

**Identification and Conservation of  
Sustainable Urban Heritage Landscapes:  
Developing a Heritage Sensitive Urban  
Planning Framework for Addis Ababa**

**BY**

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This is to certify that the thesis prepared by Matiyas Bekele Fantaye, entitled: *Identification and Conservation of Sustainable Urban Heritage Landscapes: Developing a Heritage Sensitive Urban Planning Framework for Addis Ababa*, and submitted in fulfillment of the requirements for the Degree of Master of Science (Conservation of Urban and Architectural Heritage) compiles with the regulations of the University and meets the accepted standards with respect to originality and quality.

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## Declaration

I declare that this thesis is a presentation of my original research work. Wherever contributions of others are involved, every effort is made to indicate this clearly, with due reference to the literature, and acknowledgment of collaborative research and discussions.

My thesis contains about 19,000 words, out of which about 12,000 constitute the main body excluding footnotes, bibliography and annexes.

**Matiyas Bekele Fantaye,**

**June 2017**  
**Addis Ababa**

## **Abstract**

### **Historic Urban Landscape Approach, Conservation Strategy, Modern Ethiopian Cities, Addis Ababa, Sustainable Urban Development, Densification**

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Conserving urban heritages has been challenging despite its higher significance to sustainable and equitable urban development. There have been a few established principles and procedures to guide architectural conservation, and yet it was only in 2011 that we found a recommendation for urban conservation on an international basis. The main objective of this research is to formulate strategies necessary for the sustainable development and management of landscapes of heritage significance to Ethiopian cities, particularly to Addis Ababa, based on the 2011 Recommended HUL Approach by UNESCO. The relevance of this research becomes stronger in the light of assessing the newly proposed structure plan of Addis Ababa in 2017, in which numerous high density redevelopment programs have been planned to undertake. The general strategy is a case study research to answer the questions how and why urban conservation can be effectively implemented in Addis Ababa with intensive investigations in to literature, relevant policy documents, historical sources and interviews. Features of the ideal Ethiopian Historic landscapes with their traditional mechanism of conservation have been identified in this study. The critical challenges and opportunities of urban conservation for Addis Ababa have also been dealt in depth for the sake of integrating the practice in to the urban planning and design framework. Finally, based on these findings, it has been tried to recommend strategies for effectively managing Addis Ababa's heritage landscapes within the current Building Height Regulation Zoning system.

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### **List of Acronyms**

AACPPPO: Addis Ababa City Planning Project Office

ARCCH: Authority for Research and Conservation of Cultural Heritage

AATTCB: Addis Ababa Tourism and Culture Bureau

BHR: Building height Regulation

CIA: Cultural Impact Assessment

CSA: Central Statistical Agency

EIA: Environmental Impact Assessment

FAR: Floor Area Ratio

LDP: Local Development Plan

HUL: Historic Urban Landscape

SUHL: Sustainable Urban Heritage Landscape

SP: Structure Plan (Urban)

TOR: Term of reference

ORAAMP: Office for the Revision of Addis Ababa Master Plan

## Definition of Local Terms

**Arada:** city centers named in Ankober, Dessie and Addis Ababa, meaning down town because of their original function as a hub of entertainment

**Equb:** an occasionally organized social event for the purpose of revolving fund raising

**Dabir:** a Cathedral, literally meaning a hill, due to the custom in Ethiopia for establishing churches over a raised platform, and followed by a Sunday market and a settlement gradually forming the Ethiopian traditional town, which is also the now Historic Urban Landscape (HUL); at a major city level, it is called **Be'ata**.

**Idir:** an organization established by a community for social activities (aid) limited to the specific village or **Mender**

**Ketema:** a town or a city in Ethiopia with a permanent settlement of population above 2,000 people.

**Kebele:** an administrative unit of a small region usually having a neighborhood of 30 to 50 households (*Got*)

**Safar:** a part of a town or city usually identified by the name of the originator or a cathedral, or a unit composed of several villages.

**Hidemo:** Vernacular houses made of wood and stone structure in Mekelle

## **Introduction**

### **Background**

Conserving urban heritages has been challenging despite their higher significance to sustainable and equitable urban development. There are well established principles and procedures developed in the international arena to guide the conservation and restoration of architectural heritages. When it comes to the conservation of urban heritages however, the recently recommended approach was suggested in 2011 by UNESCO-the Historic Urban Landscape Approach (hence forward the HUL approach), and has even been found in some respects problematic to apply it to developing countries.

In Ethiopia, especially in Addis Ababa, the concept of urban heritage conservation itself is very new. The problem is being escalated by the implementation of rapid urban renewal and area cleansing (demolishing) projects.

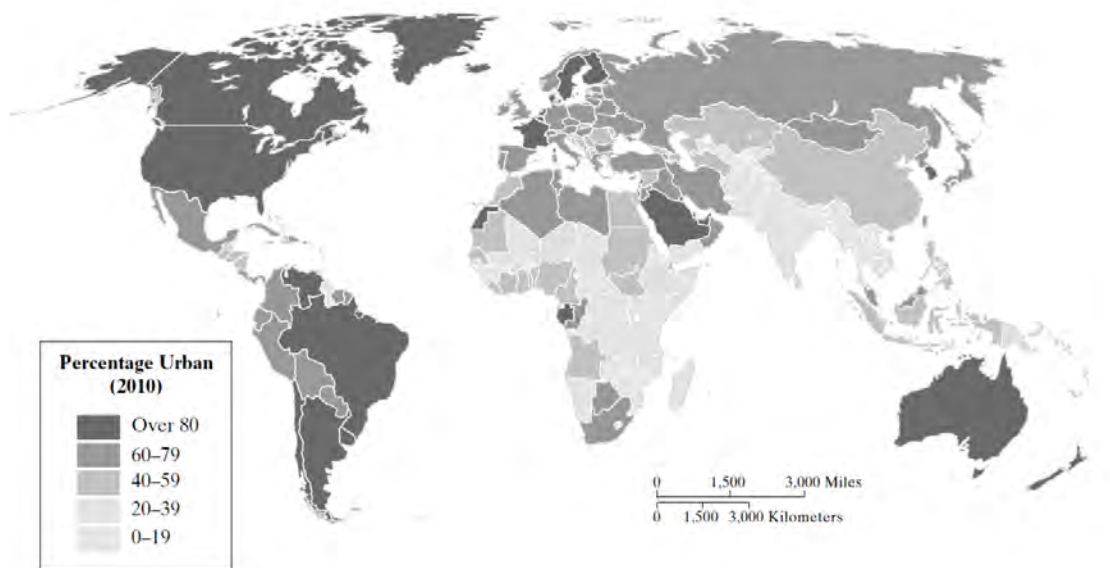
This necessitates not only clarifying the concept for contextualization, but also introducing appropriate methodology to identify urban heritages beyond the notion of the usual “historic centers” so as to integrating the process in to the existing framework of urban design and planning.

The relevance of this research becomes stronger in the light of assessing the newly proposed structure plan of Addis Ababa, in which numerous high density development programs are planned to be implemented.

### **Research Problem**

As is generally the case with most developing countries (John D. Kasarda 2012), Addis Ababa and other similar modern cities in Ethiopia are places which have suffered from a rapid trend of urbanization and impacts of globalization (Renaud 2000). This trend is destroying not only many of the cities’ architectural heritages and ensembles, but also changing their authentic cultural and historic

urban landscapes. They have lost their true integrity with the undesired consequences of socio-economic fragmentation (Zancheti and Loretto 2012; Konold 2007). It is of course expected to face a major threat to actualize the country's sustainable development goals if this kind of development is allowed to continue, since also the trends in the capital are influencing other cities and towns of the country.



**Figure 0-1.1 World Urbanization, from Paul Knox 2005**

While the above figure implies that less urbanized countries are mostly underdeveloped, it is also predicted by the UN that most developing countries will rapidly be urbanized leading to a situation difficult to control and resulting in social injustice and destructions of cultural heritages.

Most Ethiopian cities cannot be excluded from this very fact. With the demolition of the historic quarter of *Kebele* 14 in Mekelle in the year 2012, the incident can be taken as a mark for the beginning of a dangerous trend of urban developments in Ethiopia. Many historically significant *Hidemo* houses made of wood and stone structures with their old quarters were cleansed from the area in order to construct a modern mall (Okazaki 2009).

The same is more or less happening to Addis Ababa. Addis Ababa is a city that has suffered from a rapid state of urbanization and impacts of globalization (Renaud 2000). Stretching over an area of 54,000 hectares of land and with a

population of over 4 million people<sup>1</sup>, Addis Ababa is a city with an historic urban landscape of more than 130 years old which has not been very well studied, while it is urgently necessary and recommendable to do the same (Guidebook 2016; Oers, n.d.; Jokilehito 2013).

The study to contextualize and locally adapt the Historic Urban Landscape Approach for Addis Ababa is very important as there will soon be many Local Development Plans<sup>2</sup> with the intention of urban renewal<sup>3</sup>/cleansing projects, proposed by the structure plan (AACPPPO 2016)<sup>4</sup>.

This approach (i.e. the HUL) has been recently attempted for its application to China (Oers 2012), and this study has considered some aspects of the challenges observed there as a lesson to do the same for Ethiopia ( Addis Ababa).

### **Objectives**

Generally, under this study is achieved to formulate strategies to effectively manage and sustainably develop the heritage landscapes of Addis Ababa by primarily taking the example of the 2011 Recommendation of UNESCO.

The Specific objectives met here are:

1. The concept of the HUL has been redefined in the Ethiopian context, and its ideal features have also been identified in a way that it would be understandable and manageable.

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<sup>1</sup> The currently estimated population of Addis Ababa is controversial; figures provided officially by the Ethiopian Statistics Agency are not supported by other researches and the assumed forecast.

<sup>2</sup> Local (Area) Development Plan (LDP) is, in Ethiopia, a local area planning system under an Urban Plan (now a Structure Plan as opposed to the previous Master Plan) composed of urban designs and other socio-economic programs, which is similar to Small Area Plans of the United States of America.

<sup>3</sup> Urban Renewal Plans (also a type of LDP), in the Ethiopian context, mostly comprises projects of demolishing and cleansing old structures, and mass relocation of the community; the term has now started to be terrifying to many ears of inhabitants living in areas proposed for such projects. An unpublished draft document from AACPPPO reveals most Urban Renewal LDPs has never been successfully implemented by the concerned authorities.

<sup>4</sup> Most AACPPPO documents are not yet published.

2. An intensive case study has been conducted to identify the challenges and opportunities for applying the approach in Addis Ababa so as to integrate the practice of conservation in to the urban planning and design framework of the city.
3. A generalization and recommendations have been proposed in order to strategically intervene in to the current Building Height Regulation Zoning system with the addition of some remarkable points.

### **Research Questions**

Below are the research questions that needed to be answered in order to meet the specific objectives of the case study. These case study questions were justifiably generated based on deriving units of analysis from the 2011 Recommendation.

How is it possible to identify urban heritages?

And how effectively is it related to its appropriate conservation mechanism?

How relevant and significant is to consider a landscape approach for urban conservation methodology?

And how is it possible to apply the 2011 UNESCO's Recommendation in the Ethiopian Context?

How is it possible to identify particular historic and cultural landscapes in the Ethiopian context?

And what does a theoretically reconstructed model of a typical HUL in the context of Addis Ababa would look like and help understand and manage to identify urban heritage?

What challenges and opportunities are for the conservation of urban heritages in Addis Ababa?

How can urban development and conservation be harmonized in Addis Ababa from the sustainability stand point of view?

What options are there to strategically intervene in to the existing urban planning framework?

What ways are there to engage the communities in urban conservation?

Which key stakeholders are to play the role of conservation of urban heritages in the Addis Ababa context?

What recommendations can be developed for the urgent situation of the city?

### **Methodology and Organization**

Research Strategy: the general methodology that has been employed in this research is a case study strategy. Strong qualitative aspects have been considered to reach a generalization and some quantitative analysis has also been used to get good insights. And this is basically a theory-building type of case study. The Recommended HUL approach (a generalization) has been strategically analyzed and adapted (a particularization) so as to produce a suitable recommendation for the Addis Ababa context (modification to generalization), which is also a process of constructing a kind of some new theory<sup>5</sup>.

This modification process to the existing generalization, i.e. the local adaptation of the HUL approach, has yielded a modified theory of *Sustainable Heritage Landscape Management Strategy*, as will be discussed in chapter 4 and 5, while also helping recommending a *Heritage sensitive Urban Planning Framework suitable for Addis Ababa*.

Sources: many types of data have been analyzed and consulted including international recommendations and charters and local policy documents. The Book of Aksum and other documents of historical significance have been

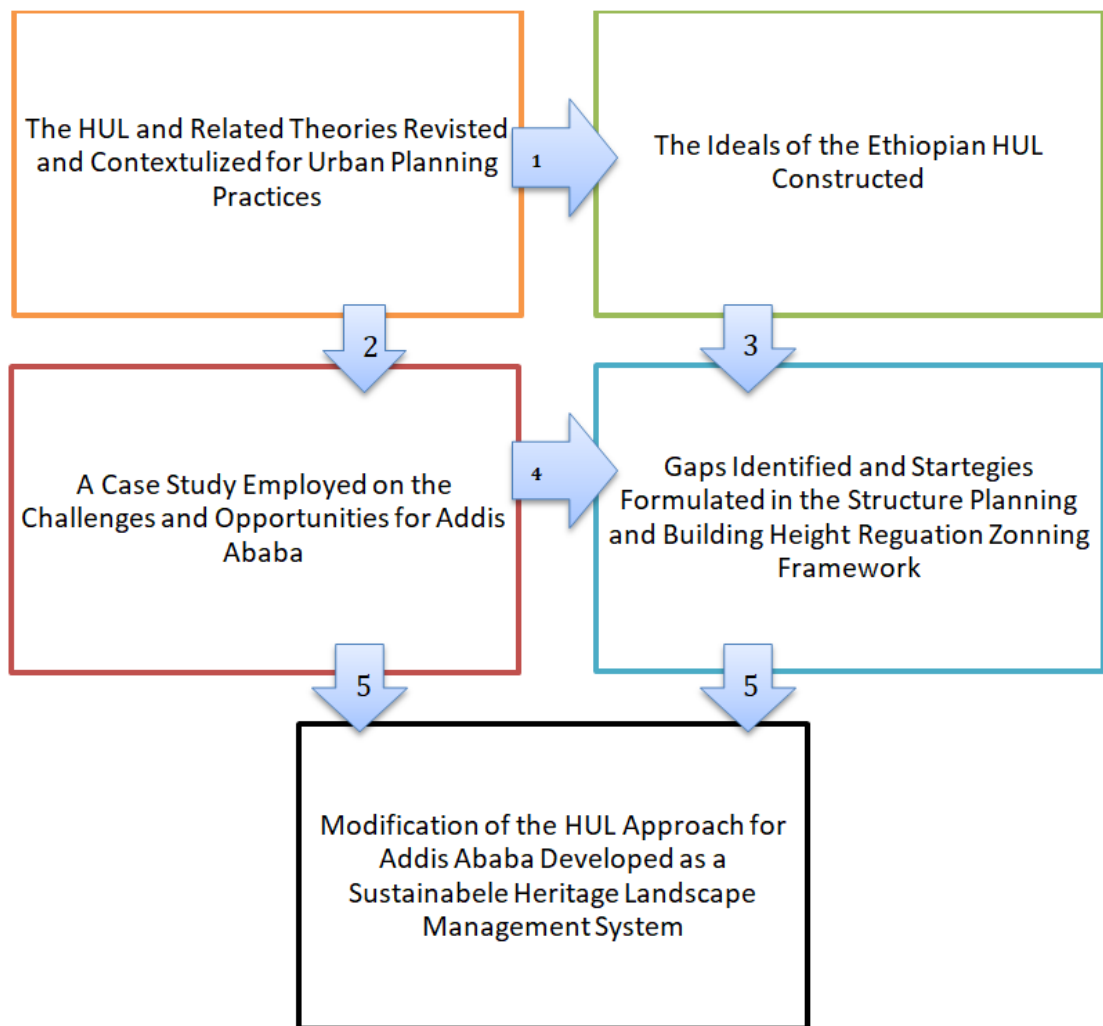
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<sup>5</sup> For this kind of argument in case study research designs, see John Gerring 2007; and Robert K.Yin 2003 for example.

consulted for the sake of making generalization on the traditional Ethiopian concept of conservation, and this might be the first in its kind. The newly proposed Structure Plan of Addis Ababa has been much of the input of the case study. Its unpublished documents on Heritage and Tourism, Landscape, and Building Height Regulation have been given emphasis based their relevance to the topic of this research.

Analysis: pattern matching and triangulation are the most important techniques in case study. Findings and generalization based on literature and contextual reviews have been made and correlated to the findings from the particular case study on Addis Ababa. A gap was identified with in the methodological perspectives whose strategic assessment led to the conclusions on how to reorient the new Structure Plan and its essential element of the Building Height Regulation. Focus group discussions with semi structured interviews have been conducted to find further materials and opinions and to make a triangulation. The units of analysis of the case study are derived based on the general framework of the Recommended HUL approach; this was basically a landscape approach that has put into consideration the new transition in urban planning, development and management from its technicality in process to politico-cultural development, hence basically implying the three issues described as the specific objectives of this research.

Research Flow: defining and redefining the concept of urban heritage conservation with the related shifts of paradigm was the first step which led to a finding on the ideals of the Ethiopian Historic and Cultural Landscapes. This was analyzed in the case study on the challenges and opportunities of conserving and managing the HULs of Addis Ababa. Further analysis on findings made possible to propose a strategic recommendation in the Building Height Regulation zoning system.



**Figure 0-2: Research Flow Diagram of the Case Study**

Arrows 1 and 2 imply that the HUL and related theories are the units of analysis for the contextual and case studies, while arrows 3 and 4 imply what was used as a criteria to interpret findings and recommend a contextual solution. Arrows 5 indicate how the contextualized version of the HUL Approach becomes a Sustainable Heritage Landscape Management System due to the particularity of situations in Addis Ababa.

## **Organization**

This report is organized in three parts and five main chapters. The first part for the literature and contextual reviews has categorized two chapters for clarifying the concepts of planning and conservation with findings important for undertaking the case study on Addis Ababa (i.e. chapter three of part two). Part three has categorized two chapters for generalization of results and proposing recommendation. Structuring of this report has been done in a way each section shows finding and arguments of the thesis with logical sequence.<sup>6</sup>

## **Scope and Limitation**

The case study has focused on contextualizing the HUL approach for Addis Ababa, implying an intensive study on past and current traditions, challenges and opportunities, in which the results have been also strategically analyzed for developing a landscape management system. Identification and conservation of urban heritage means a question for tools for effective management with regard to the existing critical situation of Addis Ababa.

This thesis is basically limited to a work plan of a semester span of time; however, it has wisely depended on many inputs from previous term papers conducted for this master's program, and the past work experience of the student in the Addis Ababa City Planning Project Office. It's achieved also to narrow down focus on only significant aspects of the management system.

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<sup>6</sup> See for example Turabian 2007 for this kind of discussion.

## **Part I: Literature and Contextual Reviews**

### **1. Urban Heritage as an Historic Urban Landscape: Paradigm Shift in Urban Planning and the New Challenges**

Under this section, we will see the continuing demand of cities for emphasizing on culture and on the landscape modified by this very culture over a long process. While this trend is an evidence of the shift of paradigm in every aspect of urban planning, it is also an indicator of the appropriate kind of methodology and intervention required for urban heritage conservation as an integral part of the overall framework. This trend is on diverging from the traditional theoretical model of architecture to geography, where the study of cultural landscape can yield inclusive, participatory and sustainable methods. Still, this will be to some extent a challenge to implement in developing countries that are passing through the 'Chinese Model of Globalization'.

#### **1.1. Urban Landscape Design and Urban Conservation as the Tools of Sustainable Urban Development**

The reintroduction of both urban design (particularly landscape design) and urban conservation as a strategic solution to solve the problems of socio-cultural, economic and environmental ones has been effected since the 1960s, where rapid measures necessitated for combating the impact of the Second World War in Europe also caused in turn crisis that demanded other interventions. To Knox and McCarthy (2005), this kind of trend in planning, and by extension, designing has been described as a *Crisis-Response-Crisis* trend, while for others, the problem rooted deep in the realms of political ideology, spreading communism in eastern Europe (LeGates and Stout 2000)

The then compacted structures of Europe lacking sanitation, green areas and other public amenities urgently required lots of programs for gentrification and renewals, whose implementation though sometimes created higher living expenses.

While this new trend in the 1960s paved the way for developing many concepts of urban and landscape design such as sensitivity to water and transportation for the sake of environmental conservation, it has also showed that sustainability can never be ensured without the involvement of community or culture. This also meant the triad pillars of sustainable development, society, environment and economy in the urban setting, needed a new instrument of management and planning(Fusco Girard 2013).

The proposed instrument was to avoid the older blue print type master plans and divide the urban planning process in two stages<sup>7</sup>, i.e. urban structure planning and local area planning; while in the former is practiced the decision making process on the overall man-made and natural urban structures, the later gives opportunities to assess endogenic potentials (Suzanne and Walter 2013). Now, here has been made the particular place for enjoying detail urban and landscape design practices. Here is also the particular place for approaching the community and making the planning environment more participatory than the rest.<sup>8</sup>

It is also here that the full realization of sustainable development can be ensured with the understanding and expression of the culture and identity of the community in its full representation to the rest part of development (Guidebook 2016).

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<sup>7</sup> It should be noted here that there are other planning families that consider more than two levels of planning which are required before reaching specific area action planning.

<sup>8</sup> This is why, when a new-settlement urban design projects are implemented, it becomes difficult to satisfy social and or economic needs, at least in the long run as little considerations of cultural aspects can more likely cause it.

Even though the first urban conservation projects took place in France in 1962 (Rodwell 2007), the lesson could not suffice to repeat the same to other countries with success by integrating all to sustainability.

This has led, though not very much acknowledged<sup>9</sup>, to a major transition both in perspective and practice to view urban planning and design in the model of cultural landscape and geography, rather than in the old-fashioned model of architecture where city had been interpreted as a physical and aesthetical entity with little consideration to dynamicity and cultural conservation (Bala 2013).<sup>10</sup>

Approaching urban heritages in conservation then emanates from this very shift in theoretical models from architecture to cultural geography, in the same manner also with the other fields of urban planning and design that are being more and more stuck to the landscape approach. The development of integration of the concept with cultural landscape (Zimmermann et al. 2007) as an approach of intervention is discussed in the following section.

## **1.2. Integrating the Concepts of Urban Heritage Conservation and Urbanism through the HUL Approach**

Precisely defining and understanding the concept of urban heritage has never been simple compared to architectural and other similar heritage types. As was similar to the development of architectural conservation concepts, the challenges were tried to be tackled by both their philosophical and methodological aspects

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<sup>9</sup> It was described in the previous section about the shift in the theoretical models of urban planning from the analogical approach to the functional ones. The consequent *structure follows function* approach was the result of the ever growing trend of urban dynamicity that couldn't be managed with the traditional-medieval analogical approach that could simply see urban design-planning as metaphors or strong geometric layouts without much concern to gradual changes and their management. Unfortunately most of our urban heritages had their root in this kind of urban development that eventually led to decay at least in the modern sense. See section 1.3 for the related challenge posed on the conservation of this kind of urban heritage as historic urban landscapes.

<sup>10</sup> This kind of urban development was appropriate to the medieval times where urban structures were very few in type and static for a long time.

(ICCROM 2009). The concept however has continued to be tough as urban heritage is both tangible and intangible, physical and socio-economic, cultural and political, and after all because also it touches such cases like the ones still living today with many variants (UNESCO 2011; Zancheti and Loretto 2012; Orbasli 2000; ICCROM 2009).

The following concepts and notion can clarify the elements embedded in the general theories of urban planning and conservation; Definition of Relevant Concepts that are persistent to this study are basically in the frame work of UNESCO's convention (<http://whc.unesco.org/en/culturallandscape>), with further contextual adaptation for the purpose of this research. Additional references are given when necessary.

A **cultural landscape** is a geographic area that has been modified for a long time through the intervention of social and natural factors, eventually resulted in a unique culture<sup>11</sup>. This can be due to the process of intentional development or organic evolution, or can even be a natural area protected and respected for a certain mythical significance. It is significant for any type of sustainable development even when not authentic, as long as it is in its most integrity and wisely integrated to modern changes. This research focuses on only the cultural urban landscape type that through time has emerged as **historic urban landscapes in the modern**<sup>12</sup> **Ethiopian cities of the recent 200 years span of time.**

**Urbanism** is the characteristics of interaction of urban dwellers with the built environment. It has many genres such as landscape urbanism, which is mainly focused in this research. This theory of **landscape urbanism** asserts that the best way to organize cities is through the design of

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<sup>11</sup> This definition of cultural landscape was for the first time formulated by the German geographer Carl Saucer in 1925. 'The cultural landscape is fashioned from a natural landscape by a culture group. Culture is the agent, the natural area is the medium, and the cultural landscape is the result. Under the influence of a given culture, itself changing through time, the landscape undergoes development, passing through phases, and probably reaching ultimately the end of its cycle of development. With the introduction of a different—that is, alien—culture, a rejuvenation of the cultural landscape sets in, or a new landscape is superimposed on the remnants of an older one.' (Anschuetz, Wilshusen, and Scheick 2001)

<sup>12</sup> *Modern* unless specially described would mean in this study a period in Ethiopian history that started in 1854 with the coming of Emperor Tewodros.

landscapes rather than the design of buildings(Charles Waldheim 2006). It emphasizes that a city is just an urban landscape to be closely dealt for social, environmental and economic purposes, or as **sustainable urbanism**(Haas 2012). On the other hand, the theory of **new urbanism** suggests that landscape urbanism can be a possible cause for green sprawls and loosely networked city unless high density is considered. The development of a compact city through transit oriented development (TOD)(Marshall 2005), and other means of enhancement for walkability (Tom Turner 1996) are recommended in this theory. These two conflicting theories of urbanism (Gandy 2015) are made reconciled in this research through developing the concept of cultural landscape as a new concept of Sustainable Urban Heritage Landscape ( discussed in part three).

**Sustainable Urban Heritage Landscape** is a term coined in this research for the purpose of identifying, conserving and sustainably developing Ethiopian urban heritage sites with origins of the modern era. In a time where the historic urban landscapes of most developing countries are under severe slumization or being demolished, sustainable regeneration is here proposed to be possibly undertaken through systematic identification of important layers for the purposes of justified interventions.

**Landscape Architecture** in this research can be described as an activity involving all sorts of interventions such as landscape designing, planning and conservation of soft and hardscapes harmoniously (Rogers 2001). Its first notion must have had beginnings in the activities of urban landscaping where inadequacy of green areas and pollution in the modern era were tried to be eliminated. Here however only the accentuation of the natural and cultural elements of landscape (Charles Waldheim 2006) are important.

**Urban Design** involves, in its broader scope, all the essential urban elements such as buildings, streets and open and green spaces. However, it is stressed here that the landscape approach in urban design is the best way as is the case with urban heritage conservation (see urbanism above for comparison with landscape urbanism and the other genres).

**Heritage Sensitive Urban Planning/Design** is a concept developed in this research for the sake of formulation of suitable urban design practice in the modern cities of Ethiopia; by integrating the concepts of urban landscape design with urban conservation, which is also the local adaptation of the HUL Approach in the specified context.

**Urban Geography** is the study of intra city system and inter-city system(Knox and McCarthy 2005; Knox 2011); here is stressed from the point of view of urbanization trend, and its impact on culture and human behavior (Pacione 2005). For further remarks of cultural geography in the urban setting, see chapter 2.

### **1.3. Assessing the HUL Approach in the Context of Developing Countries**

#### **1.3.1. The Development and Methodology of the HUL Approach**

##### **The Development**

According to the Venice charter of 1954, urban heritage was just a site of heritage significance surrounding monuments or heritage ensembles. The 1976 UNESCO's definition place the concept somewhere located around the totality of the coherent whole "whose balance and specific nature depend on the fusion of the parts of which it is composed and which include human activities as much as the buildings, the spatial organization and the surroundings(UNESCO 2011)."

A decade later, it was made possible with the 1987 Washington Charter to reach consensus on integrating the heritage conservation and management process in the urban planning framework (ICOMOS 1987). This charter warns the development of industrialization as damage to any kind of urban area and society, propose a systematic approach that is participatory and flexible to local adaptation.

Three decades later, in 2011, when UNESCO recommended a landscape approach based on the 1987's charter, it was still almost with the same emphasis on local adaptability.

##### **The Methodology of HUL**

The methodology underlines a general landscape approach as flexible as possible; UNESCO defines the concept as follows:

"The historic urban landscape is the urban area understood as the result of a historic layering of cultural and natural values, extending beyond the notion of "historic center" or "ensemble" to include the broader urban context and its geographical setting."(UNESCO 2011)

This technical recommendation then asserts "...an integrated approach allowing conservation practice to be part of distinctive and successful urban design, and

development should also explore innovative technical and planning practices applicable to historic settings....” And this also meant a need to develop tools and methodology required to effectively address the interests of communities and localities.

“All levels of government – local, national/federal, regional – should be aware of their responsibility and contribute to the definition, development, implementation and assessment of urban heritage conservation....”(UNESCO 2011, article 28)

In article 32 of the same report was explained the need for those technical tools as an instrument of protecting the authentic integrity of urban heritage, while allowing the recognition of cultural significance and diversity with the similar emphasis on enhancing the urban quality of the livable environment. Financially, this was anticipated to be achieved through the building of capacities and support innovative income- generating development rooted in tradition.

### **1.3.2. The HUL Approach and the Challenges for Developing Countries**

The past half century has shown the importance of urban heritage conservation to the public policy sector as a response to preserve shared values of numerous significances. However, “the shift from an emphasis on architectural monuments primarily towards a broader recognition of the importance of the built environment as a whole and of the role of social, economic and cultural processes in the conservation of urban values, matched by a drive to adapt the existing policies and to create new tools to address this vision, has not yet reached its full potential.”<sup>13</sup>

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<sup>13</sup> Article 4 of the 2011 UNESCO Recommendation

The above statement is true especially for most developing countries; it also signifies two main challenges of the recommended methodology:

- (1) preservation of shared values, and the challenges for identification
- (2) A broader recognition of environments, which are analyzed as follows.

### ***Preservation of Shared Values and the Challenges for Identification***

Urban heritage is a set of significances collectively identified and accepted based on various and different values shared by stakeholders, especially of the community. While academics and historians interpret heritage as an asset whose value can be identified as documents of history and art including educational significances to coming generations (WHS-27 2010), to the inhabitants of a certain region, on the other hand, only the memorable part set on that cultural landscape could be considered as most valuable (Maus 2015); to archaeologists and conservationists, only the authentic and preserved value of the heritage aspect becomes of higher significance<sup>14</sup> (Jokilehto 1999).

While this is the problem with the definition aspect, alleviating it through communication and community involvement<sup>15</sup> will not be simple for developing countries where planning paradigm have not shifted from a technical to politico-cultural process (Oers 2012).

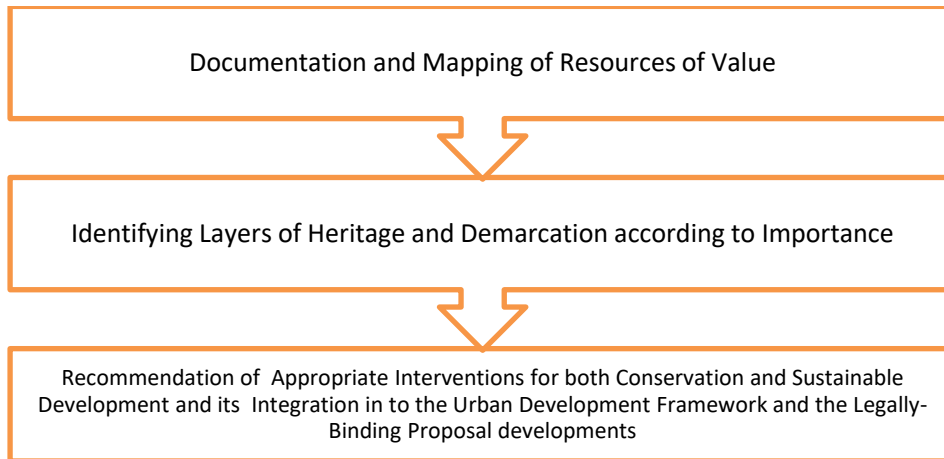
Attempts are but few tried only with regard to its application, as the subject is new. Application is being mostly tried at level of conceptual clarification. One

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<sup>14</sup> This type of debate on the significance of heritage value was frequent in the 1830s France, where the Stylistic Restoration movement led by Viollet-le-Duc compromised on the authenticity aspect of historic buildings that were under restoration for socio-economic purposes (in the case of the beautification of Paris, for example) and or for the sake of sparing them from the total destruction of eventual decay. That time it was partly due to lacking appropriate methodologies but there has always been a tendency of architects and designers to do something new still to the present where the construction of a new bridge at the famous cultural landscape area in Germany has caused the cancellation of the same from the World Heritage List (<http://whc.unesco.org/en/culturallandscape>).

<sup>15</sup> Civic engagement is to be a severe challenge in the unstable socio-political situation of developing countries where the gap between the poor and the rich is widening, and an escalating corruption making the public-private coordination fragile.

method can be to introduce the concept through the usual steps of participatory planning activities that aims to involve the community for approval of already proposed plans (Veldpaus and Roders 2013). This might be attempted with inserting new professional ideas in the existing urban planning and design framework, as seen in the following figure.



**Figure 1-1: Critical Steps of Adapting the HUL Concept, after Veldpaus and Roders 2013**

***Broader recognition of environments and the challenge for identifying a particular landscape in context***

Landscape is a dynamic and recognizable environment “which is more than the sum total of the individual entities that makes it” (Antrop, 1997, cited in Bala 2013). In other words, just the summation of individual units of interaction with landscape would not give the true reflection of a cultural landscape without the study of the whole community in its entirety and history (Bogdani-Czepita and Kultury. 1993; Rogers 2001; Shinde 2011; Knox 2011). While broadly recognizing cultural environments pave the way for further identification of diversified heritage values, it’s however demanding for additional tools and strategies. It necessitates different mechanisms for the identification of many types of particular landscapes.

A landscape approach is a specific kind of strategy to be formulated for a particular landscape. It requires an intensive study of the particular area in question, especially of its landscape history for the purposes of intervention accordingly, which makes it challenging for most developing countries lacking

the capacity or the preparedness and commitment due to several reasons, one among being the impacts of globalization, a case especially in China.

### **The New Challenges of Globalization for Developing Countries**

Attempted cases for applying the landscape approach in China for example showed that the terminology itself was problematic. On the other hand, the obsession of the Chinese government on modernization and westernization has since been a threat not only to heritage conservation but also a cause for community dissatisfaction, social injustice and environmental degradation and pollution (Oers 2012). Possibly also the same danger is on the way to Africa due to the strong of influence of China on many African countries including Ethiopia. This trend of dangerous globalization in developing countries, as can be inferred from the above case, has characteristics of a rush attempt of copying of ‘western’ living style. This has even been being done without ensuring affordability and fair distribution of resources to inhabitants with a backward urban planning system lacking the strengths of western politico-cultural base.

It is in fact in the aim of poverty reduction that most developing countries let rapid urbanization and undertake gentrifications inside the older cores of cities. This process, however, has in fact proved to be never sustainable in international experience. In addition to the creation of burden and dissatisfaction to the communities that are in immediate contact, economic returns of the projects are also uncertain, and even feared to the level of economic collapse in the case of China in 2030<sup>16</sup>. This is why currently being advocated that ‘culture must be at the heart of sustainable development’ (Hosagrahar 2016), and why urban heritage conservation must lead it strategically (Bank 2012).

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<sup>16</sup> CNN has frequently reported on the critical situations of China in terms of excessive and yet unaffordable housing development and severe impacts of pollution, sharing also the reports of the IMF on possible financial crisis like that happened in USA in 2008.

## Summary and Conclusion

Urban conservation is not just an extension of the architectural conservation activities. It is possible and appropriate to extend the conservation of an architectural heritage to a wider scale including appropriate intervention to the surrounding site to the extent that making new regulations for the area. Still, this action can be devoid of the intangible elements of the cultural landscape necessary to sustain the area with the integrity of its authentic layers of significances.

Urban heritage, hence, is an historic and cultural landscape composed of tangible and intangible, physical and socio-economic assets whose identification and delineation for conservation purposes requires a broader methodology of a landscape approach in a cultural urban geographic context.

This kind of approach can be well understood and further developed in the integrated concepts of ecological and cultural landscape; however, concerns on landscape and green areas can simply be for aesthetical reasons in the usual trend of architecture and design; this is usually done through cleansing of areas including old-existed structures without an in-depth consideration to environmental and cultural impact assessments. In the ecological sense however, all possible measures to avoid pollution, energy inefficiency and resource degradation is maintained through the conservation of natural and cultural heritages and other resources like social capital, traditional technologies and the like.

In this regard, the HUL approach is very important and relevant to the protection and sustainable development of all the above assets; its adaptation and application to developing countries, however, remain problematic in two major ways: challenges according to latest shift of paradigm of urban planning, and rapid rate of globalization. While the first challenge situates itself in capacity building problem, the second is due to awareness, recognition and adaptation of the concept of heritage conservation on the broader urban level.

For this reason, the next chapter is devoted to showing the principles of identifying features of the Ethiopian HUL in a way that its management may be easier for professionals as well as the concerned authorities.

## **2. Ideals of the Ethiopian Historic Urban Landscape: Findings in the History of Urban Formation and Traditional Conservation**

Identifying the peculiar cultural and historic urban landscapes of Ethiopia is significant to answer the questions what exactly to conserve, and how to effectively manage. Here is explained, generalized and approximated an ideal type of heritage landscape with prominent and easily identifiable features for Ethiopia, with two major categories: Historic Quarter Heritage Landscapes (Aksum, Lalibela, Harar, and Gondar), and *Safar*-based Heritage Landscapes (Addis Ababa, Ankober, Mekelle, Adwa, Jima, Debra Berhan, etc.), with a sub-category of Historic Route Landscapes (for Addis Ababa and Dire Dawa, and also for Adwa)

### **2.1. The Ethiopian Historic Urban Landscapes: Establishment and Development Trends**

Both invisible landscapes (Fleming 1998) and visible landscapes are the interwoven features of the historic urban landscapes of Ethiopia; however, rather than approaching them separately, for the sake of manageability and generalization to theories with significance to urban planning and design, only the identifiable features of the visible ones with the incorporation of its long history is to be pursued as a model in this research. Here are identified two types of Ideal Heritage Landscapes, and one is more relevant to the conservation of the modern urban heritages; it is the *Safar*-based Heritage Landscapes that will be emphasized for the purpose of this research.

## Historic Quarter Heritage Landscapes

Historic Quarter Heritage Landscapes are prevalent mostly in cities founded in ancient and medieval Ethiopia including Axum, Lalibela, Harar and Gondar. While it's believed that once existed many cities of such kind, only few survived today due to their legacy as cultural or political capital cities<sup>17</sup>. This must have given them a kind of recognition, and formal protection from the state since the 15<sup>th</sup> century, as we will see it later.

Historic Quarter Heritage Landscapes have since been preserved formally and informally by the surrounding communities, though not according to scientific standards; and hence the major threat today to these areas would be mainly tourism and the related urbanization<sup>18</sup>. Hence emphasis is not given to these heritage landscapes in this research.

## Safar-based Heritage Landscapes

The urban formation and development trend in Ethiopia can be viewed as the process of agglomeration of many Safars (Okazaki 2009, Ahmed Zekaria, Bahru Zewde 1987).

Further understanding on the etymologies and terminologies of *Safar*, *Ketema*, *Mender*, *Dabir* and *Amba* can help explain the Ethiopian urban history for this study. The term *Safar* has a root in the verb *Safara* (*Amharic*), meaning 'settled'; hence *Safars* are a kind of urban settlements signifying an inclusion of commerce rather than pure residential quarters, for the term *Mender* (*maderiya* or *village*) exactly signifies the notion of this kind of residential quarter or neighborhood in both *Ketema* and *Getter* (urban and rural area).

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<sup>17</sup> Ethiopian history is similar to European with regard to the decline of commerce and urbanization and the consequent intensification of feudalism (though systematically different and better in Ethiopia) after the breaking up of Churches and the collapse of the Roman empire; and then, the relatively better status of the Byzantine empire was again observed later in Gondar; it is interesting that the only difference was Constantinople declined whereas Gondar flourished after the aggression of the Ottoman Turks in 1453 and 1540s against both empires.

<sup>18</sup> On the danger of unwisely managed tourism industry on heritage, see for example Orbasli 2000.

Most of the time in history, *Safars* were founded on hilly grounds (styled in Ethiopia as *Ambas*) surrounding an already established *Dabir* (Cathedral), with their gradually growing Saturday or Sunday Market area at the bottom. When a transition with the market from weekly to daily basis took place, they would worth be called as Ketema. From the drawing of Henry Salt below can be inferred that this town must have been at its earlier development that it looked rather a *Safar* than a Ketema or town.<sup>19</sup>



**Figure 2-1: The Town of Dixan, as drawn by Henry Salt, 1805, (British Library WD1310)<sup>20</sup>**

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<sup>19</sup> The drawing shows a cathedral and a house for the *Balambras* (Head of the Amba), signifying a strategic importance. However the small number of buildings might be an indication for low urban economy as possibly not linked to a significant trade route.

<sup>20</sup> <http://blogs.bl.uk/asian-and-african/2015/12/henry-salt-and-the-highlands-of-ethiopia-abyssinia.html>

When the most important cultural structures had once had put firmly at a strategic area, the surrounding landscape would begin to continue even after its importance was undermined and abandoned by political authorities.

When towns like Gondar, once a very big capital city, started to decay in the *Zamana Mesafint* Era<sup>21</sup>, the *Safars* even continued to grow as can be inferred from the drawing by probably James Bruce (Fig. 2-3).

*Ketemas* are more than this ordinary type of small urban settlements as they have been functioning as both administrative and commercial centers. Their origins might be related to the camping of the medieval mobile courts of the emperors, where vast number of soldiers and crew attempted to settle only around the carefully studied *Safars* for purposes of caring capacity, security, social justice and political matters. When the camping was believed to be sustainable for strategic reasons or access to trade routes, it would be endorsed as an official *Ketema* (now City), and hence allocation of land for the *Dabirs* (Cathedrals) and residential quarters of the nobility, which was a kind of zoning for administrative and strategic purposes.

This trend of *Safar*-based urbanization can be understood from the redevelopment of Ankober as a capital in the reign of Menelik II. As the *Safars* started to grow bigger and interconnect with each other, then a big permanent market with quarters for entertainment or cultural activities would be formed and usually called as *Arada* (a kind of Italian Piazza); while this is the case to Ankober, Dessie, and Addis Ababa, in the development of other towns is also observed formations of similar quarters, as in the case of , for example, Mekelle and Adama (Nazareth) called as *Ginb Gebeya* ( a kind of Iranian Bazar), literally

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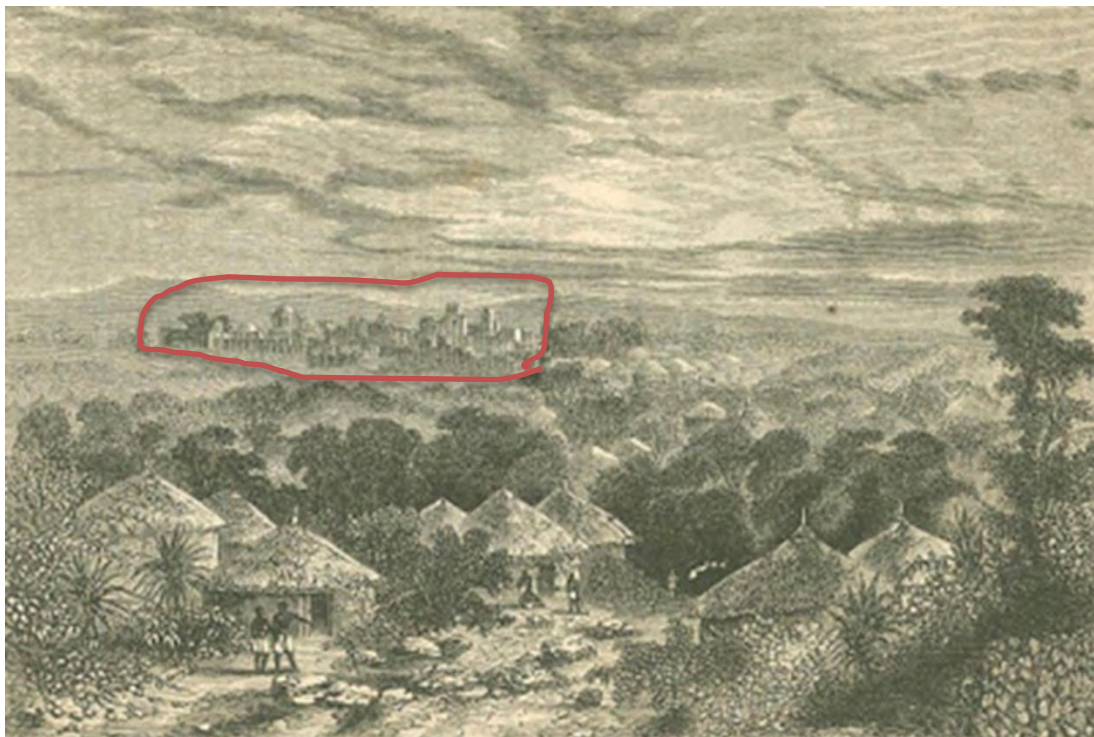
<sup>21</sup> *Zamana Mesafint* was a period of weakened imperial leadership considered to be started with the killing of Emperor Iyoas in 1769 by the hands of his own loyal war lord, *Ras* (General) Michael Sehul, and lasted for 85 years. The period was brought to an end with the emergence of *Ras* Kassa as a strong Emperor Tewodros in 1854, which marked a date for the beginning of Ethiopian modern history. It is believed by the modern scholarship that a very long medieval age occurred in the Ethiopian Christian kingdom unlike Christian Europe due to the absence of the Renaissance that led to Early Capitalism and Reformation, and finally the industrial revolution in 1848 that all took place only in the west, with the exception of Chinese Renaissance.

meaning fortified/walled market. An urban settlement, then with the status of *Ketema* seemed possible only when the Dabir and its market were combined and agglomerated through many interconnected Menders or Villages.



**Figure 2-2: City of Ankober in the reign of Menelik II, from Fasil Giorghis 2007**

Otherwise, it would be difficult for it to sustainably grow as a vibrant city even when there was already the infrastructure for administration, as can be inferred from the drawing below by James Bruce in 1760s.



**Figure 2-3: The City of Gondar in Decline as of James Bruce, from [www.pinterest.com](http://www.pinterest.com)**

 The Castles of Gondar

*Dabirs*<sup>22</sup> and other similar cultural centers are therefore significant in order to identify the typical Ethiopian historic urban landscapes, as can be visually idealized in the following drawings.



**Figure 2-4: An Ideal Model of Historic Urban Settlement or Ethiopian Ketema**

The above ideal model is just an approximation of the frequently observed types of urban landscape formation and development in the Ethiopian history, which have been shaped and modified spatially through the driving forces of the Ethiopian Orthodox tradition in preference to build churches at the top of hills, and let the surrounding area for market development and for the radially-clustered settlement development, which often resulted as having sloppy streetscapes, as seen in the following photograph of the city of Ankober in the late 19<sup>th</sup> century.

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<sup>22</sup> Cathedral is the English equivalent for *Dabir*, literally meaning a hill, due to the custom in Ethiopia for establishing churches over a raised platform, and followed by a Sunday market and a gradual settlement forming the traditional Ethiopian townscape, which has been a Safar-based trend of urbanization. Dabirs in the major cities are called Be'ata.



**Figure 2-5: Street to the Palace of Menelik II in Ankober in 1890, from Fasil Giorghis 2007**



**Figure 2-6: Around the Cathedral of Giorghis after some Interventions of Modernization, from Fasil Giorghis 2007**

Figure 2-6 shows that the interventions undertaken especially for the upgrading of organically paved lanes and streets to asphalt roads and avenues in turn affected also the shape and size of plots in order to be accommodative for bigger modern buildings. Then further widening of asphalt streets took place in order to install infrastructures necessary for the development of high rise buildings. This transformation process on the historic urban landscapes has continued till today including such radical interventions of area cleansing and relocation of inhabitants with the outcome of high inflation rate and unjust income gaps.

Finally, it is argued here that this kind of urban fabric with sloppy radial streets leading to a culturally significant structure (even if only as old as half a century) and being surrounded by densely built structures over small plots can be considered as an ideal feature of the Ethiopian Historic landscapes; and that this has at least some significances to the majority of Ethiopians living in the urban mode of life.

## **2.2. The Traditional Ethiopian Concept of Conservation: Community Participation in Formal and Informal Practices**

This analysis on the traditional concept of conservation in the Ethiopian history is aimed at finding vernacular instruments from the community that could assist the modern conservation process.

We have already concluded from reviews of theories that urban heritage conservation is the management of its historic and cultural landscapes through understanding the history of the place and the society, and their interaction.

With regard to this, two important institutions can be identified for heritage conservation in Ethiopian history, namely the Ethiopian Orthodox Church and the communities living in the *Attbiyas*<sup>23</sup>, functioning at least for the past five hundred years<sup>24</sup>. This is done based on such available documents as the Book of Aksum (Conti Rossini 1954).

The restoration and conservation activities of the Church relied heavily on the participation of its followers (the then “public participatory approach”), and hence the role of the communities both formally and informally was obviously significant.

There are also some records that indicate the continuation of this tradition to the 20<sup>th</sup> century; Menelik II, for example, declared in *Awaj* (proclamation) that peasants and soldiers living in the early Addis Ababa had to lend hands for such activities (Garretson 2000).

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<sup>23</sup> The term *Attbiya* signifies an area of residence surrounding a church, usually at a scale between *Mender* and *Safer*

<sup>24</sup> It's generally understood that reforms and institutional restoration had been a major function of the government, and especially of the church following the restoration of the Solomonic dynasty in 1270 AD; that was the time state and the church once again formed the coherent body of the central government, (Tamrat 1972).

### **2.2.1. The Conservation Activities of the Emperors, the Church and the *Attbiya* Communities**

Here is attempted to explain the important roles of the Church and the community in Ethiopian history under the leadership of the emperors, as they were the Supreme Heads<sup>25</sup> of the Ethiopian Church and the divine leaders of the people. This is, however, by no means, to mean there has never been a role of a bottom-up influence to the leadership.

There seemed to be a tendency of conservation even in the Aksumite Ethiopia as connected to the restoration of churches and preservation of artifacts of religious values.

Valuable artifacts and monuments including the pre-Christian<sup>26</sup> period were carefully conserved by the church as they were considered to be the foundation of the newly spreading Christianity. This so-called founding religion- the *Orit* or Ethiopian Judaism has never been seen as related to ‘paganism’ by the Ethiopian Church, as opposed to the contemporary view of the West.<sup>27</sup>

Now, when the immediate official recognition of Christianity as a state religion in the 4<sup>th</sup> century caused unrest and a lot of destruction of heritages in the then

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<sup>25</sup> There have been misunderstandings by modern scholarship with the then role of Coptic bishops in the Ethiopian Church. Here it must be noted that they had never functioned as heads both from the perspectives of the Ethiopian history and theology, but only as honorary representative of the Orthodox Church in the broader sense. While theological matters rested in the hands of the bishop of Debra Libanos entitled *Wochege*, Liqe Papas Ze Aksum had also the authority of *Nibura Id* (Hand Laying), and another for the guardianship of the Ark of the Covenant, all ordained by the Supreme Head of the Church, who was the King of Kings and with right of punishing anyone against his will.

<sup>26</sup> It includes such numerous monuments as the obelisks of Axum and other artifacts of the so called the sun and moon worship period, or the religion of the Sabeans according to modern scholarship.

<sup>27</sup> The western view towards these objects is totally as pagan connected neither to Judaism or Christianity; hence has been usually used to determine the date for the time of the advent of Christianity (See for example Munro-hay, 1991). This view, however, in the more or less contemporary description of the Holy Quran is not supported, and its tendency to categorize Sabeanism, Judaism and Christianity all as a worship of one God symbolized by the Divine Sun is an evidence in favor of the tradition of the Ethiopian Church.

capital of Axum, restoration and conservation was officially and formally to begin in the later times, as can be inferred from the narration of the Book of Aksum.

In this regard is mentioned the names of the two brother kings (Abreha and Atsbeha, or Saizana and Ezana) in their legacy to the restoration and conservation of the Church of Zion after its destruction in the then political unrest, according to the Book of Axum, and the oral traditions.

In 1270 AD, the restoration of the Solomonic dynasty had triggered intensive heritage restoration activities unmatched by any time before in the nation's history<sup>28</sup>.

These included activities that were seldom practiced in the previous dynasty such as the conservation and consolidation of the religious activities to stronger economic bases<sup>29</sup>, warm relationship with the Coptic Church<sup>30</sup>, and threatening the Egyptian Muslim leaders for their oppression of the Copts<sup>31</sup>, new foreign policy towards Jerusalem<sup>32</sup> and the Arabs, and above all, the restoration of the territorial integrity of the empire. Amde Tsion of the 14<sup>th</sup> century Emperor is known for his numerous expansion wars for the reunification of the territory, just like Emperor Minilik II is also remembered for the same activity in the begging of the 20<sup>th</sup> century.

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<sup>28</sup> In this regard are some similarities with European Renaissance in terms of activities and period.

<sup>29</sup> One third of the empire's land was to be granted to the Ethiopian Church.

<sup>30</sup> The import of Coptic Bishops from Egypt as a strategy of influencing the country's political situation since the Roman times was strengthened.

<sup>31</sup> The Nile was an instrument used for this purpose.

<sup>32</sup> The concept of the city of Lalibela with its beautiful rock hewn churches as the second Jerusalem was undermined and abandoned as a result of the new policy of expansion and territorial integrity.

## **Conservation of the Historic City of Aksum and Legacy of the Emperor Zara Yakob**

The reign of Emperor Zara Yakob<sup>33</sup> (1434-68) must have been a time of progress of the concept of conservation; his conservation theories and activities seemed applicable on both natural and cultural heritages. First, he declared The Suba Forest site as a nationally protected treasure or heritage<sup>34</sup>. He had also established a custom that has since safeguarded the site of the cathedral of Axum Zion (Gebeze Aksum)<sup>35</sup>.

The legacy of Zara Yakob, together with Amde Tsion and Abuna Tekle Haymanot before him, can be said had laid the foundation for Ethiopian customs and traditions of conservation and the related notions for such practices. The Book of Aksum, on the other hand, can be said, is the book of Ethiopian Conservation; it describes such intense activities for the sake of the historic city of Aksum both in terms of its content<sup>36</sup> and context<sup>37</sup>.

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<sup>33</sup> Emperor Zara Yakob of the 15th century is known as the most powerful leader of the dynasty. A very conservative person of religion, he wrote five books concerning religion and related matters mainly due to the conflict with the then Stephanites, who were the first Protestants of Ethiopia about 100 years before a similar case in Europe.

<sup>34</sup> This place is located in Shewa, the emperor's strong hold, and now is above 500 years old with animal and plant diversity.

<sup>35</sup> See for example the Book of Axum in Ethiopic, by Conti Rossini written in 1909

<sup>36</sup> The content of the book is structured in two main parts; the first begins with describing the history of the foundation of the city of Aksum and its Cathedral. In the second part is mentioned all the concerned medieval kings and governors that took part in the conservation of the heritage, about those that gave donations, and more importantly about Zara Yakob who established customs for the benefit of the site.

<sup>37</sup> Contextually, the book can be situated in the period after the restoration of the Solomonic dynasty. The legacies of such powerful individuals of the dynasty are felt even if the book mentions the contribution of the Queen Sheba and King Ezana.

### **Restoration Activities in the Gondarine Period**

The Gondarine period of restoration can be considered as ignited by two factors: the destruction by the wars of the Gagn, and the expulsion of the Jesuit. The destruction of the Gagn was such a catastrophe that couldn't be easily restored when at the same time population expansion from the south was another challenge to the plan.

On the other hand, the case of the expulsion of the Jesuit Missionaries from the country was also a factor that led to the closed-door policy, and motivated focus on cultural developments especially in the city of Gondar, even though this too was soon interrupted by the clash of the war lords, which in Ethiopian history is known as the *Zamana Mesafnt* or the Era of the War Lords. This was mainly due to the fact that founding permanent capitals led gradually to higher control of provinces by governors, who weakened the central government, an 85 years long process terminated by Emperor Tewodros. It is told that he exerted efforts on rehabilitation of the degraded material culture that resulted from the previous chaos.

### **The Modern Era**

The modern era challenged the traditional restoration and conservation activities as westernization influenced developments in reign of Tewodros, when he undertook institutional reforms on modern ideals as opposed to the traditional trend of restoration and conservation previously. This has since been developing and avoiding the public from fully participating.

Absence of community participation due to the radical introduction of the industrialized version of western institutes in to a non-western society coupled with the communist revolution of the 1974 posed a threat to culture led sustainable development and hence a continued dependency on foreign imports.

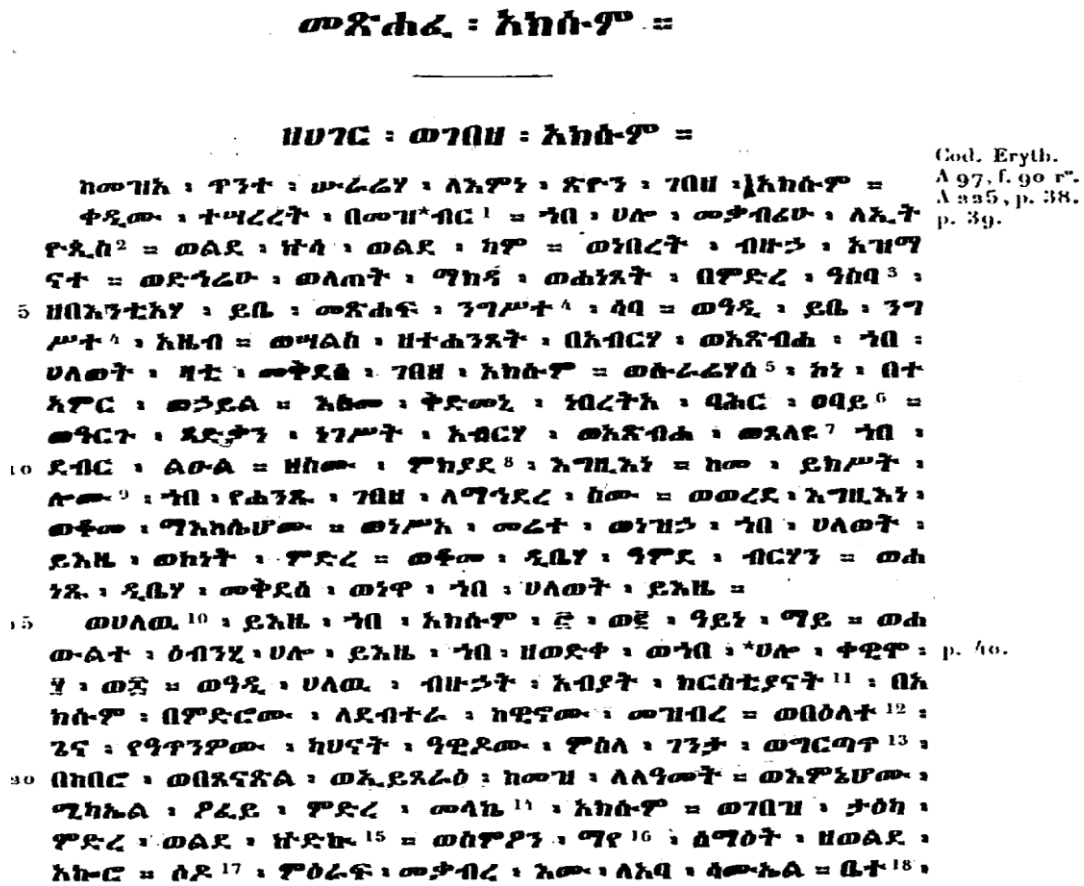


Figure 2-7: A portrait of a page from the Book of Aksum, from Conti Rossini 1954

Table-2.1: An Outline of the Restoration and Conservation Activities in Medieval Ethiopia

Chronology	Event
13 <sup>th</sup> Cent. AD	Ethiopian Patriarch Abuna Tekle Haymanot restored the Solomonic Dynasty.
14 <sup>th</sup> Cent. AD	Emperor Amde Tsion restored the territorial integrity of the empire.
15 <sup>th</sup> cent.AD	Emperor Zara Yakob of Ethiopia declared the Suba Forest site as Nationally protected treasure/heritage. The treasure also included the Cathedral of Aksum.
17-18 cent. AD, (A)	The Gondarine period elites tried to restore and conserve many cultural heritages destroyed by the Gagn wars.
19 cent. AD(B)	Emperor Tewodros tried to restore the cultural heritages (intangibles also) ruined in the Zamana Mesafint Era, while at the same time introducing modern reforms.
20 <sup>th</sup> cent.	Modern concepts of conservation introduced, limited to mainly architectural, archeological and intangible ones.

### **2.2.2. Urban Integrity versus Authenticity: Conservation Priority in the Ethiopian Cultural Perspective**

It can be now clearly understood that the Ethiopian tradition of conservation has been more of restoration than preservation, restoration with the objective of maintaining integrity rather than authenticity. It has been more of reactions to past impacts than more of pro-action to future changes. These experiences can be considered to get lessons on the need to prioritize the integrity of heritage rather than just foolishly emphasizing on authenticity which might be 'a mere endeavor that is unattainable'.

The urban system is so dynamic that conserving it as a static and authentic<sup>38</sup> system makes it impossible. It is more or less possible to maintain the authenticity of monuments and their sites through conservation interventions as much as possible. When it comes to the urban ones, however, both scale and quality issues will be problematic. Hence urban authenticity is a value that should better be viewed in terms of its overall integrity of physical and socio-economic components. In this regard, formulation of identification mechanisms for urban integrity is more important.

Therefore, urban heritage identification for this study can be considered as the assessment of urban integrity in the historic landscape. Urban integrity in this research can be defined through the existence of its actively and functionally arranged land uses and their patterns.

This assessment for the existence of urban cultural integrity will be investigated in the Addis Ababa context for purposes of identifying appropriate modern urban heritage conservation methodologies in the next chapters.

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<sup>38</sup> For the concept authentic and authenticity, see the following articles and materials: ICCROM 2009; Mitchell 2015; Nezhad, Eshrati, and Eshrati 2015. For authenticity as perceived by the view of the tourist, see Ram, Björk, and Weidenfeld 2016; these are recommended in addition to the Bura Charter and the Nara Document on Authenticity.

## Summary and Conclusion

In this research are identified two types of historic landscapes of Ethiopia, which are also more or less vital to the conservation of cities founded or reestablished in modern ages. This is very important as we will see it in the next chapter, that is, identifying modern heritage has always been problematic due to associating heritage with only monuments of very old age. The fact that Ethiopia is an ancient country with numerous assets<sup>39</sup> of old age draw attention very much that it could possibly undermine the value of modern heritage.

Hence a modern heritage conservation approach to urban conservation must take lessons from the history of traditional conservation in order to involve strategic partners. In this regard, the Ethiopian Church and the Attbiya communities can be potentially used to the conservation of heritage of any kinds.

It is also equally true that the Ethiopian traditional concept of conservation has given more emphasis to the integrity of heritage than the authenticity of materials; hence, this notion can be adapted to apply to prioritize urban heritage integrity to preserve significances in a situation where urban dynamics is challenging the authenticity of urban culture.

Finally, it was hypothesized here that urban heritage identification is the function of assessing urban cultural integrity which can be analyzed through its arrangement of land uses and their characteristic patterns.

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<sup>39</sup> More than two hundred ancient rock hewn churches and more medieval churches of the same number with their ancient artifacts remark more soundly to the notion of heritage in Ethiopia than anything else.

## **Part II Case Studies and International Experience**

### **3. A Case Study on the Challenges and Opportunities of Urban Conservation in Addis Ababa**

This section is devoted to investigating to what extent the local challenges and opportunities have impacts on realizing culture-based urban developments in Addis Ababa, with an aim to recommend a suitable strategy based on the 2011 Recommendation; hence this area based case study is aimed at modifying a generalization through particularization.

#### **3.1. The Challenges of Concept Clarity and Capacity Building in the Management Context**

##### **Practice and the Development of the Concept**

The notion on conserving Addis Ababa's modern heritages such as monuments and ensembles, though vaguely defined, has been observed for at least more than fifty years. There seemed to be two reasons for the beginning of such trends in Addis Ababa; the brief fascist occupation from 1936 to 1941, and the rapid real estate developments in the 1960s.

The brief fascist occupation period had aimed at not only destroying the prior legacy of the imperial regime including the city's statues and monuments<sup>40</sup>, but also forcefully implementing programs for relocating the communities for purposes of socio-economic and political readjustment, which had also changed indigenous land use patterns. One good exemplary event was the relocation of the original market from Arada and its surrounding communities to the west,

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<sup>40</sup> Some like the statue of the Lion of Judea were only few decades old at the time and yet were politically sensitive enough to be considered as heritages.

and the place was called *Mercato Indigino (Italian)*, meaning the market of the indigenous people.<sup>41</sup> These kinds of changes by the fascist had definitely stimulated a counter reaction when the imperial regime was brought to restoration, which included even broader interventions to the level that strived to return monuments and objects taken to Italy.

However, these interventions could not have produced any understanding beyond the consideration of architectural heritage conservation. The city's urban heritages were even unrecognized and started to be endangered by the rapid real estate development trend of the 1960s.<sup>42</sup> These phenomena were believed to be further escalated by the failed coup d'état plotted by the Imperial Guard; it succeeded at least to undertake a brief and yet influencing propaganda on 'exposing' the 'backwardness' of the country compared to the industrialized world, and so might have given lessons about that resembling others at higher position is always more powerful than being one self<sup>43</sup>!

In 1974, when the communist regime took over, and proclaimed the confiscation of land and extra houses which resulted in forming the *Kebele* housing system, there was clearly no attempt to recognize the historical and cultural significance of the old quarters like Piazza. This resulted in the deterioration of important structures and rapid congestion of the historic sites as there were additional inappropriate constructions inside the compounds of the confiscated houses due to the difficulty to manage all of them.

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<sup>41</sup> Of course, today, this place has got unique characteristics worth to preserve; it is by many considered as the Largest Open Market in Africa. However, its conservation as an urban heritage has never been carefully dealt with; and so are new high rise development projects that are changing the fabric.

<sup>42</sup> The Ethiopian Herald in its publication of April 6, 1960 (Library of the Institute of Ethiopian Studies, Addis Ababa) revealed a plan for the construction of a 35 stories and 150m high rise building in Addis Ababa. Many publications in the newspaper of the same year also indicate the proposed plans to develop a tourism development strategy suitable for Addis Ababa while at the same time spreading low cost and affordable housing.

<sup>43</sup> The coup d'état has been said to be jointly orchestrated by the governments of the United States and Egypt for purposes of intimidating the imperial government; and it seemed they achieved to implement more western reforms and the abdication of the project on the Nile basin.

In 1985 and 1986, still only an inventory was prepared just to document a list of significant buildings and a number of monuments by the former Ministry of Culture and Sport Affairs, and also by the then Master Plan Project Office of Addis Ababa.

In 1986 and 1987, the thematic initiative to recognize the old quarters of Addis Ababa was arranged by the city council with the Proceedings of the International Symposium, when the capital was celebrating its centenary some thirty one years ago.

Then after a regime change, another attempt was achieved by the Office for the Revision of the Addis Ababa Master Plan (ORAAMP 2001) to considering some sites of historic importance in the old quarters of the city, based on a previous study by the former Ministry of Sport and Culture on 'Historic Buildings of Addis Ababa: Preservation in Town Planning' in January 1990, where also a regulation was set up to limit the building height of the immediate surrounding areas, though left unclearly demarcated (AACPPPO 2015).

There were in fact serious challenges for implementing the regulations; first, the historic centers are found at the center where infrastructure is relatively easy to install, meaning that its consideration as a strategic investment area would challenge the determination to enforce the proposed regulation; second the proposed regulations have also been found to be problematic due to their lack of clear mechanism to guide authorities and professionals(AACPPPO 2015).<sup>44</sup>

However, the above notion was obviously based on the outdated concept of the historic center or old quarter, which is now difficult to consider it as urban heritage conservation. Even the notion 'urban heritage' was for the first time discussed in 2009 when the city's Bureau of Culture and Tourism and GTZ organized an international Conference for Urban Heritage Agenda(AACPPPO 2015).

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<sup>44</sup> Note that all the reports of the ACCPPO including this material are not yet published.

Therefore, it is clear that the 2011 Recommendation's notion on the conception of urban heritage as an historic and cultural landscape could not already be understood by the concerned authorities, and this is still almost the same now.

### **The Concerned Authorities and Stakeholders for Urban Conservation**

Based on the conducted interviews for this research, the concerned authorities for urban heritage conservation are not very well acquainted to the concept<sup>45</sup>. They understand the urgent need to restore and preserve architectural heritages and similar sites of historic importance in Addis Ababa but are not well aware on how to applying appropriate interventions at urban level. This must be at least partly due to the absence of strong integration among the key stakeholders and lack of initiation.

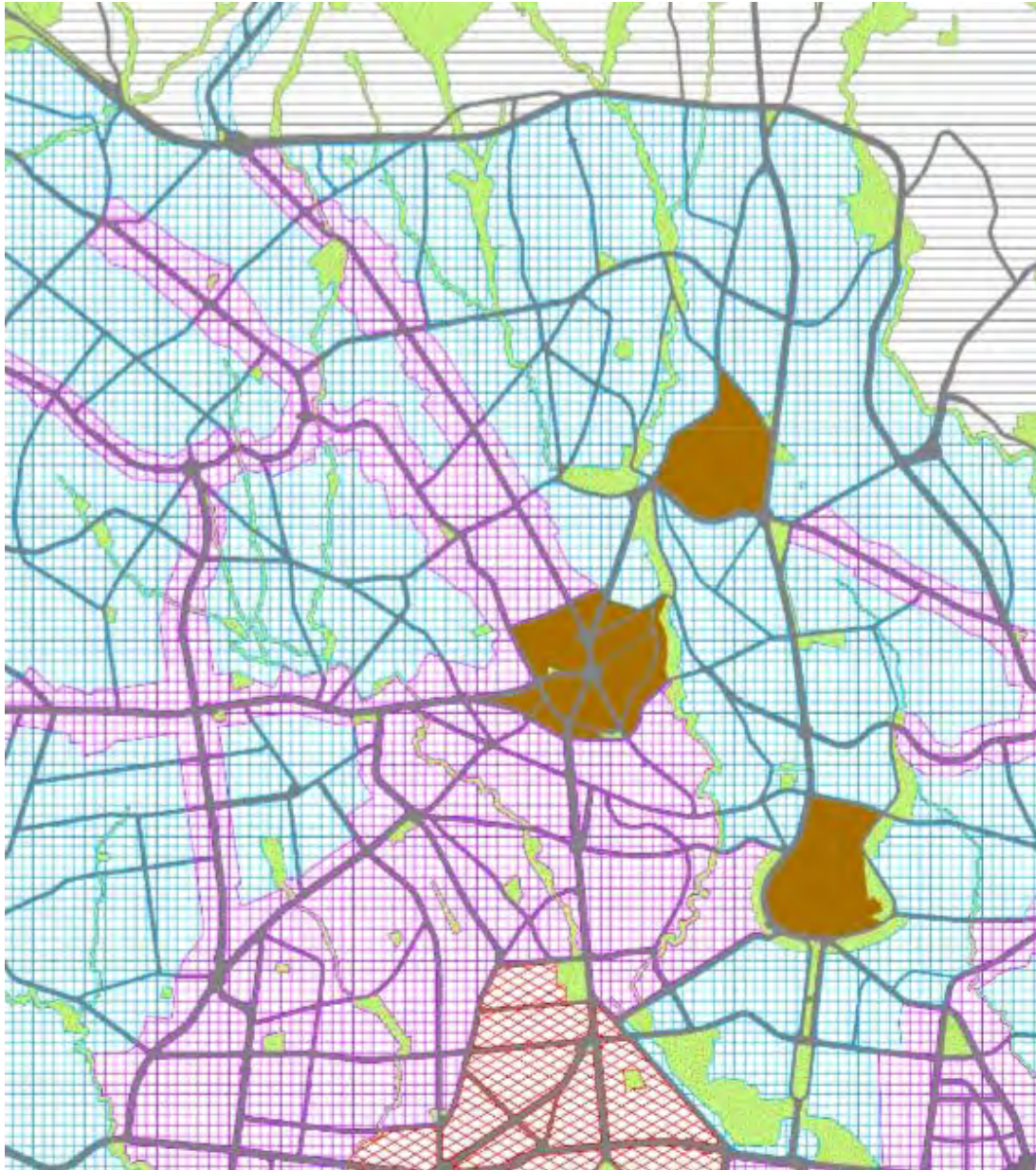
On the other hand, role conflict among the concerned authorities has made the conservation practice difficult, even on the architectural level. According to a document from ACCPO (2015, unpublished), in which the previous Master Plan of Addis Ababa (2001-2010) proposed by the ORAAMP was evaluated, the recommended solutions for the conservation of heritage could not be implemented due to 'policy constraints such as the dilemma between development and preservation', the unsolved legal issues between the concerned authorities of ARCCH (Authority for the Research and Conservation of Cultural Heritage) and AACTB (Addis Ababa Culture and Tourism Bureau) with regard to the gap in Proclamation 209/2000, and more importantly due to the failure to formulating and implementing a strategy for conservation again due to problems like ownership.

This challenge was prevailing even when the ORAAMP Master Plan was having proposed to preserve 150 significant structures (more than that could be listed

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<sup>45</sup> Only two out of the six of the authorities interviewed have an understanding on the concept of urban heritage 'beyond the notion of the historic center', whereas none has almost heard about the term Historic Urban Landscape Approach, recommended in 2011 by the UNESCO.

by the concerned Ministry) half of which were residential houses, though were not at the time demarcated in the master plan. It is managed now to have delineated only three small quarters of historic significance in Piazza and Arat Killo, as shown in figure below.



**Figure 3-1: Demarcation of Some Historic Areas by AACPP0**

**Shaded Rings: at the top: Sidist Kilo Area, in the middle: Giorghis Church-Municipality Building Area, at the bottom: the Old Imperial Palace**

## **Public Opinions and Participation**

Public opinions on heritage conservation in general have lots of variation; there is a tendency to usually see heritage as connected to very old monuments only. Historical significance and old age value have been given higher place even though memorable events and cultural intangible and tangible values have always been important to the communities.<sup>46</sup>

A three generation or 60 years old asset of any kind is for example observed to be respected by most, as it is also socially and economically significant. Most *Idirs* and social systems have behaved stronger this way; this is considered to be a critical time for the first generations while an emotionally sensitive moment to the last ones. In fact, this shared value could only be identified and incorporated to policy documents if public participation of ordinary citizen is possible to take place at every level.

The first 60 years of any urban development are important also to most modern towns of Ethiopia, signifying about half of their age and at least one third of their present day land coverage; this can be inferred from comparison of older maps.

### **3.2. The Challenges for Sustainable Densification and Demarcation of Heritage Sites in Addis Ababa**

#### **The Issue of the Densification of Addis Ababa**

Addis Ababa is currently in tension between rapid development, high rate of migration, and limited developable land due to boundary problems with the surrounding regional state of Oromiya.

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<sup>46</sup> According to a survey conducted for this research on the views of the public on how old must a structure be in order to be considered as a heritage, it was found that 75% of the interviewed inhabitants of the city of Addis Ababa think that an age of 100 years old is significant, while the rest believe that an age of above half a century is very significant. However, when the question was modified to rather mean to which ones to preserve or demolish, almost all reacted sensitively to reflect on the socio-economic significance of the structures and the memorable attachment to the places. The survey was conducted in March and April 2017 to inhabitants of Addis Ababa (20 interviews) excluding professionals with the knowledge of heritage conservation.

According to ACCPO based on the Ethiopian Central Statistical Agency (www.csa.gov.et), the population of Addis Ababa is currently estimated to be about four million, and expected to increase by about two million in just less than twenty years, hence implying that an urban density forecast of about 2.<sup>47</sup> This forecasted average urban density needed to be distributed with maximal and minimal Floor Area Ratio (FAR) in accordance with the proposed zones for building height regulation, where CBDs identified as Zone 1 would have the largest share (i.e. with FAR of minimum 10) and peripheries identified as Zone 4 would have the least share (i.e. with FAR of between 0.5 and 1.5).

There are now proposed 6 zones demarcated in the structure plan for building height regulation including a special zone for historical sites where the FAR is assigned to be 1.5 and below 21 meters, as shown in the figure below.

The Regulation is also composed with additional considerations related to road hierarchy and building height meter limit.

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<sup>47</sup> This was estimated by the project office on the basis of the forecasted population which will be 6 million in 2033 and the assumed developable land which equals about 8,000 hectares, whose ratio yields 1.69 approximately. The calculation is based on the assumption that a household in Addis Ababa will have 4 family members and occupy an area of 90 meter square.

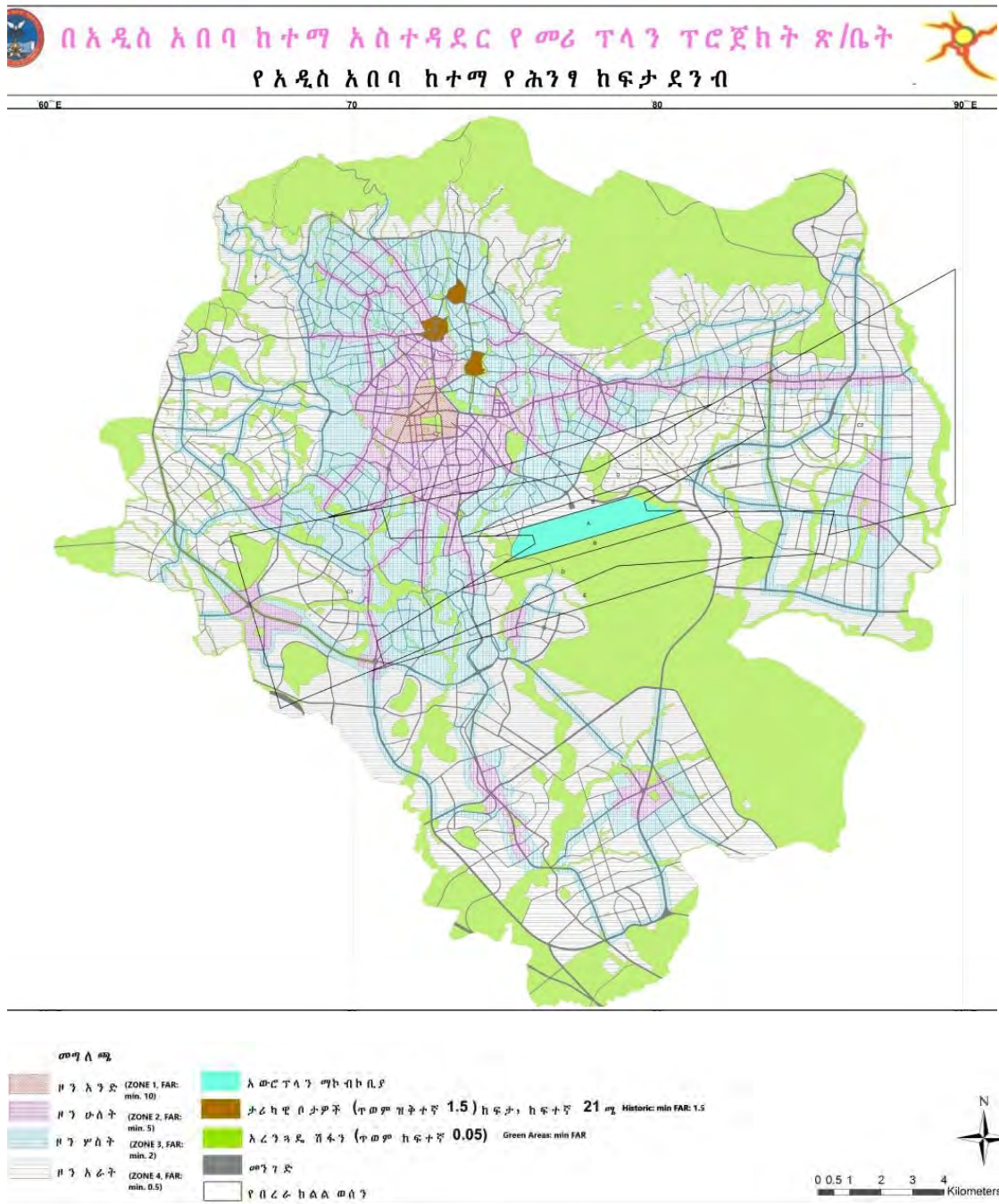


Figure 3-2: The Newly Proposed Building Height Regulation Zone Map of Addis Ababa from AACPPPO

### Rapid High Density Development in the City Cores and its Sustainability

Rapid high-density development in Addis Ababa, as we have seen earlier, is more of a need-driven phenomenon than is based on sustainability assessment. Therefore the question of sustainable density for Addis Ababa should be

primarily answered. The newly proposed structure plan of the city has in fact been prepared based on the New Urbanism stand point of view in that compact cities are assumed to be advantageous for transportation and other services. But here, the question is about how well these developments can be advantageous for the local community in terms of affordability and environmentally friendliness?

With regard to this also, the new structure plan has proposed mixed-use high density developments in which a proportion of 30% to 60% is reserved for residential apartments in the buildings to be constructed. This can also mean that a financial challenge will be there for making the upper apartments as much affordable as possible.

And as long as this trend of rapid development is taking place much faster than the community's capability to mobilize resources and savings, while the government-owned affordable housing projects are too slow to respond to urgent demands, hence housing problem and sprawl is to rapidly increase and negatively impact the distribution of infrastructure. This will also undermine the significance of the recommended high density developments especially in the city cores that should be conserved and redeveloped carefully.

This kind of problem related to urban density and finding an appropriate indicator for its sustainability has been also an issue for Cairo (Abouelfadl, Christoph Wessling, and ElKerdany 2017). Despite some differences between the two cities, it is important to learn about that urban density regulation plans must be determined based on cultural and environmental impact assessments.

### **The Problem of Demarcation of Heritage Landscapes**

While density is the concern, it is also an issue to where and how demarcate zones for building height regulation in a way that urban heritages and historic landscapes will be conserved to the best.

The regulation of high density is not only important to the context of significant structures, but also to the nostalgia of the city's streets and spaces in that minimal motorized flow and original urban grains would be maintained,

And this should be done through community based redevelopment and rehabilitation programs where cultural institutions will be involved, as explained in chapter two. There we generalized this was a matter of the conservation of the historic urban integrity, where streetscapes leading to important structures can be a strategic asset to guide the identification, delineation and conservation process.

Now we have seen that the new structure plan has also proposed six zones for the regulation building height and that it would be necessary to determine their cultural and environmental impacts so that the opportunities for conserving Addis Ababa's urban heritage can better be understood- a task which has been partly addressed in the following chapters.

### **3.3. The Opportunities from Existing Policy Documents and Recognized Historic Sites**

#### **The Proclamations and LDP Manuals**

There are already existing important proclamations like 209/2000 dealing with the research and conservation of heritages, which are good legislations and can further be opportunities with the addition of the necessary and appropriate policies.

There are also a number of manuals prepared for the then Ministry of Works and Urban Development, dealing with urban renewals, upgrading and similar purposes. What's found in them gives us an opportunity to further develop and introduce some modifications and guidelines. These can guide for the conservation of architectural and urban heritages based on the already laid framework. This might be difficult to implement this with in short period, but a

solution has been recommended in the last chapter relevant at least for a time being.

### **The Newly Proposed Structure Plan**

The new structure plan has listed about 150 significant structures, demarcated a site for a historic district and regulated its building height.

However, what's more advantageous about this structure plan would be its flexibility to revision and modification, especially when it comes to the proposed building height regulation. Here can be laid the critical foundation to conserve the Historic Urban Landscape of Addis Ababa for at least the next 20 years and pave the way to prepare further detailed and permanent regulations for the future. Some of the prototype attempts are found in the recommendation chapter.

### **The Current Urban Design Practice from the Conservation Perspective**

The current urban design practice in Addis Ababa and other Ethiopian cities is conducted mainly under the so called Local Development Plans or LDPs. LDPs are local area plans consisting of urban design and socio-economic plans next to a structure plan level in the Ethiopian context, as legislated by proclamation 574/2008. According to this proclamation both a Structure Plan and LDP are third level urban plans, next to national and regional urban development plans/schemes.

The preparation of LDPs begin with fixing its Terms of Reference/ TOR, where there will be an opportunity to define the scope of projects, as will be further explained in the next section (3.4) by taking the case of the area of Arada-Piazza.

In the light of these case studies, therefore, will again be clear that solving the problems related to urban conservation is possible through the strategic selection of the urban design framework for two main reasons;

- (1) The urban designing activities are very near to the concept of urban conservation and hence resources can be easily mobilized, modified or adapted in the existing frame work.
- (2) Again, urban design projects are undertaken in Addis Ababa and other cities under the preparation of the Local Development Plans, which are legally bound to be prepared by only few concerned authorities such as city planning project offices, where this is also advantageous to easily influence the process and modify some of the project scope definitions.<sup>48</sup> Therefore the significant point is how to fix this initiation as a formulation for other circumstances. This has been strategized in chapter 5 to modify the urban design and planning framework.

### **3.4. Case Study on Some Selected Areas**

In this section is presented the situation of some areas relevant to urban heritage conservation. These areas are important as they are to some extent recognized as historic quarters of urban heritage.

#### **The Piazza-Arada Historic Area**

Urban historians see the development of Addis Ababa as an agglomeration of the different *Safars*. These *Safars* were first established as both a military garrison and a vicinity of a cathedral. Addis was a combination of these kinds of villages around the Imperial Palace.

Arada was constantly expanding towards the two potential nodes of the palace and the St. George Church market area. This place was important for the then diplomats and officials.

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<sup>48</sup> This project has been in fact tried to the Arada/Piazza historic Area by the recently terminated Addis Ababa City Planning Project Office, where the student has also participated in the earlier phase of the process. Despite so many challenges, the attempt was however fruitful.



**Figure 3-3: Early Settlements and Safars**, from Ahmed Zekaria, Bahru Zewde 1987

**Red Circle: The Case Study Area**



**Figure 3-4: Settlements around the Palace, 1890, from Fasil Giorghis 2007**

Many notable individuals such as Afe Nigus Nesibu, Alfred Ilg, Muse Minas and the like had built their residence and office on this area to be closer to the Palace. The first hotel Taytu was opened here. The first cinemas and other modern structures for the city existed also here.

These old structures of above 100 years of ages, now many listed as heritage, bear traces of different architectural styles. The first were of the Ankober architectural style with features of an ovally shaped and elongated tukuls of single or double stories. These were the most prevalent structures of the time because the builders and carpenters were from Ankober and Gonder. Letter on this style was influenced by the imported Indian carpenters and appeared more decorative. The import of foreign skilled laborers and technicians continued as the city of Addis grew rapidly following the decisive victory of Adwa over the Italians, which made it an important diplomatic center. Since then Addis has got lots of western influences by Armenians, Germans, Italians, etc.

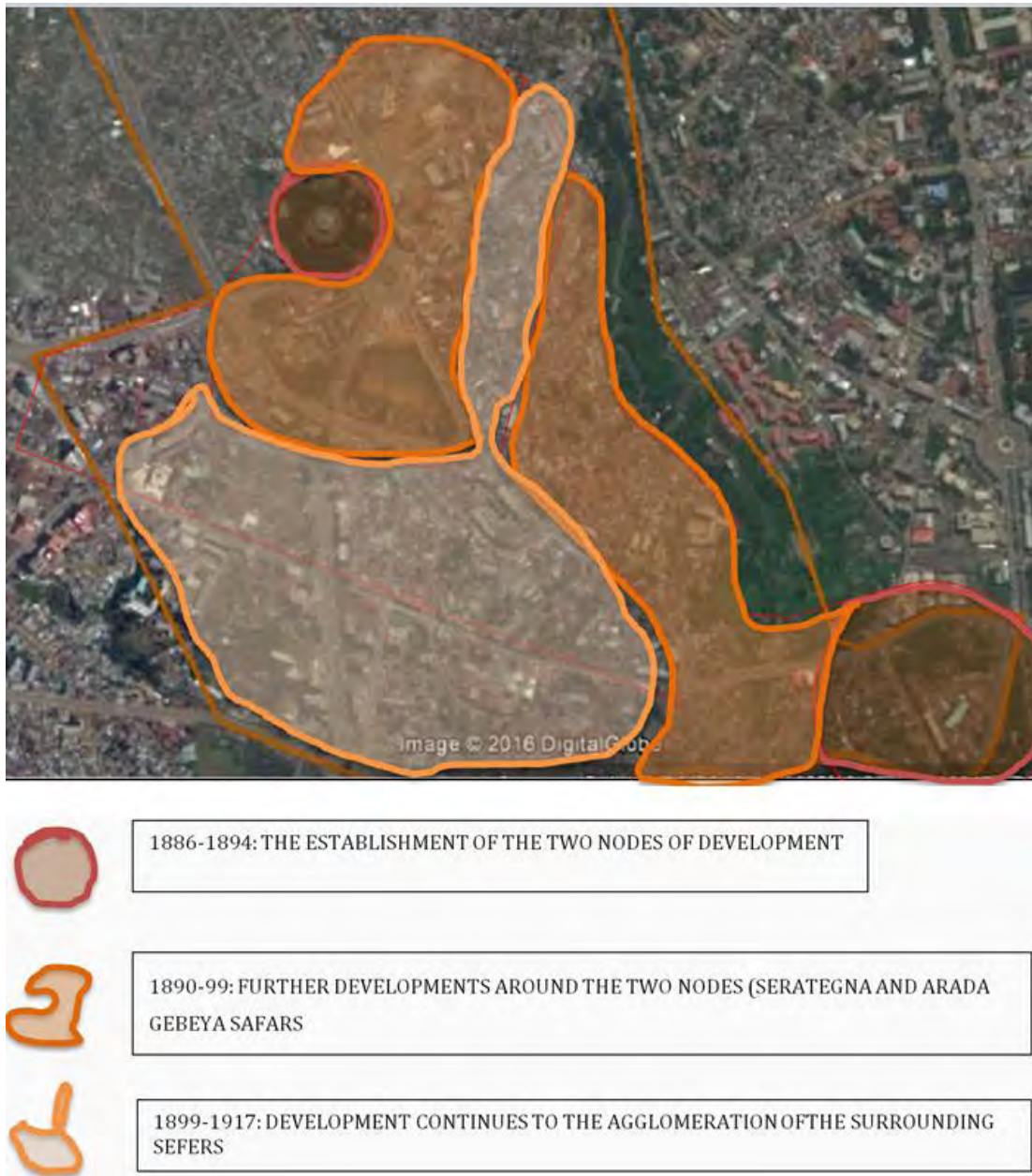


Figure 3-5: The Historic Urban Development of Arada-Piazza



**Figure 3-6 Ras Mekonen Bridge, c.1908, from Fasil Giorghis 2007**

The historical identity of this place has emanated from the fact that its cultural centrality has always been recognized by all.

And in its long course of development, Arada/Piazza passed the inevitable process of urbanization and desurbanization, as happened to every other old cities. This phenomenon hence allowed to attract a vast group of low income inhabitants, creating a strong socio-economic ties in this historic urban landscape. This kind of cultural landscape needs to be constantly redeveloped if slums are to be avoided, and qualities of urban life are to be met as per the standard.



**Figure 3-7 A typical Ankober Vernacular Architecture, from Fasil Giorghis 2007**



**Figure 3-8 Indian/Armenian Influence to the Existed Architecture, [www.pinterest.com](http://www.pinterest.com)**

## **The Natural, Socio-economic and Administrative Boundaries as a Method to Demarcate Action Areas under LDP development**

In Addis Ababa, usually LDPs are prepared for local areas already have delineated based on the existing administrative units. This has been important to the decision making structures as data collection can easily be facilitated through this hierarchy. However, this becomes a challenge when considering certain cultural or historic urban landscape integrity is to be necessary to the study of projects like urban conservation. In this regard, what is of significance is the identification of action areas based on local features that give the place its particular identity. One powerful method to do so can be for example the identification of the natural, socio-economic and historical administrative boundaries.

In the case of Arada/Piazza area for example, geographically the *Safars* are surrounded by two rivers. The Banchiyeqetu-Qurtume river basin in the east and the Genfile/Qecheme in the west have been the two major barriers of mobility in the local history. As a result, this has partly defined the socio-economic activities of the people. On this small land between the two rivers, *the little Mesopotamia of Addis*, the inhabitants were composed of different classes. Some places like the *Serategna Safar* got their names from the fact that the areas were first occupied by the servants and laborers working for the palace. When the area began to develop as a modern city center with better infrastructures, migration to the area increased rapidly. This gave the area a distinct character of mixed, yet dominantly low income society with diversified economic activities. Fig. 3.9 shows the early settlement pattern and the spatial distribution of the different social classes (Ahmed Zekaria, Bahru Zewde 1987).

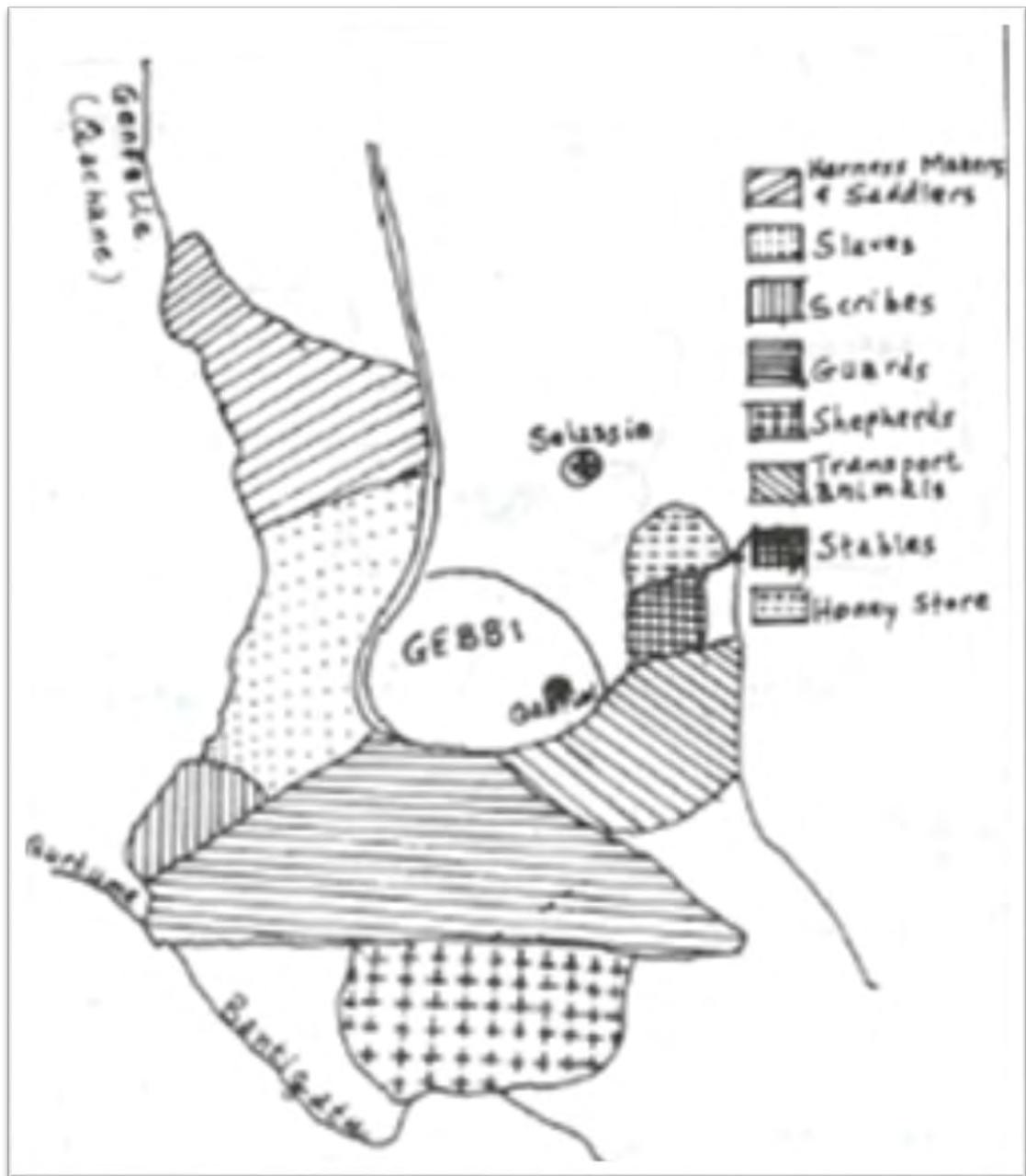


Figure 3-9 Early Settlements and Spatial Distribution of Social Class (adapted from Berlan 1964, cited in Ahmed Zekaria, Bahru Zewde 1987)



**Figure 3-10 Land Use Plan Proposed in 1936-9, [www.pinterest.com](http://www.pinterest.com)**

Circle: the Case Study Area

The Italian occupation of Addis Ababa for 5 years did even increase the significance and character of the area. It recognized Arada as a city center and named it Piazza, and yet for reasons of racial segregation, the original market was moved to the west, and was called there *Mercato Indigino*, where similar severe political and socio-economic readjustments again took place. Fig. 3.10 shows how the original sloppy streets of Arada were only broadened and upgraded to asphalt road, accentuating the existed character.

Many characters of shopping business like window-shopping, people's mentality and self-identification differ from the surrounding areas of Mercato in the west, Gulele in the north, Bashawelde in the west, and Lideta-Bherawi area in the south-west axis. From the administrative stand point of view, the province of Arada has most of the time been at least that area between the two rivers. Fig. 3.11 shows a map showing the boundary of province of Arada and its population density in 1950.



**Figure 3-11: The Province of Arada in 1950, from Ahmed Zekaria, Bahru Zewde 1987**

Circle: to highlight the boundaries of the then administration

Fig. 3.12 shows the fact this area has always been a magnet to the low income working class, and this mixed character of income groups and diversified activities gave the area its identity.



**Figure 3-12 Shoe Polishers place at the main junction of Piazza, from [www.pexels.com](http://www.pexels.com)**

Fig. 3.13 shows how the strong socio-economic fabric prevailed over the forces of modernization. Such kind of situation might be an evidence for proving that socio-economic viability rather determines sustainability despite whatever preference the public and government had to a certain mode of consumption.



**Figure 3-13 Strong socio-economic fabric prevailing over the forces of modernization, from [www.pexels.com](http://www.pexels.com)**

The above picture tells the life style of the community (water supply and transportation) was in fact still traditional when superficial modernization (for example asphalt roads) took place, proving an unsustainable trend!

### Action Area Delineation from the Point of View of LDP Preparation

Action area delineation of historic landscapes should be also considered from the currently existing urban design framework. For instance, an LDP preparation of this area can possibly be undertaken based on the above identified components of the cultural landscape. On the other hand, for reasons of the usual process of LDP preparation, implementation and management issues, the identified region of cultural landscape could be subject to compromise. This kind of situation demands a capacity building program in the area of spatial information system management, which can be time taking to implement; and hence the scope of this research only aims to avoid urgent impacts through the existing framework.

The delineation process of a certain distinct cultural landscape should usually depend first and foremost on defining the extent to which the character of the area prevails from the center of its origins. In the previous section we have seen the natural, socio-economic and administrative boundaries defining this unique character. The figure below summarizes this observed trend of development that must have been instrumental to decide on the administrative boundary of Arada in 1950.

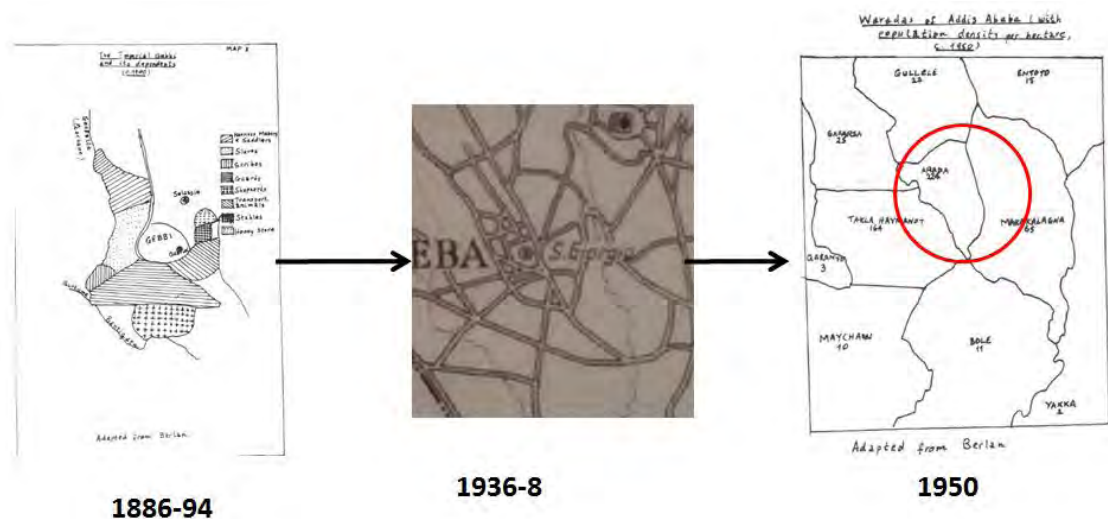


Figure 3-14 Stages of the Development Trend

In the course of defining the main core of the historic district and immediate surrounding as a buffer, a preliminary boundary can be drawn as shown below.



**Figure 3-15: The Identified Main Core and its Buffer, after Google satellite image 2016**

Red Circling: Possible Delineation of the Case study Area for the future

The figure above shows the identified main core in red, with its buffer. This schematic delineation of the historic district and its surrounding can serve as a base and justification to decide the level and intensity of the appropriate intervention.



**Figure 3-16: A Zoomed-in Version of the Identified Main Core, based on the 2003 Ortho-photos, from AACPPPO**

However, the current practice of LDP preparation process including the usual methods of data collection, proposal development traditions and aspects of implementation could be a reason to compromise and do some modifications.

The figure below shows the modification of the above identified main core to a delineation based on some compromise to the existing administrative quarters and with the adjacent main roads. There is also a deliberate avoidance of the upper part of the identified main core as a previously proposed LDP for that area is being implemented.



Figure 3-17: The Delineated Action Area, based on the 2003 Ortho-photos, from AACPP0

Table 3.1: Summary of the Comprising Administrative Regions

Wereda (Sub-district)	Sub-Wereda	Number of Villages	Number of Blocks	Area per Hectare	Number of House Holds
1	Sub-Wereda 2	4 Villages	16 Blocks	47.12	1589
10	Sub-Wereda 1 and Sub-Wereda 2	5 Villages	18 Blocks	39.61	2995
<b>Total</b>	<b>6 Sub-Wereda</b>	<b>11 Villages</b>	<b>35 Blocks</b>	<b>86.73</b>	<b>4584</b>

The assumed action area to be delineated comprises 11 villages of 35 blocks that approximately include 4,584 houses. It is generally assumed working on these administrative regions is manageable and can facilitate data collection.

Once having delineated the action area, the next step should be the identification of most layers of significances that can distinguish the area as an urban heritage before proposing any kind of intervention.

Therefore, this kind of methodology assumed for the Arada-Piazza area can be a possible model for identifying and delineating sites of heritage significance in areas under consideration for LDP projects.

However, it is also important to deeply understand the methodologies that are connected to the socio-economic aspects of the communities living in conservation project areas; the following international experience from Zanzibar for example helps to understand these issues.

### **3.5. International Case Study Review**

The district in Stone Town, Kiponda Caravanserai, Zanzibar, is a world urban heritage site listed by UNESCO in 2000. In 1998, i.e. before its nomination, the local government started a community based rehabilitation program with the collaboration of SIDA to upgrade this slum and unsuitable area for living.

Case Study Review Selection Criteria: This case was selected because of its strong similarity to the situation In Arada. There were also similar political and social factors that let the same deterioration to happen in both countries.

The table below summarizes the comparative analysis of the socio-political trend that developed similarly in the two countries.

**Table 3.2: Historical Comparison between Stone Town and Addis Ababa**

Zanzibar and Its Capital	Ethiopia and Its Capital
A communist revolution in 1964 (the Cuba of the Indian Ocean)	A communist revolution in 1974
Killing of Property owners	The land and extra house Proclamation
Management difficulty for the traditionally donated Waqf and other houses	The burden of managing confiscating houses on the <i>Kebeles</i>
Fast migration from rural to urban areas	High rate of congestion and inappropriate additional constructions
Deterioration of existing structures and slumization	Deterioration of existing structures and slumization



**Figure 3-18: A heritage Structure from the Town, from Battle, Melin, and Forsman 2007**



**Figure 3-19: Some Buildings in the Town of the Case Review, from Battle, Melin, and Forsman 2007**

Being surrounded by sea on both sides, Stone town is a beautiful and memorable place. Most structures are similar to Arada both in style and building materials. This was due to the influence from the then import of Indian craftsmanship to these places.



**Figure 3-20: Tourist Attractions of the Town, from Battle, Melin, and Forsman 2007**

At the start of this project in 1998, based on a 1992 survey, the condition of the old district could be characterized as follows:

- A large number of people living in only 1700 structures
- 215 listed structures of which 33% has had inappropriate restoration
- 85% dilapidated and 85 structures already collapsed, and 10 structures were being collapsed every year.

The figure below shows the existing urban grain of the town. It has strong similarity to many areas of Addis Ababa. For an example of comparison, see figure 3.22



**Figure 3-21: Base Map of the Area, from Battle, Melin, and Forsman 2007**

The goals of the project included community participation and empowerment, housing development, and resource mobilization.

The community participation program involved establishing of community NGO, sharing of traditional knowledge and skills of restoration, training of the youth

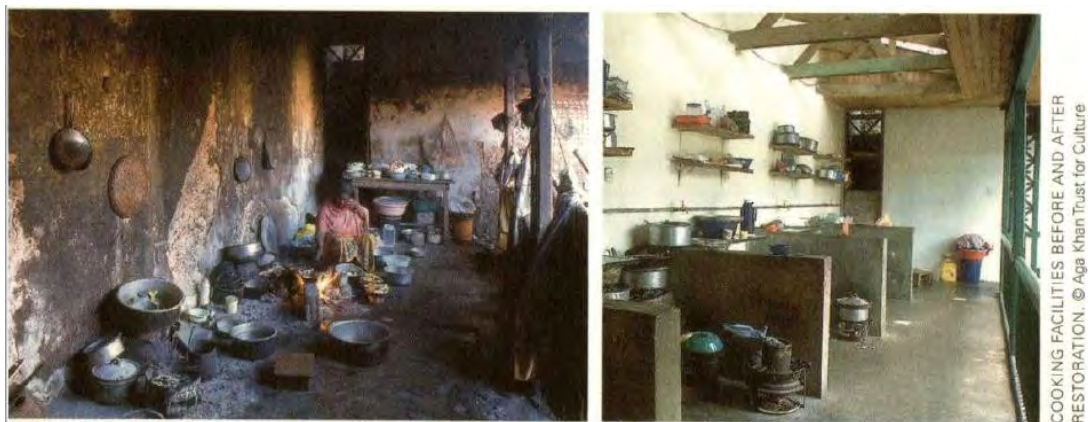
for further restoration skills. A TV show called Baraza further facilitated the awareness and participation of the community.

The housing development program involved measures such as upgrading the management system of public and government houses, and operations to convince the community to increase house rent.

Through these strategies, they could manage to bring important changes. The following figures show the upgraded infrastructures.



**Figure 3-22: An Example of Old Quarter in Piazza, Addis Abba, from the 2003 Ortho-photos, AACPP0**



**Figure 3-23 Upgrading of Communal cooking place, from Battle, Melin, and Forsman 2007**



**Figure 3-24 Upgrading of Communal Washing place, from Battle, Melin, and Forsman 2007**

From the above figures can be understood that living conditions could be easily improved while the restoration of important structures could be at the same time maintained. As the area attracted many tourists, the government could simply allocate the budget for redevelopments, and yet resources were mobilized by the community with local NGOs established, making the process strongly a community based approach.



**Figure 3-25: Improving on the Functional Arrangements, from Battle, Melin, and Forsman 2007**



**Figure 3-26 Identification of cement as an inappropriate restoration material, from Battle, Melin, and Forsman 2007**

The restoration of these structures was conducted based on local knowledge and vernacular technologies, which was made possible through programs implemented for training the locals.

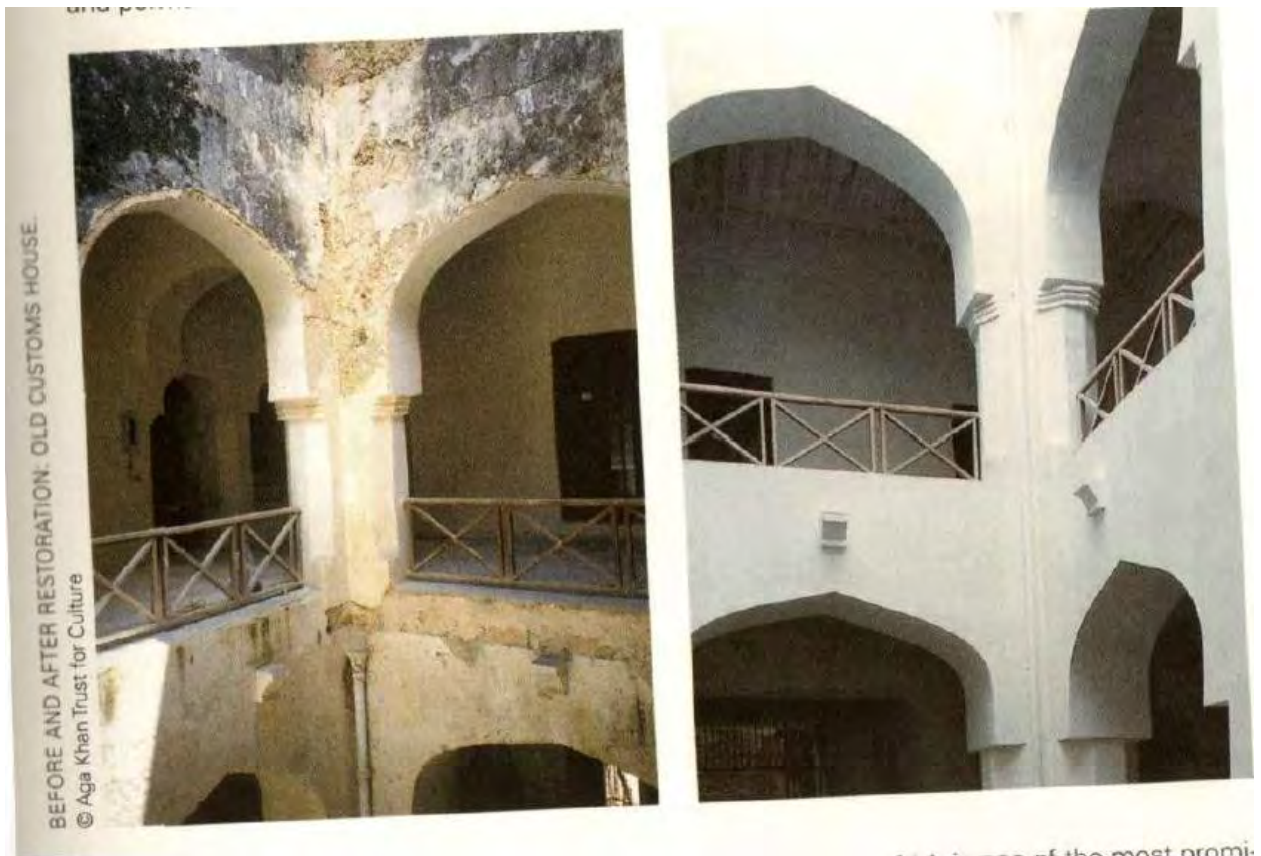


Figure 3-27 A building after Restoration with Lime, from Battle, Melin, and Forsman 2007



Figure 3-28: Socio-economic Activities of the Locals, from Battle, Melin, and Forsman 2007

## **Closing Remarks**

From the case study review on Stone town in Zanzibar, we can conclude the following points as lessons.

- The need for better management system of public and government rental houses
- Community awareness creation and participation through the medias and community NGOs
- An integrated plan development by all concerned bodies
- Establishment of souvenirs, shops and manufacturing areas, tour guides and agencies, training schools of conservation, etc.

It is important to note that the conservation activities of the town began before its nomination as a World Heritage Site. Hence, it is possible to assume that this experience from Zanzibar would well work for Addis Ababa even if the city is not a world heritage site; in fact, nominating a town or a city for the status of a world heritage site can be used as a strategy for current and future urban conservation activities. And this process has never been more difficult than the conservation urban heritage itself (Abouelfadl, Christoph Wessling, and ElKerdany 2017).

While some of these lessons can be incorporated for proposing guidelines for the development of the urban design framework (i.e. Addis Ababa's LDP projects), however, the urgent need for reacting for the city's heritage landscapes should be through reorienting the new structure plan, as will be discussed in the next chapter.

## **Part III Generalizations and Recommendations**

### **4. Strategic Analysis of the Challenges and Opportunities of Conservation as an Urban Planning Integral System**

It has been made possible to identify the critical challenges and opportunities of urban conservation in Addis Ababa based on the above case studies. It is also important to strategically assess the findings through a SWOT matrix method in order to synthesis a solution suitable to the existing urban planning framework.

The city's chronic problems have been identified to be the lack of updated awareness and weak capacity. This has always been a time taking activity to solve; it is also at the same time urgently necessary to control the negative impacts from the rapid development and densification through a wise management.

From the previous case studies can be inferred that there is an opportunity for strategically approaching the urban planning and design framework for two reasons in that the practice of urban design is very close to urban conservation so that resources can be simply mobilized, modified and adapted in the existing frame work. Second, urban design projects are undertaken in Addis Ababa under the programs of the Local Development Plans, which are legally bound to be mainly prepared by only few concerned authorities such as a city planning project office, where an opportunity will be there to easily influence the process and modify some aspects of the project scopes. The point is on how to fix this initiation as a formulation for other circumstances. Here has been strategized to assess the urban design and planning framework for the sake of distinguishing the larger picture.

The SWOT matrix below can also elaborate this strategic importance for the sake of wise management.

**Table 4.1: SWOT Matrix for Strategic Analysis of Opportunities and Challenges**

		<b>OPPORTUNITIES</b>	
<b>CHALLENGES</b>	<b>SWOT MATRIX</b>	Existing Legislations and Areas with Some Level of Recognition ( <b>Strength</b> )	The Flexibility of the Building Height Regulation (BHR) of the New Structure Plan( <b>Opportunity</b> )
	Little Awareness and Role Conflict ( <b>Weakness</b> )	<b>SW-Strategy</b> Take advantage of the existing legislation to increase awareness and minimize role conflicts	<b>OW-Strategy</b> Modify the BHR in a way that the urban planning framework can integrate urban conservation and management
	Rapid Developments and Densification( <b>Threat</b> )	<b>ST-Strategy</b> harmonize urban conservation with standards for sustainable and manageable development	<b>OT-Strategy</b> Make regulations for compatible densification to urban heritage

The **SW-Strategy** has indicated that taking advantage of the existing legislation to increase awareness and minimize role conflicts which can best work when the necessary policies are to be developed in the existing framework. And the way to do this must be by developing a heritage sensitive urban planning frame work as indicated in the **OW-strategy**. Through this strategy, modifying the BHR in a way that the urban planning framework can integrate urban conservation and its effective management can be developed while at the same time harmonizing conservation and new developments, as implied from the **ST-Strategy**. And these can be implemented through regulation makings as inferred from the **OT-Strategy**.

These strategies also imply to recommend a development of a conceptual framework for managing the sustainable urban heritage landscapes of Addis Ababa, which would be a kind of a new version of the HUL approach.

## **5. Recommended Guidelines for Identifying and Conserving the Historic Urban Landscape of Addis Ababa**

### **5.1. Developing a Concept of Sustainable Heritage Landscape Management in the Context of Addis Ababa**

#### **Generalization of Findings**

By now, it has been made clear that urban conservation is not a mere extension of the architectural conservation activities. It is possible and appropriate to extend the conservation of an architectural heritage to a wider scale. Still, this action can be devoid of the intangible elements of the cultural landscape necessary to sustain the area with the integrity of its authentic layers of significances. And we have seen that this necessitates a landscape approach more preferably to the others.

It has been underlined also that the HUL approach is very important and relevant to the protection and sustainable development of all the above assets; its adaptation and application to Addis Ababa must be considered through analyzing the most strategic frameworks.

The two identified ideal types of historic landscapes in Ethiopia are also more or less vital to the conservation of cities founded or developed in modern context. This is very important in that identifying modern heritage has always been problematic due to associating heritage with only monuments of very old age.

Modern approaches for urban conservation must be based on lessons from traditional conservation activities in order to attract strategic partners. In this

regard, the Ethiopian Church and the Attbiya communities can potentially be used to the conservation of heritage of almost all kind.

It is also important to note that that the traditional Ethiopian concept of conservation has had more emphasis on the integrity of heritage than the authenticity of materials; hence, this notion can be suitably incorporated into guidelines in order to prioritize urban heritage integrity and preserve significances in a situation where the existing urban dynamics can challenge the authenticity of urban culture in Addis Ababa; and it was hypothesized that this is a function of assessing urban cultural integrity which can be analyzed through its arrangement of land uses and their characteristic patterns, which can be incorporated in the new Structure plan of the city.

This will also be further explained and developed with a conceptual framework for managing the city's development of heritage landscapes.

### **The Sustainable Urban Heritage Landscape Management Framework**

Based on the previous chapters of literature reviews and case studies, now can be proposed a locally suitable concept for urban heritage identification, conservation, and management.

Balancing the urgent needs of contemporary development and cultural heritage conservation in Addis Ababa requires the development of principles and guidelines with in such a conceptual framework of Sustainable Urban Heritage Landscape Management (hence forward SUHL).

Developing SUHL management framework can be used to get a particular approach in the local context in order to preserve the urban integrity of the city's landscapes (both visible and in visible).



**Figure 5-1: Modification of the HUL Concept in the Ethiopian Context**

### **Its Importance and Relevance**

Its importance is found not only in balancing preservation and modernization, but also in establishing indicators for identifying sustainable developments and densities. The SUHL management framework can also be flexibly introduced in to the current urban planning system.

### **The strategic Components of the SUHL Management Framework**

Below are the three strategic components of the proposed Sustainable Heritage Landscape Management:

- (1) Integration with the existing BHR/ Land Use Zoning system
- (2) Reorientation of the Structure Plan
- (3) Reorientation of the LDP practice

## **5.2. Demarcation of Heritage Landscape Conservation Areas as an Integral System of the Proposed Building Height Regulation Zones**

Delineating the sustainable landscape of Addis Ababa requires the strategic mapping of all the urban heritage layers of history, culture, physical and socio-economic fabric.

It might be an intensive and time taking activity from a resource and capacity point of view, but it can be strategically done for the time being through exploiting the advantage of the current flexible structure plan of Addis Ababa.

It is also possible to begin as a pilot project with the available resources already invested for the new structure plan through strategically exploiting, for example, the available GIS data for the building height regulation, as there will be a need to reorient it further as recommended in section 5.3...

An urban heritage database map of Addis Ababa can possibly be prepared by mapping and documenting the already identified parameters of the Historic Urban Landscape of the city.

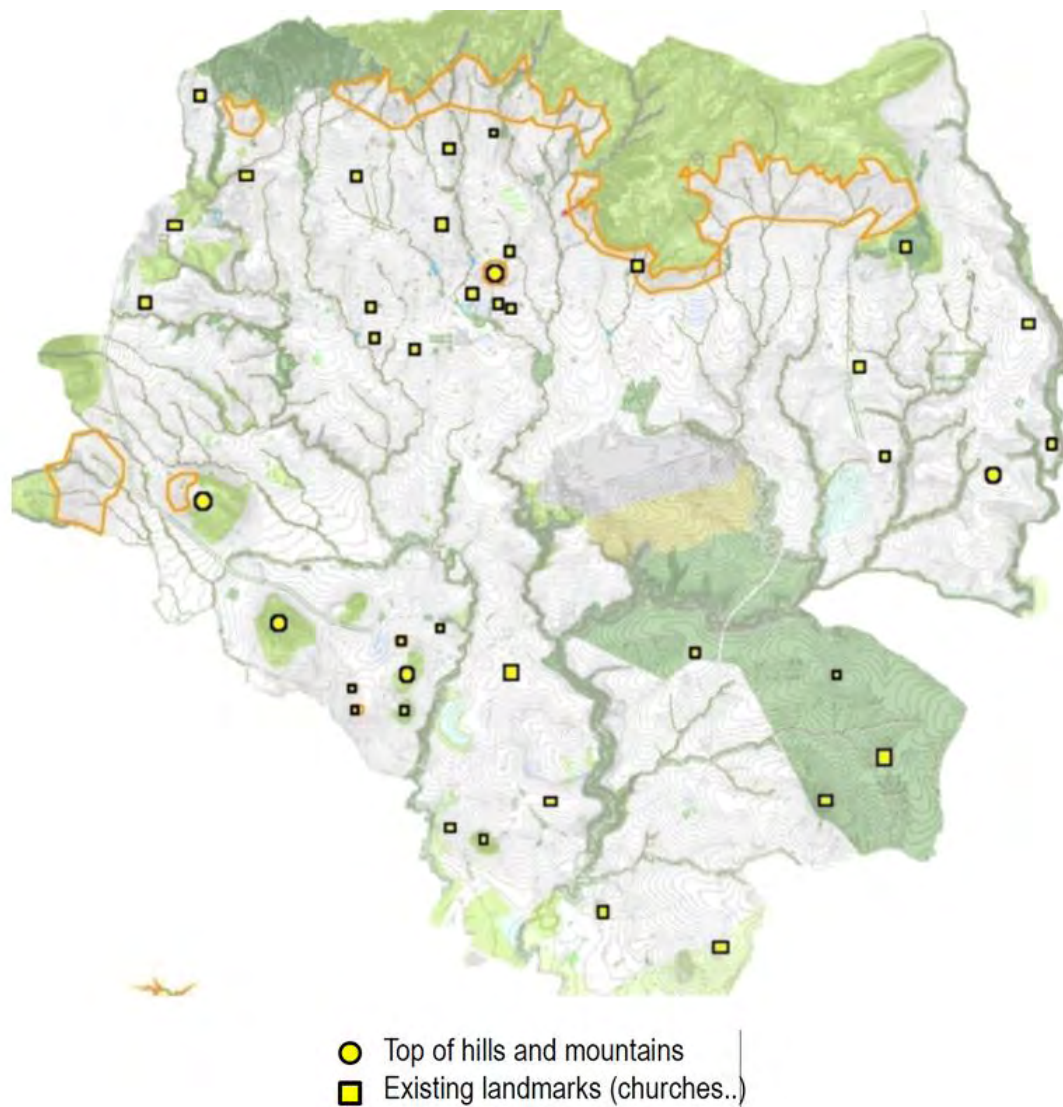
While it is possible to easily demarcate important heritage corridors, routes and districts as integrated to the city-wide level system, it will be necessary to further continue mapping of the detailed heritage layers, where also will be the advantage of utilizing the resource of the Addis Ababa Tourism and Culture Bureau.

Therefore, once the strategic springboard measure of delineation and demarcation of the city's urban heritage have taken place, the rest can easily be managed through assigned LDP projects and special guidelines prepared for facilitating them.

Urban integrity, which has been discussed in chapter 2, is the ideal Ethiopian historic landscape indicator, and hence should be primarily manifested in the **Heritage Landscape Regulation Zones**, which should be demarcated in the BHR zoning of the structure plan.

This can be done based on mapping and analysis of potential structural elements such as hills, churches, and significant corridors.

The map below proposed for AACPPPO for example had identified landmarks of significance to landscape planning of Addis Ababa. Here is also adapted for guiding the demarcation of the heritage landscapes and for assigning the required LDP projects, which will be developed accordingly.



**Figure 5-2: Distribution of Cultural Nodes, after Lyon 2014**

While most of the above nodes (mostly churches) can be considered as cultural and heritage sites and preserved with the necessary buffering, special LDP projects can also be undertaken with the involvement of the Church and the surrounding *Attbiya* communities.

This can also be a potential spring board to further learn new ways on how to strategically involve the community and the Church even on various other issues for sustainable development.



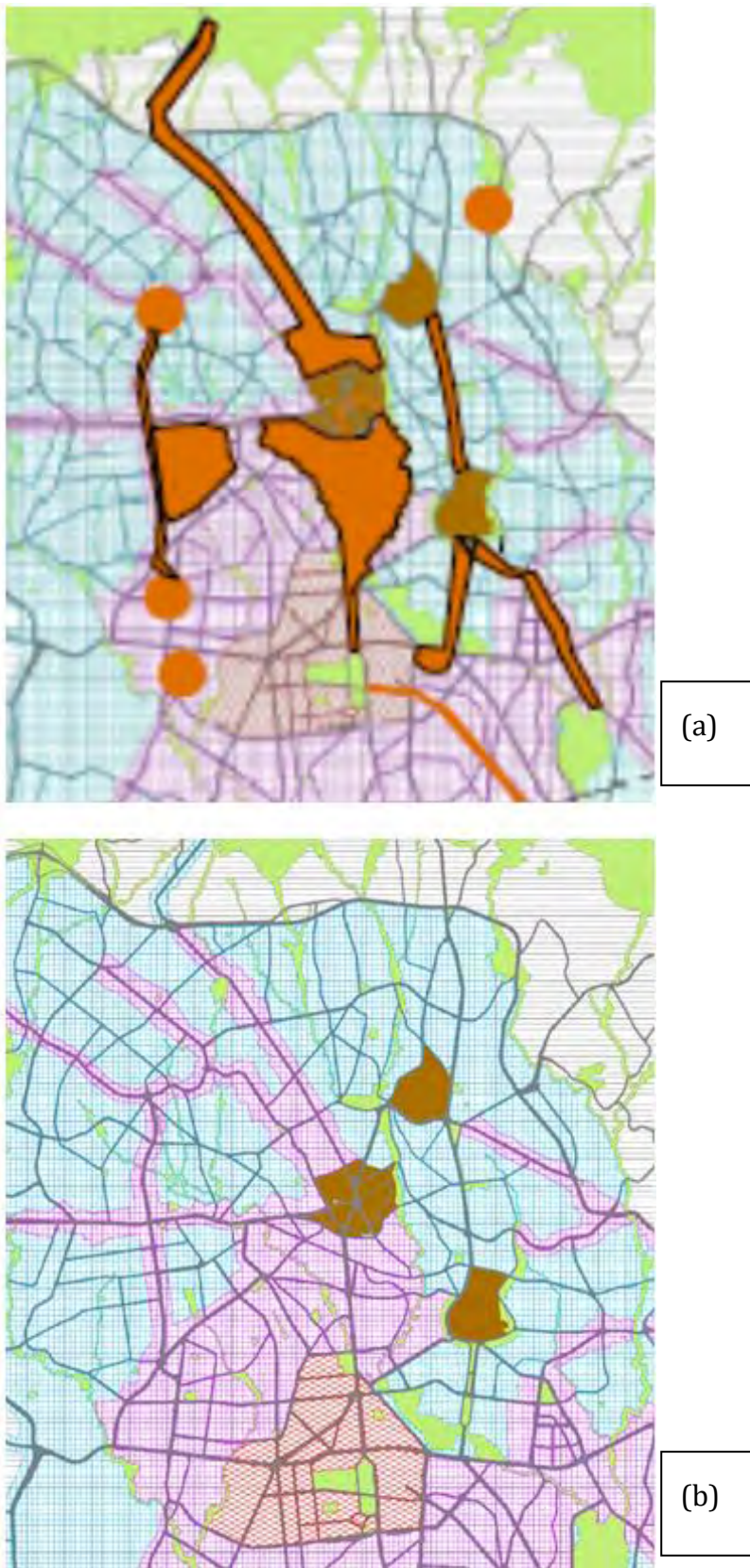
**Figure 5-3: An Example of Mapping of Heritage Nodes and Corridors based on the Height Regulation**

**Brown lines and dots: nodes and corridors of heritage importance**

The above map shows an example of **Heritage Landscape Regulation Zone**. The advantage of mapping the heritage corridors and nodes linking with the height regulation map is found in that it can be flexible to decide on the levels and intensity of intervention of conservation measures. This makes it easier to decide on the important areas for LDPs of special concern on culture.

With this assumption in mind, Heritage Corridors and Nodes are to be assigned a protective surrounding area with a depth of at least two blocks of neighborhoods and with an additional buffering of the same size. In the case of cultural nodes, as explained in chapter two, the role of the *Dabir* Church and *Attbiya* community should be ensured in the process of LDP preparation.

On the other hand, these demarcated areas can possibly have a kind of special LDP programs that should incorporate elements and procedures as suggested for example in the last section.



**Figure 5-4: Comparing Changes after Modification (a) of the Height Regulation (b), based on AACPPO**

### **5.3. Reorienting the Newly proposed Structure Plan of Addis Ababa**

This strategic recommendation assumes to advantageously exploit the zones of building height for the use of demarcating the city's heritage landscape as.

This process can possibly begin with revising the building height regulation zones, and making further regulations when necessary. Here can also be strategically utilized to further incorporate additional rules and types of appropriate intervention measures that are also flexible to modifications in the future.

Considering the current urgent need of urban heritage conservation, this might be the only appropriate emergency measure to save heritages from total destruction while preserving their significance as much authentically as possible, which would otherwise be difficult to manage them under such dynamic circumstances.

As outlined in 5.2., once this framework for demarcation is introduced compatibly in to the building height regulation zones as a certain *Heritage Landscape Regulation Zones*, further mapping of significant heritage layers can be left to be practiced by the concerned stakeholders, such as the AACTB.

It is also important to consider the preparation of urban heritage conservation procedure manuals suitable to the regulation zones as part of the existing LDP procedure manuals. There are in fact currently opportunities to do this since the LDP manuals are under revision.

### **5.4. Formulating a Heritage Sensitive Urban Design Approach: Reorienting the Local Area Planning Process to Conservation**

The recommended strategy here is that preparing the necessary framework and the desired awareness to carefully prepare the definition of LDP project scopes and their TOR (Term of Reference) so that urban heritages can be integrally developed.

The following important principles can for example guide the identification, documentation and conservation process.

**Example of Some Important Guiding Principles:**

First: Base on the regulations for assumed heritage landscape, LDP preparation must define its project scope in a way that the local area's significant heritage layers can be in detail identified, documented and recommended for the sake of appropriate interventions; the following procedure and units of analysis can be considered for achieving the above goals:

- I. Assessement of the roots and origins for the use of the name by which the Safar(s) have been called, and by whom and why
- II. Assessement of the foundational significant structures and cultural institutes of the area, and their impact on the existing socio-economic activities
- III. Assessement of the urban development of the streetscapes and their current role to the existing community
- IV. Mapping of housing and building conditions, and assessing their status of integrity and harmony, and also their socio economic significance or adaptive reusability through different kinds of techniques including photogrammetry, etc.

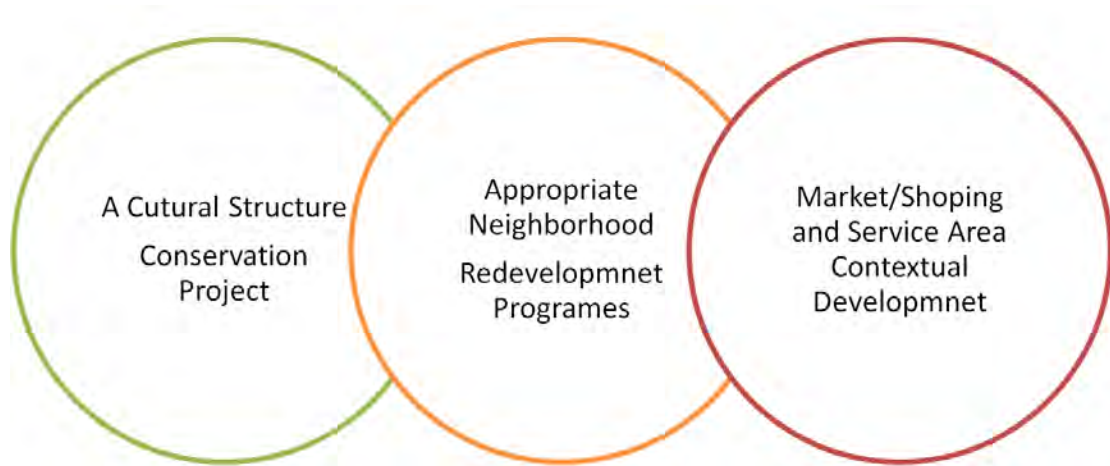
Second: again referring to other policy documents and the Structure Plan, design special public participatory methods to consult the community and key stakeholders; this has always been the most difficult part in the Ethiopian context, but decisions and outputs can be more representative if the first steps have been conducted successfully and a contextual strategy for this purpose has been developed based on inputs from the previous step.

It should be reminded also there should always be a policy to enhance the role of the Ethiopian Orthodox Church and other similar institutions.

Third: Based on the findings from the above steps, develop an urban design concept and strategy that lead to synthesize a draft proposal for approval and finalization.

This stage can better be elaborated by preparing a kind of small urban conservation manual which should be in accordance with the proposed reorientation of the Structure Plan, which should incorporate a recognition of special traditional land use patterns.

The diagram below shows the recommended land use pattern-based phases of redevelopment for maintaining the cultural urban landscape integrity.



**Figure 5-5: Strategic Components for the Conservation of Ethiopian Historic Urban Landscapes**

The above diagram is to show an example of a coherent approach for urban integrity conservation in the Addis Ababa context including the major stakeholders and significant projects. These should be the necessary components of LDPs prepared particularly for the identified nodes and corridors of heritage significance.

If such programmes are conducted with the combined synergy of carefully designed projects, a significant outcome can be expected for sustainable development and preservation of identity.

## Summary

Current rapid urban developments are a threat to Ethiopian urban heritage landscapes. Sustainable development necessitates culture to be at its leader. Culture-led development can also be a shield for the communities under the pressures coming from dominant sectors. It is with this justification that the HUL Approach is recommended to be locally adapted and applied, in which intensive case studies are required to identify the local challenges and opportunities.

The two most important findings of this study are the identification of ideals for particular Ethiopian HULs, and the nature of the strategic frameworks and key stakeholders. Based on these findings it is recommended to practice the Conservation of Sustainable urban Heritage Landscapes in Addis Ababa and similar towns, as explained there is an urgent need to stop destruction of urban heritages.

The proposed recommendation of Sustainable Urban heritage Landscape Identification and Conservation (Management Framework) can be used to solve the existing problems of:

- ✓ The lack of mechanisms to identify Ethiopian urban heritages
- ✓ The challenge for sustainable conservation and management
- ✓ The problem of community participation and awareness creation, and fund raising

At this point, a strategic intervention into the existing structure plan and its Building Height Regulation will give the advantage of enhanced management, and stronger community participation with the planned LDP projects, and with the possible financial source from the Ethiopian Orthodox Church.

Integration of urban conservation through the development of a heritage sensitive urban planning framework requires reorienting each and every strategic component of the Structure Plan. Integration and reorientations are not just a one time project activities, but should be a continuous and related sets of activities, when we get the desired framework. Continuity within a strong framework can be more important than a vastly produced detail proposals.

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## **Annexes:**

### **A. Sample Interview Questions**

#### **Sample 1: To ARCCH Authorities and Professionals, Addis Ababa**

- 1.1. How well aware and prepared is the ARCCH for Urban Heritage Conservation?
- 1.2. What attempts are tried up to now?
- 1.3. What challenges and opportunities do you think are with working in the urban design and planning framework?
- 1.4. How do you see the relevance of adapting UNESCO's 2011 Recommendation of the HUL Approach?
- 1.5. What hindrances must be avoided before developing such important instruments?
- 1.6. Could you please give closing remarks on the above points of yours?

#### **Sample 2: To ACCPO Authorities and Professionals, Addis Ababa**

- 2.1. How well has been the project office trying to integrate urban conservation in the urban planning framework?
- 2.2. What results are obtained so far with regard to this?
- 2.3. Currently you are revising the Local Development Manual; what opportunities do you see for urban conservation?
- 2.4. How well do you understand UNESCO's 2011 Recommendation of the HUL Approach?
- 2.5. Could you please give closing remarks on the above points of yours?

#### **Respondents Profile**

Location: In and around the main office, Addis Ababa, Ethiopia

Date: April 2017

Number of interviews: 6

### **Sample 3: To Ordinary Inhabitants of Addis Ababa**

3.1. How old do you think should be a structure to be considered as a heritage?

3.2. Which kind of structures must be saved from destruction?

3.3. What do you think is the most significant value of heritage conservation?

#### **Respondents Profile**

Location: Piazza, Lagahar and Lideta sub-cities, Addis Ababa, Ethiopia

Date: March and April 2017

Age group: 25-65, Number of interviews: 20

#### **B. Translation of some Important Sections**

Translation of some Important Sections of the Book of Aksum (By *Abba* Beaman Girum, Lecturer (Debre Marcos University), and by the student/author of this thesis)

The following translation of the sections of the legendary book is considered to be relevant to the traditional concept of conservation in Ethiopia.

This is the (ancient) history of the establishment of Zion (also meaning the Ark) the Cathedral of Aksum. In the beginning, it was founded at a place which was ruined earlier around where the tomb of Itiyopis, the son of Kush and grandson of Kham is found, and had stayed there for many years. Later, Makeda relocated her (it) to the area of *Asba*, for which she was called the queen of Saba (Sheba), and built a cathedral there....

The other sections are devoted to thank the successive kings and nobilities that granted land (gult/feud) and other gifts to the cathedral.

... I, Zara Yakob of the son of Dawit, have granted the lands/areas of ... to the cathedral....have also declared that such animals as horses... are forbidden to enter (the area)....