



Project Information Document (PID)

Concept Stage | Date Prepared/Updated: 07-Aug-2019 | Report No: PIDC27520



BASIC INFORMATION

A. Basic Project Data

Country India	Project ID P170873	Parent Project ID (if any)	Project Name Dam Rehabilitation and Improvement Project - 2 (P170873)
Region SOUTH ASIA	Estimated Appraisal Date Mar 12, 2020	Estimated Board Date Jun 24, 2020	Practice Area (Lead) Water
Financing Instrument Investment Project Financing	Borrower(s) Department of Economic Affairs, Ministry of Finance	Implementing Agency Government of Andhra Pradesh, Irrigation Department, Central Water Commission (CWC), Bhakra Beas Management Board (BBMB), Government of Chhatisgarh, Water Resources Department, Government of Goa, Water Resources Department, Government of Madhya Pradesh, Water Resources Department, Government of Telangana, Water Resources Department, Government of Kerala, Water Resource Department, Government of Meghalaya, Water Resources Department, Government of Odisha, Water Resources Department, Government of Bihar, Water Resources Department, Government of Gujarat, Water Resources Department, Government of Maharashtra, Water Resources Department, Government of Manipur, Water Resources Department, Government of Tamil Nadu, Water Resources Department, Ministry of Jal Shakti,	



Government of Uttar Pradesh, Water Resources Department, Government of Punjab, Water Resources Department, Government of Rajasthan, Water Resources Department, Government of West Bengal, Irrigation & Waterways Department

Proposed Development Objective(s)

The project development objective (PDO) is to improve dam safety and strengthen institutional capacity for enhanced operational performance of selected existing dams in participating states.

PROJECT FINANCING DATA (US\$, Millions)

SUMMARY

Total Project Cost	700.00
Total Financing	700.00
of which IBRD/IDA	500.00
Financing Gap	0.00

DETAILS

World Bank Group Financing

International Bank for Reconstruction and Development (IBRD)	500.00
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Non-World Bank Group Financing

Counterpart Funding	200.00
Borrower/Recipient	200.00

Environmental and Social Risk Classification
High

Concept Review Decision
Track II-The review did authorize the preparation to continue



Other Decision (as needed)

B. Introduction and Context

Country Context

1. India's growth remains robust but has moderated from prior high levels in the past fiscal year (FY18/19). After growing at 7.2 percent in FY17/18, economic growth slowed to 6.8 percent in FY 18/19, with quarterly growth falling to 5.8 percent (year-on-year) in Q4. Growth remains broad-based, but the impact of accelerating industrial growth was counterbalanced by decelerations in services and agriculture growth, on the production side. On the demand side, consumption has been bolstered by public spending, but investment growth has decelerated. In FY18/19, the current account deficit is estimated to have reached 2.6 percent of GDP but a strong rebound in foreign investment over the second half of the year allowed foreign reserves to remain at a comfortable level of US\$411.9 billion, as of end-March 2019 (equivalent to about 9.7 months of imports). Going forward, output growth is projected to recover and stabilize at around 7.5 percent, thanks primarily to resilient private consumption, but also to a rise in exports of goods and services and a gradual recovery in investment. The current account deficit is projected to narrow to 1.9 percent of GDP in FY19/20 but external headwinds—in the form of re-escalating trade tensions and elevated oil prices—could put pressure on the balance of payments.
2. Since the 2000s, India has made remarkable progress in reducing absolute poverty. Between FY2011/12 and 2015, poverty declined from 21.6 percent to an estimated 13.4 percent at the international poverty line (2011 PPP US\$ 1.90 per person per day), continuing the earlier trend of robust reduction in poverty. Aided by robust economic growth, more than 90 million people escaped extreme poverty and improved their living standards during this period. Despite this success, poverty remains widespread in India. In 2015, with the latest estimates, 176 million Indians were living in extreme poverty while 659 million, or half the population, were below the higher poverty line commonly used for lower middle-income countries (2011 PPP US\$ 3.20 per person per day). Recent trends in the construction sector and rural wages, a major source of employment for the poorer households, suggest that the pace of poverty eradication may have moderated.
3. Water security is key for India's continued economic growth and poverty reduction. India has 18 percent of the world's population, but only 4 percent of global renewable water resources within its territory. Parts of India are already considered water scarce. Rainfall is highly variable over space and time; it occurs mainly in intense and unpredictable downpours within short monsoon seasons of about four months (from June to September). Dams are an important part of the response to managing water under conditions of scarcity. They serve to capture and store surface runoff for productive purposes, including drinking and industrial water supply, irrigation and electricity, as well as improving flood management and moderating the negative impacts of droughts. The need for ensuring safe, secure storage takes on a greater urgency under a changing climate and projections of changes in the timing, magnitude and intensity of rainfall. It is widely acknowledged that India is already facing a water crisis, with rising water scarcity and increasing frequency and severity of drought and floods.



Sectoral and Institutional Context

4. Over the last 50 years, India has invested heavily in dams and related infrastructure. According to the International Commission on Large Dams (ICOLD), India with 5264 large dams¹ accounts for nearly 10% of the world's large dams registered with ICOLD, ranking third in terms of numbers after China and the United States.² The total storage capacity of these dams is just over 300 billion cubic meters. Most of the dams were constructed and are managed by State governments, in addition to a few federal agencies such as Damodar Valley Corporation (DVC) and Bhakra Beas Management Board (BBMB). The country also has thousands of medium and small dams. The Ministry of Jal Shakti through its technical arm, the Central Water Commission (CWC), is responsible for clearing dam designs (including hydrological assessments) at the time of construction, as well as providing limited oversight of dam safety during post construction / operation.
5. This extensive network of dams has been pivotal to achieving greater water security, and to bolstering agricultural growth and economic development. But the performance of dams is declining due to the aging of infrastructure (most dams are well over 25 years old; several hundred are more than 50 years old), backlog in maintenance, damaged structures, inadequate instrumentation and monitoring, deficient reservoir operation practices, and inadequate regulatory and operational safety measures. These factors have severely impaired the safety of dams, thereby posing significant public safety risks, which are compounded by rapidly expanding settlements downstream of the dams. To date, there have been 36 reported cases of dam failures in India; the worst one (in 1979 at Machu dam in Gujarat) resulted in the death of 2000 people and incalculable other damages.
6. The root causes of the poor condition of dam assets are a pervasive “build-neglect-rebuild” cycle characterized by deferred maintenance and premature deterioration, insufficient funds and lack of sustainable mechanisms to finance dam operations and maintenance (O&M) and safety measures, and inadequate capacity of dam engineers. Dam safety considerations during the operation phase have historically been weak, which has contributed to a weak institutional set-up for dam safety; a lack of coordination amongst the various agencies that are responsible for dam operations, which is particularly important for cascading dam systems; ad hoc and piecemeal investments in dam safety and O&M; and lack of adequate instrumentation and protocols for collecting, monitoring, analyzing and disseminating data on dam conditions that are required to guide safety measures.
7. Government of India (GoI) recognizes the need for a large-scale renovation of the country's dams, and since 2010 has been implementing the World Bank-supported Dam Rehabilitation and Improvement Project (DRIP-1) to begin to address dam safety concerns. DRIP-1 covers 223 dams in six States (Karnataka, Kerala, Madhya Pradesh, Odisha, Tamil Nadu and Uttarakhand) and under DVC. It is financing rehabilitation of dams and associated appurtenances and strengthening institutions. While a

¹ According to National Register for Large Dams (NRLD), 2018.

² The definition of a large dam in India is based on the International Commission on Large Dams (ICOLD) that defines a large dam to be more than 15 meters high, or more than 10 meters high and either: (i) more than 500 meters long; or (ii) having a reservoir volume of more than one million cubic meters; or (iii) having a maximum flood discharge greater than 2000 cubic meters; or (iv) with difficult or unusual features. Under the World Bank's Environmental and Social Framework, large dams are defined as those with a height between 5 meters and 15 meters and a reservoir capacity of more than 3 million cubic meters, in line with the current ICOLD constitution.



large part of project financing focuses on structural measures to improve dam safety, the project's non-structural measures and capacity building are central to realizing the project outcomes and long-term impact. These include measures to enhance the legal and institutional framework, developing Emergency Action Plans (EAPs) and standard operating procedures for use during seismic events, updating Operations and Maintenance (O&M) Manuals, establishing and strengthening Dam Safety Organizations (DSOs) in participating States, constituting multi-disciplinary Dam Safety Review Panels (DSRPs), developing national guidelines on various topics (e.g., instrumentation of large dams, developing EAPs), putting in place a system for dam-related asset inventory and management (Dam Health and Rehabilitation Monitoring Application, DHARMA), training nearly 4000 engineers, and conducting dam safety conferences to share national and international best practices.

8. The legal and regulatory framework for dam safety in India has historically been inadequate. Responsibilities for dam safety rest with the States / dam owners, with the Central government having some responsibility for oversight. To improve the enabling framework for ensuring the safety of dams and downstream communities, Gol has invested significant effort over the past couple of decades to introduce a more comprehensive and advanced legal framework commensurate with the requirements of the national portfolio. This includes the development of a National Dam Safety Bill that was passed by the Lok Sabha in August 2019.
9. Gol has approached the World Bank to expand the breadth and deepen the reach of its dam safety program by bringing in additional States and giving greater emphasis to sustainability, institutional strengthening, and long-term asset management. The proposed Dam Rehabilitation and Improvement Project – Phase 2 (DRIP-2) responds to this request. The formal Gol request was for DRIP Phases 2 and 3, over a period of 10 years and a total amount of US\$ 1.4 Billion, equally split between the two phases. It was agreed that DRIP-2 would initially be prepared and, based on progress, the timeline for processing DRIP-3 would be fixed. DRIP-2 builds on the lessons and successes of DRIP-1. The proposed project would continue to finance structural improvements but would break with the prevailing 'build-neglect-rebuild approach by giving greater emphasis to establishing sustainable mechanisms for financing regular O&M and dam rehabilitation, enhancing State capabilities to manage these critical assets through institutional reform and strengthening, and introducing risk-based dam management.

Relationship to CPF

10. The proposed project would support key objectives of the Country Partnership Framework (CPF) FY18-22, which emphasizes promoting resource-efficient growth by leveraging the private sector, engaging a 'federal India,' strengthening public sector institutions, and supporting a Lighthouse India.
11. As stated in the CPF, improving livability and sustainability of cities and strengthening disaster risk management are central to greater resource efficiency. Many of the dams to be financed for rehabilitation under the proposed project are located near dense urban population centers that would be put at significant risk in the event of dam failure. The proposed project would help to build the resilience of cities, making them safer and more livable by ensuring water security. Dams in India provide productive (irrigation, hydropower) and water supply services, and have also been critical to reducing the country's vulnerability to water-related disasters by buffering against floods and storing water for use in times of drought. Their deterioration does not allow them to provide these services as originally designed and intended. The proposed project would help to build a stronger portfolio of resilient infrastructure and



support the participating States to build capacity for disaster risk reduction and emergency preparedness (e.g., through the implementation of Emergency Preparedness Plans associated with the dams).

12. The proposed project presents several opportunities for amplifying effectiveness and impact through 'smarter engagement'. First, avenues for increased private sector participation in public services will be explored, particularly in identifying financing streams from, for example, tourism, water recreational activities and fisheries. Second, the proposed project would engage a 'federal India,' working with State governments to improve dam safety and management and harmonizing approaches towards implementation, including in terms of institutional and financing arrangements. Third, the proposed project would squarely focus on strengthening public sector institutions to improve effectiveness and for sustained performance of dam operations and management. Fourth, working on the same issues across several States will help to promote innovation and learning for the benefit of all participating States, in addition to informing dam safety programs and policies in non-participating States and at the Central level. In particular, peer-to-peer learning from DRIP-1 States and advanced new DRIP-2 States to States with less capacity will be promoted. As one of the largest and most comprehensive dam safety programs in the world, India's dam safety program is a model that other countries are observing to galvanize their own programs. India will continue to communicate and share this experience through international fora and with leading organizations, such as ICOLD. In turn, the proposed project will draw on renowned international experts in dam safety – from US, Canada, Switzerland, and elsewhere – so that India can customize and apply best global practices.
13. The project will also support the CPF's cross-cutting themes of pursuing climate smart engagement to support India's climate change mitigation and adaptation; harnessing high-impact technologies for development, including disruptive technology; and systematically addressing gender-based inclusion gaps. The project will help India to adapt to its climate challenges by ensuring that dam assets provide the services they are meant to provide, including buffering against floods and droughts, in addition to protecting the public from dam safety concerns. Climate change co-benefits (CCCBs) will be maximized to the extent possible and estimated at the time of Appraisal. The application of innovative technologies will be explored where possible and appropriate, including taking advantage of India's digital revolution for monitoring, using new technologies for dam rehabilitation and safety (e.g., geomembranes), and exploring alternative revenue streams, such as from floating solar panels.
14. Gender and gender-based violence (GBV): Low female labor force participation has been identified as priority area for addressing gender gaps in India under the Country Gender Action Brief (2016-23). States proposed under the project have an overall female labor participation rate ranging from 18% - 35%, with Kerala at 18% and Madhya Pradesh at 35%. Further, as outlined in the Economic Survey 2018, women workers are the most disadvantaged in the labor market as they constitute a very high proportion of the low-skilled, informal category and are engaged in low paying, low productivity work. These macro-level trends are likely to be reflected at construction sites, where women's participation may be low and primarily in insecure, easy-to-replace jobs. Barriers that could hinder women's productive participation include on-site and off-site facilities, camp-site management, on-site safety, sanitation facilities, grievance mechanisms, child care facilities, etc. Similarly, reflecting industry-level trends, the share of women dam managers is currently expected to be quite low. The provision of more and better jobs for women falls under the strategic objective of economic opportunities outlined in the World Bank Gender Strategy (2016-23). In order to bridge these gaps, the project will attempt to: (i) increase participation of women laborers at construction sites and improve access to better-skilled jobs; (ii) encourage women engineers from



aligned departments to participate at dam sites; (iii) encourage female laborers to participate in construction activities by, e.g., developing safety provisions at camp sites, providing sanitation facilities, providing creches, sensitizing contractors and laborers, and introducing a workers' code of conduct. As the project moves towards Appraisal, a gender-based violence risk mitigation framework will be prepared. The risk mitigation plans will be developed based on the risk-assessment tool (RAT). The actions to be implemented by State implementing agencies will be commensurate to nature and scale of GBV-related risks and impacts.

C. Proposed Development Objective(s)

15. The project development objective (PDO) is to improve dam safety and strengthen institutional capacity for enhanced operational performance of selected existing dams in participating states.

Key Results (From PCN)

16. The proposed project seeks to achieve the following key results towards achieving the PDO:

- Modernized institutions for dam safety, operations and management established and functional in participating States (index)
- Dam portfolio risk reduced in key risk categories under the project (percentage)
- Dam instrumentation in place and protocols for monitoring and analyzing data established (yes / no)
- Adequate funds for dam operation and management provided, as per norms defined in O&M Manuals (yes / no)
- Direct project beneficiaries (number), of which female (percentage) – Core Indicator

D. Concept Description

17. The proposed project would cover 18 States – Andhra Pradesh, Bihar, Chhattisgarh, Goa, Gujarat, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Odisha, Punjab, Rajasthan, Tamil Nadu, Telangana, Uttar Pradesh, and West Bengal and two Central agencies (Central Water Commission and BBMB). The States were selected based on their interest in establishing State dam safety programs and their readiness to engage in the project (in terms of conducting requisite assessments for preparing rehabilitation plans, etc.). Four additional States / agencies have indicated an interest and are currently being considered for inclusion. For the two Central agencies, the funding ratio will be 50:50, IBRD:counterpart funding. For the States, it will be 70:30 or 80:20, IBRD:counterpart funding as per Gol funding arrangements.

18. The proposed project would comprehensively address State-level dam safety concerns in the participating States (including institutional reforms and modernization, instrumentation, etc.), although the investments in dam rehabilitation will be limited to selected dams in each State. Approximately 300 dams will be taken up for rehabilitation under the project. The dams were preliminarily selected based on multiple criteria following the CWC's Guidelines for Assessing and Managing Risks Associated with Dams, 2019.



19. The components of the project will broadly fall into four categories: (i) institutional reform and modernization; (ii) financing arrangements and revenue generation for sustainable dam management; (iii) risk-based management of dam assets; and (iv) rehabilitation of dams and appurtenant structures. Each is discussed in turn.

Institutional Reform and Modernization

20. The objective of this component is to transform dam management in the country through institutional reforms and modernization. Although rehabilitation and strengthening of some 300 dams is planned under the project, institutional modernization reaches far beyond, covering all aspects of dam safety across the participating States and the country as a whole. To this end, the activities envisioned include: (i) creating a sound institutional structure for dam safety, including (a) Dam Safety Organizations (DSOs) at State and Central levels and (b) Dam Safety Review Panels (DSRPs) at State levels with clear mandates; (ii) putting in place the supporting legal and regulatory framework to give these institutions statutory powers; (iii) training and equipping staff to better manage dam operations and maintenance, including through (a) national and international training, (b) establishing collaborative arrangements (e.g., twinning or MoUs) with academic and other research institutions, and (c) establishing Centers of Excellence on dam safety; (iv) building the knowledge base through comprehensive studies / assessments; and (v) conducting information, education and communication activities.

21. During project preparation, a comprehensive institutional and capacity building needs assessment will be undertaken to identify the specific needs in this area. This may include a combination of human capital, institutional and technical capacity, along with the financial capacity, relating to a range of key stakeholders, including owners and operators, those with oversight responsibilities, and downstream communities. Based on this assessment, a comprehensive capacity building strategy will be developed and implemented under the project. Effective stakeholder engagement will also be supported, guided by a comprehensive stakeholder engagement plan (SEP) to be developed during project preparation. The strategy will outline systems and processes to ensure that stakeholders and the public are active participants in all aspects of project design and implementation.

Financing Arrangements and Revenue Generation for Sustainable Dam Management

22. The objective of this component is to improve financing arrangements and enhance revenue generation for sustainable dam management. This would focus on: (i) improving the efficiency of existing expenditures; (ii) generating alternative revenue streams; (iii) establishing financing and institutional arrangements for sustainable O&M using needs-based budgeting; and (iv) sustainable financing options for periodic rehabilitation to improve dam safety. Currently, the financing of dam safety and O&M is far from adequate and de-linked from dam performance and revenue streams. Water infrastructure is typically financed from State general budgets without earmarking for dam assets, resulting in a serious financing gap for even regular dam O&M, to say nothing of more serious dam safety measures. Under-investment in dam management is compounded by the fact that dam services, for example, irrigation and hydropower, are neither correctly valued nor priced. While it is not feasible in the near-term to modify irrigation fees or hydropower charges, there are several alternative revenue streams that could be



developed. These includes tourism and water recreational activities, fisheries, and other innovative schemes such as floating solar panels. Some States, such as Maharashtra and Gujarat, are already exploring such avenues. Under the project, alternative revenue generation sources such as these will be piloted on a selected number of dams. Arrangements that ensure that revenues flow back to the dams themselves and, to the extent possible, crowd in private sector financing will be established. Based on the experience and lessons learned from these pilots, scaling up of such measures could be considered in subsequent phases of the project. In addition to alternative revenue streams, there are also opportunities to improve the efficiency of existing expenditures which will be explored. Finally, the establishment of a Challenge Fund is being considered, potentially in conjunction with a National Dam Safety Fund that would be open to all States (currently under discussion with GoI).

Risk-based management of dam assets

23. The objective of this component is to transform dam management from piecemeal rehabilitation based on seasonal inspections to long-term risk-based asset management. Towards this end, a standardized and systematic method for assessing dam risk³ will be developed to compliment more traditional, standards-based deterministic approaches. While the traditional deterministic design standards-based approach is fundamental, particularly in regulating the construction of new dams, there is a trend toward risk-informed approaches for reviewing the required safety standards of existing dams. Under the project, the use of probabilistic methods will be paired with protocols for inspections at regular intervals following set procedures and improved monitoring systems as described above, providing the increased level of information required to undertake comprehensive risk assessment. This will allow an improved prioritization of dam rehabilitation needs and the ability to compare effectiveness of investments in dam safety pre- and post-rehabilitation, which is a key result toward achieving the PDO. Finally, the inventory of dam assets using the DHARMA system (developed under DRIP-1) will be expanded and asset management plans will be developed for all dams under the project.

Rehabilitation of Dams and Appurtenant Structures

24. The objective of this component is to improve structural and non-structural measures for ensuring dam safety. Structural measures could include measures for seepage reduction (grouting, geomembranes, etc.), hydrological and structural safety measures (e.g., additional spillways, fuse plugs), strengthening of dam structures (e.g., gates), repairing foundation damages, strengthening dam sections, and improving basic dam facilities (e.g., access roads). Non-structural measures could include standardized dam safety instrumentation, monitoring, assessment and reporting protocols for dam health / audit; flood forecasting and early warning systems; integrated reservoir operations including streamflow forecasting for climate resilient dam management; preparation and implementation of Emergency Preparation Plans (EPPs); and preparation and implementation of sediment management plans. Structural and non-structural measures will be identified in dam rehabilitation plans that are prepared after conducting thorough investigative studies to ensure appropriateness of interventions. Studies would include, as relevant, systematic

³ Risk assessment includes four major categories of information: (i) hazards, (ii) consequences, (iii) exposure, and (iv) system response probabilities (SRPs).



hydrological assessments, stability analyses, geo-technical studies, and geo-physical and bathymetric surveys, in addition to social and environmental assessments.

Legal Operational Policies	Triggered?
Projects on International Waterways OP 7.50	Yes
Projects in Disputed Areas OP 7.60	No

Summary of Screening of Environmental and Social Risks and Impacts

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APPROVAL

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