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Thesis

Title: Factors Influencing Affected Group Participation in Urban
Redevelopment in Addis Ababa: The Case of Senga Tera-Fird
Bet I Project

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Summary

The city administration of Addis Ababa is undertaking the Senga Tera-Fird Bet I and other 14 urban redevelopment projects. However, so far no study has been conducted that critically analyzes affected group participation in redevelopment process in Addis Ababa. This study, therefore, aims to assess the factors that facilitate or hinder affected group participation in urban redevelopment process in Addis Ababa by taking Senga Tera-Fird Bet I project as a case study. The study employed an in-depth interview with 26 key informants, desk review of relevant publications and archival research of official records. The findings were analyzed using both qualitative and quantitative methods of analysis.

The study revealed that the Senga Tera-Fird Bet I project was the first urban redevelopment exercise undertaken by the new City Administration with determination to make it more participatory. The implementation of the project was delegated to the Sub-city with close follow-up of the senior City officials. The project office at the Sub-city level was sufficiently staffed, but some of its staff lacks communication skills and lack mandate to negotiate. The planning process, however, was expert driven with one-way information flow through survey. The public consultation has started immediately after the finalization of the Local Development Plan with a view of convincing the project to the public. Few concerns of the public such as affordability, job creation and revision of compensation estimate were partially met. There were three organized groups of the residents, i.e. the public rental housing, private homeowners and commercial premise renters form government representative committee. Except the first one the later two were able to influence the City Government to consider their concerns at least partially. This was mainly due the leadership capacity, organizing and resource mobilizing capacities of the two committees.

The study has also found out that the project has benefited some and at the same time it has also adversely affected the livelihood of others particularly those who went to other public rental housing. The study found out that the affected group and the government have different opinions about the outputs of the participation. The majority of the government officials believed that the project was highly demand responsive, highly efficient and highly effective; while the majority of informants from the affected group perceived it otherwise. The project resulted in breakdown of social network of the key informants of the study and resulted in resettling of many residents in areas that will soon be demolished. On the other hand the project gave on-job training for the Sub-city and City Administration, however, the new guideline gives less room for participation.

Based on the findings, the study concluded that political leadership by City and Sub-city officials, institutional arrangement and organizational and resource mobilizing capacities of the residents' representative groups has facilitated the participation process. However, the major emphasis given for beautification of the area, starting of consultation during implementation, the consultative level of the resident participation, instrumental view of participation and technocratic nature of the planning process has negatively affected the participation process. In addition, the project was viewed as less uniform in terms of its coverage, less responsive, less efficient in use of resources, less effective in achieving its objective and less sustainable by some sections of the affected group that indicates less effectiveness of the participation process. Based on this the study proposed- emphasis on improving the living and housing conditions of slum dwellers, capacity building of actors involved, active participation of all relevant stakeholders, more flexibility in implementation and participatory planning of resettlement plan when it is a must.

Key Words: Participation, Redevelopment, Planning, Consultation and Resettlement

Abbreviations and Acronyms

AACA	Addis Ababa City Administration
ACSI S. Co	Addis Ababa Credit and Saving Institute Share Company
BOAWN	Beza Organizing Association of Women in Need
ICESCR	International Covenant for Economic, Social and Cultural Rights
ICCPR	International Covenant on Civil and Political Rights
LDBUR	Land Development, Banking and Urban Renewal
LDP	Local Development Plan
UEWCA	Union of Ethiopian Women Charitable Associations
UIPI	Urban Information and Plan Institute
UNCHS	United Nations Center for Human Settlements
UN-Habitat	United Nations Human Settlements Programme
UDHR	Universal Declaration of Human Rights

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CHAPTER ONE

INTRODUCTION

1.1. Background

Addis Ababa is the capital of the Ethiopia located in the central highlands of Ethiopia at an elevation of 2400 m covering 54,000 hectare of land (ORAAMP 2000). It is the seat for African Union United Nations Economic Commission for Africa (UNECA). It is also home to several embassies, consulates, international organizations. The city hosting close to 22% of the urban population of the Ethiopia, is a primate city. According to a 2007 census the city has a total population of over 2.7 million (Central Statistical Agency of Ethiopia (CSA) 2008). Addis Ababa being the commercial, industrial and service hub is a melting pot for people who come from different corners of the country (Elias Yitbarek 2008).

Owing to its indigenous settlement Addis Ababa is haphazardly developed with substandard housings and poorly serviced neighborhoods particularly in the inner-city (UN-Habitat 2007). UN-Habitat estimated that around 80% of the population of the city lives in substandard condition (UN-Habitat, UNEP 2010). The slums in Addis can be categorized as non-planned old inner-city settlements, predominantly public rental houses occupied by tenants with tenure rights. The second one is squatter settlements of build on vacant land in the urban fringes with little or no infrastructural services and uncertain or no formal tenure. The third one is inner-city squatters who put a makeshift in public spaces usually shelter for street children, the destitute and the beggars (Elias Yitbarek 2008). The inner-city of Addis Ababa covers less than 12 %, however, are home to about 40% of the city's population. About 70% of the houses located in the inner city are government owned (ORAAMP 2000). These houses, which are commonly known as *Kebele* houses are generally single storey mud and wood construction. They are occupied by the majority of low-income people and are found in a dilapidated condition due to their poor construction and poor maintenance (Elias Yitbarek 2008, UN-Habitat 2007).

Considering the poor housing and environmental condition of the inner-city of Addis Ababa, the City Development Plan of the city (2001-2010) provided the upgrading and complete redevelopment of inner-city slums based on a local development plan developed in participation with affected community and other stakeholders (ORAAMP 2002). However, until 2010 except one redevelopment project and handful of upgrading schemes, there was no significant intervention to improve the living environment of the inner-city. This is due to the need of spatial transformation of existing settlements that require huge finance and affects many households particularly tenants of the public houses. This complicates the issue and the city government refrained from improving the inner-city slums and focused in land development in the outskirts of the city and developing of vacant pockets in the city for housing. However, lately the city administration realized that further expansion of the city creates a burden on infrastructure and the land for development has shrunk. This has changed the city government attention from expansion to inner-city redevelopment and upgrading (Bizuneh 2010, Eyob 2010)

The city government recently, with an intention to address the poor housing condition of its residents and to give the city a good image, has engaged in large scale inner-city redevelopment program (Eyob 2010). It has plans to implement 14 new major redevelopment projects in six

districts on close to 280 ha of land in the fiscal year of 2010/11 (Eden , 2010). The redevelopment includes integrated housing development, office and commercial buildings, and infrastructural improvement (Eyob 2010). Among the areas identified for redevelopment Senga Tera-Fird Bet I urban renewal project is the first redevelopment scheme to kick start under the current administration in 2010. The project covers 26 hectares to be totally demolished and redeveloped affecting up to 6000 people living in 1310 households (French, Hegab 2011). There were 932 *Kebele* houses, 323 privately-owned houses and 55 housing administration houses on the site (French, Hegab 2011). The area was characterized by dilapidated houses, sanitation problems, over-crowdedness, lack of sewerage lines and inaccessible for emergency vehicles in case of accidents like fire (Bizuneh 2010).

A local development plan for area was launched on May 9, 2009 and five rounds of consultation with residents carried out over a four months period of time (French, Hegab 2011). Finally the project was able to re-house 890 households in government built condominium houses after paying 20% down payment, 185 households were relocated to another *Kebele* houses and 155 households were compensated and given plots of land in other parts of the city and titles were given for those who do not have one. In addition 3 hectares of land was allocated for residents who want to build in the area and a total of 80 households have received a total of 1.6 hectare in the site for redevelopment (Addis Ababa City Administration 2010). The new development is a mixed-use whereby 25% of the land is sold to commercial purposes to cross-subsidize the on-site public housing scheme (French, Hegab 2011).

1.2. Problem Statement

City governments worldwide are pursuing inner-city urban redevelopment in order to create a new physical, social and economic image that makes the city livable to its residents and attractive for investment (Acioly Jr. 1999). In the same manner the city administration of Addis Ababa is undertaking the Senga Tera-Fird Bet I and other 14 urban redevelopment projects with an objective of improving the living condition of the residents, maintaining sustainable land management and supply system, creating a better spatial and physical image of the city (Bizuneh 2010). However, still urban renewal and redevelopment projects in Addis Ababa are *state-driven* and relegated to information sharing in case of Senga Tera-Fird Bet I redevelopment project (Fransen and Samson, 2010).

The achievement of urban regeneration heavily relies in the *establishment of an efficient urban management system capable to steer conflict resolution, mobilize adequate resources and guide urban development in a participatory manner* (Acioly Jr. 1999). So far, the studies conducted in the areas of renewal and upgrading in Addis Ababa focus on impact of the project or responses of the community to the intervention (eg. Gossaye 2008, Lishan 2010, Gebre 2008 and Elias 2008). However, so far no study has been conducted to investigate factors that hinder active community and stakeholder involvement in urban redevelopment projects in Addis Ababa. Therefore, this research project proposes to fill the gap in understanding factors that influence active affected group involvement in urban redevelopment projects by taking the Senga Tera-Fird Bet I renewal project as a case study.

1.3. Research Objectives

The overall research objective of the research is to assess the factors that facilitate or hinder affected group participation in urban redevelopment projects in Addis Ababa. Within this broad objective, there are three specific objectives. These are:

1. To explore process management factors that influence effective stakeholder participation in redevelopment projects?
2. To identify factors related with affected group organizations that influence the participation process in the urban redevelopment project?
3. To assess the opinion of affected group and government on output of the participatory process.
4. To draw policy recommendation to improve stakeholder participation in future redevelopment projects.

1.4. Research Questions

1.4.1. General Question

What are the factors that influence effective affected group participation in the of Senga Tera-Fird Bet I redevelopment area?

1.4.2. Specific Questions

1. How does the process management of the urban redevelopment project have influenced affected group participation?
2. How do the community organization and mobilization capacities in the demolished area influenced the participation of affected groups in the planning process?
3. What is the opinion of affected group and government official on the output of the participation process in the redevelopment project?

1.5. Significance of the Study

The study will identify factors related to initiative, capacity, planning process and autonomy of decision making of the urban redevelopment process that influences active involvement of affected stakeholders by the project. In addition, the study analyses stakeholder organizational capacities and challenges that facilitate or inhibit their active involvement. This will inform policy makers, planners, politicians and other development actors about the bottlenecks for active affected group participation and its consequent outcomes. This will help them to address the limitations and achieve a broad based urban redevelopment process that benefits and empowers the slum dwellers. In this regard the study gives policy implications that indicate how to tackle the inhibiting factors and how to enhance the facilitating factors. Apart from its contribution for improving urban redevelopment process, the study also enhances the academic understanding of the dynamics of urban redevelopment process in Addis Ababa and helps to instigate further research on the issue.

1.6. Scope and Limitations of the Study

Although Addis Ababa city is engaged in massive upgrading and redevelopment projects in different parts of the inner-city, the scope of this research is delimited to the urban

redevelopment planning process of Senga Tera-Fird Bet I renewal project. In addition, the process has resulted in the relocation of the residents of the settlement demolished; however, this study will not assess the impact of the displacement in the livelihoods of the residents. It is limited to assess the factors that influence affected group participation in the planning process and assessing the quality of participation in its output.

The study has few limitations. The first one is the planning process of the redevelopment project has been finalized and currently the area is under construction. This forced the research to rely on actors' perception, experiences and knowledge of the process. Considering this fact the researcher will employ methodological triangulation to cross check the information collected. The second limitation is previous residents of the settlement were displaced to different parts of the city, therefore finding key informants from affected community was a challenge. The third is the redevelopment process is among the main development agenda of the City administration; hence the issue is a bit politically sensitive. The fourth limitation of the research is time constraints. The fieldwork was conducted in only five weeks time that forces the study to rely on the information given by limited number of key informants. The final limitation is one of the objectives of the study is to assess the opinions of the affected group. However, since the key informants of the study were not representative of the affected group, the finding in this section could not be generalized. Nevertheless, it indicates the diversity of opinion by the different actors involved.

CHAPTER TWO

LITERATURE REVIEW

2.1. Introduction

This chapter is devoted to the discussion of the theoretical and conceptual issues used to frame the study. The study has made use of various theoretical insights in order to understand the subject under study from different perspectives, which will be discussed in the following sections. The chapter is organized into nine sections. Immediately after this introductory section Institutional perspective, the overall theoretical framework of the study will be briefly explained. The third section briefly describes the genesis, meaning and components of urban management approach, which sheds light on the organizational arrangement of the implementing body. The fourth, fifth and sixth section will deal with slums and resettlement, urban regeneration and stakeholder participation. This theoretical insight guides the research in its endeavor to assess the process and outcome of the stakeholders' involvement in the redevelopment project. Section seven presents the conceptual framework of the study illustrating the pillars and outcomes of stakeholder participation, which the study used to assess their condition in the area under study. Section eight discusses decentralized urban planning in Addis Ababa and the final section briefly describe the recent endeavor in inner-city redevelopment in the capital.

2.2. Institutional Perspective

There are two grand theories that dominate the social science. These are the functional and structural, and the interpretative sociology. The former one emphasizes the preeminence of the social whole rather than its individual parts (Giddens 1984). This perspective theorizes that individual action is guided or constrained by social structures, values and norms, paying little attention to human agency. The interpretative sociology, on the other hand, emphasizes on human action and meanings to explain social reality disregarding of structural factors (Giddens 1984). However, a third perspective has been suggested by Giddens (1984), Burns et. Al (1986) and many other scholars, that combines the two theories. The third perspective, i.e. institutional perspective assumes individuals do not exist autonomously and do not make a purely rational choice to maximize their benefit rather individuals make decision based on the relation they have with other actors and through the values and norms they acquire through such interactions structured by power relations (McCarthy 2007). It explains how human agents act and interact within the prevailing social structure and how they shape and reshape them through their interaction (Yeraswork Admassie 2000).

The structuration theory assumes that social life is explained as constant relationship between human agency and structures, whereby the latter influences the action of the former as well as the latter being shaped and reshaped by the actions of the former. For Giddens the two concepts are not different constructs rather they are two aspects of social process. According to the notion of the duality of the theory of structuration, structural properties formulated in rules and resources are mediums as well as outcomes of individual actions and interaction (Giddens 1984). Therefore, the key relations that carry structure forward, and which actors interpret and reshape, are formal and informal rules, allocative structures (the way material resources are distributed),

and ideas (knowledge and cultural structures, which frame how actions are developed and legitimated) (Healey Winter 1999).

The institutionalist perspective is based upon the theory of structuration emphasizes the interrelationship between agency in mobilizing for change and the wider context of structuring forces (Healey 1997b). The perspective emphasizes, according to (Healey Winter 1999) on the following:

- Individual identities and preferences are actively constructed in social contexts and relationships among them is conceived as social practice and a system of meanings with subjective interpretation;
- Ways of seeing and knowing the world, and ways of acting in it, are understood, as constituted in social relations with others are embedded in particular social contexts through which attitudes and values are developed that finally become cultural underpinning of the certain group of people;
- The world of actors is framed and interrelated by dynamic forces that impose structuring force on social relations;
- As people accept or reject the choices that they are offered with, they will maintain, modify or transform structural forces that affect their lives;
- Structural forces as well are reshaped by social practice, sometimes unintentionally, but often through consciously planned transformative action; and
- Social life is an active process of formation and transformation of identities and social bonds that build intellectual, social and political capitals.

This is the entry point of the thesis. The dislocated government house tenants, the informal business owners, the formal business owners, the NGOs, the real estate developers, the local government officials are actors who have different resources in reshaping the structural forces of redevelopment. Therefore, with this perspective the study will look at the different structural forces that affect the involvement of different actors and how their response is reshaping these forces (Healey Winter 1999) (Healey 1999).

2.3. Urban Management Approach

2.3.1. Genesis and Meaning of the Concept

Urban population in the world particularly in developing countries is growing at an alarming rate. For the first time in history urban population has outstripped rural population (United Nations 2010). Although urbanization and economic development are intimately linked, it tends to accentuate inadequacy in housing and urban service delivery, spiraling land and property prices, proliferation of slums and deterioration of the urban environment (United Nations Centre for Human Settlements 1996). Hence, urban growth should be properly managed in order to reap the benefits of urbanization and avert its negative consequences. Efforts to manage the urban areas, in developing countries, were futile to achieve planned urban growth. This is mainly because they were guided by rigid physical plans that are detached from actual reality and predominance of donor funded weakly integrated projects (McGill 1998). Recognizing these

shortcomings development agencies and scholars comes up with the concept of Urban Management approach in 1980s. The major aim of the concept was to replace rigid physical planning, which have no real impact in urban areas, with action-oriented management technique tailored with financial decisions. The other objective is to undertake discrete projects in a way that they contribute to the broader city development agenda (Biau 2005).

The concept was popularized by the Urban Management Program, which is the largest technical assistance in the urban sector promoted by World Bank, UN-Habitat, UNDP and other bilateral agencies from 1986 to 2004 (Biau 2005). The program is aimed at strengthening the contribution of cities and towns in developing countries towards economic growth, social development and the alleviation of poverty, promotion of local participatory governance and betterment of environmental conditions (Biau 2005). However, the program has not clearly defined the concept clearly (Stren 1993) rather it gave operational definition of sectors of urban management (Jenkins 2000). Many authors have tried to give different definitions to the concept.

Urban Management, according to (Van Dijk 2008), is

the effort to co-ordinate and integrate public as well as private actions to tackle the major problems inhabitants of cities are facing in an integrated way, to make a more competitive, equitable and sustainable city.

It is a holistic a concept concerned with the capacity of the local government to plan and implement policies and programs in order to tackle urban problems and ensure better well being in a multi-sectoral and multi-actor setting (McGill 1998). Urban Management goes beyond traditional public administration that is hierarchically organized into different sectors and views government as the only provider of urban services. It rather emphasizes in a flexible organization and views the government as a catalyst of urban development in an innovative and entrepreneurial manner (Davidson, Nientied 1991). The approach recognizes the crucial role of non-state actors (like the private sector, NGOs and other civil society groups) in delivering basic urban services and urban development (McGill 1998).

Therefore, in this approach the role of the urban government is harnessing the activities of key urban players in addressing urban problems (McGill 1998). This is through effective mobilization and coordination of the inputs (finance, skill, knowledge, etc) of various actors to produce urban services that is necessary for a better quality of life (Chakrabarty 2001). Therefore, good urban management depend on effective coordination of key urban development actors (Amos 1989), which includes developers, public/private infrastructural providing organizations, NGOs, CSOs, informal sector, local governmental bodies and community as a whole (Chakrabarty 1998).

The approach also identifies the multidimensional nature of urban problems that demand multi-sectoral intervention (McGill 1998). Almost all of the urban problems are cross-cutting. For example urban poverty might impact environmental quality and may in return influenced by infrastructural provision and housing conditions (Stren 1993). Hence Urban Management approach demands overcoming of sectoral myopia through horizontal integration of various sectors/ departments of an urban government and vertical integration of different levels of government (McGill 1998). Urban development and service delivery ranges across the

institutional spectrum, from various departments of government to the informal sector. The need is therefore to have a central driving force to ensure the necessary inter-agency planning and budgetary co-ordination. Ideally, that driving force should be at the most practical level of decentralized government, namely a robust local or city government (McGill 2001).

In order to facilitate local level coordination and ensure active participation of various actors in urban development, the urban management approach suggests strengthening of the local urban government through decentralization (Van Dijk 2008). Decentralization involves the transferring of functions and responsibilities from higher levels of government to the lower level of government and market (Helmsing 2002). The logic behind decentralization is making service delivery to be responsive to the local needs (Jenkins 2000), facilitating employee innovation that fits the local context and enhancing local accountability and responsibility (Osborne, Gaebler 1993; 1992). However, decentralization alone could not ensure all these benefits. This is because most local governments in developing countries have limited capacity to implement actively coordinate urban actors and ensure responsive urban development (Batley, Devas 1988). Therefore, urban management should be considered as a city building (delivering of infrastructure and services) and institution building exercise. In addition to delivering basic physical infrastructure, urban management should involve in building local government institutions organizationally, financially and in human capacity in order to execute its functions (McGill 2001).

To translate all these aspects of urban management, it is important to apply innovative approaches to urban planning to guide urban development in an integrated way. This approach in contrast to traditional planning focuses on financial and institutional aspects and is implementation oriented (United Nations Human Settlements Programme 2009). The aim of the process is not producing a prescriptive plan rather a flexible strategy to guide the activities of urban actors based on shared understanding of the current condition (United Nations Centre for Human Settlements, Economic Development Institute & United States. Regional Housing & Urban Development Office for East and Southern Africa 1991). The intention here is to move towards integrated investment packages for infrastructure linked to broader planning processes. In this innovative planning approach considerable attention is paid to institutional and capacity issues, and community consultation is included in the process. This planning approach is a multi-sectoral investment planning, which will be developed after a rapid analysis of key spatial and environmental profiles, problems and trends, and then develops scenarios and strategy, and a broad spatial framework for urban development. This approach excludes detailed land use and zoning, and operates at a broad level associated with structure planning, but with a focus on infrastructure development (United Nations Human Settlements Programme 2009).

These types of urban plans differ in their scope (local, city and regional level) and objectives (short-term and long-term). A good example is action planning, which is a planning process to resolve an urban problem of defined area in a short time period owned and developed by the relevant stakeholders (van Dijk 2006, Davidson 1996). Strategic planning is also another form of innovative planning approach used in urban management to guide city or regional level trunk investments and location for jobs, residence and transportation in a longer period developed and owned by different stakeholders ((van Dijk 2006). The planning process in urban management needs to involve relevant stakeholders in order to create the conditions for consensus and conflict resolution (van Dijk 2006). Active involvement of urban key actors in the planning process

would help each actor to locate themselves in the vision of the plan (Healey 2007). The enhancement ownership of the plan or a strategy by urban actors will facilitate realization of the objective in cost-effective manner; since they will act accordingly (van Dijk 2006). However, involvement of stakeholders is not a onetime exercise rather should continue through the implementation, monitoring and evaluation of strategies, plans, projects and programs. In short involvement of stakeholders needs to be instituted as one part of the routine urban management.

2.3.2. Major Issues in Urban Management

As discussed in the previous section urban management has a multi-actor, multi-sectoral and an integrated approach to urban development (McGill 1998). The urban management approach does not prescribe a general solution that fits any situation, it rather gives room to the urban managers to apply context specific approach suitable to best address local context (Batley, Devas 1988). However, there are few critical issues which have implication for urban management. These include decentralization, emphasis in process, enabler government, political control, Managerialism and capacity development (ibid).

1. Decentralization

Decentralization is defined broadly as transferring of decision making powers (finance) and responsibilities to lower levels of government or as leaving responsibilities to the market and third sector (Helmsing 2002). Decentralization creates a wide space for local government and local actors for formulating policy (van Dijk 2006). This has an advantage of putting in place flexible organization that can respond to changing needs of citizen, enhanced proximity of officials to the problem, stimulates innovation (Osborne, Gaebler 1993; 1992), smooth and efficient running of public affairs, gives the means for checks and balance, facilitates the participation of non-governmental and grass root organizations in urban governance endeavor, enhances opportunity for local economic development, and facilitates the development of an active and vibrant civil society (Work 2001). However, it is critical that the role of well defined inter-governmental frameworks should be put in place clearly defining tasks and responsibilities to be transferred and their means of financing (Tegegne Gebre-Egziabher, van Dijk & Addis Ababa University. Regional and Local Development Studies 2005).

2. Emphasis on Process

For smooth urban development to take effect, it is imperative that the local government first understands the wider system within a specific program or project takes place. Therefore, a more thorough analysis of economic development patterns and prospects; urban market in land, housing and services; the existing institutional system; and existing national and policy framework need to be taken before embarking in urban projects. In short urban management must be conceived as a process of carefully calculated interventions, that involves negotiation between sectors, politicians and with affected people (Batley, Devas 1988). This is done in order to make sure that projects contribute to the positive tendencies of the wider urban system.

3. Government as Enabler

Since the 1980s it became clear that government cannot only afford to provide all urban infrastructures and facilities but also is inefficient in proving and producing them (Batley, Devas 1988). Lately government is considered as one of the actors in the complex network of public, private and social actors engaged in urban service delivery. Hence there has been a shift in the

role of government (Kickert 1996). The task of the government was reformulated to decomposition and co-ordination whereby government defines a situation, identifies key actors and creates effective linkage with the relevant stakeholders. The other task is calibration and steering which is concerned with influencing and steering of networks and partnership to achieve desired outcome. The final task is integration and regulation which is also called system management, it involves thinking and acting beyond sub-systems, minimizing side effects and establishing mechanism for effective coordination (Stoker 1998).

However, this does not mean that governments does no longer have a direct role, still they need to have critical role in (Batley, Devas 1988)

- providing services which cannot be supplied satisfactorily by the private sector, and on those activities which can have the greatest, strategic impact;
- providing the environment and structures within which individuals and community groups can provide for themselves, rather than relying on public sector provision;
- facilitating private sector provision (subject to regulation, e.g. competition, hazard control),
- contracting of private sector or community provision of public services, such as construction, waste collection and disposal, etc.

4. Political Control

Decentralization process needs to be designed in order to facilitate the accountability and participation in decision making process. This can be enhanced by active political participation of the public during elections and an active involvement of the wider public in policy advocacy and political protest. The presence of appropriate structures, multi-party system, an active free press, and a vibrant civil society will facilitate this process (van der Loop 2002). However, usually local politics might be hijacked by the local elites. Hence it is important to provide a counterweight to the pressures from the vocal and vested interests by emphasizing the demands of the poor (Batley, Devas 1988).

5. Managerialism

Urban management goes beyond routine public administration. It calls for a more innovative and entrepreneurial approach that emphasizes human values rather than organizational structure. The approach believes in team work and innovation in a continually changing environment (Davidson, Nientied 1991). This requires flattening of hierarchical organizations that allow local discretion and responsiveness. In this approach rather than seeking to strictly follow pre-conceived plans and policies, it is vital to analyze needs and opportunities and to negotiate for the realization of objective. In this case planning is considered as a developmental and continuous interactive process rather than controlling tool (Batley, Devas 1988, Bailey, Barker & MacDonald 1995).

6. Capacity Development

Urban management need to be supplemented with institution building in order to enable the urban government execute its city building exercise (McGill 2001). According to (UNDP 2009) capacity is of three levels. These are:

- i. Enabling Environment:** is the overall environment within which individuals and organizations function and one that influences their existence and performance. It determines the 'rules of the game' for interaction among organizations. It is the most critical level to understand capacity issues and is the intangible. Among others it includes policy, legislation, power relations and social norms that structure social processes.
- ii. Organizational level:** this level refers to internal policies, arrangements, procedures and frameworks of a certain organization that helps it to direct individual effort to achieve its mission. If the arrangements are properly set, resourced and well aligned, the organization will produce much more than the sum of its parts.
- iii. Individual level:** skills, knowledge and experiences of people that help them to perform their task. These capacities might be acquired through training or through learning by doing or experience.

Therefore, the aim of capacity building is to produce institutions that help to run the city effectively and sustainably (Davidson 1996). The concept goes beyond training of individuals to include strengthening of institutions, legal and policy framework within which cities are managed (Davidson, Pennink 2001, Davidson, Pennink 2001, United Nations Centre for Human Settlements 2001). Capacity building need to be undertaken in way that brings change in organizational structures and improve institutional, legal and financial framework of urban governments in an integrated manner with human capacity development. It involves training of new roles that require new knowledge, skills and attitude (United Nations Centre for Human Settlements 2001). However, it is important to note that capacity building is not only a top down exercise rather it needs to be integrated into urban development plans and the planning processes need to be used to further enhance the capacity (Davidson 2006). Collaborative planning process, which involves relevant actors in an interactive manner, builds institutional capacity of not only local governments but also places as whole by creating a pool of the knowledge resources, relational resources and mobilization capacities from the various actors (Healey 1998).

The urban management approach offers the study with framework of analysis for capacity and decentralized decision making. The approach as discussed above emphasizes new modes of urban government arrangement and ways of doing things. This will help to assess the capacity of the urban redevelopment project office. In addition, the discussion in decentralization will help the researcher to analyze level of decision making power at project level and how that affects participatory process.

2.4. Slums and Resettlement

2.4.1. The Concept of Slums

The word slum is derived from an old English or German word meaning a poorly drained place, which was originally applied to describe the cheap rental housing of the working class (d' Cruz & Satterthwaite, 2005 citing Hoskins, 1970). Since then the coining of the word in the 19th century, it was associated with different connotations, often derogatory meaning like crime, apathy, fatalism, etc. Various authors and organizations have attempted to come up with universal definition and operationalization based on physical, social, legal and other aspects of slums (Elias Yitbarek 2008). For instance, UN-Habitat (United Nations Human Settlements Programme 2003) with the motivation to measure slums has come up with an operational definition of slums restricted to physical and legal aspects of the settlements. According to the

UN-HABITAT, slum is characterized by inadequate access to safe water, sanitation and other infrastructure, poor structural quality of housing, overcrowding and insecure residential status. However, this definition gives emphasis to quantitative aspect of slums and ignores socio-economic condition of slums like inequality, heterogeneity and deprivation of capability (Elias Yitbarek 2008).

Slums are a breeding ground for different social problems. The lack of unclean and unsafe environment has made slum population vulnerable to various infections. In addition, the high unemployment rate and poverty frustrates people and lead to social tension, crime, drug abuse, alcoholism and other social problems (United Nations Human Settlements Programme 2003). The phenomenon of slum settlements is result of inability of the government to provide affordable housing for the urban poor. Therefore, living in the slums is the only alternative to have an access to a shelter to the poor. However, slums are considered by governments as rash on landscape, a blot in civilization or a cancer in a cityscape. Actually they are critical part of the economy that by providing cheap labor and production in the formal and informal sector (van Dijk 2006).

Governments are applying different kinds of policies responses towards slum settlement. These ranges from passively ignoring to evicting slum dwellers to protecting the rights of slum dwellers and helping them to improve their living and housing condition. UN-Habitat (2003) has identified five policy responses towards slums. These are policy of negligence, eviction, self-help and in-situ upgrading, enabling policies, resettlement and participatory slum upgrading. Considering its relevance with the case study, resettlement will be dealt in the next section.

2.4.1. Resettlement of Slum Dwellers

Slum improvement is rarely possible to improve without some population movement usually resulting in resettlement. Resettlement, according to (Muggah 2008), is *the planned and controlled relocation of population from one place to another*. In slum redevelopment resettlement can be associated with different strategies; however, it is usually aimed at enhancing the land and property value upon which slums are located. A slum redevelopment that involve resettlement usually carried out in order to prepare land for private development for wealthier residents, who pay higher taxes and more prosperous urban image (Koenig 2009).

Principally resettlement needs to be undertaken with the agreement and cooperation of the slum households' involvement. Nevertheless, resettlements has been implemented without consultation or consideration of the socio-economic impact of relocation of slum dwellers to distant, often peripheral, sites with no access to basic infrastructure (United Nations Human Settlements Programme 2003). Such involuntary resettlements of people have the risk of resulting in landlessness, joblessness, homelessness, marginalization, community disarticulation, loss of access to communal resources and increase morbidity (Cernea 1997). The major failures of involuntary settlement that exposes relocatees to these risk factors are lack of early planning, inadequate compensation, insufficient financing and lack of participation of the resettled population in the design and implementation of the process (Cernea 1988). In order to avoid this the United Nation, World Bank and other international agencies stipulates states to protect their citizens from forced eviction, to avoid resettlement as much as possible and involve affected groups and consider alternatives proposed by them (Cernea 1988).

Based on these guidelines (Davidson et al. 1993) formulated a resettlement and relocation manual that suggests avoidance of resettlement as much as possible and undertaking resettlement in properly planned and managed manner if it is necessary. Resettlement of slum dwellers can be avoided by other innovative alternatives, which includes in-situ slum upgrading, slum re-blocking, land sharing and slum reconstruction. However, if these alternatives are not possible they suggested five critical preconditions needed for successful resettlement. First states must have a sound policy, legal, and institutional framework that safeguard the urban poor supported by appropriate procedures and qualified staff to undertake. Second the resettlement planning and management process need to be participatory. Cost-benefit analysis need to internalize the long-term effect of the resettlement and appropriate communication strategy need to be put in place. In addition, affected communities and other stakeholders need to participate in planning, in the selection of alternative options, and in negotiating an acceptable relocation package (Cernea 1993). Third is relocating people as close as possible or ascertaining that there is an economic development potential for the resettles (Davidson et al. 1993). Fourth of community building and income generating activities need to be undertaken since relocation whatever it is planned may result in community breakdown and deprivation of some assets. Fifth proper development of infrastructure and shelter in the new settlement is deemed important (Davidson et al. 1993).

A good case in point to avoid resettlement in other location and achieve redevelopment of slum, is the Mumbai Slum Redevelopment Scheme (SRD) and Slum Rehabilitation Scheme (SRS). The scheme is transfer of ownership rights of land from the state to slum dwellers and redevelopers, when both parties reach an agreement to redevelop the slum through a land sharing arrangement. The scheme provides the developer to provide free housing for the slum-dwellers and to utilize the rest of the plot or added floor space for sale. As of August, 1998 a total of 367 redevelopment proposals have been approved out of which 145 are under construction. In the scheme the slum dwellers are co-developers or equity partners of the redevelopment since they offer access to slum land, the majority of the community must approve the decision to redevelop. However, their control will diminish in the redevelopment process and the process might long years (Mukhija 2003).

The Senga Tera-Fird Bet I urban redevelopment case involves resettlement. Therefore, theoretical insights on how the process of resettlement should be organized will help the researcher to assess the conditions on the ground. Particularly, the discussion mentioned above will help the researcher to assess the existence of legal and policy frameworks that ensures residents against forced eviction and the level of participation of the affected community in the planning and implementation of the resettlement process.

2.5. Inner-city Regeneration

Inner-city is an ill-defined geographical area located close to Central Business District of a capitalist city which is usually characterized by *dilapidation, poor housing and economic and social deprivation* (Johnston, Gregory & Smith 1994, p. 290). Most of often these areas are faced with a complex web of urban problems combining decayed infrastructure, high unemployment and a concentration of people with social difficulties (Deakin, Edwards 1993). The physical, social and economic deterioration in the inner-city among other things implicates the inefficiency and incapacity of the local government to effectively deal with the problem. This necessitates an intervention to address the urban decay and housing and environmental condition (Acioly Jr. 1999). The intervention to redress inner-city decline and distress have passed five evolutionary

stages particularly in Europe, according to (Roberts, Sykes 2000), since 1950s. According to him since the 1990s the concept of urban regeneration has become the dominant thinking.

Robert (2000, p. 17) conceptualized urban regeneration as

comprehensive and integrated vision and action which leads to the resolution of urban problems and which seeks to bring about a lasting improvement in the economic, physical, social and environmental condition of an area that has been subject to change.

He elaborated further, the concept of urban generation, as a development of an urban area with a strategic frame work to contribute to the overall city-wide or regional development with an integrated focus involving the private, public and community sectors by creating a dynamic institutional framework for active participation (Roberts, Sykes 2000). According to (Couch, Fraser & Percy 2003) it is a process of economic revitalization, restoration of social functions and recovering ecological quality of an existing urban area; whereby integration being the central feature (Lichfield, 1992 cited in (Roberts, Sykes 2000). In addition, rhetorically urban regeneration is supposed to be participatory or led by partnership of key actors in order to achieve efficiency, sustainability and empowerment (Jones 2003). This will be achieved when there is a planning governance that admits *diverse knowledge and being* that help in making *invention and consolidation of ideas and strategies* (Healey 1997a, p 244) at the city/regional level in order to link issues and actors involved (Carter 2000). Therefore, urban regeneration is being pursued by many cities in partnership with the private and voluntary sectors in order to facilitate the competitive position of cities (Singhal, Berry & McGreal 2009).

The importance of the concept of urban regeneration to the subject understudy is, it gives emphasis to the role of stakeholders in the process and in the integration of the scheme at the city level. These two key points will be assessed when analyzing the Senga Tera-Fird Bet I urban redevelopment planning process.

2.6. Participation

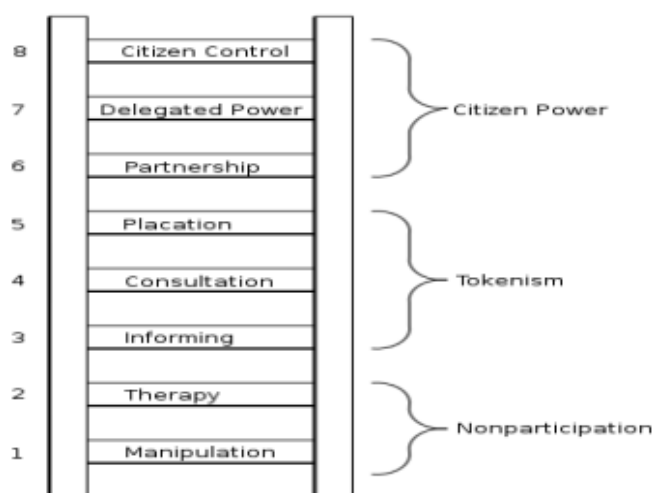
2.6.1. Conceptual Issues

The concept of participation is well researched and much talked about concept taking different forms as in community participation, citizen participation, public participation, participatory governance, participatory planning, stakeholder participation, participatory development, and so on (Human 2007). Participation in its broadest sense can be defined as *a process through which stakeholders' influence and share control over development initiatives and decisions and resources which (World Bank 2011)(World Bank 2011)(World Bank 2011)(World Bank 2011)(World Bank 2011) affect them* (World Bank 2011). Similarly (Cohen, Uphoff 1980) define it as a process that *includes people in decision making processes, in implementing programs, their sharing in the benefits of development programs and their involvement in efforts to evaluate such programs*. To Oakley participation is a political process that sought to involve previously excluded part of the society in decision making and in sharing the benefit of socio-economic development schemes (Oakley 1991). In all the definitions of participation stakeholder or groups or people are at the center of the development. Stakeholders, according to Engi and Glicken (1995, p 1), *is an individual or group influenced by and [/or] with an ability to significantly impact (either directly or indirectly) — the topical area of interest*.

Oakley (1991) identified the three interpretation of participation. These are: first paramount consideration of participation to achieve programme objective (Oakley 1991). In this case participation is a means to achieve improve programme result. If people contribute their ingenuity, skills, and other resources, more people can benefit, implementation is facilitated, and the outcome responds better to the demand of the target groups (Moser 1989). Second consideration of participation is for getting institutions and organizations properly for development (Oakley 1991). Participation builds up a self-reliant and co-operative spirit in communities; it is a learning process whereby people become capable of identifying and dealing actively with their problem (UNCHS 1984 cited in (Moser 1989)). In this case participation is institution building exercise. The last interpretation holds participation as empowerment (Oakley 1991). Participation in this case is conceived as an end in itself, people have the right to participate in the planning, implementation and management of matters that affect their lives (Moser 1989).

There are few internal contradictions in participation. The first one is participation brings together the hitherto excluded and those who maintain the exclusion (Stiefel, Wolfe 1994). Unless participation achieves power and challenges established interests leading to direct access to resources\ and the decision-making affecting those resources, it cannot be meaningful (Oakley 1991). Second contradiction is individuals are expected to be free and unbiased so that participation not to be co-opted or coercive, yet all societies are structured along ethnic, gender and class lines (Jones 2003). However, genuine participation is not represented through its external and hence inevitably co-opted guise but instead by inner-creative and spiritual qualities through an awakening of self-realization, step-by-step transformation or praxis {{50 Rhanema, M. 1992}}. The third contradiction comes from the imperative of urban regeneration participation is required only in so far as it 'slots' tidily into pre-determined and externally defined aims and objectives of an intervention (Jones 2003). This why there are different forms and levels of participation. In praxis there are different levels of participation. (Arnstein 1969, p 262) have identified eight levels of participation a continuum ranging from the most exploitive and underpowered to the most controlling and empowered (see figure 2.1).

Figure 2. 1 Arnstein's Ladder of Participation



Source: (Arnstein 1969), p. 262

This ladder of participation gives a check-list of what is participation and what is not (Jones 2003). The ladder of participation can be summarized into three categories. The first one is *non-participation* and includes the first two rungs, i.e. manipulation and therapy. In this category citizens are not involved genuinely in planning and development process rather intervention will be imposed on the stakeholders by the of the power holders. The second category is *tokenism*, which includes the next three rungs of *informing, consultation and placation*. In this case citizens have the voice to hear and to be heard, however, they do not have the power to make sure that their views are considered. The final one is the one that includes the higher rungs of *Partnership, delegated power and citizen control*. At this level citizens have the decision making power ranging from negotiation in case of partnership to significant control of the decision making power in *delegated power and citizen control* (Arnstein 1969). The level of participation depends highly on the motivation of the process. According to there are three motivation for participation. These are good governance,

The ladder of participation though organizes our thought of different levels and types of participation, it is not without criticism. (Fung 2006) criticizes the ladder for fusing empirical scale with normative approval and for its too simplistic nature. On the other hand (Guijt, Shah 1999), suggest that rather than seeing participation as levels of rungs that need to be achieved, it is better to observe how different players participate and why that method is chosen. However, with all its weaknesses, the ladder helps to identify the type of participation in question through capturing its manipulative, passive and functional guises (Jones 2003).

2.6.2. Factors Affecting Participation

The process of participation does not happen in a vacuum; hence it is subject to various influences which inhibit or facilitate its effectiveness (Oakley 1991). This influence can be categorized under structural, administrative, local and social factors. The following section will try to explain each category briefly.

A. Structural Factors

The political environment of a country is a critical factor for a successful participatory process. In country where prevailing ideology does not encourage freedom of speech and openness rather state of affairs is dictated by a government, it is difficult to undertake a genuine participation (Oakley 1991). Therefore, democratization is precondition to foster participatory decision making (Pieterse, Urban Management Program 2000). Participatory planning further, demands decentralized and horizontal administrative system in order to give room for local actor to involve in decision making. On the other hand, a centralized government structure that gives little room for local decision making will minimize the possibility of authentic participation since decisions flows from top to down without involvement of local actors (Oakley 1991). It is important to note that decentralization in terms of decision making over development and finance is a crucial factor in facilitating genuine stakeholder participation. However, decentralization needs to be supported by accountability, transparency and participatory institutional arrangement of the local government (van Dijk 2006, Pieterse, Urban Management Program 2000). The other structural factor is political interference on local projects and programs by the ruling party to co-opt the direction of the intervention for their political benefit (Oakley 1991). All these show that how much the structural political factors are important to realize genuine local level participation.

The other most important factor that affects the process of participation is the existence and proper implementation of appropriate legal frameworks that ensures stakeholder participation. In cases of these legislations does not exist, properly implemented or are unknown by the local community, the participatory processes can be negatively affected (Oakley 1991). Therefore, it is important to put in place enabling regulatory frameworks at national, regional and city level that stimulates and rewards participatory decision making by urban stakeholders (Pieterse, Urban Management Program 2000). The other most important structural factor is political will and commitment of government officials at all level. The fact that the legal frameworks are put in place does not guarantee genuine participation, rather government officials need to be convinced that stakeholders should have to have a say in matters that affect them and need to be committed for the realization of authentic involvement of relevant actors in decision making (Pieterse, Urban Management Program 2000). The other most important yet latent structural factor is culture, which the *mental programming* of the leaders and those bottom. Some cultures have relatively distributed power structure whereby there is small power distance between the leaders and the followers and in others power is unequally distributed. The former one is suitable or easier for participatory leadership while the latter culture usually produces autocratic leaders and passive citizens (Hofstede 1983).

B. Local Government Level Factors

According to the urban management approach the major objective of local governments is facilitating stakeholder involvement in decision making and overall urban development (Van Dijk 2008). However, in praxis there are several factors at the local government level that affect, positively or negatively, the quality of participation. The major factor that affects the process of participation by local governments is the availability of resources. Participatory process demand additional resources in order to address the social and economic needs of stakeholders. However, in most cases local governments' resources do not match their ambition to participate and often justifying additional expenditure is difficult (Lowndes, Pratchett & Stoker 2001a).

The other critical factors that affect participation at the local government level are the attitude of planners and officials towards the inputs of other stakeholders. Most often planners, professionals and local government officials view the inputs of communities and activists as banal and which lacks technical knowledge (Davies 2001). This would affect the stage that other stakeholders participate. Most often local governments go for consultation with the public after the framework of the planned intervention is established. In this case stakeholders have little impact to influence direction of the policy or the program (Davies 2001). Therefore, the stage of participation is also another critical factor in determining the quality of stakeholder involvement. In order to achieve genuine participatory process stakeholders need to participate as early as possible to influence decisions rather than rubber stamping an already decided plan (Rowe, Frewer Winter 2000).

The motivation of governments or agencies to involve stakeholders in decision making is also another factor that affects participation. According to (Davidson 2005), there are three not self excluding motivations for participation. The first one is good governance, involving stakeholders in decision making in order to facilitate transparency and accountability seeing participation of affected stakeholders as basic human rights. The second one is good urban management, in which participation is seen as an instrument for implementation efficiency by mobilizing

resources and support from actors. The final one is obligation whereby governments or agencies involve other actors in order to satisfy another organizations policy as means to get funds.

The other factor that is critical for genuine participation of stakeholders in local government initiatives is the perception of citizens towards local government (Jenkins, Kirk & Smith 2002). There is a public antipathy towards government initiative due to the negative experiences of people with authoritative and unparticipatory governments (Davies 2001). Therefore, stakeholder apathy, unless overcome by active process of participatory decision making, can lead to public passiveness in decision making processes and overall disenchantment of the institution of the local government (Rydin 2000). To achieve this local level political leader need to be committed for participatory governance supported by appropriate regulatory framework that facilitates participatory decision making relevant stakeholders (Pieterse, Urban Management Program 2000). However, it is important to note that political commitment and appropriate regulatory framework are not enough.

Participation also presents human resource challenge to local governments by requiring additional professional staff, particularly expertise of facilitation, communication and negotiation skills (Innes 2004). In addition to having qualified staff, it is important to create an organizational framework that enables employees to discharge their responsibilities with utmost passion and innovation (Davidson, Pennink 2001). This can be achieved among other things through creating conducive atmosphere and encouraging employees to use different participatory approach using incentives (Rietbergen-McCracken, World Bank 1996). Furthermore, the institutional arrangement of the program or project need to be arranged with strong link with parent institution and coordinated with other stakeholders in an integrated, flexible and demand responsive manner (Imparato, Ruster 2003)

Another factor that affects participation is the level of emphasis given to the hard and soft issues of development plan. In many development projects a *hard issues* (technological, financial, physical and material) are considered important for the success of the project than the *soft issues* (stakeholder involvement, decision making procedure, capacity building, organizational development and empowerment) (Moser 1989). This is the result of the assumption that social features of development project are intangible, unnecessary and time consuming compared to concrete project outputs (Botes, van Rensburg 2000). This assumption usually leads to obsession with tangible project outputs (services and products) and little emphasis is given for the process (stakeholder participation and institutional capacity building), which results in poor acceptance of project output since it does not reflect needs of the stakeholders (ibid).

It is important to note that not all stakeholders have equal voice; there are some groups who can have better capacity to make their points heard. This might be due to their relative economic, social and political capital they possess, however, the local government need be able to prevent domination of these groups in order to ensure the voices of *silent majority* heard (Jenkins, Kirk & Smith 2002). This issue particularly needs to be considered while establishing representative committees, at this point it is important to avoid persisting power structure in the community to be displayed in the committees and each sub-section of the community need to be represented (Rowe, Frewer Winter 2000, Botes, van Rensburg 2000). Apart from representation, the modes of participation determine the effectiveness of the participation process. (Jenkins, Kirk & Smith 2002) citing American Bar Association identified that there are three modes of participation. The

first one is paternalistic model where stakeholders participate on terms defined by government, second is *consensus-building model* where every affected stakeholder participate often using self-designated representative and third is *conflict or confrontational models* of participation whereby decision making passes extreme forms like litigation.

Finally, proper communication is critical for an effective participation (Human 2007). Local government officials and planners need to make sure that their call and proposals need to be communicated to all stakeholders and they also need to use language which comprehensible by all stakeholders in order to avoid mistranslation, miscommunication and misunderstandings (Glicken 2000). The announcement of participatory events need to be communicated to all stakeholders and it also need to be organized in a date and venue that suites the majority of the stakeholders (Jenkins, Kirk & Smith 2002).

C. Community Level Factors

The major factor affecting the quality of participation at the community level is the level of dependency of residents on government. In many third world countries people are accustomed to leaving decision and initiatives to their leaders (Oakley 1991). This feeling of dependency and helplessness is attributable to *metal programming* of the role of leaders and followers as (Hofstede 1983) describes. However, several other community level factors perpetuate this mindset. Community organization is one of them. The existence of a strong community organization facilitates participation. The effectiveness of community organization is dependent on committed and skilled leadership, which is supported by the community (Plummer, Great Britain. Dept. for International Development 2000; 1999). The absence of this leadership and community organizational skills is one of the factors that makes communities to be incapable of active involvement in a participatory process (Oakley 1991).

The other factor, which perpetuates public dependency for decision making, is community educational level and access to information. Many researchers have showed that planning systems implicitly favored to the well educated and informed ones (Jenkins, Kirk & Smith 2002). In addition, the feeling that *our views does not count ... everything is decided beforehand ... we do not make a difference* has significant impact in discouraging the community from actively participating (Davies 2001, Jenkins, Kirk & Smith 2002, Lowndes, Pratchett & Stoker 2001b). However, it is important to note that these feelings are results of the experiences lack of consideration of the views of the public in planning processes (Oakley 1991, Botes, van Rensburg 2000).

Most urban areas are composed of heterogeneous groups in terms of language, tenure, income, gender, age, politics, and many other factors. This diversity will give rise to different interest and different vision for future development, which sometimes be conflicting and can be achieved at the expense of the others (Botes, van Rensburg 2000). Therefore, the presence of competing and conflicting groups will often complicate proper participation, often culminating in mutual feeling of mistrust and suspicion (Jenkins, Kirk & Smith 2002). This scenario will be exacerbated by selective participation of the powerful, the wealthy or the more articulated ones against the weaker section of the community. In most cases governments and development agencies work with leaders of community based organizations or representatives of the community, which usually might not actually reflect the needs of the poorer and the marginalized sections of the population like women, the poor, ethnic minorities, etc (Botes, van Rensburg 2000). This will

affect the representation of the different groups which in effect lowers the effectiveness of the process in incorporating the needs of all actors involved.

2.6.3 Benefits of Stakeholder Participation

Some writers have dismissed the benefits of participation saying it is a *lofty sentiment* and *popular faddishness* (Oakley 1991). On the other hand there are scholars who make powerful and emotionally appealing justification for participation (Midgley 1986). However, it has to be noted that the push towards participation is not only based on humanitarian, egalitarian or idealistic ground, there are a number of substantive benefits that participation can bring in development projects or policy making (Oakley 1991). Although there are several benefits of participation, it can be organized into the following categories.

- A. **Demand Responsiveness:** There is a wide held view among many scholars that development need to be delivered based on citizen need and preference rather than expert-led (Rowe, Marsh & Frewer 2004). Hence participation enables development policies, plans and projects to be designed based on the needs of citizens and thereby enhance support from the public minimizing division and opposition. Furthermore, incorporation of public demand in decisions enhances legitimacy, builds trust in institutions and stimulates smooth implementation since decision is grounded in citizen demand (Irvin, Stansbury 2004). Participation helps to design plans and projects in response to the needs of the stakeholders (Irvin, Stansbury 2004). In order to make the plan or policy to reflect the demand of diverse actors, all the affected stakeholders need to be involved in the process (Beierle 1999). Even though it is difficult to reach on a 'common good' in a diverse situation, a relative 'common good' will arise from a free deliberation and negotiation among the relevant stakeholders (Beierle 1999).
- B. **Efficiency:** According to (Oakley 1991, Rowe, Marsh & Frewer 2004, Beierle 1999) participation implies that greater cost effectiveness in using resources. This is through, minimizing misunderstanding participation is able to save time and energy of professional spent in convincing the benefits of a project to target groups. Participation stimulates ownership and responsibility; this means that less external cost and professionals is needed since the involved actors will contribute their share in running and administering the project (Oakley 1991). In addition, a properly planned participatory process produces a justifiable result for the added effort (Beierle 1999). However, there is a tendency by some agencies to transfer development or project cost burden to local people in the name of more efficiency (Oakley 1991).
- C. **Effectiveness:** is the successful achievement of projects objectives (Oakley 1991). Participation facilitates effectiveness through giving a voice to local actors in determining development objective, support project implementation, and make available skill, knowledge and resources of actors towards the agreed project objective (Oakley 1991, Imparato, Ruster 2003). Therefore, it can be said that participation can improve achievement of project targets through added contribution of involved actors in planning and implementation projects that lead to better matching of project outputs with target groups' needs and constraints (Paul, World Bank 1987).
- D. **Sustainability:** refers to continuity and participation is fundamental in self-sustaining the fruits of development (Oakley 1991). This is because participation process helps the local community to increase the awareness of local problems and resources get well acquainted with planning and development techniques, acquire organizational and

financial management skills and establish sustaining institutional structures, which lays the groundwork for post-implementation phase (Imparato, Ruster 2003). In addition, participation builds local ownership and responsibility of projects which in effect ensures continuity of project dynamics even after the withdrawal of the external agency (Oakley 1991, Imparato, Ruster 2003). However, the sustainability effect of a project heavily relies on the level of the support the project have and the capacity of the target community in managing and maintaining project benefit (Imparato, Ruster 2003, Paul, World Bank 1987).

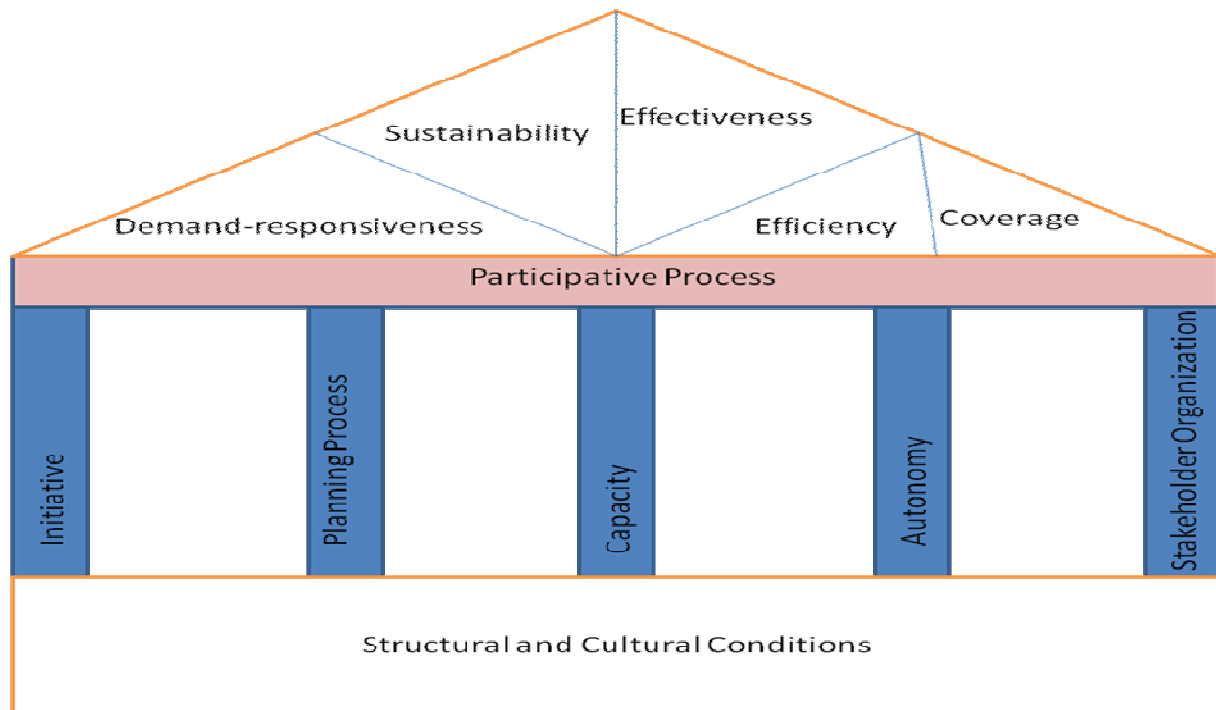
- E. **Empowerment:** According to (Paul, World Bank 1987) development is *a means of empowering people so that they are able to initiate actions on their own and thus influence the processes and outcomes of development*. Therefore, participation helps in breaking of the culture of dependency of the local communities and promotes self-awareness and confidence to engage in critical assessment of their problems and search for solutions (Oakley 1991). This is achieved through building the capacity of the local people to control issues that affect them and enable them to plan, implement and interact with various stakeholders to further their common goal (Oakley 1991, Imparato, Ruster 2003).
- F. **Coverage:** Very often it is the most visible, vocal, wealthier and educated sections of the community who will be partners and beneficiaries of development planning and implementation (Oakley 1991, Botes, van Rensburg 2000). However, genuine participation will extend the coverage to the majority, particularly to those who were marginalized (Arnstein 1969).

In conclusion, the discussion in stakeholder participation has clearly specified the definition of the concept, its levels, influencing factors and finally its benefits. The study will utilize the identified factors in section 2.4.2 to assess the inhibiting and facilitating forces to undertake an effective participatory redevelopment process. These in general includes capacity related factors, decentralized decision making related factors, planning process arrangement, purpose and leadership issues and community organizational capacities. In addition, the researcher will use the benefits of participation discussed in section 2.4.3 to measure the effectiveness of the stakeholder participation in the redevelopment process. These are demand responsiveness, effectiveness, efficiency, coverage and sustainability.

2.7. Conceptual Framework

The above sections have revealed that management of urban regeneration need to be based on the active participation of those affected by the project. However, in order to realize a genuine participation there are structural, local level and community level factors which facilitate or hinder the process of participation stakeholders in urban regeneration scheme. The researcher based the literature and consideration of practical experiences, singled out five critical variables that affect stakeholder participation in urban redevelopment projects in Addis Ababa. These variables initiatives, planning process, capacity, autonomy and stakeholder organization are pillars of a participatory process. The process in turn is measured by it responsiveness to stakeholders demand, sustainability, effectiveness, efficiency and coverage of the target group.

Figure 2.2 Conceptual Framework of the Study



Source: Developed by the Author based on (Imparato, Ruster 2003)

2.8. Decentralized Participatory Urban Planning in Addis Ababa

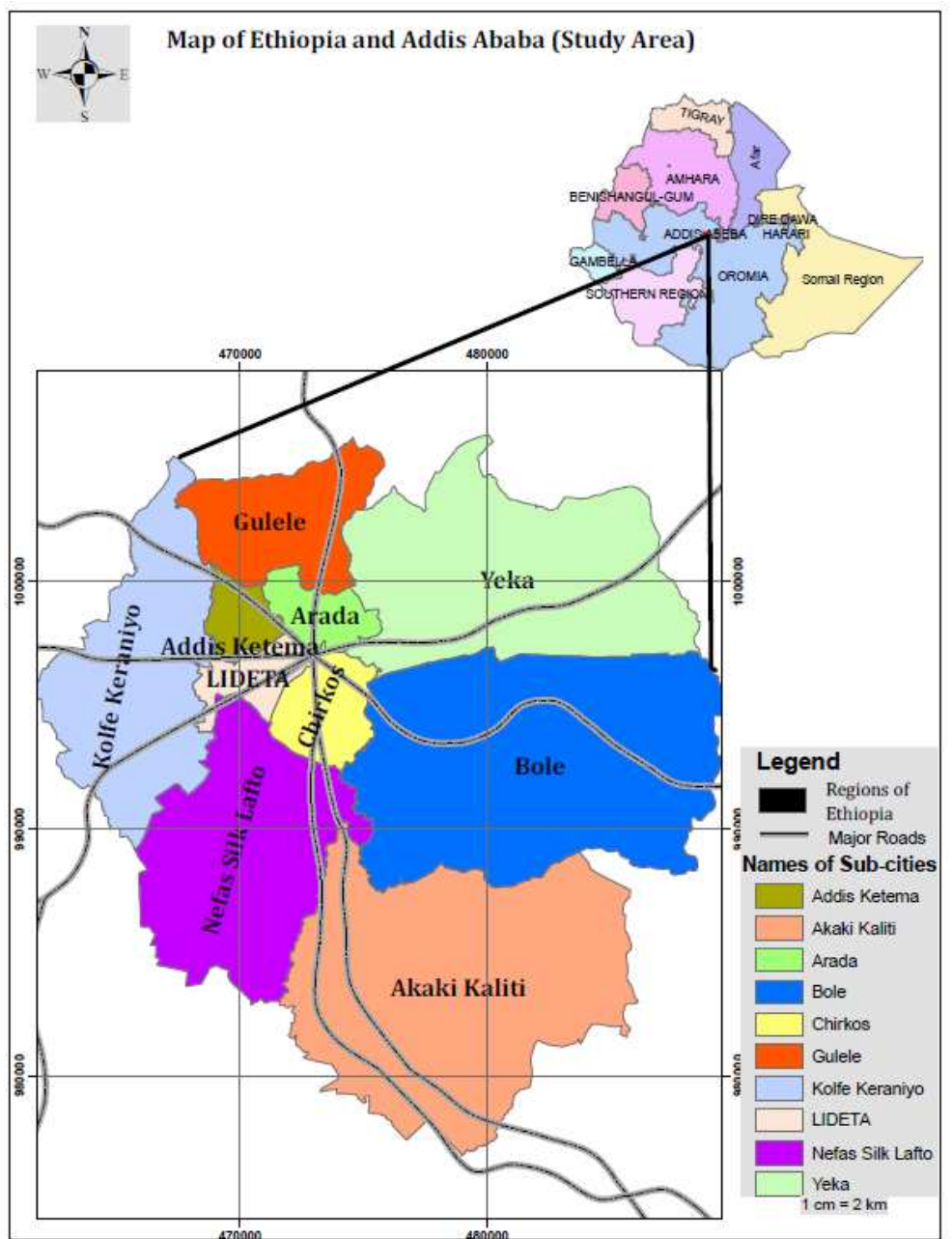
Ethiopia like many developing countries, since 1991, has been engaged in the process of decentralization by transferring responsibilities of the state to lower tiers of government to bring not only political stability and contribute to democratic governance, but also improve service delivery and attain equity (Fransen, Samson 2010). According to (Tegegne Gebre-Egziabher 1998), Ethiopia has experienced three waves of decentralization. The first wave of decentralization (1991-2001) was centered on creating and empowering Regional Governments. The second wave involved charters for cities and decentralization to city level. In this era, the capacity of cities and space for participation increased. The third wave followed the 2005 elections, in which opposition parties won the elections in major cities and towns. In this period, decentralization stalled, government control increased and as a result, the space for participation decreased once again (Tegegne Gebre-Egziabher 1998).

A number of factors could be attributed to the increased wave decentralization, particularly between 1991 and 2005. Amongst them are the discontent on the century-old centralized planning experience, adoption of federal government system, the rise in number of non-governmental organizations, an increased pressure for participation from the community and expansion in the capacity and agility of private sector (Zemalk Ayele 2009). Yet, the level of community participation in local development planning is at its infant stage filled with many ambiguities (Scott, 2003; Blake et.al., 2002 cited in (Getachew Teklemariam 2010)).

The city is a chartered city with legislative, planning and fiscal autonomy being accountable for the federal government of Ethiopia. The Mayor is the chief executive of the city government

under the policy direction of popularly elected city council. The city is divided into ten geographically demarcated Sub-city administrations with municipal and non-municipal functions (FDRE 2003). The lower tiers of government are the *Wereda*. There are about 116 *Weredas* in Addis Ababa (Addis Ababa City Administration-Urban Plan and Information Institute 2011).

Figure 2.3 Administrative Map of Addis Ababa



Source: GIS Database

Land and housing supply are executed at city and sub-city level depending on its category. The decentralization approach was motivated by the reform of the administrative structure in 2003 emphasizing in public participation (Fransen, Samson 2010). The City Administration and the sub-cities are responsible for handling the urban planning and development process (FDRE 2003).

Currently Addis Ababa is being guided by a ten year City Development Plan (2001-2010). This plan envisioned more intensive stakeholder participation in the preparation and implementation of local development plans (LDPs). Local Development Plans in the city are designed within the perspective of the city's structural plan and in consideration of local socio-economic conditions and needs via participatory approaches (ORAAMP 2002). Nevertheless, LDP designing exercises remained expert driven (Fransen, Samson 2010). The planning machinery of the city is more authoritarian and less participatory one (Yilmaz and Venugopal, 2008 cited in (Getachew Teklemariam 2010)).

2.9. Recent History of Inner-City Redevelopment in Addis Ababa

Following the fall of socialist regime and the introduction of mixed economy system in 1991, Addis Ababa went through dynamic changes in all social, economic and political spheres. Out of these changes, the introduction of private investment is the prominent one followed by intensive inner-city redevelopment projects. The Sheraton Addis and Economic Commission for Africa (ECA) redevelopment project are the prominent one. The former project was undertaken to construct the five star Sheraton Addis hotel. The relocation started in 1992 and most of the people were relocated in the years later while there were few people moving each year. In the process, 707 households were relocated. The whole process was managed and financed by the developer. The developer made agreement with Addis Ababa city government to construct relocation houses in the given plot and to relocate the people (Lishan Seyoum 2010). In this redevelopment project the residents were informed to leave the area, there was no any participatory mechanism in the process (Ashenafi Gossaye 2008). The relocation has improved the housing condition of the former slum dwellers; however, it resulted in unemployment and reduction in income in many relocated households (Lishan Seyoum 2010).

The second most important inner-city redevelopment is the Cassanchis inner-city redevelopment, which covers 150 ha of land and implemented after the development of the Addis Ababa ten years City Development Plan (Mesay Tefera 2008). The major aim of the project was to create an international city center where commercial and business activities prevail. There was no resident participation in the process of developing LDP and the emphasis of the project was centered on clearing the site and relocation of residents to the expansion sites (ibid). The LDP of the site was developed after the residents were relocated to the expansion areas (ibid). These two cases shows inner-city redevelopment recent experience in Addis was highly motivated by private investment and did not gave room for affected group participation in the process. Therefore, it resulted, according to (Gebre Yintiso 2008, p. 53), in

[disruption of] the relocatees' business ties with customers, broken their informal networks of survival, caused loss of locational advantage and jobs and incurred high transport costs. The overwhelming majority of relocatees reported significant income decline. Many displaced households have encountered problems related to water, sanitation, education, and healthcare.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1. Introduction

This chapter briefly describes the research methodology used in the study. The chapter is divided into nine sections. The section that comes immediately after this introductory section presents the operationalization of the study, followed by the type and strategy of the research. The data sources, validity and reliability, methods of data collection, sample technique, methods of data analysis and ethical consideration will be discussed in fourth, fifth, sixth, seventh and eighth sections respectively.

3.2. Operationalization of Variables

The research questions were operationalized into measurable variables in order to answer the research questions. The variables were collected using specified indicators from the different sources of information using different methods of data collection. The operationalization framework of the study is briefly displayed in Table 3.1 (for detail refer annex IV).

Table 3.1 Summarized Operationalization Framework

Research Question	Variable
1. How does the organization of the process affect stakeholder participation?	Level of initiative for participatory planning
	Quality of the planning process
	Level of Capacity
	Level of Autonomy
How does affected stakeholders' organization influence the participatory process?	Strength of Community organization
	Quality of Leadership of the organized group
	Existence of Conflict
	Diversity in organizational capacity
How do stakeholders evaluate the quality of the participation in the redevelopment process?	Demand Responsiveness
	Efficiency
	Effectiveness
	Coverage
	Sustainability

Source: Developed by the Author

3.3. Type and Strategy of the Research

The research type is an explanatory research which tries to assess the factors that influence effective affected group participation in urban redevelopment process. In order to analyze this relationship, the research applied a single holistic case study research strategy. The study analyzed the process of planning of the urban redevelopment project, using Senga Tera-Fird Bet I renewal project as a case study. Therefore, the project is the only unit of analysis the study.

According to Yin case studies *...are the preferred strategy when 'how' or 'why' questions are being posted, when the investigator has little control over the events and when the focus is on a contemporary phenomenon within some real-life context...it tries to illuminate a decision or set of decisions: why they were taken, how they were implemented and with what result.* Since study aims to explain what factors affect the affected group participation and its effect in the process the research strategy is a best alternative to address the research question. The case was studied in its context. This is particularly relevant since the project is part of the city level urban redevelopment scheme (Eyob 2010).

3.4. Data Sources

The study made use of both primary and secondary data sources. Primary data was collected from various federal, city and local officials, renewal project office staffs, planners, previous residents of the site and other actors using in-depth interview. The researcher will utilize a semi-structured interview guide for the in-depth interview. The secondary data was collected from the various policy documents, legislations, urban development plans, strategy documents, official documents, project documents, minutes, videos of public consultation, progress reports and other relevant published and unpublished documents relevant for the issue under study.

3.5. Validity and Reliability

Validity is the extent to which the research instrument gives the correct answer (Kirk, Miller 1986). Therefore, the researcher maintained the validity of the data through applying different methods to collect same information (i.e. methodological triangulation), collecting of same information from different sources, confirmation of the interpretation of the results with the research subjects and checking the divergence of the data from initial assumption.

On the other hand reliability is *the extent to which a measure produces the same answer however and whenever it is applied* (Kirk, Miller 1986). The researcher ensured the reliability of the research through multiple listening of interview voice records and multiple transcriptions of recorded interviews.

3.6. Methods of Data Collection

The research made use of qualitative methods of data collection; however, to support the qualitative assertion the study will be supplemented by quantitative data generated from the in-depth interview and secondary methods of data collection. The study employed in-depth interview, desk review and archival research. The fieldwork for the study took place in Addis Ababa between June 30, 2011 and August 3, 2011 after securing the support letter from Institute of Housing and Urban Development (IHS).

3.6.1. In-depth interview

In order to understand about the situation of process management and community organization of during the urban redevelopment project planning, the researcher was conducted an in-depth interview with various individuals who actively involved in the process or have expertise knowledge about the issue using semi-structured interview guide. The semi-structured interview guide were conducted in such a way that a sequence of themes and suggested questions were prepared with flexibility to changes of sequence and forms of questions in order to follow up the answers given. Table 3.2 will summarize the key respondents and the type of general information

sought from them. The purpose of the in-depth interview was to generate a first hand and depth information on the overall condition of the planning process. Unless told not to, all interviews was tape recorded and later translated and transcribed. In cases where respondents were not willing to be recorded, the researcher took note during the interview. Immediately after the interview the notes were expanded into their fuller version.

Table 3.2 List of Respondents and Information Collected

Issue	Respondents	Number
Policy and initiative issue	Ministry of Urban Development and Construction senior official	1
	Deputy City Manager for Land Related Matters	1
Project organizational issue	LDBUR Project office senior official (city level)	1
	LDBUR project officers (Sub-city)	2
	Sub-city Chief Executive	1
Process of the planning and its effect	Head of Urban Information and Plan Institute during the project	1
	Key informants from the four types of relocatees	8
	Representatives of each group	3
	District 7/14 manager	1
	Union of Ethiopian Women Charitable Associations (UEWCA) Executive Director	1
	Beza Organizing Association of Women in Need (BOAWN)	1
External stakeholders' opinion	Consultant who have evaluated the project	1
	Addis Ababa Master Plan evaluation team leader	1
	Cities Alliance regional advisor	1

Source: Developed by Author

3.6.2. Desk review

In addition to primary sources of information the study will also make use of secondary data sources. A desk review of relevant published and unpublished documents will be assessed in

order to gain understanding of the situation guiding the project and the process, and also to cross-validate the data collected from the other sources. Desk review will assess information from project documents, legislations, policy documents, strategies, action plans, performance reports, newspaper articles, and other relevant secondary documents.

3.6.3. Archival Research

The study collected information from official documents that include official letters, minutes of meetings, public consultation report, public notices, Memorandum of Understandings, videos of the public consultations and others using an archival research technique.

3.7. Sampling Technique

As the study sought to generate in-depth information based on the ideas, perceptions and experiences people, it will rely on purposive sampling of key informants and resource persons. The researcher selected research subjects based on their relation and knowledge with the project. On the other hand, the study relied on snow ball sampling techniques to identify key informants for in-depth interview and focus group discussion particularly from the affected community and other people involved in the project.

3.8. Data Analysis

As much as possible the interviews and focus group discussion were recorded with consent of the respondents. The data generated through in-depth interview and focus group discussion will first be translated and transcribed into English. Then three techniques of data analysis was used these are condensation- paraphrasing long interviews into succinct statements or shorter formulations; narrative- creating a coherent story out of the many happenings reported in an interview; and interpretation- recontextualizing of the statements within broader frames of reference. The data generated from the secondary material was used to supplement and validate the data generated by the primary techniques. The research will utilize the research questions and the theoretical formulations as an analytical framework for analyzing the data. The theoretical discussion of the study has identified the explanatory factors that determine effective stakeholder participation. Therefore, the study used *pattern matching* (Yin 2003) to compare empirically found factors with theoretically proposed notions that affect stakeholder participation. The presentation and organizational framework of the analysis follows the sequence of specific objectives of the study. In addition, the data presentation are supplemented with photographs and maps.

3.9. Ethical Consideration

The researcher received a letter of introduction from the Institute of Housing and Urban Development Studies. Participants of the study were informed about the objectives of the study emphasizing that the data will be used only for the intended academic purpose. The data was collected by employing various techniques with the consent of the participants of the study. Careful attention was given regarding respecting the rights, needs, and values of the study subjects, and maintaining confidentiality of the data and acknowledging sources of information.

CHAPTER FOUR

DATA PRESENTATION AND ANALYSIS

4.1. Introduction

This chapter presents the findings of the study. As much as possible the study findings were triangulated in order to cross-check the validity of the data and generate in-depth understanding of the issue under study. The chapter is divided into two major parts. The first one presents and analyzes results of the study on the factors that influenced the participation of the affected group participation in the redevelopment process. This part is organized into four sections of initiation of the project, the planning process, public consultation and institutional and organizational capacity of the project. The second part of this chapter deals with the opinions of the informants about the participation of the project from the government and affected groups. It is organized into five sections of coverage, demand responsiveness, efficiency, effectiveness and sustainability.

4.2. Project Context

The study area Senga Tera-Fird Bet I is located in Lideta Sub-city of Addis Ababa. Lideta Sub-city is one of the ten Sub-cities of Addis Ababa located in its central part with a total population of 235,441 (Addis Ababa City Administration 2010). The study area covers 26 hectare and was home for 1,070 households and up to 6,000 people living within them. The area has diverse housing tenure arrangement, 932 *Kebele* houses (public rental housing), 323 privately-owned houses and 55 housing administration houses. There were also 11 government and religious buildings on the site (French, Hegab 2011). The area was characterized by shortage of infrastructure; dilapidated houses that serve for more than 40 years without repair, shortage of kitchen and toilet, overcrowded house occupation, absence of sewerage lines and narrow access to the houses (Bizuneh 2010). In addition, high level of unemployment, poor quality of life and environmental hazards were also among the major challenges of the residents. However, the area like most other slums in Addis has a diversified income group lived side by side without segregation. Living in the area for long period of time the rich and poor had developed a strong network and they both are members of similar local associations (Fransen, Samson 2010).

The area is an intermediate urban land between the main city center and the biggest market place of the city, Markato according to the structural plan of the city (ORAAMP 2002). This was one of the reasons that made the area to be selected as pilot urban redevelopment project. A Local Development Plan (hereinafter LDP) was developed to guide the redevelopment. According to the new LDP the area will be a mixed use zone and allocated 8 ha for condominium housing that targets the middle class, 4 ha for commercial purposes, 5 ha for multi-use facilities, 3 ha for private home owners whose houses were demolished and the rest for infrastructure, social services and green space. So far 7.5 ha, 2.26 ha and 1.6 ha was transferred to housing agency for the construction of condominium housing, private developers and homeowners of the area who want to redevelop on the site (French, Hegab 2011).

Figure 4.1 Areal and Ground Photo of the Redevelopment Site before the Project



Source: Google Earth and Lideta Sub-city Communication Office, 2009

Figure 4.2 The Low Cost Condominiums Built on the Site (After the Project)

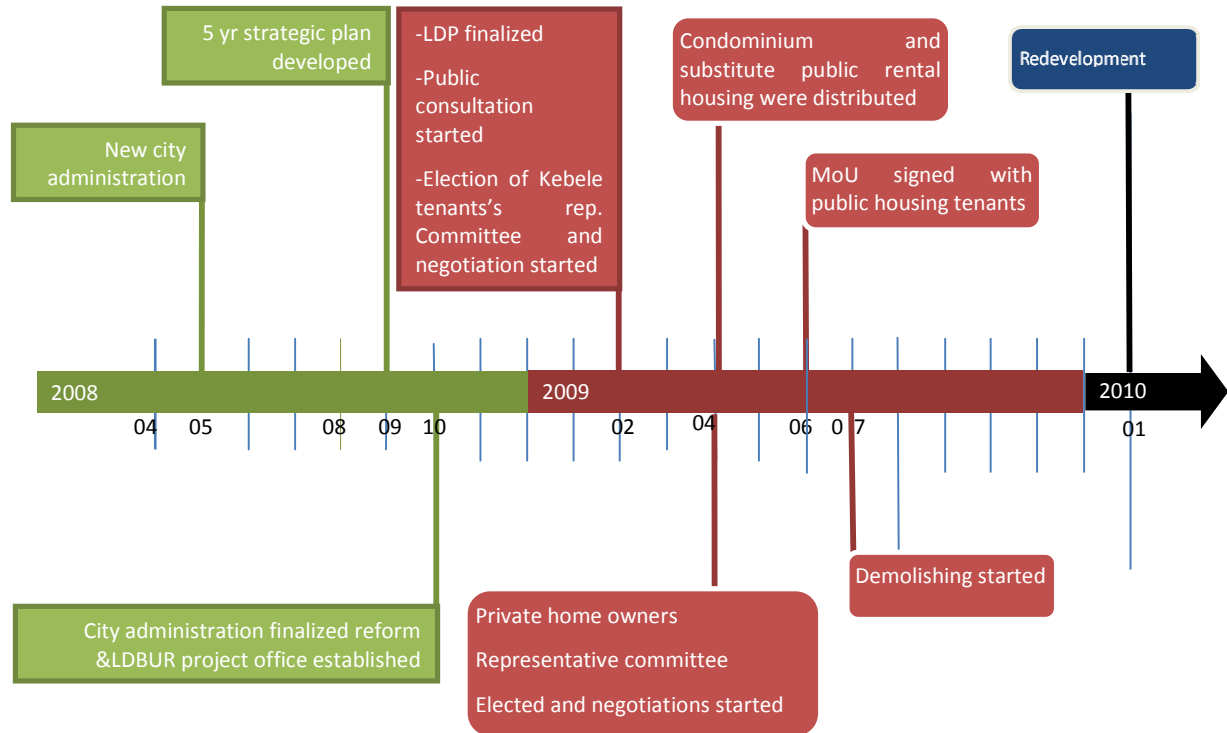


Source: Author

The project was initiated after the current City Administration got power in May 2008 and after developing a five year strategic plan and reorganizing itself in September and October 2009 respectively. Then the LDP was finalized in February and the consultation process started. On July, 2009 the demolishing process started and redevelopment was started in January, 2010. So far more than 80% of the low cost condominium construction project was finalized (see the

picture above), according to the head of Lideta Sub-city Housing Development Project Office. The following figure summarizes the timeline of the project.

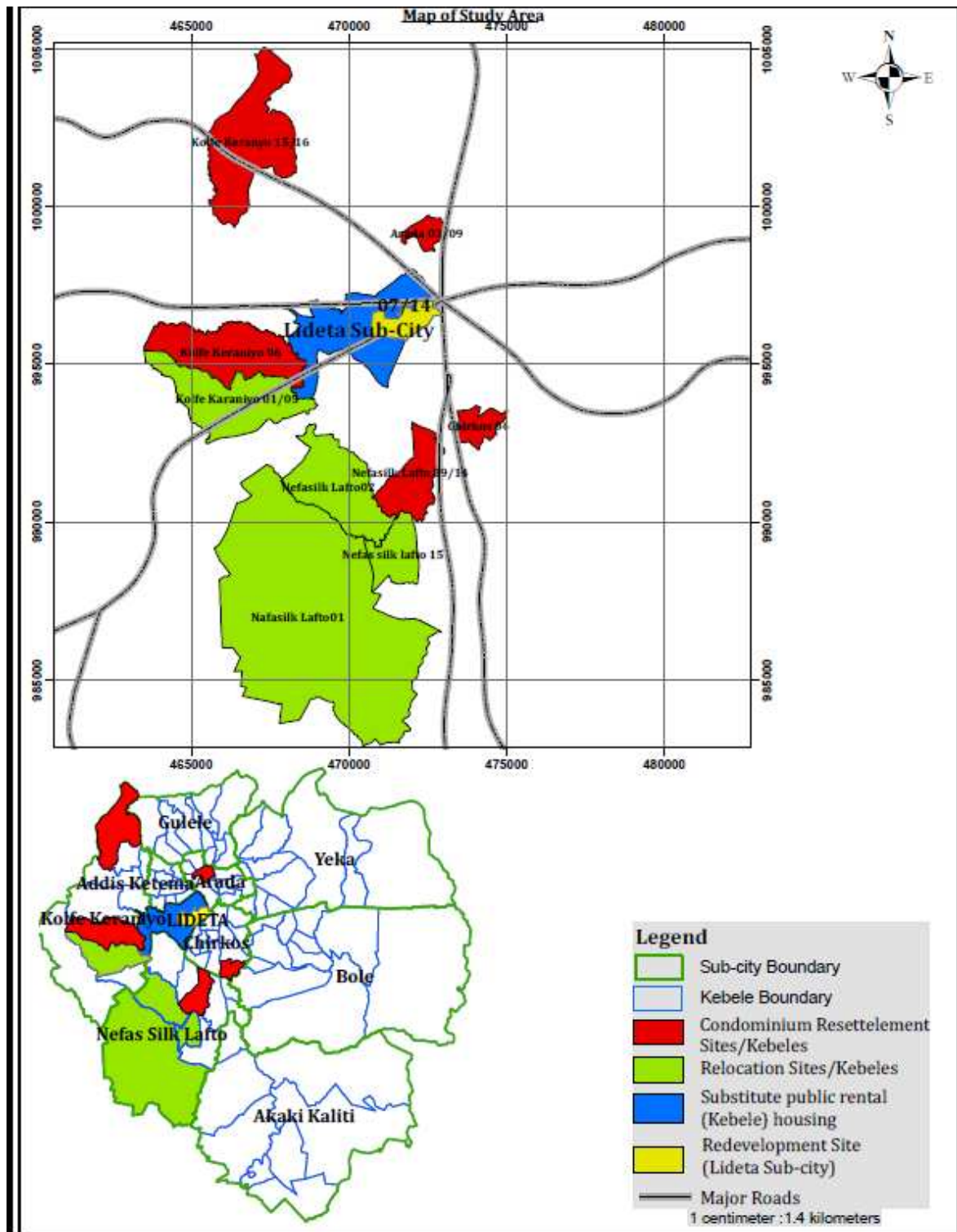
Figure 4.3 Timeline of the Project



Source: Developed by the author based on primary and secondary sources

The project resulted in resettlement of significant proportion of the former residents of the area. About 153 private homeowners were relocated to Nifas Silk-Lafto Sub-city District 01, 02 and 15, which is located about 5 kilometers away from the redevelopment area. The other six received substitute land in Kolfe Keraniyo Sub-city District 01/05 and one in Akaki-Kality Sub-city (Addis Ababa City Administration 2010). On the other hand 80 homeowners preferred to redevelop plots on the site according to the new building standard. A total of 1.6 ha was given for this group. In addition, 50 homeowners preferred to be resettled in government built condominium housing units. On the other hand, 890 public tenants have bought condominium housing with 20 years mortgage after paying 20% down payment. The majority of those who bought condominium housing went to Gofa (Nifas Silk Lafto 09/14) and Gotera (Chirkos 04) condominium sites, which is 5.3 km and 3.7 km away from the redevelopment site. Few also went to condominium sites located in Arada 03/09, Kolfe Keraniyo 15/16 and Kolfe Keraniyo 06. For 185 households who could not afford to pay the down payment another *Kebele* housing (public rental housing) was given within the same Sub-city (Addis Ababa City Administration 2010). The redevelopment and resettlement sites are displayed in the following map.

Figure 4.4 Redevelopment and Relocation Sites



Source: Developed by the Author

4.3. Factors that Influenced the Participation of Affected Groups

This section tries to explain the project organization and affected community organization factors that facilitated or constrained the participation process. It is mainly subdivided into five sub-sections. The first section will describe the initiation of the project followed by the institutional and organizational capacity of the project. The third section presents the planning process. Public consultation and affected group organization will be dealt in fourth and fifth sub-sections respectively.

4.3.1. Description of the Initiation of the Project

This section presents the immediate factors that led to the initiation of the project. The sub-section will try to explain the background of the project, the objectives and the political leadership of the project vis-à-vis the participation process. The background will be presented following this introduction proceeded by objectives and leadership of the project.

A. Background

The new City Administration led by EPRDF (Ethiopian People Revolutionary Democratic Party) that came to office winning the city council election held in April, 2008 prepared a five year strategic plan for the year 2008/09 to 2012/13. The vision of the strategic document is

To make Addis Ababa a city where there is social justice; a livable city; a model for good governance, development and democratic system building; strong African diplomatic center; worldwide competitive city and a middle income city by 2020.

Similarly the parts of the vision of the City Development Plan of 2001 to 2010 that guides the five year strategic plan is also to make the city

By 2010 ... Africa's diplomatic capital. The city will ensure a safe and clean environment for a healthy and productive society with improved access to social services and physical infrastructure ... As a diplomatic capital of Africa the city will provide quality services of international standard.

Nonetheless, the existing slums in the inner-city, which are results of haphazard development regardless of the city's Master plan, were identified as a setback to achieve the vision of city. According to the head of Land and Urban Renewal Projects Studies, Design, and Implementation Follow-up Sub Process, the City Development Plan has identified that 16,000 ha of the inner-city area as slums. The City Development Plan and the previous city governments also considered the precarious living conditions of the inner-city slums and its role in giving the city a bad image. However, the previous city governments had refrained from intervening to reconstruct the inner-city in an organized manner due to its huge resource requirement, political ramification and poor internal organization of the city government (Bizuneh 2010). Hence they emphasized land development and supply of underutilized agricultural land in the urban expansion areas and few vacant inner-city areas. However, land development in the outskirts of the city is costly and also the expansion areas start diminishing considering constant land area of the city (Bizuneh 2010). These together with the poor housing and living condition, and the bad image the city made the current city government to prioritize urban reconstruction, according to the government official informants of the study (Bizuneh 2010).

Based on its vision the Five Year Strategic Plan of 2008/09-2012/13 gave a direction for the immediate implementation of Local Development Plans (LDPs) prepared by the previous City Administrations for few strategic locations of the inner-city, according to the Structure Plan of Addis Ababa. It gave a priority for the reconstruction of the old and congested inner-city neighborhoods (Addis Ababa City Administration 2008). To operationalize the inner-city reconstruction of the city, the city administration mainly relied on two strategies developed by the ten years City Development Plan of 2001-2010, which is urban redevelopment and slum upgrading (ORAAMP 2002). According to head of Land and Urban Renewal Projects Studies, Design, and Implementation Follow-up Sub-Process 14,000 ha of the inner-city is dedicated for slum upgrading and 2,000 ha is planned to be demolished and redeveloped from scratch.

Against this background, the city government reformed its organization and established Land Development, Banking and Urban Renewal (hereinafter LDBUR) project office to spearhead the redevelopment process. Immediately after the establishment of the LDBUR project office in October 2008, it started to receive applications of redevelopment from different districts of the city. Most inner-city district administrations, which have high proportion of slum dwellers, were facilitating signing of a petition that demands on-site redevelopment of the area. The petition written in Amharic says *we need the government to demolish our neighborhood to reconstruct condominium housings for us, for the construction period we are willing to be resettled in a temporary shelter*. Accordingly, several petitions from many districts found in Arada, Lideta and Kirkos inner-city sub-cities were signed and submitted to the City government.

According to the Deputy City Manager and former LDBUR project office head, Senga Tera-Fird Bet I was selected because of several reasons. The first one was there was an already developed Local Development Plan for the area. Second it is strategically located next to the main business district of the city and the city center. The third one was other candidate districts proposed a site for redevelopment which is close to 40 hectares; however, the site understudy was only 26 ha that the City Administration found easy to manage. With these background the Senga Tera-Fird Bet I redevelopment project was selected as a pilot project to gain lesson on urban redevelopment in Addis and to upscale it to the City level.

B. Objectives of the Project

According to the government officials the researcher interviewed and secondary materials reviewed, the urban redevelopment project has a purpose of improving the living and housing condition of the inhabitants of slum areas, maintaining sustainable land management and supply system, improving the spatial and physical image of the city. However, the last two purposes were emphasized by the city officials during the interview and in the public consultations. In the interview the government officials were stressing on how these areas are an eyesore and need to be revitalized. In addition, in the public consultation the Sub-city officials were justifying the project by mentioning that the city is a seat of African Union Commission and need to be more attractive and they were demanding the people to sacrifice for the good of the next generation. Particularly the city is striving to maintain its diplomatic centrality that it has in the post-colonial African history. In response to change the bad perception that outsiders have about Addis Ababa, the City Administration is committed to redevelop the inner-city to make it more attractive and actual diplomatic capital of Africa (Addis Ababa City Administration 2008).

In addition, about 70% of the houses located in the inner city are government owned (ORAAMP 2000). These houses, which are commonly known as *Kebele* houses are generally single storey mud and wood construction, and are found in a dilapidated condition due to their poor construction and poor maintenance (Elias Yitbarek 2008, UN-Habitat 2007). Except from the extremely low (less than USD 6.00 a month) house rent, the city administration is not benefiting from huge chunks of inner-city land, which is underdeveloped. In the well planned parts of the city outside the Central District, a square meter of land is being leased up to USD 1,569.06 per square meter (Hadra Ahmed 2011). During the public consultations the Lideta Sub-city Manager was also emphasizing how land lease prices are escalating in the City while convincing the house owners to redevelop on the site. Therefore, according to the former LDBUR project office head, the City Administration has also the objective of tapping the underutilized inner-city land through densification.

Furthermore, during the post 2005 election violence the inner-city slum areas were the major locations where the ruling party faced severe opposition. Many (Wondwossen Teshome 2009) youngsters from these areas, protesting the then election results, went to the streets and engaged in a violent action that cost a life of close to 200 people nation-wide (Wondwossen Teshome 2009). The government believes that the reason for the then election violence was *vote of protest* due to the *wide spread poverty and unemployment* (Wondwossen Teshome 2009). Hence, two of the key informants of the study stated that the redevelopment project has an implicit political agenda of dissolving pockets of resistance by dispersing the residents. However, the researcher was not able to validate this information from the government officials or other sources.

4.3.2. Institutional and Organizational Capacity of the Project

This section sheds light the legal and policy framework and organizational arrangement of the project implementation. It is organized in three sub-sections. The first section presents the institutional and policy framework that affect affected group participation. The second sub-section describes the organizational arrangement of the project office. The third section analyzes the decentralized decision making power of different tiers of the City Administration.

A. Legal and Policy Framework

The nation is guided by a constitution that assures its citizens right *to be consulted with respect to policies and projects affecting their community* (Ethiopia 1994). The same constitution states that *the government has the duty to hold the land on behalf of the people*. These provisions were the one of the legal obligations that made the City Administration to consult the public and undertook the redevelopment project on their behalf.

In addition, the constitution's article 44 sub- article 2 stipulates that

All persons who have been displaced or whose livelihoods have been adversely affected as a result of State programmes have the right to commensurate monetary or alternative means of compensation, including relocation with adequate State assistance.

The country has also ratified and adopted Universal Declaration of Human Rights (UDHR); International Covenant for Economic, Social and Cultural Rights (ICESCR) that prescribe avoidance of forced eviction and proper participation of the affected group in planning and implementation of development induced resettlement.

However, as the section 4.4.5 shows, there was no proper resettlement planning that would re-establish the affected group's livelihood in the new settlement, other than giving alternative land or house showing lack of political will to translate these legal prescriptions. In addition, two of the informants of the study were forced to be evicted by the Sub-city authorities through cutting electricity and water supply. Furthermore, a UN-Habitat study also revealed that few residents, who moved into condominium housing, were forced to leave the area before they did the finishing work of their new apartment in the same manner (French, Hegab 2011). This shows that there was lack of political will to translate the legal provisions.

On the other hand the Expropriation of Land for Public Purposes Proclamation No. 455/2005 does not mention participation of displaced community in resettlement planning. This proclamation provides that cash *compensation ... may not, in any way, be less than the current cost of constructing a single room low cost house and the cost of removal, transportation and erection shall be paid as compensation* (F.D.R.E 2005). However, a cash compensation of USD 2,701.5 was given while the minimum government constructed studio housing unit costs USD 10,806.00 showing lack of implementation of the law. In addition, the project did not pay removal and transportation cost for the residents though their representative committee demanded it. This is also another failure by the City government to properly translate the legal provisions of the land.

Although there is no specific policy towards urban redevelopment, the Federal Urban Housing Development Policy emphasizes the demolishing and redevelopment based on new plan of the inner-city dilapidated slum areas giving particular emphasis to low-cost housing. The policy stipulates the need for affected group participation in planning and implementation of inner-city slum redevelopment in a way to benefit the majority. Furthermore, the policy recommends on-site resettlement of residents of the redevelopment either on the low cost house built by the government or by organizing them into housing cooperative (Ministry of Works and Urban Development 2009). Though the project was guided by this policy the focus given to the on-site resettlement was weak as evidenced by the resettlement of the huge majority of the residents in other areas.

On the other hand there is no urban redevelopment strategy on the Federal or City level. According to the former LDBUR project office head and Citiesalliance Regional advisor, Citiesalliance has offered to commission the development of a strategy to guide the urban redevelopment project. However, the former LDBUR head stated that they were not interested by the offer since it focuses on the soft aspect of the project. As to him the City Administration prefers a support on physical implementation of the project, hence the amount of money spent on development of a strategy is waste of limited resource and only benefits the consultants who develops it. City government influenced by this belief went ahead with this project by its own after reforming its organization and developing an in-house redevelopment manual. However, this manual was not discussed and owned by other relevant development partners. Due to this the project is only owned and ran by the City Government only, unlike other similar projects worldwide. It had only two partners in its implementation, these are the Union of Ethiopian Women Charitable Associations (UEWCA) and Addis Credit and Saving Institution. The later is a micro finance institution established by the City Government with its autonomy. On the other hand the reason that the consortium of NGO come up to help was not due to the City

government's invitation to involve rather it was because the director of the consortium used to work in the municipality and got her Masters Degree in Housing, according to her.

This will compromise the project's ability in re-housing the poorest section of the society considering the limited amount of resource the City Administration have. This is why about 185 people were relocated to other similar dilapidated house since they cannot afford to buy the condominium housings. In addition, lack of involvement of other partners particularly NGOs would have increased the communities bargaining power and would support their mobilization in defense of their interest, as evidenced in the Mumbai railway resettlement case discussed in the literature review (Patel 2002).

On top of the abovementioned legal documents the project was also guided by the ten years City Development Plan (2001-2010) and the Five Years Strategic Development Plan (2008-2013) of the City. The former one provides 2000 ha of the inner-city needs be redeveloped and an LDP need to be developed to guide the redevelopment by participating the affected community and other stakeholders. However, the participation of the affected community in the development of the LDP was limited to providing of information providing during the survey. The Five year Strategic Development Plan also gives direction for public participation in development implementation in general. However, it does not specifically emphasize the participation of the slum dwellers in the redevelopment process, except mentioning the importance of transferring of Kebele tenants (public housing tenants) who are living in a dilapidated housing into condominium housing unit. Nevertheless, in the project implementation not all public housing tenants were transferred to low cost condominium housing.

Apart from lack of a strategy the redevelopment process had not a guideline developed based on the Federal and the City proclamations, policies and plans to direct the implementation of the project. The whole project was guided by a circular signed by the City Manager and the Urban Redevelopment Manual. These circulars include Revised Guide for Compensation for Expropriation of Land for Public Purposes 2/2001, Substitute Land Distribution Guide and Guide to Incorporate Commercial Premise Renters from the Government in the Urban Redevelopment. There were times that the circulars changes from time to time which resulted in lack of consistency during the project implementation. Even there were times where individuals were asked to refund cash already disbursed to them due to a change in the circular, according to the LDBUR process owner of Lideta Sub-city.

The absence of guideline has also played a positive contribution for responding to the public demand. The circulars and the implementation manuals were not exhaustive enough to guide the project. In cases when the residents demand something, which was not provided in either document, the Sub-city officials used to respond considering the situation in consultation with the higher City officials. A good case in point here is giving housing for dependents who have established family under the same roof with their parents. The Sub-city officials decided to do this considering the public demand and there was no provision that allows or prohibits this in the circulars. However, learning from the mismanagement of this opportunity by the District administration and the residents, in the Urban Redevelopment Guideline developed after the implementation of the project provision of separate housing for dependants was prohibited. Another good example can be the case of commercial premise renters from government. They were not in the first plan of the project were considered, however, after their representative

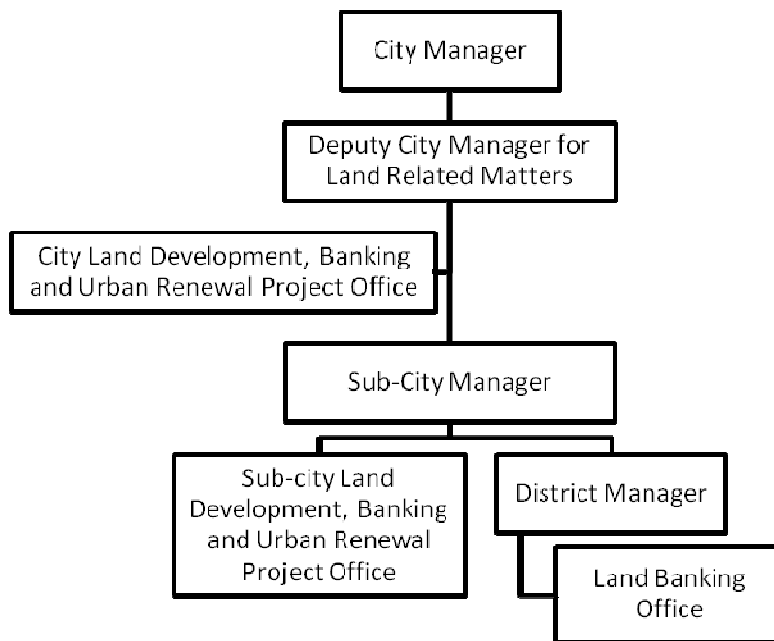
convinced the City Manager new circular was sent to the Sub-city allowing them to acquire plots to construct commercial centers in groups. Therefore, it can be said that lack of detailed guideline has also an advantage of making the project flexible. Overall the City government has used this pilot project pretest its draft urban renewal guideline. The project has contributed a lot in drafting Compensation Estimation, Substitute Land and Housing Provision Guideline No. 3/2010 which was approved by the City Cabinet in August, 2010.

B. Project Organization

The new City Administration after taking office in May 28, 2008 engaged in restructuring of the organization of the City Administration using the principles of Business Process Engineering (BPR). Based on the restructuring process three offices were established to undertake land related development and administration that report to the Deputy City Manager responsible for land related issues at the City level. These offices are Land Administration and Construction Permit responsible for land administration, transferring and giving construction permit. The second one is Urban Information and Plan Institute, responsible for the management of land related information and development of Local Development Plans. The third one is formerly known as Land Development, Banking and Residents Resettlement now renamed as Land Development, Banking and Urban Renewal Project Office, responsible for 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. Similar organizations were created at the Sub-City and District level reporting to the Managers of respective administration.

It is the Urban Development, Banking and Urban Renewal Project Office at the City and Sub-city level is mainly responsible for the urban redevelopment projects of the City. The Project Office is organized into two sub-processes; these are compensation, substitute land and housing provision and boundary demarcation sub-process and land development, banking and transfer sub-process at both City and Sub-city level. The former sub-process is responsible for facilitating moving of residents of an area needed for public purpose by paying compensation and arranging substitute land or housing. In addition, they are also responsible for clearing a site for infrastructural service provision and transferring serviced land to Land Administration and Construction Permit Authority for new development or redevelopment after receiving necessary payment. The land development, banking and transfer sub-process is responsible for identifying areas for urban redevelopment, servicing land and transferring to Land Administration, and identifying and recording unregistered public lands.

Figure 4.5 Project Office Organization



Source: Developed by the Author based an interview and secondary documents

The City level project office is responsible for urban redevelopment in Sub-cities where there is more than one project, land development that involve an area of more than 100 ha and urban redevelopment projects goes beyond the jurisdiction of one Sub-city while the Sub-city project office is responsible for one urban redevelopment project per annum (Land Development, Banking and Urban Renewal Project Office 2009). At District level the project office is responsible for policing banked land. In addition, during the project the District was responsible for identifying dependants that deserve separate housing and identifying vacant public rental housing. Therefore, the organization of the project office takes the form of mechanistic stable model, according to (Burns, Stalker 1966; 1961) due to its structured nature and routinized stability.

Specifically with this project the major implementing body was the Sub-city Land Development, Banking and Urban Renewal (LDBUR) Project Office and the Sub-city Administration. The city level LDBUR project office was responsible for facilitating the provision of substitute housing and land in other Sub-cities, according to the former head of the office. The Sub-city LDBUR project office is responsible for the payment of compensation, clearing the area, negotiation with the residents’ representative committees. On the other hand the Sub-city administration is responsible for the public communication and overall management of the project. In order to execute the responsibility of the project office has recruited 28 employees in December, 2008 out of the 34 needed, according to the process owner. These employees are composed of fresh graduates in the fields of civil engineering, accounting, economics, law and other social sciences. However, according to the former Sub-city project office head, there were some staff working in positions that are unrelated with their academic background due to shortage of relevant professionals. Before they embark on the project, they were trained on how to run the

redevelopment project for only two days. Although training was not sufficient enough the employees were able to gain experience by doing as per the circulars and manual according to the Sub-city officials. It was only one employee who was transferred due to lack of communication skill and only 6 houses were over or under estimated for compensation, which shows their good performance technically.

The process owner of the project office failed to make changes suggested by private homeowners on the MoU sample formant prepared centrally. This, according to him, was mainly because he has not the mandate to do so. Due to this the negotiation process between the private homeowners and the project office was discontinued. They started negotiating with the Sub-city officials which have better decision making power. On the other hand the key informants that I talked to from the affected group have revealed that one of the project office staff used to mistreat them even sometimes insult them. One of the key informants, who is living with HIV/AIDS virus said that she went to the project office to ask the office to give her another public rental house since the one they gave her has an open sewerage passes through the house. In order to make her case she mentioned that she lives with HIV/AIDS virus, one of the project staff now transferred to the other office, respond to her that *he does not mind for a disease that she brought due to her promiscuous behavior*. Another key informant who was relocated to other public rental house also mentioned that this officer did not even listen to their concerns and when they go to the Sub-city officials they referred them to him. Therefore, with regard to responding to the public demand and negotiation, it can be said that few of the project officers at the time were less equipped in their attitude and decision making power to work with the residents, as it was revealed in the interviews with key informants form the former residents. In addition, the Sub-city was also slow to take action to penalize the misconduct of the staff member.

C. Political Leadership

Since the pilot project was a pioneer endeavor to redevelop the city and an undertaking to gain experience for further redevelopment mission, the City Administration gave emphasis to the project. The pilot project was also a showcase for the general public at large to gain their support for further redevelopment endeavors planned in different inner-city slums of the City. According to the former LDBUR project office head,

the Senga Tera-Fird Bet I pilot project was 'a must succeed project'. It was considered as a political mission for the party, which is governing the City, and all executives from top to bottom including the Mayor and the City Manager were instructed to work for the successful implementation of the project. We believed that if we fail in this project we would not able to redevelop other parts of the city, and if we succeed it would be easier for the future redevelopment schemes. Hence, the project both at the City and Sub-city level was led by political leaders. [By political leaders it means that elected or appointed personnel who hold public office and are members of the ruling party.]

In order to oversee the smooth running of the project a high level executive committee was established from the City and Sub-city Administration. The members of these committee were the Mayor, the City Manager, Head of LDBUR project office, Head of Design, Construction and Administration Development Office and Housing Development Agency of the City; and Chief Executive, Manager and Public Relation Advisor of Lideta Sub-city. This committee used to

meet once a week or once in two week and listened to the progress of the project and used to give direction for future implementation. In addition, the then City Manager used to receive reports every three days and used to give guidance on the course of the project.

According to the former LDBUR project office head, *the then City Manager had 'owned' the project [Senga Tera-Fird Bet I pilot project] as his brainchild and used to monitor and steer its implementation.* The then City Manager can be said the main driver of the project. Most of the Circulars that guide the pilot project were signed by him. He was also the one who was making final critical decisions, according to the Sub-city officials. The circular signed by him that allows commercial premise renters from government to acquire plot of land with the minimum lease price is good evidence. The circular reads *based on the suggestion of the Land Administration and Construction Authority head and LDBUR project office head, we decided the commercial premise renters from the government are entitled to get plot of land for construction.* He also has attended the third round public consultation with private house owners. Furthermore, the Sub-city officials revealed that the higher level City officials, particularly the then City Manager, were behind the affected group participation in a sense that every time a reasonable demand came from the public they used to respond to the public's demand in consultation with the higher City officials. However, this is not always the case. According to one of the study's informant who was transferred to another public housing found in a dilapidated condition, the Sub-city and City administration was not able to respond to the some public housing tenants' demand of paying the down payment of the condominium housing in different installments.

In addition, the Mayor was also highly involved in the project, particularly in steering the necessary support for the project from the utility companies that report to the Federal government of Ethiopia. A good illustration of his effort is facilitation of the installation of electric power for the condominium housings of the relocatees before they leave their settlement, according to the former LDBUR project office head. Similarly on the Sub-city level the project was led by the political leaders, i.e. the Sub-city Chief Executive, the then Sub-city Manager and Public Relation Advisor to the Chief Executive. According to the Sub-city Manager and Chief Executive, employees of the Sub-city and officials of the District were banned from giving public announcement or press release about the project. It was only the Sub-city political leaders responsible for public communication about the project. This, according to the two informants, is in order to give the public the correct information about the project from the people who run the project. This implies that the project was owned and run by these political figures at Sub-city level. It was these three officials who were leading the public consultation and the negotiation with the private house owners' committee. Based on the interaction with the public and other actors they used to decide on the course of the project or suggest ideas to the City Manager for decision on critical issues as the primary and secondary sources of the study revealed.

Particularly the actual implementation of the project had fallen on the shoulder of the then Sub-city manager supported by the Land Development, Banking and Urban Renewal Process Office of the Sub-city that reports to him. He was the one who was preparing the plan for the public consultation and redevelopment process, and the one coordinating its implementation, according to his subordinates and former LDBUR project office head. The District manager emphasized that the then Sub-city manager used to spend much of his time on the site in identifying households, which have problems and used to give direction to the District how to solve their problem.

D. Decentralized Decision Making Power of the Sub-City

The Sub-city was given the mission to accomplish the project successfully to this end its administration was given with the autonomy to design the detailed implementation planning of the project and run the public consultation under the framework of the implementation manual and the circulars. Using this relative autonomy the Sub-city administration has decided to give separate housing for dependants living with their parents, facilitate the empowerment of 134 women to own and pay mortgage for their housing, allowing the youth group to demolish the public rental housings and selling back of the private housings to their owners with minimum price in order for them to benefit from its demolishing. However, in deciding all this matters the Sub-city administration needed to get the green light from the higher City officials, according to the Sub-city officials. As it is discussed in section 4.3.1 the higher City officials, particularly the City Manger used to follow-up the project closely; hence getting the go-head was not difficult.

With regards to the finance of the project it was the City that had the decision making power over resources. The Sub-city did not have any say about resource allocation. The revision of the compensation estimate was made by the City Administration upon the recommendation of the Sub-city officials. A total of ETB 140,000,000.00 (USD 11,116,000.00 at the then exchange rate) total compensation payment was approved by the City Cabinet on behalf of the City Council, according to the former LDBUR project office head.

4.3.3. The Planning Process

This section presents the Local Development Plan (LDP) of the site, its planning process and emphasis of the resident participation. It is organized into three sections. The first section presents the Local Development Plan (LDP) of the redevelopment site. The second sub-section explains the planning process and the role of the community. The final section tries to analyze the emphasis and motive of the participatory planning in the project.

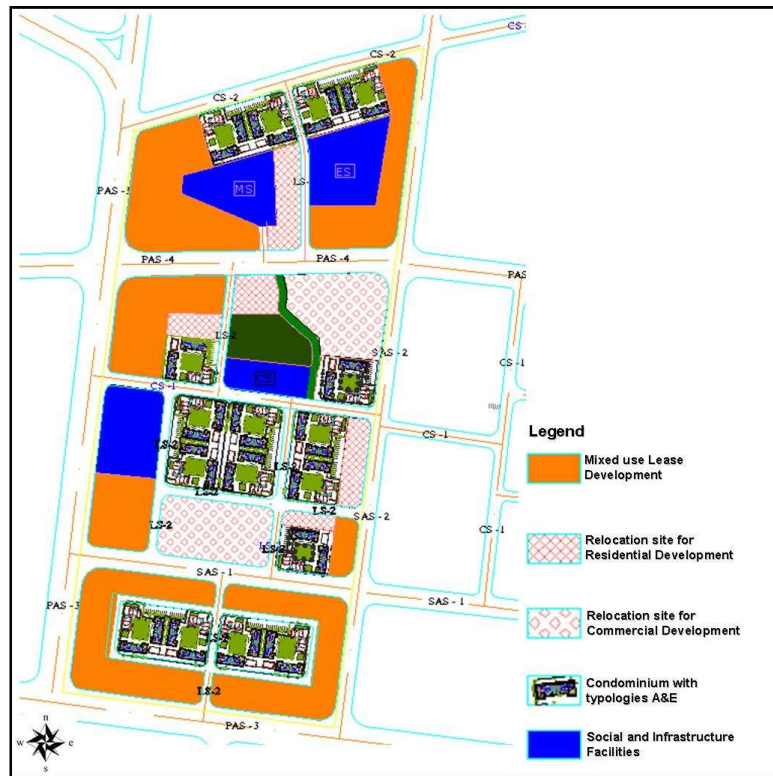
A. The Local Development Plan

The Local Development Plan of the area covers 26 ha of land found bordered by Dej Azmach Bekele Weya Street in the West, Chad Street in the South and Sao Tome, Principe Street in the North and an unnamed street in the North. The main LDP concept is

an integrated physical, socio-economic and environmental development through acquisition of urban land in the quest for public purpose, [with the objectives of] improving dwelling housing for the poor, facilitating access to basic services and utilities, supporting the local economic development and creating clean environment (Urban Information and Plan Institute 2009).

The LDP details the proposed land use of the area. Accordingly, 9.06 ha, 5.09 ha, 2.78 ha and 0.59 ha of land was allotted for condominium housing, mixed use lease development, social service facilities and to private homeowners whose houses had to be demolished. The detail land use plan is shown in the following figure.

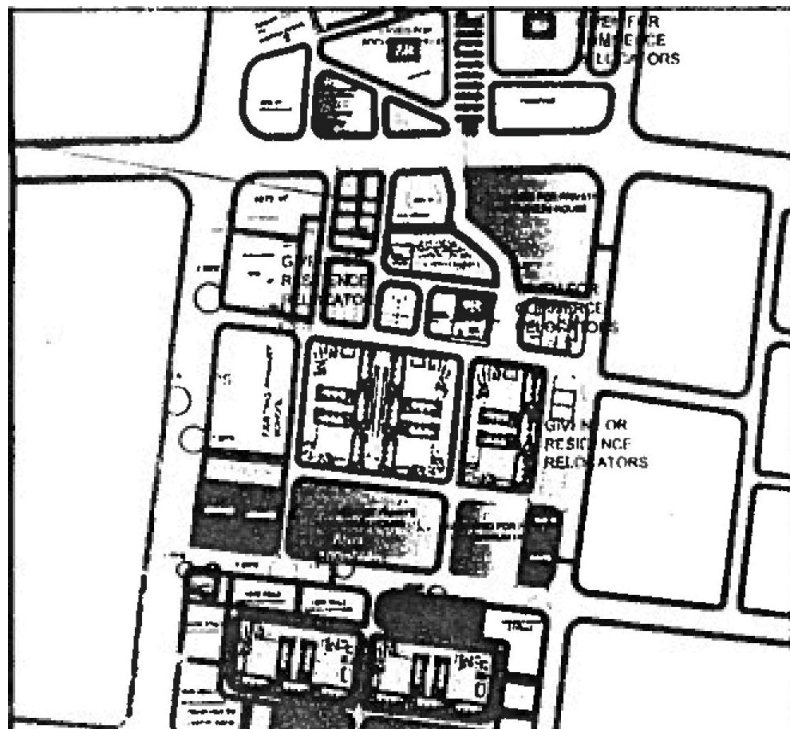
Figure 4.6 The First Draft LDP



Source: Urban Information and Plan Institute, 2009

The LDP also defines the road hierarchy, building setback, building regulation sample neighborhood and overall design of the site. The LDP implementation strategy was the redevelopment of the area by temporary resettling the public housing (*Kebele*) tenants and resettling them back permanently in the condominium housing to be built on the site. It also gave opportunity for the private house owners to buy condominium houses on the site, land to build their house on the site and an arrangement of land compensation in the expansion area based on their preference revealed in the survey (Urban Information and Plan Institute 2009). It also prescribes the condominium houses to be sold to public house tenants who can afford to pay the down payment and suggested public-private-NGO partnership to enable those who could not afford to pay the down payment for the condominium houses to enable them to own a descent house. It also gave direction for the leasing out of the area dedicated for mixed use for the private sector (Urban Information and Plan Institute 2009).

Figure 4.7 The Final Version of the LDP



Source: AACA-LDBUR project office, 2010

The LDP was improved several times after considering its limitation during implementation. According, the current LDBUR process owner at the Lideta Sub-city the City Urban Information and Plan Institute has made several improvements based on the recommendation of the Sub-city. One among the few changes made was the land allocated for private home owners whose houses were demolished and wanted to rebuild in the site was 0.59 ha assuming that few people are willing to rebuild their houses on the site understudy. However, more than 80 people chose to rebuild their house in that area, therefore, based on the recommendation of the Sub-city the institute has to make change the land allocated for this purpose from 0.59 ha to 1.6 ha Addis Ababa City Administration 2010).

B. Preparation of the Plan

According to the Addis Ababa City Development Plan a Local Development Plans (LDPs)

are instruments for implementation of the long-term vision of Addis Ababa embodied in the Structure Plan ...[and] ... focus on areas of the city designated as strategic investment areas. [Its] main aim is to give a set of physical and social guidelines, rules and regulations for the development of a specific locality (ORAAMP 2002).

As mentioned in the previous section, there was an already developed Local Development Plan (LDP) that includes the area understudy, since the area is strategically located next to the city center and is the close to the financial hub of the City. The LDP was among the 44 LDPs developed by the Arkebe Oqubay's administration (2002-2005) in 2005 titled Senga Tera-Fird Bet Local Development Plan. However, the administration failed to implement the Plan since they lost the City Council election held in May 7, 2005, according to former head of the Addis

Ababa Urban Information and Plan Institute. The former LDP covers a vast chunk of land that extends from the main financial district around the National Bank of Ethiopia to the Federal Higher Court. According to the former Urban Plan and Information Institute head of the City, the former LDP was developed based on information collected from residents of the area and validating workshop was conducted to further improve the Plan based on the inputs from public.

After the site was selected to be the pilot project for the urban redevelopment endeavor of the City, experts of the Urban Land and Information Institute took 26 ha parcel of the land from the bigger LDP and start revising it. Since the plan was outdated they were forced to undertake a survey in order to know the demographic, economic, housing and preference of the residents of the area. The survey questionnaire was decided to be filled and signed by the household heads. However, key informants from the affected group revealed that the questionnaires were not filled properly recalling their experience in filling it. The committee member of the private house owners revealed that some of the questionnaires were filled by children in the household or someone else who was not in the position to give sufficient and reliable information. The former LDBUR process owner during the implementation of the project also believes that many of the respondents of the survey questionnaire were not household heads. In addition, the total number of households that the survey find out were 1070, however, during the resettlement process it was found out that 1343 number of households that were actually living in the area. Furthermore, the survey did not cover all the residents in the area as it was supposed to. As the researcher noticed from the video tapes of the public consultation, some of the residents were surprised when the findings were presented in the public consultation even some of them have not heard of the survey at all.

Although as mentioned above the survey did not cover the entire households living in the area and not all its sources of information were not the household heads; it came up with some interesting insights about the conditions and needs of the residents. At least it have showed that about 55.5% of the residents of the area earns a monthly income of less than USD 77.4 at the then exchange rate (ETB 1= USD 0.10320) and 64% of them have not any saving. In addition it revealed that about 81.4% have expressed their willingness to participate in the on-site redevelopment project and out of these 79% expressed their willingness to be temporarily settle in the public provided temporary shelters during the redevelopment of the site (Urban Information and Plan Institute 2009). Although this study was questioned by some of my informants including the government officials, it shed some the light on how the residents supported redevelopment of the area and on-site resettlement.

After collecting the data collected through the survey, the planners at the Urban Information and Plan Institute developed the Local Development Plan. The former head of the Institute made it clear that there was no any public or stakeholder direct involvement in the planning process except the survey. It can be said that the planners had a strictly technical role of producing a plan based on one way collection of information from the public without validating it in a public forum. One of the key principles of the LDP is participation of stakeholders to determine the local needs and goals, particularly the residents of the locality (ORAAMP 2002). In addition, the LDP development manual of the Ministry of Work and Urban Development stipulates that *relevant stakeholder participation in agenda setting, LDP development and approval* (Ministry of Works and Urban Development 2006). However, in this case participation of the residents were limited to information giving without making sure that their views and needs are

considered. This is why the implementation of the project slightly differed from what many residents preferred. The majority of the residents including the private house owners preferred on the on-site redevelopment of the area, according to the survey and the petition.

Contrary to the proposal of the Local Development Plan the implementation of the project, on-site resettlement was given little attention. Resettlement of residents on the condominium houses to be built on the area was one option given to residents in the implementation plan of the project. However, according to the public housing tenants' committee member, given the lack of trust by the public towards the government in keeping their promises and less effort done by the government in overcoming it, on-site resettlement was the less preferred option. Only 4 residents chose to be resettled on the condominiums under construction, according to the then Sub-city Manager. Similarly for the private homeowners they were given an option to re-build their house on the site individually or in group depending on the plots they had. However, the land compensation that was given for them on the site is less than the land they would receive in expansion area (for details see Annex V). In addition, they were expected to build a minimum of three storey house (ACA-LDBUR project office 2010). Hence, these have made the on-site resettlement to the house owners less attractive, according to the private house owners' committee secretary. It is only 80 households who are re-building their house on the site out of 289 private homeowners. Therefore, the final version of the plan and its implementation is slightly different from needs of the residents in the survey. This might be attributed to the lack of mechanism put in place to ensure the demands of the residents in the process of planning and translating it into action.

C. Motive and Emphasis for Participatory Planning

The City Development Plan of Addis Ababa emphasizes active involvement of residents and other stakeholders in identifying their needs and the goals of the plan (ORAAMP 2002). However, there was no active leadership to actually translate this into action other than collecting information from the residents through survey. On the other hand involvement of residents on initiating and implementing urban redevelopment projects were emphasized on the implementation manual developed by the LDBUR project office (Land Development, Banking and Urban Renewal Project Office 2009). Accordingly, with regard to the participation in the initiation of the project a petition for on-site redevelopment was signed by the residents of the site under study and a survey was conducted to assess the preference of the public for the redevelopment. Although both the petition and the survey finding revealed that the overwhelming majority of public wanted the redevelopment project with on-site resettlement, the implementation of the project was inclined to relocation to other places making on-site resettlement the less preferred option, according to secondary materials and the interview with key informants from the affected group.

The urban redevelopment manual also emphasizes public consultation on the implementation of the project. To this end the amount of time allotted in the manual was only 45 days for convincing the public and demolishing the area to make it ready for redevelopment, according to the public officials interviewed. The shortness of the period for public consultation indicates that little emphasis given for public participation in the beginning. However, since there was a strong commitment by the Sub-city and City official not to kick start the project without convincing the

public, the process took more than 11 months. Therefore, it can be said that there was strong emphasis and leadership towards convincing the public for the redevelopment.

The urban redevelopment implementation manual in its section about public consultation says *for redevelopment areas ... it is important to consult the residents in order to give them awareness about the project involve and support the project* (Land Development, Banking and Urban Renewal Project Office 2009). In addition, all the public officials I interviewed revealed that the main purpose of the public consultation is to give the proper information about the project and convince them to be part of the project. The public officials described the public consultation as forum for persuading the residents to be part of the projects. The common phrase the Sub-city officials used to mention time and again during the public consultations was *all the public should be convinced to kick start the redevelopment project* as it was noted from the public consultation video tapes.

The officials were trying to convince the public by giving them several options and promising them they will be better off in the new settlement. One of the informants of the study who was relocated to an expansion area stated that *the Sub-city officials filled them with empty promises about the relocation site and when they actually go to the relocation site the land was poorly serviced and too far from the city center*. Although they also mentioned that the public has the right to oppose the redevelopment, in the same forum they were labeling those who opposes as those who get improper benefit by sub-letting the public house at higher prices. Therefore, we can say that the major motivation of the public consultation on the implementation of the project was to convince the public and as an instrument for implementation efficiency by mobilizing support from affected group.

4.3.4. Public Consultations

Following the finalization of the LDP, the Lideta Sub-city Administration called a four public consultation in February, 2009 in order to inform the residents that their place of residence is going to be redeveloped and to convince them to support the project. The administration called the public for consultation by dividing them into two groups by their home ownership status, since the public housing tenants and private homeowners have different interests. The invitation letter was dispatched to each household in the area to be demolished; however, some of them received the invitation letter one day before the public consultation, according to the key informants from the affected group. However, the turnout was high according to the minutes and the video tapes of the public consultations. The following sections will present the different consultations conducted before the start of the redevelopment project, based on the minutes and the video of the public consultation and the in-depth interview with the informants of the study. The section is sub-divided into three sections of consultation with public housing tenants, consultation with private homeowners and achievements of the consultations.

A. Consultations with Public Housing Tenants

In the first consultation with the public housing tenants about 743 participants, out of 987 total public housing tenants, have attended the meeting divided into two forums (Lideta Sub-city LDBUR project office 2009e, Lideta Sub-city LDBUR project office 2009c). Both consultations was led by the City Deputy Manager, LDBUR project office head, Lideta Sub-city Chief Executive, Lideta Sub-city Chief Manager and Public Relation Advisor to the Sub-city Chief

Executive (ibid). These are the most important political leaders who were directly responsible for the implementation of the project. The officials described how the area is old, dilapidated and decayed; hence need to be renewed for the sake of improving the housing condition of the residents and to give the City a better image (ibid). They gave the public housing tenants three options. The first option is buying the condominium housing units built by the government in other parts of the City with twenty years mortgage by paying 20% down payment if they can afford. The second option provided was buying condominium housing units which will be constructed on the site with similar buying arrangement and being temporary sheltered in the housing units that the government offers during the reconstruction period. The third option was to be relocated to other public housing unit (Kebele housing unit) within the Sub-city, if they cannot afford to buy condominium housing units (Lideta Sub-city LDBUR project office 2009e, Lideta Sub-city LDBUR project office 2009c, Lideta Sub-city Communication Office 2009f).

At that time the public has already heard that the area will be demolished within 45 days unofficially, according to the informants who were members of the residents' representative committee. According to the Sub-city chief executive the residents also heard a rumor that the area has been sold to investors before coming to the public consultation. The idea of relocating from the area where they grew up established a family and made a living within short notice without having no clue where to go have shocked the residents as the researcher learned from the video tapes of the public consultation. Most of the residents have reacted to the idea of redevelopment with an aggressive tone (Lideta Sub-city Communication Office 2009f). According to the Lideta Su-city Chief Executive one women has said *when you come to demolish the area with machine gun; we will wait you with cutlass*. Other speakers said that the urban image or the fact that Addis Ababa is a diplomatic capital of the continent does not concern them; they made it clear that they were born and raised in the area hence they do not want to leave the area. In addition, they added that if there is any development coming to the area, it should not have to come to develop the physical image of the area rather it should have to target the people who live in the shanty houses (Lideta Sub-city Communication Office 2009f).

The other important issue raised in the first public consultation was the inability of most of the residents to pay the down payment for the government built condominium housing units, in which the minimum was USD 603.34 at the then exchange rate (Lideta Sub-city LDBUR project office 2009e, Lideta Sub-city LDBUR project office 2009c, Lideta Sub-city Communication Office 2009f). According to the survey conducted before the development of the LDP revealed that 55.5% of the households used to earn below USD 67.5 and 64% of them did not have any saving (Urban Information and Plan Institute 2009). Many speakers made it clear that the area for them is a source of livelihood; they also have an established social network (neighbors who are almost like family, iddir- a social support group, RoSCAs, religious groups and so on) that attaches them to the area economically and socially. Hence they were demanding on-site redevelopment without being dispersed to any other location. One participant suggested an incremental redevelopment of the area, i.e. demolishing small part of the area and re-housing them in the medium rise buildings constructed on the area rather than complete demolishing and relocation of the public to other areas (Lideta Sub-city Communication Office 2009f).

Figure 4.8 Residents Rebuking the Officials in the First Round Public Consultation



Source: Lideta Sub-city Communication Office 2009a

The majority of the tenants were so furious with the plan and they were opposing the proposed plan to redevelop the area in the first consultations as the researcher noticed from the public consultation video and as validated by the interview with the then Lideta Sub-city Manager. In some cases when one or two participants spoke about the benefit of the project, the other residents were booing at them (Lideta Sub-city Communication Office 2009f). In addition, several people were leaving the hall. In order to stop people from leaving the meeting hall, the doors of the public hall was closed, according to the committee member of the public housing residents' representative committee. This added fuel to the already chaotic atmosphere filled with disagreements. However, the public officials were so diplomatic and were trying to calm and convince the public. They were saying *the public consultation is a consensus building exercise, hence we will not kick start the project unless the entire residents are convinced ... the project will start after we signed a Memorandum of Understanding that binds both of us* (Lideta Sub-city Communication Office 2009f).

The officials considering the public concern scratch out the 45 days deadline to clear the area and they announced the public that the project will start after the project got unanimous support from the public, according to the minutes and video tape of the consultation. In addition, the Sub-city manager revealed that those who are unable to pay the down payment for condominium housing units will be organized in Micro and Small Enterprises (MSEs) and will be given with housing and working capital loan so that they can own a descent house, according to the minutes of the consultation. With regard to on-site resettlement the officials reminded the public that it was one of the options. They further revealed that in the new condominium relocation sites they will be resettled together in order to maintain their social network. They also promised that the condominium housing sites will be in nearby condominium housing sites. Finally, the residents elected 14 committee members, 7 in each meeting, that will represent their demands and sign the MoU on their behalf (Lideta Sub-city LDBUR project office 2009e, Lideta Sub-city LDBUR project office 2009c). Both of the consultation with two different groups of the public housing tenants ended with disagreement between the public and residents although the official has offered few compromises (Lideta Sub-city Communication Office 2009f, Lideta Sub-city Communication Office 2009e). However, the minutes stated that the consultation ended in

reaching a consensus (Lideta Sub-city LDBUR project office 2009e, Lideta Sub-city LDBUR project office 2009c).

Figure 4.9 The Public Electing Members of the Representative Committee



Source: (Lideta Sub-city Communication Office 2009a)

According to the informant who was the member of the representative committee for the public housing tenants, after the first consultation with the public housing tenants the Sub-city and District Administration made the public to fill their preferences among the three options of resettlement, i.e. other public rental house, condominium housing unit on the site or on other site. Then the Sub-city officials have called a public consultation forum those who chose to be relocated to other public rental housing units (Kebele houses) found more or less in similar situation. The same thing has also happened when the public house tenants were called for the second consultation, which was held on April 28, 2009. Since most of the demands were not met in the first consultation, most of the participants repeat similar concerns. These include the condominium housing units were not affordable, the area was their source of livelihood and they have an established social network here, hence they preferred on-site redevelopment of the area (Lideta Sub-city LDBUR project office 2009f).

In response to the affordability concerns of the residents the Sub-city officials offered the public to pay the down payment in three installments (Lideta Sub-city LDBUR project office 2009f). However, this offer did not materialize since it was against the mortgage lending Bank's policy, according to the key informants of the study. The second offer given to those who could not afford was organizing them into MSE and involving them in condominium housing construction on the site in order to enable them to pay the down payment for the condominium housing. This group was promised to be temporarily resettled in condominium housing unit by paying a monthly rent (Lideta Sub-city LDBUR project office 2009f).

Figure 4.10 Public Consultation with Residents who chose to be transferred to Other Public Housing



Source: Lideta Sub-city Communication Office 2009a

One local NGO in collaboration with Addis Credit and Saving Institution have given housing loan for 134 women to pay the down payment of the condominium housing and initial capital for income generation scheme in food preparation and construction material production for the condominium housing being built on the site to pay back their loan, according to the partner organizations and government officials. The residents were also given the choice to be relocated to other Kebele housing units, if they do not want to use the abovementioned opportunities (Lideta Sub-city LDBUR project office 2009f).

B. Public Consultation with Private Homeowners

The private homeowners were invited for public consultation for the first time on February 28, 2009 (Lideta Sub-city LDBUR project office 2009d). Although the invitation letter were dispatched as late as one day before or on the day of the consultation, 260 people has turned out in the meeting out of the 323 house owners in the site (ibid). The public consultation was led by the Sub-city Chief Executive, Manager and the ruling party public relation officer for the Sub-city (Lideta Sub-city LDBUR project office 2009d, Lideta Sub-city Communication Office 2009d). The Sub-city official made brief explanation of the project and gave the public the three options they have. The first one is to take cash and land compensation in the expansion area of the City; second to get cash and land compensation on the site; and third to get cash compensation and buy condominium housing unit on the site or on already built site. In all cases the officials mentioned that one-year house rent will be paid to the residents, considering construction period. Then they left the floor for the public to ask questions and comment (Lideta Sub-city LDBUR project office 2009d, Lideta Sub-city Communication Office 2009d).

As in the public house tenants, this group also were shocked by the news (Lideta Sub-city Communication Office 2009d). Particularly with the news that they heard the area will be demolished in 45 days, according to one of the key informants of the study. In this meeting residents demand no relocation, on-site redevelopment if any claiming that the area is their source of livelihood and their identity (Lideta Sub-city Communication Office 2009d). They also insisted to get more time to redevelop their houses as per the new plan (ibid). They refuted the officials' justification of sacrificing for the good of the next generation. One speaker said *it is when we survive that our children will have future not after we passed away of starvation* (ibid). Some speakers expressed their fear that they would not get sufficient compensation and will be resettled to very remote areas where the land is less serviced by infrastructural amenities referring experiences of other similar projects (ibid).

As in the public housing tenants' consultation, this consultation was filled with disagreements although the officials were diplomatic and persuasive (ibid). Similar to the public house tenants' this consultation was forum for information exchange rather than consensus building, since the meeting was ended without agreement and the official were trying to justify how good their proposal were rather than considering the burning needs of the public as the researcher noted from the video tape of the consultation.

Immediately after the first public consultation ended with disagreement, few concerned youth started to informally discuss with the private homeowners in how the homeowners could benefit from the project. One of the youth who later became member of the homeowners' representative committee, stated that they believed that the project will continue regardless of their will, hence him and other concerned youngsters started to convince the public to accept the project and make sure that their demand are considered. This group of young concerned residents requested the Mayor's office of the City Administration for a second round public consultation on a letter written on March 5, 2009 (see annex). Upon their request the second public consultation was held on April 14 and 15, 2009 divided into two groups. In both meetings the turnout was high, 247 homeowners attended the consultation out of close to 300 private homeowners (Lideta Sub-city Communication Office 2009c, Lideta Sub-city Communication Office 2009b).

Similar demands were raised as in the first consultation, since they were not considered in the first consultation (Lideta Sub-city Communication Office 2009g, Lideta Sub-city Communication Office 2009h). In addition, some concerns such as most of the private houses were occupied by siblings who inherited the house from their parents; therefore the public were asking how the officials are going to treat such cases. They also demanded that since most of the households in the area have an extended family living in the same compound, the dependents in each house need to be given substitute land and housing separately. They were also demanding a guarantee to rebuild on the site. In addition, they required for a cash compensation that considers current construction market prices and a land compensation of in nearby well serviced location if the project is inevitable (ibid).

The officials explained for the first time in detail the LDP and announced that they have informed their bosses for the revision of the cash compensation, which later was revised. They also mentioned that land redistribution is the logic behind the smallness of the land compensation compared to what the residents already had. The officials have also assured the residents that the relocation site will be selected by the residents themselves and it will be well serviced land. Furthermore, they also explicitly expressed that they will treat differently siblings who are legal inheritors of their parents' house, though it does not materialize during implementation (Lideta Sub-city Communication Office 2009c, Lideta Sub-city Communication Office 2009c, Lideta Sub-city Communication Office 2009b, Lideta Sub-city Communication Office 2009g, Lideta Sub-city Communication Office 2009h). However, in implementation the residents were allowed to choose between two sites and some infrastructural facilities were not put in place when the residents received the land, according to the study's key informants. Finally a homeowners representative committee member were elected democratically, seven from each group 14 in total to negotiate on behalf of the homeowners and to sign a Memorandum of Understanding that binds the two parties (Lideta Sub-city Communication Office 2009c, Lideta Sub-city Communication Office 2009c, Lideta Sub-city Communication Office 2009b, Lideta Sub-city Communication Office 2009g, Lideta Sub-city Communication Office 2009h).

Overall the second public consultation with the public went smoothly with much better understanding between the officials and the residents (ibid). The convincing and promising role of the Sub-city officials has played great role together with the efforts of the young group who were informally convincing the public to accept the project and maximize their benefit. Although there were still some concerns of residents ignored by the officials, most concerns were entertained. However when it come to implementation most of this promises were forgotten (see section 4.4), which makes the participation level of the meeting limited to consultation where by concerns of the residents are listened but not necessarily considered. This also shows that the purpose of the public consultation process was mainly to convince the people rather than improve the plan based on the demands of the residents.

Figure 4.11 The Third Public Consultation with Private Homeowners in the Presence of the City Manager



Source: (Lideta Sub-city Communication Office 2009a)

The third public consultation with private homeowners and renters of commercial premises from government was held on May 5, 2009 with the purpose of starting the demolishing process. The public consultation was attended by high level City officials including the then City Manager (Lideta Sub-city Communication Office 2009i). In this forum for the first time the proposed plan of the area was explained in detail by one of the planners of the LDP and Director of the Housing Development Agency of the City (ibid). However, the presentation of the planner was filled with technical and English words which are difficult to comprehend by ordinary Ethiopians (ibid). In this forum the issue of insufficiency of the compensation to reconstruct a new house and lack of affordability of the condominium houses were raised. In response to the question of the public the City Manager ignoring the major issues raised by the public informed the residents that the project is designed based on the initiation of the community and so long as the residents are ready the demolishing process can kick start the next day (ibid). This public consultation was also run smoothly. According to the private houses committee representative, committee member the residents were convinced by the explanation and presence of the City Manager.

C. Achievements of the Public Consultations

Although the major purpose of the public consultation was convincing the public, the officials have considered some of the demands of the residents. These includes revision of the compensation estimate, enabling 134 destitute women to own a condominium housing, giving separate houses for 113 dependants that have established a family of their own under the same roof with their parents, and offering the project to demolish the public rental houses to the youth

of the area organized in groups so that they can generate money and involve in construction business.

4.3.5. Affected Group Organization

This section will present and analyze how the organization and mobilization capacities of the three different groups of the area in influencing the participation process. The first section will deal with the analysis of the public housing representative committee followed by the private homeowners' representative committee and finally with the commercial premise renters from the government committee.

A. Public Housing Tenants' Representative Committee

During the first public consultation with public housing tenants, representative committees that have 14 members each were elected (Lideta Sub-city LDBUR project office 2009e, Lideta Sub-city LDBUR project office 2009c). They were elected democratically whereby the candidates were nominated and given vote by the public themselves (Lideta Sub-city Communication Office 2009f, Lideta Sub-city Communication Office 2009e). In the case of public housing those who were elected were members of the community who were outspoken and strongly opposing the urban redevelopment project in the first public consultation, according to the Sub-city chief executive. One of the members of the committee stated that the public housing committee was composed of young and less experienced people. It was only two out of the 14 members who have tertiary level education. However, most of them were at least aware of the laws of the country in general, according to him. As the minutes of their meeting with the Sub-city project office and my interview with the Sub-city officials indicates that they were expressing the public demand with full confidence. However, there were some committee members who did not show up in the meeting, according to the former Lideta Sub-city LDBUR project office.

The public housing committee was a short lived one. Between February, 2009 and June, 2009 a total of six meetings were held with the Sub-city LDBUR project office. The committee was demanding the down payment for condominium housing to be paid in three or four installments, extension of the relocation period, all residents of the area to be resettled in one condominium site that is proximate to the study area, provision of equal house size for those who were relocated into public rental housing, payment of their moving cost, offering separate housing for dependants and getting the substitute house before they leave the area (Lideta Sub-city LDBUR project office 2009b). However, except making such demands when they are called for a meeting by the Sub-city project office, they were not strongly organized and undertake a collective action to fulfill their demands, according to the key informants of the Sub-city officials. Without getting sufficient response for most of their concerns and without trying other options to materialize them, they signed a MoU on June 10, 2009 after the condominium houses were distributed (Lideta Sub-city LDBUR project office 2009a).

Figure 4.12 Gofa Condominium Site (Many Residents Resettled to this Site)



Source: Addis Fortune

In addition, the Sub-city started handing over substitute housing for public tenants in April, 2009, according to the process owner of LDBUR project office. This made the committee members busy with their own problems of location and size of their new houses ignoring the needs of the public they represent, according to one of the informants of the study who was a member of the committee. One of the informants from the affected group who was relocated to other public rental housing stated that the committee members immediately after they got good housing for themselves they totally ignored the interests of the other residents. She added that they disappeared from the area before anyone; hence they were not of help to the public. Four out of five of the public housing tenants, I interviewed does not know there was a representative committee of the public housing. However, all of them are aware that there was a private homeowners' representative committee. On top of these during the selection of dependants who qualify to be given separate housing unit the committee was not involved. The District officials did not invite the committee and the committee also did not showed interest either, according to the district manager.

The public housing tenants committee was weakly organized, made a little effort to push their demands, short lived and did not communicate with the public at all after their election. Therefore, their impact in the participation process was insignificant. The only demand of theirs that was met is getting substitute housing before leaving the area; and settling in the same condominium site was partially met. However, it is difficult to imply that these demands were met because of the committee's effort since it is clearly indicated in the housing development policy and implementation manuals of the redevelopment. The informants of the study from the government side interviewed said that the weak organization of the public rental committee in comparison to the homeowners committee is due to their rental tenure status. However, the researcher believes that it is leadership quality which is the major factor in constraining the activity of the committee. If the leaders were well aware of the national and international laws in development induced resettlement and were committed for their implementation, their impact might have been better. On the other hand, the researcher could not see the level of income impacting organizational strength of the affected group, since the cost for collective action is

minimal. The more pronounced reason was the housing tenure, which was also confirmed by the committee member the researcher interviewed.

B. Representative Committee of Homeowners

As it is discussed in the previous section a 14 member representative committee of the private homeowners was elected on the second public consultation (Lideta Sub-city Communication Office 2009c, Lideta Sub-city Communication Office 2009b). The committee members composed mainly of the youth groups who organized themselves voluntarily after the first consultation and engaged the community in informal discussion by going house to house and by using social spheres like religious institutions. The group's motivation was to mobilize the public and engage in negotiation with the government officials to ensure the *inevitable* redevelopment project to benefits the affected group, according to one of the organizers. These groups were able to undertake more than 80 informal meetings amongst the residents primarily the private home owners. They were also the ones responsible for pushing the organization of the second public consultation with the private homeowners by writing a letter to the Mayor Office. In addition, they were developing a proposal on how the project could benefit the residents of the area, which they later submitted after they get elected as representative of the private home owners (Representative Committee of Private Homeowners 2009). After their election they were given office inside the Sub-city administration building. The office was open one hour a day for six days. They used to collect some complaints from the public and bring to the attention of the Sub-city officials, according to the member of the representative committee and the Sub-city official.

This committee although dominated by young residents, there was few committee members with long years of professional experience. Similarly there were only two members with college education. However, as it is evidenced by their proposal they were well aware of the constitutional rights they have and other countries experiences with similar projects (Representative Committee of Private Homeowners 2009). Except few members who have bad experiences due to their political preference during the previous government, most of the committee members were confident to speak on behalf of the public, according to the member of the committee. This was validated by the interview with the Sub-city officials.

The committee were demanded among other things the reconsideration of the building standards of the new LDP of the area so that it can be developed by the residents, resettling the residents who chose to be resettled in other area together in a proximate location with sufficient infrastructural facilities, provision of equal plot of land in the resettlement site or on the site, provision of separate housing for dependents who are living with their family, estimation of compensation based on 2009 construction prices, permission to take important materials from their old houses, facilitating construction finance for those who wanted to build on the site, and organizing the youth to benefit from the demolishing and the redevelopment process, according to the key informant of the study who was member of the representatives.

The committee in the beginning was negotiating with the Sub-city project office, however, they could not reach into understanding with the then process owner due to his limited mandate to incorporate their demands in the MoU. Then they start negotiating directly with the Sub-city officials, with the Sub-city officials they reached in an understanding in many issues but most of their demands were beyond their capacity. They tried to respond to their demands with regards to

dependants and told them to ask the higher City authorities. They went to the Deputy City Manager at the time and negotiated for almost 5 hours particularly on the issue of compensation, according to the key informant who is a member of the representative committee. The negotiation ended in agreement particularly on two issues. One is the City government agreed to allow private homeowners who have land area of as low as 100 square meters to redevelop individually and the estimation of the compensation based on 2009 price. However, as the annex 4 and the interview with informants showed, it was only those who have 250 square meters and more can redevelop on the site. In addition, the compensation was estimated by 2005 construction price and was inflated by 15% during implementation, which was not based on what they were agreed with the Deputy Manager of the City. The committee has reported the output of their negotiation to the public in a meeting held in June, 2009.

Figure 4.13 The Private Homeowners' Representative Committee Presenting the Output of their Negotiation for the Public



Source: Lideta Sub-city Communication Office 2009a

According to the Sub-city former Manager and Chief Executive Officer, the private homeowners' committee was so demanding. It was due to the several requirements they were forwarding that made the demolishing of the private houses to take place five to six months after the public housing units. The committees finally based on the discussion with Sub-city officials and the Deputy City manager tried to suggest some clauses that safeguard the affected group in the project. However, the then Sub-city project office process owner refused to incorporate the suggested clauses and the Sub-city officials too did not do anything. Hence, the private homes started to be demolished without signing a MoU.

Overall the private homeowners' committee has played their part in convincing the government to provide separate housing for 26 dependants, revision of the compensation, buying back of the structure of their houses from the government at a cheaper price after getting a compensation for it, and organization of the youth in the demolishing and construction of the area. In addition, they were involved in the selection of dependants that qualify to get separate housing than their family based on the criteria set by the District administration. Two of the key informants, who were homeowners out of the three the researcher interviewed, revealed that the committee represented their interests and was trying their level best for the common good of the residents. However, the third one doubts that they were serving the community's interest.

All of the informants of the study who are government officials believe that the private homeowners' committee strength emanates from their attachment with their houses. Most of the houses were being lived by second or third generation, hence their attachment were strong, according to the District Manager. Furthermore, many of them have title deeds hence they feel

much more secured. In addition, the motivation and the commitment of the committee members as testified by the government officials and the private home owners contributed to the strong organization of the committee. The effort the committee put in to materialize their demand has helped them in answering few of their demands. However, it did not make the project to be owned by the residents. Few of the residents that the researcher interviewed feel they were thrown away from the area they grew up and built a family.

C. Commercial Premise Renters' From the Government Committee

In the beginning the Sub-city administration viewed the affected group as belonging in only two major interest groups, the public housing tenants and the private homeowners as evidenced by the first consultations undertaken. However, there were well organized business people who were renting premise from the government for commercial purposes. These business people in 2004 have established a share company with 24 people to redevelop commercial premise that they have rented from the government collectively. By the time the project was announced they had 35 members and their total capital had reached ETB 700,000.00. However, the project did not provide any room for them to participate, according to the secretary of the share company. The then share company management went to the City Manager and expressed their interest and their capacity to participate in the redevelopment project. The City Manager on a letter written on May 5, 2010 allowed 25 square meters to be leased out for each commercial premise renter from the government to develop collectively on the site.

The letter written on April 08, 2010 limits the provision of land to the renters that have lease contract for the premise, who do not have commercial premise of their own in other part of the city, and who have paid their tax responsibilities properly. Based on this provision the other renters who were not members in the share company were advised to join and now there are two share companies with having 58 and 24 members, according to the process owner of Lideta Sub-city LDBUR project office. However, the plot of land for construction has not yet handed over to the share companies since five members from the first share company have not finalized their paperwork. The researcher found out that the current management wants to get rid of these five members of the share company who does not qualify according to the letter written by the then City Manager but qualify by the new guideline developed after the project, as the interview with its Secretary and one of the five people revealed.

This group was able to meet its only demand of collectively building on the area. This is mainly due to their organizational capacity that was established since 2004 and their resource mobilizing capacity. However, due to their personal conflict with one of the five people, they do not want to represent this people. As much as possible the management of the share company try to acquire the land without the five people who have some paper works. Therefore, their representativeness to all its members is questionable.

4.4. Opinion of Stakeholders' on the Participation Process

As the literature review chapter highlighted genuine participation results in a total coverage, efficient allocation of resource, in responding to the demands of the target group, in effective achievement of the objectives of the project and in sustainability of the project (Oakley 1991, Imperato, Ruster 2003). Therefore, the study will analyze the opinion of the affected groups and the government officials on these variables. This section is organized into five sub-sections. The

first sub-section deals with the coverage of the project followed by the demand responsiveness of the project. The third section will present an analysis of the opinion of the stakeholders in efficiency of the project. The fourth sub-section will present opinion of the informants on the effectiveness of the project and the final sub-section will present the sustainability of the project.

4.4.1. Coverage

The area was cleared in the 2009/10 Ethiopian Fiscal Year (that spans from July to June each year) after paying compensation and providing housing or plot of land for the residents (Addis Ababa City Administration 2010). For 312 private homeowners a cash compensation of ETB 111,139,424 (USD 10,913,000.00 at the then exchange rate) was paid. A minimum of 75 square meters of substitute land was also given to them; however, the plot area was much lower than they used to have except for those who used to have less than 75 square meters. The project was successful in formalizing 187 houses which did not have title deeds and legally registered site plans. However, it resulted in relocation of 185 residents to other public rental housing which is found in similar condition as their houses in the old settlement. In addition, the majority of those who were transferred to *Kebele* (public rental housing) housing residents were resettled in locations which are dedicated for redevelopment, according to Lideta Sub-city chief executive. About five people have been transferred in this project to a location which is going to be redeveloped in 2011/2012 Ethiopian Fiscal Year, according to the informants of the study. The following box narrates the story of one of the five residents.

Box 4. 1 The Case of Mrs. Tsehay Abebe

Mrs. Tsehay Gebre-Kristos was born and got married in Lideta area. She used to live in a public rental housing (*Kebele* housing). When the redevelopment came she chose to be transferred to public rental housing since she could not afford to pay the down payment for condominium housing. The Sub-city officials gave her a substitute house in a location that was planned to be redeveloped in 2011/2012. She refurbished the house with a cost of ETB 5,000.00 (USD 389.75 at the then exchange rate), since the house was in a bad condition. However, after five months her family received a notice that the area will be demolished. Her husband who had already a brain tumor, the news exacerbated his poor medical condition and passed away few days after.

Figure 4.14 Mrs. Tsehay's Substitute House Located in Lideta Sub-city District 9



Source: Author

One consortium of NGO working in women and child issues came up to support 200 female headed households to own house. The consortium is named as Union of Ethiopian Women Charitable Associations (UEWCA). The consortium, through one of its member organization Beza Organizing Association of Women in Need in collaboration with Addis Credit and Saving Institution, S.C, gave loan of USD 603.34 for the condominium housing unit with 5 years maturity period for 134 women. In addition, in order to enable them to pay their housing loan they were organized into 6 MSE, three food preparation on the construction site understudy and three on Hollow Concrete Block (HCB) producing for the condominium housing units being constructed on the site and working premise were also given to them for free. An average of USD 270.15 loan per head was given to them with group collateral and with three years maturity period as a seed fund for income generating activity.

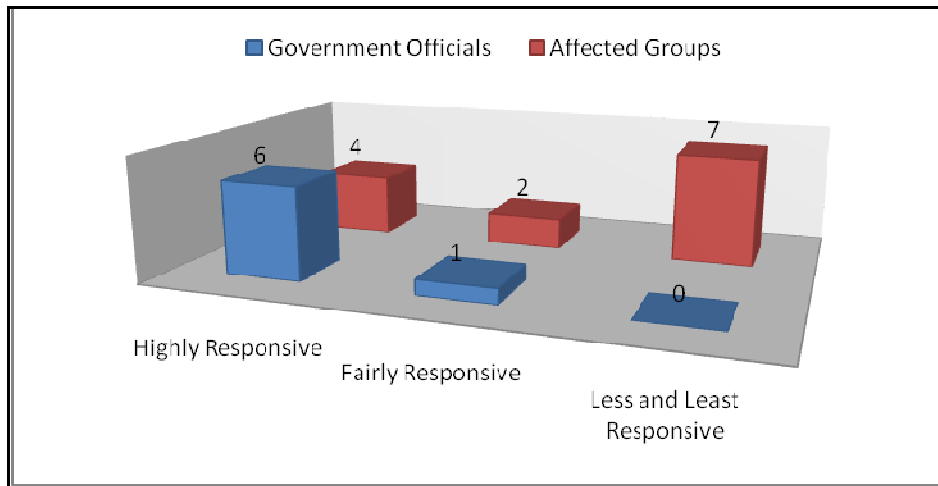
The other job opportunity created by the project was demolishing of the public rental houses by the youth in the area. Some of the youth in the area demanded that they wanted to demolish the houses and sell the construction material, responding to their demand the project to demolish the public rental houses were given to the youth of the area. Close to 1000 youngsters were organized into 54 groups and took the project of demolishing (Lideta Sub-city Communication Office 2009a). The young people who were involved have earned between USD 450.25 and USD 900.5, according to two informants involved in the project. However, it is only two groups who save the amount of money they got through the demolishing process and organized in MSE to produce Hollow Concrete Blocks for the low cost housing being built by the City Administration. These two groups each having 10 members took loan and working premise from the Sub-city and now they are supplying the Housing Development Project Office with HCB and precast beam. According to the chairman of one of the MSEs, both MSEs are making much of the profit not by selling the construction material for the housing project, rather by selling the subsidized cement they get at higher price. In addition, other three MSEs who were organized before the project are also involved in supplying HCB and precast beam to the housing project.

On the other hand four of the informants from affected group revealed that they have lost their means of livelihood when they are relocated to their new settlement. They claimed that they used to sub-let rooms and operate small shops, which they no longer do. However, this is not always the case. There are some people who resumed their business in their new settlement. One woman, for example, who used to sell bread in the formal settlement area, then due to the project she was relocated to a condominium site where more than 3,000 households live. She resumed her business and is making much more than she used to earn in the redeveloped area, according to one government official. Therefore, it can be said that the project have positive impact in making 890 a house owner, in which some of them are renting it to pay the mortgage. For the house owners relocated to the expansion site, the project has reduced the market value of their houses and added additional burden of transportation. The project has also created job opportunities for quite a number of people. However, it has also disrupted the livelihood of at least five of the key informants the researcher interviewed. Hence, the project's coverage was not equal there were losers and winners from the project that compromises it effective involvement of all sections of the affected group.

4.4.2. Demand Responsiveness

The study revealed that six out of the seven government officials interviewed believed that the project was responsive and highly responsive. On the other hand 7 out of 13 of the informants of the study perceived the project to be less or least responsive. Figure 4.15 illustrates perception of the informants on the demand responsiveness of the participation process of the project.

Figure 4.15 Perceived Level of Demand Responsiveness of the Project by Informants of the Study



Source: Own survey

The reason that six out of seven government officials claimed that the project was responsive, according to them, because the project gave the chance for the poor to own a house; 113 house were given for dependents; the youth has been involved in the demolishing and redevelopment of the area; the compensation estimate was revised and land was given to the commercial premise renters from the government based on their demands. On the other hand, the respondents from the affected group have diverse opinion about the responsiveness of the project. The key informants from the commercial premise owners from the government rated the responsiveness of the project as sufficiently responsive. Their reason was their only demand of getting a land to construct a commercial center collectively in the area with the minimum lease price of the area was met. However, since the handing over of the land is delayed they rated as sufficiently responsive rather than highly responsive. One of the 134 woman who received housing loan for the down payment of the condominium housing and organized in MSE so that to be able to pay her loan, also rated the project as sufficiently responsive since her demand of affording the house was resolved. Furthermore, one private homeowner resettled in the expansion area claims the project was sufficiently responsive of their demands because they revised the compensation estimate, allowed to buy their structure of their houses at cheaper price and moved to a location with good prospect to develop.

Contrary to the aforementioned informants seven key informants from the affected community rated the project as being less or least responsive. The reason of those who were public tenants who were relocated to other public rental housing, is they were not able to stay in the area and benefit from the development; were not given a chance to pay the down payment of the condominium housing in different installments; and their demand to get a better housing was not

met rather they went to much more poor housing than they used to live. One of the key informants revealed that they were pushing the government to enable them to pay the down payment of the condominium housing in different installments or give them a housing loan with individual collateral; however, she mentioned that the Sub-city officials refused. They even went to the Deputy City Manager to appeal; however, he also did not facilitate the down payment of housing to be in different installments.

Hence they were forced to be relocated to other public rental housing in the Sub-city. Three of my informants who were given a public housing as a substitute, told me that the houses were uninhabitable. Two of them went to the Sub-city administration to allow them to give them other rental housing, however, the Sub-city officials refused to give them. According to them the officers in the Sub-city project used to mistreat them or ignore them when they went to their office to complain that they received poor housing. In addition, both of the informants indicated that they were identifying unoccupied public rental housing that are in good condition, however, when they inform the District Administration about they used to tell them it is already given to someone else. Both of them believe that the District administration was giving better rental housing by receiving bribes. This allegation was also confirmed by the member of the representatives' committee members, however, denied by the Sub-city officials. Finally when the Sub-city authorities realized that this people will not leave the area they gave them public rental housing relatively better than they gave them before in the area which was started to be demolished during the fieldwork of the study.

Two of the informants who used to reside in public rental housing and then owned condominium housing rated the project as fairly responsive since it addressed their housing need but failed to address their livelihood needs. On the other hand three out of four informants from private homeowners rated the project as least and less responsive. Their justification was low compensation paid to them which was not sufficient enough to build a small house by the current construction material price market; they were relocated to go to poorly serviced area and members of the extended family were not given separate plots of land as they demanded; also they were given smaller land size compared to the one they used to own; it also resulted in dispersing of the community and disorganization of communal association; and their demand to redevelop on the site was constrained due to the higher building standard the LDP provides. One of the informants from the private homeowners said

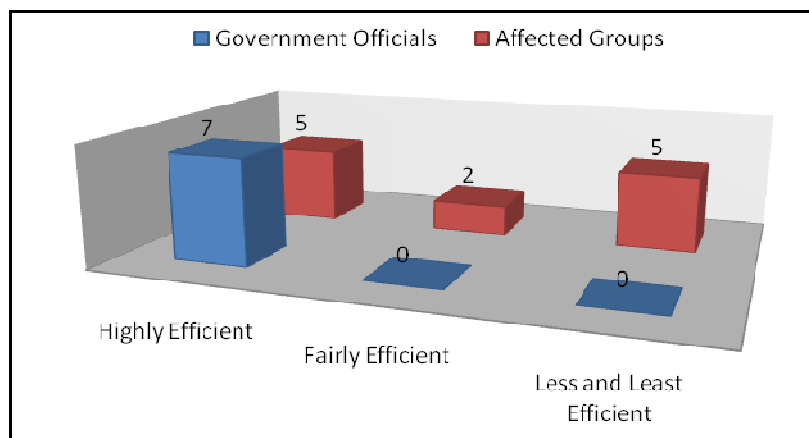
the Sub-city officials promised us many thing which most of it does not materialize. This location [the resettlement site in expansion area] does not have paved road, no street lights, it took us more than a year to get power connection, no market place in close proximity, very far from the main city and no health facility in the locality.

Therefore, the study has found out that there is difference in terms of responsiveness among the affected group. Primarily due to the benefit they get or lost from the project. The informants from commercial premise renters and from the organized women seemed to be satisfied with the project's participation process in addressing their demands. However, many of the informants from public housing tenants and private homeowners rated it as fairly, less or least responsive, since some of their demands were not met. It needs to be noted that these opinion of the different affected community members does not represent the general opinion of the public but indicates the diversity of opinions.

4.4.3. Efficiency

The researcher tried to measure the efficiency of the participation process in two counts. One in the resource mobilized as a result of the participatory process and stakeholders’ assessment of the time spent on consultation. In the former count the participation process has allowed the commercial premise owners to mobilize ETB 125,000.00 (USD 7308.77) per head for the construction of two commercial buildings out of the ETB 500,000.00 (USD 29235.10) needed to construct the commercial building. Other than this, it is hard to name other resource mobilized as a direct result of the participation process. The offer that came from an NGO to give loan for down payment and for IGA to enable the women to pay their debt came as a result of the interest of the Director of the Union of the NGOs working on women and child issues not through the participation process as it was discussed in section 4.3.2 sub-section A.

Figure 4. 16 Perceived Level of Efficiency of the Time Spent in the Consultation by the Informants



Source: Own Survey

On the other count all the informants from the government side claimed that although the public consultation took around 11 months more than it was expected to, they rated the time spent as highly efficient. They justify the importance of the public participation mentioning that the redevelopment is new of its kind hence it needs sufficient time for the public to understand its benefits and be convinced to be part of the project. In which they claimed they achieved to persuade more than 95% of the residents. In addition, in all the 11 public consultations they were responding the public demand in which finally they come into agreement with the public. They mentioned the few feasts organized by some residents who get condominium housings as an evidence for the public’s satisfaction.

Figure 4. 17 People Transferred to Condominium Housing Celebrating that they Get Descent Housing



Source: Lideta Sub-city Communication Office 2009a

However, it was only five of the informants from the affected group who claimed that the time spent on the consultation were highly efficient or worthwhile. Their justification was some of their demands that they raised in the public consultation were being addressed. The informant who is a member of the private homeowners committee revealed that they did get sufficient time for negotiation and were able to convince the Sub-city officials to respond to their demand or communicate their concern at minimum. However, he thinks that the public consultation should have to be organized since the initiation of the project so that to enable the public to shape its direction. In addition, informants of the study who were members of the representative committees revealed that the public consultation has served the government officials a lot in convincing the public and expediting the project rather than it helped the residents.

On the other hand two of the residents who were transferred to condominium housing rated the time spent on the public consultation as fairly efficient or fairly worthy. This is because the question of affordability and the question of dependents were addressed, however, the time spent on consultations to address these demands were too much. Nevertheless, five of the key informants, who used to live in public housing and used to own their own houses, rated the time spent on consultation as total waste of time. For the private homeowners' it was a waste time because the promises the Sub-city officials gave them were not materialized and their demand of getting sufficient cash compensation to rebuilt a house were not met by the end of the compensation. In the case of the public housing tenants they claimed that the Sub-city officials offered them few options and every time there is a public consultation their demands are not considered. Two of the key informants who were transferred to another public rental house (*Kebele* house) revealed they were not attending a public consultation more than once since they find it waste of their valuable working time.

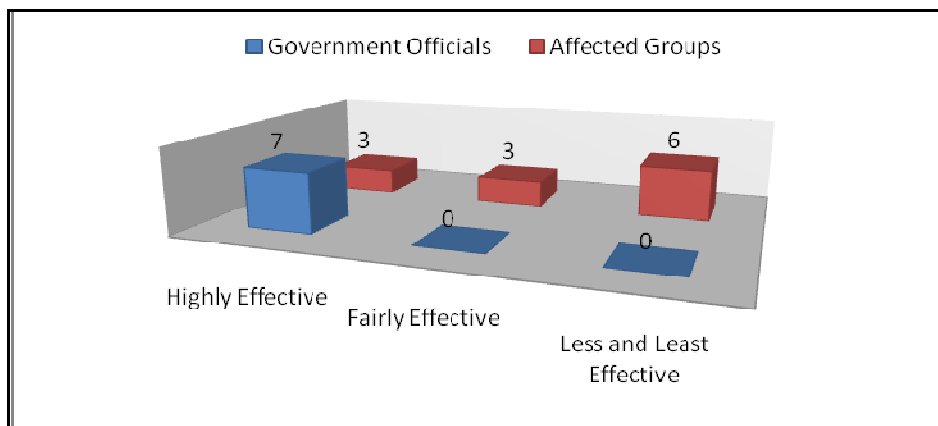
The finding showed on the efficiency of the participation process showed us that a meaningfully significant resource were not mobilized as a result of the affected group and other stakeholders in the designing and implementation process. On the other hand the time spent on public consultation was regarded as worthwhile by all government side informants and some of the informants from the affected group. However, there are quite a number of informants who believed that the public consultation was waste of time since they did not address their demands. Overall this finding showed that not all the affected group believes in the efficiency of the participation of the process. Particularly some of those, who were resettled in the expansion areas and those who were transferred to other public rental housing, believe that their interests were

not considered in the public participation and consider going to this forums as waste of time. This reduces the quality of the participation process as perceived by the few affected group interviewed.

4.4.4. Effectiveness

One of the project’s objectives is improving the living condition of the residents of the area (Bizuneh 2010). The study considering Oakley (1991) hypothesis that effective participation facilitates project target achievement, has made the effectiveness of the project as on measure of the quality of the participation process. The findings are revealed in Figure 4.17.

Figure 4.18 Perceived Level Project Effectiveness in Meeting its Objective by the Informants



Source: Own Survey

The informants from the government side believe that the redevelopment process was highly and sufficiently effective. They claim this by mentioning that with the support of the public the project was able to re-house people in modern apartment buildings, enabled 134 poor women to own their own house, facilitated the creation of 7 MSEs engaged in the construction of the area, increased the housing value for 84 people who are constructing on the site, gave land with compensation for 159 very close to the Addis Ababa ring road, gave land for commercial premise renter from the government and more than 80% of the construction of 3347 low cost housings on the area is finalized.

On the other hand three informants from the affected group believe that the project was successful in achieving its targets mentioning that they get better housing and plot of land for construction. Three out of 12 informants from the public revealed that the project was fairly effective in achieving its objective of improving the living condition of the residents. They mentioned that many people’s housing condition was improved or have become homeowners though most people lost their source of livelihood due long distance from the city center of the resettlement site and their social organization were disrupted. The next box narrates the case of one man whose livelihood was disrupted because of the project.

Box 4.2 The Case of Ato Degu Taye

Ato Degu Taye, a person living with HIV/AIDS, used to live with his wife and two kids in a two room public rental house paying ETB 5.40 a month. He used to share a toilet with five other households in the compound but he used to have separate traditional kitchen. He used to make a living by selling wood for cooking food and construction next to a youth playground in the area. He used to make more than ETB 1,500 (USD 135.10 at the then exchange rate) and had saving. When the project came he chose to buy a one bed room apartment from the government with 20 years loan by paying ETB 22,000.00 (USD 1981.10 at the then exchange rate) as a down payment with monthly mortgage of ETB 400 (USD 23.39). Since the area was demolished and redeveloped he could no longer work on that area. In his previous site he had sufficient area to store construction wood, which used to bring him good profit. Hence he was forced to sell charcoal and firewood, which are less lucrative in the sideways of the redevelopment area. Before the project his house was 5 minutes walking distance from his working place, hence he used to eat lunch at home. However, now he earn only ETB 500 to ETB 600, the commuting costs him ETB 11.40 and he spends minimum of ETB 20.00 for lunch per day. He revealed that starting from September, 2011; he will let the apartment and rent a less descent house since he is facing trouble in paying the mortgage of the house. With his own words he said

I prefer my old neighborhood's bad smell rather than modernly built apartment housing that we living in because I was better off there.

Six out of the twelve informants from the affected group rated the project as less or least effective in addressing the objective of improving the living conditions of the residents. Their justification was they used to earn money by sub-letting rooms was discontinued; their new location is far from their working place; and their social network is disorganized. One of the informants, who used to live in her private house now relocated to Nifas Silk Lafto Sub-city, revealed that in her previous 120 sq. m. wide residence she used to support her family by letting rooms. However, now she was relocated to a 90 sq. m. plot in which she built two bedrooms and a living room sufficient for her family alone. She mentioned that the ETB 200,000 (USD 18,010.00) cash compensation was not enough to build her new, house, hence was forced to put extra money from her sister and her own saving to finalize the house. On the other hand three of the informants who were transferred to another public rental housing shares this opinion. Box 4.3 and 4.4 will describe their reason.

Box 4.3 Mrs. Tsehay Abebe

Mrs. Tsehay Abebe had lived in the area for 35 years. She is married and has four children. She supports her family by selling ice cream in the school located inside the redeveloped area. Her previous rental house had four rooms, kitchen, toilet and the compound its own. Her previous house located close to the school she sells ice cream. In addition, she used to supplement her income by sub-letting one room for ETB 300.00. When the project came she chose to be relocated to other public rental housing since she could not afford to pay the down payment for the condominium housing. The Sub-city gave her a substitute rental house knowingly in an area which is going to be redeveloped in 2011/12 Ethiopian fiscal year. The house has only two rooms and one small kitchen and shared compound with four households. They use communal water and public toilet. On top of these she needs to take a taxi to reach the school she sells the ice cream. When she first received the house it was uninhabitable and did not have power supply. She spent close to ETB 4,000.00 (USD 311.80 at the then exchange rate) for its maintenance; however, after five months she came to know that the area will be demolished.

Figure 4.19 Mrs. Tsehay Abebe's Substitute Public Rental House



Source: Author

Box 4.4 The Case of Mrs. Yeshi Sisay

Mrs. Yeshi Sisay is a person who is living with HIV/AIDS. She is married and has one daughter. She used to live in public rental housing close to a river in the redeveloped area. In her previous house she shares toilet, kitchen, communal water and a yard with 12 households. She had partitioned the one room and used it as a kiosk, which used to support her family. When the project came her husband chose public housing and did not allow her to be organized with other women and get condominium housing with loan. When she went to the Sub-city administration they were not willing to listen to her problem claiming that her husband already made the decision. They gave her a four room rental house. However, inside the house there is an open sewerage line and the house is in front of public toilet. The sniff from the toilet and the sewerage was intolerable even to stay for five minutes.

Overall the project in the eyes of the government officials was believed to be highly effective in achieving its objective of improving the housing condition of the residents. However, life experiences of at least few informants that the researcher interviewed showed how the project adversely affected their lives. When the government officials asked about the condition of those who were relocated to other public rental housing, they blame them for not taking the risk to be organized in MSE and take housing and working loan. They on the other hand claim they prefer individual collateral rather than group collateral since they did not want to be thrown away from their home if one or more of their group member defaults. Therefore, the study revealed that there are certain groups of people who believe that the project has adversely affected their lives. In addition, still in the presence of such cases if the government officials still think that the project is highly effective, it shows that how much they are giving a blind eye for the misery of these groups. However, it is also important to note that there are people who believe that the project has changed their lives.

4.4.5. Sustainability

This section sums up the discussion on the presentation of the finding from the study by analyzing the sustainability of the project. The section is divided into two sub-sections. The first

sub-section presents the analysis of the social sustainability and the second sub-section presents the analysis of organizational sustainability.

A. Social Sustainability

One of the indicators of sustainability is the effect in social organization. Most of the residents who were resettled in condominium housings went to two sites mainly Gofa and Gotera condominium site. The government gave them in same area within the site itself with view of maintaining their social network. In both sites there are blocks called Lideta since they are inhabited by people who came from that area due to the project, according to the informants of the study. They have established *iddirs* (social support group). However, according to one house owner in the site *due to the nature of the building and since many of our neighbors are not necessarily their neighbors now, we do not get together regularly*. However, there are few who went to Mikililand, *Weyra Sefer*, *Semein Mazegaja* and *Bole Ayat* condominium sites. This group although there are people who were resettled in those that used to live in the demolished area most of their neighbors and friends went to other sites, according to my informant who is living in *Weyira Sefer* condominium site.

On the other hand the private homeowners were resettled based on their plot size. Those who get similar plot sizes are settled next to one another. Nevertheless all private homeowners who went to an expansion site in Nifas Silk-Lafto Sub-city are within 30 to 40 minutes of walking distance. All the six households who went to Kolfe-Keraniyo Sub-city also settled in the same area. However, both of my informants who were resettled in Nifas Silk Lafto Sub-city revealed that they lost touch with their long time neighbors and friends since they went to different places. In addition, since most people are still building their house there are few people from the old neighborhood.

Similarly two of my informants who went to public housing told me that the neighbors they have now are not welcoming and supportive. They do not even greet them. One of the informants said

In my old neighborhood it was my neighbors who reached to me first when my husband got sick. However, in this neighborhood when he passed away it was my relatives who were living far away who reached to me first.

The other informant compares her old neighborhood with the new one as

If a guest came to me unexpectedly I will take food from my neighbor; or if one of my neighbors is baking injera, I will use their baking stove; or if I ran out of money, I will go to them. However, in this neighborhood we are labeled as 'new comers' and we are not even able to claim our rights. Sometimes they close the public toilets and denied us the keys. We are not welcomed here.

It can be said that the public is dispersed due to the project in groups, except to those who went to the public rental housing who are scattered all over the Sub-city individually. The project did not have any resettlement plan in order to maintain their social organization and their livelihood. The government gave them substitute housing or land and left them. It is only once that the Sub-city authorities went to spend one holiday with those people who were resettled to the condominium housing in Gofa site. Otherwise there was no any support mechanism or effort to

integrate them with the other community members in the new locality as the interview with the informants revealed. Even for private home owners who were resettled to other Sub-cities when they face problem with the new Sub-city with regard to land allocation the Lideta Sub-city LDBUR project office did not help in solving the problem, according to one of the study's informant. This shows the less emphasis given to the improvement of the living condition of the public than the clearing process for development. This is additional evidence that the main motive of the project was effective land management and better image rather than improving the living condition of the residents.

B. Organizational Sustainability

The informants from the government side unanimously agree that the Senga Tera-Fird Bet I project was a good experience that helps them to shape the redevelopment projects in the City. According to the former head of LDBUR project office head, the project enabled the formulation of a guideline for the redevelopment process. In addition, most of the government officials and experts were new for redevelopment projects. The project gave them an idea how to run a redevelopment process. Currently the City Administration is running 85 ha of land in different parts of the city and plans to start a redevelopment of another 170 ha in 2011/2012 Ethiopian fiscal year (Widneh Zenebe 2011). The City Administration appointed the former Lideta Sub-city Manager, who was in charge of implementation of the project, as head of Land and Urban Renewal Projects Studies, Design, and Implementation Follow-up Sub Process with a view to share his experience and lead the redevelopment project in other Sub-city. Now except coordination from the city level LDBUR project level most of the redevelopment projects are run by respective Sub-cities in accordance with the new guideline. The guideline is developed learning from the pilot project experience, however, there was developed by the experts of the City Administration with no stakeholder participation, according to the former head of LDBUR project office. In the current projects most of the things are institutionalized and routinized; particularly the guideline is strict in guiding the project. Hence there is little room for negotiation. The Sub-city officials are simply implementing the guideline, which does not give room to accommodate public interest except from the ones that are provided in the guideline. This compromises continuation of participatory processes in the projects that follow the pilot project.

On the other hand the Sub-cities are now being capacitated by human and technical resources to develop Local Development Plan (LDP) for areas that will be redeveloped. The Lideta Sub-city Urban Information and Plan Institute have developed five LDPs and one of it was approved by the Sub-city council. However, according to the outgoing head of Urban Information and Planning, most planners lack communication skills with the public using simple language. On the other hand he mentioned that they are organizing public consultations before developing a plan but most of the residents are not interested to participate. According to literature the public lost interest to participate in public consultations when they feel that their concerns are not considered (Davies 2001, Jenkins, Kirk & Smith 2002). All in all it can be said that the planning and implementation capacity was built by the project, however, the capacity to participate the public in planning and in implementation is still not progressing well rather there are signs that shows it is being compromised.

CHAPTER V

CONCLUSION AND POLICY IMPLICATIONS

5.1. Conclusion

The Senga Tera-Fird Bet Urban Redevelopment Project I is a step forward in terms of affected group participation in the urban redevelopment history of the city. Unlike previous similar projects (Ashenafi Gossaye 2008, Gebre Yintiso 2008), there was an effort to involve the public in the redevelopment project. However, this effort was facilitated and constrained by many factors. These are:

A. Project Organization level Factors that Influenced the Participation of the Affected Group.

There are several factors that facilitated and others that constrained the process of affected group participation in the project. The most important factor that facilitated the participation process was the political leadership given by the Sub-city and City level officials. The project was considered as the political mission of the party, hence its success was deemed necessary. In order to make the project a success story to pave the way for similar projects planned afterwards. The higher level City officials and the Sub-city political leaders were committed to consult and address concerns of the public. However, their commitment for a public involvement in the project implementation was primarily targeted in convincing the public to leave the area rather than improving their living condition. The lack of support mechanism and integration effort to those relocated to other areas; transferring of poor public rental tenants who were scared of taking housing loan with group collateral to similar or worse housing condition; and failure to keep promises of resettling the private home owners to a well serviced area can be mentioned as weakness of the project that makes the objective of the project of improving the living condition of the residents questionable.

The other factor that facilitated the participation process was the intensive public consultation conducted with the different groups of the residents. These forums had played an important role in bridging the perception of the public and the government about the project; and they were also forums where the public's demands were communicated to the officials, though only a few of them were entertained. Nonetheless, the public consultation was focused on the implementation of an already prepared Local Development Plan (LDP). Though the plan was designed with information collected from the public through survey by the planners of the City with no effort had been made to validate the public concerns were considered in the plan. On top of these the plans were not communicated to the public in a language understandable to them.

In addition, the public forums falls in the *consultation* level of (Arnstein 1969) *Ladder of Citizen Participation* whereby the public was able to forward their concerns with no guarantee of being considered as it was evidenced by the dissatisfaction with the public consultation of the study's informants and failure to consider some of the public's demand. However, the establishment of the representative committee has increased the level of participation to *placation* (Arnstein 1969) since they were advising the Sub-city and City officials whereby the decision making power were still in the hands of the officials. This is because the private homeowners' representative committee and government commercial premise renters' representative were able to convince the officials the government to accept few of their demands. Therefore, it can be said that the long and intensive public consultation has facilitated the participation process; however, it was

constrained by the level of participation, the implementation stage of the participation and the technocratic nature of the planning.

On the other hand the legal and institutional framework of the nation has also provided a good ground for the public participation. The constitution and urban housing development policy clearly provides involvement of the affected community. The City and Sub-city government has made effort to translate these provisions. However, they failed to keep their international commitment to avoid forced eviction on few sections of the residents and compensation sufficient enough to build a single room low cost housing. In addition, the project was led without any guideline, which gave a room for the Sub-city Administration to be flexible particularly in giving separate housing for dependants who have a family of their own. In the same time, lack of guideline has also made the project to lack consistence. Furthermore, the absence of activist groups lobbying for people affected by development projects has made the bargaining power of the public to be low.

The responsibility of the project implementation and public consultation was delegated, with close follow up of the progress by senior officials of the City. The Sub-city administration was able to negotiate and consult with residents. In response to the demands of the residents the Sub-city administration used to make decisions on its own or suggest to the Executive Committee that the Mayor and the then City Manager was a member. Since the City authorities had the trust on the Sub-city administration most of their recommendations were accepted. This arrangement has helped in responding to few of the public demands. On the other hand, though the project office of the Sub-city was staffed almost sufficiently in terms of number with fresh graduates from different disciplinary background, some of them lacked personal capacity like communication skills. In addition, the project office was not empowered enough to negotiate with representatives of the residents though they are responsible for negotiation with the committees.

Therefore, it can be concluded that the attention given to the project from the City's higher officials because it is a pilot project and the explicit provision of the legal and policy documents towards participation of affected groups has played an important positive role in facilitating the participation process to be more demand responsive. This has indicated that political commitment for a participation process if it is supported by appropriate institutional framework facilitates genuine participation (Pieterse, Urban Management Program 2000). In addition, the long and intensive public consultation and negotiation with representatives and the relative autonomy and trust the Sub-city had from the City officials has contributed positively in making the process to be more participatory and demand responsive. According to (van Dijk 2006) the local government's role is to facilitate decision making by the local communities. We can therefore, say that the Lideta Sub-city administration has played a critical role in facilitating the participation process of the project.

In addition, the organization of the project in a manner that the Sub-city was the principal implementer with close support from the City Administration has made the project to be more responsive to the publics' demand. This goes in line with the existence of institutional arrangement with parent organization in a flexible and demand responsive manner with the involvement of stakeholders facilitates participation (Imparato, Ruster 2003), though the project fails to involve key partners in addressing the living and housing conditions of the poor.

However, the major emphasis on improving the image and efficient land management, and emphasis on results and hard outputs has compromised the quality of the participation. In

addition, the emphasis of the public consultation was on convincing the public to leave the area so that to kick start the project as soon as possible rather than improving the living and housing condition of the residents. This has resulted in lack of responding to the basic demands of the public of benefiting from the on-site development and maintaining their social network. These factors goes in line with (Moser 1989, Botes, van Rensburg 2000) hypothesis that emphasis on hard issues compromises the quality of the participation. This in turn led to making the motive of the consultation process to be mainly instrumental one rather than as a requirement for good governance. This according to (Davidson 2005) is another factor that diminishes the quality of the participation process.

The instrumental perception of the participation process has made the public consultation to happen after the planning, which made the project to be less demand responsive to the residents' need because the detail plan project was decided beforehand. This is supported by (Davies 2001) assertion that implementation stage involvement of the public has less impact in making the project more customized to the beneficiaries. On top of this the technocratic nature of the planning process, poor communication skill of the planner during the presentation and the consultative nature of the public forums made the participation process less effective in responding to the public's demand and create a win-win situation for both parties. According (Human 2007, Innes 2004) poor communication and negotiation skills of staff of local government and consultative level of the participation process (Arnstein 1969) compromises the participation process in representing the demands of the public in the final plan. Last but not least the fact that the project has low involvement of partners was another factor that was hindering the process from being a more participatory one. The involvement of civil society and private sector would have made the process to be more demand responsive as in the SDR case (Mukhija 2003) or in Mumbai Railway Resettlement project (Patel 2002).

B. Factors related to stakeholder mobilization capacity

The affected group was represented by three committees of private homeowners, public housing tenants and commercial premise renters from the government. Among the three committees, the public housing tenants' representative committee was the short lived and the less effective one in pushing the government to consider their demand. This is primarily due to their tenancy tenure, less commitment to represent the interests of the public and members were also made busy with their individual problems with regard to substitute housing. On the other hand the private homeowners committee was relatively stronger. This is mainly because of its composition and the tenure status of the public that they represented. It was made up of mainly young and self-initiated individuals to represent the interest of their domain. They have also better representativeness compared to the public housing tenants as the research findings showed. Using this energy they were able to draft a proposal and MoU that benefits the residents, and engage in an intensive negotiation with the Sub-city officials and City officials. Their effort has made the government to give separate housing for dependants, revise the compensation, sell back their houses at cheaper price and involve youth groups in the redevelopment process.

Similarly the representatives of the commercial premise renters from government, who were some of them organized into a share company before the project, were able to convince the City Administration to give them plot of land for commercial center in the site with the minimum lease price. Their organization and the amount of resource they mobilized have made the City Administration to consider their demand. However, lately this group is failing to defend its 5 members, which compromises its representativeness and is delaying the land acquisition.

The study has clearly showed that how the institutional perspective really works on real life. The perspective theorizes that social reality is the result of interaction between actors and structural forces (Giddens 1984, Yeraswork Admassie 2000, Healey Winter 1999, Healey 1990). Similarly in this case how organized actors can change the rules of the game. However, the activity of the actors is determined by their intellectual, social and political capital. Therefore, those with better organizational and resource mobilizing capacity seemed to facilitate the participation process which in effect made the project demand responsive to their domain to some extent.

C. Opinion of Affected Groups and Government Officials about the Effectiveness of the Participation Process?

The project's output has diverse outcome for different section of the affected community. Some residents benefited through the formalization of their houses, enabled to own decent apartments, by the new job opportunities created by the project or the new settlement. However, it has also worsened the housing condition of those who moved to other public housing and disrupted the livelihood of few of those who went to expansion site and substitute public rental housing. Therefore, the coverage of the project was not similar. According to (Oakley 1991), one of the benefits of a participatory process is its uniform coverage. However, this project fails to equally benefit the affected group.

The project was also believed by significant number of the informants of the study from the affected group as being less demand responsive and the consultation was a waste of time due to lack of consideration of their concerns. In the same way a number of the informants of the study from the affected group also believe that the project was not effective to achieve its objective of improving the living condition of the residents rather they believe it disrupts it. On the contrary all the government officials interviewed believed that the project was demand responsive; the time spent was highly efficient; and it was highly effective in achieving its objective of improving the living condition of the residents. There are also informants who believed likewise from the affected group. Though it is not representative this finding sheds light on the difference of opinion about the project by the affected group and the government officials. In addition, it shows that there are section of the community who believe that the process was not demand responsive, less efficient in the time spent on consultation and less effective or have negative consequences. These outcomes are not a characteristics of a genuine participation process as it is asserted by (Oakley 1991, Imparato, Ruster 2003).

Finally the project was found to be less socially sustainable since it resulted in relocation of residents to areas dedicated for redevelopment, and lack proper adjustment and integration of the residents that transferred to other substitute land and public rental housing. In addition, it also affected the livelihood of few of the informants that compromises the social sustainability of the project. On the other hand the project created an organizational capacity that helps the Sub-city administration to plan and implement similar redevelopment project on its own. However, the pilot project has defined how the subsequent projects should be guided and less attention being given in the projects that followed. Therefore, there is a threat that the projects that followed Senga Tera-Fird Bet I will be less participatory. Similarly presence of few concerns that compromises the organizational and social sustainability of the project are not an outcome of a genuine participatory process (Oakley 1991).

5.2. Policy Implications

The current City Administration is committed to change the image of the City and build a more livable city. Several City Governments who hold the power to administer the City has tried redevelop and make the City more citizens friendly, however, it is only the current City government that is able to implement in an institutionalized manner. So far the Senga Tera-Fird Bet I pilot project is a success in changing the urban image and in starting to consult residents in the process. Though the author appreciates that the effort put on this pilot project and the willingness of the City Administration to engage in an intensive process of consultation, there are still few factors that constrain the process from being a genuine participatory process. Therefore, based on the findings of the study, the researcher proposes the following policy interventions areas in order to make the urban redevelopment projects of Addis Ababa more participatory and beneficial to people living in those areas.

a. Policy Emphasis on Improvement of the Living Conditions of the Slum Dwellers

An 85 ha of land was cleared in the fiscal year ended in July, 2011 and there is a plan to redevelop another 170 ha in the current (2011/12) Ethiopian fiscal year. The City Administration is committed to change the inner-city of Addis. However, there seems to be more attention given to redevelop the inner-city of Addis and give it a new image than improving the living and housing conditions of the residents. Hence the redevelopment program needs to balance between the urgency to redevelop the ugly image of the city with the other aim of the whole process, i.e. improving the living and housing conditions of the slum dwellers. The inner-city slums are not only shelters for the poor; however, it is the source of livelihood. Therefore, any redevelopment project need to focus on on-site resettlement of the residents in order to make them beneficiaries of the physical and social improvement of the area. If on-site resettlement is not possible resettling people in a nearby location all together is advisable. This will have two benefits the residents will benefit from the redevelopment of the area and their social network will also be maintained. In addition, the redevelopment plan one of the major project activity and target need to be creating job opportunities to the residents in a way that enables them to own a house need to be included. This can be involving them in demolishing the area, construction activity and food preparation for the worker in groups and individually. However, its implementation needs to be participatory one that unlike the project understudy. The beneficiaries need to have a say how they are organized and involve in the job. In addition, necessary follow-up and support need to be given to them so that they can sustain the job. The government needs to arrange modalities that they can own a descent house by the income they get

b. Involvement of Stakeholder in Planning and Implementation

The City Administration cannot by its own address the housing problems of the poor residents of the inner-city slums due to its huge resource requirement. This is why 185 people went to a public housing found in a similar condition. Therefore, the government needs to involve other partners from the private sector and other donor agencies in the improvement of the housing and living conditions of the poor. This requires the development of a strategy that guides the project drafted and owned by the partners involved and other relevant stakeholders. Innovative slum redevelopment techniques like cross-subsidized slum redevelopment need to be considered. The City government needs to bring financial institutions also on board to finance the on-site reconstruction of private

homeowners by using their landholding or lease hold right as collateral. This will enable the private homeowners to benefit from the redevelopment process and could stay in the area even after the redevelopment. This, however, needs a policy changes on the land issues of the country. Furthermore, in all redevelopment process there need to be active participation of the residents and other relevant stakeholders starting from initiation of the project. These participation processes need to be decisive in shaping the future of the area rather than being tokenism. They need to be forums whereby different stakeholders including the government come together and negotiate on the future of the place. The roles of the planners need to be a more of advising and facilitating the process.

Many homeowners chose to be relocated to the expansion areas since they cannot afford to build according to the new building standard of the new plan of the area.

c. Capacity Building of the Planners, Project Staffs and Affected groups

The medium of instruction of university system in Ethiopia is English and most planning concepts do not have parallel translation in Amharic. This has made the planners ability to communicate with ordinary people difficult. Therefore, there is an urge to train the planners at the City and Sub-city level communication skills in simple Amharic that is comprehensible by the majority of the local people. In addition most planners are trained in the traditional planning model where the planner is responsible for producing readymade plans. Therefore, it is deemed important to introduce the new role of a planner through training and allowing them to execute it. The study has revealed that there is lack of communication skills among few of LDBUR project office staffs of the Sub-city. In addition, the project office of the Sub-city is not empowered to negotiate with the representative committees and made some improvement on MoUs. Therefore, there is a need to improve their communication and facilitation skills by giving them training and incentives. So long as they have the responsibility to negotiate on behalf of the Sub-city, they need to be enabled to make changes when necessary to the already MoU that describes the rights and responsibilities of the residents and Sub-city in the process. Finally the representative committees elected from the public before engaging in negotiations with the government, they need to take training on the laws of the land, international human rights conventions and guidelines, negotiation skills and lobbying skills. This is in order to enable them to properly defend and push for the implementation of the interests of their constituency. The training need preferably be given by the civil society groups. However, due to the stringent regulation of civil society groups engaged in human rights and good governance issue, there are no sufficient CSOs or those who exist are poorly funded. Therefore, the Federal government needs also to reconsider the regulation in order to promote CSO participation in the urban redevelopment.

d. Maintaining Flexibility in Implementation

The projects being undertaken after Senga Tera-Fird Bet I project are being implemented strictly based on the recently approved redevelopment guideline. This has made the process of the redevelopment less participatory and more rigid than the Senga Tera-Fird Bet I project. Therefore, the Sub-cities implementing the redevelopment projects need to be given the room to negotiate and respond to local demands with close city level follow-up as in the pilot project.

e. Resettlement Plan and Support Mechanism

In cases where resettlement is unavoidable, it is important to design a detail resettlement plan in participation with affected group. The resettlement planned need to include arrangements how the relocatees livelihood could be sustained in the new settlement without being disrupted, how the social organization need to be maintained, the integration mechanism with the other residents of the resettlement site and support mechanism to re-establish their life. The plan need to be properly implemented with the help of the relevant development partners.

5.3. Further Research

All research outputs are the beginning of a new one. This study was able to shed light what were the major process organizational and affected group organizational capacity related factors that hindered and facilitated the participation process of the redevelopment project. It has also identified the opinions of the different actors involved in the outcome of the participation process. However, since the research was undertaken to generate an in-depth understanding on the factors and opinions of the participation process, its representativeness in the opinion of the actors involved about the output of the participatory process of the project is limited. In addition, there is more intriguing issue around the urban redevelopment process in Addis Ababa that need to be studied. Therefore, this study has come up with new research question that need further studies. These are:

1. The impact of the relocation due to the project on the livelihood of the residents.
2. Detailed evaluation study of the pilot-project.
3. Evaluation of the progress of urban redevelopment program in the city in general.
4. Detailed capacity assessment of the Sub-cities to undertake the project.
5. Assessment of financing modalities that will the poor slum dwellers could be enabled to own a descent house.
6. Assessment of a modality that development partners from the private sector or the donor agencies could buy a descent housing targeting the poor without creating dependency syndrome and selling the houses.

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ANNEXES

Annex I: Interview Guide for Sub-city and District officials and Project Team
Administrative Level

A. Sub-City

B. Kebele _____

The following list of questions will be used as a starting point for key informant interviews of *Sub-City and District Level Officials*. In each question the researcher probes using a follow up questions for explanation.

1. What is the major objective of the redevelopment exercise as you understand it and implement it?
2. When did the redevelopment process start?
 - a. How Senga Tera-Fird Bet I area was selected to be the pilot urban redevelopment project?
 - b. Did the need for redevelopment come from the public?
 - i. If yes, from whom?
 - ii. And what kind of development do they demanded?
3. When does the planning process for the new local development plan of the site started?
 - a. Who prepared the local development plan?
 - b. Did the planning team identified problems and needs of the residents as an input for the plan? How?
 - c. Describe the process of the development of the plan?
 - i. When the planning team did call stakeholders' workshop?
 - ii. Who participated in the workshop?
 - iii. Who represented the community and how?
 - iv. What type of workshop was it?
 - v. What issues raised in the workshop?
 - vi. And which one of those issues considered in the final plan?
4. When did the public notified that the area is going to be redeveloped? How?
 - a. What was the response of the community?
 - i. Who supported it, who opposed it? Why?
 - b. When was the first public consultation held?
 - i. What was the stage of the local development planning process?
 - c. How many public consultations were held? Why?
 - d. How the project office or the sub-city did announce the event?
 - e. Who were invited? Why?
 - f. How many people participated?
 - g. How was the flow of information in the public consultations?

- h. What issues were raised?
 - i. Which of those issues got considered?
5. Was the affected group organized into groups and engage in negotiation?
- a. If yes, how many?
 - b. What was their basis solidarity?
 - c. How do they choose representatives?
 - d. What was the role of community based organizations and other public associations in the process?
 - e. What demands did they make?
 - f. What did they do to make their proposal/demand get accepted?
 - g. Did they establish support from other development partners like NGOs, Financial institutions and other partners? Describe who are they?
 - h. Did they manage to mobilize resources to realize their proposal? How much?
 - i. What challenges did they face in their organized action?
6. How do you measure the quality of leadership of the representative of the each group?
- a. Was she/he well aware of the laws and procedures?
 - b. Was he/she representing the interest of his/her constituency?
 - c. Did he/she attend all the negotiations?
 - d. Was he/she communicated the interests of the people that they represent with full of confidence without fear?
 - e. Was he/she had connections with the people that support their cause? If yes with whom?
 - f. What was the effort of him/her in mobilizing the people for the betterment of the community?
 - g. What was the effort of him/her in mobilizing resources to materialize their demand?
 - i. From whom?
7. Were there unorganized groups? If yes, what was the reason?
- a. What did the project did to represent their interest?
8. Was there a conflict of interest between different types of residents?
- a. If yes, what was the reason?
 - b. How was it was solved?
 - c. By whom?
9. Were there different community organizations?
- a. What was the reason for their separate organization?
 - b. Did ownership of land have an effect in their separate organization?
 - c. Did income level have an effect in their separate organization?
 - d. Did tenure status have an effect in their separate organization?
 - e. What each organized group demanded?
 - f. Whose demand got accepted and whose demand got rejected?

- i. Why?
10. What sorts of plans, policies, legislations, guidelines and orders does the project follow, particularly with regard to participating affected group?
 - a. List them
 - b. During the planning process does the lack of guidelines affected the process?
 - i. If yes how, illustrate with examples?
 - c. The recently developed guideline for resettlement provides that the residents need to be relocated should reach a consensus to be resettled. Has this happened?
 - i. If yes how? If no, why not?
11. Describe the organization of the project?
 - a. How the order does flow vertically only or there is a room independent decision making by each project staff?
 - b. Do you think that it promotes staff innovation?
 - i. How? Illustrate it with example?
 - c. Is there an incentive for employees to engage in public consultation in their part-times and weekends?
 - d. Did the project office at the Sub-city level have capacity constraints? If yes, list them.
 - e. Do the project staffs have sufficient training in facilitation, negotiation and communication skill?
 - i. How many of them? When?
 - ii. If not, does the project team get support from other offices or other organizations which have facilitation, negotiation and communication skill?
 - f. What is the educational and experiential background of each project staff?
 - g. What sectors is each staff representing?
 - h. What is the attitude of the project staff towards engaging?
 - i. Say 5 highly agrees and 1 highly disagrees? Explain why?
 - i. How do you evaluate the staff's motivation for participation process?
 - i. 5 highly motivated to 1 least motivated, why?
 - ii. Do they work extra hours in negotiation with the public?
12. How much was the project cost dedicated to improve the housing condition of affected group and the total project cost?
 - a. Does shortage of finance has constrained you from delivering the demand of the affected group?
 - b. If yes, what have you have done to fill the gap?
13. Does the project have partners?
 - a. Name them and explain their involvement in the project?
 - b. Explain how they got involved in the project?
 - c. Explain the contribution of the partners to address the needs of affected group?

- d. Are there any organizations invited and declined to involve?
- 14. To what extent was the project flexible in responding the demands of the public?
 - a. Who makes decision with regards to the project?
 - b. Does each decision of the project need approval of the City administration?
 - c. Explain by giving an example, significant decisions that the project made?
 - d. How is the communication between the city administration and the project? Reporting and so on?
 - e. Does the project has the decision making power over project finance?
 - i. To what extent, explain?
- 15. Can you tell me changes made from the original as a result of the public consultations?
 - a. What was the original plan?
 - b. What was the demand from the affected group?
 - c. If there are demands from the affected group which were unmet, what was the reason for not addressing them?
 - d. How do you evaluate the demand responsiveness of the project?
 - i. 5. Highly responsive, 4. Sufficiently responsive, 3. Fairly responsive 2. Less responsive 1. Least responsive.
 - ii. To which group's demand was the project highly responsive?
- 16. Was the planning process able to generate additional resource (financial, human and technical) from the actors involved to improve the living and housing condition of the affected group?
 - a. What kind of resources was generated?
 - b. From whom?
- 17. How do you evaluate the time spent public consultations and negotiations?
 - a. 5 being highly fruitful 1 being waste of time?
 - b. Why? Explain giving concrete examples?
- 18. How do you evaluate the resources (financial and physical) spent to address the demands of the affected group?
 - a. 5 highly efficient, 4. Sufficiently efficient, 3. Fairly efficient, 2. Less Efficient, 1. Least efficient
 - b. Why? Explain giving concrete examples?
- 19. How do you evaluate the time spent during the consultation process of the affected group?
 - a. 5 highly efficient, 4. Sufficiently efficient, 3. Fairly efficient, 2. Less Efficient, 1. Least efficient
 - b. Why? Explain giving concrete examples?
- 20. What were the project targets with time limits?
 - a. How do you evaluate the effectiveness of the project in achieving its objective of improving the living condition of the residents?

- b. 5 highly effective, 4. Sufficiently effective, 3. Fairly effective, 2. Less effective, 1. Least effective
 - c. Why? Explain giving concrete examples?
 - d. Was there delay in achieving those targets?
 - i. If yes, what are the reasons?
 - ii. How are you dealing with them?
 - e. How do you evaluate the role of public consultation in achieving the target of the project? Does it facilitate or hinder achievement of the project target?
 - i. In both cases explain how?
21. The project document says one of the objectives of the project is to address the housing problem of the slum dwellers of Addis Ababa. Do you think that it was achieved?
- a. What about 185 households does their housing condition change significantly?
 - b. Do you believe that these 185 households relocated to other *Kebele* house, is their problem solved permanently?
 - c. Are they free from further relocation?
 - i. If not why did not the project address their situation sustainably?
22. Is there a mechanism set up to support the relocated households in re-establishing?
- a. Explain its presence what type of support and for how long?
 - b. Or if it does not exist, what is the reason?
23. What measures were taken to ensure that relocated families still have access to job opportunities?
24. Was there creation of job opportunities to the relocated households?
- a. If yes, how many permanent? How many temporary?
25. Does the project office have built its capacity as a result of the redevelopment process?
- a. Is there an added planning capacity? Describe if there is any?
 - b. Is there an added redevelopment process managing capacity?
 - i. Describe specific lessons learnt and improved in other redevelopment projects?
 - c. Is there facilitation, negotiation and communication skills gained from the process?
 - d. If the Local Development Plan was developed by consultants was there a mechanism to transfer knowledge from the consultants to the project staff?

Annex II: Interview Guide City officials

Administrative Level

Position: _____

The following list of questions will be used as a starting point for key informant interviews of *Sub-City and District Level Officials*. In each question the researcher probes using a follow up questions for explanation.

1. What are the immediate factors that led for the initiation of the urban redevelopment project at this point in time?
 - a. What about private interest for the inner-city land?
 - b. What about shortage of expansion areas?
2. If improving the housing condition is one of the driving forces of the redevelopment process, what have you planned for the low income people who live in the *Kebele* who cannot afford to pay down payment for condominium houses?
 - a. Have you thought of cross-subsidization?
3. International guidelines on resettlement suggest the avoidance of resettlement as much as possible, they suggest rather on site relocation. How far has the City administration work for on-site resettlement of the residents of the area? Particularly for low income groups?
 - a. Secondary materials show that many residents were relocated to other parts of the City, why did not they prefer to be resettled on the site?
4. The other important thing to be considered in resettlement is maintaining the social cohesion in the new area. What does the policy framework of the City and the Federal government says about maintaining the social organization of resettled communities, specifically to this redevelopment project?
 - a. What about its implementation? If there is disparity, what is the reason?
5. What are the preconditions you set to ensure that affected community participate in the redevelopment planning process?
 - a. What role will they have in agenda setting for the new development?
 - b. What role will they have in searching ways to improve their housing condition?
 - c. What role other stakeholders (private developers, international agencies and NGOs) are expected to play in improving the housing conditions of the poorest section of the community? Are they invited?
 - d. How far the project in principle need to go to address poor residents (those who cannot afford to buy condominium houses) demand to be resettled in their previous place of residents
6. What were the major purposes of consultation with affected community in the urban redevelopment projects?
 - a. What about considering it as their constitutional right?
 - b. What about to convince the residents to leave the area?

7. What form of affected group participation is being adopted in the project? For example public consultation, representative committee negotiation or action planning.
 - a. To what extent this form of participation resulted in consensus building exercise?
 - i. Explain in giving concrete examples.
 - b. How is the city administration following up the process of participation?
 - c. Is there any complaint handling structure put in place?
 - i. How many complaints did come from the project area.
8. Participation will require additional resource, staff and change of some government plans. How flexible is the redevelopment projects?
 - a. To extent level the redevelopment project was flexible to entertain the residents' demand?
 - i. 5 highly flexible, 4. Sufficiently effective, 3. Fairly effective, 2. Less effective, 1. Least effective
 - ii. Explain by giving examples?
 - b. What type of institutional arrangement put in place to run the pilot and other similar projects?
 - i. Is this arrangement allows decision making power at specific project level considering the special site context?
 - ii. What seems the staffing of the organizational arrangement?
 - c. What efforts, if any, have been conducted to generate more resources by involving other stakeholders to address the needs of the affected group?
9. In order to implement urban redevelopment in a participatory manner, there need to be appropriate guidelines, policies, laws, regulations and procedures that safeguard the interest of the affected community. Can you list me these institutional frameworks that guarantee the participation of affected groups?
 - a. List
 - i. International agreements?
 - ii. Laws?
 - iii. Policies?
 - iv. Strategies?
 - v. Plan?
 - vi. Guidelines?
 - b. Do you believe that they are sufficient?
 - c. Do the city administration and the project offices have the required capacity to translate these frameworks into action?
 - i. Human capacity
 1. Attitudinal Capacity?
 2. Knowledge related capacity?
 3. Skills related capacity?
 - ii. Financial

- iii. Organizational
 - d. How do you evaluate their implementation?
10. Did affected group participation take place? If yes, then
- a.
 - b. What was your role in emphasizing the importance of affected group participation in the redevelopment project planning?
 - i. Have you ever attended a consultation event?
 - ii. Did you used to remind your subordinates on critical importance of participating affected groups? If yes, how often?
 - iii. Did you used to receive updates on the process of consultation with affected groups? If yes, how often?
 - c. Do you have a record of changes of plans made in response to community demand in Senga Tera-Lideta Project?
 - i. What was your role in those decisions? Please list them in accordance with the decisions.
11. Who is the champion/leader of the project?
- a. Did s/he emphasize participation of the affected group?
 - b. How often did he emphasize participation of the affected group?
 - c. Has he discussed with Lideta relocatees to solve their problems?
 - i. If yes, what have he done to address their concern after the discussion?
12. How do you evaluate the participation process of the Senga Tera-Fird Bet I Projects? In terms of
- a. Responsiveness to the demands of the residents?
 - i. 5. Highly responsive, 4. Sufficiently responsive, 3. Fairly responsive 2. Less responsive 1. Least responsive.
 - ii. Why? Explain by giving example.
 - b. Efficiency in the use financial and physical resources to address the demands of the public?
 - i. 5. Highly efficient, 4. Sufficiently efficient, 3. Fairly efficient 2. Less efficient 1. Least efficient.
 - ii. Why? Explain by giving example.
 - c. Efficiency in the time spent on public consultation?
 - i. 5. Highly efficient, 4. Sufficiently efficient, 3. Fairly efficient 2. Less efficient 1. Least efficient
 - ii. Why? Explain by giving example.
 - d. Effectiveness in achieving the improving the living condition of the residents of the area objective of the project?
 - i. 5. Highly effective, 4. Sufficiently effective, 3. Fairly effective 2. Less effective 1. Least effective
 - ii. Why? Explain by giving example.

Annex III: Interview Guide with Key Informant from the affected group

Current Place of Residence, Sub-city _____

Kebele: _____

Sex: _____

Age: _____

The following list of questions will be used as a starting point for key informant interviews of affected group and committee members of residents' representatives. In cases of indistinct issues, follow up questions or explanations might be asked.

1. For how long have you lived in Lideta (project site)?
2. What is your educational level?
3. What was your household income when you were in Lideta?
4. What is your current household income?
5. What was the housing and environmental condition of the Lideta area before the project?
6. What was your housing condition in the previous settlement?
7. Was there a demand from the community to the government to improve the housing condition of the community?
 - a. What was the community demanded?
 - i. If possible what kind of residents (housing tenure or income status) which type of solution?
8. Since when the rumor of redevelopment of the area has been going on?
 - a. Do you remember the response of the residents?
9. When did the government, officially announced to the community that the area will be redeveloped?
 - a. In what way did they announce?
10. When was the first public consultation conducted?
 - a. Was all residents invited?
 - b. Was it announced to all members of the community? Or was the announcement accessible by all residents?
 - c. Was the agenda clearly announced with the invitation to the public consultation?
 - d. In your estimate how many people showed up for the first public consultation?
 - i. Why?
 - e. What was the form of the consultation?
 - f. What was the atmosphere of the consultation?
 - g. Who were chairing the consultation from the government side?
11. What did the project office proposed in the first public consultation?

- a. How did they present the proposal?
 - i. Was it open for negotiation or imposing?
 - ii. What was the response of the public at the time?
 - b. What was the output of the first public consultation?
12. How many public consultations were organized after that?
- a. How was the attendance rate based on your estimate on each consultation?
 - b. Who used to attend the public consultation?
 - c. What was the agenda of each consultation?
 - d. How was the approach of the government in each consultation?
 - i. Was open for dialogue or imposing?
 - e. What was the output of all rounds of consultation?
13. How do you evaluate the time spent on consultation?
- a. 5. Highly efficient, 4. Sufficiently efficient, 3. Fairly efficient 2. Less efficient 1. Least efficient
 - b. Why? Explain by giving example
14. Do you know the laws and guidelines for urban redevelopment and resettlement
- a. If yes how do you know them?
 - b. Do you think they protect communities from arbitrary eviction of residents?
 - i. Please explain why and why not?
 - c. Do you believe that they were appropriately implemented in Lideta redevelopment project?
15. With which office do you have a regular contact?
- a. Did you think that the project office has the decision making power to your demands? Explain with concrete examples.
 - b. Was the project staff willing to work with the community? Explain with concrete examples.
 - c. Did they believe that the affected community has a say in the redevelopment process? Explain with concrete examples.
 - d. Did the staff have a skill to negotiate with the community? Describe their mode of engagement with the community.
16. How did the community engaged with the project office?
- a. Did you select representatives?
 - b. Was the election process representative?
 - c. Did the representatives represent the different types of residents?
17. Were there other organized groups in the community get together to make a demand in the redevelopment process?
- a. How many was there?
 - b. What was their organizing factor?
 - c. What did they demand?
 - d. What did they do to make their demands heard?

- e. Did they have partners or supporters of their demand?
 - i. If yes, who were they?
 - ii. How do they support their demand?
 - f. Did you know how much resource (financial particularly) they mobilized?
 - g. What demands of your group got accepted?
 - h. Did the income level of the organized group affect the acceptance of their proposal?
 - i. Did the housing tenure affected in making demands heard?
 - j. Was there a conflict of interest within each group?
18. Do you believe that the representative of your group have the leadership quality?
- a. 5. Highly qualified, 4. Sufficiently qualified, 3. Fairly qualified 2. Less qualified 1. Least qualified
 - b. Why? Explain by giving example
 - c. What was his/her educational level?
 - d. Did he/she have the knowledge about laws, guidelines and procedures with regard to urban redevelopment and resettlement?
 - e. Did he/she represent the interest of the interests of the group?
 - f. Was he/she presents the demands of the community without fear?
 - g. Did he/she challenge the project office and other government authority?
 - h. Did he/she have contacts in the government and non-governmental institutions that helps him/her making his demand heard?
 - i. Explain who they were?
 - ii. What kind of support did they give?
19. What were the challenges in making an organized action?
- a. Project office will?
 - b. Resource limitation?
 - c. Lack of solidarity? If yes, why?
20. Did the final implementation of the project with regard to the affected community has differed from the initial proposal of the government?
- a. Was the change based on the inputs of the community?
 - b. How do you evaluate the responsiveness of the project to your demands?
 - i. 5. Highly responsive, 4. Sufficiently responsive, 3. Fairly responsive 2. Less responsive 1. Least responsive
 - ii. Why? Explain by giving example
 - iii. Can you specifically describe changes made based on the demands of the residents?
21. Do you believe that the project has achieved its objective of improving the housing condition of the Lideta area, especially for the people who have similar housing tenure status as your?

- a. 5. Highly effective, 4. Sufficiently effective, 3. Fairly effective 2. Less effective 1. Least effective
 - b. Why? Explain by giving example
22. Does the housing condition of the group of people that shares similar housing tenure in Lideta?
23. Do you believe that everyone has benefited from the project equally?
- a. Who benefit?
 - b. In what ways?
 - i. Job creation?
 - c. Are there groups who are adversely affected by the project?
 - d. Why?
 - i. Was not their concerns considered?
 1. If yes, why?
24. How did the project affect the sense of community?
- a. Do you feel that you are detached from your previous neighbors?
 - b. What effect does it have in your livelihood?
25. How does the community based organizations (*Iquib and Iddirs*) have been affected by the project?
- a. Do you still keep some organizations?
 - i. If yes, how?
26. Is there any support mechanism set up to support you to establish in the new settlement?
- a. If yes, what?
 - b. Is it enough?
 - c. For how long?
27. Does your settlement is free from further relocation?
28. How is the access to job opportunities in the new settlement looks like?
- a. Are they better or worse?

Annex IV: Operationalization Framework

Research Question	Variable	Indicator	Source of Information	Method of Data Collection
1. How does the organization of the process affect stakeholder participation?	Level of initiative for participatory planning	-Major Development objective	-Planners, MoUDC researchers, City and Sub-city officials and official documents	-In-depth interview and archival research
		-Motive of participation	Planners, City and Sub-city officials and document	-In-depth interview and archival research
		-Emphasis on participatory planning	-City officials and official documents	-In-depth interview and archival research
		-Existence of a leader committed for a participatory planning	-Researchers, city and sub-city officials	-In-depth interview
	Quality of the planning process	-Role of planners	-planners and official documents	-In-depth interview and archival research
		-Identification and involvement of stakeholders	-Sub-city officials, key informants & uninvolved stakeholders	-In-depth interview
		-Mechanism of participation	-Sub-city officials and key informant	-In-depth interview
		-Planning stage participation occurred	-Planners and key informants	-In-depth interview
		-Attendance rate in consultation event	-Consultation reports and key informants	- In-depth interview and archival research
		-Information flow during consultation	-Key informants from the community	-In-depth interview

		-impact of consultation on final plan	-Project team, key informants and official documents	In-depth interview & archival research
	Level of Capacity	-Legal and policy framework for participation in development and resettlement	-policies, laws and urban plans	-archival research
		-Project organization	-Official documents and project manager	-In-depth interview and archival research
		-Number of staff with facilitation skill	-Project manager	-In-depth interview
		-Number of partners	-project manager	-In-depth interview
		-Motivation of the staff for participatory planning	-Project team	-In-depth interview
		-Discipline and sector composition of project team	-Project manager and team	-In-depth interview
		Attitude of the project team towards participation	Project team	-In-depth interview
		Level of Autonomy	-Level of decision making power of the sub-city	-City officials, legislations and other documents
	-The level of decision making power of the sub-city over finance		- City officials, legislations and other documents	- In-depth and archival research
How does affected stakeholders' organization influence the participatory process?	Strength of Community organization	-Number of organized groups involved in the process	-District officials and key informants	- In-depth interview and archival research
		-Unifying factor	-Leader of each group	-In-depth interview
		-Demand made by each group	-Leaders of each group	-In-depth interview

		-Collective action	-Key informants	-In-depth interview
		-Number of network established	-Leaders of each group -Leaders of each group	-In-depth interview
		-Resources mobilized	-Leaders of each group	-In-depth interview
		-Challenges for organized action	-Key informants	-In-depth interview
	Quality of Leadership of the organized group	Knowledge of laws and procedure by the leader	Representative of the group	-In-depth interview
		Representation of the constituency	Group members	-In-depth interview & FGD
		Level of commitment to defend community's interest	group members and project manager	-In-depth interview and FGD
		The level of connection the leader has	Representative of the group	-In-depth interview
	Existence of Conflict	-Conflict of interest among stakeholders	-Sub-city officials and key informants	-In-depth interview
	Diversity in organizational capacity	-Income level and organization	Key informants and Sub-city officials	-In-depth interview
		-Housing tenure and organization	-Sub-city officials and leaders	-In-depth interview
		-Demands accepted from each group	-Sub-city officials and leaders	-Sub-city officials and leaders
How do stakeholders evaluate the quality of the participation in the	Demand responsiveness	-Perception of affected groups their view are considered	-Key informants	-In-depth interview and FGD
		-Changes made based on inputs from stakeholders	-Key informants and Sub-city officials	-In-depth interview

redevelopment process?	Efficiency	-Resource mobilized as a result of participatory process	-Project manager and key informants	-In-depth interview
		-Participants' assessment of the time spent on consultation	-Key informants from residents and project manager	-In-depth interview and FGD
	Effectiveness	-Level of project objective achievement	-City officials and researchers	-In-depth interview
	Coverage	-proportion of households benefited from the project	-Key informants	-In-depth interview
		-Improvement in the housing condition of the poorest section	-project report and key informants	-In-depth interview and FGD
		New job opportunities created for the residents	-Relocatees, NEWA and project manager	-In-depth interview
	Sustainability	- Effect on community organizations	-key informants and leaders of CBO	-In-depth interview
		- Effect on sense of community	-Key informant	-In-depth interview
		-Mechanisms set up to support in the new settlement	-Relocatees and project manger	-In-depth interview
		-Avoidance of further relocation	-Relocatees and City officials	-In-depth interview
		-Effect on job opportunities in the new settlement	- Key informants from each type of resettles	-In-depth interview and FGD
		-Additional capacity gained by the Sub-city from the project	Sub-city officials and project manager	-In-depth interview

Source: Developed by the Author

Annex V: Land Distribution Circular in Redevelopment and Expansion Sites

Land size before the project	Redevelopment Site Land compensation			Expansion Site
	Building regulation	Individually	In Group of 12	Individually
50 sq m and below	G+4	Not Allowed	90 sq m	75 sq m
50-100 sq m	G+4	Not allowed	120 sq m	75 sq m
101-150 sq m	G+4	Not allowed	150 sq m	90 sq m
151-200 sq m	G+4	Not allowed	180 sq m	105 sq m
201-250 sq m	G+2	90 sq m		150 sq m
251-300 sq m	G+2	105 sq m		175 sq m
301-350 sq m	G+2	150 sq m		250 sq m
351-400 sq m	G+2	175 sq m		275 sq m
401-450 sq m	G+2	200 sq m		300 sq m
451-500 sq m	G+2	225 sq m		325 sq m
501 sq m and above	G+3	250 sq m		450 sq m

Source: City Government of Addis Ababa, 2009