IPP745

Final draft

Social Management Framework
For
Higher Education Reform Project
Nepal

July, 2014
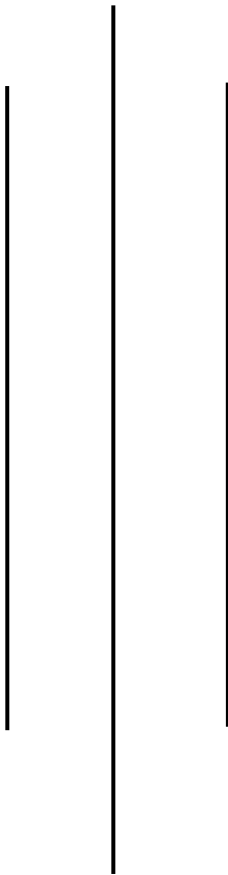
LIST OF ACRONYMS

AFU:	Agriculture and Forestry University
BTQ:	Bottom two quintals
AMA:	Autonomous Medical Academies
CBO:	Community Base Organization
CEDAW:	Convention on the Elimination of all forms of Discrimination Against Women
FWU:	Far -Western University
GAD:	Gender Approach to Development
GoN:	Government of Nepal
HERP:	Higher Education Reform Project
ILO:	International Labor Organization
IP:	Indigenous People
KU:	Kathmandu University
LBU:	Lumbini Bauddha University
MOE:	Ministry of Education
MWU:	Mid-Western University
NEFIN:	Nepal Federation of Indigenous Nationalities
NGO:	Non-governmental Organization
NLSS:	Nepal Living Standard Survey
NSU:	Nepal Sanskrit University
OLS:	Ordinary Least Square
PokU:	Pokhara University
PU:	Purbanchal University
SFAFDB:	Student Financial Assistance Fund Development Board
SFAS:	Student Financial Assistance Service
SHEP:	Second Higher Education Project
SIA:	Social Impact Assessment
SMF:	Social Management Framework
TU:	Tribhuvan University
VCDF:	Vulnerable Community Development Framework
UGC:	University Grants Commission
VC:	Vulnerable Community
VDC:	Village Development Committee

EXECUTIVE SUMMARY

1. The main objective of the Social Management Framework (SMF) for the Higher Education Reform Project (HERP) is to formulate appropriate social safeguard principles and provide technical guidelines to identify impacts, prepare safeguard plans, and mitigate adverse impacts that are likely to arise from the implementation of HERP activities financed by World Bank.

2. The SMF is prepared based on the review of available relevant social policies of the Government of Nepal along with the World Bank's safeguard policies. It also includes a review of HERP documents and those from the Second Higher Education Project (SHEP), broader literature relating to higher education sector in Nepal, and information collected during consultation with different stakeholders.

3. The SMF includes baseline information relating to HERP. Presently, higher education in Nepal comprises 9 Universities and 4 autonomous medical academies. These universities comprise 96, 429 and 751 constituent, community and private campuses, respectively; with a total number of 569,665 students of whom 270,806 are female. The SMF discusses the potential social impacts and lists out both the positive as well as adverse effects, along with possible mitigation measures. HERP does not envisage any major civil works hence, OP 4.12 on Involuntary Resettlement has not been triggered but since the project will be implemented across the country, OP 4.10 on Indigenous People may be applicable.

4. The public consultation framework in the SMF has been designed to ensure free, prior and informed consultation with different groups of vulnerable people to ensure their participation in HERP project. In particular, a central, national and local level consultation framework has been envisaged.

5. HERP has an in-built design to generate positive social impacts, especially in terms of enhancing equitable access to higher education. 'Equity' is one of the key result areas under the reforms component of the project and the identification of individual students will be done through the Proxy Means Testing (PMT) approach. In addition, a Vulnerable Community Development Framework (VCDF) and a Gender Development Plan has been prepared as part of the SMF to ensure that project benefits to IPs, women and other vulnerable communities is maximized while any potential adverse effects are mitigated. At sub project level, a VCDP will be prepared and disclosed, if required.

6. Finally, the SMF includes details on grievance redress mechanism, monitoring and evaluation procedures, information disclosure, and capacity building.

कार्यकारी सारांश

१. उच्च शिक्छया सुधार परियोजना लागु गर्दा समाजका बिपन्न बर्गमा पर्ने असरहरु र तिनिहरुको सुरक्छणका निमित निर्देशित शिद्धान्तहरु प्रतिपादन गर्नु सामाजिक ब्यबस्थापन कार्ययोजनाको उदेश्य रहेकोछ।

२. नेपाल सरकारका बियमान सामाजिक निति नियमहरु र बिश्वबैंकको सामाजिक सुरक्छेण निति र उच्च शिक्छया सुधार परिअयोजनाका बिभिन्न प्रतिबेदनहरुको समिक्छयाको आधार्मा सामाजिक ब्यबस्थापन कार्ययोजनाको तयारी गरिएको हो। यसका साथै सरोकारवाला ब्यक्तिहरुसंगको अन्तर्कृयाको आधार्मा यसलाइ मूर्तरुप दिइएकोछ।

३. उच्च शिक्छया सुधार परिअयोजना लागु हुने ९ वटा बिश्बबिद्यालयहरु छन। यि बिश्वबिद्यालयहरुम ९६ वटा आंगिक, ४२९ वटा सामुदायिक र ७५१ वटा निजी क्याम्पसहरु रहेकाछन। यि सबै क्याम्पसहरुमा करिब ६ लाख बिद्यार्थिहरुले अध्ययन गर्दछन जस्मा करिब ३ लाख बिद्यार्थि महिला रहेकाछन।

४. बिपन्न बर्गका मानिसहरुको Free, prior र informed परामर्शका लागि गरिने भेटघाट (अन्तरकृया) का निमित एउटा कार्ययोजना बनाइएकोछ। यस प्रकारको परामर्शका लागि गरिने भेटघाट केन्द्रियस्तर, छेत्रियस्तर र सथानीय स्तरमा सम्भाबना हुने कुरा उल्लेख गरिएकोछ।

५. उच्च शिक्छया सुधार परिअयोजनाको निमित तैयार पारिएको सामाजिक ब्यबस्थापन कार्ययोजनाले बिपन्न बर्गमा पार्न सक्ने दुबै सकारात्मक र नकारात्मक प्रभावहरु पहिचान गरी तिनिहरुको सुचि बनाइएकोछ। नकारात्मक प्रभाबहरुको निराकरणका निमित अबलम्बन गरिने उपायहरुको पहिचान गरिएकोछ।

६. सामाजिक ब्यबस्थापन कार्ययोजनाले बिपन्न बर्गको पहिचान गर्नका लागि बिपन्न बर्ग को हुन भनेर परिभाषित गरेको छ। उच्च शिक्छया सुधार परियोजनाका लक्छित बर्ग यीनै बिपन्न बर्गका उच्च शिक्छयाहासिल गर्न आएका बिद्यार्थि हुन भन्नेकुराको पहचान गरिएकोछ।

७. सामाजिक ब्यबस्थापन कार्ययोजनामा उच्च शिक्छया सुधार परियोजनाले प्रोत्साहन गर्ने बिपन्न बर्गका बिद्यार्थिहरुको पहिचान PMT प्रबिधिबाट गरिन्छ। यसका अतिरिक्त बिपन्न बर्गको बिकास सम्बन्धि कार्ययोजना, महिला बिकास कार्ययोजनाका साथै तिनिहरुको बिकासका निमित अबलम्बन गरिनु पर्ने सम्भाबित निति तथा कार्यनितिहरुको पहिचान गरी प्रस्तुत गरिएकोछ।

८. अन्तमा उच्च शिक्छया सुधार परियोजनाले बिपन्न बर्गका लागि योजना तर्जुमा, डिजाइन र कार्यान्वयन गर्न गराउन अबश्यक पर्ने मानब संसाधनको बिकास, ब्यबस्थापनका निमित आबश्यक निर्देशित सिद्धान्तहरु, सिकायतका निमित स्थापना गरिने संगठनो ढाचा का साथे अनुगमन मूल्यांकनकाको ढाचा र परियोजना सम्बन्धि बिबरण तयार गरी सम्बन्धित निकायमा प्रेषित गर्ने कुराहुलाइ समेटीएकोछ।

CHAPTER 1: GENERAL INTRODUCTION

1.1 Project Development Objectives and Project Components

The Higher Education Reform Project (HERP) would support reforms for improving quality, relevance, equity and efficiency of the higher education system in Nepal. The Bank support would use Investment Project Financing (IPF) through a Disbursements Linked Indicators (DLI) approach with a possibility of Program for Results financing in a follow-on operation. Disbursements would be linked to achievements of yearly/six-monthly benchmarks in pre-defined measurable and verifiable indicators. The project would support selected universities and institutions that meet certain eligibility criteria and agree to undertake time-bound reforms. In order to enhance equitable access to higher education, it would also provide for poverty targeted scholarship support to meritorious, disadvantaged students (especially, dalits and female). The Project would comprise of two components, the first one supporting the implementation of critical reforms in the Government program and the second one focusing on technical assistance and project management to build system capacity.

Component 1: Implementation of Reforms:
1. To achieve its development objective, HERP would focus on the following four results areas: (a) Systemic/Institutional Reforms; (b) Academic Reforms and Relevance; (c) Equity; and (d) Academic Excellence and Research.

(a) Results Area 1: Systemic/Institutional Reforms:
These would include major reforms for: (i) more effective public funding, (ii) institutionalization of the national accreditation system; (iii) greater institutional autonomy and decentralization; and (iv) strengthening of the examination system. Some details are indicated below:

(i) More effective public funding: Public institutions are funded on a cost-sharing basis, with government funding support for teachers, staff, student scholarships/tuition-fee waiver, based on headcounts and other annual operating costs. HERP would support the Government plan for increasingly linking public funding to outcome measures on quality, relevance, equity and performance.
(ii) Institutionalization of the national accreditation system: HERP would support the Government plan for establishing an independent National Accreditation Board outside of UGC, expanding the accreditation system and bringing most higher education institutions within this framework.
(iii) Greater institutional autonomy and decentralization: Tribhuvan University with 383,000 students and over 900 campuses (in 2012) is one of largest universities in the world. With its highly centralized structure, it faces acute management challenges. Decentralization of 49 of its 60 constituent campuses with significant administrative and financial autonomy has helped to keep them and TU better managed. HERP would support TU's plans for further decentralization and autonomy of selected major campuses (including affiliated campuses) and faculties.
(iv) Strengthening of the Examination System: A major issue affecting the majority of students has been TU's failure in maintaining an academic calendar, in particular a calendar of examinations. Examinations for major programs, covering over 900 campuses spread all over Nepal, are centrally administered by the Office of the Controller of Examinations (OCE). Examinations and declaration of results are often delayed by months. The current system is not helping to make teaching-learning effective. HERP would support TU's plans for decentralizing and modernizing the examination system, streamlining processes, and enhancing OCE's capacity and efficiency.

This results area (Systemic/ Institutional Reforms) would be supported through the following DLIs (which will be further elaborated during preparation):

DLI 1 – National Accreditation system established and functioning
DLI 2 - Performance based financing extended to universities and institutions
DLI 3 - Decentralization and autonomy extended to additional campuses and faculties
DLI 4 - Examination reforms implemented

(b) Results Area 2: Academic Reforms and Relevance:
Nepali universities now offer about 350 bachelors/masters level programs. However, most of the professional programs have limited intake and are confined to major campuses/ institutions. Nearly 70% of students are enrolled in basic programs in humanities, education and management with little employment prospects. The Higher Education Policy emphasizes the need for expanding/ introducing market oriented programs relevant to national development. HERP would support academic reforms across all participating universities and campuses with a focus on: (a) better learning outcomes in all programs; and (b) expansion of programs in priority areas including science and technology. This would include: (i) curricula revisions/ consolidation of existing programs, which have not been reviewed for more than 4 years, with an emphasis on project/field work, hands-on learning, and communication skills; and (ii) introduction/ expansion of market relevant academic programs. It would also include recruitment/ training of teachers, publication/ acquisition of learning materials, and procurement of necessary laboratory equipment/computers. This results area would be supported through the following DLI:

DLI 5 - Academic reforms introduced: Percentage of targeted under-graduate and post-graduate programs revised and new programs introduced.

(c) Results Area 3: Equity:
Due to several socio-economic factors, higher education is largely catering to students from the higher consumption quintiles. The HE policy declares that (i) access to higher education shall be open for all on the basis of individual aptitudes and merit, and (ii) measures would be taken to ensure equity in terms of gender, and inclusion of *dalits*, disadvantaged ethnic groups, economically deprived groups and regionally disadvantaged groups. HERP would support the Government's program of enhancing equity by focusing on poverty targeting with preferential treatment for girls and dalits. This results area would be supported through the following DLI:

DLI 6 - Poverty targeted financial support for disadvantaged students

(d) Results Area 4: Academic Excellence and Research
The focus of many universities has been on undergraduate education. With the lack of attention to research as an integral part of higher education, quality of teaching-learning process has suffered. HERP would introduce competitive funding for quality research and innovation with a focus on priority areas. In order to enhance the research environment, it would also provide support for library and network expansion. Teaching and learning will be integrated with knowledge generation, which would also be facilitated through global and national networking and university partnerships. This results area would be supported through the following DLI:

DLI 7 – Institutions supported for academic excellence in priority areas through Research, Development and Innovation (RDI) awards.

Component 2: Technical Assistance and Project Management:

The project would include a technical assistance component to finance the necessary inputs required to achieve the above-stated results as well as to enhance the capacity to support project implementation, conduct third party validations, undertake studies and surveys, and strengthen monitoring and evaluation.

This component would also include necessary provisions for effective project implementation and monitoring. With this funding, UGC supported by TU and SFAFDB for their parts of the project, will ensure compliance with applicable agreements, guidelines, and fiduciary and safeguard requirements by all beneficiary institutions and grant recipients.

Need and Scope of Social Management Framework for HERP

Given the varied nature of investments under this project, and lack of information on the specific locations where the project will be implemented (due to the ex-post selection criteria envisaged under the project), the Social Management Framework is required to ensure compliance with the Government of Nepal (GoN)'s policies as well as World Bank's safeguard policies. The SMF outlines measures that will be developed by the project in the event that the implementation of the project in a specific area triggers one of the Bank's safeguards policies.

1.3 Objectives and Components of SMF

1.3.1   Objectives of SMF

Purpose and Objective(s) of the SMF

The main purpose for preparing the SMF is to formulate appropriate social safeguard principles and provide technical guidelines to identify impacts, prepare safeguard plans, and mitigate adverse impacts that are likely to arise from the activities financed by this project during implementation. The SMF spells out the potential social impacts during the planning, design, implementation and operation of the HERP projects and outlines the management measures required for an effective addressal of the same. Appropriate institutional arrangements towards implementing the measures proposed under the SMF and capacity building efforts required are detailed in the framework. The adoption of this framework will help ensure that the project meets the national as well as local level social requirements while also being consistent with the relevant safeguards policies and provisions of the World Bank.

The specific objectives of the SMF are to:

1. Present findings from the rapid assessment of social issues related to higher education sector in Nepal and the specific interventions that HERP seeks to make, highlighting in particular the potential positive and negative impacts of the project;

2. Review policy and acts/ regulations of Nepal and the World Bank in order to identify applicable provisions in the proposed project and suggest ways to fill gaps, if any, between Nepal and World Bank requirements;

3. Assess the capacity of institutions involved in the project, including the roles and responsibilities, and offer guidelines for capacity development to address any gaps; and

4. Develop a framework, the Social Management Framework, that incorporates measures for addressing vulnerable groups' and gender concerns in the project while also presenting

mechanism for information disclosure, consultations, monitoring and evaluation, grievance redress, etc. during project implementation.

1.3.2 Development of SMF

The (sub) project activities proposed during project pre-feasibility study were analyzed along with inputs from review of literature, stakeholder's consultations and field visits to assess the potential social impacts (both positive and negative) of the project. The SMF spells out strategies and principles for the identification of project affected individuals, families, communities, investigate the potential social impacts and issues related to these, and suggest appropriate measures to avoid/minimize and manage any potential adverse impact resulting from the implementation of the project.

CHAPTER 2: METHODOLOGY

The methodology adopted for the preparation of the SMF includes: review of relevant social policies, acts, regulations and guidelines of GoN, social safeguard policies of World Bank, project documents related to SHEP and HERP, and interactions and consultations with all concern stakeholders. An institutional assessment of the University Grants Commission (UGC), Tribhuvan University (TU) and Student Financial Assistance Fund Development Board (SFAFDB) was carried out to assess the capacity of these institutions to implement the SMF.

2.1 Desk Study

The review of literature mainly concentrated on similar studies related to social and environmental assessments for higher education projects in Nepal, existing policies, legislation and guidelines related to the social management issues HERP, and WB's policies and guidelines related to social safeguards. Similarly, available published literature, study reports (e.g. pre-feasibility study, institutional assessment and the political Economy Studies) and other such documents related to the project have also been reviewed and documented.

2.2 Consultations with Stakeholders and Observations

a) Central Level Stakeholders

Consultations with central level stakeholders (UGC, WB, Dalit organizations, Indigenous peoples' organizations, Women organizations) were conducted to solicit inputs into the overall design, project components and corresponding activities of the program. The consultations were mainly focused on institutional, human resources and past experiences of social management practices of these organizations in terms of education policies and vulnerable community development plans. The consultation also assessed the institutional capacity of UGC/Universities to implement and monitor the compliance of social safeguard measures reflected in the SMF.

Consultation meetings were conducted after giving a prior notice and written letter to the participants. The purposes of these discussions were:

- To provide information relating to the main (sub) project structures and project related activities;
- To clarify the objective of the SMF development for HERP and its procedures;
- To discuss the potential impacts of the project on the social, socio-economic and cultural domains relating to the project;
- To collect information related to socio-economic and cultural environments of the potential project areas;
- To collect general and broad opinions, perceptions and attitudes of the people towards HERP;
- To solicit opinion of the local people on the alternative mitigation measures to abate, or avoid the potential impacts
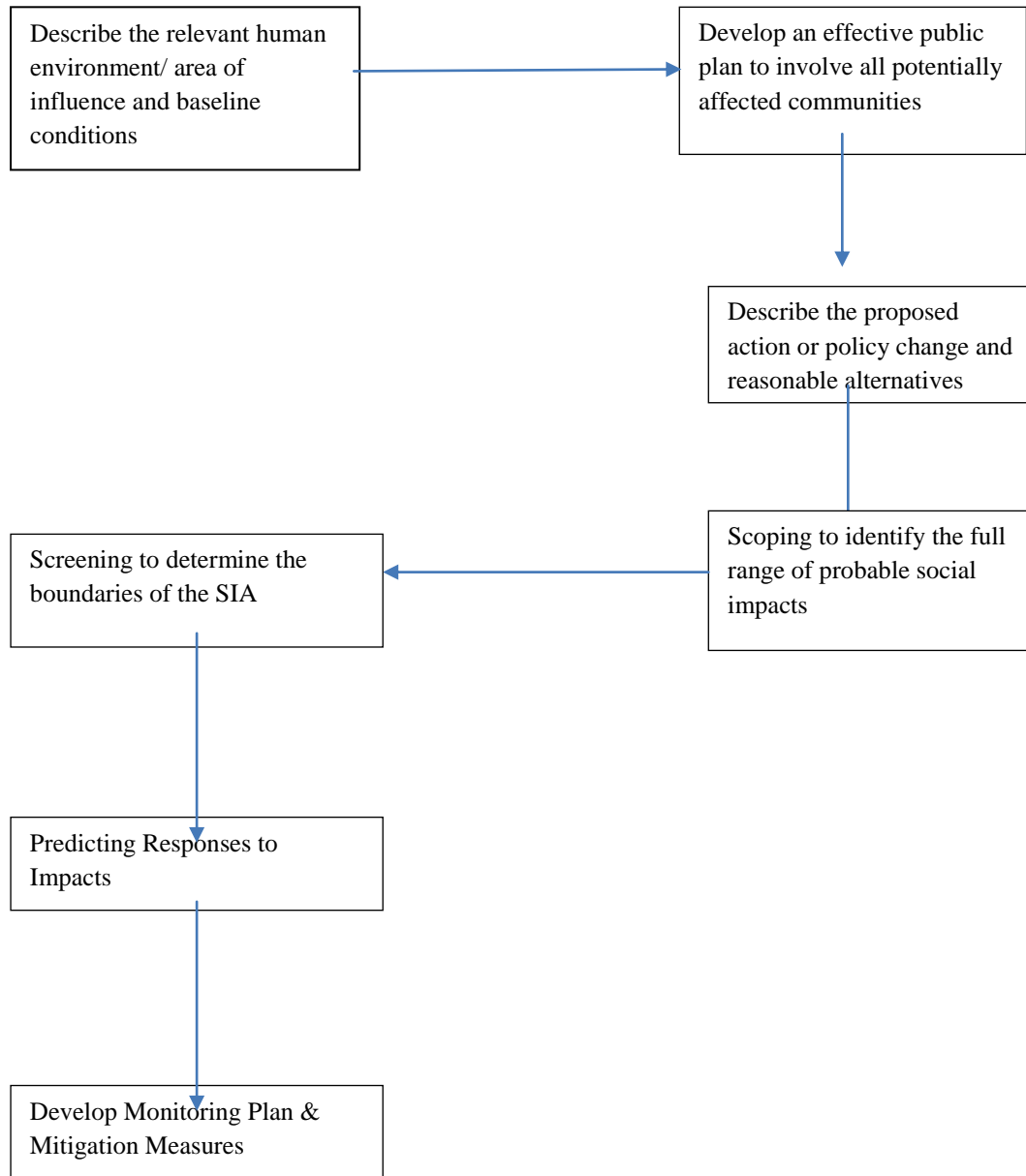
b). Field Observation

The consultant carried out observation tours to all priority project sites to understand the ground reality and obtain supplementary information about different socio-economic and cultural issues in the various areas where the universities/campuses and other institutions that could potentially benefit from the project are located.

c). Debriefing Workshop

The consultant debriefed the preliminary findings of the stakeholder consultations with members of the UGC and representatives of the World Bank. The comments and suggestions gathered during the debriefing have been incorporated into the SMF report.

2.3 Stages in Social Impact Assessment

Describe the relevant human environment/ area of influence and baseline conditions	→	Develop an effective public plan to involve all potentially affected communities

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Describe the relevant human        →        Develop an effective public
environment/ area of                        plan to involve all potentially
influence and baseline                      affected communities
conditions                                         │
                                                   ↓
                                            Describe the proposed
                                            action or policy change and
                                            reasonable alternatives
                                                   │
                                                   ↓
Screening to determine the    ←        Scoping to identify the full
boundaries of the SIA                  range of probable social
      │                                impacts
      ↓
Predicting Responses to
Impacts
      │
      ↓
Develop Monitoring Plan &
Mitigation Measures
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CHAPTER 3: POLICIES, REGULATIONS AND GUIDELINES RELATING TO SOCIAL ISSUES

3.1 Background

The government of Nepal has formulated various policies and enacted a number of laws in order to protect and safeguard the rights of vulnerable people. Among them, relevant and appropriate laws, policies, acts and regulations relating to HERP are presented in Table 1 presented below.

Table 1: Legislative Framework of Nepal and their Applicability to HERP

Policy/plans/guidelines /act/regulations	Salient features	Applicability
The Interim Constitution of Nepal 2007	The interim constitution has provisioned in Article 13(3) to provide positive discrimination to the people of marginalized groups such as women, Dalits, Madhesis, indigenous people, disabled, peasants and laborers. It has also introduced measures to improve social justice, institutional proportional inclusion, of Madhesis, Dalits, Janajati/Adivasi (indigenous people), and women in all organs of the state, and provided for setting up the necessary commissions to safeguard the rights of these communities. In terms of Adivasi/Janajati, the Constitution commits the government for the protection and development of indigenous people. For the welfare of IPs (Adivasi/Janajatis), the government set up a National Committee for the Development of Nationalities in 1997. The parliament passed a bill in 2002 for the formation of National Foundation for the Development of Indigenous Nationalities(NFDIN).	Yes- It has mentioned the need to adopt a policy of positive discrimination towards marginalized groups and also introduced measures to improve social justice.
An approach paper of thirteenth plan (2013-15)	1) Dalit and Indigenous people (i) provide judicious access to employment opportunities, (ii) access to represent in governance system, (iii) access to basic services (iv) programs to uplift the economic and social status, (v) programs to empower and provide social security, (vi) protection, promotion and advancement of the traditional skills, languages, and cultures , (vii) organizational strengthening (viii) A trilingual policy for school-level education, and (ix) mobilization of local people to counter the negative impacts of climate change on public life. 2) Women i) protection and promotion of economic, social and political rights, ii) 33% representation/participation in state structure iii) adaptation of gender responsive technique in all the stages of project formulation procedure to safeguard employment opportunities for women and respond to their particular needs, iv) institutionalization of gender responsive budget system, v) Prioritization of ownership and control over financial and other resources, vi) prevention and control of all forms of violence and discrimination against and exploitation and exclusion, vii) targeted programs will be carried out to empower and build the capacity of all deprived particularly the women and girls of the Badi, *kamlari*, *kamaiya*, Chepang, Raute, and Gandharva communities, viii) strengthen the economic and social status of single women and widows, ix) launching	Yes. If indigenous people and Dalits are found within and near the vicinity of the proposed project sites. Also, as a measure to ensure that these groups are able to benefit from the higher education reforms envisaged under the project Yes- Targeted programs will be carried out to empower and build the capacity of all women, particularly from the deprived groups Yes. Proxy Means Testing (PMT) approach will be

	programs to minimize the violence against women with disabilities. 3) Poor i) provide productive employment ii) adoption of labor intensive techniques, iii) formulation and enforcement of minimum employment guarantee scheme, iv) balance use of natural resources for poverty alleviation, v) execution of unemployed youth friendly programs to build capacity, promote employment and generate income, vi) implementation of effective coordination for poverty alleviation programs undertaken by different agencies, vii) launch programs targeting both urban and rural poor, viii) issue poverty cards to the identified poor.	adopted to identify poor students for financial assistance
Civil Service Act 2007	The Civil Service Act (2007) has introduced a reservation policy for women, Dalits, Madhesis, Adivasis/Janajatis, persons with disabilities, and people from backward regions. The policy has provisions to reserve 45% of seats to individuals from these groups.	Yes- According to this act, MOE is responsible for its enforcement in coordination with the Ministry of General Administration.
Local Self Governance Act, 1999	For the purpose of giving more power to local bodies, the Local Self Governance Act was promulgated. Among others, it aims to promote, preserve and protect the language, culture, religion and welfare of indigenous groups. Further, it also seeks to institutionalize the process of development by enhancing the participation of all people including the ethnic communities, indigenous people and down-trodden as well as socially and economically backward groups in bringing out social equality by mobilizing and allocating means for the development of their own region in a balanced and equitable manner. In addition to this, NFDIN helped to establish Adivasi/Janajati District Coordination Committees to enable them to influence at the district level decisions over the local distribution of public resources. The provisions for Village Council also mention that at least six persons, including one woman from amongst those social workers socially and economically backward tribes and ethnic communities, down-trodden and indigenous people living within the village development area.	Yes- it aims to promote, preserve and protect the language, culture, religion and welfare of indigenous groups and aims to provide social equality.
The Education Act (Seventh Amendment, 2001) and Regulations (2002)	These laws and regulations have emphasized representation of women in important school management and education management committees, and arranged for scholarships for girls and students from Dalit and other underprivileged ethnic groups below the poverty line. Additionally, they include special provisions with regard to women in education. More specifically, the Education Act, 2001, seeks to include representation of women teachers in District Education Committees, women representatives in Village Education Committees and School Management Committees. There is provisioning of scholarships for girls and students from Dalit and other unprivileged ethnic groups below the poverty line. Scholarship provisions for	Yes- The Education Act and the Regulations have emphasized the representation of women in school management committees and other education management bodies, and arranged for scholarships for girls and students from Dalit and other underprivileged ethnic groups below the poverty line and merit-

	Dalits and children from other deprived communities extend to lower secondary and secondary levels. Provision for merit based scholarship in all grades and the same to 5% of the poor disabled, Dalit, female and ethnic minority students of private schools is the main feature of Education Regulations 2002.	based scholarships though these provisions are focused primarily at primary, secondary and higher secondary levels.
Right to Information Act, 2064 (2007)	In order to make the functions of the government transparent under democratic system of governance, information plays a very important role. Accordingly, the Right to Information Act has been enacted to allow Nepali citizens access to information on the functioning of any 'public body' in order to make governance and policy-making more transparent and accountable. More specifically, Clause 3 of the Act ensures the right to information to all the nationals of Nepal, Clause 7 describes the procedure for acquiring information, Clause 4 of the same describes the responsibility of the public bodies to disseminate information. In doing so, the Act mentions that public bodies may use different national languages and mass media while publishing, broadcasting or making information public.	Yes-It ensures the right and access to information to all citizens.
Good Governance Act, 2008 (2064)	For the purpose of making public administration pro-people accountable, transparent, inclusive and participatory, Good Governance Act was promulgated in 2008. Clause 25 (1) of the Act mentions that every government office responsible for delivering public service will maintain a citizen's charter. Clause 28 (1) spells out that the Government of Nepal may arrange for the provision of operating any project or program with direct participation and ownership of the people. Clause 30 of the Act has a provision for public hearing and mentions that the Chief office-holder at regional, zonal, district and local level involved in delivery of service, shall conduct public hearing as prescribed, with the purpose of making the activities of the office fair, transparent, and objective and addressing the lawful concerns of general people and stakeholders.	Yes- The Good Governance Act will be important in implementing the reforms grants of the project, and also to guide the technical assistance component of the project, including enhancing the capacity to support project implementation, conduct third party validations, undertake studies and surveys, and strengthen monitoring and evaluation.
Labor Act, 1992	This Act classifies those persons younger than 15 years as children and those between the ages of 15 and 18 as ''Nabalik' or child. The Act specifies that working hours for Nabalik and women must be between 6 a.m. and 6 p.m. and prohibits night working hours for women. Regular work hours for other employees must not exceed 8 hours in a day and 48 hours in week. For work conducted beyond that period, over time allowances must be paid at the rate of 150% of the normal hourly wages, not to exceed 4 hours each day.The Act also states that the policy of equal opportunity shallbe adopted while providing opportunities to women and men.	Yes- It protects the right of men and women to equal opportunity in employment and limits the working hours for women and children.
National Youth Policy 2010	The National Youth Policy has adopted various measures for youth development, including: i) promotion of	Yes-It aims to launch programs relating to

	entrepreneurship among youths between age 16-24 through education and capacity building; ii) creation of employment opportunity for unemployed youths; iii) targeted training in employment, self-employment and entrepreneurship; iv) control of drug abuse and other antisocial activities; v) launching of programs relating to poverty eradication, illiteracy, untouchability, caste based discrimination, gender based violence, and other inhumane acts; vi) formation of a national youth council.	improving employment and entrepreneurship amongst youth, and also other issues such as eradication of poverty, illiteracy, untouchability, caste-based discrimination and gender-based violence.
Policies on Gender Mainstreaming	Since the early 1990s, the GoN has been making important commitments to gender equity, equality and the empowerment of women in its policies, plans and programs. Important amongst these are the Gender Approach to Development (GAD) in 1990 to enable women and men to participate equally in public and private life and realize their full potential in development, and the 'Amending Some Nepal Acts to Maintain Gender Equality Act, 2006,' also known as the 'Gender Equality Act.' Similarly, Nepal is signatory of number of international human rights related conventions and declarations, which call for the elimination of all forms of gender based discrimination, including those related to access to education, health and other services. The Convention on the Elimination of all forms of Discrimination against Women (CEDAW), signed by the GoN in 1991, commits Nepal to constitutional and legal equality, particularly in the fields of education, health, citizenship, property ownership and employment. It also guarantees freedom from all kinds of violence and sexual exploitation	Yes- These acts and policies seek to include women in development activities, and provide equal opportunity to men and women
National Foundation for Upliftment of Adivasi/Janjati Act, 2058 (2002)	The GoN has identified and legally recognized 59 indigenous communities in Nepal. They are officially referred to as *Adivasi/Janajati* in Nepali and **Indigenous Nationalities** in English. According to Nepal Federation of *AdivasiJanajati* (NEFIN) 10 of the 59 *AdivasiJanajati* are "endangered", 12 "highly marginalized", 20 "marginalized", 15 "disadvantaged" and 2 are "advanced" or better off on the basis of a composite index consisting of literacy, housing, landholdings, occupation, language, graduate and above education, and population size.	Yes- Provides important information to identify the marginalized indigenous people
ILO Convention on Indigenous and Tribal Peoples, 1989 (No.169)	The aim of the ILO Convention 169 on Indigenous and Tribal Peoples is to make the functions of the state open and transparent in accordance with the democratic system and to make it responsible and accountable to the citizens. It intends to make the access of citizens to the information of public importance held in public bodies simple and easy and to protect sensitive information that could have an adverse impact on the interest of the nation and citizens. Clause 3 of the act ensures the Right to Information. It says that every citizen shall, subject to this Act, have the right to information and they shall have access to the information held in the public Bodies unless confidentiality has been maintained by laws. Clause 4 of the act describes the Responsibility of a Public Body to disseminate information. It mentions that each Public Body has to respect and protect the right to information of citizens. Public Bodies shall have the	Yes. As indigenous peoples are present throughout the country, the requirements of the convention as well as UNDRIP are applicable to the proposed project.

	following responsibilities for the purpose of protecting the right to information of citizens: to classify and update information and make them public, publish and broadcast to make the citizens' access to information simple and easy to conduct its functions openly and transparently, to provide appropriate training and orientation to its staffs, Public Bodies may use different national languages and mass media while publishing, broadcasting or making information public. A Public Body shall arrange for an Information Officer for the purpose of disseminating information held in its office. The clause 7 of the act prescribes the Procedures of Acquiring Information. It states that a Nepali Citizen, who is interested to obtain any information under this Act, shall submit an application before a concerned Information Officer by stating the reason to receive such information. United Nations Declaration on the Rights of Indigenous Peoples shall be followed (as applicable) ILO Convention 169 on Indigenous and Tribal Peoples, is a legally binding international instrument and GoN is currently in the process of formulating a National Action Plan for the implementation of the Convention. The substantive themes covered by Convention 169 and the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) that Nepal has also ratified, include among others, indigenous peoples' right to self-determination, self-governance, autonomy, free, prior and informed consent and the right to land and natural resources, etc.	
Other International Conventions	For the purposes of supporting vulnerable communities, the GoN has committed to adopt inclusive and participatory approach to development. Accordingly, programs such as scholarship for girls' education in school and universities, provisions for a 25% rebate on registration fee on land transfer to women, 10% rebate on the income tax to women professionals, micro-credit for poor women, have been launched. In the same manner, Nepal as a member state of various international conventions (Jomtien World Conference on Education for all 1990, the Dakar Framework for Action, has committed to adopt and launched various programs to safeguard the right of vulnerable communities.	Yes-Emphasized the government's commitments relating to women's development, including scholarship for girls' education in school and universities.

3.2 World Bank's Safeguard policy

World Bank's social safeguards policy related to HERP includes OP 4.10 on Indigenous People. The Bank's policy, OP/BP 4.12 on involuntary resettlement, has not been triggered under this project. Under HERP, it is envisaged that moderate civil works such as refurbishment and rehabilitation of existing structures, construction of annex buildings, addition of stories on existing facilities, construction of workshops and laboratories, etc. will be supported under the Reform Component of the National Program for Higher Education. However, all such civil works will take place within the existing premises of the participating institutions thus preempting the need for acquisition of new land or any form of involuntary resettlement.

The project however has triggered OP/BP 4.10 to ensure that project benefits to indigenous peoples and other vulnerable communities is maximized while any potential adverse effects are mitigated. The key objectives of OP/BP 4.10 on Indigenous Peoples are to: (i) ensure that indigenous people affected by World Bank funded projects have a voice in project design and implementation; (ii) ensure that adverse impacts on indigenous people are avoided, minimized or mitigated; and (iii) ensure that benefits intended for indigenous peoples are culturally appropriate. The policy is triggered when there are indigenous peoples in the project area and there are likely potential adverse impacts on the intended beneficiaries of these groups. When this policy is triggered, an Indigenous Peoples Development Plan or interchangeably, a Vulnerable Community Development Framework, is to be prepared to mitigate the potential adverse impacts and/or maximize the positive benefits of the project interventions.

As such, World Bank's OP/BP 4.10 aims to achieve development outcomes in an inclusive and sustainable manner by protecting the rights of vulnerable communities and introducing mitigation measures in case of adverse impacts that are likely to arise due to project implementation and intervention. In addition to this, for the projects/sub projects proposed for Bank financing that affect local people, the Bank requires the borrowers to engage in a process of free, prior and informed consultation. Approval for financing for proposed project/sub project is made available only where free prior and informed consultations results in broad support for the project from indigenous, Dalit, women and poor community support to the project.

CHAPTER 4: CURRENT STATUS OF HIGHER EDUCATION IN NEPAL

4.1 introduction

This chapter highlights the current situation of higher education in Nepal. It aims to provide information relating to student enrolment, number of graduates, number of faculty, geographical distribution of the institutions, institutional arrangements, etc.

4.2 Universities and campuses

At present, there are nine Universities and four autonomous medical academies in Nepal: Tribhuvan University (TU), Kathmandu University (KU), Pokhara University (PoKU), Purbanchal University (PU), Nepal Sanskrit University (NSU), Lumbini Bauddha University (LBU), Far-Western University (FWU), Mid-Western University (MWU), and Agriculture and Forestry University (AFU). The medical academies (deemed universities in Nepal) include the National Academcy of Medical Sciences (NAMS), B.P. Koirala Institute of Health Sciences (BPKIHS), Patan Academy of Health Sciences (PAHS) and the recently opened Karnali Academy of Health Sciences (KAHS). The university system comprise 96 constituent campuses, 429 community campuses and 751 private campuses. The total number of students in these academic institutions is 569,665 of which 270,806 are female and the faculty strength is 9,867. In 2012/13, a total of 6,1553 graduated from all the universities. The detail of these academic institutions is described in the following sub headings.

4.2.1 Tribhuvan University (TU)

TU is the oldest University of Nepal, established in 1959. It has a total of 1,041 campuses of which 60 are constituent campuses, 422 are community campuses and 559 are private campuses. TU incorporates the following technical institutes, faculties, and research centers:

Technical Institutes
- Institute of Agriculture and Animal Sciences
- Institute of Medicine
- Institute of Engineering
- Institute of Forestry
- Institute of Science and Technollgy

Faculties
- Faculty of Huamnities and Social Sciences
- Faculty of Management
- Faculty of Law
- Faculty of Education

Research Centers
- Centre for Economic Development and Administration
- Research Centre for Educational Innovation and Development
- Centre for Nepal and Asian Studies
- Research Centre for Applied Science and Technology

4.2.2 Nepal Sanskrit University (NSU)

NSU was established in 1986 with an aim to provide Sanskrit and traditional Ayurveda education. It has a total of 18 campuses of which 14, 2 and 2 represent constituent, community and private campuses respectively. The aim of NSU is to modernize Sanskrit education in the country and preserve its 'age-old values.' NSU offers courses in Sanskrit, ayurved, language training and yoga training related to Sanskrit.

4.2.3 Kathmandu University (KU)

KU was established in 1991 and has a total of 21 campuses of which 6 and 15 represent constituent and private campuses respectively. KU offers 98 academic programs in science, engineering, management, fine arts, education, medicine, etc., at various levels.

4.2.4 Purbanchal University (PU)

PU was established in 1994 and has a total of 129 campuses of which 3, 5 and 121 represent constituent, community and private campuses respectively. PU offers 72 academic programs in science, law, engineering, medicine, management, fine arts, education, etc., at various levels.

4.2.5 Pokhara University (PokU)

PokU was established in 1997 and has a total of 53 campuses of which 4 and 49 represent constituent and private campuses respectively. PokU offers more than 40 academic programs in humanities, management, science and technology, engineering, medicine, etc., at various levels.

4.2.6 Lumbini Bauddha University (LBU)

LBU was established in 2005 with an aim to provide higher education in Nepal related to the study of Buddha religion. It has a total of 6 campuses, 1 constituent and 5 affiliated campuses. LBU seeks to promote education and research on Buddhism, and by 2012/13, it has started running 5 MA level programs and PhD program.

4.2.7 Mid-Western University (MWU)

MWU was established recently and currently only has one constituent campus.

4.2.8 Far -Western University (FWU)

FWU was also established recently and so far has only one constituent campus.

4.2.9 Agriculture and Forestry University (AFU)

AFU was established recently with an aim to provide higher education in Nepal related to agriculture, forestry and animal science. It has two constituent campuses.

4.2.10 Autonomous Medical Academies (AMA)

The Four AMAs in Nepal (BP Koirala Institute of Health Sciences (1993), National (2002), Patan (2009) and Karnali (2013) Academy of Medical Sciences) were established to provide higher education in medical sciences at various levels. In addition, 79 foreign university affiliated campuses in different or similar disciplines are providing higher education in Nepal.

4.3 Enrollment in Higher Education

In the year 2012/13, there were 569,665 students enrolled in the campuses of different universities across Nepal. Table 2 shows the total number of students enrolled in each university. TU had 87.9 percentage of the total student enrolled in the higher education system in Nepal. PU, PokU, and KU had 4.53 percent, 4.28 percent, and 2.27 percent respectively while the rest had less than 1 percent of the total student body.

Table 2: Student Enrollment in 2012/13

	Student Enrollment	**Student Share of University**
University		
AFU	140	0.02
FWU	787	0.14
KU	12,954	2.27
LBU	302	0.05
MWU	2,472	0.43
NSU	1,691	0.3
PokU	24,380	4.28
PU	25,796	4.53
TU	500,717	87.9
Medical Academy		
BPKIHS	251	0.04
NAMS	115	0.02
PAHS	60	0.01
KAHS	NA	NA
TOTAL	**569,665**	**100**

Source: University Grants Commission, 'Education Management Information System: Report on Higher Education 2012/13 in Nepal, 2014.

In terms of disciplines, in 2012/13, the general program had 88.76 percent of students while the technical programs had 11.24 percent. Enrollments in education, management, and humanities were 39.76 percent, 34.2 percent, and 14.8 percent respectively. Likewise, the enrollment figure in engineering was 2.7 percent, medicine was 3.31 percent, and science and technology was 3.76 percent respectively. The remaining disciplines such as forestry, agriculture, ayurved and Sankskrit had less than 1 percent student enrollment (See Table 3).

Table 3: Number and Share of Students in Different Faculties

Faculty	**Number of Students**	**Percentage**
Aayurved	86	0.02
Agriculture	1,444	0.25
Buddhism	302	0.05
Education	226,477	39.76
Engineering	15,404	2.70
Forestry	1,122	0.20
Humanities and Social Science	84,350	14.81
Law	4,203	0.74
Management	194,846	34.20
Medicine	18,847	3.31
Sanskrit	1,151	0.20
Science and Technology	21,433	3.76
TOTAL	**569,665**	**100**

Source: University Grants Commission, 'Education Management Information System: Report on Higher Education 2012/13 in Nepal, 2014.

Based on the 2012/13 data, the Gross Enrollment Ratios (GER) at higher education level is 17.11 percent. At Bachelor's level, the GER is 21.80% while at Masters' level, it is 8.54%.

4.4 Regional Distribution

In 2012/13, the highest number of campuses was in the hill areas of Nepal while in terms of the five development region, the highest was in Central region. The distribution of students across the ecological belt was 61.12 percent in the hills, 2.86 in the mountains and 36.02 in the Tarai (Table 4).

Table 4: Regional Distribution of Campuses and Students

	Number of Campuses	Percentage of Campuses	Number of Students	Percentage of Students
Ecological Belts				
Hill	758	59.41	*348,178*	*61.12*
Mountain	*67*	*35.34*	*16,315*	*2.86*
Tarai	*451*	*5.25*	*205,172*	*36.02*
TOTAL	*1,276*	*100*	*569,665*	*100*
Development Regions				
Central	628	49.22	*301,257*	52.88
Eastern	*212*	*16.61*	*80,457*	*14.12*
Far-Western	*93*	*7.29*	*39,534*	*6.94*
Mid-Western	*106*	*8.31*	*54,941*	*9.64*
Western	237	18.57	*93,476*	*16.41*
TOTAL	1,276	100	569,665	100

Source: University Grants Commission, 'Education Management Information System: Report on Higher Education 2012/13 in Nepal, 2014.

In terms of faculties and campus capacity, management, education, and humanities and social sciences have many more campuses than other faculties. The number of campuses for technical programs is much lower in comparison to general programs.

4.5 Gender Concerns in Higher Education

Over the past 31 years (1980-2012), the higher education enrollment of females has been increasing significantly from 19 percent to 47.5 percent. Table 5 summarizes the current state of female involvement in higher education in Nepal.

Table 5: Gender Distribution in Higher Education

	Female Enrollment	Total Student Enrollment	Percentage of Female Students	GPI of Universities
University				
AFU	57	140	41%	0.69
FWU	380	787	48%	0.93
KU	5,884	12,954	45%	0.83
LBU	66	302	22%	0.28
MWU	0	2,472	0%	
NSU	364	1,691	22%	0.27
PokU	8,549	24,380	35%	0.54
PU	10,530	25,796	41%	0.69
TU	244,840	500,717	49%	0.95
Medical Academy				

BPKIHS	92	251	37%	0.58
NAMS	20	115	17%	0.31
PAHS	24	60	40%	0.67
KAHS	NA	NA		
TOTAL	**270806**	**569,665**	48%	Average = 0.91

In terms of GER, at the Bachelor's level, the GER for females is 20.28 percent while for males it is 23.48 percent. At the Master's level, the GER for females is 6.8 percent while for males it is 9.87 percent.

In 2012/13, the Gender Parity Index (GPI) was 0.91 indicating that the disparity in gender participation in higher education is decreasing. In terms of regional distribution, the western region has the highest (1.3) GPI while the Far-Western region has the lowest (0.77) GPI.

4.6 Graduates and Pass Percent

The 2012/13 data indicates that the average pass rate in Nepal in higher education is less than 30 percent. In terms of university, KU has the highest pass rate (80 percent average) while TU has the lowest (28 percent average). Likewise, the pass rate for bachelors is 28 percent while for master level is 29 percent (See Table 6).

Table 6: Pass percent and Number of Graduates

University	Pass rate	Number of Graduates
AFU	100	
BPKIHS	100	
KU		1,734
LBU	80	
MWU	20	
NAMS	37	
PokU		1,705
PU		3,369
TU	28	54,745

In terms of number of graduates, in 2012/13, a total of 61,553 students graduated from all the universities. Of the total, 88.5 percent of the students graduated from TU, followed by 5.5 percent from PU, 2.8 percent from KU, 2.8 percent from PokU.

4.7 Teachers and Student-Teacher Ratio

In 2012/13, the total numbers of teaching staffs (including instructors) in Nepal was 9,867. Amongst these, 40.19 percent were Lecturers, 24.47 percent were Readers and 7.6 percent were Professors (See Table 7).

Likewise, the overall average student-teacher ratios (number of students per teacher) was highest in KU (24:1) and TU (24:1) and the lowest in BPKIHS (1:1).

Table 7: Teachers and Student-Teacher Ratio

University	Professor		Reader		Lecturer		Assistant Lecturer		Instructor		TOTAL	Student-Teacher Ratio
	Female	Total	Female	Total	Female	Total	Female	Total	Female	Total		
PU		1	8	9	20	24	21	24	0	3	61	14.00
NSU	0	65	127	130	498	520	0	0	0	55	770	1.93
PAHS	3	13	3	21	34	80	0	0	0	0	114	0.53
NAMS	5	50	20	73	21	69	0	0	6	29	221	0.52
PokU		5		14		70		24		6	119	14.68
MWU	0			5		95					100	24.72
AFU	1	12	2	20	1	31	0	11	0	7	81	1.73
TU		546		2,083		2,835		6		2,496	7,966	24.72
KU		15		16		138		18		13	200	24.39
FWU	0	0	1	9	2	19	3	40	0	3	71	11.08
BPKIHS		45		34		85					164	1.53
TOTAL	**9**	**752**	**161**	**2,414**	**576**	**3,966**	**24**	**123**	**6**	**2,612**	**9,867**	

CHAPTER 5: STAKEHOLDER CONSULTATION

5.1 Background

An important and essential part in planning, preparing and implementing the Social Management Framework (SMF) are consultations without which the aim of protecting the rights and inclusion of targeted population in project activities will not be effective. Free, prior and informed consultations with the related organizations at different levels of vulnerable people are important in ensuring culturally appropriate and collective decisions. Moreover, the other important part of framework is continued public consultations and dissemination of information on the one hand helps to ensure public understanding of the project impacts and on the other, it allows vulnerable population to put their voices on the design and implementation of the project, including social and environmental concerns relating to the project.

One of the prime concerns of the SMF is to ensure that local communities, including vulnerable people relating to the project are well-informed, consulted and mobilized to participate in the project activities supported by HERP.

5.1.1 National Level Consultations

This SMF was prepared in close consultation with World Bank, UGC, national level organizations of different vulnerable groups, Universities and the relevant government institutions. However, further consultations are needed for the effective implementation of the project activities in proximity of its desired objectives. At the national level, the stakeholders to be consulted are the representatives of respective organizations of vulnerable people (Janjati/Adibasi, Dalit, women, people with disabilities, etc) and at the local level where the social screening indicates the presence of vulnerable people including Janjati/Adivasi, Dalit, etc., it will be necessary to hold public consultations and dissemination to inform local communities particularly the people/ students from bottom two quintiles (BTQ) about HERP.

5.1.2 Local Level Consultation

The local level consultations and dissemination are more important and useful in many ways. One, it will help to identify community needs, interest and expectations from the HERP in a transparent manner. Two, it will help to develop specific modalities to ascertain regular and meaningful consultations with vulnerable groups throughout the period of HERP project intervention. Three, it will facilitate collection of information that will inform the progress of HERP and also the implementation status of the SMF. Four, it will help to monitor and update information in the MIS on the regular basis so that corrective actions, if required, can be taken on a regular basis. Finally, national and local consultation and dissemination strategy will place a special emphasis on ensuring free, prior and informed consultations with all indigenous and ethnic groups, Dalit, women, poor and other disadvantaged groups affected positively or negatively by the project. Given below is the consultation strategy for the people from the BTQ and other vulnerable groups.

See Table 8 for details on stakeholder consultations, issues to be discussed, purpose of the consultations and information collection tools and techniques.

Table 8: Stakeholder Consultations: Institutions, Issues, Purpose and Tools and Techniques

Institutions/stakeholders	Issues	Purpose	Information collection Tools/technique
Central Level Government	• National/project level issues	• Information sharing about	Discussions/

Organizations	relating access to	project	workshops
- NFDIN - Women's Commission - Dalit Commission - Organizations of People with Disabilities	the people from BTQ to HERP activities and benefits • Endorsement and cooperation of the people of BTQ for HERP	interventions • Encourage participation of the people from BTQ to HERP activities and benefits	
National Level Non-Governmental Organizations - NEFIN - Women's organization - Dalit organizations - Madhesi organizations	• Issues barring /constraining access of these groups to HERP • Possible measures to enhance participation of the people of BTQ in HERP activities	• Information sharing • Feedback on HERP interventions • Other support measures required to enhance the participation of, and project benefits to the people from BTQ to HERP	Discussions/ workshops
Local level - Local level IP groups - Women's groups - Dalit organizations - Madhesi organizations - District and VDC officials - Other relevant civil society and - Community groups	• Awareness level • Scholarships, incentive mechanisms and motivations • Possible mechanisms to increase enrolment of eligible student in higher education and other needs • Measures to enhance the participation of	• Assess the level of education of the people from the BTQ • Assess local needs relating to higher education • Receive feedback from the respective organizations on project components	Discussions/rou nd tables Information gather modalities: • Use local facilitators and members of the local level organizati ns • Use local languages during consultations

	the people from BTQ in HERP • Possible ways of enhancing project benefits to the people from BTQ	and implementation strategies • Understand the nature of support required to enhance the participation of people from the BTQ • Develop/modify information dissemination strategy to reach out to the people of BTQ and other vulnerable groups	and discussions, if possible

CHAPTER 6: DEFINING AND IDENTIFICATION OF VULNERABLE PEOPLE

6.1 Background

In the Nepali context, societal composition and relations are complex. Caste relations, identity issues, unemployment and underemployment, asset holding, income, locations, etc are among the many criteria that can be used to identify vulnerable people. The indigenous people (Janajati/Adivasi) have their own settlements in a specific area whether it is rural or urban, or they are spread across the country. But these people consist of 59 groups. Some of the indigenous people belong to the poorest groups of Nepal due to income poverty as well as social exclusion. Dalits are one of the poorest groups of Nepal, due to income poverty as well as reasons of caste-based discrimination and practices of untouchability. They are scattered across almost all settlements of Nepal. Women and poor are present in every society, including in Nepal.

6.1.1 Indigenous communities

Indigenous people (Adivasi/Janajati) comprise various distinct groups as compared to the rest. A number of community groups with distinct social and cultural identity is known as indigenous community. To be precise and broad in relation to this, those ethnic and communities who have their own mother tongue and traditional rites and customs, distinct cultural identity, distinct social structure and written or unwritten history are as defined by the National Foundation for Upliftment of Adivasi/Janjati Act, 2058 (2002) as indigenous nationalities. The Act has accordingly recognized 59 indigenous communities in Nepal out of the 103 social groups listed in the 2001 population census.

An umbrella organization, known as the Nepal Federation of Indigenous Nationalities (NEFIN) 2004, has prepared composite index by incorporating literacy, housing, land holding, occupation, language, education and population size to categorize these 59 different indigenous groups into five separate categories. The first category comprises 10 groups who are classified as 'endangered.' The second category comprises 12 groups considered 'highly marginalized.' Similarly, the third, fourth and last categories comprising of 20, 15 and 2 groups are identified as marginalized, disadvantaged and advanced groups respectively out of the 59 groups (See Table 9).

Table 9: Indigenous Groups of Nepal

Category	Groups
Endangered (10 groups)	Kusunda (H), Bankariya (IT), Raute (IT), Surel (H), Hayu (H), Raji (IT), Kisan (T),Lepcha (H), Meche (T), Kuswadiya (T)
Highly Marginalized (12 groups)	Majhi (IT), Siyar (M), Lhomi/Shinsaba (M), Thudam (M), Dhanuk (T), Chepang(H), Santhal (T), Jhagad (T), Thami (H), Bote (IT), Danuwar (IT), Baramu (H)
Marginalized (20 groups)	Sunuwar (H), Tharu (T), Tamang (H), Bhujel (H), Kumal (H), Rajbanshi (T),Gangaai (T), Dhimal (T), Bhote (M), Darai (IT), Tajpuriya (T), Pahari (H),Topkegola (M), Dolpo (M), Fri (H), Mugal (M), Larke (M), Lohpa (M), Dura (H),Walung (M)
Disadvantaged (15 groups)	Chairotan (M), Tanbe (M), TingauleThakali (H), BaragaunleThakali (M), MarphaliThakali (M), Gurung (H), Magar (H), Rai (H), Limbu (H), Sherpa (M), Yakkha (H),Chhantyal (H), Jirel (H), Byansi (M), Yolmo (H)
Advanced (2 groups)	Newar (H), Thakali (M)

M: Mountain (17 groups); H: Hills (24 groups), IT: Inner Tarai (7 groups), T: Tarai (11 groups)
Source: NEFIN, 2004

6.1.2 Dalits of Nepal

A group of socially untouchable (avoidance of physical contact with persons of lower castes grounded in the caste system of Hinduism; that touch with lower caste people pollute the upper caste people), oppressed and excluded people are referred to as Dalits. The National Dalit Commission (NDC), defines Dalits as "those communities who, by virtue of atrocities of caste-based discrimination and untouchability, are most backward in social, economic, educational, political and religious fields, and are deprived of human dignity and social justice". Dalits are also known as lower caste people under the Hindu tradition. Dalits represent 13% of the population residing in all the villages and municipalities of Nepal. They do not reside in a particular place to form their own community. They form a minority groups and make a small cluster in each settlements to live and work throughout the country. See Table 10 for a listing of different Dalit groups.

Table 10: Schedule castes or Dalits of Nepal

Hill group	Newar group	Tarai group
Badi, Chunar, Damai, Gaine, Kadara, Kami, Parki, Sarki, Sunar	Chyame, Kasai, Kuche, Kusule, Pode	Bantar, Chamar, Chidimar,Dhainr, Dom, Dusadh, Gothe, Halkhar, Jhangad, Khatawe,Lohar, Musahar, Paswan, Tatma

Source: National Dalit Commission, 2003

Before the promulgation of the new Civil Code 1963, "Dalits form the groups which have received most inhuman treatment from the 'high castes' through caste-based discrimination, including untouchability". The same practice of untouchability even after the promulgation of this civil code has continued. The intensity of untouchability is higher in Tarai and mid- and far-western development regions when compared to rest of Nepal. The continued practice of untouchability and caste-based discrimination prevents them to attending schools, colleges, universities to obtain academic degrees. In school and colleges, coupled with their inability to finance their education, they are often treated badly and discriminated against as a result of which the drop-out rates amongst the Dalits is high. Dalits represent 3.4% of high school graduates as against the national average of 17.6%. Similarly, Dalits with education levels above bachelors represent 0.4% as against the national average of 3.4%. Likewise, the living conditions and human development indicators of Dalits are far below the national average. Featured by poor asset holding, 90% of Dalits are landless as against the 24% national average. Dalits are poor, 41% of them are living below poverty line as against the 25% national average.

6.1.3 Women

The status of women in Nepal with regards to their access to knowledge, economic resources, political power, and personal autonomy in decision making, is quite low. Women comprise more than 50% of the total population of Nepal as a result of which their participation is vital for the successful implementation of any project. In general, women of all community are oppressed, voiceless, marginalized and backward in terms of social, religious, cultural, economic and political empowerment as compared with their male counterparts.

In terms of education, in Nepal, formal or modern education has a very short history, and has been considered mainly from a developmental perspective rather than as a right of an individual. Such a perspective has helped to enforce existing caste- and gender-based discrimination. Quite pervasive is the attitude that female education is a needless burden. In poor households, parents prefer to pay for their sons' education and not for their daughters. Instead, these families are forced into keeping their daughters at home to help their over burdened mothers. Labor and physical exploitation of girls is quitewidespread, and possible risks of trafficking of girls makes educational attainment even more difficult. The norm/custom of not sending girls to school or investing in their education is becoming more popular in

rural poor households including amongst Janajati/Adibasi, Dalit, Muslims and other disadvantaged groups.

In general, women from the so-called upper caste groups who are also in the higher quintiles in terms of income and consumption, have access to education. But they are also oppressed socially and culturally. The women from bottom quintile irrespective of their caste and culture in terms of both income and consumption have no access to higher education. This group of women and girls also risk being exploited and trafficked to other countries. Concerns about lower levels of higher educational attainment amongst women runs deep—in general, female children, especially from the vulnerable and other marginalized groups are not even enrolled in, attending, or completing basic education. This situation reveals that the participation of female students, especially those from the vulnerable groups attending higher education will continue to be limited in number, as long as adequate attention is not paid to improving the participation of girls in basic education.

6.1.4 Poor and a subset of poorest of the poor

Poverty is rampant in Nepal—results from the Nepal Living Standards Survey 2010/11 Revealed that people living in below poverty line represents 25.2% of the total population. The Multidimensional Poverty Index (MPI) 2013 estimates the MPI to be 0.217 and the size of the population that is multidimensional poor to 44.2% with the average intensity of deprivation faced by the poor at 49%. Further, the percentage of people that are vulnerable to poverty is 17.4% and the percentage of people in severe poverty is 20.8 percent. In terms of regional distribution, MPI is the highest is far-western (0.281) and mid-western (0.299) regions where the incidence of poverty is also the highest—57.7 percent in far-western region and 59.1 percent in the mid-western region.

The incidence of poverty in Nepal remains a critical issue to be addressed. A HERP will address the issue of poor access of students from the poorest two quintiles to higher education through Proxy-Means Testing (PMT) approach. More specifically, through the PMT approach, Ordinary Least Squares (OLS) analysis of detailed survey data will be used to determine the weights the various attributes have on well-being of households such as consumption expenditure. The verifiable variables include: type of outside wall, foundation, roof, toilet, cooking stove; the source of drinking water and source of lights that household members are using; telephone (landline), Cable TV and internet; size of family, educational status of head of household, presence of female child attending private school, proximity from health post and whether a household is foreign remittance receiving household. The model also includes variable derived from poverty mapping, which is completely non-manipulative and provides a good discriminatory power in explaining variations across households. Households with attributes such as cemented outside wall, pillar bonded foundation, remittance receiving, possessing telephone(landline), Cable TV, Internet, having head of household attended higher education are positively correlated with consumption. On the other hand, households with no outside wall, having many family members, less educated head of household, household with high illaka (sub-district) poverty rates and using communal toilets are negatively associated with consumption.

The project will support 5,000 higher secondary students from science stream and 10,000 bachelor students from BTQ. At bachelor level, preferential treatment will be given to students from Science & Technology and other priority education areas. Similarly, preferential treatment will be given to females (2,250 HS; 4,500 B). Evidently, the notion of BTQ comprises vulnerable people of every caste and ethnicity whether they belong to upper and/or lower, privileged or unprivileged, protected or unprotected. Thus to ensure that individuals from the vulnerable communities are able to access the scholarship schemes and also benefit from it, a strong monitoring mechanism that will disaggregate information according to the beneficiaries' social backgrounds such as gender, caste, ethnic, regional, physical disabilities, region, etc. will be put in place.

CHAPTER-7: POTENTIAL SOCIAL IMPACTS AND THEIR MANAGEMENT

7.1 Background

The project has an in-built design to generate positive social impacts, especially in terms of enhancing equitable access to higher education. 'Equity' is one of the key result areas under the reforms component of the project which would be supported through DLI 6 - Poverty targeted financial support for disadvantaged students, including qualified poor students who are females, Dalits, IPs and other groups who fall in the BTQ. Further, the intervening programs, policies and strategies will provide those who are from the disadvantaged groups access to: 1) scholarships, 2) computer and internet, 3) gender friendly toilet, 4) quality education, and 5) continued access to higher education.

In spite of these positive impacts, implementation of HERP can have a number of unintended consequences arising from: 1) fear of diversification of the targeted benefit program, 2) unavailability of targeted student in the institutions where HERP project is implemented, 3) lack of public consultations, 4) inadequate information dissemination and awareness amongst students from disadvantaged groups, 5) non-identification of students of vulnerable communities through the PMT approach, and 6) lack of gender sensitive planning and 7) risk of PMT scoring being made public causing applicants to manipulate their information, 8) Chance of exclusion targeted students from the benefit. The identified adverse impacts along with the possible mitigation measures are presented in the Table 11 below.

Table 11: Identified Impacts and Suggestive Mitigation Measures

SN	Identified impacts	Description	Suggestive mitigation measure
1	Fear of diversification of the targeted benefit program (resulting in possible exclusion of the poor Dalit, ethnic, women from the BTQ)	In the institution where HERP will be implemented, biased attitudes of the staffs and administrators, pressures from local authorities, and improper working procedures, if any, can divert the resources to other students instead of actual beneficiaries.	- Prior information dissemination to the public regarding the nature of program, selection procedure of programs' targeted beneficiaries, allocation procedures, etc., in advance through public consultations and a robust communication strategy/plan - Development of guidelines that will put in place effective institutional mechanisms and procedures for disseminating information on the PMT to potential students and beneficiaries, and ensuring proper transfer of funds to the same.
2	Unavailability of targeted students in the institutions where HERP will be implemented	In higher education, the participation of students from poor, Dalit, women, ethnic and disabled groups who are also in	Launch awareness programs to increase enrollment of eligible students from the local areas.

SN	Identified impacts	Description	Suggestive mitigation measure
		the bottom two quintiles is very low. Even when enrolled, they are likely to drop-out before graduating for various reasons including inadequate income even to meet the basic needs to continue their livelihood.	In addition to scholarships, initiate supportive programs such as toilet facilities, peer education programs, anti-discrimination forums, etc., to encourage participation of these groups in higher education
3	Lack of public consultations	Public consultations are vital in identifying the adverse effects of HERP and also designing proper mitigation strategies in areas where HERP will be implemented. A proper and well organized consultation is needed to identify these effects which if not controlled/followed by certain norm and procedures will lead to flawed outcomes.	Develop guidelines that will include norms and procedures for holding consultations. These guidelines need to ensure that prior notice is given to concerned individuals about the consultations, measures for maximizing participation, ensuring the participation of women, poor, ethnic groups, disabled, etc., in these consultations, and procedures for seeking free, informed and prior consultations.
[4	Lack of information and/or awareness	The success of HERP is dependent on the extent to which people have adequate knowledge about the HERP, especially the scholarship schemes. This knowledge would be possible only if proper dissemination strategies are in place.	Develop a comprehensive communication strategy to disseminate information about the project, including the scholarship schemes and the PMT approach. The communication strategy should include strategies for public consultations, public hearing, and use of national and local media, information boards inside campuses, etc., preferably in major local languages
5	Non-identification of the students from vulnerable communities through the PMT approach	Since the PMT approach targets individuals in the BTQ for scholarship distribution, there is a possibility that the selected students does not include those from the marginalized/disadvantaged groups.	Conduct social screening to ascertain the presence/absence of students from disadvantaged groups. If the students selected through the PMT approach is not reflective of the student composition of the campuses/ universities or of the local population composition then devise a corrective method to address that concern in consultations with the local

SN	Identified impacts	Description	Suggestive mitigation measure
			authorities, university/campus officials, UGC, etc. These could include: - Revising the PMT model to include specific variables that could help select poor female student of Dalit and IP- Adopt the government reservation policy for the poor female students of Dalit and IP groups, if the PMT method fails to select them.
6	Lack of gender sensitive planning	Absence of gender-specific measures to enhance the participation of women in higher education can lead to negative outcomes on the gender-related DLIs. There is also general sense risk preventing women, especially from the vulnerable groups, not being able to participate effectively in the reform programs envisaged under the HERP, and also reap benefits from it.	Prepare appropriate gender sensitive plan that will enhance the participation of women in higher education institutions. Ensure that both men and women are consulted while preparing, implementing and monitoring the plan. Such a plan should also be prepared in line with the objectives of HERP and this SMF.
8	Risk of potential beneficiaries not being able to fill in the PMT forms or students manipulating information	The PMT application is internet based. Lack of computer and internet facilities will exclude qualified students from applying. Further, PMT scoring is based on a certain number of indicators. If the methodology and scoring is divulged then non-qualifying students might manipulate their personal information to take advantage of the financial assistance.	Reform component needs to look into purchasing necessary logistics to connect to the internet in the campuses and in schools where the HERP program is implemented. Organize training programs to train staffs and students fill in the PMT forms Develop mechanism to monitor and verify information from the PMT scoring to ensure that those receiving scholarships are the actual intended beneficiaries of the project.

CHAPTER 8: SOCIAL MANAGEMENT FRAMEWORK (SMF)

8.1 Background

The UGC, with assistance from the World Bank is preparing to implement the HERP that seeks to support various types of academic programs/activities in different universities in order to improve, expand, modify, develop capacity and promote inclusion in the higher education sector in Nepal. One of the particular aims of the assistance is to ensure equity in higher education for the benefit of the poor students from vulnerable populations in the BTQ. As stated earlier, the purpose of this SMF is to accordingly develop measures that will maximize project benefits to these vulnerable groups while mitigating its negative effects.

8.2 Vulnerable Community Development Framework (VCDF)

As detailed above, the project has an in-built design to generate positive social impacts, especially in terms of enhancing equitable access to higher education. Additionally, to ensure that the SMF and the project is in compliance with government's regulations/guidelines relating to IPs and other marginalized groups, Bank's OP/BP 4.10 on Indigenous People and other international conventions that Nepal has ratified, a Vulnerable Community Development Framework (VCDF) has been prepared. The VCDF, considered interchangeable with the Indigenous People's Development Plan, provides specific guidelines to maximize project benefits to IPs and other vulnerable communities, and measures for minimizing and mitigating any potential adverse effects.

The main rationale for the VCDF is to:
  I. Ensure that project engages in free, prior, and informed consultation with the vulnerable community wherever they are affected.
 II. Ensure that project benefits are accessible to the vulnerable community.
III. To the extent possible, avoid any kind of adverse impact on the vulnerable community and if unavoidable, ensure that adverse impacts are minimized and mitigated
IV. Ensure vulnerable people's participation in the entire process of preparation; implementation and monitoring of the sub project activities
 V. Minimize further educational attainment imbalances within communities; and
VI. Develop appropriate awareness programs, incentive packages, approaches to non-discrimination, etc to increase enrollment of the qualified vulnerable people into higher education.

8.2   Social Screening

Social screening will be undertaken at an early stage in all sub projects of HERP. It will provide necessary information on the potential social impacts likely to be encountered during project implementation. Screening will be carried out in close consultation with various stakeholders such as indigenous people, poor, women, Dalit and other local key informants. Screening report should be prepared during feasibility stage consisting of HERP site specific social impacts. Adverse/positive social impacts due to HERP intervention can thoroughly be identified along with the design of appropriate mitigation measures. Adverse social impacts identified during screening need a examination of the impacts and preparation of a sub-project specific social mitigation plan.

More specifically, the screening activity will provide first stage information to HERP on the possible social impacts of the project—both positive and negative impacts. It will help identify the potential project beneficiaries, requirements for tangible and intangible resources, the availability of those resources, the process for acquiring them, positive as well as negative impacts of the project on vulnerable groups, including indigenous people. In order to apply for support from HERP, all the campuses and universities will have to apply the social screening checklist and include a report which will be verified and monitored. Notably, the basic requirements for the HERP assumes that the proposed activities under HERP will not involve any land acquisition and will not have any serious or adverse impacts to the people from the vulnerable groups, including those from the bottom two quintiles.The checklist for social screening is included in Annex 1.

8.3 Social Impact Assessment (SIA)
The project will conduct social impact assessment to facilitate the application of the PMT approach to select students for financial assistance, develop sub-project specific Vulnerable Community Development Plan (VCDP), a Gender Development Plan (GDP). If the screening activity indicates presence of vulnerable groups in the project area, low enrollment of girls in the campuses/university, or any kind of civil works, a social impact assessment will be carried out to understand the nature of impacts on vulnerable groups and also design appropriate mitigation plans like the VDCP or GDP. The SIA can be conducted through household surveys, group discussions with the community leaders and other stakeholders. The main aims of the SIA are as follows:

- Identifying project/program stakeholders
- Identifying and prioritizing social issues associated with the project
- Mitigating negative impact on communities or individuals
- Enhancing project benefits to those who are affected
- Build trust and cooperation between community and stakeholders that is necessary for successful implementation of the project.

8.2 Framework for the Selection of Vulnerable Students
In order to maintain equity (project component 3) it is necessary to develop criteria for providing financial support to the most vulnerable students from the bottom two quintiles. To achieve this, the Student Financial Assistance Scheme (SFAS) will use Proxy Means Testing (PMT) as a method for targeting. The PMT approach attempts to measure economic standing of students among all applicants. As a proxy to the family's resources, PMT considers variables that can be measured relatively and verified. In particular, the PMT considers statistically significant proxy variables to the family's resources to generate a welfare score for applicants based on his/her households attributes used by the Nepal Living Standard Survey (NLSS 2010/11) like household's proximity to bus-stop, type of toilet, roof, wall, cook-stove used in the house, availability of piped drinking water, parents education levels, number of younger siblings, ilaka-wise poverty rate, ethnicity-wise academic standing, provision of household facilities, family's foreign remittance, distance to health post/hospital and whether any girl child attends private school from the family. The welfare score is assigned on the basis of Ordinary Least Square (OLS) Regression analysis of NLSS-III detailed household survey data using the Log of Real Per Capita Consumption given in Annex 6. The derivation of the OLS model for the PMT Scheme has already been used successfully in the Second Higher Education Project (SHEP) by the Student Financial Assistance Fund Development Board (SFAFDB).

The calculation results or the value of PMT score (total welfare score) of a particular student ranges from a minimum of 835.4 to a maximum of 1245.5 associated with a common constant value. The closer the applicant's score is to the minimum value, the higher is the chance that the student will be selected for the scholarships.

As indicated by the variables, the PMT score includes region-wise poverty rates, parents' education level, ethnicity-wise academic standing, and all other household attributes to determine its score. Accordingly, it captures the vulnerability of an applicant by region, ethnicity and education. The distribution of the range of PMT score of the individual student by quintile and cut-off point based on NLSS-III data is given in Annex 5. In bottom first and second quintile, the PMT score ranges from a minimum of 835.4 and 986.5 to a maximum of 986.6 and 1019.1 respectively. These two quintiles represent the poorest students (both sexes) of Dalits, indigenous ethnic minorities, Muslims, Madhesis, disabled people and other poor and disadvantaged students. Viewing from the weights assigned to each variables, it is clear that the changes of selecting an eligible student for financial assistance from the vulnerable community is high (9 out of 10). Similarly, .

8.2.1   Steps for VCDP Preparation
The steps to be followed for VCDP are as follows:

   I.   Screening to identify whether Indigenous / vulnerable peoples are present or have collective attachment in the areas where HERP will be implemented;
  II.   Social assessment and analysis to be carried out to address the social concerns of local communities, including vulnerable groups
 III.   Understand the views of the local communities by following a process of free, prior, and informed consultation at each stage of the project, particularly during project preparation
 IV.   Institutional arrangements (including capacity building wherever necessary) for screening project-supported activities, evaluating their effects on vulnerable community, preparing Vulnerable Community Development Plan (if required), and addressing grievances
  V.   The preparation of Plan
 VI.   Monitoring and reporting, including the establishment of mechanisms and benchmarks appropriate to the project and
VII.   Disclosure of the proposed Vulnerable Community Development Plan

8.3.3 Preparation of VCDP
Depending on the context and situation, the following components need to be included in the Vulnerable Community Development Plan. Detail description of project/subproject under HERP and its possible implication on vulnerable people
- Local social organization, cultural beliefs, ancestral territory, and resource use patterns
- Baseline information, particularly on vulnerable groups, to evaluate the outcomes of the HERP
- Framework for ensuring free, prior, and informed consultations
- Aspirations, needs, and preferred options of the targeted people
-
- Potential positive and negative impacts of the proposed project activities
- Measures to avoid, mitigate, or compensate for the adverse sub-project effects
- Measures to ensure that the sub-project benefits will accrue to vulnerable groups
- Action plan to ensure that indigenous people receive social and economic benefits that are culturally appropriate

- Accessible procedures for grievance redress
- Plan for budget allocation and monitoring.

8.4 Gender Development Plan

In addition to the VCDF, the SMF also includes a framework for Gender Development Plan (GDP) to address the specific concerns relating to men and women in the higher education sector. As mentioned earlier, the selection of the students for financial assistance includes gender-related indicators and provisions for preferential treatment to girls and Dalits that would help ensure that adequate numbers of females are supported through the project. Besides these, the SMF also includes a GDP to ensure that women are able to participate in and benefit from all the HERP-related activities.

As the first step, the screening checklist and the Social Impact Assessment conducted for project activities, wherever relevant, will seek to examine the effects of the proposed project activities on gender. Based on the findings from the screening and assessment as well as consultations with beneficiaries and local stakeholders, each campus/university will be required to prepare a GDP.

The suggested Gender Development Plan for the project is presented Table 12 below.

Table 12: List of Possible Activities in the Gender Development Plan

Issues	Strategy	Proposed Activities
Lack of awareness	Awareness campaign about the project, especially focusing on vulnerable groups including women.	Share information about the project scope and benefits in Nepali language and local languages, if relevant. The communications strategy developed for the project will include mechanisms to ensure that women are aware of the project.
Excluded from opportunities provided through the project, primarily for reasons of gender-based discrimination	Gender sensitization to all stakeholders including project personnel, university/campus faculty, staff and students. Ensure women's participation in meetings, public consultations, and third party monitoring.	Include modules/sessions on gender issues while providing trainings on project activities and the SMF Conduct orientation trainings to university/campus staff, students and faculty members Ensure participation of women in meetings and public consultations Prepare brief guidelines to ensure representation of women in the local consultative forums /local grievance resolution committee. Assign employment quota if applicable to include vulnerable women in HERP to prevent discrimination in employment on the basis of sex, caste, religion and ethnicity.
Disparity in Wages/Salaries	Accord priority employment to women in HERP project activities. Promote equal wages for equal work	Identify women interested to work; assess their skills and involve them in project implementation as per their capabilities. Monitor women's wage rate and do the needful to ensure wage equality for similar type of work. For any civil works carried out in the project, include the aforementioned clauses relating to gender in the contractors' documents.
Caste- and gender-based	Mobilize students (both males	Form a female students' committee/club to

Issues	Strategy	Proposed Activities
discrimination	and females) to sensitize the academic community members and local stakeholders on issues of caste- and gender-based discrimination.	conduct various activities to sensitize the academic community and local stakeholders on gender issues relating to higher education. Launch various programs against caste- and gender-based discrimination
Women's health (e.g., girls may suffer from various ailments during menstruation)	Provide support services to address issues of women's health	Establish a primary health care unit in a separate room with necessary physical facilities and resources
Separate toilets and washing facilities	Develop mechanisms and provide resources to address women's specific needs as well as privacy concerns	Construct separate and adequate number of toilets for girl students to ensure that girls feel protected, and their privacy respected
Gender based violence	Create institutional mechanisms and introduce activities to address gender-based violence in academic institutions	Form a committee comprising of both men and women to address GBV-related issues in the universities/campuses Launch various programs against gender violence within and possible outside the academic institutions

Chapter-9: GRIEVANCE REDRESS MECHANISM, CAPACITY ASSESSMENT AND DISCLOSER OF INFORMATION

A grievance redress mechanism will be established to allow people to file, and appeal any disagreeable decisions and practices. Special project grievance mechanisms such as on site provision of complain hearings at the university/campuses and similar one at the central level will be developed by UGC to allow people to get fair treatment on time. The grievance redress mechanism will be published in the project website and will also be communicated to all stakeholders during consultations and information dissemination.

The central level committee will comprise the following persons as members and chair.

(i)   Law faculty dean, TU- chair person
(ii)   Member secretary of UGC- member
(iii)   Representative education ministry-member
(iv)   Social development specialist- member
(v)   Coordinator of HERP- member secretary

Similarly, the local level committee comprises following persons as member and chair.

(i)   Dean/Campus Chief of respective university/college - Chair person
(ii)   Representative from student body - Member
(iii)   Representative from local NGO/CBO or local government authority- Member
(iv)   Project specific coordinator- Member secretary

More committee members can be accommodated depending on the nature of grievances. The local committee/site-specific committee will first seek to address the complaints and if unresolved it will be passed on to the central-level committee. Provisions will also be made available for complaints to be filed directly with the central-level committee. The grievances will be recorded and tracked to monitor progress. Further, for any matters that cannot be resolved by the central and local level committees can be taken to the relevant courts.

9.1 Capacity Assessment

Efficient handling and implementation of the SMF depends on the availability of well qualified personnel at the implementing agencies.   The concerned implementing agencies, in particular, the UGC and Tribhuvan University-PIO already have had experience handling safeguard issues during the implementation of SHEP. Past experience from SHEP however indicates the need for a focal person who will oversee the implementation and monitoring of the SMF. Likewise, there is also a need to provide regular trainings on the SMF and broader social development issues related to the project.

Accordingly, the following measures will be taken: (a) provide sensitization trainings to officials and representatives from UGC and TU-PIO on implementation and monitoring of the SMF; (b) organize local-level trainings in universities and campuses to develop capacity in social screening, social impact assessment and development of Vulnerable Community Development Plan and Gender Development Plan; (c) create provisions to either recruit new staff with expertise in social development issues or make such support available by outsourcing. The latter can be more effective than former because Tribhuvan

University is UGC's co-implementer agency which has a number of experts in place, and can provide their services as and when needed The same service should be made available in various campuses where HERP activities will be implemented.

9.2 Disclosure of information

Information at all level of project cycle needs to be disseminated. Project sites, scale of impacts (adverse/beneficial), social benefits, monitoring system and the expected project outcomes are some of the key information related to the project that needs to be disclosed. These information will be made available at each project site/university or campuses through public information desk. Accordingly, the project will also prepare and disseminate project-related information brochures that will be disseminated through the office of the implementing agency (UGC), university/campuses and the office of the respective municipality/VDC. In addition, reports prepared as part of the project design, implementation or monitoring/evaluation will be disseminated in English and Nepal (and if required, in local languages) and made available at the places mentioned above. The report of the SMF will also be placed in UGC website in both the language –English and Nepali and in World Bank's InfoShop.

CHAPTER-10: MONITORING, REPORTING AND BUDGETING

The UGC in close coordination with the MOE, Tribhuwan University, Student Financial Assistance Fund Development Board (SFAFDB), and QAAA will be responsible for the implementation of the SMF in order to ensure that the project benefits are inclusive, and that any negative impacts are minimized.

It is envisaged that the UGC will be primarily responsible for overall monitoring of the SMF while TU-PIO, SFAFDB and QAAA will carry out M&E activities corresponding to their respective sub-components. In order to promote social accountability, the project will also carry out student and teacher satisfaction survey and employer satisfaction survey, baseline at the start and follow-ups in the third year and towards the end of the project. Various studies, including evaluation of PMT targeting approach, research funding, autonomy of campuses, new programs, performance based funding to HEIs, etc. will also be carried out during the project period.

In particular, the monitoring and reporting of the SMF will include:
- Routine monitoring to ensure that implementation of specific activities under the VCDF are on schedule and problems are addressed on a timely basis.
- Monitoring of key indicators such as number of students of BTQ including female, Dalits, IPs, are receiving scholarships under the student support program of HERP.
- Verification of data relating to DLIs by a third-party on half yearly basis .

10.1 Budgeting

The UGC will disburse funds to support specific activities of VCDF to intervening campuses and universities, particularly TU in which nearly 88% of the total students have been enrolled. The tentative budget for implementing the SMF is estimated to be NPRs 9,000,000 for the entire period of HERP. The detail break down of this amount is given in Table below.

Table 13: Budget Allocations for the Implementation of the SMF

Heading	Description	Amount for five years
Capacity building	Rs. 5000*150 persons	750,000
Screening	Rs. 3000*150 campuses	450,000
Student support program		200,000
Redressal		100,000
Monitoring	Rs 50000*150 campuses	7,500,000
	Total	9,000,000

ANNEXES

1. Introductory information
   - Title of the sub project:
   - Location of the sub project:
   - Present condition of sub project:
   - Major activities of sub project: (strengthening, capacity building, quality enhancement, training, etc)
   - Contact details:
   - Name of key informants (list out):

2. Impact on specific target group (poor, women, Dalit and indigenous people) from the sub project of HERP
   - Who are the vulnerable groups in the project areas
   - What are the possible impacts of the project activities on the vulnerable group?

3. Procedures/Guidelines for Vulnerable Community Development Plan and Gender Development Plan to:
   - Raise awareness about the project activities, especially the scholarship scheme to vulnerable population,
   - Minimize social discrimination for reasons of caste, gender, religion, ethnicity, etc
   - Inclusion of student(s) from vulnerable groups (Dalit, women and indigenous people) in the campus management committee (SMC)
   - Decrease dropout rate of women in general and other students from the poor indigenous people, Dalit, and poor households
   - Provide employment of at least one member from each affected indigenous people and Dalit household in project construction and maintenance work if undertaken while implementing HERP
   - Develop methodology for continued public consultations, regular monitoring and evaluation, and information disclosure

Annex 2. Outline Structure of VCDF

Suggested Guidelines of Preparation of VCDF
A. Legal Framework 1.Establish the legal unit of the vulnerable groups identified under the sub-project 2. Spell out what is required by the relevant Acts and rules
A.   Baseline Data 1. identify vulnerable people likely to catch by sub project and collect relevant data 2. Present a description of the subproject and implication for vulnerable communies and analyze the social structure and income sources and socioeconomic level of the population by category of gender, caste and ethnicity 3. Provide disaggregated baseline data on the positive/adverse impact from sub project intervention 4. Provide natural resource and asset holding, land tenure and livelihood related information
C. Strategy for Local Participation 1. Documentation of consultations with vulnerable groups to ascertain their views about the project design and implementation 2. Provide effective channels for communicating local preferences, representation and appropriate methods to guarantee

full local-level participation

D. Mitigation Activities

1. Propose assistance to these people including skill and capacity building. Ensure that activities that draw upon indigenous knowledge are used as they succeed better than those that are entirely new principles and institutions.

E. Institutional Arrangement

1. Provide institutional structure to implement VCDF.

2. Provide brief description about the adequacy of experienced professional staff and ability of indigenous peoples' own organizations, and local NGOs to interact with specialized government institutions.

F. Implementation Schedule

1. Prepare an implementation schedule with benchmarks by which progress can be measured at appropriate intervals.

G. Monitoring and Evaluation

1. Suggest monitoring mechanism (internal and independent monitoring institutions/officials). Explore the possibility of finding out whether targeted students are benefitted or

2. Prepare monitoring reporting formats for assessing sub-project implementation

H. Cost Estimates and Financing

1. Prepare a plan which detailed cost estimates for planned activities and investments

Annex 3: Specific Measures for Vulnerable People's Development for HERP

Proposed Strategies	Sources of Funding	Agencies Responsible
A. Inclusion 1). Ensure awareness raising, active participation and capacity building of the vulnerable communities 2). Ensure of participation in awareness campaign, project implementation and monitoring 3). Ensure equal wages for similar work during implementation 4). Launch project information campaign to inform the target groups about the key features of the project and sub project.UGC/Universities	GON/UGC and Universities	UGC and Universities

	GON/UGC and Universities	UGC and Universities
B. Program Planning 1). Asses and analyze the presence of indigenous and Dalits in HERP subproject sites 2). Involve indigenous people, women and dalits in beneficiary groups to increase their participation.	GON/UGC and Universities	UGC and Universities
C. Capacity Building 1). Conduct project related meetings in indigenous and vulnerable community areas to encourage their participation. Ensure a quorum which includes representation from Indigenous people. 2). Provide targeted assistance/training aimed at vulnerable groups to enhance participation in the HERP 3). Built in awareness campaign about the HERP in the subproject site 4). Build capacity of indigenous peoples, Dalits and other vulnerable communities promoting necessary knowledge and skills to participate in sub project activities 5). Develop capacity through trainings on application of HERP to indigenous people, Dalits and women.	GON/UGC and Universities	UGC and Universities

Annex-4: Distribution of PMT score by quintile (NLSS-III, 2010/11)

Quintile	From	To
First	835.4	986.5
Second	986.6	1019.1
Third	1019.2	1047.4
Fourth	1047.5	1084.2
Fifth	1084.2	1245.5

Annex-5: Cutoffs based on data from NLSS-III (2010/11)

Cutoffs	From	To
20%	835.4	986.5
30%	986.6	1003.2
40%	1003.3	1019.1
50%	1019.2	1033.4

60%	1033.5	1047.4
70%	1047.5	1063.5
80%	1063.6	1084.2
90%	1084.3	1113.7
100%	1113.8	1245.5

Annex-6: OLS Regression using the Log of Real Per Capita Consumption

Variables	coefficient	T- statistic
Outside Wall (cement=base)		
Mud bonded	-0.02	-0.68
Wooden pillar	0.02	0.51
Bamboo/leaves	-0.1	-2.79
Unbaked bricks	-0.12	-1.86
Other	0	-0.07
No walls	-0.39	-6.95
Foundation(cement=base)		
Pillar bonded	0.1	4.32
Mud bonded	-0.04	-1.42
Wooden pillar	-0.06	-1.97
Other	-0.01	-0.36
Roof (concrete=base)		
Straw/thatch	-0.1	-3.08
Earth/mud	-0.08	-1.02
Galvanized iron	-0.02	-0.11
Tile/slate	0.04	1.27
Other	-0.02	-0.22
Toilet (No toilet=base)		
Flush	0.15	6.98

Non-flush	0.08	3.18
Communal latrine/No toilet	0.04	0.67
Electricity(base)		
Solar	0.06	2.09
Biogas	-0.28	-0.94
Kerosene	-0.1	-4.98
Other	-0.09	-3.2
Cook stove (gas=base)		
Open fireplace	-0.02	-0.53
Mud stove	0.01	0.51
Smokeless oven	0.04	0.89
Kerosene Stove	-0.24	-2.55
Other	-0.14	-2.36
Drinking water(open well/river =base)		
Piped water into the house	0.07	2.61
covered well	0.11	3.93
Piped water outside the house	0.04	1.76
Hand pump/Tube Well	0.08	2.64
Regions(Eastern = base)		
Central	-0.09	-3.56
Western	-0.04	-1.57
Midwestern	-0.01	-0.21
Farwestern	-0.13	-3.13
Possession of facilities		
Telphone(landline)	0.25	11.7
Cable TV	0.14	6.89
Internet	0.18	4.63
Household within 30 minutes of health post	0.09	5.7
Foreign Remittance receiving household	0.05	3.61

Family characteristics(household size 1 = base)		
Household of 2 members	-0.25	-6.35
Household of 3 members	-0.41	-10.89
Household of 4 members	-0.57	-15.53
Household of 5 members	-0.68	-18.39
Household of 6 members	-0.75	-20.03
Household of 7 members	-0.84	-22.7
At least a female child attending private school	0.06	3.9
Head of hh level of education (No edu=base)		
Head of hh - less than primary	0.02	1.04
Head of hh - Education under SLC	0.11	7.2
Head of hh - Completed SLC	0.2	9.65
Head of hh - Completed PCL/Higher Secondary	0.24	8.33
Head of hh – University	0.27	7.87
Illaka Poverty Rate	-0.68	-7.4
Constant	10.89	183.55
R-squared	54%	
N	5988	