



# Cities Development Initiative for Asia

## Investing in Asia's urban future

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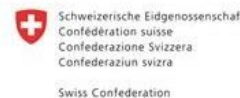
## Socially Inclusive Development in the Urban Sector

### - the case of Wastewater Management in Colombo



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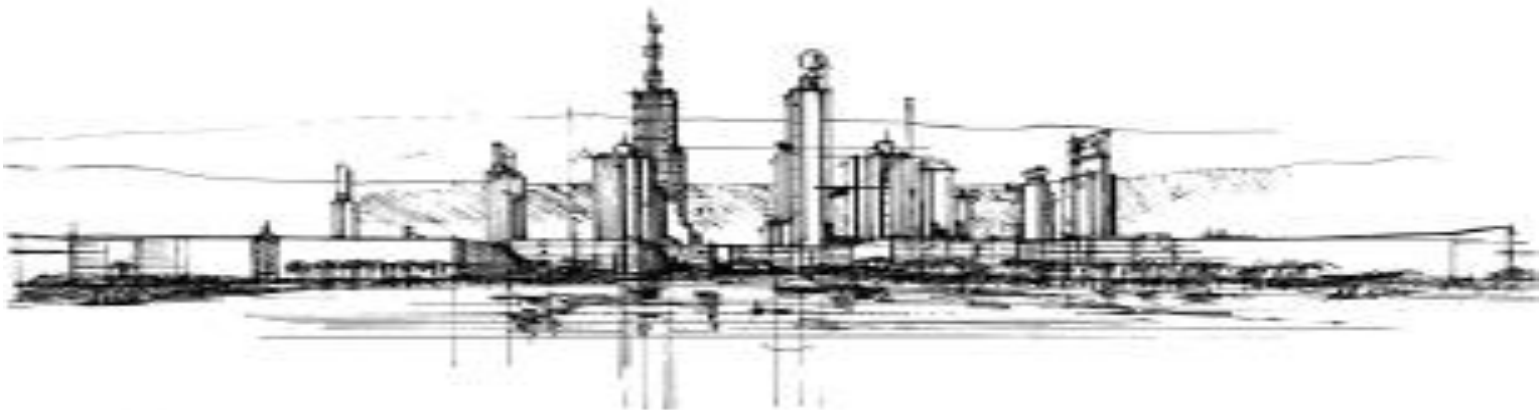
**ADB Brown Bag, Feb 2015**





# Background

**of the Wastewater Management Project in Colombo  
and of the Partnership ADB - CMC – CDIA**



# CDIA Pre-Feasibility Study (PFS) for Wastewater Management in Greater Colombo

## Main objectives

- To assess the existing sewer system and prepare a strategic plan for future investments
- To study the impact of hap-hazard solid waste dumping into the wastewater system
- To develop an strategy of storm water management
- To assist CMC in identifying possible financial resources and cost recovery options
- To strengthen the institutional system by providing recommendations for CD



## PFS Phases

### Prepared

#### Mobilization

- Review of ToRs
- Identify data requirements
- Stakeholder identification and analysis
- Communication plan development for steering committee and working groups
- Start-up Meeting

June

### Assessed

#### Inception Phase

- Initial fact-finding through interviews, study visits, data
- City profile and wastewater assessment
- Initial institutional capacity assessment
- Initial social and poverty assessment
- Initial environmental assessment

July

### Structured

#### Interim Phase

- Fact-finding and draft recommendations
- Conceptual design of prioritized projects
- Linkage to other sectors, synergies
- Integrate assessment of crosscutting issues
- Financial and economic analysis

September

### Packaged

#### Final Phase

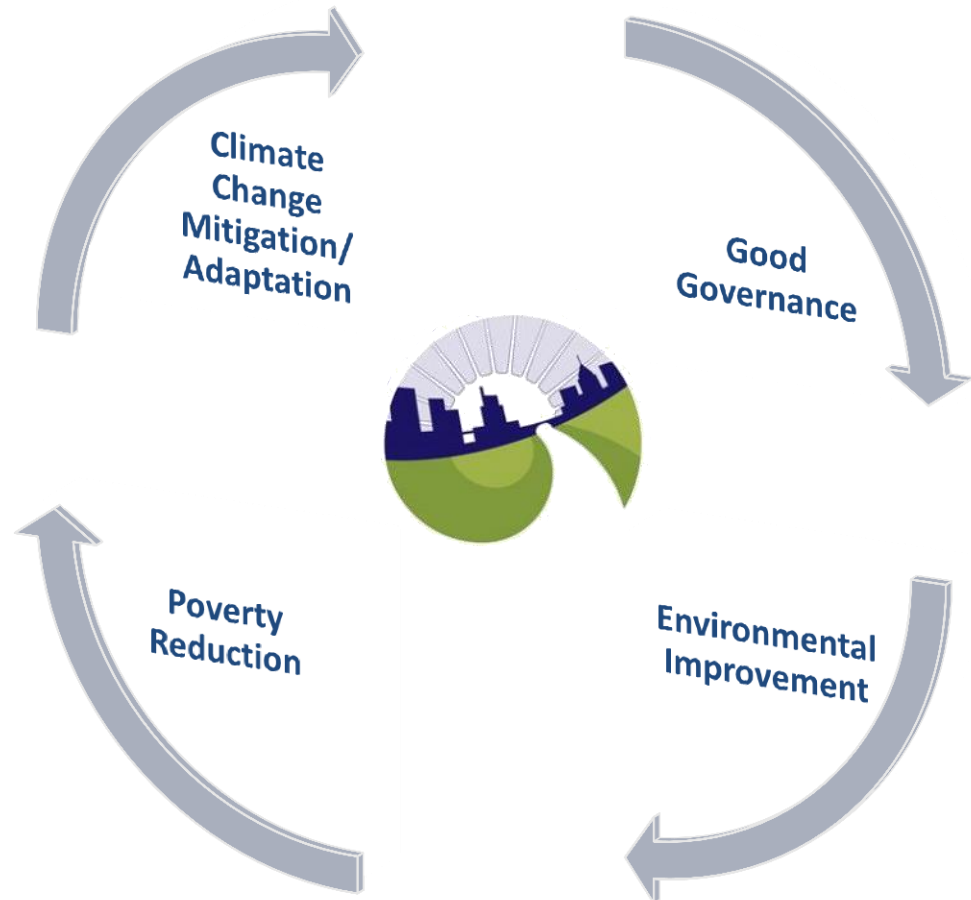
- Presentation and final discussions with stakeholders
- Project packaging- Social impacts, financing options, implementation arrangements, risk assessment, etc.
- Capacity Dev. Plan
- Recommendations
- Final PFS report

Oct/Nov

## Mandate

CDIA provides assistance to medium-sized Asian cities to bridge the gap between their development plans and the implementation of their infrastructure investments.

## Development Impact Areas



## The Pro-poor and Socially Inclusive Checklist

- A tool to ensure that poverty reduction and social issues are considered in the preparation of PFS
- Describes 9 steps as minimum requirements in the PFS process with regard to poverty, gender, vulnerable, and minority groups
- Serves as a guide for the Social Development Consultant
- Allows flexibility to choose the appropriate format for the report



# The application of the Pro-poor Checklist

## CONSULTATION AND STAKEHOLDER INVOLVEMENT

Poverty and Social Inclusiveness: Gender, Vulnerable and Minority Groups



### PREPARATION / ASSESSMENT

- STEP 1:** Poverty profile related to the city and sector
- STEP 2:** Stakeholders and Institutional analysis
- STEP 3:** Specific conditions and needs of the target groups



### STRUCTURING / PACKAGING

- STEP 4:** Specific Objectives and Indicators for Poverty Reduction in the proposed project
- STEP 5:** Specific Project Design Features to ensure Pro-Poor Impacts
- STEP 6:** Assessment of Expected impacts
- STEP 7:** Safeguarding of Negative Impacts
- STEP 8:** Risks and Risk Management
- Step 9:** Financial considerations for implementation of pro-poor features

# Step 1 – Poverty Profile related to sector & city

## Underserved Settlements of Colombo City in 2012



## Poverty level of Colombo

( Source: Census & Statistic Department - SL)

**2002/03 - 6.4%**

**2006/07 - 5.4%**

**2009/10 - 3.6%**

## USS – Under Served Settlements

In 2011;

**1,735 USSs identified**

**250,000 Populations (Approx:)**

**•0.4% - Extremely Poor**

**•5.9 % - Underserved**

**•54.4 % - Upgraded**

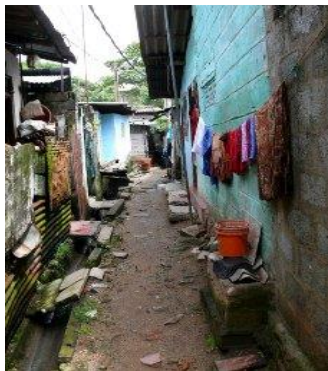
**•39.3% - Fully Upgraded**

Source : Profile of Underserved Settlements, 2012, City of Colombo- SEVANATHA



## Infrastructure / Social Status of USSs

- Sanitary and health conditions of the slum dwellers are very low.
- 17% of USSs lack of safe toilet facilities.
- 18% of USSs don't have proper drainage and sewage disposal systems.
- USS in low lying areas and marsh lands are often affected during rainy season.
- Children are the most vulnerable to get affected by diseases such as respiratory problems, parasitic infections, and diarrhea.



## Step 2 – Stakeholder and Institutional Analysis

### Identification of key stakeholder

- The Public
- Local Government Bodies
- Donor Agencies
- NGOs and CBOs
- ...

### Development of institutional framework for WW in Colombo

- CMC
- NWSDB
- SLLRDC
- UDA
- GCWWP
- LEI&CDP
- CEA
- ...

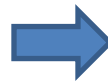


**Identification of beneficiaries/ target communities**

## Step 3 – Specific conditions & needs of target groups

### Specific Conditions

- Living in high vulnerable areas, e.g. flood-proned low land area
- Poor health conditions resulting in short life expectancy, high infant mortality and high death rates among the inhabitants
- Low income impede to pay for improved services



### Needs of Target Groups

- Safe livelihood without hazards
- Healthy urban environment
- Easy and permanent access to basic services
- Job opportunities
- Functional and safe access to sanitary facilities

## Step 4 – Specific Objectives and Indicators for Poverty Reduction in the proposed Sector/Project

### Main Objective

- To improve the environment, public health, and quality of life for urban and suburban residents in Colombo through the provision of 100% piped sewerage coverage in the city

### Selected inclusiveness indicators

- Reduction of water borne diseases: 50 - 75% infection reduction of the poor and disadvantaged people in wards compared to pre-project status
- Reduced wastewater leakages: 75% reduction of water lost through the sewer network in areas of poor and disadvantaged residents
- Employment and livelihood opportunities resulting from WWM construction and maintenance – 25% of low income HHs in USSs get new jobs in construction and 15% in maintenance compared to the pre-project status
- Smooth traffic flow: 90% reduction of complaints from people living in and near USS on road blocking/ transport problems due to overflows/leakages from illegal storm water - sewer interconnections

## Step 5 – Specific Project Pro-Poor Design Features

- Measures to minimize resettlement and lost of livelihood for families
  - Space reduction for facilities
  - New technologies like vacuum sewer networks
- Social Safeguard and Resettlement Action Plans to minimize potential adverse impacts during the project implementation phase
  - Community consultations in a participatory way
  - Skills training for new employment opportunities
  - Involvement of CBOs and women in project implementation process
  - Awareness raising campaign on sustainable WWM & Sanitation
- Affordable service provision
  - Analysis of expenditure for WW & Sanitation
  - Reduced taxes or block tariff for low income families



## Step 6 – Assessment of expected Impacts

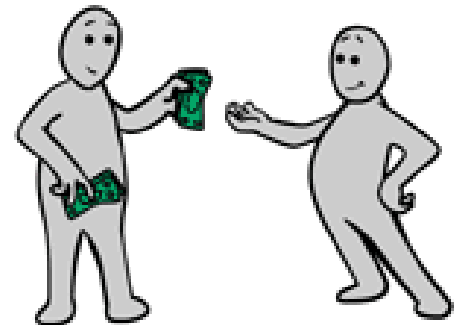
Interventions	Positive Impacts	Negative Impacts
Sewer Upgrading and Rehabilitation  Sewerage to Unserved Areas	Improved Health conditions of residents  Clean living environment  Mental condition of pro-poor community will enhanced  Job opportunities during project implementation  Enhanced image of USSs and creation of more livelihood opportunities	Road Blocking, Transportation Problem, Parking disturbance
WWTPs at Madampitiya and Wellawatta		Nuisance caused to the neighborhood due to odor, flies, mosquitoes Malodorous environment due to the overflow/leakage
WWTP at Mutuwel (Site Close to Fishery Harbour)		Disruption to the local community due to construction work  Health hazardous , risks due to the existence of vermin, insects, flies,
		Involuntary HH resettlement in Muthuwel area.  Disturbances to livelihood in come of Fishery Communities

## Step 7 & 8 – Safeguarding of negative impacts & risks

Interventions	Risks	Safeguarding Measures/ Actions
<p>Sewer Upgrading and Rehabilitation</p> <p>Sewerage to Unserved Areas</p>	<p>Residents &amp; business, owners losing access to private parking space, and vehicle owners losing access to secure parking lots</p>	<ul style="list-style-type: none"> <li>• <u>Program of Action</u> for unavoidable <u>resettlement</u>: develop an Entitlement Matrix and pay the compensation for all adversely affected persons (land/money)</li> <li>• Provide <u>skills training</u> and ensure <u>recruitment of low income people</u> for the project implementation</li> <li>• <u>Community consultation and disclosure Strategy and Approach</u></li> <li>• Identify and train <u>community facilitator(s)</u> and form a <u>Community Dev. Council (CDC)</u></li> <li>• Set up <u>Grievance Redress and Conflict Resolution Mechanism</u></li> </ul>
<p>WWTPs at Madampitiya and Wellawatta</p>	<p>Temporary disruption of livelihood due to disruption of transport</p> <p>The influx of outsiders/ Migrant laborers</p>	
<p>WWTP at Mutuwel (site close to fishery harbour)</p>	<p>Land acquisition near the Muthuwel fishery harbor</p> <p>Disturbances to livelihood in come of Fishery Communities</p>	

## Step 9 – Financial considerations

- Social safeguard costs including pro-poor design features should be included in the project implementation costs
  - cost estimates: approx. 400 to 500 Million Rs.  
(1.5 to 2% of the total costs) for the proposed project
- Agreement with UDA to provide apartments for 37 families living in underserved settlements with a cost of Rs. 5 Million for a house
  - livelihood of families has to be considered and measures to be integrated accordingly





## Participation

- 10 Community meetings and discussions in regard to livelihoods affected by the wastewater lines and canals, treatment plants, and pumping stations
- 15 Stakeholder meetings including CBOs and NGOs
- 7 Focus group discussions with the communities living within the affected areas in regard to impacts
- ...



# The Pro-poor Checklist and PFS processes

	PRO-POOR CHECKLIST	Summary PFS ACTIVITIES	Aspects / Groups	
			Pro-Poor / Gender Vulnerable / Others	
PFS PHASES	Inception report	<ul style="list-style-type: none"> <li>- Kick-off meeting</li> <li>- Preliminary assessment, work and communication plan</li> <li>- Data collection and analysis</li> <li>- Stakeholder's consultations</li> </ul>	Introduction of Checklist to consultancy team and government officials.	
			1. <b>Poverty profile related to the city and sector</b>	1 & 2 Poverty and pro-poor, women and vulnerable groups in relation to the sector(s).
			2. <b>Stakeholder and Institutional Analysis</b>	
	Mid-term/ Interim report	<ul style="list-style-type: none"> <li>- Validation of data</li> <li>- Participatory assessment (consultations with potential beneficiaries)</li> <li>- Alternative options</li> <li>- Discussions with the Steering Committee</li> <li>- Presentation of the interim phase</li> </ul>	3. How were the poor consulted to find out gaps, needs, requirements, affordability?	
			4. <b>Specific conditions and needs of target groups</b> ( <i>Gaps, needs affordability</i> )	4. How many poor population, men, women and vulnerable population will <b>directly</b> benefit from the project?
			4. <b>Specific objectives and indicators</b> ( <i>Design and Monitoring Framework</i> )	
	Draft final and final report	<ul style="list-style-type: none"> <li>- Alternative Options</li> <li>- Design</li> <li>- Packaging</li> <li>- Ensuring the consideration of Development Impacts</li> <li>- Final presentation</li> </ul>	5. In which specific ways will the poor directly benefit from the project?	
			5. <b>Specific pro-poor design features</b>	6. What are positive direct and indirect benefits for the poor from the project?
			6. <b>Assessment of impacts</b>	
7. <b>Safeguarding</b> against negative impacts			7. If there are negative impacts what are the mitigation measures	
8. <b>Risks</b> and risk management	8. Are there any social risks?			
9. <b>Financial considerations</b> for implementation of features	9. If there are pro-poor, inclusive features what is the cost of implementation?			

## Challenges and limitations at PFS stage

Short-term consulting

Data availability and accuracy

Non-binding nature



## Benefits and Potentials for financier and city

Integrated, sustainable and improved project preparation

Guide for further investigation and consideration – reduced resources for PPTA

Participation and commitment of stakeholders

Initial Poverty and Social Impact Assessment (IPSIA) – reduced effort for PSA

# Adapt to the need of the city and its financier!

What? – Infrastructure sector

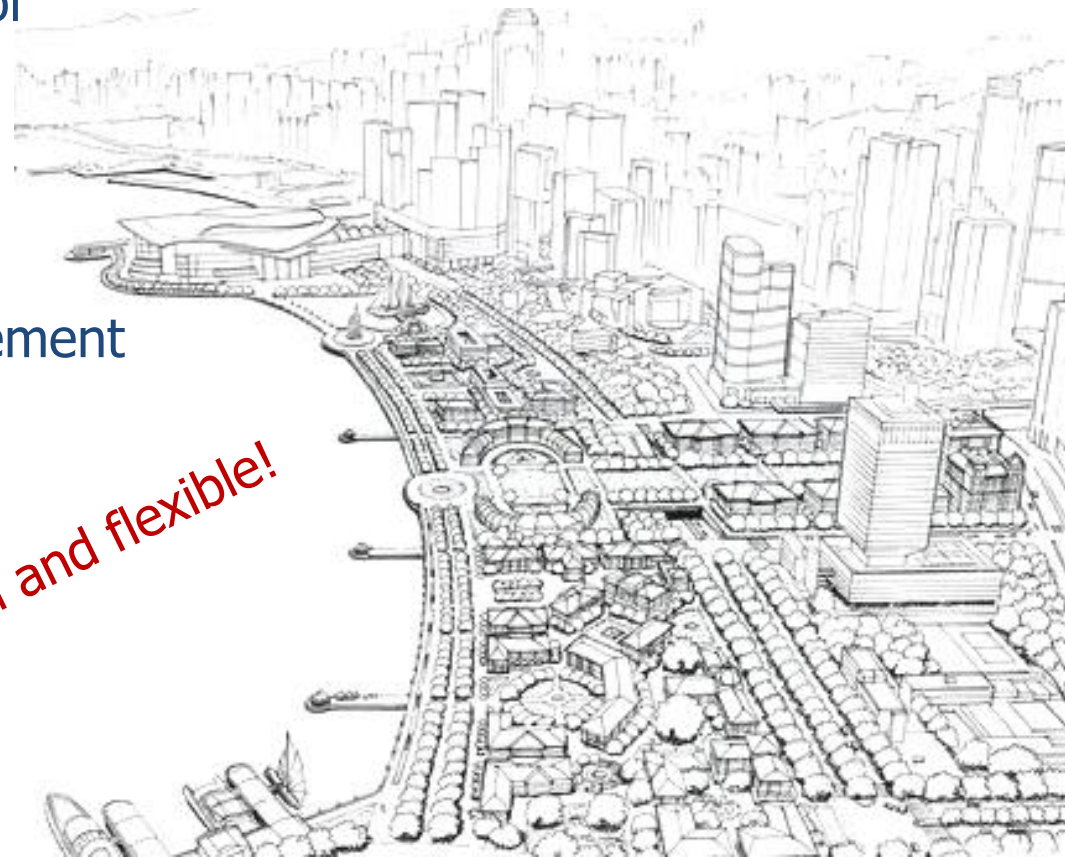
Where? – Boundaries

How? – Local conditions

Who? – Stakeholder involvement

When? – Time frame

*Demand-driven and flexible!*



# Ideas of Pro-poor Design Features per Sector

## Slum Upgrading

affordable standard of housing/ service, improve access to land,...

## Urban Renewal

subventions & incentives, affordable materials, new business opportunities,...

## Flood & Drainage

Integration of informal sector, participation of vulnerable groups,...

## Wastewater Mgt.

public/communal toilets, privacy & safety for women,...

## Water Supply

public/group/ individual taps, cost-effective technologies,...

## Solid Waste Mgt.

Waste Banks, locally produced carts, small fees each collection, ...

## Energy Efficiency

CB-Energy Associations, small-scale biomass plants,...



## Urban Transport

street lights, bicycle routes, safe parking, public transport, sidewalks, tariffs, separate lanes,...



# Cities Development Initiative for Asia

## Investing in Asia's urban future

Thank You

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