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The Challenges of Current Urban Upgrading Projects in Addis Ababa, Ethiopia

A Case study of Chew-Berenda Upgrading Project

Master of Philosophy Thesis in Development Studies – Specializing in Geography

Trondheim, May 2016

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SUMMARY

In 2008, the city government of Addis Ababa decentralized the task of urban upgrading down to the sub cities. More than 200 upgrading projects have been prepared by the sub cities during these last five years. So far only a few studies has been conducted to assess the current upgrading projects in the city. This study, therefore, intend to contribute to the debate by identifying and analyzing the major challenges of the current upgrading projects undergoing in Addis Ababa by focusing on the planning process and outcomes of the project undertaken in the Chew-Berenda area as a case study. The study employed an in-depth with 24 informants and review of relevant publications. The findings were analyzed using qualitative methods of analysis.

The planners use there are three basic criteria for the selection of upgrading project areas in the Addis Ketema sub city urban planning office; - Initially, the area should has to be placed under the category of upgrading intervention areas, in the city master plan proposal; next, there should be a high proportion of houses existing with poor access and poor-drainage facilities; and, finally, that there are sanitation problems in the area. More specifically the Chew-Berenda upgrading project had five objectives. These were: Ensuring sanitation in terms of sewage disposal and solid waste management; providing vehicular access and drainage facilities; creating income-generating economic opportunities; creating green area, and open spaces to the community; and mitigating security problems.

The study found out that the current upgrading projects undergoing in Addis Ketema sub city administration have been facing limitations at all levels. The planners have no full professional freedom, they cannot apply what they as professionals intended to do in the upgrading projects. The planning process of the upgrading projects is characterized surrounded by lack of good governance, demonstrated in low public participation and lack of transparency.

The findings of the study also shown that there is no collaboration nor integration between the institutions of the sub city administration regarding the upgrading projects. Most of the institutional stakeholders do not participate in the planning and implementation of the projects. The absence of a responsible institution for implementation, the short project life time, and the absence of the legal background to enforce the relevant institution to participate in the planning and implementation of upgrading projects are serious in Addis ketema sub city. All this lead to the result that, the upgrading projects in Addis ketema sub city administration couldn't achieve their intended goals. One can wonder if this is a common fate for most other upgrading projects in Addis Ababa.

Key words: upgrading, slum, participation, stakeholders

ABBREVIATIONS AND LOCAL TERMS

AACA	Addis Ababa City Administration
AAILIC	Addis Ababa Integrated Land Information Center
AAUPI	Addis Ababa Urban Plan Institute
CBO	Community Based Organization
EDO	Environmental Development Office
EPRDF	Ethiopian People's Revolutionary Democratic Front
LDP	Local Development Plan
MoWUD	Ministry of Works and Urban Development
NGO	Non-Governmental Organization
ORAAMP	Office for the Revision of Addis Ababa Master Plan
RHA	Rental Housing Agency
UN	United Nations
UN-Habitat	United Nations Human Settlements Program
<i>Berbere</i>	Ethiopian spicy spice, made up of chilly
<i>Birr</i>	Ethiopian currency
<i>Derg (Dergue)</i>	Committee (in Geez, ancient language of Ethiopia)
<i>Enjera (Injera)</i>	Ethiopian flat bread
<i>Kebele</i>	An old administrative unit, parallel with the current wereda level in Addis Ababa
<i>Sefer</i>	Neighborhood
<i>Tela</i>	Ethiopian traditional Liquor
<i>Wereda</i>	Local government, the smallest administrative unit in Addis Ababa

ACKNOWLEDGEMENTS

First and foremost, I would like to thank the Almighty god that enables me to complete this study. It is a great pleasure for me to acknowledge the assistances rendered to me and the contributions made by different organizations and individuals during my study and the research work.

I would like to express my gratitude and sincerest thanks to my supervisor Axel Baudouin For his genuine and constructive advice, for his supervision and reviewing my work from the very beginning up to now, and for his continues encouragement.

I would like to take this opportunity to thank Norwegian government for giving me the chance to study the master's program.

It's beyond words on how to express my heart felt gratitude to my sweet heart MAHI. She has been a constant source of love, and concern throughout my study.

I would like also to thank the Addis Ketema sub city urban planning office, Addis Ababa city urban plan institute, and related offices, for providing me all the necessary data. Finally, anybody who contribute to the completion of this study in anyway but may have been omitted is also acknowledged.

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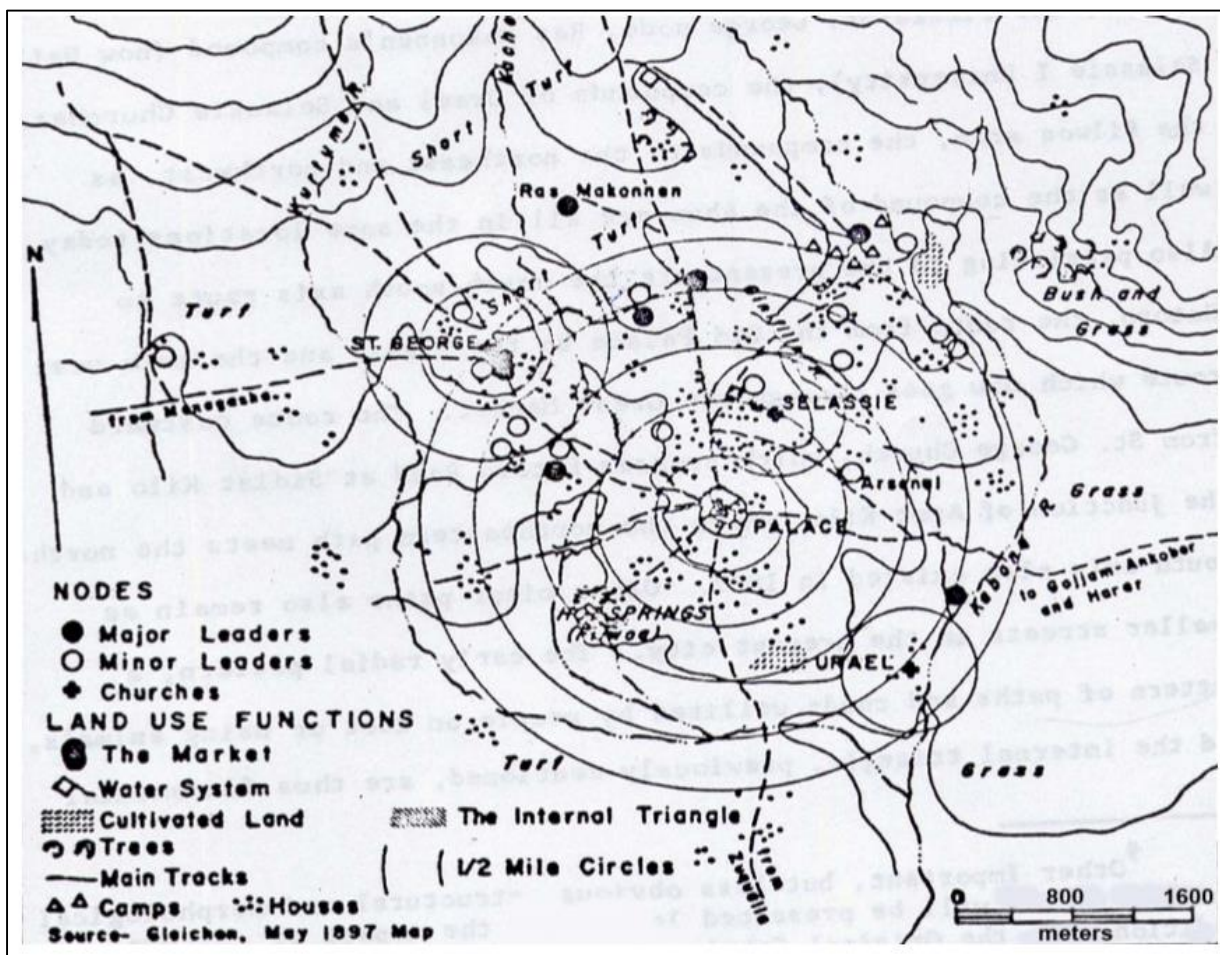
CHAPTER ONE

INTRODUCTION

1.1. Background of the study

Addis Ababa, the capital city of Ethiopia, was founded in the last quarter of 19th century by Emperor Menelik II. Unlike other African and Asian cities, it was established without a colonial model and was not pre-industrial city. Similar to his predecessor's, the headquarters and military camp of emperor Menelik II were established following his movement, and Addis Ababa was initially planned as a military camp. This is evident by the first master plan for the city, called "Taitu – Menelik Development plan" which was not more than a design of military camp (Elias, 2008).

Figure 1.1: Early settlement pattern of Addis Ababa



Source: Adopted from Elias, 2008:75

The center of the plan was the palace surrounded by his immediate subordinates of the King and then churches, the compounds of nobilities and military leaders occupied the important nodes. Subsequently, the next nodes was occupied by the followers of the military leaders having considerable open spaces in between for additional camp sites and market centers. In addition to the palace, as it shows in the above figure, St. Georges church and Arada areas were also served as another nodes, where the growth of the city started. Large and scattered settlements started to extend around these nodes (Yirgalem, 2007).

There were three main reasons that make Addis Ababa the first urban center in Ethiopia which heralded permanency as opposed to the wandering capitals of former times. First: the introduction of eucalyptus. Eucalyptus is a tree native to Australia that grows very fast and provides a lot of wood for energy and cooking. Second: the proclamation for legalizing private ownership of urban land in 1907, and the third factor is the introduction of Addis Ababa – Djibouti railway in 1917 (Tolon, 2008).

The introduction of the Ethio–Djibouti railway in 1917 has led to the expansion of the city towards south, where the railway station was located. In addition, the increment of number of vehicles in the city has also led to construction of wider roads for vehicular traffic. As a result of these and other advancements undertaken in the city and through time, more and more newcomers penetrated the city. Hence, the large open spaces between the nodes started to be filled in, and the city became more like a collection of neighborhoods surrounding the nodal centers. The conglomeration between the nodes was not properly planned, it just happened. Accordingly, a large part of the old inner-city is occupied by huge masses of non-planned settlements of single storied houses (Elias, 2008).

1.1.1. The Legacy of the past policy and master plans in the inner city slum situation of Addis Ababa

Currently, Addis Ababa, the diplomatic center of Africa and accommodating 30 percent of the urban population of the country, is one of the fastest growing cities on the continent. Its population has growing dramatically from time to time in which nearly doubled every decade. In 1984 the population was 1, 412, 575, after a decade, in 1994 it was 2,112, 737, and it is currently thought to be 4 million. It's also estimates that this number will continue to rise, and reaching 12 million in 2024. The suitable geographic location (located in the geographical center of the country) combined with its political and socio-economic status, the city has

populated by hundreds of thousands of people coming from all corners of the country in search of employment opportunities and better services (UN-Habitat, 2008).

About 4 million inhabitants of Addis Ababa live in some 500,000 housing units with an average density of approximately 6 persons per household. Single storied houses, and mud and wooden structures are the city's dominant features. Concentration of slum dwellings, poor infrastructure and sanitary development, high-levels of congestion, abundant solid waste and severe shortage of services and infrastructure facilities are the dominant characteristics of most neighborhoods (Abebe et al, 2011). In general, the current layout and condition of the inner-city slums of Addis Ababa is mostly related with the past urban policies of the country and successive master plans of the city. Therefore, these section tries to assess the Legacy of the past policy and master plans in the inner city slum situation of Addis Ababa by classifying in to three major period of time.

The period from 1886 - 1974

This period covers a long time in the history of Addis Ababa city, and can be categorized in to three sub periods as; the period from 1886 up to 1935, the period of Italian occupation (1935-1941), and the period from 1941 up to the end of imperial regime in the country, by 1974.

The first period, which is sometimes called the formative age of the city is extended from mid-1980s, the period the city was founded, up to 1917, the year the construction of the Ethio-Djibouti railway reached Addis Ababa. This period largely influenced the current design and situation of the inner city slums of Addis Ababa. The morphology of the city during this period was mostly related to the location of important places and the cultural traditions of the founders of the city. The first master plan for the city was prepared during this period by empress Taitu. According to this plan the important nodes next to the palace were occupied by immediate subordinates of the king, churches, compounds of nobilities and military leaders respectively, and again surrounded by their poor followers. Consequently, this settlement pattern has also contributed to the present day mingling of the rich and the poor (social heterogeneity) especially in the old and inner part of the city (Elias, 2008).

The Italians invaded Ethiopia in 1936, and immediately they prepared a proposal for the city's master plan and engaged in an intensive reconstruction, as a part of their dream of making Addis Ababa the capital city of the invaded territories of East Africa. But, the master plan didn't take into consideration neither the existing settlements nor the topography of the city. It was simply

a reflection of the colonial attitude of segregation between the native and the European settlements. The Traditional Ethiopian huts were cleared from the site of the European quarter and were replaced by modern housing and office blocks. The original winding road network was replaced by a grid layout. The legacies of these planning exercises can still be observed in the areas commonly known as kasanchis and Popolare (Mathewos, 2005). Similarly, in the western part of the city, an extension area was planned with a grid layout. Merkato, the biggest open market in Africa, was constructed during this period as a part of this extension plan. The traces of this extension plan can also be found in some parts of the present Kolfe area, in the vicinity of Merkato. In general, the Italian master plan had a little impact on the growth of Addis Ababa as a planned city. Particularly with regard to the buildings and road networks of the city, there were many irregularities and deviations from the intended plan (Yirgalem, 2007).

The end of the Italian occupation in 1941 had also brought to an end of the implementation of the Italian master plan. The city entered another era when the planning tradition shifted to British town planning practice. Unlike the previous master plans of Addis Ababa which was prepared during the Italian occupation of Ethiopia, the post invasion master plans of the city had abandon the concept of segregation. It was also during this period that, new satellite settlements at Kolfe, Gerji and Mekanissa proposed. As was typical to the previous master plans, the post invasion master plans of the city lacked a systematic evaluation of the socio-economic condition of the city. It marginalized the majority of the inhabitants of the escalating non-planned settlements. The land tenure system was planned similar to that of pre-occupation period, continued to be in favors of a few members of the royal family, the noble men and military chiefs (Elias, 2008: Yirgalem, 2007).

The period from 1974 - 1991

In September 1974, the imperial regime replaced by the Derg, and the issue of land was one of the motive behind the 1974 revolution in Ethiopia. Therefore, in February 1975, under strong influence of the then popular revolutionary slogan “land to the tiller”, the Derg issued a proclamation that nationalized all rural land. Four months later, in July 1975, all urban land and rental dwellings in the country being nationalized under the Proclamation Number 47 (Tolon, 2008).

The nationalization of extra houses and urban lands, as well as proclamation Number 47/1975 that prohibited private investment in building activities terminated the growth of the city. The government, under two separate organizations, took the responsibility of administering urban

land and extra houses. The first organization, called kebele administration, administers those houses with a rental value of less than 100 Birr, while those houses with a rental value of more than 100 Birr were put under the Agency for the Administration of Rental Housing (Mathewos, 2005).

According to the UN-Habitat report, 2007, the nationalization of extra urban houses during the Derg regime in the country leads to severe housing shortages and ever deteriorating housing conditions in all cities including Addis Ababa, instead of being a solution to the housing shortage. This is due to the fact that, the Proclamation No. 47, 1975 disrupts the former vibrant housing market in Addis Ababa, and caused a sudden, big housing shortage. In addition to this, with the rents once and for all fixed at very low levels, the Kebeles found it next to impossible to keep the properties in a proper state of repair (UN-HABITAT, 2007).

As a result, the nationalized houses under the kebele administration started to deteriorate. There are three main reasons for the physical deterioration of the kebele houses. These are: the lack of proper management on the part of the Kebeles and their inability to maintain the houses; lack of motivation and capacity to collect rents; and the extremely low controlled rental fees, which made maintenance impossible. Additionally, the prohibition of upgrading activities, due to the renewal proposal of the inner city settlement by the 1986 master plan of the city, is also considered as a reason for the dilapidation of those settlements in Addis Ababa (Elias, 2008).

The period from 1991 – to date

In 1991, the Marxist regime was overthrown and replaced by the current government of Ethiopia led by the EPRDF. Consequently, the socialist, centrally planned economy was immediately replaced by a free market oriented economic system. Despite the change of the political and economic system, however, both the state ownership of the nationalized land and housing continued as it is. The kebele housing system, with all its characteristics and ownership, remained the same. However, there were some attempts to privatize the government houses. For instance, in 1995, a proclamation Number 112/199 entitled “A proclamation to provide for the establishment of an office for the sale of government owned houses” was issued. The intention of the proclamation was to privatize government owned houses and pay compensation to the former owners of the houses. Notwithstanding the issuance of the proclamation and the establishment of the office, however, the kebele houses remained public. The main reasons are related to the complex characteristics of the kebele housing itself coupled with the lack of

institutional, legal and human resources to handle the case and probability fear of its socio economic consequences (Elias, 2008).

Currently, the proportion of the population living in the slum area of Addis Ababa is estimated at 80 percent, in which characterized by deteriorated physical structure, limited or no tenure rights, severe shortage of service and infrastructure facilities, sanitation problems, and scarcity of amenities and open spaces, (UN-HABITAT, 2008). The detail description of the existing situations of Addis Ababa, and specifically the study area is discussed in the description chapter (Chapter five) of the thesis.

1.2. Problem statement

Even though the proliferation of slum dwellings in Addis Ababa dates back almost to the establishment of the city, the effort to reduce the urban slums via upgrading project in a wider scale, and as a major urban development policy instrument for the city is a relatively recent phenomenon. The slum upgrading program led by the Environmental Development Office, established in 1994, was among the notable government driven projects in Addis Ababa. The project concentrated on upgrading of infrastructures in the inner part of the city (Abebe et al, 2011). Regardless of the varying sizes of the gaps between plan and performance of the project, due to the lack of skilled labor, weak institution and lack of participation; the upgrading project had an effective impact on the living conditions of the residents in its major areas of intervention until 2003 (UN-HABITAT, 2007).

In 2008, the organizational structure of the city government of Addis Ababa was restructured according to the principles of BPR (Business processing re-engineering). BPR refers to the analysis and restructuring of workflows in an organization in order to improve the end to end processes. Consequently, the urban planning institution was established at city level with the aim of enhancing urban regeneration of the decayed old and inner parts of the city by preparing and implementing urban renewal and upgrading projects. At the same time the urban planning practice was decentralized down to the sub cities, becoming responsible for the preparation of the urban upgrading projects in their respective intervention areas. Accordingly, more than 200 upgrading projects were prepared by the sub cities for the last five years. However, the 2014/15 annual report of the urban planning institute shows that the upgrading projects which are prepared by the sub cities, are inefficient for changing the general picture of the area (AAUPI, 2015). The primary focus of this study therefore is to identify the major challenges of the current upgrading projects undergoing in Addis Ababa City Administration.

In line with this, So far only a few studies has been conducted to assess the current upgrading projects in the city. Therefore, this research project proposes to add its contribution in the understanding of implementation and the major challenges of current upgrading projects under the Addis Ababa city Administration by focusing on the planning process and outcomes of the project undertaken in the Chew-Berenda area as a case study.

1.3. Research objectives

The overall research objective of the research is to identify the major challenges of the current upgrading projects undertaking in Addis Ababa city Administration. Within this broad objective, there are three specific objectives.

1. To explore the residents and planners perception on the current upgrading projects in Addis Ababa
2. To assess the planning process of Chew-Berenda upgrading project
3. To assess the outcomes of Chew-Berenda upgrading project

1.4. Research Questions

1. How does the residents and the planners perceive the current upgrading projects in Addis Ababa?
2. How does the planning process of Chew-Berenda upgrading project seems like?
3. What are the outcomes of the Chew-Berenda upgrading project?

1.5. Organization of the thesis

The study is organized into seven chapters. This Chapter provides the background of the study, and it includes the objectives, the statement of problem, the research question and organization of the thesis. Chapter Two provides a literature review on the concepts of urban planning, slums, and participation in slum upgrading. Chapter Three presents research the methods used for the study. Chapter Four introduced the institutional formal background of Addis Ababa city Administration, and chapter five deals with the description of the study area. Chapter Six presented the findings of the study, and the last chapter provided the conclusion and recommendations chapter.

CHAPTER TWO

LITERATURE REVIEW

The purpose of this chapter is to discuss the theoretical and conceptual issues used to frame the study. The chapter is organized in three parts. The first section deals with the concept of urban planning, in which the evolution of urban planning, contemporary urban planning principles, and components of planning process is discussed. The second section of this chapter is deals with the discussion of concepts on slum upgrading and participation, and the last section discussed the previous slum upgrading attempts in Addis Ababa city.

2.1. Urban planning

Urban planning is defined as both a technical and political process which contains formulation of plans, and the consideration of decisions before choosing among alternatives. Among other things, it is basically concerned with improving efficiency of land use, balancing public and private interests, providing a wide range of choices, and promoting public participation in decision making. Furthermore, urban Planning is used to predict the future and it can be perceived as a means for development (Tang, 2009).

2.1.1. The Evolution of urban planning

The history of urban planning practices dating back to the third millennium BC related with the ancient civilizations in Mesopotamian, Indus Valley, Minoan, and Egyptian. Archeological studies find out a paved streets that were planned at the right angles in a grid pattern on the ruins of cities in these areas. These cities revealed the organic and planned types of urban form and the societies of the then time had elaborate religious, political, and military hierarchies on their planning practice (Ellis, 2011).

The idea of planning an urban area is changed as the different civilizations adopted it. On the Beginning of 8th century BC, for instance, the cities of ancient Greek were basically involved on orthogonal plans. The orthogonal plan is a type of city plan in which the streets run at right angles to each other, and forming a grid. This type of plan is easy to layout, to understand, and to divide urban land in to uniform rectangular lots. Orthogonal city pattern witness strong state interventions and rapid growth, and it is mostly related to the logic of power and controlling. Inspired by the ancient Greeks, the ancient Romans also adopted the orthogonal type of city planning for their cities. City planning in the Roman Empire were mainly developed for military defense and public convenience, and the idea of urban planning was spread and slowly disappeared parallel with the spread and decline of the empire respectively. However, most

large cities in Europe, like London and Paris, still held onto the planned Roman city center (Morris, 2013).

During the renaissance, the idea of urban planning and design started to bring back. The European leaders during the Enlightenment period, wants to redesigned the capital cities, and hence the architects began to systematically study the shaping and design of urban spaces in a way that could be given an aesthetically pleasing and functional order. Many of the great public spaces of Rome and other Italian cities were planned during this era (Tang, 2009).

In the beginning of the 20th century, urban planning went through a paradigm shift, in which it started to focus on the poor and the disadvantages, following the industrial age. Theories of urban planning began to develop in order to minimize the consequence of the industrial age, by providing citizens, especially the factory workers, with healthier environments. During this time urban planning started to become professionalized (Ellis, 2011).

Starting from 1980s, the core value in the decisions of urban planning has been dominated by the concept of sustainable development, and an attempt is made to include the pillars of sustainable development (Environmental, Economical, and Social) in the planning process at different level and scales. In general terms, the evolution of urban planning shows that, the concept of urban planning has experienced significant change in scope and focus through time (Tang, 2009).

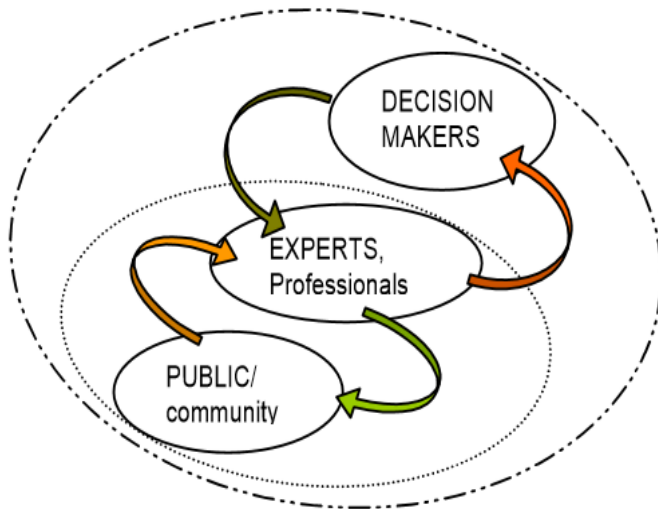
2.1.2. Planning principles

Planning Principles refers to the general assumptions, fundamental rules, and paradigms that direct the essence of planning proposals, policies, standards and implementation measures. Planning principles should be based on community values, generally accepted good planning practices, technological level of a community, and planning objectives. Principles serve the preparation of plans but need not be included in the plan itself. Principles should take contextual situations; however, there are some basic ones that emanate from higher policy frameworks such as the Constitution, general development plans, and national urban development policy. The following main principles, considering the Ethiopian planning practice, should be considered on the contemporary urban plan preparation and implementation processes (MoWUD, 2006; MoWUD, 2007; Kriken et al, 2010).

Participatory: As a planning principle, participation in the urban planning process refers to the involvement of different other actors or stakeholders in addition to the decision makers (mostly

government institutions) to take part in identifying problems, developing solutions and taking responsibility for inputs and decisions.

Basically, the principle of participation should adapt the distinctive roles of the three main groups of stakeholders. These are: the community (e.g. individuals, CBOs, NGOs, etc.), the



decision makers (e.g. government institutions) and the professionals (e.g. planners and study teams). Ideally, participation should enable the first group, the community, to be involved in both technical considerations usually reserved for the last group, the professionals, and in decision-making about the development activities impacting its environment, a role usually reserved for government institutions in the case of Ethiopia.

Sustainability: Here Sustainability refers to the conservation and protection of irreplaceable and nonrenewable natural resources in the planning process. It involves the wise use and effective urban land use management system. As a principle, planning should aim towards achieving sustainable development (Environmental, Economic, and Social sustainability) via Promotion of public participation in development and equitable distribution of resources. Furthermore, it should promote the opportunities for current inhabitants without compromising the need of future generations, and providing due consideration for environmental issues in order to increase the life span of natural resources (Kriken et al, 2010).

Compatibility: Urban planning is practiced on a variety of scales ranging from national to local level with different purposes in mind. Compatibility refers to the harmony and integration of plans at national, regional and local level. Even though local development plan studies are basically site-specific, they should ensure their consistency with higher-level related macro/micro policies. Some local measures may have significant impact at another spatial sphere. On the other hand, regulations at a larger sphere may apply to the particular site. It is hence necessary to get a holistic view to the issue (Kriken et al, 2010).

In addition to the above planning principles the following are also useful principles in order to achieve the intended goals of urban planning projects (MOWUD, 2007).

- Planning should be phased and flexible. Properly phased development creates positive feedback to the system, and Flexible approaches increase the relevance of plans.
- The proposals should best fit the context: identifying the real critical problems on site, the underlying structure and the peculiar character that could be well exploited to boost the development of that area- be it economic potential, natural scenic value, historical importance, etc.
- The large portion of the development is anticipated to be undertaken by the private sector. Ways of attracting this group into the development effort through incentives, profitable proposals should be well thought. The user-pays principle promotes responsibility; however, the government should support socially and economically disadvantaged sections of the society.

2.1.3. Planning process

The planning process consists of actions taken by a planning body and its relation with the different actors in the process of plan making and implementation of the plans. It is the step by step development of planning ideas into action tools and implementation of ideas to achieve a vision. Although the planning process is not a simple linear trajectory but one that goes back and forth during the process, there is a certain underlying successive path that will be at the basis of any plan preparation process to ensure the grasp of main issues at the different stages of the process. Most often the planning process consists of the following interlinked steps (MoWUD, 2006; MoWUD, 2007).

I. Initiation for planning (Preparatory phase)

Initiation of the upgrading project is kicked off at this stage. It includes the selection process, selection criteria, preparation of term of reference and pre-feasibility study. The pre-feasibility study is required to focus on and give a general insight of major issues, which need to be made clear at the very start of the project. The document produced at this phase is tantamount to term of reference of the project for subsequent processes. Accordingly, the prefeasibility study is expected to present, among other things, Major problems to be addressed, the main objective of the project, a general overview of existing situation of the project area; a rough estimate of resources, institutional arrangements; legal frameworks and other efforts required for undertaking the project; and a general outline of subsequent activities. This initial part of project preparation is limited to a rapid assessment of the most important issues that are believed to have major impacts on the project success before committing substantial resources.

II. Survey of the current context

This stage of the plan-making process involves the launching of fact-finding missions to ascertain existing situations that are the subjects of planning. As a basis for any kind of intervention within or around a settlement area, the assessment of the current context is a mandatory task the planning team should deal with at the early stage of the study. A clear understanding of the context presents a clear picture about the prevailing problems in that area, the present opportunities and threats that would be greatly influential or present major bottleneck to any kind of development in the area. The issues for consideration vary depending on the context; however, it is common to determine the conditions of existing land use, natural environment, infrastructure capacity, existing commitments and policies, population and social characteristics, housing stock, economic conditions and potentials. The participation of the public residing or working on site will be basic at this stage since they will be more knowledgeable of the existing conditions and problems on site and should be involved in both data collection and verification.

III. Conducting Analysis and Formulating Goals

At this stage of the plan preparation process field data is analyzed, issues are evaluated, assumptions are determined, and community vision is formulated. The analysis of field data is expected to reveal the major issues to be addressed by the development plan. The issues for detailed consideration must have been determined prior to data gathering. The outcome of the analysis should be presented to the public and professional groups so that it will be enriched. During this stage the public at large and all stakeholders get together at different forums and develop their shared vision statements. Public participation modalities need to be developed so that all affected parties could participate in the decision to prepare plans. Adopting a system whereby Notice of Preparation could be given to those who will be affected, in addition to general notification of the public, adds to the transparency and rationality of the plan preparation process.

IV. Preparing Alternatives, evaluation and Approval of plans

The next in the series of tasks in the preparation of urban plans include development of alternative plans and their evaluation by the planning team. The preparation of alternative plans should concentrate on major issues and it doesn't need to be detailed. However, it should deal with major economic, social and environmental objectives that were set in the earlier stages. The different alternative plans presented at this stage will then have to be weighed against each

other on the basis of a number of evaluation criteria that should be developed together. The criteria should be able to measure the proposals against the goals and vision set earlier. Next, the final plan has to be approved by the appropriate authority to get legal backing and enforcement. Ratification of an urban plan at reasonably short time after the preparation of the final draft is a necessity on grounds that the plan becomes legal and binding. Failure to ratify a plan affects urban management; distorts public and private investment decisions; increases speculation.

V. Plan Implementation

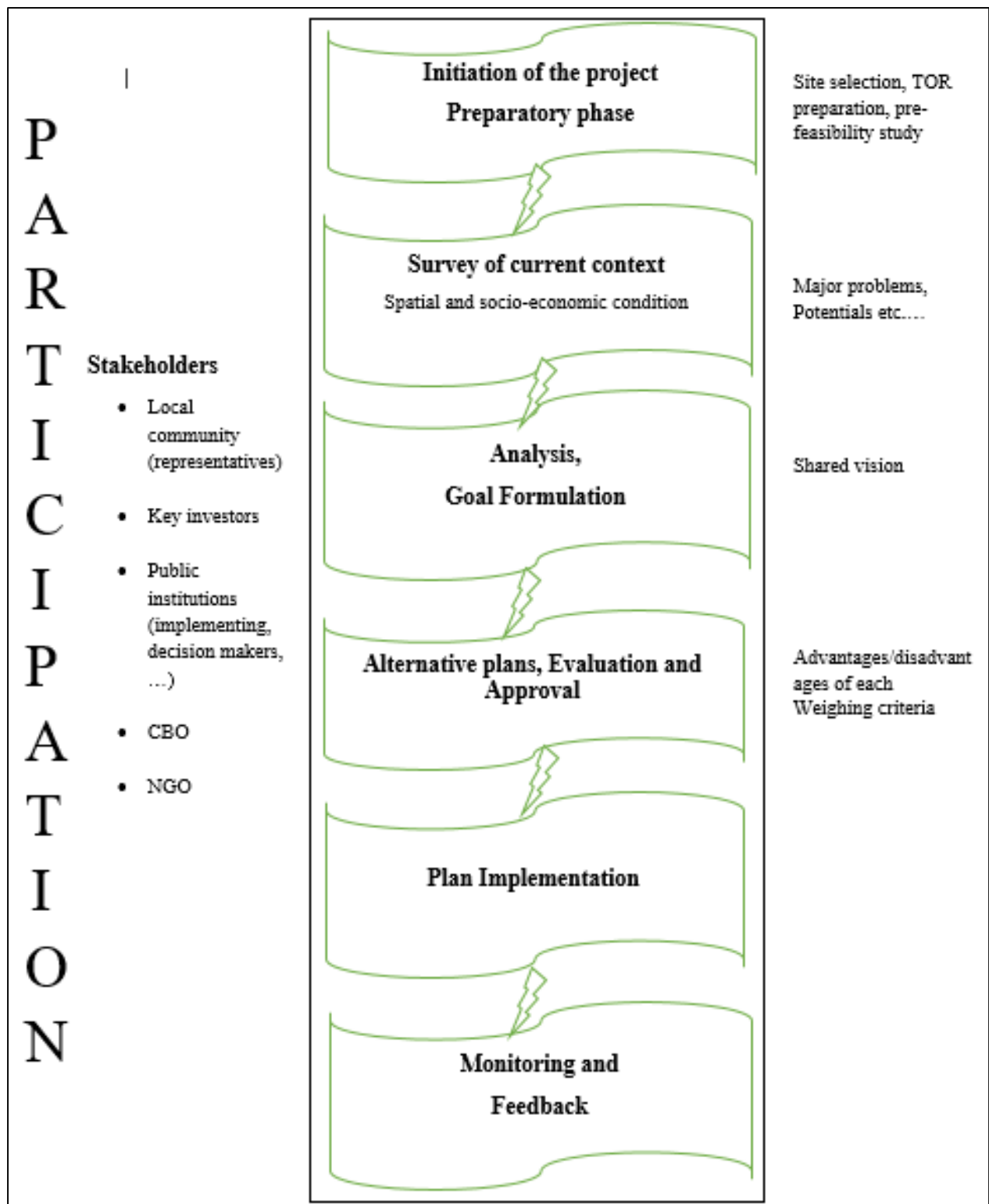
The planning process is incomplete without plans being implemented. Each provision in the planning policy should have a corresponding means of implementation. The institution which prepared the plan need not be necessarily the implementer nor to become the monitor of implementation. However, there should be a body that facilitates the implementation and a means to realize plans.

VI. Monitoring and feedback

A certain monitoring system has to be established to monitor the proper implementation of the plan. The monitoring body will check the timely implementation of the projects according to the proposals of the study. This monitoring system will therefore help get some constructive feedback to amend the proposals to fit best the purpose. The actual involvement of community stakeholders, via a designated and capable monitoring team, will be beneficial at this stage again since they would be the first ones to experience the faulty proposals or limiting rules, hence a potential means of an early warning system.

Once the plan has been adopted, evaluating its implementation and making course corrections relies upon the local agency's ability to continue collecting and analyzing information. Based on these data, possibilities of amendments may become evident or necessary to achieve the objectives of the plan. The following diagram synthesizes the whole planning process.

Figure 2.1: Components of planning process



Sources: Ministry of works and urban development- LDP Manual, 2006

2.2. Slum upgrading and participation

2.2.1. The notion of Slum

The proliferation of the word slum can be traced back to the 1820s. It has been used to identify the poorest quality housing, and the extreme poor sanitation conditions of an urban area. There is no single definition of the term slum; it varies across regions and countries. Although slums show some similarities throughout the world, their characteristics vary between regions. As a result, the term slum perceived and named in a variety of ways. For instance, in France it is named as Bidonvilles, Mabanda in Tanzania, Elendsviertel in German, Trushchobi in Russian, and Udukku in Colombo (Tsion, 2005). This creates a problem of which areas can be considered as a slum and, measuring the real amount of slum dwellers as well as the actions and policies that should be implemented to improve the slums (Calderon, 2008).

In a simplest way UN – Habitat, 2003 defined the word slum as “*a heavily populated urban area characterized by substandard housing and squalor*”. The Cities Alliance action plan, also defines slums as “*neglected parts of cities where housing and living conditions are appallingly poor. Slums range from high-density, squalid central city tenements to spontaneous squatter settlements without legal recognition or rights, sprawling at the edge of cities*”. These definitions bring together the vital characteristics of a slum, which are: high densities, lack of formality, low standards of housing both in structure and services, squalor and poor environments, poverty, lack of legality as well as the possible locations within a city. Although these general definitions meet to some extent what a slum is, they are not associated with operational definitions that can help cope with the inconsistencies that in practice emerge and, that would enable one to ascertain whether or not a particular area is a slum.

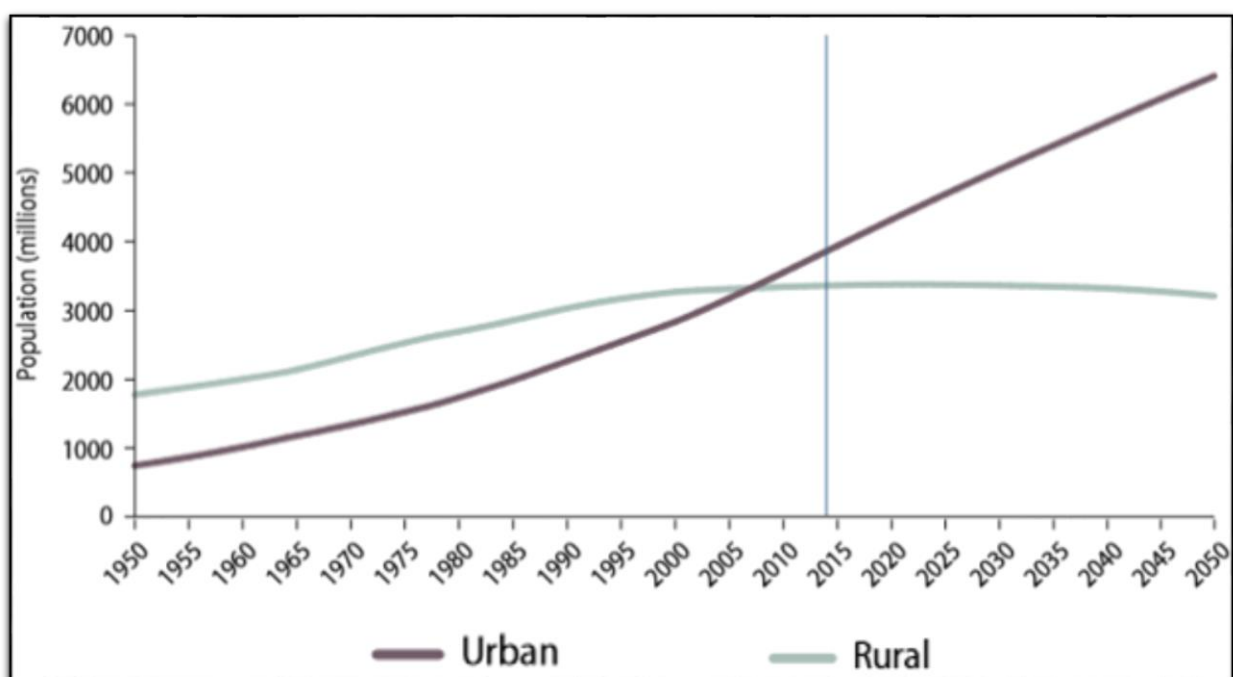
Operational definition of slums

The expert group organized by the UN Statistical Office and the Cities Alliance in the year 2002 defines slums as an area that combines, to various extent, the following five characteristics for future international usage (Calderon, 2008). All of the characteristics are limited to the physical and legal characteristics of the settlement, and discounting the more difficult social dimensions of the settlement. These characteristics are: A) Inadequate access to safe water; B) Inadequate access to sanitation and other infrastructure; C) Poor structural quality of housing; D) overcrowding; E) Insecure residential status.

2.2.2. Understanding the cause of slum

The global urban population has grown rapidly since 1950. It grows from 746 million urban inhabitants in 1950 to 3.9 billion in 2014. As a result, in 2007, more people start to live in urban areas than in rural area, for the first time in history of the world (United Nations, 2014). In terms of percentage share, in 1950 only 30 percent of the world's population was living in urban areas, and it grows to 54 percent in 2014. By 2050, 66 percent of the world's population is estimated to be urban (See figure 1).

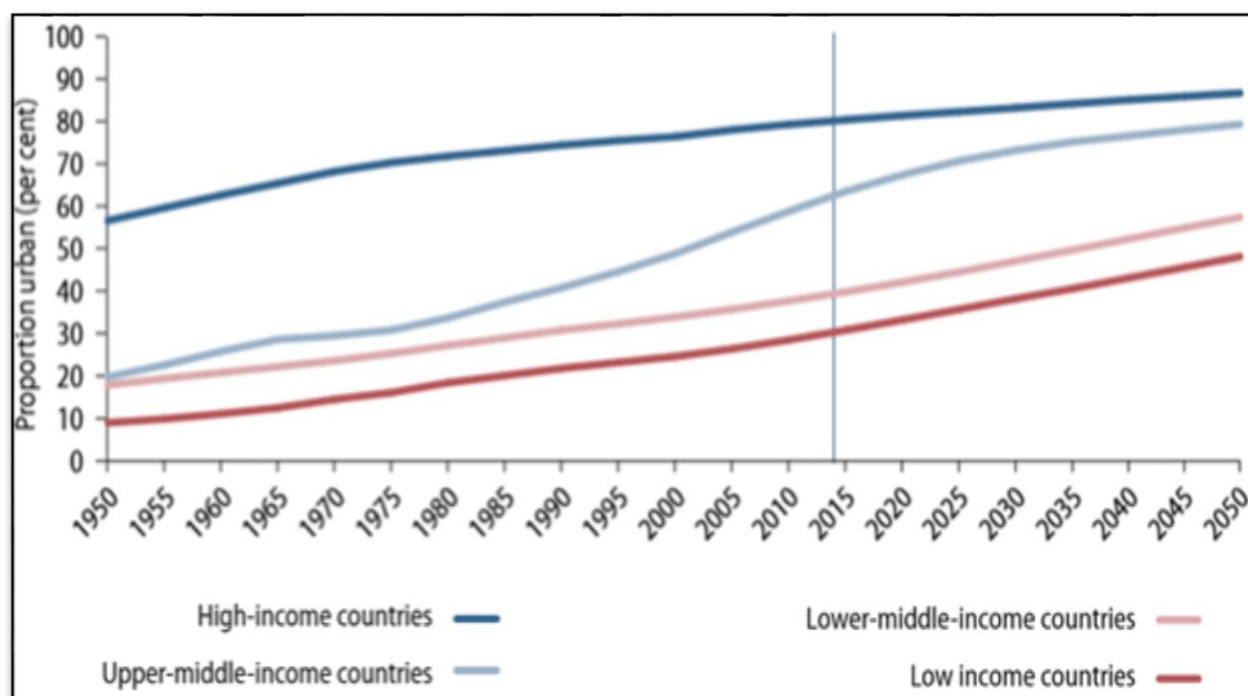
Figure 2.2: Urban and Rural population of the world, 1950 - 2050



Source: United Nations, 2014 – World urbanization prospect – The 2014 Report

Starting from 1950s, Cities in the developing countries have also faced unprecedented rate of urbanization and increasing poverty. According to the world urban population estimation made by United Nations (2014), the urban population of the world will increase from 3.9 billion in 2014 to 6.4 billion in 2050, where 94 percent of the growth will be absorbed by the urban areas of the less developed regions (see figure 2). This estimation indicates that, the urban development challenges will be increasingly concentrated in cities, particularly in the lower and middle income countries where the pace of urbanization is very fastest (UN, 2014).

Figure 2.3: Proportion of urban population by economic groups, 1950 -2050



Source: United Nations, 2014 – World urbanization prospect – The 2014 Report

The above figure shows that, there has been considerable difference among economic regions in the rates of urbanization since 1950. The category of high-income countries have been highly urbanized for several decades, and its majority of the population (57 percent) has already lived in urban area in 1950. The level of urbanization of the high income countries is expected to rise further, from around 80 percent now to 86 percent in 2050 (UN, 2014).

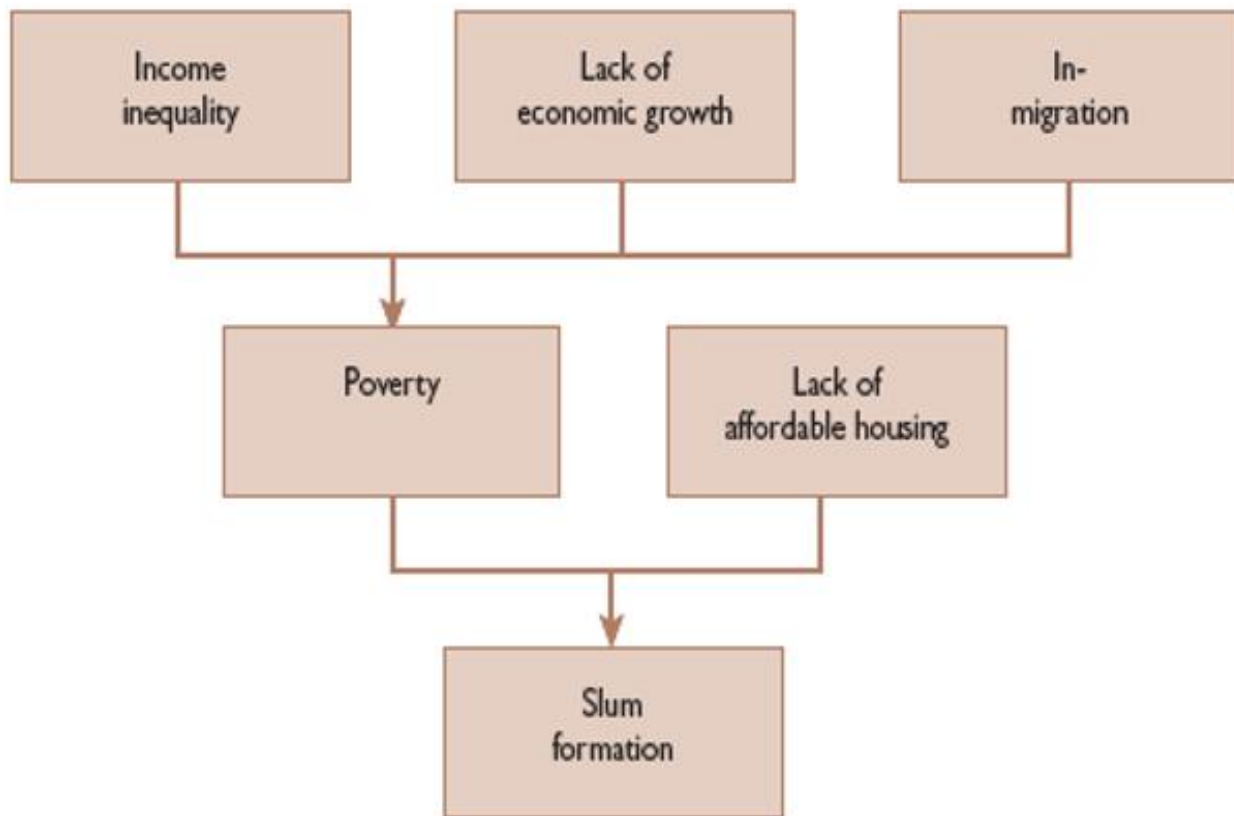
The above figure also shows that, the countries under the category of upper-middle-income have experienced the fastest pace of urbanization since 1950. During 1950 Only 20 percent of the population of these countries were urban dwellers, but following the rapid urbanization of these countries 63 percent of the population are living in urban areas. By 2050, this percentage is expected to rise to 79 percent (UN, 2014).

Unlike in the high and upper-middle-income countries, the pace of urbanization in the lower-middle- and low-income countries has been slower until now. However, this group of countries is expected to experience faster urbanization than others in the coming decades. In 2014, the proportion of the population living in urban areas was 39 percent and 30 percent in lower-middle-income countries and in low-income countries respectively. By 2050, the proportion of population living in urban area is expected to be 57 percent lower-middle-income countries and 48 percent in low income countries (UN, 2014).

In line with the above figures and facts on urbanization, slum and squatter settlements are steadily growing at alarming rates in cities of developing countries. In some cities of the developing world, up to 80 percent of the population lives in slums. Fifty-five million new slum dwellers have been added to the global population since 2000. Sub-Saharan Africa has a slum population of 199.5 million, South Asia 190.7 million, East Asia 189.6 million, Latin America and the Caribbean 110.7 million, Southeast Asia 88.9 million, West Asia 35 million and North Africa 11.8 million. Therefore, the unprecedented demographic growth of the urban areas especially in the developing countries has been a cause for slum and squatter settlement.

Although urbanization is an important factor, slums and urban poverty are not only a consequence of the rapid demographic changes, but mainly the result of a failure of housing policies, legislations and delivery systems, as well as of national and urban policies. A deeper interpretation of this failure can be determined by the low capacity of government and planning institutions, which in many cases are operated under the influences of bad governance, corruption, lack of professional skills, dysfunctional land markets, and most important lack of political will. Each of these failures adds pressures to the economic and social burden of the poor and constrains the opportunity for human development that urban life offers (Tsion, 2005).

Figure 2.4: Slum formation; slum as a result



Source: UN- Habitat, 2003 – the challenge of slum – Global report on human settlement

Lack of economic growth and in-migration towards the city coupled with huge income gap between the rich and the poor exacerbated urban poverty. In return the urban poverty and lack of affordable housing plays a significant role in the slum formation and growth.

2.2.3. Alternative technical interventions to improve slum areas

The responses made to the challenges of slum have been varied over time, depending on the type of power, political/social state, and perception of urban actors to cause and effects of urban slums. Development interventions undertaken towards addressing problems of slum area took different forms. Traditionally there have been three alternative approaches to improving older and slum areas of a city. These are: urban renewal approach, urban redevelopment approach and urban upgrading or rehabilitation approach (MoWUD, 2006; Martha, 2006).

- I. **Urban Renewal approach:** it's the process of demolishing and reconstructing central urban slums, and in that way creating better environment for economic and urban image aims. This approach implies demolishing everything, relocate residents to another area, and rebuild with a clean slate. Development experts, politicians and the international

community have strongly criticized urban renewals for their huge social and economic costs. These schemes were found to be targeting the urban poor mainly to chase out from the inner city areas. As the negative consequences of the bulldozing approach became more and more politicized, planners and policy makers retreated and started to look for approaches and strategies which perceive urban renewal as a process of integrated changes in spatial, economic, and social dimensions of slum areas (MoWUD, 2006; Martha, 2006).

- II. ***Urban Redevelopment approach:*** The process of demolishing and reconstructing central urban slums for economic, social and scenic aims. This could be understood as a mild renewal where the objectives and the process give focus and attention to the existing settlers by accommodating them as far as possible. This approach also attacks the entire existing neighborhood through demolition, but with a plan to only move residents temporarily and create opportunities for some or all of them to return. Considering the nature of the extensive physical construction required, this is also an expensive approach, and therefore it is difficult to achieve affordability for the poor in whatever is built in the redevelopment (MoWUD, 2006; Martha, 2006).
- III. ***Urban Upgrading (rehabilitation) approach:*** this is a kind of intervention in slum areas through introducing economic, social, and physical services and infrastructure. Upgrading or rehabilitation approach consists of retaining many or most of the existing structures but organizing resources or incentives for improvement of those structures. The main focus is therefore, upgrading of infrastructure to improve the health and quality of life in the neighborhood. In course of upgrading infrastructures, there may be buildings demolished in order to create necessary rights-of-way, for instance, but this is minimized so that most residents can remain in place. Distinct from the other approaches, this is conceived as the lowest cost strategy and is most likely to enable poor families to afford to remain (MoWUD, 2006; Martha, 2006).

In relation to other approaches, the slum upgrading approach has been considered to have significant advantages. For instance, in terms of cost, it can cost up to ten times less than clearance or relocation policies. In addition to this, it also avoids the social and economic disturbance of the community by moving the residents in to another new area. Furthermore, the results of the urban upgrading projects are highly visible in a very short period of time and can make significant differences in the quality of life of the urban poor (Calderon, 2008).

According to the United Nations (2010), Shanghai Manual, the main reasons for why rehabilitation and upgrading offer the most feasible solutions to the problems presented by slum and squatter settlements include:

- The burden on public funds can be considerably less than for public housing and relocation, if upgrading programs are designed using principles of affordability by the residents and the mobilization of popular action;
- The provision of security of tenure and access to credit, and people's participation in terms of savings and labor can be mobilized and directed to upgrading activities;
- Given the precarious nature of the informal sector activities (community dependency, location, etc.), relocation removes people from employment sources and reduces their capacity for economic survival; it is difficult to transplant informal sector activities to public housing and apartment blocks and expect them to survive;
- Social and economic survival of slum and squatter communities depends to a large extent on community organization and neighborhood relationships. Relocation and public housing destroys the social fabric of poor urban settlements.

2.2.4. Participation in slum upgrading

Participation, a key feature of today's planning theory and practice, has been the subject of strong global debate in recent years. Imparato and Ruster defines participation in relation to slum upgrading as:

“a process in which people, and specially disadvantaged people, influence resource allocation and the planning and implementation of policies and programs, and are involved at different levels and degrees of intensity in the identification, timing, planning, design, implementation, evaluation, and post implementation stage of development projects” (Imparato & Ruster, 2003, p. 20).





The study by Imparato and Ruster (2003), on participatory strategies in slum upgrading projects in Latin America, point out that participation improves project performance and increases the impact of the project and its sustainability.

Levels and Degrees of Participation

The above definition by Imparato and Ruster suggest that participation comes at different levels. Figure 2.5 shows that the levels of participation ranges from “None”, to “Full control” indicates

the relationship of the community with the outsider, the planner, in this case. The levels of participation ranges from the no community control which is represented by the “None” in the above figure to the full community control.

Figure 2.5: level of participation

Level of Participation	Community Role	Outsider Role
NONE	-	SURROGATE
INDIRECT	 <	
CONSULT	INTEREST GROUP  <	ADVOCATE
SHARED CONTROL	STAKEHOLDER  =	STAKEHOLDER
FULL CONTROL	PRINCIPAL  >	RESOURCE

Source: Imperato and Ruster, 2003: 23

The “None” level of participation refers to the absence of community participation, where the outsider (planner) is the only responsible body excluding the community participation. The indirect and consult levels of participation are parallel with the communication and negotiation strategies. Still the outsider (planner) takes full control of the project. However the outsider collect a data from the community or the area directly. In the fourth and fifth (shared control/ full control) level of participation the community participation ranges from the equal participation with the outsider to the dominating of the process of the project. These levels are correspond to community management strategies (Imperato and Ruster, 2003; Calderon, 2008).

Motivation for participation

The motivation or rationale for participation in urban upgrading projects considerably depends on the situation. However, the participatory approach is directly connected to the nature of urban upgrading. According to Imparato & Ruster (2003), the motivations for planning a participatory approach in slum upgrading program may emanates when the following results are needed (Imparato & Ruster, 2003: 34).

- Safeguarding stakeholder collaboration through demand responsiveness and open channels in order to enhance feasibility of the upgrading project;
- Enhancing community labor or financial contributions so as to overcome resource constraints;
- Ensuring informed decisions of the project management by using local information and know-how
- Improving the odds for future cost recovery, by promoting stakeholders' cost consciousness and fostering in them a responsible relationship to urban services and infrastructure;
- Enhancing sustainability of the project by ensuring stakeholder ownership, making information available and developing local capacities, which will strengthen the odds for further development initiatives in the outcome;
- Enhancing accountability and transparency in the management of public funds; and
- Encouraging democratization and decentralization of resource allocation.

2.3. Previous Slum Upgrading attempts in Addis Ababa

2.3.1. The Pre-1991 Slum Upgrading Experience

Even though, there were some upgrading attempts in Addis Ababa in the pre-1991 period, the experience of upgrading project in a wider scale, and as a major urban development policy instrument for the city is a relatively recent phenomenon. The kolfie low income housing project was the first meaningful policy measure that the Ethiopian government undertaken. The project was accomplished in 1960s, in order to address the slum problems of the kolfie area through demolishing some part of the area. As a result, 91 households were evicted from the project area to a new and better- serviced housing units in the then western fringes of the city (Abebe et al, 2011).

Next to the Kolfe low-income housing program, the Tekle-haymanot Upgrading Project launched in the early 1980s. This project was financed by World Bank and Ethiopian government, exclusion by Addis Ababa city municipality, and was the first residential scheme of any meaningful size of the time in Addis Ababa. The selected project area (Tekle-haymanot area) was the highly congested areas having gross population density of 453 individuals per hectare. The overall nature of the Project was mainly focused on improving the health and environmental conditions of the area through provision of better services. Specifically, the project was basically aimed at upgrading access roads, improving access to tap water and increasing household access to sanitary facilities. This involved:

- Resurfacing badly damaged roads,
- Reducing the ratio of public water stand to households to about 1:100, and
- Improving sanitary conditions through loans for the provision of pit latrines with one dry pit to be shared by a maximum four households.

The program also made loans available to upgrade at least 205 units, with potential also to include community facilities such as primary schools and market buildings within the project area (Tolon, 2008).

2.3.2. The Post 1991 slum upgrading experiences

In comparative terms, the participation of local authorities, NGOs and the community in slum and squatter upgrading programs in post 1991 Addis Ababa, were better than the earlier periods. The scale of residential upgrading undertaken and the level of community participation in the city was very prominent and interesting. In the post 1991 period, there were two community based slum upgrading programs operating in the city. The first and most important one is conducted by the municipal authority, and the second one is conducted by NGOs. There were also two principal operators of the slum upgrading projects, under the municipality authority. These are: the Environmental Development Office (EDO), and the Eco-City Project office (UN-HABITAT, 2007).

The infrastructural upgrading activities in the whole city was mainly carried out by the Environmental Development Office (EDO) of the Addis Ababa city administration and its agencies at both the sub-city and the then kebele levels. The goals of the upgrading programs undertaken by the environmental development office were the following (Elias, 2008; Tolon, 2008)

- To improve the living and working conditions of the urban poor by improving infrastructure and services;
- To create job opportunities for the urban poor and the unemployed, especially through labor -intensive methods for project implementation;
- To ensure public participation in all essential neighborhood upgrading activities, including problem identification, project design and implementation; and
- To enable the communities to own and manage upgraded or newly built infrastructure and services

Accordingly, the working arrangement between the office which carried out the upgrading project and the target communities has been very efficient with respect to fund-raising for the residential area improvement projects. For instance, in consecutive ten years between 1995 and 2005, EDO implemented slum upgrading projects worth USD32.3 million. Community financial contributions in the same period raised at USD12.95 million. Of this, USD10.7 million came in cash, USD1.15 million in the form of labor and another USD 1.1million was in materials. Regardless of the varying sizes of the gaps between the plan and performance in the various areas of EDO's activities, the upgrading project had a very effective impact on the living conditions of the residents in its major areas of intervention (UN-HABITAT, 2007).

The Eco-city project was another government driven principal office that operates the slum upgrading activity, under the municipality authority. The objectives of the Eco-city project office was almost similar with the environmental development office, and was concentrated on: improvement of sanitation, sewage disposal and solid waste management; the provision and upgrading of social services; the creation and maintenance of open spaces and green areas; the creation of income generating economic opportunities; and the provision of vehicular access and drainage lines (Elias, 2008). Starting from 2008 onwards, following the introduction of Business Processing Re-engineering (BPR) in Addis Ababa city administration, the organizational structure of the city urban planning institution is extended down to the sub city level. The urban planning offices of the 10 sub cities are, therefore, responsible to conduct upgrading projects and improve the slum situations in the respective sub city.

The Non-governmental organizations are also another organization's participating in the slum improvement activities in Addis Ababa. Most of them have been focusing on infrastructure upgrading and improvement of environmental sanitation. Like the government driven upgrading projects, NGOs also encourage community participation in neighborhood upgrading

programs. In principle, therefore, the target communities participate in all stages of NGO-sponsored urban development programs, including the raising of what originally used to be something like 10 percent of the project cost in most cases. Only two or three NGOs have been running meaningful, though limited, housing improvement programs. CARE is the most prominent for undertaking rather a large and visible infrastructure upgrading projects (Tolon, 2008).

CHAPTER THREE

RESEARCH METHODOLOGY

3.1. Introduction

Research methodology is a way to systematically solve a research problem. It's a science of studying how research is done scientifically. Research methodology encompasses various steps in the way to discover and describe the research problem and to recommend the appropriate solutions by the researcher. The knowledge of application of particular research techniques, and development of certain indices by the researchers is not enough to undertake a research. It also requires the researchers to know the relevant research method or technique for a specific problem under study, indicate the results of the research, and what would it mean, and why (Kothari, 2004). Therefore, this chapter tries to describe briefly the research methodology used in the study.

3.2. Selection of Research Approach

There are two approaches or methodologies in studying a research problems; the qualitative and the quantitative research methodologies. In a quantitative type of research approach, the required data for the research are generated in the form of quantitative technique which can be subjected to rigorous quantitative analysis in a formal and rigid fashion. In this type of research approach use mainly statistical methods and numbers in the process of data collection and data interpretation. Distinct from the quantitative research approach, the qualitative research approach uses words and discourses in gathering and the interpretation of data. The results of the research in a qualitative approach is generated either in non-quantitative form or in the form which are not subjected to rigorous quantitative analysis. (Hancock & Algozzine, 2006).

The decision of using a concomitant research approach in a specific study largely depends on the goals of the research. The relationship of the researcher with those being studied can be also considered as a factor for choosing an appropriate research method by the researcher. There is no single best research approach that can solve a research problem. Each method has its own merits and demerits. The goal of qualitative research approach, for instance, is trying to understand the situation under investigation primarily from the participant or informants perspective, not the researcher perspective. Hence, the events and ideas emerging from qualitative research can represent the meanings given to real-life events by the people who live them, not the values, preconceptions, or meanings held by researchers (Yin, 2010).

In addition to the above stated features, qualitative research approach also uses to undertake detail studies about a broad range of issues. This method don't require too many respondents, mainly focus on few respondents. It enables the researcher to in-depth evidence about a case to find out what really happens, most times the informal reality which can only be perceived from the inside (Gillham, 2000; Yin, 2010). Such methods are ideal for discovering 'how' and 'why' research questions. Looking at the research topic and its objectives, qualitative methods is best suited to provide adequate answers to the research objectives and questions arise by this study.

3.3. Research design

Research design or study design, the most essential part of research work, is the plan and procedures for a research. It encompasses the decisions from broad assumptions to detailed methods of data collection and analysis in a research work (Creswell, 2009). Limb & Dwyer (2001), defines a research design as;

“A research design is a result of a series of decisions we make that emerges from our knowledge of the academic literatures, the research questions we want to ask, our conceptual framework and our knowledge of the advantages and disadvantages of different techniques (Limb & Dwyer, 2001: 41).”

The selection of a research design in a research work is also determined by different factors such as the issue to be address or research problem, the researcher's personal experiences, and the audience for whom the study will be conducted. As a requirement a research design should fulfill several components such as: well stated research problem, procedures and techniques to be used for data gathering, the population to be studied, and methods to be used in processing and analyzing data (Kothari 2004).

In a qualitative type of research approach there are different types of research designs. The dominant or mostly used research designs in qualitative approach are: ethnography, grounded theory, case studies and phonological research. Case study, which is going to deploy in this research, is different from other types of research design in qualitative approach in which; it depends on intensive analyses and descriptions of a single unit or system bounded by space and time. Individuals, events, or groups are the dominant topics often examined in case study. This type of research design helps the researchers to gain in-depth understanding of situations. It gives an emphasis to the study of a phenomenon within its real world contexts. The case study

method favors the collection of data in natural settings (Hancock & Algozzine, 2006; Yin, 2012).

Therefore, considering the objective and research questions of the study, the case study approach is deployed in this research. Descriptive research design favors to present a complete description of a phenomenon within its context. It describes what is happening or has happened in a situation (Yin, 2012).

3.4. Sources of data

Both primary and secondary data were the sources of data used in this research. They were collected using different data collection techniques. Primary data were gathered mainly using interviews, personal observation, and partially focused group discussions. Secondary data for the research were also collected from different articles, the project plan and guidelines, proclamations and regulations of federal government and Addis Ababa city administration, and from operational manual as well as from the different records of the upgrading projects provided by the urban planning office of Addis Ketema sub city. The detail data collection techniques and processes deployed during the data collection period will be discussed in the 3.6 part of this chapter.

There were three main sources of data on the field during the data gathering period. These are, the government offices, the residents, and research site or the physical environment.

3.4.1. Government offices

Government offices at city, sub city and wereda level were the main providers of data for this study. At city level the urban planning institute which has the highest power to coordinate the urban planning office at the sub city level, and to organize the upgrading projects was approached. The federal government and city level proclamations and regulations related with land administration and city planning issues, term of reference for the upgrading projects, and operational manuals were collected from urban planning institute at city level. In addition to this, the detailed data of each sub city and wereda of Addis Ababa city administration such as population number, area coverage, and new administrative map of the city were collected from Addis Ababa integrated land information center, which is organized at city level.

At the sub city level, the detail of Chew-Berenda upgrading project manual, which is the focus of this research, the manuals of other relevant upgrading projects, the operation manuals, and

different records of the upgrading projects prepared by the sub city were gathered from Addis Ketema sub city urban planning office. Detailed interviews were also conducted with the head of the Addis Ketema sub city urban planning office and with the urban planning professionals working in the office. In addition to this, an interviews were also conducted with the heads of environmental protection office, and construction and housing office at Addis Ketema sub city administration.

At the local level, wereda 6 of Addis Ketema sub city administration, where I am doing the research, as well as its administration organs were the major sources of data for this study. The wereda administration officials and managers, and development committees were also interviewed.

3.4.2. The residents

The individual residents in the study area were the major source of primary data for the research. The dwellers participated in the detailed interviews I conducted, and in the focus group discussions. Given the heterogeneity of the area, I deployed purposive sampling technique in order to select respondents from the total residents of the area. Therefore, the individual informants who were participating in the interviews were categorized according to their participation in the upgrading project under study, to tenure issues; the houses who they live, and use of their houses.

3.4.3. The research area

The physical environment or the research area itself was one sources of data for the research. The housing conditions, the morphology of the area, the condition and type of infrastructures, service facilities and sanitation situation of the area were collected from the physical environment by undertaking direct observation by the researcher.

3.5. Data collection process

The data collection process started with a pilot study; mostly by walking around in the project area for consecutive five days from June 15 – 19, 2015. It was helpful for me so as to know the general picture of the project area. The housing conditions, the urban morphology of the area, the condition and type of infrastructures, service facilities and sanitation situation of the area, were all the variables that were put into consideration during the pilot study. And hence, the study area was categorized in to different groups mainly based on the land use type of the houses, and on the ownership or tenure security of the houses in the project area. This

classification was made in order to select the informants from each category, and it helps to encompass different perspectives of the participants about the situation in the study area. The detail selection process of respondents and key informants is discussed in 3.6 part of this chapter.

It was also during the pilot study that I decided to employ four assistants who knew the area very well. They assisted me during the field work both in the interviews with the residents and during the focused group discussions. The interview guiding questions were also tested during the pilot study. Following this process the data gathering process of both primary and secondary data at city, sub city and wereda levels were carried out from July August, 2015. In addition to this, a visit is also made in the study area with my supervisor on 27th February, 2016. The visit was helpful for me so as to understand the situations in the study area in another perspective.

3.5.1. Positionality

Positionality in research refers to the given characteristics of a researcher such as ethnicity, nationality and gender which are fixed or culturally attributed (Dowling, 2010). My own positionality in the study area was ambiguous. Since the field site is located in Addis ketema sub city, where I was working as a planner for about five years, one could question my position. However, knowing the area and not having any language barrier I had no difficulty in communicating with the respondents and informants. In addition, knowing the culture and way of life of people in the area, I was in a better position to interact with them more like an insider than an outside. Nevertheless, being Tigrian, I had to hide my ethnicity and previous work experience in order to obtain the reliable answers for my questions. Because, there is a tendency in most part of Ethiopia to judge anyone according by his/her ethnicity. Moreover I concealed my previous functions in the administration because people have no confidence in the administration and they would not be free to criticize anything related with the administration if they knew that I had been part of the administration. I therefore select the research assistants living in the area who had no contact with the local administration. All this, hiding my own ethnicity and my previous working experience was necessary in order to simply obtain more reliable answers, or any answer at all from the respondents. I presented myself as a student, and spoke Amharic.

3.6. Data collection techniques

The qualitative research methodologies make use of different kinds of data collection techniques. First, an in-depth open-ended interviews. The interviews may be accompanied with individuals or groups and also it may be undertaken once or in a series of meetings. The second type of data collection technique with the qualitative research approach is the group discussions. The group discussions may be single group focus groups or successive meetings of in-depth discussion groups. Third, participant observation; this technique of data collection may be conducted in a variety of ways, as full or semi-participant observation, as covert or overt participant observation, as active or passive participant observation. Finally, beyond the data gathering technique in qualitative research methodologies, there is an interpretation and analysis of the wide variety of different kinds of texts including maps, literature, archive materials, landscapes and visual materials such as pictures and films (Limb & Dwyer, 2001).

Accordingly, in order to gather both the primary and secondary data for the research, various data gathering techniques were applied. The selection or application of data gathering techniques in this study depended on the nature of the data to be extracted and of the administrative level where the data existed like at city level, sub city level or wereda level.

3.6.1. Direct field observation

Direct observation of a study area by a researcher is a frequently used data collection technique in a qualitative research. Direct observation comprises intensive and systematic observation of a situation. It helps the researcher to grasp a richer understanding of the situation, and to understand the problem encounters, in its natural setting (Limb & Dwyer, 2001).

The direct field observation I conducted has mainly three purposes. *Primary*, to characterize and understand the physical or spatial condition of the study area. *Next*, to understand the social interaction of the residents and their reaction towards the upgrading project. *Third*, to assess and understand the impact or the practical outputs of the upgrading project in the area.

Accordingly, the activities, events, physical condition, and planning characteristics of the study area were observed as first hand data on site. I spent a considerable time in the direct observation parallel to the interviews and focus group discussions. I also made Informal conversations with the inhabitants of the area. Finally, the data were recorded using different techniques such as; photograph, audio, and drawing.

3.6.2. Interview

Interviews in qualitative research are useful to collect qualitative descriptions of the subject under study with respect to interpretations of its meaning or explanation (Kvale, 1996). Through interview the researcher can generate a lot of information very quickly and enable to cover a wide variety of topics (Limb & Dwyer, 2001). Accordingly, semi structured interviews were undertaken with the key informants and selected dwellers in the project area. Because semi-structured interviews allow informants the freedom to express their views in their own terms.

The key informants were the heads of urban planning office, land development and management office, environmental protection office, and construction and housing office of Addis Ketema sub city administration. Five professional planners in Addis Ketema sub city urban planning office who have been participating on the upgrading projects were also considered as key informants. In general 9 key informants were interviewed during the data collection period.

The selection of informants who participate on the individual interview sessions from the general dwellers in the project area, is made based on three general criteria's. The classification was made in order to represent multiple issues and to include multiple perceptions from the residents of the study area.

First, the land use of the study area is generally categorized in to three land use groups; the resident type land use area, the mixed use land use type and the manufacturing and store land use areas. Therefore, an attempt is made by the researcher to involve informants from each residents or owners of land use category.

Second, criteria is based on the tenure system of the houses in the study area. Similarly, the ownership type of the houses in the study area is categorized in to three groups as; privately owned houses, kebele (government) owned houses, and rental housing agency (government owned houses but not like kebele owned). The historical background and the different between kebele owned houses and houses owned by rental housing agency in Addis Ababa is clearly stated in the first chapter of this thesis.

The *Third*, criteria for the selection of the informants made by the researcher is the status of participation of the residents on the ongoing upgrading project in their area. Accordingly, both the residents who have been participate in the different phases of the upgrading project and

those who haven't participate were selected as the informants during the individual interview. In general 18 informants were interviewed.

The interviews made with the key informants and with the selected dwellers was more valuable and provides numerous data about the upgrading project at general level, and about the specific issues stated on the semi structured interview format.

3.6.3. Focus group discussion

The purpose of focus group discussion in qualitative research is mainly conducted to extract participant's attitudes, feelings, believes and experiences on a specific issue of concern. Informants are supposed to discuss ideas, issues, insights, and experiences among themselves. The role of the researcher is simply to facilitate the discussion and keep it focused (Kumar, 1987). In addition to the sharing of advantages of the interview technique in gathering a lot of information quickly in a wide variety of topics, the focus group discussion also enable the researcher to explore how meanings and experiences are negotiated and contested between participants (Limb & Dwyer, 2001).

The aim of group discussions held in this research was to distinguish informants or participant's attitudes, feelings, beliefs, experiences about the upgrading project and to generate general understanding of the project participation and management. The group discussion was including participants who have been participating in the upgrading project and who have not participated, different age and sex group (to maintain age and gender balance). My role here was to facilitate the discussion and to motivate the participants to express their ideas, perceptions and experiences freely regarding the issues under study. However, the focus group discussions were not as fruitful as intended. The participants were reluctant to discuss ideas and to explain the situation, especially they didn't criticize the implementation process of the upgrading project. This is the main cause for problems that the researcher observed during the field work, and the measures undertaken by the researcher to fill the gap is explained in the last part of this chapter.

3.6.4. Document collection (Secondary data collection)

The Secondary data sources such as term of reference for the upgrading projects, operational manuals, the detail Chew-Berenda upgrading project manual, which is the focus of this research, were collected from all administrative hierarchy of Addis Ababa city administration, from city to wereda level.

3.7. Data analysis

In this study, data analysis is made so as to put together and fit the data collected from different sources, using various data collection techniques, to the need of the research objectives. This process contains the transcription of interviews, categorization, and triangulation of the evidences. In addition to the analysis of the interviews, the relevant secondary documents, photographs and maps collected during the field work were interpreted with respect to the main issues of the research question and objectives. The triangulation of the data would add to the study's credibility and trustworthiness.

3.8. Ethical considerations

The effectiveness and credibility of a research work mainly depends, among other factors, on the consideration of ethical issues and standards. It is the indispensable part of a research process. Ethics in a research process is refers to the responsibilities and the conduct of a researcher to protect the target groups who are involved in the research process and in the research area (Dowling, 2010).

As a requirement for the researchers, the ethical issues that may arise during the study such as privacy, confidentiality, and anonymity should be anticipated. Furthermore, the protection of participants of the research process, development of trust with the informants, promotion of the integrity of the research, protection of the organization under study against misconduct and impropriety that might reflect, and challenging the problems that may arise during the study are also among the responsibilities of the researcher. Ethical issues and its considerations are related to all phases of a research process, with participants and research area puts under consideration (Creswell, 2009).

In a case study research approach, the case is being discussed with individuals and groups using different data collection techniques such as; interviews and focus group discussions. Thus, a case study researcher must follow all ethical and legal requirements regarding research participants. In other words the individuals or groups being observed must provide informed consent of their participation in the research and are normally provided anonymity and confidentiality (Hancock & Algozzine, 2006).

Therefore, all of the above discussed issues of research ethics are considered and applied in the whole process of this research. I received a letter of introduction from the Addis Ketema sub city urban planning office. All of the Participants of the study were informed about the objectives of the study. The participants were also informed that the collected data will be used only for the academic purpose. Careful attentions were also given regarding the maintaining confidentiality of the data and acknowledging sources of information used in the study.

3.9. Problems and limitations of data collection

The data collection process is basically categorized in to two forms as data collected from the primary sources and data collected from the secondary sources. The collection of data from the secondary sources were very smooth. It was only requiring the researcher to approach the relevant offices and expounding of the research objective and sometimes personal information as well. But, with regard to the gathering of the primary data there were problems encountered during the field work.

The first problems I met during the interviews were, both with the residents and the sub city and wereda officials. The residents didn't answer the interview questions directly. This problem required the researcher to reshape the semi structured interview questions, and to change the method of interviewing so as to get the intended data, which asks more time than the first schedule set by the researcher. In addition to this the researcher works on the development of trust with the informants using some people who are residents in the area and knows the interests and feelings of the informants. On the other hand, the sub city and the wereda officials had concentrated only on the success stories of the project, even there is no success story of the project to tell, just simply tries to relate with other tasks. The professional planners at the sub city urban planning office were direct in answering to the interview questions and explaining the problem of the upgrading projects on the ground. The second problem is solved by the triangulation of the data collected from the field using direct field observations, interviews with different informants, and focus group discussion in the analysis part.

Another problem encountered in the data collection process happened during the focus group discussion. The focus group discussion were made between the residents of the study area in order to express their interests, feeling and experiences about the project under study. However, the participants were reluctant to explain the situations, especially they didn't criticize the implementation process of the upgrading project. In fact, the residents didn't trust each other.

There is a popular classification among residents, between those so called “*teqawami*” vs “*degafi*”, means someone who oppose the policies and strategies of the current government and those who promote the policies and strategies of the current government respectively. This situation in the area eliminates trust between the residents and blocks free group discussion. As an option therefore, I need to make an informal interview on the individual and small group bases.

CHAPTER FOUR

INSTITUTIONAL FORMAL BACKGROUND

4.1. Introduction

Addis Ababa is the capital and the largest city of Federal democratic republic of Ethiopia (FDRE), and it is the political, economic and cultural center of the country. It is also a city where the headquarters of African union (AU), and United Nations Economic Commission for Africa (UNECA) and various other continental and international organizations are located (AAILIC, 2013).

Following the ratification of the 1995 Ethiopian constitution, both Addis Ababa and Dire Dawa are selected as federal cities that are directly accountable to the federal government. Thus, Addis Ababa is a charter city in which it has the status of both as a city and as a state. Currently, Addis Ababa is divided in to 10 sub cities which are the second administrative units in the city, and the sub cities are also divided in to 116 weredas, formerly known as kebele, which are the smallest administrative unit in the country.

Figure 4.1: Administrative map of Addis Ababa



Source: Addis Ababa Integrated Land Information Center, 2013

According to the information provided from the Addis Ababa Integrated Land Information Center, the number of weredas each sub city contains, and population density of each sub city is presented in the table below. The number of weredas varies based on the size of the sub cites.

Table 4.1: Number of weredas and Population density of sub cites in Addis Ababa

<i>No.</i>	<i>Sub City Name</i>	<i>Number of Weredas</i>	<i>Area in km²</i>	<i>Population Size</i>	<i>Population Density (peoples/Sq.Km)</i>
1	Yeka	13	82.13	346484	4218.67
2	Nifas Silk	12	58.76	316108	5379.34
3	Lideta	10	9.18	201613	21952.47
4	Kolfe Keranyo	15	63.48	415647	6752.38
5	Kirkos	11	14.65	220991	15087.18
6	Addis Ketema	10	8.64	268099	31029.90
7	Bole	14	118.5	308714	2605.29
8	Arada	10	9.5	212009	22316.70
9	Akaki kaliti	11	123.46	181202	1467.68
10	Gullele	10	31.19	267381	8572.37
Total		116	519.49	2,738,248	5271

Source: Addis Ababa Integrated Land Information Center, 2013

The above table (4.1) shows uneven distribution of population and area between sub cities of Addis Ababa city Administration. The old dilapidated sub cities and located in the inner part of the city (Addis ketema, Arada, Lideta, and Kirkos) are smaller in size and relatively high populated sub cities. As a result these sub cities have the highest population density in Addis Ababa, in which Addis ketema sub city is the dense one. In contrast, the sub cities located in the periphery area of the city covers vast area and relatively have low density than the inner sub cities.

4.2. Administrative hierarchy of Addis Ababa city Administration

The administrative hierarchy of Addis Ababa city is made of three stages. These are the City, sub city and Wereda levels. The power and function of each administrative hierarchy in the city is clearly stated in Addis Ababa city government revised charter proclamation No.311/2003. Considering the research topic, the power and functions of each administrative hierarchy is stated below.

4.2.1. Power and functions of the city administration

- Issue and implement policies concerning the development of the city;
- Approve and implement economic and social development plans;
- Organize Sub-Cities and Kebeles (weredas), demarcate their borders and allocate budgetary subsidies to Sub-cities
- Identify, determine and organize municipal services to be delivered at the level of the City, a Sub-City and a Kebele (wereda); provide. efficient, effective and equitable services through the use of a variety of service delivery alternatives and the participation of the people as well as ensure that a standardized, acceptable system of service delivery is in place;
- Administer, lease, develop, sale and collect incomes from houses nationalized as per Government Ownership of Urban Lands and Extra Houses Proclamation No. 47/1975 and administered by the City Government, and as well as other houses which the City Government built or obtained in accordance with other, laws;
- Expropriate, in accordance with law, a private property, and/or clear and take over land possession designated as an object of public interest after having paid commensurate compensation;
- The City Council may either establish new Sub City or Kebele (wereda) or reorganize the existing Sub Cities or kebele taking into account the opinions of the respective residents, suitability of service delivery, urban development plan and the size of population.

4.2.2. Power and functions of the sub city administrations

- Administer the Kebeles (weredas) under its jurisdiction.
- Approve the economic, social development and municipal plans of the respective Sub-City;
- Allocate the budget set aside to it by the City Council;

4.2.3. Power and functions of the wereda administrations

- Be a center of development and direct popular participation as well as a station for services that may be delivered at that level,
- Create conditions in which the respective residents avail of services in their vicinity as close as possible.

In summary, the real power and the resources, for instance staff, of Addis Ababa city administration is being concentrated on the city administrative hierarchy, than the sub city and wereda administrative levels. Similarly, the sub cities are better than the wereda administration in terms of power and resources.

4.3. The role of each administration level on Slum upgrading

Before 2008 the administration level of Addis Ababa urban planning institute which is responsible for the slum intervention in the city was only limited at city level. But, after the introduction of the concept of the BPR (Business Processing Re-engineering) in the city administration it has distributed down to the lower administrative level, at the wereda administration. The role of the planners varies with the function of the planning institution they are working for. The following section presents the role of urban planning institute at each administrative hierarchy on slum upgrading (Addis Ababa city Administration, 2008).

4.3.1. Role and Functions of urban planning institute at city level

The urban planning institute at city level is organized by three teams namely: Urban plan preparation team, urban plan implementation and controlling team, and urban plan research team.

The main tasks of urban planning institute at city level are:

- Preparation of urban renewal plans (Local development plan) in selected areas of the city which are extremely deteriorated
- Organize urban planning offices in all sub cities
- Undertaking plan control on the building getting permit at city level
- Conducting evaluation and research on the implementation of local development plans which are prepared by city and sub city level
- Organize city master plan project office
- Evaluating upgrading projects prepared by sub cities

- Distributing approved local development plans to the relevant offices at city level for implementation

4.3.2. Role and Functions of urban planning office at sub city level

Urban planning office at all sub cities in Addis Ababa city administration is organized in to two working teams: Urban plan preparation team and urban plan implementation and controlling team.

The main tasks of urban planning offices at sub city level are:

- Preparation of urban upgrading projects in selected areas of the sub city which are relatively decayed and in a need of upgrading
- Undertaking plan control on the building getting permit at sub city level
- Distributing approved local development plans to the relevant offices at sub city level for implementation

4.3.3. Role and Functions of Wereda administration in slum upgrading

At wereda level, the urban planning office was only functional for about four years (from 2009-2013). It mainly focused on the collection of land related data in the respective weredas. Currently the office is merged with the urban planning office at sub city level, following the organizational restructuring made by the urban planning institute at city level.

The main tasks of wereda administration with regard to slum upgrading are:

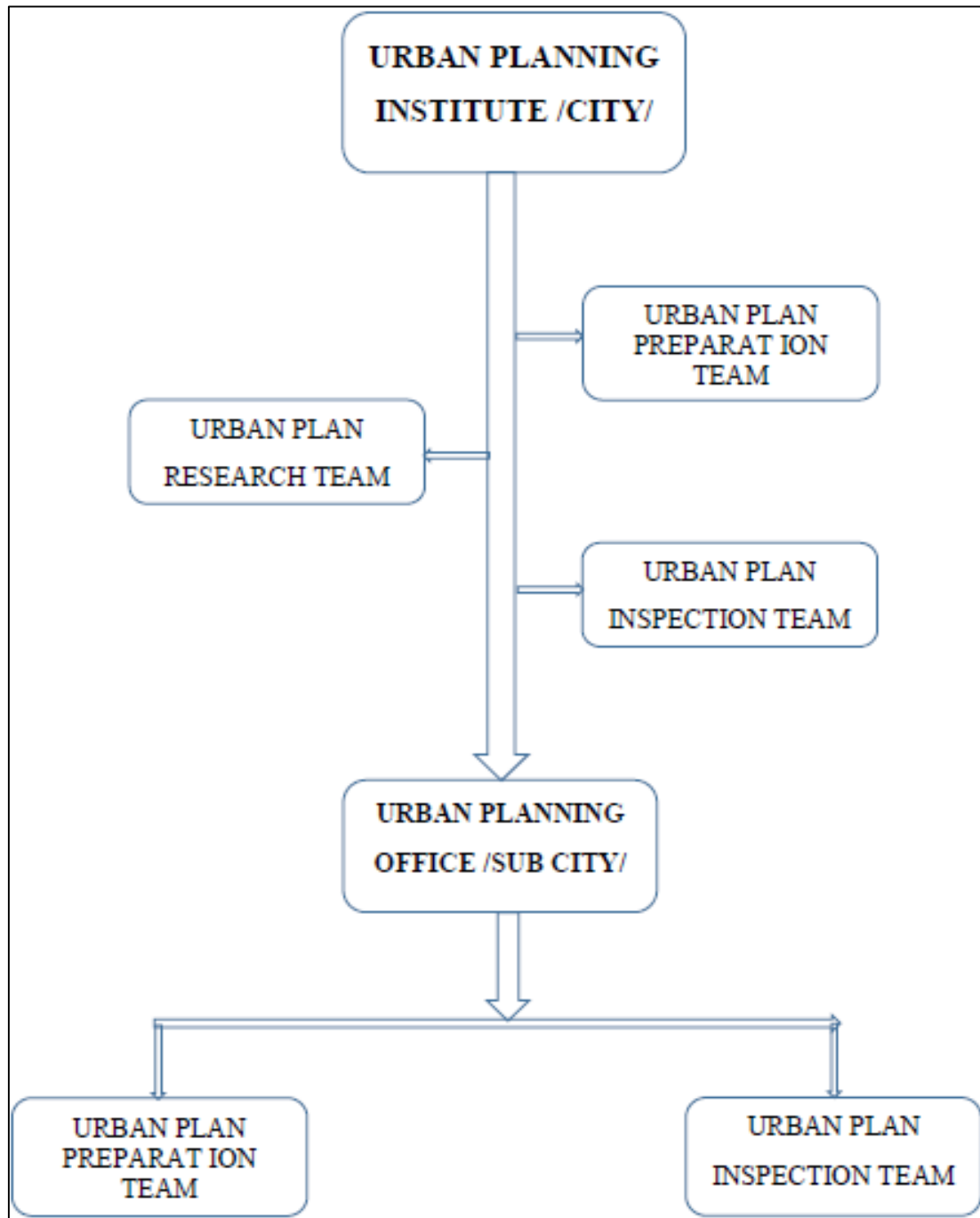
- Organizing public consultation events before, during and after the preparation of the upgrading project
- Participating in all phases of the project preparation, starting from site selection via data collection to proposal
- Participating and coordinating in the Implementation of the project

In general terms the urban plan preparation teams both at city and sub city level are responsible for the preparation of local development plans (both renewal and upgrading projects), and distribution of the project to the respective institutions and offices both at city and sub city level. Similarly, the urban plan inspection team at both levels is also responsible to the controlling and inspection of the renewal and upgrading projects prepared by urban plan preparation team, during implementation. The urban planning research team at city level is responsible to identify

the main problems encountered in the local development projects at all phases starting from preparation to the implementation via scientific research.

The contemporary working teams both in urban planning institute at city level and urban planning offices at sub city level is presented in the chart below.

Figure 4.2: Organizational structure of urban planning institute in the Addis Ababa city administration

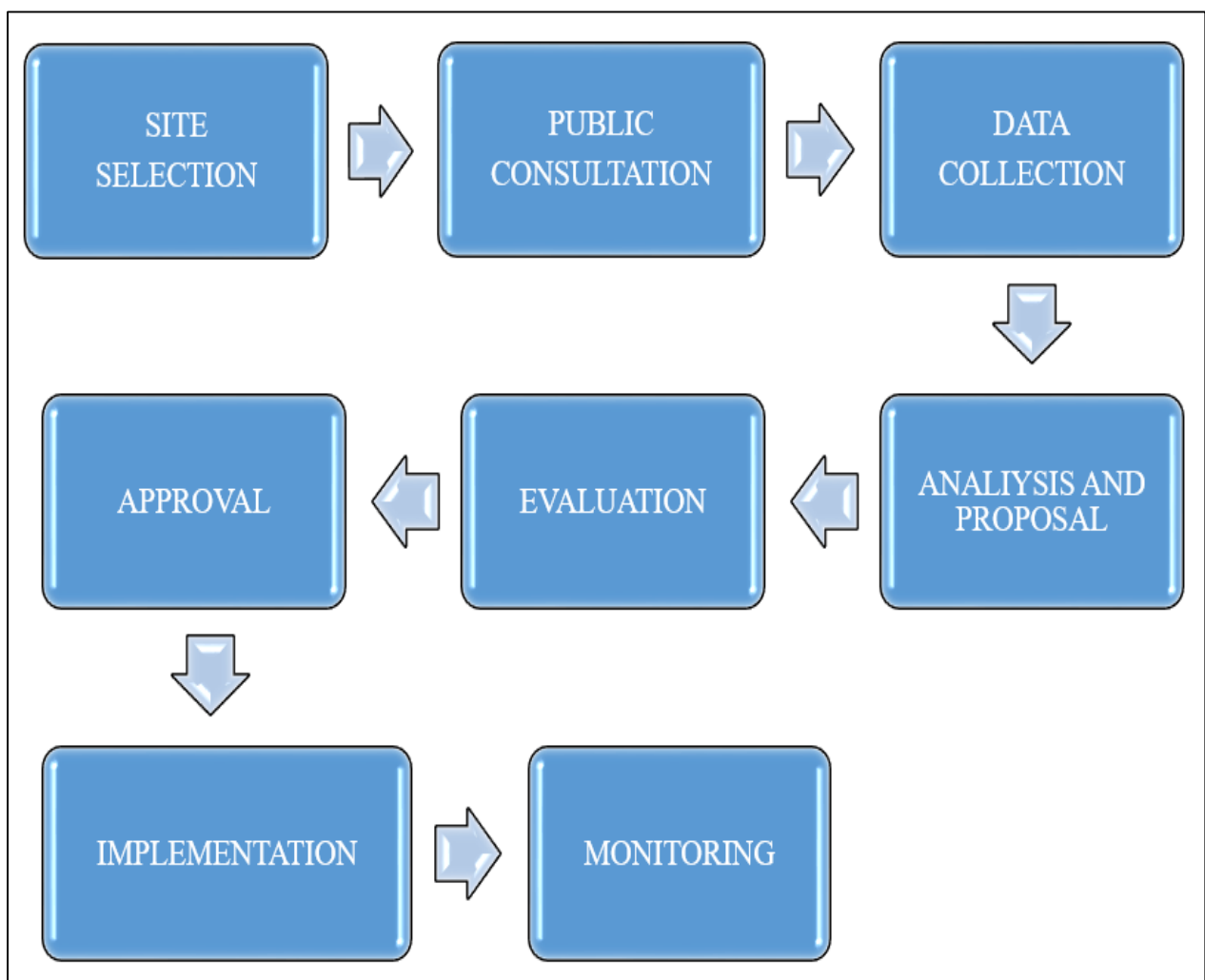


Source: Urban plan and information preparation institute operation manual, 2008

4.4. Organization of upgrading projects

The urban planning offices in the 10 sub cities of Addis Ababa city are the responsible offices for the preparation of upgrading projects in their respective weredas. The organization of the project throughout the city is similar, just following the operational manual, and toughs all administrative hierarchies. In principle, the wereda administration offices should participate almost in the whole process of the project. The urban planning offices at sub city level are the coordinator of the project, and urban planning institute at the city level is participating in the technical evaluation of the projects before the amendment process by the sub city chief executive officer and general manager, and to the implementation process. The illustration below is display how the urban upgrading project is organized from initial stage of site selection to the implementation and monitoring of the projects.

Figure 4.3: organization of the upgrading projects



Source: Urban plan and information preparation institute operation manual, 2008

The appropriate site selection for the upgrading project is undertaken by the sub city professionals. Next to the site selection, public consultation program will held, and the local residents, the sub city and wereda officials, and the sub city professionals participate in the process. The data collection process for the project is conducted by the sub city and wereda professionals. Next to the data collection, the analysis and project proposal is carried out by the sub city professionals, and the project proposal is evaluated by the professionals at city level. Finally, the project is approved by the chief executive official and general manager of the sub city, and distribute the plan to the respective offices for implementation. The monitoring of the project is undertaken by the urban plan inspection team at sub city level, and urban plan research team at city level.

CHAPTER FIVE

DESCRIPTION OF THE STUDY AREA

5.1. Location

Addis Ababa, the capital city of Ethiopia, is one of the largest urban centers in sub-Saharan Africa. It is located between 8° 49' 56" and 9° 5' 54" North latitude and between 38° 38' 17" and 38° 54' 20" East longitudes. The City covers about 519,490 hectare of land with an altitudinal zone ranging from about 2050 to 2400 meter above sea level and it is rounded by mountains. The northern and western part of the city is characterized by high topography, and the south eastern and south western part of the city is relatively flat, which is cut by a deep gorge and rivers crossing the city from north to south. Long Term Mean Annual Maximum and Minimum Temperature of the city is 23 and 10.6 degree centigrade respectively. Long term Mean Annual Rainfall of the city is also 1180 mm (AAILIC, 2013).

Figure 5.1: Satellite Image, Addis Ababa and its surrounding areas



Source: Google earth, 2016

This study is conducted in Addis ketema sub city. Addis Ketema is one of the 10 sub cities in Addis Ababa city administration. It is situated in the center of Addis Ababa, bounded by Lideta from Southeast sub city, by Kolfe Keranyo sub city from West by Arada and Gulele sub cities from North East (see fig. 5.2). According to the current administrative classification, the sub city is divided in to 10 wereddas, 28 sub wereddas, 84 Sefers (neighborhood), and 302 blocks. It is the smallest and the most densely populated sub city in Addis Ababa.

Figure 5.2: Administrative map of Addis Ababa



Source: Addis Ababa Integrated Land Information Center, 2013

Table 5.1 below shows the population density of 10 wereda administrations located under Addis ketema sub city administration. Wereda 06 of Addis Ketema sub city, in which the study is specifically conducted, is among the densely populated areas in the sub city next to wereda 02 and wereda 07 administration (Table 5.1).

Table 5.1: Population density of 10 weredas in Addis Ketema sub city administration

No.	Weredas	Land Area (Ha)	Population size	Population density (peoples/hectare)
1	W01	76.7	32,205	432.9
2	W02	37.8	27,087	716.5
3	W03	89	29,049	326
4	W04	119.9	33,055	275.6
5	W05	126	19,783	157
6	W06	61.9	28,629	461.7
7	W07	49	28,522	582
8	W08	99.7	32,617	327
9	W09	78.5	23,145	294.8
10	W10	125.4	13,007	103.7
Total		863.9	268,099	310.3

Source: Addis Ababa Integrated Land Information Center, 2013

The study area is characterized by several physical and socio-economic planning problems. The deep-rooted problems in the study area have long-years of history, which started almost with

the formation of the city of Addis Ababa. The establishment of the project area is related with the history of Merkato, the largest open market in the country. As the Italians established Merkato area for business and residential center, during the invasion period (1936 - 1941), the area was limited to black community without any settlement plan. Then business merchants and the then landlords expanded their land holdings and built small houses for rent as a means of income. The rented houses were nationalized by Derg and came under the so called “kebele houses” ownership in 1974. Expansion without any further maintenance continued under the Derg regime. In addition, people who were evicted from the “Bus Terminal’ area during the construction of the present Bus Station in 1978; were resettled in the area. This makes the present project area one of the most densely populated areas in Addis Ababa with several physical, socio-economic and environmental problems (Addis Ketema sub city urban planning office, 2012).

5.2. Socio economic Status of the project area

The study area is located close to Merkato and national bus station (see fig. 000). Therefore, the life of majority of the dwellers in the project area directly depends on the activities that are being carried out in the Merkato and bus station areas. Most of traditional costumes that are sold in Shiro-meda and Merkato markets are produced in the project area. The project area is also backyard of Merkato in terms providing storage facilities. Similar to other parts of the country, everybody including children’s in the study area engages in a variety of works regardless of legality and formality.

The majority of the people in the area have no regular or legal income sources. Kot made of wood, about 2 meters long bed in a home (like a mezzanine) is the most commonly known source of income for a family who live near to the bus station. Kot is used in the area to escape the serious scarcity of space and as income sources. A person who rent a kot for a night will pay 5-7 birr to the owners. As a result, the density of the area increases and becomes populated during evening time. The informal business activities of street vending of mainly lower quality vegetables, baking Enjera (Ethiopian bread), washing clothes for daily laborers, and local alcohol selling are common activities and source of income for the women dwellers in the area. In addition production activities such as weaving and handcrafts are also undertaken in the study area.

According to the survey conducted by the kebele administration in 2012, **32.5 %** of the dwellers (active labor force) are out of job or unemployed which is greater than average in the city which

is 29%. Lack of work habit and lack of access to job (lack of information) are the major factors for unemployment in the area according to the information provided by the wereda administration. In addition to this there is also shortage of open space to those who are working weaving and handcrafts such as metal works.

Figure 5.3: Lack of working space



Source: Field photo, 2015

5.3. Physical status of the project area

5.3.1. Morphology of the study area

The morphology of the study area is characterized by the irregular geometry of plots and blocks, dominated by very small plot size, and irregular settlement pattern. From the total area of the site, which is 15 hectare, the built up area covers more than half, 8.1 hectare, and the road consists 6.1 hectare. Only 0.8 hectare of the study area is covered by open space in unregularly form (figure 5.4). Most of the house has G+0 building height, owned by the kebele, and existed in a poor condition. The housing condition, ownership status of the houses in the study area is discussed in the following sections.

Figure 5.4: Morphology of Chew-Berenda Area



5.3.2. Existing housing condition and ownership

According to the information provided by Addis Ketema sub city urban planning office, majority (3/4) of the existing houses are of the kebele type with small proportion of private owned and houses owned by rental housing agency (RHA). The creation of the kebele and RHA owned hoses is dates back to Derg regime in Ethiopia. In July 1975, all urban land and rental dwellings in the country being nationalized under the Proclamation No. 47. Henceforth, the government took the responsibility of administrating the nationalized houses under two separate organizations. The first organization, called kebele administration, administers those houses with a rental value of less than 100 Birr, while those houses with a rental value of more than 100 Birr were put under the Agency for the Administration of Rental Housing. This trend is continuing for more than 40 years till now in the country (Elias, 2008).

Table 5.2: Housing ownership

No.	Housing ownership	Number of Houses	Percent
1	Kebele Owned Houses	855	75.4
2	Privately Owned Houses	240	21.2
3	RHA Owned Houses	39	3.4
TOTAL		1134	100

Sources: Addis Ketema Sub city urban planning office, 2012

The majority of the kebele houses are mud houses, old and dilapidated due to various reasons. Initially, there is a law that prohibit major maintenance of kebele house by the residents, and the government also stopped an investment on those houses. In addition to this, the residents are also not willing to maintain the houses, because the cost of the houses will increase in case of buying the houses from the government. As a result, they are usually precarious, cramped and overcrowded being inaccessible like in case of fire emergency, mostly built wall to wall with little or no ventilation access. Considering their visual aspect most houses from outside convey an impression of aging and decay.

Figure 5.5: Houses constructed along river bank



Source: Field photo, 2015

The houses in the project area are categorized in to three housing condition groups as good condition, fair condition and poor condition. The criteria's for the classification of the houses developed by the sub city urban planning office are: the structure of the house and building material, Vulnerability to accident like Building position away from river, Service accommodation like toilet, kitchen and water access and accessibility to road.

Table 5.3: Housing condition

No.	Housing Condition	Number of Houses	Percent
1	Good Condition	38	3.3
2	Fair Condition	311	27.4
3	Poor Condition	785	69.2
TOTAL		1134	100

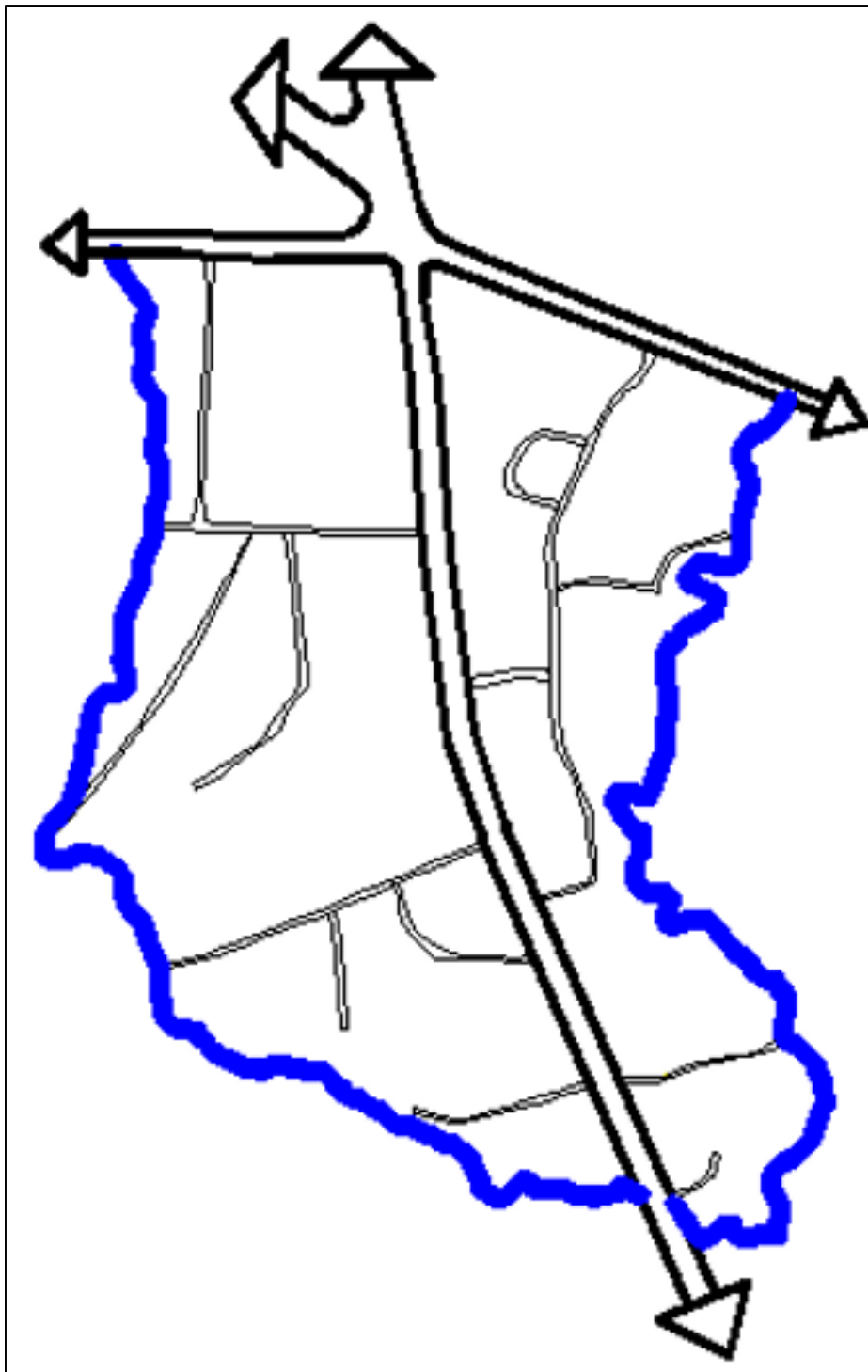
Sources: Addis Ketema Sub city urban planning office, 2012

The above table (table 5.3) shows the housing condition in the study area. Only 30.7 percent of the houses in the study area are categorized under good and fair condition. The rest 69.2 percent of the houses are categorized under bad condition, in which most of them are kebele houses. Most of the residents live in a single room, and in some cases, even accommodate more than one family.

5.3.3. Existing road network and materials

The road network in the project area has no defined hierarchy (Figure 5.6). In most part of the study area the roads are narrower than the required width. Some of the roads are amazingly very small with less than 3 meters and the width also decreasing along the way towards the houses.

Figure 5.6: Existing road network



Source: Addis ketema sub city urban planning office, 2012

There is no street side parking or circulation for cars to access in. Materials used for these roads are mostly stone and in a very few cases asphalt. The roads doesn't have side setbacks which causes drainage system difficulties.

Figure 5.7: Among Inaccessible Houses



Source: Field photo, 2015

The Existing drainage pattern is very poor. It also has problems of slope, improper use and wearing out. Lack of public awareness towards keeping the drainage clean from throwing solid and non-decomposable wastes and Lack of provision of individual sewerage and waste water manholes are the major problems of the existing drainages in the project area.

Figure 5.8: Improper use and maintenance of drainage system



Source: Field photo, 2015

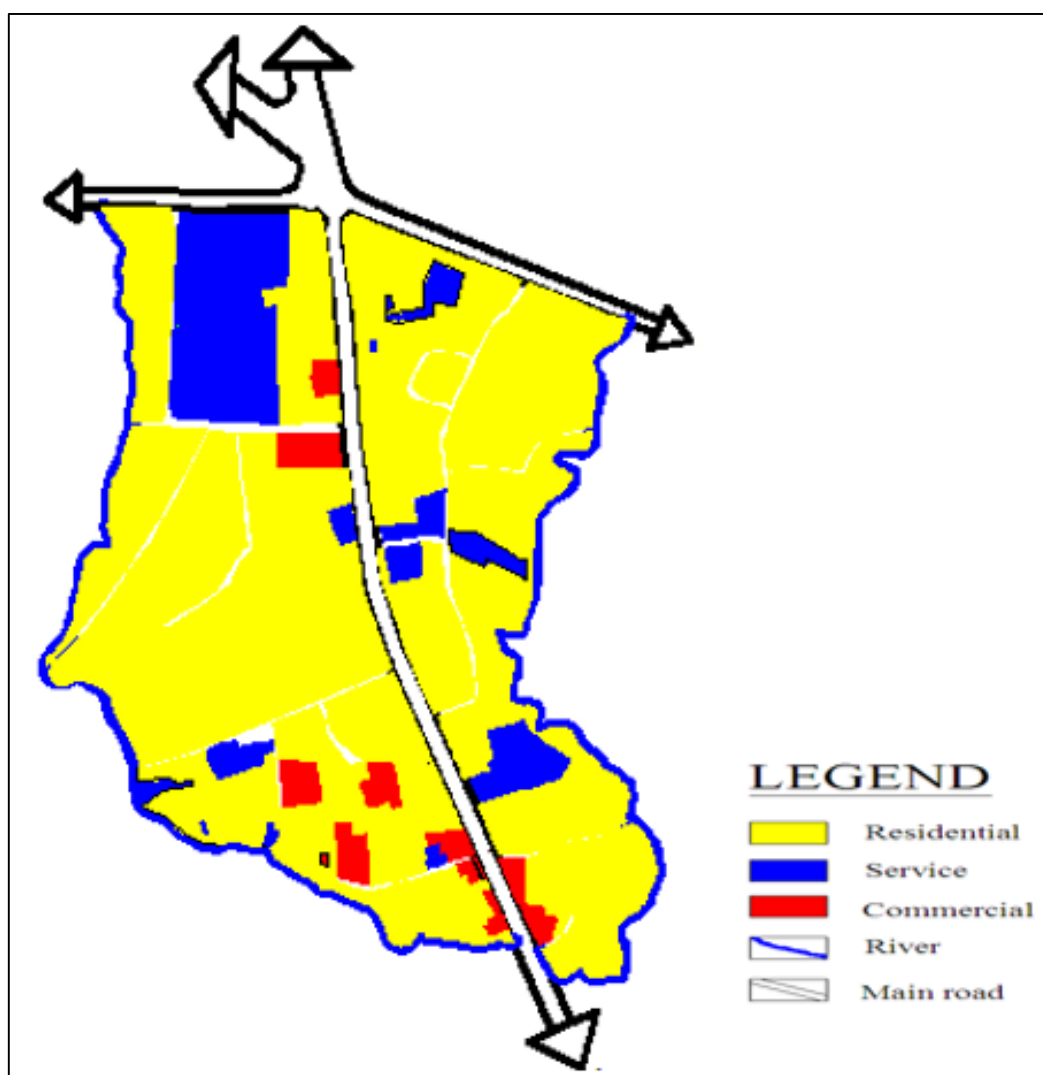
5.3.4. Existing land use

The existing land use of the study area is broadly categorized into three land use groups. Majority of the area is occupied by residence, and houses along the main road being accompanied by some economic activities like selling ‘Tela’, laundering, selling petty trades, and knitting at their home which serves as mixed use. The other part of the area is occupied by stores linked with the nearby Merkato. The oil, tannery, and *Berberere* stores are the dominant ones in the study area in terms of area coverage (Figure 5.9).

Even though there are problems of incompatibility in some parts, there are also some desirable qualities of compatibility in the study area. An example for this can be like location of many commerce, business activities and stores along the main roads and residential houses at the back of these commercial and business activities.

There is a river in the project area, which is highly polluted with solid and liquid wastes. The physical pattern favors this very fact; the houses are right at the edge of the river making them very susceptible to flooding and landslide.

Figure 5.9: Existing land use



Source: Addis ketema sub city urban planning office, 2012

5.3.5. Existing sanitation condition

The physical environment of the study is extremely deteriorated. It is characterized by almost absence of liquid and solid waste disposal systems. The drainage ditches, the rivers and open spaces are used as waste disposal areas. The great majority of people are living in houses with no kitchen and toilet facilities. Overall access to latrine facilities is limited. The majority of the households are using shared pit latrines. They are usually unclean and characterized by overflowing and connected with river in most cases (Figure 5.10), contributing for the water pollution in the city. Moreover, the majority of the houses are physically dilapidated with no possibility for repair.

Figure 5.10: Sanitation condition



Source: Field photo, 2015

There is no standard buffer zone that is left for the river; currently people use the river that crosses the site for different kind of waste disposal. Some houses are built permanently on the river banks linking their toilets with it and are exposed to natural hazard such as flooding and land slide, water borne diseases and bad smell from the waste carried by water.

CHAPTER SIX

DATA PRESENTATION AND ANALYSIS

6.1. Introduction

This chapter presents the findings of the study, and it is organized into five major sections. The first section presents the structure and organization of the current upgrading projects undergoing in Addis Ababa city administration. The second section deals with the perception of the Chew-Berenda area residents and the professional planners in the Addis ketema sub city urban planning office about the concept of upgrading project in general. The third part focused on the planning process of Chew-Berenda upgrading project. Next to the limitation of the current upgrading projects in Addis Ababa, the last part of this chapter is about the outcomes of the Chew-Berenda upgrading project.

6.2. Structure and organization of the upgrading projects in Addis Ababa

This sub section tries to explain the background of the commencement of the current upgrading projects undergoing in Addis Ababa city administration and its structure and organization. The current upgrading projects undertaking in Addis Ababa was first initiated by the previous city government (2008-2013) of Addis Ababa. The then government of the city come to power in 2008 with a five year strategic plan in order *‘to ensure a safe and clean environment through improving access to social service and physical infrastructure for a healthy and productive society.’*

Immediately, the city government engaged in the arrangement of organizational structure of the city administration using the principle of Business Process Re-Engineering (BPR) in order to achieve the plan. As a result, three separate offices were established to undertake the land development and administration tasks at the city level. These offices are; land administration and construction office, urban plan and information institute now divided in to two institutes as urban plan institute, and information institute. The third office is the land development, banking and urban renewal project office.

The land administration and construction office is responsible for the administration of the land, transferring of land to the users via different forms such as lease system, and giving the construction permits in the city. The land development, banking and urban renewal project office is also responsible for the preparation of new or underdeveloped land for development and handle compensation and resettlement of residents who are relocated from their place of

residence for public purposes. The urban plan and information institutes together are responsible for the management of land related information and development of local development plans in different part of the city. Similar organizations were also created at the Sub-City and wereda levels reporting to the Managers of respective administration.

Based on the master plan of the Addis Ababa which were active from 2002 – 2013, the slum areas of the city are categorized into two intervention schemes. The first scheme is the urban renewal scheme which is planned to implement on those areas which are extremely deteriorated and proposed to be totally demolished. The responsibility for preparing local development plan (renewal plan) for those areas is given to the urban plan institute at city level. The second part of the slum area is proposed to be upgraded by introducing basic infrastructures in the area. Consequently, the urban planning offices in the 10 sub cities of Addis Ababa city administration became the responsible offices for the preparation of upgrading projects in their respective Weredas. Therefore, following this initiation of the city administration to upgrade and renew the city, Chew-Berenda area is among the areas given a first priority to undertake upgrading project in Addis ketema sub city.

6.3. Residents vs planners' perception about upgrading

In this sub-chapter I am trying to assess the perceptions of the residents and the planners about the concept of upgrading in general and specifically about Chew-Berenda upgrading project. There are differences in defining and perceiving the concept of upgrading between the residents of the study area and the planners.

The planners who are working in Addis ketema sub city urban planning office, and who prepared the Chew-Berenda upgrading project, defines the concept of upgrading by their own words as;

- i. *“A problem guided intervention which starts from identifying the existing problems of the study area to the introduction of simple improvements to the neighborhood, not significant physical change.”*
- ii. *“It’s a process of transforming a neighborhood from one step to another better condition through introducing infrastructural improvements, such as in water supply, access to kitchen, access to road and others. But it doesn’t focus on the improvement of housing conditions”*

The above definitions of upgrading by the planners is not far different from the definition of the upgrading set by the Ethiopian ministry of works and urban development in the urban upgrading and renewal manual (MoWUD, 2006), which is defined the concept as; *“Upgrading is a kind of intervention in slum areas through introducing economic, social, and physical services and infrastructure.”*

Therefore, based on the above definitions, in the process of upgrading project many or most of the existing structure of the area under upgrading project is remaining untouched. The main task in upgrading project is organizing the resources in order to improve those structures, and hence improving the health and quality of life in the neighborhood. In the process of upgrading those infrastructures, therefore, there may be buildings demolished to create necessary rights-of-way, for example, but this is minimized so that most residents can remain in place.

On the other way, during the interview period, the dwellers residing in the project area defined the concept of upgrading as;

- i. *“The demolishing of houses so as to improve the housing conditions and change the image of neighborhood.”*
- ii. *“Upgrading consists improvement in sanitation condition and construction and maintenance of roads, like coble stone.”*

The second definition of upgrading by the residents is more or less similar with the above definition of upgrading set by the planners. But, the first definition, in which the definition of most of the respondent (83 percent) in the project area, is different from the planners definition of upgrading. Their definition is similar with the definition of urban renewal set by the Ethiopian ministry of work and urban development, which is defined as;

“A process of demolishing and reconstructing central urban slums, and in that way creating better environment for economic and urban image aims. This approach implies demolishing everything, relocate residents to another area, and rebuild with a clean slate.”

As a result, it is understandable that most of the residents of the project area are afraid of a possible eviction, when knowing what happens in other parts of the city. They haven't been given any clear information about the project. The residents doesn't clearly know the objectives of the Chew-Berenda upgrading project. Only the planners know its objectives, which is; ensuring sanitation in the area, providing vehicular access and drainage facilities, creating

income-generating economic opportunities, Creating green area and open spaces, and mitigating security problem. Even those who participate in the public consultation session, which is held in the beginning of the project, are afraid of eviction. This reflects the limited or absence of participation of the residents in the planning process of the project. The detail participation condition of the residents on the whole planning process of the project is discussed in the next part (6.4) of this chapter.

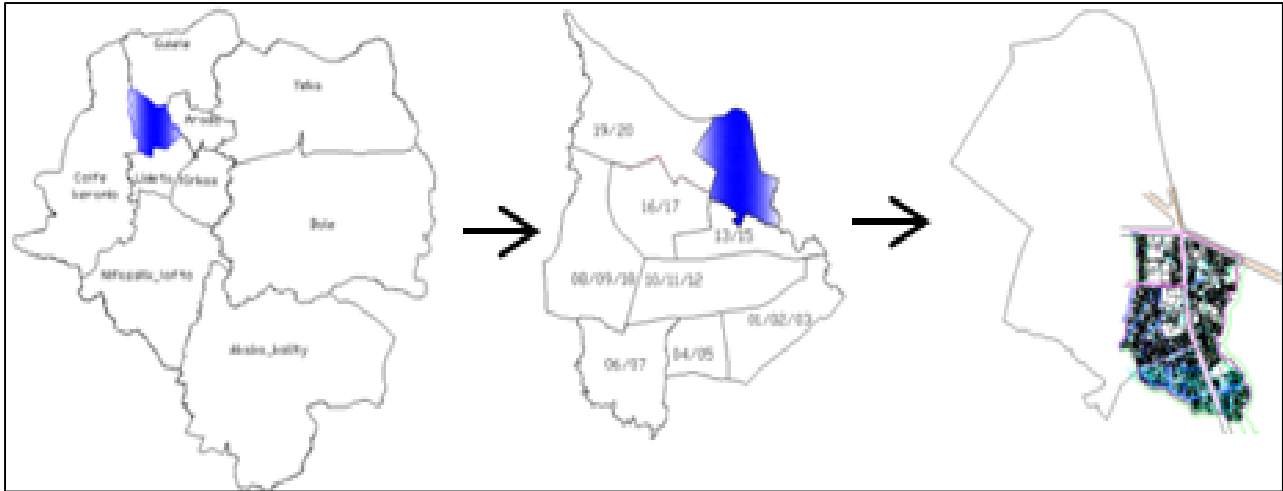
6.4. Planning process of Chew-Berenda upgrading project

In this sub-section the detailed planning process of Chew-Berenda upgrading project is presented. It included the preparatory works, the process of survey of existing situation, analysis and formulation of goals, Alternative preparation, evaluation and approval of the plan, and finally the implementation and monitoring and evaluation of the project.

6.4.1. Preparatory works/tasks

The preparatory task contains the selection criteria, and objective of the Chew-Berenda upgrading project. Chew-Berenda upgrading project was prepared in 2010 by the urban planning office of Addis Ketema sub city administration. The project area is located in Addis Ketema sub city administration, Wereda 6 specifically in the area called Chew-Berenda. The area is close to Merkato, the largest open market in the country, and to the national bus station which is at the heart of economic life of the city.

Figure 6.1: Location of the project area



Source: Addis ketema sub city urban planning office, 2012

Selection criteria's

Generally there are three basic criteria for the selection of upgrading project areas in the Addis Ketema sub city urban planning office. These criteria are;

- Initially, the area should have been placed under the category of upgrading intervention areas, in the city master plan proposal
- There would be a high proportion of houses existing with poor access and poor drainage facilities
- Sanitation problems in the area

Accordingly, a pilot study is undertaken every year in order to select four appropriate areas for upgrading projects to be studied in a given budget year. A priority is given to the area with highest planning problems. Therefore, the Chew-Berenda upgrading project is among the projects given a first priority by the planners. The selection criteria are more or less limited on the physical planning issues. The detailed housing conditions of the area are not included on the project.

Objectives of the upgrading project

According to the Chew-Berenda upgrading project manual, “the general objective of the project is to identify and solve the major physical and socio-economic problems, in order to make the area environmentally sustainable on the long term and improve the quality of life through focused interventions.” The following specific objectives were also set to apply to the general objective of the project.

- Ensuring sanitation in terms of sewage disposal and solid waste management,
- Providing vehicular access and drainage facilities,
- Creating income-generating economic opportunities
- Creating green area, and open spaces to the community
- Mitigating security problem

Still, the objectives of the project are revolving around the physical and socio – economic planning problems of the area, without addressing the housing conditions.

6.4.2. Survey of Existing situation

Next to the selection of the study area and the setting of the objectives of the project, a public consultation was held in Chew-Berenda area. In order to succeed, an upgrading should meet the genuine needs of residents and obtain the support of most of the stakeholders and residents. Therefore the involvement of residents and stakeholders in both the planning and implementation stages of an upgrading program is required, it is indispensable.

A public consultation session of Chew-Berenda upgrading project was held in September 2010. This public consultation session was the first and the only discussion made between the residents of the study area and the local government regarding the project. During the public consultation session, the then general manager of the sub city open the session by the speech to the residents that, *“you are the immediate beneficiaries of this project. So you will be involved in the whole stages of this project”*. In fact no another public consultation was organized, and the residents don't even know the content of the project itself nor what will happen in the area. In this case, it difficult to speak of having a participatory planning.

The public consultation session has encountered different problems as explained during the interviews with the residents and the planners in the sub city.

Initially, the identified stakeholders are not participating in the discussion session. According the term of reference of the Chew-Berenda upgrading project, there are eight identified institutional stakeholders for the project. These area: the Addis ketema sub city land development and management office, construction and housing office, education bureau, health office, Addis Ababa city road authority, NGOs in the sub city, and sub city and wereda administration. Except for the land development and management office, and the wereda administration, none of the other stakeholders were participating in the discussion session. This is not only happened in the case of Chew-Berenda upgrading project, this is what happened for more than 20 upgrading programs prepared in the Addis ketema sub city.

Besides the issue of the participation of institutional stakeholders, the number of the participants and the duration of the discussion were very limited. Among the 2153 households located in the project area, only 67 individuals participated in the discussion program. Here the number of representatives may not be small, but the planners in the sub city and the residents of the project area are questioned the true representability of the individuals who participated in the discussion session. A planners from the urban planning office explained this situation as:

“Honestly speaking we don’t know if the individuals who participated in the public consultation session are the right representatives or not; they are selected by the wereda administration workers, but we always inform them to elect true representatives.”

In addition to this the informants who didn’t participate in the public discussion comment the selection of the representatives in the following way.

“We don’t know how the representatives are selected, but the wereda officials may select individuals who have a contact with them.”

Therefore, the selection of the representatives for the public discussion was not transparent and it is difficult to conclude that the participants are the true representatives of the residents. Another issue is that the public discussion was held for only 2 hours. Within this short period of time it is difficult to believe that it was possible to express the interests of the community and to include residents in the planning process.

Finally the planners concluded about the participation process of the project saying that, *“the public discussion session was held to inform the residents that we were going to collect data for the project, and to fulfill the requirements from our administration. It is held to lobby the residents rather than including them and their comment into the project. This is not only the case of Chew-Berenda upgrading project, but it is the case of all upgrading projects prepared in the city.”* This shows that even the limited public discussion programs are not managed in appropriate ways that can help to include the public comments and interests in the plan.

The data collection process was started by the sub city and wereda professionals so as to understand the existing situation of the study area. It was undertaken in two ways: one for the physical aspects and one for the socio-economic data collection. The whole data collection process was accomplished in a two weeks’ time.

The physical data collection process was done through house to house survey and mainly concentrated on the identification of housing conditions, ownership type of the houses, and types of land use. The socio-economic data collection process mainly focused on educational level, means of livelihood, and monthly income of the residents. The socio-economic data collection process was done with a sample including only 20 percent of the households in the study area. This is because, the life time of the project, starting from the site selection to the approval of the plan, is officially limited to only three months. Considering the time limitation, it is therefore understandable that it would have been difficult to interview all the households

in the socio-economic survey. The impact of time limitation is also apparent in another planning process of the project. Furthermore, the socio-economic questions were also quite poor and very limited.

The survey is completed with field observations made by the planners on the natural features, infrastructure, service facilities, and general economic activities of the Chew-Berenda area and its adjacent areas.

At the data collection and verification stage, the participation of the public residing or working on the area is crucial since the residents are those who know best about the existing conditions and the problems they experienced in the area. However, due to the above stated problems with resident's participation, it was the sub city planners and the wereda administration officers who practically were the only participants in the data collection process.

6.4.3. Analysis and Formulating Goals

The next step in the planning process of the Chew-Berenda upgrading project was the analysis and formulation of goals. Based on the data collection from the field, the analysis is undertaken by the planners in the sub city. Accordingly, the major problems of the study area are classified by the planners in to two categories; Spatial or physical problems, and socio-economic problems.

i. Spatial or physical problems of the project area

- Most part of the project area is made of overcrowded small and very dilapidated houses with no space for greenery, open spaces, and common public areas.
- More than 70 percent of the houses in the project area are categorized under bad housing condition.
- The road network has no defined road hierarchy and the width of some roads are far below standard (4 to 6m), and inaccessible to motorized vehicles.
- There is no standard buffer zone along the river. So that, some houses are built on the river banks which are exposed to occasional flooding, water borne diseases, and land slide.
- There is only one garbage bin available in the whole study area, most dry wastes are collected by the municipality workers, and a considerable amount of solid and liquid wastes are also disposed of into the nearby river.

ii. Socio-economic problems of the project area

- There is only one kindergarten in the study area which is not enough, considering the number of children's in the area. There are more than 1270 children's enrolled in the existing kindergarten. However, according to the city standard one kindergarten is expected to be accommodate 750 – 1000 students.
- There are security, such as theft problems especially during the night time
- 30 percent of the labor force in the project area are unemployed

In order to address the above stated major physical and socio-economic problems of the study area the planning team set a broad objective for the project.

“To create environmentally habitable area by addressing the physical and socio economic problems of the area by 2015”

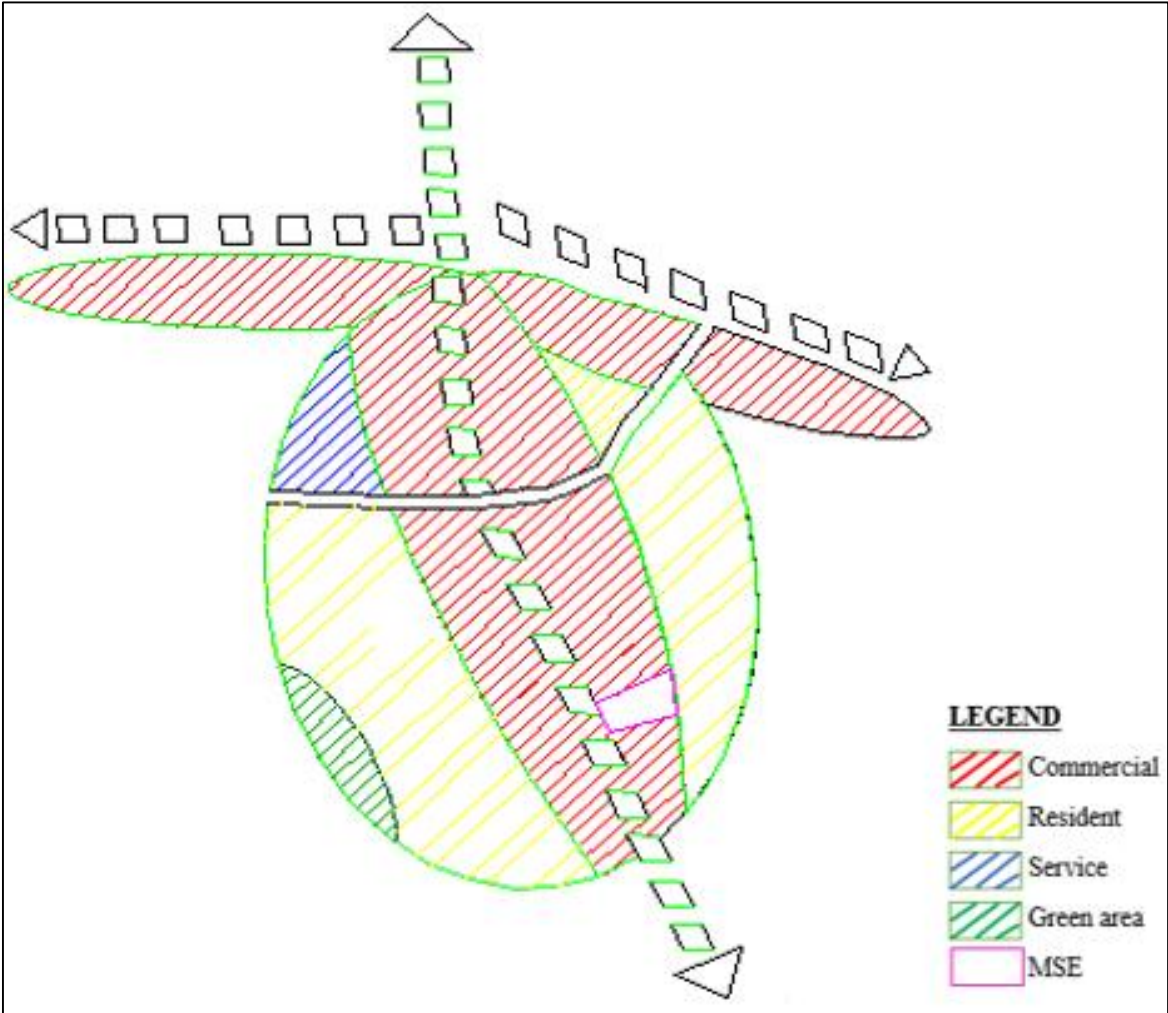
During the planning phase, residents should be encouraged to voice their goals and to set a vision for the neighborhood. However, the role of the residents and stockholders in the setting of the vision of the Chew- Berenda project is “none” at all. The “none” level of participation according to Calderon, 2008 refers to a participation level when the outsider, the planners in this case, is the only responsible of all aspects with no involvement of the community. This presents high risks such as that the project may not fit the needs of the community. There was no any additional consultation or discussion session, between both the residents and stakeholders of the project, and the planners regarding the setting of the vision and goal of the project. Therefore, the vision of the project is not a shared vision of all the concerned bodies of the project, rather it is the vision of the planners only.

6.4.4. Preparing Alternatives, evaluation and Approval of plans

The next step in the series of tasks in the preparation of urban plans include development of alternative plans and their evaluation by the planning team, against the objectives that were set in the earlier stages. The alternative plans have to show the benefits of that particular direction but also present clearly the drawbacks and limitations of the alternative so as to enable decision makers, stakeholders and the community get a stand on each option. Each scenario will therefore approach the solution in different ways, and will present advantageous as well as limiting aspects as to its way of tackling the problems. It is therefore imperative to look into the different options and choose one of them, or one merging different options.

In the case of Chew-Berenda upgrading project only one alternative was prepared by the planning team at the sub city and as usual the comment of the community and the stakeholders were not included on it.

Figure 6.2: Concept Map



Source: Addis ketema sub city urban planning office, 2012

The alternative plan was prepared based on the concept that, in order to create an active and livable area, those parts of the study area located along the main roads were planned to be a commercial area, when the rest of the area is planned to be kept for residents housing. The existing elementary school in the project area is planned to be extended and new micro and small scale enterprises working sites as well as green area along the river were planned to be introduced in the area. The detailed land use proposal of the project is discussed in the next part.

The proposed solutions of the project

This section presents the proposed solutions of Chew-Berenda upgrading project for the physical and socio-economic planning problems of the area. The proposal is categorized in to four parts: the land use proposal, road network, buffer and greenery and security issues. An attempt is made to compare the existing structure with the proposed components of the project (Fig. 6.3).

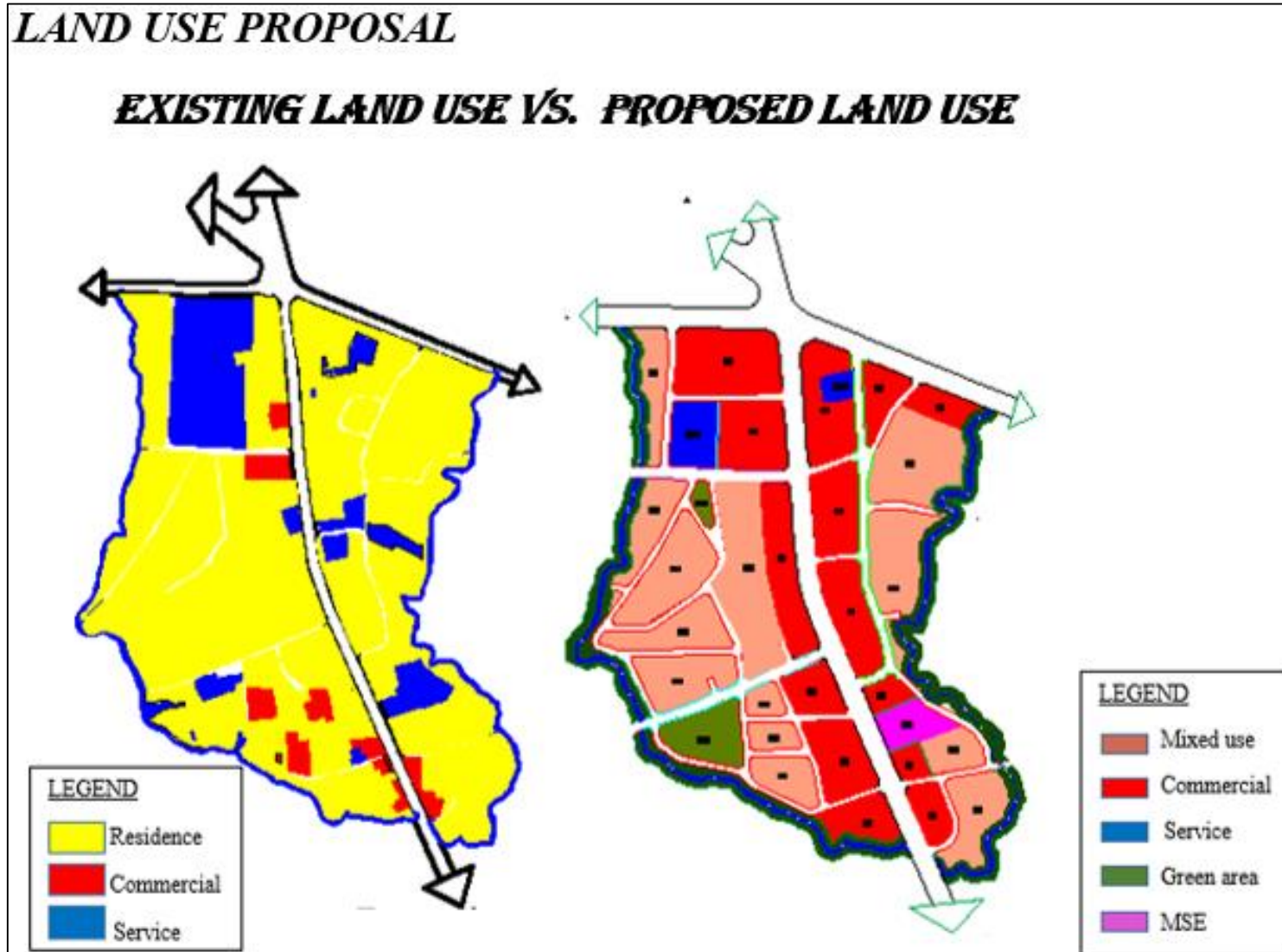


Figure 6.3: Existing and proposed land use of the project area

The above picture depicts that, the existing land use of the project area is dominated by residences with small proportion of services and commercial land uses. The map at the right side shows the proposed land use of the project area. According to the land use proposal of the project, the houses which are located along the main roads are planned to be commercial area, and the rest of the houses are planned to the mixed uses, with the exception of some area such as kindergarten, green and recreation area, and area for micro and small scale enterprises. As a result there is a shift of land use from resident use to commercial use. This is done to fulfill the land use proportion standard of the city master plan.

Table 6.1: Land use proportion standards for the city of Addis Ababa

No.	Land use component	Proposed percentage from the total specific settlement area		
		Core	Intermediate	Periphery
1	Residence	35-45	40-50	50-65
2	Commerce including mixed commerce and other compatible uses.	20-30	15-25	5-10
3	Services	10-20	15-25	5-10
4	Manufacturing (only non-polluting compatible activities should be allowed in core and intermediate areas)	0-5	0-5	5-10
5	Recreation, and green areas	5-10	5-10	10-15
6	Roads (local access and collector streets)	15-20	15-20	15-25

Sources: ORAAMP, 2002

The above table shows the land use proportion standard of the city according to the Addis Ababa master plan (2002 - 2013). According to this master plan, the city is divided in to three zones as the core, the intermediate, and the periphery zones. The land use proportions of each zone is different from the other as it is depicted on the above table. According to the master plan, the Chew-Berenda area is categorized under the intermediate zone of the city. Therefore, the land use proposal of the project is underlined on this standard, and an attempt is made to fulfill the standard.

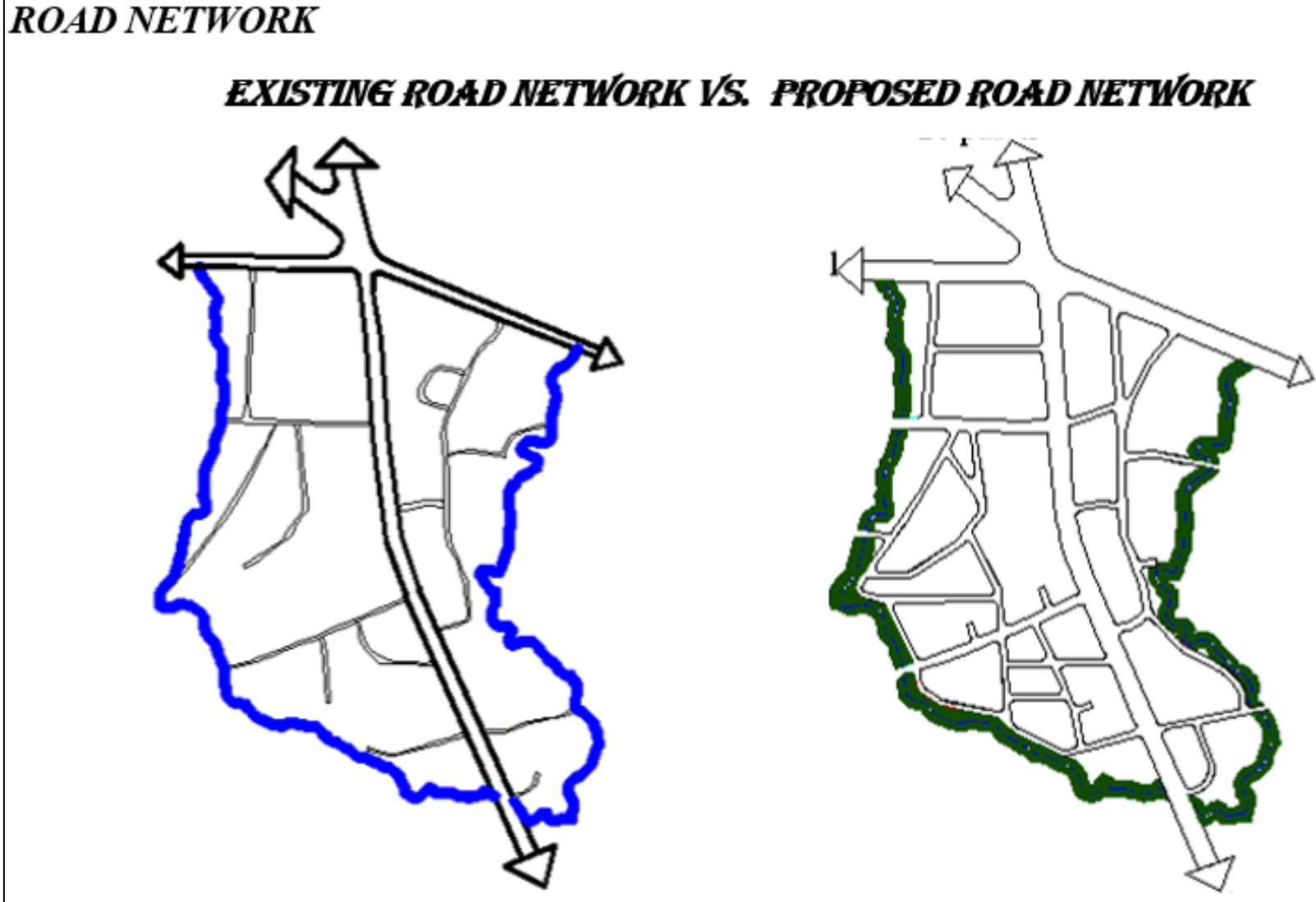


Figure 6.4: Existing and proposed road network of the project area

The above picture tries to compare the existing road network with the proposed road network of the project. As the existing situation shown in the left side, there is insufficient road to access the inner part of the area. This is expressed by total absence of access to road, and below standard width of the existing roads. The proposed road network tries to widen the existing roads and creates new roads, even in some area cul-de-sacs are also proposed. The width of the proposed inner roads ranges from 6m - 12 m. These roads are hierarchically designed to provide easy movement for people and vehicles. The sewerage line is also designed with the road network proposal. Generally, there is no drastic change between the existing and the proposed road networks, more work is done in the widening of the existing road network.

Buffer along the river bank

PROPOSED BUFFER ZONE ALONG THE RIVER



Figure 6.5: Proposed buffer along the river in the project area

The buffer zone along two sides of the river is proposed to protect the river from the direct intervention of the residents such as construction of houses, and keep the sanitation situation of the river sides. Consequently, a green area will also create, and uses for recreation. The offset distance of the buffer from the center to both right and left sides of the river is 7.5 meters.

Security issue

In order to control and solve the security problems happening in the study area, especially in the night time, the project proposed one police station to be constructed for servicing the area. In addition to this, 100 street light poles is also proposed to be erected by the electricity authority of the district in line with the inner roads in the area.

All in all, 361 houses are affected in the project proposal, out of which 57 houses are privately owned and the rest 304 houses are governmental Kebele owned. 227 Kebele houses and 30 private houses will be full demolished, and needs a relocation and compensation for the private houses (table 6.2).

Table 6.2: Affected number of houses by the project

No	Description	Fully demolished		Partially demolished	
		Kebele	private	Kebele	private
1	To road	110	20	30	14
2	To buffer	93	2	47	13
3	To open space & greenery	18	8	-	-
4	MSE	6	-	-	-
	TOTAL	227	30	77	27

Source: Addis ketema sub city urban planning office, 2012

6.4.5. Plan Implementation

What matters in the end is the implementation of the plan. Each provision in the planning policy should have a corresponding means of implementation. The knowledge of the means with regards to the human resources, financial and technical capacity has to be clearly defined. The participation of most stakeholders throughout the planning process will eventually facilitate the implementation of the project. This sub-section is intended to assess the implementation strategies and the problems encountered in the implementation phase of the upgrading project.

Implementation Strategies of Chew-Berenda upgrading project

The implementation strategy of the Chew-Berenda upgrading project has mainly two parts. The first part has three strategies and is concentrated on the relocation aspects, development of Micro and small scale enterprises, and unemployment and poverty alleviation schemes. These are;

- I. The relocation process will have two forms. The First form of relocation is regarding to the relocation process of those households who owned the houses privately. For the private owners of the houses a compensation cost for their houses, and another land will be delivered by the city administration in the periphery area of the city. The Second form is about the relocation process of those households who lives in the Kebele owned houses. For the Kebele house residents, and who are subject to eviction is proposed to have another Kebele house within the sub city. This process will be coordinated by the sub city administration.
- II. Organize and strengthen micro and small scale enterprises by providing work, training and counseling service
- III. Link various development projects and other community programs with unemployment and poverty alleviation schemes

As it is indicated in the above table, 227 households are planned to be evicted from the area according to the project proposal. However, still no discussion was held with the affected households about the relocation forms and the interest of the households who will be relocated out of the area. Nobody even knows which houses in the project area are going to be demolished by the project. This shows that there is a total lack of transparency of the local government in the area.

In addition to this, the head of Addis Ketema sub city construction and housing office explained during the interview period that there is a lack of kebele houses in the sub city, due to the renewal activities undergoing in different part of the city. But according to the implementation strategy of the project the kebele residents, those who affected by the project are proposed to shift to another kebele houses with in the sub city. This situation shows that there is lack of integration between the institutions with in the sub city.

Finally, the implementation strategy of the project doesn't find any way for onsite relocation possibilities. The detailed strategies on how and who going to accomplish is not prepared for the second and the third implementation strategies of the project.

The second part of the implementation strategy of the Chew-Berenda upgrading project presented in tabular form, and focused on the components of the project, development cost, time schedule, responsible bodies (the wereda and community) for the implementation, and the primary sources of finance (the Sub city and Wereda, the community, and the NGOs) for the components of the project.

Table 6.3: Implementation strategy of Chew-Berenda upgrading project

No	Project component	Total cost in birr	Time frame (2011/12 – 2014/15)			Responsible bodies	Primary source of fund
			First phrase	Second phrase	Third phase		
1	Road net work						
	Widening and maintaining Existing stone paved road	2 mil	√	√	√	The wereda and the community	Sub city & community
	For proposed new gravel road	200,000		√	√	The wereda	Sub city
	For proposed asphalt road	700,000		√		The wereda	Sub city
2	Drainage construction						
	Stone drainage	1 mil	√	√	√	The wereda	Sub city
	Construction of crossing pips	450,000	√	√	√	The wereda	Sub city
	Maintain existing drainage	100,000	√			The wereda and the community	Sub city & community
3	Environmental aspect						

	Community awareness raising activity	6,000	√			The wereda and the community	NGO
4	Compensation						
	Compensation fully demolish	5.4 mil	√			The wereda	Sub city
	Partially demolish	3.5 mil	√			The wereda	Sub city
5	Social service						
	Sanitation of toilets	20,000	√			The wereda and the community	community & wereda
	Open space and recreation area creation	600,000		√		The wereda	Sub city and NGO
6	Street light	45,000	√	√	√	The wereda and the community	Sub city & community
7	Total	14.05mil					
	Contingency 10 %	1.4mil					
	Grand total	15.15mil					

Source: Addis Ketema sub city urban planning office, 2012

As it is shown in the above table, the Chew-Berenda upgrading program is classified into six detailed projects. The total cost of each program component is also calculated and put in line with the project components. In addition to this, the implementation time schedule of the project is divided into three phases. The schedule of the implementation is crucial, because considering the limitation of resources not all activities of the project could be launched at the same time.

Even though, the implementation strategy of the project included the responsible bodies and the primary source of fund (the Sub city and Wereda, the community, and the NGOs) for the project, it only involved the wereda (local administration) and the community as a responsible body for the project. Despite the fact that the stakeholders were already stated on the term of reference of the project, they were not included on the implementation of the project.

Similarly, the source of finance for the project, according to the implementation strategy, is limited to the sub city administration and the community residing in the study area. In some activities of the project the NGOs are stated as a source of funding. However, it is not clearly stated in the project manual which NGOs and in what way they are going to participate in the project.

6.5. Limitations of upgrading project in Addis ketema sub city

This section tries to sum up the general limitations of the current upgrading projects undergoing in the Addis ketema sub city administration.

Institutional pressure

It is relevant to assess the level of freedom the planners have the possibility to exercise and what the planning profession intended to do in such upgrading projects. During the interview period when meeting the planners of the Addis ketema sub city urban planning office, I was told that their level of professional freedom in practicing according to the principles of the planning science was very limited in the upgrading projects. For instance, when planning a new social service in a project area, like a school, local political leaders wanted and imposed it to be placed somewhere in a vacant area they wanted in the study area, irrespective of the planning standards the professionals had in deciding the right location of social services, where one has to consider the catchment population in the relevant area. In some cases, the planners are forced to place a school in this case in a wrong location.

In addition to this, there was differences in treatment between kebele houses and privately owned houses in the upgrading projects. One of the objective of the upgrading projects is to provide vehicular access to all houses in the study area. In the process, there may be houses to be touched and buildings to be demolished, no matter the state of ownership of the houses to be touched or demolished. In fact, attempts should be made by the planners to minimize the amount of demolished houses so that most residents can remain in place. But the interest of the local political administration both at the sub city and the wereda levels is far from respecting this rule. They have a moto that “*mengedu yegil bet kemineka mengedu yikeyer*”. This means that instead of touching or demolishing the privately owned houses for the purpose of providing an access to the neighborhood it is better to move the plan itself. In most cases, therefore the planners has been avoid hitting private owned houses and place access roads though kebele housing areas instead.

Lack of good governance

The preparation and implementation of urban plans should be based on good governance. Good governance in urban planning should be materialized among others things by transparency, accountability, and public participation in the whole process of the planning and implementation.

As it is explained on the above sections the participation of the residents in the upgrading project is almost inexistence. There is no proper mechanism to ensure maximum public participation in plan preparation and implementation activities. As a result most of the residents of the project area doesn't understand or even don't know the objectives of the projects. They cannot contribute at their level to the project success.

This is to say that the upgrading projects are not transparent for the public. In order to have a transparent project, the public should be notified of any planning and implementation activity in their neighborhood. The working procedures of the upgrading projects are not clear or not known for the public. The responsibilities of the public are not clearly stated. In fact, it is impossible to achieve a transparent planning environment in a case of such a limited public participation.

In other way, some participants said during the individual interview that, they do not try to participate in the project, because they have no trust in the planning of the local administration and they know that upgrading is not really implemented elsewhere. At the same time they

cannot reject the plans openly, fearing the pressure may inserted by the local administration on them. Consequently, individuals try to act through informal channels to reach their objectives.

This is not to say that nobody has any influence. Some actors have a say and play a role in the implementation of a project. They have it using informal channels. All planners interviewed mentioned that some individuals (powerful private interests) had the power to influence the proposed land use, like from green area to commercial land use. *“They communicate with the higher official in the sub city, and they force us to modify part of the land use plan. We don’t know the reason behind it.”* Says the planners. From this statement one can understand that the lack of good governance violates the upgrading plans.

Absence and/or inefficient collaboration

There is no integration between the institutions of the Addis ketema sub city regarding the upgrading projects. Formally there are eight institutions labeled as the stakeholders of the upgrading project by the Addis ketema urban plan office. These area: the Addis ketema sub city land development and management office, construction and housing office, education bureau, health office, Addis Ababa city road authority, NGOs in the sub city, and sub city and wereda administration. These institutions are also expected to participate in the implementation of the upgrading plans. But most of them didn’t at all participate. According to the planners the situation is such: *“we don’t know them and they don’t know us. They come to us only when they want some information from us. E.g. Road authority.”* During the interview period with the heads of Addis ketema sub city education bureau, and environmental protection office, I was told that *“The urban planning office invite us to participate on the upgrading projects, but we couldn’t participate because we are busy with our plans throughout the year.”* This shows that they haven’t any commitment to include the proposals of the upgrading project in their plan, and it needs a legal enforcement to participate on the projects.

Absence of responsible institution for implementation

It is not only a question of commitment from the side of various institutions. The urban planning offices in all sub cities of Addis Ababa city Administration are the responsible office for the preparation of the urban upgrading projects in their respective offices. In theory, the above stated institutions labeled as stakeholders are expected to participate on the implementation of the upgrading project. For instance the education bureau is expected to implement the proposed schools, and similarly the environmental protection offices are expected to implement the

environmental issue of the upgrading projects. In reality, these institutions are not willing to implement the project parts, because there is no legal background to enforce them to participate in the implementation. There is no one institution responsible for the coordination monitoring of the implementation of the upgrading project in the city.

Short project life time

The life span of the plan preparation of upgrading projects is limited to only three months. Since upgrading projects needs to participate the whole public and the concerned bodies, so as to ease the implementation of the project, three month preparation life time becomes a further obstacle for the planners. Proper participation cannot be obtained in a few weeks.

6.6. Outcomes of the project

The purpose of this section is to assess the outcomes or results of the Chew-Berenda upgrading project against its objectives. It is based on the evidence collected in the interviews made with the residents of Chew-Berenda area and with the planners who prepared the plan.

The planners in the Addis ketema sub city urban planning office evaluate the outcomes of the project as both positive and negative outcomes. As a positive outcomes the upgrading projects bring a change of attitude of the residents towards redevelopment. Few years ago the residents were not willing to upgrade their localities, they accepted to live in a deteriorated environment. Now a days they want to upgrade their neighborhoods. In addition to this, even though the upgrading plans didn't achieve their goals they can serve as a baseline for another future projects in the area. On the other side the planners negatively evaluate the project, because it doesn't achieve its objectives. *"It's discouraging for me that none of our works are properly implemented. I am just working for the sake of living"* says one planner.

The report of urban planning institute at city level shows that, from 2010 – 2015, around 200 urban upgrading projects have been prepared by the sub cities, 20 of them has been prepared in Addis Ketema Sub city. None of the upgrading projects are implemented or completed yet except the minor implementation attempts related with private investors.

The residents of the project area also evaluated the project as a failed project, because nothing has happened yet. They have no trust in governmental plans. Consequently, the residents not believe the project that address their problem. Mr. Abiy, who has been residing in the area for more than 30 years, and participate on the public consultation program said;

“I don’t think that the upgrading project will solve the planning problem in the area. Because the problem is not related with the planning, but it’s about the implementation. There has been various planning proposals proposed for this area, but none of them area converted in to practice. For instance, where is the Eco-city project planned for this area for already 10 years ago?”

The Eco-city project was government driven principal office that operates the slum upgrading activity, under the municipality authority. The objectives of the Eco-city project was: improvement of sanitation, sewage disposal and solid waste management; the provision and upgrading of social services; the creation and maintenance of open spaces and green areas; the creation of income generating economic opportunities; and the provision of vehicular access and drainage lines (Elias, 2008). It was launched In Addis Ababa in 2003 in the form of projects in ten pilot kebele with the idea of replicating them in the rest of the city. The Chew-Berenda area was among the then pilot kebele chosen in the eco-city project. Finally the eco-city project didn’t achieve its objectives.

CHAPTER SEVEN

CONCLUSION AND RECOMMENDATIONS

7.1. Conclusion

The current upgrading projects undertaken in Addis Ababa were first initiated by the previous city government (2008-2013) with a goal to ensure a safe and clean environment through improving access to social service and a better physical infrastructure for a healthy and productive society. For this purpose, the urban planning offices in the 10 sub cities of Addis Ababa city administration became the responsible offices for the preparation of upgrading projects in their respective areas. Chew-Berenda area is among the areas given a first priority to undertake upgrading project in Addis ketema sub city.

There are differences in defining and perceiving the concept of upgrading between the residents of the study area and the planners. Most of the residents misunderstood or even don't have an understanding of the concept. The residents doesn't clearly know the objectives of the Chew-Berenda upgrading project. Even those who participated in the public consultation session, which was held in the beginning of the project, are still fearing eviction. This is the result of the limited or absent of participation of the residents in the planning process of the project.

There are three basic criteria for the selection of upgrading project areas in the Addis Ketema sub city urban planning office. These criteria are; initially, the area to be studied should be under the category of upgrading intervention areas, defined in the city master plan proposal; these are area with a high proportion of houses with poor access and poor drainage facilities; and areas having serious sanitation problems. Specifically the Chew-Berenda upgrading project had five objectives. These were: Ensuring sanitation in terms of sewage disposal and solid waste management; providing vehicular access and drainage facilities; creating income-generating economic opportunities; creating green area, and open spaces to the community; and mitigating security problems.

In general the current upgrading projects undergoing in Addis Ketema sub city administration has been encountered limitations at all levels. There is no full professional freedom of the planners to exercise what the planning profession intended to do in the upgrading projects. There is a political or institutional pressure over the planners, and they enforce to do out of the planning principle. The planning process of the upgrading projects is surrounded by the lack of good governance. This is expressed by different ways. The participation of the residents in the

upgrading project is almost none. There is no proper mechanism to ensure maximum public participation in plan preparation and implementation activities. The upgrading projects are not transparent for the public; the working procedures of the projects are not clear for the public, and the responsibility of the public is not clearly stated.

Another problem of the current upgrading project in Addis ketema sub city is, there is no integration between the institutions of the sub city administration regarding the upgrading projects. Around eight institutions labeled as the stakeholders of the upgrading project are expected to implement the upgrading plans. But most of them didn't participate on the planning and implementation of the upgrading projects. The absence of a responsible institution for implementation, short project life time, and the absence of the legal background to enforce the relevant institution to participate in the planning and implementation of the upgrading projects area another problems of the upgrading projects in Addis ketema sub city. As a result, the upgrading project in Addis ketema sub city administration couldn't achieve its intended goals. Even more, when considering the whole city; among more than 200 upgrading projects, none of the upgrading projects are implemented yet except the minor implementation attempts related with the private investment.

7.2. Recommendations

In order to achieve the urban upgrading projects undergoing in Addis Ababa city administration their intended goals and objectives, I recommend the following few points to be considered on the future urban upgrading projects managed by the city administration.

- Given the mentioned conditions (political bias, inefficient institution) there is no point requiring better participation. The residents do not trust the local administration.
- The integration of the relevant institutions at city level should be improved for the success of the urban upgrading projects specifically, and success of the development plans of the city in general.
- Creating a new institution which is responsible for the implementation of the upgrading projects, and integration of the relevant offices both at city and sub city level may increase the implementation possibility of the projects.
- The professional planners should work without political or institutional pressure to exercise the planning science effectively in the area
- The time span for the preparation of the upgrading projects should be improved, it gives the professionals the chance to involve different stakeholders in the projects

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APPENDIXS

APPENDIX I - Interview guiding questions for residents

Informant's characteristics

Age: *Sex:*

Occupation(s)/ Means of livelihood:

How long have you been in this house and neighborhood?

Ownership of house/ renting /sub renting?

1. What is your understanding of urban upgrading? And what the upgrading project intends to solve?
2. What are the difficulties (problems) in your neighborhood?
3. What is happening in the area, because of the project implementation?
4. Do you think the problems are/ will be addressed by the project? Why?
5. Have you participated and are you still participating/involved in the project?
6. If yes, in which stages of the project have you participated?
7. Who else is participating in the planning process?
8. Do you know how the participants were elected?
9. Do the organizations who participate in the project represent the residents?
10. How important is living in this neighborhood for you? Why?
11. How do you evaluate the practical and expected results of the whole upgrading? As success, failed or both? Why?
12. How is the project affecting your activity (or how it can affect)?

APPENDIX II - Interview guiding questions for planners

1. What is urban upgrading for you?
2. What are the goals/objective of this upgrading project (Chew-Berenda)? Which problems are addressed?
3. How the project is organized- planning phase/ implementation phase
4. Do you think that the upgrading project solves the existing problems?
5. Who participate in the planning process, and how the representatives of the population/inhabitants were nominated /elected? Do the organizations which participate in the project represent the residents?
6. At which stages of the project do the residents participate? Were they active? How do you evaluate people's reaction for the project?
7. What is the role of stakeholders in the implementation of the project?
8. How do you evaluate the practical and expected results? Is that a success or failed? Why?

APPENDIX III - Leading questions for Focused group Discussions (FGD)

1. What are the needs and difficulties (problems) in your neighborhood?
2. What has happened until now in the area because of the upgrading project?
3. What does the upgrading project intend to solve?
4. Do you think the problems are/ will be addressed by the project?
5. How do you evaluate the practical and expected results? As success, failed or both? Why?

APPENDIX IV - Personal observation guiding check list

1. Existing Urban challenges
2. Social interaction and means of livelihood
3. People's reaction for the project
4. Social organizations working in the area? And how they function?
5. The role of stakeholders in the implementation of the project
6. The practical and expected results of the project
7. The limitations of the project