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Profile of Underserved Settlements City of Colombo – Sri Lanka

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SEVANATHA Urban Resource Centre
No. 102/02, Koswatta Road
Nawala, Rajagiriya
Sri Lanka

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This report was written by Mr. H.M.U. Chularathna and Mr. R. M. S. R. Rathnayake, under the direct supervision of Mr. K. A. Jayaratne, the President of SEVANATHA URC.

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CHAPTER ONE: Introduction

1.1 Introduction to the Profile of USSs

This Profile of Underserved Settlements [USSs] presents the data and information of all the USSs located within the administrative boundary area of Colombo Municipal Council based on a City-wide Survey carried out jointly by SEVANATHA Urban resource Centre, Colombo Municipal Council and Women's Development Cooperative Society of Sri Lanka [Women's Coop.] in the last quarter of year 2011. The profile is also an important output of a Four [04] Year project titled "**Building the skills and capacity of Colombo's urban poor to lobby and work with government to improve their living conditions**", supported by the UK Government, and executed by Homeless International [HI], a UK based Non-Governmental Organization [NGO]. SEVANATHA Urban Resource Centre being the local partner organization in implementing the above project with the Colombo Municipal Council and the Women's Coop.

It is also important to record, that in preparation of this Profile of USSs, the Poverty Profile of Colombo [2002], which was prepared jointly by SEVANATHA and Colombo Municipal Council [CMC] under the UN-Habitat supported Urban Management Programme [UMP], has been used as the base document.

1.2 Objectives, Scope, Activities and Outcomes

The close working relationship of SEVANATHA with Colombo Municipal Council during the past decade has resulted in initiating a number of community development related projects in the city of Colombo. The Urban Poverty Reduction Project carried out jointly by SEVANATHA and CMC between 1999 and 2002 has been one such important partnership effort in Colombo. Subsequently, during the period 2009 and 2010, SEVANATHA and CMC had a number of discussions in order to initiate a project for undertaking a city-wide survey of USSs in Colombo. In this context, with the consent of the CMC, SEVANATHA prepared a Project Proposal for seeking funding support of the UK government in the year 2010. The project proposal was accepted and funding support for a Four [04] year project titled "Building the skills and capacity of Colombo's urban poor to lobby and work with government to improve their living conditions" was thus provided which is currently in operation. The Project period is from March 2011 to March 2015

The project **goal** is to contribute to reduce urban poverty in Sri Lanka and to play a role in achievement of Millennium Development Goal 7, Target 11 (a significant improvement in the lives of at least 100 million slum dwellers). The **objective** of the project is the creation of an empowered city-wide network of organized poor communities in Colombo actively engaging government around improved living conditions.

The **scope** of the project is to physically and socially improve Sixty (60) selected underserved settlements in the City of Colombo in order to achieve the above objective.

The project envisages achieving three [03] main outputs listed below;

- Organized, strengthened and active poor communities.
- Poor communities with increased capacity to plan and implement demonstration housing and infrastructure projects in their settlements.

- An effective functioning of city-level Housing & Community Development Committee (HCDC) as a platform for active engagement between civil society and the Colombo Municipal Council, facilitating pro-poor changes in policies, practices, attitudes on housing, tenure and infrastructure provision, and creating effective working partnerships between poor communities and the Municipality.

The Key Project Activities

- City-wide survey and mapping of underserved settlements and prioritization of settlements for development intervention
- Baseline Study to identify and assess the capacity of existing Community Based Organizations (CBO's) across the city of Colombo
- Settlement-level baseline survey of 60 selected USSs.
- Formation of Community Development Councils (CDCs) where the CDCs are not functioning
- Initiate community savings & credit programme in 60 USSs.
- Community-level peer exchanges to facilitate linkages and mobilization of new CBOs
- Community training on CBO management, financial management and leadership skills.
- Workshops to raise awareness on rights and entitlements to secure tenure, adequate housing and infrastructure.
- Community Action Planning (CAP) workshops to develop settlement-level improvement strategies, conduct training for CBOs on service improvement, project management and construction activities.
- Facilitate CBOs to register with Institute of Construction, Training and Development (ICTAD) to qualify as recognized contractors to undertake community level construction activities.
- Plan and implement community infrastructure projects in USSs.
- Identify relevant stakeholders for the HCDC with the help of the CMC.
- Obtain the support of CMC to re-start the HCDC meetings in the Council.
- Facilitate conducting of monthly meetings of the HCDC by the CMC.
- Prepare settlement-specific and city-wide proposals for improvement of USSs and discuss these at the HCDC.
- International exchanges involving CMC and communities to learn from other countries in the Asian Region.

1.3 Methodology of implementing the project

The implementation of the project follows a Participatory Process where the urban poor communities, the municipality and other stakeholders engage in planning and project implementation stages by sharing information and responsibilities. The project team of SEVANATHA which includes a number of Community Mobilizers continues to interact with the household members of the USSs and the community leaders. Formation of community savings groups and community development councils in the USSs is an important step to facilitate the participatory process of the project.

The strong partnership between the Colombo Municipal Council, SEVANATHA and Women's Coop. enables smooth implementation of the Project activities. SEVANATHA and Women's Coop. agreed to share the responsibilities of implementation of some project activities such as establishment of Savings and Credit Groups in the communities, Community Trainings and organizing community exchange visits.

In order to ensure smooth implementation of the project, SEVANATHA carries out weekly progress review meetings involving its Project Team members, and the relevant Women's Coop.

leaders. A Project Review Committee [PRC] established at the CMC which is headed by the Municipal Commissioner, holds monthly meetings in order to review the progress of project activities and to assist project implementation process. This is an important forum where all the relevant Heads of the Municipal Departments are present.

In addition to the above, periodic consultation workshops on the project are held, inviting the relevant stakeholders including the community leaders in order to share the project progress and to obtain their feedback to improve the project implementation process.

1.4 Project Beneficiaries

The main project beneficiaries are the USSs' population, who constitute of people from different ethnic groups such as Sinhalese, Tamils, and Muslims. The selected 60 USSs also include people of all the above ethnic groups and hence, opportunities are available for all the ethnic groups to participate in the project and benefit from improvement works which will be implemented in the settlements. Within a settlement, men, women, children, elderly persons, differently able persons, and people who suffer from ill health will benefit through different project activities such as savings and credit programmes, sanitation improvement, skill development and training, exchange programmes and health programmes which will be implemented in partnership with the CMC and other stakeholders. The above categories of community members can be identified as the direct beneficiaries of the project. The indirect beneficiaries include the members of the Municipal Council, the Officials of the Municipal Council, academic and research community in Sri Lanka. In addition to the above, SEVANATHA project team members, and other stakeholders who are engaged in the project and utilizing the data and information about the USSs in Colombo and outcomes of the project such as the best practices generated by the project also benefit from the project.

CHAPTER TWO: Underserved Settlements in Colombo

2.1 A brief history of the City of Colombo

The city of Colombo located on the Western coast of Sri Lanka has been the Sri Lanka's Capital City created under the British Rulers. Sri Lanka has gained independence from the British rulers in 1948 and the status of Capital City remained until 1978 where the Government of Sri Lanka declared the adjoining Municipal area of Sri Jayewardenepura Kotte being the new Administrative Capital of Sri Lanka. However, the City of Colombo remains as the main Financial and Commercial Capital of Sri Lanka due to its historical development strength and the location advantages being the nodal point of rail and road transportation within Sri Lanka and the maritime connectivity to the world through the port of Colombo.

The name 'Colombo' seemed to have derived from the term 'KolonThota' which also meant **Port on the River Kelani** which is running on the Northern boundary of the City of Colombo. Therefore, it is quite evident that the city's main land mark is the Colombo Port.

Colombo is a city which has gone through many changes during the colonial rule, firstly with the invasion by the Portuguese from 1505 to 1656, and secondly by the Dutch from 1656 to 1796, and finally by the British from 1796 to 1948. All these foreign invaders had used the Colombo Port and its vicinity being the most strategic location for their security and administrative and trade purposes. Some of the significant land marks created by the colonial rulers in the City of Colombo are preserved. [Source: <http://www.trulysrilanka.com>]

The British rulers who ruled the country for the longest time (Over 130 years), had established administrative systems to govern the local, Districts and Provinces in Sri Lanka. The establishment of Colombo Municipal Council in January 1866 can be seen as one of the significant steps taken to create a strong local government administrative body in the country. After gaining independence in 1948, the local political leaders took over the administrative responsibilities of Colombo Municipal Council. At the time of the establishment of Colombo Municipal Council, it was evident that the city population had been around 80,000 persons.

As of today, the Authority area of Colombo Municipal Council which is regarded as the City area spreads over 37.32 sq. m. and consists of 47 Municipal Wards. These 47 Municipal Wards are clustered into Six [06] Municipal Districts namely, D1, D2A, D2B, D3, D4, and D5 for the purpose of carrying out regular municipal services to its citizens.

The population of the city also had gone through a significant transformation over the years. According to the population census in 1871, Colombo had a population of 98,847 persons with a population density of 40 persons per ha. Thirty [30] years later in 1901, the city had a population of 154,691 recording a density of 56 persons per ha. In the year 1931, the population had grown up to 284,155 with an increased density of 84 persons per ha. In the census year 1963, the population had grown up to 511,639 persons with a recorded density of 138 persons per ha. In the census year 2001, the population of the City of Colombo was 642,163 with a density of 172 persons per ha. Based on the annual population growth rate data of the Department of Census and Statistics, the average population growth rate of the Colombo District for 2002 to 2012 is 0.35. This figure was used in estimating the Colombo city population for 2012 and found it is approximately 665,000 persons.

2.2 Development Scenario of the City

When looking at the planning history of the City of Colombo, it was evident that the British rulers initiated the first Colombo city plan in the year 1921. According to the available information Eminent British Town Planner Sir Patrick Geddes was the first Town Planner to develop the concept of Garden City plan for Colombo, which was known as the "Garden City of the East". The emphasis of this plan was to preserve the rural spirit in the city of Colombo. Subsequently, the second city plan of Colombo initiated following the enactment of the Town and Country Planning Ordinance in 1946. For that purpose, internationally recognized British Town Planner, Sir Patrick Abercrombie was invited to prepare a plan for the city of Colombo. Sir Abercrombie's plan of 1949 covered the Colombo Metropolitan Region as a whole but did not translate into detailed proposals. The plan emphasized on decentralization of the cities' functions and creation of satellite towns around the city of Colombo. It is evident that this plan also had not made significant changes to the city

The third city plan was known as Colombo Master Plan Project was started by a team of planners assigned under the United Nations Development Programme [UNDP] and completed their plan in the year 1978. The main objective of Colombo Master Plan Project was the promotion of balanced regional development and accelerated economic development of the whole country. The Colombo Master Plan Project covered Colombo District, Gampaha District and part of Kalutara District which is known as the Colombo Metropolitan Region (CMR). The project area was divided into two main regions such as the central sub region, outer region and peripheral region. The central sub region consisted of the city of Colombo and its adjoining urban areas, the outer region consisted of towns outside the Colombo central sub region and the area beyond the outer region was identified as the Peripheral Region. The significant aspect of Colombo Master Plan Project was that it has provided the basis for all the city planning programmes implemented since 1978 in the city of Colombo and in the CMR.

It is also important to record that formulation of the Urban Development Authority Act in 1978 and establishment of the Urban Development Authority [UDA] took place as a result of the policy influence of the Colombo Master Plan Project. Subsequent city development plans have been prepared by the UDA in close association with the Colombo Municipal Council and other relevant government institutions to guide the development pattern of the city of Colombo.

As stated above, the city of Colombo Development Plan of 1985 was prepared by the UDA based on the recommendations of the Colombo Master Plan Project. This city development plan laid the foundation for implementing zoning and building regulations of the city in keeping with the rapid socio economic development trends in the country and in the Western region of Sri Lanka. Under this plan, the Colombo city area was divided into fourteen [14] planning units for carrying out planning and development control purposes. Subsequently, the above plan was amended in 1989 and cited as City of Colombo Development Plan (Amendment), 1989. Ten years later, this city development plan was again amended in the year 2008 by the UDA and is being used for regulating the development activities in the city at present.

Another important land mark in the city development plan of Colombo undertaken by the UDA was the preparation of Colombo Metropolitan Regional Structure Plan [CMRSP] in 1996. The overall objective of the CMRSP was to design a strategic physical plan and prepare action programmes for the CMR with a view to meet the aspirations of the population and improving the quality of life of the people in the Western Province and the people of Sri Lanka. The plan initiates development of capital city territory, specially the City of Colombo as an international financial and banking centre and Greater Kotte as the Administrative Capital of Sri Lanka.

It is interesting to note that the current development structure of the City of Colombo has had many influences made by different city and regional development plans prepared and implemented for Colombo and its Metropolitan Region in the past as described above. The major changes that have been taken place in the recent past included shifting of most of the administrative establishments from the city of Colombo to the new Administrative Capital of Sri Jayawardenapura Kotte mostly concentrated around Battaramulla town, shifting of the Army Headquarters from the heart of Colombo to Battaramulla, shifting of major warehouses and industries to the new industrial towns of Peliyagoda, Homagama and Horana and the redevelopment of Colombo Fort area by replacing low rise buildings with high-rise commercial buildings and offices. Parallel to the above development changes, improvements in renovation and expansion of Colombo Harbour have added significant strength to the development of the city. The rapid development in the hotels and banking sectors in the city also has changed the city's landscape in the recent past. Major improvement works that have been already implemented and are proposed in roads, drainage, and sewerage sectors in the city also have contributed to the new development pattern in the City of Colombo.

Most recently, the Ministry of Defence and Urban Development has undertaken a major housing resettlement programme for providing most modern accommodation to low income families in proposed high-rise [G + 11] housing schemes in the city. This programme is implemented by the Urban Development Authority (UDA). The programme was initially introduced as "Relocation of Underserved Settlement Project" in Colombo which is later changed as 'Colombo Urban Regeneration Project'. This project has been planned based on the aim of providing modern houses for all the underserved communities in the city of Colombo. The programme mission includes construction of 10,000 houses in the initial year 2010/2011 and to continue building of 30,000 housing units within the next three years. Another 40,000 units will be constructed during the following three years for relocation of households presently living in underserved settlements in the city. Under the first phase of the programme, construction work is in progress in some of the project sites located in Colombo North and Colombo East areas in 11 locations such as Dematagoda, Mayura Place Salamulla, Henamulla, and Maligawattha etc. According to the subsequent information about the completion of the phase one of the project, it was found that the first new housing schemes will be opened in November 2013. *[Source: Summarized from the UDA Web page]*

In addition to the UDA, the Urban Settlement Development Authority [USDA] under the Ministry of Construction, Engineering Services, Housing and Common Amenities is implementing an important housing and community development programme covering the entire country. The USDA, which was established in the year 2008, started its current programme activities in 2010. According to the mandate of the USDA, it has the authority to initiate the human settlements development programmes in all the urban and sub-urban areas in Sri Lanka including the city of Colombo.

Its Vision is 'to ensure enhanced lifestyle within sustainable urban human settlements'. The main programme activities of the USDA include; improving the living conditions of the urban settlements engaging the communities to the optimum level, to implement housing credit schemes, to provide financial grants to families of underserved communities, to improve partnership with local authorities, and communities, to implement urban housing projects approved by the Government including infrastructure and other utilities, upgrading of slum and shanty communities, implement social, welfare and cultural programme with the communities, and other related activities in the communities. *[Source: Summarized from the USDA Web page]*

Another important development programme currently in operation is the Metro Colombo Urban Development Project, which is implemented by the UDA with the financial support of the World Bank. This project has initiated major improvement works in the drainage system of the adjoining areas of Colombo city by developing water retention tanks and canals, improvement of access

roads and recreational areas in and around Colombo aiming at flood control and total environmental improvement in the city and its adjoining areas.

With all the above recent and current major development programs, the citizens of Colombo can witness a total transformation of the development pattern of the city and its adjoining urban areas becoming more environmentally and citizen friendly, safe and efficient. These changes would no doubt contribute to overall development in the Western Region and Sri Lanka as a whole.

2.3 Background of Underserved Settlements in Colombo

The residential areas of the City of Colombo represent significant characteristics in terms of level of income of the residents such as high income residential areas, middle income residential areas, lower middle income areas and low income areas. Except in the low income areas, all the other residential areas of the city of Colombo do have adequate level of urban basic services such as water supply, sanitation, access roads, electricity and public amenities, etc. Therefore more permanent nature of residential buildings with increased densities exists in more established residential areas mentioned above. The low income areas represent different characteristics of development constrained by inadequacy or total lack of urban basic services and mostly improvised buildings with no secure land ownership. Since recently, the term “Underserved Settlements” is being used to identify the low income areas of Colombo, taking in to consideration the specific attributes of these settlements, which were previously known as slums and shanties.

According to the available literature, the underserved settlements in Colombo have a long history of existence since the colonial era. The colonial rulers had brought unskilled workers from the rural areas of Sri Lanka to Colombo in order to work in the factories, harbour and other establishments in Colombo. They had been provided rental houses with shared amenities particularly in Colombo North area, such as Mattakkuliya, Mahawatta, Lunupokuna, Bolemandhal, and Kotahena. The low income areas in these locations started to grow with new migrants to these areas as well as due to natural growth among the original low income population. Continuation of the growth of low income population over the time resulted in inadequacy of rental houses and therefore people tend to encroach marginal lands in the city such as marshy areas, railway and canal reservation lands, and abandoned paddy lands etc. and land set aside for creating new settlements. These types of settlements are mostly found in the Eastern and Southern parts of the city of Colombo. Due to location constraints and legal and institutional barriers, it was not possible to provide basic urban services to these newly created settlements by the government institutions. Hence, these settlements continue to remain as underserved settlements over the time.

It was evident that some major development interventions were undertaken by the government institutions and the Colombo Municipal Council to improve the underserved settlements in Colombo since the year 1978. A number of city scale surveys have been carried out to gather information on underserved settlements in Colombo. These included the survey carried out by the Slums and Shanties division of the UDA in 1980, the survey carried out by Underserved Settlements Improvement Project [USIP] in 1997/98, the survey carried out by the Municipal Assessors Department of CMC in 1996, and the survey carried out by SEVANATHA and CMC in 2002.

According to the first Two [02] Surveys, the low income settlements in Colombo have been identified under different sub categories such as Slums, Shanties, Low Cost Flats, Relocated Houses, Old Deteriorated Quarters and Unplanned Permanent Houses. The above categorization contains the key parameters such as the structural nature of low income housing, their management and ownership type.

According to the survey carried out by SEVANATHA and CMC in 2002 the low income settlements in Colombo have been assessed by using Twenty [20] characteristics and assigning scores relating to these characteristics. The main objective of this survey was to categorize the settlements according to the level of improvement. Accordingly, the following categories of low income settlements in the city of Colombo were identified. These categories included; fully upgraded settlements, upgraded settlements, un-serviced settlements and very poor settlements.

Based on the above surveys it was estimated that the low income population/ underserved population consist of nearly 50% of the total city population of Colombo. However, some of the city stakeholders by looking at the data of the 2002 settlement survey raised the issue whether is it reasonable to classify those people who are living in fully upgraded settlements being underserved population in the city.

2.4 Past Development Initiatives to improve underserved settlements in Colombo

Phase 1:

1. Introducing of Ceiling on Housing Property Law (CHP) in 1973

The available literature indicates that the state sector intervention in urban shelter improvement prior to 1970s was not significant. It was evident that the enactment of Ceiling on Housing Property [CHP] Law by the government of Sri Lanka in the year 1973 was the most progressive step to intervene in resolving the ownership problems of slum dwellers and other low income people who lived in rental houses in the City of Colombo and in Sri Lanka. Implementation of this law resulted in creation of the National Housing Department and vesting the ownership of excess houses owned by the private property owners with the Commissioner of National Housing. Subsequently, a government institution called "Common Amenities Board [CAB]" was established in order to provide the basic services and carrying out maintenance work of the houses vested with the Commissioner of National Housing. Another progressive step of implementing the CHP law, is giving the ownership of low income housing units to the occupants by the Commissioner of National Housing, which took place during the latter part of 1970s and early 1980s.

According to the available data, it was found about 12,347 tenement units [Slum Houses] were vested with the Commissioner of National Housing by 1978 and about 5,365 of the vested housing units were transferred back to the occupants under free hold title. However, the people living in shanty settlements seem to have not benefited under the CHP law.

After that, the following specific development interventions were introduced to improve the condition of low income settlements in Colombo and other cities in Sri Lanka under different institutions and programmes.

Phase 2:

1. Urban Basic Services Improvement Programme (UBSIP) supported by UNICEF 1978 to 1986

Although legal ownership of the houses were granted to a majority of slum dwellers under the CHP law as described above, there were no proper settlements improvement programmes implemented to uplift the living conditions of the urban poor in Colombo. As a result, the urban poor communities faced serious health problems which compelled the Municipal Council and the government to look for assistance to improve the conditions of these settlements. As a result UNICEF has supported to implement the Urban Basic Services Improvement Programme [UBSIP] in Colombo to address the issues of underserved communities.

The UBSIP was the first ever comprehensive programme implemented in the city of Colombo to upgrade the basic amenities and health conditions of the urban poor. The Colombo Municipal Council and the CAB jointly implemented the UBSIP in Colombo

Provision of common toilets, common water taps, construction of community halls, drains, carrying out health awareness programmes as well as introducing the Community Development Councils (CDCs) to organize the poor communities into strong Community Based Organizations [CBOs] were some of the landmark achievements of the UBSIP. It is also significant to report that the total elimination of bucket latrines from the underserved communities in Colombo was achieved under this programme.

In addition to the provision of basic amenities in underserved settlements, the following positive impacts had been generated by the UBSIP. These included; recognition of the underserved communities by the Colombo Municipal Council as well as the other government institutions such as National Housing Development Authority [NHDA], UDA and CAB, and continuation of preventive and curative health services of the public health department of CMC in underserved settlements through the CDC system.

With all these positive improvements, the underserved communities developed self-confidence and demonstrated strength to improve their shelter and basic services.

2. Implementation of the Slums and Shanty Improvement Programme by the UDA from 1978 to 1984

Under the favourable legal and institutional conditions created by the CHP law and the UBSIP, the need arose for introducing more appropriate strategies in order to address the unresolved problems of USSs. In this context, the UDA has introduced the Slums & Shanty Improvement Programme in Colombo. Considering the complex ownership issues and physical characteristics of USSs, the programme has introduced different improvement options. These included; onsite upgrading of USSs, improvement of infrastructure and amenities, site and services improvements and minimum resettlement of communities.

In order to strengthen this programme, the UDA developed a policy paper on slums and shanty improvement for which Cabinet approval was obtained. This policy paper enables the UDA to declare the identified USSs as special project areas, whereby normal building regulations were relaxed in such special project areas. i.e. minimum lot size for low income housing ranging from 35 to 50 sq. M. was allowed in the city whereas for ordinary residential buildings, the legal lot size remain as 150 sq. M. This regulation relaxation is still being practiced in Sri Lanka.

Some of the positive impacts generated through this programme are; the entire programme was based on the principle of self-help and beneficiary participation in planning implementation. The participatory approach enabled USS communities to organize into CBOs and actively contribute in improving their own settlements. The participatory methods such as Community Action Planning (CAP) and Community Construction Contracts were tested and successfully applied under this programme. The USS communities have developed relationships with the officials of relevant institutions and as a result, community participation in settlement improvement process was recognized by these institutions.

Phase 3:

1. Major Housing Improvement Programmes Implemented by the NHDA
 - a. Hundred Thousand Houses Programme [1978 – 1984]
 - b. Million Houses Programme [1985 – 1989]
 - c. 1.5 Million Houses Programme [1990 – 1994]

The new government which took office in 1977 identified improvement of housing as one of the main focus areas of its development agenda. In this context, a new housing policy and a strategy were developed under which country-wide major housing programmes were introduced as listed above. All the above three programmes contained an urban housing component with a several housing improvement options.

Under the urban housing strategy, addressing the land tenure issues in respect of housing development was considered as a critical strategic issue. For urban USSs, continuation of onsite upgrading, site and services programmes, and relocation of selected communities programmes had been practiced.

The Slums and Shanty Improvement Programme of the UDA was later incorporated in to the NHDA in 1985. The NHDA continued its urban housing improvement programme by incorporating the following options site & services projects, common amenities improvement projects, individual service improvement loans and Housing loans. In addition to the above, the settlements with unclear ownership were acquired by the NHDA, carried out land regularization work and allocated land lots for families to improve their houses.

Some of the specific positive impacts of this intervention were; the USS communities were given individual land lots with rights to occupying by enabling them to improve their houses, and full recognition of the need for the urban poor to stay in the city.

During the period 1978 to 1994 about 60% - 70% of the USS settlements in Colombo seem to have benefited under the NHDA programmes.

Phase 4:

1. Clean Settlement Programme [CSP] and Urban Settlements Improvement Project [USIP] [1995-1999]

During 1995-1999, two donor funded projects were implemented to provide basic services in the USSs called the Clean Settlements Programme [CSP] [World Bank Funded] and Urban Settlements Improvement Project [USIP] [Funded by JBIC]. Under these programme, about 12 pilot projects were implemented by adapting participatory development approaches in provision and O & M of urban services in USSs. These projects adapted community contract construction method in carrying out project activities in the USSs and it helped to establish a community fund for O & M activities by the respective CBOs. Apart from these projects it is the respective urban local authority which holds responsibility of provision and O & M of urban services through their normal channels of operation.

2. The REEL Programme implemented by the Ministry of Housing, Construction and Urban Development

Based on the recommendation of the Presidential Task Force on Urban Development and Housing, then Ministry of Housing, Construction and Urban Development established the Real Estate Exchange [Pvt] Limited [REEL] in the year 1995. The REEL has initiated a programme for improvement of USSs mainly in the city of Colombo. The main objective of introducing the REEL's programme was to create a new legal and institutional environment, favourable for private/business sector participation in Urban Housing development activities.

The urban housing development aimed to improve the USSs in the city by providing them with modern housing in multi-storied apartments. The REEL programme formulated its action plan to cover the entire city of Colombo by identifying Six [06] townships to be developed under the REEL concept. This was a redevelopment programme under which identified USS communities were to be relocated in new housing schemes. There was a system of paying compensation for their original properties and the value of compensation was set-off against the cost of the new housing. The lands released by moving out the USS communities were sold in the open market and the funds generated were utilized for new housing development and for paying subsidies for the relocated families.

The first housing development project launched by the REEL is located on Baseline Mawatha at Wanathamulla, Colombo 08. This new housing scheme consists of a 14 storey building complex providing 671 apartment units. The low income communities from 16 settlements from the surrounding areas were moved to this new housing complex. The housing complex is managed by 'SAHASA Management Corporation' which is a legal entity established under Condominium Apartment Ownership Law.

Due to unfavourable economic conditions and the change of government priorities and lack of funding support, the REEL programme did not succeed beyond the above mentioned first re-housing project. Subsequently, the REEL Programme ceased to operate and a new housing programme called Urban Settlement Improvement Programme [USIP] under a newly created authority called Urban Settlement Development Authority (USDA) was introduced by the successive Government.

Phase 5:

1. Urban Settlement Improvement Programme [USIP][2007 – 2010] of the USDA

The Ministry of Urban Development and Sacred Area Development introduced the USIP in order to improve the housing and the living environment of underserved settlements in urban areas of Sri Lanka. The main focus of this programme has been to provide community level infrastructure improvements, housing improvement assistance and to empower the target communities by strengthening the CBOs. According to the available data, this programme was implemented in 114 urban local authorities and improved 4,177 housing units. During the year 2007 this programme was implemented to contribute to the global theme of cities without slums promoted by the UNDP/ UN-Habitat. This programme has been funded by the government of Sri Lanka.

2. Consolidation of participatory and partnership approaches

With the expansion of city and national level development programmes, the government realized the need for paying reasonable compensation and assuring minimum disturbance to the livelihoods of the people who are affected by the development projects. In order to address this issue, the government formulated the National Involuntary Resettlement Policy [NIRP] in the year 2002, which has been adopted in all the development programmes implemented since then. This

initiative can be considered as a progressive policy measure avoiding delays in project implementation and providing benefits to the affected communities.

The Non-Revenue Water Reduction Programme [NRWP] implemented by the National Water Supply and Drainage Board has been another significant policy intervention by the government of Sri Lanka enabling the poor households in the USSs to obtain individual water meter connections as well as reducing the wastage of potable water by disconnecting the common stand posts provided in USSs in the city of Colombo and other cities.

Phase 6:

The present Government's Housing Programme

The Ministry of Construction, Engineering Services, Housing and Common Amenities of the present government has formulated a comprehensive housing development programme known as 'Janasewana' Housing Programme. It is implemented primarily by the National Housing Development Authority [NHDA] through its District and divisional level office network. The key thrust areas of Janasewana programme as stated in the concept document include the following;

"Jana Sevana" is a living concept of settlement improvement in Sri Lanka which gives priority to construct houses covering all the economic sectors and geographical areas of Sri Lanka with special focus on urban and rural poor families. It is a nationwide programme for the construction of One Million houses during the five years from 2011 – 2015 aiming at building a self-reliant nation.

The Janasewana programme consists of Twelve [12] sub programmes to address the location specific and sector specific housing needs in Sri Lanka. The programme has special emphasis to provide housing assistance to the displaced and affected people in the North and Eastern provinces during the past civil unrest period. In addressing the urban housing issues, Janasewana programme has a number of options including renovation of existing housing schemes as well as construction of new high-rise apartments. Thus, Janasewana programme will enable the urban poor communities to have secure tenure as well as improved living conditions.

(Source: Web site of the Ministry of Construction, Engineering Services, Housing and Common Amenities, Sri Lanka)

CHAPTER THREE: City-wide Assessment Survey of Underserved Settlements in the City of Colombo

3.1 Objectives of the USS Survey

Since there was no information on the underserved settlements available in the city of Colombo after the 2002 shelter profiling survey, the CMC, SEVANATHA and other stakeholders strongly felt the need for carrying out a city-wide assessment of underserved settlements. In this context, a project entitled “**Building the skills and capacity of Colombo's urban poor to lobby and work with government to improve their living conditions**” (Community Empowerment Project) in the City of Colombo (2011/2015), supported by the UK Government, and Homeless International (UK), provided the opportunity for the CMC and SEVANATHA to undertake the above mentioned USS survey in the city.

- The main objective of the City-wide Settlement Survey is to gather most recent data and information on the existing shelter and living condition of the communities in the USSs in Colombo.
- Secondly, to categorize the USSs based on the aspects such as; land tenure/ ownership status, physical condition of houses, level of services, social and economic wellbeing, social mobility, vulnerability conditions, and the institutional and social recognition.
- Thirdly, to identify the most crucial needs of the lowest category of communities for improving their shelter and livelihood conditions.

3.2 Methodology of the USS Survey

The survey of USSs was organized as a participatory survey, engaging the community leaders of USSs, Women's Coop. members, the field level staff of the Public Health Department of the CMC and SEVANATHA project staff. The survey methodology consists of the followed steps.

Step 1 - Review of relevant Literature.

Step 2 - Gather data of USSs based on the previous studies/ surveys.

Step 3 - Organize the recent base maps of the CMC area.

Step 4 - Preparation of Survey Score Card.

Step 5 - Conduct pilot testing of the survey.

Step 6 - Finalization of Maps and Survey Score Card with the comments from CMC and other stakeholders and findings of the pilot testing.

Step 7 - Awareness meeting on the Survey for the Community Leaders of 06 CMC districts and the representatives of Women's Coop.

Step 8 - Awareness meeting on the Survey for the officials of the CMC district offices.

Step 9 - Recruitment of Survey Enumerators.

Step 10 - Conduct training sessions for Survey Enumerators.

Step 11 - Carrying out the USSs Survey.

Step 12 - Facilitation and supervision of the survey.

Step 13 - Data verification and cleaning.

Step 14 - Data Tabulation and Analysis.

Step 15 - Preparation of the Survey Report

The Survey Score Card

The Score Card method[which was introduced by The Urban Governance Initiative (TUGI) of UNDP – 1997/1998]was used in developing the USS Survey Scorecard. This Scorecard is a structured questionnaire which was developed by SEVANATHA to gather numeric values relating to the important characteristics of housing, basic services, and socio-economic aspects of the USSs. SEVANATHA has used a similar scorecard in its poverty assessment survey carried out in the city of Colombo, under the Urban Management Programme supported by DFID/ UN-Habitat during the period of 1999-2002.

The Survey Scorecard, which was developed for the present survey has adopted the same score card used in the 2002 survey by adding some new characteristics considering the present status of development of the USSs in Colombo.

Aspects, Characteristics and Indicators of the Survey Score Card

The relevant aspects and related characteristics of measuring the level of status of the development of USSs are indicated below. For each characteristic, five [05] indicators were identified to assign the scores [PIs Refer Annex 1].

Table 1: Poverty Aspects and Characteristics of USSs

No.	Aspect	Characteristics
1	Physical Condition of Houses	<ul style="list-style-type: none"> • Condition of Houses • Availability of Toilet Facilities for Housing Units
2	Land Tenure/ Ownership	<ul style="list-style-type: none"> • Land Ownership of the Settlement • Type of Tenure Rights of the Houses
3	Level of services	<ul style="list-style-type: none"> • Water Supply • Water Availability • Sewerage System • Electricity for Private Use • Municipal Solid Waste Collection Service • Condition of Inner Access Roads
4	Level of social and economic wellbeing	<ul style="list-style-type: none"> • School Attendance of School Going Age Children • Dependency rate of the Households • Employment Stability of the Occupants • Number of Samurdhi Recipient Families in the Settlement • Number of Single Parent Headed Families in the Settlement
5	Level of social mobility	<ul style="list-style-type: none"> • Functioning of CBOs in the Settlement • Access to a Community Centre • Coverage by Community Savings and Credit Programmes
6	Vulnerability conditions	<ul style="list-style-type: none"> • Risk and Vulnerability for Natural and Health Hazards over past Five (05) years
7	Institutional and social recognition	<ul style="list-style-type: none"> • Payment of Rates to the Municipality

Use of Scorecard Method to assess the settlements

After completing the awareness meetings for the stakeholders and training of survey enumerators, about 40 enumerator teams were deployed to each municipal district to carry out the assessment survey. A survey team consists of Two [02] enumerators, who are advised to gather about four to five community leaders of each settlement in conducting the survey. Each survey team has to visit and observe the boundaries, access roads, buildings and other development activities within the respective settlement and compare their observations with the aspects of the score card. Subsequently, the survey team has to sit together in a convenient place inside the settlement and complete the entire score card for the particular settlement. If they encounter any problem in completing the score card, they can seek the assistance of the survey supervisor. This process was followed to complete the survey of all the USSs located in the City of Colombo.

Under this exercise, the total number of houses in the settlements were counted in order to assure high degree of accuracy. However, the number of families and the total population of the settlement have been recorded based on the approximate numbers provided by the community leaders who participated in the data gathering exercise. Therefore, the population data of the USSs included in this report should be considered as approximate figures. [with about 10% plus (+) or minus (-)]

Randomly selected completed score cards, and those with some deficiencies were cross checked with the settlement level information by the survey supervisors by visiting the relevant settlements and talking to the community leaders and corrected the Data sheets.

The scores assigned for the indicators are on a scale of 1 to 5 based on the qualitative and quantitative aspects of each characteristic assessed from poorest to better off situation. [1 – Extremely Poor, 2 – Very Poor, 3 – Poor, 4 – Marginal Poor, 5 - Not Poor]

Scorecard consists of Twenty [20] poverty characteristics, and thus the maximum obtainable score by a settlement is 100 and the minimum is 20. (Please refer to Annex 1 for the complete Score Card)

Based on the scores obtained by each settlement, it would fall in to one of the following categories of settlements.

Table 2: Score Ranges and Categories of USSs

Score Range	Assessment, Category and Intervention
81%-100%	Fully Upgraded Settlement <i>[Last Priority]</i>
61%-80%	Upgraded Settlement –Can do much better <i>[Third Priority]</i>
41%-60%	Underserved Settlement –Still needs improvements <i>[Second priority]</i>
Below 41%	Extreme Poor Settlement –Needs Immediate Attention for Improvement <i>[First Priority]</i>

Some Examples of the Four [04] Categories of USSs identified in Colombo

The following four examples of USSs were purposely selected by SEVANATHA among a number of similar USSs belonging to each category in order to provide a quick understanding to the reader about the physical appearance of the USSs discussed in this profile.

Extreme Poor Settlement ***[Needs Immediate Attention for Improvement]***

E 95 Watta [Settlement] in Mahawatta Ward, Station Road, Colombo 14, CMC - D1

E 95 watta is an unauthorized settlement where people first occupied about 20 years back according to the community leaders. The land where the settlement is located belongs to the Government Railway Department. Currently, 134 families are living in the settlement in 94 housing units which are single story attached units. The total population is recorded as 334 persons.

All the houses are of temporary nature and have been constructed using planks and metal sheets. There is a lack of basic services such as potable water, electricity and individual toilets for the people in the settlement. People use the railway track as the main access to the settlement.



Underserved Settlement ***[Still Needs Improvement]***

No. 43 Watta **[Settlement], Devanampiyathissa Mawatha, Colombo 10, CMC - D2B**

After 1973, the government granted freehold ownership to the occupants of selected slums, vested with the Commissioner of National Housing under the CHP Law. Through this programme, the community of No. 43 Watta also obtained freehold ownership status to their houses. At present, there are 50 houses in the settlement and 200 people are living in it.

Above 75% of houses are permanent structure built by using bricks and cement blocks and the roof covered with asbestos sheets and tiles. 95% of houses have individual connection of potable water and electricity. There are no adequate toilets in the settlement and therefore about 45% of families are using common toilets. There is no proper sewerage and drainage system in the settlement. Under this situation, the community in the settlement lives in an unhygienic condition. Also there are no proper access roads to the settlement and inner access roads are very narrow and poorly maintained.



Upgraded Settlement
[Can do much better]

**No. 268 Watta [Settlement], Aluthmawatha,
Modara, Colombo 15, CMC - D1**

This is an upgraded settlement consisting of 1700 houses and 3500 families. Total population is about 6000. The land of the settlement is owned by the National Housing Development Authority (NHDA) and user permit have been issued to the occupants by the NHDA.

Above 90% of houses are built with permanent materials and some houses have been improved by adding two or three floors. Basic services have been provided to the settlement. More than 80% of houses have individual water meter connections, electricity supply and individual toilets. Some of the inner access roads are paved and well maintained.

About 20% of houses still need to be improved, as those are of semi permanent nature. Some access roads are also need to be improved.



Fully Upgraded Settlements
**[Can be considered as formal residential
areas in the city]**

**No. 85 A, Nugagahapura Settlement,
Nagaswatta Road, Colombo 06, CMC - D4**

This is a completely upgraded settlement in Colombo. There are 330 houses and 355 families where 991 people are living in this settlement.

The land is owned by Colombo Municipal Council and people have been living there for over 30 years. More than 90% houses are built by using permanent materials. Basic services such as potable water, electricity, and toilets are available for all the houses. Inner access roads, side drains are well constructed and maintained.



Carrying out the Actual City-wide Survey and Data Presentation to the CMC

The project team consisting of SEVANATHA, CMC and Women's Coop. carried out the city-wide Survey of all the USSs in Colombo during the period of September 2011 – January 2012. (The list of survey team is in Annex 03). A settlement was defined as five [05] or more number of housing units located in a cluster in with identifiable boundaries.

After completing the Survey, the data cleaning, verification, tabulation and analysis were carried out by SEVANATHA Project team during the period of January 2012 to April 2012. The first draft data presentation of the USSs Survey to the CMC was made on 15th February 2012 at the PRC Meeting. Subsequently, a presentation was made to the Councillors, Heads of Municipal Departments and PRC members on 02nd March 2012.

At a special meeting organized by the PRC, the draft survey findings were presented to the Hon. Mayor of CMC at his office on 26th April 2012. Another meeting was organized at SEVANATHA office and the survey findings were presented to the District and Ward level community leaders in the city. Considering the importance of receiving the comments of the Engineers as well as their engagement in demonstration project activities, a presentation of the survey findings was made to the District level Engineers and Heads of Engineering Department of the CMC on 06th November 2012. The objective of conducting the above mentioned presentations was to create awareness among the relevant officials and stakeholders about the survey and receive their comments in order to refine and validate the survey findings.

CHAPTER FOUR: Summary Findings of the Assessment Survey

4.1 Municipal Wards and Districts of the CMC area

Based on the data of USSs survey 2002, the project team has listed down 1614 settlements in the city. These settlements were segregated according to the Municipal Districts and the Wards of their location. The ward level settlement list was used as a guide to locate the current settlements in the field by the survey enumerators. The survey enumerators were provided with municipal districts, wards and sub-ward maps to demarcate each settlement that they identify. Thus it was able to link the settlement level data with the respective location map.

The Colombo city is divided into six [06] Municipal Districts by the CMC, to carry out its administrative functions through the District offices. The municipal wards [total 47 wards] are grouped into the Municipal Districts as indicated below.

Table 3: Municipal Districts and Wards

	Municipal District	Ward Number	Ward Name
1	District 1 [Colombo North]	1	Mattakkuliya
		2	Modara
		3	Mahawatta
		4	Aluthmawatha
		5	Lunupokuna
		6	Bluemandhal
		7	Kotahena East
		8	Kotahena West
2	District 2A [Colombo Central]	9	Kochchikade North
		10	Jinthupitiya
		11	Masangasweediya
		12	New Bazaar
		13	Grandpass North
		14	Grandpass South
		16	Aluthkade East
		17	Aluthkade West
		18	Kehelwatta
		19	Kochchikade South
		20	Fort
3	District 2B [Colombo Central]	28	Maligawatta East
		15	Maligawatta West
		21	Slave Island
		22	Wekanda
		23	Hunupitiya
		24	Suduwella
		25	Panchkawatta
		26	Maradana
27	Maligakande		

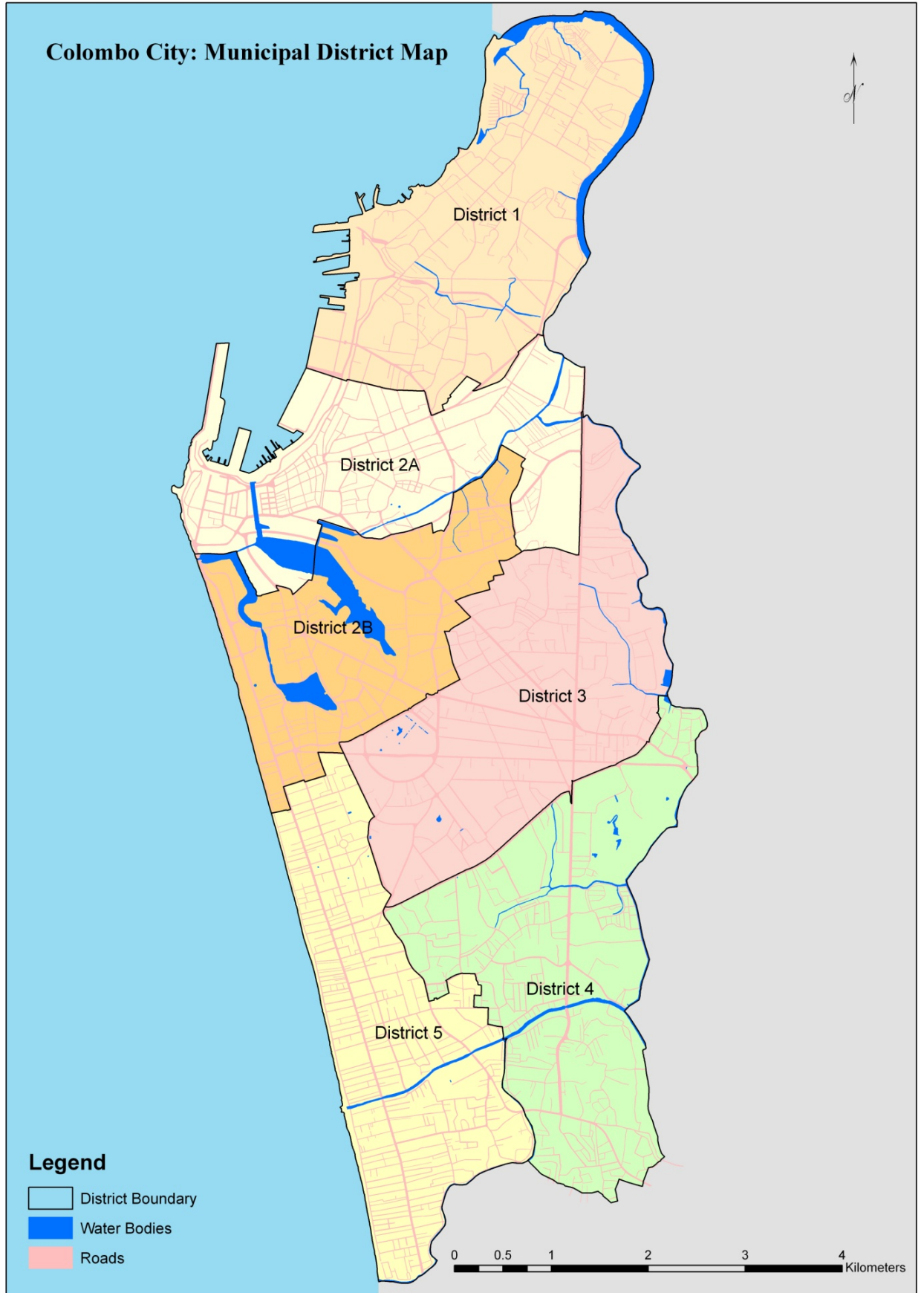
		37	Kollupitiya
4	District 3[Borella]	29	Demataoda
		30	Wanathamulla
		31	Kuppiyawatta East
		32	Kuppiyawatta West
		33	Borella North
		35	Borella South
		36	Cinnamon Garden
5	District 4 [Colombo East]	34	Narahenpita
		40	Thimbirigasyaya
		41	Kirula
		44	Kirulapone
		45	Pamankada East
6	District 5 [Colombo West]	38	Bambalapitiya
		39	Milagiriya
		42	Havelock Town
		43	Wellawattha North
		46	Pamankada West
		47	Wellawattha South

[Source: Poverty Profile, City of Colombo - February 2002]

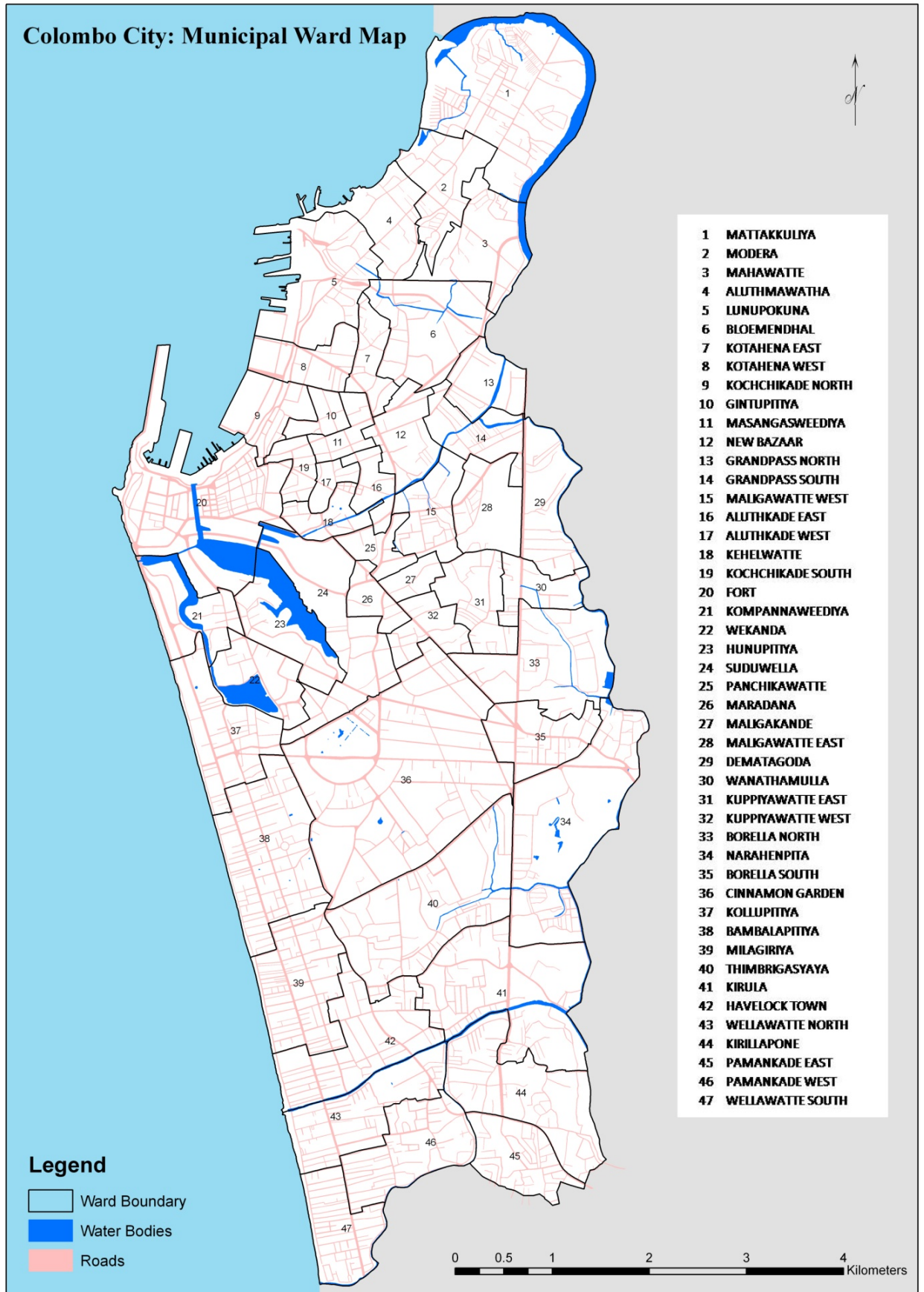
The boundaries of the CMC districts and the wards are indicated in the following Maps no 1, 2.

The project team of SEVANATHA has prepared a sub ward map for the purpose of carrying out the USS survey, which is shown in the map no. 3

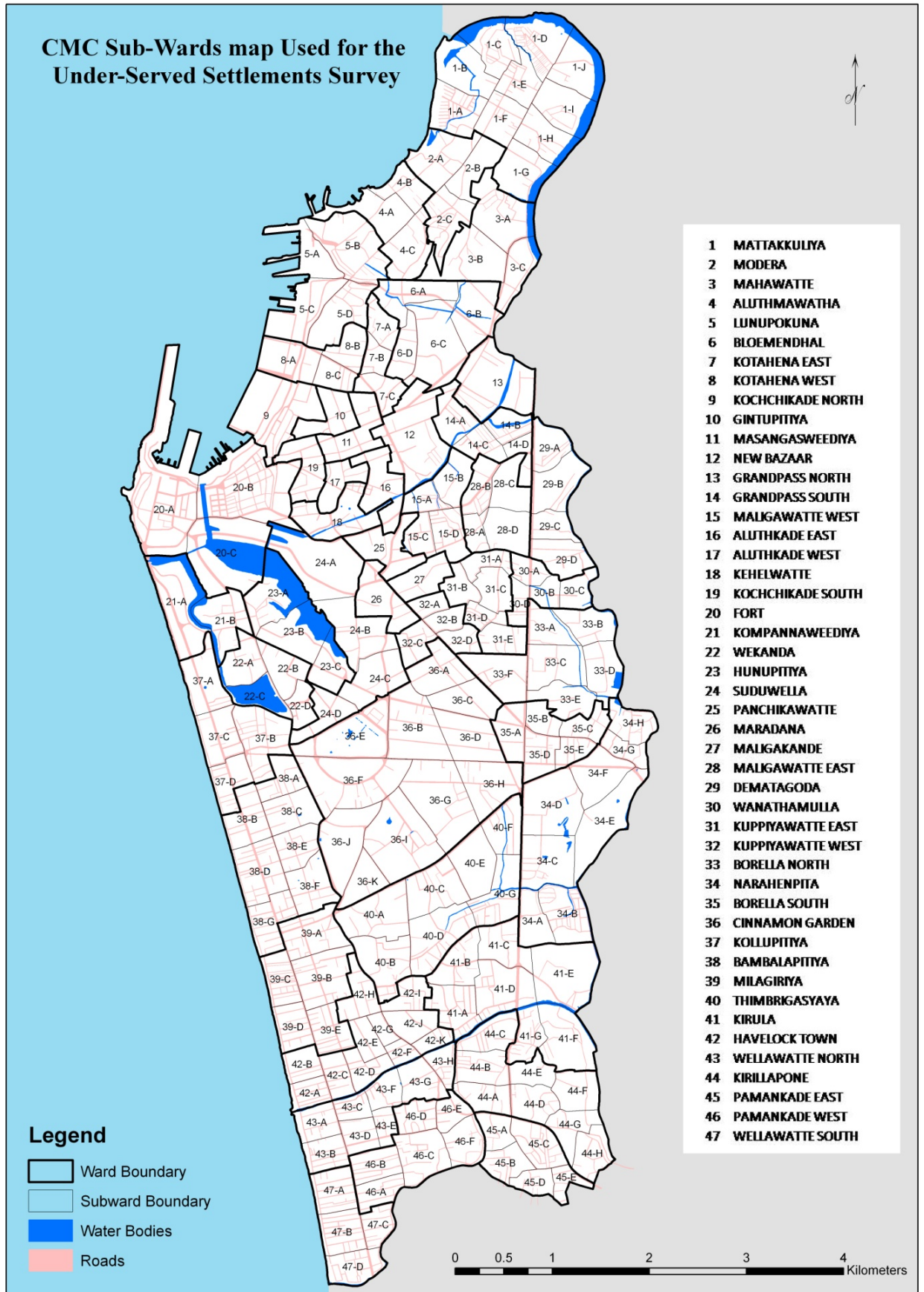
Map 1: Colombo City: Municipal District Map



Map 2: Colombo City: Municipal Ward Map



Map 3: Colombo City: CMC Sub-ward Map



4.2 Summary Data and Information of the Assessment Survey of USSs

After carrying out the assessment survey of all the USS in the city, a total number of 1,735 USSs were identified. When compared with the previous citywide survey carried out in 2002, there is an increase of the number of settlements from 1614 to 1735 [by 121 settlements] over the period of 10 years. One of the key criteria used for identifying the settlements in the new survey was the size of settlement which is five houses or more and is located as a cluster of USS which has contributed to add 379 settlements to the total figure.

Table 4: Distribution of Underserved Settlements by CMC Districts [2012]

	Municipal District	No. Of Settlements	%	No. Of Houses	%	No. Of Families	%	Total Population	%
1	District 1 [Colombo North]	382	22.0	26,474	34.0	42,953	34.9	155,272	33.0
2	District 2A [Colombo Central]	522	30.1	17,508	22.5	30,868	25.1	116,058	24.7
3	District 2B [Colombo Central]	376	21.7	10,976	14.1	17,067	13.9	65,665	14.0
4	District 3 [Borella]	264	15.2	11,542	14.8	17,177	13.9	65,202	13.9
5	District 4 [Colombo East]	131	7.6	9,379	12.0	12,134	9.9	55,970	11.9
6	District 5 [Colombo West]	60	3.4	2,078	2.6	2,986	2.3	12,375	2.5
	Total	1,735	100	77,957	100	123,185	100	470,542	100

[Source: Underserved Settlement Survey (CMC and SEVANATHA) 2012]

According to the above table, it is revealed that a total number of 1,735 USSs are located in Colombo. The distribution of these settlements across the CMC Districts indicates 30.1% in D2A, 22.0% in D1, 21.7% in D2B, 15.2% in D3, 7.6% in D4 and 3.4% in D5 showing a highest concentration of USSs in D2A, and the lowest concentration in D5. In terms of no. of people living in the USSs, it shows 33.0% is concentrated in D1, and 24.7% in D2A, making the D1 area the highest USSs are located in Colombo. The lowest USS population concentration is found in D5 area corresponding to the least number of settlements.

The spatial distribution of all the USSs in the city as identified in the Assessment Survey 2012 is shown in the Map No.4 Below.

Map 4: Colombo City: Location Map of Underserved Settlements - 2012

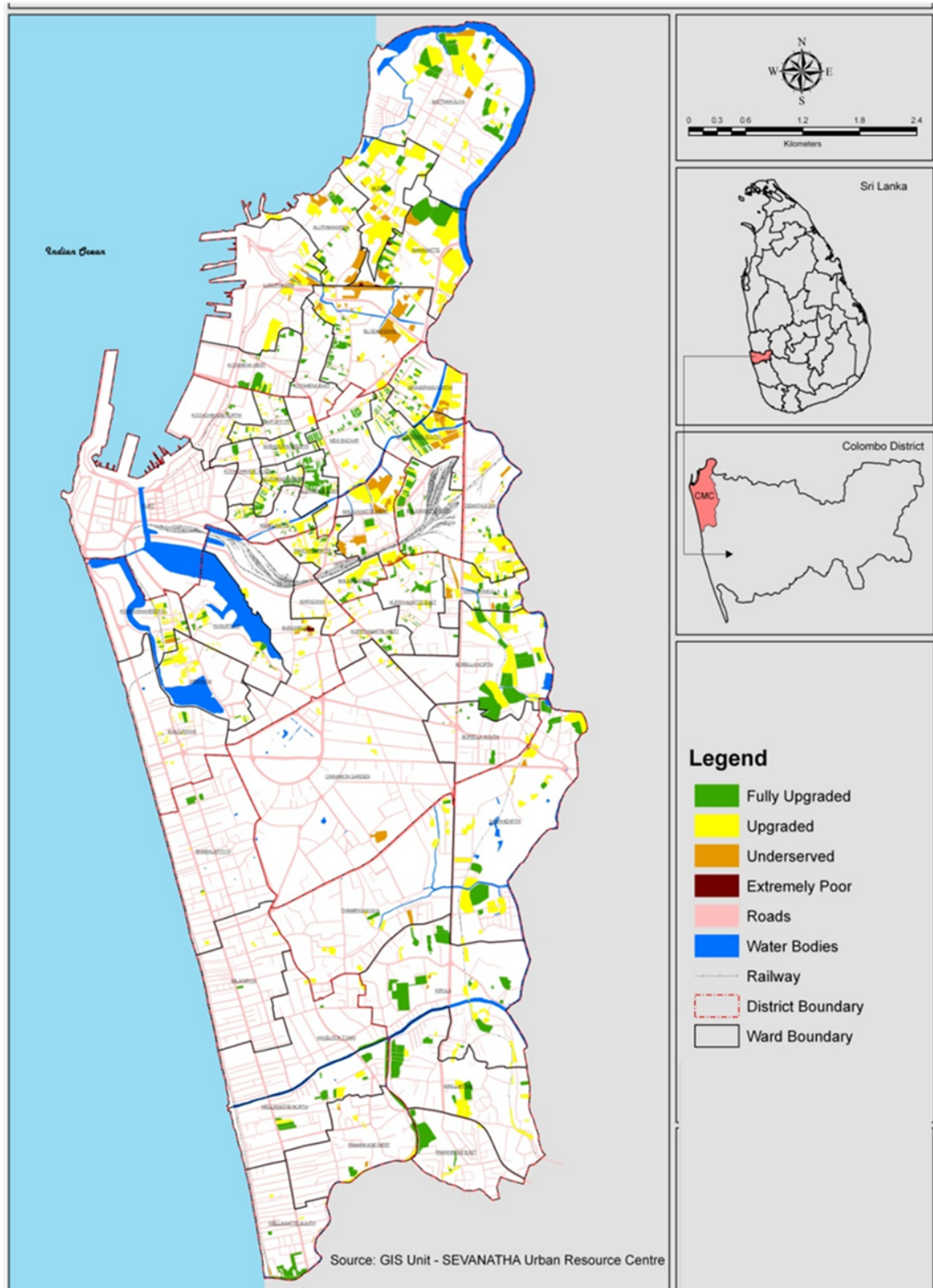


Table 5: Distribution of the USSs by No. of houses by CMC Districts [2012]

	Municipal District	No. Of USSs with 5-9 houses	No. Of USSs with 10-20 houses	No. Of USSs with 21-60 houses	No. Of USSs with 61-100 houses	No. Of USSs with 101-200 houses	No. Of USSs with >200 houses	Total No. of USSs
1	District 1 [Colombo North]	92	113	99	28	23	27	382
2	District 2A [Colombo Central]	129	179	160	26	20	8	522
3	District 2B [Colombo Central]	87	136	114	25	11	3	376
4	District 3 [Borella]	51	84	82	28	12	7	264
5	District 4 [Colombo East]	7	27	54	19	16	8	131
6	District 5 [Colombo West]	13	18	17	7	5	0	60
	Total	379	557	526	133	87	53	1735
	%	21.84	32.13	30.32	7.66	5.01	3.04	100

[Source: Underserved Settlement Survey (CMC and SEVANATHA) 2012]

According to the above table, it is recorded that 21.84% of USSs fall under the category of 5-9 houses per USS in the city. Distribution of this type of USSs among the six districts shows a large number [129 USSs] is in D2A while D4 represent in the smallest number of such USSs.

The next category of USSs with 10-20 houses per USS, which represent 32.13% of total USSs in the City. A large number of this category [179 USSs] represent the District 2A and District 5 [18 USSs] represent in the smallest number of USSs.

The next category of USS with 21-60 houses per USS shows that it represents 30.32% of total USSs in the city. Its District distribution indicates a significant concentration of such settlements in D2A [160 USSs] while the least number of USSs is found in D5.

The USSs with 61-100 and 101-200 houses per USS in the total city indicates 7.66% and 5.01% of USS respectively. These values are relatively low compared with the first two categories discuss above.

When considering the large size USSs [>200 houses per USS] it represents 3.04% of the total USSs in the city. It indicates high concentration of this type of USSs in D1 area.

Table 6: Categorization of Underserved Settlements by CMC Districts [2012]

	Municipal District	Settlement Categories								Total	% of the City Total
		Extremely Poor	% of the District total	Underserved	% of the District total	Upgraded	% of the District total	Fully Upgraded	% of the District total		
1	District 1 [Colombo North]	3	0.8	41	10.7	195	51.0	143	37.4	382	22.0
2	District 2A [Colombo Central]	1	0.2	12	2.3	225	43.1	284	54.4	522	30.1
3	District 2B [Colombo Central]	1	0.3	21	5.6	282	75.0	72	19.1	376	21.7
4	District 3 [Borella]	1	0.4	16	6.1	149	56.4	98	37.1	264	15.2
5	District 4 [Colombo East]	0	0.0	5	3.8	74	56.5	52	39.7	131	7.6
6	District 5 [Colombo West]	0	0.0	8	13.3	19	31.7	33	55.0	60	3.5
Total		6	0.3	103	5.9	944	54.4	682	39.3	1,735	100.0

[Source: Underserved Settlement Survey (CMC and SEVANATHA) 2011]

As discussed under Chapter Three, based on the total scores assigned to each settlement the USSs were grouped in to Four Categories, ie; Extremely Poor, Underserved, Upgraded and Fully upgraded.

According to this categorization, it is interesting to note that the distribution of the USSs in the city indicates that only 0.3% of the USSs are in the category of Extremely Poor, 5.9% in Underserved, 54.4% in Upgraded and 39.3% in Fully Upgraded categories of settlements. This reveals the unique situation of the USSs in Colombo where 93.7% USSs are in upgraded and/ or fully upgraded categories of settlements. It can be argued that the level of improvement achieved by the USSs may have been due to the contribution of the past shelter improvement programmes carried out by the successive governments.

The District wise distribution of the Four Categories of USSs in relation to the District total is significant in terms of understanding the gravity of USSs in each district. Accordingly in D1, the extremely poor and underserved categories of USSs account 11.5% of the total settlements, while the balance 88.5% represent the upgraded and fully upgraded categories of USSs.

In the D2A, the extremely poor and underserved categories of USSs account 2.5% of the total, while the balance 97.5% represent the upgraded and fully upgraded categories of USSs.

In the D2B, the extremely poor and underserved categories of USSs account 5.9% of the total, while the balance 94.1% represent the upgraded and fully upgraded categories of USSs.

In the D3, the extremely poor and underserved categories of USSs account 6.5% of the total, while the balance 93.5% represent the upgraded and fully upgraded categories of USSs.

In the D4, the extremely poor settlements do not exist and underserved category of USSs account 3.8% of the total, while the balance 96.2% represent the upgraded and fully upgraded categories of USSs.

In the D5, the extremely poor settlements do not exist and underserved category of USSs account 13.3% of the total, while the balance 86.7% represent the upgraded and fully upgraded categories of USSs.

According to the above data, it is evident that the overall condition of USSs in the city is highly satisfactorily where 93.7% of USSs are in upgraded and fully upgraded categories with remaining 6.3% coming under the extremely poor and underserved categories. Although, there are slight variations with respect to these situations among the districts, the majority of USSs of each district fall in to the satisfactory categories.

Exclusion of fully upgraded settlements from the list of USS

Considering the level of development achieved by the fully upgraded settlements it could be reasonably considered that such settlements are quite similar to lower middle income or middle income housing in the city. Therefore such settlements may be considered for exclusion from the USS category. If we introduce this change to the survey data, the total no of USS settlements according to the 2011- 2012 survey are 1053. Total no of families in these settlement is estimated to be 77,643 and the total estimated population would be around 301,689.

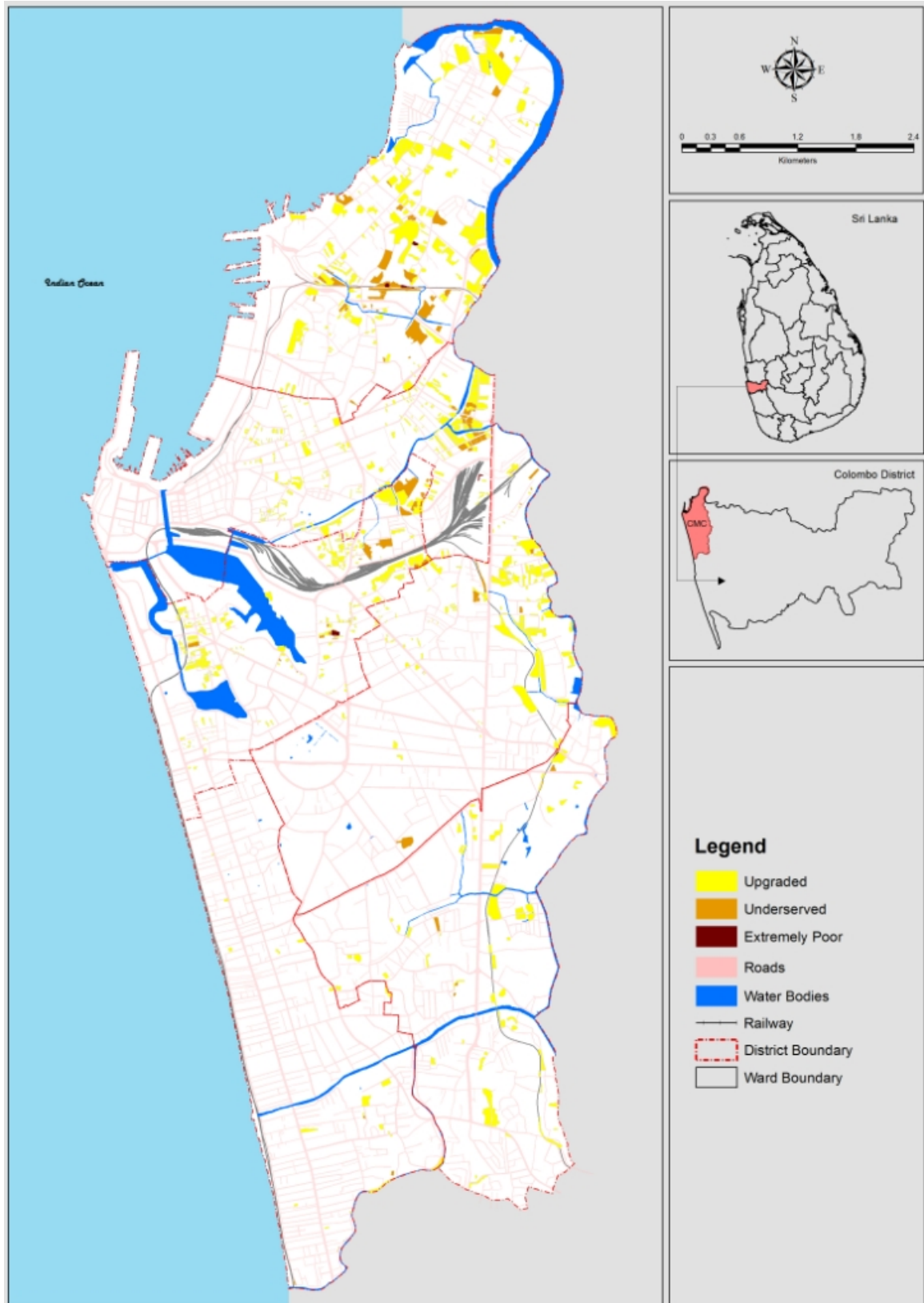
Table 07: Categorization of Underserved Settlements by CMC Districts [2012]

	Municipal District	Settlement Categories						Total	% of the City Total
		Extremely Poor	% of the District total	Underserved	% of the District total	Upgraded	% of the District total		
1	District 1 [Colombo North]	3	1.26	41	17.15	195	81.59	239	22.70
2	District 2A [Colombo Central]	1	0.42	12	5.04	225	94.54	238	22.60
3	District 2B [Colombo Central]	1	0.33	21	6.91	282	92.76	304	28.87
4	District 3 [Borella]	1	0.60	16	9.64	149	89.76	166	15.76
5	District 4 [Colombo East]	0	0.00	5	6.33	74	93.67	79	7.50
6	District 5 [Colombo West]	0	0.00	8	29.63	19	70.37	27	2.56
Total		6	0.57	103	9.78	944	89.65	1,053	100.00

[Source: Underserved Settlement Survey (CMC and SEVANATHA) 2012]

The spatial distribution of 1,053 USSs in the city of Colombo in 2012 is shown in Map no 05.

Map 5: Colombo City: Location Map of Underserved Settlements according to the Category - 2012



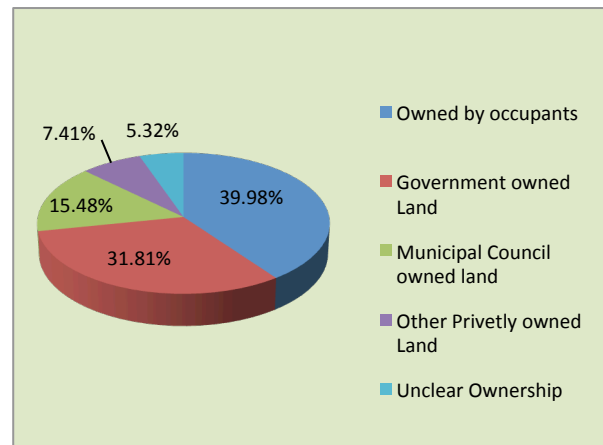
CHAPTER FIVE: Survey Findings Based on Characteristics and Indicators of USSs in Colombo, 2012

This Chapter presents the findings of the USS Survey in Colombo based on 20 key characteristics as discussed previously in this report. In presenting the findings of each characteristic, the data relating to indicators are presented in simple frequency tables and calculated the percentages on the basis of the city total.

5.1 Aspect One: Land Ownership/ Tenure Rights

Table 8: Land Ownership of the settlements

Land Ownership of the settlements		
Category	No. of Settle.	%
Owned by the occupants	421	39.98
Government owned Land	335	31.81
Municipal Council owned land	162	15.48
Other privately owned land	78	7.41
Unclear ownership	56	5.32
Total	1,053	100.00

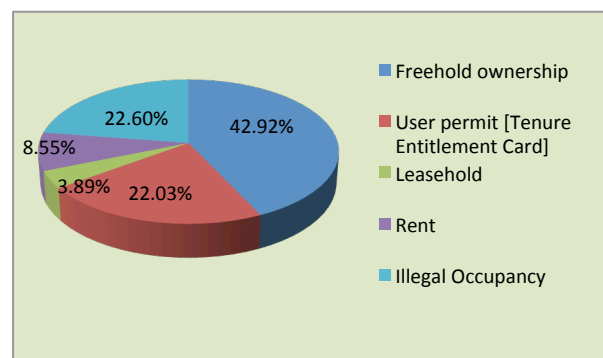


The most prevalent land ownership types of USSs in Colombo fall within the above Five [05] categories. According to the USS Survey, it was identified that the lands where 39.98% of USSs are located, are owned by the occupants. The lands owned by the government represent 31.81%. 15.48% of USSs are located on the lands owned by the Municipal Council. Comparatively a small percentage [7.41%] of USSs are located on lands owned by other private owners, while the unclear land ownership remains with 5.32% of USSs in the city.

According to these data, it can be stated that about 60% of the USS populations do not have security of land tenure in the city of Colombo. However, there is a potential for negotiating with the Government and Municipal Council owned lands for getting the ownership right. In that context, 47.29% of USSs can be identified being in a potential situation to claim for ownership right to their lands. Still there remains about 12.73% of USS incapable of claiming for land ownership rights.

Table 9: Type of Tenure Rights of Occupants of the USSs

Type of Tenure Rights		
Category	No. of Settle.	%
Freehold ownership	452	42.92
User permit [Tenure Entitlement Card]	232	22.03
Leasehold	41	3.89
Rent	90	8.55
Illegal occupancy	238	22.60
Total	1053	100.00



According to the assessment survey, it is revealed that the occupants of 42.92% USSs enjoy freehold ownership for their occupancy. 22.03% are having user permit and entitlement card issued by the government institutions, which gives them some degree of security in their location. About 12.44% of the occupants come under the categories of tenant and Leasehold occupants. 22.60% of the occupants are identified as not having any legal entitlement to their occupancy.

In the overall situation, it can be highlighted that the occupants in 57.08% settlements do not have security of tenure on their occupancy.

5.2 Aspect Two: Physical Condition of Houses

Table 10: Condition of Houses in the USSs

Condition of Houses		
Category	No. of Settle.	%
≥ 80% houses are permanent	777	73.79
60% - 79% permanent	111	10.54
40% - 59% Permanent	55	5.22
20% - 39% Permanent	48	4.56
< 20% houses are Permanent	62	5.89
Total	1053	100.00

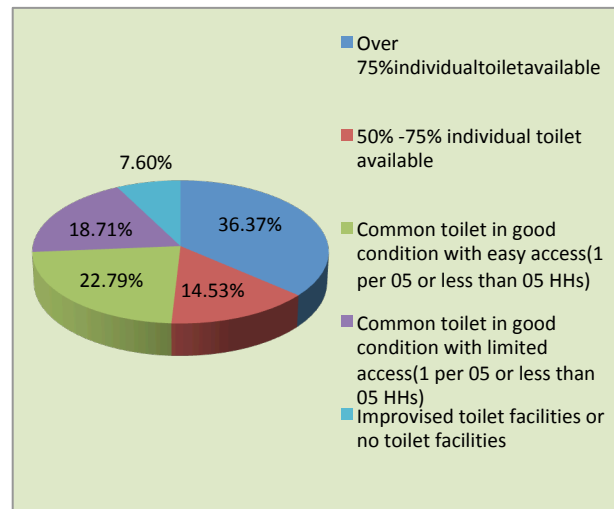
When assessing the condition of houses in the USSs, it was found that ≥ 80% of houses are permanent¹ in 73.79% of the USSs in Colombo. Under the second category, where 60% - 79% permanent houses are found in 10.54 % of the USSs. Under the 3rd category where 40% - 59% permanent houses are recorded in 5.22 % USSs. Under the fourth and fifth categories where 20% - 39% and <20% permanent houses are found in 4.56% and 5.89% of USSs respectively.

According to the above data, it can be reasonably concluded that a large majority of USSs in Colombo consist of more permanent houses. (Approx. 84.33% of USSs consist more than 60% houses in permanent condition)

¹A house is considered permanent for the purpose of this survey, when all three major components of the house i.e., Floor, Walls, and the roof are constructed and finished with accepted permanent building materials.

Table 11: Availability of Toilet Facilities for Housing Units in the USSs

Availability of Toilet Facilities for Housing Units		
Category	No. of Settle.	%
Over 75% individual toilet available	383	36.37
50% -75% individual toilet available	153	14.53
Common toilet in good condition with easy access (1 per 05 or less than 05 HHs)	240	22.79
Common toilet in good condition with limited access (1 per more than 05 HHs)	197	18.71
Improvised toilets or no toilet facilities	80	7.60
Total	1053	100.00



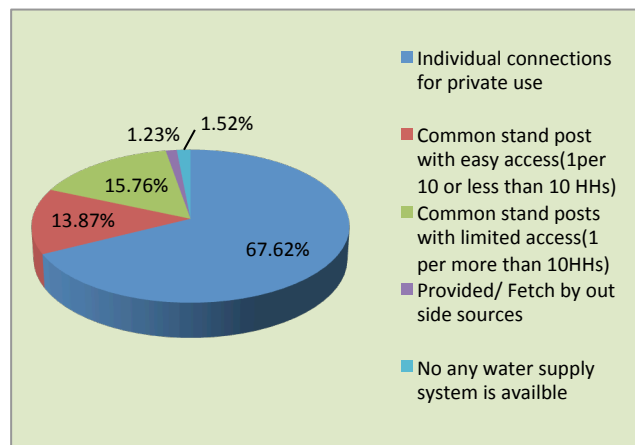
According to the assessment data, it is evident that the percentage of settlements having >75% houses with individual toilets is 36.37% of total USSs in the city. 14.53% USSs do have 50% - 75% houses with individual toilets. The USSs having common toilets in good condition with easy access (1 per 05 or less than 05 HHs) consist 22.79% of the total. The USSs consisting of common toilets in good condition with limited access (1 per more than 05 HHs) is recorded as 18.71% of the total settlements. The USSs with improvised toilets or no toilets at all is recorded as 7.60% of the total settlements.

In terms of assuring healthy and sustainable life for the people, it is important to consider above last two categories of USSs [26.31%] for improving access to safe and decent toilet facilities.

5.3 Aspect Three: Level of Services

Table 12: Potable Water Supply in the USSs

Potable Water Supply		
Category	No. of Settle.	%
Individual water meter connections for private use	712	67.62
Common stand post with easy access (1 per 10 or less HHs)	146	13.87
Common stand posts with limited access (1 per more than 10 HHs)	166	15.76
Provided/ Fetch water by outside sources	13	1.23
No any water supply system is available	16	1.52
Total	1053	100.00

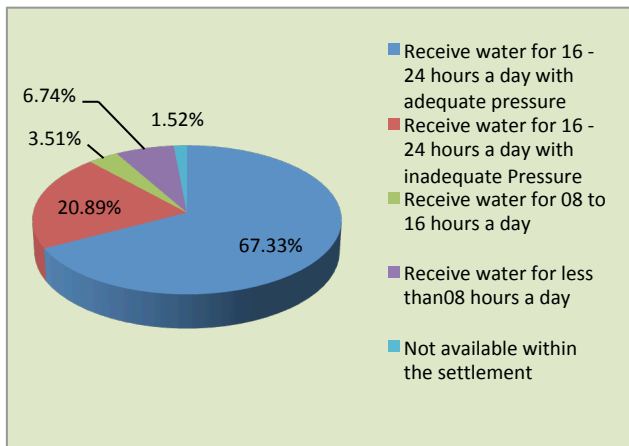


In terms of supply of potable water for the USSs in Colombo, it is found that individual water meter connection for private use is available for 67.62 % of the USSs. Water supply through common stand post with easy access (1 per 10 or less HHs) is recorded in 13.87% of USSs. Another 15.76% of USSs are identified having Common stand posts with limited access (1 per more than 10 HHs). It is also important to note that in 1.23% of USSs rely on outside water supply sources to meet their daily water requirements. It is critical to find that 1.52% of USSs in the city do not have any system of potable water supply to meet their needs.

In the above situation, it is emphasised that about 18.51% of the USSs communities are in need of safe drinking water which can be considered as a priority of improving these communities.

Table 13: Level of Service of Potable Water Supply in the USSs

Level of Service of Potable Water Supply		
No. of Settle.	No. of Settle.	%
Receive water for 16 - 24 hours a day with adequate pressure	709	67.33
Receive water for 16 - 24 hours a day with inadequate Pressure	220	20.89
Receive water for 08 to 16 hours a day	37	3.51
Receive water for less than 08 hours a day	71	6.74
Not available within the settlement	16	1.52
Total	1053	100.00

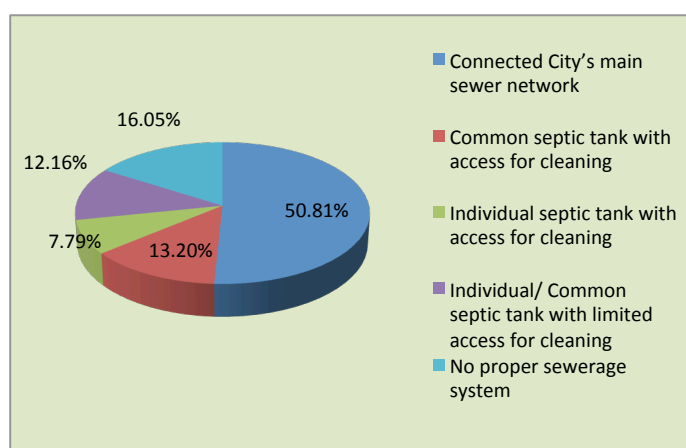


According to the above data it is clear that 67.33% of USSs in the city receive water for 16 - 24 hours a day with adequate pressure. 20.89% of USSs receive water for 16 - 24 hours a day with inadequate Pressure. Restricted water supply with 08 to 16 hours a day received by 3.51% of the settlements, while 6.74% of the USSs receive water for less than 08 hours a day. It is recorded that in 1.52% of USSs, no potable water was available.

As discussed above, poor level of service of potable water supply for 8.26% of USSs is a serious problem concerning the health and wellbeing aspects of the communities and therefore, need to take appropriate actions to address this issue.

Table 14: Availability of Sewerage Disposal System

Availability of Sewerage Disposal System		
Category	No. of Settle.	%
Connected to City's main sewer network	535	50.81
Common septic tank with access for cleaning	139	13.20
Individual septic tank with access for cleaning	82	7.79
Individual/ Common septic tank with limited access for cleaning	128	12.16
No proper sewerage disposal system	169	16.05
Total	1053	100.00

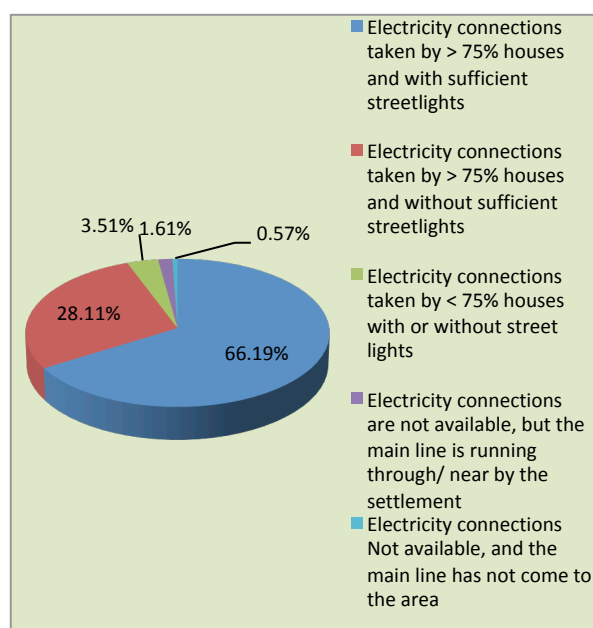


As shown in the above table, it is a unique situation in respect of USSs in Colombo to have access to the city's main sewerage disposal network by a majority of USS communities. According to the assessment survey, 50.81% USSs are connected to the city's main sewerage disposal network. It is also revealed that 13.20% of USSs use common septic tanks with access for cleaning. Another 7.79% USSs consist of individual house level septic tanks with access for cleaning. 12.16% USSs have individual/common septic tanks with limited access for cleaning. Lastly, 16.05% of USSs do not have any proper sewerage disposal system.

Accordingly, 28.21% USSs would face problems with regard to safe disposal of sewerage in their settlements, which may cause significant health and environmental issues in these communities. Hence, this situation would require adequate attention by the responsible authorities.

Table 15: Availability of Electricity for Private Use

Availability of Electricity for Private Use		
Category	No. of Settle.	%
Electricity connections taken by > 75% houses and with sufficient street lights	697	66.19
Electricity connections taken by > 75% houses and without sufficient street lights	296	28.11
Electricity connections taken by < 75% houses with or without street lights	37	3.51
Electricity connections are not available, but the main line is running through/ near by the settlement	17	1.61
Electricity connections Not available, and the main line has not come to the area	6	0.57
Total	1053	100.00

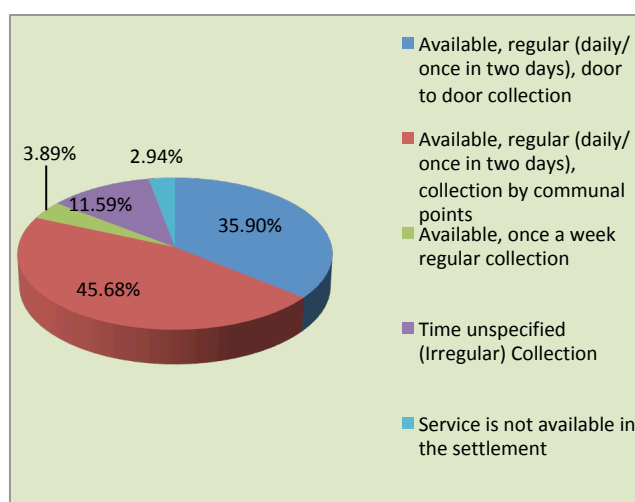


The above table shows that USSs with >75% houses having individual electricity connections and sufficient street lights account for 66.19% of total USSs. In the second category of USSs with >75% houses having individual electricity connections with no sufficient street lights represent 28.11% of the total USSs. The situation in respect of USSs with <75% houses having electricity connections with or without street lights stands at 3.51% of the total USSs. It is also revealed that the houses in 2.18% of USSs in the city do not have electricity connections at present.

Considering the above situation, it is important to note that the majority of USSs (about 98%) in Colombo have electricity connections for private use. However, the lack or insufficient street lighting is an issue for about 34% of the USSs. Considering the safety and security of the USSs communities, it is important to provide street lights for these USSs.

Table 16: Municipal Solid Waste Collection Service

Municipal Solid Waste Collection Service		
Category	No. of Settle.	%
Available, regular (daily/once in two days), door to door collection	378	35.90
Available, regular (daily/once in two days), collection by communal points	481	45.68
Available, once a week regular collection	41	3.89
Time unspecified (Irregular) Collection	122	11.59
Service is not available in the settlement	31	2.94
Total	1053	100.00

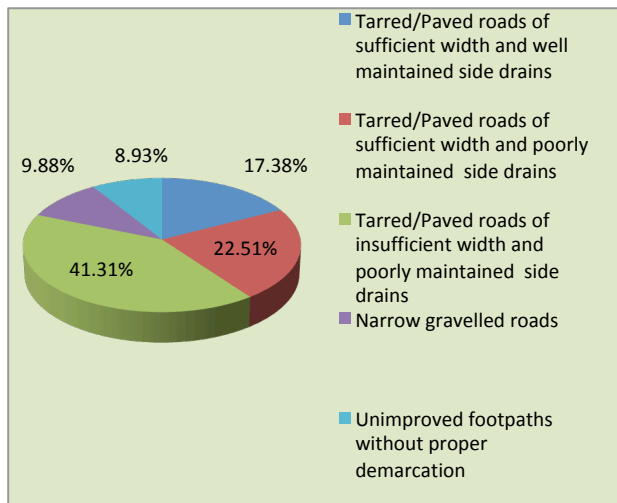


It is encouraging to note that regular door to door municipal waste collection service is available for 35.90% of USSs. Another 45.68% USSs receive regular collection at the level of communal points. Once a week regular municipal waste collection service is available for 3.89% of USSs, while time unspecified irregular collection is available for 11.59% of the USSs. Municipal solid waste collection service is not available for 2.94% of USSs in the city.

When considering the above service availability, it is reasonable to record that the waste collection service of the CMC is not a major problem in the USSs. However, the service can be further improved to bring all the USSs in to a regular collection system.

Table 17: Condition of Inner Access Roads

Condition of Inner Access Roads		
Category	No. of Settle.	%
Tarred/Paved roads of sufficient width and well maintained side drains	183	17.38
Tarred/Paved roads of sufficient width and poorly maintained side drains	237	22.51
Tarred/Paved roads of insufficient width and poorly maintained side drains	435	41.31
Narrow gravelled roads	104	9.88
Unimproved footpaths without proper demarcation	94	8.93
Total	1053	100.00



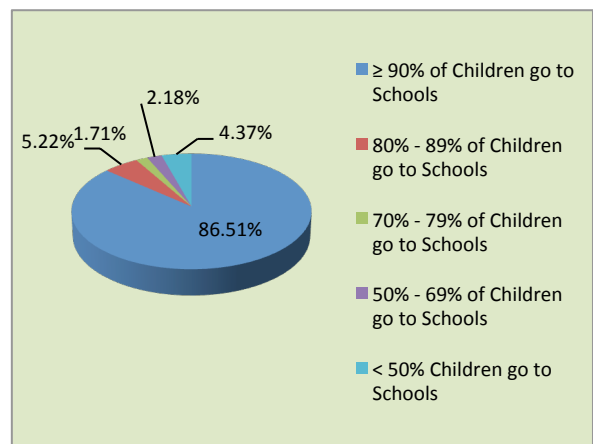
According to the assessment survey it is revealed that 17.38% of USSs in the city consist of tarred/paved inner access roads of sufficient width and well maintained side drains. 22.51% of USSs found tarred/paved inner access roads of sufficient width and poorly maintained side drains. 41.31% of USSs consist of tarred/paved roads of insufficient width and poorly maintained side drains. Another 9.88% of USSs reported to have narrow gravel access roads. Unimproved footpaths without proper demarcation are found in 8.93% of USSs in the city.

According to the above data, about 40% of USSs in the city have improved access roads. The access roads in balance 60% of the USSs required improvements in terms of the width of the road, paving, and the quality of side drains.

5.4 Aspect Four: Level of social and economic wellbeing

Table 18: School Attendance of School Going Age Children (Age 5-16)

School Attendance of School Going Age Children (Age 5-16)		
Category	No. of Settle.	%
≥ 90% of Children go to Schools	911	86.51
80% - 89% of Children go to Schools	55	5.22
70% - 79% of Children go to Schools	18	1.71
50% - 69% of Children go to Schools	23	2.18
< 50% Children go to Schools	46	4.37
Total	1053	100.00



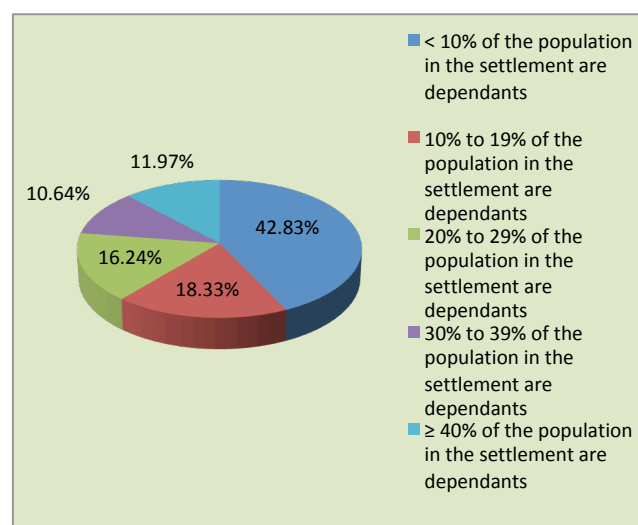
According to the assessment survey, the first category where ≥90% of Children attending schools is recorded 86.51% of the total USSs in the city. Under second category, 5.22% of the USSs recorded 80% - 89% of Children attending Schools. In the third category, 1.71% of the USSs

recorded 70% - 79% of Children attending Schools. Similarly, the fourth category records 2.18% of the USSs having 50% - 69% of Children attending Schools. Lastly, it is found that 4.37% of USSs show <50% of school attendance which is a significant number when considering the overall performance of the USSs in the city in this respect.

According to the above situation, the school attendance of school going age children in the USSs of Colombo indicates an impressive level of achievement. However, when considering the importance of school attendance of the children for social and economic wellbeing of an individual and a family, it is essential that measures are taken to encourage 100% school attendance of children.

Table 19: Dependency Rate of the HHs in the Settlements

Dependency Rate of the HHs in the Settlements		
Category	No. of Settle.	%
< 10% of the population in the settlement are dependants	451	42.83
10% to 19% of the population in the settlement are dependants	193	18.33
20% to 29% of the population in the settlement are dependants	171	16.24
30% to 39% of the population in the settlement are dependants	112	10.64
≥ 40% of the population in the settlement are dependants	126	11.97
Total	1053	100.00



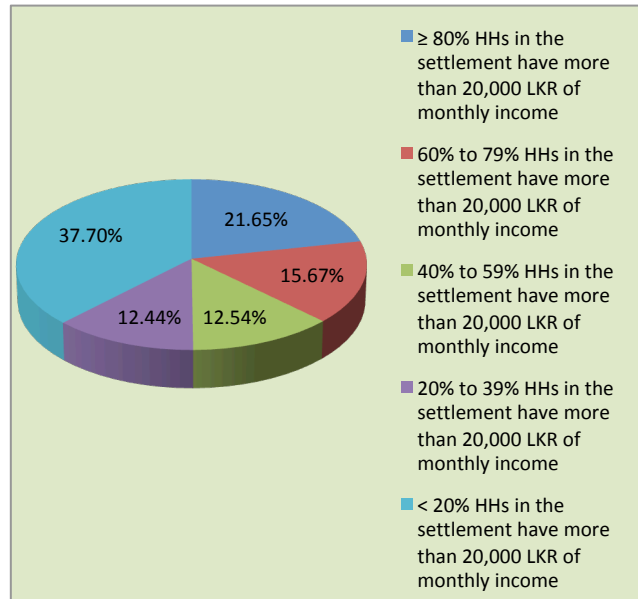
The dependency rate of the HHs in USSs was calculated by taking the cumulative total of all the dependants [As defined by this assessment] in a USS as a percentage of the total of the population of the settlement. (Pls see Annex 2 for definitions)

Accordingly, it was found that 42.83% of USSs are with <10% of the dependants of the total settlement population. It is evident that 10% - 19% of dependants are recorded in 18.33% of the USSs in the city. Another 16.24% of USSs reported to have 20% - 29% of dependants of their total population. A large percentage of dependants ranging from 30% -39% are found in 10.64% of USSs. It is significant to record that ≥ 40% of the population in the settlement are dependants in 11.97% of USSs in the city.

Considering the above situation, it is important to take appropriate measures to address the issues of dependent members of USSs communities, particularly with regard to the USS where over 30% of its' population consist of Dependant Population. When compared with the total no of USS in the city, about 20% fall within the above category with high dependant population.

Table 20 : Level of Income of the Households

Level of Income of the Households		
Category	No. of Settle.	%
≥ 80% HHs in the settlement have more than 20,000 LKR of monthly income	228	21.65
60% to 79% HHs in the settlement have more than 20,000 LKR of monthly income	165	15.67
40% to 59% HHs in the settlement have more than 20,000 LKR of monthly income	132	12.54
20% to 39% HHs in the settlement have more than 20,000 LKR of monthly income	131	12.44
< 20% HHs in the settlement have more than 20,000 LKR of monthly income	397	37.70
Total	1053	100.00

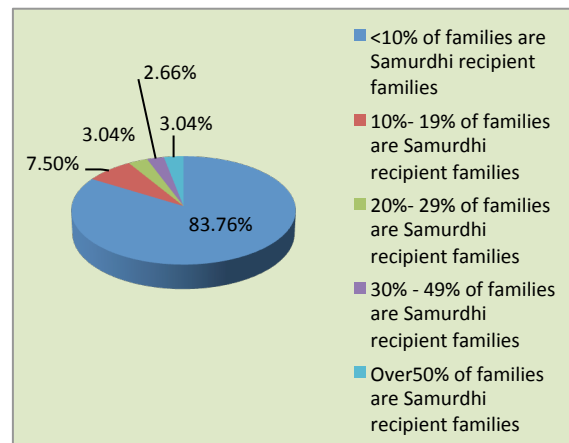


When assessing the level of income of the households in the USSs, it was found that ≥ 80% of HHs do have monthly income of over 20,000 LKR in 21.65% of the USSs in Colombo. In the second category, where 60% - 79% of HHs earn monthly income of over 20,000 LKR are found in 15.67% of the USSs. Under the 3rd category where 40% - 59% HHs record a monthly income of over 20,000 LKR are found in 12.54% USSs. Under the fourth and fifth categories where 20% - 39% and <20% HHs earn monthly income of over 20,000 LKR are found in 12.44% and 37.70% of USSs respectively.

According to the above data, it is revealed that monthly income of 62.68% of USSs communities found to be inadequate when considering the LKR 20,000 per month earning level by a household. This situation would require serious attention by the responsible authorities especially in a situation where the cost of living in the city is moving on an increasing trend.

Table 21: Recipient Families of Samurdhi and other govt. welfare Subsidies

Recipient Families of Samurdhi and other govt. welfare Subsidies		
Category	No. of Settle.	%
< 10% of families are Samurdhi recipient families	882	83.76
10% - 19% of families are Samurdhi recipient families	79	7.50
20% - 29% of families are Samurdhi recipient families	32	3.04
30% - 49% of families are Samurdhi recipient families	28	2.66
Over 50% of families are Samurdhi recipient families	32	3.04
Total	1053	100.00

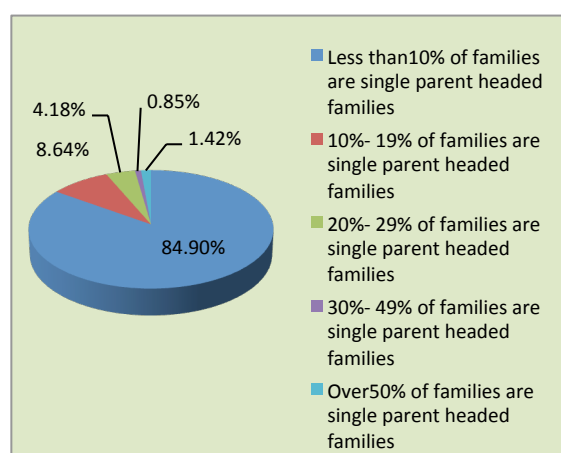


When assessing the level of dependency of the households on government subsidies, it was found that <10% of HHs receives monthly govt. subsidies in 83.76% of the total USSs in Colombo. In the second category, where 10% - 19% of HHs receive government subsidies are found in 7.50% of the USSs. Under the 3rd category where 20% - 29% HHs receive government subsidies are found in 3.04% USSs. Under the fourth and fifth categories where 30% - 49% and >50% HHs receive monthly govt. subsidies are found in 2.66% and 3.04% of USSs respectively.

Based on the above data, it is revealed that a majority of USS in the city has less than 10% of its' their families receiving Samurdhi and other Government subsidies. It is revealed that 16.24% of USSs consist of over 10% families who receive Samurdhi and other Government subsidies.

Table 22: Single Parent Headed Families in the USSs

Single Parent Headed Families in the USSs		
Category	No. of Settle.	%
Less than 10% of families are single parent headed families	894	84.90
10% - 19% of families are single parent headed families	91	8.64
20% - 29% of families are single parent headed families	44	4.18
30% - 49% of families are single parent headed families	9	0.85
Over 50% of families are single parent headed families	15	1.42
Total	1053	100.00



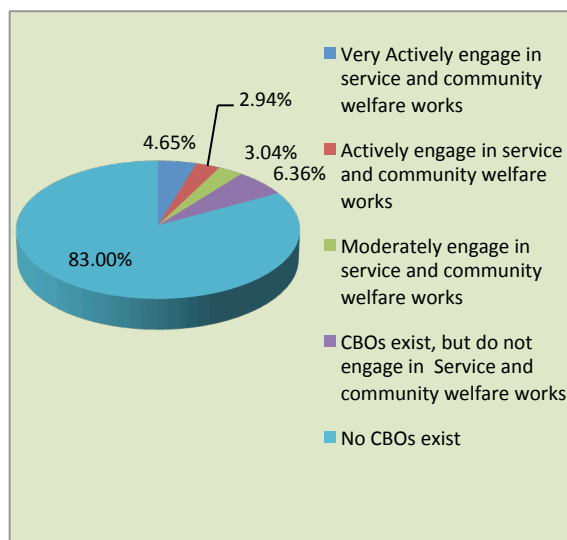
When considering the percentage of single parent headed families in the USSs, it was found that <10% of families are single parent headed, in 84.90% of the USSs. In the second category, where 10% - 19% of families are single parent headed, in 8.64% of the USSs. Under the 3rd category where 4.1% of families are single parent headed in USSs. Under the fourth and fifth categories where 30% - 49% and >50% of families are single parent headed, in 0.85% and 1.42 % of USSs respectively.

The above situation reveals that the single parent headed Families is not a significant problem for a majority of USS in Colombo (84.90%). However, this issue has some relevance for the balance 15.10% of USSs where a considerable no of single parent headed families present.

5.5 Aspect Five: Level of Community Participation

Table 23: Functioning of Community Based Organizations [CBOs] in the USSs

Functioning of Community Based Organizations [CBOs] in the USSs		
Category	No. of Settle.	%
Very Actively engage in service and community welfare works	49	4.65
Actively engage in service and community welfare works	31	2.94
Moderately engage in service and community welfare works	32	3.04
CBOs exist, but do not engage in Service and community welfare works	67	6.36
No CBOs exist	874	83.00
Total	1053	100.00

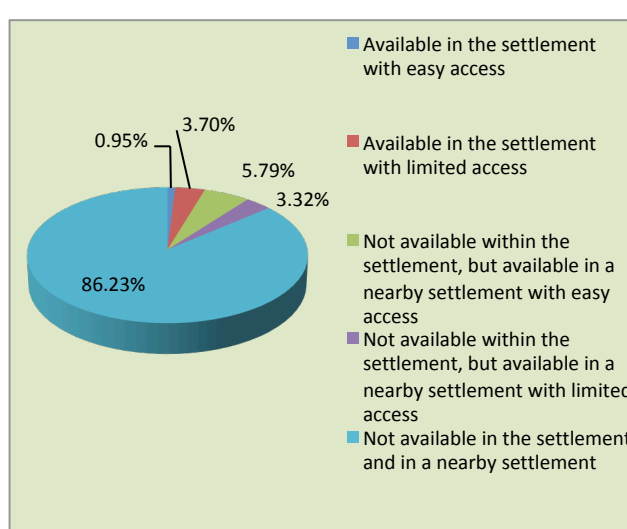


The CBOs in the city of Colombo play a vital role in service improvement and social welfare services in the USSs as revealed in the relevant literature. Accordingly, the functioning of CBOs in the USSs was assessed under this survey. The definitions of the levels of functioning of CBOs are described in Annex 2. It is found that the CBOs are **very actively** engage in service and community welfare works in 4.65% of USSs in Colombo. The CBOs with **active** engagement in service and community welfare works is 2.94% of the total USSs. The CBOs with **moderate** engagement in service and community welfare works is 3.04% of the total USSs. Under the fourth category where CBOs exist, but do not engage in Service and community welfare works represents 6.36% of USSs.

It is crucial to note that the CBOs do not exist in 83% USSs in the city which would mean the lack of community participation in the development programmes, as well as social and community welfare activities of the USSs.

Table 24: Access to Community Centres in the USSs

Access to Community Centres in USSs		
Category	No. of Settle.	%
Available in the settlement with easy access	10	0.95
Available in the settlement with limited access	39	3.70
Not available within the settlement, but available in a nearby settlement with easy access	61	5.79
Not available within the settlement, but available in a nearby settlement with limited access	35	3.32
Not available in the settlement and in a nearby settlement	908	86.23
Total	1053	100.00



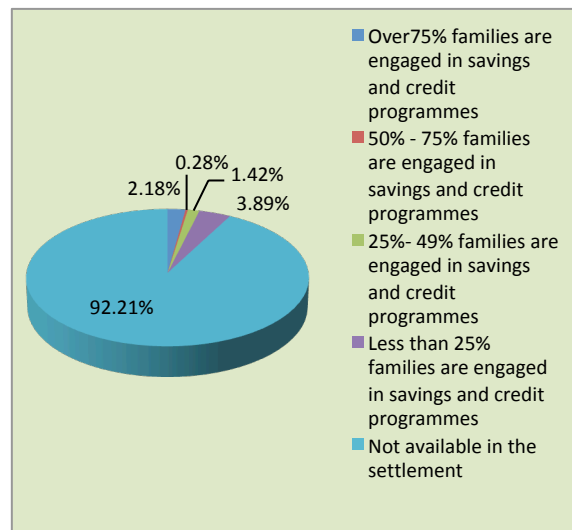
In the context of USSs in Colombo, having a community centre to be used by the community people provides great opportunities for meeting their individual needs as well as community needs considering primarily the inherent spatial limitations of the USSs.

According to the assessment survey, the availability of a community centre in the settlement with easy access is recorded as 0.95% of USSs in the city. In 3.70% of USSs, the community centres are available but with limited access for its utilization. There is another category recording 5.79% where a community centre not having within the settlement, but available in a nearby settlement with easy access. The fourth category where 3.32% of USSs recorded not having a community centre within the settlement, but available in a nearby settlement with limited access.

It is important to note that 86.23% of the USSs in the city do not have Community Centres in the settlements or in nearby settlements. This situation may hinder the participation of the USS communities in their settlement and livelihood improvement activities.

Table 25: Community Engagement in Savings and Credit Programmes in USSs

Community Engagement in Savings and Credit Programmes in USSs		
Category	No. of Settle.	%
Over 75% families are engaged in savings and credit programmes	23	2.18
50% - 75% families are engaged in savings and credit programmes	3	0.28
25% - 49% families are engaged in savings and credit programmes	15	1.42
Less than 25% families are engaged in savings and credit programmes	41	3.89
Not available in the settlement	971	92.21
Total	1053	100.00



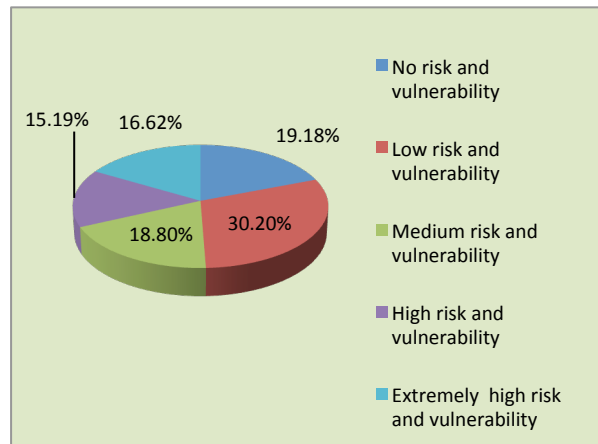
When assessing the community involvement in savings and credit activities, it was found that >75% of families engage in savings and credit programmes in 2.18% of the total USSs in Colombo. In the second category, where 50% - 75% of families engage in savings and credit programmes are found in 0.28 % of the USSs. Under the 3rd category where 25% - 49% families engage in savings and credit programmes is found in 1.42% USSs. Under the fourth category where <25% of families engage in Savings and credit programmes is recorded only in 3.89% USSs. Lastly, there are 92.21% of USSs were no savings and credit programmes in operation.

The above situation indicates, there is an ample opportunity existing in the USSs in Colombo to introduce community level savings and credit programmes for the benefit of the poor families.

5.6 Aspect Six: Vulnerability Context

Table 26: Risk and Vulnerability in facing Hazards

Risk and Vulnerability in facing Hazards		
Category	No. of Settle.	%
No risk and vulnerability	202	19.18
Low risk and vulnerability	318	30.20
Medium risk and vulnerability	198	18.80
High risk and vulnerability	160	15.19
Extremely high risk and vulnerability	175	16.62
Total	1053	100.00



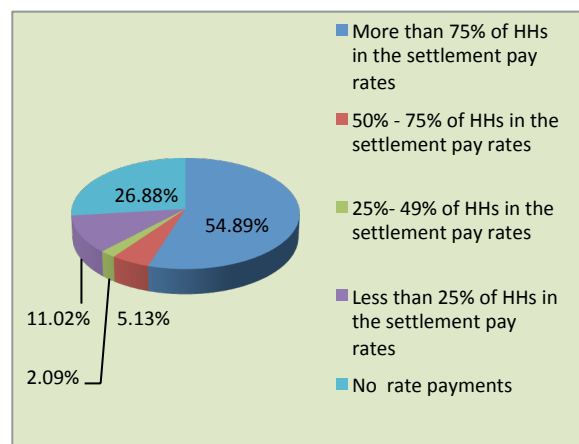
According to the assessment survey, it was revealed that 16.62% of USSs are in a situation of extremely high risk and vulnerability in facing hazardous situations. Among the USSs in the city, another 15.19% are with high level of risk and vulnerability. The percentage of USSs with medium level of risk and vulnerability is about 18.80%. There are about 30.20% of USSs with low risk and vulnerability, while 19.18% of USSs experience no risk and vulnerability in facing hazardous situations at all.

According to the above situation, it is crucial to note that around half of the USSs in Colombo are falling within medium to extremely high risk situations of facing hazards. This situation may pose a serious threat to the government as well as to the HHs in the USSs when coping with hazardous situations.

5.7 Aspect Seven: Institutional and Social Recognition

Table 27: Payment of Rates to the Municipality

Payment of Rates to the Municipality		
Category	No. of Settle.	%
More than 75% of HHs in the settlement pay rates	578	54.89
50% - 75% of HHs in the settlement pay rates	54	5.13
25% - 49% of HHs in the settlement pay rates	22	2.09
Less than 25% of HHs in the settlement pay rates	116	11.02
NO rate payments	283	26.88
Total	1053	100.00



When assessing the payment of rates to the Municipal council by the communities, it was found that >75% of HHs pays municipal rates in 54.89% of the total USSs in Colombo. In the second category, where 50% - 75% of HHs pay rates to the Municipality are found in 5.13% of the USSs. Under the 3rd category where 25% - 49% HHs pay Municipal Rates in 2.09 % USSs. Under the fourth category where <25% of HHs pay Municipal Rates is recorded only in 11.02 % USSs. Lastly, there are 26.88 % of USSs which do not pay rates to the Municipal Council.

According to the above situation, it is encouraging to note that 60% of the USSs in the city are in the municipal rate paying category. This would enable improving quality of life of people and social and legal recognition of their existence in the city. Therefore, possibility of inclusion of rest of the USSs also in the rate paying category would be considered important.

CHAPTER SIX: Significant Issues and Citywide Concerns

6.1 Stakeholder Perception on the USSs in the City of Colombo

The stakeholder perceptions on the USSs in Colombo which are listed below were gathered during a number of stakeholder consultation meetings conducted following the citywide survey of USSs. These include mostly the opinions of relevant stakeholders which are qualitative statements on different aspects of USSs in the city.

- I. The stakeholders perceived that a large sum of money has been spent by the Municipal Council as well as the Donors to improve the sanitation conditions of the USSs in the past. However, it is evident that maintaining of such facilities is a burden to the municipal council. Therefore, many stakeholders believe that providing sewerage connections to the USSs with the city's main sewer network would be appropriate.
- II. It was also argued that providing individual toilet facilities to USSs occupants would be much more appropriate in terms of improving family health of the people as well as reducing the burdens on the municipal budget on maintenance of common toilets. Elimination of common toilets would also contribute to reduce the cost of non-revenue water in the city, which is being promoted by the National Water Supply and Drainage Board during the past decades.
- III. It was discussed that encroachment of common spaces such as children's play areas, road and canal reservations, and such other open spaces is a common problem in most of the USSs in Colombo. The past experience shows that upgrading of housing and services in the USSs alone, cannot address the above issue unless strict regulations and institutional arrangements are introduced to manage and protect the common spaces in the USSs.
- IV. The stakeholders believe that a large majority of USS occupants in Colombo have access to regular income earning opportunities, and therefore they are in a better position to afford individual basic services. This has a strong relationship with their current location and linkages with the livelihood opportunities in the city.
- V. Most of the stakeholders expressed their views with regard to the improvements achieved in USSs in terms of adequate services and permanent nature of houses during the past two-three decades.
- VI. It was highlighted the importance of strengthening the CBOs in USSs in order to improve the linkages between the USSs communities and the CMC. These arrangements also would contribute to support the O & M services, health and other social programmes to be implemented effectively in the USSs Communities.
- VII. Many stakeholders also emphasised on the need for re-introducing the community contract construction method to the CBOs in order to strengthen the capacity of CBOs and to promote community engagement in settlement level service delivery process.
- VIII. Local political leaders [Municipal Councillors] argued on the importance of issuing temporary occupancy numbers for those USSs families who do not pay municipal rates in order to support them to obtain basic services and enrolling their children to schools. This shows the general willingness of the local politicians to include the USSs communities in to the formal city structures.

6.2 Community Perception on their immediate needs and future development

The community perceptions on the above aspects were extracted through the baseline survey of USS families carried out in 60 settlements covering the entire city, number of CAP workshops and community consultation meetings during the period February to November 2012. Some of the significant concerns raised by the USS communities are listed below.

- I. According to the baseline survey of the selected 60 USSs in the city, the perception of communities on the physical environment of the neighbourhood indicates only 1% as excellent, 61% as good, 25% as moderate and 13% as not-satisfied. This indicated that majority of the communities consider that they are satisfied with their physical environment.
- II. When assessing the perception on social environment aspects of the neighbourhood, only 1% of the USSs families ranked it excellent while, 56% indicated it is good, and 24% as moderate and balance 19% stating the social environment is not satisfied. This shows that nearly 1/5 of the families in the USSs are not satisfied with their current social environment.
- III. Community perception on employment and income earning opportunities indicates that 2% ranking it being excellent, 63% as good, 23% being moderate, and the balance 12% stating not satisfied. However, this indicates that a majority of the USSs families are satisfied with the employment and income earning opportunities available in and around their settlements.
- IV. The community perception on basic services available in the settlements indicates only 6% of families ranking them as excellent while 45% stating it as good, 23% as moderate and the remaining 26% being not satisfied. According to this judgment about 49% of USS families are not satisfied with the available services in their settlements.
- V. When inquired the preferred location of the families who would like to change their current location, it shows that 19% families prefer to settle within the same municipal ward, 45% within the CMC area, and 23% to a location outside CMC area, but within the Colombo District. The last category of families [13%] would prefer to move outside Colombo District. This indicates that a majority of people who prefer to change their current location [64%] but still willing to settle within the CMC area. This provides a strong community perception to be considered in formulating USS improvement strategies in the city.
- VI. The responses received from USS families on preferred development of housing and services for them, indicates that 44% prefer the existing level of development, 28% prefer onsite low-rise housing [G+3], 8% prefer onsite high-rise housing [over 4 floors] and 5% prefer relocating the neighbourhood to any other location. It was also found that 15% of families fall in to no response or any other preference category.
- VII. The above data emphasized that the majority of communities prefer that any future development to take place within their location.

6.3 Community perception gathered through community forums, and focus group meetings

- I. The Occupants of upgraded settlements indicate that they are in an equal position to that of middle and lower-middle income communities in the city in terms of their housing and basic services and assets they own. However, the society and the institutional setup in the city are not prepared to accept these communities as middle income or lower-middle income category of communities. Therefore, there is an issue of recognition and inclusion of such communities in to the formal city structure.
- II. A majority of USS communities are willing to pay assessment rates to the municipality considering the benefits of institutional recognition through this process.
- III. The women leaders and members of savings and credit groups in the USSs emphasized how they are being empowered through the Women's Bank programme and wish to encourage the other communities also to get engaged in the savings programme.
- IV. The community leaders and the members in the USSs never brought any issues related to ethnic or religious differences within their communities while they engage in CBO activities, although most of the USSs have mixed ethnic communities.
- V. There is common feeling that the information related to ongoing major development programmes in the city such as the housing, road widening, city beautification, etc. are not shared with USS communities, and therefore, they feel insecurity in respect of their housing, and livelihoods.
- VI. Many USS communities are willing to obtain individual service connections such as water, electricity, and toilet, etc. and indicate their affordability to pay for these services, based on their strength of current livelihood activities.
- VII. Lack of legal identity and recognition of current location of USSs; many communities face difficulties in enrolling their children to schools, obtaining individual service connections and several other social benefits offered by formal sector institutions.

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Responsible Project Team of SEVANATHA

1	Mr. K. A. Jayaratne	President,	Overall Guidance and Supervision
2	Mr. H. M. U. Chularathna	Executive Director,	Project Coordination
3	Mr. R. M. S. R. Rathnayake	Project Manager	Project Coordination and Implementation
4	Mr. H. A. Y. P. Perera	Project Officer	Project Implementation
5	Ms. W. A. D. C. Udeshika	Project Officer	Project Implementation
6	Ms.E. M. P. K. Ekanayaka	Project Officer	Project Implementation
7	Mr. D. D. S. James	Resource person (Community Development)	Community Mobilization
8	Mr. S. H. Somawardhana	Technical Officer	Technical Support and Supervision
9	Ms. R. Sudharshani	Community Mobilizer	Community Mobilization
10	Ms. A. Mary	Community Mobilizer	Community Mobilization
11	Ms. S.Sakunthala	Community Mobilizer	Community Mobilization
12	Ms. A. Sorojini	Community Mobilizer	Community Mobilization
13	Mr. R.Wickramaarachchi	Accountant	Project Finance Management
14	Ms. K. G. S. Sumanasekara	Administrative Officer	Administrative Support
15	Ms.NayaneeSooriyaarachchi	Accountant Assistant	Assist in Project Finance Management
16	Ms. P. Sewickrema	Executive Committee Member, Women's Coop.	Coordinating the project activities with the Women's Coop.
17	Ms.K. K. Rupasinghe	Executive Committee Member, Women's Coop.	Coordinating the project activities with the Women's Coop.

Project Review Committee (PRC) of Colombo Municipal Council

1	Mrs.BhadraniJayawardena	Municipal Commissioner
2	Eng. G. G. Weerakkody	Deputy Municipal Commissioner, Engineering Services
3	Eng. (Mrs.)ThamaraMallawaarachchi	Acting Deputy Municipal Commissioner (PS)/ CMC Project Coordinator of this project
4	Mr. K. D. Chitrapala	Municipal Treasurer
5	Mrs.JayanthaJayasekara	Municipal Assessor
6	Dr.Ruwan Wijayamuni	Deputy Chief Medical Officer of Health [Represented MOH]
7	Eng. L. R. L. Wickramarathna	Director, Engineering (L&D)
8	Eng. J. A. Guruge	Director, Engineering [Works]
9	Eng. M. I. M. Salim	Director, Engineering [D & WS]
10	Eng. Mrs. Angela Devaraj	Director, Engineering (SWM)
11	Eng. M. T. A. Hafeel	Dy. Director, (SWM)

CMC District Level Officials directly involved in the project – Public Health Department

	Name	Designation
1	Dr.RasankaRanasinghe	D1 – Medical Officer of Health
2	Dr. G. P. K. Lakpriya	D2A – Medical Officer of Health
3	Dr. (Mrs.) DeepikaAbeyasinghe	D2B – Medical Officer of Health
4	Dr.SubhashMendis	D3 – Medical Officer of Health
5	Dr. (Mrs.) G. Rathnawardena	D4 – Medical Officer of Health
6	Dr. K. Sriprathapan	D5 – Medical Officer of Health
Health Education Staff		
7	Mr. T. G. K. P. Gamage	Chief Health Education Officer (Acting)
8	Ms. A. A. S. Samithri	D1 - Assistant Chief Health Education Officer
9	Ms.ThusithaEpitawala	D5 - Assistant Chief Health Education Officer
10	Ms. R. D. Pathmira	D4 - Assistant Chief Health Education Officer
11	Mr. K. P. G. Karunadasa	D2B - Assistant Chief Health Education Officer
12	Ms. G. R. Ramani	Health Instructor
13	Ms. K. Dhammika	Health Instructor
14	Ms.JasinthaPerera	Health Instructor

15	Ms.SuneethaPonsi	Health Instructor
16	Ms. Nanda Arambage	Health Instructor
17	Ms.MallikaKusumalatha	Health Instructor
18	Ms.SeethaBaddegama	Health Instructor
19	Ms.Priyanganee Rathnayake	Health Instructor
20	Ms.MalkanathiPerera	Health Instructor
21	Ms. Yamuna Priyanthi	Health Instructor
22	Ms.MallikaWeerasinghe	Health Instructor
23	Ms.ChampaSamanthiPerera	Health Instructor
24	Ms.KumariGanewattha	Health Instructor
25	Mr.DhammikaKumarasinghe	Health Instructor
26	Ms. K .V. Namali	Health Instructor
27	Ms. N. A. Chandralatha	Health Instructor
28	Ms. S. A. Malani	Health Instructor
29	Ms.GeethaRohini	Health Instructor
30	Ms. J. A. Kusumawathi	Health Instructor
31	Ms. D. I. D. Kaldera	Health Instructor
32	Ms. L. D. Airangani	Health Instructor
33	Ms.ManelPriyanthi	Health Instructor
34	Ms. H. K. ManjulaNishanthi	Health Instructor
35	Ms.NimaliDhammika	Health Instructor
36	Ms. L. M. Mala	Health Instructor
37	Ms.ChampaGunawardena	Health Instructor
38	Ms.Anusha Paul	Health Instructor
39	Ms.AnushkaSenawirathne	Health Instructor
40	Ms. W. K. Somalatha	Health Instructor
41	Ms. Lakshmi Perera	Health Instructor
42	Ms.KalyaniGunasiri	Health Instructor
43	Ms.Pushpa RanjaniThiranagama	Health Instructor
44	Ms. A. D. R. Renuka	Health Instructor
45	Ms. R. H. Jayarani	Health Instructor

46	Ms. W. G. Sriyawathi	Health Instructor
47	Ms. D. SriyaniWickramasinghe	Health Instructor
48	Ms. K. J. Kalyani	Health Instructor
49	Ms. W.D. Chandani	Health Instructor
50	Ms. R. S. N. Malkanthi	Health Instructor

CMC District Level Officials directly involved in the project – Engineering Department

	Name	Designation
1	Eng. (Mrs.) P. H. Idampitiya	D1 - Chief Engineer (Works)
2	Eng. L. P. R. Suranga	D1 –District Engineer (SWM)
3	Eng. C. K. Weerawardena	D1 - District Engineer (Drainage)
4	Eng. DinethKulatilake	D2A - Chief Engineer (Works)
5	Eng. R. A. H. P. Ranasinghe	D2A - District Engineer (SWM)
6	Eng. E. M. S. K. Edirisinghe	D2A - District Engineer (Drainage)
7	Eng. D. M. S. Jagath Kumara	D2B - Chief Engineer (Works and Drainage)
8	Eng. L. R. W. S. S. Rajasekara	D2B - District Engineer (SWM)
9	Eng. (Mrs.) Lakshmi Bandara	D3 - Chief Engineer (Works)
10	Eng. S. P. C. Illukkumbura	D3 - District Engineer (Drainage)
11	Eng. (Mrs.) Iresha Silva	D3 - District Engineer (SWM)
12	Eng. L. B. Kumudulal	D4 - Chief Engineer (Works)
13	Eng. M. Mishan	D4 - District Engineer (SWM)
14	Eng. (Mrs.) L. U. Preethika	D4 - District Engineer (Drainage)
15	Eng. B. J. G. Dissanayake	D5 - Chief Engineer (Works and SWM)
16	Eng. (Mrs.) S. H. Maizaan	D5 - District Engineer (Drainage)

Technical Officers attached to the CMC District Offices who engage in the project activities		
	Name	Designation
17	Mr.S.A.D.Bandara	D1 - Technical Officer
18	Mrs. H.G.K.Kaldera	D1 - Technical Officer
19	Mrs.Thushani Perera	D2A – Technical Officer (Works)
20	Mr.S.D.Punchihewa	D2B- Technical Officer
21	Mr.M.A.L.A. Dias	D2B- Technical Officer
22	Ms.M.P.S.Swarnamali	D3 – Technical Officer
23	Mrs.W.A.R.K. Weerakoon	D4 – Technical Officer
24	Mr.P.V.A.Neelakantha	D5 – Technical Officer

Annex 1:

(A) Poverty Characteristics and Indicators

No	Indicator	Standard Score	Assigned Score
Aspect 1: Land Tenure/ Ownership			
1	Land Ownership of the Settlement		
	1.1	Owned by the occupants	05
	1.2	Government owned Land	04
	1.3	Municipal Council owned land	03
	1.4	Other privately owned land	02
	1.5	Unclear ownership	01
2	Type of Tenure Rights		
	2.1	Free hold ownership	05
	2.2	User permit [Tenure Entitlement Card]	04
	2.3	Leasehold	03
	2.4	Rent	02
	2.5	Illegal occupancy [Reservation Land/ Marshy Land/ Private Land]	01
Aspect 2: Physical Condition of Houses			
3	Condition of Houses		
	3.1	≥ 80% houses are permanent	05
	3.2	60% - 79% permanent	04
	3.3	40% - 59% Permanent	03
	3.4	20% - 39% Permanent	02
	3.5	< 20% houses are Permanent	01
4	Availability of Toilet Facilities for Housing Units		
	4.1	Over 75% individual toilet available	05
	4.2	50% - 75% individual toilet available	04
	4.3	Common toilet in good condition with easy access (1 per 05 or less than 05 HHs)	03
	4.4	Common toilet in good condition with limited access (1 per more than 05 HHs)	02
	4.5	Improvised toilet facilities or no toilet facilities	01
Aspect 3: Level of services			
5	Potable Water Supply		
	5.1	Individual connections for private use	05
	5.2	Common stand post with easy access (1 per 10 or less than 10 HHs)	04
	5.3	Common stand posts with limited access (1 per more than 10 HHs)	03
	5.4	Provided/ Fetch by outside sources	02
	5.5	No any water supply system is available	01
6	Availability of Portable Water		
	6.1	Receive water for 16 - 24 hours a day with adequate pressure	05
	6.2	Receive water for 16 - 24 hours a day with inadequate Pressure	04
	6.3	Receive water for 08 to 16 hours a day	03
	6.4	Receive water for less than 08 hours a day	02
	6.5	Not available within the settlement	01
7	Sewerage System		

No	Indicator	Standard Score	Assigned Score
7.1	Connected City's main sewer network	05	
7.2	Common septic tank with access for cleaning	04	
7.3	Individual septic tank with access for cleaning	03	
7.4	Individual/ Common septic tank with limited access for cleaning	02	
7.5	No proper sewerage system	01	
8	Electricity for Private Use		
8.1	Electricity connections taken by > 75% houses and with sufficient streetlights	05	
8.2	Electricity connections taken by > 75% houses and without sufficient streetlights	04	
8.3	Electricity connections taken by < 75% houses with or without street lights	03	
8.4	Electricity connections are not available, but the main line is running through/ near by the settlement	02	
8.5	Electricity connections Not available, and the main line has not come to the area	01	
9	Municipal Solid Waste Collection Service		
9.1	Available, regular (daily/once in two days),door to door collection	05	
9.2	Available, regular (daily/once in two days), collection by communal points	04	
9.3	Available, once a week regular collection	03	
9.4	Time unspecified (Irregular) Collection	02	
9.5	Service is not available in the settlement	01	
10	Condition of Inner Access Roads		
10.1	Tarred/Paved roads of sufficient width and well maintained side drains	05	
10.2	Tarred/Paved roads of sufficient width and poorly maintained side drains	04	
10.3	Tarred/Paved roads of insufficient width and poorly maintained side drains	03	
10.4	Narrow gravelled roads	02	
10.5	Unimproved footpaths without proper demarcation	01	
Aspect 4: Level of social and economic wellbeing			
11	School Attendance of School Going Age Children		
11.1	≥ 90% of Children go to Schools	05	
11.2	80% - 89% of Children go to Schools	04	
11.3	70% - 79% of Children go to Schools	03	
11.4	50% - 69% of Children go to Schools	02	
11.5	< 50% Children go to Schools	01	
12	Dependency Rate of the Families		
12.1	< 10% of the population in the settlement are dependants	05	
12.2	10% to 19% of the population in the settlement are dependants	04	
12.3	20% to 29% of the population in the settlement are dependants	03	
12.4	30% to 39% of the population in the settlement are dependants	02	
12.5	≥ 40% of the population in the settlement are dependants	01	
13	Income Generation of the Households		
13.1	≥ 80% HHs in the settlement have more than 20,000 LKR of monthly income	05	
13.2	60% to 79% HHs in the settlement have more than 20,000 LKR of monthly income	04	
13.3	40% to 59% HHs in the settlement have more than 20,000 LKR of monthly income	03	
13.4	20% to 39% HHs in the settlement have more than 20,000 LKR of monthly	02	

No	Indicator	Standard Score	Assigned Score
	income		
13.5	< 20% HHs in the settlement have more than 20,000 LKR of monthly income	01	
14	Number of Samurdhi [Govt. Welfare Subsidy Programme for the Poor] Recipient Families in the Settlement		
14.1	<10% of families are Samurdhi recipient families	05	
14.2	10%- 19% of families are Samurdhi recipient families	04	
14.3	20%- 29% of families are Samurdhi recipient families	03	
14.4	30% - 49% of families are Samurdhi recipient families	02	
14.5	Over50% of families are Samurdhi recipient families	01	
15	Number of Single Parent Headed Families in the Settlement		
15.1	Less than10% of families are single parent headed families	05	
15.2	10%- 19% of families are single parent headed families	04	
15.3	20%- 29% of families are single parent headed families	03	
15.4	30%- 49% of families are single parent headed families	02	
15.5	Over50% of families are single parent headed families	01	
Aspect 5: Level of social mobility			
16	Functioning of Community Based Organizations [CBOs] in the Settlement		
16.1	Very Actively engage in service and community welfare works	05	
16.2	Actively engage in service and community welfare works	04	
16.3	Moderately engage in service and community welfare works	03	
16.4	CBOs exist, but do not engage in Service and community welfare works	02	
16.5	No CBOs exist	01	
17	Access to a Community Centre		
17.1	Available in the settlement with easy access	05	
17.2	Available in the settlement with limited access	04	
17.3	Not available within the settlement, but available in a nearby settlement with easy access	03	
17.4	Not available within the settlement, but available in a nearby settlement with limited access	02	
17.5	Not available in the settlement and in a nearby settlement	01	
18	No. of Families engage in Community Savings and Credit Programmes		
18.1	Over75% families are engaged in savings and credit programmes	05	
18.2	50% - 75% families are engaged in savings and credit programmes	04	
18.3	25%- 49% families are engaged in savings and credit programmes	03	
18.4	Less than 25% families are engaged in savings and credit programmes	02	
18.5	Not available in the settlement	01	
Aspect 6: Vulnerability conditions			
19	Risk and Vulnerability for Hazards		
19.1	No risk and vulnerability	05	
19.2	Low risk and vulnerability	04	
19.3	Medium risk and vulnerability	03	
19.4	High risk and vulnerability	02	
19.5	Extremely high risk and vulnerability	01	
Aspect 7: Institutional and social recognition			
20	Payment of Rates to the Municipality		
20.1	More than 75% of HHs in the settlement pay rates	05	

No		Indicator	Standard Score	Assigned Score
	20.2	50% - 75% of HHs in the settlement pay rates	04	
	20.3	25%- 49% of HHs in the settlement pay rates	03	
	20.4	Less than 25% of HHs in the settlement pay rates	02	
	20.5	NO rate payments	01	
		Total Score		

Score Range	Assessment
81%-100%	Fully Upgraded Settlement (Last Priority)
61%-80%	Upgraded Settlement –Can do much better (Third Priority)
41%-60%	Underserved Settlement –Still room to improve (Second Priority)
Below 40%	Extreme Poor Settlement –Needs immediate attention for improving (First Priority)

Score Scale	
5:	Not Poor
4:	Marginal Poor
3:	Poor
2:	Very Poor
1:	Extremely Poor

Annex 2:

(A) Poverty Characteristics and Indicators

The poverty characteristics and indicators used in this assessment survey were adopted based on the characteristics list used in the Poverty Profile Survey of City of Colombo, 2002 which was carried out by SEVANATHA in collaboration with Colombo Municipal Council. The originally used characteristics and indicators had to be modified based on the recent changes occurred in the urban poor settlements in Colombo. The SEVANATHA project team has paid serious attention to the changes in physical, social and political environment conditions in relation to the urban poor settlements in the city of Colombo in particular during the past Nine [09] years since Poverty Profiling survey of 2002. A scorecard consisting of Twenty [20] characteristics has been developed for carrying out a field assessment of urban poor settlements which are also discussed in this survey as Underserved Settlements [USSs], under the present project.

The scorecard consists of a number of characteristics representing different aspects of poverty, derived from Deprivation of basic needs and Vulnerability conditions. Each characteristic contains a number of indicators describing the existing conditions of settlements. Based on subjective judgment, equal weightings were assigned to each characteristic and for indicators on a scale of 1 to 5 scores. The scores are assigned to those indicators based on a relative importance and qualitative judgment of each indicator. Worse indicators get lower scores and the better-off indicators get higher scores.

The characteristics as discussed above were identified in respect to the following **Aspects** of USSs in Colombo. These include;

- Aspect 1:** Land Tenure/ Ownership
- Aspect 2:** Physical Condition of Houses
- Aspect 3:** Level of services
- Aspect 4:** Level of social and economic wellbeing
- Aspect 5:** Level of Community Participation
- Aspect 6:** Vulnerability Context
- Aspect 7:** Institutional and social recognition

Under the settlement specific physical environment, the condition of the existing houses and the types of available toilet facilities for the houses are mainly considered. The conditions of interior access roads, solid waste collection service, electricity and street lightning, water supply, and availability of sewerage network were considered in assessing the level of available services in the settlement. These services are considered as the basic services that have to be provided to ensure decent living environment for the people in USSs.

The other important aspect considered in assessing the wellbeing of communities is their legal tenure for the occupying land and the dwelling unit. Level of social and economic wellbeing of the communities is another important aspect of their poverty which is attributed to different characteristics such as, education, dependency rate of households, level of income, and government subsidies on poverty alleviation etc. Engagement in savings and credit programmes and engaging in community welfare and services provision through CBOs are indicators considered in community participation aspect of USSs. Analysis of these indicators provides evidences how people are prepared to face the risk of being poor and their strengths in negotiating with the government institutions for their rights and improved living condition.

Vulnerability context of the USSs is considered as another aspect of measuring community wellbeing. This can be attributed to unexpected natural or health hazards or due to unexpected economic crisis over the time. Thus, the risk of being subjected to vulnerable situations need to be assessed. Therefore relevant indicators have been identified for this purpose. Social and institutional recognition is an important aspect of determining the level of poverty of a community. A strong indicator that has been identified in this context was inclusion of a settlement in the property assessment register of the Municipal Councils for municipal rate collection purpose.

Table 1: Aspects and Characteristics of Condition of Poverty included in the Assessment Format

Aspect	Characteristics of Assessing Community Wellbeing
Aspect 1: Land Tenure/ Ownership	<ul style="list-style-type: none"> • Landownership of the Settlement • Type of Tenure Rights
Aspect 2: Physical Condition of Houses	<ul style="list-style-type: none"> • Condition of Houses • Availability of Toilet Facilities for Housing Units
Aspect 3: Level of services	<ul style="list-style-type: none"> • Potable Water Supply • Availability of Potable Water • Sewerage System • Availability of Electricity in the Settlement • Municipal Solid Waste Collection Service • Condition of Inner Access Roads
Aspect 4: Level of social and economic wellbeing	<ul style="list-style-type: none"> • School Attendance of School Going Age Children • Dependency rate of the Households • Income Stability of the HHs • Number of Samurahi Recipient Families in the Settlement • Number of Single Parent Headed Families in the Settlement
Aspect 5: Level of Community Participation	<ul style="list-style-type: none"> • Functioning of CBOs in the Settlement • Access to a Community Centre • No. of Families engage in Community Savings and Credit Programmes
Aspect 6: Vulnerability Context	<ul style="list-style-type: none"> • Risk and Vulnerability of facing Hazards
Aspect 7: Institutional and social recognition	<ul style="list-style-type: none"> • Payment of Rates to the Municipal Council

This Scorecard Format has been finalized through a consultative process involving Colombo Municipal Council officials [including; Municipal Commissioner, Heads of the Municipal Departments, Field level municipal officials], CBO leaders and other relevant city stakeholders.

1. Land ownership of the settlement

One of the key characteristics of poverty is the type of ownership of the occupied land. Five [05] indicators have been identified to describe the types of land ownership in USSs. The most relevant indicator for specific settlement will be chosen when the major part of the lands comes under one particular indicator. It is assumed that, generally the major portion of the lands in the settlement comes under one of the Five [05] indicators listed below.

No.	Indicator	Description
1	Owned by the occupants	Major proportion of the land in the settlement is owned by the people who are living there
2	Government owned land	Major proportion of the land in the settlement is owned by different Government institutions[Eg: <i>Railway Dept., NHDA, Coastal Conservation Dept., UDA, SLLRDC, etc</i>]
3	Municipal Council owned land	Major proportion of the land in the settlement is owned by the Municipal Council
4	Other privately owned land	Major proportion of the land in the settlement is owned by an outside person, or a private institution, etc
5	Unclear ownership	The ownership for the land is not known/ there is no legal owner claiming the land ownership.

2. Type of Tenure Rights

Type of tenure rights stands for the ownership of the occupied lands. The indicators identified under this characteristic are described when the majority [over 50%] of the settlement is having similar type of tenure right as indicated below.

No.	Indicator	Description
1	Freehold ownership	A major portion of households in the settlement has legally accepted title deed
2	User permit [Tenure Entitlement Card]	A major proportion of households in the settlement are living on the lands provided under a certificate given by a public agency. [Eg: <i>Conditional certificates/ Permit</i>]
3	Leasehold	A major portion of households in the settlement lives on land given on leasehold
4	Rent	A major proportion of households in the settlement is living in rented houses
5	Illegal occupancy [Reservation Land/ Marshy Land/ Private Land]	A major portion of households in the settlement live under fear of eviction [Eg: <i>Illegally occupied houses, houses constructed in reservation lands. Etc.</i>]

3. Condition of Houses

The durability of the occupied houses is another important characteristic of being poor or non poor. The durability is measured in terms of materials used in constructing the walls, roof and the floor of the house. According to the materials used in these components, Three [03] types of houses can be identified as Permanent, Semi permanent, and Improvised¹. Under this characteristic, the percentage of available "Permanent Houses" is considered as the determinant factor of the condition or the durability of houses because; two other categories always need improvements to become a better dwelling.

No.	Indicator	Description
1	≥ 80% houses are permanent	Among all houses in the settlement, 80% or more than houses have been constructed using permanent materials
2	60% - 79% permanent	Among all houses in the settlement, 60% - 79% of the houses have been constructed using permanent materials
3	40% - 59% Permanent	Among all houses in the settlement, 40% - 59% of the houses have been constructed using permanent materials
4	20% - 39% Permanent	Among all houses in the settlement, 20% - 39% of the houses have been constructed using permanent materials
5	< 20% houses are Permanent	Among all houses in the settlement, more than 80% of the houses

		have been constructed using temporary materials together with some permanent materials. These houses are called temporary or semi permanent houses.
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4. Availability of Toilet Facilities for Housing Units

Another determinant of the poverty level of a settlement is the accessibility for sanitary facilities in terms of availability of toilet for the occupants. Under this, the type of available toilets and the accessibility are considered equally important determinants of sanitary condition of the communities.

No.	Indicator	Description
1	Over 75% individual toilet available	Over 75% of the houses [or households] in the settlement have individually owned sanitary toilets
2	50% -75% individual toilet available	50% - 75% of the houses [or households] in the settlement have individually owned sanitary toilets
3	Common toilet in good condition with easy access (1 per 05 or less than 05 HHs)	The available type of toilet in the settlement is common toilet and is in good condition. Average of 05 households or less than 05, are using one common toilet
4	Common toilet in good condition with limited access (1 per more than 05 HHs)	The available type of toilet in the settlement is common toilet and is in good condition. More than 05 households are using one common toilet
5	Improvised toilet facilities or no toilet facilities	There are no any sanitary toilets available in the settlement. Common toilets which are not in good condition are also come under this category.

5. Potable Water Supply

The accessibility for the safe drinking water is a very important characteristic to assess the level of poverty. People may become ill due to the consumption of polluted/ untreated water. In this connection, only the pipe born water [Treated Water] supplied by the National Water Supply and Drainage Board is considered as the safest source of drinking water. The relevant indicators are selected when the majority of the houses in the settlement have similar kind of water source.

No.	Indicator	Description
1	Individual water meter connection for private use	Majority of the households in the settlement have own private metered water connections.
2	Common stand post with easy access (1per 10 or less than 10 HHs)	Majority of the households in the settlement use the common stand post for their daily usage of water. 01 common stand post available for 10 or less than 10 households approximately.
3	Common stand posts with limited access (1 per more than 10HHs)	Majority of the households in the settlement use the common stand post for their daily use of water. 01 common stand posts available for more than 10 households approximately.
4	Provided/ Fetch by outside sources	Majority of the households in the settlement get/ are provided treated water from outside sources either by Water Bowser or any other supply method.
5	No any water supply system is available	Majority of the households do not have access to portable water at all.

6. Availability of Potable Water

Even though, all the houses in the settlement do have access to the pipe born or treated water by individual connections or by common stand posts, they might not get enough water during the whole day. Sometimes they receive water for 24 hours but with low pressure. So in both situations, people do not receive adequate quantity of water for their daily consumption. Therefore, the supply of water with adequate pressure can be considered as an important issue to be investigated.

No.	Indicator	Description
1	Receive water for 16 - 24 hours a day with adequate pressure	Water supply is available in the settlement for 16 – 24 hours a day with adequate pressure
2	Receive water for 16 - 24 hours a day with inadequate Pressure	Water supply is available in the settlement for 16 – 24 hours a day but with inadequate pressure

3	Receive water for 08 to 16 hours a day	Water supply is available in the settlement for only 8 to 16 hours with or without adequate pressure
4	Receive water for less than 08 hours a day	Water supply is available in the settlement for less than 8 hours with or without adequate pressure
5	Not available within the settlement	Water supply system is not available in the settlement

7. Sewerage System

In urban areas, it is important to have a proper sewerage system to safeguard the healthy living condition of the city population. However, it is evident that many of the USSs in Colombo have not been connected to city's sewerage network due to various problems such as location limitations as well as legal and financial issues. Therefore in USSs, other methods of sewerage disposal methods are being used. In some USSs, a number of houses share one common septic tank or soak pit as appropriate. In some settlements, the houses may have individual septic tanks or soak pits. It is important to investigate whether these common septic tanks/soak pits or individual septic tanks/ soak pits have access for emptying. If not, it can create inconvenience to the users and also contribute to health problems. Some congested places; there are no proper sewerage disposal systems as mentioned above.

No.	Indicator	Description
1	Connected to City's main sewer network	All houses in the settlement are connected to a well managed city's sewer network.
2	Common septic tank with access for cleaning	Majority of households in the settlement share one or several common septic tanks and those septic tanks have adequate access for gully emptier service.
3	Individual septic tank with access for cleaning	Majority of the households in the settlement have their own septic tanks and those septic tanks have adequate access for gully emptier service.
4	Individual/ Common septic tank with limited access for cleaning	All households in the settlement use septic tanks, but majority of those septic tanks don't have access for gully emptier service.
5	No proper sewerage system	There is no any proper/ hygienic sewerage system for majority of the households in the settlement

8. Electricity for Private Use

In an urban area, the availability of electricity for private use is considered as an important determinant of community wellbeing. Sometimes, the availability or unavailability of electricity is an indicator of their housing condition, their legal ownership for the property, and level of income etc. To obtain electricity connection, some requirements regarding housing condition and ownership for the property have to be proven. There may be other issues which can hinder obtaining the electricity to the settlements such as non availability of service line close to the settlement.

Cities are mostly active in the nights as well. Thus, people need street lights to carry out their livelihood activities as well to ensure safe movement of people in the night.

No.	Indicator	Description
1	Electricity connections taken by > 75% houses and with sufficient streetlights	More than 75% of the houses have connected to the electricity and there are sufficient street lights covering a major portion of the settlement.
2	Electricity connections taken by > 75% houses and without sufficient streetlights	More than 75% of the houses have connected to the electricity, but there aren't sufficient street lights to cover the settlement.
3	Electricity connections taken by < 75% houses with or without street lights	Less than 75% of the houses in the settlement have connected to the electricity, with or without sufficient street lights.
4	Electricity connections are not available, but the main line is running through/ near by the settlement	The electricity connections are not available or have not been provided to the majority of houses in the settlement, even though the electricity main line is running through or by the settlement.
5	Electricity connection not available, and the main line has not come to the area	There is no any electricity line passing through or closer by the settlement.

9. Municipal solid waste collection service

Availability of proper solid waste management [SWM] service is another important characteristic to determine the improved health of the inhabitants. As urban areas are more congested, people are not able to adopt their own waste disposal methods in their premises. In this context, the availability of municipal solid waste collection service is considered as an important characteristic.

No.	Indicator	Description
1	Available, regular (daily/once in two days), door to door collection	The Municipal solid waste collection service is available in the settlement and it is a door to door, daily or once in two days regular service.
2	Available, regular (daily/once in two days), collection by Communal points	The Municipal solid waste collection service is available in the settlement and it is daily or once in two days regular service. But the collection is done in a communal place.
3	Available, once a week regular collection	The Municipal solid waste collection service is available in the settlement and it is done either in door to door or communal place basis. But the collection is done only once a week.
4	Time unspecified (Irregular) Collection	The Municipal solid waste collection service is available in the settlement. The collection time is unspecified [No regular collection].
5	Service is not available in the settlement	The Municipal solid waste collection service is not available within the settlement.

10. Condition of Inner Access Roads

Urban low income communities make a significant contribution to the formal and informal economies in cities. Such communities have different type of livelihood activities outside the settlement as well as some times within their homes. Many of them are self-employed and produce different items within their premises. In order to support these activities, they need proper access roads to transport their products to the market. In addition to the above, availability of proper access roads also enhances the mobility, social acceptability and the quality of life of the communities in the settlement. In this context, the condition of the available access roads can be considered as an important characteristic of the living conditions.

At the same time, the urban poor communities have a tendency to suffer from different type of natural hazards such as floods, fire hazards, and insanitary conditions. Therefore, they need proper access to roads to ensure safe living condition.

No.	Indicator	Description
1	Tarred/Paved roads of sufficient width and well maintained side drains	Almost all interior access roads in the settlement are constructed as tarred or paved roads with sufficient width. These roads have well maintained side drains as well.
2	Tarred/Paved roads of sufficient width and poorly maintained side drains	Almost all interior access roads in the settlement are constructed as tarred or paved roads with sufficient width. But the available side drains of the roads are not properly maintained by the responsible persons or the agencies.
3	Tarred/Paved roads of insufficient width and poorly maintained side drains	Almost all interior access roads in the settlement are constructed as tarred or paved roads. But these roads don't have sufficient width to carry out daily activities. At the same time, the side drains are also poorly maintained.
4	Narrow gravelled roads	The interior access roads are gravelled roads, with or without sufficient width and, with or without properly maintained side drains.
5	Unimproved footpaths without proper demarcation	Most of the access roads in the settlement are footpaths, which do not have proper demarcations.

11. School attendance of school going age children

School attendance of the children is a legally and socially accepted family responsibility in Sri Lanka. It is an important mean of making the young generation more productive and socially recognized segment in the society.

In Sri Lanka, the level of school attendance of the school going age children [05 – 16 years of age] is very

much higher [96%] compared to the other countries in South Asia region. But, within different income groups and economic sectors, fluctuations of the level of school attendance can be observed. With respect to USSs in Colombo, there can be variations in school attendance. Poor level of school attendance by the school going age children can be considered as a reflection of poverty of the settlement.

No.	Indicator	Description
1	≥ 90% of Children go to Schools	90% or more than 90% of the school going age children in the settlement go to schools
2	80% - 89% of Children go to Schools	80% - 89% of the school going age children in the settlement go to schools
3	70% - 79% of Children go to Schools	70% - 79% of the school going age children in the settlement go to schools
4	50% - 69% of Children go to Schools	50% - 69% of the school going age children in the settlement go to schools
5	< 50% Children go to Schools	More than 50% of the school going age children in the settlement do not go to schools

12. Dependency Rate of the Families

Existence of many dependants in a household is one of barriers in improving their living conditions. The dependants refer to the elders over 65 years old, children below 16 years of age, disabled persons, and chronically ill persons including those with HIV/ AIDS etc.

Dependants' Rate can be calculated from the following formula.

$$\text{Dependants' Rate} = \frac{\text{Number of [Elders over 65 years old, children below 16 years of age, disabled people and chronically ill people]}}{\text{Dependants}} \times 100$$

$$\text{Number of Inhabitants in the settlement}$$

No.	Indicator	Description
1	< 10% of the population in the settlement are dependants	Less than 10% of population in the settlement consists of dependants. That 10% includes elderly people over 65 years, children below 16 years of age, disabled persons and chronically ill persons.
2	10% to 19% of the population in the settlement are dependants	10% - 19% of the population in the settlement consists of dependants, consisting of elderly persons over 65 years, children below 16 years of age, disabled persons and chronically ill persons.
3	20% to 29% of the population in the settlement are dependants	20% - 29% of the population in the settlement consists of dependants, consisting of elderly persons over 65 years, children below 16 years of age, disabled persons and chronically ill persons.
4	30% to 39% of the population in the settlement are dependants	30% - 39% of population in the settlement consists of dependants, consisting of elderly persons over 65 years, children below 16 years of age, disabled persons and chronically ill persons.
5	≥ 40% of the population in the settlement are dependants	40% or more than 40% of population in the settlement consists of dependants, consisting of elderly persons over 65 years, children below 16 years of age, disabled persons and chronically ill persons.

13. Income Generation of the Households

People do different types of employments for their income earning purpose. In the USSs in Colombo, a large number of persons are daily wage workers. Even though, it is difficult to consider it as a regular paid employment. Thus, it is important to use a criteria to assess the type of employment of the households in the USSs by considering only the regularly paid employments. Based on the Colombo Consumer Finances and Socio-economic Survey 2003/04, a family must have a total monthly income of Sri Lankan Rupees [LKR] 20,000 to meet basic household consumption expenses. Based on the above figure, income level of households in the settlements has been considered for the purpose of assessing this characteristic.

For this purpose the following indicators will be used.

No.	Indicator	Description
1	≥ 80% HHs in the settlement have more than 20,000 LKR of monthly income	80% or more than 80% of the households in the settlement earn more than 20,000 ² LKR of income per month.
2	60% to 79% HHs in the settlement have more than 20,000 LKR of monthly income	60% - 79% of the households in the settlement earn more than 20,000 LKR of income per month.
3	40% to 59% HHs in the settlement have more than 20,000 LKR of monthly income	40% - 59% of the households in the settlement earn more than 20,000 LKR of income per month.
4	20% to 39% HHs in the settlement have more than 20,000 LKR of monthly income	20% - 39% of the households in the settlement earn more than 20,000 LKR of income per month.
5	< 20% HHs in the settlement have more than 20,000 LKR of monthly income	More than 80% of the households in the settlement earn very less income which is less than 20,000 LKR per month.

14. Recipient Families of Samurdhi and other govt. welfare Subsidies

Number of Samurdhi recipient families in a USS is considered as an indicator of the average income level of families. If the number of Samurdhi recipients is very high, the average income level of the families in that particular settlement will be low, which can be considered as a worse situation. If the number of Samurdhi Recipients is low, it indicates that the income level of the families in the settlement is better, which is a good situation in reference to the poverty.

Samurdhi is a government subsidy provided for urban and rural low income families for their livelihood improvement activities as well as to meet minimum daily food expenses. Government considers monthly income level and the number of members in the family to categorize low income families in to different Samurdhi Recipient groups.

Group	Monthly Income Level	Number of members in the family	Samurdhi Subsidy
1	< 500 LKR	>=4	1,000 LKR
2	< 1,000 LKR	>=3	500 LKR
3	< 1,000 LKR	2	200 LKR
4	< 1,000 LKR	1	100 LKR
5	Former Janasaviya recipients		250 LKR

Source: Ministry of Samurdhi, Youth Affairs, and Sports. "Annual Report 1998".

No.	Indicator	Description
1	<10% of families are Samurdhi recipient families	More than 10% of the families in the settlement receive Samurdhi subsidy, which means the number of low income families in the settlement is very low.
2	10%- 19% of families are Samurdhi recipient families	10%- 19% of the families in the settlement receive Samurdhi subsidy, which means the number of low income families in the settlement, is in low.
3	20%- 29% of families are Samurdhi recipient families	20%- 29% of the families in the settlement receive Samurdhi subsidy, which means the number of low income families in the settlement is moderate.
4	30% - 49% of families are Samurdhi recipient families	30% - 49% of the families in the settlement receive Samurdhi subsidy, which means the number of low income families in the settlement is high.
5	Over50% of families are Samurdhi recipient families	Over 50% of the families in the settlement receive Samurdhi subsidy, which means the number of low income families in the settlement is very high.

²Consumer Finances and Socio-economic Survey 2003/04

15. Number of Single Parent Headed Families

Single parent headed family refers to a family which is looked after by a single parent. This can happen if parents are divorced, if one of parents has passed away or disabled or chronically ill. In these types of situations, children do not receive the affection and protection of both parents and may fall into socially unacceptable behaviour. In the long run, the family may face difficult social and economic issues and put the members of the family in a state of unsafe and poverty.

No.	Indicator	Description
1	Less than 10% of families are single parent headed families	Less than 10% of the families in the settlement are single parent headed families. All these families included in this 10% are managed by either mother or father, which is comparatively a less vulnerable situation for bring poor.
2	10%- 19% of families are single parent headed families	10% - 19% of the families in the settlement are single parent headed families. All these families included in this range are managed by either mother or father, which is comparatively a vulnerable situation for bring poor.
3	20%- 29% of families are single parent headed families	20% - 29% of the families in the settlement are single parent headed families. All these families included in this range are managed by either mother or father, which is comparatively a moderate level vulnerable situation for bring poor.
4	30%- 49% of families are single parent headed families	30% - 49% of the families in the settlement are single parent headed families. All these families included in this range are managed by either mother or father, which is comparatively a high vulnerable situation for bring poor.
5	Over 50% of families are single parent headed families	More than 50% of the families in the settlement are single parent headed families. All these families included in this range are managed by either mother or father, which is comparatively a very high vulnerable situation for bring poor.

16. Functioning of Community Based Organizations (CBOs) in the Settlement

The level of functioning of CBOs determines the involvement and the representation of communities for obtaining of their rights. If a CBO in a settlement is very active in community development, social welfare and service delivery activities, it means that the members of that particular CBO have the same influencing behaviour for their household level social and economic improvements. At the same time, active CBOs help people to be active in negotiating with the relevant institutions regarding their rights and needs.

CBOs may have been formed in different settlements based on different needs. Some of them have been formed to look after the service needs of the settlements. Some other CBOs have been formed to look after the community welfare needs.

No.	Service Needs	Community Welfare Activities
1	Water Supply	Livelihood Improvements
2	Electricity	Vocational Trainings
3	Sewerage	Savings and Credit
4	Solid Waste Management	Counseling
5	Drainage	Emergency support and assistance
6	Roads	

If the CBOs in a settlement are actively engaged in all these service and community welfare activities, those CBOs are considered as very active CBOs. There are active CBOs which do not engage in all these activities, but preferably most of these activities. Further in some settlements, there are CBOs which are engage in some of the selected number of activities and those CBOs can be considered as moderately active CBOs.

No.	Indicator	Description
1	Very Actively engage in service and community welfare works	There are one or more CBOs which are very active in community service delivery/ improvements or in community welfare activities.
2	Actively engage in service and community welfare works	There are one or more CBOs which are active in community service delivery/ improvements or in community welfare activities.
3	Moderately engage in service and community welfare works	There are one or more CBOs which are moderately active in community service delivery/ improvements or in community welfare activities.
4	CBOs exist, but do not engage in Service and community welfare works	There are at least one or more CBOs in existence. But neither a single CBO of them engages in the service delivery or community welfare activities.
5	NoCBOs exist	There are no any CBO in the settlement. People have not linked with any of institutional body to represent for their rights and needs.

17. Access to a Community Centre

Availability of a community centre is a determinant of how people are being participated /empowered/ has access for gathering, information sharing, and community welfare activities. At the same, time it is important to find out the level of accessibility [Easy or limited access] and the available resources in the community centre for the people to use for their needs.

No.	Indicator	Description
1	Available in the settlement with easy access	At least one community centre is available in the settlement and community can reserve it easily, without any delay for their needs. The community centre is well equipped with the necessary resources.
2	Available in the settlement with limited access	At least one community centre is available in the settlement. But the community cannot access it easily. There is always a delay in reserving it. Available resources are limited
3	Not available within the settlement, but available in a nearby settlement with easy access	Community centre is not available in the settlement. But, at least one community centre is available in a nearby settlement with easy access and resources. No delay in reserving it for community needs
4	Not available within the settlement, but available in a nearby settlement with limited access	Community centre is not available in the settlement, but, at least one community centre is available in a nearby settlement. The accessibility and the resources available are limited.
5	Not available in the settlement and in a nearby settlement	A community centre is not available in own settlement and as well as in a nearby settlement.

18. Number of Families engage in Community Savings and Credit Programmes

The Community Savings and Credit programmes mean the Micro Financing activities which are currently active in USSs.

Communities' engagement in savings and credit programmes is an important determinant of people's ability to face vulnerability situations. Accessibility to credits is a strength of improving livelihoods and facing emergency situations by the urban poor. The amount of savings owned by a family is a decisive factor to face sudden emergencies. Thus, a considerable coverage of a settlement by savings and credit programmes directly influence the wellbeing of USS communities.

No.	Indicator	Description
1	Over75% families are engaged in savings and credit programmes	More than 75% of the families in the settlement have engaged in savings and credit programmes.
2	50% - 75% families are engaged in savings and credit programmes	50% - 75% of the families in the settlement have engaged in savings and credit programmes.
3	25%- 49% families are engaged in savings and credit	25%- 49% of the families in the settlement have engaged in savings and credit programmes.

	programmes	
4	Less than 25% families are engaged in savings and credit programmes	More than 75% of the families do not engage in any of savings and credit programme
5	Not available in the settlement	No any savings and credit programme has been introduced to the community yet.

19. Risk and Vulnerability in facing Hazards

Risk and vulnerability in facing hazardous situations is another aspect of determining the level of wellbeing of a family or a community. This is mostly a common situation or experience for most of the people living in the urban poor settlements. The hazardous situations affect the social, health and economic wellbeing of the people. The sudden heavy rains and flash floods, living close to garbage dumps, destructive heavy winds [Tornados, Cyclones, Typhoons, and Storms], possible landslides and fire come under environmental/ natural hazards. Seasonal epidemic situations and diseases come under health hazards.

To determine the long term influence of these hazards in a particular settlement, it is needed to identify the level of risk and vulnerability conditions on the peoples' context.

No.	Indicator	Description
1	No risk and vulnerability	No any experience of facing such a influencing hazard for last Three [03] Years
2	Low risk and vulnerability	Very less experience and being in fear of these types of natural and health hazards. Less than Three [03] times of such situations were happened during the past Three [03] years.
3	Medium risk and vulnerability	Have some experience and being in fear of these types of natural and health hazards. Three [03] to Six [06] times of such situations were happened during the past Three [03] years.
4	High risk and vulnerability	Have frequent experience and being in fear of these types of natural and health hazards. Six [06] to Ten [10] times of such situations were happened during the past Three [03] years.
5	Extremely high risk and vulnerability	Very high risk. Regularly, a majority of the settlement suffers from such hazardous situations. More than Ten [10] times of hazardous situations occurred during last Three [03] years period.

20. Payment of Rates to the Municipal Council

Generally, the inhabitants of a city are supposed to pay rates for the municipal services they receive through the municipal service delivery process. That money will be used for further upgrading or improvement of the existing services by the municipality.

If a low income community pays rates to the municipality, it implies that the municipality is responsible for providing services as well as to look after the rights and living condition of that particular community. At the same time, having an assessment number on a property provides a legal recognition to that property and its' occupants. Therefore paying of municipal rates is a socially and institutionally recognized condition of a family.

No.	Indicator	Description
1	More than 75% of HHs in the settlement pay rates	More than 75% of the households in the settlement pay taxes to the Municipality and they have their own assessment numbers.
2	50% - 75% of HHs in the settlement pay rates	50% - 75% of the households in the settlement pay taxes to the Municipality and they have their own assessment numbers.
3	25%- 49% of HHs in the settlement pay rates	25%- 49% of the households in the settlement pay taxes to the Municipality and they have their own assessment numbers.
4	Less than 25% of HHs in the settlement pay rates	Less than 25% of the households in the settlement pay taxes to the Municipality and they have their own assessment numbers.
5	No rate payments	None of households in the settlement pay taxes to the Municipality, and they don't have own assessment numbers.

Type of Housing Unit	Type of Principle Material of Unit			
		Wall	Roof	Floor
Permanent	1.	Bricks/ Cabook/ Cement Blocks/ Stone/ Pressed soil blocks	Tile/ Asbestos/ Concrete/ Metal Sheets	Cement/ Terrazzo/ Tile/ Granite/ Wood
	2.	Mud	Tile/ Asbestos/ Metal Sheets	Cement
Semi Permanent	1.	Bricks/ Cabook/ Cement Blocks/ Stone/ Pressed soil blocks	Tile/ Asbestos/ Concrete/ Metal Sheets	Mud
	2.	Bricks/ Cabook/ Cement Blocks/ Stone/ Pressed soil blocks	Cadjan/ Palmyrah/ Straw/ Metal Sheets	Cement/ Mud/ Wood
	3.	Mud	Tile/ Asbestos/ Concrete/ Metal Sheets	Mud/ Wood
	4.	Mud	Cadjan/ Palmyrah/ Straw	Cement/ Mud/ Wood
	5.	Plank/ Metal Sheets	Tile/ Asbestos/ Metal Sheets	Cement/ Mud/ Wood
	6.	Plank/ Metal Sheets	Cadjan/ Palmyrah/ Straw	Cement
Improvised	1.	Cadjan/ Palmyrah/ Straw	Any Material	Any Material
	2.	Plank/ Metal Sheets	Cadjan/ Palmyrah/ Straw	Mud/ Wood/ Sand

Source: Census and Statistics Department, Sri Lanka