

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

**Report No.: ISDSA13756**

**Date ISDS Prepared/Updated:** 03-Jun-2015

**Date ISDS Approved/Disclosed:** 13-May-2015, 03-Jun-2015

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	Afghanistan	<b>Project ID:</b>	P146184
<b>Project Name:</b>	Higher Education Development Project (P146184)		
<b>Task Team Leader(s):</b>	Harsha Aturupane		
<b>Estimated Appraisal Date:</b>	27-May-2015	<b>Estimated Board Date:</b>	29-Jun-2015
<b>Managing Unit:</b>	GEDDR	<b>Lending Instrument:</b>	Investment Project Financing
<b>Sector(s):</b>	Tertiary education (100%)		
<b>Theme(s):</b>	Education for the knowledge economy (100%)		
<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:	50.00	Total Bank Financing:	0.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount</b>
Borrower			0.00
Afghanistan Reconstruction Trust Fund			50.00
Total			50.00
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

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

The project development objective is to increase access to, and improve the quality and relevance of, higher education in Afghanistan.

**3. Project Description**

The HEDP will support the country's NHESP II 2015-2020. The HEDP is organized under two components: (a) a Higher Education Development Program component; and (b) a Program

Operations and Technical Support component. These components are complementary. Component one has been strategically designed to assist the implementation of NHESP II. Component two will support the implementation of component one through program coordination, technical assistance, capacity building, monitoring and evaluation, and research and communication. These activities will benefit both the MoHE and the individual universities.

### Project Components

Component One: Higher Education Development Program (estimated cost US\$ 40 million)

This component will support the implementation of the NHESP-II through a Results-Based Financing (RBF) modality. Disbursements will be associated with specific results called Disbursement Linked Indicators (DLIs). Financing will be provided against Eligible Expenditures Programs (EEPs) selected from annual MoHE budgets, rather than against specific inputs. The following key themes would be supported under the component.

#### Theme 1.1: Increasing Access to Priority Degree Programs for Economic Development

The objective of this theme is to expand enrollment in degree programs that are of direct relevance for future economic development. Special attention will be given to increase female participation in priority degree programs, through initiatives such as: (a) providing scholarships for female students from disadvantaged backgrounds to enroll in priority degree programs; (b) strengthening orientation, counseling and support services for women in universities; (c) improving transportation services to and from universities; and (d) developing on-line higher education courses to expand opportunities, especially for women who are physically constrained for cultural reasons from attending universities. The expected increase in student numbers will also require expansion of a variety of physical facilities and equipment, such as lecture halls, tutorial rooms, ICT facilities and equipment, science and medical laboratories and equipment, libraries and e-resources, residential facilities and water and sanitation. The construction activities required to implement the NHESP-II would be funded through the MoHE budget.

#### Theme 1.2: Modernizing and Enhancing the Quality of Teaching and Learning

The objective of this theme is to assist universities to introduce modern outcome-based education (OBE) and student-centered learning (SCL) in line with current international trends in higher education. The introduction of OBE and SCL will require new approaches to curriculum design and delivery; innovative teaching methods and techniques; active and dynamic learning models; increased use of higher education publications, and ICT and internet-based resources; and the modernization of assessment systems, in universities. The Staff Development Centers (SDCs) of universities will play an important role in the provision of continuous professional development for university academics, management and technical staff, to introduce and establish OBE and SCL and to use ICT, web-based content and digital resources, for teaching and learning. The degree programs which are considered priorities for the country's economic development will be the first set of programs to which OBE and SCL will be introduced. Over time, OBE and SCL will be expanded to other degree programs. A key element will be to strengthen the capacity of the Afghanistan Research and Education Network (AfgREN) to operate a national system that connects campus networks to each other and to other research and education networks globally.

#### Theme 1.3: Improving the Qualifications and Skills of University Staff Members

Under this theme the number of academic staff members who are qualified to at least Master's Degree level will be substantially increased. Special attention for support will be given to: (a)

academic staff from degree programs identified as priorities for economic development; and (b) female academics. Scholarships will target faculty staff of public universities and will be restricted to full-time, regularly employed faculty staff. Cost effectiveness and the quality of Master's degree programs will be considered when selecting universities for study. Cultural factors in Afghanistan create a preference among many female academics to pursue their postgraduate studies in-country. In such cases, blended formulae will be used where possible, to combine overseas and in-country study in partnership with foreign universities. Scholarship awardees will be bonded by an obligation to work in Afghan universities after graduation. It is expected that at least 300 scholarships will be awarded over the project implementation period. The program will be organized in parallel with the recruitment of new staff so that the absence of faculty staff pursuing full time study will not create an excessive shortage of teachers. The development of the universities will also require the skills of technical staff, such as laboratory and ICT technicians and librarians, to be upgraded. Under this theme the MoHE will support the improvement of the quality of university technical staff through suitable short-term skills upgrading programs, organized mainly through the SDCs.

#### Theme 1.4: Strengthening Governance, Quality Assurance and Accreditation

The objective of this theme is to promote substantive and procedural autonomy of universities, and to develop the quality assurance and accreditation system. Increased substantive autonomy will empower universities to take greater initiative and responsibility for the development of academic programs, research activities and community services. Under procedural autonomy universities will have greater administrative powers and responsibilities. A by-law on financial autonomy has been approved by the cabinet. This enables universities, in principle, to generate and retain revenues from postgraduate degrees, research and consulting activities, and extension courses, to be used for university development. The development of the procedures and systems to implement this by-law, including training and capacity building of university leadership and management, and fiduciary staff, is an important part of this theme. The exercise of substantive autonomy would initially be pilot tested in about two-four universities and rolled out over time.

For universities to exercise autonomy and be accountable, a clear long term vision must be developed. To that end, universities will prepare and implement strategic institutional development plans (SPs) aimed at progressively increasing the quality and relevance of their degree programs, research outputs and community services, and utilizing feedback from external and internal quality assurance reviews. SPs will have to be consistent with the NHESP-II and present a realistic and sustainable financial framework. In parallel, universities will also develop Annual Progress Reports (APRs) which will monitor and report progress towards achieving SP targets, including remedial measures in case of deviations from the SP. Universities' institutional development will be strengthened through a Mentors Program. Mentors would be drawn from among senior academics from foreign and Afghan universities who will support institutional development and the achievement of the goals and targets set in university development plans. Mentors will interact closely with the senior management of universities through regular visits.

Under this theme, quality assurance and accreditation (QAA) will be expanded and strengthened to reflect international standards of rigor and utilization. At the national level, the Afghanistan Quality Assurance and Accreditation Directorate (QAAD) in the MoHE will be developed, including through membership of an international accreditation network such as the Asia Pacific Quality Assurance Network (APQN). This will help MoHE to benefit from international good practice. The QAAD would develop a cadre of QA reviewers trained to incorporate modern QA protocols and guidelines, and conduct a fresh cycle of external quality assurance for public universities and private HEIs. The capacity of the QAAD would also be enhanced to enable a clear, transparent and objective process

for the licensing, quality assurance and accreditation of private HEIs. This is an urgent necessity due to the rapid growth of private HEIs of very variable quality.

A comprehensive Internal Quality Assurance System will also be developed in public universities. This would involve: (a) setting up Internal Quality Assurance Units (IQAUs) in universities which lack such units; (b) developing IQAUs in universities which have embryonic units; (c) assisting universities to conceptualize, plan and conduct institutional self-assessments; (d) incorporate findings from QA reviews into the design and implementation of university institutional development plans; and (e) establish a process of continuous quality improvement of teaching and learning in universities. The IQAUs will play a key role in assisting the academics to assess and develop the quality of the novel OBE and SCL, and internet-based, teaching and learning methodologies.

#### Theme 1.5: Stimulating Development Oriented Research

The objective of this theme is to develop a research culture in universities. The focus will be on applied, development oriented research projects, mainly from the priority disciplines. However, research projects from other disciplines, if clearly development oriented, will also be eligible for resources. Both group research projects and individual research will be supported. The group projects could include research activities by teams drawn from a single university, or teams drawn from more than one university. Collaboration on research projects with overseas researchers would also be encouraged. The Kabul based universities would be expected to undertake research projects focused on national development. The universities in the provincial towns could also undertake national research, but would also act as research hubs for the development of their provinces. The research culture to be developed will be results-focused and based on competition. This is consistent with the principle that research activities are more productive if they are based on incentives and demand, rather than supply-driven.

#### Component Two: Program Operations and Technical Support (Total US\$ 10 million)

This component aims to strengthen the capacity of MoHE and universities to implement the reforms of the NHESP-II. Support under this component will cover coordination, capacity building, pilot initiatives of innovations, monitoring and evaluation, research and communication. The technical assistance and capacity building activities of this component will assist the MoHE to implement the development initiatives of the NHESP-II. Policy studies could include beneficiary satisfaction surveys of staff and students of institutions and programs supported by HEDP, as well as tracer studies of graduates to analyze their job search and labor market experience. Communication would enable higher education authorities to disseminate development initiatives to political authorities, policy makers, academics, students, and the general public. The component would also help MoHE to support pilots and innovative approaches such as the orientation of the universities in provincial towns to support the economic development of their provinces. This component will also finance incremental operating costs for an Operations and Monitoring Support Team (OMST) in the MoHE.

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

No negative social safeguard issues and impacts of the Project are expected since there will be no civil works financed by the Grant. While the GoA may finance civil works under the broader NHESP-II sectoral program using GoA funds, no land acquisition is anticipated. In the case of new facilities, construction is expected to take place on land already owned by MoHE and universities. Before the start of any physical works, MoHE will confirm state ownership of land and provide documentation that it is free of squatters, encroacher's, or other claims or encumbrances. In

rehabilitating existing facilities or constructing new buildings, MoHE will provide facilities to address the needs of disabled people per international standards. The MoHE has developed an Environment and Social Management Framework (ESMF) comprising guidelines and procedures for managing and mitigating potential negative environmental and/or social impacts of the Project. This ESMF is also applicable to activities supporting NEHSP-II funded under the GoA budget. The ESMF includes a Resettlement Policy Framework (RPF) that clarifies resettlement principles, including the definition of “project affected peoples” (i.e. eligibility), compensation matrix, organizational arrangements, consultations and design criteria to be applied to sub-projects in the event that sub-projects require land acquisition or result in any resettlement outcomes. The RPF customizes an existing RPF applied in a number of ministries, the basic principles of which were approved by an inter-ministerial committee in December 2010.

### 5. Environmental and Social Safeguards Specialists

Abdul Mohammad Durani (GSURR)

Asta Olesen (GSURR)

Marzia Meena Sultan Ahmad (GSURB)

Mohammad Arif Rasuli (GENDR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	MoHE has conducted an environmental assessment and has prepared a sectoral environment and social management framework (ESMF) to address potentially negative environmental and/or social impacts caused by construction activities undertaken by the GoA and financed from its own resources as part of its sectoral program. The ESMF consists of environmental and social mitigation measures, environmental and social monitoring requirements, as well as documentation protocols. It specifies capacity building needs for effective implementation of the ESMF. The OMST will assist MoHE in putting in place the necessary institutional arrangements.
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	No	No physical cultural resources will be impacted as in the case of new facilities, the expansion of infrastructure is expected to take place on land already owned by MoHE and public universities. The ESMF contains Chance Find Procedures based on applicable Afghan law, to guide any chance finds during implementation.
Indigenous Peoples OP/	No	The project is of national scope, with special attention to inclusion of women. No communities identified as

BP 4.10		Indigenous People will be impacted
Involuntary Resettlement OP/BP 4.12	Yes	The ESMF comprises a Resettlement Policy Framework (RPF) that clarifies resettlement principles, including the definition of “project affected peoples” (i.e. eligibility), compensation matrix, organizational arrangements, consultations and design criteria to be applied to subprojects in the event of sub-projects which require land acquisition.
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

<p><b>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</b></p> <p>The project will not support any construction activities. However, the overall government program supported by the project would assist the construction of buildings. Any adverse environmental and social impacts associated with these investments will be small-scale and site-specific. The MoHE has conducted an environmental assessment and has prepared a sectoral environment and social management framework (ESMF) and Resettlement Action Plan (RAP) to address potentially negative environmental and/or social impacts.</p>
<p><b>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:</b></p> <p>Given the nature of the activities and their potential adverse impacts that will be manageable at an acceptable level, no long-term impact due to project activities is foreseen.</p>
<p><b>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</b></p> <p>N/A.</p>
<p><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></p> <p>The MoHE has developed an Environment and Social Management Framework (ESMF) comprising guidelines and procedures for managing and mitigating potential negative impact. The MoHE has produced the ESMF as applicable also to activities funded under the government budget. The ESMF comprises a Resettlement Policy Framework (RPF) that clarifies resettlement principles, including the definition of “project affected peoples” (i.e. eligibility), compensation matrix, organizational arrangements, consultations and design criteria to be applied to subprojects in the event of sub-projects which require land acquisition. The RPF is customizing an existing RPF applied in a number of ministries, the basic principles of which were approved by an inter-ministerial committee in December 2010. The MoHE acquired some experience in handling safeguards issues under the SHEP project and is expected to be able to manage the implementation</p>

of the ESMF. The HEDP under Component 2 can provide any technical assistance in environmental and social safeguards required to the MoHE.
<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>
During preparation consultations have been held with a range of sectoral stakeholders and their comments taken into account. The MoHE disclosed the ESMF locally in English and local languages (Dari and Pushto) on May 6 and forwarded it to the Bank for disclosure on InfoShop. InfoShop disclosed the ESMF on June 12.

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

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	06-May-2015
Date of submission to InfoShop	12-May-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	00000000
"In country" Disclosure	
Afghanistan	06-May-2015
<i>Comments:</i> The ESMF was disclosed at the Ministry of Higher Education and the universities.	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	06-May-2015
Date of submission to InfoShop	12-May-2015
"In country" Disclosure	
Afghanistan	06-May-2015
<i>Comments:</i> The RAP was disclosed at the Ministry of Higher Education and the universities.	
<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 checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
<b>OP/BP 4.12 - Involuntary Resettlement</b>	
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [ <input checked="" type="checkbox"/> ] No [ <input 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 checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ <input checked="" type="checkbox"/> ] No [ <input type="checkbox"/> ] NA [ <input 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"/> ]

### III. APPROVALS

Task Team Leader(s):	Name: Harsha Aturupane	
<b><i>Approved By</i></b>		
Practice Manager/ Manager:	Name: Keiko Miwa (PMGR)	Date: 03-Jun-2015