Public-Private Partnership Financing Framework for Housing Development in Addis Ababa: Evidence from Planning and Implementation Phase

Girma Birhanu[1], Teshome Tafesse[2], and Tesfaye Zeleke[3]

Abstract

Housing development financing faces significant challenges in Addis Ababa City Administration. Among others, inadequate planning, insufficient risk management, and lack of transparency in procurement constituted the gaps. These challenges undermine the effective implementation of Public-Private Partnership as a viable financing approach. This study employed a mixed methods design to investigate the planning phases of Public Private Partnership housing development of the city. Results indicated that planning dimensions such as integration of various components, defining the scope, and resource allocation demonstrated remarkable successes so far. However, inadequacy of institutional capacity, limited stakeholder engagement, and imbalanced risk identification and allocation comprise dimensions that seek further attention. The values for the path coefficients of procurement and resource allocation were found to be 0.99 and 0.66, respectively, highlighting the presence of correlation with institutional capacity. The findings further suggest the need to balance private sector incentives with deliverables, affordability, and transparency.

Keywords: Public-Private Partnership, Housing Development, Procurement, Planning Phase, Addis Ababa, Ethiopia.

1. Introduction

Rapid pace of urbanization added to the population growth are aggravating the housing crisis in urban centers globally, resulting in a critical imbalance

[1]Corresponding author, Ph.D. candidate at CDS, URLDS of AAU. E-mail: newtaste1@gmail.com. Mob. +25191314865

[2]Assistant/Professor at College of Development Studies, AAU. E-mail: teshome.tb@aau.edu.et.

[3]Associate/ Professor at College of Development Studies, AAU. E-mail: tesfaye.zeleke@aau.edu.et.

between housing demand and supply (Turok et al., 2023). This disparity often exceeds the financial capabilities of public sector i.e., the government to address gaps between demands and supply (Akomea-Frimpong et al., 2023). In response, the PPP framework has emerged as a financing strategy, leveraging the resources and the expertise from the private sector to complement the efforts by the government in the housing development initiatives (Ugonabo, 2023).

Global projections estimated that nearly 3 billion middle-class residents would lack access to affordable housing by 2050 (UN-Habitat, 2020). In Africa, a significant demand-supply gap of approximately 50.5 million housing units was reported in 2018 (ADB, 2022). Ethiopia mirrors this trend, with a 5.4% annual urbanization rate causing substantial challenges to housing supply and development (World Bank Group, 2015). The Ethiopian Economic Association (EEA) projects that rapid urbanization and population growth would necessitate 471,000 housing units annually until 2035 (EEA, 2021). Despite government efforts since 2005 in providing affordable housing through the Integrated Housing Development Program (IHDP), a persistent shortage remains in Addis Ababa City Administration, where over 700,000 residents have been still on waiting lists for condominiums (Charitonidou, 2022). Only 400,000 units were constructed over thirteen years, exhibiting a significant disparity between demand and supply attributed to insufficient housing finance and drawbacks in institutional capacity (Alemu, 2021).

Consequently, the Ethiopian government has been increasingly seeking alternative financing options from the private sector to address housing shortages and gaps (Getachew, 2021). This shift has led to the implementation of PPP, with successful initiatives observed in countries such as the UK, Ireland, Argentina, Nigeria, and South Africa (Batra, 2022 and Arimoro, 2020). These nations demonstrate the importance of collaborative efforts to create sustainable housing solutions to their citizens (Mansilla & Vassallo, 2020). The planning and implementation schemes such as PPPs in the housing sector facilitate the mobilization of private capital, promote efficient resource allocation, enhances project management capabilities, and encourage innovation in housing design and construction (Rahman et al., 2025). This

study aimed to assess the implementation of the planning phase of PPP in the housing development of Addis Ababa City Administration. The study covered examining the initiation of PPP projects procurement, and risk identification at the planning phases of its implementation (Batjargal & Zhang, 2021).

2. Literature Review

The literature review provides the conceptualization of PPP and discusses relevant theories that guide in comprehending the framework and how it applies into the context of the study The arguments of Principal-Agent and Institutional Theories were found to be relevant to analyze the planning phases the PPP framework in the housing development of Addis Ababa City Administration.

2.1. Theoretical Framework

PPP is characterized as a long-term contract between a public sector and a private company for delivering public infrastructure and services, with risks allocated according to each party's capacity to manage them African Development Bank, 2021). According to UNECA, a PPP epitomizes as a mutually binding contract stipulating the terms and conditions for implementing a PPP project (United Nations, 2023).

Risk is described as the probability of an adverse event occurring during a specified timeframe being attributed to challenges (Tallaki & Bracci, 2021). In many developing countries, public institutions encourage and solicit private sector partnerships to secure financing for projects (Cambra-Fierro et al., 2025; Fernando et al., 2025; Wu et al., 2025). Ako and Shey (2025) indicate that PPP facilitates private financing of infrastructure and services guided by public sector policies, regulations and procedures.

Institutional Theory: suggests that business decisions are significantly influenced by institutional norms, values, and practices, which are crucial for achieving legal body and mobilizing resources (Franco & Franco, 2021). Pioneers of institutional theory, such as Meyer and Rowan, established a foundation for examining systems to enhance our understanding of how

institutions impact partnership effectiveness (Drori, 2020; Koster et al., 2019; Scott, 1987). This theory emphasizes both technical prerequisites and the significance of building institutional elements (Coates et al., 2023; Risi et al., 2023).

Principal-Agent Theory: centers on the contractual relationship between companies and contracting bodies, highlighting the separation of ownership and execution duties (Huang, 2025). Founded in the 1970s, this theory addresses the misalignment of interests, where agents may not act in optimal ways, leading to risks (Zogning, 2022; Mitnick, 2011). Jensen and Meckling (1976) expanded on this by highlighting the costs associated with agency relationships, emphasizing the need for principals to oversee agents' responsibilities. This theory is instrumental in supervising agreements between public institutions (principals) and private enterprises (agents) (Musawir, 2025).

The core thesis of both theories was found to be instrumental for analyzing the dynamics between public institutions and private partners while engaging in contractual activities for the delivery of housing. However, as the study focused more on the implementation of the planning phases of PPP in the housing development. It hugely investigates the legal and institutional capacities of the private and public sectors, deploying the essence of institutional theory as a framework.

2.2. Conceptual Frameworks

One of the major challenges in the housing sector of Ethiopia is the insufficient availability of mortgage financing, exacerbated by the limited lending capacity of commercial banks in Ethiopia (Misrak & Kaur, 2023). These deficiencies constrict the endeavors by the government to provide mass housing. Similarly, real estate developers have also been challenged due to lack of schemes and land supplies (Mekuria, 2022). Moreover, stringent collateral requirements and high-interest rates escalated housing finance and often discouraged the private (Asnakew & Amogne, 2022). Given the inadequacy of customary financing techniques in addressing housing finance requirements, opting PPP becomes essential (Ugonabo, 2023). The involvement of private sector in public housing provisions remains crucial in

meeting the housing demands driven by rapid urbanization (Adedeji, 2023). Consequently, policymakers are increasingly occupied with creating an enabling environment for private sector partnerships engagement into PPP (Wang & Ma, 2021a).

However, private sector engagement in housing provision through PPPs requires strong institutional capacity, a supportive legal framework, transparency, and accountability (Alshahrani et al., 2023, Anbumozhi et al., 2023 and Fell & Mattsson, 2021). Hence, the successful initiation of Public-Private Partnership (PPP) projects in Addis Ababa City Administration requires transparent procurement processes, risk identification, effective resource allocation, and leadership, all guided by meticulous planning and execution (Chileshe et al., 2022). Inadequate procurement procedures would create conflicts and inefficiencies among participating parties, undermining project outcomes and quality as well (Ahmad et al., 2022; Lam & Yang, 2020).

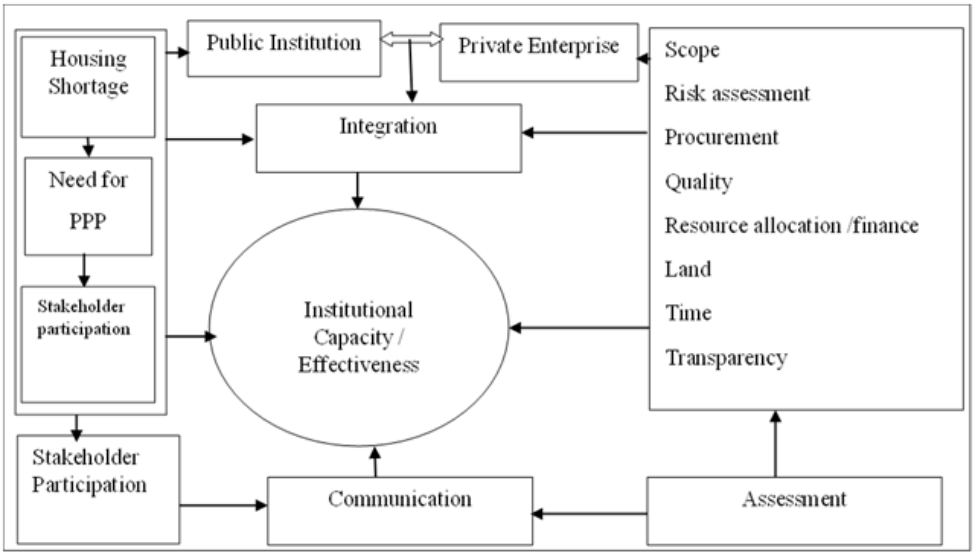


Figure1*: Conceptual Framework*
Source*: Adapted from Kavishe (2019)*

Furthermore, insufficient planning, particularly when combined with limited stakeholder engagement during both the planning and implementation stages significantly undermines the ambitions of innovative financing through PPPs

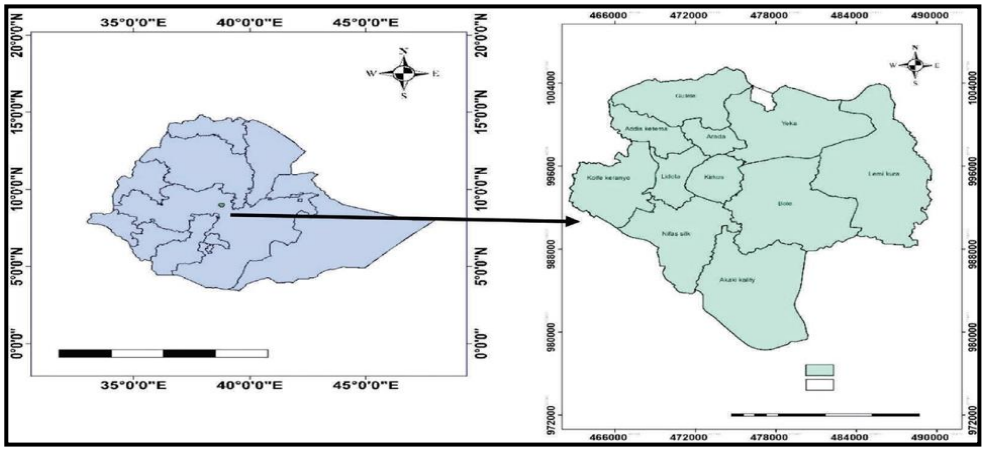
(Miranda-Poggys & Morena, 2023). Such deficiencies not only jeopardize project success but also lead to substantial financial losses and increased public debt, eventually imposing burdens on beneficiaries of housing development who actually suffers the failures of the projects (Boiarko et al., 2021; Godt, 2023). Therefore, for the conceptual framework stated below demonstrates the PPP initiatives, planning and stakeholder involvement to ensure their overall efficacy and sustainability of PPP frameworks in housing sector of Addis Ababa City Administration.

3. Material and Methods

3.1. Description of Study Setting

This study was conducted in Addis Ababa, the capital city of Ethiopia. Geographically, the city is located at approximately 9°0' 019.4436" North latitude and 38°44' 24" East longitude (CSA, 2013).

Figure 2: *Map of Addis Ababa City Administration*



Source: *Modelling Urban Land Use in Addis Ababa, Ethiopia (Berta & Emagnu, 2024).*

Spanning an area of 527.4 square kilometres, Addis Ababa features a predominantly mountainous landscape, particularly in its northern escarpments (Ethiopian Institute of Architecture, Building Construction and City Development, 2017). With its relatively better developed infrastructure, Addis Ababa serves as the hub of Ethiopia's economic transactions, driving regional development.

3.2. Study Design and Methods

This research employed a mixed explanatory design, incorporating Confirmatory Factor Analysis to ensure comprehensive analysis. According to Maqbool and Sridhar (2024), using a survey strategy for quantitative data strengthens the understanding of PPP implementation within a study setting in this case, the Addis Ababa City Administration. Quantitative data was collected from 203 participants, while qualitative data was gathered from five (5) interviewees and supplemented by a review of legal and official documents. The qualitative data provided combinations and support in components such as planning and implementation, risk identification, procurement, and housing development.

3.3. Sampling Design

A simple random sampling method was used to select eight private-sector partners out of the 22 who are currently engaged in PPP projects. All relevant government offices involved in PPP initiatives were also included, such as the Addis Ababa PPP Office, the PPP Contracting Administration Team of the Addis Ababa Housing Development Bureau, and the PPP Directorate General of the Ministry of Finance. The eight selected private partners elected because they commenced the construction process were OVID Real Estate, Gift Real Estate, Africa Holdings, Irre General Trading, Jambo Star Trading, KH Engineering Group, Oromiya Construction Corporation, and East African Real Estate Development Plc. From these private real estate companies and public institutions, a total of 203 sample employees were chosen: 170 individual respondents from the private companies and 33 experts from the government offices.

The sample size was determined using Yamane's sample size determination formula:

Where: $n=N/ [1+N (e^2)]$, (Uakarn et al., 2021).

n= sample size, N= population = 412, e= level of precision=0.05,

Calculating this, we have "n" equals to:

Sample size $n=N/ (1+N (0.05)^2)$, $n=412/ [1+412(0.05)^2]$

n=412/(1 + 1.03]) n=412/2.03

Sample size n =203.

3.4. Method of Data Collection

The data for this study were collected through self-administered survey questionnaires and an interactive interview guide, with primary data obtained from multiple key stakeholders. Additionally, secondary data sources were reviewed including signed PPP contracts, PPP proclamations, and directives.

A total of 216 questionnaires were distributed, resulting in 203 valid responses, which represents a response rate of 94%. This high response rate reflects strong engagement by the experts from both sectors and provides a robust dataset for analyzing the planning and implementation phases of PPP in the housing development of Addis Ababa City Administration. The Cronbach alpha test result was 0.9617 indicating the data is reliable in measuring the variables under study.

3.5. Analytical Techniques

The analysis utilized Confirmatory Factor Analysis (CFA) for quantitative data and analyzed using R-Studio software and thematic analysis applied for qualitative data. Ten key performance indicators were identified to examine PPP institutions within the Addis Ababa City Administration, focusing on the initiation, planning, and execution of PPP projects. The model emphasized examining the planning phases, particularly in terms of institutional capacity.

The data analysis utilized descriptive and inferential statistical techniques, including path coefficients, factor loadings, and R-square values. Confirmatory Factor Analysis (CFA) was conducted using R Studio (version R4.4.2; R Core Team, 2021), a statistical technique to test relationships between measured constructs (observed variables) and institutional capacity (latent variables) (Yamani et al., 2024; Goretzko et al., 2024).

General Equation:

EFF = 0.99 PRO + 0.54 INT + 0.6 TIM + 0.39 COS + 0.65 RAL + 0.66 PL + 0.58 RSP

Where:

- EFF = Effectiveness of planning
- INT = Integration, - TIM = Time
- COS = Cost, RAL = Resource allocation
- PRO = Procurement, - SPL = Stakeholder participation
- RSP = Risk planning

The fitness of the model for measuring the variables was approved by Comparative Fit Index (CFI) = 0.971, and for Tucker-Lewis Index (TLI) = 0.91. In addition, the model fitness test for the second order latent variable focusing on effectiveness of institutional capacity demonstrated the CFI value equals to 0.82 and considered as it approaches the acceptable level.

4. Data Analysis and Discussions

Since 2023, as indicated in the signed PPP contracts, the Addis Ababa City Administration has collaborated with the private sector to provide affordable housing under a 70/30 agreement. In this partnership, the private sector covers the financial costs of housing development, while the public sector allocates land for construction. Upon completion of the agreed number of houses, the private sector delivers 30% of the houses to the Addis Ababa Housing Corporation and retains 70% to recover costs by selling them at market value, as revealed by interviews. To address the challenges stated in the foregone arguments, the city administration enacted PPP Regulation 128/2022 and accompanying directives. This regulation invites private partners to participate in housing development through the 70/30 PPP model, as outlined in Article 6 of the contractual agreement (the 2023 signed PPP Contract Document). Under this model, private partners design, finance, and build housing, transferring 30% of the constructed houses to the public sector in exchange for land provided by the city government.

Demographic analysis revealed that 37.44% of participants were female, representing various levels of expertise in the construction sector. Furthermore, 67.98% of participants were under the age of 39, with the same

percentage holding at least a bachelor's degree. Occupational distribution showed 29.56% of respondents were from government offices, 48.28% from private partners, 16.75% as consultants, and 5% from other departments. The diversity in respondents' age, education, and experience levels would help to fetch diverse insights from professionals with varying perspectives, contributing to a clearer understanding of the in the initiations, planning and procumbent of PPP implementation in the housing sector of Addis Ababa City Administration.

4.1. Results and Discussion

In this section, the survey data analyzed using the Confirmatory Factor Analysis using R-Studio statistical analysis tool and a qualitative data obtained through interview guide from experts and PPP officials presented and discussed.

4.1.1. Integration of the Planning Phases

The analysis revealed a strong positive correlation between integrated planning and the effectiveness of PPP institutions, with a path coefficient of 0.693. This finding underscores the importance of effective integration, of the initiation, preparing the plan and the contract document, resource allocation, and signing the contract, within planning processes and organizations in enhancing the outcomes of PPP implementation.

Regarding the PPP framework, secondary data indicated that contracts were meticulously prepared, signed, and documented to ensure clarity and accountability (the 2023 signed contract). Private partners played a pivotal role by providing financial and technical resources, while the Addis Ababa City Administration took responsibility for land preparation. Per the agreements, private partners were tasked with constructing housing units and delivering 30% of these completed units to the city administration. However, the mean response to the question on adherence to the agreed implementation plan yielded a score of 0.227. This result indicates that the execution of contracts has not fully aligned with the stipulated agreements, pointing to a need for a thorough review and adjustment of the implementation process. Interviews with city administration officials revealed frequent delays in land delivery due to unresolved land clearance issues, which occasionally escalated into legal disputes, further hindering progress. This aligns with the findings of Casady and Peci (2021) in their study on “institutional challenges of PPP” conducted in Kosovo, highlighting similar challenges in PPP execution. The graph below depicts first ordered latent variables.

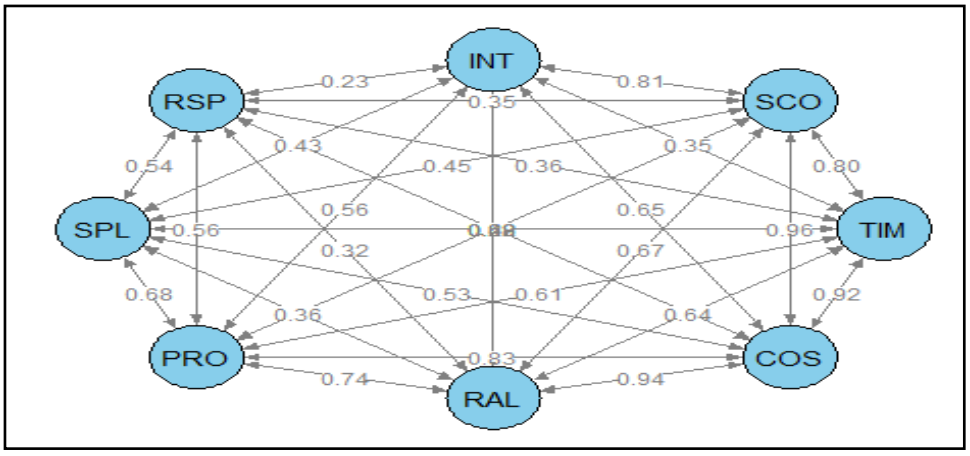


Fig 1. Effectiveness
***Source**: Survey December (2024)*

The graph illustrates the first-order latent variables derived from the data analysis conducted using R Studio software. It visualizes the relationships and path coefficients between different latent variables, which serve as indicators for assessing the effectiveness of Public-Private Partnership (PPP) institutions in Addis Ababa City Administration. The latent variables are represented by Integration (INT), Stakeholder Participation (RSP and SPL), Procurement (PRO), Resource Allocation (RAL), Stakeholder Coordination (SCO), Time (TIM), and Cost (COS).

As shown in Figure 3, the connecting lines represent path coefficients, indicating the strength and direction of the relationships between the variables. The numerical values along the lines are standardized path coefficients, ranging from -1 to 1, with higher values denoting stronger relationships. The analysis of the first-order latent variables revealed positive correlations among dimensions such as procurement, resource allocation, cost, scope, risk identification and sharing, time, and integration. These robust positive correlations collectively demonstrate the steady progression of institutional capacity among the Addis Ababa City Administration PPP implementing offices. This aligns with the findings of Calugareanu and Bulat (2022) in their study titled *"World practice in the evolution of PPP,"* which states that PPP effectiveness is influenced by an efficient administrative structure, private sector development, and investment potential.

Equation 1: INT =~ 0.71iwas + 0.61ikas + 0.23iipp + 0.6ikpd + 0.58ihid

- Comparative Fit Index (CFI) 0.988
- Tucker-Lewis Index (TLI) 0.969

The result of the model fit was acceptable in which the model measures the dimension effectively.

***Table 1**: Integration*

Latent Variables: INT(Integration)								
Measured variables	Estimate	Std. Err	z-value	P(>|z|)	ci. lower	ci. upper	Std.lv	Std. all
Project plan preparation (ikpd)	0.815	0.131	6.241	0.000	0.559	1.071	0.687	0.603
Plan implementation (ikpia)	0.348	0.133	2.623	0.009	0.088	0.607	0.293	0.227
Contract document well prepared (iwas)	1.000	1.000	1.000				0.842	0.707
Contract signed (ikas)	0.870	0.138	6.282	0.000	0.599	1.141	0.733	0.610
Supporting project document prepared (ihid)	0.779	0.128	6.086	0.000	0.528	1.030	0.656	0.577

***Source:** Survey December (2024)*

Factor loadings depicted in the graph validated these findings. For instance, the outer loading weight for the variable "*signing of the partnership document*" was 0.71, indicating its strong connection to the latent variable of integration. Conversely, outer loading factors for variables like "*detailed plan preparation*" were below 0.7, suggesting a weaker association between these indicator variables and the implementation of signed agreements.

Table 1 presents the standardized factor loadings for the latent variable "INT" (Integration) derived from a survey analysis. The Comparative Fit Index (CFI) of 0.988 and Tucker-Lewis Index (TLI) of 0.969 indicate an excellent model fit, exceeding the recommended threshold of 0.90. The factor loadings range from 0.348 for *participatory planning* to 1.000 for *signing of the contract document*, reflecting varying degrees of association between the measured variables and the latent construct of Integration. The statistical significance of the factor loadings was confirmed through standard errors, z-values, and p-values. Most of the factor loadings were significant at the $p >$

0.001 level, underscoring a strong relationship between the measured variables and the latent construct.

The integration of the planning process emerges as a key indicator in examining the effectiveness of the Addis Ababa PPP Office in financing affordable housing projects. In this framework, the Addis Ababa Housing Construction Corporation assumes responsibility for planning and monitoring the execution of action plans derived from PPP contracts. A dedicated team within the Housing Corporation is tasked with developing these plans, engaging in with the private partner's entity, known as the Special Purpose Vehicle (SPV), and conducting regular assessments of project progresses. This team is also responsible for addressing deviations from the agreed plans to ensure alignment with overarching objectives of the contracting parties.

***Table 2**: Analysis Result of Qualitative Data*

Theme	Description	Qualitative data
Integration	The capacity of the PPP institutions to integrate the initiation, planning, and implementation process	In the planning (initiation, resource allocation, and contract signing) phase are relatively well integrated. In the implementation phase there were delays in the transfer of land handing over, SPV establishment, commencement of construction (8 out of the 22 partners signed the contract and commenced the construction)
Initiation and planning	Initiating the idea, preparing the feasibility study, preparing PPP plan document	The planning phase of this dimension were properly accomplished

Contract document preparation and signing	Preparing a contract document having clear goal, resource contribution, risk explicitly put, deliverables identified in terms of number, size, quality, and singing the contract	-The document clearly identified the capital of the private partners, design, and construction. It also identified transfer of land prepared by the city having access to water and electric - 30% of the constructed houses delivered to the public institutions -Room numbers, quality and size of the 30% of the houses not clearly stated in the contract agreement
Transparent procurement	Whether the process of private partners engagement in to PPP was on competition base so that best bidder obtained	Not competitive rather it is invitation based
Plan implementation	Implementing the plan as per the agreement in time	Delays observed commencing the construction out of the 22 partners signed the contract only 8 were started, few partners faced delay in land delivery, SPV establishment to longer time affecting the overall schedule

***Source**: Analysis of extracts from interviews, 2024*

The above table provides the description of the qualitative data on the themes of integration, planning, and preparation of contract documents. Qualitative analysis also adopts the procumbent processes and institutional capacity of the PPP implementing partners. Themes and qualitative descriptions of the data are provided to complement to cross-verify and quantitative findings.
As presented in Table 2, qualitative data obtained through interviews with the Addis Ababa PPP Office, Addis Ababa PPP Contracting Office, Addis Ababa Housing Corporation, and the PPP Directorate General under the Ethiopian Ministry of Finance revealed that the integration of the planning process was

effective in the initiation stage, resource allocation, and in terms of inviting private partners into the partnership arrangement. However, challenges arose in establishing a Special Purpose Vehicle (SPV) Office. This office, designated to administer PPP contracts and act as the project owner on behalf of the private partner, plays a crucial role. Its absence and malfunctioning significantly deterred the overall effectiveness of the projects, as it hindered the timely commencement of construction activities. In this regard, data collection revealed that, out of the 22 private partners who signed PPP contracts, only eight had initiated construction. Additionally, some private partners had not finalized negotiations on the contractual agreements, despite the general contractual framework being already signed. This situation definitely hinders the success of the projects.

Moreover, quantitative data demonstrated the effectiveness of the planning phase's dimensions such as initiation, resource contribution by each party, and contract signing. However, both quantitative and qualitative datasets demonstrated delays in establishing the SPV, finalizing detailed negotiations particularly regarding risks associated with macroeconomic conditions and clarifying how 70% of the constructed houses would be sold to end users. The triangulation of this findings revealed that of the partnership agreement documents revealed that it was not clearly articulated, leaving expectations and responsibilities of public and private partners insufficiently defined.

The work of authors such as Akomea-Frempong et al. (2023) in Ghana also complemented the study findings. The authors reported delays alongside positive performance in the planning and implementation phases of PPP in the housing sector. While problem identification, partner consultation, and appropriate contract document preparation were effectively completed, the implementation phase faced unexpected delays. Challenges such as third-party claims on land and resource mobilization resources had imposed hindrance to the anticipated progresses, with several private partners unable to initiate construction work due to these difficulties (Akomea-Frempong et al., 2023).

4.1.2. Scope, Time and Cost of the PPP for Housing Development in Addis Ababa

The survey results analyzed the scope of assigning the partners' responsibilities, the timely implementation of the plan, and the redistribution of project implementation costs among the partners. These aspects were thoroughly discussed to assess their interventions on the overall effectiveness of the PPP initiatives. The equation below shall demonstrate the measurements of these dimensions.

Equation 2: SCO =~ 0.78ids + 0.65irw + 0.67iks + 0.45ikr + 0.35ibr + 0.53ist

Comparative Fit Index (CFI) 0.945, this result indicates the model was a good fit and the result is dependable.

Tucker-Lewis Index (TLI) 0.881

Whereas:

- iks= scope base line preparation
- ist= requirement traceability matrix
- irw= preparation of work breakdown
- ibr= require elements for implementation
- ikr= requirements for planning met
- ids=scope statement prepared.

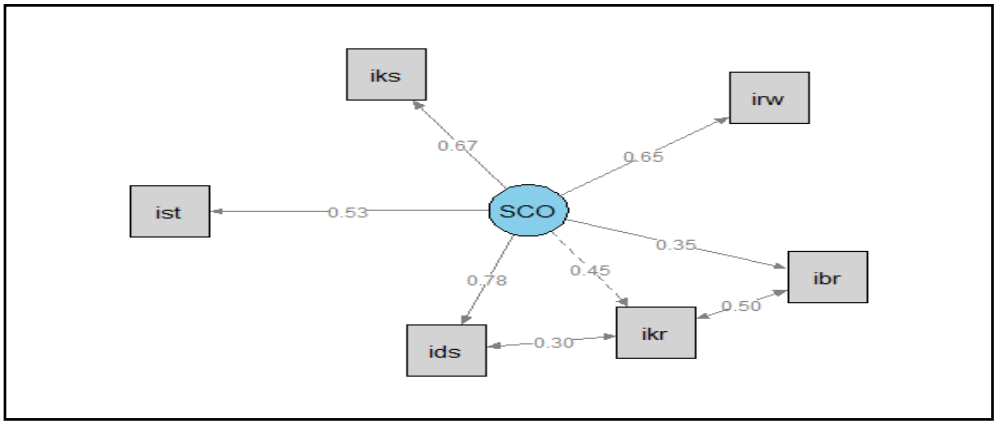


Fig 2: Loading factors of scope
***Source**: Survey December (2024)*

Figure 2 illustrates the outer loading factors of the latent variable "SCO" (Scope), derived from the survey analysis conducted in 2024. The

Comparative Fit Index (CFI) of 0.945 and the Tucker-Lewis Index (TLI) of 0.881 suggest that the overall model fits the data well, with the CFI value nearing the recommended threshold of 0.95.

The highest loading factor, 0.67, corresponds to the measured variable "iks," indicating that the scope of the baseline preparation variable is strongly and positively associated with the latent construct of Scope. Meanwhile, preparation of the detailed action plan and work traceability matrix has lower loading factors, ranging from 0.30 to 0.65. These values signify relatively weaker relationships between these measured variables and the latent Scope construct. The table below provides a qualitative data that would complement the quantitative findings.

Table 3: *Extraction of qualitative data on scope, time and cost*

Theme	Description	Qualitative data
Scope	Identified what is expected from both parties Private partner design, finance, and build, quality, number. Public institutions availing plots of land having water and electric access	The interviews helped to identify that the finance of private partners, design, and build clearly stipulated in the contract. Public institutions prepare plots of land with access to water and electric supplies. The quality and room sizes of 30% of the houses to be delivered were not clearly identified.
Time	Preparation of schedule for each activity, delivering as per the schedule	Schedule was prepared, but delays in land delivery due to third party claim, delay in SPV establishment in some partners, 14 out of the 22 private partners did not start construction on time
Cost	Clearly allocating budget for the project finance, and land	The allocation of cost was well done but, staggered to timely transfer land and some of the private partners took

		longer time to show 30% of the cost in time and lagged the commencement of the construction
Stakeholders' engagement	Involving the private partners, consulting end users	Private partners participated in the consultative activities and decisions Private partners not engaged in risk identification; and the beneficiaries of the housing units have not been consulted

***Source**: Analysis of extracts from interviews, 2024*

As indicated in Table 3 above, qualitative data revealed that the PPP contract clearly defined the responsibilities of the private partners. In a PPP contract agreement, the contracting authority is tasked with providing land to the private partner. Additionally, it is crucial to ensure the signed contract includes detailed specifications such as the number of rooms, room sizes, material quality, and finishing standards for the houses to be constructed by the private partner.

Moreover, secondary data analysis supported these findings, demonstrating that the signed PPP contracts outlined the scope of the project, including private developers' roles in design, financing, construction, and delivering the agreed-upon buildings, green areas, and playgrounds. Qualitative and quantitative data consistently demonstrated that the scope was clearly delimited and that both parties fulfilled their respective responsibilities. However, delays were noted, primarily due to some private partners taking longer time to allocate the 30% share and commence construction. This finding clearly proved the shallow nature of PPP market maturity (Casady, 2023:17; Song et al.).

4.1.3. Institutional Capacity of Addis Ababa PPP Offices

This section addresses the institutional capacity of the Addis Ababa PPP Office and the Addis Ababa Housing Corporation, particularly regarding the operation of systems, rules, regulations, and trained experts capable of managing the complexities of PPP contracts and cases. With the underlying

aspirations to undertake the institutional capacity, both the survey data and qualitative data have been reported in the forthcoming paragraphs.

Figure 3 presents a Confirmatory Factor Analysis (CFA) diagram prepared using R-Studio, which depicts the institutional capacity of the PPP institution. The equation at the bottom of the graph defines the relationship between the latent variable "Institutional Capacity" (EFF) and its predictors:

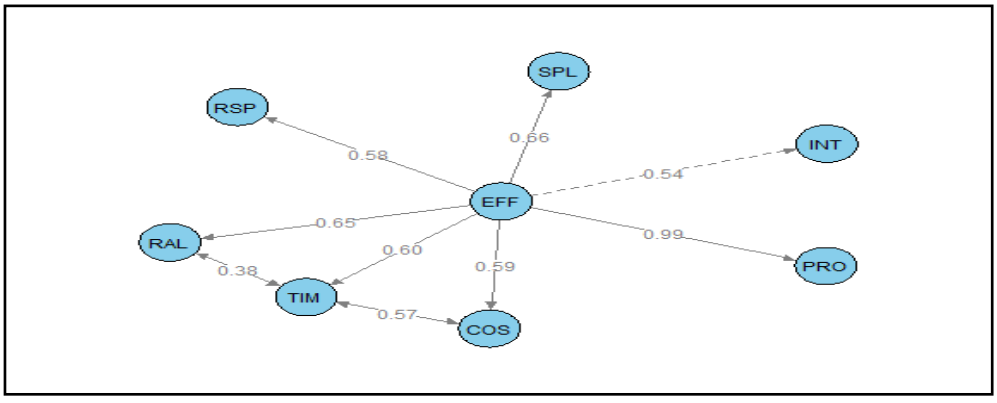


Fig 3: Institutional capacity of PPP institution.

Equation 3: Equation 3: EFF = 0.99 PRO + 0.54 INT + 0.6 TIM + 0.39 COS + 0.65 RAL + 0.66 PL + 0.58 RSP.

This equation indicates that the Institutional Capacity (EFF) of the PPP institution is positively influenced by several factors: including Procurement (PRO), Integration (INT), Time (TIM), Cost (COS), Resource Allocation (RAL), Planning (PL), and Stakeholder Participation (RSP). The diagram visualizes relationships between first-order latent variables and their corresponding second-order latent variables, with "EFF" as the central latent variable representing Institutional Capacity. Path coefficients in the analysis show that institutional capacity is directly influenced by outer latent variables such as integration, risk identification, and transparency in bidding. The institutional capacity of the PPP institutions of Addis Ababa City was assessed based on seven latent variables, with a statistically significant P-value of 0.000 for all variables. This underscores the presence of gap in execution capacity in the institutions.

As shown in Graph 3, the path coefficient between procurement (PRO) and institutional capacity (EFF) was 0.99, indicating a strong relationship between the two. This result was supported by qualitative data, particularly in attracting financing from the eight private partners. Additionally, division of resource contribution of among partners contributed positively to institutional performance. One of the major observations was that the entire process lacked transparency and was not competitively structured. The city administration determined the price under the 70/30 modality, where private partners acted as price takers, and a deviation from international practices. This study focused on the planning process, and further research is needed to assess the effect after the construction phase concludes and houses are delivered to the city and the beneficiaries

Table 4: *Extracts of qualitative data on Institutional Capacity*

Theme	Description	Qualitative data
Capacity	Institutional capacity to coordinate, responsiveness	- Encouraging practices in planning, contract document preparation, contract administration experience, -There is gap in timely engaging all private partners to the construction process, detailed follow up plans not prepared, contract
Expertise	Expertise of managing the complex nature partnership,	-Have project coordinating and supporting staffs -the contracting office Addis Ababa Housing Corporation have engineers, and management staffs
Knowledge	Training on contract administration, project management, PPP knowhow	Trained staffs in engineering and management related lacks training on public private partnership
System	Established system which handles PPP	-PPP office is responsible for document preparation to the partner

	process of engaging private partners, responsiveness, rules,	selection; the housing corporation is a contracting office and responsible for the contract administration
Laws	Presence of directives, regulations	Have PPP directive, procurement directive specially designed for PPP, Have regulation 128/22

***Source**:* Analysis of extracts from interviews, 2024

The interviews revealed that, Table 4, as of data collection, only seven out of 22 private partners had initiated construction activities. Though, delays were attributed to both parties: some private partners lacked experience, financial resources, and technical capacity to meet contractual requirements within the agreed timeline. The empirical findings align with a study conducted in Kenya, which indicates that failing to adhere to timelines and inabilities in handling institutional capacities negatively affect the effectiveness of PPP implementation (Giti, 2023). Additionally, factor loading results indicated that specific timelines defined in contracts, such as the three-month period for depositing 30% of the total project cost, had a moderate relationship with institutional effectiveness, with a path coefficient of 0.6.

The interview data revealed that the Addis Ababa PPP system is well-established, beginning with board committees that provide strategic direction. A PPP Office, directly accountable to the Mayor's Office and the board, oversees the preparation of PPP documents, the selection of private partners, and overall supervision. In terms of regulatory frameworks, the city has a PPP regulation aligned with Federal PPP Proclamation 1076/2018, supplemented by a procurement directive tailored to the unique nature of PPP projects.

Despite these established systems and frameworks, challenges remain in effectively integrating and coordinating PPP projects. This is evidenced by the fact that 63.6% of private partners failed to commence construction on time, largely due to gaps in private partner selection stemming from institutional capacity deficiencies. Additionally, issues such as insufficient detail on room size and quality in contract documents further highlight weaknesses in institutional capacity.

These findings are consistent with Sue Godt's assertion that inefficiency within public institutions and states inevitably leads to poor delivery of services (Godt, 2023). Addressing these gaps in institutional capacity, especially in project coordination and partner selection, is critical to ensuring the successful implementation of PPP initiatives and planning.

4.1.4. Resource Allocation, Risk Sharing and Quality

This section examines the agreements outlined in the contractual document regarding the allocation of resources required for executing the housing construction project. It also investigates whether the risk-sharing processes were systematically implemented to mitigate potential project failures. Additionally, it states how quality assurance measures for the houses under construction were incorporated into both the contractual document and the planning phase.

The quality assurance mechanism of these projects are critical for safeguarding public interest and ensuring compliance with minimum housing standards (Batra, 2022). As indicated in Table 5, one of the interviewees from the private partners noted that key quality indicators—such as material specifications, the number of rooms per house, and room sizes—were not clearly defined in the contractual documents. In a nutshell, the gaps in practice the improvement required to better integrate quality assurance into the agreements and planning processes.

These unresolved issues were anticipated to be addressed during subsequent renegotiations. As the literature suggests, the private sector cannot be held accountable for matters that were not negotiated and signed within the scope of the contractual agreements. This falls in tandem with the findings of Oksana et al. (2020), which emphasize that for PPPs to be effective and successful, risks, responsibilities, and obligations must be allocated among the partners through institutional mechanisms and based on binding frameworks.

Equation 4: RAL =~ 0.7 wrmpp + 0.5 iirmp + 0.74 iktca + 0.49 ikrbsc

Whereas: wrmpp = I participated in resource management plan that was prepared, iirmp = I have information that resource management plan

prepared, iktca= team charter was prepared, ikrbsc = resource breakdown structure prepared. The factor loading for the resource management plan was 0.7, and for the signing of the team charter between contracting parties were 0.74. Both measured variables demonstrated a strong relationship with resource allocation. However, qualitative findings revealed that delays in signing the team charter and preparing the resource breakdown significantly deterred project schedules. Consequently, only 8 out of the 19 private partners had commenced actual construction work, representing a 42% engagement rate in the construction process at a time when the data fieldwork was conducted

Table 5: *Extracts of the interview on resource allocation, risk, and quality*

Theme	Description	Qualitative data
Finance	The budget required for the design and construction	- Private partner expected to cover 30% of the finance from own source, and 70% through the bank loan -The capacity of the private partner to raise the 30% of the finance at the required time often raises serious concern
Land	Plots of land having electric and water access	The city allocated most of the land in time, but in some cases due to third party claim. Location changes in some case happened.
Incentives	Tax reduction or exemption, custom clearance issues, priority to locally manufactured and local materials	No incentives have been allocated, only support letter produced to whom it may concern
Risk	Is risk identification involved both parties, are there chance of allocating risk based on negotiation to the best capable party	One party assigned and the other took it hoping to maintain good relationship for future opportunities
Quality	Standard, room number, and size	-The contract overlooked these issues and focused on the number "30%"

Source*: Analysis of extracts from interviews, 2024*

The analysis of the interview result in Table 5, underscores the importance of specifying the room size and material type in the contractual documents and closely monitoring resource allocation and project scheduling to improve the effectiveness of PPP implementation for affordable housing development in Addis Ababa. These findings align with the study on the applicability of PPP in Kenya for housing development, which emphasized the need to strengthen

government institutional capabilities, provide robust political support for PPP initiatives, and focus on comprehensive risk assessments (Giti, 2023).

4.1.5. Risk identification and sharing

Equation 5: RSP =~ 0.92icipr + 0.85ikrpda + 0.76ikqram + 0.72ikquram

When we see the model fitness the result of Comparative Fit Index is 0.995 and Tucker-Lewis Index 0.970 indicating the model fitted very well. This equation indicates that the latent variable "Risk Sharing and Participation" (RSP) is influenced by various measured variables, including icpr (risk identification), ikrpda (risk planning), ikqram (qualitative risk assessment), and ikuram (quantitative risk assessment), with the corresponding path coefficients. The central latent variable in the diagram is "RSP", which represents the "Risk identification and sharing" construct.

In the PPP arrangement risk minimization strategy attained by jointly identifying risk between the public institution and the private enterprise (Bagenda & Ndevu, 2023). The survey data analysis result shown risk was transferred to the private partner. However, the result of the qualitative data indicated though risk shared to the private sector the process of identification of the risk and its sharing was not participatory. This means risk not shared based on negotiation rather assigned which might compromise the effectiveness of the mitigation strategy.

Graph 4, presents the results of a Confirmatory Factor Analysis (CFA) diagram illustrating the "Risk Identification and Sharing" model, based on the survey analysis conducted in 2024.

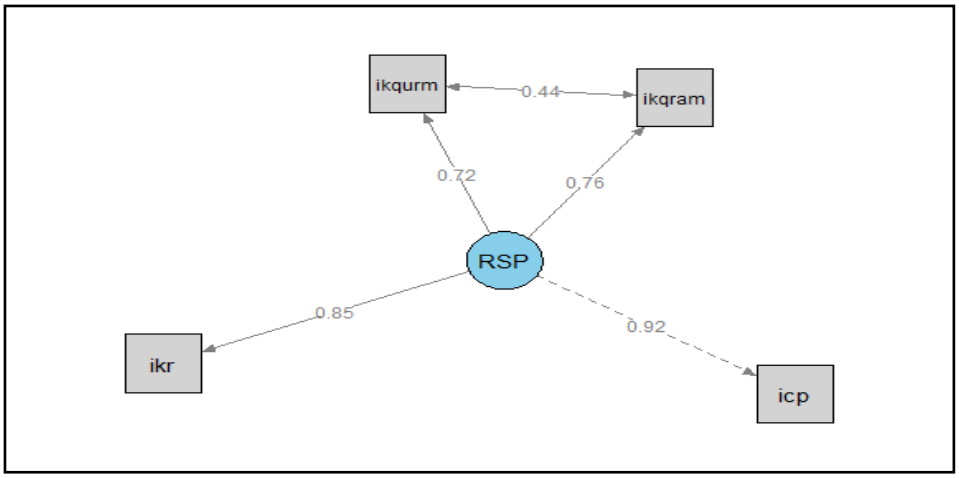


Fig 4: *Risk identification and sharing*

The risk sharing and identification dimension have been influenced by all measured variables, as indicated by the path coefficient results, which were consistently above 0.7. These results signify strong positive relationships. The city administration has taken the responsibility for risks associated with the provision of land and utilities, while private partners were responsible for risks related to design, financing, and construction management. However, these responsibilities were not often negotiated to the greater extent. Without clear, negotiated risk-sharing agreements, it becomes unlikely and unprofessional to decide which party would be better equipped to bear specific risks. This lack of clarity continues to undermine the overall successes of project goals.

Interview excerpts, as presented in Table 5 above, along with signed contract documents, confirmed that risk responsibilities were predefined rather than negotiated. The public sector was tasked with managing risks related to land and utilities, while the private sector has dealt with risks associated with financing, design, and construction.

As shown in Graph 4, the path coefficient for the "Risk Identification and Sharing" variable was 0.58, indicating that this aspect was insufficiently treated in the partnership agreement. This underscores the importance of negotiated risk-sharing mechanisms to ensure the success of PPP initiatives. These findings align with a study on the “Influence of Public Credit Risk on

Private Capital in PPP Models," which highlighted those private investors tend to select projects aligned with their risk tolerance levels (Li et al., 2023).

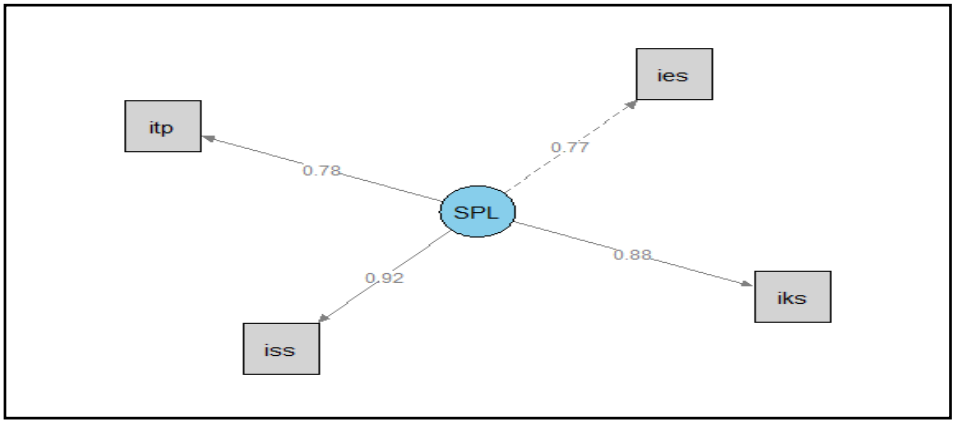
4.1.6. Stakeholder Engagement

In the context of analyzing the PPP housing of Addis Ababa City Administration, stakeholders include those directly affected by the project, both internally and externally. These stakeholders comprise the end users, private partners, and the contracting authority. These are actors directly involved in the city's PPP housing initiatives and projects.

The results obtained from the survey data, which were analyzed using Confirmatory Factor Analysis, along with findings from the thematic analysis of qualitative data, have been discussed and triangulated to provide comprehensive insights complementing with other dimensions of the PPP framework in housing sector. The equation below provides the formula for undertaking the stakeholder's analysis and the variables deployed to measure it.

Figure 5 below presents a CFA diagram depicting the "Stakeholder participation" model developed based on the survey analysis conducted in 2024/25. The equation at the top of the graph shows the mathematical representation of the model:

Equation 6: SPL =~ 0.77ieis + 0.88ikspppi + 0.92issac + 0.78itpsmp



Graph 5: *Stakeholder participation*
Source*: Survey December (2024)*

Whereas:

- ieis (stakeholder identification)
- iksppi (stakeholder involvement in implementation)
- issac (stakeholder analysis)
- itpsmp (stakeholder participation at the planning stage).

The central latent variable in the diagram is "SPL", which represents the "Stakeholder participation" construct. This dimension is directly influenced by the measured variables iksppi, issac, and itpsmp, as designated by the path coefficients of 0.88, 0.92, and 0.78, respectively. The path coefficients, ranging from 0.77 to 0.92, indicated the presence of strong influence of the measured variables on the latent variable of Stakeholder Participation and Linkage. This suggests that the PPP institutions have effectively engaged stakeholders.

However, qualitative data in Table 5 uncovered gaps in stakeholder participation. While private partners, public officials, and experts involved in planning were recognized as stakeholders, and end-users (residents) were not adequately consulted. Additionally, pre-determined allocations of 70% of the buildings to be constructed allocated to the private partners as a compensation of the cost it incurred in the construction process and 30% of the houses to public sectors this makes stakeholder participation limited for it lacks flexibility and open negotiation.

Comprehensive analysis of the stakeholder participation model highlights the importance of integrating diverse stakeholder perspectives-especially those of end-users into decision-making and project delivery. Doing so can enhance the effectiveness of PPP frameworks for affordable housing in Addis Ababa. These findings fall in line with the study by Muthoni and Obuba (2023), which noted that cities like Singapore and Boulder benefited from robust stakeholder participation in PPP, whereas Meru, Kenya, did not fully capitalize on such participation. Similarly, findings by Chileshe et al. (2022) in Kenya echo Addis Ababa's experience. While facets like housing designation, partner consultation, cost estimation, and contract signing (with 22 private partners) were handled successfully. Overcoming, all the

prevailing challenges are essential to optimizing stakeholder engagement and improving the overall outcomes of PPP initiatives.

5. Conclusion and Recommendations

Conclusion

This study focused on the analysis of the planning phase of the PPP for housing development in Addis Ababa City Administration. While the city has taken remarkable steps in introducing alternative financing options and there are areas that still demand improvement. In this regard, the city administration witnessed making commitments in integrating the initiation; planning, preparing the contract document and getting it signed, and pushed the private partners to start the construction process.

Regarding clearly identifying costs and assigned 70% of it assigned as the private partners contribution, the resource allocation of the finance, design, and resources essential for the construction process well planned. In addition, the preparation of the overall planning, contract document preparation, and getting it signed by the invited private partners were the major success achieved in the planning phase. Therefore, the city administration was witnessed promising results in integrating the initiation, planning, preparing the contract document and getting it signed, even in getting some of the private partners to start the construction process.

Among others, lack of participatory risk identification by private partners and the public institution constituted the key challenges undermining the operation of the planning phase. In addition, partners were also expected to agree on how unforeseen risk handling mechanisms are put in place. This engagement requires assigning roles to the parties in terms of their capacity and experience to handle risks towards the major goal of constructing houses through partnership.

Transparent and competitive procurement processes were also not achieved at the planning phase; demonstrating that this situation can't guarantee that public interest to meet its expectations. The competition gives those partners technically, and financially capability to mobilize better finances and constructs more houses to meet demands.

These drawbacks are attributed to the poor institutional capacity and lack of experience on the practices of Public Private Partnership. As a result, the preparation of the partnership contract document missed essential components that assure of the quality of the houses and room size including the material type used for constructions. The provision of (30%) alone can't guarantee the value for money of the land allocated for the PPP arrangement as contribution on the side of the City administration.

Furthermore, the limited involvement of housing beneficiaries during the planning and implementation stages revealed a critical a gap in stakeholder engagement, which would compromise the long-term sustainability of housing projects.

Recommendations

To enhance the effectiveness of the PPP framework for at the planning phase of the housing development in Addis Ababa, the following recommendations are proposed:

1. **PPP initiation and planning-** to ensure the sustainability of PPP it is key to consult the end users of the houses on the type, size, room numbers and even on the cost recovery up on rent or transfer. There must be a mechanism for encouraging the private partners to invest their resources in the public sector. This requires to be well documented in the planning phases so that it could be possible to offer incentives, priority in getting raw materials, administrative support or could be minimum profit guarantee.
2. **Promote Transparent Procurement Processes**: develop transparent and competitive procurement mechanisms that allow private entities to negotiate terms. This approach will help balance the private sector's profit motives with the public's need for affordable and accessible housing.. Having clear and transparent procumbent processes shall, minimize corrupt behaviors from the side of the public institutions and opportunistic behaviors in the side of the private partners.
3. **To ensure success in the implementation of PPP,** scope of the contract agreement has to be defined. In this case, the responsibilities of the private partners have to be clearly defined and should be annexed explicitly in the

contract document, because once the document is signed, it becomes binding before the law and failing to meet these clauses brings fine.. Moreover, the plan and the contract documents need to demonstrate the time when each of the milestones should start, accomplished and delivered.

4. **Enhance Stakeholder Engagement**: actively engage beneficiaries of housing development, especially residents, in the planning and implementation stages. Their perspectives help to ensure that housing projects align with community needs and gets acceptance.
5. **Strengthen Institutional Capacity**: prioritize investments in capacity-building programs for PPP implementing offices. This will empower them to effectively manage projects, address risks, and harmonize the interests of private partners meeting public interests, laying the ground for smoother project initiation and execution.
6. **Risk identification**, sharing between partners, and designing mitigation strategies: PPP is a long-term contract requiring large amount of finance. This situation demands sharing the inevitable risks such as inflation, bankruptcy of the private partners, regime change in the public institutions, and policy changes. The main goal would be capitalizing on the strengths of each party and put mechanisms for sharing the risks at a planning phase...

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