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# **ADDIS ABABA UNIVERSITY**

**COLLEGE OF SOCIAL SCIENCES**

**DEPARTMENT OF SOCIOLOGY**

**Graduate Program**

**EXISTING STATUS OF INFORMAL SETTLEMENT IN ADDIS ABABA:  
THE CASE OF KOLFE KERANIYO AND NIFAS SILK LAFTO SUB CITY**

**By: NasiseShafi**

A THESIS SUBMITTED TO THE DEPARTMENT OF SOCIOLOGY,  
COLLEGE OF SOCIAL SCIENCE ADDIS ABABA UNIVERSITY IN  
PARTIAL FULFILLMENTS OF THE REQUIREMENTS FOR MASTERS OF  
ART DEGREE IN SOCIOLOGY

**ADVISOR: TayeNegussie (PhD)**

**May, 2022**

**ADDIS ABABA, ETHIOPI.**

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ADDIS ABABA UNIVERSITY**

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**JUNE 2022**

**ADDIS ABABA, ETHIOPIA**

## **Declaration**

This is to certify that the thesis prepared by NasiseShafi entitled: “Existing Status Of Informal Settlement In Addis Ababa: The Case Of KolfeKeraniyo And Nifas Silk Lafto Sub City” submitted in partial fulfillment of the requirements for the degree of Master of Arts in Sociology complies with the regulation of the university and meets the accepted standards with respect to originality and quality. Approved by the Examining

Committees:

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External examiner \_\_\_\_\_ Signature\_\_\_\_\_ Date \_\_\_\_\_

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## LIST OF ACRONYMS

ACCA – Addis Ababa City Administration

AADIPO -Addis Ababa Development and Improvement Project office

BOFED – Bureau of Finance and Economy Development

CSA – central statistics Agency

FGD – Focus Group Discussion

LMICS – Low and Middle Income Countries

SEM – Social Ecological Models

UN – united Nations

UN-Habitats - United Nations Human Settlements Program

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## Abstract

*In many developing countries like Ethiopia unemployment, poverty, poor living condition, lack of good governance are the major factors for the people to hold land informally. In the case of Addis Ababa people occupy land both in the inner city and periphery areas but nowadays people more prefer the peripheral area because in such areas it's easy to hold land without the permission of government official by dealing with land brokers and land speculators. The main objective of the study was to assess the current statues of informal settlement by looking up their pattern and extent in kolfekeraniyo and Nifas silk lafto sub city. The research employed qualitative approach by using in depth interview, focus group discussion, observation and key informant interview as method of data collection. Informal settlers in the study area suffer from inadequate living conditions like lack of access to basic service and poor housing condition. Current political satiation also play great role in the expansion of informal settlement. The finding indicates that the number of informal settlement has been increasing at alarming rate from time to time this is due to unaffordable land price, unemployment, people perception of land as means of making profit and poor urban land management system corrupt bureaucrat are among the factors. In order to control the expansion of informal settlement government should formulate and implement clear and inclusive urban land holding policy.*

*Key word: informal settlement; informal settler; natures of informal settlement*

## **CHAPTER ONE: INTRODUCTION**

### ***1.1 Background of the study***

Informal Settlements are defined as residential areas of the urban poor more often in the cities of the developing world. They are found on public, private or customary land accessed by invasion or developed against planning, building and ownership regulations. Informal settlements fall outside formal laws and regulations on land ownership, land use and buildings. Typically, informal housing does not meet legal standards for construction (for example, regarding building materials, or the distance between housing units), and/or is constructed on land which is not legally owned by the inhabitants. Informal settlements cannot be viewed as isolated phenomena. Such settlements exist because of global, national and local socio-economic structures which distribute land, skills, jobs and other opportunities amongst the world's population. Informal settlements are the result of a need for cheap housing, which itself is a result of poverty. A city or country cannot simply 'do away' with informal settlements without doing away with poverty (SrivinasHari 2002)).

Urban informal settlements in particular pose a challenge to existing land administration infrastructure in developing countries. The tenure types, land rights and spatial units found in such settlements are inconsistent with the provisions of existing land laws. Conventional land administration approaches cannot work in these settlements. The settlements are left out of the urban development planning process as no land information is officially collected in them. This neglect often leads to low security of land tenure and poor living conditions due to lack of basic urban infrastructure and services (Daniel 2011).

According to Neuwirth(2007) there are a billion squatters in the world today, almost one in six people on the planet. And the numbers are on the rise. Every day close to 200,000 people leave the world's rural regions and head for the cities. That's 130 people arriving every minute, two every second. They all face the same struggle. They come to the city in search of work and they find work, too, but they can't find a place to live. No developer is building for them. No government seems willing to make the investment required to provide decent homes that they

can afford. So they become squatters, invading unused turf or joining communities established by people who made the same journey long before them. If current trends continue, there will be two billion squatters by 2030. And by 2050, halfway through this new century, there will be three billion squatters. At that point, one-third of the people on the globe will be squatters.

As UN-Habitat (2006) stated, in developing countries including Africa, approximately 924 million people live in informal settlements in the urban areas usually on outskirts of towns lacking basic services. Similarly, Ram (2010) indicated that in less developed nations, squatter dwellers and urban poor people involved in the informal sector and earn insufficient income for their livelihood. Squatter settlers are excluded from basic services like health, education, security and sanitation.

With more than 112 million people (2019), Ethiopia is the second most populous nation in Africa after Nigeria, and the fastest growing economy in the region. However, it is also one of the poorest; with a per capita income of \$850 (World Bank 2019). It is one of the largest landlocked countries with a total area of 1,133,380 square kilometers. Ethiopia is one of the oldest independent nations in the world; with that it has a long history of indigenous urban settlements. Addis Ababa is home to 25% of the urban population in Ethiopia and is one of the fastest growing cities in Africa. It is the growth engine for Ethiopia and a major pillar in the country's vision to become a middle-income, carbon-neutral, and resilient economy by 2025.

Ethiopia is one of the least urbanized countries, studies show that it has high urbanization rate like other developing countries whereas informal settlement is one of the significant challenges in urban centers of the country. The source of informal settlement is the subdivision and informal/illegal sale of agricultural land. The kind of people who purchase in these areas are genuine urban poor who lack shelters or forced by high standard living cost in the city (Danieal 2011). However the goal of this research is to understand the current nature of informal settlement as well as the major contributing factors for its expansion.

## 1.2 Statement of the Problem

Urbanization refers to the demographic process of shifting the balance of national population from 'rural' to 'urban' areas (Jenkins, Smith and Wang 2007). Rapid urbanization, one of the greatest socio-economic changes during the last five decades or so, has caused the burgeoning of new kinds of slums, the growth of squatter and informal housing all around the rapidly expanding cities of the developing world. According to the 2003 UN-Habitat global report on human settlements, urban populations have increased explosively in the past 50 years and will continue to do so for at least the next 30 years as the number of people born in cities increases and as people continue to be displaced from rural areas that are almost at capacity.

As UN-Habitat (2006) stated, in developing countries including Africa, approximately 924 million people live in informal settlements in the urban areas usually on outskirts of towns lacking basic services. Similarly, Ram (2010) indicated that in less developed nations, squatter dwellers and urban poor people involved in the informal sector and earn insufficient income for their livelihood. However, as urban expand horizontally, sustainable development challenges will be increasingly concentrated in urban areas, particularly in developing countries like Ethiopia where the rate of urbanization is fastest (Alehegne, 2019).

The rapid process of urbanization had attracted large number of people towards urban centers in search of job opportunities and better livelihoods. However, the new comers (rural migrants and some urban inhabitants) faced big challenge immediately at the front door of their newly commencing life. One of the first challenges that they faced and which persisted for a long period is the question of an adequate habitable space. In search of private shelters and ample space for different activities the new comers were forced to live in places where the government did not pay adequate attention in such areas like sloppy terrains, and marshy lands (Berhanu 2007).

Different studies were conducted on the topic area of informal settlement in Ethiopia and particularly in Addis Ababa. For instance, "Urban Challenges in The Case of Ethiopian Capital Addis Ababa", "Migration and Urbanization in Ethiopia, with Special Reference to Addis Ababa" was conducted by Abagissa (2019) and "Informal Settlements in Addis Ababa Extent, Challenges and Measures Taken" by Daniel and Nigussie (2006 and 2020). However, the studies

were mainly focused on the livelihood of informal settler and extent of informal settlement and implementation of land regulation. Similarly a study conducted at Gonder city by Ayalu (2018) conclude that informal settlement has negative impact on development of the city, there is large gap between the extent of informal settlement and land regulation in Ethiopia and expansion of the informal settlement is increasing overtime in inner and expansion areas of the city.

However, as it is indicated in the findings of the previously conducted studies, informal settlement in Addis Ababa is volatile to time and there is always a change in accordance to current issues. Therefore, this study focuses on understanding of the current status of informal settlement in Addis Ababa city by taking the cases of kolfeKeranio and Nifas Silk Lafto Sub-Cities.

### ***1.3 Objective of the study***

#### **1.3.1. General objective**

The main objective was to understand the current nature of informal settlement in Addis Ababa city by identifying the major contributing factors for its expansion and examining the policy measures taken by the government.

#### **1.3.2. Specific objective of the study**

Having the above general objective, the study aims to address the following specific objectives:

- 1 To assess the nature of informal settlement in the study area,
- 2 To identify factors that contributes to the expansion of informal settlement,
- 3 To investigate the main actor's involved in the informal settlements in the study area, and
- 4 To examine the measures taken to combat the expansion of informal settlement in the study area.

## ***1.4 Scope of the study***

Geographically, the scope of this study is delimited to Addis Ababa city, the capital of Ethiopia. However, because of time and budget constraints, the main focus of the current study is at KolfeKeraniyo and NifassilkLafto sub-cities which are with a high population density and highly exposed for informal settlements Abagissa( 2019). Thematically, the study will focus on understanding the nature and patterns of informal settlement by identifying contributing factors and main actors in the expansion of informal settlement in the study area and the measures taken to solve the problem.

## ***1.5 Significance of the study***

The rapid urban expansion, characteristics of many developing countries like Ethiopia, is occurring in many cities of Ethiopia whereby rural village near towns is being incorporated into the urban area. Now, this issue has been given due attention by scholars and state administration for various reasons. One of the reasons is the need to minimize negative impacts of urban expansion in economic, social and environmental impacts, to bring effective urban development and to minimize informal settlement which is inconvenient for the resident through exposing various social predicaments.

Accordingly, this study will have several areas in which the result of the study can contribute to the existing knowledge and understandings. Thus, the study can open the door to create the stage to be a discussion area for different stakeholders who have an interest in the issue of informal settlement. Therefore, the major significance of this study will rest on its input on improving the existing policies and strategies adopted by the Addis Ababa city as well as the federal government about the informal settlement. Thus the role of this study for policymakers can be described in terms of its informative role in the formulation, implementation, and evaluation of policies Furthermore, the result of the study is going to alert the city administration and its specific sector (for planners as input in planning sustainable city development), law enforcement bodies to spotlight on factors and actors who put fuel for the expansion of informal settlement. Finally, the finding of the study can serve as a springboard for other researchers who are interested in further research in the area of informal settlement.

## ***1.6 Definition of Key Terms***

**Informal:** In the Ethiopian context, informality/illegality includes any form of construction (such as houses, fences, notice boards, sewerage lines, containers, temporary/movable kiosks, etc...) which have been erected or built on public lands without having a legal basis. Furthermore, it also includes any unauthorized expansion/ encroachment made on public rental houses (Addis Ababa Development and Improvement Project office/AADIPO, 2003). Thus, in this study, informality is considered for those urban dwellers who have owned residential house/s without legal bases.

**Informal Settlements:** Informal Settlements refer to a wide range of residential areas formed of communities housed in self-constructed shelters that are perceived as informal based on their legal status, their physical conditions, or both (Nassar, & Elsayed, 2018).

**Urban Area:** An urban area can be defined by different countries in different ways by one or more of the following: administrative criteria or political boundaries, a threshold population size (where the minimum for an urban settlement is typically in the region of 2,000 people, although this varies globally between 200 and 50,000), population density, economic function (e.g., where a significant majority of the population is not primarily engaged in agriculture, or where there is surplus employment) or the presence of urban characteristics (e.g., paved streets, electric lighting, sewerage, etc.) (Alehegne, 2019)

**Policy Actors:** are those individuals and groups, both formal and informal, which seek to influence the creation and implementation of these public solutions (Cahn, 2012).

## ***1.7 Organization of the Paper***

The thesis is proposed to be organized into five chapters.

**Chapter One- Introduction:** Deals with the introductory sections of a research study. It consists of the Motivation to and Background of the study, Statement of the Problem, Objectives of the Research, Significance of the Study, Scope of the Study and Definition of Key terms.

**Chapter Two- Review of Literature:** This chapter presents empirical studies and theoretical discourse related to informal settlements emphasizing factors and actors that trigger the expansion of informal settlements. Finally, it discusses policy and strategies which are in use for urban planning, land management and to control informal settlement presents a conceptual model as a framework for the study.

**Chapter Three- Research Methodology:** This chapter presents the overall components of research design: research approach, data type and sources and data analysis strategy.

**Chapter Four- Data Presentation and Analysis:** this part will present the findings as to the informant groups and review of written documents and at the end will demonstrate the discussion of the major findings.

**Chapter Five- Summary of Findings, Conclusions and Recommendations:** Finally, this part will make a summary of the findings. It concludes and makes respective reflections and recommendations.

## **CHAPTER TWO: REVIEW OF LITERATURE**

### **2.1. Introduction**

This chapter presents the theoretical and conceptual discussion of the study. It mainly demonstrates empirical studies in the field of policy dynamism. It also embraces a review of the research gap; theories of policy change, and the conceptual framework that is driven from the review to guide the research.

### **2.2. The concept of Informal Settlement**

Informal Settlements are defined as residential areas of the urban poor more often in the cities of the developing world. They are found on public, private, or customary land accessed by invasion or developed against planning, building and ownership regulations (Abbott, 2001). They lack basic social services and infrastructure facilities.

Informal settlements are residential places where residents do not have a secure tenure to the land or house they live in; where neighborhoods are typically cut off from services and related infrastructure, and where housing may not comply with current planning and building rules (UN Habitat, 2015). Squatters, slums, and other kinds of organic and unplanned settlements are examples of informal settlements.

Informal land occupancy, according to Daniel (2006), includes both illegal and semi-legal land occupation. The first infringes on current ownership or land holdings, as well as building standards and regulations. The second legally owns the land, but simply violates building and planning regulations. This research focuses on people in the first status of unlawfully established settlements, which are in violation of existing land ownership and building restrictions.

A billion people—one-sixth of the world's population— live in informal settlements. This number is forecast to double in the next decade, as increasing numbers of refugees from armed conflict and climate change seek safer environments, and as economic migrants continue to pursue an opportunity in urbanizing areas (GLOBAL HEALTH EQUITY, 2019).

Informal settlement (also referred to as a shantytown or squatter settlement) has been defined in various ways depending on the planning and legal framework of a country where it exists. For

this discussion, informal settlements are defined as residential buildings built on "planned" and "unplanned" areas that do not have formal planning approval. They are characterized mostly by low-quality houses and the lack of, or inadequate infrastructure and social services. Informal Settlement (IS) has been perceived both as a problem and solution to housing needs in speedily growing cities of many developing countries (Ali & Sulaiman, 2006).

According to Nassar, & Elsayed, (2018) Informal Settlements refer to a wide range of residential areas formed of communities housed in self-constructed shelters that are perceived as informal based on their legal status, their physical conditions, or both. Though the definitions of the informal settlement are the same different countries also define informal settlement as per their level of understanding and their national conditions.

Informal settlement in the Ethiopian context refers to informality/illegality which includes any form of construction (such as houses, fences, notice boards, sewerage lines, containers, temporary/movable kiosks, etc...) which have been erected or built on public lands without having legal basis. Furthermore, it also includes any unauthorized expansion/ encroachment made on public rental houses (Addis Ababa Development and Improvement Project office/AADIPO, 2003).

According to Bosen (2019), in Addis Ababa, informal land acquisition methods include buying from farmers, buying from other informal inhabitants, invading land that the government has designated for other purposes, and inheriting land from relatives. Only squatter households that live in unlawfully constructed houses on informally owned plots of land are included in this study.

Whereas the same issue over Egyptians perspective defined informal settlements as; 'All areas that have been developed by individual efforts, whether single or multi-story buildings or shacks, in the absence of law and has not been physically planned. They have been developed on lands that are not assigned in the city's master plan for building housing. The buildings' conditions might be good; however, they might be environmentally or socially unsafe and lack the basic services and utilities (Nassar & Elsayed 2018).

Wide explanation of informal settlement is also given that the phenomenon of informal settlement is among the phenomenon arising from swift development of urbanization and one of

the evident manifestations of urban poverty appeared in unplanned and self-grown forms inside and around the cities. It enjoys an unpleasant appearance and uncommon texture to the city. Titles such as suburbanization, dysfunctional texture, informal and self-grown settlement, unplanned and unregulated settlements are used for them. Informal settlements encompass self-grown housings without legal identity that are haphazardly spread around cities. Its lodgings have been built by using cheap and less durable and worn-out materials and its equipment and urban services are inefficient. These settlements are mostly developed outside the legal urban areas, swiftly and illegally. They enjoy the least life essentials. Informal settlements refer to residential areas where a group of residential units are developed on lands without legal ownership or resided illegally.

According to the definition of human settlement released by the UN, informal settlements are identified by using criteria for a multitude of poverty for basic services, improper building structures, unhealthy and dangerous environmental conditions, unsafe residency rights, poverty and social deprivation. The world percentage of families residing in these slums is being doubled in number (Ghasempour, 2015).

### ***2.3 Global trends and status of squatter settlements***

Squatter and slum residential neighborhoods are a global urban situation. They exist in urban contexts all over the world, in various forms and typologies, dimensions and locations. While urban informality is more present in cities of the global south, housing informality and substandard living conditions can also be found in developed countries (UN-Habitat, 2015b).

#### ***2.3.1 Squatter settlements in developed countries***

Even though squatter settlements are not common in developed states, evidences revealed that there are cities of developed countries with shanty towns. The entry points of the European Union from cities like Athens and Patras have shanty towns because of the high number of the immigrants. Settlements such as Canada Real, a low-class settlement in Madrid, is considered to be the largest slum in Europe. Squatter settlements in Portugal, are mostly occupied by immigrants from their previous colonies. Various American cities like Oakland and Newark have witnessed the structure of informal cities in the past. Other towns like Colonias near the Mexican

border resemble shanty towns (Migiro, 2020). Similarly, UN-Habitat (2015b), indicated that urban areas of developed regions are not protected to urban inequalities among the living conditions of their citizens. For instance, Europe has experienced a rise of urban dwellers who cannot afford to pay rent, with housing costs rising particularly rapidly in the more prosperous large cities. This is especially the case for the Southern and Eastern parts of the region, while Western European countries are said to have more than 6% of their urban dwellers living in extremely precarious conditions. Trends in other developed regions such as North America, Australia and New Zealand suggest that there are significant proportions of people who could be classified as living in contextually poor and informal neighborhoods. Though squatting movements in different European countries each have their own unique characteristics, several common conditions generally prevail: Severe housing shortages, mounting homelessness, availability of empty and idle buildings, growing disaffection with the government housing bureaucracy and an incipient trend toward self-help and direct-action in the housing sector (Kearns, 1979). The occupation of empty and idle buildings or houses to satisfy housing needs has been a widespread practice all over Europe since the 1970s. It also occurred occasionally in the past (Bailey 1973; Colin 2010, Wates and Wolmar 1980 Cited in Martinez, 2012). Though most of the developed countries have insignificant squatters compared to their urbanization level, still they are not sealed from the squatters. In developed countries, the potential squatting was happening in the past time of the rapid urbanization processes. Recently, squatting is mostly presented as occupying of bare or idle houses or buildings that owners do not work or live in.

#### ***2.4.Location and condition of informal settlements***

These settlements are created through a process of unassisted self-help and to have two or more of the following characteristics when they are initially created: 1) most houses are built by the family occupying them using initially temporary building materials, 2) the settlements are illegal in some way (whether that is the land tenure, the house construction or both), 3) the settlements are un-serviced, and 4) are mostly occupied by people living in situations of poverty (based on Gilbert and Gugler, 1992).

These key descriptors of settlements are not exhaustive and there would be many more questions about the context of settlements such as physical location and conditions, institutional context (government and non-government supporters or opposes of informal settlement), legislative and

regulatory conditions, and the like. Process of regularization or upgrading of settlement (i.e. formal recognition and interventions) also needs to be described in each case. Information about the current state of informal settlements, informal housing in SubSaharan African is fairly patchy, at least at a statistical level. Only some countries report to organization such as United Nations, and some that do report probably underestimate the numbers of houses in informal settlements. There are at least three recognized measures of informal housing that can be applied as measures indicative of the prevalence of informal settlement: tenure, housing construction and access to services.

### ***2.5. Major Indicators for Housing Poverty***

In India, in 1991, over 46, 000,000 people lived in slums, and 92 million live in substandard dwellings. This indicates that the supply of housing in most of the developing countries fall much short of the present needs of the population in terms of location, size and tenure. For example, the city of Bombay had a backlog of 900,000 houses in 1991. The supply of housing including private housing co-operatives is about 20,000 units, but the total effort is far too short of demand. These evidence that cause for the rapid increase of slums and squatter settlements is that due to the failure to supply of houses at affordable cost compared with demand. Low capacity of local governments to address the increasing demand of for housing in terms of urban poor is a critical issue in developing countries.

It is only to demonstrate the effects of poverty on housing in most third world cities. On any index of service provision, household density, or physical quality, a majority of the urban population is living at standards that are clearly unacceptable when compared to the way most Europeans or North Americans live. In India more than half the urban households occupy a single room, with an average occupancy per room of 4.4 persons (Rosser, 1972). In greater Bombay 77% of households with an average of 5.3 persons live in one room (Misra, 1978: 375-) and many others are forced to sleep on the pavements at night (Ramachandran, 1974). In terms of service provision, the situation is equally alarming. In Djakarta only 8% of houses were supplied with both electricity and water in 1969, and 76% had neither facility (Oliver, 1971:66) in Cape Coast, Ghana, 73% houses lacked water and 25% Electricity.

Therefore, major Indicators of housing poverty:

- Expansion of slum and squatter settlements
- Lack of unemployment opportunity
- Lack of urban services and facilities
- Barriers to entry into the small-scale enterprises and the proportion of the participants
- Lack of access to get developed land
- Lack of access for credit
- Lack of social security and access to land tenure
- Inflexible regulations and standards
  - Lack of access for private developers in housing
  - Lack of property rights (e.g. Nationalized houses in Ethiopia)
  - Density per room/housing density (more than or equal to 2.5 person per room according to UN's standards) or overcrowdings.
- Unsafe/unsanitary environment.

Thus, poor housing conditions are clearly a reflection of poverty. And urban poverty is synonymous with the growth of slum and squatter settlements (informal) in cities and towns.

## **2.6. Historical Overviews of Informal Settlements**

In terms of standard (from slums to standardized residences), location (from suburbs to city centers and secure areas), and size (from several small units in settlements for over 50,000 residents, and from single family houses to multi-story buildings), the history and evolution of informal settlements are diverse and varied. The inflow of migrants from rural areas, as well as refugees and internally displaced individuals, has contributed to illegal and intermittent development in bigger cities, among other objective factors. Apart from meeting urgent housing needs, many households have exploited illegal real estate investments as a buffer against instability and hyperinflation. Roads, basic infrastructure, and social facilities (schools, clinics, safe access to water, etc.) are frequently lacking in these areas, contributing to the formation of suburban areas (Sasha, 2012).

Similarly, several research findings revealed that informal settlement is a global phenomenon that is a problem not only in developing countries but also in rich ones, but that the extent, severity, kind, and origin of the problem varies by country. Even within the same country, there are numerous names for the same informal village. The number of squatters has expanded dramatically in recent years as the urban population in third-world nations has grown, as has the absence of good governance, the high cost of legitimate urban land markets, and poverty. Squatter households with the highest shelter deprivation can be seen in most African cities, whether in the heart of the city or on the outskirts (Bimalkanta, 2013).

In post-socialist southeast Europe, informal settlements have risen to dominate major swaths of the urban landscape. There are various levels of informality, each with its own set of features. One is a lack of secure tenure and vulnerability; two is a lack of basic infrastructure and public services; three is squatting on public or private property; and four is inferior housing or illegal and insufficient building constructions (UN, 2003).

According to the United Nations Human Settlements Program (UN-Habitat2005), the increasing situation of access to shelter and security of tenure in metropolitan areas results in significant congestion, homelessness, and environmental health problems in most cities. To improve informal settlement, structural adjustment strategies are combined: first, deregulation; second, major government detachment from the urban and housing sector; third, initiatives to integrate informal markets, including land and housing markets, inside the formal market economy (developing not only housing sector but also other sectors). These policies, combined with a lack of or ineffective safety net programs and improved poor people's policies, have resulted in growing inequalities in wealth and resource distribution at all levels. In most nations, the government no longer participates to the provision of low-income homes or serviced land.

On the other hand, the private sector targets its land and house development efforts toward high- and middle-income populations with regular jobs and access to formal credit (via individual participation, for example). As a result, the urban poor and huge sectors of the low and middle income groups have little choice but to rely on the informal land and housing markets for land and shelter, encouraging the growth of irregular settlements in cities (Lasserve, 2006).

Because of the lack of official credit and low income of the locals, living in the informal area and illegal home development was the only alternative for low-income groups. Even among informal settlers, there is a wide range of income, with some people wealthy and others unable to meet basic necessities. The debate on housing policy has persistently referred to the subject of the informality and illegality of human settlements for at least three decades (since the expansion of irregular settlements was regarded as a long-term structural phenomena). A settlement with similar characteristics in terms of land, urban planning, and housing (depending on contexts and public authority interpretations, informal built houses in developed countries resemble smart buildings in developing and less developed countries), can be classified as formal or informal (Lasserve, 2006).

Informal settlements arose as a result of a variety of factors. The temporal period between the occurrence of unlawful settlements in industrialized and developing countries is referred to as the rise of informal settlements. The origin and spread of slums in developing countries is generally attributed to a variety of factors. Squatters, for example, thrive on marginal or low-value urban terrain such as riverbanks, steep slopes, dumping sites, abandoned or undeveloped plots, transportation networks, near industrial districts and marketplaces, and low-lying areas or wetlands, according to study.

Informal settlements are divided into two categories by the United Nations (UN, 2004): One is a squatter settlement, which occurs when land and/or structures are occupied without the owner's permission. Two, unlawful land development settlements, where the initial habitation is legal but unauthorized land developments proceed over time. (E.g. Change of land use that breach or violate zoning plans example the planners develop the land for the market, but within it peoples built residential home). Informal settlements are referred to be people who have settled in a certain part of a city and are engaged in a variety of activities. People in informal settlements establish illicit operations in several areas, and these settlements eventually lead to slum development.

They're widespread in developing countries, and they're usually the result of the urban poor's desperate need for shelter. As a result, they were marked by a dense burst of small, improvised

shelters made of a variety of materials, environmental deterioration, and serious social difficulties.

## **2.7. Understanding Informal Settlements**

The growth and uncontrolled development of so-called "informal settlements" established by immigrants to suit their shelter needs has been a notable feature of fast urbanization throughout Africa. Informal settlements are defined by their physical and social circumstances and are known as such because they are developed outside of the legal planning system. As in-migration and spontaneous settlements became more common in African cities, most governments' first response was quite uniform: increasing control and enforcement (Payne, 1989).

Slums - areas of poverty, disease, and criminality - were the only perceptions of informal communities. They were an affront to African countries' modernization goals, which included properly planned and developed towns. Informal settlements posed a danger to formally built neighborhoods' property values and commercial investments. As a result, governments worked hard to enforce planning controls, public health laws, and construction requirements in order to protect their cities' formally built districts (Payne, 1989).

They used demolition policies and persuasion operations to try to discourage in-migration and the formation of informal settlements (Kubale Palmer and Patton, 1988). In Nairobi, Kenya, for example, the government undertook a campaign dubbed Turudimashambani ("Let's Return to the Rural Areas") in the 1970s while enforcing an official slum clearance strategy (Macharia 1992).

In the 1970s, there was a shift in attitudes about informal settlements. The self-built structures of informal settlements were recognized as primarily proactive reactions to a situation of extreme housing shortages, rather of being perceived as eyesores, health risks, or havens for criminals. Planners began to see people in informal settlements as hardworking self-builders who just required a little help from the government - mostly in the form of secure tenure and basic urban amenities - to better their situation.

### **2.7.1. Characteristics of Informal Settlements**

Though there are different definitions and some equivocal words, for instance, slum settlements, squatter settlements, informal settlements, illegal settlements, etc, all these terms have the same or nearly the same meaning while one check their characteristics. While other slums and informal settlements have a high rate of crime, unemployment, urban decay, drug addiction, mental illness, malnutrition, diseases, and poverty. Though informal settlements offer at least some degree of promise to their residents, they also lack basic infrastructure to support health and wellness, including clean water, adequate sewage systems, durable housing, and public spaces for commerce and recreation. Additionally, informal settlements are frequently overcrowded and situated in political conflict zones, eco-sensitive environments, and locations vulnerable to extreme weather events (e.g., cyclones, hurricanes, and unusually-severe heat or cold) and natural disasters (e.g., earthquakes and flooding) (Global Health Equity, 2019).

Illegality is one of the characteristics of urban squatters, according to the majority of the literature. Illegal settlements are known as squatters. Squatter colonies also lack an appropriate supply of various facilities due to their illegal status. Squatter colonies have an inadequate waste disposal system, as well as roads, water supplies, and other service centers. Although some villages have these resources, they are of poor quality, poorly managed, and unreliable. They also lack vital services like as firefighting, medical facilities, mail delivery, and policing that are available in other established settlements. Squatter settlements are also being built on the outskirts of many cities in the world's poorest country. They are mostly found around garbage dumps, rivers, and railway tracks. They can also be built on undeveloped ground such as marshy or swampy area, as well as steep hillsides (Migiro, 2020 and Srinivas, 2015).

According to UN-habitat (2005), poor urban appearance low quality of public, physical and mental health, lack of any suitable job and sufficient income special subcultures, population density low or lack of educational and welfare facilities and low level of literacy and education, lack of any school extensive poverty abundant drug and high level of addiction source and center

of social perversion are also characteristics which help to identify informal settlement. As of UN-Habitat, (2013b & 2015b), informal settlements are residential areas where.

- Inhabitants often have no security of tenure for the land or dwellings they inhabit for example, they may squat or rent informally;
- Neighborhoods usually lack basic services and city infrastructure;
- The housing may not comply with planning and building regulations and is often situated in geographically and environmentally sensitive areas.

As stated by Ghasempour (2015), one of the most important features in the areas with the informal settlement is the lack of official title deeds for the residents. In these areas, residents mainly enjoy illegal and informal models for possession of lands and residential units.

*Municipal Permit:* The most important feature of informal quarters is their illegal nature and their formation out of urban development programs. In these quarters, construction is usually performed without any permit.

- *Antiquity of Settlement:* Feeding on the main city is the requirement for the formation of informal quarters. These quarters are formed once the flow of money, capital, and economic growth in the main city are high and immigration attractions have been created there. This process requires the passage of time. Therefore, these quarters have a shorter life than other urban regions. The detail of these characteristics also presented hereunder:-
- *Lack of Welfare Services and Facilities of the Said Regions.* In these neighborhoods, residential utilization is dominant and the share of welfare services and facilities in the said regions as compared to urban areas is very low. Area of lots in self-grown settlements, area of lots is mainly less than other areas of the city.
- *The occupied area from among the housing characteristics:* in the self-grown settlements, one may point out that the occupied area in the lot is higher than the common and standard level to a great extent and eventually open space of residential unit is so trivial. Building quality the neighborhoods of informal settlements are the neighborhoods

where wear out is seriously underway. Although its buildings enjoy a short life, all of them have low quality.

- *Building Façade:* One of the dominant characteristics of informal settlements includes buildings with no façade.
- *Number of Storeys:* In their textures, residential houses are mainly single-story thanks to the poverty of residents and also considering the materials used in the building and uncommon construction procedure.
- *Geometrical Shape of parts:* Houses in these settlements have generally been formed organically without any pre-thought geometrical order and based on the ability of each family in the occupation of land and also under the influence of characteristics, natural bed, and topography.
- *Formation in Poor Urban Lowlands:* The lands near urban bothersome utilities such as troublesome industrial centers enjoy a poorer quality for urban development and they suffer from environmental problems and different pollutions. Therefore, they are considered as good potential for attracting informal settlers.

### **2.7.2. Factors of Informal Settlements**

Many governments refuse to recognize the existence of informal settlements, putting cities' long-term sustainability and profitability in jeopardy. Geographically, economically, socially, and politically, these villages remain isolated from larger urban systems. Upgrading informal settlements through tenure regularization and infrastructure provision is usually regarded as preferable to relocation in terms of preserving crucial social and economic networks. (UN habitat 2015).

To combat the negative characteristics of informal settlements, governments must recognize the difficulties that residents experience and aggressively engage them in larger municipal systems. However, settlement regularizations may not be enough to erase the stigma of living in specific places. Several main reasons for action are identified by UN-Habitat (2015b):

- 1. Urbanization:** is a powerful force. Along with the high natural growth rate of the urban population, basic infrastructure and social amenities such as housing, water, sanitation, and healthcare have not kept pace with the rising population's demands.

2. **Development Control Mechanisms:** The role of institutions in urban planning and development has been poorly defined and defined in general. There appears to be some overlap in the tasks and responsibilities of the various institutions.
3. **Inadequate Formal Land Distribution:** One of the key causes of the IS's existence has been the relevant institution's lack or inability to supply residential plots to the ever-increasing urban population.
4. **Lack of resources:** The government has been unable to compensate residents for the acquisition of land for urban development due to a serious lack of financial resources. Similarly, the land authority's technical competence in terms of competent urban planners and surveyors is severely inadequate.
5. **Poverty in the Center:** Whether internal migration succeeds or fails, many individuals residing in developing-country cities lack access to amenities, housing, services, and economic prospects. The migrants' fundamental necessities cannot be met in the city. The number of people unable to buy a legal home will rise as cities grow. The causes of informality are numerous and diverse, ranging from social, economic, procedural, institutional, and political issues. The major reasons for the spread of informal settlements in our country are a disparity between income and the cost of basic housing, as well as rapid population increase. The housing problem is generally compounded in this context by:-
  - The extremely high expense of the bare minimum of housing
  - The exorbitant and high cost of land makes renting from a housing developer unaffordable.
  - In the district, there is no clearly defined urban-rural boundary.
6. **Socio-Cultural Factor:** There are still many urban dwellers who feel very comfortable living in an informal settlement.

### **2.7.3. Policies and Strategies/Regulation for Informal Settlements**

For decades, governments in low- and middle-income countries (LMICs) have responded to informal settlements with a range of approaches, including denying their existence, reacting with benign indifference, evicting residents, and demolishing settlements in whole or in part. More recently, it has been understood that eviction and demolition do not address the cultural and material realities that drive the creation and expansion of informal settlements; this trend has prompted increasing interest in improving informal settlements and attempting to formalize land tenure for residents of these communities. As a consequence, to ameliorate informal settlements, local governments in LMICs have commissioned remediation plans from architectural and urban planning firms, many of which are from high resource countries. Unfortunately, in developing plans and interventions, many such firms are not mindful of the economic limitations of LMICs, and also do not take into account the lived experiences of people who reside in informal settlements (Global Health Equity, 2019).

In recent years, prevailing strategies for addressing non-formal settlements have shifted away from large-scale slum clearance and relocation, which have been demonstrated to cause massive social disruptions. The approach favored today is on-site upgrading and improvement, intending to integrate low-income communities into their larger urban contexts. There may be something inevitable about this: there are so many informal settlements around the world and many of them are so big and so old that it is becoming impractical to think of removing them entirely, especially since sufficient vacant land is scarce. Improving informal settlements, though more cumbersome and arguably more expensive than building right in the first place, has the advantage of leaving intact the economic and social networks that residents have created for themselves.

The past three decades have seen increased concern to make cities in poor countries resilient. Evidence however shows that one of the important factors that can undermine this effort is the development of slums and informal settlements in urban areas. While scientific evidence shows that many support the management of slums and informal settlements, there is no consensus among policymakers, city managers and social scientists around how this must be approached. Consequently, policy and planning initiatives at addressing the problem appear to be failing. An

approach that has some promise is to adequately understand the phenomenon from the perspectives of the nearly a sixth of the world's population, about 1 billion people, that live in slums yet slum dwellers have consistently been excluded in policy decisions geared towards the management of slums. Voices of slum dwellers and that of experts and social scientists must be brought together to design more sustainable policy portfolios for the management of slums and to prevent the creation of new ones. (Good Governance Africa, 2018).

There have been different policies, strategies and programs devised by third-world governments to solve the urban housing problem which is the main breeding platform for Informal Settlements (Good Governance Africa, 2018).

These approaches include different programs, such as; public housing, sites and services, redevelopment, slum and area upgrading, among others; but none of which could address the environmental quality and housing needs on a bigger scale. People established self-planned settlements or; Informal Settlements, in response to this unsustainable and ineffective land transformation system. Such areas have long been treated reactively. Policies and practices that supported this approach contributed less to the overall urban quality of life and failed to stop the further growth of Informal Settlements. This call's for descriptive approaches that would reduce losses experienced by Informal Settlements and stop their continued reproduction. To establish such a system; driving forces of Informal Settlements should be detected and probable future areas must be integrated with future urban planning. Therefore, addressing the problems that constitute the expansion and densification of Informal Settlements is the main focus of this research (Nassar, &Elsayed, 2018).

## **2.8. Informal Settlement in Addis Ababa**

With the rise of urban populations comes the expansion of informal settlements, slums, and poor residential districts around the world. Informal settlements are home to an estimated 25% of the world's urban population, with 213 million people added to the worldwide population since 1990. (UN-Habitat 2013,2015).As seen in most African, Asian, and Latin American cities, diversity is extensive, complicated, and dynamic, and it stems from differing perspectives and practices witnessed in different countries.

As a result, each settlement's control and management differ. Perception disparities have contributed to much of the complication surrounding informal settlement. These include the differences observed in defining the problem, identifying the causes and effects, and implementing solutions to the problem. Tanzania is one of the countries in Sub-Saharan Africa with the highest proportion of people living in informal settlements, followed by Mozambique and Ethiopia (Abagissa, 2019).

Addis Ababa is a fast-growing city beset by issues that plague most developing-world cities, such as widespread urban poverty, unemployment, insufficient housing, severe overcrowding and congestion, and poor infrastructure. Furthermore, rising social problems like begging, homelessness, and teenage criminality are harsh realities of metropolitan living. In 2006, the unemployment rate for people aged 10 and above was 28.6%. Slums and informal settlements have posed numerous issues to the city, and are often regarded as the main issue affecting people's livelihoods and the state of the urban environment. Due to issues arising from this slum and informal (squatter and other illegal) settlements, the city's march to modernity has been hampered (Tsutsumi&Bendewald, 2010).

Squatter settlements in Addis Ababa are known in Amharic as "YecherkaBetoch," which means "moon lighthouses." This name is given to such constructions since they are often built under the moonlight and appears overnight; much like a mushroom. These squatter colonies are built in a matter of two or three nights. Squatters frequently build their homes at night, when the kebele authorities are not on duty. The squatters and their families then move inside the shelter as soon as it takes on the shape of a house, which they gradually enhance. Squatters who fall into this category are persons who have the ability to build a home if they were given the necessary land (Tsutsumi&Bendewald, 2010).

### **2.8.1. The main cause of Informal Settlement in Addis Ababa**

Because of the informal settlement in the metropolitan area as a result of migration from rural regions and significant population growth, the first difficulty for the people flooding into the city is finding a place to live; land and housing are thus taking on new significance in the struggle for existence. Migrants to the cities typically arrive with no income or skills, and they often remain

impoverished. Squatting, street sleeping, slums, and overcrowding have resulted, resulting in novel human problems in quickly increasing cities (United Nations, 1977).

The main reasons for the proliferation of squatter settlements and unplanned city expansion on the outskirts of Addis Ababa, according to Abagissa (2019 as cited by Taye, 2002), are that peasants around the city provide urban land to individuals for housing construction without the consent of the concerned legal urban authorities. Formal housing development was not carried out from 1982 to 1986 since a new housing strategy was being developed at the time. As a result, many city people were unable to bear the situation, and some attempted to find a solution through informal land acquisition. Between 1992 and 1995, similar incidents occurred as well.

As a result, local waiting lists and Ministry of Works and Urban Development departments have become overburdened with applications for urban land (MWUD). This circumstance prompted or compelled a large majority of the city's people to seek land, particularly on the outskirts of Addis Ababa. As a result, unlawful structures and squatter colonies have proliferated along the city's outskirts, such Bole Bulbula, Mekanisa, Keranio, and Kotebe (Taye. 2002: 37-38). The spread of squatter communities continued uninterrupted even afterwards

### ***2.8.1.1Lack of affordability and inadequate housing***

The central causes of informal settlements are the direct reflection of lack of affordability and inadequate housing which is a common urban problem in the developing countries. As UN-habitat (2014) indicated, a number of conditions must be met before particular forms of shelter can be considered to constitute adequate housing. These elements of adequate housing are just as fundamental as the basic supply and availability of housing. For housing to be adequate, it must, at a minimum, meet the following criteria such as:-

**Security of tenure:** housing is not adequate if its occupants do not have a degree of tenure security which guarantees legal protection against involuntary removal and harassment. Another element is the availability of basic services, facilities and infrastructure: housing is not adequate if its dwellers do not have clean drinking water, adequate sanitation, and energy for cooking, lighting and waste disposal. Besides, it is not affordable or adequate if its cost threatens or compromises the occupants' enjoyment of other human rights. Habitability is one of the elements

that housing is not adequate if it does not guarantee physical safety or provide adequate space, as well as protection against the cold, heat, rain, wind, other threats to health of the dwellers and physical hazards. Moreover, accessibility is another element that housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account. Likewise, location is another important element that housing is not adequate if it is cut off from employment opportunities, health-care services, schools, childcare centers and other social facilities, or if located in polluted or dangerous areas. Finally, cultural adequacy is also considered as significant issue that housing is not adequate if it does not respect and take into account the expression of cultural identity (Ibid).

### ***2.8.1.2 Accessibility of urban land and the urban Poor***

Land is one of the crucial assets. In sub Saharan Africa land is a significant factor and an indispensable asset that determines the quality of life of not only the rural communities but also that of the urban dwellers too. Naturally, in a market economy, access to the use and enjoyment of this land depends on the purchasing power of individuals concerned. Where the affluent individuals are able to purchase and occupy a choice location, the urban poor are left to grope with the marginal areas.

In addition the pulling nature of the cities which lead to intensively pressure on municipal services and facilities. With the limited funds available to the government, provision of these services is always tilted against the area occupied by the urban poor. This is more so where they encroach upon government lands or other areas where development permits cannot be given. Because of inability to acquire developable urban land within the city, most of squatter settlements will change into a complete slum (UN-Habitat, 2003 cited in Samuel, 2018).

Security of tenure is a critical factor contributing toward people's housing processes around the world. Lack of ownership rights to their settlement urge communities of the urban poor to invest in something that they will eventually have no ownership right or squatter settlement. Securing the tenure for the squatter dwellers transforms their homes into a tangible asset, however, it is not without its complexities and often leads to indirect eviction. For instance, they look for a new informal settlement for themselves when the value of the tenure becomes high forced by their own poverty. This reflects, simply giving of the property ownership to poor has been increasing

squatter settlers and placing them at the big poverty market. High income people with their vision of entrepreneurial development, approach the owner to resell or rent the new property.

As a result, the low-income owners sell the tenure which they received as a gift or support, then go back to live in slum again because they can't develop it. One of the main goals to improve living for urban squatters should be, to create tenure situations that work for communities without subjecting them to increased market forces (Taher and Arefeen, 2014). The rapid urbanization rate with poor system to handle it have been leading to unattainable expansion of squatter settlements in developing countries and it has been shaping the development of their cities and activating a lot of challenges to residents.

## ***2.9 Formation and expansion of informal settlement***

As cited by Gossaye,(2007) in Solomon (2004) study mechanism of land acquisition through inheritances and gifts in most cases are normal, and in some systems they are legal and it is the right of the original owner to do so. Even though the nature of Sub division of land for inheritances and gifts appear to be slow their contribution to the formation and expansion of informal settlements is high. The other mechanism of land airing is through organized way of urban land invasion, this system is obviously illegal from the beginning and they create their own urban informal neighborhoods on both suitable and unsuitable sites they occupied.

This mechanism often depends on situations like conflict over the ownership of land but it is not common in all urban centers. For instance, land invasion in informal settlement in Egypt took place as soon as land tenure was in doubt. During the transaction of land property among various governors, the transformation of economy or regulation takes place when national or local election is conducted within the country (Gossaye, 2007).

Among informal settlement expansion movement of society from rural to urban is the crucial one. The immigrants, having come in order to avail themselves of the job opportunities and gain better education, did not wait for the government to build them residential houses. They arbitrarily fulfilled their housing needs up to a certain level, in accordance with their abilities and their understanding of the circumstances (MirwaisFazli, 2016).

## ***2.10. Impacts of informal settlement***

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

### ***2.10.1 Environmental impact***

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

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

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

On the contrary, Third world cities like Addis Ababa are facing major problems due to deteriorated urban environment. The magnitude and severity of slum and Informal settlements

are significant indicators for the troubled urban environment. Living standards in slum areas are far below the acceptable level and the water, soil and air qualities are greatly depreciated. Slums are characterized by a lack of access to improved water supply and sanitation, sufficient living area as well as durability of housing and security of tenure ( Dubbale D, A., Tsutsumi J., and Michael J. Bendewald, 2010). When people settle in one place they must need to eat food for serving and this can courses for deforestation of the forest around the environments. Usually informal settlers or the squatters are the poor people they cannot use electric energy for coking purpose so the only option to use natural forest and this has reduced the amount of ground water and resulted in environmental degradation and this affects the ecosystem of the country.

### ***2.10.2. Economic and social impact***

The uncontrolled expansion of human settlements has led to conversion of the best agricultural land in to settlements. Occupiers usually do not pay property tax or user fees, thus reducing the revenue of the municipality to provide essential services. Records show that between 1977 and 1994 the Zanzibar town has expanded by 2100 hectares mostly into the best agricultural land. There have been genuine complaints and warnings by the ministry of agriculture that the agricultural land is consistently decreasing due to over expansion of human settlements. The loss of agricultural land means a decrease of crop production and income of poor agricultural families (Tsenkova, 2008).

In economic terms, informal settlements mobilized significant public and private investments, which remain outside of the formal economy and investment cycle (Desoto, 2003) Where squatting is on government or any derelict land; layout are never prepared and developments are not subject to any control. In cases where the land owning families design layouts; such layout in most cases may not conform to acceptable standard and development meaningful development control in these cases will invariably lead to haphazard or uncoordinated development which characterizes slum formation (Tsenkova, 2008).

Most informal settlers belong to the low income groups of the community that are either unemployed or looking in the informal sector like street hawking or informal service provision and daily laborers (Cho and Park,1995,cited in Meseret,2010). Since residents of squatter settlements lack legal titles; they are usually suffering from the problem of uncertainty in tenure.

They live daily with the perpetual fear of eviction and demolition by authority. As a result of which there is no incentive to spend on housing improvements; hence they live in houses constructed with substandard materials (Tsenkova, 2008). The problem of their low income affects the level of capital formation, which deprives the people of sufficient resources to utilize in improving their homes and keep their environment healthy for comfortable living (George, 1999). The slum residents lack the basic municipal facilities; and thus are exposed to disease and natural disasters (The World Bank, 2002).

### ***2.10.3 Effects of Informal Settlements on Quality of Life***

The declines in living conditions are accompanied by rapid deterioration of existing housing and homelessness (UN-HABITAT, 2007). The urban poor living in these settlements are especially vulnerable to economic shocks; they lack access to services, safety nets and political representation. The population growth which drives the increase of informal settlements can impose pressure on the inhabitants of informal settlements. While the people are usually poorly educated, competition in the city is high, and it is hard to find jobs. Pressures can also come from environmental hazards such as floods and fire. These pressures impact upon the well-being of the poor in these informal settlements.

Poverty can also create long-term pressures. People are unable to obtain adequate food, clean water and other basic services, as well as education. Their health and living standards often suffer when their settlements are situated close to sources of pollution. The environmental hazards and vulnerable locations of informal settlements mean that the effects of the hazards on informal communities are great. These inhabitants have little ability to provide for themselves. They live in a state of uncertainty as they have no tenure over the land they occupy illegally.

At the same time, people living in hazardous location have the continuous threat of unpredictable disaster. Both external and internal hazards affect their livelihoods. World Health Organization (WHO) notes that informal habitants are frequently ill as a result of the poor quality of their environment and exposure to disease. They are in a state of persistent poverty and frustration. Disasters may cause death and loss, while the poor housing and sanitation also threaten their health.

### ***2.11. Housing Quality and Environment***

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

Housing in informal settlements are characterized by natural ageing of the buildings, lack of maintenance and neglect, wrong use of the buildings, poor sanitation in the disposal of sewage and solid waste and wrong development of land UN-HABITAT, (2003). Furthermore, so and Leung (2004) have also established a significant correlation between the quality of life and the comfort, convenience and visual acceptability of the house. Therefore the significance of adequate housing to the social well-being of the people in informal settlements cannot be overemphasized. Quality of life may also address environmental quality such as quality of dwelling air, water and adequacy of open spaces for other land uses.

### ***2.12. The Recent Urban Land Policy in Ethiopia***

The main laws dealing with urban land in Ethiopia are the constitution (regarding ownership and control, the leasing proclamation (regarding land delivery) and the expropriation proclamation (regarding re-acquisition of land). Article 51(5) of the constitution of the Federal Democratic Republic of Ethiopia empowers the federal government to enact laws regarding the utilization of land. All such enactments are benchmarked on the cardinal premise of total and complete state ownership and control of land. Article 40(8) of the constitution, provides for private property, expropriation for public purposes for the payment in advance of compensation. Proclamation No. 272/2002 is the law that regulates the delivery of land in urban areas for development.

The preamble to the law refers to transferring land by lease in accordance with free market principles, investment costs/recovery and as transparent and expedient a fashion as possible. The scope of the law is universal and retroactive covering all urban land held by the permit system

(imperial grants), the lease system prior to this law, any other systems of land holdings and leases to be permitted subsequently under it. Furthermore, the law prescribes the procedure(s) by which a lease of urban land can be secured: for a lease to be legal, it must in respect of land covered by city or municipal planning guidelines; acquisition must be by auction, negotiation or government decision. A title deed containing details of information that describe the character and quality of the lease confirms a lease of land from the public. Proclamation No.721/2011 has almost similar objectives with the repealed proclamation No. 272/2002.

However, added new things show the fact that it has another objective of widening the land use revenue base of local authorities and the regularization of informal settlements to protect security of tenure of informal dwellers. The proclamation stipulated combating speculation and the non-transparent system of plot allocation is by changing windfall speculative earnings made in case of undeveloped land transaction, and designing a proper institutional setup for the disposal of land (using mainly auction system), it is aimed at discouraging land speculators, corrupt and rent seeking public officials who deliberately strive to benefit from illicit transaction of the public resource. The constitution of Ethiopia, Article 52(2) also clearly stipulates the role of the states in relation to the management of land: States shall have powers and functions to administer land and other natural resources in accordance with the Federal laws.

Constitutional land administration including the power to acquire, develop and transfer land to the ultimate users is the power of the states urban local governments. In Addis Ababa, the provision of urban land tenure security for informal settlement dwellers is the responsibility of Addis Ababa city government and its sub-cities. National and local governments to improve tenure security in urban informal settlements are increasingly using regularization programs. Planning for these programs must necessarily have a strong land tenure information component. Concerning the challenges in Addis Ababa city related to land information, Belachew (2010) indicated that a standardized urban land registration system can potentially help the administrators to identify the legal ownership of urban land and guarantee tenure security.

However, the experience in Addis Ababa has demonstrated many challenges related to the land management and development system as well as problems related to tenure security. These

challenges and problems are the result of poor land registration/ or cadastre system, poor planning practice and prospects, and slow provision of infrastructure and services.

### ***2.13.Theories and Approaches in Informal Settlements***

Regarding urban settlements, in developed countries, three main theories frequently discussed. Firstly, the Chicago School in the 1930s regarded informal settlements as residential differentiation resulting from the different income levels of different ethnic groups who competed for valuable or desirable urban land. Secondly, Alonso's neo-liberal theory of slums suggested that informal settlements are a response to the housing needs of urban dwellers who cannot afford a formal dwelling due to discriminatory urban regulations and public spending. Finally, post-modern theory of the urban landscape or factorial ecology, perceive informal settlements as the product of skills segregated within urban spaces' urban dwellers settle according to their profession and social status. In developing countries, however, four major theories of informal settlements commonly referred to land management; colonial legacy; inadequate economy; demand and supply disequilibrium. Specifically, the first school of thought believes that inefficiency of urban authorities, along with poor land management practices and inadequate urban planning schemes, cause the informal urban areas. The second theory links the expansion of informal settlements to political and historical factors, especially colonialism, postcolonial practices and civil and political instabilities Laura(2014).

A third view suggests that the introduction of a new economic system has played an important role in the development of informal settlements. This theory argues that the introduction of urban trade, income and class differences spatially translated into residential discrimination and social exclusion. A fourth theory explains the emergence and growth of informal settlements by the disequilibrium between the demand and supply of urban commodities or land, services, and infrastructures. This viewpoint explores the sustainability and persistence of informal settlements and postulates that while the effort is deployed to improve slums, new informal settlements is mushrooming in other parts of the city Ashenafi(2015). And also approaches; the first one is Self-help housing scheme approaches which is Self-help schemes have become some of the recognizable approaches low-income housing in developing countries. According to the Development Bank of South Africa(DBSA,1994) explain self-help scheme as a process whereby

urban poor households (i.e. individual or groups) improve their quality of life by using their own resources such as labour, savings and management ability without monetary compensation from the government. It appeals to the urban poor as it subscribes to god helps those that help themselves and that within the housing fraternity self- housing schemes promote the socio-economic growth of families and communities in terms of skills in decision-making, management and self-confidence.

Three diverse forms of self-housing schemes as influenced by the urban WB development policies, Spontaneous unaided self-help: families work individually to meet their needs without any external assistance. Aided self-help: a group of individuals assists each other with the help of external assistance in the form of finance, technical, or building materials; Aided mutual help: individuals or groups help each other to meet their housing needs with assistance from private, semi-private and others, for instance, upgrading of basic services and upgrading of informal settlements.

The second approach is Sitesand-services housing schemes approaches, Sites and-services have been in existence over the years as an approach to solve low-income housing problems, describes the sites-and-services schemes as the provision of plots of land, either on ownership or land lease tenure on top of a bare minimum of infrastructure appropriate for human settlements. These programmers have 'existed before the expression had been coined and before the World Bank decided to support this approach. Further, sites-and-services models aimed to house the urban poor, increasing the stock of permanent households, reducing public expenses, replacing informal settlements and its tax implications, developing a reliable construction sector for job opportunities, empowering the emerging small businesses, and accelerating capital developed by low-income households. Tshikotshi(2014)

## **CHAPTER THREE**

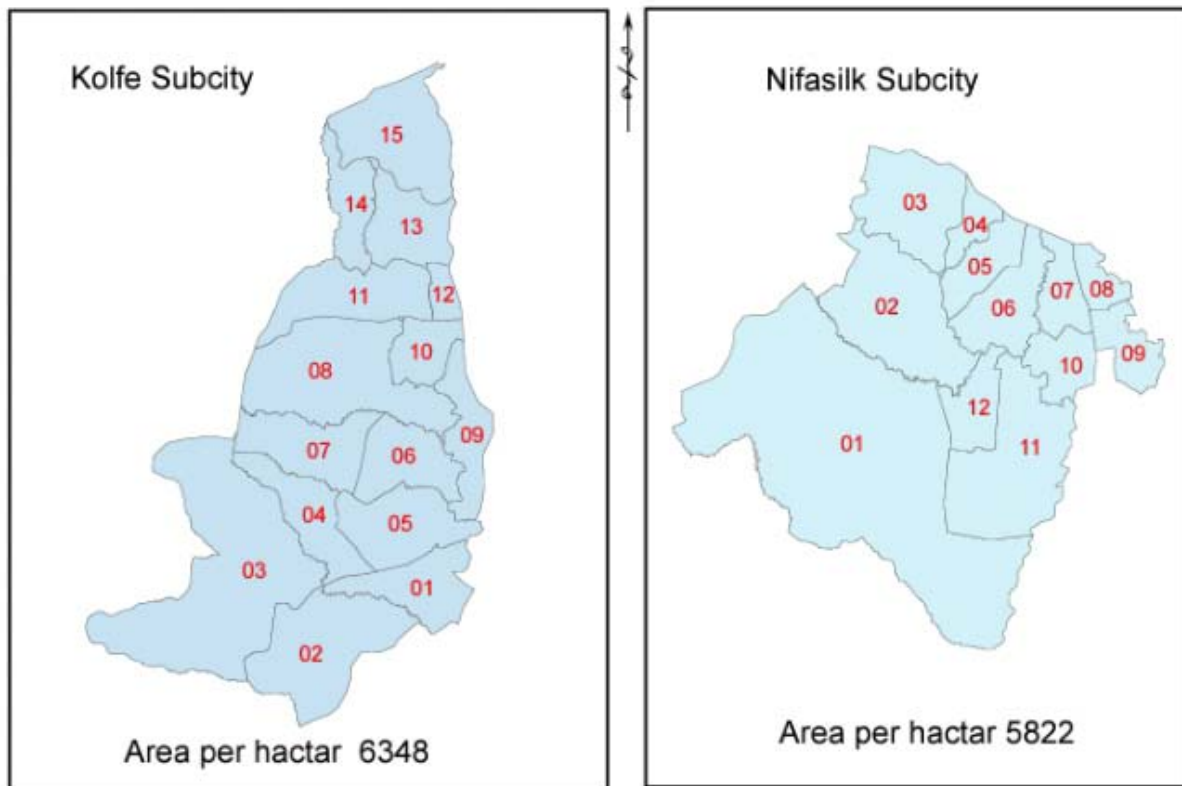
### ***RESEARCH METHODOLOGY***

#### **3. Methodology**

This chapter presents about the study area, the research design and approaches of the study and sampling techniques, sources of data, data collection tools, data analysis and ethical considerations explained subsequently.

##### ***3.1 The Study Area***

The study was carried out in Capital of Ethiopia-Addis Ababa, particularly in KolfeKeraniyo and Nifas Silk Lafito sub city where Most of the squatters are found and these sub-cities are the biggest and they are commonly known as the expansion areas of the city. Kolfekeraniyo located in the western part of the city between 8° 57' 00" North and 9° 05'24" North latitude and between 38 ° 39' 36"East and 38 ° 43' 12"East longitude and Nifas Silk Lafito between 8 ° 57' 26"



North latitude and between 38 ° 43'30" East longitude.

Map 1 Worda Division of KolfeKeraniyo and Nifas Silk LafitoSubcity

*Source: KolfeKeraniyo and Nifas silk laftosybcity (2013)*

### 3.2. Study Approach

As explained by Brannen (2005), after defining the research problem, three kinds of methodological approaches such as qualitative, quantitative or mixed/triangulated approaches can be applied to a research. Qualitative approach is generally regarded to be inductive, interpretative, and natural and seeks to get deeper meaning and understanding of specific situations. It is assumed of having emphasis on process and meanings rather than on measures of quantity, intensity and frequency.

Therefore, considering these assumptions, the researcher used a qualitative research approach, which is typically used to address research questions that require explanation of understanding of social phenomena and their context. The method is particularly well suited to investigating complex issues and studying processes that occur over time Ritchie & Lewis, (2003, 5).method uses analysis of text instead of numbers, and it includes proximity and closeness to the informants as opposed to distance to the respondents, and one has a summed selection of informants Thoggard(2003).

The qualitative approach gives the researcher a chance to collect data from the main respondents of the study (land management office, brokers, and informal settlers). Hence, the aim of qualitative research is generally to provide an in-depth and interpreted understanding of the social world by learning about people's social and material circumstances, experiences, histories, and perspectives Snape& Spencer (2003).

### **3.3. Study Design**

To address the designed objectives, the researcher used a community-based cross-sectional design. As explained by Bryman (2004), unlike a longitudinal design, a cross-sectional research design involves the collection of data at a single point in time. Therefore, in this study, the researcher employed a community-based cross-sectional research design since the data regarding the nature and complexities of informal settlement was collected at one point in time from the target population, taking into account the time and cost of undertaking the study.

### **3.4. Sources of Data**

In this study, the researcher employed first-hand data through interviews, focus group discussions, and observation to capture respondents' insights and opinions as a primary data source. Moreover, the researcher also installs secondary data sources from government records of the study area to support extensive document reviews. Document review can include the review of policies and research that can have a contribution to the issue.

### **3.5. Study Population**

The study population consists of people who live in Addis Ababa city's urban peripheries, with specific targets on two sub-cites (KolfeKeranio and Nifas Silk Lafto). In this regard, the data

collected from informal settlers, government officials, and key individuals in the aforementioned targeted sub-cities additionally, the study also tries to incorporate the thoughts of other personnel from the city's administration.

### **3.6. Data Collection Techniques and Instruments**

Qualitative research provides a detailed description and analysis of the quality or substances of the human experience Creswell (2007). Due to the qualitative nature of the study, the researcher uses interviews (both in-depth and key informant interviews), focus group discussions with different individuals, and observation as a data collection technique. On the other hand, interview guiding questions and FGD points were prepared for the actual data collection work as instruments.

#### **3.6.1. Interview**

Interview is “a method of information/opinion gathering that specifically involves asking a series of questions/dialogue between people where personal and social interactions occur” Jupp(2006:157). It allows person-to-person discussion and lead to increased insight into people's thoughts on important issues. Therefore, this will encourage respondents to talk at length and will help the researcher to get a complete picture of their views. In this study, both in-depth and key-informants interviews will be used to generate qualitative data.

The researcher employed in-depth interview to collect data from seventeen household heads that are living in the targeted area, owning informally constructed house. Additionally, three individuals who own a formally constructed house were interviewed to get more comprehensive information from the study targets.

On the other side, key informant interview are used to collect information from a wide range of people including community leaders, government officials and key individuals in the study area. The key informant's interviews has targeted two community leaders, three government officials at the sub-city level and two key individuals who have good knowledge about informal settlement from the targeted sub-cities.

### **3.6.2. Focused Group Discussion (FGD)**

Focus group discussion (FGD) "is one of the data collection methods in a qualitative research approach whereby a group of individuals are selected to discuss together, in a focused and moderated manner, the topic under research. The recommended number of people per group is usually six to ten. Therefore, an individual's opinion about an issue could be explored through an open discussion between the members of the group and the researcher. "Miller and Brewer (2003, pp. 120–121)

In this study, two focus group discussion sessions (one per sub-city) were conducted with the idea of generating detailed information from the participants since it could provide opportunities for consciousness-raising among the participants as they freely share their ideas and experiences. Each session has six participants, individuals from the targeted areas.

### **3.6.3. Researcher's Observation**

As Turner (2010) stated, interviews are usually coupled with other forms of data collection to provide the researcher with a well-rounded collection of information for analysis. Thus, to get well-rounded data, observation is one technique of data collection. An observation was made in the area that is labeled as the encroachment of informal settlers.

## **3.7. Sample Techniques**

Since the study laboratory of sociology is society, social research cannot be carried out on social reality in its entirety; the researcher usually has to settle for a sub-set of this reality. Sampling procedures are the first empirical operations in which the researcher must engage. It is observing the part to glean information about the whole – is an almost instinctive human act (Corbetta, 2003).

Dealing to assess the existing status of informal settlements in the study area and to forward possible suggestions for the future betterment of the case the researcher anticipated to employ purposive sampling techniques. Purposive sampling is purposely handpicking individuals from the population that appears to them to be representative of that population based on the researcher's knowledge and judgment. According to Brink (1996:141), purposive sampling requires selecting participants who are knowledgeable about the issue in question, because of

their sheer involvement in and experience of the situation. While Creswell (2003:185) states that purposive sampling refers to selection of sites or participants that will best help the researcher understand the problem and the research question, they must be willing to reflect on and share this knowledge.

Referring to the sample sizes, which may or may not be fixed prior to data collection, depends on the resources and time available, as well as the study's objectives. Purposive sample sizes are often determined on the basis of theoretical saturation (the point in data collection when new data no longer brings additional insights to the research questions). As a result of this, the researcher has set hypothetical sample sizes for each data collection technique, which are adjusted throughout the data collection process. Purposive sampling is therefore most successful when data review and analysis are done in conjunction with data collection.

### **3.8. Data collection Procedures**

In order to get rich information about the issue under study, the researcher prepared interview and FGD guiding questions, which are going to be translated into the local language (Amharic). To generate primary data first I decide to go different wordas of Nifas Silk lafto and KolfeKeraniyo sub city in order to select wordas which have high number of informal settlement accordingly from Nifas Silk lafotoworda 01 and 11 from KolfeKeraniyoworeda 03 and 07 were selected. The in-depth and key informant interview was conducted by using open ended question. Examine the appropriate methods the main duty of the researcher through this process I decide quantitative approach was not applicable and I chose only qualitative approach. During the selection of participant at least the participant live in the settlement for three years, being a head of household is the other criteria in the participant selection process. For those who meet the criteria I was informing the purpose of the study. But it was not easy people who live in informal settlement are very suspicious about everything. For the key informant interview long experienced and high official in the sub city and Woreda level were selected as a key informant. Observation also made by observing the significant social and physical setting in the study area. Then, the researcher approaches the participants ethically and interviews each interviewee in a discussion fashion by using the guiding questions to probe the respondents. During the FGDs and interviews, a sound recorder was used for participants who were comfortable with that. For

those who were not willing, the researcher wrote all the points on a notepad as much as possible. For the FGD sessions, refreshments are prepared in order to make the discussion smooth.

### **3.9. Method of Data Presentation and Analysis**

The qualitative data that is going to be collected from all sources was translated into the English language after transcription of the collected data through the local language is done. Then it was reduced by summarizing similar ideas together. After making the data more manageable and presentable, the ideas of the respondents merged and were categorized in accordance with the specific objectives of the study. All the data used in the study was presented in the form of a narrative technique and analyzed thematically in combination with literature reviews.

### **3.10. Ethical Consideration**

According to Tadele (2017), Ethics is an integral part of research from beginning to end and ethical compliance is pivotal to achieve real research excellence. In this study, all ethical considerations were given greatest attention. The study was approved by the Department of Sociology, Addis Ababa University prior to the collection of data. The relative sensitivity of some participants on discussing about some issues like cultural (religious) practices was taken in to consideration. Participation in the study was voluntary, anonymous, and the data was treated confidentially (will be destroyed secretly after the completion of the study). Every participant was given detailed information about the subject and the aim of the study before data collection. Therefore, measures were taken to guard the study participants against any form of harm and discomfort by preserving the collected data confidentially until it will be destroyed. All the necessary COVID-19 pre-caution measure where applied during the data collection work. Finally, after the data is collected the researcher analyzes the data and report the finding for the intended target with great care and responsibility.

## Chapter Four

### ***Data presentation and analysis***

The primary data was gathered through observation, focus group discussions and in-depth interviews with carefully selected participants. To gain a better understanding of the current state of informal settlement, 17 participants and 7 key informants were interviewed. The Contributing causes for the expansion of informal settlement were explored also significant physical and social situations observed. Almost all of the people chosen were the heads of households who were thought to have a lot of knowledge about the topic at hand. The majority of the participants had been squatter settlers for more than five years. Long-serving experts from government bureaus at various levels of kolfekeraniyo, and nifassilklafito sub-cities and woreda's were purposefully chosen as key informants.

#### ***4.1 Understanding the nature of informal settlement***

Addis Ababa, like other developing countries, is dealing with serious urban issues called "informal settlement," as well as major urban and administrative problem. Informal settlement in Addis Ababa is commonly known as "yechereka bet," which means "moon light house" in Amharic. The homes are built in a relatively short amount of time. The majority of informal settlements in Kolfe, Keraniyo, and Nifas Silk Lafito Sub City extension areas are built irregularly by the residents. According to the study, the situation in the informal settlements is similar to that in both sub-cities.

*A participant from the in-depth interview said that we often build the houses with cheap materials because we are afraid that Deniboch will demolish them. In addition, there is a tendency for government officials to assume that the homes are old.*

Factor behind the growth of informal settlement in the study areas shows that almost majority of the settlers are immigrated to the cities for a better life and job opportunities and they tried to fulfil their need in accordance with their abilities and their understanding The majority of the settlers do not have permission from the government to develop.

*A participant from the in-depth interview said I bought the land from the farmers, and we signed a village contract and a mortgage arrangement because this was an unofficial and illegal acquisition.*

*A participant from the in-depth interview said Furthermore, as the cost of living rises, the house rent price rises as well, and the landlords' requirements are not reasonable and do not consider our standard of living. The brokers make decisions on everything and see things through the perspective of their own commission.*

Most of the informal settlements in both sub cities are located at normally planned expansion areas for different urban functions. Land was secured for housing by settlers from surrounding peasants or land speculators.

#### ***4.1.1 Nature and patterns of informal settlement***

Most of informal settlement in both sub cities shares the same nature regarding to their pattern, basic services like water, sanitation, electricity, and rode. Informal dwellings were built with old construction materials. The majority of residents used communal bathrooms and kitchens. Informal residents in the study areas occupied the land during the night and used the same building materials, such as old metal roofing and mud to build the house. They also use second-hand doors and windows and these construction materials are only meant to be used for a short period of time.

##### **Housing conditions**

The majority of informal houses in the study areas are built form temporary building material and poorly built from mud and wood but some informal houses in kolfekeraniyo around *mikaeal* church are in a very good condition constructed from good building materials. The groups of people who live in this area have better living condition compare to the other.

One of key informants in kolfekeraniyo sub city mentioned that

*‘This kind of settlement created on purpose to accumulate wealth’ One of the main reasons for the expansion of such land grabbing is the time it takes to make a decision, the fact that the land for which compensation is paid is not utilised efficiently. Another problem is that the government*

*itself does not take immediate action. In addition, there is no legal action against an individual who has invaded the land. The government authority (Denboch) has done nothing but demolish the house, with no legal action taken against the individual, resulting in the proliferation of illegal activities.*



*Figure 2 Housing conditions of informal settlement in kolfekeraniyo sub city*

#### Electricity and water

Informal settlers in the study areas do not have access to water because they are required to provide legal documentation so walk a long distance to obtain clean water for drinking and cleaning. In the study area, there is also a shortage of clean water. Almost majority of the participants believe that their settlement does not have enough water for drinking and sanitation. Informal settlers in KolfeKeraniyoworeda 7 and Nifasilklafitoworeda 13 live in a challenging geographical location where essential services are difficult to come by and expensive to offer. Informal settler faces a number of challenges, including access to electricity. Participants commonly noted that electricity is a problem for them, despite the fact that they do not have complete access to it. Authorities can offer energy to squatters based on their closeness to a formal settlement or a nearby electric line after they have requested it for a long period. Houses

with low standards are denied basic access to electricity. The majority of the participants believed that by bringing the line across a specific distance, the majority of households would share one electric source with those who have the minority among them and the legal residences. As a result, participants stated that they frequently suffer power shortages that are limited to light and do not allow them to cook or operate other devices such as freezers.

In informal settlements, health issues are common because hygiene and healthy living conditions are inadequate. Polluted running water can be seen in several locations near the squatters' living quarters. Despite the fact that a large number of individuals live as informal in certain secluded and remote regions from the formal settlement, informants strongly believed that there was no way to provide health and education services by targeting squatters.

A participant from the in-depth interview said

*‘Water is extremely expensive, even for luxury; therefore people who have money will bring water by donkey and hours, even for sanitation and bathing..... People like me, on the other hand, will travel long distances just to have clean drinking water.’*



Figure 3 People Washing Clothes

A participant from the in-depth interview said

*“The lack of adequate water and sanitation facilities in our area places additional pressures on women because they are responsible for practically all home tasks, such as food preparation, washing, and caring for water from far, and it has a severe impact on our children's health.”*

In the study area, there is also a shortage of clean water. Almost majority of the participants believe that their settlement does not have enough water for drinking and sanitation. Some of the houses in the area have access to electricity in private the rest will share the power by bringing the line across a certain distance also use only for lighting purpose even those they always face shortage of power.

“One of the key informants underlined that

*Some of informal settlers in KolfeKeraniyo sub-city are middle- and upper-income groups who own big plots of land and have access to power, while others suffer due to a lack of*

*infrastructure. They are not really poor or homeless, but wealthy individuals who know that the profits from the land are huge.*

### ***Health care centre***

Health care, like other basic services, is a challenge in informal settlements. Residents have a variety of health issues and are unable to access health care services close to their home.

*A participant from an in-depth interview said, "Our children are afflicted by various infectious diseases as a result of their poor living conditions, and the government refuses to provide basic services such as health-care infrastructure due to legal issues."*

Informal settlers experience a variety of health problems depending on their location and closeness to service providers such as health centers, as well as their financial level. Children are mostly at risk of infection due to the unclean conditions in most squatters' previous living locations. Because of their poor living conditions, informal settlers are susceptible to both communicable and non-communicable diseases such as diarrhoea and typhoid. Inadequate sanitation and a lack of safe drinking water enhance the spread of infectious diseases.

A participant from in-depth interview said

*As you can see, we have a number of basic service issues, but our health problems make things even worse. We have a variety of health problems, yet there is no health care centre in our area. Because we don't have legal permission to settle, the government is unwilling to meet this essential need. I don't even have enough money to cover my family's hospital expenses anymore. I'm not sure what I can do or how long we'll be able to sustain in this situation."*

Informal settlers are vulnerable to security issues due to the lack of street lights and the prevalence of inadequate road facilities. In addition to the participants' perceptions of social security as a significant concern, it was discovered that there were areas away from public sights that led to squatters' dwelling areas. Furthermore, the main informants agreed that the absence of community police assigned to safeguard informal settlers in their settlements in the presence of those things that contradict safety makes them more vulnerable to security.

The COVID-19 pandemic has cost hundreds of lives in the world's richest cities but poses a greater threat to cities in developing countries like Ethiopia. During observation, piped water is a luxury for informal settlers. It is difficult to wash their hands frequently, and the majority of settlers participate in low-income activities. They are daily labourer's and can't work from home, need to use public transport, and cannot follow social distancing.

Informal settlement is characterized by three aspects: physical, social, and legal (jemaal 2019 and denial 2006). The physical aspect of informal settlement is characterized by inadequate infrastructure and may not be connected to basic services like road water, etc. In terms of social aspects, informal settlements are associated with low income. Most informal settlers engage in low-income activities. Informal settlers occupy land informally and without legal permission. In the study area, informal settlers suffer from inadequate living conditions, lack of access to basic services like water, sanitation, water, electricity, dangerous location, insecure tenure, and fear of eviction. According to (bossena 2019) informal settler has access to electricity but having accesses to electricity does not show the equal distribution of electric power most of informal settler in the study area has access to electricity but only for lighting. In kolfekeraniyo sub city woreda 07 informal settlers lack basic infrastructure like water, road and sewerage system Nifasilklasto sub city woreda 1 and 11 lack basic infrastructure partially.

### ***Extent of informal settlement***

Informal houses in the study areas have been increased in number from time to time since the political reform, according to a key source who stated that approximately 80% of informal houses were built between 2010 and 2012. The majority of the settlers in the study area occupied the land illegally and built with temporary building materials such as mud and wood with old iron sheets out of fear of government action against their residents, but they also have hope when they consider previous city administration actions regarding regularization. Also, a participant stated that we are concerned about our ownership issue day and night.

A key informant in Nifas silk lafto sub city stated

*The years 2011 and 2012 E.C, in particular, we saw the most large land invasions in our sub-city's history. This is due to the fact that the numbers of open spaces along the border have not been used by the government for the intended purpose; Political instability can be cited as a reason. For example, Sukeke Mariam and Sefra were invaded overnight by illegal settlements.*

A key informant in kolfekeraniyo sub city stated

*Land grabbing has become increasingly common, especially in recent years due to political instability in the country and gaps in government structure. If you look at our sub-city land management office report, in 2012 and 2013 alone, more than 1,500 square meters of land were invaded by religious institutions.*

## ***4.2 Contributing Factors for the Expansion of Informal Settlement in the Study Areas***

According to Durand (2006), informality is caused by the weakness in the formal structure, and he states that illegality in human settlements is mainly in line with the planning and construction norms and, more importantly, to tuner situations. In our country context there are several driving forces for the growth of informal settlements. Among the contributing factors for the growth of informal settlements in the study areas include corrupt bureaucracy, urban population growth, lack of affordable housing, and a poor land management system. Informal settlements exist in all parts of the city. These areas are characterized by rapid and unplanned development since the plots do not have boundaries, the land is not properly defined, and therefore the property cannot be registered in the owner's name.

### ***4.2.1 Socio-economic factors***

Socio-economic factors that more found to be influential in the expansion of informal settlement in the study area almost the majority of people who live in informal settlement in the study area were low income group they can't afford to buy land in legal way. They are mostly low-income people who actively participate in the informal sectors; they cannot afford rental housing because the price increases from time to time and forces them to search for a solution. Access to affordable houses is a current and growing problem all over Addis Ababa. Due to the un-

affordability of houses in the study area, people are forced to participate in the informal market to build informal houses in the expansion areas of Addis Ababa. The supply of housing does not match the demand of the population. Because of rural-urban migration, the government is unable to meet the ever-increasing demand. People choose their own solutions to provide a house for themselves.

A participant from in-depth interview said

*We can't even afford a house in Addis Abeba because, as you know, renting a house in Addis Abeba is incredibly expensive. We barely have enough money for our daily costs, let alone the rent. Some services, such as water and toilets, are restricted, and the owner does not want people with families; if you have one, you will pay a higher price and live in fear.*

One of the key-informants said

*Their income is too low to afford a permanent house in the formal market, and they are unable to open a savings account or borrow money from financial institutions because they do not have possessions registered in their name. Almost all informal settlers are self-employed, have no formal education, and rely on informal economic activities like street vending to support their families. Some people own small businesses near their homes. There are settlers who live as informal settlers and appear to be poor when they are not.*

A majority of participants who participated in group discussion confirmed that the land price in the informal market is somehow fair and that it's better than paying rent. They choose the informal market because the formal market is unrealistic and cannot afford this unrealistic price.

#### **4.2.2 Corrupt Bureaucracy**

As several studies have shown, informal settlements cannot be considered outside of the formal system. It is caused by defects in the formal structure. When the institutional structure of land management fails to fulfil social demands, informal settlements increase. Then people follow their own paths in settling.

Participants from focus group discussion stated that

*We are not "informal," as the government calls us, because we paid money for this land and worked with several brokers to find a better one. They already know we can't afford legal land. The Woreda officers are aware of the information and inform the brokers. We aren't as beneficial as the government thinks. Brokers and employees of the Woreda land administration office benefited the most. Their mutual benefit is obvious, yet we are continually worried about what may happen next.*

*A participant in-depth interview*

*Here, nothing is free. Through the network that the brokers build, we pay money to local government officials from the highest to the lowest levels. Nobody builds a house without interacting with the authorities, but we aren't dealing with them directly that is handled by our brokers.*

One of the key-informants notes that

*The majority of informal settlers in our sub-cities are a source of income for brokers and government officers through informal agreements. At the time of demolishing, these informal settlers lose their homes and money and make things worse for the government.*

Settler around *Alembank* near to *Mariyam* church they illegally purchased land from local farmers for housing purpose. A key informant *KolfeKeraniyo* sub city notes that *political reform and political unrest play a great role in the expansion of informal settlements in the peripheries of Addis Ababa. Farmers who live in the area use the political unrest as an advantage and seal farm land illegally. This political unrest also provides an opportunity for government officials to abuse their power.*

Key informants said

Currently, we are facing a big problem related to court suspension when we try to demolish informal settlements in our *Woreda*. Informal settlers already have court suspension, so we cannot evict the informal settlers' houses. Also, there is a problem with the court procedure where they only look at the owner's picture. They don't even want to check if it's real or a

forgery. Settlers make an informal agreement with the officer in the woreda who works in the land management office to prepare a forged document that appears to be the legal owner of the land, but actually it is not.

### **4.2.3 Poor land management**

In Ethiopia, land is owned by the government and it's not subject to sale, but people do sell land and buy it illegally. Land management is extremely inadequate in both sub-cities, despite the fact that land is not an ordinary asset and must be carefully managed because it plays such an important role in human settlement. The current land use and management structure, as well as regulations, are both factors to the problem rather than solutions. People who work in land management offices must also understand how to effectively manage urban land. The government's capacity to provide land for the urban population has been exceeded by the rapid horizontal growth of the urban area and the increase in urban population. The Coordination between different government sectors such as; land development and management, land bank and transfer, sub city code of enforcement office and sub city planning office was very poor and not able to overcome the improper land holding practice of informal settlers.

One of the key-informants said

*Informal settlers seek to occupy land on the outskirts due to a lack of follow-up and law enforcement. This is seen in our woreda. Informal settlements have expanded in size over time as a result of a failure to enforce law and order and take action against informal settlers. You can easily buy cheap land from local farmers and construct a house on it. The settler brings court suspension when the local authority requires the land and asks them to leave. Because they receive information from the Woreda land administration office, brokers and speculators play a significant part in these informal transactions.*

There are different contributing factors for the expansion of informal settlement in study area among this socioeconomic factor, urban population growth, corruption, poor urban land management system. As stated by Tendayi (2010) the cause for the development and expansion of informal settlement in kolfekerniyo, unaffordable land price for the poor limited capacity of city administration to deliver land for the poor and poor land management. According toUNCHS(1996), informal settlement has been widely employed as the coping strategy, in filing

the gap in the acute shortage of housing particularly in the cities of developing world. Majorities of informal settler in the study area participate in informal economic activities and they are low income group but as Denial (2006) mentioned in his study we cannot know the driving force for squatting whether its poverty driven or non because in kolfekeraniyo sub city there are people who live in informal settlement acting as poor but not poor. Rural to urban migration to find better job opportunity and life most of the time migrants come to the city without any income generating ideas.

#### **4.2.4 Urban population growth**

Informal settlement in the urban area caused by the migration from the rural areas, and high population growth, the first challenge for people who move to cities is finding a place to live; land and housing are therefore assuming new importance in the struggle for survival. The migrants to the cities generally arrive without income or skills and often continue to live on a level of poverty. As a result, squatting, street sleeping, slum, and overcrowding have produced new human situation in the rapidly growing cities United Nations, (1977).

A participant from in-depth interview said

*I came from ‘Gojam’, and my cousin told me that it would be better if I came to Addis Ababa because there are many job opportunities and life is great, but it was all a lie. I suffered a lot after living on the street for several months before getting a job as a daily laborer at ‘PiassaAtikltTera’ where one of my friends told me that I could buy land from a local farmer and build a house for a low cost.*

One of the key-informants said

*The growing population puts pressure on the government to give access to land and housing. The government has tried various solutions to address the housing crisis, but they all end up benefiting the wealthy. That is one way in which the housing crisis cannot be resolved. People have little choice except to build their homes informally. As you can see, their income is insufficient to cover the cost of renting in the city centre. It is the government's job to improve citizens' living standards.*

Housing supply does not meet population demand, and the government is unable to meet the ever-increasing need due to the increase in rural-urban migration and the ever-increasing numbers of home seekers have led to extensive land grabbing. The overall demographic trend indicates that urban populations will continue to rise, and housing demand will follow suit. The majority of participants felt that the long wait for a house is frustrating and that they have given up hope of ever getting a house legally in the city. Even if they were given the opportunity, they could not afford it. In the study area majority of informal settlers were migrated from rural area. High rates of overall population growth together with significant rural-urban migration have contributed to the rapid and unplanned expansion of low income settlements of the outskirts of many large cities, which has occurred without a concomitant expansion of public services and facilities UN Habitat (2006).

#### ***4.3 The main Actors involved in the expansion informal settlements***

In many developing countries, the major problem in housing the urban poor is usually not the construction of dwellings but rather the availability of land, the regulation and planning of its use. Therefore the reason for housing crisis in most developing countries is that an urban land market excludes the urban poor Habitat, (1983). In ADDIS AABABA land bought by lease is more expensive than land bought informally. Brokers determine the value of land most of the time, and those brokers are only concerned with their commission. Brokers' primary role is to connect buyers and sellers and provide plot information. Get information about the plots by using their informal network and establishing positive social interactions, which allows them to quickly obtain any information.

The *Woreda* and sub-city land administration officials are part of this informal network. Most of the time, *Denboch* have additional work, working as a guard at a construction site, which allows them to gather information. Brokers play an important role in the expansion of informal settlements in the study area, and they earn a lot of money compared to persons who work in other sectors. Land speculators have also contributed to the growth of informal settlements in the study area, as land is a source of profit and income for them.

The contribution of brokers in the expansion of informal settlement in the study area is high. During a focus group discussion participants mentioned that we cannot make it without brokers

because they have solid relationships with *Woreda* officials and may obtain information about open land in our *Woreda* for their own gain, and their relationships are based on the benefits they will receive.

Actors behind the expansion of informal settlement in the study area are brokers, land speculators, corrupt bureaucrats, urban poor and farmers who live around the city. People perceptions about land as a means of making profit play a great role in the expansion of informal settlement in the study area. The supply of land did not much the housing demand of people though people try their own way to get roof on their head

#### ***4.4 Measures taken to combat the expansion of informal settlement in the study area***

In ADDIS ABABA, the rapid expansion of informal settlement has become a serious urban planning and management problem. Different strategies were implemented to counter the spread of informal settlement in the study area and ADDISS ABABA in general. There are currently two approaches to informal settlement.

##### ***4.4.1 Demolition***

In Addis Ababa, informal settlements have been increased within the city boundary and different studies show that the number and size of informal settlements are increasing from time to time. Demolition and regularization has been a measure taken by the city administration for several years in response to informal settlement. At the *woreda* level, the city administration formed a team called DembeAskebariwoch, which was in charge of control informal settlements, illegal construction, and street vending.

Key informant from kolfekeraniyo sub city stated

*If we demolish ten informal houses today, you will find twenty new informal houses built in the morning. In both Woredas and at the city level, illegal houses have been demolished, but new houses will be replaced the next day.*

*In our Woreda, more than 80% of the informal houses had been demolished at least three times. If you demolish them there, they will look for open land elsewhere. As a result, it is preferable for the government to not only demolish the dwellings but also to find a long-term solution.*

*A participant from in-depth interviewsaid*

*My house has been demolished several times by DenbAskbariwoch, but I am working on it again and looking forward to tomorrow. If they keep demolishing, I'll have to find another place to rebuild. It will be especially challenging unless the government provides us with a long-term solution.*

In some ways, this response is effective, but not in others. It also encourages new informal settlements on open land. Corrupt bureaucrats gain access as a result of this response. Demolishing informal settlements without giving alternatives has never been a successful strategy, and it will continue so in the future. To be effective, "demolishing" must be followed by policies that address the housing demand for low individuals. If not, bulldozing the building will simply makes things worse.



Figure 4 Demolish Campaign near Suke Maryame.

Source: Photographs are taken by the author during the demolishing campaign by the city administration, 2013

#### **4.4.2 Regularization**

Regularization of informal settlement involves the process of legalization of tenure through titling and also upgrading the public services and job opportunities

(Fernandes,2011). The provision of tenure security is the major step in regularization of informal settlement which ensures dwellers of informal settlement that they cannot be evicted by administrative decision (Ramadhani, 2007).Informal settlements like most of the problems confronting people living in poverty in the urban centers of developing countries like Ethiopia are the outcome of failed policies, inappropriate regulatory frameworks and administrative procedures, informal land market and corruption. Each of these failures compounds the problems faced by urban communities and denies them the opportunity to optimize the benefits of urbanization. In order to control expansion of informal settlement in addisababa city administration implement deferent regulation at different time regulation number 1 in1992 and regulation number 2 in 2002E.C.

#### Regulation No1/ 1992 E.C

The regulation was aim to give recognition for informal settlement specifically and to treat all lands occupied through different means in general and don't have any legal title who occupied land illegally before 1996. The regulation states that all illegal settlement which are occupied after the proclamation no.47/67 should be treated in two ways. the first those lands and house occupied up to 1196 can be legalized if they are found in compliance with the master plan provided and that they fulfill some conditions indicated in the law. However some study show that this regulation fail to contain the expansion of illegal subdivision and informal settlement in the city.

#### Regulation No 2/2002 E.C

The second regulation issued by the city government in 2002E.C the primary objective of the second regulation was to give solutions for the informal settlement established before 1988.since regulation No one failed to properly address its sole objective. With the high temptation for informal settlement in the city it can be safe to say that most of the increase in illegal settlement after regulation no 1 is due to the misunderstanding of dwellers about the regulation. Play great role in the expansion of informal settlement.

Regulation No. 2 (2002) It was somewhat successful in controlling the expansion of informal settlements compared to regulation No. 1/1992, but failed in preventing the expansion of informal settlements, which is why directive No. 17 of 2006 E.C. was issued, with the objectives

of regularizing informal settlements prior to 1997 E.C and their house located at aerial map taken during 1997 and in conformity of with the master plan. Still the expansion of informal settlement even after the implementation of regulation No 2/2002 and directive No 17/2006.both the measure taken by the government in response to the expansion informal settlement in the study area were not successful and failed to achieve their objective.

Informal settlements in the study area are numerous and irregular in shape which have impact on urban development and planning and in other way settlers suffer from lack of security of tenure and formal basic infrastructure. In the study area different strategies were implemented to combat the expansion of periphery informal settlement. Demolition and regularization are the measures taken by the government to control the expansion of informal settlement. Both measures taken by the government have their own positive and negative impact and some cases successful and in some cases not.

Demolition of informal settlements without providing alternatives has ever been a viable approach, and it will continue to be so in the future. Regularizing informal settlement also increases the expansion of informal settlement in the study area due to the people's wrong perception of the law and both regulations No 1 and No 2 end up benefiting the rich not the low income group.

## ***Chapter Five***

### ***5. Conclusion and recommendation***

#### ***5.1 Conclusion***

The main objectives of the study were to assess the current situation of informal settlements by using both primary and secondary data in order to analyze the subject. In the expansion areas of Nifas silk lafito and Kolfekeraniyo sub cities the numbers of informal settlement increases from time to time. According to the finding behind the expansion of informal settlement unaffordable land and rent house price, political unrest and poor land management system were among the reasons. Urban Population growth also play great role in the expansion of informal settlement and contribute for unplanned and irregular horizontal expansion of the city.

Informal settlers in the study area suffer from inadequate living conditions like lack of access to basic service and poor housing condition. Current political situation also play great role in the expansion of informal settlement. Poverty is also among the factors in the expansion of informal settlements in the study area, but not all. There are people who act poor but are not actually poor. The findings indicate that the city administration took different measurements for reasons related to the expansion of informal settlements; forceful eviction/demolition and regularization. But both measurements did not work as expected. Since eviction and regularization did not bring any change as expected city administration must look back and learn from its past mistake and addressee the problem carefully.

The government also needs to look at its structure and take measures against corrupt officers who work with local brokers, land speculators and long bureaucratic procedures for acquiring land in a formal and legal manner. The increase in the number of informal settlement in the study area also associated with lack of organized data base system about open land, greenery area and the number of informal settlement and lack of appropriate and inclusive urban land policy in the sub city level.

## ***5.2 Recommendations***

- To minimize the expansion of informal settlement city administration should work on good governance, transparency and accountability.
- Access to formal housing finance and unsatisfactory building standards that were set without regard for low-income groups. As a result, the costs and benefits of laws that influence the urban land and housing market should be balanced; special attention should be paid to the low-income group; and regulations and standards that impede formal housing supply should be eliminated.
- Formulation and implementation of appropriate urban land policy which can promote the provision of adequate housing for all urban society.
- City administration must work on effective land registration systems which indicate the legal ownership of land.
- Eviction without other alternative for informal settler has impact over all urban development and play a great role in the expansion of informal settlement so government should work on other alternative in upgrading the lives of the urban poor.
- The city administration should learn from other countries' experiences and develop a system of formalized public engagement and inclusion of relevant urban players in the formulation, implementation, and monitoring of urban policies and initiatives.

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## Annex

### I. Interview guide for informal settlers

1. Can you tell me a little about your family background (like family size, marital status, source of income ...)?
2. How do you get this house/shelter, including the land? Probe: please explain the whole process you have passed to get it? Do you have any written document for the house?
3. Where did your family live before you came to the current house? Probe: please explain the situation briefly?
4. Why did you choose to settle informally? Why not formally? What are your reasons behind making this decision?
5. Does your household get/have access to all/most of the basic infrastructures? How?
6. Did you ask government bodies to make your house legal/formal? How did it go if yes? If no, why?
7. Do you think that this house is permanently your own? why?
8. What do you expect from the government regarding your informal house?
9. What do you think about the current situation of informal settlement in your area and in AA in general?
10. What additional reasons can you add for the current situation of informal settlement?
11. What should be done about informal settlement in your area and in Addis Ababa ? By whom?
12. I have finished with my questions. Thank you so much for your time. However, If you have any additional points to raise, any comment or recommendation, I am ready to take.

## **II: Interview guide for key informants**

1. How do you explain informal settlement in your sub city/wereda/area context? What is the situation looks like?
2. What do you think about the current status of informal settlement in your sub city/wereda/area ? Probe: can you tell me about its trend by comparing with the situation before 3-5 years? How common is the practice?
3. Which period was suitable for invasion of land in your sub city/wereda/area?
4. What are the reasons for the current situation of informal settlement? Why do people in your sub city/wereda/area settle informally?
5. Who are the actors involved in the informal settlement practice? What are their roles?
6. What are the measures taken by government to prevent informal settlements in your sub city/wereda/area, including your office?
7. Pleas point out the most successful and unsuccessful measures taken by the government, including your office?
8. What do you think about the fate of informal settlements in your sub city/wereda/area? Is there anything planned government for them?
9. What should be done to prevent informal settlement in the future? What should be done with those people who are currently settled informally?
10. I have finished with my questions. Thank you so much for your time. However, If you have any additional points to raise, any comment or recommendation, I am ready to take.

## **III: Focus Group Discussion guide questions**

- The context of informal settlement.
- The current situation/status of informal settlement, including the trend.
- Factors contributing for informal settlement in the areas and in Addis Ababa in general.

- The major actors involved in the informal settlement practice, including the changes across period and their roles.
- Measures taken by the government to prevent informal settlements, including the efficiency of the measures.
- How to deal with the currently available informal settlements.
- Recommendations for future actions associated with informal settlements.

#### IV: Observation checklist

- Basic Infrastructures.

##### 1 Electricity

- Private
- Public
- Unavailable

##### 2 Availability of water

- Pipe water
- Stream water
- Private owned small holes

##### 3. Road, main and off-rad structures

- Availability/access
- Quality/safety
- Street lights

##### 4. Telecommunication

- Access to wired telecommunications (phone)

- Network quality/access

#### 5. Availability of toilet

- Have their own toilet
- Communal toilet
- Public toilet
- No toilet but uses open space and neighbour's toilet

#### 6. Housing built material

- Wood and mud
- Masonry and cement
- Brick and cement material
- Wood and mud plastered by cement material
- Plastered by Plastic material only