

**INTEGRATED SAFEGUARDS DATA SHEET**  
**APPRAISAL STAGE**

Report No.: 112643

Date ISDS Prepared/Updated: February 2, 2017

**I. BASIC INFORMATION****A. Basic Project Data**

<b>Country:</b>	Sri Lanka	<b>Project ID:</b>	P159995
<b>Project Name:</b>	Accelerating Higher Education Expansion and Development Operation		
<b>Task Team Leader(s):</b>	Harsha Aturupane		
<b>Estimated Appraisal Date:</b>	February 3, 2017		
<b>Managing Unit:</b>	GED06		
<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:	100.00	Total Bank Financing:	100.00
Financing Gap:	0.00		
<b>Financing Source</b>			<b>Amount (US\$ million)</b>
IBRD			\$ 67.00
International Development Association (IDA)			\$ 33.00
Total			\$ 100.00
<b>Environmental Category</b>	C - Partial Assessment		
<b>Is this a Repeater project?</b>	No		
<b>Is this a Transferred project?</b>	No		

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

The proposed development objective is to expand enrollment in priority disciplines, improve the quality of degree programs and promote research in the higher education sector.

**C. Project Description**

1. The World Bank Program support (P4R+ IPF) consists of two categories of activities: (i) Higher Education Development Program (PforR) component; and (ii) a Program Operations and Technical Support component which will follow an Investment Project Financing (IPF) modality. Hence, the proposed operation will use a hybrid instrument, combining PforR and IPF mechanism for financing.

2. The government program is presented in the Higher Education Development Strategy (HEDS) 2017–2025. The HEDS's objective is to develop the higher education system to produce an educated and knowledgeable labor force with the skills required to accelerate economic development. It is based on four

results areas.

3. The first results area aims to increase enrollment in higher education programs of strategic importance for economic development. This will be achieved through a combination of demand- and supply-side initiatives, involving both state and non-state HEIs. The second results area targets improvement of the quality of higher education programs. It prioritizes the modernization and improvement of teaching-learning and assessment methods, and the promotion of programs designed to strengthen students' English proficiency and socio-emotional skills, which are in high demand in the labor market. The third results area focuses on the stewardship of the higher education sector. Key areas of reform include the rolling out of development planning, the promotion of private HEIs and public-private partnerships (PPPs), and institutions, procedures, and practices for quality assurance and accreditation. The fourth results area focuses on the creation of a culture of research and innovation in universities. Initiatives will be taken to promote development-oriented research, encourage innovation and the commercialization of research products, and facilitate university-industry linkages.

4. The scope of AHEAD will be the higher education activities under the Ministry of Higher Education and Highways (MHEH), the UGC and the 15 universities under the University Grants Commission (UGC), SLIATE and Advance Technological institute/s (ATIs), and non-state Higher Education Institutions (HEIs) approved by the MHEH and UGC. The development and strengthening of this set of higher education agencies will be supported under Accelerating Higher Education Expansion and Development (AHEAD), except for major infrastructure projects which are already being financed by other development agencies and overseas governments. Activities of tertiary education institutes outside the MHEH, such as those under the Ministry of Skills Development and Vocational Training (MSDVT), will also be outside the scope of AHEAD. The MSDVT is already funded by the World Bank through the Skills Development Project. There are numerous small research and training agencies under a variety of ministries, such as the Rubber and Coconut Research Institutes, which too are excluded to make the institutional framework of the program strategic and manageable.

5. Under the IPF instrument loan the project will cover, the Program Operations Technical Support (POTS) component. The main objective of this component is to assist the implementation of the AHEAD PforR component through academic, technical, and operational assistance for systems strengthening and capacity building. The POTS component will also assist the coordination of the MHEH, UGC, SLIATE, universities, ATIs, and non-state HEIs and promote synergy between their academic, technical, and operational activities.

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

The project is expected to be spread nationwide. The MHEH, UGC, and SLIATE will implement AHEAD at the national level. The universities and ATIs and non-state HEIs will implement AHEAD activities at the institutions level. These institutions are located throughout the country in all provinces with moderate to significant uniqueness in terms of geophysical, biological socio-cultural characteristics. However, these discrepancies have no bearing on the AHEAD program.

#### **E. Borrowers Institutional Capacity for Safeguard Policies**

The Government of Sri Lanka (GoSL) has a long history of working with the Bank and is familiar with the WB Safeguard policies and procedures. The Bank has been supporting the education and higher sectors by a number of and ongoing projects, where the several Environmental and Social Management Frameworks (ESMF) has been prepared and successfully implemented. In addition, borrower has developed significant capacity in terms of safeguards implementation and compliances. Meanwhile, the

ESSA also affirms that the existing country system is well defined and can be adopted for PforR instrument of AHEAD project. Whereas, TA will include necessary provisions to strengthen capacity of the implementation agencies to ensure adequate capacity to review and implementation and monitor the prevailing safeguard policies and laws of the country.

#### **F. Environmental and Social Safeguards Specialists on the Team**

Obaidullah Hidayat (GEN06 )

Chandrika Sepali Kottegoda (GSU03)

#### **II. SAFEGUARD POLICIES THAT MIGHT APPLY**

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/BP 4.01	No	The IPF component of the project is the Program Operations and Technical Support (POTS) to coordinate, monitor, and provide academic and operational expertise for AHEAD activities. No civil works and/ or other related activities are planned to be financed under this component, therefore OP/BP 4.01 is Not Triggered
Natural Habitats OP/BP 4.04	No	There is no civil works and /or other activities planned that may result in any work in natural habitats. This policy is not triggered
Forests OP/BP 4.36	No	This policy is not triggered, as the operation is focused on financing coordination, academic and operational expertise.
Pest Management OP 4.09	No	The AHEAD operation does not support any pest management or pest control activities.
Physical Cultural Resources OP/BP 4.11	No	The operation is to support technical assistance of operational expertise therefore this policy is not triggered.
Indigenous Peoples OP/BP 4.10	No	The Project will cover the entire country and will not include interventions targeted at specific communities, social groups or geographical regions.
Involuntary Resettlement OP/BP 4.12	No	No civil works and/ or other related activities are planned to be financed under the Project Operations and Technical Support component of the AHEAD and only soft support will be provided to the borrower.
Safety of Dams OP/BP 4.37	No	No impact
Projects on International Waterways OP/BP 7.50	No	No impact
Projects in Disputed Areas OP/BP 7.60	No	No impact

### III. 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 planned Accelerated Higher Education Development (AHEAD) under the program are expected to result in substantial social and environmental benefits to improve the existing capacity of policy level through recommendations and technical assistance under IPF and PforR components of the project. Since, the project covers only soft elements under IPF stream therefore, impacts that are sensitive, diverse on the environment and the people are not foreseen. However, necessary steps are taken to ensure that the proposed interventions through AHEAD program are environmentally and socially sound and sustainable. Moreover, the hybrid (P4R+IPF) mechanism may pose twofold safeguards system for both PforR (Program for Result) and IPF (Investment Project Financing) to assure that the planned program is effective and address the required safeguards compliances.</p> <p>As per WB policy for P4R stream, the Bank team has carried out an assessment to evaluate the adequacy of the existing Sri Lankan environmental and social system at national and subnational level. The Environmental and Social System Assessment (ESSA) has been prepared as part of the program preparation and under the light of six core principles of the policy for P4R instrument, to achieve the program system promotes environmental and social sustainability; avoid, minimize or mitigate adverse impacts on natural habitats and physical cultural resources’ protect public and worker safety; manage land acquisition; consider issues related to indigenous peoples and vulnerable people and vulnerable groups and also avoid social groups.</p> <p>Additionally, the ESSA helped to address the safeguards provisions for the program IPF stream, which is a Technical Assistance (TA) component in nature. The TA is designed to cover Program Operations and Technical Support (POTS) to coordinate, monitor, and provide academic and operational expertise for AHEAD project related activities. No civil work will be supported under funds allocated for TA and only soft support will be provided to the borrower.</p>
<p><b>2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project are:</b></p> <p>The Higher Education Development Program per se have a positive social and environmental impacts on the Higher Education sector, and hence the program covers soft developmental assistance to borrower, therefore, no potential, direct long term negative impacts are envisaged.</p>
<p><b>3. Describe any project alternative (if relevant) considered to help avoid or minimize adverse impacts.</b></p> <p>Given the program nature and scope under TA stream of AHEAD, project no alternative/s are advised.</p>
<p><b>4. Describe measures taken by the borrower to address safeguard policy issue. Provide an assessment of borrower capacity to plan and implement the measure described.</b></p> <p>The ESSA reveals that the country system is adequate to address environmental and social risks associated to induced impact from the implementation of the PforR stream of the project. However, necessary hand holding, capacity building plans are considered as well as recommendation have been provided in the ESSA to improve minor gaps in term of modernization of Central Environmental Authority (CEA), enforcement of health and safety endowment in infrastructures works etc.</p>

#### B. Disclosure Requirements

<b>Environmental Assessment/Audit/Management Plan/Other:</b>	
Was the document disclosed prior to appraisal?	N/A
Date of receipt by the Bank	N/A
Date of "in-country" disclosure	N/A
Date of submission to InfoShop	N/A
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
Date of "in-country" disclosure	N/A
Date of submission to InfoShop	N/A
<b>Indigenous Peoples Plan/Planning Framework:</b>	
Was the document disclosed prior to appraisal?	NA
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
Pest Management Plan: N.A.	
Was the document disclosed prior to appraisal?	
Date of receipt by the Bank	
Date of "in-country" disclosure	
Date of submission to InfoShop	
<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 (to be filled in when the ISDS is finalized by the project decision meeting)***

<b>OP/BP 4.01 - Environment Assessment</b>	
Does the project require a stand-alone EA (including EMP) report? EMPs will be prepared for sub-projects.	Yes [ <input type="checkbox"/> ]      No [X] N/A [ <input type="checkbox"/> ]
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?	
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	N/A
<b>OP/BP 4.04 - Natural Habitats</b>	
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [ <input type="checkbox"/> ]      No [ X ] N/A [ <input type="checkbox"/> ]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank? This project is funding community infrastructures and is not expected to cause impact to critical and natural habitats based on the nature of the project investments. Sub-projects will be screened and ESMPs will be prepared.	No
<b>OP 4.09 - Pest Management</b>	

Does the EA adequately address the pest management issues?	Yes [ ] N/A [ X ]	No [ ]
Is a separate PMP required?	Yes [ ] N/A [ ]	No [X ]
If yes, has the PMP been reviewed and approved by a safeguards specialist or Sector Manager? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?		
<b>OP/BP 4.11 – Physical Cultural Resources</b>		
Does the EA include adequate measures related to cultural property? ESMF includes Chance Find procedures	Yes [ ] N/A [ X ]	No [ ]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on physical cultural resources?		
<b>OP/BP 4.10 - Indigenous Peoples</b>		
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples? Here are no Indigenous People within the COI as per the studies conducted.	Yes [ ] N/A [ X ]	No [ ]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?		
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit?		
<b>OP/BP 4.12 - Involuntary Resettlement</b>		
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	N/A [ ] N/A [ X ]	No [ ]
If yes, then did the Regional unit responsible for safeguards or Sector Manager review and approve the plan/policy framework/process framework?		
<b>OP/BP 4.36 – Forests</b>		
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [ ] N/A [ X ]	No [ ]
Does the project design include satisfactory measures to overcome these constraints?		
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?		
<b>OP/BP 4.37 - Safety of Dams</b>		
Have dam safety plans been prepared?	Yes [ ] N/A [ X ]	No [ ]
Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank?		
Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training?		
<b>OP/BP 7.50 - Projects on International Waterways</b>		

Have the other riparian's been notified of the project?	Yes [ <input type="checkbox"/> ] N/A [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]
If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent?		
What are the reasons for the exception? Please explain:		
Has the RVP approved such an exception?		
<b>OP/BP 7.60 - Projects in Disputed Areas</b>		
Has the memo conveying all pertinent information on the international aspects of the project, including the procedures to be followed, and the recommendations for dealing with the issue, been prepared	Yes [ <input type="checkbox"/> ] N/A [ <input checked="" type="checkbox"/> ]	No [ <input type="checkbox"/> ]
Does the PAD/MOP include the standard disclaimer referred to in the OP?		
<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"/> ] N/A [ <input type="checkbox"/> ]	No [ <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	
<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"/> ] N/A [ <input type="checkbox"/> ]	No [ <input type="checkbox"/> ]
Have costs related to safeguard policy measures been included in the project cost?	[ Yes]	
Does the Monitoring and Evaluation system of the project includes the monitoring of safeguard impacts and measures related to safeguard policies?	[ Yes]	
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	[ Yes]	

#### ***D. Approvals***

<b>Signed and submitted by:</b>	<b>Name</b>	<b>Date</b>
Task Team Leader:	D. H. C. Aturupane	
Approved by:		
Regional Safeguards Adviser:	Maged Mahmoud Hamed	February 3, 2017
Comments:		
Sector Manager:	Keiko Miwa	February 3, 2017
Comments:		

