

**INTEGRATED SAFEGUARDS DATA SHEET
APPRAISAL STAGE**

Report No.: ISDSA12998

Date ISDS Prepared/Updated: 22-Apr-2015

Date ISDS Approved/Disclosed: 22-Apr-2015

I. BASIC INFORMATION

1. Basic Project Data

Country:	India	Project ID:	P150394
Project Name:	MP Higher Education Quality Improvement Project (P150394)		
Task Team Leader(s):	Tobias Linden,Sangeeta Goyal		
Estimated Appraisal Date:	22-Apr-2015	Estimated Board Date:	16-Jun-2015
Managing Unit:	GEDDR	Lending Instrument:	Investment Project Financing
Sector(s):	Tertiary education (100%)		
Theme(s):	Education for the knowledge economy (100%)		
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:	430.00	Total Bank Financing:	300.00
Financing Gap:	0.00		
Financing Source			Amount
BORROWER/RECIPIENT			130.00
International Development Association (IDA)			300.00
Total			430.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The development objective of the proposed project is to improve student outcomes especially for disadvantaged groups in selected higher education institutions and to increase the effectiveness of the higher education system in Madhya Pradesh.

3. Project Description

The Madhya Pradesh Higher Education Quality Improvement Project (MPHEQIP) will support in

part the implementation of the Government of Madhya Pradesh's vision for the higher education sector as articulated in the Vision 2018 document and the State Higher Education Plan of 2014. The Project in alignment with the Government's vision focuses on the following thematic areas in higher education:

- (a) Excellence and employability through better quality of education services offered, improved teaching-learning resources, and research;
- (b) Expanding equity and access; and
- (c) Strengthened sector and institutional governance and financing, and management (including better monitoring and evaluation in the sector).

The project is designed around the fact that the higher education sector in Madhya Pradesh is currently at an emergent level with regards to capacity of higher education institutions (HEIs) to achieve quality outputs, internal and external quality assurance, and robust governance, management and data systems. The Government of Madhya Pradesh (GOMP) foresees a significant period of reform in the Higher Education sector initiated by their Vision 2018 document, their participation in the RUSA scheme and new state level initiatives.

The MPHEQIP has three components: (i) Component 1: Grants support to Higher Education Institutes (HEIs) for improving institutional performance along the following dimensions - excellence, equity, employability, access, and governance, (ii) Component 2: State Level Initiatives to strengthen sector governance, and (iii) Component 3: Improving System Management.

The project would use an Investment Project Financing (IPF) lending instrument using a Results Based Financing (RBF) modality. Disbursements under Components 1 and 2 will be made against a set of Eligible Expenditure Programs (EEPs) selected from the higher education budget of the state, and will be linked to the achievement of a set of Disbursement Linked Indicators (DLIs). The Bank's guidelines on Financial Management, Procurement, and Social and Environmental safeguards will be applicable to the EEPs. Component 3 which will be Technical Assistance component to improve system management and for capacity building for effective implementation of the project would use a traditional investment project approach.

A description of the activities proposed under the three components is provided below:

Component 1 – Grants Support to Higher Education Institutes (HEIs)

The main thrust of project will be Institutional Grants to eligible government colleges and universities through two windows: (a) Window 1: Institutional Development Grants support to HEIs, and (b) Window 2: Establishment of Centers of Excellence. The Institutional Development Grants (Window 1) will provide financing to enable colleges and universities to pursue the goals set out in their respective Strategic Plans which will be prepared by all government colleges and university departments under the project. It is expected that through these Plans institutions will improve institutional performance around quality in higher education, equitable access and better capacity utilization, strengthened quality assurance including activities aimed at making students more employable, skills development, and strengthened institutional mechanisms for governance and management. Centers of Excellence support (Window 2) will provide financing to a limited number of colleges and university departments that satisfy a set of minimum conditions for excellence for establishing best practice teaching-learning and research in a focus area. Component 1 will constitute the major bulk of funding under the project. A Higher Education Institute can, in principle, receive support under both windows.

The grants provided under this component will also reinforce the system reforms under the project, e. g., (i) increased autonomy and accountability, and will help re-define the relationship between DHE and government colleges; and, (ii) pursuing National Assessment and Accreditation Council (NAAC) accreditation to benchmark quality and give access to additional resources for quality improvement from national and state governments.

Window 1 -- Institutional Development Grants to HEIs

Institutional Strategic Plans: All government colleges and university departments in the state will prepare an institutional strategic plan with a 10-year horizon, setting out their goals (including measurable targets) and a set of actions necessary to achieve those goals. The HEIs can use their plans to propose, inter-alia, training of faculty, up-gradation of equipment, and teaching-learning resources, refurbishment of existing infrastructure, construction of new infrastructure (college buildings and hostels) upto a ceiling , ICT services (including libraries and e-resources), quality assurance, support for disadvantaged students (by enhancing their student support services, remedial classes, pedagogical training, etc.), improving environmental management of the campuses, wifi-campuses and smart classrooms, sports and cultural activities, additional technical support staff, and additional faculty members hired on contract for the project period. It is expected that the average grants size to an institution will likely be \$2 million (10 crore rupees; actual grants size may be less or more), and a maximum of 200 government HEIs will be supported through this sub-component.

The process for developing these Plans is expected to galvanize the various stakeholders in institutions (faculty, non-teaching staff, students, members of the Governing Body, local employers) around plans to improve their institution. It is expected that these Plans would also help institutions prepare for NAAC accreditation (either for the first time or for re-accreditation). These Plans would form the basis for the Government to prioritize the allocation of resources from MIPHERP, and the RUSA scheme as well as be the platform from which institutions apply for other funding (from UGC, Department of Science and Technology, alumni, employers, etc.). The Strategic Plan is a significant undertaking, the need for these plans to be developed in a consultative way, and the fact that most institutions do not have experience of preparing such plans, institutions will need significant training and capacity building support to do this properly. The Plans once prepared would be finally approved by the Governing Body of the institution.

Selection of colleges and university departments for Institutional Grants support: Broadly, the selection process will be a three stage process consisting of (a) identification of eligible institutions, (b) preparation of strategic plans by eligible institutions with technical support, and (c) review of plans for final selection. The eligibility criteria for HEIs to receive institutional grants would be a set of objective indicators: having a minimum number of students, a minimum percentage of faculty positions filled, having an active quality assurance committee, have completed all required audit reports, and be at least of a certain age. The final minimum values of these criteria as determined by Department of Higher Education (DHE) and agreed with the World Bank will be described in the Project Implementation Plan (PIP). All eligible colleges and university departments will need to complete their Strategic Plans, and HEIs that are selected for grants support will need to submit annual work-plans and budgets, annual targets to be achieved and a financial sustainability plan covering five years after project closing, and agree to the monitoring and reporting requirements of the project. DHE will use review committees to assess Plans and recommend any changes or approve them. All plans will be consistent with National Assessment and Accreditation Council (NAAC) requirements, and will include quality, equity, efficiency and governance and management target outcomes for the KPIs and the intermediate outcome indicators in the Results Framework. All

supported institutions will also ensure that there is regular internal quality assurance through their quality assurance committees and through labor market tracking of students.

Performance management and Quality Assurance: Each institution receiving an Institutional Grant will receive an initial allocation (20 percent of the grant) to begin activities. Each institution will also agree with DHE on a set of performance standards which will have to be met in order to receive further tranches of funding. Some of these performance standards will be common across all institutions (such as adherence to the FMP Manual, on-time preparation of the financial audit, on-time completion of data entry for the management information system/AISHE, publication of an annual report, etc.) while others will be related to specific goals and objectives of the different institutions.

Strategic Plan support to institutions is aimed at strengthening systems and mechanisms so that institutions can make continuous improvement in the delivery of education services. All colleges in Madhya Pradesh have an Internal Quality Assurance Cell (IQAC) which will be strengthened through Strategic Plan support, and which will take the lead in helping institutions achieve NAAC accreditation, in preparation of the institution's annual report, and other quality related issues in the institution. As NAAC accreditation, preparation of annual reports, and quality management are data intensive processes, the HEIs will use the financial support provided for their strategic plans to hire dedicated data management personnel. All institutions selected for ISP support will have to establish functional placement and career cells, and introduce labor market tracking of students, through a system of their choice (such as making use of mobile phones and e-mails). These placement cells would have dedicated personnel who will have the skills-set that allow the HEI to establish strong linkages with employers within and outside the state, arrange for soft-skills development of their students, and manage and update the institutional data associated with placement and labor-market tracking.

Window 2 – Establishment of Centers of Excellence in existing colleges and university departments
This window will support the establishment of Centers of Excellence (COEs) in different subject areas in existing government colleges and university departments. The objectives of the COEs will be to develop specialized facilities in particular subject areas, and undertake research in areas that have been deemed to be of importance for academic, commercial and research reasons. The COEs will be awarded using a sequence of steps beginning with inviting proposals from interested government colleges and university departments.

Center of Excellence Proposal, review and selection process: Interested colleges and university departments will have to submit a detailed proposal for the establishment of COEs. The proposal will describe the institution's vision and objectives for establishment of the COEs, self-assessment of their strengths, weaknesses, and the opportunities they foresee for themselves, activities and targets to be achieved over the project period and annually, and against which they will report, and a budget/cost section. The Departments can use their proposals, inter-alia, for training of faculty, equipment, teaching-learning resources, refurbishment, ICT services, fellowships, quality assurance such as NAAC fees, and support for signing MOUs with industries, additional technical support staff, and additional faculty members hired on contract for the project period. Only those colleges and university departments that fulfill a set of minimum conditions for excellence will be eligible for support through this window. The process of reviewing and final selection of proposals will include teams of two independent experts who would review each proposal and make a recommendation to the Project Directorate (PD). The objective of the evaluation will be two-fold. The first objective will be to make a recommendation to the PD regarding funding for the proposal; the second objective will

be to provide guidance to the applicants on how to strengthen their proposals.

Performance management: In a similar way to Institutional Grants, institutions receiving funds for COEs will be required to meet certain performance benchmarks in order to receive funds beyond the initial allocation.

Component 2: State Level Initiatives

The main objectives of Component 2 is to support state level initiatives for enhanced equity, improving the quality of teaching, learning and research, and the quality and relevance of system outputs in the form of better skilled graduates and research desirable by employers, and companies in the private sector. The Component supports strategic interventions to be undertaken by the state to (a) provide financial support through scholarships to disadvantaged and meritorious students, (b) upgrade qualifications and skills of new and existing faculty members, (b) establish a state institute of higher education training and research, (c) extend technical assistance for NAAC to all government HEIs, and (d) strengthen teaching-learning resources in colleges through library and e-resources grants.

Scholarship support for disadvantaged students: Under this sub-component, the GOMP will commission an evaluation of existing scholarship schemes for their impacts on the ease with which scholarships can be accessed by potential students, continued student attendance and retention, course completion, and adequacy of support. The evaluation will also explore the possibility of supporting meritorious students from disadvantaged backgrounds, and for increasing the participation of students from these groups into more science based courses. Based on the findings of the evaluation, the design of some of the existing schemes will be revised, and the number and types of scholarships offered will be scaled up. Consultations will be held with targeted beneficiaries before the revised set of schemes are finalized. Information on all scholarship schemes offered by the DHE will be made available on the Scholarship Portal which is a repository of information on scholarships for Higher Education from all sources in the state. In the fourth year of project implementation, GOMP will commission a feasibility study for the sustainability of interventions introduced under this activity.

Establishment of the State Institute of Higher Education, Training and Research (SIHETR): There is a need for a dedicated institutional or organizational mechanism with the mandate for the focused development of human resources for higher education, and which includes in its scope training (including needs analysis, implementation plans, calendars etc.), research and development, consultancy, and other activities). Members of the SIHETR can include faculty from the parent institution, faculty from other HEIs, experts, academics and scholars, and industry representatives. The SIHETR will also offer residential and non-residential fellowships to scholars in India and abroad. It is envisaged that the SIHETR will inter alia carry out the following functions:

- a. Carry out training needs analysis (TNA) periodically for faculty, management, heads of institutions and other stakeholders in the sector.
- b. Coordinate training activities that are on offer from various institutions in the state, and create a single-window for applicants to get information on these training. In particular, conduct training of trainers.
- c. Create linkages with institutions that are located within the country and abroad for conduct of training and joint research in higher education domain areas and areas identified in the TNA.
- d. Promote research and analysis in the area of higher education pedagogy, assessment, curriculum revision and development, students' need assessment, policy making and M & E. In particular, provide advice to the State Higher Education Council, the DHE and the State

Governments as needed, for example, over norms for establishing colleges and the introduction of the choice based credit system in institutions.

- e. Conduct specialized training to faculty on research methods, sources of support for carrying out research, and the various media for publication of good research (as working papers or in peer reviewed journals).
- f. Develop specialized state-level facilities for audio-visual lab , to connect with other institutions and pilot innovative curriculum ideas
- g. Have a dedicated website that will make available in the public domain: research, work in progress, and information on upcoming events.

The PD will invite applications from interested institutions in the state for the establishment of the SIHETR within their existing campus. The project will provide support for the refurbishment of premises, equipment and facilities support, fellowships, recurrent costs, and hiring of extra personnel required to run and manage the SIHETR.

Upgrading Qualifications and Skills of New and Existing Faculty Members: The project will provide financial support to all government HEIs for upgrading their academic qualifications (Masters, Doctorate etc.). Institutions which receive in Institutional Grant would be expected to use that Grant to meet these costs. For other colleges, direct provision of financial support for upgraded qualifications will be provided. The project will also provide research grants to faculty members and researchers to conduct original research, and for publication fees. Research grants will be awarded through a rigorous peer review process, including experts from outside Madhya Pradesh, and in priority areas.

Enhancing the Quality and Relevance of Programs delivered by HEIs: Curriculum development and revision for affiliated colleges in Madhya Pradesh are currently the responsibility of the Board of Studies of affiliating Universities. In most colleges, faculty and students express their dissatisfaction with the relevance of curricula used in the various programs, though there is no functional mechanism in the state to take cognizance of their views. In principle, faculty members in colleges have the freedom to adapt twenty percent of the syllabus to align with needs as they deem fit.

All the six affiliating state universities in Madhya Pradesh will establish Curriculum Revision Committees (CRC) that will coordinate with their Boards of Studies for the various programs, and the affiliating colleges to ensure that curricula for all programs currently offered are revised, and new curricula developed for colleges wishing to introduce such programs. The CRC will include experts, scholars, industry representatives, teachers and students, and research organizations. Digitization of all curricula will be done (as video lectures, power-point presentations, e-books etc.), and made available for all colleges in the state.

Extending NAAC related support to all government and aided colleges: Government and aided colleges in Madhya Pradesh that are not selected for Institutional Grants support will be able to use the aegis of the project towards applying for NAAC accreditation. This will include financial support for (a) participation in NAAC workshops organized by the Project Directorate, (b) preparation of their NAAC applications which can include hiring of consultants and experts in this area, and (c) NAAC fees.

Component 3 – Improving System Management

The main objective of this component is to assist the DHE, the State Higher Education Council (SHEC), the Project Directorate and the HEIs to strengthen their implementation capacity and sector

governance and management. Funds under this component will be disbursed based on Interim Unaudited Financial Reports (IUFs) prepared and presented quarterly. This component has two main sub-components – Sub-Component 3.1: Improving Sector Governance and Management, and Sub-Component 3.2: Capacity Building which includes technical assistance, project management and monitoring and evaluation activities.

Sub-component 3.1 – Improving Sector Governance and Management

The objective of this sub-component is to strengthen governance, management and accountability structures and practices at the state and institution levels. The main activities supported under this activity will include: (a) helping a larger number of institutions attain autonomous status that goes beyond the UGC definition of autonomy, (b) all government HEIs to prepare an annual report on performance, (c) reconstitution of the Board of Governors of HEIs with clear mandates with respect to governance and accountability, and (d) fiduciary strengthening of government colleges.

Institutional Autonomy: The UGC formally grants to colleges’ academic autonomy that meets certain conditions; this autonomy relates to curriculum, conduct of examinations, assessment and declaration of results. Such colleges are also entitled to certain grants from UGC. Colleges wishing to apply for autonomy have to meet certain conditions, including having permanent affiliation and NAAC accreditation. The Institutional Grants therefore are an important mechanism for helping institutions acquire this academic autonomy.

Beyond this academic autonomy however, evidence from around the world, including India, shows that a key reform that promotes more effective institutional performance (of both universities and colleges) is greater autonomy across financial, managerial and administrative aspects as well. This will require new guidelines and regulations to be developed by the Department of Higher Education, to be followed by significant capacity building of institutions in order that they may exercise this greater autonomy effectively. These guidelines and regulations will also need to address how institutions with greater autonomy will also be subject to robust accountability. The intention is that more colleges would acquire this autonomy during the project period.

Institutions Annual Reports: All government colleges will prepare and publish an annual report, which will provide information on a standard set of indicators collected in a consistent way. These annual reports will (a) provide reliable information on the nature and performance of the HE sector in Madhya Pradesh, (b) act as benchmarks for the HEIs assessment of their own performance, (c) source of evidence to inform policy developments, and (d) contribute to public accountability of the HE sector. The PD and the DHE will develop a set of indicators and a template for the annual report in the first year of the project.

Jan Bhagidari Samitis/Boards of Governors: Having an effective Board of Governors is also essential in order for colleges to effectively utilize their autonomy by setting and fulfilling strategic objectives. Capacity building of members of the boards of governors will be needed over the course of the whole project.

Fiduciary strengthening of government colleges and state universities: Under this sub-component, the DHE and government colleges will be supported to strengthen their fiduciary systems through (a) shifting to electronic systems for financial management, and (b) financial support for hiring a Chartered Accountant for clearing past audit observations and conducting regular audits. The RUSA PD will designate an officer (who can be a consultant hired for the purpose) to consolidate all the audit responses received and prepare a institution-wise report that will be used to follow up on

compliance, and to provide appropriate support to HEIs as necessary on an annual basis.

Sub-component 3.2: Capacity Building

This sub-component will support capacity building activities to help SHEC, the PD and the HEIs carry out the implementation of the project in a smooth manner. It will include technical assistance support project management, monitoring and evaluation, and funds for surveys, studies, assessments and any due diligence deemed necessary for policy and practice. . This component requires the preparation of an annual procurement plan according to guidelines and agreed between the DHE and the World Bank (described in a procurement manual). Activities under this sub-component can include inter-alia:

- Fully staffed Project Directorate: the PD can use project funds to hire consultants in different expertise areas (domain areas such as pedagogy, scholarships, M & E, and management areas such as procurement, financial management, M & E) for the entire project period or for a short duration as deemed necessary.
- DLI verification: Hiring of agencies to verify the achievement of the DLI according to agreed protocols and to agreed standards.
- Performance assessment and verification of reports submitted by supported HEIs (colleges and university departments) against their annual targets.
- Faculty and Student Satisfaction Surveys: The Project Directorate will commission surveys of faculty and student satisfaction and of employer perceptions at least twice during the project period, and use the findings towards actions that can help improve the academic experience of faculty and students subsequently.
- Policy or Assessment studies on the affiliation system, the credit system, norms for establishing government and private colleges and universities, etc.
- Hiring of dedicated personnel for managing the inputs and outputs (reports and summaries) of the project M & E system.
- Capacity building of SHEC and the Project Directorate, through provision of long-term consultants in the areas of monitoring, statistics, policy analysis financial management and procurement. Short-term consultants in other areas as required such as program evaluation, regulatory reforms, and communications and outreach can also be hired by the Project Directorate.
- Technical assistance to HEIs to prepare their Institutional Strategic Plans and in the areas of strategic planning, budgeting and financial planning, governance, use of the MIS and M & E.
- Technical assistance on the NAAC accreditation process.
- Establishment of an IT Portal/Management Information System (MIS) for the HE sector as a whole and training of HEIs in the use of the MIS.

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

Madhya Pradesh (state-wide/across 51 districts). Specific locations will be identified/known after competitive selection of institutions.

The state of Madhya Pradesh, is located in central part of India, between latitude 21.2°N to 26.87°N and longitude 74°02' to 82°49' E. The state is bordered on the west by Gujarat, on the northwest by Rajasthan, on the northeast by Uttar Pradesh, on the east by Chhattisgarh, and on the south by Maharashtra. The state capital is Bhopal and the largest city is Indore. Madhya Pradesh is the second largest state in the country by area (3, 08, 000 sq.km and has 51 districts grouped into ten divisions.

The population of Madhya Pradesh according to the 2011 census stands at about 72 million. The

density of the state is about 236 which is much less than the national average of 382 persons per sq. km. The state has a growth rate of about 20 percent which is above the national average of about 17 percent and thus the population of the state is rising considerably. The literacy rate in the state is about 70 percent which is close to the national average. The sex ratio in the state is 931, which is below national average of 940 as per the census of 2011. The tribes of Madhya Pradesh constitute over 20 percent of the state's population and are mainly concentrated in southern, southwestern and eastern parts of the state.

The topography of the state is defined by the Narmada and Sone Valleys, which are narrow and long extending through almost the whole state from east to west. The Central Highlands are spread between the Narmada and Sone valleys. These three form the natural physiographic regions into which the state is divided. The south-west monsoon usually breaks out in mid-June and the entire state receives a major share of its rainfall between June and September. The south and south-east regions tend to experience a higher rainfall whereas the parts of north-west receive less. Mandla, Balaghat, Sidhi, Jabalpur and other extreme eastern parts receive more than 150 cm rainfall while the districts of western Madhya Pradesh receive less than 80 cm rainfall.

The state with 2815 colleges has a share of 6.23 percent of all colleges in India and ranks 7th in the country in this context. In terms of access, Madhya Pradesh has 25 colleges per lakh population, the same as the all India average of 25 colleges per lakh population. In terms of average enrolment per college, the state stands at 551, lesser than the all India average of 703. Total enrolment of students in regular mode in higher education institutes of Madhya Pradesh is around 14.01 lakhs.

Madhya Pradesh has around 413 government colleges, 75 government aided colleges, 789 private unaided colleges and 5 government institutes catering to students from the 51 districts of the state. Out of the total colleges in the state, 67 percent are affiliated to universities, and the remaining is constituent/university colleges, PG/off campus or recognized centers by the universities. In terms of management, colleges in the state are dominated by the private unaided colleges. The institutions of higher education are concentrated in the more developed districts like Indore, Bhopal, Gwalior and Jabalpur.

There are six state universities established under the Madhya Pradesh Vishwavidyalaya Adhiniyam, 1973 (MP Universities Act, 1973), which also act as affiliating bodies for all government and private colleges in the state. Three universities and 32 of the 431 government colleges have active National Assessment and Accreditation Council (NAAC) accreditation as of March 3, 2015. Eight government colleges have been granted autonomous status by the University Grant Commission (UGC). As per UGC, there are, 2 central universities and 19 state universities in Madhya Pradesh.

While, the current scale of higher education is sufficient to absorb all eligible students (who have successfully completed higher secondary qualifications), there is substantial unused capacity combined with lack of mechanisms for participation in the existing higher education establishments for females and other students in the more rural and remote parts of the state. Participation in higher education is also constrained, especially for females, by cultural norms, and by the absence of alternatives to counter these norms (transportation, hostels etc.). The quality of higher education in the state is low due to a number of limiting factors that include large number of vacant faculty positions, inefficient and cumbersome regulatory framework, gaps in policy and practice, poor implementation of existing good policies and practices, and lack of autonomy (and concomitant capacity) on the part of Higher Education Institutes to take decisions to carry out even their routine business apart from largely poor infrastructure and campus facilities.

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 (as part of Component 1) such as construction of new buildings/blocks and/or refurbishment/repair of existing buildings/laboratories may have some potential adverse environmental impacts in the local context. Even though new buildings/blocks would be located within existing college campuses and/or on available government land, planning, construction and even operation of buildings 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	No physical interventions proposed under the project are expected to affect natural habitats. No civil works will be financed under the project inside designated protected areas/ wilderness areas/critical natural habitats. The environment screening tool will be used to ensure compliance in this regard. Therefore, OP 4.04 is not being triggered for the project.
Forests OP/BP 4.36	No	OP 4.36 is not being triggered for this project as no interventions are envisaged in forest areas and therefore no conversion/ degradation of this natural resource is likely to occur.
Pest Management OP 4.09	No	OP 4.09 is not being triggered for this project as biological/ environmental control methods or reliance on synthetic chemical pesticides is not envisaged. In case such a need arises, the requirement is likely to be very limited and in such a scenario, the requirements under the pest management policy of the Bank will be built-in as part of the over-all Campus Environment Management Plan to be developed for the institute in question.
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	OP 4.10 has been triggered in view of the implementation of the project across the state of Madhya Pradesh, which has more than one tribal inhabited district. A Social Assessment was carried out and a draft Social Management Framework (SMF) including a Tribal Development Plan has been prepared.
Involuntary Resettlement OP/BP 4.12	No	OP 4.12 is not being triggered because there will be no land acquisition or need for resettlement in this project.
Safety of Dams OP/BP 4.37	No	OP 4.37 is not being triggered for this project as there is no construction of new dams or activities that are concerned with safe functioning of existing dams
Projects on International Waterways OP/BP 7.50	No	OP 7.50 will not be triggered for this project as there are no interventions planned/proposed over or around an international waterway that could cause a potential conflict. There are also no activities that may affect the use or pollute such a waterway.
Projects in Disputed Areas OP/BP 7.60	No	OP 7.60 is not being triggered as the project is not proposed in any disputed area.

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:

Environmental Issues/Impacts. While the project interventions, overall, will have a positive impact on the higher education sector of Madhya Pradesh, specific interventions (under Component 1) envisaged under the project such as construction of new buildings/blocks and/or refurbishment/retrofitting/major repair works of existing academic blocks/laboratories/libraries/hostels may have some potential adverse environmental impacts in the local context. Therefore, these activities have become central to the approach and design from an environmental management and safeguards perspective for the project. Even though it is expected that the new buildings/blocks would be located within existing college campuses and/or on available government land, planning, construction and even operation of higher education facilities, including buildings and supporting infrastructure would require appropriate consideration and integration of environment, health and safety measures to ensure that adverse environmental impacts are minimized and properly managed.

Even when no major new construction is involved, the largely poor state of existing infrastructure requires that environment management dimensions are specifically introduced and enhanced within the higher education institutes of the state. Impacts pertaining to: (a) location (environmental features of the site and surrounding land-uses); (b) design (sanitation, water supply, drainage, solid waste arrangements, waste water management, ventilation, access, energy efficiency, material usage, fire safety, storage facility and disaster resilience); (c) construction and

worksite safety management, including public safety issues, occupational health and safety of construction workers, dust and noise, management of materials, their sources and debris/waste material; and; (d) operation/maintenance aspects of physical assets such as buildings, laboratories, hostels, mess/canteen and libraries (such as sanitation, waste management, e-waste handling, landscaping, creation/maintenance of activity/sitting spaces, and cleanliness/hygiene in the campus and its various facilities) would require attention. 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 initiated).

In view of the project's potential impacts on the environment, the Bank's OP 4.01 on Environmental Assessment and OP 4.11 on Physical Cultural Resources has 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 natural, physical or social environment. Social Impacts and Application of Bank Safeguards Policies: The project involves limited construction activities such as establishing/ upgrading higher educational facilities such as college, hostel, and library buildings, etc. These activities are not expected to cause any significant social impacts. Likely environmental and social impacts, which will be limited in nature, may include temporary construction related impacts. Compulsory land acquisition has been ruled out as an option; construction activities will be carried out on "government lands free from any encumbrances" identified and assigned for the purpose within the existing/identified educational premises or on community lands obtained through "voluntary donation by the concerned local bodies", on lands purchased on "willing buyer, willing seller basis from private parties. Therefore, the Bank Safeguards Policy on Involuntary Resettlement (OP/BP 4.12) has not been triggered. Some districts are inhabited by tribal communities, and this is a state wide operation and therefore, OP 4.10 has been triggered.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

Some specific long-term environmental impacts are associated with the operation and management of the higher education 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/higher education program in the state of Madhya Pradesh can be enhanced substantially by putting appropriate institutional mechanisms, procedures and capacity in place, to deal with such issues.

Beyond the regular environment, health and safety dimensions, the project also offers an opportunity to improve the over-all environmental footprint by creating 'green buildings' or 'greener facilities' by adopting practices of water efficiency, energy conservation, wastewater recycling and reuse. Considerations of environment, health and safety dimensions in operation and maintenance cycle of higher education institutions would help in ensuring the soundness and sustainability of the project/program from an economic as well as environmental perspective.

There is also a likelihood that the educational institutions supported by the Project may expand their infrastructure facilities with other funding sources in future. Some colleges may be upgraded as centers of excellence or universities involving spatial expansion in future. On the positive side, the project is expected to benefit a larger number of students and their communities, and could

generate new income opportunities for the local people. As such, the project is expected to generate better employment opportunities for the local youth through improved quality of higher education.

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

The project primarily emphasizes improving the quality of higher education and thereby promotes several softer interventions against creation of large scale/major infrastructure. Any proposed construction will be restricted to a few sites where basic facilities are not available, and where moderate expansion of the existing educational is critical to improving access and quality of higher education. As part of the project preparation process, a selection/screening methodology is being developed to allow for appropriate selection of such sites that will finally find support from this proposed operation.

The limited number of new colleges/institutes will be constructed on existing/available government land and will not involve any drastic change in land use. Further, through the application of the Environment Management Framework, it is planned that as and where required, building orientation/design alternatives (including green/greener elements) will be explored to take into account site specific features/constraints.

The project has been specially designed to be socially inclusive with special attention to the needs of socially and economically disadvantaged sections of students and their communities, including scheduled castes, scheduled tribes, the physically challenged and women.

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.

Safeguard policy issues have been considered by carrying out environment and social assessments and by applying OP 4.01 and OP 4.10 - this has resulted in preparation of distinct safeguard instruments for the proposed operation. The safeguard instruments prepared for the project include: (a) Limited Environment Assessment with recommendations to strengthen environment, health and safety aspects based on the field assessment and a diagnostic review, including feedback from key stakeholders and; (b) a Social Management Framework including an Indigenous People's/Tribal Development Plan (TDP/IPDP) and Gender Equity and Social Inclusion (GESI) Guidelines based on a Social System's Assessment carried out for the project using participative methodologies. Specific details are given in the sections below:

Management of Environmental Issues and Risks

Environment Assessment. A limited Environmental Assessment (EA) study was undertaken by the Department of Higher Education (DHE), Government of Madhya Pradesh for the proposed project with guidance from the Bank. The study provides an assessment of the potential positive and negative environmental impacts from the proposed project activities. These are: (1) creation of new colleges/buildings/blocks; (2) upgrading/retrofitting/repair of existing buildings/hostels/libraries/ laboratories and (3) strengthening capabilities of DHE and HEIs to maintain clean, safe and healthy teaching and learning environs in a college. As part of the EA, the current processes, system and capacity of the HEIs from an environmental management perspective, was also reviewed.

Environment Management Framework. To effectively plan, design and integrate environmental dimensions into the over-all project preparation and implementation, an Environment Management Framework (EMF) has been prepared. The framework provides guidelines for site selection,

design, construction and maintenance of environment-friendly Higher Education Institutes in line with relevant policy, legal and regulatory requirements of Govt. of India, Govt. of Madhya Pradesh and the applicable environment safeguard policies of the World Bank.

The EMF has been informed by the results of a limited environment assessment exercise that was conducted by the DHE and benefits from the experiences gained from the Bank funded Vocational Training Improvement Project (VTIP) and Technical Education Quality Improvement Project II (TEQIP II), currently under implementation. The environment management process and tool (EMF) for the project have been designed keeping in mind this varied scope of work, which includes setting-up of new institutes; improving the existing infrastructure; supporting infrastructure/equipment and; technical assistance for strengthening capacity and capabilities of HEIs.

The key elements of the Environment Management Framework developed for the project includes: (i) a screening exercise to identify key issues (including availability of unencumbered site); (ii) guidance on Design and Construction of Greener Buildings for the new and existing Higher Education Institutes (with specific emphasis on facilities for the physically challenged) and; (iii) mainstreaming/ strengthening environment, health and safety dimensions in the operations of the assets, including buildings and equipment. The management of temporary construction related impacts such as health and safety, labour issues, accident risks, dust and noise, sanitation, and waste management is also covered in the EMF.

Environmental Risks and Mitigation Measures: The environmental risks associated with the project are moderate. These include: (a) demand for more new buildings/colleges and limitation in capacity (human resource and technical) to appropriately create and maintain facilities; (b) lack of client's exposure to Bank safeguard policies and; (c) lack of detailed norms and guidelines to create standard/basic infrastructure facilities. These risks will be mitigated through:

- Hiring of specific expertise from the market to support the Project Directorate (PD), including one expert to specifically work on the green building aspects;
- Develop detailed norms to improve building design and maintenance;
- Capacity building and staff training, both at state level and in the field;
- Develop a communication strategy to explain scope, coverage and limitations of the project;
- Creation of an Advisory Group at the State/Project level to guide 'Campus Environment Management';
- Independent quality monitoring mechanism to identify and address any emerging issue or risk; and
- Undertaking impact evaluation during the implementation phase - at including mid and end term.

Management of Social Issues and Risks

Social Assessment and Mitigation Measures: The Govt. of Madhya Pradesh has carried out a Social Assessment (SA) and prepared a Social Management Framework (SMF) which includes a Tribal Development Plan (TDP) and Gender Equity and Social inclusion (GESI) guidelines. The SMF provides that mandatory social screening will be carried out for all activities involving civil works and cleared with the PMU in order to ensure that no civil works involving any involuntary resettlement impacts are supported by the Project. The Bank team will monitor this social screening process as a part of safeguards supervision through random checks and field visits. The SMF has been prepared with free, prior, informed consultation with the primary stakeholders and

has been disclosed by the Client on its website and on the Bank Infoshop.

The social assessment was carried out using both quantitative research methodologies, including questionnaire based survey, intensive interviews, and focus groups discussions with male and female students from various social backgrounds including scheduled tribe and caste groups, and poor and backward communities. It covered a range of issues including: (i) presence of ST, SC and women and poor students in college in percentage terms, (ii) problems, disadvantages affecting academic performance of students including social and economic constraints and distance from colleges, (iii) schemes to support poor and socially weaker student groups, (iv) placement services and employment opportunities, (v) infrastructural issues, (vi) implementation systems. Key recommendations include: additional support schemes, extending allowed to keep term, better infrastructure, remedial classes, etc.

Gender Equity and Social Inclusion and Tribal Development Plan. The SMF has special provisions for enhancing outreach to SC, ST, women, poor, and physically challenged and vulnerable persons. Key gender and social inclusion elements incorporated in SMF and TDP include:

- (a) continuation and enhancement of special support schemes for ST, SC, female, and poor students;
- (b) promoting greater participation of students and local communities in managing campus environment;
- (c) while setting up the State Institute for Higher Education Research and Training and Centres of Excellence, paying special attention to themes such as: (i) community development and social welfare, (ii) women development, (iii) social research methodology, (iv) efficient land acquisition and resettlement management in the context of the state having to implement the new land acquisition law which requires systematic social impact assessments and resettlement planning for all future projects, and (v) audio-visual educational material development for physically challenged and rural students; (d) monitoring implementation and outcomes with gender and socially segregated data;
- (d) carrying out supplementary studies on (i) effectiveness existing student support schemes, (ii) meeting education needs of students in backward areas with special emphasis on skill development including through community collages; (iii) special needs of tribal and backward students; (iv) higher education needs in left out areas;
- (e) Consultation framework to interact with experts and students (especially tribal, SC, vulnerable and women students with special attention to backward areas) and community representatives regarding the project on a periodic basis.

Social Risks and Mitigation Measures: The social risks associated with the project are moderate. These include: (a) people' higher expectation and demand for wider coverage of colleges and provision of facilities beyond the capacity of the Project to handle; (b) weak implementation capacity and lack of client exposure to Bank safeguards policies; (c) concerns in civil society that the project does not adequately reach out to the backward areas and socially vulnerable groups.

The above risks will be mitigated through the following key steps:

- A communication and stakeholder engagement strategy to explain scope and limitations of the project emphasizing focus on key project objectives;
- Staff training, outsourcing expertise, and establishing Social Inclusion Advisory Group at the Project level;
- Carrying out analytical studies to review the working of ongoing support schemes for

students;

- Establishing guidelines to strengthen outreach to backward areas and vulnerable groups;
- Independent quality monitoring mechanisms to identify and address any emerging issues and risks; and
- Undertaking impact evaluations during the implementation phase.

Borrower's Capacity and Institutional Arrangements for Environment and Social Management Assessment of Borrowers Capacity to Plan and Implement the Safeguard Measures. While there is strong commitment and interest in the Department of Higher Education, Govt. of Madhya Pradesh for the project, there are institutional challenges and limitations in capacity to manage a program/project of this nature and scale. The institutional deficiencies/gaps exist in terms of staffing shortage, current poor state of infrastructure and lack of up-to-date technical knowledge on creating environment friendly, safe, healthy buildings and associated infrastructure. Looking at the importance of the project (specifically in the long term), complexities involved in the operation due to geographical spread and current limitations in institutional capacity, the preparation and implementation of the project requires strong technical, advisory, safeguards and management support from consultants/agencies with apt experience and expertise to help the government create and maintain an appropriate level of infrastructure, which is necessary for delivering quality higher education.

Staffing for Environment and Social Management: In the light of the above, the institutional arrangements for implementing the project will integrate capacity and professional expertise to plan and implement actions towards fulfilling the requirements set forth in the SMF and the EMF. The DHE/PD will enhance its implementation capacity with hiring consultants to technically support, coordinate, monitor and report SMF and EMF implementation, both at the state and at the district level. The PMU will have professional consultants to manage social and environmental management issues. This team will include a civil engineer and an architect/planner to support the EMF implementation, including the green building/campus initiatives. The Project Directorate may hire NGOs for supporting field-level implementation of specific social activities. Specific capacity building will be required for staff involved in building design, construction and maintenance at the district and institute level to ensure that the vision of creating clean, safe and green campuses is actually realized on the ground.

Monitoring of EMF and SMF. Safeguards Monitoring will be an integral part of the implementation and monitoring system of the project. Regular performance monitoring of EMF and SMF implementation will be carried out by the internal oversight mechanisms of the project spelt out above. The Lead Colleges will play a key role in flagging campus environment and GESI issues including those relating to the TDP before the Project Directorate. Annual SMF and EMF implementation review shall be carried out in addition to mid-term and end-term evaluations for recording lessons and ensure implementation quality with necessary capacity building measures as necessary.

Additionally, at the state level, there shall be Advisory Committees on "Social Inclusion" and "Campus Environment Management", comprising reputed representatives from the civil society having experience and expertise in gender, social inclusion, education, environment, health and safety and building design (specifically green buildings) issues. The Committees will meet once in a quarter and shall discuss the key issues in the state's higher education sector and advise the PD regarding actions on subjects brought to its notice. The Independent Quality Audit consultants will have expertise in social and environment aspects. The monitoring indicators shall be informed by

social and environment considerations and parameters.

The Social Development and Environment Specialists from the Bank's task team will work closely with the DHE/PD to address social and environment requirements of the project, including support through field visits and training.

Grievance Redress Mechanism. Every participating college including the Lead Colleges and the centers of excellence have established Sexual Harassment Cells and Complaints Handling Mechanisms. The department has GRMs at the district and at the state level. The state government has established an online grievance helpline for registering citizen complaints. All grievances relating to land purchases and site hand overs including relocation of any affected squatters will be handled by the District Collectors. At the Project Directorate level, the Advisory Committee and the PD will address any complaints relating to implementation of the EMF and SMF including the TDP.

Grievance Redress Service of the World Bank. Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project such as this operation may also submit complaints to the Grievance Redress Service (GRS) established by the World Bank. The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may also submit their complaint to the WB's independent Inspection Panel, after having brought the complaint to the World Bank's attention through its GRS. Information on how to submit complaints to the World Bank's Grievance Redress Service is available at <http://www.worldbank.org/GRS>. Information on how to submit complaints to the World Bank Inspection Panel is available at www.inspectionpanel.org.

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 program/project being supported through the proposed operation – the Higher Education Institutions in Madhya Pradesh, which includes students, faculty, non-teaching staff, members of the Governing Body & local employers, tribal students and communities, civil society, people likely to be displaced due to civil works and those likely to be affected by any temporary impacts. The secondary stakeholders include officials from the Department of Higher Education, the Public Works Department and other associated departments.

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 Environment and Social Management Frameworks 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 EMF/SMF implementation through third party monitoring.

In accordance with applicable Bank policies, consultations have been carried out in selected colleges/institutions in the state, 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 Social Management Framework was prepared through free, prior and informed consultation with the students and other primary stakeholders. Additionally, state level

consultation was carried out wherein key stakeholders from the DHE, academics from colleges/institutions and NGOs, were consulted in a workshop at Bhopal on March 31, 2015, wherein EA/SA findings were shared and feedback on EMF/SMF was sought. The project will continue to hold stakeholder consultations as a part of EMF and SMF (RPF and TDP) implementation.

Disclosure: The EMF and the SMF including TDP and GESI Guidelines have been made public through the Project Authority's website (link: <http://highereducation.mp.gov.in/Rusa>) and has also been disclosed at Bank's PIC/Infoshop on April 20, 2015. Further, the project has a system to disclose the lists of student beneficiaries of different support schemes at the college level. The Project Directorate will disseminate project information brochures amongst key stakeholders and inform the affected people explaining their entitlements and details (including contact) of the Grievance Redressal Mechanism.

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	10-Apr-2015
Date of submission to InfoShop	20-Apr-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	00000000
"In country" Disclosure	
India	20-Apr-2015
<i>Comments:</i>	
Indigenous Peoples Development Plan/Framework	
Date of receipt by the Bank	15-Apr-2015
Date of submission to InfoShop	20-Apr-2015
"In country" Disclosure	
India	20-Apr-2015
<i>Comments:</i>	
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:	
Physical Cultural Resources - Covered under EMF. Pest management - Not Applicable	

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 [<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"/>]
OP/BP 4.11 - Physical Cultural Resources	

Does the EA include adequate measures related to cultural property?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>] NA [<input type="checkbox"/>]
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 [<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"/>]
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 [<input type="checkbox"/>] No [<input type="checkbox"/>] NA [<input checked="" type="checkbox"/>]
The World Bank Policy on Disclosure of Information	
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"/>]
All Safeguard Policies	
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: Tobias Linden,Sangeeta Goyal	
<i>Approved By</i>		
Practice Manager/ Manager:	Name: Halil Dundar (PMGR)	Date: 22-Apr-2015