

**URBAN EXPANSION AND THE LIVELIHOOD OF THE
PERI-URBAN AGRICULTURAL COMMUNITY:
THE CASE OF ADDIS ABABA**

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Table of Content

	Page
Title page-----	i
Signed approval sheet-----	ii
Acknowledgment-----	iii
Tables of content -----	iv
List of tables-----	vii
List of figures-----	viii
List of Appendices-----	viii
Abbreviations-----	x
Explanatory notes of Ethiopian words-----	xi
Abstract-----	xii

Chapter One

Introduction

1.1 Background of the Study-----	1
1.2 Problem Statement and Justification -----	4
1.3 Objectives of the Study-----	6
1.4 Research Questions -----	6
1.5 Significance of the Study-----	7
1.6 The Scope of the Study-----	7
1.7 Methodology of the Study-----	8
1.7.1 Deskwork: Review of Pertinent Literature-----	8
1.7.2 Household Survey -----	8
1.7.3 Participatory Approach-----	8
1.7.4 Sampling Frame-----	9
1.7.5 Sample Size and Selection of the Required Samples-----	9
1.7.6 Data Analysis-----	10
1.8 Limitations of the Study-----	10
1.9 Organization of the Thesis -----	10

Chapter Two
Literature Review

2.1 Causes of Urban Expansion-----	12
2.2 Nature of Urban Expansion-----	13
2.3 Consequence of Urban Expansion-----	13
2.3.1 Social Consequence of Urban Expansion-----	14
2.3.2 Environmental Consequence of Urban Expansion-----	15
2.3.3 Economic Consequence of Urban Expansion -----	15
2.4 Urban Expansion and Livelihood Strategies in the Urban Periphery-----	16

Chapter Three

Urban Expansion and the Farming Community in the Periphery of Addis Ababa

3.1 Historical Background of Addis Ababa-----	17
3.2 Trends and Expansion Profile of Addis Ababa-----	18
3.3 Basic Features of the Addis Ababa City-----	23
3.3.1 Population Growth-----	23
3.3.2 Migration-----	24
3.3.3 Employment and Income Levels-----	25
3.4 Urban Land Use and the Farming Community in the Periphery-----	25
3.4.1 Land Use-----	25
3.4.2 Interaction / Linkages-----	26

Chapter Four

Findings of the Study

4.1 Expansion Program and the Farming Community in the Study Area-----	27
4.1.1 Description of the Study Areas-----	27
4.1.2 Factors that brought Rapid Physical Expansion of Addis Ababa-----	30
4.1.3 The Dislocated Farming Community in the Study Areas-----	32
4.1.4 Demographic Characteristics of the Dislocated Farming Community Covered by the Study-----	34
4.1.5 Community Awareness of the Expansion Program -----	35
4.1.6 Benefit Packages Envisaged in Dislocation Program and the Reaction of the Dislocated Farming Community-----	36

	Page
4.1.6.1 Benefit Packages Envisaged in Dislocation Program-----	36
4.1.6.2 Reaction and Attitudes of the Affected Community towards the Benefit Packages-----	40
4.1.6.2.1 Reaction of the Community-----	40
4.1.6.2.2 Attitudes of the Community-----	41
4.1.7 Community Participation in the Expansion Program-----	43
4.2 The Effects of the Expansion Program Implementation on the Affected Farming Community-----	44
4.2.1 The Effects of Urban Expansion on the Assets/Capital of the Dislocated Farming Community-----	44
4.2.1.1 Effects on Natural Capital-----	44
4.2.1.2 Effects on physical Capital-----	45
4.2.1.3 Effects on Human Capital-----	45
4.2.1.4 Effects on Financial Capital-----	46
4.2.1.5 Effect on Social Capital-----	47
4.2.1.6 Effects of Dislocation on Education-----	47
4.2.1.7 Perception of Farming Community towards Urban Expansion-----	48
4.2.2 The Income Situation of the Dislocated Farming Community-----	49
4.2.3 Livelihood Strategy and Coping Mechanism of Dislocated Families-----	51
4.3 Current Land Use and Livelihood Strategy of the Dislocated Farming Community-----	54
4.3.1 Current Land Use-----	54
4.3.2 The Livelihood Approach as a Necessity-----	54
4.3.3 Job Opportunity and Adopted Livelihood Strategy-----	56
4.4 Areas of Intervention by Government and Non-Government Organizations-----	61

CHAPTER FIVE

CONCLUSION AND RECOMMENDATION

5.1 Conclusions-----	63
5.2 Recommendations-----	65
References-----	67
Appendices-----	72

List of tables

	Page
Table 1: Distribution of the sample by the study area-----	10
Table 2: Area covered by Municipal Administration of Addis Ababa-----	19
Table 3: Patterns of change in population size and average annual growth rate of Addis Ababa city-----	23
Table 4: The dislocated farming households for Addis Ababa city development expansion and benefit packages provided in dislocation (1997-1999)-----	33
Table 5: Population characteristics of sample dislocated household heads -----	34
Table 6: Percentages of sampled household heads by means of awareness-----	36
Table 7: Benefit packages promised and obtained due to dislocation-----	36
Table 8: Percentages of sampled household heads by employment type-----	38
Table 9: Percentages of household heads response whether training provided-----	39
Table 10: Percentages of household heads by reaction towards the expansion program -----	41
Table 11: Choice of household heads to the benefit packages provided-----	42
Table 12: Percentages of household heads by level of satisfaction for the complaint application-----	42
Table 13: Household response to participation in decision making-----	43
Table 14: Percentages of household heads by mode of representation-----	43
Table 15: Percentage of household response whether they have saved money at bank or elsewhere-----	46
Table 16: Percentage of household heads response whether they are sending children to school -----	48
Table 17: Percentage of household heads by income class before and after dislocation-----	50
Table 18: Engagement of the dislocated farming community in productive activity during early dislocation time-----	51
Table 19: Percentage of household heads response for the reasons not to get job easily now-----	52
Table 20: Job opportunities by education level and gender -----	53
Table 21: Percentage of household heads by possessed animal type-----	60

List of Figures

Figure 1: Physical expansion trends of Addis Ababa City-----	20
Figure 2: Location of the study area -----	29
Figure 3: Women in focus group discussion-----	40
Figure 4: Farmers children working on the quarry-----	55
Figure 5: Women engaged on <i>Gombiso</i> (top lid) Making-----	58
Figure 6: Woman Carrying <i>Gombiso</i> (top lid) to Market for sell-----	59
Figure 7: Men engaged in water vending-----	61

List of Appendices

1. Conceptual Definition of Some Terminologies-----	72
2. Annex Tables	
Annex Table 1: Percentages of sampled household heads' response whether received compensation for buildings -----	75
Annex Table 2: Percentages of sampled household heads by source of income for house reconstruction rather than compensation-----	75
Annex Table 3: Percentages of sampled household heads by category accessed to electric power-----	75
Annex Table 4: Percentages of sampled household heads by response in being jobless in the last three years-----	76
Annex Table 5: Percentages of sampled household heads by type of accessible job in dislocation area-----	76
Annex Table 6: Percentages of household heads by type of training provided-----	76
Annex Table 7: Percentages of sampled household heads by category of satisfaction to benefit packages allotted-----	76
Annex Table 8: Percentages of sampled household heads by response to satisfaction in location of new residence-----	77
Annex Table 9: Percentages of sampled household heads by response to satisfaction in the new residence/building-----	77
Annex Table 10: Percentages of sampled household heads by response to complaint application with regard to benefit package-----	77
Annex Table 11: Percentages of sampled household heads by response in decision making on benefits packages allotted-----	77
Annex Table 12: Percentages of sampled household heads by category of the main decision makers-----	77

	Pages
Annex Table 13: Percentages of sampled household heads by number of thatched roof room possession-----	78
Annex Table 14: Percentages of sampled household heads by category of satisfaction in the new residence /building-----	78
Annex Table 15: Mean value of household heads possession of livestock-----	79
Annex Table 16: Percentages of sampled household heads by response to possession of financial assets now than before-----	79
Annex Table 17: The percentage of household heads response by reasons for not sending children to school-----	79
Annex Table 18: Percentages of sampled household heads by response to the engagement in productive activity during first 12 months of dislocation-----	80
Annex Table 19: Percentage of household heads response by those not engaged in productive activity during the first twelve months of dislocation by category-----	80
3. Questionnaires to be filled by sample household heads-----	81
4. Guidelines for key informants-----	86
5. Guidelines for focus group discussion-----	88
Declaration-----	89

Abbreviations and Acronyms

AACA	=	Addis Ababa City Administration
BC	=	Before Christ
Birr	=	Ethiopian Currency
CLA	=	County Landowners Association
CPRE	=	Council for the Protection of Rural England
CSA	=	Central Statistical Authority
FAO	=	Food and Agricultural Organization of the United Nations
FDRE	=	Federal Democratic Republic of Ethiopia
Ha	=	Hectare
HH	=	Household Head
HHs	=	Household Heads
NFU	=	National Farmers' Union
NGO	=	Non-Governmental Organizations
OAU	=	Organization of African Unity
OAU	=	Office of the African Union
OPHCC	=	Office of the Population and Housing Census Commission
ORAAMP	=	Office for the Revision of the Addis Ababa Master Plan
OSSEREA	=	The Organization For Social Sciences Research in Eastern and Southern Africa
PA	=	Peasant Association
SPSS	=	Statistical Package for Social Scientists
UNCHS	=	United Nations Centre for Human Settlements
UNCRD	=	United Nations Center for Research and Development
UNECA	=	United Nation Economic Commission for Africa
UN-ECA	=	United Nation Economic Commission for Africa
WUDB	=	Works and Urban Development Bureau

Explanatory Notes in Ethiopian Words/Terms

- Woredas: Sub-district (the lowest administrative unit).
- Derg: Military Government that Existed in Ethiopia from 1974-1991.
- Kebele: The lowest administrative unit in an urban centre.
- Dabo and Jigi: Community association in which rural people come together to work or solve their problem.
- Jigi Mallaqa: Type of community association in which interested individuals in a rural community organized and contribute money for emergency case or for economic crisis.
- Jigi Farada: Type of community association in which peers organized and contribute money for buying horse and have horse race party.
- Iddir: A community based insurance scheme in which a household contributes a predetermined amount of money to be insulated from cash shortfalls in the event of death.
- Gombiso: A top lid made by mixing black clay soil, animal dung and crops residue with water for sell.
- Gulanta: Seat concavely made of mud that helps as a board in Gombiso making.

Abstract

Throughout its history Addis Ababa city has undergone a horizontal expansion pattern. Present expansion program implemented by the city administration is through intervention projects that are large in scale and size. Bole Kotebe, Bole Bulbula, Makkanisa Labu and Keraniyo Booke are peripheries of the city where the largest projects of residential expansion are being implemented dislocating the farming community from these areas. This study investigates the effects of the expansion of the city on the livelihood of the dislocated farming community in these areas. Household survey, participatory group discussions and key informants interviews were used to assess the situation. The results of the study indicated that the implemented expansion program is not participatory and have marginalized the farming community. The compensation schemes envisaged for the loss of assets excluded youth and women. The dislocation program implemented is not rehabilitative and negatively affected the livelihood of the dislocated farming community. Furthermore, the study revealed that women and children are major victims to livelihood crisis. The coping mechanism/strategy adopted by the majority of the dislocated farmers is casual that is directly or indirectly dependent on agriculture, which is being vanished in the area. Dislocation program that may be proposed in the future needs comprehensive planning and implementation to ensure community participation and create alternative livelihood.

Key words: urban expansion, dislocation, displacement, and livelihood, farming community, compensation, periphery and Addis Ababa.

CHAPTER ONE

INTRODUCTION

1.1 Background of the Study

Urbanization and urban growth are considered as a modern way of life manifesting economic growth and development. However, urbanization and urban development in Ethiopia faces a number of socio-economic problems due to its fast pace (Tegenge 2000:1). Ethiopia has long-term experience in urban settlement like Aksum, Lalibela and Gondar. However, there was no fixed capital until Menelik II occupied the southern parts of the country and settled at Finfinne, which latter named it Addis Ababa.

Unplanned settlement and slums characterize Addis Ababa, the capital city of Ethiopia (Tegenge 2000:1). This character is highly correlated to the historical background of its establishment. The settlement pattern practiced was parcelling the conquered land to the feudal chiefs, and garrison of the king following the military hierarchy. This traditional feudal settlement of land holding was practiced over the extended forest and agricultural land. The chiefs, *Dejazmaches* and *Rases*, were given large forest and farmland around the royal area and they in turn divided these into plots to their immediate subordinates to settle in the traditional feudal manner and built their own houses on their extended holdings (Pankhurst 1962:32).

Foreign experts prepared Master Plan for Addis Ababa during the Italian occupation (1935-1941) though it was not put into effect. However, the Italians extended the settlement pattern and left their marks (Horvath 1966:45). Until 1952, there was an increased number of population growth in the city that may be due to change in the economic base created during Italian occupation (Solomon 1986: 38). After liberation, land was given to royals while the farmers became tenants and large areas of urban land have been also allocated to the nobility and the churches. In early 1960s the church owned "12 percent" of the cities or "212 square kilometre" (Pankhurst 1962:52).

The church took not only large areas of urban land but also dominant site of the central land. An unplanned and scattered growth pattern of the city was created because of this unbalanced and unplanned distribution of land. From 1952-1961 the population growth of the city decreased most probably because of the increase of other emerging urban centres in the country (Solomon 1985: 39). Since the late 1960s, Addis Ababa being the seat for the administration of the country, head office of Organization of African Unity (OAU), branch offices of the United Nations, head office of the United Nation Economic Commission for Africa (UNECA), and diplomatic machines and residence had increased in population and physical area. In addition to its natural increase, Addis

Ababa has a primate city character with in migration from all regions that added up its population growth. Administrative reclassification of rural areas in the periphery to urban settlement extended urban settlement adding to its physical growth. The combined effects of these factors have brought a significant effect on urbanization and expansion of Addis Ababa (Bekure 1999: 16).

After the 1974 Ethiopian revolution, the Derg nationalized urban land and extra houses and transferred them to a public property. Their management was put under central economic system. The administration and social changes that the Derg introduced had brought significant change on the utilization of urban land. No land was provided legally to individuals for any kind of construction, for the improvement of the city or residence. Inner city became densely populated with no improvement in house provision to meet the increasing demand. Latter squatter settlement and illegal land transaction intensified in the peripheries leading to the extension of Addis Ababa to the periphery.

The increasing demand for residential use forced the Derg administration to adopt self-help housing cooperative system. Accordingly, the city outskirts occupied by farmers were allotted to new settlement for houseless urban dwellers. This new form of urban land expansion to rural farming community intensified dislocation of farmers from their farmland and property, which was a kind of eviction without compensation (Birke 1997). It was in this system that more than 25 Peasant Associations (PAs) of rural farming community administered under adjacent Woredas were included under the Addis Ababa Administration. At the end of the 1980s, housing construction with low bank interest set by the system induced many dwellers to construct houses, which contributed to the increase of the value of the urban land.

After the overthrow of the Derg regime in 1991, the Transitional Government of Ethiopia introduced free market economy and recognized the problems Addis Ababa is facing in its horizontal growth. It was agreed to limit its expansion to the place where it was before 1991 and to give due attention to its vertical growth. This was not, however, practiced because of the following reasons as indicated in the City Government's five years development strategic plan 1997-2001.

- Vertical growth poses problems to bring change in urban development since the majority of the Addis Ababa city dwellers are poor to develop the city and cannot afford to construct high-rise dwellings;
- Private investors are attracted to Addis Ababa and nearby area as a potential area for investment because of its accessibility to market/export and its relatively developed infrastructure;

- The required development plan of action in renewing the city requires space for resettlement area in the periphery; and
- Addis Ababa became a chartered city with autonomous administration that need to cover its cost from the income generated from the dwellers through extending private investment and creating work opportunity that requires vast space.

The Federal Democratic Republic Government of Ethiopia has considered the urban space as an important element in the over all strategy of the development of the city. The Addis Ababa City Government Charter proclamation number 82/1997 was revised and replaced by proclamation number 361/2003 that gave full autonomy to the City Administration. This proclamation was meant to empower the Addis Ababa City Administration (AACA) to make the city a suitable urban space for work and residence fulfilling modern standards, maximizing the achievements of its development objectives and coping with time through self-renewal.

Accordingly, the Addis Ababa City Administration put long and short-term plans to alleviate inner city problems and to work on inner city renewal in line with free market economic policy by creating open space for private investment (AACA 2000: 10-12). In the process of creating open space in the inner city, urban displacement and relocation of the occupants to the periphery on agricultural and forestland became a necessity which resulted in dispossession and dislocation of farmers.

On the other hand, Addis Ababa has attracted a large investment in the country. For example, in the first five-year strategic plan of the Federal Democratic Republic of Ethiopia (FDRE) government (1997-2001) 54 percent of the total private investment applications submitted in the country requested to invest in and around Addis Ababa (AACA 1997:7). This demand is met by converting large tracts of forest and farmland into urban use.

The overall trend and picture of Addis Ababa's population and area growth pattern indicates that it is the most accelerated growth rates in the world. This accelerated growth is also accommodated by the conversion of agricultural and forest land to urban settlement. Although it is a young city compared to several other urban centres in the country, it has grown from simple military settlement "large number of tents" in 1886 Pankhurst (1962: 35) to large metropolitan city covering about 54,000 hectares today. This indicates that the city has been encroaching more than 400 hectares of agricultural and forest land into urban administration for urban land use every year.

This on going expansion process captures less the views of farmers who were forced to leave their land and property. Therefore, the effect of these processes of urban expansion on the surrounding farming community needs to be clearly known in order to reduce the negative impacts.

1.2 Problem Statement and Justification

Displacement due to urban sprawl is more significant in the developing countries than the developed countries because the majority of the people in developing countries live highly concentrated in the periphery depending on agriculture with fragmented land holdings. This is particularly so in developing countries like Ethiopia where land remains public or government's property and amount of compensation paid, in case of possible displacement, depends on government decision. In many ways urban expansion is a spontaneous phenomenon that leads to spontaneous growth displacing rural farming community (Tegegne 1999:69). Even planned displacement has its own effect on the livelihood of the affected farmers. The effect of urban development or expansion on the rural farming community where agriculture is the mainstay of livelihood like Ethiopia is a least studied area.

Addis Ababa, the capital city of Ethiopia, is expanding fast in all direction except in the northern part due to geographical features. As a result, it is creating a continuum with suburbs like Burayyu to the Northwest, Sabata to the Southwest, Akaki and Dukam to the Southeast and Laga Dadhi to the Northeast. This expansion has influenced the surrounding farming communities, often leading to forced displacement. It is obvious that rural communities surrounding the expanding city has an advantage due to high land value, access to the urban services and urban rural development linkages or the *trickle down effect* of development. Despite this opportunity, rural communities around the city face problems of socio-cultural, economic challenges, environmental deterioration and land tenure insecurity (Feleke, 2003:2). Access to and sustainable use of land for agriculture in urban periphery is now becoming a critical issue for many areas of Ethiopia. This indicates what Carter (1995:262) stated that the residents of the rural community around cities face joblessness, landlessness, and low access to social services especially women and children.

Ethiopia is now espousing privatisation and investment to bring change in the economy of the country. "Although the need for more investment in the Ethiopian economy is justified, the likely negative impacts of investments (displacements of original land holders, loss of livelihood means, impacts like deforestation, etc) are part of the real worry" (Berhanu, 2003:8). The problems of the rural community in urban periphery arise from exclusion of the original settlers from the city centre and the available services and the pressure of city extension on the

productive farmland (Carter, 1995: 299). Both sources of these problems are observed around Addis Ababa.

Ethiopia is one of the low urbanized countries having 14 percent urbanization level in 1994, which is less than that of other African countries (Tegegne 2000; Yeraswork and Fantu 2003). As Addis Ababa is expanding in area coverage and population size, the conversion of peasant farm and grazing lands into urban use by municipality directives is becoming significant. A recent study showed that 14 Peasant Associations with more than 6000 households are to be affected by the expansion of the city (Feleke 2003:2). According to Feleke (2003:26), "The urban land lease policy is not very friendly to rural households in general and the poor land holders in particular. The policy has not taken into account the lives of rural peasants living in the vicinity of Addis Ababa. As a result, the implementation of the policy has been marginalizing the rural settled peasant communities". The non-farm based economic sector was not developed to absorb those displaced from farming, most of which are unskilled labour. This indicates that the non-integrative type of urban expansion or development-induced displacement has negative effects on those marginalized rural communities and forces them to live in poverty, food insecure and hopelessness. This is because forced displacement can destroy community's previous means of livelihood and introduce new way of life that in most cases is less supportive than the previous (Mejia 1999:156).

Although Addis Ababa City Administration has put in place some benefit package, little is known how displacement and relocation is mediated, the livelihood of the displaced is protected and the nature of the relationship between urban expansion and the periphery. This requires an assessment of the existing social, economic, institutional and organizational structures and dislocation procedures that dealt with people who are affected by the expansion of the city with a view to identify gaps and areas for improvement.

On the other hand, the rural farming community has little knowledge and know-how to adapt to the situation of urban life as most of them is unskilled to compete for urban job opportunity. As a result most of the dislocated families could be exposed to impoverishment. Especially, the livelihood strategies of those farming community for who own farming was providing sufficient livelihood can be exposed to economic and social problems that lead them to impoverishment. If the expansions of urban settlement continue to the periphery, one can imagine that many rural people will soon face a crisis in their livelihood and will be exposed to social and economic deprivations. Therefore, research that assesses the effect of urban expansion on the livelihood of the dislocated farming community is expected to play an important role in designing sound strategy and policy.

1.3 Objectives of the Study

This study examines the livelihood situation of the dislocated agricultural communities and assesses the effect of urban expansion at the community level in the peri-urban area of Addis Ababa. It also tries to suggest the organizational and institutional set up that should be in place at community level in order to mitigate the negative impacts of displacement.

The specific objectives are:

- To examine the urban expansion program of the Addis Ababa city in the peripheral areas in general and the schemes of benefit and methods of integration in particular.
- To identify the effects of urban expansion on the affected community in terms of livelihood and land use change.
- To assess and evaluate the perception of the dislocated people in terms of satisfaction regarding benefit packages provided by the City Administration.
- To identify the role of governmental institutions and Non-Government Organizations (NGOs) to help bring harmony in development that accommodates the dislocated.
- To provide suggestions for peri-urban development following urban expansion.

1.4 Research Questions

1. What are the factors that contributed to urban expansion in Addis Ababa?
2. What is the nature of the urban expansion program?
3. What are the effects of urban expansion program on the rural community? Is it participatory?
4. What is the perception of the affected community on the appropriateness of benefit packages provided to compensate for the dispossessed material and disturbed or lost social values?
5. What are the present household coping mechanisms and livelihood strategies of the affected farming communities?
6. Does the current urban land use create favourable environment for sustainable livelihood improvement for the affected community?
7. What role can Government Organizations and NGOs play in supporting the dislocated farming community in peri-urban areas (in terms of capacity building, integration, and strengthening community institutions)?

1.5 Significance of the Study

Urbanization and Urban expansion in less developed country like Ethiopia is an issue given due attention by scholars and state administration for various reasons. One of the reasons is the need to minimize negative impacts of urban expansion in economic, social and environmental impacts, to bring mutual development and symbiotic integration of the rural and urban life that foster social and economic development.

Today, urban expansion for development and resettlement is broadly observed in the city of Addis Ababa. If urban expansion is inevitable, due to induced development or socio-economic factors of the society, it must be considered in a manner that protects the livelihoods of the affected people. "If this is not done, then some people will share in the gains, while others will share only in the pains, of development"(Cernea 1995: i).

Urban development and urban rural linkages have been addressed by a number of studies. But limited studies exist on urban development influence on the peri-urban areas. Hence, there is a huge information gap on the effect of urban expansion on the livelihood of the community surrounding cities. This study is intended to fill this gap. Knowledge of the nature of displacement and dislocation of the community in and around Addis Ababa due to urban expansion could give clues about the nature of urban development and coping strategies of the community in the periphery of large cities.

The study, by examining the livelihood of the dislocated rural community at household level, will provide information for policy makers, planners and urban management to evaluate their development programs and strategies. It also indicates areas of intervention for concerned government and non-government institutions involved in the development process.

1.6 The Scope of the Study

The study was conducted in Addis Ababa, the capital city of Ethiopia. The city has been expanding especially horizontally at a varying pace in different directions. This horizontal expansion of the city to the periphery has intensified the transformation of rural settlement into urban land use in all directions, namely, Bole-Kotobe (kebele 14/15), Bole Bulbula (kebele 17, 19, 20), Makkanisa Labu (Kebele 01/02, Dhertu Labu) and Keraniyo Booke (Kebele 06), which are also the subject of this study.

These areas are where farmers have already been evicted from their farmland and residence to make way for urban settlements. The assessment of the effect of urban expansion on the rural farming community was based on household heads that took compensation in cash for the loss of

farmland and residence and offered planned urban housing plot in the area for reconstructing their house. The primary data and information were collected in March 2005.

1.7 Methodology of the Study

In order to make a closer investigation of the effects of urban expansion on local community's livelihood situation, attitude and perception, data / information was collected from the localities covered by the study by means of structured interviews, and participatory discussions. Accordingly, the required data / information were obtained from both primary and secondary sources. The primary data were collected from household surveys and through participatory approach, which included focus group discussions, key informants interviews and cases of the displaced community. Guidelines / check lists and both open and closed ended questionnaires were used. Secondary data are collected and used from the relevant literature and institutions. Thus, the method of data collection are, deskwork, interview with sample household heads, participatory group discussions and interview of key informants from the community and officials from relevant bureaus and offices.

1.7.1 Deskwork: Review of Pertinent Literature

The deskwork involved review of relevant literature and data/information including geographical information from the National Urban Planning Institute, the Addis Ababa Policy Study and Plan Commission, the Addis Ababa Land Development Agency, the CSA and the Internet.

1.7.2 Household Survey

The household survey is used to collect quantitative data on specific livelihood attributes related to the process of urban expansion and its implementation. Structured and unstructured questionnaires are developed, pre-tested and used to collect data on economic, social, environmental situation, conflicts over resources due to the expansion and disposition to the livelihood of the peri-urban farmers. The questionnaires / guidelines were prepared on the basis of the list of indicators that cover at least those issues/topics indicated in the objectives of the study, grouped under:

- Community participation;
- Benefit packages; and
- Implication of expansion.

1.7.3 Participatory Approach

Participatory group discussion with men, women, and youth of the affected community were conducted separately to elicit data pertinent to community feelings, perceptions and perspectives on how things have been conducted and should have been conducted. To this end, three focus

group discussions one from each social class (men, women and youth) with a minimum of five and maximum of ten members in each kebele was randomly selected and conducted.

Besides, broader issues on economic, social, environmental and political effects of urban expansion on the livelihoods of the peri-urban farmers were raised and discussed with the key informants from the community, kebele administration and relevant sectoral offices of the City Administration including Addis Ababa Land Development Agency. Accordingly, three key informants two from the community and one from the kebele administration altogether 12 key informants have been interviewed in each kebele. Furthermore, three key informants have been interviewed from the Addis Ababa City Administration offices of relevant departments. Cases on coping strategy of individual dislocated farmer household heads complemented the issues raised by the key informants. The important aspect of this participatory inquiry is that it helped us explore past problems, assess present situations and anticipate future directions of livelihood strategies of the farmers in the peri-urban areas.

1.7.4 Sampling Frame

Sub-cities and kebeles where dislocation has already taken place were purposely selected for the study. Hence, Bole, Nefas-silk Lafto and Kolfe-keraniyo Sub-cities and four kebeles in these Sub-cities were selected purposely. In each kebele, a list of the affected households was then generated from roasters of kebele administration, to form the sampling frame.

1.7.5 Sample Size and Selection of the Required Samples

Standard statistical approach was used to determine the desired sample size as in the following equation.

$$n = \frac{2z^2 pq}{d^2}$$

- Where:
- n = the desired sample size,
 - z = the standard normal deviate set at 1.96 which corresponds to the 95 percent confidence level,
 - P = the proportion of behaviour under study set at 50 percent,
 - q = 1 - p,
 - d = desired precision of results set at 0.05, and
 - 2 is the correction factor.

A total of 205 sample households (i.e. about 47% of the total dislocated households) were considered for the study. Proportional allocation of the sample was made on the basis of size; a measure of size being the total number of dislocated farmers within each kebele. The required

sample households were then selected randomly within each kebele. Table 1 provides sample distribution and the corresponding target population in the study area.

Table 1: Distribution of the sample by the study area.

Zone	Kebele	Total number of households given housing plot	Number of sample households	Sample as a % of total household
Bole	Bole Kotobe	130	60	46
	Bole Bulbula	145	68	47
Nefas-Silk Lafto	Makkanisa Labu	111	52	47
Kolfe Keraniyo	Keraniyo Booke	54	25	46
Total		440	205	47

1.7.6 Data Analysis

Quantitative data collected from sample household heads were processed and analysed using the Statistical Package for Social Scientists (SPSS). Quantitative and qualitative data gathered through participatory assessment involving key informant interviews, focus group discussions, cases, and observation and assessment of the researcher were processed both manually and electronically to complement data from the household interviews.

1.8 Limitations of the Study

Urban expansion to the periphery has caused displacement, dislocation and dispossession of the rural farming community in the periphery. The study was based largely on household heads who were dislocated and those who obtained compensation in cash and housing plot. Therefore, the selected sample household heads may not adequately represent the characteristics of all farmers affected by the urban expansion. In particular, those household heads who did not possess housing plot were not represented in the study. In addition, detail information on household material possession and utilization of incomes were not covered by the study to make comparison of their previous and present possession possible.

1.9 Organization of the Thesis

The thesis is organized into five chapters. The first chapter introduces the background of the study, problem statement and justification, objectives of the study, research questions, and significance and the scope of the study and methodology used to assess the problem.

Chapter two deals with review of literature. The third chapter describes urban expansion and the farming community setting up the historical background, expansion trends, city characteristics,

population and demographic aspects, and urban land use and the farming community in the periphery of Addis Ababa. The report is based on the results of the analysis of these data.

Chapter four discusses the findings of this thesis covering descriptive and qualitative analysis of the survey data. The chapter describes the expansion program and the farming community in the study area; effects of the expansion program implementation on the farming community; and the current land use and livelihood strategy of the dislocated farming community; and goes on to discuss the areas of intervention by government and non-government organization. The final chapter provides conclusions and recommendations of the study.

CHAPTER TWO

LITERATURE REVIEW

2.1 Causes of Urban Expansion

The expansion of urban to the periphery is derived from two sources namely urban development and urban population increase. The first source of urban expansion to the periphery is stirred up by the 'economic development projects' or 'urban clearance' or 'industrialization'.

Space is needed for industry, socio-economic infrastructure, communication and road networks that require reorganization and redevelopment of the space already inhabited (Cernea 1995:41). This need for space induces extended urban settlement to rural territory that had been already occupied by perhaps rural farming community. Urban growth will then compel displacement, which requires intense rehabilitation program.

The second reason for urban expansion to the periphery is urban population increase. In the middle of 1990s the world population was assumed to be 5.8 billion, which the United Nations estimated more than 6.5 billion at the end of 1990s. By the year 2025 it is assumed to reach 8.5 billion of which over 84 percent live in developing countries (Todaro 1997:189). The rate of population growth in developing country is very high as compared to developed countries.

Natural population growth is a major element in urban growth for all countries, but rural urban migration contributes even more in many developing countries (Gugler 1996:9; Balchin, Isaac and Chen 2000:41). Migration contributes to fast growth of urban population due to the economic development that attracts people to urban nuclei for commerce, employment and education. Of developing regions, Africa shows the highest urban population growth with faster urbanization (Foeken and Mwangi 1998:19; Nuwagaba 1996:16; Gugler, 1996: 4).

As urban population increases, there must be space to accommodate these populations. People compete for the site first for residence and second for investment depending upon accessibility within the urban framework. The structure of local government and its policy may or may not be favourable to the community who are supposed to leave their place of habitual residence to accommodate the increasing population in urban settlement. Therefore, urbanization and urban growth has become central problem in the conversion of agricultural land to non-agricultural use. "The poor farmers are the net losers while largely better off urban settlers get the benefit of obtaining land at subsidized prices" (Mohan 1996:127).

2.2 Nature of Urban Expansion

Cities keep on growing because of its popularity as a place to live and work, and as a centre of trade, culture, education and birthplace of technological innovation (Oberai, 1993, Carter, 1995, Nuwagaba 1996, Foeken and Mwangi 1998, Adell, 1999). Despite this however, there is no consensus regarding the shape and size of a growing city. Two major arguments are forwarded as to the shape and size of cities.

The first argument states that compact cities are important features of sustainable urban development in the future. The compact city has dominated many historic European cities and the European Community was the strongest advocate (Jenks, Burton and Williams 1996:4). A compacting city entails higher density development and helps reduce demand for space and travel distance. Urban residents enjoy lower transport expense and power costs. It also reduces potential farmland encroachment by urban uses and makes most effective use of urban land (Hillman, 1996: 42).

The second argument rejects the compact city and argues that compact city is unsustainable and unacceptable since the benefits obtained from compaction do not outweigh the losses to the social, economic and natural environment. Stretton (1996:51) in his study of urban compaction in Australia argues that loss of urban consolidation is higher than losses from extended urban settlement to the periphery and that solutions lie in reforming transport system rather than imposing compaction to the cities.

There are others who favour neither compaction nor expansion of cities advocating for elements from both views. This argument promotes urban regeneration strategies and new intra-urban environmental initiatives in line with the compact city argument and favours controlled direction of inevitable expansion to the periphery to support a full range of facilities and to the sites that cause the least environmental damage as for the compaction view (Breheny, 1996:32).

Compact city development strategy has more recognition and is recently accepted for social and economic utilization of resources although developing countries rarely exercise compaction. Urban Expansion is mostly uncontrolled that one often sees overcrowding (slum and shanties) and extended unplanned settlement with acute shortage of infrastructure in one part and unutilized or partially developed vacant land on the other part.

2.3 Consequence of Urban Expansion

There is no specific theory to study the effect of urban expansion on rural farming community in the periphery. Scholars in the field of development have argued the issues of urban development

and growth from different perspectives. The interaction of urban to rural was described in modernization theories of economic development. The main paradigm in this regard is the structural transformation model formulated by W. Arthur Lewis in the mid 1950s. The main focus of this model was the transfer of agricultural labour and growth of output and employment to the modern urban industrial sector through wages that is higher than subsistence agriculture. The theorist postulated that the city offers cost reducing advantages in economic, social and cultural amenities. However, this structural transformation has historically a great deal of upheaval, conflict, dislocation and human degradation in which the process involves winners and losers.

In contrary to this structural transformation theory the dependency theory maintains that cities grow parasitically by exploiting and holding back their surrounding regions. Established economic development in the city is only at the expense of the surrounding areas (Balchin, et. al. 2000: 58).

The rapid urban expansion in developing countries is usually associated with unplanned development in the periphery that requires high cost of infrastructure. It is also evident that even in planned activity the development of infrastructure usually does not correspond to the large tract of land that develops in a low-density pattern. Thus urban expansion consequently results social, environmental and economic problems to the society.

2.3.1 Social Consequence of Urban Expansion

Urban expansion causes displacement, dislocation and segregation that result in social fabrics disorder. People in the extended urban areas “live still partly rural and where many of the residents live in the country but are not socially and economically of it” (Carter, 1995: 303). They usually do not participate in the planning and design of resettlement and dislocation options as well as the distribution of associated costs or benefits.

Since social infrastructure is concentrated in the centre people in the extended area rely on proximity to facilities. This involves long commute for work, market and other basic social needs. Low-income households will continue to live in such sever social constraints in the periphery. There is also a possibility of isolation from the city development and sandwiched between the rich creating class difference. This began to accelerate the migration of the disadvantaged groups particularly the farming community who already inhabited the area.

Even urban rich or middle class incomers whose income permits to commute perhaps many could be attracted to the liveliness and benefits of the facilities in the centre. Thus the community in the

periphery could face problems of survival strategies, solidarity network, and systems of power to which the social and economic activities are linked to their original location (Mejia, 1999:183).

2.3.2 Environmental Consequence of Urban Expansion

In many of the developing countries urban expansion is at the expense of productive and fertile agricultural farmland and forest. Thengvel and Sachithanandan (1998:89) discussed the cases of Madras Metropolitan Area of India; the residential area that was 3,318 hectares in 1964 increased by three fold and became 20,747 hectares in 1991. Egypt lost more than 10 percent of the countries productive farmland to extended urban settlement (Hardoy et. al, 2001, cited by Minwuyelet 2004:18).

On the other hand, urban expansion is not accompanied by environmental protection system. Urban waste rely on open canals, open drains in the road side and holes in the ground as regular means of waste disposal particularly in expansion areas. This exposes the dwellers to sanitation related disease and air pollution. In addition to the farmland, environmental resources such as clean air and water, peace and quite, access to the countryside and recreational facilities are environmental values that the rural farming communities loose due to urban expansion in the periphery (Balchin et al., 1995: 189).

There are environmental pressure groups to fight such expansion of cities to the periphery in developed countries. For example, in England there are national pressure groups like the Council for the Protection of Rural England (CPRE), the County Landowners Association (CLA) or National Farmers' Union (NFU) that seek to protect the farmland against urban encroachment (Herington, 1989:37). In developing countries such social groups are rarely found. Hence, the loss of farmland and forestland with its ecosystem for urban use is free and fast.

2.3.3 Economic Consequence of Urban Expansion

In developing countries people are migrating to urban centres. From the centre the poor move to the periphery for urban renewal or squatting. These areas need provision of infrastructure like road, power line, water pipes and drainage line. This requires high development cost that draws on the financial capacity of the municipal government. In many cases the municipality cannot afford to provide and people remain deficient of basic means of life. Because of this most of the residents are exposed relatively to high cost of living. There is also limited work opportunity in the area. The challenge is perhaps more intense to the dislocated and evicted farming community since they loose their means of livelihood.

2.4 Urban Expansion and Livelihood Strategies in the Urban Periphery

The economies of the developing countries are growing at lower rate than population growth. Especially, fast growing urban population and economic problems have rapidly increased the number of urban poor. Due to lack of alternative means to regular employment, urban poor has several survival strategies.

The main strategies are categorized as urban strategies and rural strategies (Foeken and Mwangi 1998: 19). The urban strategy is divided into two urban non-farming strategies and urban farming strategies. The urban non-farming strategies include all income-generating activities outside income derived from agriculture. These are mainly household activities (cooking and washing) and economic activities which include informal enterprises (open air vehicle repair and washing), metal works, carpentry, petty commodity trade, local brew making, prostitution, formal employment, house maid and daily labour.

Similarly, urban farming strategies are activities deployed on farm by those who have access to a piece of land outside or within the city boundaries. "In order to make ends meet, many poor urban households fall back on farming activities, either within the city boundaries or in the rural areas" (Foeken and Mwangi 1998: 19).

"The ability to pursue diversified livelihood strategies is dependent on the basic material and social, tangible and intangible assets that people have in their possession" (Scones 1998:7). From economic point of view assets that is seen as capital from which livelihoods are constructed include natural (land, water and the bio-network), economic/financial (basic infrastructure, cash, credit and saving, tools and technology), human (labour, skill, knowledge, ability and health), and social (institutions, affiliations, social claims and networks) (Scones 1998:7, Ellis 2000:33-37).

Urban expansion limits the ability of the dislocated farming community to possess asset or capital to diversify livelihood strategies. Livelihood diversification of rural people is dependent on natural capital mainly land and its resources. As urban extends to the periphery and encroaches the rural farmland, this livelihood means is used up

CHAPTER THREE
URBAN EXPANSION AND THE FARMING COMMUNITY IN THE PERIPHERY OF
ADDIS ABABA

3.1 Historical Background of Addis Ababa

Addis Ababa is located at 09° 02' Latitude and 38° 44' Longitude with an average elevation of 2408 meters above sea level having an average minimum temperature of 5C°, maximum temperature 27C°, and average annual rain fall of 1188.27 millimetre (CSA, 2004 and Addis Ababa City Administration, 2000).

It is not exactly agreed as to when Addis Ababa was established as a city, but it became emperor's (Menelik's) residence between 1886 and 1891 (Horvath, 1966:51; Solomon 1985: 35). It was around 1886, as documented in many literatures of Amharic manuscripts, when Menelik, the king of Shoa, permeate with the desire to build the great Ethiopian empire by conquering the southern part of the country and settled at Entoto, strategic area for his governance. Entoto is found at about 2,800 metres above sea level to the north of large forested plains of Finfinne. A report from one observer indicated that back in the 1868 "Finfini" [Finfinne] has been covered by forest than other parts of Shoa and the trees composed in the forest were unique (Pankhurst 1962:35).

Finfinne with mild climate, many spring water and flowing rivers and access of wood both for construction and fuel became more attractive to the King's family. Sooner when Menelik was ever more interested in expanding to the south, he moved with his wife Taitu southwards down the mountain where they spent many days around hot spring, which latter was decided as capital (Pankhurst 1962:35). As quoted in Pankhurst (1962:36), Gebre Sellassie said, "The country was beautiful. The army loved staying there. And it was Woizero Taitu who ordered that the town should be given the name of Addis Ababa" (Pankhurst 1962:35). This was the time between 1886 and 1891(Horvath, 1966:51; Solomon 1985: 35). Some Oromo nationalists strongly argue that the change of the name Finfinne was a beginning to destroy the history of indigenous Oromos who lived in the area.

The establishment of Addis Ababa was marked with the question of land tenure and tenure insecurity. Before the occupation, land was the common property of the people and was owned communally. It was confiscated and became the personal property of the king (Oromia, 2003: iii). The settlement pattern was based on the provision of the conquered land for the feudal chiefs, and garrison of the king following the military hierarchy.

"All the chiefs were allotted sections of land in the traditional manner round the royal area, and began individually to build their own dwellings...The land were allocated at Finfini

[Finfinne] in some cases to personality of state, in some cases to groups of servants or soldiers” (Pankhurst 1962:35).

The first land use patterns of Addis Ababa thus evolved by evicting the surrounding farming community to the periphery as a serf (Tesfaye, 1987). Afterwards, Addis Ababa became the political, religious and administrative centre of the country expanding horizontally to the periphery covering large areas.

Plan for the city’s development has begun after coronation of Emperor Menlik II as a king of Ethiopia that formed the base for the present structure of Addis Ababa. The foundation and early expansion of the city was started at the Menelik palace around the hot spring which served as a political centre and extended to areas of St. George Cathedral that served as a religious centre embracing the main local market centre hitherto been called Aradaa (Oromo market) (Pankhurst 1962:36). Today’s Addis Ababa is the result of sprawl to every direction around these centres.

With the introduction of modern public services, establishment of institutions and different small and large-scale manufacturing firms, Addis Ababa increased in size and population. Currently, Addis Ababa also serves as diplomatic capital of Africa. It is a seat for International Organizations including the United Nation Economic Commission for Africa (UN-ECA), Office of the African Union (AU) and many other development and diplomatic organizations. After its establishment as a capital city, Addis Ababa has been growing fast it is rapidly growing witnessing physical, social, economic and environmental changes.

3.2 Trends and Expansion Profile of Addis Ababa

Urbanization and urban growth of Ethiopia is dominated by a primate city. The 1994 Population and Housing Census indicate that Addis Ababa has 28.4 percent of the national urban population and is twelve times larger than the second largest city, Dire Dawa. According to the Ethiopia Statistical Abstract 2004 projection, Addis Ababa houses 24.73 percent of the national urban population and ten times higher than that of Dire Dawa town.

This urban primacy indicates that the city dominates other centres in terms of attracting people for various reasons. This resulted in physical expansion of the city to the rural farming community in the periphery. Table 2 shows the physical growth of the total municipal areas of Addis Ababa since 1961.

Table 2: Area covered by Municipal Administration of Addis Ababa

Years	Area in hectares	Increment in hectares
1961	21,800	-
1984	22,200	400
1994	53,014	30814
2000	53,014	-
2005	54,000	986

Sources: Computed from data found from OPHCC (1987: 9); CSA (1995:11, 1999:13, 2004: 24); ORAAMP (1997: 19)

The data reveals that a considerable the amount of rural farmland including forest and grazing land have been incorporated to Addis Ababa city administrations for urban land use purpose in the years under consideration. The period between 1984 and 1994 was the time when large areas of land, embracing about 25 peasant associations, was incorporated to the municipal area to get space for residence for the established housing cooperatives.

On the other hand, the Office for the Revision of the Addis Ababa Master Plan (ORAAMP) has assessed the expansion trends of Addis Ababa in different periods. The assessment indicates built-up areas of the city in different physical expansion period. Figure 1 below shows the trends of expansion of the city since its establishment.

According to ORAAMP (1999: 17), the physical expansion of the built-up area of the city of Addis Ababa was divided in to five development periods. That is,

- Original development (1887-1936);
- Expansion between 1937 and 1975;
- Expansion between 1976 and 1985;
- Expansion between 1986 and 1995; and
- Expansion between 1996 and 2000.

The first period is the early development period that took place from 1887 to 1936 and is known for its haphazard and extended settlements of military camps and the landlords' occupation of large compound as 'sefer'. The result was a fragmented growth. The extended area was between Gulale and Eeka West to East and Entoto and Bekulo-Bet North to South. In this period, the total built up area was 1863.13 hectares. Assuming constant growth in each year the average growth of the built up area was 37.26 hectares per annum.

The second period between 1937 and 1975 was the time after Italian occupation. This was the time when relative improvements were made in consolidating the fragmented settlement pattern. In 42 years time the total built up areas of the city increased by 3.25 times to that of the first period and reached 6050 hectares. If there were constant growth per year, the average built up area was 99.69 hectares per annum.

The expansion during this period was held to the west and largely to the south where the existing and the anticipated airport were situated (Amos 1962:8). These are areas towards Akaki, Kaliti, Nefas-Silk, Makkanisa, Alert, Burayu, and Bole Kotebe. The expansion of the city to the southern sector of the city evicted the farming community from the Bole areas and moved them to the South to Bole Bulbula. Bole was naturally a fertile and plain productive agricultural farmland. Those farmers from Bole expressed this fact in their festive dance by saying “Boole dur qamadii magarsa amma ayyaritu irra marsa” meaning ‘Bole used to be wheat growing area, today aircrafts are hovering/flying over it’. There are pocket areas surrounding the Bole international airport known for their wheat production still today.

The third period of physical expansion categorized by ORAAMP covered the years from 1976 to 1985. In these nine years period the total built-up area of the city had reached 10,838 hectares with an overall increment of 4,788 hectares. With a constant growth rate, the yearly average built up area was 532 hectares, which are 5.3 times the second period and 14.28 times the first period. Bole, Kotebe, Makkanisa, Gulale and part of Kolfe, Alert to Raphi and Nifas-Silk (which comprises of Akaki and Kalitii district) are major sites incorporated into the built up areas of the city during this period. Urban settlement was extended to the periphery evicting the rural farming community.

This high change in urban built up areas in a short period of time was perhaps due to radical political and economic changes that took place in the country since 1974. Particularly, it seems that the nationalization of the urban land with loose control and management system opened free movement for squatters and speculators. However, it was in this period that the housing shortage in the city was most acute felt and the government encouraged large-scale construction of dwelling units through the established housing cooperatives.

The fourth period of physical expansion runs from 1986 to 1995. Similar to the third period, this is also a nine years period in which the total built-up area of the city has reached 13,763.3 hectares with an increment of 2,925.3 hectares. The annual average built up area in this period was 325 hectares, which is higher than the first and the second period but less than the third. The expansion of the city took place to the West to Ayer Tena, Kolfe Keraniyo and Asko; to the

South to Makkanisaa and Kalitti; and to the East to Kotebe, Bole Garji and Bole Erer; and to the North of French Embassy.

This was the period when the Derg regime became weak and a change of government occurred. In the transition period squatter settlement increased more and contributed to the physical expansion of the city. For example, out of the total housing units built in the city from 1984 and 1994 those built by squatters were 14,794 or 15.7 percent (Minwuyelet, 2004: 39).

The fifth physical expansion period covered the years 1996 - 2000. In this period the total built-up area reached 14,672.7 hectares with an increment of 909.4 hectares. The total increment was 227.35 hectares per annum. The expansion took place to the east to Kotebe area (for residence and some industries); to the south Kalitti and Makkanisaa area (dominantly planned for both residence and industry), to the West along the road to Jimma and Keraniyo (mainly housing both formal and informal), and along the road to Ambo (mainly formal housing). Though the increment decreased from the previous period, it is still high with scattered and fragmented settlement. This was the time when the administration of the city restructured into sub cities and kebeles by proclamation number 311/1995 articles 13/1/A and 66/2.

There is no data to show the current period (2001 to date) built up area of the city; however, the trend shows high rate of increment. In this period 23 Peasant Associations (kebeles) with total areas of 37,564 hectares were annexed to the city Administration (ORAAMP 2002). Agriculture is still the source of livelihood to the members of these peasant associations. However, with the restructure of the City Administration, the institution (responsible for management of the agriculture sector) that serves these farmers by providing agricultural extension services was disintegrated, with a concomitant effect of reducing the advantages they get from extension services.

Generally, the trend of Addis Ababa's physical expansion shows rapid horizontal expansion both planned and unplanned. The overall expansion direction was mainly southwards, eastwards, and westwards along four outlets of the city (excluding Fiche road mainly due to its topography). This rapid horizontal expansion indicates the rapid encroachment of the farmland by the urban settlement. It also created formidable problems to the residents and the farming community in the periphery that could be problems of deprivation, lack of access to essential basic services, and inadequate income for their survival (Tegege, 2000: 67).

3.3 Basic Features of the Addis Ababa City

3.3.1 Population Growth

Three-quarters of the world population growth occurs in urban areas of developing countries while only one-third of the population of Africa and Asia live in urban areas (UNCHS 2001:3). The level of urbanization of Ethiopia is comparatively low on global scale and low even by the African standard. Despite this low level of urbanization, Ethiopia has high rate of urban population growth. The growth is without proportionate development in the socio-economic service and infrastructure, and the economic capacity of the urban centres to support the increasing population size (Tibebu 2001:4).

Addis Ababa, the capital city of Ethiopia, is among the fast growing cities of Africa both physically and population wise. In 1910 the population of the city was only 65,000 and in 1935 the population of the city grew to 100,000 (Solomon, 1985:36). The primary census result of the city held in 1961 indicates that the city had a population of 443,728 (OPHCC 1987: 9). The following table illustrates the population growth patterns of Addis Ababa since its establishment.

Table 3: Patterns of change in population size and average annual growth rate of Addis Ababa City

Years	Population	Average Annual Growth Rate
1910	65,000	-
1935	100,000	2.1
1952	327,000	13.4
1961	443,728	4.0
1967	633,530	7.1
1978	1,167,315	7.6
1984	1,423,111	3.0
1994	2,112,737	3.3
2000	2,495,000	2.6
2005	2,887,000	2.7

Sources: Compiled from data found in Solomon (1985:36); OPHCC (1987: 9); CSA (1995: 11; 1999: 13; 2004: 24)

Natural increase and substantial migration are main factors contributing to the fast growing population of the city. The data revealed that there was exceptionally high average annual rate of growth between the years 1935 and 1952. This was perhaps due to established road network and

work opportunity created by Italian Administration in its short rule of the country that attracted people to urban settlement.

During the period 1952-1961 the average annual growth rate of the population decreased. From 1961-1978 the population grew at an average rate of about 7 percent per annum, which has dropped by more than half and 3 percent per annum between 1978 and 1984. This decline seems due to the political unrest in the country since February 1974 revolution.

The data also indicates an upward trend in between 1984 and 1994. This was perhaps partly due to instability and war in the northern and western parts of the country so that people fled to the city because of war displacement. From the 1994 census onwards the population growth rate projection shows declining trend but did not keep constant.

Generally, the over all picture of Addis Ababa city's population growth pattern reveals accelerated urban growth. Thus high population growth and haphazard nature, which has unleashed tremendous agglomeration of unplanned and shanty settlements in the periphery with high population density in some parts of the center characterizes Addis Ababa City.

As regards to the rural farming population under the municipal administration, available data shows that about 49,000 people inhabit a total area of about 195,000 hectares including forestland around the city in 1961 (Amos 1962:7). According to the CSA, the current population of the farming community administered by the City Administration is estimated to be more than 148,575 or 25,741 households of which 69,518 (47%) of the population or 11,546 households are residing in urban areas with an average household size of 5.8 persons (CSA 2003: 31).

3.3.2 Migration

Addis Ababa attracts a large number of migrants from all regions in the country. According to the CSA, migrants account for 46.5 percent of the population in the City. Drought and famine, demobilisation of soldiers (after the fall of the Dergue regime and the Ethio-Eritrea conflict during 1998-2000) and displacement of people due to conflicts have increased the level of migration in Addis Ababa. For example, 113, 418 migrants flooded Addis Ababa during Ethio-Eritrea conflict and at the end of 1997 there were 53, 000 migrants in the city (AACA 1997:40).

These conditions are partly checked by the absence of a national urbanization policy that guides the city size, the rural urban migration and the overall mix and roles of urban centres in the country. Migrants driven out of their normal location due to adverse socio-economic or culture reason are burden to the city and the dwellers and are the causes of urban expansion. They also

Land, a fundamental means of production, is the source of livelihood and means of income or life insurance for rural farming community. Growth and development of the farmers is surely dependant on the land they are farming. The settlement of the agricultural community in the periphery is characterized by high crude population density of 187 people per square kilometre when compared with national average that is less than 60 people per square kilometre (ORAAMP 1999:3). The land use pattern is dominated by cultivation of cereal crops and grazing. The recent trend of the Addis Ababa city expansion in the form of residential settlement, resettlement and industrial development caused dislocation, displacement and dispossession of the farming community from their farmland.

3.4.2 Interaction / Linkages

Different studies have indicated the need for mutual relation of urban and rural. A more specific relation concerns that urban centres provide market service; access to job and the use of public services; specific agricultural inputs and consumable items; introduce new techniques of production methods and serve as social communication centre.

On the other hand, the rural sector provide raw materials for industry in the urban centre, serve as potential market for the output, provide labour and consumable agricultural products (food and food items) and serve as source of power and water. The nature of rural economies determines the intensity of the linkages between rural and urban (Tegenge 2001:13).

There is high interaction between Addis Ababa and its periphery due to proximity. However, the linkages are incomplete due to inaccessibility and absence of public services at the peripheries (ORAAMP 1999: 11). Indeed, the rural communities around Addis Ababa have poor access to social service from the outset of its establishment. Lack of appropriate policy, institutional set up and planning coordination has resulted in weak urban network, uncoordinated periphery development, environmental degradation and poor communication with the periphery (ORAAMP 2002: 18).

CHAPTER FOUR

FINDINGS OF THE STUDY

4.1 Expansion Program and the Farming Community in the Study Area.

The foregoing chapters outlined the expansion trends of Addis Ababa and the interaction with its periphery setting a contextual framework for the study. This chapter presents the research findings and discussions covering the study area, factors to physical expansion of the city and dislocation program and the farming community in the study area.

4.1.1 Description of the Study Areas

The administrative structure of Addis Ababa has three levels. These are the central city administration, sub-cities and Kebeles. The city is divided into six sub-cities and about 128 kebeles. The study areas are found within the city in three sub-cities (viz, Bole, Nefas-Silk Lafto and Kolfe-Keraniyo) and four kebeles as shown in Figure 2.

Urban expansion project to the study areas were designed and implemented by the city administration. The main objectives were to get space for shelter development within the urban plan. About 20,000 urban housing plots were designed and proposed for construction in three study areas Bole Bulbula, Makkanisa Labu and Keraniyo Booke (ORAAMP 1989:1). Similarly, parts of Bole Kotebe were also put under urban settlement in the same project that was designed to pay compensation and supposed to rehabilitate the affected farming community.

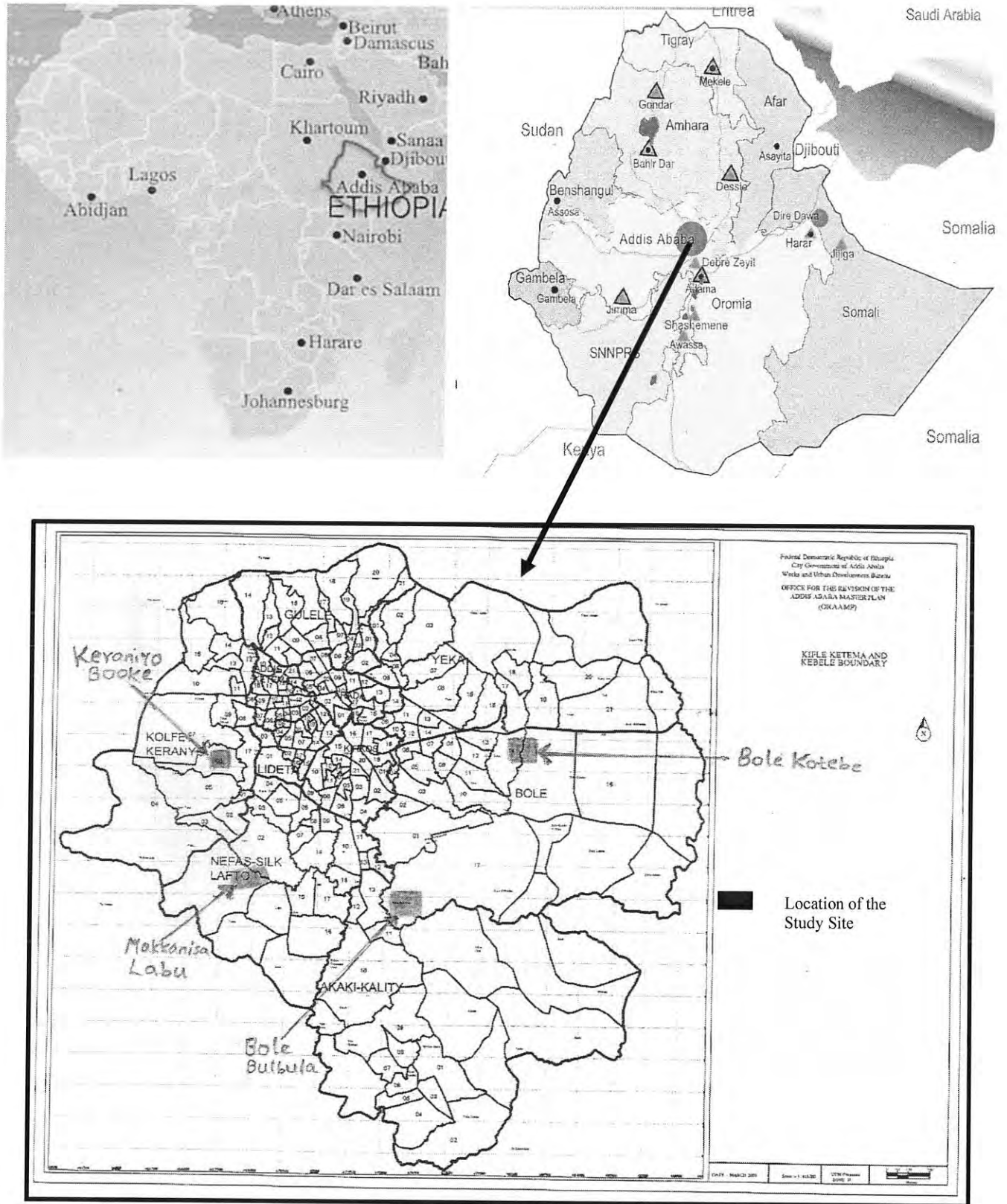
Bole Kotebe is the first study Keble, found in Bole Sub-city, known for its large residential investment sites like CMC and Hayat Real State. The area is endowed with high supply of construction stone locally known as 'Kotebe' stone. Bole-Kotobe is presently named kebele 14/15 and located 8 kilometres from the centre, Lagahar, to the East of the city. It had 1232.96 hectares of land with a total population of about 3,452 when administered by Peasant Association before dislocation (ORAAMP 2002: 6). Existing and potential quarry sites that serve the city in supplying construction materials are found in this kebele.

Bole Bulbula kebele is the second study area also found in Bole Sub-city, specifically located south of Bole Airport. It is presently named kebele 17, 19, 20, and located at about 9 kilometres from the centre. There is a potential gravel quarry in the area that supplies many dump trucks daily. It had a total population of about 3,302 and 1179.29 hectares of land when administered by Peasant Association before dislocation (ORAAMP 2002: 6).

The third study area is Makkanisa Labu in the Southwest of the city, which is found in Nefas-silk Lafto Sub-city at about 8 kilometres from the centre. This is where urban expansion is being

intensified along with the construction of the Ring Road. The site includes the dislocated Labu and Dhertu agricultural community known for both crop production and animal husbandry. The dislocated farmers are settled across and at the foot of Furi Mountain in the present Kebele 01/02 Dhertu Labu. It had a total population of about 1,864 and 621.33 hectares of land when administered by Peasant Association before dislocation.

Figure 2:- Location of the Study Area



Source: Office for the Revision of Addis Ababa Master Plan (ORAAMP), 2003

The fourth study area is Keraniyo Booke, which is found in the West of the city in Kolfé-Keraniyo sub-city to the north of the World Bank Housing Project. Similar to the other study areas, it is an intensified urban expansion area dislocating the rural farming community. The locality is presently named Kebele 06. It had a total population of about 720 and 240 hectares of land when administered by Peasant Association before dislocation.

4.1.2 Factors that Brought the Rapid Physical Expansion of Addis Ababa

Addis Ababa is established in unplanned manner and shows paradoxical situation in its development and growth (Tegegne 2000b: 70). This paradox is manifested by shortage of facilities and the increasing population, poor creative capacity of the livelihood strategy and weak linkages to the periphery (Tegegne 1999:69, ORAMP 1999: 4). Apart from its paradoxical situation, Addis Ababa is still expanding in different directions. According to key informants, the main causes of the rapid physical expansions of Addis Ababa city to the periphery are categorized as the lack of appropriate urban planning intervention, limited range of function of the city, lack of appropriate policy strategy and lack of stable and capable administrative organization.

Addis Ababa throughout its history had experienced different plans prepared in different regime, which were not fully implemented. As discussed in chapter three, until the arrival of the Italians in 1936, the development of the city was largely influenced by its spontaneous growth in all directions at the expense of its periphery (ORAAMP 2002:6). Even after the liberation no significant changes had been made in urban planning. Of all the plans prepared for the city, the one prepared by the British planner Sir Patrick Abercrombie in 1956 and the Master Plan of Addis Ababa prepared in 1986 have significant impact in managing the horizontal expansion of the city. However, they were not fully implemented due to different economic, social, administrative and political factors. For instance, in 1986 master plan of the city the interventions proposed in redevelopment, infill and densification of the centre was not implemented due to lack of finance (ORAAMP 1999:9). The most common planning experience in the settlement pattern was distribution of plots both for residence and investment in the periphery. This has actually aggravated the horizontal expansion of the city.

With regard to urban policy, Ethiopia does not have a policy that directs development patterns of the cities. The administration of the cities was based on directives; rules and regulations that only solve particular problems and implement limited alternatives. The lease policy that is concerned with the transferring urban land by lease or contractual bases is a case in point. Leasing urban land is claimed to have many advantages: one of which is to serve as the source of revenue for

urban development. However, the lease rate set in Addis Ababa has the tendency of intensifying the physical expansion of the city since prices are high at the core and low at the periphery. The lease price of urban land in core areas ranges from 1,911.97 to 3,719.54 Birr per metre square while the lease price at the out skirt is 205.10 Birr per metre square (Sisay 2002: 45). This variation encouraged investors to lease land in the periphery. Hayat Real Estate and Ropack International, which moved about 15-20 kilometres from the centre, may evidence this fact. The rise in price in the centre also favoured middle class squatters and speculators to occupy large tracts of land in the periphery that intensified rapid physical expansion of the city.

Addis Ababa, with the highest concentration of basic service facilities per population than other centres in Ethiopia, enjoys a 'privileged position' (Tegenge 2000b: 70). This position with its limited range of function has played an important role in attracting migrants from different areas. The high population concentration intensified the problem of housing. Demand for housing increased at higher rate than its supply encouraging both unplanned settlement and planned urban expansion in the periphery. The former had significant impact in urban sprawl. According to the city administration, out of the total housing units built in the city between 1984 and 1994 about 80 % of them are constructed without plan. This was much contributed by the emergence and development of squatter settlements that caused rapid urban settlement expansion of the city to the periphery. As population increases in the city, the city administration plans to move to the periphery in search of space for accommodation. In this regard not only residential areas are needed but also space for investors who seek to get land in the city. According to the 2000 report by the city administration, out of the total investment requested to invest in the country, Addis Ababa shared 54 percent. To meet the demand, the city administration adopted plot parcelation and distribution at large scale that increased horizontal expansion of the city.

Incapable and unstable administrative system is the other reason for the rapid expansion of the city. The city administration was strongly influenced by policies of the government and is subjected to change its structure with political motives of the government. As the change occurred in the management system, there was also reshuffling of human and material resources that took some time to reorganize and commence the system. Unstable and incapable administration system has loose implementing capacity of the existing plan giving a room for the unplanned expansion of the city. Even though plans are formulated, the overall effects of these plans are in significant due to lack of detailed legislation in implementing the plan and administration system capable of enforcing the planning segments.

The expansion of Addis Ababa is followed by loss of agricultural land, deforestation, loss of environmental protection and loss of resource (mainly minerals). On the other hand, the degree of

the physical expansion of Addis Ababa out paced the provision of basic urban services of the city administration. This was significant as one move from the centre to the periphery. The aforementioned factors have potentially influenced the expansion of the city to the periphery. Recently, government had intended to intervene in urban renewal and new provision of urban housing plot to solve the housing problems in the city through new projects at the periphery.

4.1.3 The Dislocated Farming Community in the Study Areas

The total farming community affected by the newly designed urban expansion projects (from 1997-1999) of the city administration were 731 households or about 4390 people while those who obtained housing plot in replacement were said to be 453 household heads (Table 4). The difference, 38 percent of the households were either those who have agricultural land but do not have residential settlement in the project area or those who were left aside for unknown reason, which requires further investigation to know their position.

Table 4: The dislocated farming households for Addis Ababa city development expansion and benefit packages provided in dislocation (1997-1999)

Development Expansion Site	Area taken for Development (Ha)	Dislocated farmers (H.H)	Benefit Packages in Birr	Residential area replaced (M ²)	Farmers Obtained Housing plot Replacement (H.H)	Purpose of development	Year of Implementation
Bole Kotebe	222.43	205	7,219,241.09	39,770	130	Residence	1999
Bole Bulbula	560	186	10,848,844.11	45,690	145	“	1997
Makkanisa Labu	470	172	10,548,495.69	35,240	111	“	1997
Keraniyo Booke	520	168	7,395,269.01	20,900	67	“	1997
Total	1772.43	731	31,011,849.90	14.16 hectares	453	Residence	1997-1999

Source: Addis Ababa City Administration Land Development Agency (December 2004).

4.1.4 Demographic Characteristics of the Dislocated Farming Community Covered by the Study

Demographic characteristics of the sample dislocated respondents by age group, gender, marital status, religion, ethnicity, educational status, and total household members are shown in Table 5 below.

Table 5: Population characteristics of sample dislocated household heads

General characteristics	Zone /Kebele	Bole		Nefas-silk Lafto	Kolfe Keraniyo	Total	Percent
	Particular	Bole Kotobe	Bole Bulbula	Makkanisa Labu	Keraniyo Booke		
Age of Respondent (group)	15-29	1	1	3	1	6	3
	30-49	35	30	27	14	106	52
	50-64	14	19	12	6	51	25
	65 and above	10	18	10	4	42	20
	Total	60	68	52	25	205	100
Sex of Respondent	Male	51	49	38	18	156	76
	Female	9	19	14	7	49	24
	Total	60	68	52	25	205	100
Marital Status	Single			2		2	1
	Married	49	47	36	18	150	73
	Divorced		2	2		4	2
	Widowed	9	13	8	7	37	18
	Separated	2	6	4		12	6
	Total	60	68	52	25	205	100
Religion	Orthodox	59	68	49	25	201	98
	Muslim	1		3		4	2
	Total	60	68	52	25	205	100
Ethnicity	Amhara	19	14	22	3	58	28
	Oromo	41	54	30	22	147	72
	Total	60	68	52	25	205	100
Level of Education	Illiterate	30	40	33	13	116	57
	Read and write	13	6	2	1	22	11
	Primary (1-6)	7	11	11	6	35	17
	J/ Secondary (7-8)	5	3	4	1	13	6
	Secondary (9-12)	5	7	2	4	18	9
	Tertiary (12+)		1			1	0
	Total	60	68	52	25	205	100
Total Household member (group)	1-5	12	21	17	12	62	30
	6-10	44	41	33	12	130	64
	11 and above	4	6	2	1	13	6
	Total	60	68	52	25	205	100

Source: Survey data

The table shows that about 80 percent of the sampled household heads are economically active while 20 percent are older. The male and female ratio in the sample household head is 76:24. In terms of education the highest proportion (57%) is illiterate which is very high by the city standard; which is 16% percent including rural areas (computed CSA 1994: 121). Ten percent of

the household heads can read and write, about 17 percent has reached primary and only 15 percent attended secondary school. Seventy two percent of the dislocated sample households are Oromo and the rest are Amhara. The most common languages spoken are Afaan Oromo and Amaharic.

The respondents have a minimum of one and a maximum of 16 household members with an average family size of 6.68 per household, which is higher than the national average (5.58) and that of Addis Ababa (5.1). This indicates that there is a high family burden among the dislocated farming community.

4.1.5 Community Awareness of the Expansion Program

As mentioned in the literature review, awareness and participation of the community in development is the bases for its sustainability. In this regard, an attempt was made to assess whether the affected community had been aware of the expansion program going on in their area and about the change in their mode of life.

Key informants from the city administration indicated that the communities in each project area have conducted series of meetings and were made aware of the expansion program. They stated that the kebele and Peasant Association (PA) leaderships have played vital role in organizing the community meetings and discussions. The information from community focus groups and key informants from communities is contrary to that of key informants from the city. They stated that, first some group came, told them that they are studying the farming situation of the area and interviewed those whom they encounter in the village. The community took normal agricultural survey. After some time they were told to stop farming for the expansion program in a meeting held in their respective kebeles.

The household survey result with regard to awareness of the urban expansion program in their vicinity is similar to that of community focus group discussions and key informants. The result indicated that the majority (60%) of the sampled household heads were not aware of the urban expansion program in their vicinity while relatively considerable minority (40%) replied that they were aware of the urban expansion program in their vicinity.

Those who replied that they are aware of the urban expansion program in their vicinity were asked how they obtained the information. An overwhelming majority (about 98 %) of the respondents replied that they got the information through mass orientation (see Table 6 below).

Table 6: Percentages of sampled household heads (HHs) by means of awareness /information

Means of awareness/information	Number of HH	Percent
Through mass orientation	79	98
Through formal training or seminar	2	2
Total	81	100

Source: Survey data

The case of Yeka Taffo peasant association is the extreme one. A study on the displacement of Yeka Taffo Peasant Association for Hayat Real State Development showed that there is no consultation of the affected community in the program. As a result displaced community panicked in the last decision and reacted aggressively (Feleke 2004: 496). This indicates that the farming community does not have information on the expansion program.

4.1.6 Benefit Packages Envisaged in Dislocation Program and the Reaction of the Dislocated Farming Community

4.1.6.1 Benefit Packages Envisaged in Dislocation Program

According to ORAAMP (1989: 3), the government's promise is to provide the affected farming community with payment compensation for assets used (i.e., for the change in the mode of life, for outputs from the livestock, for housing construction in the new project area), housing plot for residence including quarantine for their livestock and the rehabilitation program packages.

Regarding the compensation program, the great majority (in some areas all) of the sampled household heads agree that the government promised to provide compensation in cash and made other promises such as opportunity to job, housing plots and access to services in that order of importance (see Table 7 below).

Table 7: Benefit packages promised and obtained due to dislocation

Category label	Promised		Obtained	
	Count	Percent of Cases	Count	Percent of Cases
Compensation money	205	100.0	197	96.1
Housing plots	174	84.9	141	68.8
Access to services	168	82.0	33	16.1
Opportunity to job	200	97.6	16	7.8

Source: Survey data

Household responses, however, vary in terms of benefit obtained. The data shows that those who obtained compensation in cash and housing plots were 96 and 69 percent respectively. Community focus group discussion and key informants have the opinion that this variation had occurred due to lack of uniformity of the action in time of dislocation. The variation was significant in Bole Bulbula where the farming community has retained occupation of land in the original location with some modifications in some parts.

The key informants further indicate that settlement pattern of Bole Bulbula was set previously during the villagisation program of the Derg regime. In the new dislocation project, farmers who were outside the previous settlement were immediately paid and moved to the settlement site. In focus group discussions it was clearly stated that farmers who were housed in their original settlement were not given attention and their possessions were not valued for compensation while others claim it was given to them (conflicting of interest among the displaced farmers as they compete for the plots). It appears that many of the focus group discussants are confused and worried with what is going to happen to them in the future.

What is more revealing about variation in the compensation scheme is considerable minority (24 %) responded that they did not get compensation for their building (see Annex Table 1). Of these respondents about 76 percent replied that they used remittance while about 12 percent replied that they got gift in cash from relatives and the rest said that they used own reserve and loan for the reconstruction of their building (Annex Table 2).

It was noted that cash compensation effected for the dislocated farmers was calculated to be Birr 3.75 per square meter for agricultural farmland and Birr 1.75 per square meter for grazing land. Payment rates for other permanent assets such as building, plants and livestock by-products were not clearly known by the community. The Municipality determines the payment while the community does not have say on the amount and time of payment. The money was paid to the dislocated farmers in three instalments, in a range of six to twelve months, through bank. Each recognized dislocated farmer has his/her own account which he /she draws out the money when released. It was indicated that this process has both positive and negative effects on the utilization of the money. Its positive effect was that it introduced them to the use of bank and helped them not to spend the money at a time. It has also negative effects on some of the community members since it made them not to use the money at the time they want.

With regard to the utilization of the money, it was argued that very poor household heads used the money for consumption goods and left their family homeless while there are also some others who got rich and involved in business work owning dump trucks and Isuzu. Most have exhausted

the money for consumption and construction of residential buildings and currently are in search of different sources of livelihood.

The re-location sites did not have access to basic social services before dislocation. Bole Bulbula and Makkanisa Labu still do not have road, which is basic to the movement of people in search of job. Except for electricity for which people contributed to get access, most of the respondents indicated that they have limited access to most of the social services as shown below:

Road	62 %,
Water supply	71 %,
School	87 %,
Telephone	85%,
Clinics and other health institutions	67%,
Public transport	94 %,
Municipal refuse collection	100%,
Natural resource conservation and recreation	100%, and
Credit service facilities	97%.

Resettlement has a positive change and positive influence in terms of access to electric power. It was shown in Annex Table 3 that about 87 percent owned private meter, 11 percent shared private meter, and only 2 percent are with out access to electric power.

The job opportunities in the dislocated area are scarce except the ongoing construction, which has decreased from time to time. It is indicated that about 20 percent of the sampled respondents stayed jobless in the last three years (see Annex Table 4). At the time of this survey, out of the total 205 sampled household heads 51 (25%) replied that they don't have work. Of those who have work 64 (42%) responded that they do work as a daily labourer while 57 (37%) are self-employed (Table 8).

Table 8: Percentages of sampled household heads by employment type

Occupation	N ^o of HHs	Percent
Self employed	57	28
Government employees	14	7
Private institution employees	11	5
Non-Governmental Organization	8	4
Daily labor	64	31
Unemployed	51	25
Total	205	100

Source: Survey data

In fact daily labour appeared to be the most accessible job to the most (98%) of the respondents (see Annex Table 5) while only 31 percent of the respondents have been working as a daily labour at the time of this survey (Table 8 above).

The rehabilitation program package envisaged includes support and provision of different small-scale projects that create work opportunity, organizing the dislocated farmers into cooperative or private limited company; training in different fields to improve employability. The package also includes provision of basic social needs in resettlement area.

Provision of basic social services and income generating activities as well as empowering the community in decision-making process are important aspects of the package in rehabilitating the dislocated farming community. The effectiveness of the training given to enhance skills and capacity of the community was assessed in this study. As indicated in Table 9 below, an overwhelming majority (94%) of the sampled household heads responded that they did not get any kind of training. The proportion of household heads who responded that they have got training is insignificant. Eighty five percent of those who get training responded that they have got basic skill training of attitudinal change (see Annex Table 6).

Table 9: Percentage of household heads response whether training obtained

HHs Response	No of Respondents	Percent
Yes	13	6
No	192	94
Total	205	100

Source: Survey data

According to the information from key informants and focus group discussions, the government started to provide training to capacitate the dislocated farming community at the beginning, i.e., at the time of dislocation. The main area of training was technical including sewing, driving vehicles, and masonry and carpentry work for 10-15 household members who live on farm work as labourer and for those who work with their family in each kebele. One or two of the trained members, by chance, participated in the youth focus group discussion in each kebele and all of them said that they did not get job in the field of their training. Some of the reasons mentioned were: the training given was theoretical than practical and designed for short term (3-6) months; lack of economic background to practice the training; lack of access to work in the trained

profession in the area; lack of finance to move to other areas to work in the trained profession; and lack of support and basic skill to create own private business.

The group discussion further indicated that the rest of the dislocated community members did not get the training for unknown reasons. This means that there is no effective training or advice provided to capacitate the dislocated farming community other than mass orientation at the kebele meeting on the last day of dislocation.

4.1.6.2 Reaction and Attitudes of the Affected Community towards the Benefit Packages

4.1.6.2.1 Reaction of the Community

The reaction of the community towards the expansion program was assessed through group discussion with women and youth group (Figure 3).

Figure3: Women in focus group discussion



Women in a focus group discussion, Makkanisa Labu (Photo by Feyera Abdissa, AAU, March 2005).

The group stated that, in kebele meetings, the community refused the program. They further stated that officials from the city administration including the city mayor accompanied by armed force came to persuade the community and warned the people that 'if somebody refuses the program, he/she will be evicted from the land which is government's property without any compensation'. Everybody kept quite and was forced to accept what ever the program was

supposed to provide for them. The male focus group members indicated that each member of the community has objected the implementation of the expansion program at the beginning. Soon after, most of the community members tried to accept the program

The reaction of the sampled household heads to wards urban expansion is similar to the information from focus group discussions. The majority (84%) of the respondents mentioned that they first objected but finally forced -in fear of losing the envisaged benefit packages from the city administration-to accept the program while 27 percent objected to the last day till their assets are bulldozed by the city administration (see Table 10 below).

Table 10: Percentages of household heads by reaction towards the expansion program

Reaction	N ^o of HHs	Percent
Agreed without objection	5	2.4
Objected and forced to leave	27	13.2
First objected but finally accepted	173	84.4
Total	205	100.0

Source: Survey data

4.1.6.2.2 Attitudes of the Community

To understand the attitude of the dislocated farming community a question related to their satisfaction regarding the benefit packages allotted to them was forwarded. As indicated in Annex Table 7, the majority (59%) of the sampled household heads replied that they are dissatisfied with the benefit package allotted to them; about 25 percent replied that they are satisfied with it while only one percent of the respondents replied that they are highly discouraged and dissatisfied. The rest about 15 percent said that they are indifferent

Their dissatisfaction is expressed in many forms. Most (55%) of the respondents replied, for instance, that they were not satisfied with the location of their new residence as they were not allowed to reconstruct in the area according to their preference. Information from the community key informants and focus group discussion also confirmed this opinion. They argued that the area given to the dislocated farmers to construct their residence was outside the centre on the marginal land or on gorge or steep slopes of the riverside used by the new city dwellers as a waste dump. They stated that because of the wastes in their area, their animals die from eating non-edible materials such as plastic and poisoned food items. Inability to cover the cost of living including cost for food is the other reason forwarded for dissatisfaction with their new location. The remaining 45 percent of the respondents were satisfied with the location of their residence (see

Annex Table 8). However, the majority (71%) of the sampled households replied that they were satisfied with their new house or building compared to their previous house while 29 percent replied that they were not satisfied with their new house (Annex Table 9). Reasons stated for dissatisfaction include no improvement and incomplete housing condition.

Table 11 below shows out of the benefit packages provided to the dislocated household heads the majority (59%) of them were happy about the housing plot, 30 percent were happy about in getting compensation money, six percent were happy about services including job opportunity and the rest (5%) were not happy about any element of the program. The women focus group especially emphasised the importance of housing plot.

Table 11: Choice of household heads to the benefit packages provided

Benefit category	No of HHs responded	Percent
Compensation money	61	30
Housing Plot	120	59
Access to service	4	2
Job opportunity	11	4
To none of it	9	5
Total	205	100

Source: Survey data

People were free to file their complaints or disappointment regarding the benefit packages. Thus 37 percent of the sample household heads applied their complaint to the concerned institution (Annex table 10). On the other hand, the focus group discussions revealed that those who did not apply their complaint held their grievance assuming that they may not get favourable solution. Of those who applied their complaint, an overwhelming majority (83%) replied that they got unsatisfactory response (Table 12).

Table 12: Percentages of household heads by level of satisfaction for complaint application

Category label/ level of satisfaction	N ^o of HHs	Percent
Satisfactory	11	14.7
Unsatisfactory	62	82.7
Disappointing	2	2.7
Total	75	100.0

Source: Survey data

4.1.7 Community Participation in the Expansion Program

Participation of the community in decision-making process was negligible. According to key informants the programs are planned and prepared at higher level of the city administration. The community is represented on the implementation program either through the kebele administration or community elected committee. The different focus group discussants also argued that the community has symbolic representation in decision-making process and even in the process of implementation.

On the other hand, the survey data from the interviewed household heads does not confirm the participation of the community even in the implementation of the decision making process. About 16 percent of the respondents replied 'yes' for the question whether they participated in decision-making process and in the implementation of the dislocation program (Table 13).

Table 13: Household response to participation in decision making

Response	No HHs responded	Percent
Yes	32	16
No	173	84
Total	205	100

Source: Survey data

The respondents were also asked on whether they have representative in decision-making on benefit packages allotment. The majority (94%) of the respondents said that they had representative (Annex Table 11). About 46 percent of the respondents who had representative replied that they were represented through elected committee (see Table 14).

Table 14: Percentages of household heads by mode of representation

Mode of representation	N ^o of HHs	Percent
Through local community institutions	48	24.9
Through elected committee	89	46.1
Through individual interested group	3	1.6
Through Kebele Administration	53	27.5
Total	193	100

Source: Survey data

Regarding the decision makers in determining the amount of benefit packages to the community, the majority (78%) replied that the government body (city/kebele administration) was the main decision makers while the remaining proportion (22%) replied both government body and the

local community representatives (see Annex table 12). There was no evidence for the local community representatives as the main decision makers.

The implementation program lacks participatory development methodologies that can minimize the negative effects of urban expansion on the means of livelihood of the dislocated farming community. Thus the execution of urban expansion program in the periphery had created hardship and pain to the dislocated farming community, which in turn threaten the sustainability of any form of urban development undertakings (Feleke 20004:495).

4.2 The Effects of the Expansion Program Implementation on the Affected Farming Community

The main problems the community in the periphery face as urban expands towards them have been displacement and or dislocation that induce falling incomes, rising cost of living, and inadequate access to basic services such as water and sanitation (UNCHS Habitat, 2001:13). As rural farmers in the periphery abandon their occupation and dislocate, they are subjected to change to the new mode of life. In this regard, attempt was made to assess effects of dislocation due in economic, socio-cultural, environmental and livelihood dimensions.

4.2.1 The Effects of Urban Expansion on the Assets/Capital of the Dislocated Farming Community

Assets are stocks of capital considered as basic building blocks upon which households depend to generate the means of survival which includes natural, physical, human, financial and social capital (Ellis 2000:31). The asset situation of the dislocated farming community has been affected as discussed below.

4.2.1.1 Effects on Natural Capital

Natural capital comprises land, water and biological resources. These resources became limited as urban settlement extended towards the periphery. Agricultural land was put under construction for urban settlement, and springs that were sources of drinking water deteriorated due to over utilization and some of them dried up. The interviewed household heads have lost an average of 2.55 hectares of agricultural farmland due to urban expansion although some household heads still have farmland. Those groups who still have farmland are those who used some of the compensated money for renting farmland.

With regard to water, except in Bole Kotebe, the community indicated that they are forced to use polluted water that comes from the heart of the city. This has exposed them to different kinds of water borne diseases.

4.2.1.2 Effects on physical Capital

The physical capitals of the dislocated farming community that are related to agriculture such as drainage canals and conservation structures have already gone with land they left out for extended urban expansion. However, the positive influence of the program, as revealed by group discussion, is that buildings were improved and they are now able to have more rooms/compartments for their family than before. In Bole Kotebe study area, where the dislocated community had access to basic services such as water, road and electric power, there is remarkable improvement.

The data from interviewed household heads is also in line with this; the number of rooms made of corrugated iron sheet has increased now than before dislocation. The average number of improved rooms reported was two per household. On the other hand, thatched roof possession, which was common to all of the interviewed household heads was reduced and is now only owned as additional house by 17 percent of them (see Annex table 13). This indicates that they have reduced thatched roofed buildings and increased corrugated iron sheet residential buildings. As regards to the level of satisfaction, Annex Table 14 shows that about 64 percent of the interviewed household heads responded that they were satisfied with their new dwellings. Only 26 percent said they are dissatisfied while 10 percent said they are indifferent.

Physical assets such as roads and water supplies are absent in most residential areas of the dislocated farming community at present. As indicated in previous section, more than 62 percent of the respondents indicated that they have limited access to most of the social services with the exception of electric power.

4.2.1.3 Effects on Human Capital

The rehabilitation program designed by government was not put into effect and the issues of capacitating the dislocated farming community was left aside. The information obtained from the key informants from the city administration also indicates the same and that the program, which was designed to help farmers improve their human capital through education and practical support, is not implemented. Two factors were brought to the fore to explain the phenomenon. First, the section that was supposed to do the rehabilitation program under city administration was not organized in human and material resources to implement the program. Second, those who are involved in the dislocation and compensation program were burdened by the work they have already started in both inner and outer city displacement program. Especially, they concentrate on the inner city that put pressure on the government officials and left aside the rehabilitation program meant for the dislocated farming community. The pressure from the dislocated farmer side, on the officials of the municipality, to get what was promised to them was

very low. It was only intense when the city administration workers went to measure their land. Once the land was valued and the farmers are forced to leave the place, they did not come together in organized way to put pressure on the officials and claim what have been promised to them in the rehabilitation program.

The majorities of the youth in the dislocated farming community were jobless and are not in a position to put their labour on productive activity giving a different dimension to the problem. Focus group discussion with the youth in all areas revealed that the main problem raised was the problem of job opportunity and the dislocation program that has excluded them and made them dependant on their family at the age they could have their own house and family if they were in the farming occupation. Those who have family but do not have farmland were not included in the compensation program. The information from city administration key informants indicated that the promised compensation and rehabilitation program was to give top priority to the farmers' children aged 18 and above but it was not effected. The youth in a discussion underlined that the plot on which they already resided were either given to some body or made out of plan leaving their hope and future floating without direction.

4.2.1.4 Effects on Financial Capital

The dislocated farming communities do not have access to credit and saving facilities. The assessment of the present financial possession of the interviewed household heads showed that, about 24 percent reported some money at bank or elsewhere while 76 percent replied that they have money neither at bank or somewhere else (Table 15).

Table 15: Percentage of household response whether they have saved money at bank or elsewhere.

Response	No of HHs responded	Percent
Yes	50	24
No	155	76
Total	205	100

Source: Survey data

Although livestock are less liquid as a form of savings than cash deposit for the rural farming community, they still keep a limited and varying number of cattle, sheep, and goat, poultry and drought animals. Out of the total 205 interviewed household heads about 102 have an average of 3 oxen, 131 have an average of 2 cows, 51 have an average of 5 sheep, and 17 have an average of 2 goats at present (see Annex Table 15). They reported that about 80 percent of them keep those

assets by themselves on their plots within the given plot while 20 percent of them said they keep with their relatives somewhere else.

It was observed that few households possessed television and sofa. Two respondents at Bole Kotebe have reported that they have bought second-hand cars (Isuzu). As shown in Annex Table 16, in terms of financial assets the majority (53%) of the dislocated farming community has reported that they do not have more assets now than before dislocation while 47 percent said that they have more assets now than before dislocation. The reasons forwarded for having fewer financial assets now than before displacement included low income that is enough only for consumption (84%), lack of saving mechanism (10%), and lack of interest to own asset (6%).

4.2.1.5 Effect on Social Capital

Social assets of the dislocated farming community have changed due to urban expansion. Information from community key informants and focus group discussion revealed that the social assets usually manifested through social institutions such as *Dabo* and *Jigi* that brings them to work together were already abandoned. Other institutions like *Jigi Mallaqa* (money contribution for security in case of death of oxen and fire hazard or disaster on property) and *Jigi Farada* (horse owner groupings in support of each other to own horse for transport and for hoarse race ceremony during festivals) were also abandoned. The only social institution that did not vanish was *Iddir*, security in the case of death. Similarly, the society's original social groupings among kin in the rural life such as in coffee ceremony were limited to a few households because of dispersion of the kins and relatives in different locations.

Regarding the social relation of the dislocated farming community with their neighbours at resettlement areas, the situation does not look smooth because of the life style the dislocated farming community follow. The dislocated farming community live with their animals and use animal by-product as energy source. This life style was not accepted by the urban settlers resulting in conflicting of interest among them. This difference was significant in Bole Kotebe study area where urban settlement and segregation among settlers was intensive. Community organizations such as cooperatives and farmers associations were abandoned and replaced with urban kebele administration.

4.2.1.6 Effects of Dislocation on Education

As indicated in the above sections, the dislocated farming community does not have access to education. However, they are sending their children to school in large number than before dislocation. Sixty three percent of the interviewed household heads are sending their children to

school than before dislocation while 36 percent do not send children to school (see Table 16 below).

Table 16: Percentage of household heads response whether they are sending children to school.

Response	No of HHs responded	Percent
Yes	130	63
No	73	36
No children	2	1
Total	205	100

Source: Survey data

The reason for not sending to school was lack of access to school at large (Annex Table 17). The reason for sending large number of children to school than before dislocation is due to an increase in awareness about the importance of education among the dislocated farming community. Besides, they felt the effect of illiteracy on themselves and children are not occupied in productive activity as before dislocation. This helped parents to send more children to school.

4.2.1.7 Perception of Farming Community towards Urban Expansion

Discussants that were on the different group discussion seem to have different perception towards the urban expansion program into their area. Discussants of youth and women approve the expansion program because they believe that urban expansion is an inevitable process. They complained and commented only on the implementation program that the government did not keep its promises and excluded women and children from compensation and rehabilitation programs. On the other hand, male discussants strongly opposed and disproved the expansion program towards the periphery for it displaced them from their farm and exposed them to food insecurity and jobless.

In confirmation with the above, information from the survey data revealed that the majority (55%) of the interviewed household heads approve the expansion program to their area. The minority (44%) generally disproves the expansion program towards them while two percent are indifferent and one percent responded that they do not know.

On the other hand, high competition for job, loss of mutual trust and understanding among the members of the community, increasing loss of identity and culture, significant livelihood crises that affect the dignity, and disappointment of the members to the changes in the means of livelihood that led them to migration in that order of importance were among the negative perceptions of the dislocated farming communities on the urban expansion and dislocation

program. The dislocated farming community are also of the opinion that the program failed to protect areas that have historical, social and cultural significance to the community. In Bole Bulbula the community has asked the concerned implementing body to reserve “Abu Bulbula” community centre*.

However, their appeal did not get attention so that the place was ploughed and parcelled to residential construction by individuals. The following case illustrates the feeling of a member of the community on the neglected appeal.

Case 1.

“I am 36 and married. I learnt and get to know displacement and or dislocation. This is not our first time. Our ancestors were displaced from Bole for airport construction during Emperor HaileSELLASIE I regime. As our ancestors, the Derge regime had displaced us in the name of villegization. Now, for the third time, we lost every thing and are dislocated by the urban expansion program. We resisted the program but were forced to accept. We appealed in at least to get our historical centre, Abu Bulbula, reserved. No one heard us. [He put ironically] *bakka biraatti osoo Harreen lama dhaltee oduu guddaadha. As nubiratti osoo shan dhaltee hin odeeffamu.* [Meaning], elsewhere, if a donkey gives birth to two at a time it will be good news, in our case if it gives birth to five at a time it will not be news. Identity crisis and cultural change have become the rule of the day. Our children become emotional, unstable and uncultured. I observe some of them are smoking, gambling and drinking. We lost our social institution and respect that protect the young. What is coming now is very awful for me?

A dislocated farmer (name reserved for security) Bole Bulbula March 2005.

4.2.2 The Income Situation of the Dislocated Farming Community

This section presents the situation of income of the dislocated farming community, which resulted from the ongoing process of change of mode of life. Income is the output of livelihood process that comprises both cash and material welfare of the household developing from the contribution of the livelihood activities (Ellis 2000:11).

The majority (57%) of the interviewed household heads have reported that their annual income is worse than before displacement while the remaining proportion (43%) said that their annual income is better now than before displacement. The reasons given for low incomes include:

*“Abu Bulbula” community centre is a place where the community meet for social, cultural and institutional purposes protected from any other thing by their ancestors and the present generation.

income shared to the landowner (those whose income is still agriculture), lack of access to farmland and high standard of living. Regardless of their report of low income at present, their response on income level shows declining after dislocation (See Table 17 below).

Table 17: Percentage of household heads by income class before and after dislocation

Income class Birr /annum	Before Displacement			Present after displacement		
	N ^o of HHs	Percent	Cumulative Percent	N ^o of HHs	Percent	Cumulative Percent
0 - 3,000	87	42	42	102	50	50
3,001 - 5,000	54	26	68	57	28	78
5,001 - 10,000	53	26	94	37	18	96
Greater than 10,000	11	6	100	9	4	100
Total	205	100		205	100	

Source: Survey data

The figures in Table 14 above show that the proportion of the interviewed household heads is bigger in the lower range of annual income and lower in the higher range of annual income after dislocation. Forty two percent of the interviewed household heads earn income below or equal to a monthly income of Birr 250 per month before dislocation. From the table above we can see that of the total interviewed household heads 15 members reported that their income declined to below or equal to Burr 250 per month and declined to Birr 420 per month for 16 of the members.

Generally, the income of the dislocated household heads of the farming community is negatively affected by urban expansion (cf. table 17). This shows that the change in the mode of life due to urban expansion did not favour the dislocated farming community in improving their income. It did not cerate opportunity for diversified means of livelihood than agriculture either. The present livelihood strategy that is based on casual activities will cease up eventually as time goes on.

It is learnt that agriculture remains the main source of livelihood for many of the dislocated farming communities. Other than their effort in search of job, some of the interviewed household heads responded that they generate additional incomes from at least one of the following; viz.; farm income elsewhere and income from farm by crop sharing arrangements. It was also indicated that those who get income from farming either way are still dependent on agriculture and few has the chance of getting such income from outside. Rental and remittance are other non-agricultural activities consisting income source for few respondents. As the expansion of Addis

Ababa continues to the periphery claiming more grazing and farmland for urban settlement the dislocated farming community seem to have a dark future.

4.2.3 Livelihood Strategy and Coping Mechanism of Dislocated Families

The discussants in a focus group discussion are in consensus that in the past though there were poor among the dislocated farming community, they had no problem of food and job insecurity. Those young children who do not have land often work on farm either through contract, crop share, labour and material exchange with those who want to and unable to work.

As implementation of urban expansion program advanced the farmers were told to stop farming, though overwhelming majority (93%) of the interviewed household heads reported that they were still engaged in productive activity during 12 months of dislocation (Annex Table 18). The major activities the majority (54%) of the interviewed household heads engaged in were agriculture (see Table 18 below).

Table 18: Engagement of the dislocated farming community in productive activity during early dislocation time

Activities	No of HHs Responded	Percent
Agriculture	103	54
Non-agriculture	87	46
Total	190	100

Source: Survey data

Those who did not engage themselves in productive activities during early dislocation time responded that they relied on collecting leaves and fire wood for selling (53%), serving in someone's house (20%), consuming the saved money (13%), migrated in search of job opportunity (7%) and depended on remittance (7%) for their livelihood (see Annex Table 19).

As discussed in the preceding chapters, farmers were exposed to dislocation and forced to change their mode of life. This change in the mode of life disturbed the coping strategy and income source of the affected community. With the change in the mode of life the dislocated farming community had used different coping strategy depending on the circumstances.

About 68 percent of the interviewed household heads responded that they do not get job easily now compared to the time before dislocation. Only 32 percent responded that they get job easily

now than before dislocation. As shown in Table 19, reasons for not getting jobs were the absence of work opportunity that accommodates them (84%), too old to work as a daily labour which is available in the area (13%), and did not search for job because of competition (3%).

Table 19: Percentage of household heads response for the reasons not to get job easily now.

Reasons	No of HHs Responded	Percent	Valid percent
No work that accommodate us	117	57	84
I did not search	4	2	3
Aged	18	9	13
Total	139	68	100
Missed (those getting job easily)	66	32	
Total	205	100	

Source: Survey data

The results of the study with regard to access to job by education level showed that out of those who got access to job opportunity 52 percent were literate while 48 percent were illiterate (see Table 20 below). Since the majority of the dislocated farming community are illiterate, they had faced a challenge in coping up with the urban way of life. Information from the group discussion revealed that because of competency, dislocated farming community members could not get better job or better income except casual work. The dislocated farmers also did not get training that enhance the chance of getting employment and develop their productivity.

The gender dimension of employment shows that job is easily accessible to male household heads respondents (34 %) than female household heads respondents (27%) (Table 20). Similarly, the majority (67%) of the interviewed household heads responded that women are the major victims due to lack of job while 16 percent referred men as the major victims. Another 16 percent mentioned that both male and female is equally victim of job unavailability.

Table 20: Job opportunities by education level and gender

		Illiterate		Literate		Total		Male		Female		Total	
		N ^o of HHs	%	N ^o of HHs	%	N ^o of HHs	%	N ^o of HHs	%	N ^o of HHs	%	N ^o of HHs	%
Do you get job easily now than before dislocation?	Yes	32	48	34	52	66	100	53	34	13	27	66	32
	No	84	60	55	40	139	100	103	66	36	73	139	68
	Total	116	57	89	43	205	100	156	100	49	100	205	100
Reason for not getting job easily	No work that accommodate us	66	56	51	44	117	100	91	88	26	72	117	94
	I did not search	-	-	4	100	4	100	3	3	1	3	4	3
	Aged	18	100	-	-	18	100	9	9	9	25	18	13
	Total	84	60	55	40	139	100	103	100	36	100	139	100

Source: Survey data

4.3 Current Land Use and Livelihood Strategy of the Dislocated Farming Community

4.3.1 Current Land Use

The current land use in the study area is dominated by residential settlement. Plots are mainly used for building. The study areas accommodate the largest housing projects of the Municipality. The Urban Works and Development Bureau (AWDB) has planned to parcel about 20,000 housing plots for residential construction in the three sub-cities of Bole Bulbula, Mekanisa and Keraniyo alone. This has been under way since 1999. There is, therefore, a change in land use pattern from agricultural to urban residential settlement. The change in land use pattern in the study areas brought about changes in the mode of life of the rural farming community. Their means livelihood also changed from agriculture to non- agriculture activities. However, the change in the land use pattern has opened little work opportunity for those dislocated farmers.

4.3.2 The Livelihood Approach as a Necessity.

Necessity refers to the involuntary approaches adopted by dislocated farming community due to the eviction from access to land, loss and desertion of previous assets (Ellis 2000:55). In literature the implication of this approach is considered as negative. The result is 'a last resort rather than an attractive alternative to livelihood' (Ghosh and Bharadwaj, 1992:154, as quoted by Ellis 2000:56). In this respect, the livelihood strategy adopted by the dislocated farming community now in the study area can be characterised as survival or necessity rather than having a choice from different alternatives.

The data from interview of the household shows that the major means of livelihood of the dislocated farming community is casual work. This types of work in which they are engaged however are decreasing from time to time. In addition, the dislocated farming communities have no means and capacity to adapt to a new way of life and create in an alternative means of livelihood for themselves. They are not also organized either to have their own private business venture or engage in urban agriculture.

The survival strategies of the dislocated farming community in the study areas have similarities in most cases with slight difference in some aspects. The difference is mainly influenced by the availability of natural resource and social services in particular. To this end, Bole Kotebe is relatively in a better position in access to social service and level of development than the other three study areas. Besides, as indicated above, the area is endowed with mineral (stone) for construction and there are many quarry sites around the dislocated farmers. This has relatively created an opportunity for dislocated farming community.

The livelihood adapted by the dislocated farming community differs by age and gender. Some of the adult males work on the quarry; other work on farm by contracting land and or sharecropping while few have their own private business. Elderly household heads do not have work; some subsist on rental and few sharecropping. Male youth work on the quarry and are better acquainted with urban way of life than the rest of the community members (Figure 4). However, the farming communities have their own fear of their future livelihood, as the quarry is almost to be exhausted in the vicinity.

Figure 4: Youth (men) working on quarry



Youth (men) working on quarry, Bole Kotebe (Photo by Feyera Abdissa, AAU, March 2005).

Generally, women farmers are in difficulty to get work. Those who are married are housewife and are economically dependent on the income of their husbands. The following case illustrates the feeling of a married woman about her livelihood deprivation due to urban expansion.

Case 2

“My name is Fanose, aged 30 and illiterate. I have four children and husband. We have 8 household members. Out of these only my husband works as daily labourer and sometimes engages in some business in the town. Before dislocation, all the household members could work on our farm. I, as a woman, had my own income independently working on the

homestead and on farm. Now all has gone with our land. My family and I became dependant. I cannot work as daily labourer for two reasons. First, I really cannot cop with the situation. Second, I am married and I am not accustomed to work as daily labourer both socially and culturally. Urban life is good, but what to do for livelihood is a problem. I was working on productive activity, but now I become dependant on my husband. I have no alternative. The circumstance made me a housewife or a housemaid; I work as housemaid and wait for what my husband brings. Now I am dependent on my husband's income more than ever".

Fanose Aero, Dislocated Farmer, Bole Kotebe, February 2005.

Other study areas have similar situations except slight difference in the accessibility of natural resources. Keraniyo and Makkanisa Labu do not have potential natural resources to accommodate daily labor while Bole Bulbula, which once had the potential, is now exhausted and is now left with gravel excavation, which is done by Machines.

4.3.3 Job Opportunity and Adopted Livelihood Strategy.

"Job opportunity varies according to skills, (e.g., in trading, vehicle repair, brick making), education (e.g., for salaried jobs in business or in government), and by gender (e.g., male wage work in construction or mine vs. female opportunities in trading or textile factories)" (Ellis 2000:66). According to some other literatures, urban job opportunity that accommodates rural unskilled labor is limited in Africa. For example, in South Africa, employers are particularly selective and rewards higher quality passes with high earnings for high quality of secondary school qualification (Katapa and Swilla 1999:38). In this study, it was found that the employment opportunity of illiterate and inexperienced dislocated farming community is limited and is dependent on the preference of the employers and contractors.

This issue was considered in the feasibility study of dislocation of farmers and a package of rehabilitation program was proposed. Latter in the implementation phases the package program was neglected. Therefore, the responsibility for searching opportunity in the new mode of life has rested on the individual household heads. In this regard, it would be interesting to examine the common livelihood strategies pursued by the dislocated farmer households. Daily labour including guarding, *Gombiso* making, local alcohol making, water vending, and urban and peri-urban agriculture are the main livelihood strategies that were practiced by the dislocated farming community.

Daily Labour

The preceding sections of this paper described the main job opportunity that was available for dislocated farming community in the study area is a daily labour. Daily labour is a low paying job because it doesn't demand high level of education or skill. It involves mainly construction work in which farmers can easily participate. The focus group discussions however revealed that daily labour is also becoming competitive. The dislocated farmer and the urban unemployed often compete for loading and unloading of construction materials in the study areas of Bole Bulbula, Bole Kotebe and Keraniyo. The competition usually leads to disagreements and to the extent of fighting among each other; and often solved by the intervention of police and Kebele administration. Young and adult males of the dislocated farming community are usually engaged in daily labour and guarding. The income obtained from this activity ranges from 7-15 Birr per day that varies for non-professional and experienced worker in some profession on construction. With this condition if one works 25 days per month her /his monthly income will be 175-375 Birr which is not beyond subsistence. It is worth here to mention that the most available work, daily labour, is in short supply as the construction in the study areas are almost saturated.

Gombiso Making

In the study area, women have lower opportunity to jobs than male. Women and young girls of the dislocated farming community usually work on *Gombiso* and local alcohol making (Tella and Areqi). They rarely work as daily laborer. In Bole Bulbula, *Gombiso* has become the most important work and means of livelihood for women and girls. *Gombiso* is made from mixing water with animal dung, black clay soil and crop residues. It is also getting more difficult than before because of shortage of animal dung and crop residues. The following case illustrates how women household heads of the dislocated farming community cope up with the urban life (by making *Gombiso* that depends on agriculture for raw material requirement) in the absence of other urban job opportunity.

Case 3

First, promise me not to disclose my name. [I promised]. I am widowed, 45 and illiterate. I have seven household members. Now, I am getting worried more than ever. The money given to me as compensation was finished as we reconstructed our house. I lost my farmland due to urban expansion. As a result, we lost our crops and all by products, our trees and their leaves. What happened to me is a livelihood crisis.

“My daughter and I started making *Gombiso* as a source of income as I could not work as daily labourer. Before dislocation, I make *Gombiso* for home use once in a blue moon. Now it became our means of livelihood. We collect the raw materials (animal dung, clay soil, crop

residue and water) from the field. My daughter helps me after school and on weekends. I work five to seven *Gombiso* a day depending on availability of the raw materials. I wait for two days till it gets smooth and dry. I mix these materials and make cake on Gulanta [(seat concave in shape made of mud (see Figure 5)]. *Gombiso* commands low price but needs care because it is delicate and difficult to get to market. As it dries, I take to market for sell. I woke up at 2 AM in the morning and start walking on foot with others and reach Merkato at 6 AM (around bus station). On my back and hand I carry an average of four *Gombiso* and walk more than 15 kilometres to reach the market (see Figure 6). I wait till 10 AM to get a fair price, 5 birr each. After 10 AM, I sell the left over *Gombiso* to the retailers for 3 birr each and go back home. In doing so I could not make more than 20 birr per week in two market days [80 Birr per month]. I work this because I do not have alternative”.

A dislocated farmer, woman, Bole Bulbula, March 2005.

Figure 5 Women engaged in *Gombiso* making



Women engaged in *Gombiso* making, Bole Bulbula (Photo by Feyera Abdissa; AAU, March 2005)

Figure 6: Women carrying *Gombiso* to market for sell



A woman carrying *Gombiso* (rapped by cloth) to market, Makkanisa Labu (Photo by Feyera Abdissa; AAU, March 2005).

Local Alcohol Making

Women and girls are also found to have increasingly involved in local alcohol making. The common alcohol making in the study area are distilling Areki and Tella-local brewery. This is also casual because the customers are daily workers who work on the construction in the area. So demand for these local drinks is highly associated with availability of construction in the area. In-group discussions women engaged in this activity complained that the income is very much low. They get about 50-60 birr per month which allows them only subsist consumption.

Urban and Peri-urban Agriculture

Urban agriculture is practiced in Makkanisa Labu in some pocket areas where since there is open land. In all the study areas, the majority of the dislocated farmers commonly practice peri-urban agriculture as means of livelihood and income earning. About 50 to 64 percent of the interviewed household heads keep farm animals to secure food and source of income for the family. The following Table 21 shows the type of animal possessed by farmers.

Table 21: Percentage of household heads by possessed animal type

Type	N ^o of HHS	Percent	Average
Oxen	102	50	2.8
Cows	131	67	2.4
Sheep	51	25	5.4
Goats	16	8	4.8
Poultry	63	31	6.3
Donkey	79	39	1.8

Source: survey data

All these animals are kept on rummage around. It is not difficult to explain that still agriculture contributes significantly to the household income and food security and provides employment opportunity to some of the dislocated household heads. Despite this potential, the sector, in the context of the periphery of Addis Ababa, suffers from lack of recognition as a component of urban economy and from the absence of technical support mainly agricultural extension service. The agricultural activity practiced by this dislocated farming community is simple cereal crop production with poor farm management practice. The income from this sector has become subsistence that is less than 3000 birr per year for those who produce enough before dislocation.

Water Vending

In all study areas except Bole Kotebe, water vending is the other means of livelihood for some of the households. About 38 percent of the interviewed household heads owned an average of two donkeys as a means of income and these animals are considered as financial assets to maintain livelihood security (Figure 7). Those owners of a donkey work five to eight trips per day and earn five to eight Birr per day at one birr per trip which could make 125 to 200 Birr per month if they are able to work 25 days a month.

Figure 7: Men engaged in water vending



Men engaged in water vending Makkanisa Labu (Photo by Feyera Abdissa; AAU, March 2005).

Generally, the livelihood strategy adopted by dislocated farming community is casual and agriculture. As urban settlement intensified into these areas, these strategies are getting less dependable. At present, the dislocated farmers are attempting to send their children to school to improve their human capital. It seems that this positive aspect of urban expansion towards them also does not continue as these temporal livelihoods brought to an end.

4.4 Areas of Intervention by Government and Non-Government Organizations

There is no community development support in the dislocated farming community. The dislocated farming communities are dispossessed of their economic and social fabrics due to urban expansion. They are left with their knowledge and experience to adapt to the change in the mode of life. This is a challenge to improve the level of education and skill of the illiterate farming community who experienced only in rural farming occupation. First of all, they are not acquainted with urban work; and even if they want to engage in these activities they are supposed to compete with urban un-employed job seekers. Secondly, they did not get the necessary capacity to improve their own source of income. There is training needs for individuals, both technical and basic education).

Thirdly, there is no feasible productive development undertaking in the vicinity of dislocated farming community. Thus these dislocated farmers are in need of development program that provides them skill through learning by doing.

Finally, the farming community lost their tradition, which embrace social and cultural institutions meant for supporting each other in case of economic and social problems. These institutions used to help them also develop skills that pass to the young generation through practical exercise in their endeavours. Hence, there is a need to support re-build these institutions.

The involvement of the community in the urban development activity would contribute to its sustainability; reduce the effects of urban expansion on the livelihood. Similar to the study results by Berhanu, 2003: 8; Feleke, 2004:506, this study also showed that regarding planned expansion of Addis Ababa, the municipality was concerned with only availing land in the periphery to solve urban problems but marginalize the peri-urban farming community.

The gap is very significant in the area of capacity building. Enabling the dislocated farmer household heads and their family to cope with their problems and rebuild sustainable livelihood is very crucial. Especially, women and children are relatively victims of losing means of livelihood due to urban expansion. On the other hand, children were totally excluded from the benefit packages envisaged in dislocation. Children aged 18 and above who could be able to have their own plot for house construction and make their own family as other farmers in the farming community are totally deprived of this chance. The municipality also did not put the promised rehabilitation program into practice. These problems need intervention of the government organizations to reconsider the implementation program and think of a genuine way of integrating the community in future urban development.

The dislocated farmers argue that they should not be evicted from their farming occupation, and land without their will and consent. They underlined that the only asset they inherited from their forefathers is land on which other social, economic, physical and financial assets are built. Because of this, therefore, they need basic skill to build their capacity to create their own means of living.

Access to sustainable livelihood is a basic human right. Civic organizations have a moral duty and obligation to advocate and lobby for the respect of the right and access to a decent life of the women, men and children of the communities dislocated by the urban expansion programs of Addis Ababa.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATION

5.1 Conclusions

Addis Ababa is expanding in different directions into the surrounding rural areas with fast physical and population growth. The physical expansion of the built up areas of the city has occurred through planned (legal plot division for house construction and real state developers) and unplanned (squatter settlements). Though Addis Ababa is a young city relative to other cities in the country, it grew from small military settlement to a large metropolitan city. Since its establishment, the city has experienced a horizontal physical expansion trend that has caused eviction, displacement, and dislocation of the rural farming community from their farmland.

Recently, the rural farming communities in the periphery of the city have been exposed to displacement and dislocation by the city administration by large-scale expansion and renewal programs. These programs had dislocated about 4,390 people from Bole Kotebe, Bole Bulbula, Makkanisa Labu and Kolfe Keraniyo. The program was implemented in 1997-1999.

The central aim of the paper is to assess the effect that this legal urban expansion have on livelihood of the dislocated farming community. In other words, the paper deals with the survival strategies that are composed different activities practiced by the dislocated farming communities to cope up with to the change in the mode of life. The livelihood approach adopted by the dislocated farming community in urban settlement is not dependable and is largely based on casual subsistence activity that heavily relied on agriculture. Agricultural opportunity is getting narrower and narrower than before because of rapid urban expansion into the periphery for the purpose of urban residential settlement.

Compensation in cash for the land, assets, and provision of housing plot are the schemes applied to support the dislocated farming community sustain the effect of urban expansion. The municipality has done little to support the dislocated farming community after the payment of cash compensation. There is no organized action extended to the dislocated farming community either by government and development agency or other NGOs to help the affected and cope up with the circumstance.

The result of the assessment showed that the majority (80%) of the dislocated farmer household heads are within the working age of which the highest proportion (57%) is illiterate. The effect of urban expansion on these dislocated productive farmers has been significant as summarized below.

Community Participation

Affected farmers in urban expansion were not aware of the dislocation program and they were simply told to leave their farmland for urban land use without their consent. Urban expansion program implemented in and around Addis Ababa did not involve the community in the periphery in general and the dislocated farming community in particular. The communities did not participate in planning and the implementation of decision-making process either. As a result, the implementation of the dislocation program has marginalized the rural farming community.

Benefit Package Implementation

The expansion program has dispossessed the farmers from their land and homestead for an exchange of cash compensation and housing plot. The benefit package has helped the farming community reconstruct their house and insure security of residence. However, the compensation payment implemented for farm land and grazing lands was very extremely low as compared to the lease price set at the out skirt of the city. Thus the compensation program implemented for urban expansion has been disadvantages and also excludes women and children aged 18 and above.

On the other hand, the city administration could not help the dispossessed and dislocated rural people in restoration of their livelihood status. These people were also not capacitated to adapt to the new way of life and to the changes in the means of income. Besides, feasible alternatives were not thought to ensure sustainable livelihood as urban dwellers.

Effects on Livelihood of the Dislocated

Some dislocated household heads still work on agriculture with limited access to land, some work as daily labour; others are in deteriorating situation as a result of the change in the mode of life. The opportunity for individuals and households depends on the possession of capacity (both finance and human), access to natural resource and social situation. Changes in the mode of life resulted in poor economic conditions that forced some to engage in local alcohol making (beverage), *Gombisso* making and water vending as alternative source of income. Therefore, the livelihood strategy adopted presently by the dislocated farming community is characterized as survival or necessity other than having choice from different alternatives.

The data revealed some positive aspects of the expansion program. Improved housing condition with more rooms for the family and sending children to school than before dislocation were among the positive aspects mentioned. However, urban expansion has exposed the dislocated farmers and their family to jobless, low income and high standard of living. Women are more

vulnerable than men. Before dislocation, married women were engaged in productive activities; now they are forced to be dependent housewife.

The limited social services in the relocation have affected the diversification of means of livelihood. There is also evidence that traditional organizations, which support the communities in case of crisis, have disintegrated due to dislocation. Generally, urban expansion has negatively affected the life of the dislocated farming community by affecting natural, physical, human, financial and social assets of the farming community in the periphery.

5.2 Recommendation

- Addis Ababa is expanding at an alarming rate changing large productive farmlands to urban settlement in displacing and dislocating the settled farming community in the periphery. Consequently, farmers are exposed to joblessness and forced to depend on vulnerable livelihood that tend to add up to their poverty and food insecurity. This necessitates a more comprehensive approach to development including the promotion of a more diversified economic development in the periphery; where non-farm activities will be promoted; infrastructure development will be enhanced; and favourable conditions will be created for the better integration of the dislocated farmers into the new way of life in urban settlement
- The dislocated farming communities are now engaged in casual activities such as daily labour, urban and peri-urban agriculture, local alcohol making, water vending and *Gombiso* making, which generate low income. This underlines the need for support in terms of training, access to credit facilities, better infrastructure and market information, access to land and intensive urban agricultural production and improved productivity.
- It is evident that technical and entrepreneurial skills are needed to raise the productivity and enable the illiterate dislocated farming community to compete and possess the skills necessary to survive. Thus policies that ensure access to the rehabilitation benefits especially for women and children that enable them control and utilize the environment for improved livelihood will lead to reduction in levels of general poverty and create basis for sustainable livelihood. More attention needs to be put on creating and improving the opportunity of work for women and children. There is also a need to re-establish an office that coordinate technical support (training and education) to dislocated farming community and create stable economic environment.

- With low social and economic development in these areas the policies that evict farmers from their land without alternative means and improved capacity to expand their livelihood options and with out creating better economic opportunity need be reconsidered.
- The city administration should refrain from engaging anti farmers ownership policies and practices which can destroy livelihoods or assets and reduce income of the household through such actions as implementing horizontal expansion policy, low compensation rate, evicting farmers from their livelihood with out considering their future prospects, and ignoring their capacity to re-establish their livelihood in urban life; and devoid of agricultural extension service in the periphery.
- There are those who are affected by the dislocation but not covered by the compensation program and housing plot provision in dislocation. This needs for reconsideration of the program for those deprived of their livelihood, women and children (aged eighteen and above).
- Waste collection and reclamation program that benefit improving the community's sanitation is not organized in the area. The city administration and NGOs could train housewives and the youth on waste management and introduce waste disposal mechanisms that improve their health situation of the dislocated farmers in their new settled area.
- The trend of urban expansion program implemented so far indicated that the communities are not consulted and involved in planning and implementation. To make development sustainable in urban expansion all actors of development especially the farming communities are very crucial. Thus consensus, awareness and participation of the farming community in the forgoing programs and decision making should be given first priority before implementation of the program.
- Addis Ababa is exercising horizontal growth since its establishment. This trend has brought social, economic and environmental problems that weigh the advantage. It is necessary to change this trend and induce the policies that implement vertical growth of the city.

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Appendices

1. Conceptual Definition of Some Terminologies

Urbanization is literally known as the ratio of urban population to rural population of the state. Urbanization is defined as the continuous process of change of population from rural to urban (Bekure 1999: 2). Todaro (1995:726) defined urbanization as the growth of the urban centres both in economy and population. Unfortunately, in Africa urbanization is not accompanied by an increased economic growth. That is why the World Bank called urbanization in Africa as *urbanization without growth*. According to the Ciparisse (2003: 55) urbanization defined as “the process of development of towns and cities where population growth and population drift typically result in rapid acceleration in the size of the urbanized population”. This later definition of urbanization is more comprehensive and it fits the purpose of the study.

Urban expansion, which is synonymous with urban sprawl, is the extension of the attentiveness of people or urban settlement to the surrounding area whose functions are non-agricultural.

Urban development sometimes called urban growth mainly emphasizes economic change as a city passes different stages of growth namely, *urbanization and sub-urbanization*, and *re-urbanization* or *de-urbanization* (Balchin, et. al. 2000: 245-246). But development means different things to different people. Our very concern with the meaning of development is that focuses primarily on the economic, social and institutional mechanisms needed to bring improvements in standards of living for the mass that holds core values; *sustenance, self esteem* and *freedom* (see Todaro 1993: 16-17).

Urban periphery is an open countryside including peri-urban areas largely occupied by Agricultural communities in rural settlement pattern to which urban settlement expands. **Peri-urban** in this study can be defined as the peripheries which is administered by the city administration or Wereda administration of the regions of kebele /Peasant Associations to which urban settlements are immediately extending to rural settlements and changing the mode of life of the community from agriculture to non-agriculture. **Peri-** mean around, about, near (Clark 1985:708). Peri-urban can be synonymously used as *urban fringe*, which is an area where urban development impinges on agricultural land.

A **rural settlement** is the name given to all villages of scattered or dispersed settlements where most of agricultural communities inhabit. **Agricultural communities** are inhabitants of rural settlements that are mainly engaged in agriculture both crop and livestock production as well as forestry, fisheries and the development of land and water resource (Ciparise2003:141).

As urban expands towards the periphery, the community living in the periphery is directly or indirectly affected by displacement, dislocation or dispossession. This became a subject of an international issue for the first time in the last decades (Cohen 1998:1). The concept of *displacement* has been understood as both external and internal. The former indicates refugees who cross international borders seeking international support while the latter indicates “internal refugees within their own country who rely upon their own government for the civil and human rights” (Hampton 1998:1). According to the United Nations, displacement is defined as “persons or groups of persons who have been forced to flee or to leave their homes or places of habitual residence as a result of or in order to avoid, in particular, the effects of armed conflict, situations of generalized violence, violation of human rights or natural or human made disasters, and who have not crossed an internationally reorganized border” (quoted in Hampton 1998: XV).

This is a general definition, therefore, we can give the operational definition for *rural farming displacement* due to urban expansion as ‘persons or group of persons who are forced to leave their lands or homes or their possessions’ as a result of extended urban settlement towards their territory (area) that affects their livelihood. Displacement induces *dislocation* or forced movement of people from their original home or places of habitual residence for resettlement that could be within their original area. Development induced displacement or dislocation results from different development interventions. Although the cause of this forced displacement varies from country to country, type of development that induces dislocation was that related to the utilization of land and water (Mathur 1995:16).

In the literature the implication of dislocation indicated as impact and effect. *Impact* is the direct output of the activity at macro level while *effect* is the result on the ultimate user or people level. We can adopt the second category to discover facts about the effect of urban expansion on the livelihood of the dislocated community at household level.

Livelihood is widely used conceptually in writings on poverty and rural development studies, but has elusive meaning. Its dictionary definition is “a means of living” or “an income”. Income is the net result but livelihood is that indicates the way in which living is obtained. Scoone (1998:7) defined livelihood as components of capabilities, assets and activities that are means of living, which Ellis (2000:10) elaborated as “a livelihood comprises the assets (natural, physical, human, financial and social capital), the activities and the access to these (mediated by institutions and social relations) that together determine the living gained by the individual or household”.

For the purpose this study we can adopt the definition that reflects the characteristics of livelihood in contemporary developing countries. A livelihood, therefore, has to be seen as the ability (*assets, activities, and access*) to adapt to change in order to survive. This definition directs attention to the options people process in practice to pursue alternative activities that can generate the income level required for survival. A livelihood is said to be sustainable if it remains unchanged in case of shock and stress. Urban expansion on the countryside still generates a set of distinctive effects usually dislocation and change in the mode of life

Primacy is a condition where there is disproportionate concentration of people and urban function. It depicts a situation where the biggest share of a country's wealth is accumulated in the largest or capital city of the country. In the literature Rank-Size rule and Central Place Theory are used to determine the growth of city to primacy, which are first in the rank of city sizes. According to the Rank-Size rule the primate city will be more than twice the size of the second largest city; according to Central Place Theory it will be three times the size of the second largest city. The two concepts are not incompatible with the growth of cities in the Third World countries because the entry of these large cities is not seen as marking any shift of power and resources to the periphery to maintain rank classification (Carter 1995: 96).

2. Annex tables

Annex Table 1: Percentages of sampled household heads' response whether received compensation for buildings

Response	Number of HH Respondents	Percent
Yes	156	76
No	49	24
Total	205	100

Annex Table 2: Percentages of sampled household heads by source of income for house reconstruction rather than compensation.

Source of income	Number of HH Respondents	Percent	Valid percent
Remittance	37	18	76
Loan	2	1	4
Gift	6	3	12
Own reserve	4	2	8
Sub -total	49	24	100
Compensated	156	76	
Total	205	100	

Annex Table 3: Percentages of sampled household heads by category accessed to electric power.

Category	Number of HH Respondents	Percent
Privately owned	179	87
Shared	23	11
Absent	3	2
Total	205	100

Annex Table 4: Percentages of sampled household heads by response in being jobless in the last three years.

Response	Number of HH Respondents	Percent
Yes	40	20
No	165	80
Total	205	100

Annex Table 5: Percentages of sampled household heads by type of accessible job in dislocation area.

Type of job	Number of HH Respondents	Percent
Daily labour	200	97.5
Guarding	3	1.5
Local alcohol making	1	0.5
Water vending	1	0.5
Total	205	100

Annex Table 6: Percentages of household heads by type of training provided.

Type of training	Number of HH Respondents	Percent
Own business development and supervision	1	7
Basic skill training of attitudinal change	11	85
Technical training	1	8
Total	13	100.0

Annex Table 7: Percentages of sampled household heads by category of satisfaction to benefit packages allotted.

Category label	Number of HH Respondents	Percent
Satisfied	52	25
Indifferent	30	15
Dissatisfied	121	59
Highly discouraged and dissatisfied	2	1
Total	205	100.0

Annex Table 8: Percentages of sampled household heads by response to satisfaction in location of new residence.

Response	Number of HH Respondents	Percent
Yes	93	45
No	112	55
Total	205	100

Annex Table 9: Percentages of sampled household heads by response to satisfaction in the new residence/building.

Response	Number of HH Respondents	Percent
Yes	145	71
No	60	29
Total	205	100

Annex Table 10: Percentages of sampled household heads by response to complaint application with regard to benefit package.

Response	Number of HH Respondents	Percent
Yes	75	37
No	130	63
Total	205	100

Annex Table 11: Percentages of sampled household heads by response in decision making on benefits packages allotted.

Response	Number of HH Respondents	Percent
Yes	193	94
No	12	6
Total	205	100

Annex Table 12: Percentages of sampled household heads by category of the main decision makers.

Category	Number of HH Respondents	Percent
Government body including kebele administration	160	78
Community representatives	0	0
Both	45	22
Total	205	100

Annex Table 13: Percentages of sampled household heads by number of thatched roof room possession.

Number of rooms	Number of HH Respondents	Percent
One	33	16
Three	2	1
Sub-total	35	17
Not owned thatched roof	170	83
Total	205	100

Annex Table 14: Percentages of sampled household heads by category of satisfaction in the new residence /building.

Category	Number of HH Respondents	Percent
Satisfied	130	64
Indifferent	21	10
Dissatisfied	54	26
Total	205	100

Annex Table 15: Mean value of household heads possession of livestock

Type of Possession	No of HHs responded	Minimum	Maximum	Mean	Std. Deviation
Oxen	102	1.00	15.00	3	1.9380
Cows	131	1.00	20.00	2	2.1986
Sheep	51	1.00	15.00	5	3.6014
Goats	16	1.00	20.00	5	4.3546
Poultry	63	1.00	33.00	6	6.5516
Donkey	79	1.00	6.00	2	1.2240

Annex Table 16: Percentages of sampled household heads by response to possession of financial assets now than before.

Response	Number of HH Respondents	Percent
Yes	96	47
No	109	53
Total	205	100

Annex Table 17: The percentage of household heads response by reasons for not sending children to school

Reasons	Number of HH Respondents	Percent
No school near the vicinity	38	52
Un able to afforded school fees	7	10
On work in support of the family	28	38
Total	73	100

Annex Table 18: Percentages of sampled household heads by response to the engagement in productive activity during first 12 months of dislocation.

Response	Number of HH Respondents	Percent
Yes	190	93
No	15	7
Total	205	100

Annex Table 19: Percentage of household heads response by those not engaged in productive activity during the first twelve months of dislocation by category

Categories of engagement	Number of HH Respondents	Percent	Valid percent
Serving in someone's house for food	3	1.5	20
Migrating	1	0.5	6.7
Collecting (leaves and fuel wood for selling)	8	3.9	53.3
Consuming the saved money	2	1.0	13.3
Remittance	1	0.5	6.7
Total	15	7.3	100
Missed (those engaged in productive activity)	190	92.7	
Total	205	100	

3. Questionnaires to be filled by sample household heads

To be filled by household head. Fill the answer in the blank space or mark in the box.

I. Particulars of the Respondents

101. Zone _____
102. Keble _____
103. Name of the respondent (if willing) _____
104. Age: _____
105. Sex: 1 Male 2. Female
106. Marital Status: 1. Single 2. Married 3. Divorced
4. Widowed 5. Separated
107. Religion: 1. Orthodox 2. Muslim 5. Others Specify _____
108. Ethnicity: 1. Amhara 2. Oromo 3. Guraghe 6. Others Specify _____
109. Level of education 1. Illiterate 2. Read and write 3. Primary (1-6)
4. J / Secondary (7-8) 5. Secondary (9-12) 6. Tertiary (12+)
110. Total number of the household _____

II. Participation in the Displacement Plan and other City Development Initiatives

201. Are you aware of the urban expansion program in your vicinity? 1. Yes 2. No
202. If yes, how? 1. Through mass orientation 2. Through formal training or seminar
3. Both
203. What was your reaction when you were asked to move from your previous possession?
1. Agreed without objection
2. Objected and forced to leave
3. First objected but finally convinced to accept
204. Did you participate in decision-making process in the implementation of displacement program? 1. Yes 2. No
205. If yes, what are the benefits you obtained from participating in decision-making (multiple answers possible)?
1. Raise own (his/her/ need
2. Express own (her/his) concern/ opinion
3. Created access to benefit packages
4. Created opportunity to livelihood means
206. Did you have representative in decision making on benefit packages allotment?
1. Yes 2. No
207. If yes, how was it represented?
1. Through local community institutions 2. Through elected committee
3. Through individual interested group 4. Through Keble Administration

208. Who are the main decision makers in determining the amount of benefit packages to the community?. 1. Government body (city administration and/or kebele administration) 2. Local community committee 3. Both

209. Did you get enough time to prepare yourself in case of dislocation? 1. Yes 2. No

III. Benefit Packages

301. When you were asked to leave your place, what were the benefit packages promised to be allotted to you in displacement (multiple answers possible)?

Compensation (money) 2. Housing plots 3. Access to services
4. Opportunity to job

302. Which of the benefit packages did you get at last (multiple answers possible)?

1. Compensation (money) 2. Housing plots 3. Access to services
4. Opportunity to job

303. In which of the packages are you happy about?

1. Compensation (money) 2. Housing plots 3. Access to services
4. Opportunity to job 5. Training to develop skill
6. Others, specify _____

304. What was your reaction towards the amount of the benefit packages allotted to you?

1. Satisfied with it 2. Indifferent 3. Dissatisfied
4. Highly discouraged and dissatisfied

305. Did you apply your disappointment to the concerned institution on the amount of the packages provided? 1. Yes 2. No

306. If yes, what response did you get? 1. Satisfactory 2. Very satisfactory
3. Unsatisfactory 4. Disappointing

307. Did you get training how to use the packages provided to you while you move to new way of livelihood/urban life? 1. Yes 2. No

308. If yes, in which of the following training did you participate?	Yes	No
1. Own business development, management and supervision	<input type="checkbox"/>	<input type="checkbox"/>
2. Financial management/ saving	<input type="checkbox"/>	<input type="checkbox"/>
3. Basic skill training	<input type="checkbox"/>	<input type="checkbox"/>
4. Technical training for livelihood means	<input type="checkbox"/>	<input type="checkbox"/>

309. Did you get advisory support from any institutions other than Keble Administration?

1. Yes 2. No

310. If yes, describe the institution and on what issues it provided you advice?

IV. Impact of Displacement / Dislocation due to Urban Expansion

Impact on the Livelihood

401. What was the effect of the expansion program did you face before its actual implementation (multiple answers possible)?
1. Frustration due to lack of orientation on where and how to live in urban settlement
 2. Inadequate attention from the Administration in community development activity
 3. Inadequate provision of extension services in agricultural production
 4. Others, specify _____
402. Were you engaged in productive activity or work during the first 12 months of dislocation?
1. Yes 2. No
403. If yes, what was the major activity? 1. Agriculture 2. Non-agriculture
404. If your answer for question 402 above is no, what was your livelihood means (multiple answers possible)?
1. Serving in someone's house for food
 2. Migrating
 3. Begging
 4. Collecting (leaves and fuel wood for selling)
 5. Others, specify _____
405. Do you get job easily now than before displacement? 1. Yes 2. No
406. If no, what is the reason _____
407. Have you stayed jobless in the last three years? 1. Yes 2. No
408. If yes, for how long have you stayed jobless in the last three years?
- | <u>Year</u> | <u>Duration in months</u> |
|-------------|---------------------------|
| 2002 | _____ |
| 2003 | _____ |
| 2004 | _____ |
409. Do you have work now? 1. Yes 2. No
410. If yes, what type of work is it? 1. Self-employment 2. Employee of private firm
3. Employee of government organization
 4. Employee of non-government
 5. Daily labour
411. Do you have other incomes other than your work now (multiple answers possible)?
1. Farm income somewhere else with relatives
 2. Rental income
 3. Other remittances
 4. No income
412. Is your annual income better now than before displacement? 1. Yes 2. No
413. If no, what is the reason _____
-
414. How much are your household gross income now? _____ Birr.

415. How much you earn per year before displacement? _____ Birr
416. Who are more victims due to lack of job? 1. Men 2. Women
417. What type of job is accessible to you?
1. Daily labour 2. Guarding 3. Housework (gardening and others)
4. Others specify _____
418. What are the major problems you faced while coping up to the urban life?
1. Lack of knowledge in finance utilization
2. Lack of due followup from the concerned institutions
3. Lack of skill / knowledge for job opportunity
4. Discrimination/ haterage by the new settlers
5. Others specify _____

Impact on the Assets

419. What was the total possession of the household at dislocation time and what is left for the household at present?
- | | At dislocation time | At present |
|---|---------------------|------------|
| 1. Land (hectares) | _____ | _____ |
| 2. Oxen (number) | _____ | _____ |
| 3. Cows (number) | _____ | _____ |
| 4. Sheep (number) | _____ | _____ |
| 5. Goat (number) | _____ | _____ |
| 6. Poultry (number) | _____ | _____ |
| 7. Permanent Plants (number) - eucalyptus | _____ | _____ |
| - <i>Gesho</i> | _____ | _____ |
| - Others | _____ | _____ |
| 8. House (room number) – Thatched roof | _____ | _____ |
| - Corrugated iron sheet | _____ | _____ |
| 9. Others specify _____ | _____ | _____ |
420. How did you accommodate those assets left to you? 1. Within the given plot 2. With relatives somewhere else 3. Others specify _____
421. Do you have saved money at bank or somewhere else now? 1. Yes 2. No
422. Do you have more assets now than before displacement? 1. Yes 2. No
423. If no, what is the reason? 1. Low income only for consumption
2. Lack of saving mechanism 3. Lack of interest to own an asset
424. Did you get compensation for your building in dislocation? 1. Yes 2. No
425. If no, what source of income did you use for the dislocated house reconstruction?
1. Remittance /compensated money for other assets 2. Loan from private
3. Loan from Bank 4. Gift 5. Own reserve

426. Was it in the area of your preference that you were assigned to construct your residence?

1. Yes 2. No

427. Are you satisfied with your new residence (building)? 1. Yes 2. No

428. If no, what is the reason? _____

429. What do you feel as regards to the condition of your dwelling? 1. Satisfied

2. Indifferent 3. Dissatisfied 4. Strongly dissatisfied

430. Have you any intension to leave this area /house? 1. Yes 2. No

431. If yes, why do you want to leave / sell your house?

1. Unable to pay living expense including food 2. In needing money for other reason

3. Dissatisfied with residential area 4. Others specify _____

432. Did your previous neighbourhood ties continue in the new settlement? 1. Yes 2. No

• **Impact on the Services**

433. To which of the urban services did you get access due to urban expansion?

1. Road: 1. Yes 2. No

2. Electricity: Privately owned Shared Absent

3. Water Supply: Private meters Shared Absent

4. School: 1. Yes 2. No

5. Telephone: 1. Yes 2. No

6. Clinics & others health institutions: 1. Yes 2. No

7. Market: 1. Yes 2. No

8. Public transport services: 1. Yes 2. No

9. Municipal refuse collection: 1. Yes 2. No

10. Natural resource conservation/recreation: 1. Yes 2. No

11. Credit service: 1. Yes 2. No

434. Are you sending your children to school than before? 1. Yes 2. No

435. If no, what was the reason? 1. No school near my vicinity 2. I could not afford school fees for them 3. They are on work in support of the family

436. What were the issues or problems you discuss more among each other on the impact of the urban expansion program? 1. On the changes of life in the area 2. Lack of job 3. High cost of living 4. Others specify _____

V. Others

501. Are you satisfied with your livelihood strategy now than before displacement?

1. Yes 2. No

502. If no, for which of the following do you prefer rural farming (multiple answers possible)?

1. For food is secure for my family 2. Simple and cheap life

3. Easily access to diversified livelihood means for family and cultural ties 4. Strong social
503. Do you generally approve or disprove the expansion policy? 1. Approve 2. Disprove
3. Indifferent 4. I do not know
504. Do you think you have secured source of income than before? 1. Yes 2. No
505. What negative impact did you observe on the social and cultural aspects of the community?
1. Loss of mutual trust and understanding among the members of the community
 2. Increasing loss of identity and culture.
 3. Disappointment of the members to the livelihood means change that leads to migration
 4. Significant livelihood crises that affect the dignity
 5. High competition for job

4 Guideline for Key Informants

Zone _____ Kebele _____

Name of the Respondent _____ Occupation _____

Position if any _____

Age _____ Sex _____ Marital Status _____ Religion _____

Level of Education _____

1. What are the development institutions / organizations available in the area? Which are in support of the displaced community? In what area do they support (credit, loan, training, etc.)? Probe for other social institutions available in the area past and present.
2. What do you think was the motive objectives of dislocation/displacement? How was it selected and implemented? Probe for involvement and challenges of the community.
3. What benefits the affected community obtained in case of dislocation / displacement? Probe for:
 - Community awareness, participation and contribution
 - Material and financial benefits envisaged and fairness of the payments.
 - Whether the community acquired skill and knowledge or capacity created among the different social groups to manage own projects and properly utilize resources (human, finance etc.).
 - Whether the skill and knowledge developed in the community enabled them to run private / group business ventures (cases if any, both positive and negative).
 - Ways and means of support implemented in livelihood reestablishment.
4. What is the present coping mechanism (livelihood sustenance) of the affected farming community at household level?

3. Easily access to diversified livelihood means for family 4. Strong social and cultural ties

503. Do you generally approve or disprove the expansion policy? 1. Approve 2. Disprove
3. Indifferent 4. I do not know

504. Do you think you have secured source of income than before? 1. Yes 2. No

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 - Whether the skill and knowledge developed in the community enabled them to run private / group business ventures (cases if any, both positive and negative).
 - Ways and means of support implemented in livelihood reestablishment.
4. What is the present coping mechanism (livelihood sustenance) of the affected farming community at household level?

- Alternative means of livelihood (source of income and accommodation) and alternative strategies used by the community members and their family.
 - Type of jobs access to dislocated community and their family.
 - Of social groups /men, women and youth who benefit or loose more.
 - Social and cultural influence and adaptability.
5. What was the reaction of the affected community on the appropriateness of benefit packages provided for the dislocated material and social values?
- Criteria set to get compensation and how it was implemented.
 - Causes of grievances.
 - Procedures of grievance application in case of disappointment.
 - Structure of implementing organization and response to grievances / disputes.
6. Discuss the changes that occurred in the life of the farming community in the settlement area (positive and negative)?
- Created favourable environment for sustainable livelihood.
 - Created opportunities and hopes for the community.
 - Contribution in terms of satisfaction of life compared to previous.
 - Social and economic changes.
7. What role could the government and nongovernmental institutions play in improving the life of the local people affected by expansion? (Capacity building, social organization and strengthening the available institutions.
- Things need to be introduced, revised avoided.
 - Immediate need.
 - Need for future intervention.
8. Does displacement / dislocation scheme considered different aspects of social and economic activities.
- Areas that have historical and social significance to the community
 - Interest of the local community in site selection for resettlement.
 - Set criteria for beneficiaries identification
 - Infrastructure accessibility and conduciveness of the selected site for the people.
 - Discuss weakness and strength of the expansion program.
9. Discuss the impact of urban expansion on social, economic and environment.
- Impacts that appeared before actual implementation of the dislocation program.
 - Impacts that appeared at the time of and / or after the implementation
10. Discuss general problems, fears, prospects, incentives and other aspects of the dislocated farming community with reference to urban expansion.

- What would you recommend in similar activities elsewhere for planners and policy makers improving the livelihood of the local people affected by urban expansion?

5 Guideline for Focus group Discussion

Warm-up: List the main development program being carried out in your locality.

1. Discuss on the factors that contribute to urban expansion to your area and level of the community's participation in the planning and implementation of the dislocation program how the community involved (is it participatory).
2. Discuss on the reaction of the community on the benefit packages provided, site of dislocation, appropriateness, fair distribution of it for the community and ways of application and solution in case of disappointment.
3. Discuss on the advantages and disadvantages that the rural farming community gained from the urban expansion in terms of social, economic, environmental and cultural aspects.
4. Discuss on the coping mechanism/ or livelihood strategy of the community at household level and victims of the social group i.e. means or sources of income, opportunity to job, social and cultural influence (neighbourhood reaction).
5. Discuss whether the community has built its capacity in adapting urban life and effective utilization of resources (finance, human and natural with cases).
6. Discuss whether the training and technical support or acquired skill and knowledge enabled the community organize, manage and control own project or private business venture (if any list down).
7. Discuss whether the dislocated farming community's life improved or deteriorated. Reason out for the changes you came across. Does the new settlement created favourable environment for sustainable livelihood?
8. Discuss the role government and non-government organizations can play in supporting the vulnerable poor in re-establishing their livelihood.
9. Discuss the factors that contributed to the success / failure of the livelihood strategies of the household: probe for: problems before and after dislocation.
10. Discuss lessons drawn from displacement/ dislocation due to urban expansion; preconditions need to be considered to fully re-establish the dislocated community.

Wrap-up: Discuss on the issues that make the livelihood of the displaced / dislocated community sustainable; probe for:

- Community contribution.
- Skill development / training and other capacity building.
- Strengthening community institutions.

Declaration

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

Name: Feyera Abdissa

Signature: 
June 2005

Confirmation

This thesis can be submitted for examination with my approval as a university advisor.

Tegegne Gebre Egziabher (PhD)

June 2005