

INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

Report No.: ISDSC1195

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I. BASIC INFORMATION

A. Basic Project Data

Country:	Eastern Africa	Project ID:	P151847
Project Name:	AFCC2/RI-Africa Higher Education Centers of Excellence Project (P151847)		
Task Team Leader(s):	Arun R. Joshi,Reehana Rifat Raza,Xiaonan Cao		
Estimated Appraisal Date:	16-Feb-2016	Estimated Board Date:	26-May-2016
Managing Unit:	GED01	Lending Instrument:	Investment Project Financing
Sector(s):	Tertiary education (60%), Health (5%), General agriculture, fishing and forestry sector (15%), General energy sector (10%), Information technology (10%)		
Theme(s):	Education for the knowledge economy (80%), Technology diffusion (10%), Other rural development (10%)		
Financing (In USD Million)			
Total Project Cost:	140.00	Total Bank Financing:	140.00
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			0.00
International Development Association (IDA)			140.00
Total			140.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

B. Project Objectives

21. The project will promote regional collaboration and specialization among participating universities in areas that address regional development challenges, and strengthen the capacities of these universities to deliver the quality training and applied research for the development challenge.

C. Project Description

24. The proposed PDO and results will be achieved through activities grouped under two components described as the following:

Component 1: Establishment and strengthening of Africa Higher Education Centers of Excellence (US\$110 million).

25. Around 22 competitively selected institutions will implement their own Center of Excellence proposal aiming to help address a specific regional development challenge through preparation of professionals (education), applied research and associated outreach activities with partners. To ensure regional collaboration for greater impact, ACE II will provide a mix of funding requirements and incentives to regional mobility of students and faculty, and regional partnerships. In particular, at least 15 percent of the funding must be invested in the partnerships, and at least 10 percent must be invested in partnerships activities with non-national African partners. A partnership agreement between the ACEs and their respective partners will detail the work plan, budgets and outcomes of this arrangement. Further, civil works will be limited to 25 percent of the grant. This agreement will include the government's planned commitments for continued funding of institutional staff as part of the funding and performance agreement. Within these parameters, institutions will have autonomy to implement their own institutional specific proposal that encompasses the following five elements:

- Enhance capacity to deliver regional high quality training to address the development challenge.
- Enhance capacity to deliver applied research to address the regional development challenge.
- Build and use industry/sector partnerships to enhance impact of the ACE on development and increase relevance of said centers education and research.
- Build and strengthen regional and international academic partnerships to raise quality of education, raise the capacity of network partners and to raise the ACE's capacity.
- Enhance governance and management of the ACE and the participating university to improve monitoring and evaluation.

Each selected ACE will receive between US\$ 2-6 million. It is expected that ACE with less laboratory intensive teaching will receive between US\$ 2-3 million.

26. The ACEs will be selected through an open, objective, transparent and merit-based competitive process. The selection will be based on a set of clearly defined criteria that reflect the needs of socioeconomic development priorities, potential for excellence in higher education, and regional collaboration/ harmonization. The competition will be open to both public and private higher education institutions (HEIs) subject to Government's acceptance of submission of proposals from private institutions. Independent subject-matter expert-panels will evaluate the proposals through a combination of desk review and onsite evaluation. The final selection decision will be made by the ACE II Regional Steering Committee taking into account the need for a reasonable equitable balance across countries, language-groups, and coverage of needed development topics and disciplines (see Section IV in the attached PCN Supplementary Materials).

27. The majority of the ACE grants will be awarded to prioritized regional development challenges for economic transformation. These development challenges will be defined through consultations with country and regional leaderships as well as relevant the business community, and the Global Practices within the Bank. The current proposal based upon consultations so far and desk reviews of national and regional development strategies, is to prioritize around 12 ACEs for higher education to contribute to the solution of the following development challenges:

- 3 ACEs for development challenges within agriculture,
- 2 ACEs for energy, which could focus on hydro-power, generation/transmission, or others.

- 2 ACEs for extractives, which could be one for the oil and gas sector and one for mining.
- 1 ACE for construction and infrastructure
- 1 for ICT
- 1 for urban development
- 1 for quality of education, including STEM teaching and teacher management.
- 1 for statistics

This list is the result of a qualitative review of national development strategies, CASs, labor market studies, as well as consultations with firms, governments, and Global Practices (see Section III in the attached PCN Supplementary Materials). It is subject to discussion and change. The development challenges could be substituted by other development challenges, such as health, water, sanitation, and irrigation; urban development; the ocean-economy; catastrophe management; climate change. It is proposed to leave around 10 ACE grants to the best proposals in addition to the 12 identified priority development challenges for funding of innovative proposals. Further work to analyze needs and consult with stakeholders will be undertaken before submitting a final list for approval by the participating countries and the WB. The final priority list should emphasize the importance of strengthening Science, Technology, Engineering and Mathematics (STEM) skills.

28. Incentives will be developed to engage diaspora. Programs such as collaboration via distance with ICT in teaching and research, visiting fellow/scholar, adjunct lecturer/professor, termed appointment, seminars/talks during home visit, etc. could be considered by ACEs in respect to their needs. Global experience such as those from Asia will be referenced and adjusted to the African context.

29. The above project description incorporates early lessons from the ACE West and Central (ACE I). In particular, more emphasis should be given to industry partnership, teaching-learning techniques, as well as the possibility of funding faculty performance evaluation and pay schemes for 1-2 percent of the project proceeds. The latter seeks to introduce new management principles and motivate well-performing staff. Further, key challenges have for some of the ACEs have been: lack of knowledge and outreach experience to concretely have an impact on the development challenge (the Ivory tower issue), insufficient experience with proposal writing and project preparation, some with inexperience on monitoring and evaluation and internal revenue generation, see Section I in the attached PCN Supplementary Materials for more.

Component 2: Enhance Regional Harmonization and Collaboration (US\$14 million).

30. Component 2.1 Promotion of regional harmonization within higher education (US\$4 million). This sub-component will seek to promote the on-going regional harmonization of higher education in the region in order to promote mobility of students, faculty and graduates within the East and Southern Africa. Subject to further analysis and agreement, the Inter-University Council for East Africa, which is the designated implementation under EAC, would be supported to advance its regional quality assurance framework, regional standards, qualification framework, and credit transfer recognition. The harmonization would be extended to participating countries in Southern Africa.

31. Component 2.2: Regional education support to countries with emerging higher education systems (US\$3 million for 2 countries yet to be defined). Small and fragile countries in the ESA region are particularly lack of capacity or readiness to implement projects or train high-skilled personnel for meeting their economic growth/reconstruction needs (e.g., Somalia, South Sudan, Burundi, Comoros, Malawi and Madagascar). These countries can present their prioritized demands and request services from the ACEs. Using special programs such as grants, scholarships, and joint research schemes, through agreed transparent competitive mechanisms, winning ACEs will deliver

the requested services. Related processes such as request, review, service bidding and awarding, and evaluation will be discussed with relevant regional committees, government ministries, national agencies, universities and other key stakeholders during the project preparation.

32. Component 2.3: Enhancement of regional capacity, evaluation and collaboration (US\$4 million). ACE II will involve many countries and institutions in the region and facilitation and coordination for its preparation and implementation is rather important. This subcomponent will support: (i) ACE II preparation and implementation in general, including consultation workshops, selection related activities, and other activities; (ii) capacity building, knowledge sharing and coordination between the ACEs, for example through joint lessons learning as well as implementation of a communications plan; (iii) undertake regional monitoring and evaluation (M&E) activities to improve and assess the performance of the selected institutions, which includes tracer studies, technical audits, collection of academic data, and topic-wise evaluations; (iv) technical assistance to regional bodies to support regional policy making on regional higher education science and technology agenda; and (v) activities required for regional project facilitation and steering. An appropriate regional body will be contracted to serve as the regional facilitation unit in this regard, see Section V in the PCN Supplementary Materials for the selection of a regional body.

33. At the concept stage US\$ 16 million is unallocated. These will be allocated as part of the project preparation phase. This provides flexibility during project preparations.

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

The Project will be located in multiple countries in the Eastern and Southern Africa region at few institutional sites of higher learning in the disciplines of STEM, Agriculture, Energy, Extractive, Construction, ICT, Health sciences and Statistics. These centers will be selected as Africa Centers of Excellence with a small number of partner institutions. There will be some rehabilitation and extensions of the selected institutions. The need for new construction will be assessed as part of the project preparations. In general, the project will not fund new construction as the project aims to focus on quality enhancements of these centers, where majority of the funding will be on "softer items" such as faculty development, curriculum update, scholarships and learning resources. A clear covenant on limiting the civil works allowed under the project will be established. There will be no new land acquisition for these centers. The project will select these centers from the existing institutions.

E. Borrowers Institutional Capacity for Safeguard Policies

The institutional capacity of each of the aspiring Africa Centers of Excellence, relative to the applicable safeguards, will be assessed during the pre-appraisal period.

F. Environmental and Social Safeguards Specialists on the Team

Svetlana Khvostova (GEN01)

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	Environmental and social impacts of rehabilitating academic/research institutions are expected to be moderate. ESMPs will be prepared for each candidate institution to manage environmental and social impacts. ESMPs will be prepared, consulted upon, and disclosed before appraisal.

Natural Habitats OP/BP 4.04	No	The project will include rehabilitation and minor construction within existing university/institution campus grounds. Thus natural habitats will not be affected by project activities.
Forests OP/BP 4.36	No	The project will not involve forestry activities.
Pest Management OP 4.09	No	The project activities will not involve the use of pesticides. This policy is not triggered.
Physical Cultural Resources OP/BP 4.11	TBD	Physical cultural resources could be affected if a supported university is located near such resources or have physical cultural resources on their campus. Once the selection of the supported universities has been finalized, the specific location of campuses will be known and the potential impact on physical cultural resources will be assessed concretely. The screening for the sub projects will include “chance finds” and cultural resource management procedures. Triggering of this policy will be reviewed at the time of the Quality Enhancement Review and again at the Decision meeting.
Indigenous Peoples OP/BP 4.10	No	
Involuntary Resettlement OP/ BP 4.12	No	Project activities are only expected to include minor civil works since the project focuses on quality improvements and not on expanding capacity to more students. All civil works, if any, will take place on existing campus grounds. Sub-projects involving land acquisitions leading to involuntary resettlement and/or restrictions of access to resources or livelihoods will not be financed by allowed for this project.
Safety of Dams OP/BP 4.37	No	N/A
Projects on International Waterways OP/BP 7.50	No	N/A
Projects in Disputed Areas OP/ BP 7.60	No	N/A

III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 20-Jul-2015

B. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.

It is proposed to have the selection of ACEs done by August. Once we know which universities are selected, the safeguards assessment can get started.

The candidate institutions interested to benefit from this project will be asked to prepare an Environmental and Social Management Plan (ESMP). Such ESMP will be submitted together with the proposal for evaluation. The ESMP will describe the construction/rehabilitation component of the proposal with the likely environmental and social impacts and will propose relevant mitigation measures and monitoring procedures. Guidelines for conducting environmental and social screening and Terms of Reference for preparing such ESMPs will be available to each participating institution. These ToR for ESMPs will include the screening process and provide a list of mitigation measures to facilitate environmental and social safeguards management for the ACE grants implementation. The Guidelines will be publicly disclosed before project appraisal as well as one or two ESMPs, which have been consulted upon. Before approval of each proposal, the ACE applying for the grant will prepare an ESMP (including consultations with the project stakeholders), which will be reviewed and approved by the Regional Coordination Secretariat. The ESMP then will be publicly disclosed in country and in the World Bank InfoShop. The Regional Facilitation Unit(s) will also be responsible for ensuring proper oversight of the adherence to of selected institutions to safeguards requirements set forth in the project level ESMPs.

IV. APPROVALS

Task Team Leader(s):	Name: Arun R. Joshi,Reehana Rifat Raza,Xiaonan Cao	
<i>Approved By:</i>		
Safeguards Advisor:	Name: Johanna van Tilburg (SA)	Date: 28-Jan-2016
Practice Manager/ Manager:	Name: Sajitha Bashir (PMGR)	Date: 01-Feb-2016