



**DAM REHABILITATION AND IMPROVEMENT PROJECT–
II
[WEST BENGAL]**

STAKEHOLDER ENGAGEMENT FRAMEWORK (SEF)

**GOVERNMENT OF INDIA
CENTRAL WATER COMMISSION
CENTRAL DAM SAFETY ORGANISATION, New Delhi.**

**Implementing Agency
GOVT OF WEST BENGAL
IRRIGATION & WATERWAYS DEPARTMENT
DAM SAFETY ORGANISATION, KOLKATA (WEST BENGAL)**

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Abbreviations and Acronyms

AF	Additional Financing
BBMB	Bhakra Beas Management Board
CBO	Community Based Organization
CDSO	Central Dam Safety Organization
CPCB	Central Pollution Control Board
CPMU	Central Project Management Unit
CWC	Central Water Commission
DC	District Commissioner
DRIP	Dam Rehabilitation and Improvement Project
EAP	Emergency Action Plan
EMC	Engineering and Management Consultant
ERP	Emergency Response Procedure
ESIA	Environmental and Social Impact Assessment
ESDD	Environmental and Social Due Diligence
ESF	Environmental and Social Framework
ESS	Environmental and Social Standard
EMP	Environmental Management Plan
ESMF	Environmental and Social Management Framework
ESCP	Environmental and Social Commitment Plan
FPIC	Free Prior and Informed Consultation
FGDs	Focus Group Discussions
FSI	Forest Survey of India
GoI	Government of India
GRC	Grievance Redress Committee
GRM	Grievance Redressal Mechanism
GBV	Gender Based Violence
IA	Implementation Agency
LMP	Labor Management Procedure
MoEFCC	Ministry of Environment and Forests and Climate Change
MoJS	Ministry of Jal Shakti
NGO	Non-Government Organization
OHS	Occupational Health and Safety
PAP	Project Affected Person
PIU	Project Implementation Unit
PMC	Project Management Consultant
PWD	Public Works Department
RAP	Resettlement Action Plan
SDSO	State Dam Safety Organization
SEA/SH	Sexual Exploitation and Abuse/Sexual Harassment
SEP	Stakeholder Engagement Plan
SHG	Self Help Group
SC	Scheduled Caste
SCADA	Supervisory Control and Data Acquisition
SPMU	State Project Management Unit
ST	Scheduled Tribe
SDO	Social Development Officer
WB	The World Bank
WRD	Water Resources Department

EXECUTIVE SUMMARY

1. The project development objective (PDO) of the DRIP – II is to increase the safety of selected dams and to strengthen dam safety management and financing in India. The project will contribute to the higher-level objective of improved safety and resilience of dams, downstream communities and economic assets, with the ultimate aim of increasing water security. The Projects consist of four components, namely 1. *Rehabilitation and Improvement of Dams and Associated Appurtenances* 2. *Dam Safety Institutional Strengthening* 3. *Incidental Revenue Generation for sustainable operation and maintenance of dams* 4. Project Management. The Project is proposed to be implemented in West Bengal for overall outlay of 345Cr.
2. As part of Project implementation, it is required to engage with multiple and varied set of stakeholders for different activities under the Project components. The Project Environment and Social risk category is assessed as ‘High Risk’ while the Stakeholders risk is categorized as ‘Low’. As the list of Dams where Project is proposed to be implemented and the type, nature and profile of Stakeholders may vary at each dam site, this document, Stakeholder Engagement Framework (SEF) is prepared to provide the framework for preparation of Stakeholder Engagement Plans (SEPs) by each Implementing Agency.
3. This SEF, outlines the general principles and collaborative strategy to identify stakeholders for all components under the Project, identify appropriate modes of engagement and prepare plans for engagement and meaningful consultation throughout the project cycle while ensuring transparency. The goal of this SEF is to improve and facilitate decision making and create an atmosphere of understanding that actively involves project-affected people and other stakeholders in a timely manner and that these groups are provided sufficient opportunity to voice their opinions and concerns.
4. The “Stakeholder Engagement Plan” (SEP), prepared based on the Stakeholder Engagement Framework will form part of ESMP, in accordance with the safeguard compliance requirements (ESS-10) of Environmental and Social Framework (ESF), 2016 of the World Bank. The framework provides for SEP to take in to account the existing institutional and regulatory framework within the context of GoI and States legal instruments as well as the safeguard compliance requirements of Environmental and Social Framework (ESF), 2016 of the World Bank. SEF and SEP are dynamic documents and shall be updated at various stages of project life cycle. Updation and inclusion of new stakeholder will be done as a continued process.
5. This SEF outlines the process of identification of stakeholders duly considering all stakeholders relevant to the overall Project including its components and sub-components. The stakeholders include those currently associated with the Project and those who will be associated with the Project at a later stage during implementation. Stakeholders are identified and categorized into: i) project affected parties, ii) other interested parties and iii) disadvantaged and vulnerable groups. The framework provides for systematic consultation with all those inter-project beneficiaries, project affected people, women, vulnerable and poor members of the community and other stakeholders to understand their interests and influence over the project.
6. While preparing this SEF, process and outcomes of earlier consultations held during DRIP-I including for additional financing under DRIP-I were considered. In ongoing DRIP-I, 41 stakeholder consultation meetings were done in Karnataka, Kerala, Tamilnadu, Jharkhand and Madhya Pradesh, to disseminate the prepared Emergency Action Plans. The Consultations were also held with stakeholders at 10 dam sites from Rajasthan and Manipur during Jan – Feb 2020, as part of ESDD preparation. The stakeholders included local community representatives as well as government departments, IA staff, media, elected members etc. Focus group discussions were conducted with a

cross-section of men and women in the communities.

7. These consultations mainly acted as a forum to inform stakeholders about the Project and also to elicit their opinion on the proposed works relating to dam safety. Issues relating to Project components; legacy social issues, role of the community, grievance redress etc., were discussed. The stakeholders were appreciative of the interventions and expressed their concurrence, as any strengthening work on the dam will only help them - dam being their lifeline over the last several years. Stakeholders wanted to have continued consultation meetings during Project preparation and implementation. Additional outcomes included–requirement of Stakeholder Coordination mechanism to ensure smooth implementation of the DRIP II, proper follow-up and efficient coordination of the stakeholders needs to be in place. The SPMU shall prepare and disclose early in the project period stakeholder engagement plans, which shall be updated on a periodic basis, as needed. A Project level applicable ESMF containing RPF and GBV action plan will be developed before Appraisal. The RPF will govern economic/physical displacement issues arising in the project. Additional provisions have been recommended for improved communications with the locals. Contractors shall be encouraged to give greater preference to local labor in providing work opportunities.
8. The SEF mandates preparations of SEPs to provide for dissemination of a variety of information, the mechanism for sharing to build relationships with stakeholders, gather information from stakeholders, consult with stakeholders, and disseminate Project information to stakeholders and the rationale for selecting an appropriate process, culturally appropriate mechanism and the purpose for engaging with a stakeholder group. The SEF also discusses the process, method and timing of disclosures of different project related documents in entire project life cycle such as SEP and other documents like ESDD/ESIA, ESMF including RPF, ESMP etc. The departmental website <https://www.wbiwd.gov.in> will be used to disclose and disseminate various Project related ES as well as other technical and non-technical information periodically. The site shall provide details about the Grievance Redress Mechanism and contact details as well. Irrigation & Waterways Department, WB will update and maintain the website regularly.
9. As per the SEF, E&S officer shall be responsible for implementation arrangements, at the SPMU for implementation, updation and record keeping of the stakeholder engagements as per the timeline and process mentioned in SEPs. Monitoring is an essential component for the success and timely implementation of the ongoing stakeholder engagement process to ensure that consultation and disclosure efforts are effective, and that stakeholders have been meaningfully consulted throughout the process. The ESMU team with assistance from NGOs/CBOs will ensure that messages are being conveyed clearly during consultations and debriefing sessions are conducted with the engagement team while in the field and help to assess outcomes and provide the opportunity to amend the process where necessary.
10. SEPs shall include provisions for quarterly summaries and internal reports on stakeholder engagement events, besides grievance redressal status. A number of Key Performance Indicators (KPIs) shall also be included in SEPs and shall be monitored by the PMUs on a regular basis. Information on public engagement activities undertaken by the Project during the year shall be conveyed to the stakeholders through online publication of a SEP Implementation report annually. This shall be informed to all stakeholders including World Bank.
11. A periodic training on SEP to concerned officials and stakeholders is proposed. SEF outlines for provisioning of budgets as part of SEPs for conducting Stakeholder engagements and associated tasks.

1.0 PROJECT DESCRIPTION–DRIP II

1. India has more than 5400 large dams with a storage capacity of about 300 billion cubic meters which are crucial for water security and India’s continued economic growth and poverty reduction. The Government of India (GoI) initiated Dam Rehabilitation and Improvement Project (DRIP)¹ to improve structural and operational safety of selected dams and undertaken support from World Bank for DRIP-I project for about 223 dams’ rehabilitation which is under implementation since 2010. The Project aims to rehabilitate and improve dams and associated appurtenances and to strengthen institutions. GOI has proposed to expand the reach of DRIP by bringing in additional States and dams. The proposed Dam Rehabilitation and Improvement Project phase-II (DRIP–II) would continue to invest in structural improvements but gives much greater emphasis to establishing sustainable mechanisms for financing regular Operations and Maintenance (O&M) and dam rehabilitation and to enhancing State capabilities to manage these critical assets through institutional strengthening and reform measures. The project development objective (PDO) is to increase the safety of selected dams and to strengthen institutional capacity for dam safety in participating States. The project components are as follows:

- **Component 1: Rehabilitation and Improvement of Dams and Associated Appurtenances:** This component aims to reduce the likelihood and consequences of dam failure by improving dam safety planning, management and rehabilitation in selected dams. This component will support both structural and non-structural interventions.
- **Component 2: Dam Safety Institutional Strengthening:** This component aims to strengthen the capacities and institutional framework for dam owners, operators, agencies that have oversight of dam safety, and policy makers to identify and address dam safety risks. The component will support various activities to modernize institutions for dam safety.
- **Component 3: Incidental Revenue Generation for sustainable O&M of dams:** This component aims to increase the financing available for periodic dam safety needs and regular O&M.
- **Component 4: Project Management:** This component will ensure effective implementation of project activities and monitoring and evaluating project implementation progress, outputs and outcomes.

2. The DRIP II (Project) is likely to cover 300 dams across 18 States – Andhra Pradesh, Bihar, Chhattisgarh, Goa, Gujarat, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Odisha, Punjab, Rajasthan, Tamil Nadu, Telangana, Uttarakhand, Uttar Pradesh and West Bengal and three central agencies (Central Water Commission, Bhakra Beas Management Board and Damodar Valley Corporation). As shown in the figure below, the number of dams varies across the States, with Rajasthan and West Bengal having the most under the project and BBMB, Goa and Manipur having the least.

¹ref.www.damsafety.in



2.0 PURPOSE OF STAKEHOLDER ENGAGEMENT FRAMEWORK

3. The project is expected to cover 300 dams that are spread across 18 States and are managed by 25 Implementing Agencies (IAs). However, at Appraisal stage, Manipur Water Resources Department (WRD), Rajasthan WRD, CWC, BBMB; Chhattisgarh WRD; Gujarat WRD; Karnataka WRD; Kerala WRD; Kerala State Electricity Board (KSEB); Madhya Pradesh WRD; Maharashtra WRD; Meghalaya Power Generation Corporation Limited (MePGCL); Odisha WRD; Tamil Nadu WRD and Tamil Nadu Generation and Distribution Corporation Limited (TANGEDCO), Uttar Pradesh Irrigation Department, Punjab Irrigation Department are in the advanced stages of readiness. Andhra Pradesh WRD, Telangana WRD, DVC, UJVNL, KPCL, Goa WRD, Jharkhand WRD, West Bengal I&WD are also on board of DRIP Phase II, once meet the readiness criteria are expected to join the Project during Project implementation. Additionally, Central Water Commission – Central PMU shall be ready to participate in the Project with various consultancy services contracts towards Engineering and Management consultancies for helping the States with review of rehabilitation designs, etc; setting up of a monitoring and evaluation system; and establishment of a Quality Assurance and Quality Control system that is based on proportionate risk. Hence a Stakeholder Engagement Framework is being developed to guide all States to understand the requirements and develop Stakeholder Engagement Plans (See Annexure 1 for outline of a SEP).
4. Project is required to engage with multiple and varied set of stakeholders for different activities under the project components. The Project E&S risk category is assessed as 'High Risk' while the Stakeholders risk is categorized as 'Low'². This document, Stakeholder Engagement Framework (SEF) forms part of the environmental and social assessment documentation.

²Ref Project Appraisal Document, March 2020

5. This SEF, outlines the general principles and collaborative strategy to identify stakeholders for all components under the Project, identify appropriate modes of engagement and prepare plans for engagement and meaningful consultation throughout the project cycle while ensuring transparency. The goal of this SEF is to improve and facilitate decision making and create an atmosphere of understanding that actively involves project-affected people and other stakeholders in a timely manner and that these groups are provided sufficient opportunity to voice their opinions and concerns that may influence Project decisions.
6. The SEF attempts to define a technically and culturally appropriate approach to consultation and disclosure regarding the Project. This SEF provides an overview of what information about the Project, its components, various documents and communications prepared will be in the public domain, in what languages and where they will be located. It further explains, in general, the opportunities for public consultation and explains how stakeholders will be notified of new information or opportunities for comments/ suggestions and how comments/ suggestions will be assessed and considered. It also describes the Project’s grievance mechanism and how to access this mechanism and how grievances will be managed. Nature and scope of stakeholder engagement would be proportionate to the nature and scale of the Project and its potential risks and impacts.
7. The key aspects of the SEF can be summarized as follows:
 - Understand the stakeholder engagement requirements of Borrower and World Bank;
 - Provide guidance for stakeholder engagement such that it meets the standards of good International Practice;
 - Identify key stakeholders that are affected, and/ or able to influence the Project and its activities;
 - Identify the vulnerable and disadvantaged in the context of major dam rehabilitation activities and propose actions for their engagement during project implementation
 - Identify the most effective methods, timing and structures through which to share project information and to ensure regular, accessible, transparent and appropriate consultation;
 - Ascertain views of different stakeholders on how they would like to be engaged during the Project implementation;
 - Develop a stakeholders’ engagement process that provides stakeholders with an opportunity to influence Project planning and design;
 - Identify and remove barriers for participation of vulnerable and disadvantaged groups/individuals;
 - Establish formal grievance redressal mechanisms;
 - Define roles and responsibilities for the implementation of the SEF, including training;
 - Define reporting and monitoring measures to ensure the effectiveness of the SEF and periodical reviews of the SEF based on findings.
 - Provide for allocation of budgets for effective implementation of SEPs
8. The responsibilities between the Borrower and World Bank in the context of Stakeholder Engagement Framework are:
 - The Borrower is responsible for carrying out stakeholder engagement, including stakeholder analysis and mapping.
 - The World Bank team advises the Borrower on what is needed to achieve good practice and consistency with ESS10.

3.0 LEGAL REGULATORY FRAMEWORK AND WORLD BANK REQUIREMENTS

9. This SEF takes into account the existing institutional and regulatory framework within the context of the National and State legal instruments as well as the safeguard compliance requirements of Environmental and Social Framework(ESF), 2016 of the World Bank as mentioned below:

- The Environmental Impact Assessment Notification(EIA), 2006 (including all amendments to date), notified by MoEFCC, GoI
- Dam safety assessments of all dams as per the Guidelines for Assessing and Managing Risks Associated with Dams (CWC,February2019)
- The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013
- The Right to Information Act 2005
- ESS10: Stakeholder Engagement and Information Disclosure, ESF 2016, World Bank

10. The Environmental Protection Laws mentioned above establishes the right of citizens to live in a favorable environment and to be protected from negative environmental impacts. Citizens also have the right to environmental information as well as to participate in developing, adopting and implementing decisions related to environmental impacts. The provisions of environmental law provide the assurances for public hearing during the process of project planning and also ensure the public discussion during implementations. Public representative bodies have an obligation to take into consideration citizens' comments and suggestions. In the context of involuntary resettlement³, the Land Acquisition Act, 2013 maintains the ethos and culture of public participation through social impact assessment. The Right to Information Act, 2005 provides for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority. The ESS-10, Stakeholder engagement and information disclosure mandates stakeholder engagement is an inclusive process conducted throughout the project lifecycle.

11. The World Bank's Environmental and Social Framework (ESF)'s Environmental and Social Standard (ESS) 10, "Stakeholder Engagement and Information Disclosure", recognizes "the importance of open and transparent engagement between the Borrower and project stakeholders as an essential element of good international practice" (World Bank, 2017: 97). Specifically, the requirements set out by ESS10 are the following:

- "Borrowers will engage with stakeholders throughout the project lifecycle, commencing such engagement as early as possible in the project development process and in a time frame that enables meaningful consultations with stakeholders on project design. The nature, scope and frequency of stakeholder engagement will be proportionate to the nature and scale of the project and its potential risks and impacts.
- The Borrower will maintain and disclose as part of the environmental and social assessment, a documented record of stakeholder engagement, including description of the stakeholders consulted, a summary of the feedback received and a brief explanation of how the feedback was taken into account, or the reasons why it was not."(World Bank, 2017:98).

³Not envisaged within the project interventions in the first 10 dams.

12. In summary, the project comprises of infrastructure rehabilitation and institutional development including reform aspects that involves a range of stakeholders. At this stage of preparation, structural interventions are the focus including additional revenue generation (tourism) as pilot cases etc. Therefore, stakeholders such as affected communities; disadvantaged and vulnerable communities and other interested parties will be identified and addressed as part of preparation activities for structural interventions. However, the Project also envisages Non-structural interventions such as development of (a) dam safety assessments and their recommendations (will be completed during preparation of the project), (b) Emergency Action Plans⁴ (will take 18-24 months for preparation and will be implemented subsequently). Stakeholders shall be consulted while preparing the EAPs, updating the EAPs and while testing the APs⁵. Accordingly, such stakeholders (such as - all Central & State disaster agencies, d/s public, dam owners, stakeholders involved with relief and rescue operations and representatives from National Disaster Management Authority, State Disaster Management Authority, India Meteorological Department, State Health, Fire, Police, Revenue and Road Departments and Railways) shall be involved in the project activities at a later date. Thus, it implies, stakeholder engagement plans at such locations would need to be updated when the draft EAPs are under formulation and finalization.

4.0 STAKEHOLDER IDENTIFICATION IN DRIP-II

13. Identification of Stakeholders by the IA is the first step of preparing a Stakeholder Engagement Plan. At the outset, the stakeholders by category⁶ shall be identified as –

- ***Project Affected Parties:*** those likely to be affected by the project because of actual impacts or potential risks to their physical environment, health, security, cultural practices, well-being, or livelihoods. These stakeholders may include individuals or groups, including local communities.
- ***Other Interested Parties:*** The term “other interested parties” refers to individuals, groups, or organizations with an interest in the project, which may be because of the project location, its characteristics, its impacts, or matters related to public interest.
- ***Disadvantaged or vulnerable and identified individuals or groups:*** refers to disadvantaged or vulnerable refers to those who may be more likely to be adversely affected by the Project impacts and/or more limited than others in their ability to take advantage of the Project’s benefits. Such an individual/group that may be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so e.g. old age persons, minors, mentally or physically challenged, illiterate etc.

⁴The Dam Safety Bill requires that owners of specified dams will, while preparing and updating emergency action plans, consult with all disaster management agencies and other concerned departments entrusted with disaster management and relief in the area likely to be affected. Owners of other dams in the immediate vicinity likely to be affected will also be consulted so as to bring transparency and allay any unwarranted fear on dam safety issues.

⁵Guidelines for Developing Emergency Action Plans for Dams, CWC, Feb 2016

⁶As per definitions laid down in ESS10 and GN

14. Stakeholder identification process helps to achieve a good understanding of the stakeholders and their concerns; understand the impacts, the Project could have on stakeholders and the influence stakeholders could have on Project preparation and implementation (including improving design, also including delaying implementation or undermining success)
15. As identification of stakeholders needs to go beyond those affected by the infrastructure works, following approach should be taken:
 - Thorough review of the Project documentation i.e. proposed rehabilitation works to understand the nature and scope of structural interventions (civil works), additional revenue generation works (tourism, floating solar, water recreation activities) in few pilot projects. Based on the understanding of the components, relevant stakeholders shall be identified in discussion with CPMU, SPMU DRIP II and other institutional stakeholders;
 - Carry out social screening: ESDD/ ESIA consultations with all types of stakeholder shall be carried out to both identify and plan for measures proportionate to the nature and scale of the Project and its potential risks and impacts.
 - Conduct meaningful consultations and focus group discussions jointly by ESDD/ESIA consultant team comprising community development or communication specialists, conduct consultations with secondary stakeholders, local community-based organizations (CBOs) and community representatives as well as government departments etc.
 - Based on findings of the ESDDs, specific additional measures may be outlined in SEP regarding identification, engagement and consultations in respect of affected tribal population. These could include measures taken to identify communities which are distinct social and cultural groups and propose culturally appropriate consultations which are free of manipulation, interference, coercion, discrimination and intimidation. The measures shall duly consider any specific needs of groups that may be differentially or disproportionately affected by the Project or groups of the population with specific information needs. SEP shall factor in additional feedback time from such engagement/ consultations. In case of FPIC is required independent specialists and tribal leaders will be engaged in reaching FPIC.
 - The consultations shall focus on: inclusiveness in participation of community members, perceptions and concerns about the positive and negative social impacts of the Project, including impacts on land and structures. Separate individual interviews shall be held with disadvantaged and vulnerable members of the community to disseminate information about the Project and to understand their views about the Project. Women at select locations shall also be consulted on their interest in ensuing livelihood activities, concerns on GBV etc.
 - Based on the review, interactions with CPMU, SPMU and consultations with both primary and institutional stakeholders, a list of stakeholders shall be developed. These stakeholders shall be categorized into three categories—Project Affected Parties; Other interested Parties and Disadvantaged and Vulnerable groups.
 - Based on the ESDD of 10 dams and review of all the Project components, indicative (but not exhaustive) stakeholders could be as follows:
 - ❖ **Affected parties** i.e. persons experiencing adverse social impacts on land, assets, common property resources including non-title holders (squatters/encroachers),

besides those experiencing temporary impacts due to construction or due to loss of access, etc.;

- ❖ **Other interested stakeholders:** Segregating the stakeholders by structural and non-structural measures, these would be potential contractors, Project Management consultants, either regulatory bodies/ institutional stakeholders such as Revenue, Environmental Authorities, etc. In relation to non-structural interventions such as EAP (a document that needs to be both disseminated and consulted upon to elicit feedback), these would include: communities living downstream including farmers; fishing contractors; village heads (Pradhan), community leaders; district administration; police, state disaster management authority, revenue department; electronic and print media, etc.
- ❖ **Disadvantaged and vulnerable persons** and groups would include Illiterate persons, physically challenged, women and elderly.

16. In addition, where required, census and household surveys shall be conducted for the affected households to identify the Project affected parties/stakeholders (not envisaged at this stage). Such surveys, consultations and FGDs will also help to identify disadvantaged and vulnerable groups residing in and around the Project areas.

17. Currently, as the project is in early stages, other stakeholders such as PMC, Civil Works Contractors, institutional specialists etc. shall be made part of the SEP as and when they are engaged. Both SEF and SEP are dynamic documents and shall be updated during Project implementation based on requirements.

5.0 STAKEHOLDER ENGAGEMENT

18. The stakeholder engagement is an on-going process, throughout the following stages of the Project Planning/ design (including disclosure); Implementation (Construction) phase; Operation/ Maintenance phase. The SEP shall contain actions proposed by stage, by type of stakeholders, frequency of engagement and modes of information disclosure and engagement during the overall Project cycle, for the proposed 4 components (including sub projects) of the Project (See **Table 1**).

Table1: DRIP II–Information dissemination and modes of disclosure and engagement for consultation				
Target stakeholders⁷	Information to be disclosed	Tools of engagement & mode of disclosure	Frequency	Responsibilities
Component 1: Modernizing and Strengthening Institutions for Dam Safety				
a. IA stakeholders (CPMU, CWC, SPMUs, CDSO,SDSO) b. Training/CB agencies c. NGOs/CSOs d. Consultants(ESDD/ESIA Consultants)	<ul style="list-style-type: none"> ✓ Project Scope ✓ Project initial findings ✓ Grievance mechanisms ✓ Project Scope and features ✓ Job descriptions ✓ Dam safety guidelines ✓ ESF requirements 	<ul style="list-style-type: none"> ✓ Consultative meetings ✓ Feedback surveys ✓ Website notifications ✓ Classroom trainings ✓ Workshops 	<ul style="list-style-type: none"> ✓ Multiple ✓ Continuous 	CPMU PMUs & concerned IA (SE)
Component 2: Risk – informed Asset Management and Sustainable Financing				
a. IA stakeholders (MoJS, CWC, CPMU, SPMUs, State finance department, State tourism department) b. Financial institutions c. NGOs/CSOs/SHGs d. Print and Electronic Media e. Consultants(ESDD/ESIA Consultants)	<ul style="list-style-type: none"> ✓ Project Scope ✓ proposed revenue augmentation approaches ✓ PPP models ✓ Revenue models and user preferences studies ✓ Trainings ✓ Grievance mechanisms ✓ Model contract documents for maintenance works by SHGs ✓ Advertisement calling for EOI/RFPs 	<ul style="list-style-type: none"> ✓ Consultative meetings ✓ Feedback surveys ✓ Focus Groups discussions (e.g. User charges acceptability) ✓ News paper advertisements, websites notification 	<ul style="list-style-type: none"> ✓ Multiple 	<ul style="list-style-type: none"> ✓ CPMU ✓ SPMU concerned IA(SE)
Component 3: Dam Safety Planning, Management and Rehabilitation				
a. IA stakeholders (CWC, Dam safety engineers, District Administration, Forest Department, PWD, Tourism and Rural Development Departments, Labor department) b. Contractors c. Consultants(ESDD/ESIA Consultants) d. Citizens(affected/other interested)	<ul style="list-style-type: none"> ✓ Project Scope ✓ Proposed rehabilitation measures ✓ Timing of works ✓ Project safeguards ✓ GBV ✓ Grievance mechanisms ✓ O&M manuals ✓ Emergency Action Plans, early 	<ul style="list-style-type: none"> ✓ Consultative meetings ✓ Feedback surveys ✓ Website notifications ✓ Siren systems ✓ Whatsapp notifications or SMS alerts ✓ Meetings to inform Village heads or community representatives 	<ul style="list-style-type: none"> ✓ Multiple ✓ Continuous 	<ul style="list-style-type: none"> ✓ CPMU ✓ SPMU concerned IA(SE)

⁷Indicative and not exhaustive. The Dam sp SEP shall contain exhaustive list.

Table 1: DRIP II–Information dissemination and modes of disclosure and engagement for consultation				
Target stakeholders⁷	Information to be disclosed	Tools of engagement & mode of disclosure	Frequency	Responsibilities
In the dam vicinity and en-route transport corridors e.g. NGOs/CSOs	<ul style="list-style-type: none"> Flood warning systems ✓ Work opportunities ✓ Labor management procedures ✓ Bid documents including relevant provisions for ESHS and GBV/SEA 			
Component 4: Project Management				
<ul style="list-style-type: none"> a. IA stakeholders(CPMU,SPMU b. Experts (Environmental, Social and Safety Experts in the operations, Experts in relevant fields and research institutions) c. Consultants(EMC) 	<ul style="list-style-type: none"> ✓ Project Scope ✓ Proposed interventions ✓ Trainings ✓ Grievance mechanisms 	<ul style="list-style-type: none"> ✓ Consultative meetings ✓ Feedback surveys ✓ Website notifications 	<ul style="list-style-type: none"> ✓ Multiple ✓ Continuous 	<ul style="list-style-type: none"> ✓ CPMU ✓ SPMU

6.0 APPROACH TO INFORMATION DISCLOSURE

19. The DRIP website (<https://www.damsafety.in>) operated by Central Water Commission and websites of Project IAs will be used to disclose Project documents, including those on environmental and social performance. In particular, the Dam Safety website has been disseminating extensive information on DRIP I and as such is already well known to majority of stakeholder groups. As of date, the 10 ESDDs have been disclosed on the site, which will be followed by this SEF and SEPs. Besides the draft disclosure documents (and the final documents in future), project brochures and updates will be posted. In addition, the site shall provide details about the Grievance Redress Mechanism and contact details. CPMU–DRIP II shall update and maintain the website regularly.
20. Other opportunities for information disclosure and dissemination shall be utilized as well, which may include - consultation platforms, working groups, workshops, seminars, conferences, focus groups etc.
21. Drafts of ESCP, SEF shall be disclosed as early as possible in the project cycle. Other frame work documents (ESMF including RPF, TDF, GBV Risk mitigation framework) and plans (as relevant) and subsequently relevant plans such ESMP, LMP, GBV action plan, Tribal management plan (if required), Bio diversity Action Plan, etc. shall be disclosed prior to issuance of bids if required to be included in the bids or before commencement of works. Various Project technical documents such as DPRs, monitoring and evaluation reports, safety procedures, checklists for inspection of dams, manuals for maintenance, guidelines for assessing and managing risks associated with dams etc., will be disclosed through www.wbiwd.gov.in. Executive summaries of ESMF, SEF shall be made available in local language spoken and understood in the project sites as well. The SPMUs shall make arrangements to make available these executive summaries in respective local languages as well.

7.0 TIMELINES FOR DISCLOSURE AND FEEDBACK

22. CPMU and SPMUs – DRIP II shall invite feedback and suggestions. **Table 2** below presents suggested template to be followed in SEP preparation for modes and timelines to convey response.

Table 2: Disclosure, feedback and timelines				
Disclosure of information/documents	Mode of providing feedback	Timeline for feedback (days/ months)	Conveying of responses by CPMU/SPMU	
			No. of days	Mode
Component 1 :Rehabilitation and Improvement of Dams and Associated Appurtenances				
Draft ESMF	✓ Email id/website	60	Within 7 Days of End of feedback period	Website notification
Draft ESDDs/ESIAs; draft	✓ Email id/website	30		

Table 2: Disclosure, feedback and timelines				
Disclosure of information/documents	Mode of providing feedback	Timeline for feedback (days/months)	Conveying of responses by CPMU/SPMU	
			No. of days	Mode
ESMPs including Bio-diversity Action Plan, RAP, TDP, LMP, GBV plans, SEP)				
Executive Summaries of SEF, ESMF in local languages	✓ Email id/website	60	Within 7days of end of feedback period	Website notification
Emergency Action Plan-Draft	✓ Email id/website	60	Within 7days of end of feedback period	Website notification; village meetings;
Manuals for maintenance	✓ Email id/website	120	Within 30 days of end of feedback period	Website notification
Advertisement for contracting of NGO for RAP implementation (for dams involving resettlement works)	✓ Written proposals	120days	Within 7days of end of feedback period	Contract
Grievances redressal Mechanism	✓ Phone number; website/ Email id	NA	45-60	Phone, Email
Component 2: Dam Safety Institutional Strengthening				
Draft dam safety guidelines	<ul style="list-style-type: none"> ✓ Conferences, websites ✓ Consultative meetings 	90-120 days after publication	Within 30 days of end of feedback period	Website
Checklists and procedures for inspection of dams and dam Safety	✓ Consultative meetings	90-120days	Within 30 days of end of feedback period	Website
Systematic and structured training develop education and communication capacity to raise awareness on dam Safety issues	<ul style="list-style-type: none"> ✓ Feedback surveys ✓ Classroom trainings ✓ Workshops 	Continuous	NA	NA
Asset Management Plans	✓ DHARMA Trainings	45days	Official feedback	Official feedback

Table 2: Disclosure, feedback and timelines				
Disclosure of information/documents	Mode of providing feedback	Timeline for feedback (days/months)	Conveying of responses by CPMU/SPMU	
			No. of days	Mode
			reports within 30days	reports within 15days
Annual Dam Safety Conferences and Workshops	✓ Conference Feedback survey	50days	Within four weeks	Within two weeks
Component 3: Incidental Revenue Generation for sustainable operation and maintenance of dams				
DPRs	Email/website	60days	Within30 days	IA Website
Studies on potential sources of financing (PPP models; Revenue models ✓ User preferences studies	Email/website	30-60days	Within 15days of end of feedback period	IA Website
Advertisement/Notifications inviting fishing contractors/tourism players/operators and Women led SHGs	Applications written to IA	1month	30days	Response to interested parties on IA website
Advertisement/Notifications inviting Women led SHGs for participation in tourism related activities, etc.	Applications written to IA	1month	30days	Response to interested parties on IA website
Component 4: Project Management				
Procurement of Engineering and Management Consultant (EMC),	Written proposals	120 days	Within 7days of end of feedback period	Contract

23. All documents (ESDD/ESIA, ESMP, SEF, and SEP) of this project shall be uploaded to GoWB website(<https://www.wbiwd.gov.in>).

8.0 IMPLEMENTATION ARRANGEMENTS

24. The Project Directors (PD) at CPMU and SPMUs are responsible for the day to day functions of the Project and provide oversight to the implementation arrangements for developing and implementing dam specific SEPs. Dam specific SEPs in case of high and substantial risk projects shall be prepared by works DPRs are approved for respective Dams. SEPs shall be

included under ESDDs in case of moderate and low risk Projects.

25. At the national level within CPMU, the DRIP – II shall have designated nodal officers for Environment and Social Management supported by E&S specialists from EMC, with Project Director as the head of this unit. These officials shall be responsible to monitor the management of E&S issues by IAs including the conducting of Annual Audits as proposed in the ESMF. At the State level, SPMU and the specific dam authority shall be responsible for the management, coordination and implementation of the SEP and its integral tasks. The roles and responsibilities of the organizations are presented below
26. The key tasks of Nodal Officials in CPMU, with support from E&S specialists from EMC under the Project Director are inter alia to:
 - Approve the content of the draft SEP (and any further revisions);
 - Approve prior to release, all materials used to provide information associated with the ESDD/ESIA (such as introductory letters, question and answer sheets, Power Point materials, posters, leaflets and brochures explaining DRIP-II and ESDD/ESIA process);
 - Approve and facilitate all stakeholder engagement events and disclosure of material to support stakeholder engagement events;
 - Participate either themselves, or identify a suitable member representative, during all face-to face stakeholder meetings
 - Review and sign-off minutes of all engagement events; and
 - Maintain the stakeholder database.
27. Implementing Agency may decide to adopt the below outlined structure according its needs. It is emphasized that the various positions listed hereunder should be represented in the organizational structure of implementing agency in order to successfully implement the SEP.
28. Project Manager (PM) i.e. Superintending Engineer or the Executive Engineer at the Dam authority shall be responsible for overseeing and coordinating all activities associated with stakeholder engagement and management. PM shall be responsible to sustain relationships and communicate with Government entities and the media. These engagements shall be required throughout the Project's life and decisions taken as a result of these engagements could potentially impact implementing agencies' relationships with communities.
29. SPMU/CPMU, with support from E&S specialists from EMC will be responsible for implementing community engagement activities; and shall oversee all planned stakeholder engagement activities or in process of being implemented. Furthermore, these specialist(s) need to ensure that all stakeholder engagement aspects are permanent item agenda at all meetings, within implementing agency and that all actions arising from management decisions are duly implemented. The broad responsibilities of social and environmental specialists include the following:
 - Develop, implement and monitor all stakeholder engagement strategies/ plans for the Project/ESDD/ESIA;
 - Oversee all stakeholder engagement related activities for the Project;
 - Manage the grievance mechanism;
 - Interact with related and complementary support activities that require ad hoc or intensive stakeholder engagement (community development and land acquisition/ resettlement planning and implementation);
 - Act as mediator between implementing agency and stakeholders;

- Liaise with project manager to ensure that stakeholder engagement requirements/ protocols are understood; and
 - Proactively identify stakeholders, project risks and opportunities and inform the PM/ senior management to ensure that the necessary planning can be done to either mitigate risk or exploit opportunities.
30. Implementing agencies shall, as part of the respective Stakeholder Engagement Plan shall provide Contact information if people have comments or questions about the project or engagement. The contact information shall contain, at the minimum – name, designation, address for correspondence, email address, phone number.
31. All – inclusive budget provision for development and implementation of stakeholder engagement plan during the project life cycle shall be furnished as part of SEP. As dam list is yet to be finalized a template for providing the budgets and resources are provided herein. These shall be revised once more information is available.

Table 3: Financial resources for implementation of SEP (template)						
S.No.	Activities	Quantity	Unit	Unit cost	Across Years	Total costs in Rs.
Pre Project implementation phase						
1	Formal consultation meetings on dam site or district HQ relevant for EAP preparation		Per meeting			
2	Travel expenses for E&S staff		Per visit			
3	Meetings with Departments (forest, revenue, district administration); Site visits		per visit			
4	Preparation & dissemination of Communication material					
i)	Entitlement Brochures		no.			
ii)	Safety signboards		no.			
iii)	Flyers - Project information & GRM details		no.			
5	Awareness generation meetings at sensitive areas & Contractor personnel		no.			
6	GRM MIS Database		Lump sum			
	TOTAL					
During project implementation						
1	Formal consultation meetings in On dam site or district HQ for EAP		LUM			

S.No.	Activities	Quantity	Unit	Unit cost	Across Years	Total costs in Rs.
	dissemination					
2	Travel expenses for E&S staff		LUM			
3	Meetings with Departments (forest, revenue, district administration, disaster management); Site visits for Environmental measures		LUM			
4	Preparation & dissemination of Communication material					
i)	Other Brochures		LUM			
5	Awareness generation meetings at sensitive areas & Contractor personnel		LUM			
6	GRM MIS Database		LUM			
	TOTAL					
	GRANDTOTAL					

9.0 GRIEVANCE REDRESSAL MECHANISM

32. A grievance redressal mechanism shall be developed for potential use by external stakeholders. The aim of the grievance redressal mechanism is to achieve mutually agreed resolution of grievances raised by such stakeholders. The grievance redressal mechanism described hereunder is distinct from the grievance redressal mechanism, to be used by the Project’s workforce. Key definitions are as follows:

- **Complaint:** an expression of dissatisfaction that is related to an impact caused by a project activity, which has affected an individual or group. Adversely, the interest of an individual or group and the individual or group wants a proponent or operator(or contractor) to address and resolve it (e.g. problems related to dust deposition, noise or vibration).A complaint is normally of a less serious nature than a grievance; and
- **Grievance:** a claim raised by an individual or group whose livelihood, health and safety, cultural norms and heritage are considered to have been adversely affected (harmed) by a project activity which, if not addressed effectively, may pose a risk to DRIP operations (through stakeholder actions such as access road blockages) and the livelihood, well-being or quality of life of the claimant(s).

33. A grievance redressal mechanism (GRM) to uphold the Project’s social and environmental safeguards performance is designed to address concerns and complaints promptly and transparently with no impacts (cost, discrimination) for any reports made by project affected people (PAPs). The grievance redress mechanisms described hereunder include both complaints and grievances (hereinafter referred to only as ‘grievances’). Grievances raised by stakeholders need to be managed through a transparent process, readily acceptable to all segments of affected communities and other stakeholders, at no cost and without retribution. The GRM works within existing legal and cultural frameworks, providing an additional

opportunity to resolve grievances at the local, project level. The key objectives of the GRM are:

- Record, categorize and prioritize the grievances;
- Settle the grievances via consultation with all stakeholders (and inform those stakeholders of the solutions)
- Forward any unresolved cases to the relevant authority.

34. The types of grievances stakeholders may raise include, but are not limited to:

- Non - payment, or inadequate compensation and/ or due R&R assistances; wrong measurement of parcel
- Construction related impacts – cracks, damages to structures; dust damaging crops/ trees
- Health and safety risks;
- Negative impacts on the environment;
- Negative impacts on communities, which may include, but not be limited to financial loss, physical harm and nuisance from construction or operational activities;
- Impacts arising from migrant labor on local communities

35. As the GRM works within existing legal and cultural frameworks, it is recognized that the GRM shall comprise project level and respective State level redress mechanisms. Most Project related grievances could be minor and site-specific. Most grievances are to be received directly on site by the designated site representative of SPMU that shall endeavor to resolve them satisfactorily on site. The designated site representative shall inform the SPMU of these complaints and their outcomes, and of others not satisfactorily resolved that the SPMU GRM nodal officer should take over. The SPMU nodal officer shall log these in the Complaints Register. The nodal officer shall, on receipt of each complaint, note the date, time, name and contact details of the complainant, and the nature of the complaint in the Complaints Register. The nodal officer shall inform the complainant of when to expect a response. S/he shall then endeavor to address it to the best of his/her abilities, as soon as possible. Should the nodal officer not be able to resolve the complaint to the satisfaction of the affected persons, he/she shall then refer the complaint directly to the DRIP – II Project Director (PD).

36. Complaints referred to the PD will require him/ her to take earnest action to resolve them at the earliest time possible. It would be desirable that the aggrieved party is consulted and be informed of the course of action being taken, and when a result may be expected. Reporting back to the complainant shall be undertaken within a period of two weeks from the date that the complaint was received. If the complaint is not resolved to the satisfaction of the aggrieved party, it shall then be referred to the State level Grievance Redressal Committee (SGRC). The SGRC shall address the grievance within 45 days.

37. Should measures taken by the SGRC, fail to satisfy the complainant, the aggrieved party is free to take his/her grievance to the Court of Law at his/her own cost, and the Court's decision will be final and shall be binding on all parties. It is vital that appropriate signage for GRM is erected at the sites of all works providing the public with updated Project information and summarizing the GRM process, including contact details of the relevant nodal officer. Anyone shall be able to lodge a complaint and the methods (forms, in person, telephone, forms written in Hindi/local language/English) should not inhibit registering any complaint.

38. The Complaints Register shall be maintained by the SPMU of the department, who will log the: i) details and nature of the complaint; ii) the complainant name and their contact details; iii) date; iv) corrective actions taken in response to the complaint. This information shall be included in the

Borrower implementing agencies progress reports to the World Bank. The project level process can only act within its appropriate level of authority and where appropriate, complaints shall be referred on to the relevant authority such as those indicated.

39. Grievance Redress Committee (GRC) shall be formed at each implementing agency level comprising of competent members, who can effectively contribute in grievance redressal. Cases not resolved at GRC level would be brought for arbitration. A time period of two months would be available for arbitration. In case at this level the dispute is also not resolved, the aggrieved person may take recourse to the civil court. An indicative list includes:
- District Social Welfare Officer
 - Executive Engineer, SPMU
 - NGO representative
 - PAP representative (one male and one female),and
 - Representative from Revenue Department (for cases related to land)
40. Details on contact information for grievances, inquiries, and further feedback shall be made available in each SEP in the following format:

Description	Contact details
Agency	
To:	
Address:	
E-mail:	
Website:	
Telephone:	

41. Notifications regarding constitution of committees by SPMU shall be done prior to project negotiations. Prior to commencement of construction, these details shall be notified by pasting notices at the prominent community locations in the downstream.
42. This framework encourages the Borrower/ implementation agency to take advantage of the existing GRMs, where available. Many States have been implementing State level, single sign-on electronic platforms⁸ for receiving, forwarding the grievances to relevant agencies and addressing grievances. The Project GRM shall be made connected to such existing GRMs to benefit from the accessibility and knowledge about such systems by the stakeholders who desire to approach them. The SEP shall take in to account the existing system’s ability to identify duplicate complaints received through more than one channel; and lack of connectivity between the common platform and the project level GRM. The SEP shall strive to propose a GRM platform that is functioning, and accessible to beneficiaries through a variety of channels.

⁸Spandanain Andhra Pradesh, Samparkin Rajasthan etc.

10.0 MONITORING AND REPORTING

43. It is important to monitor and evaluate the ongoing stakeholder engagement process and GRM to ensure that consultations, disclosure efforts and GRM functions are effective and those stakeholders have been meaningfully consulted throughout the process and are responded to through GRM process. This will facilitate to respond to identified issues and alter the schedule and nature of engagement activities to make them more effective. Adherence to the following characteristics/commitments/activities will assist in achieving successful engagement:
- Sufficient resources to undertake the engagement;
 - Inclusivity (inclusion of key groups) during interactions with stakeholders;
 - Promotion of stakeholder involvement;
 - Sense of trust in the implementing agency by all stakeholders;
 - Clearly defined approaches; and
 - Transparency in all activities.
44. The stakeholder engagement process shall make use of the various engagement tools such as:
- Stakeholder database
 - Issues and Response table
 - Meeting records of all consultations, workshops and trainings held
 - Grievances and resolutions database
 - Third party assessment of feedback on issues and resolutions to check efficacy of the system
 - Tool to extract and effectively engage with Project stakeholders who approach State level GRMs (eg. Sampark, Spandana etc)
45. Project Management consultants (PMC) engaged to provide institutional capacity and support to DRIP II - SPMU and CPMU, with overall project management and supervision responsibility including procurement, design, contract management shall oversee the overall implementation, monitoring, and reporting of safeguards aspects such ESMPs, LMP, GBV action plan, SEP and RAPs all of which include Stakeholder engagement requirement.
46. Quarterly reports on stakeholder engagement events, and grievance handling shall be collated by PMC staff and the outcomes shall be referred to the senior management of the Project(s). A number of Key Performance Indicators (KPIs) shall also be monitored by the project on a regular basis, including the following parameters by Component/sub-component:
- Number of public hearings, consultation meetings and other public discussions/ forums conducted within a reporting period (e.g. monthly, quarterly, or annually);
 - Number and types of IEC materials used
 - Number of project events published/ broadcasted in the local, regional media
 - Type and frequency of public engagement activities;
 - Geographical coverage of public engagement activities – number of locations and settlements covered by the consultation process, including the settlements in remote areas within the Project Area of Influence (PAI);
 - Number and type of grievances received within a reporting period (e.g. monthly, quarterly, or annually) and number of those resolved within the prescribed timeline;
 - % of sample, selected randomly from GRM database and surveyed for GRM performance satisfied with the process.

47. Information on public engagement activities undertaken by the Project during the year shall be conveyed to the stakeholders including World Bank through: online publication of a SEP Implementation report. Specifically, for disadvantaged and vulnerable groups, efforts shall be made to report back to them through focus group discussions and other means.

11.0 TRAINING

48. CWC, CPMU and SPMU together with World Bank shall arrange necessary training on stakeholder engagement. The training shall be organized by CWC/CPMU to train the trainers of respective SPMUs. The SPMUs in turn will organize training to concerned officials of the participating Dams. The SEP training shall include identification of stakeholders as well as the implementation of respective SEPs. The training shall be provided to the members of staff who, due to their professional duties, may be involved in interactions with the external public, as well as to the senior management. Specialized training shall also be provided to the staff appointed to deal with stakeholder grievances as per the existing Public Grievance Procedure and the project specific Grievance Redressal Mechanism. Project contractors and selected representatives shall also receive necessary instructions for the Grievance Procedure. An annual report on implementation of SEPs shall contain details of the periodical trainings held and future programmes. Further, specific sessions shall be included in “Annual Experience sharing workshop” on E&S implementation, to be organized by CWC to enable all participating states to share and learn from each other on stakeholder engagement issues. Each SEP will include a training calendar and budget in their respective SEPs.

Annexure 1 – Outline of Stakeholder Engagement Plan

1. Project Description
2. Nature of the proposed project interventions
 - a. Structural interventions
 - b. Non – structural interventions
 - c. Revenue generation (Tourism, Water recreation, floating solar)
3. Purpose of the Stakeholder Engagement Plan
4. Applicable legal and regulatory framework and World Bank ESF
5. Brief Summary of previous stakeholder Engagement activities
6. Stakeholder identification in X dam
7. Stakeholder Engagement and Project cycle
8. Timelines for Information disclosure and Feedback
9. Future phases of project
10. Implementation arrangements
11. Grievance redressal mechanism
12. Budget for implementation
13. Monitoring and Reporting (including Annual reporting back)
14. Training

Annexure2 – Summary table of consultations and surveys with stakeholders (affected persons/ other interested parties)

S. No	Date	Place	Type of Stakeholders	Number of Participants (M/F)

Annexure 3 – Brief summary of concerns/suggestions expressed by the different interest groups during consultations

Affected parties	Other interested parties	Vulnerable/Disadvantaged

Follow-up actions on concerns/suggestions: Further outcomes include: A Project level applicable ESMF containing RPF will be developed before Appraisal. The RPF will govern any economic/physical displacement issues arising out of the project. Additional provisions have been recommended for improved communications with the locals. Bid documents shall contain provisions for hiring local labor. GBV action plan will be included in ESMF. Other concerns/suggestions, not directly relevant to the Project are submitted to SPMUs for actions by concerned departments.