

GOVERNMENT OF KERALA LOCAL SELF GOVERNMENT DEPARTMENT

Kerala Solid Waste Management Project

**Tribal Development Framework-Social Management Framework
(TDF-SMF)
2020**

VOLUME II PART B

**Project Management Unit
Suchithwa Mission
Thiruvananthapuram**

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Acronyms

AABY	Aam Admi Bhima Yojana
ADB	Asian Development Bank
AfD	Agence Française de Développement (French)
AIDS	Acquired Immunodeficiency Syndrome
AL	Agricultural Labour
BCC	Behaviour Change Communication
BDW	Biodegradable Waste
BG	Basic Grant
BPL	Below Poverty Line
C&D	Construction and Demolition
CBO	Community Based Organisation
CCC	Citizen Call Centre
CEDAW	Convention on Elimination of Discrimination against Women
CL	Cultivator
COVID-19	Coronavirus disease 2019
CPCB	Central Pollution Control Board
D-ESDU	District Level Environmental and Social Development Unit
DLG	Diploma in Local Governance
DoPT	Department Of Personal And Training
DPL	Development Policy Load
DPMC	District Project Monitoring Consultant
DPMU	District-level project management unit
DPR	Detailed Project Report
ECOSOC	Economic and Social Council
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
FGD	Focus Group Discussion
FPIC	Fair Prior Informed Consultation
GBV	Gender Based Violence
GEWE	Gender Equality and Women's Empowerment
GHG	Green House Gas
GIZ	German Agency for International Cooperation
GoI	Government of India
GoK	Government of Kerala
GPCD	gram per capita per day
GPI	Gender Parity Index
GRM	Grievance Redressal Mechanism
GSCC	Gender State Coordination Committee
GSDP	Gross State Domestic Product
ha.	Hectare
HDI	Human Development Index
HH	Household
HHI	Household Industries
HKS	Haritha Karna Sena

IA	Independent Agency
ICE	Information Education Communication
IFC	International Finance Corporation
IG	Incentive Grant
IPC	Indian Penal Code
ISA	Independent Safeguards Audit
ISS	Institute of Social Sciences
ITI	Industrial Training Institute
JS	Jagaratha Samithies
KfW	Kreditanstalt Fuer Wiederaufbau (German)
KIIFB	Kerala Infrastructure Investment Fund Board
KILA	Kerala Institute of Local Administration
KLGSDP	Kerala Local Government Service Delivery Project
KLR Act	Kerala Land Reforms Act
KMA	Kerala Municipality Act
KSIDC	Kerala State Industrial Development Corporation
KSWC	Kerala State Women's Commission
KUSWMP	Kerala Urban Solid Waste Management Project
LA Act	Land Acquisition Act
LSGD	Local Self Government Department
M&E	Monitoring and Evaluation
MADA	Modified Area Development Approach
MCF	Material Collection Facility
MDF	Maximizing Finance for Development
MDP	Management Development Programmes
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MIS	Management Information System
MoEF&CC	Ministry of Environment, Forests and Climate Change
MRF	Material Recovery Facility
MSW	Municipal Solid Waste
NAS	National Achievement Survey
NCEAR	National Council of Applied Economic Research
NCERT	National Council of Educational Research and Training
NGO	Non-Governmental Organisation
O&M	Operation and Maintenance
OBC	Other Backward Class
OCC	One Stop Crisis Cell
OHS	Operational Health and Safety
OP/BP	Operational Policies/ Bank Procedures
OT	Over Time
OW	Other Worker
PAP	Project Affected Person
PDO	Project Development Objective
PESA	Panchayat Extension to Scheduled Areas
PIM	Project Information Management
PIU	Project Implementation Unit

PMC	Project Monitoring Consultant
PMU	Project Management Unit
PPE	Personnel Protection Equipment
PPP	Public Private Partnership
PRI	Panchayat Raj Institute
PTG	Primitive Tribal Group
PwD	Person with Disability
Q&A	Question and Answer
RAP	Resettlement Action Plan
RCW	Rate of Crime against Women
RFCTLARRA 2013	The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act 2013
RPF	Resettlement Policy Framework
RRF	Resource Recovery Facility
RTI	Right to Information
RTLRLAL	Restriction on Transfer of Lands and Restoration of Alienated Lands Act, 1975
SBCC	Social and Behaviour Change Communication strategy
SBM	Swachh Bharat Mission
SC	Schedule Caste
SCSP	Scheduled Caste Sub-Plan
S-ESDU	State Level Environmental and Social Development Unit
SHG	Self Help Group
SIA	Social Impact Assessment
SIRD	State Institute of Rural Development
SLL	Special and Local Laws
SMF	Social Management Framework
SMP	Social Management Plan
SO	Support Organisation
SPMU	State-level project management unit
ST	Schedule Tribe
SWM	Solid Waste Management
SWM Rules 2016	Solid Waste Management Rules, 2016
TA	Technical Assistance
TDF	Tribal Development Framework
TDP	Thermal depolymerization
TDP	Tribal Development Plan
TISS	Tata Institute of Social Sciences
TMC	Technical Support Consultant
TNA	Training Needs Assessment
TOR	Terms of Reference
ToT	Training of Trainer
TSP	Tribal Sub-Plan
ULB	Urban Local Body
USD	United State Dollar
UT	Union Territory

VGF	Viable Gap Funding
WBG	World Bank Group
WCP	Women Component Plan

Executive Summary

Project Purpose and overview

The Government of Kerala (GoK) intends to utilize financial support from the World Bank to strengthen the institutional and service delivery systems for Solid Waste Management (SWM) services in select urban areas (93 Urban Local Bodies (ULBs)) in Kerala through Kerala Solid Waste Management Project (KSWMP) (P168633). The Project Development Objective is to strengthen the institutional and service delivery systems for municipal solid waste management in selected Urban Local Bodies in Kerala through the following components. The project will support a hybrid approach comprising of decentralized and centralized waste management systems. At the decentralized level, participating ULBs will have a lead role in delivering SWM services including generator level waste segregation and treatment, primary collection and transportation, waste processing and recycling. Owing to the demographic and geographic profile of the state, characterized by closely located medium and small-sized ULBs and peri-urban areas with high population density, the project will also support a regional approach for SWM and disposal. In addition to strengthening ULBs capacities through a comprehensive Technical Assistance (TA) program, collaboration and systems integrations between the state, local governments, and communities will be supported by the project. As the project will be jointly co-financed by the World Bank and the AIIB; AIIB has agreed to apply the social risk management measures described in this Tribal Development Framework- Social Management Framework (TDF-SMF).

Proposed subprojects include a) Preparation of city-level SWM Plans, b) Bioremediation of some of the existing solid waste dumpsites, c) Upgradation of existing Material collection and recycling facilities for non-biodegradable wastes, d) Construction / up-gradation and operation of centralized and decentralized (community/household level) treatment and disposal facilities in towns for biodegradable wastes, e) Construction of regional / cluster level landfill facilities for rejects and inerts, and Construction and Demolition Waste Treatment Facilities, f) improving collection and transportation of both biodegradable and non-biodegradable solid waste to treatment/disposal / recycling facilities.

A cluster approach will be adopted for the planning, design and development of regional facilities. For each of the regional landfills, a waste-shed areas (WSA) will be established around the land parcels identified by the government. For the detailed planning, design and development of the regional landfills, SM will carry out the required feasibility assessment (both technical and environmental including climate change mitigation and adaptation), preliminary engineering designs and Environmental and Social Impact Assessment (ESIA) studies to be financed under

component 1. Likewise, regional processing and recycling facilities will be planned and developed based on the land availability, technical/financial feasibility and waste generation profile of participating ULBs. The regional facilities will be developed as part of integrated systems for collection, transportation, processing/recycling/resource recovery and safe disposal.

Closure and remediation of existing dumpsites will also be financed under this component contingent upon adhering to screening criteria of technical, environment and social considerations. The selection of the dumpsite remediation would also depend on access to a waste disposal facility for the rejects from the dumpsite and other technical and environmental considerations established in the PIM and the ESMF-. At the moment SM??? has identified 37 existing dumpsites for potential remediation.

The project will adopt a mix of preventive and responsive to address the mismanaged plastic waste problem in urban areas (particularly in ULBs along the coastline or adjacent to water bodies) as part of municipal solid waste. Key interventions include (a) strengthening the segregation, collection and transportation systems for plastic waste, (b) upgrading and augmenting the plastic recycling and resource recovery systems at local level, (c) creating enabling policy and regulatory framework for plastic consumption reduction and introducing circularity for improved resource efficiency, (d) developing plastic waste treatment and disposal systems as part of overall SWM services, (e) public awareness generation and communication for reducing plastic consumption and improved recycling, and (f) implementation of a roadmap and guidelines for regulatory enforcement and compliance of key policy decisions like the ban on single-use plastics.

Project Beneficiaries

Three main target groups will directly benefit from the Project: (i) over 4 million residents of the selected 93 ULBs, through increased access to improved municipal solid waste services and environmental, social and health conditions; (ii) municipal staff in the selected 93 ULBs, through improved institutional capacity for planning, implementing, and financing systems for SWM; and (iii) daily wagers and sanitation workers through improved working conditions and better livelihood opportunities in waste management sector.

Legal and Policy Framework

74th Constitutional amendments entrusted the Urban Local Bodies (ULBs) to prepare plans for economic development and social justice and their implementation under relevant schedules (Article 243 G and 243 W of the Constitution of India). Accordingly, the local government institutions are mandated with many responsibilities including Solid Waste Management.

There are plethora of laws for management of solid waste and protecting the rights of tribals such as (i) The Kerala Municipality (Amendment) Act 2012, specify handling of solid waste and segregating of solid waste at source for the owner; (ii) Solid Waste Management Rules (SWM), 2016 replaces the Municipal Solid Wastes (Management and Handling) Rules, 2000 are now applicable beyond municipal areas for collection, segregation, storage, transportation, processing, and disposal of municipal solid wastes; (iii) Kerala State Policy on Solid Waste Management 2016 aims to transform Kerala to a garbage free state and make it an environmentally healthy state by adopting the three principles of – Reduce, Reuse and Recycle; (iv) The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014 aims to protect the rights of urban street vendors and to regulate street vending activities; (v) Tribal Legal Framework has many safeguards are provided under the constitution to safeguard the interests of tribal groups. Under Article 342 of the Constitution the first notification was issued in 1950. The President considers characteristics like (i) tribes’ primitive traits; (ii) distinctive culture; (iii) shyness with the public at large; (iv) geographical isolation; and (v) social and economic backwardness before notifying them as a scheduled tribe.” The Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights (ROFR) Act, 2006 and the Rules, which came into force from 1 January, 2008 (including an Amendment in 2012). The Act recognizes and records the rights of forest dwellers who have been residing and depending on the forest for generations for their Bonafide livelihood needs, without any recorded rights; (vi) The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989, and the Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Rules, 1995 (vi) The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA), 2013 has special provisions for additional benefits to affected households who are members of scheduled castes/scheduled tribes; (vii) Modified Area Development Approach (MADA), Pockets and clusters for Tribal Sub-Plan (TSP) to cover the entire ST population outside the scheduled areas and living in contiguous areas; (ix) Scheduled Tribes in the State are protected by the Kerala Land Reforms (KLR) Act, 1962, Restriction on Transfer of Lands and Restoration of Alienated Lands (RTLRLA) Act, 1975, and Prevention of Atrocities Act, 1989; (x) other laws and policies.

In accordance with the law and the World Bank’s Operational Policy 4.10 on Indigenous People, the project has prepared the Tribal Development Framework-Social management Framework (TDF-SMF). It is estimated that there are about 4 lakh tribal people living in Kerala. The tribal population is 1.45 percent (484,387) of the state’s total population (33,406,061). Of which tribal population in the urban area accounts for 0.32% of the total urban population, the rest inhabit the rural areas, primarily in three districts Wayanad, Idukki and Palakkad (see table below). The data

on tribal households from 9 ULBs out of 12 in these three districts indicate that there are more than 4000 tribal households. Except for Kalpetta (10.22%) & Mananthavady (11.12%), the ST population percentage in the concerned Municipalities is in the range of 0.09-1.10% of the total population. the rate of reduction of poverty between 1993 and 2010, for STs was lower (-1.0) than the all-India figures (-1.2). So, relative to others, ST groups continue to be on the fringe of Kerala's overall development experience. Even though overall numbers may be small, the tribal community may be following their own traditional and cultural practices that may be like the tribals living in rural areas. Free Prior Informed Consent with the Tribal beneficiaries was discontinued due to COVID -19.

Tribal Population in Municipalities of Idukki, Wayanad and Palakkad

Source: 2011 Census & concerned Municipality Data

<i>District</i>	<i>Municipality</i>	<i>Tribal Communities present</i>	<i>No: of House holds</i>	<i>Total ST population</i>	<i>Male</i>	<i>Female</i>	<i>Urban population</i>	<i>% of Urban population</i>
<i>Idukki</i>	Thodupuzha	Paniyan, Ulladan, Uraly, Adiyar, Pulaya, Irular, Kanikaran, Kattunaykkan,	139	572	260	312	52,045	1.10%
	Kattappana	Mala Arayan, Malai Pandaram, Mala Vedan, Malayan, Mannan, Muthuvan	New Municipality, Data not received					
<i>Wayanad</i>	Kalpetta	Wayanadan Kadar, Kattunayakan, Kurichiyar, Mala Arayan, Paniyan, Ulladan,	698	3,228	1,466	1,763	31,580	10.22%
	Mananthavady	Thachanadan Moopan, Karimpalan, Vetta Kuruman, Adiyar, Kurumar	Not received	3,855	1,858	1,997	34,663	11.12%
	Sulthan Bathery		New Municipality, Data Not received					
<i>Palakkad</i>	Ottappalam	Malayan, Muthuvan, Mudugar, Paniyan Eravallan, Irular, Kadar, Kattunayakan, Kuruman, Kurumbar, Maha Malasar, Mala Arayan, Mala Vedan, Malasar	28	88	45	43	53,792	0.16%
	Palakkad		51	213	131	82	130,955	0.16%
	Shornur		24	88	45	43	43,533	0.20%
	Chittur - Tattamangalam		7	30	18	12	32,298	0.09%
	Pattambi		Not received	37	20	17	23,888	0.15%
	Cherppulasseray		New Municipality, Data not received					
	Mannarkkadu		Not received	298	142	156	28,303	1.05%

Social Risks and Impacts

Out of the urban population of 15.9 million in Kerala, the project aims to reach 7 million population of the 93 ULBs. Out of this, 6.56% Scheduled Castes and 0.45% Scheduled Tribes. A rapid social assessment was undertaken to assess risks, develop mitigation measures and opportunities for service providers to improve their working conditions and increase earning capacity with value chain development. The findings indicate that majority are not clear on the processing of the waste being collected, they assume that the waste collected is being incinerated or being dumped without any treatment. Moreover, limited number of households treat waste at source using equipment provided by the ULBs but the source treatment is not monitored by the ULBs. Willingness to pay for the service is very low and generators desire enhanced services.

Overall, the project will lead to the wellbeing of ULB population; increase value addition across the value chain of SWM leading to enhanced livelihood opportunities for service providers; improve working conditions for service providers; responsible behavior change of waste generators that will reduce the quantum of waste generated at the source; and reduce land requirement to process both bio-degradable and non-biodegradable waste.

However, the social risks have been identified for which appropriate mitigation measures have been developed for the risks that arise from (i) exclusion of women, vulnerable and tribals in planning; (ii) weak participation of communities through the sub-project scheme cycle; (iii) lack of support services for gender based violence; (iii) weak accountability and transparency in delivering services; (iv) health and safety risk of unorganized labor engaged in delivering services and weak enforcement of labor laws for the unorganized labor ; (v) weak communication to inform about project and to bring about behavior change towards waste management leading to poor receptivity and response; (vi) negative impact on host community at the landfill sites; (vii) loss of livelihood for informal workers when SWM operations are formalised; (viii) limited availability of land for last mile connectivity in waste management and (ix) weak systems for citizen feedback and grievance management.

TDF-SMF

The framework seeks to ensure that tribal communities are informed, consulted, and mobilized to participate in the sub-project planning, preparation, implementation and operation and maintenance. It is intended to guide selection and preparation of additional sub-projects where impacts on tribal people and other vulnerable are identified, to ensure better distribution of the Project benefits and promote development of the tribals and vulnerable. Since the geographical location of the sub-projects are not known, preparation and implementation will be guided by the Tribal Development Framework (TDF) - Social Management Framework (SMF). It provides tools, formats and frameworks which are presented in the document. These are:

1. List of Excluded Sub-Projects
2. Social and Tribal Screening Formats (STSF)
3. Social Inclusion Strategy
4. Gender and Gender Based Violence Strategy
5. Stakeholder and Citizen Engagement and Grievance Redressal Mechanism
6. Communication Strategy
7. Labor Management Framework
8. Capacity Building
9. Institutional Arrangements
10. Monitoring and Evaluation

Despite decentralization, political representation, awareness, mobilization and social welfare measures, scholars argue that abjection continues to acquire layer after layer because traditional structures and access to mobility are difficult to break despite emergence of a vibrant civil society. Urban areas in Kerala are home to groups like the poor and or slum dwellers, scheduled castes and scheduled tribes, intra and inter-state migrants, unorganised labor , people with disabilities and elderly who risk being left out of the project benefits. Kerala still has a modest level of **slum population** as compared to some of the other states of India. Despite high sex ratio and other gender indicators¹, **gender-based exclusion** from economic, social, and political development in Kerala is pertinent, including prevalence of gender-based violence. Compounding vulnerabilities (**Scheduled Castes and Scheduled Tribes**)²: Out of the urban population of 15.9 million in Kerala, the project aims to reach 7 million population of the 93 ULBs. Of this 6.3 million 51.6% are women. The 93 ULBs population consists of 6.56% Scheduled Castes and 0.45% Scheduled Tribes. In Kerala, a Statewide Census of PwDs was undertaken by the Kerala Social Security Mission in 2015, the first of its kind in India, covering 22 types of disabilities. Socially vulnerable groups susceptible to risks of exclusion under the project.

Based on the screening using STSF, a field-based Social Impact Assessment (SIA) will be conducted to identify the vulnerable groups and the risks associated with exclusion

¹ Women constitute 52 per cent of State population and the overall sex ratio of Kerala is 1,084 females per 1,000 males. Female literacy rate is 92 per cent which is highest in India. Maternal mortality rate was much lower in Kerala when compared to the situation in India

² In 2011, the Scheduled Caste population declined to 30,39,573 persons 9.10 per cent. (The decline was because some Scheduled Castes were reclassified as Scheduled Tribe.) The Scheduled Caste population in the State is concentrated in Palakkad, Thiruvananthapuram, Kollam, Thrissur, and Malappuram districts. Communities such as Vedar, Nayadi, Kalladi, Arundhathiar/Chakkiliar are identified as vulnerable communities among Scheduled Castes, and their population is concentrated in Palakkad, Malappuram, Kollam, and Idukki districts. The Scheduled Tribe population according to the Census 2001 was 3,64,189 persons or 1.14 per cent of the total population. Because of the reclassification of certain Scheduled Castes as Scheduled Tribes (mentioned above), the population of Scheduled Tribes increased to 4,84,839 persons. According to the Report on the Socio-Economic Status of Scheduled Tribes of Kerala (2008) of the Scheduled Tribes Development Department, there are 1,07,965 tribal families residing in 4,762 hamlets in Kerala. About 11 per cent (540) of the tribal habitats are situated within the reserve forests and 20 per cent (948) are in the immediate vicinity of reserve forests. The highest concentration of Scheduled Tribes is in Wayanad District (31.24 per cent) followed by Idukki (11.51 per cent), Palakkad (10.10 per cent) and Kasargod (10.08 per cent).

as part of the sub-project preparation. The SIA will be conducted, in a gender-sensitive manner, in consultation with tribal communities, identify the project-affected tribals and others and the potential impacts of the proposed project on them.

Social Inclusion

Urban areas in Kerala are home to groups like the poor and or slum dwellers, scheduled castes and scheduled tribes, intra and inter-state migrants, unorganised labor , people with disabilities and elderly who risk being left out of the project planning. The project aims to reach 7.5 million people across 93 municipalities in Kerala. 52 percent are women, 7 percent are Scheduled Castes, 0.5 percent are Scheduled Tribes, 14 percent are Christian minorities. Despite decentralization, political representation, awareness, mobilization and social welfare measures, abjection continues to acquire layer after layer because traditional structures and access to mobility are difficult to break despite emergence of a vibrant civil society. There are risks of exclusion from accessing project information, exclusion from planning process, exclusion from SWM Services, exclusion from livelihood opportunities when SWM operations are formalised, exclusion from GRM. The SMF lists the socially vulnerable groups who face the risk of exclusion. The SMF provides a stage wise activity for ensuring Social Inclusion through the project cycle.

Gender Risks, Gaps and action Plan

Women in Kerala enjoy a better status in society than their counterparts in the rest of India as reflected in the much lower gender gap in literacy, education, health, employment and mobility. However, significant gender disparities exist in the state in terms of political, workforce participation rate (16% for women in comparison to 51% for male) and human capital investment like technical and scientific sectors. Also, unpaid, unaccounted, invisible work in the domestic spheres, all the social tasks which are low paid, use high mobilization skills and are time-consuming continues to be women's prerogative. As a result, even in SWM sector women are more often considered for roles that include collection or sorting, cleaning, or separating of the waste. As primary collectors and the first point of interface between the waste generators and waste processors, women constitute a high proportion of informal labor force in urban areas. Using a gender lens to view service providers and waste generators under SWM in 93 municipalities of Kerala shows that the gender disparities are prominent and need to be addressed to avoid negative impacts on women. SWM roles risk reinforcing gender stereotypes; unhealthy work conditions of SWM workers; insecure, low-paid, scavenging, mechanical work, waste collection and segregation has been handed out to those women in Kudumbashree who are poor, belong to lower caste, have not received skill training. Caste based stigma attached to waste works often traps them into these roles for life. Apart from this another gap is the absence of

clear roles and opportunities for women as elected leaders or as service users whereby they risk getting excluded in the facilitation and participation of the planning process. Based on the gender analysis and identified risks and gaps, the project will focus on increased opportunities for employment and income generation as well as enhanced participation, leadership, and decision making by women—in the community and within households. The project will ensure equal opportunity and benefits for Women staff and workers, improved employment terms, working conditions. The project will support activities to upgrade skills, increase income benefitting through other verticals in SWM chain including access to entrepreneurial opportunities. The project will prepare a baseline report which will include (i) number of women engaged in the value chain of SWMs; (ii) existing income levels and skills (iii) opportunities for socially excluded women to access other verticals of SWM value chain including business opportunities. The RF indicators for measuring gender outcomes will include: (i) Number of women received skill upgradation training; (ii) Number of women linked to higher SWM value chain activities and entrepreneurial activities; (iii) % Increase in women SWM workers accessing other SWM verticals..

Gender Based Violence

The lack of security and deep vulnerability of women to violence and harassment have become a grave issue in the state in the recent times. Contrary to the high social development including high educational level, crimes against women continue to be a major threat in Kerala. This includes rape, domestic violence, molestation, and eve teasing, dowry death, murder, immoral trafficking, wife battering, child abuse, and desertion. Kerala has plethora of policies, laws or institutions to address VAW and GoK has developed the multiple mechanisms to respond to GBV grievances. However, the crime against women is increasing and redressal mechanisms require systemic strengthening through more funds and an integrated holistic approach. GBV risks raking under the WB tool is low. The GBV action plan includes formation of Internal Complaints Committee for Implementation Agency, Mapping of Hotspots, Mapping capacities of existing GBV service providers, Facilitating GBV awareness and sensitization programs, Augmenting GBV response and support mechanisms and linking them to the project GRM.

Stakeholder Mapping and Citizen Engagement

Kerala is recognized for its conducive socio-political environment for decentralisation, local governance, participation, and inclusion. Free Prior Informed Consultations would be organised with all tribals including women throughout the sub- project cycle to seek their informed participation at all stages. Consequently, all relevant information would be disseminated through regular information disclosure workshops, pamphlets in local language etc. The tribal groups will be consulted during the preparation of the TDP. The project will implement the state policy on solid waste management, 2018 clearly sets direction for the effective management of solid

waste through decentralised community facilities; automated grievance redressal system; appropriate IEC campaign and Community monitoring system.

Citizen Engagement plan builds on the people-centric approach adopted by the state through decades of decentralized practices. The project will encourage partnerships between Service Providers and Waste Generators through each phase of the project. Some of these include public disclosure, information dissemination, participatory planning, and implementation, user satisfaction survey, responsive GRM and social audit. Through structured and continuous process of engagement and inclusion, the project will build acceptance, collaboration, greater sense of ownership and sustainability of investments. Support organizations will be engaged for social mobilization, facilitation of ward meetings, inclusion of various stakeholders particularly the vulnerable. Minutes of meetings, attendance, representation of vulnerable groups (women, IP, unorganized labor), evidence on display and disclosure of information, and Social Audit findings will highlight the effectivity of citizen engagement. Annual consumer surveys and quarterly review of GRM reports will help identify the lacunae in both generators and service providers and will help closing the feedback loop.

Social and behaviour change communication (SBCC) strategy

Waste management is about habits, perceptions, fears, expectations, and coordination but it is also about service delivery supported with infrastructure for which land is required and engagement with multiple stakeholders connected to waste generation and its management. It is well recognised that the necessary change is a complex process of shifting the public perception and ensure social acceptance for SWM treatment and disposal systems. To address it, the project will require strategic communication interventions. Thus, the project will adopt a social and behaviour change communication (SBCC) strategy for planning, implementation and monitoring of the program. The Communication strategy provides the rationale, approach, principles, and guidance for the activities, roles and responsibilities, capacities and maps the mediums to change perceptions and sustainable practices for social and behaviour change.

Grievance Management

Government of Kerala offers local level, central level, face to face, telephonic and online complaint registration services. Assessment indicates that citizens are not aware of the systems available and for SWM related matters, they approach Ward Councilor or Municipal office to submit physical complaints. Overall, the current system, process and institutional responsibilities for grievance redressal related to SWM are rudimentary- complicated, largely manual, non-automated and no digital filing of complaints with only one Tribunal Headquarters. The project will strengthen and

support a dedicated SWM GRM with the following features: online and offline option to file complaint, user centric categorization, alert generation, response, and escalation flow. Each complaint must have an option to use a toll free, online, and written complaint to designated personnel. All complaints (received through any means) to be digitally recorded so that monthly record can be generated for analysis and review. The GRM will also integrate labor management and GBV complaint and response systems.

Institutional mechanism

The project activities will be overseen by SPMU established in SM and DPMUs at each District. SPMU will have a State Level Environmental and Social Development Unit (S-ESDU) and each DPMU will have a District level ESDUs (D-ESDU). S-ESDU will have an Environmental Engineer, a Social Development Specialist, a Gender Specialist, and a Communications Specialist to support the implementation of the ESMF-TDF-RPF. The SPMU will be the focal point for the communication with the Bank on the safeguard's aspects of the program. D-ESDU will have an environment engineer and a social development cum communication specialist. ESDU will be supported by the PMC.

Capacity Development

The ESDU will be responsible for overall capacity development portfolio on environment and social themes for state, district and ULB level trainings, workshops, exposure visits, online learning, peer learning and guided mentorship. This will first include a TNA, preparation of a Training Calendar, building a pool of resources like modules, toolkits, master trainers, expert agencies, and facilitators. Database on trainees and trainers to be timely updates, resources repository to be prepared and training reports and feedbacks to be digitized. The environment and social experts of DPMU will be responsible for coordinating the activities of the support organization, prepare and implement district level capacity building programs for all stakeholders. The World Bank specialists shall provide adequate training to S-ESDU / D-ESDU safeguard specialists thrice during the project duration: well-spaced to update the new techniques, practices and to effect cross-learning. Through this, the project safeguard specialists can attain the necessary guidance to train the subproject staff. The proposed training/capacity building activities for ESMF implementation will be supported through the Component 1 of KSWMP at an estimated cost of INR 51.1 Crores (USD 7 Million), for 5 Years of the Project.

Monitoring and Evaluation

Detailed supervision, monitoring and evaluation of the impact of the project on social outputs and outcomes is critical. The institutional arrangements (at state, district and ULB level) as well as the indicators provided under the SMF-TDF and RPF are targeted to ensure what has to be measured, who has to do it, how and by when. A robust, integrated and user-friendly MIS - Safeguards Information Management System (SGIMS) is crucial to ensure regular tracking and institutional memory. This will be updated on a daily basis by PIU and DESDU and will be continuously monitored and reviewed by SESDU. SIGMS reports will be sent to the Bank every quarter, so that the Bank could effectively track. Apart from the quarterly monitoring reports, once every year, the SPMU will prepare a report of the social situation in the project districts including data and analysis of relevant parameters. The indicators will include parameters on social inclusion, citizen engagement, enterprise development, land required, livelihood of the vulnerable, labor compliance, GBV and GRM. Thematic monitoring, Annual Environment Audit and Social Audit will be carried out.

Budget

Budget estimated for implementing this TDF-SMF and RPF is around 20 million USD. This includes Land related costs; Specialists costs, Support Organisation Costs, cost of Consultants, Capacity Building Costs and Communication material Costs. The exact costs of land required for the Sub-projects could not be worked out as the areas of land parcels and the locations of these land parcels will only be known after the project DPR is prepared. The cost of consultancies is also worked out approximately. The rates are indicative and for estimation purposes only.

1 Introduction

1.1 Background

Kerala, a south western coastal state of India, is flanked by the Arabian Sea on the west and the Western Ghats mountains on the east. The state stretches north-south along a coastline of 580 km with a varying width of 35 to 120 km. The terrain divides the State east through west into three distinct regions; hills and valleys, midland and plains and coastal region. The eastern edge, along the Ghats, comprises steep mountains and valleys, covered with dense forests. There are 44 rivers in the state, all of which originate in the Western Ghats, of which 41 flow towards the west into the Arabian Sea and the 3 east flowing rivers form tributaries of the river Cauvery in the neighboring States. The backwaters are a peculiar feature of the State. Canals link the lakes and backwaters to facilitate an uninterrupted inland water navigation system from Thiruvananthapuram to Vada-kara, distance of 450 km.

Kerala consists of 14 Districts, 21 Revenue divisions, 75 Taluks, 152 Block Panchayats, 941 Gram Panchayats, 87 Municipalities, 6 Corporations, and 1664 Villages. Located between 8°18'N and 12°48'N latitude and 74°52'E & 77°22'E longitude, the State of Kerala encompasses 1.18% of the country, and holds 3.44% of India's population. With a population of 33,406,061 at 860 persons per km², it is nearly three times densely populated compared to the rest of India. Kerala is also experiencing a rapid rise in the percentage of the aged population (above 60 years).³

Kerala's human development indices (HDIs) – primary education, health care and elimination of poverty – are among the best in India. The state has one of the highest literacy rates (94.0%) and life expectancy (74.9 years⁴) among Indian states. Kerala has also made an extensive stride in reducing both rural and urban poverty. From 1973-74 to 2011-12, rural and urban poverty ratio declined from 59.19 per cent to 7.3 per cent and from 62.74 per cent to 15.3 per cent respectively, whereas in India these figures declined from 56.44 per cent to 30.9 per cent for rural and 49.01 per cent to 26.4 per cent for urban⁵. Per Capita GSDP at Current Prices INR 179,778 (USD 2481.58) is above the Indian average. Kerala's economy largely depends on emigrants working in foreign countries (mainly in the Gulf countries) and the remittances annually contribute more than a fifth of the GSDP. The service sector (including tourism, public administration,

³Kerala Department of Economics and Statistics Website, Basic Statistics, Last updated Jan 23, 2018
<http://www.ecostat.kerala.gov.in/index.php/geography>

⁴Abridged Life Tables 2010-2014, Office of the Registrar General & Census Commissioner, India pg. 5
http://www.censusindia.gov.in/Vital_Statistics/SRS_Life_Table/2.Analysis_2010-14.pdf

⁵ Kerala State Planning Board, Economic Review 2016, Macro Economic Profile
http://spb.kerala.gov.in/EconomicReview2016/web/chapter01_04.php

banking and finance, transportation, and communications), agricultural and fishing industries dominate the economy.

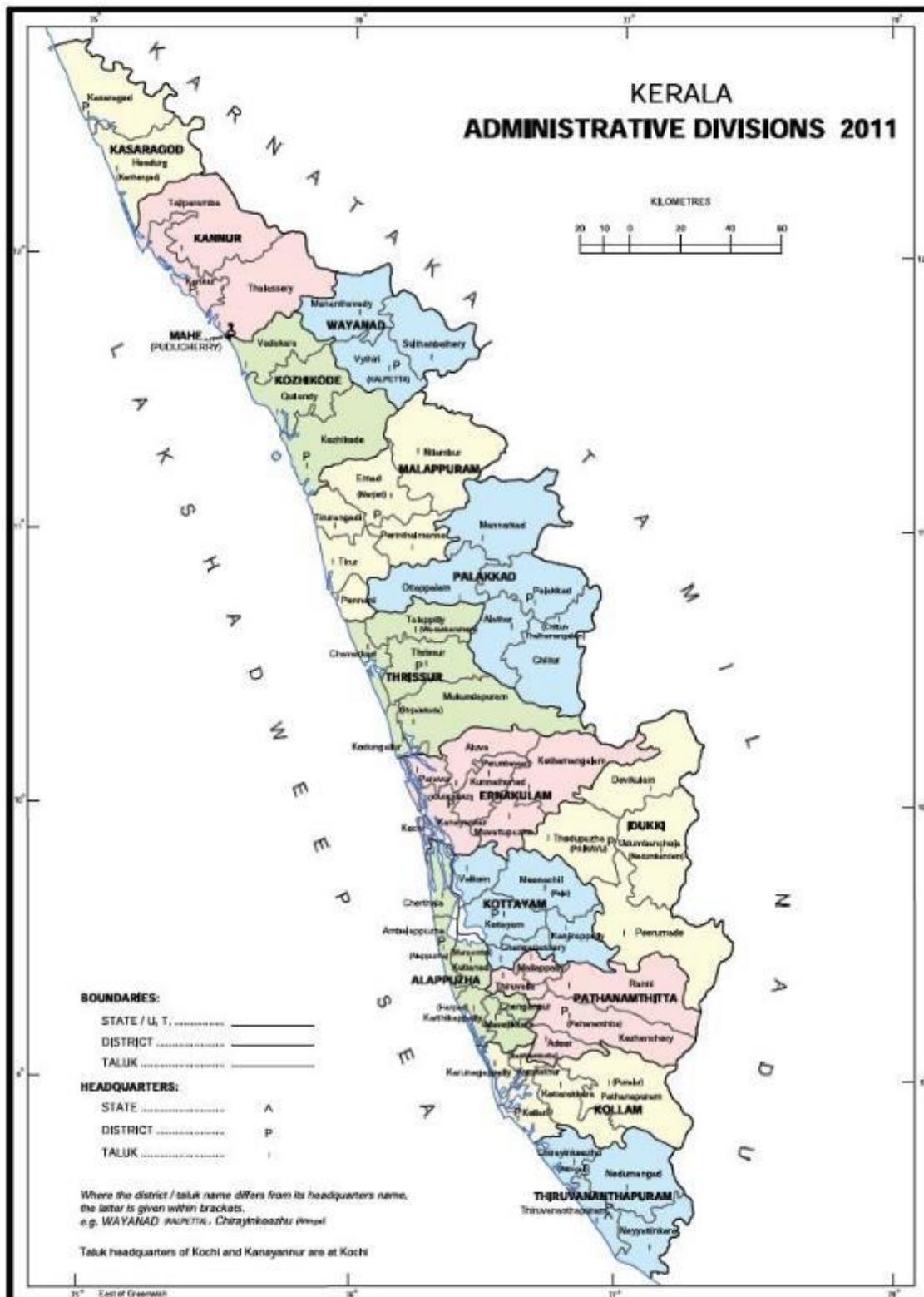


Figure 1: Administrative Boundaries of Kerala
 Source: Kerala Administrative Divisions, Kerala State Commission for Minorities
http://www.kscminorities.org/pdf/Kerala_Administrative_Divisions.pdf

1.2 Project Description

1.2.1 Project Development Objective

The Project Development Objective is to strengthen the institutional and service delivery systems for SWM in Kerala. The PDO Level indicators are given below:

- 1) People provided with access to improved solid waste services (number, gender disaggregated) (Corporate Results Indicator)
- 2) Solid waste disposal capacity (TPD) developed in the state
- 3) Number of ULBs that qualify the eligibility conditions and access the incentive grants for improving SWM services.

To address the key institutional, financial, service delivery and infrastructure constraints in the SWM system in Kerala, the project adopts an integrated service delivery value chain approach. It provides a combination of technical and financial assistance to the participating ULBs and state government to improve their institutional and organizational capacities, and their infrastructure and service delivery systems for SWM. The project will support a hybrid approach of decentralized and centralized waste management systems. At the decentralized level, participating ULBs will have a lead role in delivering SWM services including generator level waste segregation and treatment, primary collection and transportation, waste processing and recycling. Owing to the demographic and geographic profile of the state, characterized by closely located medium and small-sized ULBs and peri-urban areas with high population density, the project will also support a regional approach for regional SWM processing and disposal. The project comprises three components as described briefly below.

- 1.2.2 Project Beneficiaries - Three main target groups will directly benefit from the Project: (i) over 7 million beneficiaries across 87 municipalities and 6 Corporations, through increased access to improved municipal solid waste services and environmental, social and health conditions; (ii) municipal staff in the selected 93 ULBs, through improved institutional capacity for planning, implementing, and financing systems for SWM; and (iii) daily wagers and sanitation workers through improved working conditions and better livelihood opportunities in waste management sector

1.3 Project Components

Component 1: Institutional development, capacity building and project management

The component will provide technical assistance and capacity building at state and local level for (a) undertaking SWM institutional and policy reforms; (b) planning, designing and implementing investment sub-projects for climate smart and disaster resilient SWM infrastructure and services improvement; (c) organizational development of participating ULBs for inclusive and sustainable SWM service delivery; and (d) awareness generation, gender inclusion and stakeholder engagement. This component will also provide project management, coordination and monitoring support at state, district and local levels. Lastly, this component will also provide technical support to LSGD, SM and participating ULBs for (i) developing guidelines and systems for COVID-19 related waste management, sanitization and public hygiene practices to be rolled out across all urban areas, and (ii) carrying out social awareness generation, sensitization and training programs for all the key stakeholders and citizens. Key activities include:

Component 2: Grant support to ULBs for SWM

The component will provide grants to the participating ULBs for improving their SWM systems and capacities, mainly on (a) primary collection and transportation systems for solid waste (b) source segregation and treatment for BDW at decentralized level, (c) Rehabilitation of the existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (f) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facility, (g) public space cleaning, sanitization, waste removal activities as well as cleaning & sanitization of government offices, hospitals, community level waste recycling/processing facilities, (h) protective gears, equipment, masks, chemicals, disinfectants etc. for sanitation & waste management workers, (i) operations and maintenance payments for performance-based contracts & tipping fee for regional disposal and (j) implementation of environment and social risk mitigation actions as per ESMF-TDF-SMF-RPF.

Grants will be provided to the participating ULBs over and above their existing plan fund allocations, through a two-tranche system comprising a basic grant (BG) and an incentive grant (IG). Grants will be allocated to ULBs on a per-capita basis, based on indicative sector investment needs in SWM for the whole duration of the project. 40 percent will be allocated as BG and 60 percent as IG according to the eligibility criteria presented in table 1 that is targeted towards building the institutional systems of the ULBs for planning, implementing and managing climate-smart and disaster-resilient SWM projects. Eligibility criteria of IG consists of one-time institutional activities to be completed by ULBs and verified by an independent agency (IA) based on the milestones and verification protocol outlined in the PIM. In addition, to access the grants, ULBs must also comply with Annual Disbursement Conditions specified in the PIM which consists of basic technical, fiduciary and safeguards requirements.

Table 1: Eligibility criteria of grant allocations

Grant allocation ceiling	Eligibility Criteria
Basic Grants (40%)	Available once ULBs sign a Project Participation Agreement

Incentive (40%)	Grants	<p>ULBs must have fulfilled all the following three conditions:</p> <ul style="list-style-type: none"> • Prepared a city-wide plan for climate-smart and disaster-resilient SWM, that has been approved by SM • Issued SWM by-laws that incorporate the principles of GoK’s SWM policy • Has access to facility for final disposal of waste
Incentive (20%)	Grants	<p>5% grants on fulfilling each of the following four conditions:</p> <ul style="list-style-type: none"> • Hired top two-level staff as per SWM org. structure approved by GoK (including post of Environment Engineer) • Signed performance-based contracts for C&T of waste with HKS or other agencies • System in place for levy of user charges and for operational maintenance budgeting • Implemented M&E including grievance redressal mechanism

Sub-projects to be financed by the grants will be identified in the SWM plans prepared by the ULB at the beginning of the project and validated on an annual basis as part of the ULB’s annual planning cycle. Activities to be financed by the grants will be segregated into two tracks. Track I (T1) comprising investment subprojects that can be initiated by the ULBs right away; and Track II (T2) comprising investments that can be initiated only when the ULBs have acquired possession of unencumbered land as per the SWM plan and has access to a waste disposal facility.

Component 3: Development of regional SWM facilities

This component will finance regional processing and recycling facilities; transfer stations and regional sanitary landfills for municipal solid waste disposal; and closure/remediation of existing waste dumpsites. These down-stream activities aim at completing the value chain and will be managed by SM and implemented in compliance with the National SWM Rules 2016 and the guidelines issued by Central Pollution Control Board. In addition, this component will also finance the biomedical waste management facilities to expand the state’s capacity to deal with increased volumes of biomedical waste in the context of COVID-19 pandemic, and construction and demolition (C&D) waste management facilities.

A cluster approach will be adopted for the planning, design and development of regional facilities. For each of the regional landfills, a waste-shed areas (WSA) will be established around the land parcels identified by the government. For the detailed planning, design and development of the regional landfills, SM will carry out the required feasibility assessment (both technical and environmental including climate change mitigation and adaptation), preliminary engineering designs and Environmental and Social Impact Assessment (ESIA) studies to be financed under component 1. Likewise, regional processing and recycling facilities will be planned and developed based on the land availability, technical/financial feasibility and waste generation profile of participating ULBs. The regional facilities will be developed as part of integrated systems for collection, transportation, processing/recycling/resource recovery and safe disposal.

Closure and remediation of existing dumpsites will also be financed under this

component contingent upon adhering to screening criteria of technical, environment and social considerations. The selection of the dumpsite remediation would also depend on access to a waste disposal facility for the rejects from the dumpsite and other technical and environmental considerations established in the PIM and the ESMF-TDF-RPF. At the moment SM has identified 37 existing dumpsites for potential remediation.

Plastic waste and marine litter reduction interventions: The project will adopt a mix of preventive and responsive to address the mismanaged plastic waste problem in urban areas (particularly in ULBs along the coastline or adjacent to water bodies) as part of municipal solid waste. Key interventions include (a) strengthening the segregation, collection and transportation systems for plastic waste, (b) upgrading and augmenting the plastic recycling and resource recovery systems at local level, (c) creating enabling policy and regulatory framework for plastic consumption reduction and introducing circularity for improved resource efficiency, (d) developing plastic waste treatment and disposal systems as part of overall SWM services, (e) public awareness generation and communication for reducing plastic consumption and improved recycling, and (f) implementation of a roadmap and guidelines for regulatory enforcement and compliance of key policy decisions like the ban on single-use plastics.

Gender inclusion interventions: The project will support activities to upgrade skills and increase income for women by improving access to employment opportunities in core SWM activities including access to entrepreneurial opportunities. The project will prepare a baseline report which will include (i) number of women engaged in the value chain of SWMs; (ii) existing income levels and skills (iii) opportunities for socially excluded women to access other verticals of SWM value chain including business opportunities. *Gender Based Violence (GBV) interventions.* The GBV Action plan enlists that vulnerabilities and GBV hotspots need to be mapped once the project sites and sub-project sites are finalized. Simultaneously, the existing response mechanisms to be reviewed in terms of efficiency and effectivity in prevention, protection, rescue, rehabilitation. Based on the review, the project will identify service providers for GBV response. Secondly, as per Sexual Harassment at Workplace Act of 2013, all the institutions under the project will constitute an Internal Complaints Committee.

2 Legal and Policy Framework

2.1 Introduction

This chapter deals with the laws, regulations and policies, of Government of India, Government of Kerala and The World Bank Environmental and Social Safeguards related to social risks and impacts. Only the laws, regulations and policies relevant to the project are discussed here. This section needs to be updated as when new laws, regulations and policies are made and enforced or the existing ones are revised.

2.2 Constitutional Mandate of Local Governance

The 74th Constitutional amendments entrusted the Urban Local Bodies (ULBs) to prepare plans for economic development and social justice and their implementation under relevant schedules (Article 243 G and 243 W of the Constitution of India). Accordingly, the local government institutions are mandated with many responsibilities including Solid Waste Management.

Every ULB in India is having its own legislation for governance, planning development and assessment and taxation. The ULBs are committed to updating and modernizing their Municipal Acts and the rules framed under the Acts to best serve the citizens.

2.2.1 Kerala Municipality Act 1994

Under the Kerala Municipality Act 1994, it is responsibility of every municipality to make adequate arrangement to

- the regular sweeping and cleansing of the streets and removal of sweepings therefrom;
- the daily removal of the fifth and the carcasses of animals from private premises;
- the removal of solid wastes; and
- the daily removal of rubbish from dustbins and private premises

2.2.2 Kerala Municipality (Amendment) Act 2012

The Kerala Municipality (Amendment) Act 2012, specify handling of solid waste and segregating of solid waste at source for the owner or the person having trade centers, hospital, markets, slaughterhouses, chicken stalls, fish stalls, marriage halls, flats, hotels, catering services establishments having plinth area of more than 400 sq.m. and other such establishments.

2.2.3 Municipal Solid Wastes (Management and Handling) Rules, 2000

The SWM 2000 rules were applicable on “every municipal authority responsible for the collection, segregation, storage, transportation, processing, and disposal of

municipal solid wastes". It fixed certain responsibility for municipal authorities, State Governments, and UT Administrations as well as Central Pollution Control Board and the State Board or the Committees in infrastructure development, setting up landfills and other waste processing and disposal facilities, monitoring and ensuring eco-friendly compliance and submitting Annual Reports.

2.2.4 Solid Waste Management Rules (SWM), 2016

The Union Ministry of Environment, Forests and Climate Change (MoEF&CC) recently notified the new Solid Waste Management Rules (SWM), 2016. These will replace the Municipal Solid Wastes (Management and Handling) Rules, 2000, which have been in place for the past 16 years. These rules are the sixth category of waste management rules brought out by the ministry, as it has earlier notified plastic, e-waste, biomedical, hazardous and construction and demolition waste management rules.

The new rules are now applicable beyond municipal areas and have included urban agglomerations, census towns, notified industrial townships, areas under the control of Indian Railways, airports, special economic zones, places of pilgrimage, religious and historical importance, and State and Central Government organisations in their ambit

2.2.4.1 Major highlights of the new SWM Rules, 2016

Segregation at source: The new rules have mandated the source segregation of waste in order to channelise the waste to wealth by recovery, reuse and recycle. Waste generators would now have to segregate waste into three streams; Biodegradables, Dry (Plastic, Paper, Metal, Wood, etc.) and Domestic Hazardous waste (diapers, napkins, mosquito repellants, cleaning agents, etc.) before handing it over to the collector.

Institutional generators, market associations, event organisers and hotels and restaurants have been directly made responsible for segregation and sorting the waste and manage in partnership with local bodies. In case of an event, or gathering of more than 100 persons at any licensed/ unlicensed place, the organiser will have to ensure segregation of waste at source and handing over of segregated waste to waste collector or agency, as specified by the local authority.

All hotels and restaurants will also be required to segregate biodegradable waste and set up a system of collection to ensure that such food waste is utilised for composting / biomethanation. The rules mandate that all resident welfare and market associations and gated communities with an area of above 5,000 sq m will have to segregate waste at source into material like plastic, tin, glass, paper and others and hand over recyclable material either to authorised waste-pickers and recyclers or to the urban local body.

Collection and disposal of sanitary waste: The manufacturers or brand owners of sanitary napkins are responsible for awareness for proper disposal of such waste by the generator and shall provide a pouch or wrapper for disposal of each napkin or diapers along with the packet of their sanitary products.

Collect Back scheme for packaging waste: As per the rules, brand owners who sale or market their products in packaging material which are non-biodegradable, should put in place a system to collect back the packaging waste generated due to their production.

User fees for collection: The new rules have given power to the local bodies across India to decide the user fees. Municipal authorities will levy user fees for collection, disposal and processing from bulk generators. As per the rules, the generator will have to pay “User Fee” to the waste collector and a “Spot Fine” for littering and non-segregation, the quantum of which will be decided by the local bodies.

Also, the new rules have mentioned about the integration of **rag pickers, waste pickers and kabadiwalas** from the informal sector to the formal sector by the state government. The rules also stipulate zero tolerance for throwing; burning, or burying the solid waste generated on streets, open public spaces outside the generator’s premises, or in the drain, or water bodies.

Waste processing and treatment: As per the new rules, it has been advised that the bio-degradable waste should be processed, treated and disposed of through composting or bio-methanation within the premises as far as possible and the residual waste shall be given to the waste collectors or agency as directed by the local authority. The developers of Special Economic Zone, industrial estate, industrial park to earmark at least 5 per cent of the total area of the plot or minimum 5 plots/ sheds for recovery and recycling facility.

Waste processing facilities will have to be set up by all local bodies having a population of 1 million or more within two years. For census towns with a population below 1 million or for all local bodies having a population of 0.5 million or more, common, or stand-alone sanitary landfills will have to be set up in three years time. Also, common, or regional sanitary landfills to be set up by all local bodies and census towns with a population under 0.5 million will have to be completed in three years. Also, the rules have mandated bio-remediation or capping of old and abandoned dump sites within five years.

Promoting use of compost: As per the rules, the Department of Fertilisers, Ministry of Chemicals and Fertilizers should provide market development assistance on city compost and ensure promotion of co-marketing of compost with chemical fertilisers in the ratio of 3-4 bags is to 6-7 bags by the fertiliser companies to the extent compost is made available for marketing to the companies. Also, the Ministry of Agriculture should provide flexibility in Fertiliser Control Order for manufacturing and sale of

compost, propagating use of compost on farm land, set up laboratories to test quality of compost produced by local authorities or their authorised agencies.

Promotion of waste to energy: In a not-so welcoming move, the SWM Rules, 2016 emphasise promotion of waste to energy plants. The rules mandate all industrial units using fuel and located within 100 km from a solid waste-based Refuse-Derived Fuel (RDF) plant to make arrangements within six months from the date of notification of these rules to replace at least 5 per cent of their fuel requirement by RDF so produced.

The rules also direct that non-recyclable waste having calorific value of 1500 Kcal/kg or more shall be utilised for generating energy either through RDF not disposed of on landfills and can only be utilised for generating energy either or through refuse derived fuel or by giving away as feed stock for preparing refuse derived fuel. High calorific wastes shall be used for co-processing in cement or thermal power plants.

As per the rules, the Ministry of New and Renewable Energy Sources should facilitate infrastructure creation for Waste to Energy plants and provide appropriate subsidy or incentives for such Waste to Energy plants. The Ministry of Power should fix tariff or charges for the power generated from the Waste to Energy plants based on solid waste and ensure compulsory purchase of power generated from such Waste to Energy plants by discoms.

Revision of parameters and existing standards: As per the new rules, the landfill site shall be 100 metres away from a river, 200 metres from a pond, 200 metres away from highways, habitations, public parks and water supply wells and 20 km away from airports/airbase. Emission standards are completely amended and include parameters for dioxins, furans, reduced limits for particulate matters from 150 to 100 and now 50. Also, the compost standards have been amended to align with Fertiliser Control Order.

Management of waste in hilly areas: As per the new rules, construction of landfills on hills shall be avoided. Land for construction of sanitary landfills in hilly areas will be identified in the plain areas, within 25 kilometers. However, transfer stations and processing facilities shall be operational in the hilly areas.

Constitution of a Central Monitoring Committee: The government has also constituted a Central Monitoring Committee under the chairmanship of Secretary, MoEF&CC to monitor the overall implementation of the rules. The Committee comprising of various stakeholders from the Central and state governments will meet once a year to monitor the implementation of these rules.

2.2.4.2 Ancillary Rules

While the 2016 rules deal with MSW, the following rules cover specific categories of waste that interrelate with MSW:

- Recycled Plastics Manufacture and Usage Rules, 1999

- Batteries (Management and Handling) Rules, 2001 (amended in 2010)
- E-Waste (Management) Rules, 2016
- Hazardous and Other Wastes (Management and Transboundary Movement) Rules, 2016
- Construction & Demolition Waste Management Rules, 2016
- Bio-medical Waste Management Rules, 2016
- Plastic Waste Management Rules, 2016

The technical guidelines are given by Central Pollution Control Board and deal with various aspects of waste management.

2.2.5 Kerala State Policy on Solid Waste Management

The Local Self Department, Kerala has through an order dated 13th September, 2018 notified the State Policy on Solid Waste Management.

Aim: To transform Kerala to a garbage free state and make it an environmentally healthy state by adopting the three principles of:

- Reduce
- Reuse and
- Recycle.

Key Highlights:

1. The waste generators are facilitated to comply with various provisions under the Constitution, Acts and Rules pertaining to environment upkeep, especially with respect to waste management, thus they must:
 - Segregate and store the waste generated by them in three separate streams namely **bio-degradable, Non-Bio degradable and domestic hazardous wastes in suitable bins.**
 - Process, treat and dispose off the biodegradable waste through composting or bio-methanation within the premises as far as possible
 - Handover the residual biodegradable waste that could not be processed in the premises and the non-bio degradable and domestic hazardous waste to the Haritha Karna Sena (Green task Force) formed and engaged by the local government as per the direction or notification by the local governments from time to time.
 - Wrap securely the sanitary waste like diapers, sanitary pads, etc. in the pouches provided by the manufacturers or brand owners of these products or in a suitable wrapping material as instructed by the local authorities and shall place the same in the bin meant for dry waste or on-bio degradable waste.
 - Compost the horticulture and garden waste within the premises as far as possible and handover the spill over waste to authorized collection agencies for handling it in the common facility established by the local government.
 - Store separately the construction and demolition waste, as and when generated, within the premises and inform the local government for its disposal as per Construction and Demolition waste management rules 2016.

- All gated communities and institutions with more than 5000 sq. m area and all hotels and restaurants must ensure segregation of waste at source by the generators, facilitate collection of segregated waste in separate streams, hand over bio degradable waste for composting or bio-methanation within premises as far as possible by themselves or the service providers and recyclable material to authorised waste pickers or recyclers. The residual waste must be given to the waste collectors or agency as directed by the local authority.
- All waste generators must pay the user fee for solid waste management, as specified in the bye-laws of the local bodies
- No waste generator should throw, burn or bury the solid waste generated by him, on streets, open public spaces, within and outside his premises or in drain or water bodies.
- All industrial units located within 100 km from refused derived fuel and waste to energy plants, based on solid waste should make arrangements to replace at least five percent of their fuel requirement by refused derived fuel produced.
- All Manufacturers or brand owners of disposable products such as tin, glass, plastics packaging, sanitary napkins, diapers etc., or brand owners who introduce such products in the market must:
 - Provide necessary financial assistance to local governments for establishment of waste management system
 - Must put in place a system to collect back the packaging waste generated due to their production
 - Must educate the masses for disposal of their products after use without causing environmental damage.

2.3 The Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014

Government of India (GoI) enacted the Act that specifically aims to protect the rights of urban street vendors and to regulate street vending activities. It provides for survey of street vendors and protection from eviction or relocation; issuance of certificate for vending; provides for rights and obligations of street vendors; development of street vending plans; organizing of capacity building programs to enable the street vendors to exercise the rights contemplated under this Act; undertake research, education and training programs to advance knowledge and understanding of the role of the informal sector in the economy, in general and the street vendors, in particular and to raise awareness. This Act requires that no street vendor shall be evicted or relocated till a survey is conducted and a Certificate of vending is issued by Town Vending Committee formed under Section 22 of the Act. According to Section 18 of the Act, the local authority may, on the recommendations of the Town Vending Committee, declare a zone or part of it to be a no-vending zone for any public purpose and relocate the street vendors vending in that area. No street vendor shall be relocated or evicted by the local authority from the place specified in the certificate of vending unless he has been given thirty days' notice. However, every street vendor, who possesses a certificate of vending, shall, in case of his relocation under section 18, be entitled for

new site or area, as the case may be, for carrying out his vending activities as may be determined by the local authority, in consultation with the Town Vending Committee.

2.4 Right to Information Act, 2005

The basic object of the Right to Information Act is to empower the citizens, promote transparency and accountability in the working of the Government. The Act is a channel towards making the citizens informed about the activities of the Government and provides a practical regime of right to information for citizens to secure access to information under the control of Public Authorities. The act sets out obligations of public authorities with respect to provision of information;

- requires designating of a Public Information Officer;
- process for any citizen to obtain information/disposal of request, etc.
- provides for institutions such as Central Information Commission/State Information Commission

2.5 Tribal Legal Framework

Government of India has been sensitive to the needs of the tribal population of India. The Supreme Court has aptly summed up the tribal situation in India, “tribal areas have their own problems. Tribals are historically weaker section of the society. They need the protection of the laws as they are gullible and fall prey to the tactics of unscrupulous people and are susceptible to exploitation on account of their innocence, poverty and backwardness extending over centuries.” Many safeguards are provided under the constitution to safeguard the interests of tribals. This section reviews such safeguards and the associated laws and regulations governing tribal development and water and sanitation activities in the state.

2.5.1 Constitutional Safeguards

The term indigenous peoples are understood to be synonymous with the communities defined by the Constitution of India as scheduled tribes, as follows: “Scheduled tribes (scheduled tribes) are those communities notified as such by the President of India under Article 342 of the Constitution. The first notification was issued in 1950. The President considers characteristics like (i) tribes’ primitive traits; (ii) distinctive culture; (iii) shyness with the public at large; (iv) geographical isolation; and (v) social and economic backwardness before notifying them as a scheduled tribe.” A scheduled tribe will have one of these factors by the respective markers.

The identification of tribes is a state subject. Thus, the scheduled tribes is judged by one or a combination of these factors by the respective state. Tribes notified for Kerala State are scheduled tribes, and their category may vary in other states.

Under the Constitution of India, a number of articles have been included for the protection of the STs in particular. These are:

- (i) Article 14 – confers equal rights and opportunities to all;
- (ii) Article 15 – prohibits discrimination against any citizen on grounds of sex, religion, race, caste, etc.
- (iii) Article 15(4) – enjoins upon the state to make special provisions for the advancement of any socially and educationally backward classes;
- (iv) Article 16(4) – empowers the state to make provisions for reservation in appointments or posts in favor of any backward class of citizens;
- (v) Article 46 – enjoins upon the state to promote with special care the educational and economic interests of the weaker sections of the people and, in particular, the scheduled tribes, and promises to protect them from social injustice and all forms of exploitation;
- (vi) Article 275(1) – promises grant-in-aid for promoting the welfare of scheduled tribes and for raising the level of administration of the scheduled areas;
- (vii) Articles 330, 332, and 335 – stipulate reservation of seats for scheduled tribes in the Lok Sabha and in the State Legislative Assemblies and in services;
- (viii) Article 340 – empowers the state to appoint a commission to investigate the conditions of the socially and educationally backward classes; and
- (ix) Article 342 – specifies those tribes or tribal communities deemed to be scheduled tribes

2.5.2 Some Important legal provisions to safeguard tribal interests

The Government of India recognizes and seeks to protect the rights of scheduled tribes, principally through the following Acts/policies:

- (i) **The Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights (ROFR) Act, 2006 and the Rules**, which came into force from 1 January, 2008 (including an Amendment in 2012). The Act recognizes and records the rights of forest dwellers who have been residing and depending on the forest for generations for their Bonafide livelihood needs, without any recorded rights; The Central Government can provide for diversion of the forest for infrastructural facilities managed by Government which involve felling of trees not more than 75 per ha such as schools, hospitals, fair price shops, drinking water, irrigation, water harvesting structures, non-conventional sources of energy, roads, vocational and skill training centres, community centres etc.
- (ii) **The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989, and the Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Rules, 1995** which protect Scheduled Castes and Scheduled Tribes from

- wrongful occupation or cultivation of any land owned by them or allotted to them or lands notified by any competent authority to be allotted to, a member of a Scheduled Caste or a Scheduled Tribe and transfer of land allotted to Scheduled Caste/scheduled tribes;
 - wrongful dispossession of a member of a Scheduled Caste or a Scheduled Tribe from his land or premises or interference with the enjoyment of his rights over any land, premises or water; and
 - from any forceful removal/ causing of a Scheduled Caste or a Scheduled Tribe to leave his house, village or other place of residence.
- (iii) **The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act (RFCTLARRA), 2013** has special provisions for additional benefits to affected households who are members of scheduled castes/scheduled tribes under Section 41, Subsections 1-11, and Section 42, subsections 1-3. Notably, it provides for (i) free land for community and social gatherings; (ii) in case of displacement, a Development Plan is to be prepared; and (iii) continuation of reservation and other Schedule V and Schedule VI area benefits from displaced area to resettlement area. Appendix 4 presents all relevant clauses of the RFCTLARRA 2013 for scheduled tribes

2.5.3 Modified Area Development Approach (MADA), Pockets and clusters

Since the 8th Five Year Plan (1992-97), the concept of Tribal Sub-Plan (TSP) has been modified by extending the coverage to the entire ST population outside the scheduled areas, but those who live in contiguous areas. Three criteria are laid down for identification of tribal pockets under MADA approach. These include (i) a minimum population of 10,000 (ii) 50% of ST population in the pockets (iii) contiguity of villages in the pockets.

2.5.4 Devolution of power and emergence of system of local self-governance

The Government of India, in 1992, towards strengthening the democratic institutions at the grassroots level and make them vibrant, enacted the Constitution's 73rd and 74th Amendment Acts, empowering the people for effective participation in local governance. The Act provided for three types of Municipalities: (i) Nagar Panchayats for areas in transition from a rural area to urban area; (ii) Municipal Councils for smaller urban areas; (iii) Municipal Corporations for larger urban areas. The Twelfth Schedule delegated 18 functions to ULBs namely Urban planning including town planning; Regulation of land-use and construction of buildings; **Planning for economic and social development**; Roads and bridges; Water supply for domestic, industrial and commercial purposes; Public health, sanitation conservancy and **solid waste management**; Fire services; Urban forestry, protection of the environment and promotion of ecological aspects; **Safeguarding the interests of weaker sections of society**; **Slum improvement and upgradation**; **Urban poverty alleviation**; Provision

of urban amenities and facilities such as parks, gardens, playgrounds; Promotion of cultural, educational and aesthetic aspects; Burials and burial grounds; cremations, cremation grounds and electric crematoriums; Cattle pounds; prevention of cruelty to animals; Vital statistics including registration of births and deaths; Public amenities including street lighting, parking lots, bus stops and public conveniences; and Regulation of slaughter houses and tanneries.

2.5.5 Panchayat Extension to Scheduled Areas (PESA) Act

The 73rd and 74th Constitutional (Amendments of 1992), accommodate special powers to PRIs, were later extended, with separate provisions to the Scheduled Areas as well through the Panchayath (Extension to the Scheduled Areas) Act of 1996. With the strength and support of PESA Act, 1996 the PRI bodies at the district and village level have been endowed with special functional powers and responsibilities to ensure effective participation of the tribal people in their own development. This would also help preserve/ conserve their traditional rights over natural resources.

2.5.6 State Legislation Act, Policy or Government Order

Scheduled Tribes in the State are protected by the Kerala Land Reforms (KLR) Act, 1962, Restriction on Transfer of Lands and Restoration of Alienated Lands (RTLAL) Act, 1975, and Prevention of Atrocities Act, 1989.

Under the KLR Act, 1962, Scheduled Caste (SC) and Scheduled Tribe (ST) families are eligible for 50% of lands identified as surplus land in the State. Based on the surplus land identified, Government of Kerala (GoK) has distributed about 2,250 Ha of land among 8,089 tribal persons.

The RTLAL Act, 1975 enacted in 1982 intends to restrict land transfer by Scheduled Tribe members to non-tribal persons, and to restore lands that have been alienated to non-tribal persons. The State Revenue Department received 8,088 applications requesting to restore some 6,817 Ha of land to tribal people and so far. The attempt of the State Legislative Assembly to amend the RTLAL Act in 1996 was rejected by the President of India. Subsequent to the rejection, the State Government drafted a new Act - Kerala Scheduled Tribes (Restriction on Transfer of Lands and Restoration of Alienated Lands) Act, 1999 - effective from 1986. Its provisions have been challenged by the State High Court; and at present, the implementation of the new Act awaits the Supreme Court's judgement. As a result, the Scheduled Tribes (STs) in the State effectively has only the RTLAL Act, 1975 to protect their rights.

The Act provides for restricting the transfer of lands by members of Scheduled Tribes in the State and for the restoration of possessions of lands alienated by such members and for matters connected therewith. The outlay is for restoration of alienated land and development activities in the land, infrastructure facilities etc.

2.6 Applicable World Bank Safeguards

The implementation of the World Bank Safeguard Standards (Environmental and Social Safeguards) seeks to avoid, minimize or mitigate the adverse social impacts, including protecting the rights of those likely to be affected or marginalized by the proposed project. The following Social Safeguards are likely to apply to the proposed project and would require adequate measures to address the safeguard concerns.

Table 2: Applicable World Bank Safeguards

Social Safeguard Policies	Explanation
Indigenous Peoples OP/BP 4.10	<p>The Policy is triggered. The tribal population is 1.45 percent (484,387) of the state's total population (33,406,061). Of which tribal population in the urban area accounts for 0.32% of the total urban population, the rest inhabit the rural areas, primarily in three districts Wayanad, Idukki and Palakkad. The data on tribal households from 9 ULBs out of 12 in these three districts indicate that there are more than 4000 tribal households. Except for Kalpetta (10.22%) & Mananthavady (11.12%), the ST population percentage in the concerned Municipalities is in the range of 0.09-1.10% of the total population. the rate of reduction of poverty between 1993 and 2010, for STs was lower (-1.0) than the all-India figures (-1.2). So, relative to others, ST groups continue to be on the fringe of Kerala's overall development experience. Even though overall numbers may be small, the tribal community may be following their own traditional and cultural practices that may be like the tribals living in rural areas. Free Prior Informed Consent with the Tribal beneficiaries was discontinued due to COVID -19. The use of social media and other tools such as key informed interviews could not be carried out as the tribal community are not dependent on technology for communication. A TDF-SMF has been prepared to comply with the OP with includes stakeholder engagement Plan with a road map to complete FPIC during development of city-wide Plan and implementation of sub-project scheme cycle prior to investment and during works and O&M stage.</p> <p>The TDF-SMF includes specific measures for tribal and other vulnerable groups to access project benefits, safeguarding the rights of labor ; implement the norms and provisions of the Rights of Persons with Disabilities Act, 2016; .gender action plan to enhance their voice and resource, and measures to address gender based violence . citizen engagement, grievance management for timely resolution of complaints.</p>
Involuntary Resettlement OP/BP 4.12	<p>The policy on Involuntary Resettlement is applicable. A social assessment was carried out. It is estimated that land requirement indicates that both bio-degradable and non-biodegradable waste was found to be 367 gpcd with households contributing approximately 58% followed by Institutions at 22% and commercial sector at 20%. About 90 acres of land for dump sites is available with 10 ULBs, which is not fully utilized. It is estimated that, land required for five regional landfills for disposal of residual 20% waste i.e. 1974 tons per day (TPD) with approximately 400 TPD, as per the National Manual on Solid waste management for 20 years, is approximately 100 acres. The assessment of 12 ULBs surveyed, there are 748 Rag pickers and 214 Recyclers. The project may lead to loss of livelihood of rag pickers fails with improved management of SWM value chain. However, there is gap in data on the number and profile of rag-pickers collecting recyclable waste.</p> <p>The project design incorporates three options for ensuring land is available to meet the last mile connectivity in the value chain of SWM. These are:</p> <p>a. Utilisation of exiting dumping sites: The would be the first option provided these sites are technically and environmentally feasible for converting them into</p>

	<p>landfills. The construction induced impacts on the host community would be mitigated and measures are included in the ESMF</p> <p>b. Government Land: The preference will be towards transferring encumbrance free government land for investments. However, the risks associated with transfer of land is high, as it is a time consuming process which requires the procedures for approval at the highest level, high costs towards transfer of land, change in land and ownership of the land. For efficient transfer of government land (it may belong to a line department or to revenue department), it is proposed that all cases of land government land transfer would be facilitated through the State level Steering Committee under the Chairmanship of the Chief Secretary for policy level interventions to ensure timely transfer of land. Prior to the transfer, all people dependent on the land will be fully compensated and rehabilitated in accordance with the RPF.</p> <p>c. Private land: The state government may proceed with the acquisition of land under the RFCTLAR&R Act 2013 that has the provision for negotiated purchase of land from willing seller. The State R&R Policy 2017, framed under section 105 of the Act, provides for an enhanced package compared to the provisions laid down under Act, for all affected. To be able to purchase land, the SM would need to coordinate with the Revenue Department to complete the SIA within the time frame stipulated under the Act and consult and negotiate the rates for the land following issuance of section 11 of the Act. Delays in issuance of section 11 of the Act, will lead to uncertainty and discourage affected persons from selling the land for the project. The RPF lays down the detailed procedure to facilitate negotiated purchase of land for sub-projects.</p> <p>d. Other important risks which specific relates to the selection of the sites such as objections by host community, decrease in land rates in the neighbourhood, stigma associated with waste management sites within close proximity of settlements and others are recognised. The TDF-SMF and RPF includes appropriate mitigation measures for communities to be engaged through the process of site selection.</p> <p>A Resettlement Policy Framework (RPF) for land that will be acquired for sub-projects under the Right to Fair Compensation and Transparent Land Acquisition and Rehabilitation and Resettlement Act (RFCTLAR&R)2013 and includes livelihood restoration plan for those who will be impacted by improved services. The process laid down in the RPF includes procedures for consultation through the identification of impacts on stakeholders to implementation of mitigation measures; strengthening of the GRM system for timely resolution of complaints; capacity building of institution responsible for implementation of RPF; monitoring and budget for implementation.</p>
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3 Social and Tribal Baseline

3.1 Introduction

Kerala is situated in the south western end of the Indian subcontinent. Kerala has a long history of art and cultural heritage and foreign trade with other countries. The state with the highest literacy rate in India, is noted for its achievements in education, health, gender equality, social justice, law and order. In addition to these, the state has the lowest infant mortality rate in the country.

Table 3: Kerala at glance

S. No.	Item	Units	
1	Geographical Area	000 Sq. Km.	38863
Administrative Setup			
2	Revenue Divisions		21
3	Districts		14
4	Talukas		75
5	Villages		1664
6	Towns		520
Population as per Census 2011			
7	Total	in 000s	33406.06
8	Males		16027.41
9	Females		17378.65
10	Rural		17471
11	Urban		15935
12	SC		3040
13	ST		485
14	Density of Population	per Sq.Km	860
15	Literacy rate	Percentage	94
16	Sex ratio	over 000 Male	1084
17	Urban Population	Percentage	47.7

3.2 Geography

Kerala is a small state, tucked away in the south west corner of India. It represents only 1.18 percent of the total area of India but has 2.76% of the total population of the country which was 3.10 percent during the 2001 census. It is separated from the rest of the peninsula by natural geographic boundaries. The tropical climate and the rich monsoons offer beautiful landscapes, presence of abundant water bodies, long beaches and more than 40 rivers add to the charm. Popular by the name "God's Own Country", the location of Kerala is geographically located between 74 0 7 '47 "and 77 0 37" 12 "north latitudes and 80 17 '30' and 12 0 47 east longitudes.

Kerala may be divided into three geographical regions (1) high land (2) mid land and (3) low land. The high lands slope down from the Western Ghats, which rise to an average height of 900 m, with a number of peaks over 1,800 m in height. This is the

area of major plantations like tea, coffee, rubber, cardamom and other species.

The mid land lies between the mountains and the low lands. It is made up of undulating hills and valleys. This is an area of intensive cultivation - cashew, coconut, areca nut, cassava, banana, rice, ginger, pepper, sugarcane and vegetables of different varieties are grown in this area.

3.3 Administrative Units

During Census 2011, there were 14 districts, 63 taluks, 520 towns and 1018 villages in the State of Kerala. The corresponding figures for Census 2001 were 14 district, 63 taluks, 159 towns and 1364 villages. There was an increase of 361 towns and a decline of 346 villages in Census 2011 as compared to Census 2001. The administrative units were frozen as on 31.12.2009 for the purpose of Census taking.

3.4 Population

The total population of Kerala as per Census 2011 is 3,34,06,061 with 1,60,27,412 males and 1,73,78,649 females. The most populated district in Kerala is Malappuram (Population: 41,12,920) and the least populated district is Wayanad (Population: 8,17,420). Among the States of India; Kerala stands at 12th position in terms of population.

3.4.1 Growth Rate

The decadal rate of growth of population in Kerala during 2001-2011 has been worked out as 4.91%. Decadal rate of growth of population during 1991- 2001 was 9.43%. Malappuram district is reported to have the highest growth rate of 13.45% and the lowest as well as negative growth rate is reported in Pathanamthitta district (-2.97%). Idukki district also has a negative growth of population (-1.79%). Twelve taluks in the Central Travancore area, spanning in four districts, have shown fall in population.

Table 4: Population and Decadal Change by residence: 2011 (Persons)

State / District Code	State/District	Population 2011			Percentage Decadal Change		
		Total	Rural	Urban	Tot	Rura	Urban
32	Kerala	3,34,06,06	1,74,71,13	1,59,34,92	4.9	-25.9	92.8
01	Kasaragod	13,07,375	7,98,328	5,09,047	8.6	-17.7	117.8
02	Kannur	25,23,003	8,82,017	16,40,986	4.7	-26.3	35.3
03	Wayanad	8,17,420	7,85,840	31,580	4.7	4.6	6.6
04	Kozhikode	30,86,293	10,13,721	20,72,572	7.2	-43.0	88.2
05	Malappuram	41,12,920	22,95,709	18,17,211	13.	-29.8	410.2

06	Palakkad	28,098,93	21,33,124	6,76,810	7.4	-5.7	89.8
07	Thrissur	31,21,200	10,24,794	20,96,406	4.9	-52.0	149.7
08	Ernakulam	32,82,388	10,48,025	22,34,363	5.7	-35.7	51.3
09	Idukki	11,08,974	10,56,929	52,045	-1.8	-1.4	-9.6
10	Kottayam	19,74,551	14,09,158	5,65,393	1.1	-14.8	88.6
11	Alappuzha	21,27,789	9,79,643	11,48,146	0.9	-34.2	84.8
12	Pathanamthitta	11,97,412	10,65,799	1,31,613	-3.0	-4.0	6.3
13	Kollam	26,35,375	14,48,217	11,87,158	1.9	-31.7	154.8
14	Thiruvananthapur	33,01,427	15,29,831	17,71,596	2.1	-28.6	62.3

Source: Census 2011.

3.4.2 Density of Population

Density of population (persons per sq. km.) of Kerala is 860 persons per sq. km as per Census 2011 whereas that of India is 368. In 2001 the density of Kerala was 819. The district of Thiruvananthapuram with 1508 persons per sq. km is reported to have the highest density and the district of Idukki with 255 persons per sq. km is having the lowest density.

Table 5: Density of Population (per Sq.Km.): 2001-2011

State/District Code	State/District	Density of Population (per Sq. Km. 2001)	Density of Population (per Sq.Km. 2011)
01	Kasaragod	604	657
02	Kannur	812	366
03	Wayanad	366	384
04	Kozhikode	1,228	1,316
05	Malappuram	1,021	1,157
06	Palakkad	584	627
07	Thrissur	981	1,031
08	Ernakulam	1,012	1,072
09	Idukki	259	255
10	Kottayam	885	895
11	Alappuzha	1,492	1,504
12	Pathanamthitta	468	452
13	Kollam	1,038	1,061
14	Thiruvananthapu	1,476	1,508
	Kerala	819	860

Source: Census 2011.

3.4.3 Rural and Urban Population

In Kerala 1,74,71,135 persons have been reported living in Rural area (52.30% of total population) and 1,59,34,926 (47.70% of total population) live in urban area. In

2001, share of urban population was only 25.96%, which has been increased by 47.72 per cent in 2011. Ernakulam district is most urbanized in Kerala with the share of 68.1 per cent whereas the Wayanad district is least urbanized in Kerala with the area of 3.1 per cent.

Table 6: Proportion of Rural and Urban population: 2001-2011

State/ District Code	State/District	Proportion 2001		Proportion 2011	
		Rural	Urban	Rural	Urban
32	Kerala	74.0	26.0	52.3	47.7
01	Kasaragod	80.6	19.4	61.1	38.9
02	Kannur	49.7	50.3	35.0	65.0
03	Wayanad	96.2	3.8	96.1	3.9
04	Kozhikode	61.8	38.2	32.8	67.2
05	Malappuram	90.2	9.8	55.8	44.2
06	Palakkad	86.4	13.6	75.9	24.1
07	Thrissur	71.8	28.12	32.8	67.2
08	Ernakulam	52.4	47.6	31.9	68.1
09	Idukki	94.9	5.1	95.3	4.7
10	Kottayam	84.7	15.3	71.4	28.6
11	Alappuzha	70.5	29.5	46.0	54.0
12	Pathanamthitta	90.0	10.0	89.0	11.0
13	Kollam	82.0	18.0	55.0	45.0
14	Thiruvananthapura	66.2	33.8	46.3	53.7

Source: Census 2011.

3.1.1 Households and Household Size

The total number of households in Kerala as per Census 2011 is 78,53,754. The average household size is 4.3 persons per household whereas, in 2001 the same was 4.7. Malappuram district with 5.2 as average household size is at the top while Pathanamthitta district with 3.7 has the lowest household size.

3.1.2 Sex Ratio

The sex ratio (Number of Females per 1000 Males) of the State of Kerala is 1084. When compared to 2001 Census, sex-ratio has improved by 26 points. The highest sex ratio is in Kannur district (1136) whereas the lowest sex ratio is reported in Idukki district (1006). All district of Kerala show positive sex ratio or in other words more females than males. Among the States, Kerala stands first in terms of Sex ratio.

Table 7: Sex Ratio (number of females per 1000 males): 2001-2011

State/District Code	State/District	Sex Ratio 2001			Sex Ratio 2011		
		Total	Rural	Urban	Total	Rural	Urban
32	Kerala	1,058	1,059	1,058	1,084	1,078	1,091
01	Kasaragod	1,047	1,042	1,070	1,080	1,059	1,113
02	Kannur	1,090	1,067	1,112	1,136	1,072	1,171
03	Wayanad	995	995	994	1,035	1,034	1,051
04	Kozhikode	1,057	1,059	1,055	1,098	1,091	1,102
05	Malappuram	1,066	1,067	1,061	1,098	1,096	1,101
06	Palakkad	1,066	1,068	1,056	1,067	1,068	1,063
07	Thrissur	1,092	1,096	1,079	1,108	1,099	1,112
08	Ernakulam	1,019	1,014	1,024	1,027	1,021	1,029
09	Idukki	993	992	1,012	1,006	1,005	1,036
10	Kottayam	1,025	1,022	1,038	1,039	1,034	1,051
11	Alappuzha	1,079	1,087	1,060	1,100	1,108	1,094
12	Pathanamthitta	1,094	1,095	1,078	1,132	1,132	1,126
13	Kollam	1,069	1,075	1,042	1,113	1,128	1,096
14	Thiruvananthapuram	1,060	1,070	1,042	1,087	1,111	1,068

Source: Census 2011

3.2 Child Population

The child population (0-6 years) of Kerala according to Census 2011 is, 34,72,955. In absolute number, Malappuram district is reported to have the highest child population (5,74,041) and Wayanad district with a child population of 92,324 is having the lowest number of children. The growth rate of child population at the State level is 8.44%. The district having the highest growth rate of child population is Malappuram (4.08%) while Pathanamthitta district with -23.76% is having the lowest growth rate in respect of child population. Except Malappuram in all other district the child population declining.

Table 8: Child Population (0-6 years) and proportion: 2011 (Persons)

State/Dt. code	State/ District	Child Population (0-6 years)			Proportion of Child Population					
					2001			2011		
		Total	Rural	Urban	Total	Rural	Urban	Total	Rural	Urban
32	Kerala	34,72,955	18,23,664	16,49,291	11.9	12.1	11.3	10.4	10.4	10.4
01	Kasaragod	1,55,807	91,832	63,975	13.2	13.4	12.5	11.9	11.5	12.6
02	Kannur	2,74,318	95,223	1,79,095	11.6	12.0	11.3	10.9	10.8	10.9
03	Wayanad	92,324	88,727	3,597	13.3	13.4	12.8	11.32	11.3	11.4
04	Kozhikode	3,35,645	1,14,602	2,21,043	12.1	12.0	12.2	10.9	11.3	10.7
05	Malappuram	5,74,041	3,20,051	2,53,990	15.2	15.3	14.8	14.0	13.9	14.0
06	Palakkad	3,02,297	2,31,892	70,405	12.2	12.3	11.2	10.8	10.9	10.4
07	Thrissur	3,03,950	1,00,977	2,02,973	11.2	11.3	10.7	9.7	9.9	9.7
08	Ernakulam	3,04,242	93,614	2,10,628	10.9	10.9	10.9	9.3	8.9	9.4

09	Idukki	1,05,641	1,00,459	5,182	11.9	11.9	12.0	9.5	9.5	10.0
10	Kottayam	1,74,486	1,25,143	49,343	10.9	10.9	10.8	8.8	8.9	8.7
11	Alappuzha	1,92,046	89,414	1,02,632	10.7	10.6	10.9	9.0	9.1	8.9
12	Pathanamthitta	96,837	86,181	10,656	10.3	10.3	10.3	8.1	8.1	8.1
13	Kollam	2,54,260	1,37,559	1,16,701	11.3	11.3	11.3	9.6	9.5	9.8
14	Thiruvananthapuram	3,07,061	1,47,990	1,549,071	11.4	11.8	10.6	9.3	9.7	9.0

Source: Census 2011.

3.2.1 Child Sex Ratio

The State of Kerala has a child sex ratio (0-6 Years) (Girls per Thousand Boys) of 964. In 2001 child sex ratio was 960. Among the districts, Pathanamthitta district with 976 and Thrissur district with 950 are witnessing the highest and the lowest child sex ratio respectively.

Table 9: Child Sex Ratio (0-6 years): 2001-2011

State/ District Code	State/District	Child Sex Ratio (0-6 Years) 2001			Child Sex Ratio (0-6 years) 2011		
		Total	Rural	Urban	Total	Rural	Urban
32	Kerala	960	961	958	964	965	963
01	Kasaragod	959	960	957	961	966	954
02	Kannur	962	963	960	971	966	974
03	Wayanad	959	959	972	965	965	959
04	Kozhikode	959	959	958	969	967	971
05	Malappuram	960	961	949	965	964	966
06	Palakkad	963	964	957	967	969	959
07	Thrissur	958	954	969	950	956	947
08	Ernakulam	954	955	954	961	959	961
09	Idukki	969	968	988	964	964	974
10	Kottayam	962	959	978	964	963	968
11	Alappuzha	956	957	953	951	955	947
12	Pathanamthitta	967	967	966	976	977	973
13	Kollam	960	962	951	973	973	972
14	Thiruvananthapuram	962	966	954	964	965	962

Source: Census 2011.

3.3 Literacy

Total number of literates in Kerala as per Census 2011 is 2, 81,35,824.

Total Literacy Rate: Among States/UTs Kerala occupies 1st position in terms of literacy. The effective literacy rate of the State of Kerala as per Census 2011 is 94.00% (Rural-92.98%, Urban - 95.11%). In 2001, literacy rate of Kerala was 90.86%. There has been an increase of 3.14% points in the effective literacy rate (2.94% points in

rural areas and 1.92% points in urban areas) during the last decade. Kottayam district has recorded the highest literacy rate (97.21%) and Wayanad district with 89.03% is having the lowest literacy. All India literacy rate is 72.99%.

- a) **Male Literacy:** Male literacy rate has increased by 1.87% points and the male literacy rate works out to be 96.11% (Rural - 95.35%, Urban - 96.95%) The highest male literacy rate in rural areas is returned in Kottayam (97.97%) while the lowest is returned in Palakkad (92.36%). In urban areas, the lowest male literacy rate is returned in Wayanad (94.31%) and the highest in Kottayam (98.24%). All India male literacy rate is 80.89%.

Table 10: Literacy Rates by Sex for State and Districts: 2001 and 2011

State/ District Code	State/District	Literacy rate*					
		Persons		Males		Females	
		2001	2011	2001	2011	2001	2011
32	Kerala	90.86	93.91	94.24	96.02	87.72	91.98
01	Kasaragod	84.57	89.85	90.36	93.93	79.12	86.13
02	Kannur	92.59	95.41	96.13	97.54	89.40	93.57
03	Wayanad	85.25	89.32	89.77	92.84	80.72	85.94
04	Kozhikode	92.24	95.24	96.11	97.57	88.62	93.16
05	Malappuram	89.61	93.55	93.25	95.78	86.26	91.55
06	Palakkad	84.35	88.49	89.52	92.27	79.56	84.99
07	Thrissur	92.27	95.32	95.11	96.98	89.71	93.85
08	Ernakulam	93.20	95.68	95.81	97.14	90.66	94.27
09	Idukki	88.69	92.20	92.33	94.84	85.02	89.59
10	Kottayam	95.82	96.40	97.34	97.17	94.35	95.67
11	Alappuzha	93.43	96.26	96.27	97.90	90.82	94.80
12	Pathanamthitta	94.84	96.93	96.41	97.70	93.43	96.26
13	Kollam	91.18	93.77	94.43	95.83	88.18	91.95
14	Thiruvananthapuram	89.28	92.66	92.64	94.60	86.14	90.89

* Literacy rate is the percentage of literates to population aged 7 years and above

Source: Census 2011.

- b) **Female literacy:** The female literacy rate has increased significantly by 4.35% points during the last decade and the same is 92.07% as per Census 2011 (Rural - 90.81%, Urban - 93.44%). In female literacy rate, Kottayam district tops with 96.48% and Wayanad district with 85.07% is at the bottom. The highest female literacy rate in rural areas has returned in Kottayam (96.37%), while the lowest is returned in Palakkad (84.56%). In Urban areas, the lowest female literacy rate is returned in Wayanad (88.40%) and the highest in Kottayam (96.75%). All India female literacy rate is 64.64%.

3.3.1 Gender gap in literacy

It is significant to note that the gap in literacy rate among males and females has reduced from 6.52% in 2001 to 4.04% in 2011. Kottayam district with 1.49% has the

lowest gender gap in literacy and the district of Kasargod has the highest gap in literacy 7.56%. Among States/UTs. Meghalaya is the only State with 3.07% gap in literacy which is less than that of Kerala. All India gap in literacy is 16.25%.

3.4 Scheduled Caste Population

The total Scheduled Caste Population as per Census 2011 is 30,39,573. Out of this 18,18,281 are in rural areas and 12,21,292 are in urban areas.

- a. In terms of proportion, the Scheduled Caste population constitutes 9.1% of the total population of the State. The proportion during the last Census was 9.8%. There has been a decrease in proportion of 0.7% during the last decade.
- b. The highest proportion of Scheduled Caste has been recorded in Palakkad (14.37%) and the lowest in Kannur (3.30%).
- c. The Scheduled Caste population in absolute numbers has decreased by 84,368.
- d. The highest number of Scheduled Castes population has been recorded in Palakkad (4,03,833) and the lowest in Wayanad (32,578)
- e. In terms of gender composition, there are 14,77,808 male Scheduled Caste population (Rural - 8,83,819 and Urban - 5,93,989) and 15,61,765 female Schedule Caste population (Rural - 9,34,462 and Urban - 6,27,303)
- f. Sex ratio of SC population in Kerala is 1057.

Table 11: District wise distribution of Scheduled Caste population in 2011

S. No.	District	Total	Male	Female	Rural	Urban
KERALA		3039573	1477808	1561765	1818281	1221292
1	Thiruvananthapuram	372977	178589	194388	179917	193060
2	Kollam	328263	157801	170462	208474	119789
3	Pathanamthitta	164465	78942	85523	151844	12621
4	Alappuzha	201211	97183	104028	111931	89280
5	Kottayam	153909	75503	78406	119360	34549
6	Idukki	145486	72399	73087	143340	2146
7	Ernakulam	268411	131573	136838	102403	166008
8	Thrissur	324350	156480	167870	121839	202511
9	Palakkad	403833	197451	206382	322951	80882
10	Malappuram	308266	151557	156709	192270	115996
11	Kozhikode	199191	97279	101912	75490	123701
12	Wayanad	32578	16406	16172	30378	2200
13	Kannur	83350	40260	43090	23562	59788
14	Kasargod	53283	26385	26898	34522	18761

Source: Census 2011

3.5 Labor Force

3.5.1 Workers

As per Census 2011, the total number of workers (who have worked for at least one day during the reference year) in Kerala is 1,126,19,063. Out of this 84,51,569 workers are males and 31,67,494 are females. There is an increase of 13,35,176 workers during the decade 2001-2011.

3.5.2 Work Participation Rate

The percentage of workers to total population (WPR) in Kerala according to Census 2011 is 34.78%. Compared to 2001 Census, an improvement of 2.48% is observed in WPR. The highest WPR is in Idukki (46.56%) and the lowest in Malappuram (25.83%). Among males, the Work Participation Rate is 52.73%. In 2001 the same was 50.20%. Highest Male Work Participation Rate is observed in Idukki (60.00%) and the lowest in Malappuram (45.82%). Among females the work participation rate is 18.23%. In 2001, the same was 15.38%. Highest Female Work Participation Rate is observed in Idukki (33.20%) and lowest in Malappuram (7.63%).

Table 12: Distribution of main workers in Kerala (2011)

Sl.No	Item	Sex	Total	Rural	Urban
A	Total workers	P	1,16,19,063	63,41,957	52,77,106
		M	84,51,569	45,07,501	39,44,068
		F	31,67,494	18,34,456	13,33,038
B	Main workers	P	93,29,747	49,30,191	43,99,556
		M	71,29,828	37,43,078	34,36,750
		F	21,49,919	11,87,113	9,62,806
(i)	Cultivators	P	5,44,932	4,81,651	63,281
		M	4,65,546	4,10,532	55,014
		F	79,386	71,119	8,267
(ii)	Agricultural Labor ers	P	9,19,136	7,60,632	1,58,504
		M	6,29,092	5,10,300	1,18,792
		F	2,90,044	2,50,332	39,712
(iii)	Household Industry workers	P	1,98,281	1,04,642	93,639
		M	1,32,111	68,889	63,222
		F	66,170	35,753	30,417
(iv)	Other workers	P	76,67,398	35,83,266	40,84,132
		M	59,53,079	27,53,357	31,99,722
		F	17,14,319	8,29,909	8,84,410
C	Marginal Workers	P	22,89,316	14,11,766	8,77,550
		M	12,71,741	7,64,423	5,07,318
		F	10,17,575	6,47,343	3,70,232
(i)	Cultivators	P	1,25,321	1,05,378	19,943
		M	81,360	68,349	13,011
		F	43,961	37,029	6,932

(ii)	Agricultural Labor ers	P	4,03,714	3,22,371	81,343
		M	2,28,903	12,79,994	48,909
		F	1,74,811	1,42,377	32,434
(iii)	Household Industry workers	P	74,741	46,285	28,456
		M	32,504	20,508	11,996
		F	42,237	25,777	16,460
(iv)	Other workers	P	16,85,540	9,37,732	7,47,808
		M	9,28,974	4,95,572	4,33,402
		F	7,56,566	4,42,160	3,14,406
D	Non-workers	P	2,17,86,998	1,11,29,178	1,06,57,820
		M	75,75,843	39,00,553	36,75,290
		F	1,42,11,155	72,28,625	69,82,530

Source: Census of India 2011

3.5.3 Main and Marginal Workers

In Census 2011, out of the 1,16,19,063 workers, 93,29,747 are main workers and the remaining 22,89,316 are marginal workers.

- The percentage of main workers among the total workers in Census 2011 is 80.30% against 80.01% in Census 2001.
- The percentage of main workers among the male workers is 84.95% and that among female workers is 67.87%.
- The percentage of male main workers has increased from 83.20% to 84.95% in Census 2011.
- On the other hand, the percentage of female main workers has reduced from 70.54% to 67.87% in Census 2011.
- Ernakulam reported the highest percentage of main workers (84.96%) as per Census 2011 and a minimum of 74.13% recorded in Alappuzha.
- For the first time, in Census 2011, the marginal workers, i.e. workers who worked for less than six months during the reference year, have been subdivided in two categories, namely, those worked for less than 3 months and those worked for 3 months or more but less than six months.
- Amongst the 22,89,316 marginal workers 18,28,203 (79.85%) worked for 3 to 6 months whereas 4,61,113 (20.14%) persons worked for less than 3 months. Percentage share of persons worked for 3 to 6 months is slightly higher in urban areas (81.20%) than in rural areas (79.42%).
- Whereas for persons worked for less than 3 months, the share is higher in rural areas (20.58%) than in urban areas (18.80%)

3.5.4 Categories of Economic Activities of the Workers

The broad categories of economic activities, also known as fourfold classification of the workers are Cultivators (CL), Agricultural Labor ers (AL), working in Household Industries (HHI) and Other Workers (OW).

- a. In Census 2011, out of 1,16,19,063 workers, 6,70,253 (5.77%) are cultivators and 13,22,850 (11.39%) are Agricultural Labor ers. Thus 17.16% of workers are engaged in agricultural activities compared to 22.80% of Census 2001. Of the remaining workers 2,73,022 (2.35%) are in Household industries and 93,52,938 (80.50%) are Other Workers.
- b. During the decade 2001-2011, the Census results show a fall of 53,902 in cultivators and a decrease of 2,98,001 in Agricultural Labor ers. The Household Industries have also shown a decrease of 96,645 however other workers have increased by 17,83,724.
- c. In Census 2011, the percentage of male Cultivators decreased to 6.47% from 7.75%. Among the females, the percentage of Cultivators has reduced to 3.89% from 4.85%.

Table 13: Total Workers 2011 and Work Participation Rate for 2001 and 2011 Rural and Urban.

District	Total Workers 2011			Work Participation Rate					
	Total	Rural	Urban	2001			2011		
				Total	Rural	Urban	Total	Rural	Urban
Kerala	1,16,19,063	63,41,957	52,77,106	32.3	32.5	31.6	34.8	36.3	33.1
Kasaragod	4,62,998	3,00,809	1,62,189	34.7	35.3	32.4	35.4	37.7	31.9
Kannur	8,24,116	3,22,381	5,01,735	31.9	34.0	29.8	32.7	36.6	30.6
Wayanad	3,40,077	3,28,034	12,043	39.5	39.5	40.8	41.6	41.7	38.1
Kozhikode	9,48,981	3,16,246	6,32,735	27.9	27.4	28.7	30.7	31.2	30.5
Malappuram	10,62,424	6,13,162	4,49,262	24.1	24.1	24.4	25.8	26.7	24.7
Palakkad	10,42,340	8,06,903	2,35,437	36.1	36.5	33.9	37.1	37.8	34.8
Thrissur	10,95,727	3,79,199	7,16,528	32.1	32.2	31.9	35.1	37.0	34.2
Ernakulam	12,49,343	4,17,997	8,31,346	36.0	37.5	34.2	38.1	39.9	37.2
Idukki	5,16,363	4,98,624	17,739	43.2	43.7	33.7	46.6	47.2	34.1
Kottayam	7,35,735	5,39,176	1,96,559	32.9	33.3	30.8	37.3	38.3	34.8
Alappuzha	8,04,471	3,71,442	4,33,029	34.3	33.8	35.6	37.8	37.9	37.7
Pathanamthitta	3,92,794	3,51,835	40,959	29.7	29.9	27.3	32.8	33.0	31.1
Kollam	9,12,025	5,12,817	3,99,208	32.1	32.2	31.2	34.6	35.4	33.6
Thiruvananthapuram	12,31,669	5,83,332	6,48,337	32.4	32.4	32.5	37.3	38.1	36.6

Source: Census of India 2011

Keeping in mind the role of Rag pickers and scrap dealers in helping to recycle our valuable resources, Suchitwa Mission initiated an innovative step to bring them on board in its efforts to promote recycling. The Survey and Registration of all types of scrap Dealers and Rag Pickers was undertaken. Around 2000 Scrap Dealers and Rag Pickers were so far been registered under this programme. <https://sanitation.kerala.gov.in/scrap-dealers/>

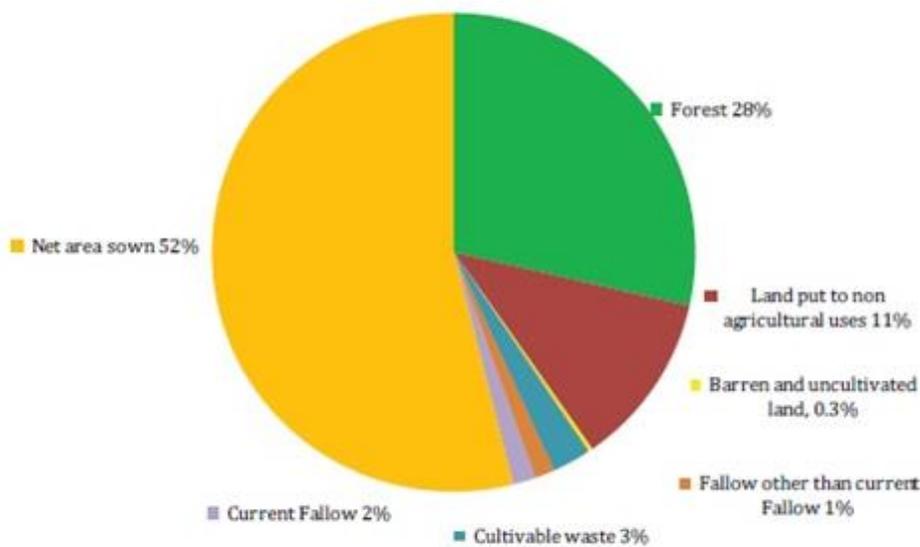
3.6 Emigration

There are 21,21,887 emigrants from Kerala across the world during 2018. Furthermore, there is a reduction in emigration from the last ten years. The number of return emigrants estimated by Kerala Migration Survey 2018 is 12.95 lakh, about 60 per cent of the number of emigrants. The major reason for returning to Kerala is reported as having lost their job or laid off in the destination countries (29.4 per cent). Around 14 per cent came back to their native place due to health problems related to illness or accident. About 12 per cent returned due to family matters such as marriage in the family, deaths in the family, children's education, fertility-related and other family issues.

3.7 Land Use Pattern

As per the land use data of 2017-18, out of a total geographical area of 38.86 lakh ha, total cultivated area is 25.79 lakh ha (66 per cent) and the net area sown is 20.40 lakh ha (52 per cent). Land put to non-agricultural use stands at 11 percent and forest area is 28 per cent.

Land use pattern of Kerala 2017-18



Source: Directorate of Economics and Statistics

Figure 2: Kerala Land Use Pattern 2017-18

3.8 Demographic Profile of Tribals

3.8.1 Background

Tribals in Kerala (Adivasis of Kerala) are the indigenous population found in the southern Indian state of Kerala. Most of the tribal people of Kerala live in the forests and mountains of Western Ghats, bordering Karnataka and Tamil Nadu

It is estimated that there are about 4 lakh tribal people living in Kerala and about half of this population has made the interiors of Wayanad their home. The tribals were the original inhabitants of Wayanad region. But once the British era opened roads to this region and commercial plantations began to sprout, there occurred a migration of settlers to this region and during the 1940s this migration enhanced tremendously displacing the aborigines or adivasis of the area. The tribes lost their land and dwindled in numbers and now they constitute only 20 percent of the total population of the district. The native Adivasis of the district belong to various sects like Paniyas, Kurumas,

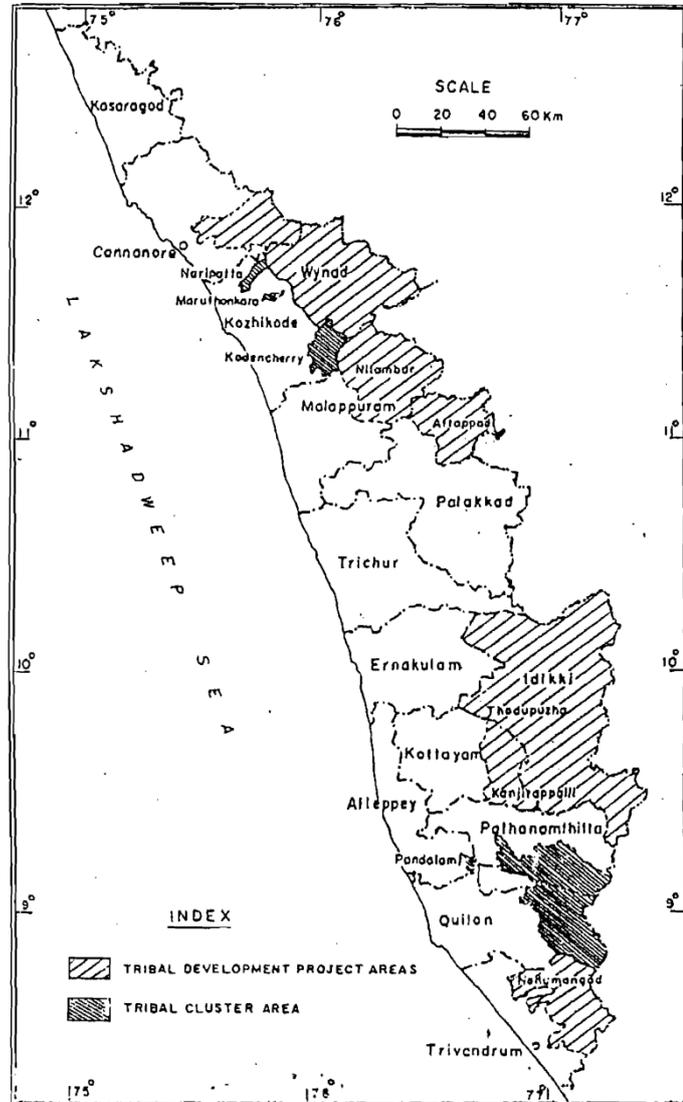


Figure 3: Map of Kerala showing Tribal area

Adiyars, Kurichyas, Ooralis, Kattunaikkans and Uraali Kurumas. They are mostly physically distinguishable with darker skin and stout built physique. They often live in houses made of thatched roof, mud, bamboo and brick houses set in swampy valleys and plateaus. Though many of them said to be primitive tribes, all of them have a story of migration to the hills. It is likely to believe that these tribes were living there for several centuries! "The story of tribes on the Western Ghat mountainous ranges have is less than 300 years", says Philipose Vaidyar who had visited and stayed with several of these tribal groups. Cholanaikkan is said to be the most primitive and a vanishing tribe. "Discussions with

them, and the history during the British times, the capture of local kings and their fights have much to reveal about their migration from the valley to the hills” he says.

3.8.2 Population

The total Scheduled Tribe population as per Census 2011 is 4,84,839. Out of this 4,33,092 are in rural areas and 51,747 in urban areas.

Table 14: District wise distribution of Scheduled Tribe population in 2011

Sl. No.	District	Total	Male	Female	Rural	Urban
KERALA		484839	238203	246636	433092	51747
1	Thiruvananthapuram	26759	12624	14135	20022	6737
2	Kollam	10761	5195	5566	7663	2875
3	Pathanamthitta	8108	3947	4161	2961	445
4	Alappuzha	6574	3175	3399	19698	3613
5	Kottayam	21972	10974	10998	19698	2274
6	Idukki	55815	27995	27820	55243	572
7	Ernakulam	16559	8349	8210	8324	8235
8	Thrissur	9430	4362	5068	5859	3571
9	Palakkad	48972	24314	24658	47023	1949
10	Malappuram	22990	11272	11718	18247	4743
11	Kozhikode	15228	7429	7799	9555	5673
12	Wayanad	151443	74476	76967	148215	3228
13	Kannur	41371	20141	21230	36302	5069
14	Kasargod	48857	23950	24907	46094	2763

Source: Census 2011

- In terms of proportion, the Scheduled Tribe population constitutes 1.45% of the total population. The proportion during the last Census was 1.14%. Thus there has been an increase of 0.36% in the proportion during the last decade.
- The highest proportion of Scheduled Tribe has been recorded in Wayanad (18.53%) and the lowest in Thrissur (0.30%).
- The Scheduled Tribe Population in absolute numbers has increased by 1,20,650.
- The highest number of Scheduled Tribe has been recorded in Wayanad (1,51,443) and the lowest in Alappuzha (6,574).
- In terms of gender composition there are 2,38,203 male Scheduled Tribe population (Rural - 2,13,208 and Urban - 24,995) and 2,46,636 female Scheduled Tribe population (Rural - 2,19,884 and Urban -26,752).
- Sex ratio of ST population in Kerala is 1035.

The list of Scheduled Tribes in Kerala had undergone changes during the decade 2001-2011 resulting change in proportion of Scheduled Tribes. The Scheduled Tribe population of Kerala is 4,84,839 persons constituting 1.45 per cent of the total

population of the State (3.338 crore) as per 2011 Census. There has been an increase of 0.63 per cent as compared to 2001 population census.

The Scheduled Tribes in Kerala are not only geographically concentrated, but are overwhelmingly rural. Highest concentration of Scheduled Tribes is seen in Wayanad District (31.24 per cent) followed by Idukki (11.51 per cent), Palakkad (10.10 per cent) and Kasaragod (10.08 per cent). These four districts together account for 62.93 per cent of Scheduled Tribes in the State. The coastal district of Alappuzha has the lowest percentage (1.36 per cent).

Table 15: District Wise Population of Scheduled Tribes

Sl no	District	Total Population	Scheduled Tribes			ST Percentage to total Population	Percentage Distribution
			Male	Female	Total		
1	Kasargod	1307375	23950	24907	48857	3.74	10.08
2	Kannur	2523003	20141	21230	41371	1.64	8.53
3	Wayand	817420	74476	76967	151443	18.53	31.24
4	Kozhikode	3086293	7429	7799	15228	0.49	3.14
5	Malappuram	4112920	11272	11718	22990	0.56	4.74
6	Palakkad	2809934	24314	24658	48972	1.74	10.1
7	Thrissur	3121200	4362	5068	9430	0.3	1.94
8	Ernakulam	3282388	8349	8210	16559	0.5	3.42
9	Idukki	1108974	27995	27820	55815	5.03	11.51
10	Kottayam	1974551	10974	10998	21972	1.11	4.53
11	Alappuzha	2127789	3175	3399	6574	0.31	1.36
12	Pathanamthitta	1197412	3947	4161	8108	0.68	1.67
13	Kollam	2635375	5195	5566	10761	0.41	2.22
14	Trivandrum	3301427	12624	14135	26759	0.81	5.52
Kerala		33406061	238203	246636	484839	100	1.45

Source: Census of India 2011.

3.8.3 Urban Areas

From the table it is evident that around 10.7% of the total tribal population in the state resides in urban areas. The table below details out the distribution of tribal population in urban areas and compares it to total population of tribal, within the respective district. District wise distribution of Tribal population in the urban areas of the state indicates that Alappuzha and Ernakulam have the highest proportion of tribal population residing in urban areas with 55% and 49.7% of the total tribal population in the respective districts residing in urban areas.

Table 16: Distribution of Tribal Population in Urban Areas

S No	District	Rural		Urban		Total
		Population	% of Total	Population	% of Total	
1	Kasaragod	46,094	94.3	2,763	5.7	48,857
2	Kannur	36,302	87.7	5,069	12.3	41,371
3	Wayanad	1,48,215	97.9	3,228	2.1	1,51,443
4	Kozhikode	9,555	62.7	5,673	37.3	15,228
5	Malappuram	18,247	79.4	4,743	20.6	22,990
6	Palakkad	47,023	96.0	1,949	4.0	48,972
7	Thrissur	5,859	62.1	3,571	37.9	9,430
8	Ernakulam	8,324	50.3	8,235	49.7	16,559
9	Idukki	55,243	99.0	572	1.0	55,815
10	Kottayam	19,698	89.7	2,274	10.3	21,972
11	Alappuzha	2,961	45.0	3,613	55.0	6,574
12	Pathanamthitta	7,663	94.5	445	5.5	8,108
13	Kollam	7,886	73.3	2,875	26.7	10,761
14	Thiruvananthapuram	20,022	74.8	6,737	25.2	26,759
32	Kerala	4,33,092	89.3	51,747	10.7	4,84,839

The Table below present the details of tribes and gender split of urban population in state of Kerala.

Table 17: Tribe-wise and Gender-wise Urban Population

S. No	ST Name	Total	Male	Female	% of total Population
1	Adiyan	143	56	87	0.33
2	Arandan, Aranadan	8	5	3	0.01
3	Eravallan	21	13	8	0.03
4	Hill Pulaya, Mala Pulayan, Kurumba Pulayan, Karavazhi Pulayan, Pamba Pulayan	51	28	23	0.09
5	Irular, Irulan	430	163	267	1.00
6	Kadar, Wayanad Kadar	186	86	100	0.37
7	Kanikaran, Kanikkar	1,849	821	1,028	3.84
8	Kattunayakan	723	314	409	1.53
9	Kochuvelan	0	0	0	0.00
10	Koraga	631	298	333	1.24
11	Kudiya, Melakudi	16	7	9	0.03
12	Kurichchan, Kurichiyen	1,817	871	946	3.54
13	Kurumans, Mulla Kuruman, Mulla Kuruman, Mala Kuruman	848	377	471	1.76
14	Kurumbas, Kurumbar, Kurumban	283	151	132	0.49
15	Maha Malasar	3	2	1	0.00
16	Malai Arayan, Mala Arayan	3,192	1,581	1,611	6.02
17	Malai Pandaram	264	129	135	0.50
18	Malai Vedan, Malavedan	861	394	467	1.75
19	Malakkuravan	65	32	33	0.12
20	Malasar	18	14	4	0.01

21	Malayan, Nattu Malayan, Konga Malayan (excluding the areas comprising the Kasargode, Connanore, Wayanad and Kozhikode districts)	176	84	92	0.34
22	Malayarayar	164	81	83	0.31
23	Mannan (to be spelt in Malayalam script in parenthesis)	332	167	165	0.62
24	Muthuvan, Mudugar, Muduvan	349	159	190	0.71
25	Palleyan, Palliyan, Palliyar, Paliyan	20	11	9	0.03
26	Paniyan	3,115	1,475	1,640	6.13
27	Ulladan, Ullatan	5,120	2,419	2,701	10.10
28	Uraly	263	119	144	0.54
29	Mala Vettuvan (in Kasargode and Kannur districts)	66	28	38	0.14
30	Ten Kurumban, Jenu Kurumban	0	0	0	0.00
31	Thachanadan, Thachanadan Moopan	62	26	36	0.13
32	Cholanaickan	4	0	4	0.01
33	Mavilan	1,202	524	678	2.53
34	Karimpalan	1,980	965	1,015	3.79
35	Vetta Kuruman	201	95	106	0.40
36	Mala Panickar	204	93	111	0.41
37	Generic Tribes etc.	27,080	13,407	13,673	51.11
	Total	51,747	24,995	26,752	100.00

Source: Census of India 2011.

3.8.4 Notified Tribes in Kerala

As amended by the Scheduled Castes and Scheduled Tribes Order (Amendment Act) 1976 and as amended by the Constitution (Scheduled castes) Orders (Second Amendment) Act, 2002 (Act 61 of 2002) vide Part VIII- Kerala- Schedule I notified in the Gazette of India, dated 18 December, 2002) and (As amended by the Scheduled Castes and Scheduled Tribes Orders (Amendment) Act 2002 (Act 10 of 2003) vide Part VII- Kerala- Second Schedule notified in the Gazette of India dated 8 January, 2003), the following tables list the total 36 notified tribes in Kerala.

Table 18: List of Scheduled tribes of Kerala

S. No.	Tribes	S. No.	Tribes
1	Adiyan)	19	Malai Vedan (Mala Vedan)
2	Aranda (Arandan)	20	Malakkuravan
3	Eravallan	21	Malasar
4	Hill Pulaya(Mala Pulayan, Kurumba Pulayan, Karavazhi Pulayan, Pamba Pulayan)	22	Malayan, Nattu Malayan, Konga Malayan (Excluding the areas comprising the Kasaragod, Kannur, Wayanad and Kozhikode Districts)
5	Irular,Irulan	23	Mavilan
6	Kadar (Wayanad Kadar)	24	Malayarayar
7	Kanikkaran, Kanikar	25	Mannan
8	Karimpalan	26	Muthuvan,Mudugar,Muduvan
9	Kattunayakan	27	Palleyan, Palliyan, Palliyar, Palliya
10	Kochuvelan	28	Paniyan
11	Koraga	29	Ulladan, Ullatan

S. No.	Tribes	S. No.	Tribes
12	Kudiya, Melakudi	30	Uraly
13	Kurichchan (Kurichiyar)	31	Mala Vettuvan (in Kasaragod and Kannur Districts)
14	Kurumans (Mullu Kuruman, Mulla Kuruman, Mala Kuruman)	32	Ten Kurumban, Jenu Kurumban
15	Kurumbas (Kurumbar, Kurumban)	33	Thachenadan, Thachenadan, Moopan
16	Mahamalar	34	Cholanaikkan
17	Malai Arayan (Mala Arayan)	35	Malapanickar
18	Malai Pandaran	36	Vettakuruman

Source: <https://www.keralapsc.gov.in/list-scheduled-castes-kerala-state>

3.8.5 Primitive Tribal Groups

Government of India has identified 75 tribal communities as Primitive Tribal Groups (PTG), spread over 15 states/union territories. Tribal people groups who are food-gatherers, with diminishing population and very low or little literacy rates can be called as Primitive Tribes. Cholanaikkans, Kurumbas, Kattunaikkans, Kadar and Koragas are the five primitive tribal groups in Kerala. They constitute nearly 5% of the total tribal population in the State. Cholanaikkans can be said as the most primitive of them and found only in the Malappuram District. Only a handful of families are living in the Mancheri hills of Nilambur forest division. Kattunaikkans, another lower-hill community related to Cholanaikkans, are mainly seen in Wayanad district and some in Malappuram and Kozhikode districts. Kadar population is found in Trisur and Palakkad districts. Kurumbas are living in the Attappady Block of Palakkad district. The Koraga habitat is in the plain areas of Kasaragod district.

Table 19: Primitive Tribal Groups

S. No.	PTG	District
1	Koraga	Kasaragode
2	Cholanaikkan	Mancheri hills of Nilambur Valley, Malappuram
3	Kurumbar	Attappady, Palakkad district
4	Kadar	Trisur and Palakkad
5	Kattunayakan	Wayanad, Malappuram, Kozhikode

Source: <https://kirtads.kerala.gov.in/tribals-in-kerala/>

The table below present the population of PVTGs from 1961 to 2011. They constitute slightly more than 5% of the total tribal population in the State

Table 20: Particularly Vulnerable Tribal Groups (PVTGs) and their Population (1961 to 2011)

Name of PVTG	1961	1971	1981	1991	2001	2011
Cholanaikayan		306	234	-	-	124
Kadar	-	1120	1503	2021	2145	2,949
Kattunayakan		5565	8803	12155	14715	18,199

Koraga	-	1200	1098	1651	1152	1,582
Kurumba	-	1319	1283	1820	2174	2,586
Total	-	9510	12921	17647	20186	25440

3.9 Socio-Economic Profile of Tribals in Kerala

3.9.1 Literacy Levels

Tribal population in Kerala has high literacy levels and 75.8% of the total ST population is literates. About 80.8% of male population is literates while literacy among female population is 71.1%. Highest male literacy is recorded in Kottayam district with 95.1% followed by Alappuzha at 92.6% and Pathanamthitta at 91.6%. While female literacy is highest among ST population in Kottayam followed by Alappuzha and Pathanamthitta district with 93.6%, 87.8% and 87.5% respectively. The detailed analysis of the literacy levels among ST population is presented in table below.

Table 21: District wise Literacy Rate among ST Population

Districts	Males			Females			Total		
	Total	Lit.	%	Total	Lit.	%	Total	Lit.	%
Kasaragod	23950	16638	78.6	24907	15175	67.8	48857	31813	73.0
Kannur	20141	14830	83.4	21230	13775	72.7	41371	28605	77.9
Wayanad	74476	50042	77.0	76967	43663	64.3	151443	93705	70.5
Kozhikode	7429	5875	89.1	7799	5722	81.7	15228	11597	85.3
Malappuram	11272	7673	80.2	11718	7335	72.6	22990	15008	76.3
Palakkad	24314	14240	67.0	24658	12215	56.1	48972	26455	61.5
Thrissur	4362	3331	86.4	5068	3683	81.2	9430	7014	83.6
Ernakulam	8349	6585	88.3	8210	6106	82.5	16559	12691	85.4
Idukki	27995	20782	82.3	27820	17916	70.9	55815	38698	76.6
Kottayam	10974	9478	95.1	10998	9460	93.6	21972	18938	94.3
Alappuzha	3175	2668	92.6	3399	2749	87.5	6574	5417	90.0
Pathanamthitta	3947	3275	91.6	4161	3312	87.8	8108	6587	89.6
Kollam	5195	4079	88.5	5566	4159	83.2	10761	8238	85.7
Thiruvananthapuram	12624	10316	91.5	14135	11190	87.2	26759	21506	89.2
KERALA	238203	169812	80.8	246636	156460	71.1	484839	326272	75.8

Source: Census 2011

3.9.2 Literacy in Urban Areas

Tribal population in urban Kerala has high literacy levels and about 90.4% of the total ST population in urban areas is literate. Male literacy of tribals in urban areas is 92.7% while among females the literacy rate is near 88.2%. Highest male literacy is recorded in Idukki district with 98.7% followed by Pathanamthitta at 96.5% and Kozhikode at 96.1%. While urban female literacy is highest among ST population in Idukki, followed

by Pathanamthitti and Kottayam districts with 97.3%, 94.6% and 94% respectively. The detailed analysis of the literacy levels among ST population is presented in table.

Table 22: Literacy Level among Urban Tribal Population

Districts/State	Males			Females			Total		
	Total	Lit.	%	Total	Lit.	%	Total	Lit.	%
Kasaragod	1276	994	90.9	1487	1148	84.9	2763	2142	87.6
Kannur	2442	1960	93.3	2627	1980	86.7	5069	3940	89.9
Wayanad	1465	993	77.9	1763	1081	68.8	3228	2074	72.9
Kozhikode	2729	2357	96.1	2944	2389	89.7	5673	4746	92.7
Malappuram	2345	1880	90.9	2398	1862	88.0	4743	3742	89.4
Palakkad	997	710	82.2	952	654	77.1	1949	1364	79.7
Thrissur	1644	1381	93.4	1927	1635	92.7	3571	3016	93.0
Ernakulam	4124	3604	95.2	4111	3450	91.8	8235	7054	93.5
Idukki	260	230	98.7	312	274	96.1	572	504	97.3
Kottayam	1124	980	94.6	1150	995	93.5	2274	1975	94.0
Alappuzha	1735	1469	92.8	1878	1516	87.1	3613	2985	89.8
Pathanamthitta	215	191	96.5	230	194	92.8	445	385	94.6
Kollam	1374	1154	94.1	1501	1207	88.7	2875	2361	91.2
Thiruvananthapuram	3265	2816	95.0	3472	3002	93.0	6737	5818	94.0
KERALA	24995	20719	92.7	26752	21387	88.2	51747	42106	90.4

Source: Census of India 2011.

3.9.3 Sex Ratio

The sex ratio of tribal population in Kerala is 1035 with Thrissur at 1162 recording the highest followed by Thiruvananthapuram at 1120 and Alappuzha and Kollam at 1071. Lowest sex ratio is recorded in Ernakulam district at 983 females per 1000 males. The district wise details of household size and sex ratio are presented below.

Table 23: District wise HH Size and Sex-Ratio among ST Population

Districts	Households	Population	Males	Females	HH Size	Sex Ratio
Kasaragod	11508	48857	23950	24907	4.2	1040
Kannur	9762	41371	20141	21230	4.2	1054
Wayanad	33837	151443	74476	76967	4.4	1033
Kozhikode	3754	15228	7429	7799	4.1	1050
Malappuram	5716	22990	11272	11718	4.6	1040
Palakkad	12858	48972	24314	24658	3.8	1014
Thrissur	2364	9430	4362	5068	3.9	1162
Ernakulam	4463	16559	8349	8210	3.8	983
Idukki	15098	55815	27995	27820	3.7	994
Kottayam	5775	21972	10974	10998	3.8	1002
Alappuzha	1828	6574	3175	3399	3.8	1071
Pathanamthitta	2303	8108	3947	4161	3.6	1054

Kollam	2972	10761	5195	5566	3.8	1071
Thiruvananthapuram	7550	26759	12624	14135	3.5	1120
KERALA	119788	484839	238203	246636	4.0	1035

Source: Census 2011

3.9.4 Sex Ratio in Urban Areas

The sex ratio of urban tribal population is 1070 with Wayanad at 1203 recording the highest followed by Idukki at 1200 and Thrissur at 1172. Lowest sex ratio is recorded in Palakkad district at 997 females per 1000 males. The district wise details of HH size and sex ratio are presented in **Table 24**.

Table 24: HH Size and Sex-Ratio among ST Population in Urban Areas

Districts	Households	Population	Males	Females	HH Size	Sex Ratio
Kasaragod	576	2763	1276	1487	4.5	1165
Kannur	1056	5069	2442	2627	4.5	1076
Wayanad	698	3228	1465	1763	4.4	1203
Kozhikode	1367	5673	2729	2944	4.1	1079
Malappuram	1239	4743	2345	2398	5.0	1023
Palakkad	427	1949	997	952	4.2	955
Thrissur	933	3571	1644	1927	4.0	1172
Ernakulam	2272	8235	4124	4111	3.9	997
Idukki	139	572	260	312	3.8	1200
Kottayam	594	2274	1124	1150	3.9	1023
Alappuzha	1025	3613	1735	1878	3.8	1082
Pathanamthitta	126	445	215	230	4.0	1070
Kollam	801	2875	1374	1501	4.0	1092
Thiruvananthapuram	1730	6737	3265	3472	3.9	1063
KERALA	12983	51747	24995	26752	4.0	1070

3.9.5 Workers

About 47.5% members of the ST Population in the state are workers. Highest is recorded in Idukki at 54.7%. District wise details of number of workers among male and female ST population is presented in Table below. Highest level of employment among male ST population is recorded in Idukki and Wayanad at 64% and 58.8% respectively, while Idukki and Palakkad have highest employment level among female ST population with around 45.5% and 44.6% of the females in the district are engaged in some form of employment.

Table 25: Worker Population among ST

Districts	Males			Females			Total		
	Total	Workers	%	Total	Workers	%	Total	Workers	%
Kasaragod	23950	13969	58.3	24907	9199	36.9	48857	23168	47.4

Kannur	20141	11757	58.4	21230	7361	34.7	41371	19118	46.2
Wayanad	74476	43784	58.8	76967	32426	42.1	151443	76210	50.3
Kozhikode	7429	4083	55.0	7799	1958	25.1	15228	6041	39.7
Malappuram	11272	5863	52.0	11718	2900	24.7	22990	8763	38.1
Palakkad	24314	14196	58.4	24658	10995	44.6	48972	25191	51.4
Thrissur	4362	2354	54.0	5068	1465	28.9	9430	3819	40.5
Ernakulam	8349	4721	56.5	8210	2316	28.2	16559	7037	42.5
Idukki	27995	17911	64.0	27820	12646	45.5	55815	30557	54.7
Kottayam	10974	6317	57.6	10998	2977	27.1	21972	9294	42.3
Alappuzha	3175	1805	56.9	3399	872	25.7	6574	2677	40.7
Pathanamthitta	3947	2188	55.4	4161	976	23.5	8108	3164	39.0
Kollam	5195	2842	54.7	5566	1527	27.4	10761	4369	40.6
Thiruvananthapuram	12624	7162	56.7	14135	3695	26.1	26759	10857	40.6
KERALA	238203	138952	58.3	246636	91313	37.0	484839	230265	47.5

Source: Census 2011

3.9.6 Workers in Urban Areas

37.5% members of the urban ST Population in the state are workers. Highest is recorded in Wayanad at 47.6%. District wise details of number of workers among male and female ST population in urban areas is presented below. Highest level of employment among male ST population is recorded in Wayanad and Ernakulam at 60.5% and 57.7% respectively, while Wayanad and Alappuzha have highest employment level among urban female ST population with around 36.8% and 25.7% of the females in the urban areas of the district are engaged in some form of employment.

Table 26: Worker Population among ST in Urban Areas

Districts	Males			Females			Total		
	Total	Workers	%	Total	Workers	%	Total	Workers	%
Kasaragod	1276	686	53.8	1487	341	22.9	2763	1027	37.2
Kannur	2442	1215	49.8	2627	491	18.7	5069	1706	33.7
Wayanad	1465	886	60.5	1763	649	36.8	3228	1535	47.6
Kozhikode	2729	1441	52.8	2944	521	17.7	5673	1962	34.6
Malappuram	2345	1135	48.4	2398	312	13.0	4743	1447	30.5
Palakkad	997	484	48.5	952	232	24.4	1949	716	36.7
Thrissur	1644	882	53.6	1927	383	19.9	3571	1265	35.4
Ernakulam	4124	2380	57.7	4111	1037	25.2	8235	3417	41.5
Idukki	260	133	51.2	312	79	25.3	572	212	37.1
Kottayam	1124	612	54.4	1150	264	23.0	2274	876	38.5
Alappuzha	1735	979	56.4	1878	483	25.7	3613	1462	40.5
Pathanamthitta	215	110	51.2	230	38	16.5	445	148	33.3
Kollam	1374	738	53.7	1501	304	20.3	2875	1042	36.2
Thiruvananthapuram	3265	1763	54.0	3472	813	23.4	6737	2576	38.2
KERALA	24995	13444	53.8	26752	5947	22.2	51747	19391	37.5

4 Social Risks and Impacts

4.1 Project Scope

The project will support a hybrid approach comprising of decentralized and centralized waste management systems. At the decentralized level, participating ULBs will have a lead role in delivering SWM services including generator level waste segregation and treatment, primary collection and transportation, waste processing and recycling. Owing to the demographic and geographic profile of the state, characterized by closely located medium and small-sized ULBs and peri-urban areas with high population density, the project will also support a regional approach for SWM and disposal. In addition to strengthening ULBs capacities through a comprehensive TA program, collaboration and systems integrations between the state, local governments, and communities will be supported by the project. Accordingly, the project comprises three components.

1. The Component 1 will support Institutional development, capacity building, and project management support: This includes technical assistance to LSGD and ULBs, Training, awareness and IEC, and Project Management Support.
2. The Component 2 will provide grant support to ULBs: The component will provide grants to the participating ULBs for improving their SWM systems and capacities, mainly on (a) primary collection and transportation systems for solid waste (b) source segregation and treatment for BDW at decentralized level, (c) Rehabilitation of the existing MCFs/RRFs and development of new integrated MRFs, (d) development of BDW management facilities, (f) closure/remediation of existing dumpsites and development of disposal cells as interim disposal facility, (g) public space cleaning, sanitization, waste removal activities as well as cleaning & sanitization of government offices, hospitals, community level waste recycling/processing facilities, (h) protective gears, equipment, masks, chemicals, disinfectants etc. for sanitation & waste management workers, (i) operations and maintenance payments for performance-based contracts & tipping fee for regional disposal and (j) implementation of environment and social risk mitigation actions as per ESMF-TDF-RPF.
3. The Component 3 will finance regional processing and recycling facilities; transfer stations and regional sanitary landfills for municipal solid waste disposal; and closure/remediation of existing waste dumpsites. These down-stream activities aim at completing the value chain and will be managed by SM and implemented in compliance with the National SWM Rules 2016 and the guidelines issued by Central Pollution Control Board. In addition, this component will also finance the biomedical waste management facilities to expand the state's capacity to deal with increased volumes of biomedical waste in the context of COVID-19 pandemic, and construction and demolition (C&D) waste management facilities.

4.2 Potential Key Social Risks

The above interventions are likely to cause the following potential key social risks arise due to:

- (i) Land loss: Land is required for project components such as processing facilities, landfills, etc. it could be government land or private land. lack of availability of adequate unencumbered land for waste management and disposal facilities
- (ii) Impacts on Tribals: Though the number of tribals in urban areas of Kerala is comparatively small, but risks such as land loss of tribals, loss of rights on government lands, loss of livelihoods, etc. cannot be completely ruled out.
- (iii) Exclusion: Women, vulnerable communities and tribal communities from planning and accessing services as well as opportunities
- (iv) Poor Community Participation: Poor community participation throughout the sub-project cycle due to non participatory systems for citizen engagement
- (v) Gender Based Violence: Weak capacity of support services for gender based violence, however the risk rating is low
- (vi) Lack of Accountability and Transparency: Weak accountability and transparency in delivering services
- (vii) Health and Safety Risks: Health and safety risk of unorganized labor engaged in SWM and of communities
- (viii) Non-compliance of Labor Laws: Weak enforcement of labor laws by contractors and implementing agencies. Risk of labor influx is low due to nature of project investments as well as strong mechanisms of the government for migrant labor management
- (ix) Communication and Disclosure: Ineffective communication about project and lack of information disclosure to the public
- (x) Lack of Communication Capacity: limited capacity to bring about behavior change towards SWM
- (xi) Adverse Impacts on Host Communities: Negative impact on host community at the landfill and waste management sites
- (xii) Loss of Livelihoods: loss of livelihood of the most vulnerable people such as rag-pickers and informal recyclers and scrap-dealers, that are currently dependent on informal activities to manage municipal waste, primarily non-bio-degradable waste due to formalization of systems
- (xiii) Grievance Redressal: unresponsive grievance redressal systems.
- (xiv) Covid-19 Pandemic: The COVID19 pandemic is aggravating economic, health, education and livelihood crisis impacting the access to basic services and pushing the already vulnerable to further margins.

4.3 Land Related Risks

The land required for the sub-projects could be Government land or Private land. For all the sub-projects, government land is preferred. But there are several risks related

to using the government land. They most important among them are:

- a. obtaining willingness from the owner department to part with the land; as per experience, this can be a very long process which requires political and bureaucratic willingness,
- b. payment for the said the land; after obtaining the willingness, fixing rate a rate for the said land is also a time consuming process as the standard procedures has to be followed,
- c. payment by the requiring department; as objections can raised as the rates for government lands are sometimes high, and
- d. mutation of land records (Record of Rights); changing the ownership of the said land to the requiring department; this is also a time consuming process.

Experience shows that the minimum time it takes, when everyone is willing and cooperative is a minimum 2 years and this can be higher in other cases.

Private land can be acquired using and Right to Fair Compensation and Transparent Land Acquisition and Rehabilitation and Resttlemen Act, 2013 . There coan beseveral problems associated with this as well. In normal cases acquiring land using LA Act can be time consuming. The risks associated with this are:

- a) willingness of the seller,
- b) objections from the land owners surrounding the said land parcel,
- c) decrease in land rates in the surroundings of the said land parcel,
- d) stigma associated with dumpsites, landfills, Solid Waste processing plants, etc.
- e) health issues that can arise in the surrounding areas,
- f) development of informal settlements/ slums/ squatter around the site,
- g) development of slums/ settlements in the buffer zone, etc.

The above risks are applicable even when the government lands are used.

4.4 Potential Adverse Social Impacts

The proposed sub-projects will have social impacts based on the nature, location, and size of sub-projects. However, the following adverse social impacts could possibly arise out of the proposed sub-projects:

- Loss of Common Property Resources/ Community Assets
- Impacts on vendors
- Loss of access to houses/ businesses
- Disturbance to traffic and resulting congestion
- Disruption of utilities such as water, electricity, telephone, cable, etc.
- Social disruption/ unrest at selected sites
- Disruption due to construction activities
- Conflicts on construction sites
- labour influx

- Child labor
- Unequal wages to men and women
- Impacts on safety and security of women and vulnerables
- To the households in the neighborhood during construction
- Due to risk of accidents
- Spread of AIDS at construction sites

Implementing an appropriate a Resettlement Policy Framework along with proper implementation of the Tribal Development Framework-Social Management Framework could mitigate the above mentioned negative social risks and impacts.

This TDF-SMF has a system for Social due diligence of sub-projects and Social Mitigation measures. As the sub-projects are yet to be prepared, no sub-project specific mitigation measures could be identified. As the sub-projects are continued to be identified and the identified ones are under preparation, check lists have been provided for screening the sub-projects and appraise them for further action.

5 Tribal Development Framework-Social Management Framework

5.1 Introduction

The terms ‘indigenous peoples’, indigenous ethnic minorities’, tribal groups,’ and ‘scheduled tribes’ describe social groups with a social and cultural identity distinct from the dominant society that makes them vulnerable to being disadvantaged in the development process. By definition, IP refers to peoples living in an area within a nation-state, prior to the formation of a nation-state, but who do not identify with the dominant nation. This group has social, cultural, economic, and political traditions and institutions distinct from the mainstream or dominant society and culture. Essentially, indigenous people have a social and cultural identity distinct from the mainstream society that makes them vulnerable to being overlooked in development processes. In order to include them in the project, provide them with opportunities for participation, engage them seamlessly, consult with them appropriately and to build their capacity, this Tribal Development Framework is prepared for this project.

5.1.1 TDF Objectives

The Tribal Development Framework seeks to ensure that tribal communities are informed, consulted and mobilized to participate in the sub-project planning, preparation, implementation and operation and maintenance. The Framework is intended to guide selection and preparation of additional sub-projects under the Project where impacts on tribal people are identified, to ensure better distribution of the Project benefits and promote development of the tribals in the Project areas.

The TDF aims to protect ethnic minorities from the adverse impacts of development, and to ensure that ethnic minorities benefit from development projects and programs. The need for a full TDP will depend on the nature and magnitude of the Project impacts and sensitivity of tribal issues. The TDP will ensure that project affected tribals are, as well off with the project as without it after the implementation of the plan. This plan will also aim to identify measures towards addressing the needs and developmental aspirations of tribals. If, the impacts on tribals are insignificant and then specific actions for the tribals will need to be integrated in the Resettlement Action Plan for the sub-projects or a Tribal Development Plan prepared. This would ensure appropriate mitigations for the tribals. In addition, measures to ensure access to benefits.

Based on both India’s legal, constitutional and developmental strategies and The World Bank Policy on indigenous people, the objectives of a TDP will be as follows:

- i. Ensure that tribal/ ST people affected by any sub-project will benefit from the sub-project;
- ii. Ensure tribal inclusion in the entire process of planning, implementation and monitoring of the sub-project;

- iii. Ensure that the benefits of the sub-projects are available to STs/ SCs more than or at least at par with other affected groups; this may require giving preference to tribal people as vulnerable groups over others on certain benefits under the subprojects; and
- iv. Provide a base for the tribal groups in the area to receive adequate development focus and attention.

Since the geographical location of the sub-projects are not know, it would not be possible to conduct a social impact assessment for the sub-projects under this project, as the sub-projects are under identification/ feasibility stage, The identification and implementation of these sub-projects will take place over a period of time and the resulting time lag leads to changes in the social conditions. For such reasons preparation and implementation of Tribal Development Framework (TDF) - Social Management Framework (SMF) are proposed for this project. This TDF- SMF has developed the following tools, formats and frameworks which are presented in the document. These are:

11. Social and Tribal Screening Format (STSF)
12. Social Inclusion Strategy
13. Gender and Gender Based Violence Strategy
14. Stakeholder and Citizen Engagement and Grievance Redressal Mechanism
15. Labor Management Framework
16. Capacity Building
17. Institutional Arrangements
18. Monitoring and Evaluation

Based on the screening using STSF, a field-based Social Impact Assessment (SIA) will be conducted as part of the sub-project preparation (based on the risk analysis framework provided in Chapter 6). The screening format has provision for eliminating the sub-projects under the negative list (sub-projects to be excluded). The SIA will be conducted, in a gender-sensitive manner, in consultation with tribal communities, identify the project-affected tribals and others and the potential impacts of the proposed project on them. The SIA will provide a baseline socioeconomic profile of the tribal groups and others in the sub-project area and sub-project impact zone; assess their access to and opportunities to avail themselves of basic social and economic services; assess the short and long-term, direct and indirect, and positive and negative impacts of the project on each group's social, cultural, and economic status; assess and validate which tribal groups and assess the subsequent approaches and resource requirements for addressing the various concerns and issues of projects that affect them. The level of detail and comprehensiveness of the SIA will be proportional to the complexity of the proposed sub-project and commensurate with the nature and scale of the proposed sub-project's potential effects on tribals, whether positive or negative, in order to prepare an TDP the following steps will be undertaken:

- i. Based on the social assessment, establish baseline data on the tribal people (subsistence, employment, community networks) affected by the sub-project (use the criteria in the section above to determine project impacts);
- ii. If the impacts are considered significant as defined above, prepare a TDP
- iii. Submit TDP to the D-ESDU for review and approval and forward the TDP to the World Bank for review.

As enumerated above, the main features of the TDP will thus comprise of a preliminary screening process, followed by a social impact assessment to determine the degree and nature of impact of each subproject, and an action plan will be developed if warranted.

5.1.2 Screening

The significance of impacts of a sub-project on tribals is determined by assessing:

- (i) the magnitude of impact in terms of
 - a. customary rights of use and access to land and natural resources;
 - b. socioeconomic status;
 - c. cultural and communal integrity;
 - d. health, education, livelihood, and social security status; and
 - e. the recognition of indigenous knowledge; and
- (ii) the level of vulnerability of the affected Indigenous Peoples community.

The level of detail and comprehensiveness of the TDP will commensurate with the significance of potential impacts on tribals. The D-ESDU and TSC are responsible for sub-project preparation. They will visit all tribal settlements near the sub-project areas or in likelihood of being affected and influenced by the sub-project components. Public meetings will be arranged in selected tribal communities by the ULB with the support of SO, to provide information about the sub-project and take their views to prepare the sub-project. For which meaningful consultation will be carried out prior to initiation of the screening.

Meaningful consultations - Free Prior Informed Consultations would be organised with all tribals including women throughout the sub- project cycle to seek their informed participation at all stages. Consequently all relevant information relevant to the sub-project would be disseminated among them through regular information disclosure workshops, pamphlets in local language etc. The tribal groups will be consulted during the preparation of the TDP. The D-ESDU will use consultation methods that are appropriate to the social and cultural values of the affected tribal communities and their local conditions and, in designing these methods, gives special attention to the concerns of tribal women, youth, and children and their access to development opportunities benefits. They will be informed of the mitigation measures proposed and their views will be taken into account in finalizing the plan. The Plan will be translated into the tribal language and made available to the affected people

before implementation. The disclosure will be in a manner accessible to all tribals impacted where there are differing levels of literacy skills.

The tribal institutions and organizations in the affected area will also be involved in implementing the TDP and in resolving any disputes that may arise. The TSC supported by SO prepares a detailed report documenting the following:

- a) the findings of the social assessment;
- b) the process of free, prior, and informed consultation with the affected tribal communities;
- c) additional measures, including project design modification, that may be required to address adverse effects on the tribals and to provide them with culturally appropriate project benefits;
- d) recommendations for free, prior, and informed consultation with and participation by tribal communities during project implementation, monitoring, and evaluation; and
- e) any formal agreements reached with tribal communities.

During this visit, the Social and Communication Specialist of the D-EDSU with the support of SO will undertake a screening of the tribal communities with the help of the community leaders and local authorities. The screening will cover the following aspects:

- a. Name(s) of tribal community group(s) in the area;
- b. Total number of tribal community groups in the area;
- c. Percentage of tribal community population to that of total area/locality population;
- d. Number and percentage of tribal community households along the zone of influence of the proposed sub-project.
- e. Socio-economic, demographic, cultural and other details of each affected tribal community household

During the screening, the focus will be on identifying the degree of the following characteristics in identifying the tribal communities as a distinct, vulnerable, social and cultural group:

- (a) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;
- (b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories
- (c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and
- (d) an indigenous language, often different from the official language of the country or region.

A group that has lost "collective attachment to geographically distinct habitats or ancestral territories in the project area" because of forced severance remains eligible for coverage under this Indigenous Peoples Policy of The World Bank.

Based on the results of the screening which brings forth the presence of tribal community households affected in the zone of influence of the proposed sub-project, a social impact assessment will be planned for those areas.

5.1.3 Social Impact Assessment

The TSC will undertake a social impact assessment. The SIA will gather relevant information on demographic data; social, cultural and economic situation; and social, cultural and economic impacts; positive and negative, on the tribal communities in the sub-project area.

Information will be gathered from separate focus group meetings within the tribal community, including tribal leaders; group of tribal men and women, especially those who live in and negative impacts of the sub-project as well as recommendations on the design of the sub-project. The consultant and will be responsible for analyzing the zone of influence of the proposed sub-project under the Project. If the SIA indicates that the potential impact of the proposed sub-project will be significantly adverse threatening the cultural practices and their source of livelihood, the D-ESDU will consider other design options to minimize such adverse impacts and will prepare a Tribal Development Plan (TDP). The primary responsibility of preparing, financing, implementation and monitoring of the TDP will rest with the S-ESDU. The SO with the relevant experience will be hired to assist the D-ESDU in planning and implementing the TDP.

5.2 Tribal Development Plan

TDP will consist of a number of activities and will include mitigation measures of potentially negative impacts by means of modification of sub-project design and development assistance. Where there is land acquisition in tribal communities, the Project will ensure that their rights will not be violated and that they will be compensated for the use of any part of their land in a manner that is culturally acceptable to them. The compensation will be in keeping with Entitlement Matrix as provided in the Resettlement Policy Framework of the Project. The TDP will include:

1. B a s e l i n e d a t a
2. Land tenure information
3. Impacts and Losses
4. Identification of mitigation measures
5. Institutional arrangement
6. Community p a r t i c i p a t i o n

7. Entitlements by Household
8. Monitoring and evaluation
9. Implementation schedule
10. Budget

The D-ESDU will submit the TDP to S-ESDU for review and finalisation which will be submitted to the The World Bank for review and clearance. All TDPs will be disclosed as given in the TDF- SMF.

Preparation of sub-projects.

The location of sub-project will consider that tribal land and their rights will not be alienated and that it will be at least 200 meters away from all settlement. Following, which a screening will be carried out as given below:

5.3 Screening

During the screening, as a first step, the social risks and impacts are identified through filling in a Social and Tribal Screening Format (STSF). The basic objective of this screening is to collect basic information on social aspects of the proposed sub-projects. Further the SMF requires that basic social and tribal data pertaining to the proposed sub-projects be compiled during the field data collection stage. For this purpose, STSF was formulated for sub-projects and annexed to this SMF. The sub-project Implementing Agency, PIU at the ULB level, facilitates this screening, while Technical Supervision Consultant (TSC) with the support of the Support Organisation (SO), duly identifying the social risks, impacts, issues of concern. Supplementary notes on social concerns will also be added to the STSF. The TSC, will do the screening through collection of necessary field data. These STSF will be attached to the sub-project proposal/ DPR.

The basic objective of this screening is to ensure that sub-projects with potentially significant social issues are identified at an early stage for detailed social impact assessment. Further evaluation of all the available information on social aspects as provided in the STSF and social impact assessment based on the level of expected social risks and impacts (including any field visits if required).

5.4 Social Impact Assessment

In order to give an indication of scale and scope of social risks and impacts, all the sub-projects will be screened. This screening is required to be carried out to scope the impacts for detailed social impact assessments for different types of sub-projects based on the nature, scale and magnitude of their social risks and impacts. All the sub-projects require conducting a comprehensive Social Impact Assessment (SIA) and preparation of a Social Management Plan/ Tribal Development Plan and Resettlement Action Plan (RAP), prior to preparation of Detailed Project Report (DPR) for appraisal

by D- ESDU. These SIA and TDP-SMP and RAP need to be disclosed before implementation of the sub-project.

5.5 Resettlement Policy Framework

As mentioned earlier, the investments would improve the performance and service delivery SWM in the ULBs. For facilities such as treatment plants, landfills, etc. land is required. In order to mitigate the impacts related to land loss and access due to land acquisition, a Resettlement Policy Framework is prepared as a separate standalone document. The Resettlement Policy Framework would address all these land related impacts. D-ESDU will screen all the sub-projects prior to approval to ensure their consistency with the Resettlement Policy Framework (Refer Volume 1 B PART C). As mentioned above, a comprehensive Social Assessment and a Resettlement Action Plan (RAP) will be prepared, as detailed in the RPF; the Social Impact Assessment and RAP will be prepared by the Revenue department according to the RPF.

5.6 Sub-project Cycle and Social Requirements

The environmental and social requirements to be fulfilled during the sub-project cycle; i.e., during pre-planning, planning, implementation and Operation and Maintenance (O&M) are listed in the below table.

Phase	SMF Activity	Objectives	Process	Responsibility	Result
Preplanning	Identification Screening	To collect basic information on social aspects of the proposed Sub-Project.	The SMF requires that basic social and tribal data pertaining to the risks due to the proposed Sub-Project be compiled at the field data collection stage. For this purpose, a simple Social and Tribal Screening Format (STSF) for Sub-Projects. The STSF is furnished as annexure 1 . The Technical Support Consultants (TSC) will fill in the STSF with the support of Support Organisation (SO). ULB level Project Implementing Units (PIU) provide facilitation support to the TSC duly identifying the social risks and issues of concern. Supplementary notes on social concerns to be added to those STSF.	TSC and SO PIU	STSF Filled in Social Screening Completed STSF attached to the Project proposal / DPR
Planning	Preparation Social Impact Assessment and Social Management Plans	To conduct Social Impact Assessment and Prepare Management Plans for integration into Sub-Project DPR	For all Sub-Projects conducting SIA and preparation of SMP/ TDP/ RAP will be by independent consultants.	Independent SIA Consultants	SMP/ TDP/ RAP prepared
Planning	Appraisal Social appraisal	To ensure that relevant social risks, impacts and issues of concern have been identified and appropriate mitigation measures have been designed to address them.	There shall be no separate Social appraisal but social aspects shall be included in the normal appraisal and evaluation process for the proposed Sub-Project, based on the STSF and SIA and SMP. TDP. RAP which are included in the DPR. All these Sub-Projects need to follow the SMF-TDF and RPF Guidance. The Social and Communication Specialist of D-ESDU will be primarily responsible for the appraisal. She will be supported by the DPMC Experts and SO.	Social and Communication Specialist, D- ESDU Social Experts of DPMC SO	Social appraisal of the project is made and approval of proposed Sub-Project, with decision to (i) accept sub-project as submitted, or (ii) accept sub-project with modification suggested in the social appraisal for review/ revision of SMP/ TDP and RAP

Table 27: Social Activities and Responsibilities to be Fulfilled during the sub-Project Cycle

Phase	SMF Activity	Objectives	Process	Responsibility	Result
Procurement	Bidding and Contract Documents Incorporation of Social mitigation measures are in the Bidding Documents	To ensure that the social mitigation measures to be implemented by contractor are in the contract documents.	The prescribed social mitigation measures (construction stage measures and all those to be implemented by contractor) as identified will be included in the contract documents.	TSC DPMC D-EDSU	Contract documents include SMP/ TDP; social mitigation measures to be implemented by contractor
Implementation	Implementation Implementation of social mitigation measures.	To ensure that the prescribed social mitigation measures (including construction stage) are implemented.	The prescribed social mitigation measures (including construction stage measures) as identified through the SIA, TDP-SMP and RAP and the social appraisal process are adequately implemented by the contractor, SO and other responsible agencies.	Revenue Department will prepare RAP (if required). TSC will prepare TDP-SMP	Social mitigation measures are implemented as per RAP and TDP-SMF.
Implementation	Supervision, Monitoring and Evaluation Social supervision, monitoring and evaluation IEC and capacity building on social issues.	To ensure that social mitigation measures are implemented as intended.	Monitoring of social indicators will be conducted as per project monitoring protocol by SO Monitoring of gender, GBV and labor compliances, Grievances, Citizen Engagement, etc. by D-EDSU Supervision will be conducted by the designated Social Specialist All Sub-Projects will be monitored. Capacity building and IEC activities are undertaken to enable effective implementation of the TDF-SMF and RPF including assessment procedures, supervision, monitoring, etc. as well as for community awareness and sensitization.	D-ESDU	The SO will submit monthly monitoring reports and periodic social supervision reports and Training and IEC activity reports to DPMU. The D-ESDU prepares consolidated reports submits to S-ESDU .

Table 27: Social Activities and Responsibilities to be Fulfilled during the sub-Project Cycle

Phase	SMF Activity	Objectives	Process	Responsibility	Result
Implementation	Implementation Completion Preparation of Implementation Completion Report for social mitigation measures	To ensure that the implementation of social mitigation measures and management is completed.	Implementation Completion Report (ICR) for Project will need to include a Social Compliance Certificate given by the PIU indicating that the mitigation measures identified in the appraisal and incorporated in the TDP-SMP and RAP (including construction stage) have been implemented.	S-ESDU	ICR with social compliance information.
Operation and Maintenance	Operation and Maintenance Social mitigation and management measures	To ensure that social aspects are integrated in the O&M phase.	The management of O&M will include access of the facilities and services to all	ULBs	O&M phase social mitigation and management measures implemented.

6 Vulnerability and Social Inclusion

6.1 Vulnerability Mapping

Gender, caste, race, ethnicity, religion, sexual orientation, disability status, occupation, education and skill level, nationality are axes of exclusion. Often each of these identities are complex, overlapping and they can change over time and vary by context. Despite decentralization, political representation, awareness, mobilization and social welfare measures, scholars argue that abjection continues to acquire layer after layer because traditional structures and access to mobility are difficult to break despite emergence of a vibrant civil society. (Devika 2014).

- a. Urban areas in Kerala are home to groups like the poor and or slum dwellers, scheduled castes and scheduled tribes, intra and inter-state migrants, unorganized labor, people with disabilities and elderly who risk being left out of the project benefits. Out of the urban population of 15.9 million in Kerala, the project aims to reach 6.3 million population of the 93 ULBs. Of this 6.3 million 51.6% are women. The 93 ULBs population consists of 6.56% Scheduled Castes and 0.45% Scheduled Tribes. The 15.9 million urban population in Kerala, has 55.69% Hindus followed by 29% Muslim and 14.97% Christians. (Census 2011)
- b. Kerala has experienced a steady decline in **poverty**⁶ since 1994. As a result, poverty levels in the state are among the lowest in the country. While Kerala is home to a small share of India's poor, pockets within the state record a high incidence of poverty. In addition, Kerala has the highest levels of consumption inequality in the country⁷.
- c. Kerala still has a modest level of **slums population** as compared to some of the other states of India due to the low level of urbanization recorded in the last three decades. Based on the census data, 2011, the number of slums in Kerala has been on the rise. Slum reported towns increased from 13 in 2001 to 19 in 2011 and the total number of slum population increased from 64556 in 2001 to 202048 in 2011.
- d. Despite high sex ratio and other gender indicators⁸, **gender-based exclusion** from economic, social, and political development in Kerala is pertinent,

⁶ The state government uses two slightly different risk indices to identify BPL households in urban and rural areas. There are nine core indicators, which are used to score households, and eight additional indicators, which relate to contextual factors that may have to be taken into account as applicable. According to the method, presence of four or more of the core indicators qualifies a household to be categorized as poor ('risk family'). Households with eight or all of the indicators present are placed in the very poor ('destitute') category. The core indicators relate to housing, water, sanitation, literacy, income sources, food, presence of infants, presence of alcoholics and caste/tribe. In its application, the risk index method attributes equal weight to the different indicators, relative to one another as well as for severity within each.

⁷ Thomas, B.K. (2014), 'Monetary and Multidimensional Poverty in Kerala: A Review of Recent Evidence', in Kurian V. M & R. John (eds) Kerala Economy and its Emerging Issues, Kottayam: SPCS, 238-51

⁸ Women constitute 52 per cent of State population and the overall sex ratio of Kerala is 1,084 females per 1,000 males. Female literacy rate is 92 per cent which is highest in India. Maternal mortality rate was much lower in Kerala when compared to the situation in India

including prevalence of gender-based violence. See the chapter on Gender Action Plan. In addition, Kerala is the first State in India which declared a Transgender Policy in 2015. GoK has issued a rights-based State Policy for Transgenders within a clear results framework

- e. **Compounding vulnerabilities (Scheduled Castes and Scheduled Tribes)⁹:** Out of the urban population of 15.9 million in Kerala, the project aims to reach 6.3 million population of the 93 ULBs. Of this 6.3 million 51.6% are women. In 2001, the population of people of the Scheduled Castes (68 specified SCs) in Kerala was 31,23,941 (9.81 percent of total population). The 93 ULBs population consists of 6.56% Scheduled Castes and 0.45% Scheduled Tribes¹⁰. The 15.9 million urban population in Kerala, has 55.69% Hindus followed by 29% Muslim and 14.97% Christians. (Census 2011). According to estimates based on NSSO consumption expenditure surveys 53.3% of SC population in Kerala was below poverty line in 1993-94, which reduced to 27.7% in 2009-10. Similarly, the proportion of ST population below poverty line reduced from 40.9% in 1993-94 to 24.4% in 2009-10. While the rate of reduction of poverty between 1993 and 2010 among SCs (-1.6) is better than the national average (-1.2), that for STs for the same period was lower (-1.0) than the all-India figures (-1.2). This raises questions as to whether, relative to others, life has meaningfully improved over time for some of the groups identified earlier as 'outliers' of the Kerala Model, meaning not having benefitted from Kerala's overall development experience (Kurien, 2000).
- f. In Kerala, a State wide Census of PwDs was undertaken by the Kerala Social Security Mission in 2015, the first of its kind in India, covering 22 types of disabilities. As per the survey, 7.94 lakh people equivalent to 2.32 per cent of the total population of the State are disabled, of whom, females constitute 44.57 per cent, SC 10.93 per cent and ST 2.15 per cent.
- g. **Occupational vulnerabilities:** In India, there are approximately 15 lakh persons engaged in the job of waste picking, amounting to 10% of the total waste pickers globally¹¹. However, waste work ranks lowest in the hierarchy of urban informal occupations in the country. Unskilled persons, migrants and the poorest of the poor, and quite often women and children, predominantly work as formal waste collectors and recycling collectors, as

⁹ In 2011, the Scheduled Caste population declined to 30,39,573 persons 9.10 per cent. (The decline was because some Scheduled Castes were reclassified as Scheduled Tribe.) The Scheduled Caste population in the State is concentrated in Palakkad, Thiruvananthapuram, Kollam, Thrissur, and Malappuram districts. Communities such as Vedar, Nayadi, Kalladi, Arundhathiar/Chakkiliar are identified as vulnerable communities among Scheduled Castes, and their population is concentrated in Palakkad, Malappuram, Kollam, and Idukki districts. The Scheduled Tribe population according to the Census 2001 was 3,64,189 persons or 1.14 per cent of the total population. Because of the reclassification of certain Scheduled Castes as Scheduled Tribes (mentioned above), the population of Scheduled Tribes increased to 4,84,839 persons. According to the Report on the Socio-Economic Status of Scheduled Tribes of Kerala (2008) of the Scheduled Tribes Development Department, there are 1,07,965 tribal families residing in 4,762 hamlets in Kerala. About 11 per cent (540) of the tribal habitats are situated within the reserve forests and 20 per cent (948) are in the immediate vicinity of reserve forests. The highest concentration of Scheduled Tribes is in Wayanad District (31.24 per cent) followed by Idukki (11.51 per cent), Palakkad (10.10 per cent) and Kasargod (10.08 per cent).

¹⁰ Particularly Vulnerable Groups PVTGs constitute 6.17 per cent of the total scheduled tribe population in the State

¹¹ An Inclusive Swachh Bharat through the Integration of the Informal Recycling Sector: A Step by Step Guide, Swachh Bharat Mission, 2016

they are unable to find any other employment. Further, in India there is the added aspect of the caste system, relegating the lowest of castes to waste collection, thereby deepening the related social stigma. Suchitwa mission has an estimation of 2000 rag pickers and scrap dealers in the Municipalities of Kerala. As SWM operations get formalized, it is crucial that the Rag pickers registered and integrated to ensure no loss of livelihood or exclusion from the SWM value chain.

6.2 Socially vulnerable groups susceptible to risks of exclusion under the project

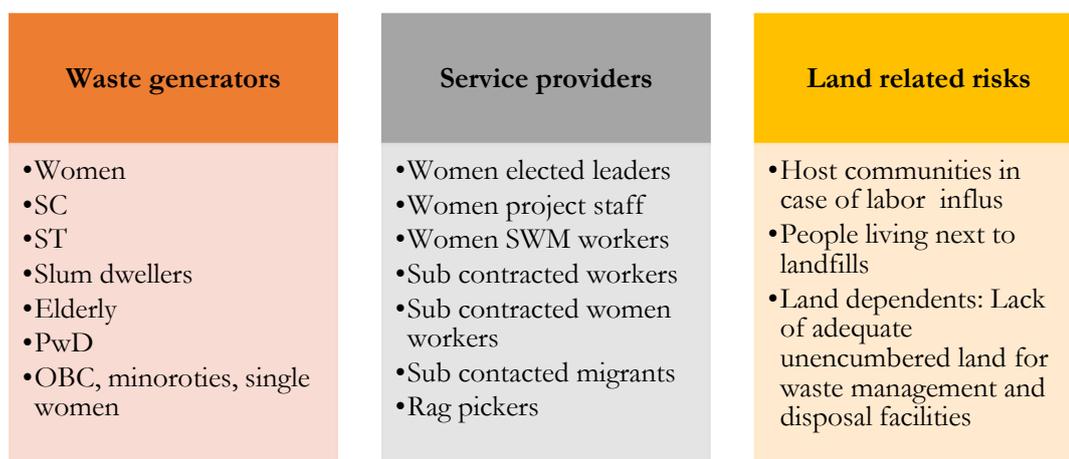


Figure 4: Socially vulnerable groups susceptible to risks of exclusion under the project

6.3 Risks of Exclusion in the project



Figure 5: Risks of Exclusion in the project

6.4 Existing Institutions, and development schemes for Social Inclusion

- a. Social Justice Department (SJD) is the nodal department for the implementation of social security schemes in the State. There are 29 welfare institutions and 2 vocational training centres under the aegis of SJD for the care, protection, and rehabilitation of **Differently abled and mentally challenged persons; Senior Citizens; Destitutes; Probationers, Ex-convicts;**

Socially deviants and transgender.

- b. Women and Child Development (WCD) acts as a nodal agency for matters pertaining to women and children and implements State and central Schemes. There are 44 welfare institutions functioning under the WCD for the care, protection and rehabilitation of children and women. Other Institutions for Welfare and Empowerment of Women include: Kerala Women's Commission, Kerala State Women's Development Corporation (implementing the Gender Park initiative).
- c. Some of the key schemes for women are Pradhan Manthri Mathru Vandana Yojana/Indira Gandhi Matritva Sahyog Yojana, Snehasparsham, Nirbhaya, Onse Stop Centre,
- d. GoK enacted a policy for PwDs in the year 2015 recognising the necessity and inevitability of including disability dimensions in the development agenda, programmes and action Plans of the State. Institutions for Empowering Persons with Disabilities: National Institute of Speech and Hearing (NISH); Kerala State Handicapped Persons Welfare Corporation; State Commissionerate for Persons with Disabilities; National Institute of Physical Medicine and Rehabilitation (NIPMR)
- e. GoK earmarks Women Component Plan (Gender responsive budgets), Scheduled Caste Sub Plan (SCSP) fund and Tribal Sub Plan (TSP) fund so a portion of State outlay annually for the development.
- f. SC Development Department undertakes programs including education, economic development, and social welfare, cultural programs, and services through 85 Nursery Schools, Model Residential schools, educational schemes, housing schemes, land to landless¹², health care schemes etc. For example, in 2017-18, the SC Development Department provided Pre-matric scholarship from center to 1,048 children engaged in unclean occupation, 406 persons availed Self-employment subsidy, 1,444 job seekers obtained employment training. SC Development department earmarks a portion of outlay as Corpus fund in the Budget annually for filling critical gaps identified in the SC Sub Plan schemes.
- g. The major source of funds for ST developments are
 - (i) State Plan allocation,
 - (ii) Funds under TSP components of CSS
 - (iii) Special Central Assistance to Tribal Sub Plan (SCA to TSP), Grant under Article 275 (1) of the Constitution, other allocation for schemes implemented by Ministry of Tribal Affairs and
 - (iv) Institutional finance. Major schemes implemented by ST Development department can be broadly classified as educational programmes, housing, health¹³, socio economic upliftment and legal protection

¹² According to the estimates of the LIFE Mission, there are 75,355 houseless people from the Scheduled Castes in Kerala. Among them, 20,796 families own land and rest of them are landless. Mission offers two options to the landless, one is to avail the assistance of ₹2.25 lakh for 3 cents in Grama Panchayath, ₹4.5 lakh in Municipalities, and ₹6.00 lakh in Corporation to purchase habitable land. The second option is to avail dwelling units constructed by the Mission in 28 towers across the State. The Mission has completed the work of 4,154 incomplete houses sanctioned earlier under various Central and State housing schemes

¹³ Illness assistance for treatment of diseases such as TB, Leprosy, Scabies, Sickle Cell Anaemia, Waterborne Diseases, etc

measures. For example, Valsalyanidhi social security scheme¹⁴ for the SC Girl Child; one acres of land per family to landless ST, setting up schools and colleges, training centres, scholarships, loans etc.

- h. Some key institutions dedicated to the development and safeguarding of the SC and ST in Kerala include: Kerala Institute for Research Training and Development Studies for SC/ST (KIRTADS); Kerala State Development Corporation for SCs and STs with assistance from National Scheduled Caste Finance and Development Corporation (NSFDC) and National Scheduled Tribes Finance and Development Corporation (NSTFDC).
- i. As per 'Article 340' of the Indian Constitution and on the recommendation of the Mandal Commission Report, State Government started a separate department named **Backward Communities Development Department** in November 2011 to look after the welfare of socially and economically backward communities of the society. Minority Welfare (MW) Department was formed in the State in 2012 for Muslims, Christians, Buddhists, Sikhs, Jains and Parsis. Kerala State Backward Classes Development Corporation (KSBCDC) and Kerala State Development Corporation for Christian Converts from Scheduled Caste and the Recommended Communities are other agencies that implement development schemes for the backward communities.
- j. As per Census 2011, **Forward Communities** constitute around 26 per cent of the total population of Kerala. A substantial number of people among these communities are suffering from severe economic backwardness Government of Kerala constituted 'Kerala State Welfare Corporation for Forward Communities Ltd' on November 8, 2012 with the objective of promoting comprehensive development and welfare of economically backward sections among forward communities in Kerala through rendering assistance to their members for improving their educational status, living conditions and over all development.
- k. **Anti-poverty sub plan** (APSP) for provision of sites to landless families, disadvantaged groups for physically challenged and elderly the GPs and Municipalities had to reserve 5% of budget.

World Bank defines social inclusion in two ways:

- The process of **improving the terms** for individuals and groups to take part in society
- The process of **improving the ability, opportunity and dignity** of people disadvantaged based on their identity to take part in society

Individuals and groups tend to be included in three interrelated domains: markets, services and spaces. Change toward inclusion can be done by enhancing three related channels: ability, opportunity and dignity.

(Inclusion Matters, World Bank 2013)

¹⁴ Development department deposits ₹1,38,000 in four instalments for the SC girl child, whose parent's annual family income does not exceed ₹1.00 lakh

6.5 Steps to address vulnerabilities and exclusion in KWSMP

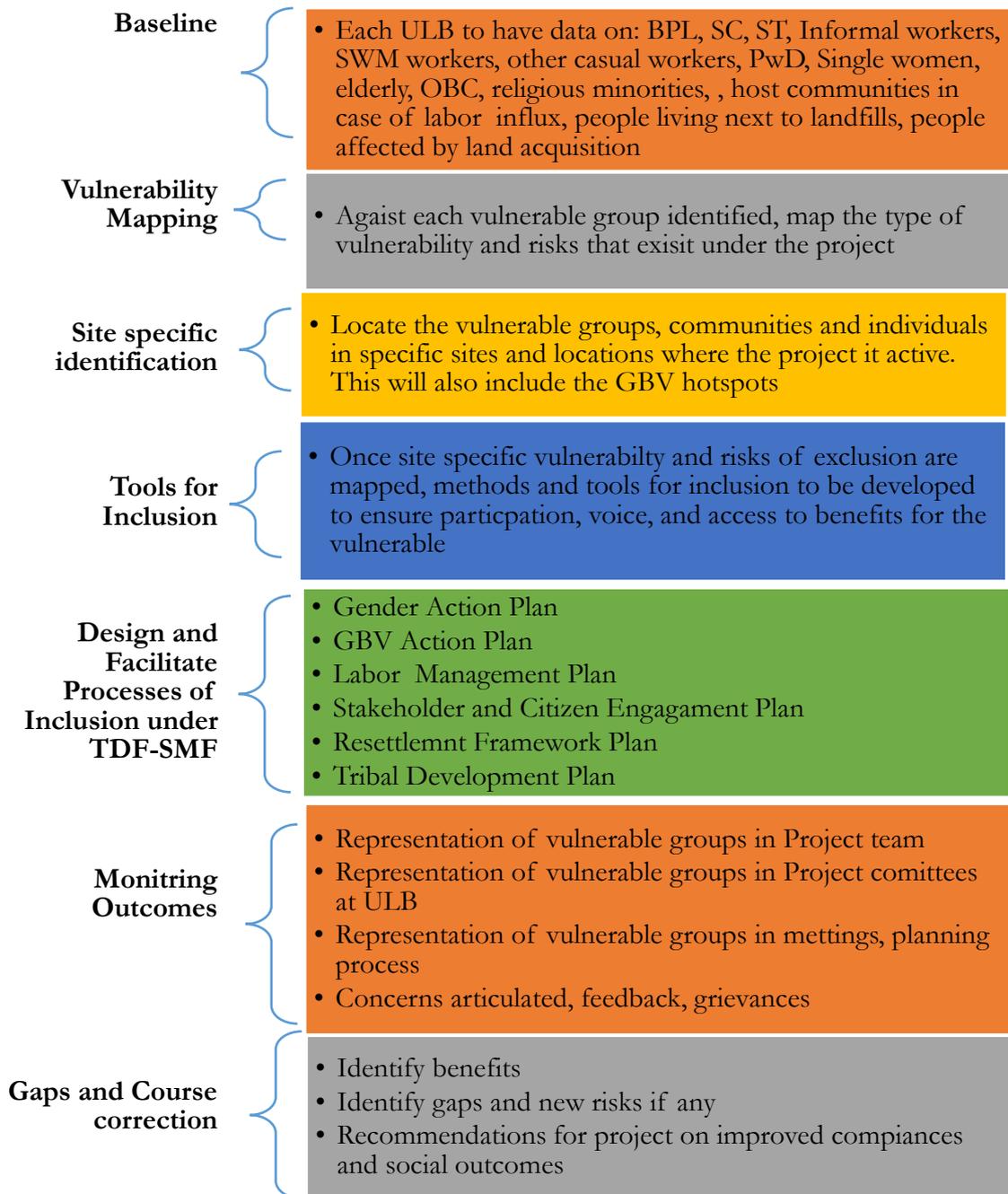


Figure 6: Steps to address vulnerabilities and exclusion in KWSMP

7. Gender Action Plan

7.1 Gender Analysis

Kerala ranks higher than the rest of India in terms of its gender indicators like sex ratio, maternal mortality rate, adolescent birth rates, women's literacy rate, proportion of adult females with secondary education. As a result, women in Kerala have always enjoyed a better status in society than their female counterparts in the rest of India (Dreze and Sen 1996). As per Census 2011 data, Kerala has the highest female literacy rate (92.1%) in the country (in comparison to the national average of 64.63%), and in 2015-16, the highest female median number of years of schooling completed, i.e. 8.7 years (in comparison to the national average of 4.4 years only). As can be inferred, there is a high level of gender parity within the state even in terms of access to education, with the Gender Parity Index (GPI) being 1 at the elementary level, and 0.99 at the secondary level in 2016-17. In terms of educational performance, girls outperform boys at all levels, evident from the results of the latest National Achievement Survey (NAS) conducted by NCERT in 2017-18. While most states have a higher sex ratio in rural areas relative to urban areas of the state, percentage of women in Kerala is higher in urban areas, i.e. 52.18%, while the overall state percentage is 52.02%. It is worth noting that Kerala is one of five states in the country to have an urban sex ratio greater than 1000. The sex ratio is higher in older populations (1006 for 15-59 years, and 1226 for people aged over 60 years) though falls below 1000 for the under 19 years category (963). Further, most health indicators remain highly favourable to women in the State. Life Expectancy at birth of women in Kerala at 76.9 years is the highest in India (all India average is 67.7 years). Low maternal mortality rate and high female life expectancy in Kerala are highly attributed to the extensive public provisioning for maternal care in the State. The universal access to health care institutions helps to ensure maternal care as well as institutional delivery to all.

However, significant gender disparities exist in Kerala in terms of the nature of human capital investment- Women in Kerala are still underrepresented in quantitative, technical, and scientific skills; unpaid, unaccounted, invisible work in the domestic spheres is still women's prerogative; all the social tasks which are low paid, use high mobilisation skills and are time-consuming are all been undertaken by women. In terms of data, Kerala exhibits a stark difference in the unemployment rates between males and females. Males in urban areas of the state have an unemployment rate of 2.7% compared to 13.9% for females in 2011-12.

Using a gender lens to view service providers and waste generators under SWM in 93 municipalities of Kerala shows that the gender disparities are prominent and need to be addressed to avoid negative impacts on women.

7.1.1 Women's domestic and invisible work

The 1990s was an important decade for creating economic avenues for women particularly the resource poor women. State-wide self-help group network of below poverty line (BPL) women under state aegis for poverty alleviation. However, the microcredit programme with its thrust on efficiency has often thrown women into multitasking roles where women are participating in all development forums of the panchayat and shouldering the entire responsibility of the family (Bhaskaran, 2011).

7.1.2 Poor economic opportunities

Despite high educational levels women are not getting the opportunities commensurate with their capabilities. Data shows the Workforce Participation Rate¹⁵ in urban areas of Kerala is abysmally low. Kerala records highest number of women jobseekers with very low placement rates¹⁶ simultaneously pushing women to low productivity and labor-intensive sectors. And even if women are absorbed within the workforce, there exists a gap between their skill levels and the kind of work they do.

7.1.3 Multiple vulnerabilities of women citizens

Within the women's group the vulnerable include aged women, women with disabilities, SC/ST women and single women. The population of aged persons is increasing in Kerala. According to the 2011 census, the number of women aged above 60 years is 19 lakhs and the number of men, 23.26 lakhs. Aged women have specific problems such as economic dependency, mental and physical health problems, malnutrition, loneliness, domestic violence. The number of female headed households in Kerala is greater than the national average. While the national average is 11%, in Kerala it is 23% (2012). These include widows, single women, and abandoned/separated women. The increasing unemployment of men and decline of the traditional sectors increase the domestic responsibility of women citizens.

7.1.4 Limited and bracketed political participation of women

Political decentralisation and social mobilisation in Kerala since mid-1990s has created new opportunities¹⁷ for public participation of women. 33 percent and later 50 percent reservation of women in the elected rural and urban local bodies. However, despite physical presence, often women are merely service providers and have limited role in decision making or end up playing softer roles related to mobilisation, education,

¹⁵ 16% for women in comparison to 51% for male counterparts (Kerala Socioeconomic Review 2018)

¹⁶ 22 lakhs women job seekers and only 1.4% women applications made it from the registration to the placement stage (Employment Exchange Statistics 2018), Gender Statistics 2017-18, Government of Kerala

¹⁷ political decentralisation in the mid-1990s and the formation of the towards the end of the decade marked the beginning of the present phase in which relatively larger numbers of women step out of the confines of their domestic spaces and enter the labor market and the public. On the other hand, resistance to intensifying predatory capitalism - most visible in struggles over land and water resources and the environment in general - has also brought a very large number of women into public politics especially in the last decade (Devika: 2014)

anganwadi while infrastructural works continue to be in the hands of male members¹⁸. The fact that women's political participation and leadership is low is evident when in higher tiers of elected bodies, where there is no reservation, the presence of women is abysmal¹⁹. In fact, proportion of parliamentary seats occupied by females show that Kerala's performance is not just poor but below all India average²⁰.

7.1.5 Outcomes of Gender Responsive Budgeting

Since the 9th Five Year Plan, Kerala had undertaken gender aware planning as part of its decentralised Planning process. In 1998, it was mandated by the government of Kerala that 10 percent of Plan outlay of the local bodies was to be allocated to women specific schemes and the gender impact of other schemes also had to be assessed. Under the Women Component Plan (WCP), Kerala began the process of Gender Budgeting²¹. While there are schemes designed especially for women, there are also other development schemes in which women share benefits with male counterparts. Over the years, this process and similar efforts²² helped the local governments to understand specific issues of women through studies on status of women and then reflect some of these needs in the planning process. In In 2017-18, the first year of the 13th Plan, aggregating resources earmarked for girls/ women across Departments, 11.4 percent is earmarked for women, but this data does not include elected bodies. The allocation are focussed on SHGs, income generation through Kudumbashree, Violence against women, health and sanitation and skill development. But hardly any attempts are made to address issues of double work burden, issues related to women's mobility, safety and security in workplaces and public places, gender sensitivity of professionals working with women²³.

¹⁸ "traps women leaders in the role of welfare distributors, and undermines their emergence as leaders of local politics and development, besides making them overdependent on rules and norms" (Devika and Thampi, 2012)

¹⁹ In the 16th Lok Sabha women constitute 12 per cent of the total Members of Parliament (MP) while only one-woman MP (5 per cent) could reach the Parliament from Kerala

²⁰ In 2014, only 6 per cent of the total members were women (8 out of 140) while all India average (9 per cent) is above the State figure. As per the report of Women and Men in 2017, the proportions of women in legislatures of other States like Bihar (14 per cent), Haryana (14 percent), Rajasthan (14 per cent), Madhya Pradesh (13 per cent), West Bengal (13 per cent), Uttar Pradesh (10 per cent) and Jharkhand (10 per cent) are higher than Kerala. It is really surprising that even in socially and economically backward States, women have a more representation in legislative assemblies than in Kerala.

²¹ Gender Budget is not a separate Budget for women but is a methodology to assist governments to integrate a gender perspective into the Budget. GB is a powerful tool to ensure that development planning, financing, implementation and evaluation does not bypass women and girls, and that this process becomes the medium through which gender inequalities can be addressed. (<https://kerala.gov.in/documents/10180/90cb0019-ae4-44dd-85b3-f54a56b7b60e>)

²² A Gender Budget exercise was done in the Kerala Budget during 2008-09 by Kerala State Planning Board. The total outlay earmarked for women accounted for only 5.5 % of the total State budget outlay in 2008-09, which increased to 8.5 % in 2010-11 after a gender audit was done. Furthering to this, a policy entitled "Gender Equality and Women's Empowerment" (GEWE) was approved by the Government of Kerala on 16th April 2015 to strengthen gender equality and women's empowerment in the State.

²³ Gender Budget Manual for Local Self Government Institutions of Kerala. KILA. 2017

7.2 Gender Risks and Gaps

7.2.1 SWM roles risk reinforcing gender stereotypes

The project risks relegating women both as service providers and water generators to unpaid, low paid, invisible, unprotected work. As primary collectors and the first point of interface between the waste generators and waste processors, women constitute a high proportion of informal labor force in Urban solid waste management. Each municipality has formal and informal workers²⁴. The 12 Municipalities surveyed, the sanctioned staff for HKS is around 669 i.e., 55 per Municipality. The formal staff range between 15 to 38 persons, mostly women who undertake collection whereas men were involved in segregation and sale. Baseline survey shows that 25% of women that had been involved in work in the past year in 34 municipalities, were engaged for less than 6 months. This is because women are more often considered for roles that include collection or sorting, cleaning, or separating of the waste. Entrepreneurship, dealership, transport operations, driving vehicles, operating machinery, and other maintenance services are some SWM activities in which women are absent. The lack of data disaggregated by sex at both sector and city level, lack of review of workers' safety, security, aspirations, challenges, lack of opportunities for skill upgradation are some serious gaps that make women SWM workers invisible and their growth static.

7.2.2 Exploitative work conditions of SWM workers

Waste collectors and dumpsite workers are seen collecting waste from the households and commercials to the municipal dumping sites and retrieve paper, plastics, rags, metals or everything that possesses intrinsic value and sell the reusable items to middlemen for onward processing, composting of bio-degradable waste etc. Women are highly disadvantaged in this work. They are generally paid less for the wastes. They work in cramped and unsanitary conditions for long hours and low returns²⁵. These are women from slums, with low educational levels and lower caste backgrounds. (International Journal of Business and Administration Research Review. Vol.I, Issue No.2, Nov-Jan2014.) The project risks perpetuating efficiency of women and utilising women's dexterity and skilfulness to achieve developmental goals at cheaper prices.

²⁴ Formal ones include Sanitation Workers - sweeping& cleaning of road and collection of biodegradable waste from common point of collection and Haritha Karma Sena (HKS) for door to door collection and segregation of recyclable waste. Informal workers include: Waste pickers who work in the main landfill or in the temporary waste storage sites; Street pickers who collect the recyclables from the waste bags in front houses and Informal traders who purchase the sorted recyclables.

²⁵ With time, and due to exploitative work conditions, Urban Kerala is home to many collectives mobilised around the circulations of waste where women from marginalised classes, castes and tribal communities have been at the forefront of these struggles (Binoy 2014).

Kudumbashree Mission in 1998 was launched by GoK as a poverty reduction program linking women (focus on resource poor women) to micro credit and entrepreneurship development. Literal meaning of Kudumbasree is prosperity (sree) of family (kudumbam). Women in rural and urban areas with different socio-economic groups and skill sets were brought together to form three tiered collectives called Neighbourhood Groups (NHGs); Area Development Society (ADS) and Community Development Society (CDS). Kudumbasree Mission is today one of the largest women empowerment programmes in the country. It is the only rights based organization under GoK, which recognizes women's work participation concerns as a matter of rights and equity. As of January 2020, there are 1064 CDS, 19489 ADS and 299297 NHGs **making 4 million mass bases of Kudumbashree in Kerala covering 50% households of the state.** Kudumbashree has enhanced the visibility and participation of women in all forums and increased the access to credit and micro entrepreneurship, but it is still a question whether it has enhanced the agency of women. Indebtedness seems to be increasing among women. Access and availability of credit has increased the tendency to easily avail of loans and the expenses are mainly incurred for consumption and stereotypical needs like marriage, health and education needs, etc

7.2.3 Risks within the Kudumbashree model

The insecure, low-paid, scavenging, mechanical work, waste collection and segregation has been handed out to those women in Kudumbashree who are poor, belong to lower caste, have not received skill training. This creates new risk of trapping women into a vicious circle of poverty of which the project must take cognisance. During the pilot test in Attingal, a brief Focus Group Discussion (FGD) was held with the Kudumbashree members. It was found that despite belonging to lower socio-economic groups, each of the women participants was literate. Two of the 15 members even held university degrees. There is thus, huge potential for assigning roles more in tandem with their education levels. However, there is stigma attached to waste work preventing women to find other jobs.

7.2.4 Other risks

In the absence of clear roles and opportunities for participation, women as elected leaders or as service users can get side-lined making the SWM plans weak and unrepresentative. Also, since women are generally expected to perform domestic chores and managing waste is one of them, the project risks adding to their workload if they are not duly consulted.

There is a risk that without special measures, women citizens in general and within that vulnerable women (aged women, women with disabilities, SC/ST women and single women) will get left out of the planning processes.

7.3 Legislation for Gender justice and mainstreaming

- I. Gender equality safeguarded under the Constitution of India: Article 14 guarantees both women and men equality before the law and equal protection of the law. Article 15 prohibits any discrimination on a variety of grounds including sex. Article 15(3) permits the state to make special provisions to address inequalities faced by women. Article 16 provides for equality of opportunities in matters like employment or appointment to any office. Article 39 (a) directs that state policies should ensure all women and men have equal rights to means of livelihood as well as equal pay for equal work. Article 42 requires the State to make provision for ensuring just and humane conditions of work and maternity rest. The Constitution also imposes a fundamental duty on every citizen through Articles 51 (a) (e) to renounce practices derogatory to the dignity of women.
- II. Government of India is a signatory to CEDAW since 1993 which obligates non-discrimination, substantive (not just formal) equality²⁶. The principle of substantive equality calls for results and not just access and opportunity. It obligates the state towards making plans, programs and allocating finance for women's rights. The Indian government's progress on CEDAW obligations are charted every four years in front of an independent CEDAW Committee of experts. Gender Mainstreaming was also established as an inter-governmental mandate in Beijing Declaration and Platform for Action in 1995 and then in Economic and Social Council (ECOSOC) Agree Conclusion in 1997.
- III. Since the 9th Five Year Plan, Kerala had undertaken gender aware planning as part of its decentralised Planning process. In 1998, it was mandated by the government of Kerala that 10 percent of Plan outlay of the local bodies was to be allocated to women specific schemes and the gender impact of other schemes also had to be assessed. Under the Women Component Plan (WCP), Kerala began the process of Gender Budgeting. A Gender Budget exercise was done in the Kerala Budget during 2008-09 by Kerala State Planning Board. The total outlay earmarked for women accounted for only 5.5 % of the total State budget outlay in 2008-09, which increased to 8.5 % in 2010-11 after a gender audit was done.
- IV. The Gender Equality and Women's Empowerment (GEWE) was approved by the Government of Kerala on 16th April 2015 to strengthen gender equality and women's empowerment in the State. In 2009, drafted by the Department of Social Justice, Ministry for Social Justice, the Government of Kerala Policy on Women which was updated to the Gender Equality and Women's Empowerment (GEWE)²⁷ Policy (2014-2020). The policy recognizes the gender biases in development which has skewed the sharing of development benefits and indicators in Kerala. While it continues to focus on women as the core

²⁶ The only reservation was non-interference with regard to customary and family law

²⁷

<https://kerala.gov.in/documents/10180/46696/Gender%20Equality%20and%20Womens%20Employment%20Policy>

target group, it also recognises the need to involve and work with men whose behaviour and role change is critical to improving gender outcomes in Kerala. The policy establishes a process and accountability framework to design and monitor gender-informed development projects in the State. The policy

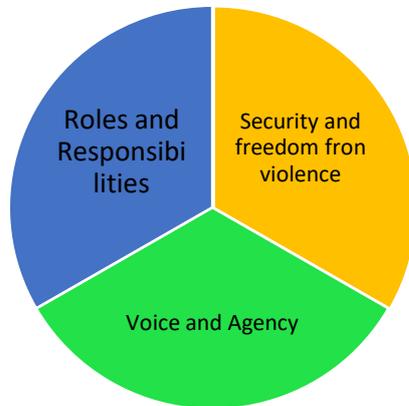


Figure 7: Three-dimensional Result framework for Gender Equality under GEWE

advocates for Gender Action Plans in each department to ensure that gender outputs and indicators are integrated in all projects. To ensure that gender results can be measured and tracked at state level, each agency is mandated to report on gender indicators.

V. For the implementation arrangement for GEWE includes state level Gender State Coordination Committee (GSCC) with the

Chief Minister as the chairperson, Department level Coordination) and sector/agency/project level Gender Action Plans.

World Bank is committed to promoting gender equality and inclusion in Investment Project Financing (IPF) operations. The Bank’s overall approach to gender is guided by the World Bank Group’s Gender Strategy (FY16-23) and OP4.20 to address constraints cited in many economies such as occupational sex segregation, with women and girls often streamed into lower-paying, less secure fields of study and work; high rates of unpaid work by women; high prevalence of gender-based violence (GBV) and, more specifically, of Sexual Exploitation and Abuse (SEA)/Sexual Harassment (SH) in workplaces; lack of clear land and housing ownership and tenure security, wherein women’s rights tend to be informal so that they are at greater risk of being displaced from land and other asset ownership; and inadequate investment in and prioritization of care services, from early childhood to old age.

7.4 Gender Action Plan for KUSDP

Based on the gender analysis and identified risks and gaps, the Gender Action Plan will focus on the following stakeholders and outcomes. It is expected that the project will bring increased opportunities for employment and income generation as well as enhanced participation, leadership, and decision making by women—in the community and within households.

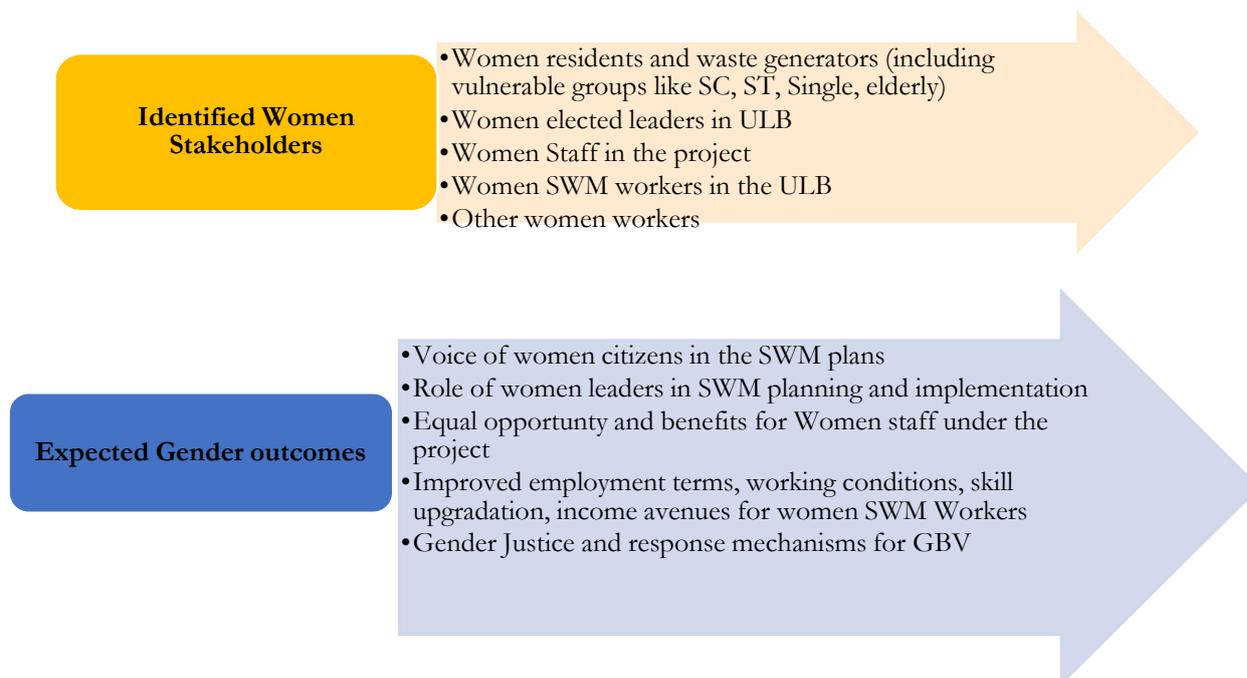


Figure 8: Women Stakeholder and Expected Outcomes

The Action plan is given below:

Table 28: Gender Action Plan for KUSDP

Purpose	Action	Timelines and Responsibility	Deliverable
Stakeholder Mapping (Baseline)	ULB wise data to be compiled on Women residents and waste generators in ULB, Women elected leaders in ULB, Women Staff in the project, Women SWM workers in the ULB	First year of the project (ULB)	Database (update annually)
Profiling the women SWM workers	<ol style="list-style-type: none"> 1. Collect data to provide: <ul style="list-style-type: none"> • % of women workers in each tier and category of the SWM value chain • % of women workers with permanent jobs • % of women workers with contractual jobs • % of women scrap dealers • % of ULB budget allotted to Women Component Plan 2. Socio-economic profiling of women waste collectors and dumpsite workers 3. Role, Position, type of contract, tenure, social protection and opportunity for vertical or horizontal movement. 4. Map the affiliation of workers with agencies/ CBOs/ Kudumbashree 5. Within Kudumbashree, document how waste collectors and dumpsite workers are affiliated: NHS/ ACS/ CDS or any other position or affiliation. 6. Document challenges and aspirations of women workers 	First quarter of the project (PMU and ULB)	Quantitative and Qualitative Baseline on SWM workers

<p>Mapping schemes, trainings opportunities and resources for skill enhancement of SWM women workers</p>	<ol style="list-style-type: none"> 1. Map existing Skill building schemes²⁸ from which women can benefit 2. Mapping local organisations and agencies that can provide counselling, support, training, and skill building 	<p>Year 1 (PMU, and SO)</p>	<p>Report on available resources for SWM women workers and recommendations for leveraging</p>
<p>Aligning interventions with Women Component Plans</p>	<ol style="list-style-type: none"> 1. Review existing WCP and resources for SWM women workers 2. Support to ULBs in gender responsive planning and budgeting (workshops, training, handholding) 3. Leveraging WCP for improved outcomes for SWM women workers 	<p>Year 1 (SO) Ongoing (PMU)</p>	<p>Review of the Women Component Plans (before and after): addressing gaps, leveraging resources for SWM women workers (increase in budgetary allocation for SWM workers)</p>
<p>Upgrade skills, increase income benefitting through other verticals in SWM chain including access to entrepreneurial opportunities</p>	<ol style="list-style-type: none"> 1. Create and deliver a tailor-made skill upgradation capacity building program and supporting opportunities for entrepreneurial development. This may include making value added products or Budgeting, Book-keeping, business management or Managing/repairing bio-gas units or other services under the SWM value chain. 2. Link women to other verticals, other roles in ongoing schemes or projects or opportunities identified. 3. Create new entrepreneurship and other opportunities²⁹ 4. Provide continued support, handholding for new ventures and income generation activities 	<p>Year 1 and 2 (PMU) Year 3 and 4 (SO)</p>	<p>Results framework of Project to report on: Number of women received skill upgradation training; Number of women linked to higher SWM value chain activities and entrepreneurial activities; % increase in income women SWM workers accessing other SWM verticals.</p> <p>Continuous documentation of trainings and support provided Compilation of Success stories</p>
<p>Equity and Equality for women as workers</p>	<p>Based on the Code of Conduct and Terms and Conditions under Labor Management Plan, ensure no discrimination against women workers in terms of selection for work, wages, benefits, and opportunities.</p>	<p>Annual Review (PMU)</p>	<p>Review of information from Labor MIS on number of women hired, wages of women and men under the project for same jobs, benefits</p>

²⁸ Rashtriya Mahila Kosh; Support to Training and Employment programme for Women (STEP); Swadhar Greh (A Scheme for Women in Difficult Situations); Self-Employment Scheme for Rehabilitation of Manual Scavengers (SRMS); Assistance to the Welfare of Scheduled Tribes to name a few.

²⁹ The PMU can establish linkages with 'The Gender Park' which aims to bring together resource persons and opportunity seekers under one platform. Gender Par is first of its kind in India, is an autonomous institution promoted by the Department of Social Justice, GoK, to resolve the gender inequity in development. It acts as a convergence for women studies, activities, research institutions, entrepreneurs, organizations, individuals, policies/ programmes/projects, etc. It is envisaged that women will find themselves at ease to explore their creative as well as intellectual capabilities in the Gender Park

in the decadal growth rate of crime against women (1995-2005) by State Crime Records Bureau, Kerala³⁰.

- From 8087 cases against women in 2005, to 12485 in 2015 to 14293 in 2019. This includes rape, domestic violence, molestation and eve teasing, dowry death, murder, immoral trafficking, wife battering, child abuse, and desertion.
- Rate of Crime against Women (RCW), which means number of crimes against women per 0.1million population of women, at the national level is 41.7. But Kerala is among the states having a higher rate than at the national level. Kerala's RCW is an alarming 61.21. Of the 53 mega cities in the country, Kollam in Kerala is in the higher rate group with 106.3%, more than double that of 47.8, the average for mega cities.
- Sexual assaults are also very common in Kerala. ISS study found 34.8% of VAW cases belong to this category
- Studies³¹ show that an overwhelming majority of women feel that the roads in Kerala are unsafe for them to travel after sunset. 98% women in Thiruvananthapuram and 99% Kozhikode felt threatened by the risk of sexual harassment in public places. Over 90% women felt unsafe in public places and while commuting.

7.5.2 Impact of GBV on victims and survivors

As per an ISS study conducted in 2013³², social workers feel that 71.1% of the crimes are not registered even today. In recent years some attempts have been made by the GoK to make police people friendly. But still in public spaces women face a lot of difficulties to approach police. In addition, due to social norms of honour and shame, many victims of GBV were deprived of personal freedom in the post crime period.

- 36.3 % of victims were forced to leave home
- Pushed into sex trafficking
- 22.6% were denied education
- 33.7% were not permitted to continue their employment
- 16.7% of the victims feel that they were punished with forced marriages and 16.7% were denied marriage
- At least 26.4% victims responded in the survey had thought of commit suicide³³ at one point or other
- Victims family subjected to trauma

³⁰ <https://keralapolice.gov.in/public-information/crime-statistics/crime-against-women> accessed on 11th April 2020

³¹ Study conducted by SAKHI in 2012 in four cities in Kerala-Thiruvananthapuram, Kochi,Thrissur and Kozhikkod (Safe City Free of Violence against Women and Girls)

³² Women Victims of Crimes in Kerala 2012-13, Institute of Social Sciences, New Delhi for The State Police Chief Police, Government of Kerala

³³ Among the suicides in Kerala, 6,409 were committed by men and 2,081 by women. The male female ratio in general is 3:1. However, in the age group of 15 to 29 male female ratio comes to 62: 38, a maximum. In attempted suicide women surpass men. In the official data, the connection between suicides and GBV has not been clearly established (ISS:2013)

7.5.3 National Laws, Policies and Conventions

- The National Policy for the Empowerment of Women³⁴ adopted in 2001 states that all forms of violence against women, physical and mental, whether at domestic or societal levels, including those arising from customs, traditions or accepted practices shall be dealt with effectively with a view to eliminate its incidence. Institutions and mechanisms/schemes for assistance will be created and strengthened for prevention of such violence, including sexual harassment at work-place and customs like dowry; for the rehabilitation of the victims of violence and for taking effective action against the perpetrators of such violence. The Draft National Policy for Women in 2016³⁵ was an attempt to further the mission of equal rights and opportunities for women in family, community, workplace and governance.
- India has signed and ratified Convention on Elimination of Discrimination against Women (CEDAW)³⁶. Since then, the National policy for Women and other policies and amendments on acts has been reflecting the principles highlighted in the related international conventions.
- The Convention on the Rights of the Children³⁷ lays out a universal definition of 'child'. It articulates how children should be treated in a non-discriminatory manner and calls for action that considers the best interests of the child.
- In India, legislations deal with crimes against women can be grouped into two categories: laws related to crime in Indian Penal Code (IPC) and those related to crimes under the Special and Local Laws (SLL)-Gender Specific Laws
 - The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013, is introduced to prevent and provide redressal of complaints of sexual harassment. One of the main provisions in this act is that it calls for constituting an Internal Complaints Committee at each office or branch with 10 or more employees/workers.
 - The Protection of Women from Domestic Violence Act, 2005³⁸ defines domestic violence, describes the powers and duties of protection officers, service providers and lists the procedures for obtain reliefs.
 - The Dowry Prohibition Act, 1961 makes giving and demanding dowry as a punishable offence. Section 8B identifies Dowry Prohibition Officers who are appointed not only to prevent the offence but also to collect evidence and perform additional functions that are deemed to serve the purpose of the act.
 - The Protection of Children from Sexual Offences Act, 2012³⁹ has been framed to strengthen the legal measures for protecting children from any kind of sexual offences. Despite having sexual offences covered under different sections of Indian Penal Code, those existing sections do not

³⁴

<https://wcd.nic.in/sites/default/files/National%20Policy%20for%20Empowerment%20of%20Women%202001.pdf>

³⁵ https://wcd.nic.in/sites/default/files/draft%20national%20policy%20for%20women%202016_0.pdf

³⁶ <http://treaties.un.org/>

³⁷ http://www.unicef.org/crc/files/Rights_overview.pdf

³⁸ "TheProtectionofWomenDomesticViolenceAct2005.pdf" on <http://ncw.nic.in/acts>

³⁹ "childprotection31072012.pdf" on <http://wcd.nic.in/sites/default/files>

entirely cover similar offences against children. Recognizing the children as a person of 18 years or below, the various offences have been clearly defined under this Act. The Act also defines the gravity of certain offences carried out against children and suggests stringent punishments accordingly.

- India ratified the Convention for the Suppression of the Traffic in Persons and of the Exploitation of the Prostitution of Others⁴⁰ and following that, the country enacted The Immoral Traffic (Prevention) Act in 1956 and punishes trafficking in relation to prostitution.
- Immoral Traffic (Prevention) Act, 1956, Dowry Prohibition Act- 1961, Indecent Representation of Women (Prohibition) Act-1986, Commission of Sati (Prevention) Act-1987 are some other SLL-Gender Specific Laws.

7.5.4 State level provisions to address GBV

- **Kerala State Women's Commission (KSWC)**: Started in 1996, it has been mainly functioning as grievance cell for women who face violence and similar atrocities and discrimination. Being responsible increasing awareness of the rights of women in the state, it can only recommend actions. It lacks punitive powers.
- **Jagratha Samithies (Vigilance Committees)** along the lines of the three-tier decentralized governing system such that there is an accessible institution at Gram Panchayat, Block and District level. In 2013, Social Justice Department in GoK prepared detailed guidelines to revitalize Jagaratha Samithies (JS), in Grama Panchayats, District and in urban areas- Municipalities and Corporations. The revised role also includes coordinating with multi stakeholders like Police, Child Welfare Committee, NGOs and One stop Crisis Cells at the grass root level to prevent violence against women and children and prevent child marriages.
- Given the mass base of Kudumbashree, they are also given a representation and role of mobilisation, support in JS. GoK provisioned for **Kudumbashree Gender Corner** in all local government offices to help link victims and survivors to support services.
- In Kerala, **Social Justice Department** has women protection officer in each of the 14 districts. Around **23 NGOs**⁴¹ are working as support and research organisations in association providing services like counselling, short stay home, legal aid and health care to the victims. A few of them are advocacy groups proactively fight against GBV and campaigns for policy changes. The Department runs Mahila Mandirams, shelter houses for destitute women in all 14 districts.
- **Bhoomika/One Stop Crisis Cells**: In 2006 UNFPA India, supported the state to develop a protocol for the management of victims of VAW in the causality department of hospitals and to produce district wise resource directory providing information on support services available in each district. Later, in association with National Rural Health Livelihood Mission, GoK launched centres for gender-based violence management, called Bhoomika in 14 General

⁴⁰ <http://www.ohchr.org/en/professionalinterest/pages/trafficingpersons.aspx>

⁴¹ Anweshi Women's Counseling Centre, Sakhi Resorce Centre, Abhaya, Kerala Mahila Samakhya to name a few.

Hospitals at District level and 9 Taluk level (sub- division of district) hospitals. Recently these centres are converted into One Stop Crisis Cells⁴² (OCCs) to function as victim friendly first response centers.

- The state has **three 24X7 emergency response and rescue services** for seeking immediate and extended support to women and children facing sexual violence: a) toll free helpline called **Pink Patrol**, b) Gender help desk called **Snehita** and c) **Mithra Help line** (181).
- Other innovative and city specific examples of support services include:
- GoK recently launched '**She taxi**⁴³, a by women, for women 24/7 taxi service in Thiruvananthapuram, and Kochi. The objective is to ensure safe, secure and responsible travel for women. The city police of Thiruvananthapuram came with a fresh project for travel safety of women. 'Women-Friendly Auto Rickshaws' were introduced to help women who have no choice but to travel during late hours of the day owing to work
- Indian Women Network collaborating with Jagratha Samithi constituted in Kochi Municipal Corporation launched a mobile app '**Help Me on Mobile**' that helps to prevent violence against women. The newly launched mobile app allows the location of a woman in distress to be tracked and will send panic alerts to chosen family, friends and police in emergency situations. By pressing a button, pre-recorded messages like 'I am here, I need help' will be sent to numbers on the selected list together with the user's location. The application is developed by *On mobile*, a telecom service provider. Tripunithura based *Smacon Technologies* has developed another android application *Soteria*. While facing trouble one can make messages simultaneously to the three pre-set numbers. Even status updates can be given in Facebook through this application

7.5.5 Gaps and Challenges

Kerala has no dearth of policies, laws or institutions to address VAW however, **the crime against women is increasing and redressal mechanisms are also ineffective**. GoK requires systemic strengthening through more funds and an integrated holistic approach to address GBV⁴⁴. The key gaps are:

- Gender insensitivity needs to be addressed at all levels through mass IEC and BCC campaigns and capacity building.
- Response mechanisms are centralised and often inaccessible: Kerala State Women's Commission that functions and a grievance cell for women is in Thiruvananthapuram. The remoteness from the commissions' services appears to have affected its effectiveness in delivering services to the women in far flung places evident from records of 50 percent complaints coming from Thiruvananthapuram only. The number of OCCs across the state are few as they

⁴² The OCCs mandated to have a fulltime women counsellor; a Police Officer, Gynecologist, lawyer and protection officer work under the Domestic Violence Act, all of them are women, will be available on call

⁴³ It's an off-campus project of Gender Park, an initiative under the Social Justice Department.

⁴⁴ Kerala GBV Scoping Study by the World Bank, 2014

are limited to district hospitals and nine Taluk hospitals. Victims from far flung places must travel up to district headquarters to get the service. OCCs lack institutional and human capacities like each cell has only one counsellor to look after all aspects. Infrastructure facilities are limited as the Cells are attached to the Hospitals which are already constrained amenities.

- Response services to be audited regularly: Studies show that women's helpline number 1091 started by Women Police for immediate action was ineffective in the cities. This was mainly due to lack of funds, facilities such as vehicles and enough trained personnel.
- Lack of coordination is a major problem: Projects and programmes to address GBV fall under different departments like Social Justice, LSG and Kerala Police. The Nirbhaya project was designed as a vigorous, multi sectoral and convergent model to fight against sexual violence and sex trafficking of women and children. It aims to bring together Department, Agencies like Mahila Samakhya, Jagaratha Samithi, Kudumbashree, local governance institutions, service providers under one the ambit of Nirbhaya Cell or the Directorate. It is envisaged to develop a comprehensive policy, creation of a Corpus Fund and action plan with multi-stakeholder convergence, covering various aspects such as prevention, protection, rescue, rehabilitation, restoration, reintegration, legal reforms. However, the project is still in the initial stage due to shortage of funds, personnel and priority.

7.5.6 GBV Risks in the project

- As per the GBV risk rating tool, the project scored a 6.25 numeric rating putting it in a low risk category (See Annexure 2).
- Lack of safety and security is a major challenge woman in the SWM sector face. Since it is a largely unregulated sector and women often work in alleyways and poorly maintained areas of the city, women are exposed to crime and unwanted elements in society. This is a major social risk associated with this sector, which puts even the limited women working in SWM at serious risk. Also, much of the waste is dumped at night or in the early hours when it is still dark, making it even more challenging and unsafe for women to contribute effectively.
- Vulnerability of formal women workers of Sexual Harassment at workplace
- Lack of Project level systems and response mechanisms: At the project level, available policy and institutional mechanisms are not enough to respond to GBV.

To sum up, Kerala as a state has high risks of GBV especially in public and workspaces. However, under the project the risk rating is low due to the nature of interventions and available as well as proposed systems to address GBV. The existing systems in the state have gaps not in the services per se but in terms of inter linkages across various service providers from response to relief to rehabilitation. The GBV risks under the roject can be addressed by having robust Labour Management Procedures and Grievance redressal mechanisms including effective response, redressal and reporting. In addition, ensure Internal Complaint Committees across all agencies affiliated with the project

7.6 GBV Action Plan

The Action Plan gives the Risk Management Cycle and key tasks to be undertaken at each step to ensure risk mitigation and response for GBV.

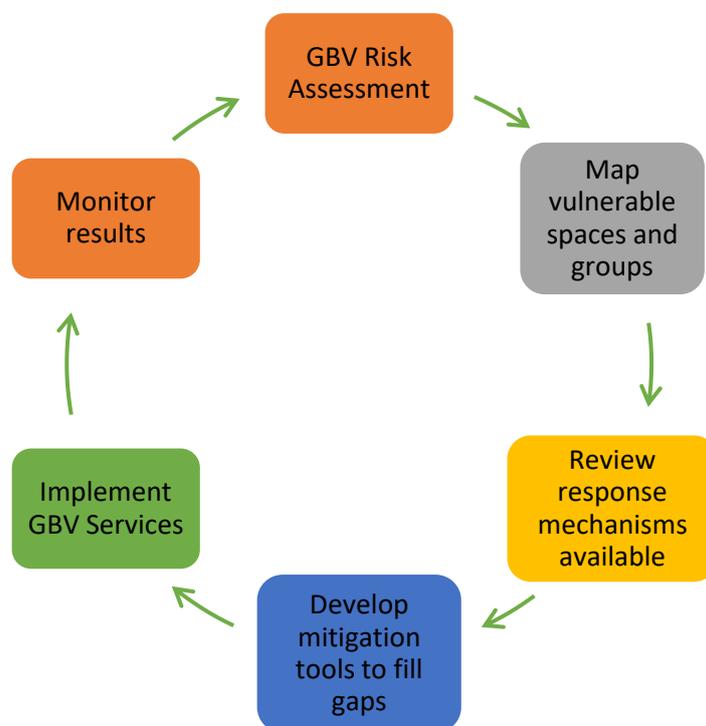


Figure 9: GBV Risk Management Cycle

The table below gives GBV Action plan

Table 29: GVB action plan

Action	Tasks	Timeline	Responsibility	Deliverables/ Indicators
Internal Complaints Committee for Implementation Agency	<ol style="list-style-type: none"> 1. Finalise TOR 2. Nominate Member 3. Set up Committee 4. Organise Orientation and Meetings 5. Inform staff 	First Quarter of Project Implementation	PMU	<ul style="list-style-type: none"> - Finalized ToR - List of Members - Orientation Session - First Meeting
Map Hotspots and vulnerable groups and GBV issues	<ol style="list-style-type: none"> 1. Conduct secondary and primary research 2. Collate data⁴⁵ on the local GBV issues in the project sites and affected areas/groups 3. Report on GBV risks in project sites 	First six months of the project	Independent Agency	GBV Assessment Report for each ULB covering risks, vulnerable groups, services, gaps, recommendations

⁴⁵ Demographic health surveys (DHS); Quantitative and qualitative surveys; Qualitative data from NGOs; Perception surveys; Local women's organizations and key informants

Map GBV service providers and quality assessment of services	<ol style="list-style-type: none"> List Government, Non-Government and Private Agencies providing GBV support Map local informal grassroots organization Review the quality of services in terms of prevention, protection, rescue, rehabilitation, restoration, reintegration, research and documentation 	First six months of the project implementation (continue to update annually)	SO	<p>GBV Service provider repository for ULB:</p> <ul style="list-style-type: none"> Directory of organizations⁴⁶ Mapping and benchmarking services⁴⁷ Identification of key partners, roles, modalities
Facilitate GBV awareness and sensitization programs	<ol style="list-style-type: none"> Organize sensitization activities with identified vulnerable communities Organize sensitization sessions with different groups of project staff, workers Visibly display signs around the project site. 	On going	PMU and SO	Six monthly report on: Dissemination material produces, workshops organized, personnel trained. community members sensitized
Create a GBV response and support mechanism	<ol style="list-style-type: none"> Seek partnership for GBV support Create an SOP for prevention, protection, rescue, rehabilitation, restoration Prepare ULB wise plans for awareness generation, training and documentation. Link the project GRM to manage GBV complaints 	Year 1	ULB supported by PMU	Response matrix Response services ULB wise GBV reporting on cases (received, resolved, gaps etc)
Reporting, Monitoring and Review	<ol style="list-style-type: none"> Create GBV data fields for MIS Ensure quarterly reporting Conduct review of support provided and audit of services available 	Every six months	PMU	Reporting on ICC, Sensitization and CB activities, GBV response process, data on complaints received, resolved. Challenges and success stories

Note: Any Reports produced (internal or external) must take into account issues of confidentiality.

⁴⁶ Basic information to be collated: Service Provider Name; type of service, location, helpline number (if any); Website; Organisation Contact no.; Email of organization; Contact person Name; Contact person Designation; Contact person No.; Contact Person Email Address.

⁴⁷ Benchmark indicators: Relevance; Success Rate; Time taken; Confidentiality; SOP Quality; Cost Effectiveness; Follow-up

8. Stakeholder Mapping and Citizen Engagement

8.1 Introduction

To ensure transparency between the Borrower and project stakeholders, enhance project acceptance and create platforms for citizens to contribute project design and implementation, an inclusive process of engagement throughout the project life cycle is a critical component of the SMF. The diagram below shows the Mapping and engagement cycle for the project:

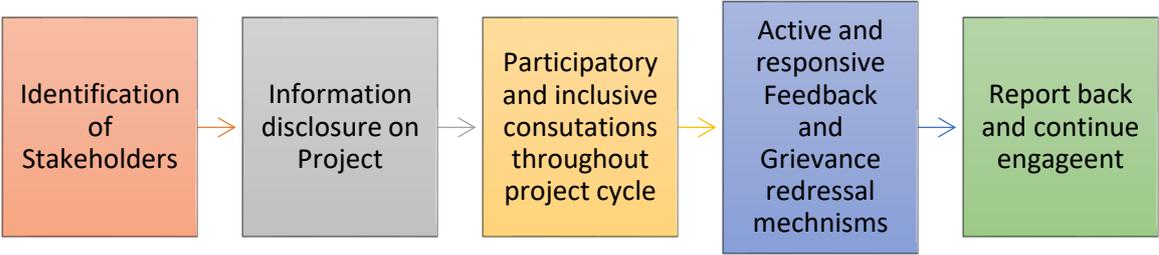


Figure 10: Stakeholder mapping and Citizen Engagement cycle

8.2 Project Stakeholders

The stakeholders can be clustered into two broad categories: Waste generators and Service providers

Generatos	Service Providers
<ul style="list-style-type: none"> •Households •Households with vulnerable groups: <ul style="list-style-type: none"> •Women headed households •Households having elderly people •Family with disabled people •Residents living near waste facility sites •Women or children responsible for disposing of household waste •Waste pickers •Commercial Establishments: Shops; Markets; Hotels and Restaurants •Institutions: Schools, Offices, Hospital 	<ul style="list-style-type: none"> •Kerala State Local Self Government Department • Director of Urban Affairs (DUA) • Director of Panchayats (DP) •Suchitwa Mission •Kerala State Pollution Control Board (KSPCB) •District Collector •ULB (Councillors) •Haritha Karma Sena •Municipal Sanitary workers •Rag Pickers •Informal traders •Private contractors

Figure 11: Project Stakeholder: Generator and Service Providers

8.3 Policy and systems for Citizen Engagement

Kerala is recognized for its conducive socio-political environment for decentralisation, local governance, participation, and inclusion. The 74th Amendment Act in 1995⁴⁸ and People's Plan Campaign in 1996⁴⁹ was an administrative effort of mass mobilization to bring a new democratic civic culture. The institutional reforms for devolution of funds, functions and functionaries aimed at improving governance, service delivery and development indicators across the state. (Isaac and Franke: 2000). Kerala model is an exemplar for other states in India. The state policy on solid waste management, 2018 clearly sets direction for the effective management of solid waste through decentralised community facilities; automated grievance redressal system; appropriate IEC campaign and Community monitoring system.

8.3.1 Ward Sabhas and Committees

The Kerala Municipality Act, 1994 provides for the convening of Ward Sabhas as well as constitution of Ward (Standing) Committees in the Municipality/Corporation⁵⁰. These local institutions create opportunities for Municipality to involve citizens, inform them, disclose information on budgets, expenses and development works, citizens in turn get opportunity to participate, share their concerns, demand accountability, and provide feedback.

8.3.2 Citizens Charter

As per the Kerala Municipality (Preparation of Citizen Charter) Rules 2000, each Municipality is to prepare and publish as well as display the Citizens Charter describing the services offered by the Municipality to the citizens residing in the Municipal area, stipulated time/time limit under which the same shall be made

⁴⁸ Another noteworthy event was the inclusion of a separate document known as Annexure IV in the Budget of 1996, which detailed out the Grants-in-Aid and the schemes transferred to the Local Bodies. Thus the allocation to the Local Bodies was seen as an independent subject of the State Budget giving it the stamp of legislative approval. Also, about 35 percent of the State's Plan Funds became the share of Local Government. With the enactment of the Constitution amendment Acts, the Kerala Panchayat Raj Act, 1994 and the Kerala Municipalities Act, 1994 came into being incorporating the provisions of the respective Constitution Amendment Acts. The significant feature was the provision that the Government shall, after the commencement of the Act, transfer to the Local Bodies, all institutions, schemes, buildings, and other properties connected with the subjects listed in the respective schedules dealing with these functions. The first elections to the three tier Panchayat Raj set up including Urban Local Bodies in Kerala were held and the Local Bodies came into being in October 1995. Subsequently a comprehensive Government Order was issued, transferring various institutions and staff to the Local Bodies

⁴⁹ The campaign taken ahead by the- Kerala Sastra Sahitya Parishad (KSSP) took off well initially, rendering impressive results, inclusive of construction of roads, schools, public amenities etc. The Kerala way of decentralisation, in fact became so popular that it was called the 'Kerala model'.

⁵⁰ Ward Committees may consist of two or more wards (population of 3 lakhs) and the Chairman of the Committee will be one of the councillors of the Wards covered under the Ward Committee. In any case, every Municipality has Ward Sabhas headed by the elected Ward Councillor for every ward if the population of the Municipality exceeds one lakh. The Act provides that a Ward Sabha/ Committee shall consist of representatives from resident associations, neighbourhood group, from various political parties, professionals, members of various cultural organizations and educational institutions.

available. Some of these include birth death registration, marriage, property tax, social security, public works, building permits (available even as online services).

8.3.3 Public Disclosure

Under section 517 B(3) of the Kerala Municipality Act 1994, since 2009, all Municipalities in Kerala are mandated to maintain and disclose information on the functioning of Municipalities/ Municipal Corporations and related local bodies on a regular basis in a specified format to promote a culture of accountability and transparency. A survey of Municipality websites shows disclosure of administrative, service and development work related information which is regularly updated.

8.3.4 Right to Services

Kerala State Right to Service Act, 2012 is aimed to provide effective, time-bound redress of grievances of citizens, delivery of services to the public and making government servants liable in case of default.

8.3.5 Grievance Redressal

Government of Kerala offers local level, central level, face to face, telephonic and online complaint registration services: (i) The Chief Ministers Public Grievance Redressal Cell- network connecting more than 10000 officials (offices) equipped with Modern technology to receive petitions from public. (ii) The Local Self Government Department offers a complaint icon on its website (<https://pplsgd.kerala.gov.in/>) for citizens to submit online complaints (iii) Citizen's Call Centre (CCC) is a single window, IT enabled facility of Government that enables Government to Citizen (G2C) interface- it has a consumer toll free helpline for all government services. On a regular day it receives up to 300 calls (iv) Municipality websites also have a complaint icon which has 15-20 options like land, birth registration, electricity, ration card, water supply etc

8.3.6 Right to Information

Under the Right to Information Act, 2005 and the State Information Commission, Kerala constituted under it aligns with the Call Centre of CCC for quick delivery of critical information to the citizens in a user-friendly manner.

8.3.7 Social Audit

In 2015, Government of Kerala set up an independent Social Audit Society⁵¹ in the State for the conduct of Social Audit of Mahatma Gandhi NREGA for accountability, transparency, people's participation and social inclusion. In 2016, to review activities and schemes implemented under Local Self Government Department, Public Works Department and Social Justice Department, KLGSDP piloted Social Audits in 27 Gram Panchayats with the support of SIRD and Tata Institute of Social Sciences (TISS).

8.4 Risks and gaps

The limited consultations carried out during the baseline survey indicates that there is gap in the process and procedures to engage with the generators. However, the face to face consultation with stakeholders was discontinued due to COVID -19. The assessment highlights that despite several legal provisions and systems, people in urban areas lack clarity on provisions for both generators and service providers for management of SWM. Even though the ULBs are mandated under central and state laws to inform, consult, disclose plans, progress of works, and reporting to the stakeholders, the assessment indicates that there are gaps with respect to SWM services particularly in closing the loop with feedback mechanism

- I. **Overlap of roles and lack of accountability:** Both practice and theory show that "centralised" decentralisation is not enough for people's participation⁵². Preparedness and demand on the ground along with the institutional mechanisms, clarity of roles and capacities are the key for inclusion, participation and accountability as well as effective local governance. The legal policy in Kerala provides strong basis for decentralised SWM⁵³ in urban areas but there are gaps making the overall system of waste management deficient and outdated. Both Amendments⁵⁴ under Kerala Municipality Act of 1994 and provisions under Kerala State Policy on Solid Waste Management, 2018 counter the principle of decentralized governance as well as the principle of subsidiarity as it provisions for the State Government to take over the mandatory municipal function of SWM 'in public interest' without the consent of the Municipality.

⁵¹ As per GO (Rt)No.3906/2015/LSGD, Dated, 30.12.2015, the Society is registered under Travancore Cochin Charitable Society's Act 1955 (with No.TVM/TC/123/2017 dated, 31.01.2017 of the District Registrar, Co-operatives, Thiruvananthapuram).

⁵² Pimple Minar and Lysa John, 2001, Decentralization Does Not Always Lead to Democratic Participation Lessons Learned in India, Habitat Debate, March, 7:1

Harris, John, 2000, The Dialectics of Decentralisation, Frontline, 17:13

⁵³ The 74th Constitutional Amendment followed by Kerala Municipality Act of 1994 entrusted Urban Local Bodies with the responsibility of Solid Waste Management in their Municipality. The National Solid Waste Management Rules, 2016 and Kerala Solid Waste Management Policy 2018 provided the specific legal basis for Municipal SWM through the ULBs.

⁵⁴ Section 326 was amended in December 2018 by inserting sub section (4) Which reads: 'Notwithstanding anything contained in this Act or any other law for the time being in force, the Government may, if satisfied that it is necessary to do so in the public interest, make arrangements on contract basis or otherwise for the collection, transportation, disposal and processing of solid waste, rubbish, filth and such other material from two or more LSGs either directly or through the agency authorized by the Government or undertake any project for the collection, transportation, disposal and processing of solid waste, rubbish, filth and such other materials, involving considerable expenditure'.

This gets further compounded when ULBs are expected to pay for the services out of their budget, but they cannot monitor the quality of service which in case unsatisfactory can have implications on ULB's collection of taxes/fees. Under the State level and ULB level Policy Reforms, it is proposed to strengthen jurisdiction and discretion of ULBs for SWM to address this overlap and improve service delivery.

- II. **Apathy of elected leaders:** The survey shows a reluctance from the elected representatives in some of the municipalities to be actively involved in the planning and execution of SWM activities. This could be attributed to their inability to find land for waste processing and disposal, which is an issue in almost every municipality. Another possible reason could be the fear of a public debate that a sensitive issue like SWM may generate. There is, possibly, a Not in My Backyard (NIMBY) factor which is prevalent in most of the waste management initiatives - no Councillors would willingly work to set up a sanitary landfill in his/her ward for fear of political fall-out in case of future malfunctioning of the facility. There is, possibly, a NIMBY factor even at the ward level.

- III. **Low Accountability of elected leaders:** There is no statutory provision for institutional accountability of the municipality for provision of services to the citizens. The two avenues provided for the citizens are the Ombudsman and the Tribunal which are both circuitous and dilatory such that a citizen cannot approach Ombudsman for violation of the Citizens Charter for any of the services which are listed as coming under the jurisdiction of the LSG Tribunal.

- IV. **Citizens' concerns:** The SWM ecosystem in Kerala with its waste characteristics and geographical limitations makes user behaviour towards waste management as the key for success of SWM systems. Focus on waste minimization & management closest to generator is a central tenet of SWM policy. While there are local techniques and practices of waste management, data shows that treatment at source is done by only 10% of the households (range is 0-29%) using equipment provided by the ULBs and this source treatment is not monitored by the ULBs. Research shows that women are generally expected to perform domestic chores⁵⁵ and managing waste is one of them. In addition, the baseline survey shows that HHs have space constraints which SWM plans must account for (Approximately 31% of the HHs across all towns indicated the absence of space around the house. Nearly 54% of households indicated availability of open unpaved spaces and garden which provide for moderate capacity to perform decentralized waste processing.

⁵⁵ Beneath the fabric of a matrilineal society, women's places at home and at work are largely governed by subtle rules and traditions that are largely dictated by males. (Mitra and Singh, 2006). Ambiguous liberation of elite Malayalee women in Kerala where their traditional roles and accepted norms of femininity are upheld along with the modernity (Devika, J. Negotiating women's social space: public debates on gender in early modern Kerala, India. 2006)

Approximately 12% indicated availability of tiled/concreted spaces). The above realities are important to address in the communication campaign and door to door engagement during implementation.

- V. Gaps between user need and user satisfaction:** The baseline shows that coverage in ULBs with door to door collection is approximately 20%. Dry Waste collection is also infrequent (monthly). Across the ULBs surveyed, while high levels of source segregation were observed as indicated earlier, an average of only 30% of HH, commercial & institutional respondents expressed satisfaction with the current door to door collection system. Nearly 27% HH respondents, 40% commercial and 50% institutional respondents indicated their satisfaction levels on current systems and desired no further improvements. However, daily collection of wastes and regular timing were the key expectations among households and commercial category respondents. Considering both Dry and Wet waste, service delivery gap could be as high as 80%, Service Delivery on Collection front requires detailed assessment – which areas are getting left out, what is the socio-economic profile of these areas, what are the reasons that the ULB cannot expand its waste collection outreach, what are the alternatives and how can these areas be included.
- VI. Discrepancies related to user fees:** There are discrepancies related to prescription and collection of user fee in Kerala Municipalities. Research⁵⁶ shows that door to door waste collection considerably hikes Municipal expenditure and viable alternatives can be more efficient. While SWM Rules 2016⁵⁷ mandates ULBs and PRIs to arrange for door to door collection of segregated waste from all households including slums and informal settlements, commercial, institutional and other non-residential premises. And charge user fee as deemed appropriate⁵⁸. On one hand, international best practices show that charges for SWM has moved away from flat rates of surcharge to a model of ‘pay as you throw’ in which the waste generator is charged according to the quantum of waste that is generated. In Kerala, as per the SWM Guidelines 2017 regime of flat user fee persists⁵⁹ which combined with

⁵⁶ A World Bank Study (2006) had worked out that 75 per cent of the total municipal solid waste expenditure is accounted for by cost of collection; 20 per cent on transportation and 5 per cent or less on disposal. Thus, by reducing the burden of collection for BDW, the municipalities should be able to save considerable expenditure otherwise incurred on.

⁵⁷ Some ULBs had prepared bylaws for waste management and these draft bylaws reflected the prevailing confusion. For instance, some of the ULBs have accepted the maximum rates suggested in Guidelines 2017 for door-to-door collection as the approved rate, while others have repeated the existing Kudumbashree rates of Rs.8200/M in the new bylaws.

⁵⁸ KMA 1994 has a provision for levy of a surcharge on any tax other than profession tax which can be charged ‘for providing any specific civic service or amenity’. {Section 230 (2)}. This Section was amended in 2009 to add another sub section as follows: ‘(4) Municipality may levy service cess on sanitation, water supply, street light and drainage in all places for providing such new services at the rates fixed by the Council of the Municipality subject to the minimum rate prescribed for such services.’

⁵⁹ SWM Guidelines 2017 which governs the present regime of user fee for SWM, flat rates have been proposed (2.3.2 above), including punitive rates for those who insist on not processing of BDW at source. The Guidelines 2017 has only proposed the ceiling amounts and left it to ULBs to charge the actual user fee. But any flat rate user fee is indistinguishable from the surcharge mentioned above.

surcharge could cost the users up to twice for the same service. Baseline survey results indicate the need for the State and ULBs to evolve a payment mechanism linked to pertinent factors such as volume/weight of generation, type of waste generated, transparent opt-in/out process for decentralized system adopters, service expectations from generators to enable the ULB provide enhanced SWM service delivery and meet fixed and variable operating costs. Only 27% of respondents across all ULBs were willing to pay for enhanced services, in contrast to approximately 50% of generators desiring enhanced services. Respondents in other towns indicated lower willingness for enhanced services and consequently were observed to be less keen on paying incrementally higher amounts for SWM service delivery. In addition, the provision in the Guidelines 2017 which makes it compulsory to process and treat BDW within premises (even if there is no space) is a clear over-stepping of the KMA 1994 and SWM Rules 2016. The requirement for those who do not process BDW at source to take the waste to the nearest community processing centre at their own cost is punitive and is a clear violation of the obligations under KMA 1994. This may be replaced by incentivizing those households who opt for source processing and disposal of BDW in terms of concession in surcharge for solid waste or supply of subsidized equipment or inoculum.

- VII. **Poor awareness levels on SWM:** extensive outreach – the visibility is recognised⁶⁰ but its translation into desired results was poor. Baseline shows that about 70% of respondents were not clear on the processing of waste being collected and felt that most of the waste was being collected and either incinerated or dumped without any treatment. About 8% of respondents felt that some segregation and composting was being performed with the waste collected. Nearly 60% of HH generators, 50% commercial and 30% institutional generators were not aware of any specific activity related to Swachh Bharat Mission (SBM) organized during the preceding year. In addition, against the propaganda there is prevalence of open burning of wastes across all ULBs, tin absence of bins, people are throwing the litter on the street; low interest of HHs in paying user charges and its implication on their operational and financial sustainability.
- VIII. **Weak peoples' participation:** Studies⁶¹ show that informal nexus of contractors, Residents' associations (middle- and upper-middle class), powerful figures in high politics and higher bureaucracy makes welfare distribution in the urban local bodies serves to bolster political patronage amongst ULBs in Kerala. This has weakened the role of Ward members, Ward Committees and Public hearings.

⁶⁰ Billboard based dissemination of SWM sector related information was recognized as high impact by all respondents. Among institutional and commercial establishments, exposure to a combination of IEC activities relating to SBM last year (announcement, billboards, training/seminars/group discussions and other participation methods under SBM) was felt viable.

⁶¹ J Devika, Binitha V Thampi, 2012 (Thomas, 2006; Basheer, 2006; Bhaskar, 2007; Muralitharan, 2010)

IX. **Ineffective GRM:** As discussed in the previous section, Government of Kerala offers local level, central level, face to face, telephonic and online complaint registration services: (i) The Chief Ministers Public Grievance Redressal Cell-network connecting more than 10000 officials (offices) equipped with Modern technology to receive petitions from public. (ii) The Local Self Government Department offers a complaint icon on its website (<https://pglsgd.kerala.gov.in/>) for citizens to submit online complaints (iii) Citizen's Call Centre (CCC) is a single window, IT enabled facility of Government that enables Government to Citizen (G2C) interface- it has a consumer toll free helpline for all government services. On a regular day it receives up to 300 calls (iv) Municipality websites also have a complaint icon which has 15-20 options like land, birth registration, electricity, ration card, water supply etc. Assessment indicates that citizens are not aware of the systems available and for SWM related matters, they approach Ward Councilor or Municipal office to submit physical complaints. While there are gaps in people's awareness and actual use of the existing systems, other key gaps include lack of system for tracking, response time, redressal time, closure and complainant satisfaction. Overall the current system, process and institutional responsibilities for grievance redressal related to SWM are rudimentary-complicated, largely manual, non-automated and no digital filing of complaints with only one Tribunal Headquarters. If the Aggrieved Person is not satisfied with the Grievance Redressal measures taken by the Grama Panchayat or feels that the grievance has not been redressed, she/he can move the Tribunal⁶² for redressal. Grievances Regarding Allegations about Maladministration and Corruption the Aggrieved Person shall approach the Ombudsman for Local Self Governments⁶³. Baseline survey shows that written complaints through elected representatives were observed to be a common practice. More than 50% of respondents mentioned that prior complaints were either pending resolution or received delayed attention by the ULB. Respondents were also not aware on the process or procedure to follow for disposal during disasters and how to respond to large wastes (white goods/ mattresses) generated due to disasters. Respondents explained a crucial need for timely redressal of complaints besides overall improvement in services. There are also GRM systems available for GBV and labor (unorganised, migrant) but the accessibility, effectivity, responsiveness and prevention need to be reviewed such that it can be utilised for the project.

8.5 Stakeholder Engagement and Disclosure methods

⁶² The Government has constituted a Tribunal for every district or for more than one district, to consider and dispose of the appeal or revision filed against the decisions of the Local Self Government Institutions (LSGIs) under Section 276 of KPRA.

⁶³ Ombudsman can conduct investigations and enquiries into instances of maladministration, corruption, favouritism, nepotism, lack of integrity, excessive action, inaction and abuse of position on the part of officials and elected representatives of all LSGIs (Corporations, Municipalities, and Panchayats of all three levels) in accordance with the provisions of the Kerala Panchayat Raj Act, 1994 (under section 271G Act No.13 of 1994).

Table 30: Stakeholder Engagement and Disclosure methods

PHASE	58. Purpose	Information Shared	Means of Communication ⁶⁴
Identification and Pre-planning Phase	Defining the overall scope and objectives of the project and identify components, different stakeholders/ target groups	EMF, ESF, RPF, TDF	Public notices; Electronic publications and press releases on the Project website; Dissemination of hard copies at designated public locations; Press releases in the local media; Consultation meetings
Planning	<p>Preparing inclusive and consultative SWM Plans and sub-components:</p> <ul style="list-style-type: none"> - Create platforms (or strengthen existing institutions) for dialogue among local stakeholders including user groups, community institutions, elected representatives, civil society and grassroots, government functionaries - Relevant project and site-specific information to be compiled - Draft plan to be developed - Role clarity and next steps to be shared - Organise meetings and consultations 	<p>Demystifying issues, sharing data and projections, possibilities and roles; Introducing institutions and service providers; Sharing draft plans; Informing people in advance on meeting location and time; feedback forums and GRM</p> <p>Display and disclose final plans and budgets</p>	<p>IEC and BCC; Social mobilization of different communities and institutions; Separate planning or pre-planning meetings with women and different social - economic sub-groups, (youth, tribals) to ensure representation of all interests and needs in the plan.</p> <p>Plans and budgets to be available on Project website, hard copy at ULB offices</p>
Implementation	<p>Initiating activities listed in management plan- managing stakeholder expectations, coordinating with people and resources, as well as delivering on the outputs, User Fee collection Gauging consumer satisfaction and feedback Completing the feedback loop</p>	<p>Service benchmarks Budget and expenses Dates of meetings, contact information of focal points Available feedback forums and GRM</p>	<p>Consumer feedback platforms and channels; GRM; Dialogues and meetings with women and different social - economic sub-groups, (youth, tribals) to ensure representation of all</p>

8.6 Citizen Engagement Framework

To mainstream citizen engagement in the project, there is focus on two-way communication and engagement throughout the operational cycle, ensure social inclusion and completing the feedback loop. The Citizen Engagement framework

⁶⁴ Due to lockdown restrictions under COVID-19, there will be higher dependence on virtual communication

below provides broad contours of how the Service Providers and Waste Generators interact with one another for different social processes and outcomes.

Table 31: Citizen Engagement Framework

Principles ⁶⁵	66. Roles and Expectations	
	Service Providers	Generators
Information Dissemination	<ul style="list-style-type: none"> - Develop a Communication Strategy - Implement Communication Plan: Launch IEC Campaigns, Facilitate Attitudinal Behaviour Change Campaigns, Review receptivity, impact and response 	<ul style="list-style-type: none"> - Get informed - Become Aware regarding scientific waste management, promoting segregation at source, reduce waste generation, reuse resources at its optimum and donating recyclables to scrap dealers - Develop interest - Participate in activities
Collaboration	<ul style="list-style-type: none"> - Map Stakeholders: both service providers and generators - Map the vulnerable in each category, identify⁶⁶ them in the specific sites/location - Engage with stakeholders (planning, site specific, sub projects, implementation) - Ensure the vulnerable are represented - Review user fee as per city pocket and socio-economic group - Transparency and Accountability of Service Providers towards citizens - Role allocation and capacity development - Facilitate Ward level activities as per scheme cycle 	<ul style="list-style-type: none"> - Voice in the SWM plan - Preference for type of service - Role clarity as waste generators - Role clarity in new SWM system - Express concerns and give suggestions as hosts and users - Play a key role in sub-project planning and implementation - Participate in scheme implementation - Demand regular information and effective implementation - Consultation, agreement to pay for services
Engagement	<ul style="list-style-type: none"> - Regular administration of Consumer Surveys⁶⁷ and Course Correction - Institutionalise Social Audit: Adapt Social Audit, Conduct Pilots, Train facilitators, Roll Out, Analyse the Social Audit responses and implications on 	<ul style="list-style-type: none"> - Respond to survey - Express opinions - Offer voluntary support - Provide feedback - Participate in monitoring - Participate in Social Audit - Use GRM services

⁶⁵ Social Inclusion and Gender to be a crosscutting

⁶⁶ women (citizens, leaders, staff, workers), vulnerable women (aged, single, ST, SC, disabled), SWM last mile workers, SC, ST, host communities in case of labor influx, people living next to landfills, people affected by land acquisition

⁶⁷ Baseline Survey shows that about 23% to 30% of respondents indicated that door-step collection was performed through motorized vehicles while 6% to 10% respondents indicated manual collection using gunny bags. Balance respondents indicated that collection was performed using pushcarts and tricycles. This indicates that implementing a daily collection system to cover all waste generators in the ULBs will also necessitate significant upgrade of the transportation system. This can be achieved either through direct procurement of vehicles and other associated expenditure or through private-sector participation with clearly established service level agreements. Improved service can impact the willingness to pay user fees.

	<p>project, Complete the feedback loop by making systemic changes</p> <ul style="list-style-type: none"> - Strengthen GRM: Design a robust and accessible GRM, disseminate information on GRM links, Ensure Effective Response and Redressal, Analyse the GRM data and implications on project, Completing the feedback loop by making systemic changes 	<ul style="list-style-type: none"> - Enhanced service and satisfaction impacting the willingness to pay user fee
<p>Empowerment</p>	<ul style="list-style-type: none"> - Issues of the last mile service providers represented and addressed and addressed - Opportunities for service providers so they can improve skills, fight stigma, augment income etc. 	<ul style="list-style-type: none"> - Sensitivity towards service providers particularly the waste collectors, segregators, dumpsite workers - Engagement and Feedback processes streamlined and citizens' ownership towards the project <p>73.</p>

8.7 Participatory planning and implementation

Ward Sabhas and Ward Committees facilitated to disseminate information, invite suggestions, and discuss the project progress. For consultations to be meaningful and participatory, prior information on venue and time to be given, Logistics to be managed well: Location to be central and convenient; Time to be appropriate; seating arrangement, lights, audio visual facilities; Ensure that vulnerable groups and women are given opportunity to speak or separate meetings are organised with them; keep time for Q &A.

8.8 Social Inclusion

The Social Management Framework identifies vulnerable groups which risk exclusion if necessary, safeguards and measures are not put in place. These are women (citizens, leaders, staff, workers), vulnerable women (aged, single, ST, SC, disabled), SWM last mile workers, SC, ST, host communities in case of labor influx, people living next to landfills, people affected by land acquisition. Planning and implementation processes where peoples' participation is sought, need to identify the vulnerable and ensure that they are not excluded from the project benefits as well as get opportunities to participate.

8.9 Social and Behaviour Change Communication (SBCC) strategy (see the next chapter)

8.10 Consumer feedback

User satisfaction survey will be carried out to establish the baseline. The survey will be carried out at mid-term and end-term to evaluate the performance of generators and service providers. The survey will also help understand the issues causing consumer dissatisfaction such that it can be addressed and aid willingness to pay. The exercise must reach out to the one who at HH has the responsibility of waste segregation and management. This is important to review so the proposed activities bring them on board rather than alienate them or add to their workload. Other tools to ensure feedback and inclusion could be Community Scorecards, Community Report Cards, Community Rating etc.

8.11 Robust Grievance Redressal Mechanism for KSWMP

- I. The project requires a dedicated SWM GRM with the following features: online and offline option to file complaint, user centric categorisation, alert generation, response, and escalation flow. Each complaint must have an option to use a toll free, online, and written complaint to designated personnel. All complaints (received through any means) to be digitally recorded so that monthly record can be generated for analysis and review.

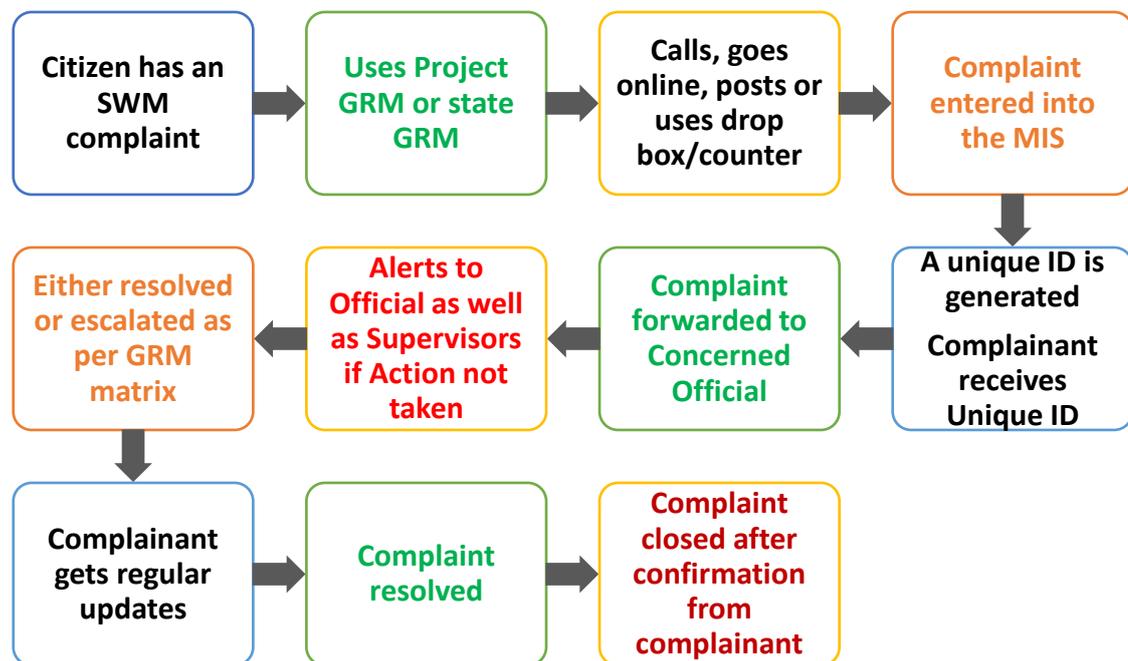


Figure 12: GRM flow

All complaints (received through any means) to be digitally recorded so that they can be tracked. The Project Results Framework will include the indicator i.e. 80% of the complaints registered resolved within 30 days

II. GRM to capture the following:

- a. **SWM Services**
- b. **Governance, Transparency and Accountability of ULBs**
- c. **GBV Response**
- d. **Labor Compliances**

III. Guidelines for GRM:

- a. Contact information of Complaint important for sending alerts and tracking feedback (email mandatory for web-based complaint and mobile phone mandatory for toll free number complaint)
- b. Date for response or assigning of complaint to be inbuilt and not discretionary
- c. The system must have an inbuilt annually updated Calendar where only working days are counted
- d. The complaint should only be closed after confirmation from the complainant
- e. Complaint categories to be them practical, understandable and complainant/user centric
- f. GRM system to be widely advertised so people are aware of it.
- g. Monthly Reporting by PMU on total complaints, resolved, pending. In addition, mode used to file the complaint (handwritten, toll free, online), profile of complainant (location and gender), number of days taken for resolution, complaint category wise break up of number of complaints received.
- h. In the first year of implementation, PMU will review the GRM system in terms of outreach, volume, response and resolution rate, complaint satisfaction rating etc.
- i. Inclusion of women in grievance redress committees to help female stakeholders raise and address grievances.

8.12 Social Audit

Under the project, the PMU will be supported to adapt the Social Audit Manual for SWM in ULBs- pilot, training and roll out to ensure involvement of all stakeholders in the planning, decision making, implementation, monitoring and evaluation as well as ensure overall public accountability and transparency. Broadly, Social Audit to cover:

- I. Availability and access to Information
- II. Awareness level of citizens
- III. Role of ULBs, Ward members, Functionality of Committees
- IV. Regularity of meetings and information disclosure
- V. Opportunities to participate
- VI. Accessibility of Service Providers
- VII. Quality of Services
- VIII. Satisfaction and rating
- IX. Role and participation of women
- X. Transparency in activities

9. Social and Behavior change communication strategy

With the adoption of People's Plan Campaign in 1996, the state demonstrated a favourable socio-political environment for decentralised planning with peoples' participation, ensuring social inclusion and improved governance. It was an administrative effort of mass mobilization to bring a new democratic civic culture in the functioning of the decentralised institutions i.e. the local government. KSWMP builds on the decentralised governance and community engagement which requires a judicious combination of communication that combines information dissemination and focuses on behaviour change and practices for the success of SWM. Waste management is about habits, perceptions, fears, expectations, and coordination but it is also about service delivery supported with infrastructure for which land is required and engagement with multiple stakeholders connected to waste generation and its management. It is well recognised that the necessary change is a complex process of shifting the public perception and ensure social acceptance for SWM treatment and disposal systems. To address it, the project will require strategic communication interventions. Thus, the project will adopt a social and behaviour change communication (SBCC) strategy for planning, implementation and monitoring of the program. The Communication strategy provides the rationale, approach, principles, and guidance for the activities, roles and responsibilities, capacities and maps the mediums to change perceptions and sustainable practices for social and behaviour change

9.1 Situation analysis

KSWMP aims to strengthen the institutional and service delivery systems for solid waste management services in select municipalities by improving primary collection and transportation systems; waste segregation and at source treatment for biodegradable waste; rehabilitation of the existing Material Collection Facilities (MCFs) and development of new integrated Material Recovery Facilities (MRFs); development of biodegradable waste management facilities; and closure/remediation of small scale existing dumpsite. It proposes a hybrid strategy for SWM where apart from the HH level segregation and management, there will be centralized treatment facilities at regional level.

Literature and experiences from ongoing interventions point towards resistance against projects which involve infrastructural investments and greater centralization of solid waste management. The waste treatment plants, or landfill sites are usually located at the periphery of urban centres, and these locations were sites of local resistance. The landfill sites over the years, became dumping grounds for the municipal waste, and this was resisted, so that the state had to find alternatives for waste management. Kerala started moving towards decentralised solid waste management- treatment of waste at the source by households, institutions, etc.

Opposition often led to the local government's diversion of waste from landfills by increasing the number of recycling units, replacing the technologies or sometimes closure of projects all together. However, neither the centralised nor the decentralised systems have addressed garbage disposal and waste management as there was an assumption that by providing information to the community, they will accept the facilities in their neighbourhood.

There is enough experience that shows that information dissemination alone has not created the enduring frameworks that allow for real changes in peoples behaviours, perceptions, or attitudes⁶⁸. The transfer of knowledge alone cannot produce the behaviour change necessary for the success of projects. The project requires a major shift in public perception and depend on social acceptance for SWM treatment and disposal systems. To address this risk, the project will implement the SBCC and supporting action plan for generators and service providers for collective action for sustainable management of waste.

9.2 Social Attitude and Behaviour Change Communication (SBCC) Strategy

Regardless of the complexity of the KSWMP, the interventions at different stages will adopt an SBCC strategy which subsumes an audience centric use of content, mediums and tools (see Figure 1) for stakeholder engagement and maximise impact.

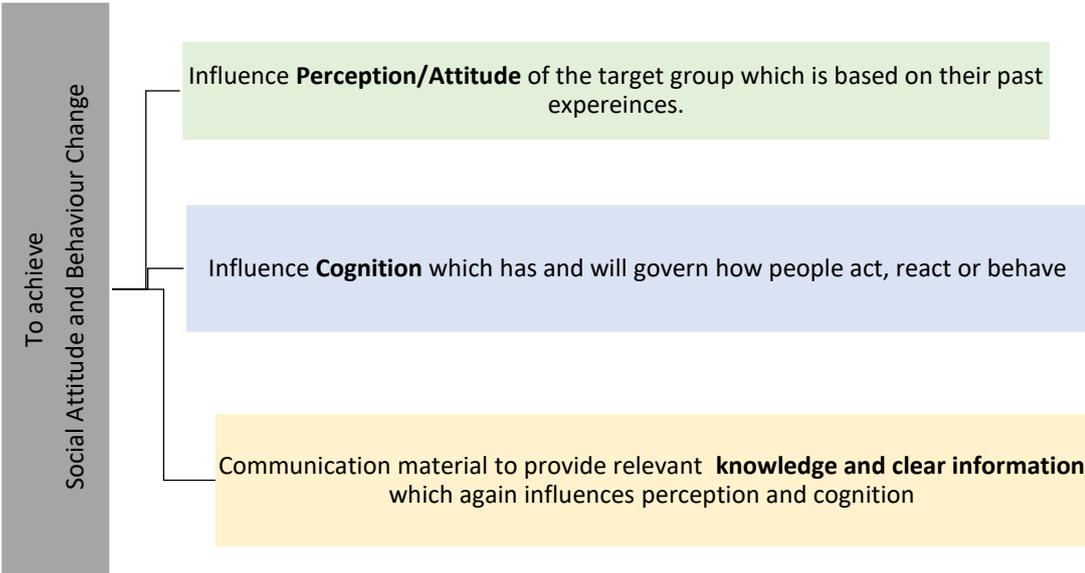


Figure 13: Theoretical Framework of SBCC

9.2.1 Approach: The project will adopt a two-pronged intervention throughout the project period. This includes state-wide campaign led by political

⁶⁸ WORLD BANK WORKING PAPER NO. 119. Communication-Based Assessment for Bank Operations.

leaders and other influencers to indicate political commitment towards SWM, which will translate into actions for behavioural change of the citizens measured by the adoption of improved practices and acceptance of interventions. States response to the recent pandemic⁶⁹ has created an enabling environment for Suchitwa Mission and Municipalities to partner with stakeholders who understand the system, the gaps, the risks. Kudumbashree, members of HKS, Municipal workers, ULB members, local leaders will be involved from inception, so that the campaigns are effective and responsive towards the needs of both generators and service providers.

9.2.3 The communication plan will be based on information about stakeholders' knowledge, perceptions, attitudes, expectations, and practices. It will be assessed to identify areas that requires to be influenced and accordingly develop messages for state-wide campaign, for the communities and service providers who will be impacted by the specific investment. The plan, both for the state-wide campaign and for site specific investments will be developed to (a) segment target audiences; (b) identify behaviour changes required; (c) prepare appropriate content for different stages of the project which will culturally suitable in local language; (d) develop outreach approach or modality that balances between information dissemination and interactive communication; (e) identify effective medium, channels, tools; and (e) monitor response and receptivity to review and revise.

9.2.4 **Target audience:** Segmenting target group enables to focus upon them to match messages, accordingly, develop media products and services based on the specific needs and preferences of the target group. Tailoring an SBCC strategy to the characteristics, needs and values of important audience segments will improve the chances for desired behaviour change.

- Segmentation of target group can be done based on role and stake in the project, demography, location, socio-economic background, age, sex, access to technology and so on. This will include communication for the vulnerable groups, the risks they face, the role and participation expected from them and how the outreach must be customised for them.
- Analysis of target group can be done by understanding the existing knowledge, perception and behaviour, habits, fears, collective conscience, change desired under the project.

⁶⁹ Currently, Kerala has successfully managed the communication outreach for COVID response and behaviour change for prevention and control. This provides an opportunity to assess what worked and how- who were the influencers (Politicians, Celebrities and local leaders) and how can such models of successfully dealing with a pandemic be replicated in dealing with the perpetual issue of waste management.

9.3 Communication Medium and channels

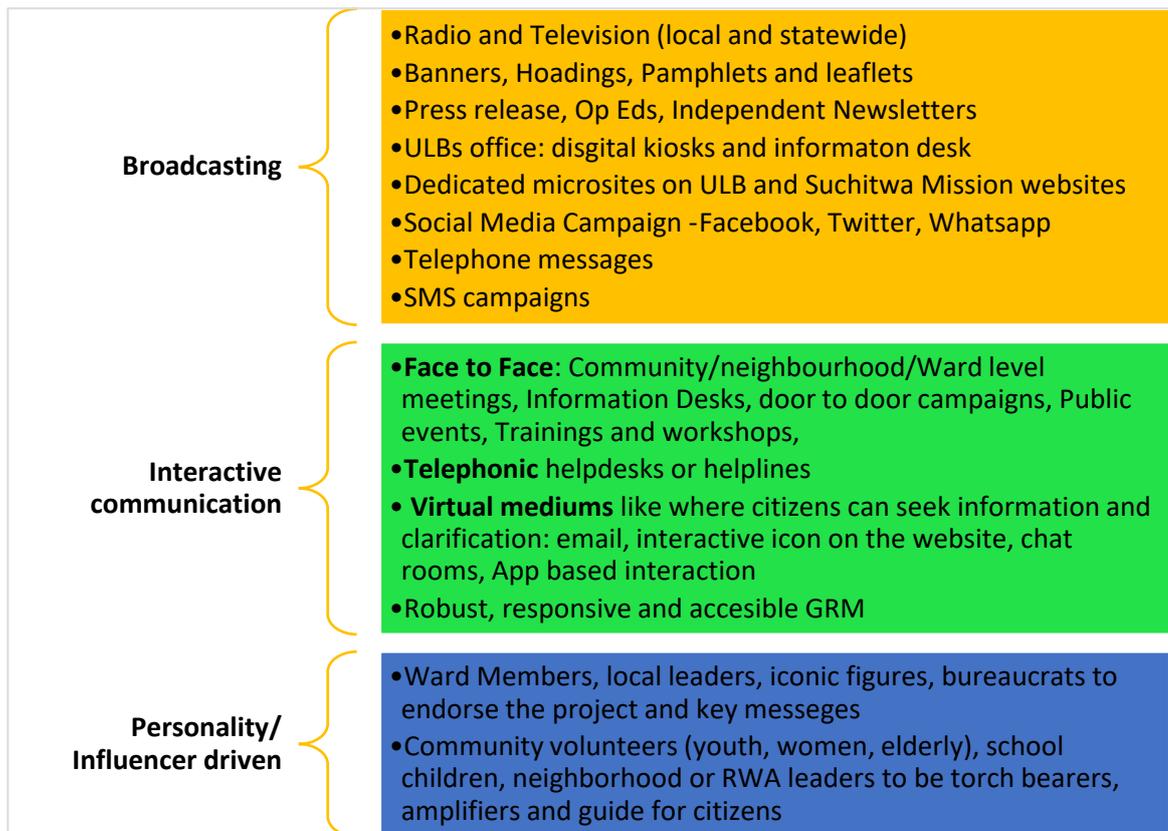


Figure 2: Communication Mediums and channels for SABCC

9.4 Set up Public Information Cell for two-way communication with media, citizens, and officials

- Kerala being a highly literate and politically sensitive State, the role of news media in creating awareness on social issues and shaping public perception is extremely high. Issues related to waste management is always a delight for newspaper and television journalists.
- Kerala has at least a dozen vernacular newspapers. According to the Indian Readership Survey 2019, the top vernacular newspaper had highest readership with over 17 million (nearly half of the State's population) readers followed by the second highest read newspaper with over 12 million readers. The third, fourth, and fifth positions have a combined readership of around 10 million. This shows most people (more than 90 percent) in the State read at least one newspaper and interested in what is happening around them.

- In addition, there are 9 dedicated news channels in Malayalam. A study conducted during the 2018 flood in Kerala shows the combined television news viewership in the State was around 84% of the population. All major newspapers and tv news channels have their own digital news platforms as the number of users are increasing daily. According to a recent report by the Internet and Mobile Association of India (IAMAI), Kerala's Internet penetration rate is the second highest in the country with 54 percent households, after Delhi NCR. Kerala is aspiring to become 100 percent by end of 2020. In addition, 64 percent of the population has smartphones.
- All these data show, the per capita exposure to news media in the State is well above 90 percent. Even though, the influence of news media on public is used in wrong connotations, it's penetration in public can be 'effectively used' for creating or transforming public perception on issues like SWM, which is a matter of serious concern for all urban households.
- In this context, it is relevant to establish a Public Information Cell (PIC) to manage the overall public relation activities and media management. The PIC will function within the Project Management Unit (PMU)/SM and serve as a real-time communication interface between the PMU, media and public. The PIC will be manned by 2 professionals, such as Public Relation Expert, and Web & Social Media cum Graphic Designer. These experts will be directly hired by the SM. The public relation expert will keep track of news reports and manage mainstream media on a day-to-day reciprocal basis. And the social media cum graphic designer will be responsible for outreach through social media platforms and creating necessary graphics and materials for publicity/campaigns.

9.5 Roles and Responsibilities

Unit/ Personnel	Role
Communication Specialist SPMU	<ul style="list-style-type: none"> • Focal Point for all Communications under the project (will have counterparts in DPMU) • Coordinate overall Communication Strategy • Plan, hire and monitor the media agencies, prepare budget, implement, and document/report on all the activities
PIU hosted in SPMU	<ul style="list-style-type: none"> • Responsible for overall public relation and media management activities • Provide media related advise to Executive Director, SM
Public Relations Expert (PIC, SPMU)	<ul style="list-style-type: none"> • Overall PR activities • Review and archive major news reports related to SWM daily and respond to negative reports • Maintain response record

	<ul style="list-style-type: none"> Organize/ facilitate press meets, media briefing sessions, press release, panel discussions, celebrity engagement, etc. as directed by ED Prepare media kits with project related information, documents, and picture/video clips
Web & Social Media cum Graphic Designing Expert (PIC, SPMU)	<ul style="list-style-type: none"> Create/ manage social media accounts, (Facebook, Instagram, Twitter, YouTube Cannel, etc) for the Project, and popularize it Create graphics, videos, other publicity materials for social media campaigns or any other publicity activities required by the SPMU Organize social media live broadcast for ED or any designated officer Conduct social media surveys on various topics related to SWM
Communication Firm, hired by SPMU	<ul style="list-style-type: none"> Branding and advertising Social Behaviour change communication material (design, illustrate, production) Print and publishing for display Outdoor media like hoardings, billboards Design and print door to door dissemination (kits, posters) Production of radio and television material Media buying for television and radio bytes Production of short films and success stories
Communication Specialist, PMC	<ul style="list-style-type: none"> Report and monitor the implementation of communication strategy, the effectivity of content, mediums and tools used Review the outreach, the impact and identify gaps. Provide support to improve coverage and response.
Communication Specialists, DPMU	<ul style="list-style-type: none"> Focal Point for all Communications in the District Provide inputs on customized communication requirements Implement Communication Plan at ULB level Document and Report on dissemination as well as feedback
Support Organizations at each DPMU	<ul style="list-style-type: none"> Provide inputs on customized communication requirements Dissemination of communication material for social mobilization and behaviour change Ensure outreach at door to door and all stakeholders in the ULB
ULB (council, staff, chairperson, ward committees)	Key players in promotion, information dissemination, interaction, facilitation, and feedback 74.
Kudumbashree, HKS and municipal waste management staff	As the first point of contact on an everyday basis are also key players in disseminating messages

9.6 Broad outline of communication plan

Stage	Objective	Message	Target	Medium/Tool
Pre-Planning	Create a buzz and interest and address grievances	Problem of Waste and health implications. The project is designed to enhance health benefits and has responsive grievance management system. Success lies in collective action.	Waste generators and Service providers	Launch Broadcast Hoardings, TV messages, Radio messages, Newspaper ads, Website banners
	Clarify doubts to address resistance	Difference in the design of the earlier projects and the KSWMP and benefits of adopting decentralised supported with centralised systems to manage scale of non-biodegradable waste.	Civil Society, Activists, Local leaders, ULB leaders	Combination of Broadcast and Interactive mediums: Project documents and FAQs, budgets, data and projection on website and hardcopies at ULB office. Workshops, talks, discussion forums chat rooms, App based interaction
	Role of service providers	Information on benefits and safeguards, understanding stakeholders and dialoguing with civil society.	Ward Members, Local leaders, representatives from HKS, Kudumbashree, RWAs, Neighborhood committees etc.	State and district level workshops. Reading and reference material on proposed activities and roles.
Planning	People are aware of the project, participate in meetings to develop plans, endorse plans and user charges.	Rules of engagement; role of citizens in planning and implementation; role and responsibility of implementing partners (administration, elected bodies, private	Waste generators ⁷⁰	State-wide broadcast campaign announcing the planning exercise Endorsement by Influencers on Radio, TV,

⁷⁰ Outreach to vulnerable groups, FGDs with vulnerable communities - Separate planning or pre-planning meetings with women and different social - economic sub-groups, (youth, tribals) to ensure representation of all interests and needs in the plan

		agencies, citizens); location and time of meetings; key timelines to deliver the sub-projects; important contact information of implementing partners; information on data and projections, the base for calculation of User Fee (grading and subsidies); information on feedback forums and GRM; budget.		Facebook, short videos etc. Use of flyers, loudspeakers, SMS, Whatsapp and ULB offices (in advance) on meeting location and time. Draft plans on ULB website and offices. Set up digital and information kiosks at ULB office and central locations in the Municipality. Live updates, photographs and videos, minutes of meetings to be disseminated online.
Implementation	Waste segregation and management	Technical knowledge to segregate at source, manage biodegradable waste.	Targeted Waste generators	Instructional manuals on website Information through flyers, leaflets Key messages on hoardings Instructional videos (on local cable, digital kiosks, Facebook and Whatsapp) Motivational videos by Icons/ Influencers Radio Campaigns
	Collection, transport, Waste management, MFC	Regularity, efficiency, responsiveness, and customer satisfaction	Targeted Service Providers	Trainings, workshop, hands-on support, guided mentoring, peer interaction
	People are satisfied with the project services	Service Benchmarks GRM facilities Social Audit	Targeted Waste generators	Interactive Customer Service rating /

				Satisfaction ((print, sms, Telephone, website, app based) Public hearings and Social Audit (face to face, FGD based rating and feedback)
	General Information and Promotion	Showcasing the work	Waste generators and service providers	Interviews, short films and documentaries, shared via social media channels, newsletter, newspaper, radio programs, and television programs

9.7 Feedback for effective monitoring of communication intervention

Communication interventions are highly contextual and that any communication intervention can change the conditions of the project, the development initiative needs to receive periodic feedback from the main stakeholders to redefine the intervention and the communication program in order to better accomplish the development goals. The social audit through its systematic process will identify the gap between the desired and actual impact of the communication program for taking corrective course of action and promoting good practices.

10. Institutional Arrangements

10.1 Introduction

The institutions in Kerala for SWM can be mapped under three categories:

Macro Roles in SWM	Type of Institutions	Level of jurisdiction
Policy Planning and Guidelines Service Delivery Funding Support Monitoring Capacity Development Citizen interface	Government (Department, Missions, Regulators) Elected Bodies Agencies (semi-autonomous) Private Sector Civil Society	State District Pan Municipality Municipality

Core Services under SWM
Information dissemination, Waste collection, segregation, source treatment, User Fee collection, Agency Arrangement, storage, transport, processing, disposal, Monitoring of SWM

Figure 14: Kerala SWM institutional Mapping

Solid waste management (SWM) is the responsibility of the Urban Local Bodies (ULBs) as in the twelfth schedule (Article 243) of the Indian Constitution. The Kerala Municipality Act, 1994 (KMA1994), promulgated in line with the 74th Constitutional Amendment, provides the legal framework which enables the ULBs to function as the third tier of government. Here are the key institutions:

Table 32: Key institutions and their roles

Institutions	Roles					
	Policy	Service delivery	Funding	Monitoring	Capacity Devt.	Citizen interface
Local Self Governance Department	Decentralised Service delivery		Grants to ULBs	Performance Audit of ULBs	Decentralisation	
Directorate of Urban Affairs			Release of funds	Supervision of work		
Suchitwa Mission		Nodal Agency for GoK	Financing activities in DPRs	Performance of ULBs		Funding IEC
Harithwa Kerelam Mission		Key Service provider for Waste Mgt		Evaluation of SWM	Support arm to ULBs	Sensitize citizens, make them aware
ULB		Mandate to provide all SWM services	Make expenses for SWM from State or own funds	Monitoring the services provided		Elected body so directly accountable to people
Harit Karma Sena		Mostly collection of waste,				

		especially NBDW; Plastic shredding, windrow composting activities				
Kudumbashree		Collection of waste, operation of MCF/ RRF plants etc. based on the agreed terms with ULB				
Kerala Institute of Local Administration					State level training institute for elected leaders, government officials and civil society.	

10.2 Risks and Recommendations

- Currently, there is overlap and duplication of functions of different agencies. The same set of agencies are involved in service delivery and monitoring so efficiency and accountability is poor.
- ULB is mandated with the responsibility for all functional aspects but lacks enough staff strength, capacities and guidance to provide all services. Staffing and Capacities⁷¹ of key players in SWM need enhancement to also address Social Risks under the project.
- ULBs are local government institutions but often become implementing agencies, lacking funds and autonomy. Also, the current accountability mechanisms are only upwards and not towards the citizens
- Scope for private participation is limited and focus is not on integrated services.
- HKS and Kudumbasree exist parallelly. In some Municipalities, Kudumbasree workers continued to collect BDW at old rates and HKS volunteers collected NBDW. In others, Kudumbasree workers continued old terms but called themselves HKS.

⁷¹ As per the Baseline Survey, there is considerable lack of clarity among the ULB staff on the details of what needs to be implemented in solid waste management at the ULB level. Only 5 out of the 12 ULBs have enough staff to manage their current SWM operations. The other ULBs have understaffing in some category. Given the lacuna in staffing, it can be inferred the respective functions will be weak or existing staff are overburdened leading to inability to meet service level benchmarks/outcomes. It is recommended to revisit the staffing and redress the vacancy levels, suitably. In 8 out of the 12 ULBs, HKS members sanctioned is less than the norms provided in the SWM Policy. This could have implications on the door to door collection envisaged as per policy. It also means that existing staff could be overworked

10.3 Institutional matrix and Social Management Roles for KUSDP

Table 33: Institutional matrix and Social Management Roles for KUSDP

Level	Implementation Arrangement	Functions/ Functional Arrangements	Arrangements for Social Safeguards Management
State	Project Steering Committee (PSC) The Committee will be chaired by Chief Secretary, Government of Kerala and will include the Secretaries of the key relevant departments as well as all the District Collectors. Principal Secretary, Local Self Government Department (LSGD) and Executive Director of Suchitwa Mission (SM) would be the conveners of the committee and will coordinate the functioning of the committee.	This high-level PSC does periodic monitoring, strategic oversight and resolution of key issues on fast track basis including social safeguards.	
State	The Suchitwa Mission under the Local Self Government Department	SM is the primary implementation agency for the project and will be responsible for the implementation, management, coordination and monitoring of the project, including the social safeguards management.	
State	State Project Management Unit (SPMU) The Executive Director of SM is the Project Director of SPMU. PD is supported by a full-time Deputy PD and a team of core technical staff for carrying out SWM functions.	<p>The SPMU will carrying out SWM functions primarily related to (i) SWM engineering, (ii) procurement and contract management, (iii) environment engineering, (iv) social development, gender and communication, (v) financial management, and (vi) monitoring and evaluation including MIS.</p> <p>The SPMU will have a State Level Environmental and Social Development Unit (S-ESDU).</p> <p>The SPMU will be supported by a Project Management Consultants (PMC) firm for carrying out the project management, coordination and supervision activities at the state and district level. The PMC will comprise a team of experts to support the SPMU. The state level PMC team will support the SPMU in (i) carrying out all the project management activities; administration of the ULB grants under Component 2 and reporting to the Bank, (ii) implementing the SWM institutional and policy reforms; (iii) and support the development of SM as the State level nodal agency for SWM, (iv) planning and implementing formal training activities under component 1 in collaboration with KILA and other relevant specialized institutions, (v) implementing and supervising all the investment sub-projects under component 3 including upstream sub-project identification, design of clusters, identification of land parcels for disposal facilities,</p>	<p>The S-ESDU will have the following Social Staff:</p> <ul style="list-style-type: none"> • Social Development Specialist • Gender Specialist • Communication Specialist <p>The above experts will provide guidance and direction to the project on Social Safeguards management, preparation and implementation of TDP-SMP and RAP, compliance, monitoring and reporting.</p> <p>For all sub-projects both at ULB and regional/ cluster level, when an RAP is prepared, the S-ESDU will coordinate with the Revenue department to ensure that the required resources are committed for Land Acquisition and implementation of RAP in line with RPF. During preparation, the S-ESDU will appraise and approve the RAPs duly visiting the sites. The SPMU will share all the sub-project DPRs requiring land and other socially critical DPRs with the Bank for approval.</p>

		<p>undertake readiness assessment and screening, and hiring of specialized technical consultants for sub-project specific detailed design and ESIA, and (vi) review and appraise project documents such as DPRs, FR and bid documents, ESIA, fiduciary, environment and social safeguards reports and physical and financial progress reports, utilization certificates prepared by ULBs.</p>	<p>S-ESDU will be responsible for social screening, identifying risks and impacts, preparation of social management plans for all the regional/cluster subprojects. The TSC will prepare these along with the DPRs under the direction of S-ESDU. The S-ESDU will appraise and approve the social management plans of these duly visiting the sites.</p> <p>At the district level, for all subprojects, including ULB and regional/ cluster, the Support Organization will be responsible for a) providing field level support to all social safeguards management activities, b) implementation support for TDP-SMP and RAP, c) various IEC activities for sensitizing the communities and d) undertaking consultations as part of the citizen engagement plan for wider acceptance of the proposed investments.</p> <p>The SPMU will be the focal point for the communication with the Bank on the safeguard's aspects of the program. The PMC will consolidate the monthly safeguards monitoring reports from all districts and prepare quarterly safeguards monitoring reports. Though the safeguards quarterly monitoring reports are prepared by S-PMC, the S-ESDU will be responsible for whetting them before submission to the Bank. The SPMU will submit quarterly Social Safeguards Monitoring reports to The World Bank.</p>
District	<p>District Project Management Unit</p> <p>One each in all the 14 districts of the state, housed in the District Collector's office to monitor and coordinate the activities of ULBs.</p> <p>Each DPMU is headed by a District Coordinator</p>	<p>The DPMU staff, appointed by the SM, will be responsible for coordinating, monitoring, supervising and reporting on annual fiscal planning, investment sub-project implementation and TA/capacity building activities at the ULB level. DPMUs will review and submit sub-project documents and technical reports to the SPMU for clearance and approvals as per the operational procedures in PIM, ESMF, TDF-SMF and RPF, and procurement manual. The DPMU will also be responsible for monitoring the expenditures of the ULBs and ensuring eligibility as per the project guidelines. The DPMU will</p>	<p>Each D-ESDU will have a Social and Communication Expert.</p> <p>ESDU will be supported by the PMC. The PMC will have environmental and Social Experts to the safeguards aspects are taken care of during preparation and implementation.</p>

		<p>work closely with the District Collector’s office and DPC in line with government systems and procedures. A district co-ordination committee headed by the District Collector will be set up to help co-ordinate and resolve implementation issues at the district level.</p> <p>Each DPMU will have a District Level Environmental and Social Development Unit (D-ESDU).</p> <p>Each of the DPMU will be supported by a Project Management Consultants firm for carrying out the project management, coordination and supervision activities at the district level. The PMC will comprise a team of experts in each of the districts to support the DPMUs. The district level PMC team will support the DPMUs in undertaking district level project coordination and monitoring activities.</p> <p>DPMUs will hire a district-level Technical Support Consultants (TSC) team to provide end-to-end specialized technical support to the ULBs in annual fiscal planning, budgeting and reporting, and sub-project specific planning, design and implementation activities including preparation of all technical documents including climate and disaster resilience, environment and social impact assessment, procurement, contract management and implementation supervision.</p> <p>Each of the DPMU will have a Support Organisation (SO) during the entire project period to provide field support for implementation of social safeguards management plans and other social development activities, outreach programs, social mobilization and other activities to build partnership with the community through the life of the sub-project cycle. The SO will provide field-level implementation support to all social safeguards management plans and social development activities for all subprojects, including ULB and regional/ cluster level sub-projects. The Support Organization will be responsible for a) providing field level support to all social safeguards management activities, b) implementation support for TDP-SMP and RAP, c) various IEC activities for sensitizing the communities and d) undertaking consultations as part of the citizen engagement plan for wider acceptance of the proposed investments.</p>	<p>The TSCs will prepare the sub-projects including social impact assessment and preparation of social management plans such as TDP-SMP and RAP. The district level Social and Communications Expert will appraise these and recommend for approval duly visiting the sites.</p> <p>Where land is required, the Social and Communication Expert at the DPMU will coordinate with the district level SIA unit/ empaneled Consultants to carry out the SIA and to prepare the RAP in accordance with the RPF. The district level Social and Communications Expert will appraise these and recommend to S-ESDU for approval duly visiting the sites.</p> <p>The SO will prepare and submit field level compliance report to D-ESDU. The D-ESDU will scrutinize these before submission to S-ESDU.</p> <p>The safeguard instruments (i) screening, (ii) ESIA, (iii) ESMP, (iv) RAP will be included in bidding documents and other procurement documents, after clearance procedures.</p> <p>The SO will prepare and submit field level social safeguards monitoring and compliance report to D-ESDU. The PMC will scrutinize these, add their own social monitoring reports and that of TSC if any, prepare monthly consolidated Social Safeguards Monitoring Reports and submit these to the D-ESDU. The D-ESDU will scrutinize these before submission to S-ESDU.</p>
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<p>Urban Local Body</p>	<p>Project Implementation Unit At the local level, the participating ULBs will be required to constitute a PIU under the Secretary (Executive Head) of the ULB.</p>	<p>The PIU shall comprise a SWM Engineer, a Finance/Accounts Officer and 1-2 junior level technical staff including an identified Social Focal Point within the ULB staff who are responsible within the ULB for handling SWM services.</p> <p>Technical support for preparation and implementation of safeguards instruments at the ULB level will be provided by district-level TSCs hired by each DPMU.</p> <p>The TSC staff will include environmental engineers, natural habitat/biodiversity specialists (for subprojects near Natural Habitats) and social and communication experts.</p> <p>The Support Organization will be overall responsible for various IEC activities for sensitizing the communities and undertaking consultations for wider acceptance of the proposed investments. They will facilitate the integration of community needs, carry out FPICs required to prepare the DPRs and Safeguard Instruments.</p>	<p>The ULB Secretary (Executive Head) will designate an appropriate persons as Social Focal Point for each ULB.</p> <p>This Social Focal Point will coordinate at field level, with the Support Organisation, Social and Communication Expert at the DPMU and with the TSC. This person will be the one point social contact for all the social safeguards and social development activities at the ULB level. Her responsibility is more of liaising, coordinating and facilitating.</p> <p>All the ULB level sub-projects, prepared by TSC, will be submitted to DPMU. The D-ESDU will appraise these and approved duly conducting site visits.</p>
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11. Labor Management Framework

11.1 Introduction

The LMP is a living document, which is initiated early in project preparation, and is reviewed and updated throughout development and implementation of the project. The purpose of an LMP is to identify the different labor requirements, risks associated with the project, and have necessary mechanisms or resources necessary to address labor issues.

11.2 Type of Labor under the project

Largely there will be three categories of workers in the project: Government employees, contractual employees, and sub-contracted workers. These categories reflect the source which pays the salary or wages. The government employees at state, district and ULB level are permanent staff paid by the government (LSGD or Suchitwa Mission or ULB); the project will be hiring direct workers who will be paid by the government (LSGD or Suchitwa Mission or ULB) but on fixed term contract. These could be hired against a monthly salary or daily rate against fixed tasks. There will also be agencies or contractors who will be hiring workers largely under daily rates, they will be indirect workers required for the project but will not be paid by the government, they will be paid by the contracted agency. The contracted agencies may further hire other agencies who in will be hiring workers who also come within the ambit of the LMP. The table below shows the approximate staff/worker requirement and the type of labor :

Table 34: Staff/worker requirement and the type of labor

	Level	Institution	Requirement	Type of Labor	Number of labor s (approx.)
1	State	SPMU	Staff (technical areas) to manage the overall implementation of the project.	Direct Contracted Workers	20 (approx.)
2		TSA	Investment specific technical support consultants/agencies	Direct Contracted or Indirect Sub-contracted Workers	TBD
3	District	DPMU	DPMC staff in specific technical areas to implement the project	Direct Contracted Workers	80 (approx.)
4		TSA	Investment specific technical support consultants/agencies	Direct Contracted or Indirect Sub-contracted Workers	TBD

5	ULB	PIU	Staffs in specific technical areas to implement the project	Direct Contracted Workers	40 (approx.)
7		ULB	Primary Sanitation Workers	Direct Contracted Workers	Can be up to 150 per ULB
8		ULB	Contingent Sanitary Workers (Drivers, contract workers not permanent ⁷²)	Direct Contracted Workers	Can be up to 200 per ULB
9		Harit Karma Sena/ Kudumbashree/ Private Agency ⁷³	Waste workers	Indirect Sub-Contract Workers	Range from 10 to 100 per ULB
10		Agency/Firm or Independent Contractor	Scrap dealers	Indirect Sub-Contract Workers	Range from 3 to 200 per ULB
11			Rag pickers	Indirect Sub-Contract Workers	Range from 10 to 200 per ULB
12			Recycler	Indirect Sub-Contract Workers	Up to 70 per ULB
13			Dumpsite workers	Indirect Sub-Contract Workers	No clear indication
14			Drivers	Indirect Sub-Contract Workers	Up to 10 per ULB
15	Construction and O&M Workers		Indirect Sub-Contract Workers	TBD	

11.3 Potential Risks

- I. **Overworked and understaffed:** Baseline survey shows that only 5 out of the 12 ULBs have enough staff to manage their current SWM operations⁷⁴. The other ULBs have understaffing in some category. Given the lacuna in staffing, it can be inferred the respective functions will be weak or existing staff are overburdened leading to inability to meet service level benchmarks/outcomes.
- II. **Vicious cycle of inefficiency and underpayment:** Baseline survey shows that 8 out of the 12 ULBs, HKS members sanctioned is less than the norms provided in the SWM Policy. This has implications on the SWM services collection- more workload, failure to meet demand and satisfy consumers, poor user fee collection, poor payment, high attrition, leading to further work-load on

⁷² ULBs hence have been using contract workers (sometimes on daily wages) to offset the high vacancy rates. Since the staff work is field based, impacts are observed in street sweeping, with low cleaning frequency (for ex. in small streets cleaning is demand based). Hence ULBs are compelled to constantly use temporary staff to ensure adherence to workload norms. To meet the driver requirements for sanitation activities, many ULBs recruit drivers on contract basis or use sanitary workers with driving skill or hire vehicles along with drivers for different cleaning purposes.

⁷³ The ULB engages following empanelled agencies (HKS/Kudumbasree) for the management of dry and wet waste in residential and non-residential sector. The investment and management of waste treatment facilities are handled by the ULB and only the manpower is supplied by Kudumbasree and HKS.

⁷⁴ In Varlala for instance, there are 33 Wards and 66 HKS members sanctioned (2 per ward) but currently only 14 members are available making a deficit of 52. Similarly, the deficit reported in in Attingal was 19, Kasaragod was 38, Kothamangalam was 37, Alappuzha was 50 and Feroke was 68. (Health Department, ULBs, 2019)

existing workers and the cycle repeats. Also, upscaling an already weak model of service delivery is difficult, so the collection is not city wide. Without economies of scale, pay out can be limited. In addition, dependence on a single agency has several drawbacks like continuity of fixed uniform user fee, services cannot be benchmarked, competitive bidding for user fee, difficulty for agencies (like Kudumbashree) to develop as micro-enterprises. It also has implications for users whose satisfaction is not a criterion for extension of contracts for service providers. Also, dependence on one agency has environment and public health risks in case of failure of waste management plants and inadequate back up.

- III. **Payment inadequacies** for HKS: Payments to HKS is made in two modes – as monthly salary. There is significant variability in the salaries received and Viable Gap Funding (VGF), as against the Rs. 6000 per month indicated by GoK. User charges is another source of revenue for the HKS. The funds so collected is to be deposited in the ULB bank account. The total collections are review monthly and the Health Department approves the release of monthly funds. Payment receipts are issued on behalf of ULB. Key issues faced by HKS is the unwillingness or low payments by HHs to pay user charges, pending VGF, handing over of partially segregated wastes, low coverage in the ULB thereby affecting financial loss and in some cases public abuse. Baseline survey shows that most HKS agree that they are currently not sustainable in their operations. This is predominantly on account of user charge payments not being realized to their potential. The project risks perpetuating efficiency of women and utilising women’s dexterity and skillfulness to achieve developmental goals at cheaper prices.
- IV. **Caste stigma and gender stereotype (Intersectionality of caste and gender making women waste workers vulnerable):** Traditionally, the lower castes were relegated to waste work and urban sanitation workers continue to represent those caste categories. Similarly, traditionally women have the responsibility of managing household waste so even in paid form they get relegated to roles which are extension of their domestic responsibilities. On one hand, it is the socially vulnerable who are relegated to waste work, on the other, the workers invisibility and societal apathy makes waste work poorly paid⁷⁵ and unregulated. Social stigma makes it difficult for women workers to get other opportunities and poor income levels makes it difficult for them to access other opportunities.

⁷⁵ Poor wages are both a result of women and lower castes working in this profession. Even though the wage rates of agricultural laborers in rural Kerala are higher than the wages in other parts of the country, the wage disparity among the male and female workers is noticeable. (The male-female wage gap among the rural workers engaged in sowing and other works is around 70 per cent. Further, the wide disparity in male-female wage rates is an indication of the fact that the perception of gender equality is far from reality) Labor Bureau, GoI shows that for male and female general agricultural workers in rural Kerala, it is ₹758.52 and ₹544.72 respectively in December 2018. The national average of the wage rate for this category of workers is only ₹288.24 and ₹238.43.

- V. **Lack of recognition and growth:** SWM policy and overall environment presented an opportunity for wastes management while ensuring economic empowerment through a continued livelihood⁷⁶ for people engaged in the sector. However, Guidelines 2017 proposes a uniform model of Haritha Karma Sena which will be selected based on an invitation for expression of interest. The invitation is limited to NGOs who have previous experience of SWM and private entrepreneurs. Outsourcing and sub-contracting becomes common wherein labor from diverse backgrounds are brought in but also diverse strategies of management and surveillance are introduced such that opportunities to unionise are far and few resulting in a common pattern of powerlessness, voicelessness, marginalisation. (Neethi P). Since informal waste collectors lack opportunities to form groups, their integration into SWM value chain is not formalised. Though Supreme Court of India has upheld that the tendency to employ contractual labor for work of a permanent nature, particularly in fulfilment of statutory obligation like SWM, cannot be allowed, staff employed permanently have reduced significantly. Those dealing exclusively in recycling, on an average had 4 members employed in the smallest dealer and as many as 40 in the largest dealer. Currently, scrap dealers are using independent rag-pickers and permanently associate with them for delivery of wastes, as replacement for staff. This change is warranted on account of fall in business in the last few years. Rag pickers or staff do not have identification. Creates problems when staff go out to pick up wastes. The registration process of rag-pickers in Police Stations for getting ID cards is a long process.
- VI. **Integrating sub contracted SWM workers in the city waste management system:** KMA 1994 has a provision for making arrangement on contract basis for the collection and of solid waste from public or private premises. [Section 326(3)]. SWM Rules 2016 also provides for establishing a system to recognize organization of waste pickers or informal waste collectors and facilitate formation of Self-Help Groups and their integration into SWM including door to door collection. This approach is reflected in KSP2018 which requires the ULB Secretary to 'recognize the primary role played by the informal sector of waste pickers, waste collectors and recycling industry in reducing waste and provide broad guidelines regarding integration waste pickers or informal waste collectors in the waste management system'. However, current system fails to recognize organisations of waste pickers and integrate them in the city waste management system. A legal issue⁷⁷ that may come up in this context is that the

⁷⁶ In Kerala, efforts have been made to organize waste recyclers (predominantly unorganized and handled by men), identifying and siting processing facilities for plastic management (complying to PWM, 2016) through MCF, MRF and RRF (through CKCL support). This management strategy is further strengthened by allocation of at least 5% of lands in industrial estates (Govt. supported) towards setting up waste processing units with the help of private sector. This is complementing the efforts made by small and medium waste processing units across Kerala (~102 small & medium units registered with KSPCB and SM as of Nov 2017, dealing predominantly in scrap plastic, container, granules, lumps, etc.) in Kerala.

⁷⁷ Supreme Court has observed in some important cases (e.g. Gujarat Electricity Board, 1995) that the tendency to employ contractual labor for work of a permanent nature, particularly in fulfilment of statutory obligation like SWM, cannot be allowed. More recently, the Supreme Court has repeated this stand in the case of Kachara Vahatuk Shramik Sangh case vs. Bombay Municipal Corporation (2017). In this case, the Supreme Court held that the work

agreement signed by the ULB with the HKS is to be for a period of two years, in the first instance.

- VII. **Occupational health and safety:** Kerala have some of the best health indicators in the country. However, it is also observed that sanitary workers⁷⁸ and rag pickers have higher morbidity due to infections of skin, respiratory, gastrointestinal tract, and multisystem allergic disorders. The key occupational health and safety impacts during the handling of the solid waste include a) Health impacts of exposure to a variety of harmful materials of waste-related pollutants, b) Accidental spillage and collision by moving vehicles, c) Cut & Bruises during handling of Waste, Allergies from pathogen and airborne dust, d) Falls from heights and into trenches. Women are highly disadvantaged in this work. They work in cramped and unsanitary conditions for long hours and low returns⁷⁹. These are women from slums, with low educational levels and lower caste backgrounds. (International Journal of Business and Administration Research Review. Vol.I, Issue No.2, Nov-Jan2014.) In addition, the project proposes landfill construction, processing unit's installation and O&M of waste management enterprises set up. Despite laws and systems, poor implementation makes unorganised construction workers vulnerable to OHS risks. Workers being exposed to wide variety of serious Occupational Health and safety hazards, the rate of fatal accidents in this industry is 4 to 5 times that of the manufacturing sector. Some of the risks include poor ventilation, bad storage systems, poor restrictions so children and public enter construction sites, injuries from RMC, poor first aid, poor fire protection, unattended gas cylinders, broken equipment like ladders etc.
- VIII. **Labor Disputes:** Considering that many sanitation workers are contracted, sub-contracted, temporary, casual with minimal regulation and control on the terms and conditions under which they work, there is likelihood of exploitation. This can be poor wages, untimely payments, poor working conditions as discussed above. In the absence of a grievance management system or awareness of the system, there may be complaints, disputes which exacerbate in the absence of timely redressal.
- IX. **Discrimination and Sexual Harassment:** Lack of safety and security is a major challenge woman in the SWM sector face. Since it is a largely unregulated sector and women often work in alleyways and poorly maintained areas of the city, women are exposed to crime and unwanted elements in society. This is a major

performed by the contract workers was integral to the services of the municipality, is done round the year, and is directly supervised and controlled by the BMC.

⁷⁸ The people residing in the neighbourhood of MSW dumping sites complain about air and water pollution and the incidence of diseases such as skin infections, respiratory diseases, allergic complaints, etc. A study carried out by the School of Environmental Sciences, Mahatma Gandhi University in and around the dumping yard at Vadavathur of Kottayam Municipality also indicated a correlation between groundwater pollution levels and nearness to the dumping yard.

⁷⁹ With time, and due to exploitative work conditions, Urban Kerala is home to many collectives mobilised around the circulations of waste where women from marginalised classes, castes and tribal communities have been at the forefront of these struggles (Binoy 2014).

social risk associated with this sector, which puts even the limited women working in SWM at serious risk. Also, much of the waste is dumped at night or in the early hours when it is still dark, making it even more challenging and unsafe for women to contribute effectively. There is also a vulnerability of formal women workers of Sexual Harassment at workplace. Ineffective response mechanisms and absence active Committees Against Sexual Harassment at workplace can enhance the risks under the project for direct, indirect, contracted, sub contracted workers.

X. **Labor Influx:** The state is home to both inter⁸⁰ and intra state migration particularly since late 1990s due to heavy demand under the construction boom. Also, with high daily wage rates, it attracts workers across India. However, the SWM workers are often from within the state and the same district and fall in the category of unskilled daily wage workers. In addition, ULB specific plans will determine the extent of construction and related risks of labor , outsourcing from other locations, risk of labor influx⁸¹ and impact on host communities. These could be additional

Key findings related to Labor Influx in Kerala: Language groups stay, cook and work together, sometimes 7 or more persons staying in a room. Clustering of settlement can both be an advantage (no security threat) and disadvantage (communal orientation). But contractors and group leaders seem to have strict control over the movement and activities of the laborers. The overcrowding appears overbearing requiring policy intervention for protecting migrants as well as local population. There are instances of xenophobia, racism or lesser form of hostility towards migrants. The local public has low opinion about migrants and see them as carriers of diseases eliminated from Kerala like malaria, or disturbing public hygiene, security, law and order. While some registered for benefits, others are stated to have resisted it. Health Dept. also has faced problems in dealing with workers afflicted by communicable diseases like TB and AIDS. Sub-contracting system is still prevalent as it is viewed as beneficial to employers by relieving them from (a) the burden of identifying and relieving laborers when in need, (b) worries of negotiating wages, (c) keeping a labor force 'permanently temporary' through frequent rotation/change of jobs and (d) avoid adherence to labor laws and other mandatory welfare schemes relating to permanent labor. {*Report of Dr. Ashok Sahu, Thematic Special Rapporteur (Child/ Bonded/Migrant Labor), National Human Rights Commission, September, 2017*}

pressure on existing resources. Specifically, the influx of labor force can create conflict and social unrest due to cultural differences between the labor force and local community; spread of communicable diseases due to interaction of the labor and the local community; gender-based violence; violation of child-

⁸⁰ Kerala attracts domestic migration - over 2 million, mostly males in the age group of 18 to 29 years staying up to 3 years though not necessarily in one place. Higher minimum wage in Kerala is the most attractive feature. Outward remittance is around Rs.70,000/- per annum per person. Earlier migrants were mostly from neighbouring States of Tamil Nadu and Andhra Pradesh hired for earth work, road work, unskilled jobs in construction and in services like ironing clothes and as cooks and waiters. The present wave is spread across both rural and urban areas and has percolated into all professions (construction, hotels and restaurants, brick kilns, jewellery works, bakeries, head-load works, hospitality and in manufacturing industries of all kinds), gradually shifting from unskilled to skilled work. Long distance trains connecting Assam, Bengal, Bihar, Odisha and elsewhere have been a facilitator. Channel of migration through contractors, now shifting towards friends and relatives (Findings of a study on Labor Influx conducted by an autonomous Institution (Gulati Institute of Finance and Taxation), Government of Kerala, in 2013)

⁸¹ The workforce normally consists of solitary migrant males and that can be a potential risk for the host population. However, in many cases, the migrant male member of the family might relocate his family with him.

safety measures; Health hazard for host community due to lack of sanitation facilities and waste management; additional pressure on the local resources.

XI. Child Labor : According to 1991 census, the total child labor in Kerala numbered 34,800. As per the official calculations, 1996 estimate indicated a figure of 10,067. The NCEAR data on the activity status of children, 2000 show that only 0.4 per cent children are reported to be working as against the all India average 4.3 (Doraisamy, 2000). According to 61st Round of National Sample Survey, 2004-05, child workforce in Kerala was estimated at only 0.11 lakh- least in the country with many areas declared as child labor free zones. Reason for this is attributed to high literacy rate, free and compulsory education, effective enforcement and monitoring and keen interest shown by NGOs, media and civil society Child labor in Kerala is mainly concentrated on the unorganised tertiary/service sectors. Working children in hotel industry, including restaurants and teashops and the household service sector- Thiruvananthapuram and Kollam are the major centers where a large number of children are engaged in various occupations like newspaper boys, hotel workers, **rag pickers**⁸², vehicle cleaners and host of other jobs. Children were also found in large number in sectors like stone breaking and construction. The state has taken steps to eradicate child labor in the state. As per Child Labor (Control and Prevention) Act, 1986, assistant labor officer and district labor officer (enforcement) have been appointed as protection inspectors in each district⁸³. Besides, child labor rehabilitation-cum-welfare societies and task forces function in all the 14 districts. The state claims to be virtually free of child labor⁸⁴.

11.4 Legal Provisions and Safeguards for labor

11.4.1 International Labor Conventions

India has ratified the following ILO conventions to safeguard labor rights and welfare. These are the Forced Labor Convention, 1930 (No. 29), Abolition of Forced Labor Convention, 1957 (No. 105), Equal Remuneration Convention, 1951 (No. 100), Discrimination (Employment and Occupation) Convention, 1958 (No. 111), Minimum Age Convention, 1973 (No. 138) and Worst Forms of Child Labor Convention, 1999 (No. 182).

⁸² Specific data on child labor as Rag pickers not available

⁸³ The Enforcement mechanism consists of 101 Assistant Labour Commissioners operating as Floor level Inspectors, 14 District Labour Officers operating as District level Inspectors, 3 Joint Labour Commissioners operating as Regional level Inspectors and Labour Commissioner/ Additional Labour Commissioner operating at State level. As per the direction of the National Commission for Protection of Child Rights, District level Task Forces have been constituted, convened by District level Officers concerned. Child Labour Rehabilitation cum Welfare Society is currently functioning in all Districts chaired by the District Collectors.

⁸⁴ In the 2017, 506 inspections carried out in the state from 2010 to 2016, child labor was not detected in any establishments run by other-state businessmen," labor minister T P Ramakrishnan. In the six years between 2010 and 2016, official figures say, only 11 prosecution cases have been filed in the state.

11.4.2 National Laws

The following table lists the Acts for labor welfare and protection at National level for which Kerala has made state provisions:

Table 35: List of acts related to labor welfare and protection

S No	National Act - State legislation	Explanation
1.	Building and Other Construction Workers' Welfare Cess Act, 1996	To regulate the employment and conditions of service of building and other construction workers and to provide for their safety, health, and welfare measure and for other matter connected therewith or incidental. To constitute Welfare Boards in every State to provide and monitor social security schemes and welfare measures for the benefit of building and other construction workers
	Building and Other Construction Workers' Welfare Cess Rules, 1998	
2.	Child Labor (Prohibition and Regulation) Act, 1986	To protect the interest of children below the age of 14 so they are not employed in certain occupations. And to regulate the conditions of work of children in certain other employments.
	Kerala Child Labor (Prohibition and Regulation) Rules, 1993	
3.	Contract labor (Regulation and Abolition) Act, 1970	To regulate the employment of contract labor in certain establishments and to provide for its abolition in certain circumstances
	Kerala Contract Labor (Regulation And Abolition) Rules	
4.	Equal Remuneration Act, 1976	To provide for the payment of equal remuneration to men and women workers and for the prevention of discrimination, on the ground of sex, against women in the matter of employment.
	Equal Remuneration Rules, 1976	
5.	Payment of Wages Act, 1936	Ensures payment of regular wages to certain classes of workers.
	GoK has passed seven rules ⁸⁵ for implementation.	
6.	The Minimum Wages Act, 1948	Lays down the minimum wages that must be paid to skilled and unskilled labor s
	Kerala Minimum Wages Rules, 1958	
7.	Workmen's Compensation Act, 1923 and Workmen's Compensation (Amendment) Act 2009	To compensate the spouse or the dependent son or daughter of a workman if he or she suffers any injury at work place

⁸⁵ Kerala Payment Of Wages (General) Rules, 1958; Kerala Payment Of Wages (Procedure) Rules, 1958; Payment Of Wages (Undisbursed Wages) Rules, 1998; Kerala Payment Of Wages (Procedure) Applications To Schedule Employment Rules, 1964; Kerala Payment Of Wages (Unclaimed Amounts) Rules, 1958; Kerala Payment Of Wages (Manner Of Recovery Of Excess Deductions) Rules, 1968; Kerala Payment Of Wages (Deductions For National Defence Fund And Defence Savings Schemes) Rules, 1964

	Kerala Workmen's Compensation Rules, 1958; Workmen's Compensation (Transfer Of Money) Rules, 1935; Workmen Compensation (Venue Of Proceedings) Rules, 1996; Kerala Workmen's Compensation (Schedule Iii Parts 'A', 'B' And 'C' Occupational Diseases) Rules, 2001	
8.	Maternity Benefit Act, 1961 Kerala Maternity Benefit Rules, 1964	To regulate employers to provide paid maternity leave and offer on-site day care services
9.	Payment of Bonus Act, 1965 Payment of Bonus Rules, 1975	To regulate employers to provide bonus
10.	Payment of Gratuity Act, 1972 Kerala Payment of Gratuity Rules, 1973	To regulate employers to provide gratuity
11.	Personal Injuries (Compensation Insurance) Act, 1963	Makes employers liable to pay compensation to workers sustaining personal injuries and to provide insurance for employers against such liability
12.	Industrial Disputes Act (1947, Amendment in 2010) Industrial Tribunal (Procedure) Rules, 1949; Industrial Tribunal (Central Procedure) Rules, 1954; Kerala Industrial Disputes Rules, 1957	To settle industrial disputes
13.	Motor Transport Workers Act, 1961 Kerala Motor Transport Workers' Rules, 1962	To regulate motor transport workers as a Whole- their conditions of employment work and wages.
14.	Industrial Employment (Standing Orders) Act, 1946 Kerala Industrial Employment (Standing Orders) Rules, 1958	To define the conditions of employment and to make the conditions known to workmen employed by them.
15.	Inter-State Migrant Workmen (Regulation Of Employment And Conditions Of Service) Act, 1979 Kerala Inter-State Migrant Workmen (Regulation of Employment & Conditions of Service) Rules, 1983	To regulate the work of inter-state migrant workers and providing for their conditions of work- applies to establishment and labor contractors who employ five or more inter-state migrant workers
16.	Trade Unions Act, 1926 Kerala Trade Unions Regulations, 1958	An Act to provide for the registration of Trade Unions and in certain respects to define the law relating to registered Trade Unions
17.	The sexual harassment of women at workplace (Prevention, Prohibition, and Redressal) Act 2013	This law protects workers (particularly women) from sexual harassment. Provides guidelines to form internal committees against sexual harassment.
18.	Bonded Labor System (Abolition) Act, 1976	To regulate forms of forced labor

11.4.3 State Laws and Policies

Table 36: State laws and policies

	State Laws and Rules	Explanation
1.	Kerala Casual, Temporary & Badli Workers (Wages) Act, 1989 Kerala Casual, Temporary & Badli Workers (Wages) Rules	To fix wages payable to casual, temporary and badly workers in certain establishments and employments
2.	Kerala Headload Workers Act, 1978 Kerala Headload Workers Rules, 1981	To regulate the employment of headload workers in the State of Kerala and to make provision for their welfare, for the settlement of disputes in respect of their employment or non-employment
3.	The Kerala Loading and Unloading (Regulation of Wages and Restriction of Unlawful Practices) Act, 2002 The Kerala Loading and Unloading (Regulation of Wages and Restriction Of Unlawful Practices) Rules, 2002	To regulate the wages and to restrict unlawful practices connected with loading and unloading and transportation of goods and articles
4.	Kerala Labor Welfare Fund Act, 1975 Kerala Labor Welfare Fund Rules, 1977	To provide for the constitution of a fund for promoting the welfare of labor and for certain other matters connected herewith in the State of Kerala.
5.	Kerala Motor Transport Workers Payment of Fair Wages Act, 1971	To provide for payment of fair rates of wages for motor transport workers in the State of Kerala a
6.	Kerala Payment of Subsistence Allowance Act, 1972 Kerala Payment of Subsistence Allowance Rules, 1974	To provide for the payment of subsistence allowance to the employees in certain establishments during the period of suspension
7.	Kerala Recognition of Trade Union Act 2010 Kerala Recognition of Trade Union Act - Date of enforcement Kerala Recognition of Trade Unions Rules 2011_	For the recognition of Trade Unions for facilitating collective bargaining and to check multiplicity of Trade Unions in industrial establishments.

- I. In Kerala, labor has been safeguarded through the constant intervention of the Government on labor rights, welfare, working conditions and safety-security. It is an accepted fact that the labor laws and labor welfare schemes implemented by the State are much wider in scope than that of other parts of the country. The Government is of the view that every employee/worker be a member of a Welfare Board and get lifelong social security. Currently, around 29 labor welfare boards exist in the State, of which 16 are under the Labor Commissionerate.
- II. State Government have constituted a District level squad including District Labor Officer from Labor Department as Convenor, District Medical Officer from Health Department, Deputy Director from Local Self Government and Inspector of Factories and Boilers Department as Members to conduct regular inspections across the State to ensure better health and sanitary conditions of Interstate Migrant Workers. The labor Department has been conducting medical camps and information dissemination programmes with the support of Health

- Department and other NGOs in worksites and places where the ISM workers congregate.
- III. Bhavanam Foundation, Kerala (A Government of Kerala undertaking) is implementing the "Apna Ghar project" which aims at providing good quality decent hostels with all basic facilities at affordable rent to ISM workers across Kerala. Government of Kerala had introduced a scheme namely, 'Kerala Migrant Workers Welfare Scheme, 2010' for the voluntary registration of the guest workers and to provide welfare benefits like accident benefit, fatal diseases treatment, terminal benefits, educational grant for children, death benefit, transportation of body to native place, inpatient treatment etc. Unfortunately, being a voluntary registration Scheme, as per the records of the Kerala Building and Other Construction Workers Welfare Fund Board, the response was poor.
 - IV. The Government of Kerala proposes to introduce another Free Insurance Scheme for Guest workers, namely, 'AAWAZ', which envisages a cashless and paperless medical treatment benefit of Rs.15,000/- per year per individual using bio-metric cards together with an accidental death insurance of Rs.2 lakh, contemplated similar to the RSBY Scheme. The Scheme will enable creation of a concrete data base of guest workers and provide them with unique ID Card. The benefits under AAWAZ are expected to be available w.e.f. 1st November 2017, the 61st anniversary of formation of Kerala State.
 - V. Some other schemes include Daily Waged Employees Distress Relief Fund Scheme; Rashtriya Swasthya Bhima Yojana and Comprehensive Health Insurance Scheme; and Aam Admi Bhima Yojana (AABY)
 - VI. The Labor Commissionerate has created provision for online registration of labor which covers the unorganized sector. Online provision to register under eight Acts namely, Building and Other Construction Workers Act; The Beedi and Cigar Workers(Conditions of Employment) Act, 1966; The Contract Labor (Regulation and Abolition) Act, 1970; The Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979; The Kerala Headload Workers Act, 1978; The Motor Transport Workers Act, 1961; The Plantations Labor Act, 1951
 - VII. The State aims to address challenges in the labor sector by creating new jobs in both urban and rural Kerala, a unified and consolidated legislation for social security schemes, re-prioritisation of allocation of funds to benefit vulnerable workers, long term settlements based on productivity, labor law reforms in tune with the times, amendments to Industrial Disputes Act, 1947 and revamping of curriculum and course content in Industrial Training Institutes (ITIs).
 - VIII. Monitoring and evaluation have also been considered integral to labor reforms against the backdrop of increasing inter-State and international migration. (Kerala Economic Review 2019).

Relatively benefits received by casual workers in Kerala are much better than other States of the country. The casual workers who receive social security in Kerala is 5.7 per cent which is 2.9 per cent higher than the national average. In case of paid leave, 5.4 per cent of the casual workers in Kerala received the benefit which is 3.7 per cent higher than the national average. It is estimated that self-employed workers in Kerala constituted 40.7 per cent of the total workers, while

the share of regular wage/salaried employee was 24.7 per cent and that of casual labor 34.6 per cent.

The Commissionerate also provides an online grievance redressal system⁸⁶. A helpline call centre is working in the Labor Commissionerate in Malayalam, English and Hindi language.

11.5 Project Labor Management Procedures

The Project Labor Management Plan includes clear steps on responsibility allocation, preparation of code of conduct to ensure compliance measures for labor laws, mitigation of specific labor related risks, road map to prepare site specific labor influx and construction management plan, setting up systems for grievance redressal, prevention, and response to GBV. It requires a robust MIS to monitor the implementation of plans and adherence to labor compliances.

11.5.1 Mapping Responsibilities:

- A. The TSC will provide Supervision, monitoring and reporting to DPMU and SPMU on Labor Management.
- B. The SPMU (SESU) for regional facilities and DPMU (DESU) will provide oversight on Labor Management.
- C. During SIA, Labor Management Plan must be prepared by the SIA consultants. The Contractor also must include a Labor Management Plan in the Contractor Environmental Social Management Plan.
- D. All actions related to labor management have to be implemented by contractors. As a primary step to ensure effective labor management, the project must allot the following responsibilities:
 - i. engagement and management of direct contracted workers
 - ii. engagement and management of subcontractors
 - iii. engagement and management of indirect/sub-contracted labor
 - iv. measures of protection and assistance to address the vulnerabilities of project workers, including specific groups of workers, such as women, people with disabilities, migrant workers and children
 - v. occupational health and safety (OHS)
 - vi. training of workers
 - vii. complaint numbers or grievance systems registration of labor with GoK for visibility and improved access to benefits and grievance redressal

11.5.2 Developing a Code of Conduct

⁸⁶ Online provision to post grievances at <http://www.lc.kerala.gov.in/index.php/mail1>, though its accessibility, use, effectively and responsiveness needs to be reviewed

Ensure that a Code of Conduct is incorporated for all contracts⁸⁷ under the project containing obligations on all project workers (including sub-contractors). The issues to be addressed include:

- a. Compliance with applicable laws, rules, and regulations of the jurisdiction
- b. Compliance with applicable health and safety requirements (including wearing prescribed personal protective equipment (PPE), preventing avoidable accidents and a duty to report conditions or practices that pose a safety hazard or threaten the environment)
- c. The use of illegal substances
- d. Non-Discrimination (for example on the basis of family status, ethnicity, race, gender, religion, language, marital status, birth, age, disability, or political conviction)
- e. Interactions with community members (for example to convey an attitude of respect and non-discrimination)
- f. Sexual harassment (for example to prohibit use of language or behavior, in particular towards women or children, that is inappropriate, harassing, abusive, sexually provocative, demeaning or culturally inappropriate)
- g. Violence or exploitation (for example the prohibition of the exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior)
- h. Protection of children (including prohibitions against abuse, defilement, or otherwise unacceptable behavior with children, limiting interactions with children, and ensuring their safety in project areas)
- i. Sanitation requirements (for example, to ensure workers use specified sanitary facilities provided by their employer and not open areas)
- j. Avoidance of conflicts of interest (such that benefits, contracts, or employment, or any sort of preferential treatment or favors, are not provided to any person with whom there is a financial, family, or personal connection)
- k. Respecting reasonable work instructions (including regarding environmental and social norms)
- l. Protection and proper use of property (for example, to prohibit theft, carelessness or waste)
- m. Duty to report violations of this Code
- n. No retaliation against workers who report violations of the Code, if that report is made in good faith.

11.5.3 Systematizing the Code of Conduct

- a. Awareness raising: The Contractor should conduct continuous awareness raising and training activities to ensure that workers abide by the Code of Conduct (such as through toolbox talks). The Contractor should also ensure

⁸⁷ Where government civil servants are working in connection with the project, whether full-time or part-time, they will remain subject to the terms and conditions of their existing public sector employment agreement or arrangement, unless there has been an effective legal transfer of their employment (except for overall protection and Occupational Health and Safety).

that local communities are aware of the Code of Conduct and enable them to report any concerns or non-compliance.

- b. The Code of Conduct should be written in plain language and signed by each worker to indicate that they have: received a copy of the code; had the code explained to them; acknowledged that adherence to this Code of Conduct is a condition of employment; Understood that violations of the Code can result in serious consequences, up to and including dismissal, or referral to legal authorities

11.5.4 Aligning Sub-contracting processes

The Project is likely to depend upon contracted agencies which will be hiring labor or sub-contracting other agencies to hire labor. This will be in case of both SWM services, construction, and O&M. The SPMU must make reasonable effort to ensure that the contracted agencies are legitimate and have in place labor management procedures applicable to the project. All contractual agreements to incorporate the requirements of labor compliances along with appropriate noncompliance remedies. Similarly, in the case of subcontracting, equivalent requirements, and noncompliance remedies in their contractual agreements to be duly incorporated. As mentioned above, the project to ensure that any staff- contracted or subcontracted must have access to grievance mechanism particularly when the hired agencies do not have internal mechanisms

11.5.5 Transparency in Contract Specific Terms and Conditions

Be it Contracted Staff; SWM Service-related Contracted Agencies and SWM Construction and O&M related Agencies

- a. All workers Project workers will be provided with information and documentation that is clear and understandable regarding their terms and conditions of employment
- b. All contracts must contain:
 - i. Wages: Specific wages and payment modality, timeline
 - ii. Working Hours: hours of work, maximum number of hours that can be worked on the project, overtime, compensation
 - iii. Leaves: rest per week, annual leave, maternity leave, sick leave
 - iv. Benefits: medical treatments in case of accidents or otherwise
 - v. Notice of termination of employment and details of severance payments in a timely manner
 - vi. Collective agreements that apply to the project, other specific terms, and conditions.
 - vii. Details of the grievance mechanism

11.5.6 Child labor

A child over the minimum age and under the age of 18 will not be employed or engaged in connection with the project in a manner that is likely to be hazardous or

interfere with the child's education or be harmful to the child's health or physical, mental, spiritual, moral or social development. The process that will be followed to verify the age of project workers. The procedure that will be followed if underage workers are found working on the project. The procedure for conducting risk assessments for workers aged between the minimum age and 18.

11.5.7 Forced labor

Forced labor which consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty, will not be used in connection with the project. This prohibition covers any kind of involuntary or compulsory labor, such as indentured labor, bonded labor, or similar labor - contracting arrangements. No trafficked persons will be employed in connection with the project

11.5.8 Health and Safety

All parties who employ or engage project workers will develop and implement procedures to establish and maintain a safe working environment, including that workplaces, machinery, equipment and processes under their control are safe and without risk to health, including by use of appropriate measures relating to chemical, physical and biological substances and agents. The OHS measures will be designed and implemented to address: identification of potential hazards to project workers; training of project workers and maintenance of records; reporting of occupational accidents, diseases and incidents; emergency prevention, preparedness, response and remedies to emergency situations such as occupational injuries, deaths, disability and disease.

11.6 Labor Influx and Construction Labor Management

The plan to be developed to reduce potential impacts associated with influx on the host population and receiving environment are minimized; provide for safe and healthy working conditions, and a comfortable environment for migrant labor; and ensure compliance with the national labor laws.

- a. The project must minimize labor influx through tapping the local workforce - the contractor to preferentially engage unskilled local workforce from the local communities.
- b. All migrant workers are envisaged to be accommodated in a proper temporary campsite within the project area. If migrant workers are accompanied by their families, provisions should be made accordingly. As per the National Acts, the inclusion of requirements for labor camp to be established by contractors during construction phase of the project.
- c. Not employ any person below the age of 18 years nor will have any forced labor

- d. No discrimination shall be done by the construction contractor with respect to recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, termination of employment or retirement, and disciplinary practices
- e. The contractor to ensure that work hours are set at eight hours a day, 48 hours a week, with a weekly rest day for all engaged labor ; Every labor is entitled to a maximum of only two hours a day as Overtime (OT) work. OT pay is twice the hourly remuneration; ensure equal wages for male and female workers for work of equal nature or value is maintained
- f. A grievance redress mechanism for workers shall be put in place by the contractor to raise workplace concerns. The workers will be informed about the grievance mechanism at the time of recruitment
- g. Regular inspection of the camp sites, maintaining information pertaining to labor sourced by sub-contractors
- h. Worker's Accommodation to ensure privacy, partitions, ventilation, cooking and sanitation facilities
- i. If food canteen is set up then food quality, timeliness, nutritious value and cultural appropriateness, religious sentiments to be duly considered
- j. For security, adequate lighting during day time and night time, security guards and or limitation to access for non-residents; and hiring of firefighting equipment and portable fire extinguishers.
- k. Access to safe drinking water. Regularly monitor the quality of drinking water available and in case of non-compliance alternative sources to be arranged
- l. Campsite to be equipped with the septic tank and soak pit for disposal of sewage. The contractor shall identify the nearest municipal solid waste storage facility and tie up with the concerned urban local body for disposal of waste at frequent intervals
- m. First Aid centre, first aid kits, identify and train an adequate number of workers to provide first aid during medical emergencies; where possible, nurses should be available for female workers; regular health check-ups shall be carried out for the construction labor ers every six month and health records shall be maintained
- n. All contract workers to sign the code of conduct, including prevention of GBV. Contractor to ensure, induction and toolbox talks outlining expected conduct and local community values. Introduce disciplinary measures for violations and misbehaviours.
- o. Regular monitoring on campsite facilities, labor issues, host community issues, specific GBV cases
- p. While clear and decisive measures by the contractor are critically important, the effectiveness of these measures often depends on complementary actions by the PMU

For preparation of a detailed plan, refer to the WB 2016 Note titled Managing the risks of adverse impacts on communities from temporary project induced labor influx which provides guidance on identifying, assessing and managing

the risks of adverse social and environmental impacts that are associated with the temporary influx of labor resulting from Bank Supported projects (<http://pubdocs.worldbank.org/en/497851495202591233/Managing-Risk-of-Adverse-impact-from-project-labor-influx.pdf>)

11.7 Integrated MIS on Labor Management

To ensure effective labor management, it is not plainy important to develop systems and plans but also develop monitoring mechanisms which can be reviewed regularly against clear indicators. An exhaustive database on labor under the project is the first step towards that. Labor database to contain name, type of labor , employer, age verification document, sex, educational qualifications, contact information, nature of contract, duration of contract, location of work, remuneration, procedure for suspension or termination etc. Key documents like Code of Conduct, Terms of Employment, Trainings held, grievances received to be duly recorded for analysis and review.

11.8 Grievance Redressal Mechanism

The project must ensure access to a system for grievance redressal for direct and contracted workers and ensure that workers are aware of the mechanism.

- A. There already exists a GoK mechanisms as mentioned in the earlier section, the project team must review its accessibility, confidentiality, responsiveness, and complainant satisfaction and Contractors must register the labor with GoK for them to avail it.
- B. The Project specific GRM is available to all stakeholders including labor.
- C. In addition, each Contractor must provide a mechanism for the labor to register their complaints. This could be a drop box at the site, it could be a specific day and time allotted (about which laborers are informed) on which they can verbally give their complaints. Irrespective of these two options, there should be a telephonic number displayed at site and camp for the labor to call and put their complaints. The Contractor must maintain a grievance register to record and track complaints received either by phone, drop box or orally.
- D. In cases where the third party employing or engaging the workers is not able to provide a grievance mechanism to workers, the Project will make it available.
- E. The Project will not restrict workers from developing alternative mechanisms to express their grievances and protect their rights regarding working conditions and terms of employment.

12. Capacity development for social management

12.1 Policy and institutions for Capacity Development

As per National Capacity Building Framework (NCBF) of Ministry of Panchayati Raj, Government of India defines comprehensive outreach of capability building & training (CB&T) as provision of appropriate training to Elected Representatives (ERs) and functionaries at all levels of local governance, especially ensuring the inclusion of the cutting-edge level elected representatives and functionaries. Expanding the outreach of training also entails ensuring coverage of the diverse groups of stakeholders in Panchayats, Gram Sabhas, Departmental functionaries, and even experts, media and other groups.

In India the State Institute of Rural Developments (SIRDs) along with resource institutions, NGOs and other support training institutes have dealt with the issue of capacity building of a large number of elected representatives and officials of local-self-governments in several ways. The main strategies include the cascade model of training, distance education, expansion of the number of institutes to decentralized levels and networking & collaboration with NGOs. (MoPR, 2014)

The World Bank Projects in India starting from Karnataka, Bihar, West Bengal and later in Kerala have introduced the mentoring model⁸⁸ of capacity building. Under this model, facilitators with specific expertise are deployed in the field to provide on-site and remote handholding assistance to the Local Government Institutions.

Kerala Institute of Local Administration (KILA) and State Institute of Rural Development (SIRD) are the agencies in the state responsible for capacity building of Local Self Government Institutions in the state. While KILA's training programmes focuses on the functionaries of the Grama Panchayats and Municipalities, SIRD focuses on the functionaries of the Block and District Panchayats. See *Annexure 2* to view the trainings offered by KILA and SIRD. In addition, the project is affiliated with Kudumbashree which has a robust training portfolio comprising of four elements viz, Organizational Development, Strengthening of Community Based Organizations, Strengthening of Community Supporting Groups and Livelihood Management.

12.2 Capacity Development under KSWMP

The baseline survey shows that there are two clear capacity areas that need to be addressed through the project. First is the existing vacancies and new vacancies and

⁸⁸ The impact assessment report of West Bengal PRI Project found that the mentoring support has changed the way GPs functioned in West Bengal. Earlier it was a burden for the limited number of staff to provide regular technical assistance for the GPs on a daily basis. With the introduction of the mentoring initiative, GPs were ensured that technical assistance was within their reach and there was no delay in receiving the same. The mentoring team with specialized knowledge and skills were instrumental in assisting the GPs to emerge as effective institutional functioning and service delivery. (ISGP, 2016)

second includes development and enhancement of capabilities of exiting staff, teams, local leaders, and communities for improved social outcomes. In addition, the capacity development initiatives must cater to two gaps: individual capacity requirements and organizational development for overall improvement in efficiency of service delivery and social management.

12.2.1 The broad contours of capacity building requirements under social management can be summarised into categories, themes and target group/participants:

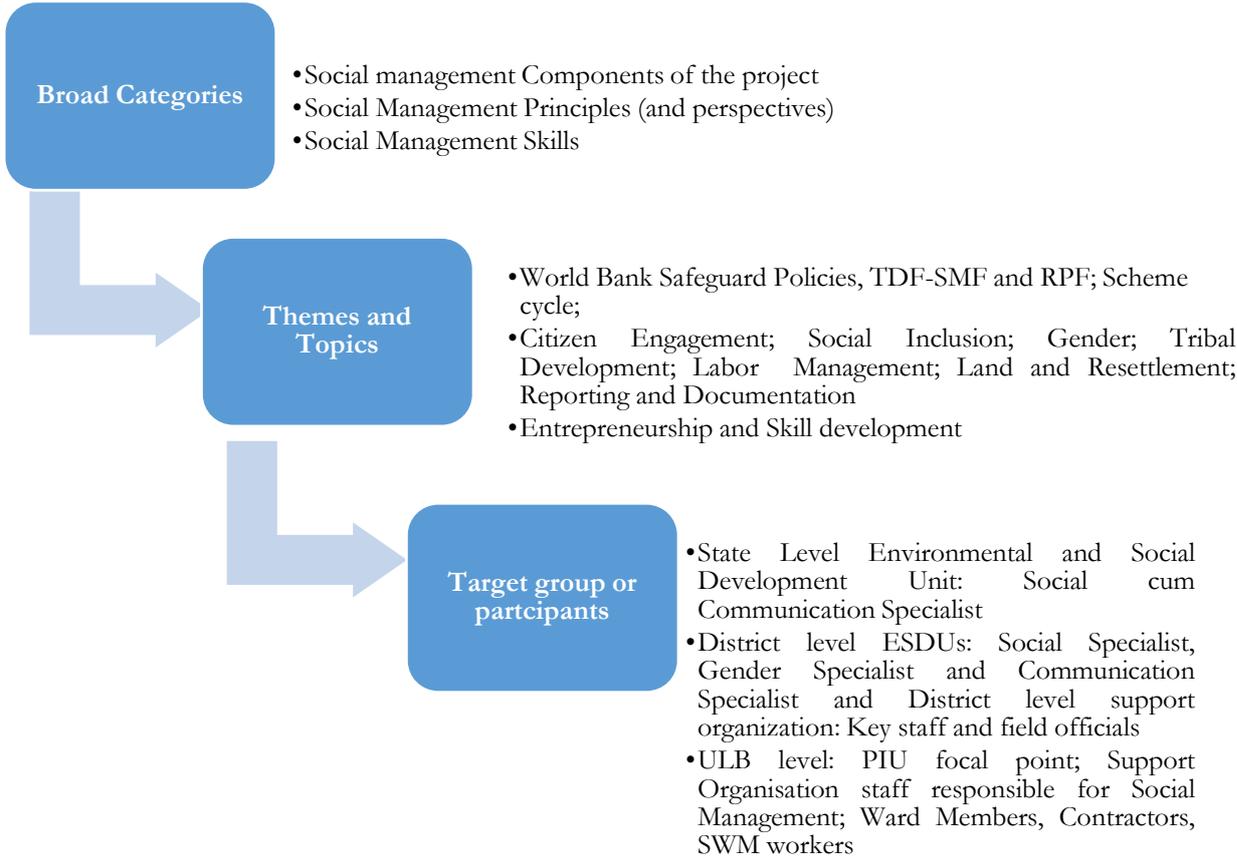


Figure 15: Broad contours of capacity building requirements

12.2.2 Phase-wise capacity requirements

Table 37: Phase-wise Capacity Requirements

Phase	Capacities required
Pre-planning	<ul style="list-style-type: none"> • Social Management Principles and themes • Social Safeguards • Social Baseline
Planning	<ul style="list-style-type: none"> • Participatory Planning <ul style="list-style-type: none"> ○ Facilitation of meetings ○ Effective Communication ○ Use of data for developing inclusive plans • Social Inclusion (inclusion of marginal and women’s voices in the plan)

	<ul style="list-style-type: none"> • Gender responsive budgeting and Actions • Labor Management • Leadership Development • Develop Grievance Redressal (including GBV response) • Develop Social Audit Toolkit • Process Documentation
<i>Implementation</i>	<ul style="list-style-type: none"> • Process of decision making and information sharing for transparency • Transparency in decision making & information sharing • Conflict resolution • Strengthening leadership at local level • Importance of community monitoring • Tools for community monitoring & its facilitation • Conducting community monitoring and following up on social issues emerging from the process • Oversee Grievances Redressal Mechanisms (including GBV response) • Administer Social Audit • Labor rights, security and opportunities • Documentation, success stories, lessons • Entrepreneurship and Skill development
<i>O&M</i>	<ul style="list-style-type: none"> • Closing the feedback loop • Mentorship for site specific support • Peer learning to upscale or replicate good practices • Virtual engagements • Support for entrepreneurship and hands on support for application of skills trainings received

12.2.3 Standards for the Capacity development portfolio

- Training Needs Assessment to be prepared in the first quarter of project Implementation
- Map training facilities, organisations, experts and online resources on key Social Management themes identified
- Team of master trainers to be developed for inhouse training support
- Participatory methodology is effective for adult learners particularly for social themes and issues
- Apart from classroom trainings, exposure visits, peer learning and guided mentorship to be integrated in CB program
- Preparation
- Feedback equally important elements of any training
- Trainings to be used as opportunity for team building, conflict resolution and streamlining processes
- Ensure gauging effectivity of trainings in the field to improve the design and modules
- Develop a CB repository (quantitative and qualitative) for the project integrated with the MIS to review

12.2.4 Overall cycle for a Capacity Development program:

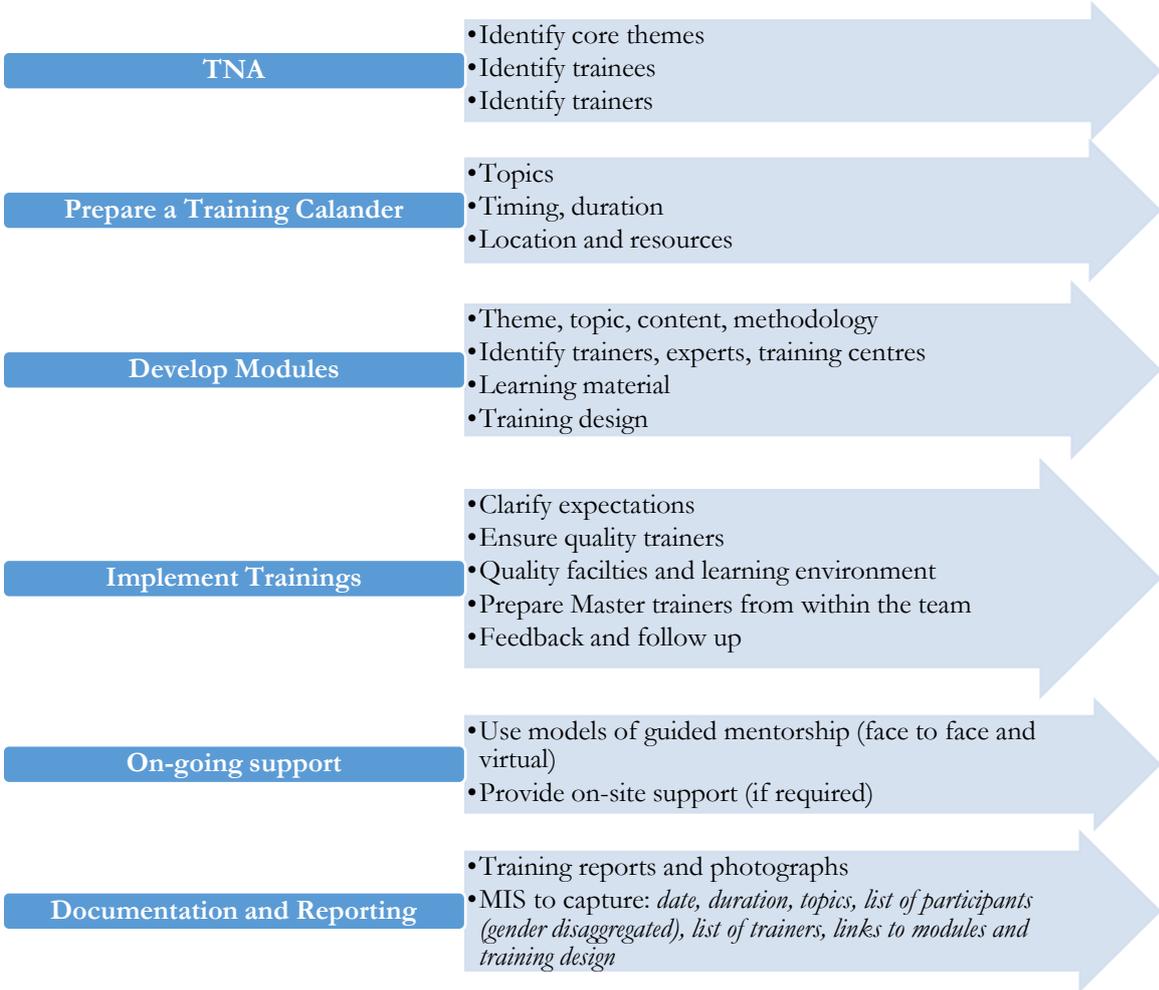


Figure 16: Overall cycle for Capacity Building Program

12.3 Indicative Training Calendar

Indicative list of topics, duration, modality, timelines, and target group can be refined and revised during the project to respond to TNA and feedback received from trainings conducted. The Environmental and Social Development Unit at the State and District level along with the SO and PIU to also plan for Exposure visits, virtual learning, peer learning, and mentorship.

Table 38: Indicative Training Calendar

Topics	Duration/Modality	Timeline	Target group
Role in Social Management Safeguards Compliance TDF-SMF and RPF	Half day Orientation Workshop	Y1, Q1	Project Steering Committee (Committee members), Suchitwa Mission and State Project Management Unit (Senior Staff)

Result indicators – Social			District Coordination Committee (Committee Members) District Project Management Unit (Senior Staff)
Role clarity Safeguards Compliance TDF-SMF and RPF Result indicators - Social Management Baseline Data compilation Scheme Cycle	Full day Orientation Workshop	Y1, Q1	State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff)
Understanding Social Assessment and Screening, SIA, DPR (TDP, RFP)	Two-day workshop	Y1, Q2	District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) 140. ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff)
Importance of Social Baseline database and Social Indicators Use of data for developing inclusive plans	Full day Workshop	Y1, Q2	State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, MIS team) District Level Environmental and Social Development Unit (Social and Communication Expert)
Data template Orientation	Full day Workshop	Y1, Q2	ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff)
Participatory Approaches and Social management Principles	Four-day ToT	Y1, Q3	State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator)
Social Mobilization, Facilitating Participatory Planning, inclusion of marginal and women’s voices in the plan	Two-day Training Workshop	Y1, Q3	ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff) Select Ward Members
Module development, Toolkit development (Participatory planning, social Inclusion, Gender, Social Audit etc.)	Two-day Write shop	Y1, Q4	State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager)
Facilitating Citizen Feedback, Social Audit	Two day Training Workshop	Y2	District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator)
Understanding Outcome Monitoring	Two day	Y2	State Level Environmental and Social Development Unit (Social Development

and Reporting (Review of Social Management database, Activity Reports) Documentation	Training Workshop		Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff)
Leadership development, decision making, conflict resolution	Two day Training Workshop	Y1 and 2	ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff), Select Ward Members, Select SWM workers
Gender Mainstreaming and Orientation on GBV (Project Gender Action Plan and GBV Action Plan)	Two-day Workshop	Y1 and 2	State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator) ULB level Project Implementation Unit (identified Social Focal Point), TSC staff (Social and Communication experts), Support Organization (Deputed staff), Select Ward Members, Select SWM workers All Contracted Agencies and staff (State level PMC, District level TSA, ULB level Contracted Agencies for SWM services, Construction and O&M)
Entrepreneurship Development and other skill building workshops	TBD	As members start demanding	SWM Workers
Social objectives of the Program, Labor compliances	Two-day Workshop	As contractors come on-board	All Contracted Agencies and staff (State level PMC, District level TSA, ULB level Contracted Agencies for SWM services, Construction and O&M)
Competing the Feedback loop (Review Grievances Redressal Mechanisms- including GBV and labor)	TBD	Y2	State Level Environmental and Social Development Unit (Social Development Specialist, Gender Specialist, Communication Specialist, Capacity Development Manager) District Level Environmental and Social Development Unit (Social and Communication Expert), Support Organization (Coordinator)

12.5 Indicators for Monitoring and Reporting of Capacity Development profile

The following components of the Capacity Development portfolio to be documented for regular monitoring and reporting:

- I. Training Needs Assessment conducted as per each stakeholder against the scheme cycle

- II. Resource preparation for all topics identified for trainings: these include training design, methodology, trainers, learning material duly compiled and made available in repository
- III. Logistics: basis for selection of venue, facilities at the venue, information to participants
- IV. Participant group: targeted, number participated, male female ratio, diversity in the participants group, average participant size per training
- V. Feedback and ranking from participants on timeliness of the training, relevance of topic, effectiveness of content, methodology, trainer and learning material. Overall ranking on logistics
- VI. Post training review
- VII. Mentorship and Peer learning: frequency, relevance, mode of communication, actual use in work, suggestions
- VIII. Sample data fields to ensure tracking against TNA and Training calendar:

Topic	Module	Target	Date	Duration	Participants (M/F)	About the trainers	Feedback rating	Link to Report	List and link of learning material
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13. Monitoring and Evaluation

13.1 Introduction

Detailed supervision, monitoring and evaluation of the impact of the project on social outputs and outcomes is critical. The institutional arrangements (at state, district and ULB level) as well as the indicators provided under the SMF-TDF are targeted to ensure what has to be measured, who has to do it, how and by when. A robust, integrated and user-friendly MIS - Safeguards Information Management System (SGIMS) is crucial to ensure regular tracking and institutional memory. This will be updated on a daily basis by PIU and D-ESDU and will be continuously monitored and reviewed by SESDU. SIGMS reports will be sent to the Bank every quarter, so that the Bank could effectively track. Apart from the quarterly monitoring reports, once every year, the SPMU will prepare a report of the social situation in the project districts including data and analysis of relevant parameters. The indicators will include parameters on social inclusion, citizen engagement, enterprise development, land required, livelihood of the vulnerable, labor compliance, GBV and GRM. Thematic monitoring, Annual Environment Audit and Social Audit will be carried out.

13.2 Key responsibilities

- Social Supervision and Monitoring and Evaluation is by SO and D-ESDU at the district and ULB level. The SO will support the D-ESDU and PIU of the ULBs.
- This Social Focal Point of the ULB at PIU will coordinate at field level, with the Support Organisation, Social and Communication Expert at the DPMU and with the TSC. This person will be the one point social contact for all the social safeguards and social development activities at the ULB level. Her responsibility is more of liaising, coordinating and facilitating.
- The SO will prepare and submit field level social safeguards monitoring and compliance report to D-ESDU. The DPMC will scrutinize these, add their own social monitoring reports and that of TSC if any, prepare monthly consolidated Social Safeguards Monitoring Reports and submit these to the D-ESDU. The D-ESDU will scrutinize these before submission to S-ESDU.
- The SPMU will be the focal point for the communication with the Bank on the safeguard's aspects of the program. The PMC will consolidate the monthly safeguards monitoring reports from all districts and prepare quarterly safeguards monitoring reports. Though the safeguards quarterly monitoring reports are prepared by S-PMC, the S-ESDU will be responsible for whetting them before submission to the Bank. The SPMU will submit quarterly Social Safeguards Monitoring reports to The World Bank.
- Independent Safeguards Audit (ISA): Half-yearly Social Audit, of SMF/TDF and RPF implementation by Independent Audit Consultants to be appointed by SPMU.

- Environmental and Social Management Capacity Building of SPMU, DPMUs, PIUs, SOs, including Consultants, Contractors and Community Based Organizations and Community Members.
- SPMU will do field visits to sub-projects to monitor DPMUs' and ULBs' performance.
- The DPMUs will be in charge of implementing the TDF-SMF. The Social Specialists of SPMU and DPMUs will guide and oversee the implementation of the TDF-SMF and RPF at field level. This overall guidance will be provided by them. Further the SPMU will incorporate the provisions of this SMF/TDF and RPF as actionable points in the Project Operations Manual or other similar document for the project. These will be non-negotiable and will have to be followed by all DPMUs and ULBs. The Social Specialists will oversee the application of these provisions and guide the process, while at the same time building the capacity of the ULBs, PIUs and contractors/ implementing agencies.

13.3 Safeguards Supervision

This is basically done by DPMUs. All the sub-projects will be visited at regular intervals by Social Specialists of D-EDSU to check if all safeguard requirements are met and to identify any issues that need to be addressed. The SO will support the DPMUs in this regard. DPMUs would submit monthly progress reports to SPMU on safeguards implementation. Using these reports and field visits the SPMU will monitor safeguards implementation.

13.4 Concurrent Monitoring and Quarterly Reporting

The concurrent internal social monitoring will be done as part of the regular monitoring by the DPMUs, PIUs, and TSC and DPMC consultants. However, DPMU, with the help of in-house Social Specialists will do the regular social monitoring of sub-projects for safeguards compliance with the support of SO. The contractors/ implementing agencies/ supervision consultants will do the regular monitoring of SMF/TDF and RPF implementation of all sub-projects. This is done under the supervision and coordination of the Social Specialists at DPMUs and SPMU.

13.5 Steps to ensure effective Monitoring

- Baseline preparation to have benchmarks for measuring results
- Activity Reporting
- Process review
- Outputs
- Outcomes
- Review, Analysis and Evaluation
- Feedback

13.6 Monitoring Indicators (*indicative list*)

Table 39: Social Indicators for project investments

	Indicators (gender and tribal segregated)
1.	Overall:
	Preparation of Baseline All data disaggregated by gender, class, caste, informal workers, etc.
	Institutional set up for Social management (hiring of specialists and Support organisations)
	Social management integrated in MIS
	Review of existing GRM for service delivery, GBV and labor management
	Number of sub-projects completed without time and cost overruns (Number)
2.	RPF
	Adequacy of entitlements (replacement cost, allowances, income generation grant, etc.) (Number as per Act)
	Time taken for payment of entitlements (Weeks)
	Time taken for land acquisition (Weeks)
	Income patterns (of various type of households including women headed households and other vulnerables) (Increase/ decrease in Income against baseline, %)
	Land holding status (Increase/ decrease in Income against baseline, %)
	Changes in occupations (Increase/ decrease in Income against baseline, %)
	Housing status (area, floor, walls, roof, etc.) (Increase/ decrease in Income against baseline, %)
	Ownership of household assets (Increase/ decrease in Income against baseline, %)
3.	TDP
	Tribals Participation (Number)
	Tribal doing jobs in project (Number)
	Tribals in various committees (Number)
	Livelihood assistance to tribals (Number)
	No. of Tribals owned enterprises/ No. of tribals contractors (Number)
4.	Livelihood assistance to women and other vulnerables
	Income patterns (of various type of households including women headed households and other vulnerables) (Increase/ decrease in Income against baseline, %)
	Land holding status (Increase/ decrease in Income against baseline, %)
	Changes in occupations (Increase/ decrease in Income against baseline, %)
	Housing status (area, floor, walls, roof, etc.) (Increase/ decrease in Income against baseline, %)
	Ownership of household assets (Increase/ decrease in Income against baseline, %)
4.	Citizen Engagement
	Plans and budgets to be available on Project website, hard copy at ULB offices (Number)
	Formation or co-option of Ward level committees (Number)
	Vulnerable representation in committees (as per population) (Number)
	Number of ward level meetings (Number)
	Prior information of meetings, location of meetings (Number)
	Attendance of vulnerable groups in meetings (Number)
	Separate planning or pre-planning meetings with women and different social – economic sub-groups, (youth, tribals) to ensure representation of all interests and needs in the plan (Number)
	Documentation of meetings, MoM made available (hard copy and website) (Number)
	Integrated GRM systems developed/augmented (one time activity)
	GRM includes SWM services, GBV and labor management
	Number of grievances registered and resolved (Number)
	Number of court cases (Number)
	Social Audit Manual and Pilots conducted (Number)
	Social Audit Rolled out (Number)
	Findings of Social Audit used for project review (Number)
	Consumer Surveys conducted (Number)

	Findings of surveys used to review and improve service delivery (Number)
5.	SBCC
	Communication Plan developed for all stages (Number)
	SBCC and IEC material prepared and archived (Number)
	Response of communication medium and message reviewed (Number)
6.	Gender
	Profiling of SWM workers (Number)
	Mapping skill building schemes and resources (Number)
	Number of women received skill upgradation training. (Number)
	Number of women linked to higher SWM value chain activities and entrepreneurial activities; (Number)
	% increase in income women SWM workers accessing other SWM verticals (Number)
	Women Component Plans of ULB: resources leveraged for SWM women workers (increase in budgetary allocation for SWM workers)
	Internal Complaints Committee: Number of Agency requiring an ICC under the project (Number)
	Internal Complaints Committee: Number of Agency that have formed ICC (Finalized ToR; List of Members; Orientation Session and First Meeting) (Number)
	GBV Service provider repository for ULB (Mapping and benchmarking services; Identification of key partners, roles, modalities) (Number)
	GBV Six monthly report on Dissemination material produces, workshops organized, personnel trained, community members sensitized (Number)
	Issues raised by women covered in Plans (Number)
7.	Labour Management
	Responsibility Matrix for Labor Management (Number)
	Developing a Code of Conduct (Number)
	Systematizing the Code of Conduct (Number)
	Aligning Sub-contracting processes (Number)
	Transparency in Contract Specific Terms and Conditions (Number)
	Labor Influx and Construction Labor Management Plan (Number)
	Adherence to contract conditions and standards (housing, sanitation, crèches, use of local labor , equal wages to men and women, avoidance of child labor , etc.) (Number)
8.	Capacity Development
	Training Needs Assessment conducted as per each stakeholder against the scheme cycle (One time activity)
	Resources prepared for all topics identified for trainings (Number)
	Number of trainings conducted (Number)
	Number of personnel trained by program (Number)
	Achievement of learning objectives - Value and use of trainings (Feedback from participants) (Number)

13.7 Frequency and responsibility for Monitoring:

- Monthly by DPMUs
- Annually by SPMU
- Half Yearly by ISA Consultants
- SPMU guiding the collection of information on indicators
- Independent Quarterly Monitoring
- Implementing Agencies/ Contractors
- Independent Safeguards Audit Consultants

13.8 Independent Safeguards Audits

The SPMU will appoint Independent Safeguards Audit Consultants to conduct half-yearly Social Audit of selected sub-projects for compliance with the SMF/TDF and RPF. This Social Audit will be conducted from the second year of project implementation. The sample will be representative. All sub-projects will be selected for ISA each half-year. Each half-year a minimum of 10% of ongoing sub-projects and 20% new sub-projects will need to be sampled for this audit.

14. Budget

14.1 Budget Estimate

The costs related to the implementation of TDF-SMF are worked out in this chapter. The exact costs of land required for the Sub-projects could not be worked out as the areas of land parcels and the locations of these land parcels will only be known after the project DPR is prepared. The cost of consultancies are also worked out approximately. The rates are indicative and for estimation purposes only. The budget estimated for implementing this TDF-SMF is given below:

Table 40: Budget Estimate

S.No.	Particulars	Quantity	Rate in Rs.	Amount in Rs.
1	Social Development Specialist - SPMU	60 PM	2.0 Lakh	1,20,00,000
2	Gender Specialist – SPMU	60 PM	2.0 Lakh	1,20,00,000
3	Communications Specialist – SPMU	60 PM	2.0 Lakh	1,20,00,000
4	Social Development Specialist - SPMU	60 PM	1.5 Lakh	90,00,000
5	Support Organisation Costs	14x5 District Years	11,00,00,000	70,00,00,000
6	SIA Consultants	Lumpsum	Lumpsum	35,00,00,000
7	ISA Consultants	9 Rounds	50,00,000	4,50,00,000
8	Social Capacity Building Costs	5 Years	1,00,00,000	5,00,00,000
9	Communication material Costs	14x5 District Years	10,00,000	10,00,00,000
10	GRM Development Costs	Lumpsum	Lumpsum	10,00,00,000
11	Unforeseen items	Lumpsum	Lumpsum	11,00,00,000
			Total INR 150,00,00,000	
			Total USD 20 Million	

15. Annexures

Annexure 1: Social and Tribal Screening Format

Kerala Urban Solid Waste Management Project Social and Tribal Screening Format

1. General Information

1. Location of the sub-project			
Name of the sub-project			
Category of sub-project	Landfill site/ Processing/Recycling/Treatment		
Name of ULB			
District			
Taluk			
Town municipality/Gram Pachayath			
Proposed Waste Management Site area (in acres)			
GPS coordinate of Waste Management Site	X-	Y-	
Is proposed site a single or multi city facility?	Single / Multi city facility		
Name and Population of city	Name of ULB	Population	Distance from Site
1			
2			
3			
4			
5			
2. Implementing Agency Details			
Name of the Department/Agency			
Name of the designated contact person			
Designation			
Contact Number			
E-mail Id			

2. Screening

Details	Options	Assessment
Is waste management site: 100 meter away from river	YES/NO	
200 meter away from pond	YES/NO	
200 meter away from habitation/settlement	YES/NO	
200 meter away from highways	YES/NO	
200 meter away from Public Parks	YES/NO	
200 meter away from water supply well	YES/NO	
20Km away from Airport or Airbase	YES/NO	
Are there any rag pickers staying within 200 meter to waste management site?	YES/NO	
Are these rag pickers have permanent/temporary houses near the site?	YES/NO	
What is the social category of the people staying within 200 meters to waste management site?	General – SC – ST – BC – Others	

Is there any public utility/facilities (shops, market, slaughter house, etc) within 200 meter to waste management site?	YES/NO	
What is the current usage of the proposed site?		
Was this previously used as waste dumping facility?	YES/NO	
Was the proposed site previously reserved for any other purpose by the government?	YES/NO	
Is there road access to waste management site?	YES/NO	
Does this road enroute have public utilities/facilities within 200 meter?	YES/NO	

3. Schedule Tribes

Details	Options	Assessment
What is the total schedule tribe population in ULB/ ULBs (Census 2011)		
What is the population of ST staying near the waste management site?		
Are there any STs among the PAPs?	YES/NO	
Are there any STs losing land due to the project?	YES/NO	
Are there any STs losing their customary rights on land due to the project	YES/NO	
Are there any STs losing access to livelihoods due to acquisition of government land for the project?	YES/NO	
Are any STs losing livelihoods due to the project?	YES/NO	
Are there any STs among the Ragpickers?	YES/NO	
Are there any STs among the SWM service providers?	YES/NO	
Are there any STs among the NBDW collectors/ processors/ dealers?	YES/NO	

4. Land Requirement

Details	Unit	Quantity	Classification/Category	Present Use and User
Government Land				
Private Land				
Forest Land				
Title Holder				
Non-titleholders (Encroacher)				
Non-titleholders (Squatter)				
People losing livelihoods/ access due to loss of Govt. Lands to Project				

5. Agriculture Land affected

Details	Unit	Quantity
Total Affected	Number	
Title Holders	Number	
Non-titleholders (Encroacher)	Number	
Non-titleholders (Squatter)	Number	
BPL Families losing Agriculture Land	Number	

6. Dwellings (Residential) affected due to sub-project

Details	Unit	Quantity
Title Holders	Number	
Non-titleholders (Encroacher)	Number	
Non-titleholders (Squatter)	Number	
Total Affected	Number	
BPL Families losing Dwellings	Number	

7. Commercial properties

Details	Unit	Quantity
Total Affected	Number	

Title Holders	Number	
Non-titleholders (Encroacher)	Number	
Non-titleholders (Squatter)	Number	
BPL Families losing Commercial Properties	Number	

8. Common Property Resources Affected: (Please give each type by number)

Type	Unit	Quantity
	Number	

1	Total no of HH affected due to proposed project activity (Single or multiple impacts)	Results
2	Total no of vulnerable HH affected due to proposed project activity (Single or multiple impacts)	
3	Total no of ST HH affected due to proposed project activity (Single or multiple impacts)	
4	Total number of Community Property Resources affected	

Transect Walk Map

While filling in this data sheet, the implementing agency should hold a consultation with the local community through the ULB in order to determine the most suitable option, sort out issues of land availability (including forest land), moderate any adverse social impacts and elicit necessary community participation in the programme. For this purpose the implementing agency should organise an informal 'Transect Walk' and **prepare a map (Not to Scale)** of this and attach the same to this data sheet. The following points should be borne in mind while preparing this map.

- The Transect walk shall be undertaken by the Officer filling in this data sheet, accompanied by the Commissioner/Engineer/Health Officer of the ULB/ Ward Member/Pachayat member, Social and Communication specialist, D-ESDU, Support Organisation, and other community members after adequate advance information. The local Forest officials may also be associated if forest land is involved.
- During the Transect Walk, issues relating to land requirements for the access road and waste management site and its impact on landowners, encroachers, squatters, etc. need to be discussed with members of the local community present. Collect all land related revenue records, maps and gazettes for supporting the claims and attach to this report. To this check list attach a typical cross section of the structure at its widest and note the land required.
- Common property resources shall be identified and noted for resolution.
- During the walk, due opportunity shall be given to interested persons to put forward their points of view.
- At the end of the walk and after recording the issues that arose during the walk, the action taken/ proposed to resolve the issues be noted. This shall be recorded by the ULB Commissioner/Engineering/Health Staff and countersigned by the

Chairperson/ Municipality Ward Member/Gram Pachayat Surpanch. A copy of this document shall be attached to the data sheet.

- During or after (as convenient) the Transect Walk, a map (Not To Scale) with the access road and waste management site, ownership of land need to be prepared. Identify all structures, viz., places of worship, schools, hospitals and other common property resources, forest land, etc. and locate on this Transect Walk Map.

To this map attach some (a minimum of four on right side and four on left side and one each at the beginning and ending) photographs showing and highlighting the most critical places.

Social risks and impacts identified:

- 1.
- 2.
- 3.
- 4.

Date:

Place:

Name and Signature of ULB Official and Designation

Name and Signature of Social and Communications Specialist, D-ESDU

Name and Signature of Ward/Pachayat Member:

Name and Signature of Support Organisation Staff:

Annexure 2: GBV Risk Rating

Item Number	P# Here:	P168633							c--TTLS: Fill out the cells in yellow
	Lead Sector:								
	Additional Sector(s), if applicable:								
	Country Name:	India							
	Project Name Here	KUDSP Kerala Urban Service Delivery Project							
	Geographic Area or Description (optional)	Kozhala							
	Name(s) of person(s) filling out form								
Contact point for person filling out form									
Characteristic	Measure	Rating	Numeric Rating	Possible scoring	Low Score	Medium Score	High Score	Notes or Comments from individual(s) completing worksheet	
Section A: Country Context									
Country-level violence background									
1	Prevalence intimate partner violence (select the country then in the "Common Indicators" tab and scroll to "Physical or sexual violence by a husband/partner")	Lower than regional average	Low Risk	0	Higher Risk is having IPV prevalence above regional average per DHS data (see next tab). Lower Risk is having IPV prevalence below the regional average per DHS data (see next tab).	0		0.5	National Average: 28.7 ; regional average: 39.275; Kerala: 14
2	Prevalence of any form of sexual violence (select the country then in the "Complete List" tab and click the "Domestic Violence" tab. Select the "Experience of sexual violence" option, then select "Women who ever experience sexual violence" option)	Lower than regional average	Low Risk	0	Higher Risk is having a sexual violence prevalence above regional average per DHS data (see next tab). Lower Risk is having a sexual violence prevalence below the regional average per DHS data (see next tab).	0		1.0	National Average: 6 ; regional average: 9.55; Kerala: 5
3	Prevalence of child marriage (defined as marriage before exact age 18 annual for women)	Median prevalence (24-36.9)	Medium Risk	0.5	Low prevalence 0-23.9 Medium prevalence 24-36.9 High prevalence 37-100	0	0.5	1.0	National Average: 36.9 ; regional average 36.7; Kerala 21.5
4	State Department Trafficking in Persons report (Tier 1-3, with one low and 3 high risk)	Tier II	Medium Risk	0.25	Higher risk is Tier III and Tier II watch-list Medium risk is Tier II Lower risk is Tier I	0	0.25	0.5	
5	Presence of Peace-keeping mission	No	Low Risk	0	Higher risk is if there is a mission Lower risk is if there is no mission	0		0.5	
Legal context									
6	Laws on domestic violence (click on the "domestic violence" tab, scroll to the given country and in the second column, see the response to "Is there domestic violence legislation?")	Yes	Low Risk	0	Higher Risk is having no laws on this topic Lower Risk is having laws on this topic	0		0.5	Protection of Women from Domestic Violence Act, 2005
7	Laws on marital rape (click on the "marital rape" tab, scroll to the given country and in the first column, see the response to "Does legislation explicitly criminalize marital rape?")	No	High Risk	0.5	Higher Risk is having no laws on this topic Lower Risk is having laws on this topic	0		0.5	
8	Laws on sexual harassment (click on the "sexual harassment" tab, scroll to the given country and in the first column, see the response to "Is there legislation that specifically addresses sexual harassment?")	Yes	Low Risk	0	Higher Risk is having no laws on this topic Lower Risk is having laws on this topic	0		0.5	Sexual Harassment at the Workplace Act, 2013
Gender norms and beliefs									
9	Justification of wife beating (Select Country in "Country" menu, --> click on Indicator box --> Complete List --> Select "Women's Empowerment", category --> Select indicator "Attitude toward wife beating" --> select "Wife-beating justified for at least one specific reason")	Wife beating justified above average	High Risk	0.5	Higher risk is above the regional average Lower risk is below the regional average	0		0.5	Regional: 42.4; National: 44.6; Kerala: 69

10	Help seeking to stop violence (Select Country in "Country" menu -> click on Indicator box -> Complete List->Select "Domestic Violence" category-> Select indicator "Help-seeking to stop violence" -> select "Seeking help to stop violence" or "Told someone about the violence")	Help seeking below average	High Risk	0.5	Higher risk is help seeking <u>below</u> the regional average Lower risk is level of help seeking <u>above</u> the regional average	0		0.5	National Average- 14.3; Kerala: 28; Regional: 19.8
National level capacity to respond to crises/issues									
11	National action plan on Women Peace and Security	No	High Risk	0.5	Lower risk is having a NAP in place Higher risk is not having a NAP in place	0	0.25	0.5	
12	GBV Working Group	No working group	High Risk	0.5	Higher risk is not having a GBV working group in place Medium risk is having a GBV working group with a national coordination level in place or a few sub-national structures in place Lower risk is having a GBV working group with a national and sub-national bodies in place including the project area	0	0.25	0.5	The state has helplines for addressing atrocities and crimes against women with SCIS assistance.
13	National referral pathway protocol? (no =higher risk)	No	High Risk	1	Higher risk is no national referral pathway protocol Lower risk is having a national referral pathway	0	0.25	1	
Section B: Project Context									
14	Is project in a humanitarian area of the country? (Go to Country in the "Countries" sub-> click on Map of the country and view "Maps & Infographics" section and "14days" for latest humanitarian and emergency situation.	No	Low Risk	0	Higher risk is humanitarian or emergency situation in project area Lower risk is no presence of humanitarian or emergency situation in project area	0		2	Floods in Kerala in 2018: 12 of 14 districts worst affected by Kerala floods with 483+ lives lost so far 15 missing. Damage assessments under way. However, an estimate of 50,000 Crores rupees worth lost according to Kerala's Census reports. 221 bridges damaged. More than 10,000 Km of roads damaged.
15	How much infrastructure construction, upgrading or rehabilitation does your project entail? (major = higher risk, medium = medium risk, small amount=lower risk)	Low	Low Risk	0	Higher risk is major rehabilitation and construction Medium risk is moderate rehabilitation and construction Lower risk is low rehabilitation and construction	0	0.5	1	
16	According to the guidance from the labor <u>influx note</u> , rate your project as high, medium or low risk related to the level of labor influx. If there is no labor influx, choose the low risk option. This determination is a self-judgment based on project parameters, using the labor influx note guidelines.	Low	Low Risk	0	Higher risk can be associated with large number of workers, small remote community (low absorption capacity/context with pre-existing social conflicts, high prevalence of GBV, weak law enforcement, presence of specific marginalized, vulnerable, ethnic groups, etc.	0	1	2	
17	During project preparation, consultation was undertaken with women's groups, groups that advocate for children and adolescent rights, and other stakeholders. (Please note consultations should have provided a safe enabling environment for open conversation by women, recognizing that power dynamics in communities often limit women's full participation)	Consultations undertaken	Low Risk	0	Higher risk is no engagement with women's children's and adolescent' rights groups Lower risk is engagement with women's, children's and adolescent' rights groups	0	0.5	1	Proper to Covid lockdown, a survey in 12 Municipalities was conducted where IHH and community level consultations were held. During that issues related to SRM women workers came up- poor working conditions, lack of opportunities to upgrade skills.
18	During community consultations and project appraisal, issues related to GBV and GBV-related concerns about the project have arisen in the community engagement discussions.	Unknown	Medium Risk	1	Higher risk is Yes Lower risk is No	0	1	2	
19	Are military or paid security forces being contracted as part of the project?	No	Low Risk	0	Higher risk is Yes Lower risk is No	0	0.5	1	
20	Poverty in the project area is in bottom quartile of country?	No	Low Risk	0	Higher risk is being in the bottom quartile of poverty Lower risk is not being in the bottom quartile of poverty	0	0.5	1	
21	Project in hard-to-supervise areas? (for instance, very remote or geographically diffuse projects)	No	Low Risk	0	Higher risk is hard-to-supervise areas Lower risk is compact or easily accessed project areas	0		2	
22	Urban, peri-urban or rural?	Urban	Low Risk	0	Higher risk is rural Medium risk is peri-urban Lower risk is urban	0	0.5	1	
23	Project construction near school route or other pedestrian access that women and girls use for their daily activities?	No	Low Risk	0	Higher risk is Yes Lower risk is No	0		1	

24	Project able to monitor GBV and SEA risks across the full span of the work?	Yes	Low Risk	0	Higher risk is No Lower risk is Yes	0	1	2	There is a Gender Action Plan to ensure that inclusion, access and impact on women are planned, implemented and reported. The ICC platform and GRM will help review the systemic gaps (if any) and future course of action will be decided accordingly.
25	Female workers in close proximity to male workers with limited supervision?	Yes	High Risk	1	Higher risk is Yes Lower risk is No	0	0.5	1	SWM workers working on door to door collection, dumpsites.
Total risk assessment rating				6.25				25.0	

[1] To be updated every ten years.

[1] To be updated every ten years.

[2] Global average is 7%. East Africa prevalence 11.46% (WHO 2013) For global and regional estimates of Violence against women see <http://www.who.int/reproductivehealth/publications/violence/9789241564625/en/>

[3] Described as conflict affected community in PAD changes risk to High

[4] This does NOT mean consultations should be undertaken with children themselves, but with rather with experienced advocates for children

[5] Fill in Section C and D if either section A or B result in a high risk rating.

[6] To find national GBV working ask relevant stakeholder such as the ministry of gender, local organizations, women's groups, NGOs or multilaterals that work on GBV like UNFPA, UNWOMEN, UNICEF and WHO.

[7] Services needed by women and girls who have experienced GBV are: Health, Legal/Justice/Police, Psychosocial support, Economic/Livelihood support, Safety/Shelter

[8] Include evidence on what should be included in a Code of Conduct

Should include consultation with the country CMU team, who have the overview of the wider country portfolio and who should know (theoretically) if there is a GBV operation or GBV components in a given project. Usually the Program leads or country CPC should know this

Risk Tier	Score out of 25
Lower risk	0 – 12.25
Moderate risk	12.5-16
Substantial Risk	16.25-18
High Risk	18.25-25

Annexure 3: List of trainings offered by KILA and SIRD

KILA:

- LOCAL GOVERNANCE & MANAGEMENT
 - TQM-ISO 9001:2015
 - Diploma in Local Governance (DLG)
 - Management Development Programmes (MDP)
 - Supervisory Management Programme
 - Soft Skills of Secretaries
 - Leadership Training to Chairpersons
 - Public Administration
 - MP/MLA-LSGI Interface
 - Legislators' Role on Local Governance
 - Concurrent Decentralised Training
- e-GOVERNANCE
 - Fundamentals of Computer for Elected Representatives
 - Fundamentals of Computer for Officials
 - Computer Malayalam Software for Elected Representatives
 - Computer Malayalam Software for Officials
 - Paperless Office-Soochika Software
 - Double Entry Accounting-Saankya Software
 - Double Entry Accounting-Saankya Software-Refresher Training
 - IKM Softwares
- FINANCE MANAGEMENT
 - Finance Management for Standing Committee
 - Finance Management-Refresher Training
- NATURAL RESOURCE MANAGEMENT
 - Bio-Diversity
 - Watershed based Development
- URBAN GOVERNANCE
 - Orientation Training for Standing Committee on Health
 - Orientation Training for Standing Committee on Works
 - Orientation Training for Standing Committee on Education, Arts, etc.
 - Training on Urban Infrastructure Finance
 - Training on Urban infrastructure Development
 - Training on Waste Management
 - Training on Water Supply
 - Training on Sanitation
 - Training on Housing
 - Training for Standing Committee on Urban Planning
 - Training for Standing Committee on Tax Appeal
 - Training for Officials
- LOCAL PLANNING & DEVELOPMENT
 - Project Management for Officials
 - Development Standing Committee

- Panchayat to Panchayat-State
- Panchayat to Panchayat-Inter-State
- Rapid Appraisal of Plans
- Health & Education Plan-Standing Committee
- Project Clinic for Innovations
- SOCIAL ACCOUNTABILITY & CITIZENS GOVERNANCE
 - Accountable Governance
 - RTI
 - Strengthening Grama Sabha
 - Training on Sevagram- Grama Kendra
 - Orientation for Media & Political Leaders, Civil Society Organisation
 - Local Governance Interface
- MARGINALISED GROUPS
 - Tribal Sub-Plan (TSP)
 - Scheduled Caste Sub-Plan (SCSP)
 - Development of Traditional Fisher People
- WOMEN AND CHILD DEVELOPMENT
 - Leadership training for Women Elected Representatives
 - Training for the Working Group Members of Women & Child Development
 - Training on Child friendly Local Governance
 - Training for Members of Jagrata Samiti
- WELFARE MANAGEMENT
 - Training for Members of Social Security Working Group
 - Palliative Care Management
 - Welfare Plan for Standing Committees
 - Consortium of Welfare Standing Committee Chairpersons
 - Local Government Policy formulation in the welfare sector
 - Training for Oorumitra
 - Training on Central and State Sponsored Schemes
- TRAINING OF TRAINERS (ToT)
 - Training of Trainers by KILA
 - Trainings by DoPT

SIRD:

- Planning & Implementation of Rural Development projects
- Training Programme for capacity building of Block Panchayath Functionaries.
- Computerised Information System for Rural Development
- Training Programme on Empowerment of Women/ Gender Issues.
- Rural Entrepreneurship Development Programme.
- Management development programme.
- Technology support services for Rural Development.
- Integrated Watershed Development in relation to Rural Development programmes.
- Role of Voluntary Organisations in Rural Development.

- Rural Credit.
- Participatory Rural Appraisal & Rapid Rural Appraisal.
- Consumer Protection.
- Performance Audit.
- Disaster Management.
- Training Skills and Methodology for Extension Training Centres.
- Foundation Course for Block Development Officers.
- Multilevel planning.

Annexure 4: Baseline of 87 Municipalities

S No	District	Municipality	No of HH	HH Size	Sex Ratio	Population			Schedule Caste	Schedule Tribe			Literacy			Work Force		
						Total	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	
1	Thiruvananthapuram	Attingal	9768	3.8	1196	37346	17009	20337	4057	48	23	25	32758	14919	17839	11670	8170	3500
2		Neyyattinkara	18176	3.9	1053	70850	34513	36337	7772	131	70	61	60559	29947	30612	24095	18583	5512
3		Nedumangad	15576	3.9	1073	60161	29016	31145	5752	263	132	131	50824	24975	25849	21480	16142	5338
4		Varkala	9498	4.2	1187	40048	18312	21736	5885	134	69	65	33282	15318	17964	13166	9273	3893
5	Kollam	Karunagappally	6310	4.0	1073	25336	12219	13117	2235	82	41	41	21754	10661	11093	7968	6151	1817
6		Paravoor	9074	4.1	1207	37245	16874	20371	4528	52	23	29	30967	14183	16784	10383	7917	2466
7		Punalur	12606	3.7	1119	46702	22039	24663	4054	356	165	191	39976	19150	20826	15025	11544	3481
8		Kottarakkara	7669	3.9	1116	29788	14075	15713	4234	78	45	33	26252	12460	13792	9875	6749	3126
9	Alappuzha	Alappuzha	57415	4.2	1070	240991	116439	124552	5610	669	312	357	209201	101927	107274	85265	62283	22982
10		Chengannur	6278	3.7	1146	23466	10933	12533	2588	75	32	43	21299	9932	11367	7262	5165	2097
11		Cherthala	11416	4.0	1065	45827	22192	23635	1530	112	57	55	40594	19819	20775	19972	12473	7499
12		Kayamkulam	16392	4.2	1094	68634	32784	35850	4477	137	75	62	58519	28269	30250	22088	17125	4963
13		Mavelikkara	7184	3.7	1189	26421	12070	14351	3776	27	15	12	23621	10785	12836	8013	5626	2387
14		Haripad	4137	3.8	1147	15588	7262	8326	1137	42	20	22	13829	6451	7378	5482	3650	1832
15	Pathanamthitta	Adoor	7911	3.7	1123	29171	13741	15430	3621	38	13	25	25772	12212	13560	8323	6305	2018
16		Pathanamthitta	9813	3.8	1116	37538	17744	19794	3292	131	61	70	32910	15605	17305	12253	8922	3331
17		Thiruvalla	13952	3.8	1131	52883	24817	28066	4488	237	115	122	47768	22376	25392	16303	11574	4729
18		Pandalam	5905	3.8	1145	22635	10551	12084	4199	55	28	27	20058	9372	10686	7331	5155	2176
19	Idukki	Thodupuzha	12604	4.1	1036	52045	25563	26482	2146	572	260	312	44799	22239	22560	17739	13447	4292
20		Kattappana	10419	4.1	1016	42646	21159	21487	2585	524	251	273	36418	18221	18197	18330	12196	6134
21	Kottayam	Kottayam	14366	3.9	1075	55374	26687	28687	3726	172	67	105	49592	23970	25622	19739	14282	5457
22		Palai	5280	4.2	1048	22056	10768	11288	626	79	42	37	19897	9698	10199	8213	5813	2400
23		Vaikom	6068	3.8	1055	23234	11304	11930	1820	109	53	56	20750	10205	10545	9158	6212	2946
24		Changanassery	11792	4.0	1087	47685	22854	24831	3718	78	44	34	42222	20277	21945	15699	11435	4264

25		Erattupetta	7686	4.5	983	34814	17555	17259	423	202	103	99	28963	14862	14101	11273	9554	1719	
26		Ettumanoor	6638	4.1	1034	26993	13273	13720	1475	126	69	57	23967	11819	12148	9709	7135	2574	
27	Ernakulam	Aluva	5641	4.0	1033	22428	11031	11397	835	90	38	52	20208	9975	10233	7798	5541	2257	
28		Angamaly	8405	4.0	1022	33465	16547	16918	1419	68	35	33	29498	14737	14761	12606	9000	3606	
29		Kalamassery	17844	4.0	1011	71038	35331	35707	5630	384	190	194	60922	30796	30126	26454	19393	7061	
30		Kothamangalam	9663	4.0	1041	38837	19029	19808	2340	125	56	69	33986	16843	17143	14675	10535	4140	
31		Muvattupuzha	7414	4.1	1025	30397	15010	15387	1588	139	79	60	26385	13108	13277	10756	8080	2676	
32		Paravur	8095	3.9	1092	31503	15060	16443	1577	117	49	68	28005	13451	14554	10560	7909	2651	
33		Maradu	11065	4.0	1016	44704	22176	22528	3939	261	132	129	39565	19835	19730	16903	12678	4225	
34		Perumbavoor	7103	4.0	1041	28110	13775	14335	2365	26	12	14	24292	12065	12227	9816	7297	2519	
35		North Thrikkaripur	3771	4.8	1166	18210	8409	9801	990	17	9	8	14970	7089	7881	5556	3967	1589	
36		Thrippunithura	18096	3.8	1046	69390	33918	35472	6547	166	88	78	62255	30548	31707	27700	19061	8639	
37		Eloor	7901	4.0	1023	31468	15557	15911	3433	290	149	141	27682	13838	13844	11490	8560	2930	
38		Pirayiri	8944	4.6	1041	41359	20265	21094	4216	42	21	21	33305	16861	16444	14509	11272	3237	
39		Koothattukulam	4470	3.9	1058	17253	8384	8869	1029	130	58	72	15366	7537	7829	7074	4843	2231	
40		Thrissur	Chalakudy	12567	3.9	1086	49525	23744	25781	3401	77	40	37	43615	20954	22661	17588	12797	4791
41			Chavakkad	8269	4.7	1201	39098	17762	21336	825	58	27	31	32454	14706	17748	10445	8226	2219
42	Guruvayoor		5273	3.9	1133	20510	9614	10896	438	52	31	21	17953	8384	9569	6205	4615	1590	
43	Irinjalakuda		7461	3.9	1141	28741	13425	15316	2834	46	20	26	25861	12060	13801	9034	6459	2575	
44	Kodungallur		8508	4.0	1112	33935	16069	17866	3083	40	18	22	29449	14130	15319	12987	9180	3807	
45	Kunnamkulam		13156	4.1	1129	54071	25392	28679	6419	77	33	44	47473	22233	25240	18171	13428	4743	
46	Wadakkanchery		3818	4.1	1077	15674	7547	8127	1563	8	3	5	13197	6457	6740	5669	4059	1610	
47	Ottappalam		12484	4.3	1121	53792	25359	28433	4765	89	45	44	45486	21725	23761	17700	13125	4575	
48	Palakkad	Palakkad	31176	4.2	1052	130955	63833	67122	10068	213	131	82	111537	55619	55918	45696	34988	10708	
49		Shoranur	10420	4.2	1097	43533	20757	22776	7423	88	45	43	37700	18243	19457	14655	10901	3754	
50		Chittur-Thathamangalam	7974	4.1	1062	32298	15665	16633	3837	30	18	12	26406	13354	13052	12918	8865	4053	
51		Pattambi	5897	4.9	1038	28632	14049	14583	3471	37	20	17	23888	11855	12033	8561	7220	1341	
52		Cherpulacherry	7538	4.6	1103	34899	16591	18308	3907	69	33	36	29204	13948	15256	10954	8543	2411	
53		Mannar	4564	3.7	1169	17067	7869	9198	1691	37	20	17	15120	7032	8088	5456	3890	1566	

54		Mannarkad-I	7371	4.7	1091	34839	16658	18181	3147	298	142	156	28303	13788	14515	10990	8533	2457
55	Malappuram	Malappuram	13324	5.1	1066	68127	32974	35153	3319	58	33	25	56346	27385	28961	17029	14490	2539
56		Manjeri	19386	5.0	1059	97102	47171	49931	8257	264	130	134	79893	39077	40816	26101	22142	3959
57		Kottakkal	8488	5.2	1122	44382	20911	23471	1171	113	58	55	36023	16962	19061	10745	9188	1557
58		Nilambur	10223	4.5	1083	46366	22262	24104	3470	945	443	502	38742	18873	19869	13566	10706	2860
59		Perinthalmanna	10287	4.8	1112	49723	23542	26181	5175	103	50	53	41252	19618	21634	13978	11313	2665
60		Ponnani	15816	5.7	1123	90491	42627	47864	5202	196	103	93	70714	34140	36574	22813	20270	2543
61		Tirur	10559	5.3	1131	56058	26308	29750	2717	128	71	57	46711	21904	24807	13594	11702	1892
62		Parappanangadi	6027	5.8	1069	35243	17035	18208	818	42	24	18	27921	13761	14160	9214	8326	888
63		Kattipparuthi /Valancherry	7684	5.2	1077	40318	19407	20911	3342	111	53	58	33024	16015	17009	10482	9029	1453
64		Tirurangadi	9829	5.8	1099	56632	26975	29657	1338	68	25	43	45302	22008	23294	13073	11868	1205
65		Tanalur	8844	5.4	1109	47976	22743	25233	1489	97	50	47	38970	18644	20326	11464	10166	1298
66		Kondotty	5436	5.3	1051	28794	14036	14758	3139	37	16	21	23469	11626	11843	7291	6143	1148
67		Kozhikkodu	Quilandy	16197	4.4	1138	71873	33620	38253	4550	80	35	45	61610	29198	32412	21430	17625
68	Vadakara		15787	4.8	1119	75295	35531	39764	1190	196	94	102	64016	30615	33401	21544	18062	3482
69	Payyoli		5324	4.4	1141	23576	11013	12563	1473	32	19	13	19905	9445	10460	6051	5176	875
70	Mukkom		NA	-	-	40670	-	-	-	-	-	-	-	-	-	-	-	-
71	Koduvally		6723	4.6	1081	30787	14792	15995	1446	270	134	136	24999	12229	12770	7771	6784	987
72	Ramanattukara		7755	4.6	1045	35937	17574	18363	3605	38	20	18	30529	15081	15448	10875	8892	1983
73	Feroke		6716	4.8	1060	32122	15596	16526	2710	47	24	23	27014	13259	13755	9281	7898	1383
74	Wayanad	Kalpetta	7519	4.2	1051	31580	15401	16179	2200	3228	1465	1763	25515	12769	12746	12043	8528	3515
74		Mananthavady	8183	4.2	1051	34663	16899	17764	1535	3855	1858	1997	28340	14122	14218	13598	9402	4196
75		Sulthanbathery	5515	4.2	1052	23333	11370	11963	793	1288	597	691	19130	9502	9628	9148	6332	2816
76	Kannur	Koothuparamba	6465	4.6	1202	29619	13454	16165	402	108	48	60	25651	11670	13981	9656	7086	2570
77		Mattannur	9788	4.8	1078	47078	22658	24420	945	132	69	63	39499	19438	20061	17303	12518	4785
78		Payyannur	16996	4.2	1159	72111	33405	38706	4018	153	80	73	61019	28804	32215	25485	17531	7954
79		Thalassery	19577	4.7	1180	92558	42461	50097	2096	267	124	143	81320	37029	44291	26876	21362	5514
80		Taliparamba	15874	4.6	1145	72465	33779	38686	2814	152	69	83	60914	28775	32139	21314	16599	4715

81		Anthoor	NA	-	-	36290	-	-	-	-	-	-	-	-	-	-	-	-
82		Panoor	3590	4.9	1226	17438	7834	9604	139	60	30	30	14493	6497	7996	4491	3584	907
83		Iritty	7881	4.5	1120	35676	16830	18846	-	-	-	-	-	-	-	-	-	-
84		Sreekandapuram	4122	4.3	1091	17630	8433	9197	952	38	18	20	14679	7230	7449	5835	4502	1333
85	Kasaragod	Kasaragod	10202	5.3	1058	54172	26319	27853	1543	166	82	84	44478	21818	22660	17429	13147	4282
86		Kanhangad	16174	4.5	1125	73342	34518	38824	1707	754	374	380	60314	28959	31355	25238	17751	7487
87		Nileshwar	5376	4.6	1179	24787	11378	13409	950	57	29	28	20362	9606	10756	7589	5433	2156

Source; Census 2011