

**DAM REHABILITATION AND IMPROVEMENT PROJECT (DRIP)
Phase II**

(Funded jointly by World Bank & AIIB)

**KUTTIYADI AUGMENTATION DAM & SPILLWAY
(PIC: KL 29HH0044, KL 29HH0056)**



**ENVIRONMENT AND SOCIAL DUE DILIGENCE REPORT
JULY 2023**

KERALA STATE ELECTRICITY BOARD LIMITED

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CONTENTS

EXECUTIVE SUMMARY	5
INTRODUCTION	7
1.1 PROJECT OVERVIEW	7
1.2 SUB-PROJECT DESCRIPTION	7
1.3 PROPOSED INTERVENTIONS/ACTIVITIES AND INTENDED OUTCOMES	9
1.4 IMPLEMENTATION ARRANGEMENT AND SCHEDULE	14
1.5 PURPOSE OF ESDD.....	14
1.6 APPROACH AND METHODOLOGY OF ESDD	15
INSTITUTIONAL FRAMEWORK AND CAPACITY ASSESSMENT	16
2.1 POLICY AND LEGAL FRAMEWORK	16
2.2 DESCRIPTION OF INSTITUTIONAL FRAMEWORK	16
ASSESSMENT OF ENVIRONMENTAL AND SOCIAL CONDITIONS.....	18
3.1 PHYSICAL ENVIRONMENT	18
3.2 PROTECTED AREA.....	19
3.3 SOCIAL ENVIRONMENT	19
3.4 CULTURAL ENVIRONMENT.....	20
ACTIVITY WISE ENVIRONMENT & SOCIAL SCREENING, RISK AND IMPACTS IDENTIFICATION	21
4.1 SUB-PROJECT SCREENING	21
4.2 STAKEHOLDER CONSULTATION	26
4.3 DESCRIPTIVE SUMMARY OF RISKS AND IMPACTS FROM ACTIVITIES BASED ON SCREENING	31
CONCLUSIONS AND RECOMMENDATIONS	33
5.1 CONCLUSIONS.....	33
5.1.1 <i>Risk Classification</i>	33
5.1.2 <i>National Legislation and WB ESS Applicability Screening</i>	33
5.2 RECOMMENDATIONS	34
5.2.1 <i>Mitigation and Management of Risks and Impacts</i>	34
5.2.2 <i>Institutional Management, Monitoring and Reporting</i>	35

TABLES

TABLE 1.1: SALIENT FEATURES OF THE PROJECT.....	8
TABLE 1.2: TIMELINES PHASING OF IMPLEMENTATION	14
TABLE 4.1: SUMMARY OF IDENTIFIED RISKS/IMPACTS IN FORM SF-3.....	24
TABLE 5.1: WB ESF STANDARDS APPLICABLE TO THE SUB-PROJECT	33
TABLE 5.2: LIST OF MITIGATION PLANS WITH RESPONSIBILITY AND TIMELINES.....	35

FIGURES

FIGURE 1.1: PROJECT LAYOUT.....	8
FIGURE 1.2: SELECTED PHOTOGRAPHS OF IMPROVEMENT/INTERVENTION AREA	12
FIGURE 1.3: PROJECT AREA SHOWING MAJOR INTERVENTION LOCATIONS	13
FIGURE 3.1: LAND USE AND LAND COVER MAP OF 5 KM RADIUS AROUND DAM SITE	18
FIG. 4.1 CONSULTATION WITH VILLAGERS FROM DOWNSTREAM VILLAGE	26
FIG. 4.2 CONSULTATION MEETING.....	27

ANNEXURES

ANNEXURE I: FORM SF1	37
ANNEXURE II: FORM SF2	39
ANNEXURE III: LIST OF PARTICIPANTS IN THE STAKE HOLDERS' CONSULTATION FOR KA DAM, PADINJARETHARA ON 22ND JULY 2022	42

ABBREVIATIONS AND ACRONYMS

AIDS	:	Acquired Immunodeficiency Syndrome
BOQ	:	Bill of Quantities
CA	:	Conservation Area
COVID	:	Coronavirus Disease
CWC	:	Central Water Commission
DE	:	Beyond Dam Area
DI	:	Within Dam Area
DRIP	:	Dam Rehabilitation and Improvement Project
DSRP	:	Dam Safety Review Panel
DSO	:	Dam Safety Organization
EAP	:	Emergency Action Plan
ESCP	:	Environmental and Social Commitment Plan
ESDD	:	Environmental and Social Due Diligence
ESF	:	Environmental and Social Framework
ESIA	:	Environmental and Social Impact Assessment
ESMF	:	Environment and Social Management Framework
ESMP	:	Environment and Social Management Plan
ESS	:	Environmental and Social Standard
ESZ	:	Eco-Sensitive Zones
GBV	:	Gender Based Violence
GIS	:	Geographic Information System
GRM	:	Grievance Redressal Mechanism
HIV	:	Human Immunodeficiency Virus
IA	:	Implementation Agency
IPF	:	Investment Project Financing
LMP	:	Labour Management Procedure
MCM	:	Million Cubic Meters
MDDL	:	Minimum Draw Down Level
MW	:	Megawatt
MWL	:	Maximum Water Level
OHS	:	Occupational Health & Safety
PA	:	Protected Area
PAP	:	Project Affected Person
PDO	:	Project Development Objective
PE	:	Physical Environment
PPE	:	Personal Protective Equipment
PST	:	Project Screening Template
RET	:	Rare Endangered and Threatened
SC	:	Scheduled Castes
SCADA	:	Supervisory Control and Data Acquisition
SEA	:	Sexual Exploitation and Abuse
SEAH	:	Sexual Exploitation Abuse and Harassment
SEP	:	Stakeholder Engagement Plan

SF : Screening Format
SH : Sexual Harassment
SPMU : State Project Management Unit
ST : Scheduled Tribes
WB : World Bank
WQ : Water Quality

EXECUTIVE SUMMARY

The Kuttiyadi Augmentation Dam (KA Dam) is constructed across Karamanthode, a tributary of Kabani River at Padinjarethara, Wayanad District as part of Kuttiyadi Hydro Electric Project (KHEP). The project aims to divert the utilisable inflow of Karamanthode at Padinjarethara to Kakkayam reservoir in Kuttiyadi River basin to improve the water availability of Kakkayam reservoir and thereby to enhance the power generation from KHEP. It is an earth dam. Excess inflow to the reservoir is regulated by releasing to downstream Kabani basin through a spillway structure provided on the right flank away from the earth dam. It has been proposed to undertake rehabilitation measures of Kuttiyadi Augmentation Dam (structural civil & hydro-mechanical remedial works and basic facility enhancement) under the proposed Dam Rehabilitation and Improvement Project (DRIP II) with a view to increase the safety and to strengthen dam safety management. Major rehabilitation works proposed for the dam include: Repairs to surface drain and protective works to the downstream slope of dam near the confluence of toe drain, Extension of Parapet wall near the left bank up to left abutment, Clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam, Maintenance to Spillway Radial Gates & Hoist mechanism, Roofing to hoist mechanism of Radial Gates, Maintenance to vertical gate, Construction of Access Road to the right bank of spillway dam, Extension of Security fencing on the right bank of Spillway Dam, Construction of office cum staff dormitory building, Pressure washing downstream portion of the non-overflow portion of Spillway dam, Installation of Automatic Water Level recorders, Preparation of Tier II EAP of Dam etc.

The Environment and Social Due Diligence has been conducted for decision-making on the sub-project with a view to identify, evaluate and manage the environment and social risks and impacts in a manner consistent with the World Bank ESF. ESDD has been carried out by studying the sub-project information and proposed interventions, assessing the magnitude of E&S risk and impacts with respect to key baseline data in immediate vicinity area.

Preliminary Stakeholder consultation was conducted on 22nd July 2022 ensuring social distancing in view of COVID19 restrictions. The meeting was attended by local people living in the nearby area, workers of contractor executing certain rehabilitation works at dam site, permanent staff of KSEBL working at dam etc.

Activity wise environment and social screening has been carried out to identify risks and impacts to classify the sub-project based on risk level (low, moderate or substantial and high) and recommend commensurate plans/measures to meet identified risks and impacts.

As per the ESDD exercise, risk/impacts that have been identified relate to Water Quality, Physical Environment, General Ecology, OH&S, labour and SEAH/GBV. Environment risks of air, water, noise, land use, soil and resource use due to clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam, Construction of Access Road to the right bank of spillway dam, Extension of Parapet wall near the left bank up to left abutment. Construction of an office cum staff dormitory, Maintenance to

Spillway Radial Gates & Hoist mechanism, Roofing to hoist mechanism of Radial Gates, Maintenance to vertical gates, Extension of Security fencing on the right bank of Spillway Dam, Pressure washing downstream portion of the non-overflow portion of Spillway dam is considered Low to Moderate. Similarly, environment and social risk of labour camp and disposal of debris has also been identified as moderate. These risks are low to moderate and localised, short term and temporary in nature which can be managed with ESMP and guidelines. OHS is a substantial risk activity and is being treated separately through OHS plan in accordance with WB ESHS guidelines.

A standard ESMP customised to sub-project will be prepared in accordance with the ESMF. The customised ESMP will address the following:

- Gender Based Violence or SEA/SH related actions (ESS1)
- Labour Management Procedure (ESS2)
- Resource Efficiency and Pollution Prevention (ESS3)
- Community Health and Safety (ESS4)
- Stakeholders Engagement Plan (ESS10)

Overall, the proposed activities within this dam sub-project have low to moderate risks resulting in the sub-project to be categorized as Moderate risk category. These risks and impacts can be effectively mitigated with effective implementation of mitigation plans by SPMU/IA, Contractors and monitoring by EMC, SPMU and CWC.

1.1 PROJECT OVERVIEW

The proposed Dam Rehabilitation and Improvement Project (DRIP II) would complement the suite of ongoing and pipeline operations supporting India's dam safety program. The project development objective (PDO) is to increase the safety of selected dams in participating States and to strengthen dam safety management in India. Project Components include:

Component 1: Rehabilitation and Improvement of Dams and Associated Appurtenances (US\$ 577.14 million);

Component 2: Dam Safety Institutional Strengthening (US\$ 45.74 million);

Component 3: Incidental Revenue Generation for sustainable operation and maintenance of dams (US\$ 26.84 million);

Component 4: Project Management (US\$ 68.13 million).

Component 5: Contingency Emergency Response Component (US\$ 0 million).

The project is likely to be implemented for 300 dams in 18 states across the country. The primary beneficiaries of the project are the communities that live in dam breach flood inundation areas and the communities that depend on water, irrigation and electricity services provided by the dams that could be compromised by poor dam performance or failure. In addition to saving lives, improved dam safety will avoid potential flood damage to houses, farm areas, infrastructure (roads, bridges, other public and private infrastructure) and industrial and commercial facilities. Improved dam safety will also reduce the likelihood of service interruptions due to dam failure as well as potentially improving dam service provision, overall efficiency and storage capacity, including during drought periods.

1.2 SUB-PROJECT DESCRIPTION

The Kuttiyadi Augmentation Dam is constructed as part of Kuttiyadi Hydro Electric Project (KHEP) to improve its water availability. This dam is constructed across Karamanthode stream at Padinjarethara in Wayanad District. It is an earth dam. The water stored in the Kuttiyadi Augmentation reservoir is diverted to Kakkayam reservoir of KHEP.

The water diverted to Kakkayam reservoir is utilised to generate power from Kuttiyadi Power Station. After generating power, the tail water is stored in a downstream reservoir of Kuttiyadi Irrigation Project for irrigation and drinking purposes.

The project lay out and downstream& upstream view are shown in the **Figure 1.1**. Salient features of the project are given in the **Table 1.1**.

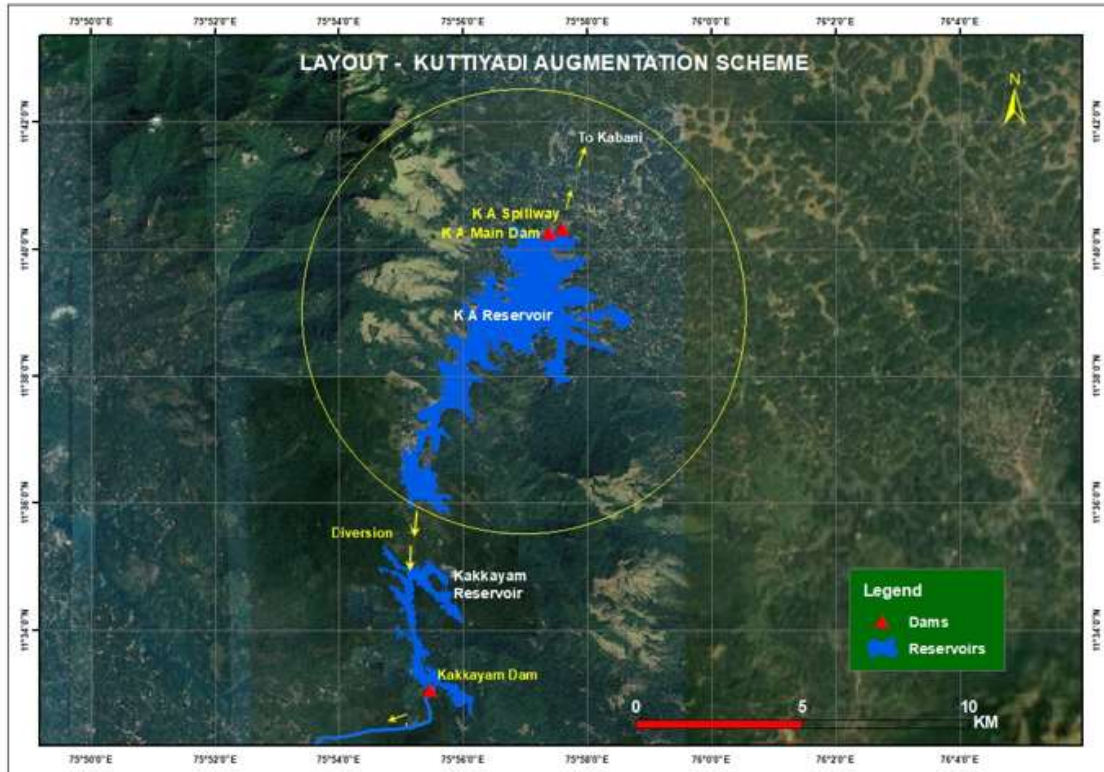


Figure 1.1: Project Layout

Table 1.1: Salient features of the project

Location	
State	Kerala
District	Wayanad
River/ Basin	Karamanthode, Kabani
Nearest city and airport	Kozhikode, Calicut International air port
Nearest railway station	Kozhikode
Lat/Long	11 ^o 40' 15'' N /75 ^o 57' 21''E
Type of project	
Installed Capacity (MW)	231.75 MW
Dam Details	
Type	Earth
Total length of dam	685 m
Top width of Dam	7 m
Elevation of top of dam	+ 778.5 m
Height of Dam above deepest foundation level	38.5 m
Outlets	
	Two outlets are provided in spillway dam.
Number	2
Outlet 1	
Elevation	+749.75 m
Size	Dia. 2m
Outlet 2	
Elevation	+758.00 m

Size	Dia. 2m
Spillway	Spillway is constructed as a separate concrete structure away from the earth dam.
Type of Spillway	Ogee
Spillway Crest Level	+ 767.00 m
Number of Bays	4
Type of Spillway Gate	Radial gates
Size of Spillway Gate	10.97m X 9.2 m
Discharging Capacity at FRL	1664 cumec
Reservoir	
Catchment Area at Dam site	61.44 sq. km
Full Reservoir Level	+775.60 m
Minimum Draw Down Level	+754.86 m
Gross Storage Capacity	209.18 MCM
Reservoir Spread Area	12.77 sq.km
Date of Completion	2004

1.3 PROPOSED INTERVENTIONS/ACTIVITIES AND INTENDED OUTCOMES

Dam Safety Review Panel (DSRP) constituted for DRIP Phase II, has made a visit to Kuttiyadi Augmentation Dam on 05.09.2020 and recommended measures to be taken to improve the safety and performance of dam and associated appurtenances in a sustainable manner, and also to strengthen the dam safety institutional set-up.

The objectives of the project are to be achieved through investments for physical and technological improvement activities, managerial upgrading of dam operations, management and maintenance, with accompanying institutional reforms. The project will improve the safety and operational performance of dam and mitigate risks to ensure safety of downstream population and property. The following rehabilitation proposals as described in the Project Screening Template have been formulated based on DSRP recommendations and these proposals form the basis for preparation of the present ESDD report.

Major rehabilitation works proposed include;

A. Structural Rehabilitation Works

1. Repairs to surface drain and protective works to the downstream slope of dam near the confluence of toe drain.
2. Extension of Parapet wall near the left bank up to left abutment.
3. Clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam.
4. Maintenance to Spillway Radial Gates & Hoist mechanism.
5. Roofing to hoist mechanism of Radial Gates.
6. Maintenance to vertical gate

B. Non-Structural Measures

1. Preparation of Tier II EAP of Dam
2. Installation of Early Warning System

C. Basic facilities enhancement

1. Construction of Access Road to the right bank of spillway dam.
(An access road of length 400 m approx. is proposed to be constructed to access the non-overflow portion of the spillway structure through the available KSEB land. The work includes earthwork, providing wet mix macadam, providing 20mm thick open-graded Premix Carpet using Bituminous Binder and seal coat as top surface.)
2. Extension of Security fencing on the right bank of Spillway Dam.
(It is proposed to provide Security fencing for a minimum periphery in the close premises of spillway structure to prevent unauthorized entry using G.I. chain link with M.S. Angle iron posts)
3. Construction of office cum staff dormitory building.
(It is proposed to construct a two storey building with a built up area of 500 Sq.m. approx. within the Dam colony, as office cum staff dormitory building for the functioning of Dam Safety Division and subordinate offices and for the accommodation of officials).

D. Instrumentation

1. Installation of Automatic Water Level recorders

2. Other activities

1. Preparation of contour drawings of the area downstream of the toe of the dam including stream downstream up to the confluence of spill channel.
2. Pressure washing downstream portion of the non-overflow portion of Spillway dam.
3. Investigation of cause of boil in the toe drain
4. Profile survey of earth dam
5. Back water studies to ascertain extent of flooding near the toe of KA Main dam consequent to varying spillway releases
6. Hydrographic Survey
7. Estimation of Site-Specific Seismic Parameters and Evaluation of Structural Safety of the Dam
8. Monitoring & controlling of flood water levels in the downstream reaches of spill channel
9. Developing Project Specific Unit Hydrograph for Inflow Forecasting
10. Detailed investigation to find out the causes of seepage through diaphragm wall between the service and emergency gates of control shaft with the assistance of expert agencies
11. Preparation of As-built drawings.
12. Testing of materials.

Figures 1.2 and 1.3 provide photographs of key infrastructure proposed for rehabilitation works and also major intervention locations.



Slope protection d/s of spillway eroded – Protective works to be extended



Hoist protection corroded – Needs roofing



Boiling observed at toe of KA dam



KA dam – Rectification is required for damaged surface drains



Proposed site for new access road to the right bank of spillway dam



Proposed site for office cum staff dormitory building

Figure 1.2: Selected Photographs of Improvement/Intervention area



Figure 1.3: Project Area showing major intervention locations

1.4 IMPLEMENTATION ARRANGEMENT AND SCHEDULE

As can be seen from the list of activities proposed under dam rehabilitation project; these activities can be divided into Civil works, Hydro Mechanical works and Instrumentation and certain studies. Civil/Hydro Mechanical works will be carried out by contractor(s) as these are labour intensive activities and would be completed over a period of 24 months. Consultancy contract for various studies and investigations, which does not involve site interventions are scheduled to complete by 36 months from the start of the project. IA will hire contractor(s) based on National Open Competitive procurement using a Request for Bids (RFB) as specified in the World Bank ‘s –Procurement Regulations for IPF Borrowers, July 2016, (Revised August 2018 Procurement Regulations), and is open to all Bidders as defined in the Procurement Regulations. Following is the overall implementation and procurement schedule:

Overall Phasing of Project Implementation:

Proposed Starting of implementation: 10/2023

Proposed Ending of implementation : 09/2026

Implementation Duration (months) : 36

Table 1.2: Timelines phasing of implementation

Sl. No.	Description	From (Month/Year)	To (Month/Year)
1	Civil Work – Main Package	10/2023	09/2025
2	Other Packages including preparation of EAPs	10/2023	03/2026
3	Procurement of Goods	02/2024	03/2026
4	Consultancy Contracts	04/2024	09/2026

1.5 PURPOSE OF ESDD

The overall project (DRIP II) was categorized as **High Risk** as per the internal Environment and Social Risk Classification of the Bank. The Environment and Social Due Diligence has been conducted to use it as a tool for decision-making on the sub-project with the following specific objectives:

- i. To identify, evaluate and manage the environment and social risks and impacts of the sub-project in a manner consistent with the ESSs;
- ii. To adopt a mitigation hierarchy approach to the project’s E&S risks i.e. a) anticipate and avoid risks and impacts; b) minimize or reduce risks and impacts to acceptable levels, if not avoidable; c) once risks and impacts have been minimized or reduced, mitigate; and (d) where significant residual impacts remain, compensate for or offset them, where technically and financially feasible;
- iii. To help identify differentiated impacts on the disadvantaged or vulnerable, if any, and to identify differentiated measures to mitigate such impacts, wherever applicable;
- iv. To assess the relevance and applicability of environmental and social institutions, systems, laws, regulations and procedures in the assessment, development and implementation of projects, whenever appropriate; identify gaps, if any exist, and

- v. To assess borrower's existing capacity, gaps therein, and identify areas for enhanced capacity towards management of E&S risks.
- vi. Based on the categorization of Environment and Social risks and impacts of the dam sub-project, to determine whether ESIA is to be carried out using independent third-party agency or a standard ESMP customized to mitigate E&S risks and impacts will suffice.

1.6 APPROACH AND METHODOLOGY OF ESDD

The following approach has been adopted for ESDD:

- i. Study sub-project information, proposed interventions, their magnitude and locations and carry out assessment of each proposed intervention to identify the magnitude of E&S risk and impacts;
- ii. Review relevance and applicability of national and state legal requirements and Bank's ESF policy, standards and directives and preliminary assessment of applicability of legal requirement and ESS framework (2-8)
- iii. Conduct site visit to understand baseline environment and social settings, proposed activities under the sub-project, their location and sensitivity, if any.
- iv. present key baseline data essential for impact assessment in immediate vicinity area of proposed interventions from secondary sources, such as land-use, protected areas in vicinity, ascertain presence of indigenous (schedule tribe)/vulnerable people, etc.
- v. Undertake institutional assessment to identify existing capacities & relevant gaps to manage E&S risks and impacts
- vi. Conduct preliminary stakeholder consultations to help identify potential stakeholders; to provide information on the proposed interventions; to identify issues and concerns; and ascertain appropriate mechanisms for continued engagement
- vii. Carry out activity wise environment and social screening and identify risks and impacts. Classify the sub-project based on risk level (low, moderate or substantial and high) and recommend commensurate plans/measures to meet identified risks and impacts.

The limited direct workers including Engineers/staff working at dam (full time or contracted) and community stakeholders included local people from vicinity villages have been consulted using two sets of questionnaires, one for each category of stakeholders – direct workers and community stakeholders. The Stakeholder consultation was conducted on 22.07.2022. It was attended by staff of KSEBL working at dam site, local people living in the nearby area, workers of contractor executing certain rehabilitation works at dam site etc. About 14 persons were participated in the consultation meeting, with 3 female and 11 male participants.

2.1 POLICY AND LEGAL FRAMEWORK

India has well defined environmental and social regulatory framework. The regulation applicability depends on nature of work and location of work. Broadly legislation can be divided into four categories viz environmental, forests, wildlife conservation and social. The applicability analysis of regulations pertaining to all the above four categories was carried out. The applicability of World Bank ESF comprising, 10 ESSs (ESS1 to ESS10) to the proposed rehabilitation proposals and Standard specific requirements were analysed. Further, a comparison of national environmental and social regulations versus World Bank's ESS has been carried out along with the gap analysis. Applicability of Indian regulations, World Bank's ESS along with comparison and gap analysis is discussed in ESMF.

Central Water Commission, Ministry of Jal Shakti, Government of India has prepared "Operational Procedures for Assessing and Managing Environmental Impacts in Existing Dam Projects" and is under publication as a guiding document for the dam owners to systematically address in advance the environmental safeguard requirements and have discussed in detail all applicable legal requirement. Reference has been drawn from this document as well, while carrying out applicability analysis.

Indian environmental regulations requiring environment clearance is for new dam projects specifically for the purpose of hydropower generation and/or irrigation projects and vary with generation capacity for hydropower projects and culturable command area served by irrigation projects. Forest related clearances become applicable, if new or any modification in any existing project requires diversion of forest land for non-forestry purposes. Wildlife Clearance process gets triggered if the project is in proximity to protected area or activities are proposed within protected areas (PA).

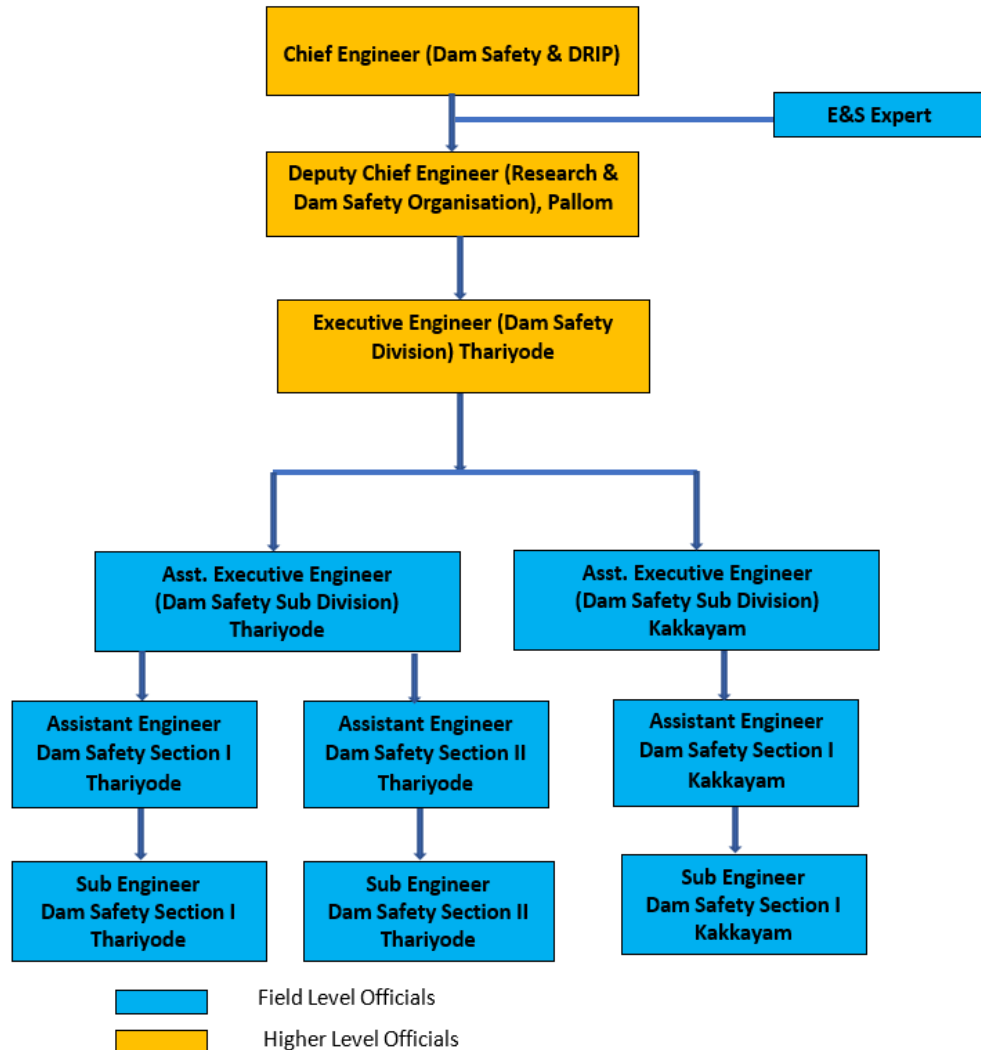
For the proposed rehabilitation activities at the dam, regulatory clearances will not be applicable as neither it is a new dam project nor any forest land required for the rehabilitation work.

2.2 DESCRIPTION OF INSTITUTIONAL FRAMEWORK

The sub-project will be implemented by the Dam Safety Organization of KSEBL. The Chief Engineer (Civil – Dam Safety & DRIP) is responsible for the operation and maintenance of existing dams of KSEBL and to arrange necessary rehabilitation works in time to improve safety performance of dam after ensuring the safety of people downstream. Works required for improving the operational performance of the existing dams & their modernization etc. under KSEBL is also carried out by Dam Safety wing. The Chief Engineer is assisted by a team of Engineers under the Deputy Chief Engineer, SPMU. The field crew includes Executive

Engineers, Assistant Executive Engineers, Assistant Engineers & Sub Engineers. The Chief Engineer at SPMU and Executive Engineer at field level look after the E&S activities. In addition to the above, KSEBL has hired an E&S expert to assist in E&S activities of DRIP Phase II. For the rehabilitation works whose estimate amount is beyond the delegation of the Chief Engineer, administrative sanction for the same is to be obtained from Board of Directors of KSEBL.

In KSEBL the organizational structure for the operation and maintenance of Kakkayam Dam & Kuttiyadi Augmentation Dam Sub-Project is as follows:



The project Implementing Agency is KSEBL and the Dam in Charge is Executive Engineer, Dam Safety Division, Thariyode.

Presently, GRM & Internal complaint committee as per Sexual Harassment Act is there in KSEBL but not specific to SPMU or the Dam Safety Organization. A system specific to DSO will be introduced as part of the implementation of DRIP. The Grievance Redress Mechanism (GRM) has been established at the site to address the grievances if any from the communities. The Executive Engineer Dam Safety Division, Thariyode is the contact point at site for addressing the grievances if any and the Executive Engineer, DRIP, R&DSO, Pallom is the contact point at SPMU. A complaint register is also being maintained at Division office and at SPMU. SPMU will have oversight responsibility on the functioning of the GRM.

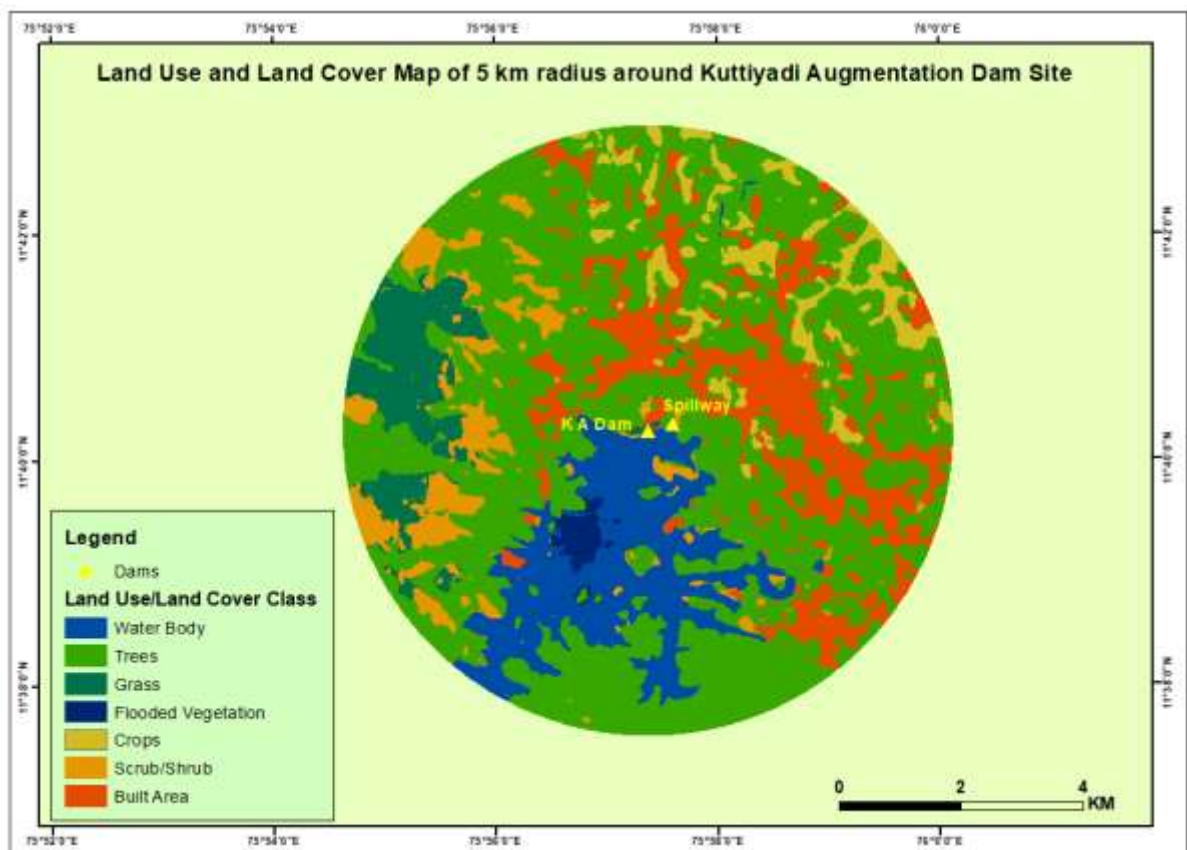
Assessment of physical, ecological and socio-economic conditions at dam site and immediate surrounding has been carried out based on secondary information and site observations; as discussed below.

3.1 PHYSICAL ENVIRONMENT

Land Use/Land Cover

The project surrounding area's land use and environmental sensitivity was analyzed using GIS techniques. Land use/ land cover map within 5 km radius of dam is presented at **Figure 3.1**.

Present land use is mainly evergreen/semi-evergreen forest, grass land and forest plantation followed by scrub forest, scrub land, agricultural plantation, settlement and water bodies (mainly reservoirs and river). Human habitations are mainly falling in the downstream reaches of the dam. The downstream plain from Padinjarethara is thickly populated.



[Source: ESRI 2020 Land cover - Digital data on land use/land cover maps with 10 m resolution derived from ESA Sentinel-2 imagery with further refinement using Arc GIS]

Figure 3.1: Land Use and Land Cover Map of 5 km radius around dam site

South/North/Western periphery of the reservoir is covered by thick forest. In the downstream reaches are mostly built-up areas and agricultural land.

Natural Hazards

Potential of natural hazards such as flooding and earthquake has been assessed.

Original design flood of the project was 1275 cumec. The design flood is reviewed by CWC in 2020 and design flood is revised as 1417 cumec. Spillway capacity is 1664 m³/s. Hence the project is hydrologically safe.

Project falls in earthquake zone III, and same was considered at the time of design and there is no need for seismic design review. The Bureau of Indian Standards [IS 1893 (Part I):2002], has grouped the country into four seismic zones, viz. Zone II, III, IV and V. Zone II is the least active and Zone V is the most active.

3.2 PROTECTED AREA

None of the project activities are to be carried in protected areas or Wild Life Sanctuaries or in their buffer zone. The nearest WLS is Malabar Wildlife Sanctuary which is more than 9 km away from the location of dam.

3.3 SOCIAL ENVIRONMENT

The Kuttiyadi Augmentation dam is located in Wayanad district in the state of Kerala. The dam is in Thariyode Village at Padinjarethara. The project colony is located near the dam and is at about 1 km radial distance. Downstream plains of project are thickly populated. A tribal settlement belonging to Paniyar community is there within 1 km radius from dam location. About 20 families are there in the settlement and the number of members is 85.

There are no Schedule V¹ areas in Kerala. The Project is not located in any reserved forest.

The brief demographic characteristic of the district is given in the table below:

No. of Households	190894	Household Size	04
Total Population	817420	Population (0-6 age)	93324
Male	401684	Boys (0-6 age)	46994
Female	415736	Girls (0-6 age)	45330
Sex Ratio	1035	Sex Ratio (0-6)	965
Population (SC)	32578(3.99%)	Population (ST)	151443(18.5%)
Male	16406	Male	74476
Female	16172	Female	76967

¹ **Scheduled Areas** are areas in India with a preponderance of tribal population subject to a special governance mechanism wherein the central government plays a direct role in safeguarding cultural and economic interests of **scheduled** tribes in the **area**.

Literates	645585	Literacy Rate (in %)	89.03
Male	328136	Male	92.50
Female	317449	Female	85.70
No. of Workers	340077	Cultivators	52759
Male	228639	Agricultural Labours	101630
Female	111438	Household Industrial Workers	4574
No. of Main Workers	263445	Other Workers	181714
No. of Marginal Workers	76632		
<i>Source: Census of India, 2011 (District Handbook)</i>			

There are no physical interventions planned outside the dam. Any households in the downstream area will be taken into account during the preparation of Emergency Action Plan for KA Dam.

3.4 CULTURAL ENVIRONMENT

List of National Monuments in Kerala and list of State Protected monuments in Kerala have been reviewed along with the local knowledge available with the project team. There are protected monuments identified by Archaeological Survey of India in the district however none of them are in the vicinity of the project. Similarly, no tangible or intangible heritages have been identified to be impacted by the rehabilitation work.

4.1 SUB-PROJECT SCREENING

The subproject screening is undertaken following a three-step screening methodology as described in ESMF. Process of risk /impacts identification is done using screening process considering the proposed interventions at each dam as provided in the Project Screening Template using first screening format (SF-1). Applicable interventions are further classified based on their location i.e. within dam area or outside the dam area. Each activity is reviewed for the applicability under-sub project, location of applicable activity and likely risks and impacts. The SF-1 format is used to ascertain the types of E&S risks for each of the proposed rehabilitation activity e.g. Risk/Impact on Water Quality, Fisheries, Conservation Area, Protected Area, Ecology, Physical Environment, Cultural Environment, Tribal Presence, Private Land/Assets/Encroachers/Squatters, Labour, Migrant Labour and GBV risks – each of these corresponding to the ESS 2-8.

The second format (SF-2) is used to assess the extent of risk/impact intensity for each of the identified E&S risk and is used to categorize the risk level as Low/Moderate/Substantial/High. Finally, using a third E&S risk summary format (SF-3), the risk categories for all different types of E&S risk and impacts is summarized and the highest of the risk categories is assigned as overall risk category for the given Dam sub-project. Based on the above findings, the ESDD report recommends Risk category of the Dam sub-project – whether it is Low/Moderate/Substantial/High and types of instruments that need to be prepared as part of the ESMP along with the responsibilities and timelines.

Outcome of three stage screening exercise is discussed below.

Step I Screening (using Form SF-1): Sub-Project Component, Construction Support Preparatory Intervention related vs Nature of Risk/Impact

Screening indicated that all project components related activities are limited to within the dam area/premises. Due to nature of these activities, likely impacts will be on physical environment in terms of air pollution, noise pollution and waste generation. None of the proposed structural interventions involve acquisition of private land and/or private assets. These activities in no way cause restriction on access to land or use of resources by local communities and there is no economic displacement envisaged due to the sub-project. Activities interfacing with water bodies like Maintenance to Spillway Radial Gates & Hoist mechanism, Maintenance to vertical gates, Pressure washing downstream portion of the non-overflow portion of Spillway dam etc. will be done with proper measures to prevent the risk of water pollution and impact on fishes. There will be no change in the flow behaviour

upstream of dam as there is no increase in dam height or no increase in storage or no increase in submergence area.

Pre-construction and construction stage major auxiliary or preparatory intervention are within dam area. Deployment and haulage of heavy machinery, setting up of workshop, operation of concrete mixture and heavy pumps will be within the dam premises. Other activities such as labour camp and debris disposal will be kept outside the dam area. Activities involving machinery and equipment will have impacts on physical environment. Transportation of material, debris disposal and labour camp are likely to generate pollution and impact on physical environment and biological environment.

Project will involve project managers and supervisors, contracted workers – these would also include migrant workers from other districts in Kerala as well as from other states, as all the required labour will not be fully supplied locally for a number of reasons, such as worker's unavailability and lack of technical skills and capacity. Construction contractors are expected to stay at/near dam, set up construction equipment and machinery near work location at pre-determined/approved sites. Influx of skilled migrant labour, albeit few in numbers, for construction works is likely. The labour will stay within the dam site colony; risk of SEA/SH is likely, though low. About 10-20 labours may require accommodation during the rehabilitation works.

Proposed non-structural interventions include Emergency Action Plan, Early Warning System etc. During implementation of EAP, population in vulnerable areas under different release scenario will be identified and contacted through public consultation meetings. Communities will be made aware about the warning systems and do's and don't's during such scenarios.

Output of this screening is enclosed as **Annexure I**.

Step II Screening (using Form SF-2): All applicable activities identified as having potential risks/impacts that were identified through Step I screening, are further screened for associated sub-activity and evaluated for the extent of risk. Sub-activity's Risk/Impact intensity is further categorised as Low (L), Moderate (M), Substantial (S) or High (H) based on following criteria:

Low	:	Localized, Temporary and Negligible
Moderate	:	Temporary, or short term and reversible under control
Substantial	:	Medium term, covering larger impact zone, partially reversible
High	:	Significant, non-reversible, long term and can only be contained/compensated

Each activity may have different type of risks/impacts and magnitude of separate risk may vary, as analysed under SF2. In SF2, each proposed rehabilitation activity is assessed for the nature of risk on various components of environment and social (based on SF1, Column 5) and then each one of these is separately evaluated for level of risk as Low, Moderate, Substantial or High; the highest risk level is recorded in column 5 of SF2 for each activity.

Occupational Health and safety: OHS is a substantial risk activity in almost all cases and is not being considered under screening criteria. Occupational health and safety is considered an important requirement of every project irrespective of size and type of the projects. It will be part of Contractor's ESMP.

Analysis of extent of risk/impact for sub-activities resulted in identification of following activities as having Moderate Risks/impacts.

- Clearing of stream downstream of spillway channel
- Construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam
- Construction of Access Road to the right bank of spillway dam
- Construction of an office cum staff dormitory building
- Maintenance to Spillway Radial Gates & Hoist mechanism
- Roofing to hoist mechanism of Radial Gates
- Maintenance to vertical gates
- Labour camp involved
- Disposal of debris involved
- Extension of Security fencing on the right bank of Spillway Dam
- Pressure washing downstream portion of the non-overflow portion of Spillway dam

All other activities are categorized as low risk activities. E&S risks of none of the sub-activities for this sub-project is categorized as either Substantial or High risk. **The outcome of Screening is enclosed as Annexure II.** In case of GBV/SEAH, this site was assessed as Low risk. Based on consideration of all the above, summary of Risk/Impact (as per outcome of SF-2) is summarised for major sub-project activities under **Table 4.1 below.**

Table 4.1: Summary of Identified Risks/Impacts in Form SF-3

Project Activity	Environment Risks						Social Risks				
	Air, water, noise, land use, Soil, Resource use	Pollution downstream and upstream	General Ecology	Protected Area (Wild Life Sanctuaries, National Park and other natural habitat even if not protected)	Other RET species (flora and fauna) outside protected areas	Fish and Aquatic life within dam water body	Land	Tribal	Labour	Cultural heritage	GBV/SEAH
Clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam	M	M	M	NA	NA	M	NA	NA	M	None	L
Roofing to hoist mechanism of Radial Gates	L	L	NA	NA	NA	NA	NA	NA	L	None	L
Pressure washing on the downstream of non-overflow block of spillway structure	M	L	NA	NA	NA	L	NA	NA	L	None	L
Extension of Parapet wall near the left bank up to left abutment.	L	L	NA	NA	NA	NA	NA	NA	L	None	L
Maintenance to vertical gates	M	M	NA	NA	NA	L	NA	NA	M	None	L
Maintenance to Spillway Radial Gates & Hoist mechanism	M	M	NA	NA	NA	NA	NA	NA	M	None	L
Installation of Automatic Water Level Recorders	NA	NA	NA	NA	NA	NA	NA	NA	L	None	L

Construction of Access Road to the right bank of spillway dam	M	L	L	NA	NA	NA	NA	NA	L	None	L
Construction of an office cum staff dormitory	M	M	L	NA	NA	NA	NA	NA	L	None	L
Extension of Security fencing on the right bank of Spillway Dam	M	L	NA	NA	NA	NA	NA	NA	L	None	L
Setting up Labour Camps	M	M	M	NA	NA	NA	NA	NA	L	None	L
Heavy machinery deployment and setting up maintenance workshop	L	L	L	NA	NA	NA	NA	NA	L	None	L
Deployment of concrete mixture and heavy pumps	L	L	NA	NA	NA	NA	NA	NA	L	None	L
Disposal of Debris	M	M	NA	NA	NA	NA	NA	NA	L	None	L
Transport of large construction material	L	L	NA	NA	NA	NA	NA	NA	L	None	L

Criteria for Risk Evaluation:

Low: Localized, temporary and Negligible

Moderate: temporary, or short term and reversible under control

Substantial: medium term, covering larger impact zone, partially reversible

High: significant, non-reversible, long term and can only be contained/compensated

Occupational Health and safety: OHS is a substantial risk activity in almost all cases and is being treated separately through OHS plan in accordance with WB ESHS guidelines and shall be applicable to all sub-projects. Hence is not being considered under screening criteria.

4.2 STAKEHOLDER CONSULTATION

Preliminary stakeholder consultation was conducted as part of environmental and social due diligence. The purpose was to;

- a. provide initial information to the communities on the proposed project interventions and particularly the non-structural interventions including the proposed activities under the Project and that since the proposed rehabilitation activities lie within the dam premises the possibility of local community's interference during the implementation of rehabilitative measures is minimal.
- b. help identify potential stakeholders who are involved at this stage and will be involved a later stage.
- c. ascertain if there are any legacy issues relating to displacement, resettlement, etc.
- d. elicit their responses in relation to key non-structural interventions such as early warning systems, emergency action plans
- e. identify mechanisms that would be deployed to engage with different stakeholders and particularly communities living downstream.

Stakeholder consultation was conducted on 22.07.2022. It was attended by permanent staff of KSEBL working at dam, local people living in the nearby area, workers of contractor executing certain rehabilitation works at dam site etc. The works proposed to be carried out for the dam were explained to them. Formal consultations will be held and outcomes documented.



Fig. 4.1 Consultation with villagers from downstream village



Fig. 4.2 Consultation meeting

Following is the outcome of the stakeholder consultation meeting:

1. Inhabitation is not there in the close proximity of the dam as the dam is located in forest land.
2. Farming is the main source of livelihood of people in the nearby area. They are planting crops like Coconut, Arecanut, Plantain, Cocoa etc. They also keep livestock and used to sell the milk of cows, buffalo or goats, etc.
3. The people nearby are engaged in the project activities as unskilled workers.
4. 4 numbers of contract workers are working at the dam for the entire period for security and operation & maintenance works of the dam. Special maintenance works of the dam are arranged through local contractors and workers.
5. All the participants welcomed the proposed interventions relating to dam safety.
6. The dam was commissioned in 2004. There are no pending issues regarding dam construction related resettlement.
7. The participants explicitly mentioned that the rehabilitation works of the dam will no way affect them and instead they will be getting some earnings by engaging as unskilled labour for the works.
8. Participants have expressed that they do not have any grievances as far as the rehabilitation works proposed by the KSEBL for the dam.

Based on these findings relating to both structural and non-structural interventions, potential stakeholders were categorized as affected stakeholders, other interested stakeholders and disadvantaged & vulnerable stakeholders.

Affected Stakeholders: There are no affected persons who shall be directly or indirectly adversely affected by the proposed interventions.

Other interested stakeholders: In relation to structural interventions, these would be contractors, regulatory bodies/institutional stakeholders such as revenue, environmental authorities, people

living in downstream reaches etc. In relation to non-structural interventions, these would be communities living downstream including farmers; community leaders; district administration, police, state disaster management authority, revenue department, electronic and print media, etc. These communities would be key stakeholders requiring to be involved in the preparation and implementation of Emergency Action Plan (EAP).

Communities welcomed such interactions and indicated that they would prefer Dam authorities conduct such face-to-face meeting periodically at a convenient location to inform about the developments/interventions relevant to them. They welcomed other means of information such as advertisements in the local papers, formation of WhatsApp group etc.

Interactions made with Engineers and local communities is tabulated below;

A. Interaction with Dam Engineers/Staff

Questions	Responses provided / Observations
<p>1. Please confirm whether all proposed structural rehabilitation activities for this dam are limited to dam compound only or any activities are proposed beyond dam complex like catchment area treatment plan, stabilization of reservoir rim area, slope stabilization, de-silting etc.? Please specify if any possibility of local community interference exist during the implementation of rehabilitation measures; including stakeholders consultation meetings planned for dissemination of emergency action plans which is a non-structural measure.</p>	<p>Proposed rehabilitation activities lie within dam premises. There is no possibility of local community's interference during the implementation of rehabilitative measures.</p> <p>Emergency action plans are prepared disseminated and published in the website of CWC.</p>
<p>2. Is there any unsettled issues (legacy) related to displacement or resettlement, pending since time of dam construction? If yes, please give a brief detail.</p>	<p>There are no unsettled issues regarding displacement or resettlement.</p>
<p>3. Any unauthorized encroachers or squatters living within the dam premise? If yes, are these not a threat for dam security and dam premise, any official action taken in the past, does the state government have legalized these squatters and these have full right in the property of dam authorities.</p>	<p>There is neither encroachment nor squatters living within dam premises.</p>
<p>4. What is the proposed institutional arrangement to deal the Environment and Social activities within the scheme i.e. in-house team of experts/hired agency or individual experts?</p>	<p>The project field officials would be dealing the issues of environment and social activities. These officials will be supported by the Environment Expert hired for the Project.</p>
<p>5. Who will be in charge of E&S related activities at dam site and at SPMU level?</p>	<p>Sri Ramachandran, Assistant Executive Engineer posted at dam site shall be in charge for E&S at dam site. At SPMU level, Sri Jayakumar CR, Assistant Executive Engineer is the in charge officer.</p>
<p>6. How do communities contact dam officials? Is there any existing mechanism known to communities to contact dam officials (through telephone/mobile/e-mail/official website)?</p>	<p>Communities contact dam officers in person as the concerned officers reside near the dam premises.</p>

7. What is existing mechanism to communicate with downstream communities/public on unregulated releases of water during high flood time siren/written communication to district authorities/ telephone/mobile/text messages or any other mode of communication?	Written communication with district revenue authorities is made and with mobile messages. Siren is used to alert at dam site.
8. How do you ensure that downstream community is fully aware of the above existing mechanism?	As the construction of dam done in 2004, downstream community is accustomed with the existing mechanism
9. Are there women employees at the dam site?	No
10. Is there any existing Grievance Redressal Mechanism (GRM) within the department to address any kind of grievance/complaints by general public?	Yes. Any public grievance brought to the notice of the project authorities is promptly dealt with. The Grievance Redress Mechanism (GRM) has been established at the site to address the grievances if any from the communities. The Executive Engineer Dam Safety Division, Thariyode is the contact point at site for addressing the grievances if any and the Executive Engineer, DRIP, R&DSO, Pallom is the contact point at SPMU.
11. Details of any grievances received lately related to this new Scheme?	None.
12. Is dam premise a restricted area or has open access to general public?	Access is restricted.
13. Are there tribal's living in the surrounding area of dam complex? Which tribes are these? Please give brief detail.	A tribal colony is there within 1 km radius from dam. Paniyar is the tribal residing in that colony.
14. Does the dam have any tourism/water recreation facilities? If yes, how many approximate tourists visits annually, annual revenue generated, whether any portion of this generated revenue is diverted to regular O&M of this dam.	Yes; there are hydel tourism activities. Annual visitors: 1 lakh persons appx. Annual revenue from tourists: 80 lakh Lakhs appx. No share is getting for O&M works and action will be initiated for allocating 10% of income from hydel tourism for O&M.
15. Do you engage any local labourers for routine dam maintenance work? If yes, what is the process of engaging these locals for work at dam, whether through Government approved contractor or hired individually?	Yes; through open tender from experienced persons.

B. Interaction with Local Community

Questions	Responses provided / Observations
<p>1. How many villages are in immediate downstream vicinity?</p> <p>2. Are they dependent on dam in any way for their livelihood?</p>	<p>One village in the immediate downstream reaches.</p> <p>A few are engaged as unskilled labour for seasonal jobs</p>
<p>3. Does any of these villages were displaced and rehabilitated during the construction of the Dam. Is there any pending compensation issues?</p>	<p>Yes. No pending issues</p>
<p>4. Is there any R&R affected person known to you who is currently working with the dam authorities? If so, in what capacity (employee/direct worker/contractor)</p>	<p>No</p>
<p>5. Are you aware of any fishing communities living immediately downstream of dam whose livelihood are directly linked with the fishing activities of this dam?</p>	<p>No</p>
<p>6. Are you aware of fishing working seasons, revenue earning, any access to general public for fishing, any suggestion etc.</p>	<p>N.A</p>
<p>7. Are you aware of local women affected in any way by dam operations?</p>	<p>No</p>
<p>8. Are you aware of any early flood warning system for this dam, or any other system wherein downstream communities getting regular update during flood season for any uncontrolled release of water?</p>	<p>Siren of high amplitude, mike announcement is available and regular updates to downstream with the help of revenue department.</p>
<p>9. Are you aware of any dam related incident happened in the past wherein some loss of life encountered? If yes, brief summary may be given</p>	<p>No</p>
<p>10. If you have to contact the dam authorities; how will you contact, through telephone/mobile/e mail/personally?</p> <p>11. In the past, on any occasion, did you contact dam authorities for any specific reason affecting public in general? If so, how did you contact and how was the response of dam authority?</p>	<p>Both telephone, mobile, email and Whatsapp.</p> <p>No such incidents.</p>
<p>12. Give your views about the dam, how this dam is helping Country, State, district or local communities in meeting its objectives, any specific concern can also be given?</p>	<p>The dam is constructed as part of Kuttiyady Hydro Electric Project for generating electricity. This reservoir also helps to ensure drinking and irrigation water requirements.</p>

<p>13. (a) Are you aware of any document named Emergency Action Plan (EAP) of the dam?</p> <p>(b) If yes, do dam authorities conduct any annual mock drill or consultation meeting on dam site and invite all stakeholders to inform about various protocols in place and consequences in case dam fails?</p> <p>(c) In future, during stakeholder's consultation meeting, would you like to be a part of these consultation and mock drill activities to be conducted by dam authorities?</p> <p>(d) If yes, how to contact you, please give the corresponding address along with all details to receive the official communication.</p>	<p>Yes; EAP is available for this dam.</p> <p>Consultation meeting was held during year 2019 and 2020.</p> <p>Yes.</p> <p>Executive Engineer, Research & Dam Safety Division, No.V, Thariode, Wayanad, Kerala</p>
<p>14. Are you a regular follower of official website of dam authorities as a general public, in case you are a contractor, do you follow various tenders notices being invited for various maintenance of this dam?</p>	<p>Follow tender notices invited for maintenance of the dam.</p>
<p>15. Any suggestion to improve overall system by dam authorities in any way, please give in brief?</p>	<p>Dam authorities shall conduct awareness program to the stakeholders for taking preventive measures to minimise the adverse impact of floods.</p>

4.3 DESCRIPTIVE SUMMARY OF RISKS AND IMPACTS FROM ACTIVITIES BASED ON SCREENING

Based on the above screening analysis, potential impacts and risks from the sub-project are summarised below:

Environmental Impacts and Risks

1. Environment risks and impacts, as assessed above, for various project activities under this sub-project are categorised as Low and Moderate due to localised nature of proposed activities i.e. activities remain limited to dam area except for labour camp and muck/debris disposal.
2. Construction work at night time need to be controlled and minimized.
3. Labour camp location and setting up of machinery and equipment for construction need to be kept within the project colony.
4. Execution of civil and hydro-mechanical work within dam body will generate localised impacts on physical environment and resource use; pose risk of exposure of workers requiring personal protective equipment (PPE) use.
5. Construction waste from Clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam, Construction of Access Road to the right bank of spillway dam, Construction of office cum staff dormitory building etc. require careful disposal at pre-identified and approved site to minimise the risk of pollution on this count.

6. Rehabilitation work would require labour to work on various sections of dam involving working at height, working in confined spaces, working on reservoir side, etc; Further, workers will also be exposed to dust and noise and will have to handle chemicals/gases for some of the works; these will lead to occupational health and safety risks.

Social Impacts and Risks

1. As the interventions are within the dam premises and on the dam structure, there shall be no adverse impacts on land and assets due to any sub-component or sub-activities
2. The dam is not located in the Schedule V area. There is a small scheduled tribe population near the project area and there are very few scheduled tribe households in vicinity. These households shall not be directly impacted by project in any manner.
3. Influx of migrant labour will be low as these works require only few but very skilled labour. Also, these workers will mostly operate from labour camps within the dam premises/proximity and hence there would be minimal interface with communities and therefore significantly lower SEAH/GBV risks.
4. Waste generation from labour colony can pollute drinking water sources of community, risk is low and can be mitigated by providing adequate sanitation facilities.
5. No impacts are envisaged on cultural heritage as no such sites are identified in project vicinity.
6. Labour related risk would include:
 - Safety issues while at work like injuries/accidents/ fatalities leading to even death, while at work; Occupational health and safety risks due to exposure of workers to unsafe conditions while working at heights, working using lifts, handling of equipment and machinery, exposure to air and noise pollution etc. will be addressed through OHS guidelines.
 - Short term effects due to exposure to dust and noise levels, while at work
 - Long term effects on life due to exposure to chemical /hazardous wastes
 - Inadequate accommodation facilities at work force camp, including inadequate sanitation and health facilities
 - Sexual harassment at work
 - Absence or inadequate or inaccessible emergency response system for rescue of labour/workforce in situations of natural calamities.
 - Health risks of labour relating to HIV/AIDS and other sexually transmitted diseases
 - Non-payment of wages
 - Discrimination in Employment (e.g. abrupt termination of the employment, working conditions, wages or benefits etc.)
 - Unclear terms and conditions of employment
 - Discrimination and denial of equal opportunity in hiring and promotions/incentives/training opportunities
 - Denial for workers' rights to form worker's organizations, etc.
 - Absence of a grievance mechanism for labour to seek redressal of their grievances/issues.

5.1 CONCLUSIONS

5.1.1 Risk Classification

As per the ESDD exercise, risk/impacts that have been identified relate to Water Quality, Physical Environment, labour and SEAH/GBV. Environment risks of air, water, noise, land use, soil and resource use due to Clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam, Extension of Parapet wall near the left bank up to left abutment. Construction of Access Road to the right bank of spillway dam, Construction of an office cum staff dormitory, Maintenance to Spillway Radial Gates & Hoist mechanism, Roofing to hoist mechanism of Radial Gates, Maintenance to vertical gates, Extension of Security fencing on the right bank of Spillway Dam, Pressure washing downstream portion of the non-overflow portion of Spillway dam is considered Low to Moderate. Similarly, environment and social risk of labour camp and disposal of debris has also been identified as moderate. These risks are low to moderate and localised, short term and temporary in nature which can be managed with standard ESMP and guidelines. OHS is a substantial risk activity and is being treated separately through OHS plan in accordance with WB ESHS guidelines.

Hence the overall risk of this sub-project dam is categorized as Moderate. OHS is a substantial risk activity and is being treated separately through OHS plan in accordance with WB ESHS guidelines.

5.1.2 National Legislation and WB ESS Applicability Screening

The applicability analysis of GOI legal and regulatory framework indicates that while, there are various legislation which will have to be followed by the contractor for the protection of environment, occupational health and safety of workers and protection of workers and employment terms. None of Indian legislation is applicable warranting obtaining clearance prior to start of construction/improvement work.

In addition to overarching ESS1, four ESS standards are found relevant to this sub-project as per reasons given in **Table 5.1** below:

Table 5.1: WB ESF Standards applicable to the sub-project

Relevant ESS	Reasons for Applicability of the standard
ESS1: GBV/SEAH risk mitigation framework	The works may lead to interface of migrant labour with communities
ESS2: Labour and Working Conditions	Due to engagement of Direct worker, Contracted workers and Community workers (likely for EAP and other non-structural interventions) for rehabilitation work

Relevant ESS	Reasons for Applicability of the standard
ESS3: Resource Efficiency, Pollution Prevention and Management	Civil and hydro-mechanical work including resource consumption; requiring protection of physical environment and conservation of resources
ESS 4: Community Health and Safety	Rehabilitation work, although limited to dam complex, can increase community exposure to risk and impacts; directly or indirectly.
ESS 10: Stakeholder Engagement Plan	For engagement of stakeholders in all structural and non-structural measures e.g. implementation of Early flood Warning system, siren systems, Emergency Action Plan etc.

5.2 RECOMMENDATIONS

5.2.1 Mitigation and Management of Risks and Impacts

Since risks and impacts are low to moderate category, a standard ESMP customised to sub-project will be prepared in accordance with the ESMF. It shall cover the following aspects:

- a. SPMU shall customise the standard Environmental and Social Management plan (ESMP) that has been provided in the Environmental and Social Management Framework (ESMF) and make it part of bid document for effective adherence by contractors.
- b. ESMP will provide due measures for labour management and protection of environment quality and resource conservation (during handling of resources) in line with ESF standard ESS2 and ESS3 respectively. Likewise, due attention will be given to Occupational Health and Safety of workers and community in line with the requirements of ESS4 and World Bank Group guidelines on Occupational Health and Safety (OHS). SPMU/IA shall customise the standard ESMP in line with outline provided in the ESMF and ensure its adherence by contractor. The customised ESMP will address the following:
 - Gender Based Violence or SEA/SH related actions (ESS1)
 - Labour Management Procedure (ESS2)
 - Resource Efficiency and Pollution Prevention (ESS3)
 - Community Health and Safety (ESS4)
 - Stakeholders Engagement Plan (ESS10)
- c. Contractor shall submit BOQ as per ESMP of the sub project.

Mitigation plans to meet requirements for relevant Standards with responsibility and stages are given in **Table 5.2** below:

Table 5.2: List of Mitigation Plans with responsibility and timelines

WB-ESS Triggered	Mitigation Instrument	Responsibility	Timelines
ESS1: Assessment and Management of Environmental and Social Risks and Impacts	<ul style="list-style-type: none"> Gender Based Violence or SEA/SH related actions 	SPMU/IA	Before mobilization of contractor
ESS2: Labour and Working Conditions	<ul style="list-style-type: none"> Labour Management Procedure (LMP) including OHS management plan 	SPMU/IA	Before mobilization of contractor
ESS3: Resource Efficiency, Pollution Prevention and Management	<ul style="list-style-type: none"> Pollution Prevention and Environment Quality Management Plan (PPEQMP) 	SPMU/IA	Before mobilization of contractor
ESS 4: Community Health and Safety	<ul style="list-style-type: none"> Community Health and Safety Management Plan (CHSMP) 	SPMU/IA	Before mobilization of contractor
ESS 10: Stakeholder Engagement Plan	<ul style="list-style-type: none"> Stakeholder Engagement Plan 	SPMU/IA	Before mobilization of contractor

ESDD and ESMP will be placed on the damsafety.in website as well as other accessible locations such as the office of Engineer in Charge at dam site as well at SPMU for reference and record. These documents would be disclosed/disseminated through other appropriate means like project meetings, workshops etc. Each IA will translate these documents in their local language, if required, and will upload in their respective websites and also make available at other accessible locations.

5.2.2 Institutional Management, Monitoring and Reporting

ESMP will be customized for the sub project by SPMU/IA from standard ESMP included in ESMF and shall be shared with CWC by SPMU for their review/endorsement and approval before including in the bid document.

SPMU/IA will designate Nodal Officer(s) (full time in-house engineering staff with E&S expertise) to coordinate and supervise E&S activities. They shall be at the level of Asst Executive Engineer and shall provide commensurate time to comply with E&S related activities. Brief TORs for these Nodal E&S officers are included in ESMF. The SPMU, in case in-house expertise not available, will hire the qualified staffs on need basis to support management of E&S risks including Environmental and Social Experts for ensuring compliance with the Bank's ESF and ESS's and ensuring that these activities shall be

implemented as per the procedures.

SPMU/IA shall advise contractors about applicable legislative requirements and ensure that contractors prepare its own ESMP (C-ESMP) as outlined in ESMP for this sub-project and submit compliance reports to SPMU/IA on quarterly basis. SPMUs will share regular implementation status of ESMPs to CWC and The World Bank in line with ESMF on quarterly basis.

SPMU/IA shall establish and operationalize a grievance mechanism to receive and facilitate resolution of complaints and grievances, from the communities and other stakeholders including implementation partners. GRM works within existing legal and cultural frameworks and shall comprise project level and respective State level redressal mechanisms. Most Project related grievances could be minor and site-specific.

EMC (Engineering and Management Consultant) for the project will have sufficient staff with skills on Environment and Social aspects. However, an Environmental and social expert is hired by the KSEBL for assisting in E&S compliances for the proposed activities. Awareness raising and capacity building on the new Environmental and Social Framework (ESF) need to be carried out for the environment and social staff engaged and this will be an area of continued focus, with a view to generate awareness at to dam level. EMC will develop formats for regular supervision and monitoring on E&S issues and undertake site visits/ inspections of the dam sites to monitor for compliance; collate and review QPRs and set up a monitoring and reporting system on E&S issues.

Overall, the proposed activities within this dam sub-project have low to moderate risks resulting in the sub-project to be categorized as Moderate risk category. These risks and impacts can be effectively mitigated with effective implementation of mitigation plans by SPMU/IA, Contractors and monitoring by EMC, SPMU and CWC.

Annexure I: Form SF1

Sl. No	Project Component	Applicable (A), Not Applicable (NA)	Environment and Social Risk Associated within dam area (DI), Beyond Dam Area (DE)	Likely Nature of Risk/Impact Water Quality (WQ), Fisheries (F), Conservation Area (CA), Protected Area (PA), Ecological (E), Physical Environment (PE), Cultural (C), Tribal Presence (T), Impact on private land/assets/encroachers/squatters (LA), Labour (L), GBV risks (G), (Write whichever is applicable)
1	2	3	4	5
A	Nature of Project Component and related sub activity Related			
1	Reservoir Desiltation	NA		
2	Major structural changes – Spillway construction (Improving ability to withstand higher floods including additional flood handling facilities as needed.)	NA		
3	Structural strengthening of dams to withstand higher earthquake loads	NA		
4	Structural Improvement/Repair work – upstream of Dam site (interfacing dam reservoir) (like u/s face treatment etc.)	NA		
5	Structural Improvement/Repair work -Downstream of Dam site (with no interfacing with dam reservoir)	A	DI	PE, E, L, G
6	Re-sectioning earth dams to safe, stable cross sections	NA		
7	Hydro-mechanical activities with interface with dam reservoir	A	DI	WQ, PE, L, G
8	Hydro-mechanical activities Downstream of Dam site (with no interfacing with dam reservoir)	A	DI	PA, PE, L, G
9	Instrumentation, General lighting and SCADA systems	A	DI	PE, L
10	Basic Facilities (like access road improvement, renovation of office, etc)	A	DI/DE	PE, E, L, G
11	Utility installation like standby generator, or setting up solar power systems	NA		
12	Painting of dam u/s or d/s or both faces	A	DI	PE, E, L, G
13	Water recreation activities	NA		
14	Tourism Development	NA		
15	Installation of Solar power/floating solar	NA		
16	List any other component not listed above			
a				
B	Pre-construction and construction stage major auxiliary or preparatory intervention			

Sl. No	Project Component	Applicable (A), Not Applicable (NA)	Environment and Social Risk Associated within dam area (DI), Beyond Dam Area (DE)	Likely Nature of Risk/Impact Water Quality (WQ), Fisheries (F), Conservation Area (CA), Protected Area (PA), Ecological (E), Physical Environment (PE), Cultural (C), Tribal Presence (T), Impact on private land/assets/encroachers/squatters (LA), Labour (L), GBV risks (G), (Write whichever is applicable)
1	2	3	4	5
1	Acquisition (diversion of forests land for non-forest purposes) of forest land	NA		
2	Acquisition of private land Resettlement and Rehabilitation (including physical or economic displacement/impact on livelihood;	NA		
3	Temporary loss of business or Damages to crops or trees or structures outside the ROW during Construction activities by Contractor	NA		
4	Borrowing earth to meet Borrow materials requirement	NA		
5	Sourcing of Quarry materials	NA		
6	Blasting	NA		
7	Setting up Labour Camps (location within dam premises or outside)	A	DE	WQ, PE, E, L, G
8	Heavy machinery deployment and setting up maintenance workshop	A	DI	PE, L, E, G
9	Setting up Hot mix plant	NA		
10	Deployment of Concrete mixture and heavy pumps	A	DI	PE, L, G
11	Temporary land acquisition	NA		
12	Need of Tree felling/ vegetation clearance	NA		
13	Disposal of large amount of Debris	A	DE	PE, L, G
14	Transport of large construction material	A	DE	PE, L, G
15	Utility shifting	NA		
16	Discharge of reservoir water (lowering of reservoir water involved)	NA		

Note: Occupational Health and Safety aspects / impacts/ risks are considered important part of any dam project and this risk is separately classified. It shall be managed as per defined OH&S plans in every project irrespective of size and type of project.

Annexure II: Form SF2

Sl. No	Applicable Sub-Project Component/ Construction preparatory Work-related Sub activity (As per SF-1)	Nature of Risk (Conforming to Column 5 of SF- 1) and nature of sub activity	Elaborate cause (risk) and its effect (Impact) on environment /social	Risk/Impact intensity for each type of risk/impact Low (L) , Moderate (M), Substantial (S), High (H)
1	2	3	4	5
A	Project Component Related			
1.	Structural Strengthening/Improvement/Repair work -upstream of Dam site			
2.	Structural Improvement/Repair work - Downstream of Dam site (with no interfacing with dam reservoir) (like repair of parapet walls, damage spillway crest, downstream training walls, etc.)			
a	Clearing downstream of spillway channel and construction of retaining wall to protect the left bank in continuation with the existing training wall at Spillway Dam	WQ, F, E, PE, L, G	Air and noise pollution, Risk of water pollution in river due to increased water turbidity, Impacts on fish, Land pollution due to disposal of waste, Labour and GBV risk	WQ – M F – M E – M PE – M L – M G – L
b	Roofing to hoist mechanism of Radial Gates	PE, L, G	Air and noise pollution, Land pollution due to disposal of waste, Labour and GBV risk	PE- L L – L G - L
c	Pressure washing on the downstream of non-overflow block of spillway structure	WQ, F, PE, L	Air and noise pollution, Risk of water pollution, Impacts on fish, Labour risk	WQ – M F – L PE – L L - L
d	Extension of Parapet wall near the left bank up to left abutment.	PE, L, G	Air and noise pollution, Land pollution due to disposal of waste, Labour and GBV risk	PE – L L – L G – L
3	Hydro-Mechanical activities up – stream of Dam Site (with interfacing with dam reservoir)			
a	Maintenance to vertical gates	WQ, PE, L, G	Air and noise pollution, , Risk of water pollution, Land pollution due to disposal of waste/debris, Generation of waste	WQ – M PE – M L – M G - L

Sl. No	Applicable Sub-Project Component/ Construction preparatory Work-related Sub activity (As per SF-1)	Nature of Risk (Conforming to Column 5 of SF- 1) and nature of sub activity	Elaborate cause (risk) and its effect (Impact) on environment /social	Risk/Impact intensity for each type of risk/impact Low (L) , Moderate (M), Substantial (S), High (H)
1	2	3	4	5
			material from packaging etc, Labour and GBV risk	
b	Maintenance to Spillway Radial Gates & Hoist mechanism	WQ, PE, L, G	Air and noise pollution, , Risk of water pollution, Land pollution due to disposal of waste/debris, Generation of waste material from packaging etc, Labour and GBV risk	WQ – M PE – M L – M G - L
4.	Instrumentation, General lighting and SCADA systems			
a	Installation of Automatic Water Level Recorders	L, G	Generation of waste material from packaging etc, Labour and GBV risk	L – L G – L
5.	Basic Facilities Improvement			
a	Construction of Access Road to the right bank of spillway dam	PE,E, L, G	Air and noise pollution, Impact on ecology, Land pollution due to disposal of waste/debris, Labour and GBV risk.	PE – M E – L L – L G – L
b	Construction of an office cum staff dormitory	PE, E, L, G	Air and noise pollution, , Land pollution due to disposal of waste/debris, Labour and GBV risk.	PE – M E – L L – L G – L
c	Extension of Security fencing on the right bank of Spillway Dam	PE, L, G	Air and noise pollution, , Land pollution due to disposal of waste/debris, Labour and GBV risk.	PE – M L – L G – L
B.	Pre-construction and construction stage major auxiliary or preparatory intervention			
1	Setting up Labour Camps (location within dam premises or outside)	WQ, PE, E, L, G	Wastewater generation from domestic activities, waste generation, GBV risk within labour and involving community.	WQ – M PE – M E – M L – L G - L
2	Heavy machinery deployment and setting up maintenance workshop	PE, L, E, G	Heavy machinery will be deployed for repair and maintenance of hoists and for other activities - risk due to machine handling, waste, wastewater and air emissions from machines	PE – L L – L E – L G - L

Sl. No	Applicable Sub-Project Component/ Construction preparatory Work-related Sub activity (As per SF-1)	Nature of Risk (Conforming to Column 5 of SF-1) and nature of sub activity	Elaborate cause (risk) and its effect (Impact) on environment /social	Risk/Impact intensity for each type of risk/impact Low (L) , Moderate (M), Substantial (S), High (H)
1	2	3	4	5
			operations, hazardous waste generation from oil waste.	
3	Deployment of concrete mixture and heavy pumps	PE, L, G	Concrete mixture and pumps will be deployed for road works and other civil works and dewatering - risk due to machine handling, waste generation, wastewater and air emissions from operations, hazardous waste generation from oil waste	PE – L L – L G - L
4	Disposal of Debris	PE, L, G	Debris will be generated from various repair activities, risk during debris handling, air and noise emissions from debris handling and transportation, water pollution risk due to debris finding its way to water body	PE – M L – L G - L
5	Transport of large construction material	PE, L, G	Material will be transported from various vendors and suppliers to site for civil, hydro-mechanical work and instrumentation, air and noise emissions from transportation	PE – L L – L G - L

Criteria for Risk Evaluation:

Low: Localized, temporary and Negligible

Moderate: temporary, or short term and reversible under control

Substantial: medium term, covering larger impact zone, partially reversible

High: significant, non- reversible, long term and can only be contained/compensated

Occupational Health and safety: OHS is a substantial risk activity in almost all cases and is being treated separately through OHS plan in accordance with WB ESHS guidelines and shall be applicable to all sub-projects. Hence is not being considered under screening criteria.

**Annexure III: List of Participants in the Stake Holders' Consultation for KA Dam,
Padinjarethara on 22nd July 2022**

S. No.	Name of Participants	Place
1	Vineesh P.A, Thachanvetty Veedu, 16 th Mile	16 th Mile
2	Sankaran, Mankuzhy House	Peral
3	Padmaja NR, Puthenveetil House	Thariode
4	Alphiya Jose, Thakarapillil House	Thonichal
5	Sharmila P , Gayathri	Padinjarethara
6	Sivadasan, Karrokkil House	Padinjarethara
7	VT Sukumaran, Vellamudakkal House	Arambattakunnu
8	T Divakaran, Sreepuram	Echome
9	Gireesh M.K, Geethalayam	Kallodi
10	Baburaj M.C, Executive Engineer, DS Division	KSEBL
11	TR Ramachandran, Asst Exe Engineer	KSEBL
12	Krishnan Mappidicheri, Asst Engineer	KSEBL
13	Renjith R, Asst Engineer	KSEBL
14	Ashish, Sub Engineer	KSEBL