INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE

Report No.: ISDSA16092

Date ISDS Prepared/Updated: 02-Dec-2015

Date ISDS Approved/Disclosed: 10-Dec-2015

I. BASIC INFORMATION

1. Basic Project Data

Country:	India	**Project ID:**	P154523
Project Name:	Technical Education Quality Improvement Project III (P154523)		
Task Team Leader(s):	Tara Beteille,Tobias Linden		
Estimated Appraisal Date:	18-Jan-2016	**Estimated Board Date:**	31-Mar-2016
Managing Unit:	GED06	**Lending Instrument:**	Investment Project Financing
Sector(s):	Tertiary education (100%)		
Theme(s):	Education for the knowledge economy (70%), Export development and competitiveness (10%), Technology diffusion (10%), Decentralizatio n (10%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	600.00	Total Bank Financing:	300.00
Financing Gap:	0.00		

Financing Source	Amount
Borrower	300.00
International Bank for Reconstruction and Development	300.00
Total	600.00

Environmental Category:	B - Partial Assessment
Is this a Repeater project?	No

2. Project Development Objective(s)

The proposed Project Development Objective is "to improve quality and equity in selected engineering education institutions and increase the effectiveness of the engineering education system."

3. Project Description

Component 1: Improving quality and equity in LIS and SCS (Total: USD 201 million; IBRD: USD 100.5 million)

1.　　　This component will focus on improving quality and equity in engineering education in all government and government-aided colleges and technical universities, including ATUs, in seven LIS, six SCS in the North-East of India, and Andaman and Nicobar Islands (a union territory (UT)).

Sub-component 1.1: Institutional Development Grants to Selected Institutes

2.　　　All government and government-aided colleges, new National Institutes of Technology (NIT) and non-affiliating technical universities in Component 1, totaling about 80 institutes, will receive funds once they have the enabling mechanisms required for project success in place (see Annex 2). Institutes with these mechanisms in place will receive Institutional Development Grants (IDG) as determined by their plans for improvement articulated in Institutional Development Plans (IDP). The ultimate goal of these plans should be either improving the learning outcomes and employability of undergraduates and/or the research pursued under post-graduate programs. Each institute will receive specialized support from NPIU, SPFU and mentors in framing their IDPs, which will resemble NBA's self-assessment reports, asking institutes to specify key needs, activities, timelines and measures of success. All IDPs will be based upon iterative consultations with a range of stakeholders, including faculty, administrators, students, parents and industry. Autonomous colleges under this sub-component will receive INR 12 cr (approximately US$1.9m), and non-autonomous colleges will receive INR 8 cr (approximately US$1.2m) (which will be increased to INR 12 cr if they attain autonomy).

3.　　　In addition, activities under this sub-component will focus on addressing fundamental system-level challenges. First, the sub-component will support states in filling sanctioned posts through hiring of faculty as per AICTE norms on qualifications and pay, by partially funding the cost of such faculty during the project period. Second, the project will fund procurement expenses, including refurbishment, minor civil works and equipment, up to a maximum of 60 percent of an institute's basic fund allocation. Additionally, institutes are expected to undertake the activities focused around these themes: (1) improve student learning; (2) student employability; and (3) increasing faculty productivity and motivation (see Annex 2). Which particular activities an institute undertakes will be set out in its IDP. This sub-component will also support a mentoring system based upon a head mentor for the state and institute-level mentors as well as linkages with a mentor institute.

4.　　　Institutes which do not immediately have the enabling mechanisms in place will benefit from "seed persons" (expert mentor), non-financial assistance and seed money from MHRD to motivate and facilitate these institutes to obtain the mechanisms. Only institutes that have built the seven enabling mechanisms listed above by October 2018 will receive Institutional Development Grants. In addition, seed money will be used for specific activities as specified in the PIP with the objective of motivating faculty and students to work toward improvement of their institute, and to provide some immediate support to students' learning. These will include: training of staff in financial management and procurement processes; campus wi-fi; e-library; campus environment plan and smart classrooms. These funds will be managed by MHRD/NPIU.

Sub-component 1.2: Widening Impact through ATUs in LIS and SCS

5.　　　Sub-component 1.2 will provide financial support to 5-7 ATUs in LIS and SCS, based upon certain enabling mechanisms relevant to ATUs being in place (see Annex 2). Each ATU will receive

INR 10 cr. This sub-component will pilot reforms with ATUs in the following areas to address the above challenges: academic reforms; learning assessment and examination reforms; student placement; and improving data management and administration. Project ATUs are expected to assist all affiliated colleges through opportunities for accessing modern teaching and research facilities (access to IT-facilities, e-learning courses and laboratories). For instance, ATUs could administer merit-based research grants for faculty and students that encourages interdisciplinary and inter-collegial/departmental collaborations. The goal of these pilot interventions will be to demonstrate mechanisms through which ATUs can improve the performance of all the colleges affiliated to them — government, government-aided and private unaided — and thereby catalyze profound changes in the engineering education system. Importantly, project ATUs will be expected to pilot reforms in assessment of student learning outcomes as described in Component 2.

6.   Institutes in 1.1 and ATUs in 1.2 will sign MOUs which will set out annual (or semi-annual) performance benchmarks to be met, in order for funding to be released. Commitment from the state finance department, technical education department and ATU will be sought through a state-level steering committee (SSC) with representatives from these bodies and the lead mentor. AICTE will provide mentorship support to all colleges in SCS that are in the North East, given its experience implementing the North East Quality Improvement Program (NEQIP).

Component 2: System-level initiatives to strengthen sector governance and performance (Total: USD 37 million; IBRD: USD 18.5 million)

7.   This component will provide technical assistance to MHRD and key apex bodies in engineering education, including AICTE and NBA, to strengthen the overall system of engineering education. Technical assistance to MHRD will include designing an assessment system to track student learning at different points of the undergraduate program. The assessment system will track key academic skills in engineering, such as proficiency in mathematics, physics and computer science, as well as higher order thinking skills. In addition to this, students' non cognitive and behavioral skills will also be tracked. Finally, surveys of students, faculty, non-teaching staff and administrators will deepen insight into how institutes address specific problems related to student learning. Assessments will be designed to provide feedback to institutes on how and where to improve, without putting undue pressure on students.

8.   This Component will also provide technical assistance to AICTE to: undertake tasks to mentor colleges, especially in the North East; design MOOCs for faculty and students; create benchmarks for institutes; promote industry collaboration in research and placement; and streamline data management across all institutes. AICTE's e-governance cell will lead an effort to harmonize data management by AICTE, the All India Survey of Higher Education (AISHE), NBA and TEQIP. Technical assistance will also be available to NBA to help strengthen its analytical and institutional capacity to use planning, information and data to manage the organization in a more efficient way. Finally, this component will seek to build the capacity of technical education policy planners, administrators and implementers at the central, state, and institutional levels. Technical assistance will be available to the respective Departments of Technical Education and State Project Facilitation Units (SPFU) to build their capacity to support institutional development and technical education reform in institutes and states.

Component 3: Sustaining excellence in engineering education and widening impact through competitively-selected institutes in non-LIS/SCS (USD 362 million; IBRD: USD 181 million)

Sub-component 3.1: Incubating, Sustaining and Spreading Excellence through Competitively-selected Institutes

9.   This sub-component will provide IDGs to support around 160 (out of 220) competitively-selected state government and government-aided engineering institutes in non-LIS/SCS. IDGs will enable institutes to meet the objectives set out in their IDP, with the ultimate goal of either improving the learning outcomes and employability of undergraduates and/or the research pursued under post-graduate programs. Sub-component 3.1 IDPs will be expected to contain a detailed outline of how the institute plans to (a) incubate innovations; (b) strengthen and sustain well-performing activities after the project; and (c) mentor other colleges, especially in the LIS and SCS. Within this broad framework, institutes will have the flexibility to decide the inputs and activities that meet their expected outcomes, subject to a short list of prescribed items and limits on civil works construction. Activities will resemble those in sub-component 1.1.

10.   Autonomous colleges under this sub-component will receive INR 12cr, and non-autonomous colleges will receive INR 10.5cr (to be increased to INR 12cr if they attain autonomy). After an initial release (INR 2cr) to start project activities, financial releases to institutes will depend on performance against pre-agreed indicators. Depending on the availability of overall funding under the project, it will also be possible for some institutes to receive more than INR 12cr should their performance be sufficiently high.

11.   All decisions related to implementation of the activities will rest with an institute's BoGs, subject to any requirements set out in the Procurement and Financial Management Manual or the Project Implementation Plan (PIP). Any government rules or order related to the enhanced academic, administrative and financial autonomy of an institute will apply to all the activities of a given institute, not just to those activities funded under the Project.

Sub-component 3.2: Widening Impact through ATUs in non-LIS

12.   Two or three eligible ATUs will be competitively chosen from non-LIS states, based upon approved IDPs. Each ATU will receive INR 5cr. The academic activities supported by the IDPs will include closely mentoring ATUs in LIS/SCS. Other activities will resemble those undertaken in sub-component 1.2. Given the advanced level of ATUs in these states, their benchmarks and targets will be correspondingly tighter than in sub-component 1.2.

4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)

Countrywide (India). Specific locations will be identified after competitive selection of institutions. Around 250 institutions are expected to participate from across the country.

5. Environmental and Social Safeguards Specialists

Neha Pravash Kumar Mishra (GENDR)

Satya N. Mishra (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The project interventions by and large are not likely to cause significant or serious damage to natural and physical environment. However, specific interventions envisaged under the project such as refurbishment/repair of existing buildings/laboratories may have some

		potential adverse environmental impacts in the local context. Even though no new building are planned under the project, minor refurbishment/ repair would require appropriate consideration and integration of environment, health and safety measures to ensure that adverse environmental impacts are minimized and properly managed. OP 4.01 has been triggered to ensure that project/program interventions are planned and designed to be environmentally sound by integrating appropriate principles and approaches into the over-all decision making process.
Natural Habitats OP/BP 4.04	No	
Forests OP/BP 4.36	No	
Pest Management OP 4.09	No	
Physical Cultural Resources OP/BP 4.11	Yes	By and large, implementation of the project/program is not likely to affect religious structures of local significance or other heritage/protected structures. However, since some civil works are involved, 'chance finds' at work sites is a likely impact that cannot be ruled out and will have to be managed by incorporating appropriate provisions in the bidding/contract documents.
Indigenous Peoples OP/ BP 4.10	Yes	The policy is triggered given the project is country-wide and the beneficiaries would also include students belonging to Scheduled Castes (SCs) and Scheduled Tribes (STs) and other disadvantaged groups. A Social Assessment was carried out and an Equity Action Plan (EAP) (or Social Management Framework (SMF)) has been prepared.
Involuntary Resettlement OP/BP 4.12	No	This policy has not been triggered given that project shall not finance civil works involving compulsory land acquisition, involuntary resettlement, or causing restriction of access to natural resources. The project activities will focus on improving the quality and access of technical education and will only support minor repairs and refurbishments of existing infrastructure.
Safety of Dams OP/BP 4.37	No	
Projects on International Waterways OP/BP 7.50	No	
Projects in Disputed Areas OP/BP 7.60	No	

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:
The project involves limited construction activities such as refurbishing/upgrading technical education facilities such as classrooms, laboratories, library, etc. These activities are not expected to cause any significant environmental or social impacts. Likely environmental and social impacts, which will be limited in nature, may include temporary construction related impacts. Environmental impacts which require attention pertain to: location; design; construction and worksite safety management; and operation/maintenance aspects of physical assets. Also, any refurbishment/repair/retrofitting works may require specific student and worker safety measures during construction if it involves removal of asbestos (which can be identified only when the civil works assessment is carried out during implementation). In view of the project's potential impacts on the environment, the Bank's safeguards policies on Environmental Assessment (OP/BP 4.01) and Physical Cultural Resources (OP/BP 4.11) have been triggered, and the project is designated as Category B. On the whole, with proper management, the project interventions are not likely to cause large scale, significant or irreversible damage to the natural, physical or social environment. The project will finance limited construction activities such as refurbishing/upgrading higher education facilities such as classrooms, library buildings, etc. within the existing premises. These activities are not expected to cause any significant environmental or social impacts. Likely environmental and social impacts, which will be limited in nature, may include temporary construction related impacts. No civil work involving compulsory land acquisition or involuntary resettlement or restriction of access to natural resources shall be financed. Therefore, the World Bank's Operational Policy on Involuntary Resettlement (OP/BP 4.12) has not been triggered. The project institutions, especially those in low-income states, are located in states and communities inhabited by tribal communities. Therefore, the Association's safeguards policy on Indigenous Peoples (OP/BP 4.10) has been triggered.
2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:
While the project interventions, on the whole, will have a positive impact on the technical education sector, specific interventions envisaged under the project such as refurbishment/ retrofitting/major repair works of existing classrooms/laboratories/libraries may have some potential but limited adverse environmental impacts in the local context. Therefore, these activities are central to the approach and design from an environmental management and safeguards perspective for the project. Some specific long-term environmental impacts are associated with the operation and management of the institutes/buildings itself. Appropriate water and sanitation facilities, disposal of wastes including management of e-wastes, energy use/efficiency, disaster preparedness and dealing with issues where institutes are exposed to noise or other sources of pollution require regular attention. However, such adverse impacts are not likely to be large-scale or irreversible in nature. These can be avoided/minimized to a great extent and the positive outcomes from the project can be enhanced substantially by putting appropriate institutional mechanisms, procedures and capacity in place, to deal with such issues.

The anticipated future activities such as minor civil works for improving and expanding existing facilities within the technical education campuses are likely to generate temporary employment opportunities for the local people. Expanded influx of students and teachers may also contribute to expansion of the local market, especially in the rural locations.
3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.
The project primarily emphasizes improving the quality of technical education and thereby promotes several softer interventions against creation of large scale/major infrastructure. Any proposed construction will be restricted to refurbishment/repair/retrofitting works within the existing educational campuses. These activities may have some potential but limited adverse environmental impacts in the local context. Therefore, these activities are central to the approach and design from an environmental management and safeguards perspective for the project. The proposed activities will not cause any involuntary resettlement or restriction of access to the natural resources.
4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.
A limited Environmental Assessment (EA) study was undertaken by the National Project implementation Unit for the proposed project with guidance from the Bank team. The study included a specific comprehensive questionnaire targeted at TEQIP II institutions to learn from their experiences as well drawing on an accumulation of practices from TEQIP implementation, as well as projects in India financed by the Bank with similar approaches. As part of the EA, the current processes, systems and capacity of the implementation agencies from an environmental management perspective were also reviewed.
To effectively plan, design and integrate environmental dimensions into the overall project preparation and implementation, an Environment Management Framework (EMF) has been prepared, and incorporated into the Project Implementation Plan. The framework provides guidelines for design (including that for the physically challenged), construction and maintenance of environmentally-friendly facilities in line with relevant policy, legal and regulatory requirements of GOI, state governments and the environment safeguard policies of the Bank. The mitigation and management measures required to deal with temporary construction related impacts such as health and safety, labor, accident risks, dust and noise, sanitation and waste management have also been provided in the EMF. Beyond the regular environment, health and safety dimensions, the project also offers an opportunity to improve the overall environmental footprint of colleges by creating 'greener facilities' by adopting practices of water efficiency, energy conservation, wastewater recycling and reuse. Considerations of environment, health and safety dimensions would help in ensuring the soundness and sustainability of the project and help in achieving the larger quality related objectives.
The Government of India has prepared an Equity Action Plan (EAP) (Indigenous People's Policy Framework (IPPF) which addresses issues of gender equality and social inclusion with special attention to the needs of the Scheduled Tribe and the Scheduled Caste students and faculty members fulfilling the requirements of OP 4.10 with free, prior, informed consultation held with the primary stakeholders. The EAP/IPPF is a revised version of the EAP prepared for the TEQIP-II which has been finalized using mostly qualitative research methodologies, including intensive stakeholder interviews and focus groups discussions with male and female students and faculties from various social backgrounds, including ST and SC groups, and poor and disadvantaged communities. The EAP/IPPF draws extensively on the experience of TEQIP I and II. The EAP/

IPPF identifies key issues and problems affecting academic performance and overall development of students and recommends a set of actions to address the same. Key recommended actions in the EAP/IPPF include: (i) improving the learning efficiency, English language skills, and non-cognitive skills of the students, especially those from socially and economically vulnerable groups including ST and SC, (ii) supporting faculty to improve their knowledge levels, pedagogical skills, and sensitivity to gender equality and social inclusion issues in educational institutions, (iii) encouraging and institutions of excellence to organize annual technology innovation forums to enable students from various colleges share experiences and innovations; (iv) promoting mentorship amongst students and teachers (to aid needy students and younger faculty members); and (v) supporting research scholars as a part of IDPs. The measures proposed in EAP/IPPF are linked with DLIs and the key performance indicators. The overall project also proposes to monitor carefully and report on the impact of project interventions on vulnerable groups, on a regular and timely basis so that corrective actions can be taken. The focus of Component 1 is on low-income states will have a positive impact on equity. The overall project also proposes to monitor carefully and report on the impact of project interventions on vulnerable groups, on a regular and timely basis so that corrective actions can be taken. The focus of Component 1 is on low-income states will have a positive impact on equity

Implementation Arrangements: Each participating college will prepare and include the EAP/IPPF in the Institution Development Plan submitted for funding. There shall be institution level student-faculty committees to approve and monitor the implementation of the EAPs. The Dean, Students' Welfare will be generally the nodal officer responsible for implementing the EAP. The institutional arrangements will integrate professional capacity and expertise to plan and implement actions in fulfilment of the EAP/IPPF. The NPIU, SPFUs and other project institutions will have a nodal officer responsible for monitoring and supporting the EAP implementation

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

Stakeholders: The primary stakeholders include the intended target population or beneficiaries of the project being supported through the proposed operation – the selected Engineering Colleges and Affiliating Technical Universities in India, which includes students, faculty, non-teaching staff, members of the Governing Body & local employers, tribal students and communities, civil society and those likely to be affected by any temporary impacts. The secondary stakeholders include officials from the Ministry of Human Resource Development and related agencies, National Board of Accreditation, All India Council for Technical Education.

Consultations: Stakeholder participation is central to design and implementation of the project and provides for information sharing, consultation and collaboration measures. Guidelines for consultation have been laid out in the EMF and the EAP/IPPF to ensure proper consultation and participation of stakeholders at the various stages, including preparation and implementation at the institute level. The key elements of strategy include: (i) consultations with primary stakeholders people during project planning and implementation, (ii) information disclosure and dissemination, (iii) grievance redress mechanisms, and (iv) feedback on project implementation (including EMF and EAP/IPPF) through third party monitoring.

In accordance with applicable Bank policies, consultations have been carried out in selected TEQIP II institutions, as part of the limited environment and social assessment process. The public consultation process has indicated that the stakeholders strongly support the proposed project. The feedback/inputs from these field based discussions have been primarily used for preparing the

environment management instrument (ie the Environment Management Framework) of the project. The EAP/IPPF was prepared through free, prior and informed consultation with the students and other primary stakeholders. The final round of stakeholder consultations were held at the Rajasthan Technical University (RTU) at Kota on July 8, 2015, at CTAT, Udaipur on July 9, 2015, and at the Institute of Engineering and Technology (IET), Lucknow on November 19, 2015. The project will continue to hold stakeholder consultations as a part of EMF and SMF implementation.

Disclosure: The EMF and the EAP/IPPF have been have been made public through the Project Authority's website (link: http://www.npiu.nic.in/PDF/News/Draft%20EMF%20and%20EAP.zip) and has been disclosed at Bank's Infoshop.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	02-Dec-2015
Date of submission to InfoShop	02-Dec-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	00000000
"In country" Disclosure	
India	02-Dec-2015
Comments:	
Indigenous Peoples Development Plan/Framework	
Date of receipt by the Bank	02-Dec-2015
Date of submission to InfoShop	02-Dec-2015
"In country" Disclosure	
India	02-Dec-2015
Comments:	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/ Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment	
Does the project require a stand-alone EA (including EMP) report?	Yes [×] No [ ] NA [ ]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [×] No [ ] NA [ ]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [×] No [ ] NA [ ]
OP/BP 4.11 - Physical Cultural Resources	
Does the EA include adequate measures related to cultural property?	Yes [×] No [ ] NA [ ]

Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [×]	No [ ]	NA [ ]

OP/BP 4.10 - Indigenous Peoples

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [×]	No [ ]	NA [ ]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [×]	No [ ]	NA [ ]
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Practice Manager?	Yes [ ]	No [ ]	NA [×]

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [×]	No [ ]	NA [ ]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [×]	No [ ]	NA [ ]

All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [×]	No [ ]	NA [ ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [×]	No [ ]	NA [ ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [×]	No [ ]	NA [ ]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [×]	No [ ]	NA [ ]

III. APPROVALS

Task Team Leader(s):	Name: Tara Beteille,Tobias Linden	
Approved By		
Practice Manager/ Manager:	Name: Keiko Miwa (PMGR)	Date: 10-Dec-2015