Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 09-Feb-2017 | Report No: PIDISDSA21371

BASIC INFORMATION

A. Basic Project Data

Country	Project ID	Project Name	Parent Project ID (if any)
Mexico	P160309	Mexico Higher Education Project	

Region	Estimated Appraisal Date	Estimated Board Date	Practice Area (Lead)
LATIN AMERICA AND CARIBBEAN	20-Jan-2017	16-Mar-2017	Education

Lending Instrument	Borrower(s)	Implementing Agency	
Investment Project Financing	Ministry of Finance and Public Credit (Secretaria de Hacienda y Credito Publico, SHCP)	Secretaria de Educación Pública	

Proposed Development Objective(s)

Strengthen the institutional capacity for innovative teaching, collaborative applied research, and internal quality assurance across participating public higher education institutions.

Components

Development and Implementation of Innovative Teaching Practices in Teacher Training Colleges
Strengthening Collaborative Applied Research and Innovative Teaching across Higher Education Institutions
Strengthening of Higher Education Indicators and Quality Assurance Models

Financing (in USD Million)

Financing Source	Amount
International Bank for Reconstruction and Development	130.00
Total Project Cost	**130.00**

Environmental Assessment Category

B - Partial Assessment

Decision

The review did authorize the preparation to continue

Note to Task Teams: End of system generated content, document is editable from here.

Other Decision (as needed)

B. Introduction and Context

Country Context

1. **Mexico is a middle-income country with a per capita GDP of US$9,010 (2015), facing significant challenges to growth and development.** After the 2008-09 global financial crisis, Mexico's economy rebounded quickly, reaching an average growth rate of 4.4% (2010-12). However, recent growth has been lower than expected, registering real GDP growth of 2.6% (2015). Importantly, scarce skilled labor and its impact on slow adoption of new technologies is also seen as important factors for slow productivity growth.

2. **Implementation of an ambitious structural reform agenda introduced by the current administration has the potential to raise productivity and unleash growth in the medium term while reducing poverty and income inequality**. A main priority for growth and development emphasized in both the reform process and the Mexico's National Development Plan (NDP) is improving the quality of education at all levels, and reducing access and achievement gaps between rich and poor to increase relevant skills in order to spur long-term equitable growth.

3. **Education is a key driver of growth.** Studies show that a 10% increase in the quality of human capital is associated with a GDP increase of 0.87% (OECD, 2009). Mexico is one of the countries with the greatest growth potential in GDP to be gained from improvements in its education system. It is estimated that the impact on economic growth of improving educational quality in Mexico would be almost double that observed in other countries (OECD, 2009). The critical challenge is to create human capacity with the relevant skills necessary to innovate and help solve local and national challenges.

Sectoral and Institutional Context

4. **Mexico's Public HE system is composed of a diverse range of sub-systems with differing levels of specialization, autonomy and access.** These sub-systems include: (i) the largely autonomous Public University sub-system (Public Federal Universities, Public State Universities, Public State Universities with Solidarity Support, and Inter-Cultural Universities) offering degrees in a wide range of subjects; (ii) the highly-specialized Public Teacher Training sub-system (Teacher Training Colleges) offering university-type degree programs for all types and levels of teacher training; (iii) Public Technological Education sub-system (Technological Universities, Polytechnic Universities, and Federal and Decentralized Technological Institutes) offering university and two-year degrees in engineering and applied sciences; and (iv) the Public National Pedagogical University sub-system. Across all sub-systems, HEIs face significant challenges in achieving high quality and equity.

5. **Yet, Mexican HEIs acknowledge the importance of overcoming these challenges and further contributing to social and economic development. In that regards, The Mexico Education Reform aims to increase the quality of education and underscores the role of the Teacher Training sub-system, its colleges and its**

teachers. The Education Reform[1], one of the most important reforms in the country's recent history, focuses on three major changes: (i) the creation of the National Teacher Service (SPD), including new measures related to hiring, evaluating, training, and promoting of teachers; (ii) the establishment of an autonomous National Institute for Education Evaluation (INEE); and (iii) the creation of a management and operations system for educational institutions.

6. **Improvement in the quality and relevance of teacher education in both Teacher Training Colleges and Universities requires new classroom practices, improved content, and an improved strategy to share new ideas across the system and SEP is adapting its institutional capacity support to Teacher Training Colleges in line with the National Education Reform**. SEP is prioritizing and allocating its funding for Teacher Training Colleges based on a set of quality indicators, including participation in Academic Research Groups (CA), achievement of successful results by their graduates in the national teacher selection process, improvements in classroom practices, and accreditation of programs. The instrument used to allocate budget is the Plan to Support the Quality of Education and the Transformation of Teacher Training Colleges (PACTEN). Additionally, in its efforts to strengthen Teacher Training Colleges, SEP will reform teaching practices and curricula in these Colleges to be aligned with the new education model for Basic and Upper Secondary Education.

7. **Translating collaborative research knowledge into education innovations in the classroom can lead to improvements in teaching practices and human capital more generally.** Innovations are broadly defined as the development and implementation of new solutions to existing problems. While not the only form of innovation, integration of information and communication technologies (ICT), including digital or virtual laboratories, is often used as a proxy for a country's ability to apply new solutions to education challenges. Mexico is one of the few LAC countries (8 out of 31) that still has not implemented nation-wide strategies to integrate ICT in all HEIs and has the lowest percentage (2%) of basic education teachers trained to teach using ICT facilities (UNESCO-UIS, 2012). A greater supply of education innovations in digital forms based on new research knowledge could increase relevance, quality and access to content and courses in HE, potentially increasing equal opportunities to those who have to date not participated in HE. Furthermore, increased research collaboration across HEIs would provide opportunities for more effective sharing of knowledge, improving both quality and equity across the HE system.

8. **The HE System requires improved quality assurance and robust indicators to coordinate and monitor the variety of types of institutions financed by the Government**. Under the umbrella of the Education System, a large number of government and non-government bodies are responsible for the planning, monitoring and evaluation of Mexico's multifaceted HE System. Moreover, the range of development of internal (at the institutional level) quality assurance systems is very large between institutions and between sub-systems.

C. Proposed Development Objective(s)

Note to Task Teams: The PDO has been pre-populated from the datasheet for the first time for your convenience. Please keep it up to date whenever it is changed in the datasheet.

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[1] Which began phased implementation in 2015.

Development Objective(s) (From PAD)

Strengthen the capacity for innovative teaching, collaborative applied research, and internal quality assurance across participating Public Higher Education Institutions.

Key Results

1. Number of Teacher Training Colleges with at least one Community of Practice that implements and documents an educational innovation.
2. Number of courses that are designed or redesigned to incorporate education innovations as a result of the research of Academic Alliances supported by the Project.
3. Percentage of Academic Alliance projects that achieve their annual goals.
4. Number of participating Higher Education Institutions that have incorporated the quality indicators developed through the Project in their internal quality assurance model.

D. Project Description

9. **Component 1: Strengthening Innovative Teaching Practices in Teacher Training Colleges (US$6 million):** The objective of the component is to strengthen innovative pedagogical practices that improve learning outcomes and to promote engagement and collaboration between teachers in Teacher Training Colleges and Public State Universities through the design, implementation, monitoring and systematic evaluation of communities of practice (CoP).

10. **Component 2: Strengthening Collaborative Applied Research and Innovative Teaching across Higher Education Institutions (US$120 million):** The objective of the component is to strengthen collaborative applied research and innovative teaching across academic research groups and promote the formation of long-lasting cutting-edge academic alliances among public HEIs.

11. **Component 3: Strengthening of Indicators and Quality Assurance for Continuous Institutional Improvement (US$4 million):** The objective of the component is to improve the internal quality assurance indicators and systems of participating HEI's in support of continuous improvement and to conduct impact and process evaluations of the Project.

E. Implementation

Institutional and Implementation Arrangements

12. **The General Directorate of University Higher Education (DGESU), General Directorate of Higher Education for Education Professionals (DGESPE), and the Office of the Sub-Secretariat of Higher Education within SEP would implement the Project**. DGESU and DGESPE would jointly coordinate Component 1 through establishment of a Coordination Committee, DGESU would coordinate Components 2 and 3, and the Office of the Sub-Secretariat of Higher Education would implement the impact evaluation in component 3. Project activities would be carried out by State HEIs in compliance with the agreements with SEP.

13. **Components will be implemented as follows**: For component 1, a joint Coordination Committee would be formed to organize, monitor and evaluate activities. The Committee would be led by the General Directors

of DGESPE and DGESU and be composed of 3 staff members from each office (for a total of 8) who would be responsible for the design, implementation, monitoring and evaluation of CoPs. Component 2 would be managed by DGESU as part of their ongoing management of the 3 programs from which funding for component 2 would be reallocated – PRODEP, PFCE, and ProExoEES. Component 3 would be managed by DGESU.

14. *Nacional Financiera*, **S.N.C, I.B.D. (***NAFIN***) would act as the financial agent for the Borrower,** managing loan disbursements and overseeing and supporting project implementation.

F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)

The Secretariat of Public Education (Secretaría de Educación Pública, SEP), through the Sub-secretariat of Higher Education (Subsecretaría de Educación Superior, SES), would issue a number of calls for proposals, inviting Higher Education Institutions to submit applications to participate in a 4 year program. The Project therefore will be implemented in the regions in which the beneficiary higher education institutions are located. The risks and potential impacts on the environment for this Project are considered low and only related with the procurement of informatics and communication technological equipment needed for the implementation of component 2. The adaptation of physical infrastructure involved in each participating institution might have some impact on the environment (adaptation refers mainly to ICT infrastructure for connectivity and access to computers – refitting rooms to allow air conditioning, cabling, projectors, etc.). Due to these circumstances, operational policy 4.01 Environmental Assessment was instituted. Since the execution of each proposal would be independent, an Environmental Management Plan was instituted as a safeguard instrument, focused on the proper handling of electronic waste and other waste generated during the infrastructure adaptation. The EMP includes, conservation, reuse, recycling and adequate disposal of Special Management Waste. The guidelines and national legal framework are established through the General Law for the Prevention and Management of Waste and NOM- 161 SEMARNAT-2011. Similarly, it is expected that Intercultural universities and Teacher Training Colleges with indigenous populations will participate. The IPPF is designed to foster communication about the Project in these communities and monitor their participation.

G. Environmental and Social Safeguards Specialists on the Team

Dora Patricia Andrade,Francisco Peyret Garcia

SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	This project is rated as Category B. Operational Policy OP/BP 4.01 Environmental Assessment is triggered and the project will only develop an Environmental Management Plan EMP, focused on the proper handling of electronic waste and other waste generated during the infrastructure adaptation, which includes, conservation, reuse, recycling and adequate disposal of Special Management Waste. The EPM would incorporate mechanisms for monitoring and recording, consultation with stakeholders and the grievance mechanism, which are essential for compliance with the OP. These activities only involve procuring and replacing equipment necessary for the implementation of the activities that would be defined by each participating alliance of institutions (universities or schools that participate in the call for proposals). Replacement or obsolescence of equipment that would generate electronic waste and require special handling would be observed in accordance with the national law. In 2010 SEMARNAT conducted a very complete assessment of the status of e-waste in Mexico and has updated the General Law for the Prevention and Management of e-Waste as well as developed an official policy guide for e-waste management (NOM-161 SEMARNAT-2011). The application of this safeguard instrument would be included in the operational manual. The universities benefiting from the Project will report on the status of any e-waste disposal in their reports to SEP.
Natural Habitats OP/BP 4.04	No	This policy is not triggered given that the Project will not support interventions near o in reserves or natural habitats.
Forests OP/BP 4.36	No	This policy is not triggered given that the Project will not support interventions in forest

Pest Management OP 4.09	No	This policy is not triggered given that the Project will not support acquisition or use of pesticides.
Physical Cultural Resources OP/BP 4.11	No	This policy is not triggered given that the Project will not affect physical cultural resources
Indigenous Peoples OP/BP 4.10	Yes	Indigenous Peoples OP/BP 4.10, the Borrower, through the General Coordination of Intercultural and Bilingual Education (CGEIB), would be responsible for implementing the measures related to this policy. The Project would develop a communication strategy to raise awareness of the Project and the call for proposals for Components 1, 2 and 3. An objective of the communication strategy would be to increase the participation of Intercultural Universities, of whose student population come from rural and indigenous communities. To inform the strategy, the borrower will conduct a rapid survey of capacity and readiness for institutions to participate in the Project. The borrower undertook a rapid social assessment to inform the IPPF in coordination with the General Coordination of Intercultural and Bilingual Education (CGEIB) that coordinates Intercultural Universities in the country. A regulatory framework was included in the IPPF and no gaps between OP 4.10 and existing framework were identified. The application of this safeguard instrument would be included in the operational manual. A consultation process for the IPPF took place with each of the Directors of the major sub-systems in the country which include the public state universities (includes the intercultural universities); the teacher training colleges; the technical institutes; and the pedagogical universities. The IPPF was also shared for comments with the Comisión Nacional para el Desarrollo de los Pueblos Indígenas (CDI).
Involuntary Resettlement OP/BP 4.12	No	This policy is not triggered given that the Project will not represent a risk in terms of population resettlements or access to natural resources.
Safety of Dams OP/BP 4.37	No	This policy is not triggered given that the Project will not support the construction or rehabilitation of dams nor will support other investments which rely on the services of existing dams
Projects on International Waterways OP/BP 7.50	No	This policy should not be triggered because the proposed Project will not affect International waterways.

Projects in Disputed Areas OP/BP 7.60	No	This policy should not be triggered because the proposed Project will not affect disputed areas as defined under the policy.

KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:
There is no significant or irreversible impacts related with the Project.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:
There is no indirect potential impact caused by the Project. The mitigation measures comply with local Mexican law.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.
N/A

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.
The Borrower, through the General Direction of Higher Education Studies (DGESU) and General Directorate of Higher Education for Education Professionals (Dirección General de Educacion Superior para Profesionales de la Educación, DGESPE) will be responsible for the development and implementation of Safeguard Policies. The environmental risk is considered Low. Due to these circumstances, operational policy 4.01 Environmental Assessment would be instituted. Since the execution of each proposal would be independent, an Environmental Management Plan would be instituted as a safeguard instrument, focused on the proper handling of electronic waste and other waste generated during the infrastructure adaptation. The EMP includes, conservation, reuse, recycling and adequate disposal of Special Management Waste. The EMP follows the guidelines and national legal framework that is already established through the General Law for the Prevention and Management of Waste and NOM- 161 SEMARNAT-2011.

The social risk is also low, Physical Cultural Resources OP/BP 4.11 and Involuntary Resettlement OP/BP 4.12 do not apply for this Project. Indigenous Peoples OP/BP 4.10 is triggered and an IPPF focusing on a communications strategy for the Intercultural University system and monitoring of their participation has been prepared by the Borrower. As part of the analysis and to establish a baseline, DGESU will implement a rapid assessment survey to determine the extent to which intercultural universities require additional support and capacity building in preparation of proposals and participation in the Project.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.
The main beneficiaries of the Project will be State Higher Education Institutions, professors at State Higher Education Institutions, students at State Higher Education Institutions, students at Upper Secondary Education Institutions and their families, public and private employers, and the general public. The EMP has been developed in compliance with national regulations on e-waste management, the dissemination process has taken place with the staff of the directorates of the SEP.

The Borrower disseminated the IPPF and EMP in DGESU website and among SEP Directors responsible for the various higher education sub-systems and indigenous peoples organizations in the country.   The Borrower disseminated the IPPF and EMP in DGESU website on January 19, 2017 and consulted with SEP Directors responsible for the various higher education sub-systems and indigenous people's organizations in the country prior to disclosure. The IPPF was subsequently updated and redisclosed on February 8, 2017 -- see Link: http://www.dgesu.ses.sep.gob.mx/Indice.htm#Span4

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other

Date of receipt by the Bank	Date of submission to InfoShop	For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors
17-Jan-2017	18-Jan-2017	

"In country" Disclosure

Mexico
19-Jan-2017

Comments

The Borrower disseminated the IPPF and EMP in DGESU website on January 19, 2017 and consulted with SEP Directors responsible for the various higher education sub-systems and indigenous people's organizations in the country prior to disclosure. The IPPF was subsequently updated and re-disclosed on February 8, 2017 -- see Link: http://www.dgesu.ses.sep.gob.mx/Indice.htm#Span4

Indigenous Peoples Development Plan/Framework

Date of receipt by the Bank	Date of submission to InfoShop
17-Jan-2017	18-Jan-2017

"In country" Disclosure

Mexico
19-Jan-2017

Comments

The IPPF was subsequently updated and re-disclosed on DGESU website on February 8, 2017 -- see Link: http://www.dgesu.ses.sep.gob.mx/Indice.htm#Span4

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?
Yes

If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?
Yes

Are the cost and the accountabilities for the EMP incorporated in the credit/loan?
Yes

OP/BP 4.10 - Indigenous Peoples

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?
Yes

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?
Yes

If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Practice Manager?
NA

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank's Infoshop?
Yes

Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?
Yes

All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?
Yes

Have costs related to safeguard policy measures been included in the project cost?
Yes

Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?
Yes

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?
Yes

CONTACT POINT

World Bank

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APPROVAL

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| Country Director: | Jutta Ursula Kern | 09-Feb-2017 |