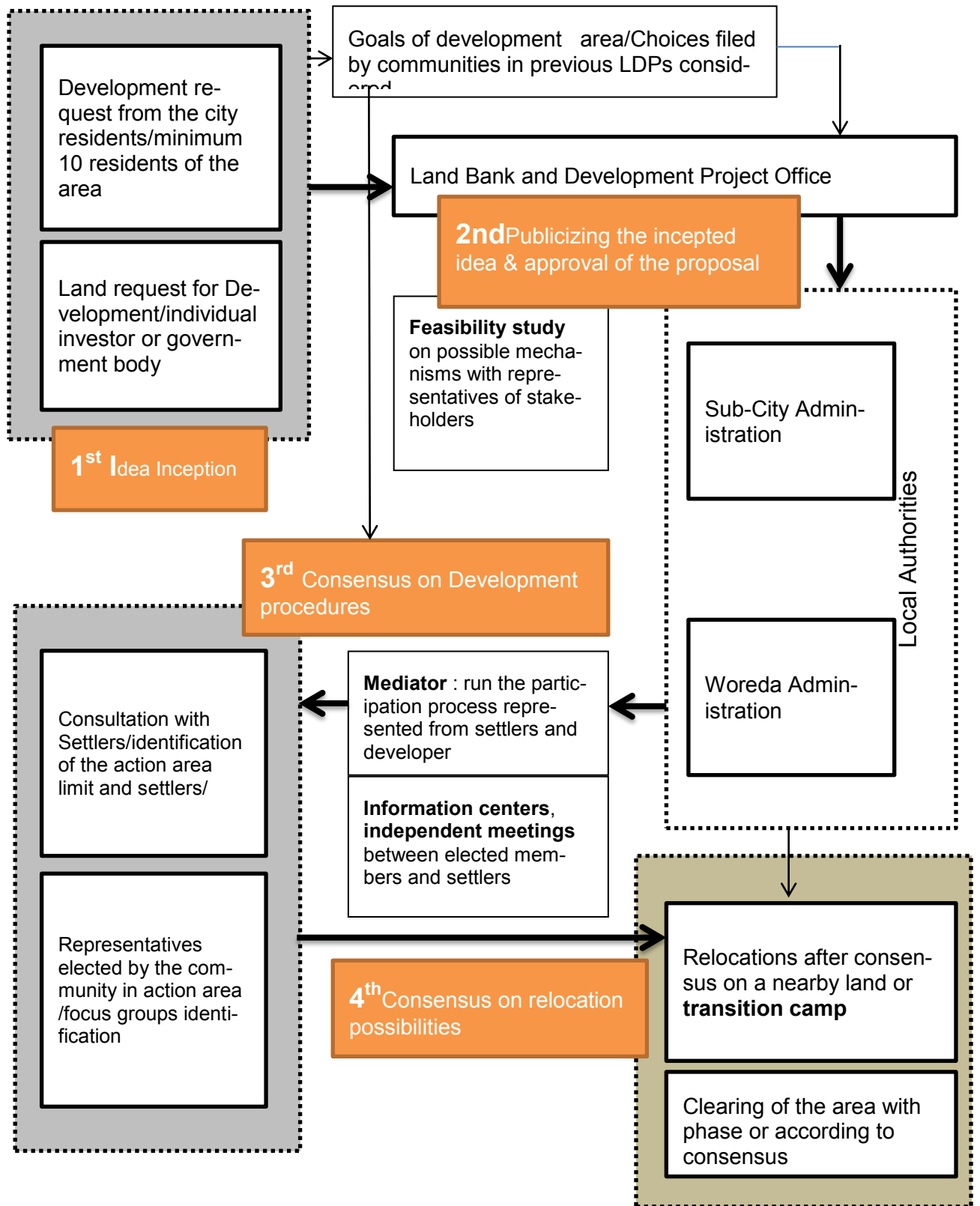


Figure 14 Proposed Work flow during participation process

- **2nd step:** Action areas identification has to be demarcated so as to make ready the boundary in order to notify the settlers to be ready for the action and the developer to allocate budget regarding finance, human resource and land to construct new transition spaces or available shelter (if it is continuing as in the current data).
- **3rd step:** Discussions on the detail procedures and contents of the development has to be synchronized with different groups: tenure type, women and youth, social institutions like *id-irs*, income level especially poorest of the poor, age group and physically challenged part of the society. In this discussion process third party as a master developer (if possible volunteers from developer side and original settlers) involvement is mandatory assigned as a consultant and mediator not to create psychological impacts on residents to feel free after meetings.
- **4th step:** Results of participation of different groups needs to be respected to the maximum and possible technical supports must be gathered from professionals and focused group discussions.

6.3 Renewal with minimum Displacement and after effect control

Consensus either on meetings or from summarized data reflects the needs arisen from stakeholders, so the stronger the participation of residents more reliable reflections from actors can be achieved. The concern and proposed approach was to achieve major concern of Habitat agendas in housing 100 million before 2020 with minimum displacement. So, the core consensus found in this research –willingness to be relocated in publicly provided temporary shelter (76%)” determines how far the redevelopment is from a win-win approach unless and otherwise intensive alternative mechanisms are developed.

Development actions to be equitably distributed between citizens after effect controls need to be pre-assessed and socio-economic data interpreted and different possible proposals has to be experimented. The primary approach or proposal by the developer in the inner-city was a public provided shelter later on considered to be not convenient considering existing mechanisms as sole menses. In response to this used shipping containers or movable prefabricated houses are suggested in this recommendation with conventional planning system to control sanitation and proper infrastructure provisions. Relocations in this recommendation will use either the action area itself or nearby vacant lands.

6.4 Social Networks and Economic interdependence

Inner city of Addis Ababa as a core or nucleus of the city aged neighborhoods with strong social networks and economic interdependence between residents , availability of city centers and market places gives it more complex nature. There are *idirs* with four to five decades of ages , *Equibs* and *Mahibers* serving the society as social gathering medias .Unfortunately these associations discontinued because of the redevelopment, so a better way has to be designed to keep them exist and even more serve as focus group divisions while participations of the society required. Regarding locational value related to income generation; being at the center near to facilities relocation near or on site resolve complications that could come after getting standardized infrastructures and houses.

6.5 Affordable and recyclable Temporary shelter design

If residents choose to stay in a temporary shelter(76.8%) till the project ready and show willingness in down payments as what they are doing now in the delivered condominiums then a better saving mechanism can be provided during construction period which is estimated not less than three years.

Since renewal is indispensable solution to the inner city a preplanned activities need to be done like:

- organising community structures to co-ordinate discussion on the issue
- develop saving culture and engaged according to their choice of houses in the estimated construction period.
- identification of actors and focus groups
- Alternative mechanisms of resettlement on or near to site has to be recommended and practiced
- Idirs and other social organisations to be supported and enabled to be strong financially than discharged

6.6 Relocation Mechanism

Open lands identification either within the action area or in nearby location investigated a strategy needs to be conducted as per the nature of settlement and development priorities. In the identified land the proposed temporary shelters will be constructed and following this:

- a). Those that choose condominium in other areas and not willing stay in the temporary shelter have to be relocated, so that additional perforation will be achieved in the existing settlement even though it will be scattered.(see figure 15 below)
- b). Areas with minimum household but large area coverage's have to be relocated in the new temporary structures, so that cumulated additional open area will be achieved. This open area

either will be prepared for additional temporary structures or will be part of renewal projects to be implemented.

c). If enough land for the temporary structures achieved by applying the above two procedures, so the rest of the land clearing and implementation will be possible.

6.6.1 Movable Temporary Houses

1. Container houses (used shipping containers with upgrading works to fit for habitation)
2. Purpose made movable houses (if sufficient budget allocated)
3. Transition Camp./Sub-cities: using either of the above two house types on site or near-by relocations can be achieved considering three to five cycles of displacement in a sub-city.

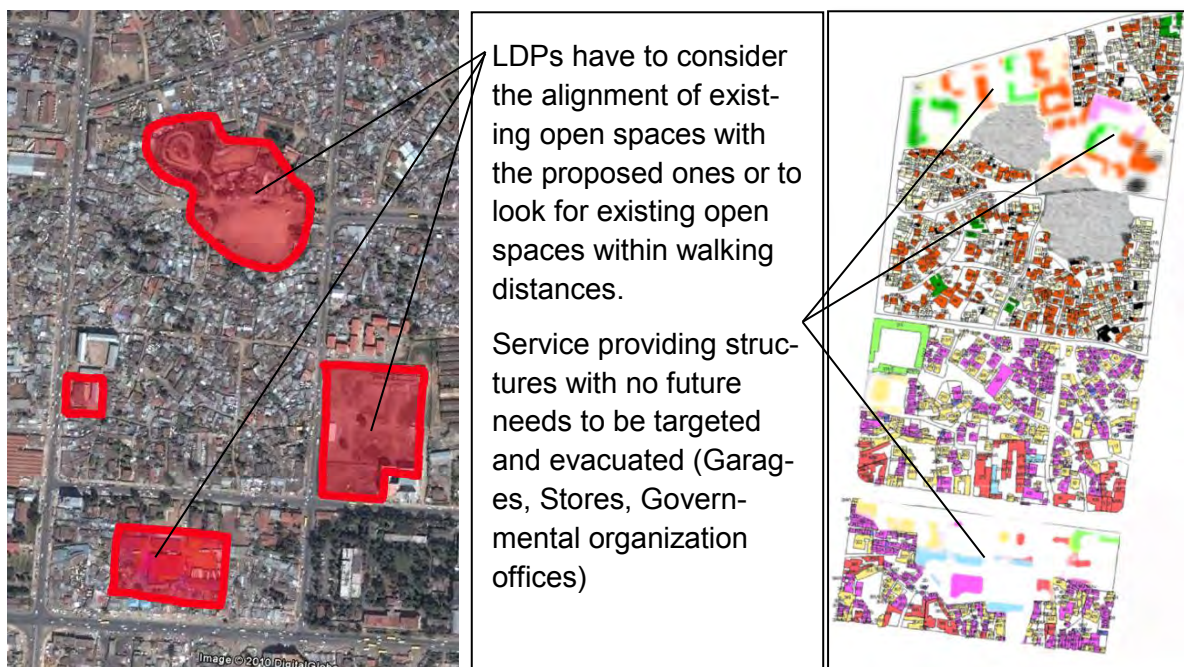


Figure 15 Site study for temporary shelter structure erections

6.6.2 Opportunities in Using Movable Temporary Houses

- Can be set in a Walking distance which enables displaced people to participate in the construction period
- Enable to Continue Socio-Economic ties with the rest of settlers and even will be willing to relocation and deconstruction process resulting effective achievement on the development goals.

- Create developer and end users reliability on development movements in respecting promises and achieving a win-win solution
- Part of the construction can continue as part of recreation and open space services if alignment of such functions considered while preparing LDPs
- Time as a main constraint can be saved by preparing these houses elsewhere with utilized standards and transporting them the moment consensus achieved.
- Sizes of either used containers or purpose made houses are well fit to human dimensions
- Easy to construct and deconstruct or easy to reuse and move to another location ,if a camp is considered once this structures erected three to five settlements of different cycles can be achieved. This will help the government also to benefit in saving provisions and reduce initial investments considering repetitive uses.
- It can be retailed back since further uses are expected after 10 years of service
- Restoration of occupied land can be achieved later on for other use in the area for example as open space or even to be leased as per the land use of the area.

6.6.3 Problems with currently Movable Temporary Houses

- If not equipped with heat insulations not comfortable for both major seasons of our city.
- Availability of used containers may be one challenge if not supported with donations.

Inside length	Inside Width	Inside Height	Door height	Door Width
5.425 m	2.27m	2.260m	2.216m	2.258m
Area of a container before internal additions of heat insulation material's applied=12.34sq.m Half door width is 1.129				




Figure 16: 20' shipping container data

Source: www.transworld equipment .com

Interviews and data collection on the availability of used shipping containers in the market shows:

Ethiopian Shipping Lines sc. Ato Muligeta data center expert informed the researcher that the company usually conducts open bids for used shipping containers for two reasons:

1. If a container has finished its expected sea life which is not more than 10 years.
2. If Before the life span of the expected period an accident happened on the container.

Due to the above reasons in average the company was selling used containers 1500-2000USD keeping the quantity of available containers variable. As an example he mentioned the case in 2010 and 60 used containers were sold.

Another interview with Ato Tibebe Tadele marketing manager of a local representative for ZIM Ethiopia such containers are available in a range of 2000-2500USD from international markets. In addition to this he has also mentioned there are container producers in China and Malaysia with cheap prices.

6.7 Cases about used containers as habitable spaces

1. *Cité A Docks student housing project, located in Le Havre, France.*

Internal spaces with upgrading works and standardization has given it a permanent residence or housing project. Short sides are all left with clear glass to let in light in the depth of the containers and furniture's are also considered to give spacious look by giving extra circulation space. Land scape works are also one of the beauties of this housing project arranged with modular depiction of the blocks letting enough open space.



2. Recycled shipping containers repurposed into supported housing Imouto Housing for Young Women at 120 Jackson. –The first social housing project in Canada to re-use shipping containers, and could set a precedent for cost-effective supported or social housing models.”



- It reduces the cost of standard building materials close to three fold
- Six re-purposed shipping containers, each of which will become a self-contained transitional housing unit in a three-story complex.
- Donation is the main source of funding the project
Source:

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Annex 1: Questioners

Residents: Personal Information

1. How many years did you live in the previous house in *Lideta* sub-city?
a) less than 5 yr. b) 5-10 yrs c) 10-15 yrs d) 20-25 yrs. e) more than 25 yrs
2. Are you a member of any social gathering structures like *Edir, Ekub, Mahiber*, or any other? a) yes b) no
3. Household income per month (Currently) a) No income b) Below 200 c) 200 – 500 d) 500-1000 e) 1000 – 1500 f) 1500 – 2000 g) Above 2000
4. Children's information if there is any and the effect of development on them?
(Age, School, Work place etc.)

Development Process

1. Who requested the development in *Lideta* area?
a) As individual or community association b) kebele administrators c) no, it is from any other higher administrative body-----if (a) How did the initiation started?- If (b) or (c) ask question no.2
2. How did they inform you?
a) Through media b) Through our kebele calling meeting to discuss to develop the area c) they come up with an LDP already prepared and informed us to be ready for this d) your comment on this
3. Were you informed that the area is going to be developed before the meetings? a) Yes b) No -- if yes who informed you?
4. Who set the agendas of the discussion in every meeting? a) Government b) Dwellers of the area c) NGO d) if other explain
5. In the meetings with the coordinators, were you tentatively following the meetings? a) No b) only one time c) two times c) three times d) four times
6. What was your reaction towards the development strategies when you first heard of it?
7. What was your expectation from the meetings? Your individual concern in this development process.
8. How many times did you discussed in this issue with the promoters, till you were relocated? a) one b) two-three c) three four d) five to six e) seven and above f) until all parties reach to a consensus
9. Were there any possibilities or trials from the community to set agendas? a) yes b) no
10. Have you tried to show your reaction to the promoters? a) Yes How did you express it? b) no , why not?
11. How many days did the government offer you to be relocated? A) 45 b) 90 c) time limit was decided after discussion

12. When did they inform you the relocation period? a)before we agreed about the development details but in the process b)after we discussed and conformed we are ready for the development process c) they informed us when they call the first meeting
13. Were there information centers easily accessible for your concerns and indicators where to go? a) no, we were informally informed b)yes, there was a center delivering or informing body where to go and approach to solve my question c) no, I did not requested such thing
14. Were the representatives of kebele and AARH tenants' selection fair and transparent? a)yes b)no c)I don't think so I have some hesitation if(b) or (c) what are your hesitations or is it to say not fair and transparent
15. Were the discussions in the meeting open for any idea raised from the community? a)yes b)no, not at all c) yes, with minimum reservation
16. Your division (kebele and AARH tenants) has ever called for a meeting with the coordinators. a) yes b)no c)we did not know there was such possibilities
17. Were there any informal gatherings without the coordinators between tenants? a)yes b)no c) we did not know there was such possibilities
18. Were there any Formal gathering with committee assigned for you after their nomination a)yes b)no c) we did not know there was such possibilities
19. Were there issues raised from the community and accepted by the coordinators and changes made accordingly? a)yes, there were issues raised ,what are the points raised and corrected accordingly b)no, there were no issues c)no, there were issues raised but not corrected
20. Explain if q.no 14 answers are either (a) or (c)
21. Did you individually consult any officials formally concerning any issues you thought relevant for your decision? a) yes I did and get a stand b)yes I tried but I did not get the chance to talk with c)no, I did not have any issue d)yes but I was informed such questions are not entertained
22. Did your group (kebele and AARH) tenant's representatives sign an agreement with the government? a)yes b)no
23. Do you know the contents of this agreement? Or did the representatives discussed with you about the contents? a) yes, I know the contents because they did consulted us b)yes, I know it but I accessed it informally c)No ,I do not know the content except the discussion in the meetings
24. Were there any influences from the government side to decide to evacuate rather than resettling back to this place? a)yes b)no
25. What criteria's were there to be involved in the discussions?
26. Did you personally accepted the concept of the development ?a)yes b)no
27. What roles did *idirs,ekubs* or any other social existing structures played in the development process?
28. What did you benefited out of the discussions made with the coordinators' or representatives of the government?
29. What is your stand now after all those process? What do you suggest to be included in the process to make it more participatory?

30. Day to day life and previous settlement views according to the following aspects:

a. quality of the houses. Social links to the neighbors' and your relatives, economic advantages

d. accessibility to transportation and services in the area, e. infrastructure (road quality, electricity, and water) ,f. open spaces and their usage ,g. Safety h. handling of sanitation ,i. children play grounds

and j. Sanitation

31. Day to day life and Current settlement views in similar context to Q.NO 34.

32. What benefits did you achieve because of the development process in your previous area?

33. What are the good and bad sides of this new settlement?

34. Remark

Settlement and Space Accommodations

1. How many years did the house hold head lived in the previous area?

a)below 2years b)2 to 5 yrs. c)5-8yrs d)8-12yrs e)over 12 yrs.

2.For what functions did you used the house for?

a)Residence only b) Residence and commercial c) others

3. Number of rooms previously lived in? except kitchen and toilets

a) one room b)two rooms c)three rooms d)four rooms e)five and above

4.Were there co-dwellers (debal) with you in the previous house

a)yes b)no-----if yes, did they considered in the development process?-----

5. Availability of service functions and their usage.

a)kitchen b)toilet c)store d)other type

6.Ownership of the service functions ☹ a)commonly used b)private attached to the main house c) private detached from the main house)

1.Kitchen2.Toilet 3.Laundry

7. How many story/floors was the previous house? a)G+0 b)G+1 c)G+2 d)G+3 to 4 e)G+5 and above

12 What size and functions of rooms did you have in the previous house?

8. Did you have an open space in the plot previously?(explain its purpose if there were any?)

a)private b)shared (communal open space) c)no open space within the plot

9. What functions of spaces do you lack here in the new settlement which was familiar to you in the previous house and also neighborhood?

10. Were you willing by that time to stay in temporary shelters and resettle in your previous area which is on the

way to be finished? a) yes b)no--If yes ,in your categories were these issues discussed or not?

11. How many years did the house hold head lived in the current area?

a)below 2years b)2 to 5 yrs.

GOVERNMENT BODIES

1. Which body of the government was assigned to conduct the discussion with the community?

2. What strategies were used to address different part of the community?

3. What proclamations or laws and regulations of development did support these approaches?

4. How many times and in what intensity did you discussed stakeholders (especially kebele house renters)?

5. What were the driving forces or reasons to categorize discussions under tenure type?

6. Does the government run this development in a participatory way? a) Yes b)no

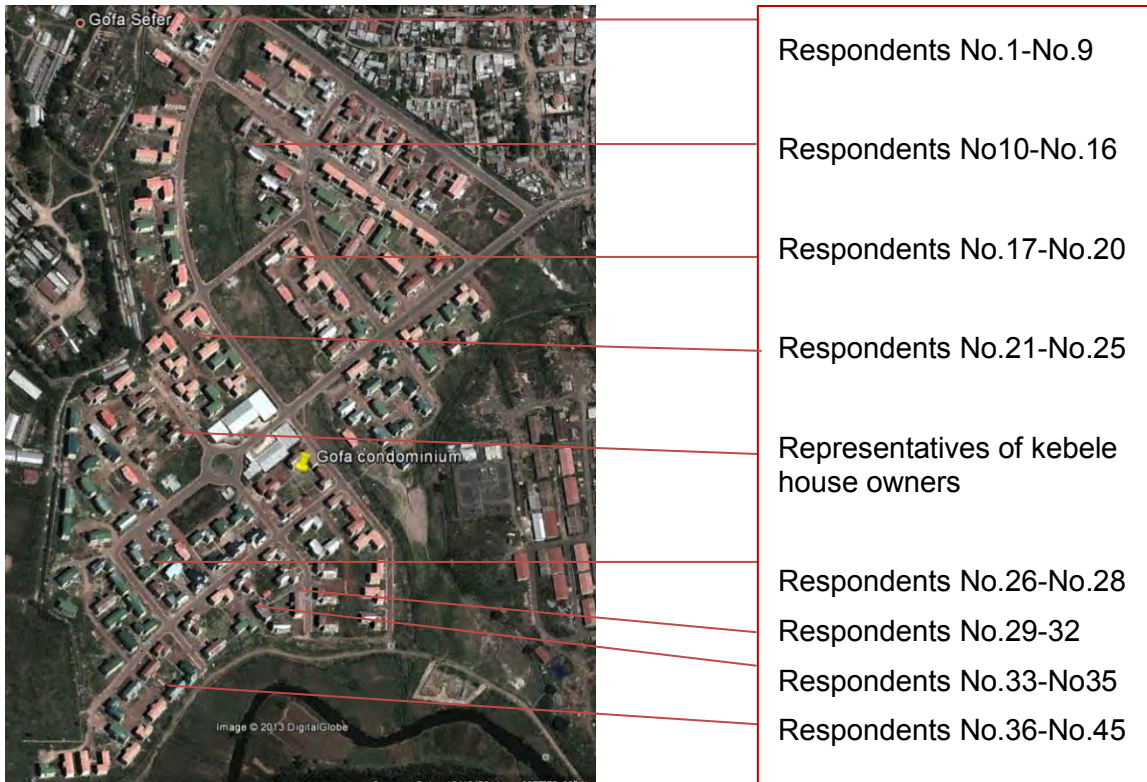
8. What are the procedures and contents of the discussions focusing?

9. What are the procedures the Government is following in dealing with the settlers to consult them, in urban renewal program areas?

Annex: 2 Habitat II Istanbul

Phase and approximate Dates	Focus of Attention	Major Instruments Used	Key Documents
Modernization and urban growth: 1960s-early 1970s	Physical planning and production of shelter by public agencies	Blue print planning direct construction (apartment blocks ,core houses); eradication of informal settlements	
Reduction with Growth /Basic Needs :mid 1970s – mid 1980s	State support to self-help ownership on a project –by –project basis	Recognition of informal sector squalor upgrading and sites –and –services; subsidies to land and housing;	Vancouver Declaration (Habitat I 1976; Shelter ,Poverty and Basic Needs (World Bank, 1980);World Bank evaluations of sites –and –services (1981-83);UNICEF Urban basic Services
The enabling approach /Urban Management late 1980s-early 1990s	Securing an enabling framework for action by people ,the private sector and markets	Public /private partnership; community participation; land assembly and housing finance, capacity-building	Global Shelter Strategy to the Year 2000(1988); Urban {policy and Economic Development (World Bank 19910;Cities ,Poverty and People (UNDP,1991);Agenda 21(1992);Enabling Housing Markets to Work (World Bank,1993)
Sustainable Urban Development mid 1990s onwards	Holistic planning to balance efficiency, equity and sustainability	As above ,with more emphasis on environmental management and poverty-alleviation	Sustainable Human Settlements Development Implementing Agenda 21(UNCHS,1994)
Habitat II 1996	–Adequate shelter for all” and –Sustainable human settlements development —	Culmination and integration of all previous policy improvements	The Habitat Agendas (UNCHS,1996)Global Report on Human Settlements (UNCHS,1996)
Istanbul +5 Review of the Renew commitments and Declaration on cities and other human process and implementation of seek /device more effective settlements in the new millennium (GA, Review and Habitat Agenda strategies 2001),Cities in a globalizing world; The Appraisal of GA state of the world <u>s</u> cities (UNCHS,2001)			

Annex:3 Respondents location in Gofa Condominium Site



Annex:4 Distribution of Relocateses in different sub-cities and locations

Source: HDPO documentation summary

Sub-City	Locations	No.of H.H	Type of house delivered			
	No.of sites		Studio	1Bedroom	2Bedroom	3Bedroom
Lideta	8	78	48	8	21	
Nifasilk Lafto	5	604	42	159	310	93
Kirkos	10	2		1	1	
Arada	7	20	2	7	11	
Akaki Kality	2	2			1	1
Addis Ketema	6	47	24	21	2	
Kolfe Keranio	7	113	18	51	24	20
Bole	3	13	9	4		
Yeka	5	16		14	1	1
Gullele	6	16		10	6	
Total Sum	59	911	143	275	377	115
Percentage		100%	15.7	30.3	41.4	12.6

Annex:5 Condominium transferring price from first to sixth round

(Source: HDPO document)

No.	Bedroom type	Transferred round and price /sq.m						Transfer price inflation in percentage	Transfer price inflation (sq.m)
		1 st & 2 nd round (1998-2000EC)		3 rd & 4 th round (2001-2002)		5 th & 6 th round (2002EC.-todate)			
		Construct cost(1)	Transfer price(2)	Construct cost(3)	Transfer price(4)	Construct cost(5)	Transfer price(6)		
1	Studio	950	665	1575	1100	2074	1450	65.41	31.82
2	1 Bedroom	950	665	1575	1414	2074	1865	112.63	31.90
3	2 Bedroom	950	950	1571	1728	2074	2280	81.89	31.94
4	3 Bedroom	950	1110	1571	1807	2074	2385	62.79	31.99
5	Commercial	950	1500	1571	2357	2074	3110	57.13	31.95

Remark:

- ❖ Comparison between 1st & 2nd round against 3rd & 4th transferring price increment
- Comparison between 3rd & 4th against 5th & 6th transferring price increment

The specified years indicate the period when the transfer of houses take place

Annex: 6 Choices during census and transfer price in the same year

(Source: HDPO document)

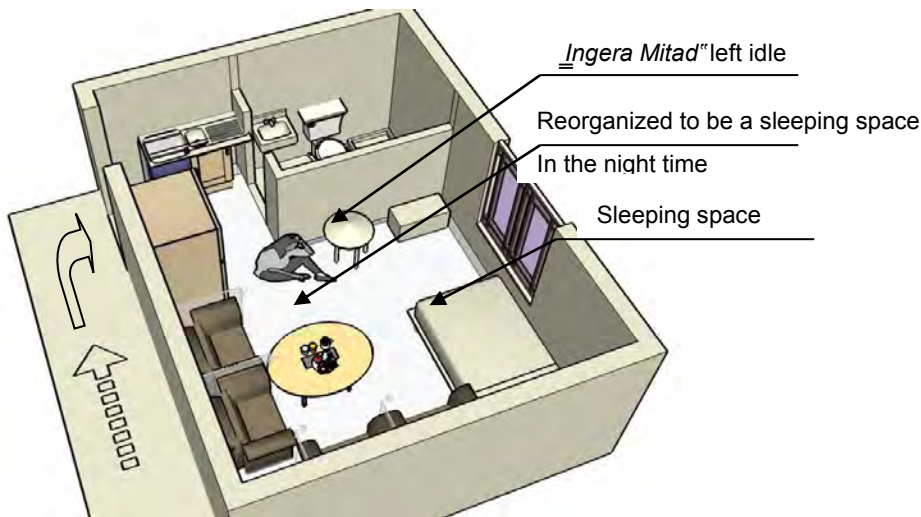
Type of Bedroom	HH in % during census	HH in % actual transfer	Down payment during transfer(approx. Due area variation) in ET birr
Studio	3.08	15.7	6,000
One Bedroom	32.2	30.3	13,000
Two Bedroom	43.72	41.4	19000
Three Bedroom	21	12.6	25000

Annex :7 Willingness towards development and Responses towards Public provided Shelter

Source: LDP study by UPPID, 2005(summary by researcher)

Location of settlers	Willingness towards development In %	Resettle back (public provided shelter) in %	Enumerated people in number	Sub-city of the study areas
<i>Sengatera Firdebet phase II</i>	81.4	79	1070	Lideta
<i>Sengatera Firdebet phase I</i>	87	95.4	927	Lideta
<i>Wolosefer Junction</i>	73.7	97.4		Bole
Mexico Area	89.5	75.6	343	Kirkos
<i>Arat kilo</i>	91.3	79.9	957	Arada
AU ²⁴ area	83.4	83	3026	Kirkos

Annex:8 Samples of Relocatee House in Gofa Condominium site



²⁴ AU African union area in kirkos subcity

Annex: 11 Review of video record

Source: *Lideta* Sub-City Public communication and record office (summarized by researcher)

Review of a video recorded during different meetings

The meeting for the first time was announced to be held in the Kebele 53 hall(neighboring kebele second phase)public house tenants and private house owners were together. In this meeting the diversity of issues were so different in content and since it was for the first time the community were expressing their Unger aggressively and emotionally. The meetings either with the private owners or public house tenants it was held by Ato Worku Gedda (Chief Executive of the sub-city), Ato Anteneh Enchalew (Admistrator of the sub city), Ato Solomon Bekele (Public Relation councilor of the sub-city) and Ato Dagmawi------(Kebele Administrator) .

First meeting :A general meeting to introduce the idea of the development and options available from the government side. This meeting was held by an opening speech from Ato Worku Gedda (Chief Executive of the sub-city) explaining the benefits and how lucky to be the first to get this opportunity forwarding detail issues to be explained by Ato Anteneh Enchalew (Admistrator of the sub city) but in between people were protesting and creating mass reactions to interrupt the meeting at this point Ato Solomon Bekele (Public Relation councilor of the sub-city) were asking repeatedly Are you against the development ? So, people were responding positively but asked a number of questions as stated summarized as below:

Public House renters:

We are away from the area for whom are you constructing and telling us that we are lucky?

You have gave us 45 days to leave the area and even the medias(TV) has broadcasted that we have totally agreed on the issues but the fact is not like that since we did not discussed on how to implement it.

How affordable are the options at hand for the different economic status of the community?

Kebele houses are everywhere under treat of demolishing so how could this be feasible option?

What are we going to do about our idirs,ekubs and other social structures on top of this as you know most of the residents are day laborers dependent on Merkato and its surrounding ,how are we going to live away from the center?

During the census conducted (door to door) we were informed that there will be a public provided shelter transition of space to stay till this area develop and return .What happened to this option?

Individuals were also telling their details how they are dependent on this community and location of the area(tella making ,washing cloth ,Gullet market, pension seeking people ,carrying goods to make money etc.)

Private house owners have also raised a number of questions.(one of the meetings were conducted by the dwellers)

How does this development consider private house owners? Is the development concerned about land and land development only or there is human (community) development packages with it? Give us a clear content of the development?

Co-operative of private house owners was one of the choices put forward, how is this possible if there is a working experiance we do not want to be relocated away?

Video review cont---

Pension from Kebele houses were for some of us a source of income, how are we going to be compensated or registered and keep on receiving our pensions?

Compensation by your technical persons, are they fair and updated? What about the locational value, do you consider this? We can have our own technical persons and why not to compare it with your data? Do you think the compensation will be enough to build our house wherever the quality and regulation proposed?

Why did not we participate when the study was conducted?

Why are we hindered by some government bodies to use our constitutional right? You are saying we are lucky which is not clear for us ,please do show as how lucky we are and also we need authentication of the choices we made before demolition?

The given time which is 45 days is so short we are tearing and missing each other as if it is an accident forced us to leave our home.

Responses given from coordinators

Ato Worku Geda answer for Q.1:The development is community focused not only land focused so in this process cautious not to favor or harm any individual unfairly. Community institutions like Idirs will be used in helping poorest of the poor and will work together in the development process.

Q.6 No one can do this since the constitution is the governing command for all of us. So, everyone who has complained will be entertained individually or as a group. Concerning choices made in the relocation and documents to be issued by the government .He assured them no one will leave his/her dwelling before having the legal document.

Community

Ato Anteneh Enchalew: Compensation will be up to date considering the current market price and the time will be measured by the efficiency of the process by considering everybody ,in addition to this if based on the legal issues and equitably one has got the service that will be the time needed.

Annex:12 Participatory Planning Process

<p>Addis Ababa Public Forum & Exhibition (may26-june25,200)</p>	<p>Participation has been a central component of the planning process . Consultations have been held repeatedly with key stakeholders in the city Administration, other professionals and representatives of civil society groups. Major milestones of broad public participation in the planning process were the Addis Ababa Public Forum and Exhibition of May 200 the Addis 21 Conference of December 200,and wider stakeholder workshops of July 4-6 and July25-26,2002.</p> <p>Altogether, ORAAMP has hosted over 150 workshops and consultative meetings with a wide range of stakeholders including major City Administration bodies, implementing agencies, the Federal Government, representatives of civil society and the international community. Regular Supervisory Board and Technical Advisory Committee meetings ensured coherence between the revision process and the broader policy environment and assisted in developing realistic plans integrated and coordinated with activities of implementing agencies.</p>
<p>Addis 21 Conference (December 18-21,2000)</p>	<p>The aims of the public Forum and Exhibition were to bring the urban development agenda into public debate and to ensure maximum community involvement in urban decision-making. To this end ,public for a, panel discussions and workshops were held in addition to the exhibitions.</p> <p>The main outcomes of the process were four:</p> <ul style="list-style-type: none"> • Awareness-raising and communication: effective communication between professionals, institutions and the community at large took place, allowing policy makers and the public to share their expectations about the future development of the city and respective roles. • Priority problem areas of Addis Ababa residents were identified: waste management and sanitation, road network, housing and social services. • Architectural and urban design development visions were developed • Key stakeholders were identified for future consultative process. <p>The aims of the Addis 21 Conference were to continue the</p>

<p>City Charter, Governance Structure and the master Plan</p> <ul style="list-style-type: none"> ○ July4-6,2002 ○ July8-9,2002 ○ July25-26,2002 	<p>process of broader public consultation that begun at the City Forum ,to reach a shared vision and subsequent commitments by City Government and broader public of Addis Ababa’s future development ,to present the first draft of the revised Master Plan to the public and gather inputs on the proposals ,and to design appropriate strategies for its smooth implementation .Through presentations and discussions in plenary and workshop sessions the draft proposals were enriched and further inputs were given for finalization of the draft and for further work in developing implementation tools and strategies. Conference participants inter alias proposed to:</p> <ul style="list-style-type: none"> • Improve land management and lease policy administration • Tackle the housing problem • Augment urban finance • Protect the environment • Improve transport services and road network • Draft and implement planning and building regulations • Provide adequate social services <p>These workshops were conducted as part of the overall reform program at the Federal and local level and as preparation for the upcoming concluding National and International Conference of August 7-10,2002.</p> <p>The aims of the workshops were to present the draft of the newly developed city character and governance structure and the draft final contents of the master plan to the major stakeholders at the Federal and city level for final inputs and improvements before the official enforcement and approval.</p> <p>Hot and lively discussions were held focusing on the implementation side ,impacts and implications ,the capacity required and the options for bridging the gaps :institutional, human, financial and legal/regulatory.</p>
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Annex:14 The Evolution of Housing Policy

After the EPRDF came to power in JUNE 1991, a democratic government was established in Ethiopia and some recent development were done in other urban policies. Among others, these were the most influential over urban housing in Ethiopia :

Decentralization: After EPRDF came to power , a federal system of governance , with nine , mainly ethnic- based , national regional states . Increased flows of federal funding had enabled regional States considerably to improve physical and social infrastructures.

Policies Aimed at Urban Housing Problems ; Ethiopia has never had a comprehensive national urban development policy until March 2005. Upon coming to power, the EPRDF took the originally Derg notion of a mixed economy and went one or more steps further through open pursuit of market oriented reforms. Nonetheless, with regard to land and housing few changes have been done: urban land is a public property, city authorities are the sole suppliers of land and the

Government retains a high degree of control over land use and design.

SDPRP I : The Sustainable Development and Poverty Reduction Program (**SDPRP I**) , **launched by the new Ethiopian government** (see number 10 in Figure 12). Has developed a strategy to address urban poverty . Overall , the program looks to strengthen urban governance and , in the process, to improve the delivery of municipal services; this will be achieved primarily through legal and institutional reforms that are accompanied by capacity building programs .When it comes to housing awareness and participation of beneficiaries.

In fact , **SDPRP** is none other than an extension of the county's preexisting sustainable economic development policy, which has been somewhat fine –tuned to meet the requirements of the donor community, especially the World Bank and IMF.

The National Urban Development Policy : The lack of national urban development policy or strategy was one of the principal factors that made it very difficult for Addis Ababa as well as regional states of Ethiopia to come up with sound slum upgrading programs. This is why the Ministry of Federal Affairs Set out a comprehensive national urban development policy and had it approved by the cabinet in March 2005. So far only the Amharic Version of the policy document is available. A translation of the basic principles that guide the drafting of the policy documents is as follows:

To promote the development of a national urban system in which cities and towns are functionally linked to each other and to their respective hinterlands in sustainable way ;

To promote balanced urban growth by giving equal opportunity for growth and development to all urban centers and regions in the country:

To ensure the development of a multi-centered urban growth and development pattern in which urban centers specializing in different functions will grow in an interdependent way at all levels of the national urban hierarchy;

To design and implement an urban development strategy whose core objective is poverty reduction in the short run and eradicating poverty altogether in the long run;

To ensure that urban development is people driven, designed and implemented in collaboration with the government based on the wants, abilities and sustainable participation of the citizens in setting where good governance prevails;

To create a strong public –private partnership in urban development ;

To enhance the process of decentralization to a level where cities and towns fully exercise self –rule.

From 1991 to present

Compared to earlier periods, post -1991 Addis Ababa has seen far greater participation of local authorities, NGOs and the wider community in slum and squatter upgrading programs .In addition to the scale on which residential upgrading was undertaken since 1991 ,it is perhaps the level of community participation that was achieved that makes the projects even more interesting. Irrespective of these facts however, the achievements of all the participating bodies have been considerably constrained by various institutional and regulatory shortcomings. Above all ,in the case of the Addis Ababa city authority and prior to recent administrative restructuring , neighborhood upgrading efforts had been significantly affected by such factors as excessive centralism and the absence of a well-organized, dedicated department that could effectively improve slums and manage squatter upgrading programs. Added to this is the inefficiency of most Woreda and kebele offices when it comes to implementing neighborhood- upgrading projects, due mainly to their well-known organizational and resource related deficiencies.

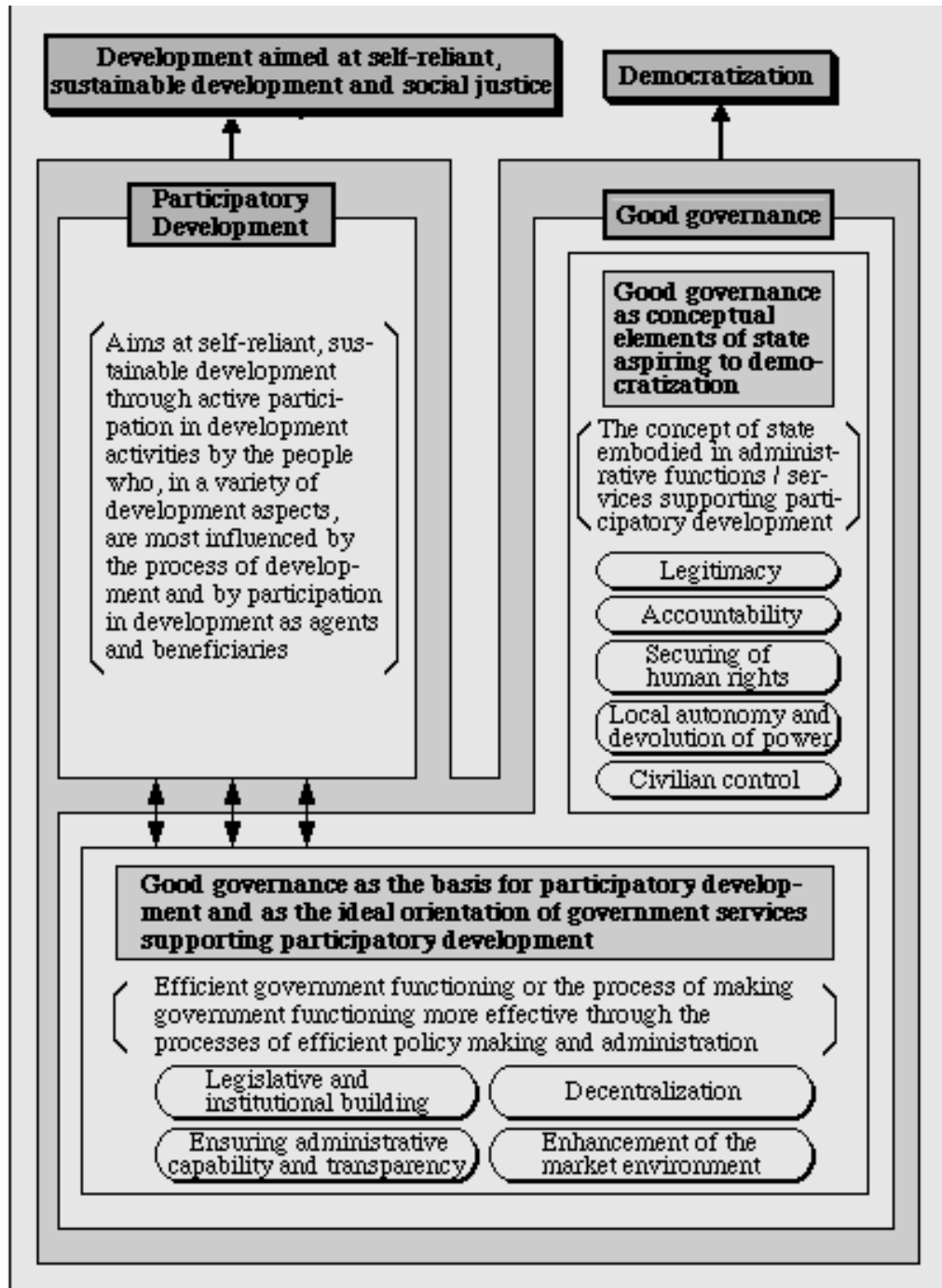
Today, two prominent parallel, community-based slum upgrading programs are operating in Addis Ababa. The first and most important one is conducted by the municipal authority. The chief operators in this regard are The Environmental Development office (EDO),the Eco-City Project and the Housing Development Project Office (HDO).

However, the fact that three distinct municipal units are involved in residential area upgrading implies a strong need for cooperation and coordination of activities between them . In practice however ,each is entrusted with different responsibilities, all of which will finally coalesce to create more viable residential areas. As things stand at present , EDO is spearheading community-based slum improvement programs in the city . The Eco-City project focuses more on environmental concerns , whereas the Housing Agency is directly involved in the urban renewal program.

The goals of the Environmental Development Office (EDO) upgrading programs were to : improve the living and working conditions of the urban poor by improving infrastructure and services ;create job opportunities for the urban poor and the unemployed, especially through labor – intensive methods for project implementation; ensure public participation in all essential neighborhood upgrading activities , including problems identification, project design and implantation; and enable the communities to own and manage upgraded or newly built infrastructure and services.

Table 6 Summary of Ethiopian urban policies after EPRDF came to power in 1991,UN-Habitat 2007

Annex:16 Relationship Between Participatory Development and Good Governance



Annex:17 Housing shortage in the city

2.3.4. የመኖሪያ ቤት

በአዲስ አበባ ቤቶች ኤጀንሲ በ1996 ዓ.ም የተካሄደው ጥናት¹⁵ በከተማዋ ከሚገኙት 387,000 ቤቶች ውስጥ 326,676 ቤቶች ወይም 84.4% ያህሉ ለመኖሪያ አገልግሎት የዋሉ ናቸው። ይህ ካለው የመኖሪያ ቤት ፍላጎት 59.4% ብቻ የሚያሟላ ነው። በጥናቱ መሰረት በቀበሌ አስተዳደር ስር ይገኛሉ ተብለው ከሚገመቱ 150 ሺህ ቤቶች ውስጥ 76% ያረጃና ለረጅም ጊዜ ምንም ዓይነት ጥገና ያላገኙ በመሆናቸው ፊርሰው በአዲስ ቤቶች መተካት እንደሚገባቸው ለመረዳት ተችሏል። እነዚህን የቀበሌ ቤቶች ጨምሮ በአሁኑ ጊዜ በአዲስ አበባ ከተማ ከ337,700 በላይ የመኖሪያ ቤቶች እጥረት እንዳለ ይገመታል።

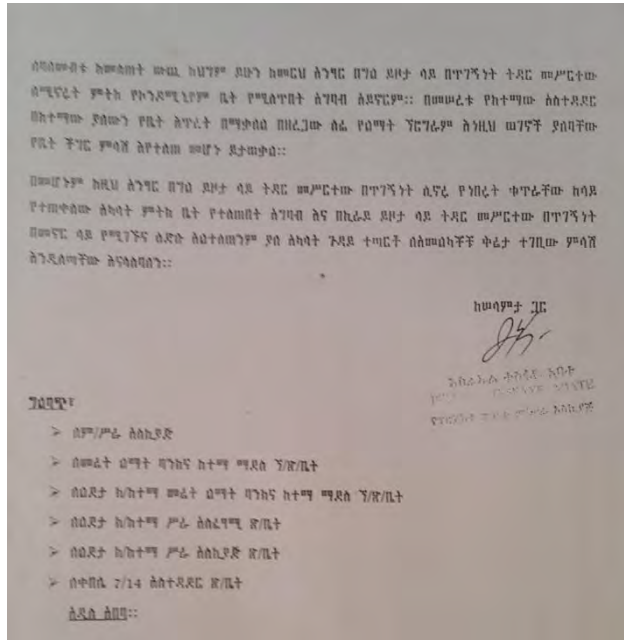
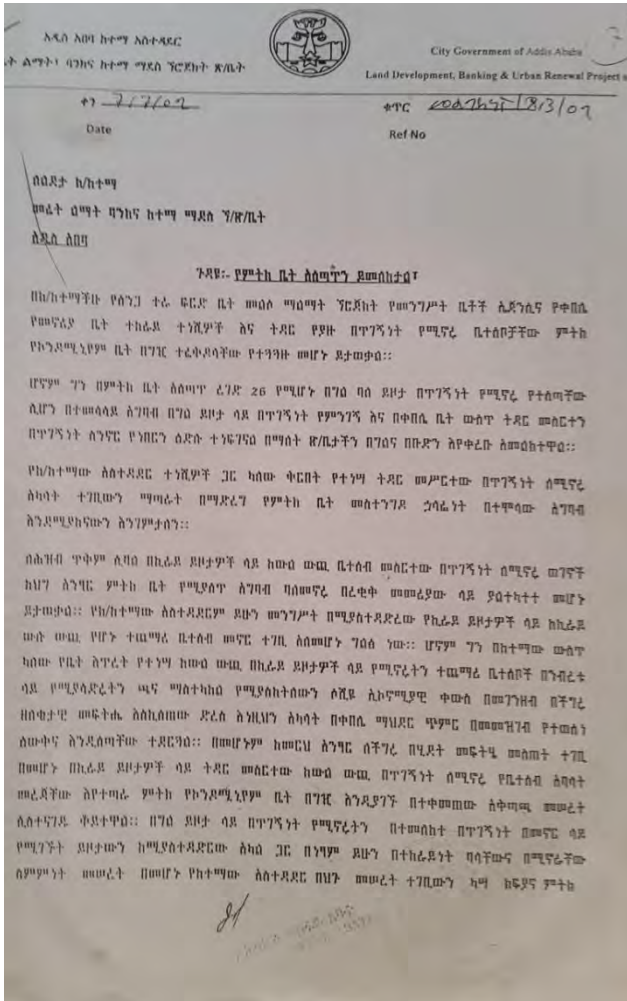
ችግሩ በመኖሪያ ቤቶች እጥረትና እርጅና ብቻ የሚገለፅ አይደለም። መረጃዎች እንደሚጠቁሙት ካሉት መኖሪያ ቤቶች ውስጥ 25% መፀዳጃ ቤትና 26% ማዕድ ቤት የሌላቸው ሲሆኑ ከ 30% በላይ የሚሆኑት ደግሞ ባለ አንድ ክፍል ቤቶች ብቻ ሆነው ይገኛሉ።¹⁶ ከነዚህ መረጃዎች ለመገንዘብ የሚቻለው በመኖሪያ ቤት አቅርቦትና ፍላጎት መካከል ሰፊ ክፍተት መኖሩን ብቻ ሳይሆን ያሉትም ቤቶች መሰረታዊ መገልገያዎችን አሟልተው አለመያዛቸውን ጭምር ነው።

የከተማው አስተዳደር ችግሩን ለማቃለል ሰፊ የቤት ልማት ነፍሰ-ግራም በመንደፍ ከ1996 በጀት ዓመት ጀምሮ ተግባራዊ በማድረግ ላይ ይገኛል። በዚህ ነፍሰ-ግራም በ1996 በጀት ዓመት 700 የሚሆኑት የመ-ከራ ቤቶች የተገነቡ ሲሆን ስራውን በማስፋፋት ከ1997 ዓ.ም. ጀምሮ 32,388 አዳዲስ ቤቶች በመገንባት ላይ ናቸው። በ1999 ዓ.ም. ግንባታቸው የሚጀምር የ33 ሺ ቤቶች ግንባታም የኔበርሁድ/የአጉራባች/ ዲዛይንና የአካባቢ ጥላን ዝግጅት ሥራ ተጠናቆ በቅርቡ ወደ ግንባታ እንደሚገባ ይጠበቃል።

ይህን እንጂ ነፍሰ-ግራሙ ተጠናክሮ እንዲቀጥል የግንባታ እቃዎች /ብረት፣ ሲሚንቶ/ አቅርቦት በወቅቱ ሊሟላ የሚገባውና በዘላቂነት ትኩረት የሚሻ ጉዳይ ሆኖ ተገኝቷል። በተጨማሪም የመሰረተ ልማት አቅርቦት ከቤቶች ልማት ጋር ተቀናጅቶ ተግባራዊ ባለመሆኑ በተገነቡትም ሆነ በሚገነቡት ቤቶች የውሀ አቅርቦት እጥረትና የፍላጎት

¹⁵ Housing sector Development Program, May 2004
¹⁶ CSA 1994

Annex:18 House Replacement letter



Annex:19 Pre-assessment Case Studies

Serategna Sefer , Tourist Condominium Site and Tekelehaymanot Area Redevelopment

Case studies in this research included basically based on the hypothesis which links participation with relocation, i.e. Settlers in the inner city if they were given a chance to participate in the development process and asked about to resettle they will be kin and facilitate the process.

In these two cases even though an organized depth of participation was unavailable the settlers shown their willingness and became cooperative since they were promised either to resettle back on the site or a relocation to a nearby sites in the sub city.

Limitations of the study

In both of the sites either lack of documentation of the process or officials being changed repetitively on the administration position both in the sub city and kebele level keeps the study not to be reviewed from primary sources. So, the study was mainly dependent on interviews; particularly in the case of *Serategna sefer* since the project was started just before 2005 national election period and results at that time has created unstable conditions data were lost in between, administrative individuals were changed and as result after the project finished the condominiums were unoccupied for two years and the residences suffered to get back their legal right back passing through bureaucratic systems.

Serategna sefer is located in the very center of the city within a walking distance from Piassa and Arat Kilo (where Minilik palace is located) and even Merkato 4-6 kilometer away. All of the dwellers in this site were kebele house renters and with some co-dwellers without the consent of the administration. So, the co-dwellers were not considered as part of this renewal since they were not legal renters. Previously 42 households were residing on the area out of which 24 of them resettled back in the newly built condominiums according to the type of houses they choose and their financial capacity; currently this site able to accommodate 70 households within two blocks. Initially it was intended to resettle back all but the delay on the project frustrated most of the relocates and at the same time since they were registered previously as part of the lottery system in delivery of condominium houses they were given a priority as development relocates in the nearby locations like *somale tera, enkulal sefer*.

In this site I have interviewed 15 households out of which 4 of them are renters and 3 of them house owners who get this condominium through lottery from nearby sites and eight of them are previous settlers. According to interviews with the original people most of them are away renting out in some other low rent areas.

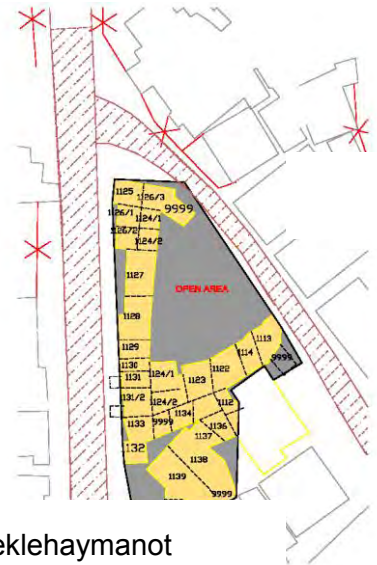
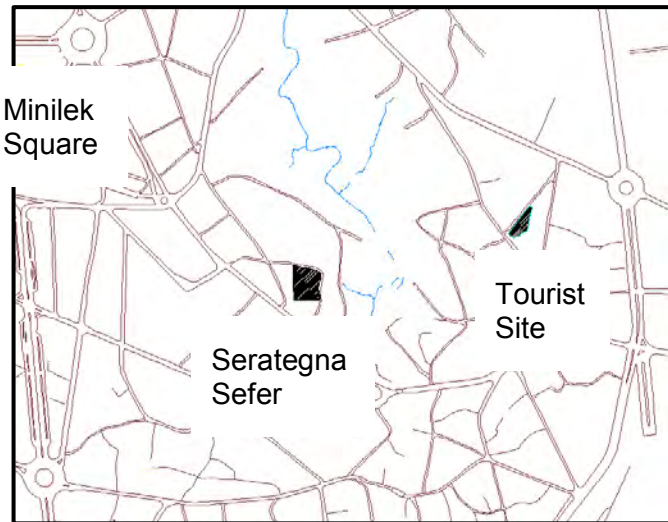
Participation and Development Steps

According to the residents development idea was first discussed in a general meeting in the kebeles hall and their area was further taken to be among the first to be developed. Accordingly three consecutive meetings in a monthly time was conducted and at the end of the month 10 days were given to evacuate and transfer to a transitional spaces which was made practical, too.

In the three meetings the administration body and the dwellers have taken different responsibilities. Eight of the respondents have said that during the construction period original settlers were promised to be part of the construction as day laborers and in a professional level

too and as a result savings will be made to be taken as down payments when delivered, which never happened at the end. The transition space being near to the original site social and economic activities were not disconnected but the physical condition of the space was very inconvenient for living. In this condition according to respondents they have lived for five years and eight months.

Location of the sites



Teklehaymanot