

## INTEGRATED SAFEGUARDS DATA SHEET APPRAISAL STAGE

**Report No.: ISDSA16823**

**Date ISDS Prepared/Updated:** 03-May-2016

**Date ISDS Approved/Disclosed:** 03-May-2016

### I. BASIC INFORMATION

#### 1. Basic Project Data

<b>Country:</b>	Eastern Africa	<b>Project ID:</b>	P151847
<b>Project Name:</b>	Eastern and Southern Africa Higher Education Centers of Excellence (P151847)		
<b>Task Team Leader(s):</b>	Arun R. Joshi, Reehana Rifat Raza, Xiaonan Cao		
<b>Estimated Appraisal Date:</b>	16-Feb-2016	<b>Estimated Board Date:</b>	26-May-2016
<b>Managing Unit:</b>	GED01	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Tertiary education (60%), Health (5%), General agriculture, fishing and forestry sector (15%), General energy sector (10%), Information technology (10%)		
<b>Theme(s):</b>	Education for the knowledge economy (80%), Technology diffusion (10%), Other rural development (10%)		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Financing (In USD Million)</b>			
Total Project Cost:	148.00	Total Bank Financing:	148.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
BORROWER/RECIPIENT			0.00
International Development Association (IDA)			140.00
IDA Grant			8.00
Total			148.00
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

#### 2. Project Development Objective(s)

To strengthen selected Eastern and Southern African higher education institutions to deliver quality post-graduate education and build collaborative research capacity in the regional priority areas.

### 3. Project Description

The proposed ACE II project will support the governments of eight participating countries ? Ethiopia, Kenya, Malawi, Mozambique, Rwanda, Tanzania, Uganda, and Zambia in strengthening the selected ACEs to deliver quality post-graduate education and build collaborative research capacity in the regional priority areas. With the view of achieving the above described vision and objective, the proposed ACE II operation will implement three sets of activities: (i) strengthening 24 selected ACEs for ESA in a set of defined regional priority areas (US\$140 million); (ii) providing capacity building support to these ACEs through regional activities (US\$3 million); and (iii) supporting coordination and management of the implementation of Components 1 and 2 (US\$5 million). Outlined below are the proposed activities to be financed under ACE II, including the key features of design and implementation. Their details can be found in Annex 2.

#### A. Project Components

Component 1: Strengthening Africa Centers of Excellence (ACEs) in Regional Priority Areas (US\$ 140 million)

Under this component, the IDA Credit will finance the strengthening of 24 ACEs in five clusters of regional priorities ? Industry, Agriculture, Health, Education and Applied Statistics. Each of these 24 specialized regional centers will receive a grant of up to US\$ 6 million for implementing its proposal in a specific regional priority area. All these ACEs are expected to perform the following tasks:

- (a) Build institutional capacity to provide quality post-graduate education with relevance to the labor market;
- (b) Build institutional capacity to conduct high quality applied research, relevant to addressing a key development challenge/priority;
- (c) Develop and enhance partnerships with other academic institutions (national, regional and international) to pursue academic excellence;
- (d) Develop and enhance partnerships with industry and the private sector to generate greater impact;
- (e) Improve governance and management of the institution and set up a role model for other higher education institutions; and
- (f) Deliver outreach, and create an impact, to society by delivering excellent teaching and producing high quality applied research.

The ACEs financed under the ACE II project were selected through an open, objective, transparent, and merit-based competitive process. The Call for Proposals was followed by a two-step evaluation process conducted by the Independent Evaluation Committee (IEC) : a technical evaluation and an onsite and leadership evaluation. Out of the 92 eligible proposals submitted, RSC conditionally selected 25 proposals to be ACEs, out of which only 24 will be financed under the project based on the following criteria : (a) address a specific challenge in one of the five priority areas in the region ? industry, agriculture, health, education and applied statistics; (b) be of the highest quality; (c) have institutional capacity; (d) provide geographical balance; and (e) have IDA funding eligibility and availability. These selected ACEs underwent financial management (FM), procurement and safeguards assessments.

The proposed ACEs are expected to address specific development challenges facing the region through graduate training (Master's, PhD, and short-term courses) and applied research in the form

of partnerships and collaborations with other institutions and the private sector. These are highlighted below for a quick illustration of their potential impact.

(a) **Industry.** There are nine selected ACEs in the areas of energy, extractives, ICT, manufacturing, railways, and water, based in Ethiopia, Kenya, Mozambique, Rwanda, Tanzania, Uganda, and Zambia. The center in energy will try to alleviate constraints which have resulted from low energy access and adoption of technologies in rural areas and poor inter-state energy trading in ESA. The centers in mining and oil and gas will take the lead on sustainable development of the extractive industry through the provision of education, training programs and research solutions in the field. The center in ICT will educate Africans who will develop and deploy innovative ICT services. The two centers in the water sector will address water and sanitation challenges in the region to ensure safe water and sanitation requirements for water provision; apply technology to use ground water for agricultural applications; and improve municipal and industrial water management. The center in railways will produce trained graduates who can fill the manpower needs of the burgeoning railway sector. The centers in manufacturing will utilize nanotechnology to fill the gap in promoting value addition of primary produce.

(b) **Agriculture.** There are eight selected ACEs in the agriculture area, based in Ethiopia, Kenya, Malawi, Tanzania, and Uganda. They will address development challenges of food insecurity and rural poverty by focusing on sustainable agriculture and agribusiness development and management, e.g., developing value chain capacity in the use of biotechnology and climate smart agriculture to increase crop and livestock productivity and fisheries; developing technology to exploit the potential of edible insects as a source of protein; increasing the relevance of their training programs through internships, tracer studies, and wide stakeholder consultations; and producing scientists who can address issues of climate change adaptability, agricultural sustainability, and food insecurity.

(c) **Health.** There are five selected ACEs in the health area, based in Ethiopia, Malawi, Tanzania, Uganda, and Zambia. These centers will address development challenges in the areas of infectious diseases, public health, and drug development by providing leadership in postgraduate training and research in molecular biology, analytical epidemiology, traditional medicine, and pharma-biotechnology. These centers will provide a regional platform for innovative drug development, including exploring the use of traditional medicine, and support equitable access to medications and diagnostics in the region.

(d) **Education.** The selected ACE in education in Rwanda aims to improve the quality of mathematics and science education through facilitating the delivery of innovative pedagogical approaches, supporting the development and implementation of curriculum reforms, supporting research in mathematics and science education to alleviate learning barriers in these subjects and promote STEM education, and outreach programs targeting all education levels in the region.

(e) **Applied Statistics.** The selected ACE in applied statistics, based in Rwanda will become an international multidisciplinary center that combines expertise in statistics, economics, business, computer science, and engineering to use big data and data analytics to support evidence-based decision-making, help solve complex real-world problems related to development, monitor and evaluate performance of public intervention programs, and stimulate innovation.

These selected ACEs are expected to produce measurable results in the form of increased quality and quantity of graduates (Master's and PhD), and research in the priority areas as well as of increased quality and quantity of research, and increased collaboration and partnerships with industry and other

higher education institutions, both regional and international. According to their proposals, over the project duration of five years, collectively these ACEs plan to:

- (a) produce more than 3,500 graduate students in the regional development priority areas, out of which more than 700 will be PhD students and more than 1,000 will be female students;
- (b) publish almost 1,500 journal articles;
- (c) launch more than 300 research collaborations with private sector and other institutions; and
- (d) generate almost US\$30 million in external revenue.

#### Component 2: Capacity Building Support to ACEs through Regional Interventions (US\$ 3 million)

Under this component, the IDA Grant will finance activities at the regional level to enhance the capacity of the ACEs and help them overcome key challenges for achieving the PDO. The ACE I experience indicates that additional support is needed to ensure that the selected ACEs achieve the intended outcome and impact of the project. Areas of additional support include: (a) capacity development to address key institutional inadequacies such as partnership development with the private sector; and (b) competitive scholarships to award top future talents and encourage regional student mobility. Under the ACE Scholarship Program, regional students will be financed for two years to attain a Master's degree in any of the ACEs. It is envisioned that the ACE Scholarship program will acquire the prestige of a Rhodes type scholarship program, identifying and cultivating future leaders for the region. Some elements of this component could be implemented by specialized TA firm(s) which will be overseen by the RFU.

#### Component 3: Facilitation, Coordination and Administration of Project Implementation (US\$ 5 million)

This component will be financed in the form of a Regional IDA Grant to the RFU. The sheer number of countries and institutions participating in ACE II makes the project implementation complex and requires a RFU that has a designated team for helping manage the project. The main role of the RFU is to deliver some capacity development activities under Component 2. The RFU will explore networks of regional institutions and industries within and outside of the ESA region and manage TA firm(s), as needed, to ensure effective project preparation and implementation, and oversee, administer, and coordinate M&E activities across the ACEs to ensure their achievement of the agreed DLI results. The Inter-University Council for East Africa (IUCEA), a regional body under the aegis of the EAC, was selected by the RSC as the RFU for the project through a competitive process (see Annex 3 for more details on the selection process). To fulfill the responsibility as the RFU, IUCEA is forming a team which comprises a project coordinator, a financial specialist, a communication officer and others. IUCEA has already received an IDA Grant of US\$1 million as part of the Project Preparation Advance (PPA).

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

The locations of the ACEs are as follows:

Ethiopia: Addis Ababa (3 ACEs) and Dire Dawa (1 ACE)  
 Kenya: Bondo, Eldoret and Njoro (1 ACE each)  
 Malawi: Lilongwe and Blantyre (1 ACE each)  
 Mozambique: Maputo (1 ACE)  
 Rwanda: Kigali (4 ACEs)

Tanzania: Arusha and Morogoro (2 ACEs each)

Uganda: Kampala (2 ACEs), Mbarara (1 ACE) and Nkozi (1 ACE)

Zambia: Kitwe and Lusaka (1 ACE each)

## 5. Environmental and Social Safeguards Specialists

Constance Nekessa-Ouma (GSU07)

Svetlana Khvostova (GEN01)

6. 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. ESMP should be prepared for each candidate institution to manage environmental and social impacts. ESMPs have been prepared, consulted upon, and disclosed by all the ACEs.
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 do not involve pest management.
Physical Cultural Resources OP/BP 4.11	No	The project activities will not affect physical/cultural resources.
Indigenous Peoples OP/BP 4.10	No	The project activities will not affect indigenous peoples.
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	Project activities do not involve construction of or reliance on dams.
Projects on International Waterways OP/BP 7.50	No	Project activities are not expected to impact on international waterways.
Projects in Disputed Areas OP/BP 7.60	No	Project areas do not include disputed areas.

## 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 focuses on quality enhancements of the selected ACEs, which primarily requires "softer items" i.e. faculty and curriculum development. Some of the ACEs may undertake some rehabilitation of their existing facilities. However, there will be no new land acquisition for the ACEs and any rehabilitation will be based within the existing institutions. Thus, the impact on environment is low.
<b>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</b>
Most project activities are in teaching/training, learning, research and application. Their long term impacts on environment are low.
<b>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</b>
Each ACE has developed its own ESMP to safeguard its activities.
<b>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.</b>
See table above.
<b>5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.</b>
Each ESMP has been disclosed on the ACE institution's website or on campus for public access.

### ***B. Disclosure Requirements***

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	22-Feb-2016
Date of submission to InfoShop	22-Apr-2016
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	

"In country" Disclosure	
Ethiopia	22-Feb-2016
<i>Comments:</i>	
Kenya	22-Feb-2016
<i>Comments:</i>	
Malawi	22-Feb-2016
<i>Comments:</i>	
Mozambique	22-Feb-2016
<i>Comments:</i>	
Rwanda	22-Feb-2016
<i>Comments:</i>	
Tanzania	22-Feb-2016
<i>Comments:</i>	
Uganda	22-Feb-2016
<i>Comments:</i>	
Zambia	22-Feb-2016
<i>Comments:</i>	
<b>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.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	

### ***C. Compliance Monitoring Indicators at the Corporate Level***

<b>OP/BP/GP 4.01 - Environment Assessment</b>			
Does the project require a stand-alone EA (including EMP) report?	Yes [ <input type="checkbox"/> ]	No [ <input checked="" type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>The World Bank Policy on Disclosure of Information</b>			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
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 [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]
<b>All Safeguard Policies</b>			
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input checked="" type="checkbox"/> ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]	NA [ <input type="checkbox"/> ]

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [ <input checked="" type="checkbox"/> ]   No [ <input type="checkbox"/> ]   NA [ <input type="checkbox"/> ]
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### III. APPROVALS

Task Team Leader(s):	Name: Arun R. Joshi,Reehana Rifat Raza,Xiaonan Cao	
<b><i>Approved By</i></b>		
Safeguards Advisor:	Name: Johanna van Tilburg (SA)	Date: 03-May-2016
Practice Manager/ Manager:	Name: Sajitha Bashir (PMGR)	Date: 03-May-2016