



# Concept Environmental and Social Review Summary

## Concept Stage

### **(ESRS Concept Stage)**

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**BASIC INFORMATION**

**A. Basic Project Data**

Country	Region	Project ID	Parent Project ID (if any)
India	SOUTH ASIA	P177966	
Project Name	Uttar Pradesh Knowledge-based Response to Schooling and Teaching		
Practice Area (Lead)	Financing Instrument	Estimated Appraisal Date	Estimated Board Date
Education	Program-for-Results Financing	4/5/2023	5/29/2023
Borrower(s)	Implementing Agency(ies)		
Ministry of Finance, Government of India	Basic Education Department, Government of Uttar Pradesh		

Proposed Development Objective

To increase access of all girls and boys to quality education in the state of Uttar Pradesh.

Financing (in USD Million)	Amount
IPF Component	0.00
<b>Total Project Cost</b>	<b>713.00</b>

**B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?**

No

**C. Summary Description of Proposed Project [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]**

The PforR operation will be supported by a Technical Assistance component that will use the Investment Project Financing (IPF) instrument to provide the much-needed flexibility to the Program to use Bank systems to engage technical experts and organizations that can provide technical assistance, capacity building, and implementation support for nodal education institutions for several results areas.

**D. Environmental and Social Overview**



D.1. Detailed project location(s) and salient physical characteristics relevant to the E&S assessment [geographic, environmental, social]

This project is developed to provide technical and capacity-building support to Uttar Pradesh (UP) in the form of consultancy and advisory services. UP is one of the largest, and the most populous state in India, with a population of nearly 220 million of which nearly 60 million live in extreme poverty. Much of the area of Uttar Pradesh is covered by a deep layer of alluvium spread by the slow-moving rivers of the Ganges system. Those extremely fertile alluvial soils range from sandy to clayey loam. The soils in the southern part of the state are generally mixed red and black or red-to-yellow. The climate of Uttar Pradesh is the tropical monsoon type, with warm weather year-round.

D. 2. Borrower’s Institutional Capacity

The main implementing entity is the Department of Basic Education. Funds are also expected to flow to the SAMAGRA State Implementation Society, the Secondary Education Department for the vocational training component (this is to be confirmed by the Government of the State of Uttar Pradesh (GoUP )), Public Works Department for the Civil works, and SCERT for strengthening teacher training infrastructure including capacity building of teacher training personnel. GoUP has prior experience with the safeguard requirements of the World Bank through various projects (P144447: India: Elementary Education III, and P118445: India Secondary Education Project), but not of Environmental and Social Framework (ESF). However, the focus of this IPF component is on capacity building and advisory services. The environmental and social risks of the proposed activities and institutional capacities to manage these will be assessed during the project preparation through an Environmental and Social Systems Assessment for the proposed Program for Results Component. Based on the findings of the ESSA, Borrowers Institutional Capacity will be further refined as needed. ESSA will inform the team about the E&S capacity of the IPF component IAs and A-ESRS & ESCP will capture recommendations accordingly.

Public Disclosure

**II. SCREENING OF POTENTIAL ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS**

**A. Environmental and Social Risk Classification (ESRC) Low**

**Environmental Risk Rating Low**

Activities under the proposed IPF-TA component are not expected to have any adverse environmental impacts and will be restricted to capacity building of state nodal implementing agencies and consultancy/advisory services. TORs for these activities will consider ESF requirements and any impacts will be accordingly managed during the implementation of TA activities. Since the project will not involve any implementation of physical activities including construction works the project environmental risk rating is proposed as low.

**Social Risk Rating Low**

Social Risk Rating The social risk is rated as ‘Low’ for the following reasons: a) Activities under the proposed IPF-TA component are not expected to have any adverse social impacts and will be restricted to capacity building of state nodal implementing agencies and consultancy/advisory services. The ESSA will identify existing good practices towards improving enrolment, transition and completion rates of female students and students from unserved blocks and aspirational blocks of UP. The ESSA will also assess capacity of existing institutions to respond to the needs of students and teachers from vulnerable communities and identify capacity building measures to address these gaps. b) Risks relating to labor are expected to be minimal. Contracted workers, through third-party consulting/advisory service providers, are likely to have well defined employment terms and/or formal contracts in accordance with



national labor laws. However, Occupational Health and Safety (OHS) provisions including Prevention of Sexual Harassment at the Workplace (POSH) will apply to these workers in relation to the implementation of the project. Therefore, consultancies ToRs will include strengthening of Internal Complaint Committees; and a GRM to redress grievances for this category of workers. These requirements will be added to the firm qualification criteria in procurement packages. c) Stakeholder-related risks too are low. During preparation, the nodal implementing agency will prepare a Stakeholder Engagement Plan (SEP) that includes the list of all potential stakeholders including officials of the Department of Basic Education at the state level, administrators at the district and sub-district levels, school management committees (SMCs), students, teachers and Teacher Education Institutions with adequate details on modes and frequency of engaging with them.

## **B. Environment and Social Standards (ESSs) that Apply to the Activities Being Considered**

### **B.1. General Assessment**

#### **ESS1 Assessment and Management of Environmental and Social Risks and Impacts**

##### ***Overview of the relevance of the Standard for the Project:***

ESS 1 is relevant to understanding and assessing potential environmental and social risks associated with the Project in addition to assessing the overall capacity of the client to mitigate and manage the potential environmental and social risks. Based on project components under IPF, identified at the Concept stage, overall environmental and social risks are expected to be low. The IPF component is not expected to generate any environmental risk and impact during the preparation or implementation, therefore, the borrower will not be preparing any ESF instruments, however, TA activities, ToRs, and outputs are expected to be in line with ESF requirements.

The TA activities are mainly on capacity building and advisory support to state institutions including the Department of Basic Education of GoUP at the state level, School Management Committees (SMCs), and other support agencies which are identified as partners, during the preparation. This IPF component will not support implementation / technical capacities for developing or managing infrastructure or facilities.

As part of project preparation, the team would review the activities towards which the capacity building is being directed, to determine the extent to which these relate to matters covered by the ESF. During project preparation when the scope of activities is detailed out, they will be screened for Environmental & Social risks and impacts, and requirements will be incorporated in the Terms of References (TORs) for the advisory support activities. An Environmental and Social Commitment Plan will also be prepared by the implementing agencies. Procedures for proper stakeholder engagement and information dissemination will be identified and accordingly, SEP will be made part of the Environment and Social Commitment Plan.

##### **Areas where “Use of Borrower Framework” is being considered:**

The use of the Borrower Framework will not be considered for the IPF component of this project. The project TA activities will follow Bank’s new Environmental and Social Framework and its Environmental and Social Standards along with the national and state-level regulations for managing the environmental and social risks and impacts.



### ESS10 Stakeholder Engagement and Information Disclosure

In order to ensure that a consistent, comprehensive, coordinated, and culturally appropriate approach is taken to stakeholder engagement and project disclosure, the Department of School Education will prepare a Stakeholder Engagement Plan (SEP). Such a plan will provide guidance on specific steps and actions to be taken during preparation and those that may be required during implementation. It will also define the mode and frequency of engagement with stakeholders at various stages of the project cycle.

The SEP will be prepared in a manner that ensures that consultations and engagement with stakeholders are conducted in a timely, relevant, clear/comprehensible manner with easy access to project information. The SEP will lay out a strategy to identify and map key stakeholders, including representatives from vulnerable and disadvantaged groups, including representatives of tribal groups, women and those representing children with 'special needs' (physical and/or other). In the light of geographical and socio-cultural peculiarities of the state, specific attention will be paid to ensure that SEP prepared for the proposed operation focuses on principles of 'inclusion' and 'access' to timely information among other things.

The key stakeholders of the Project include officials of the Department of Education at the state level, administrators at the district and sub-district levels, School Management Committees (SMCs), District Education Offices and District Institutes of Education and Training (DIETs), students, teachers and Teacher Education Institutions. The Samagra Shiksha scheme's implementation framework calls for regular engagement of School Management Committees in decentralized planning and management. Records from the Shaala Siddhi (school improvement) – school social audit initiative platform of the Ministry of Education, GoI show widespread engagement under the initiative in the state.

Other interested parties may include suppliers, contractors, workers and third-party agencies involved with capacity-building and education sector-related activities. Consultations and engaging with these stakeholders during project preparation (as part of Environment and Social Systems Assessment and design of components/sub-components), as well as during implementation will be crucial for the project, specifically the community-based interventions. The state will soon initiate the process of hiring a PMU that can help in such coordination, and support with the overall monitoring and management of program activities. The GoUP's prior experience of engaging with SMCs will be leveraged toward this end.

The SEP will be disclosed prior to the appraisal, consistent with the requirements of ESS 10 and will be updated, as necessary, throughout the project cycle. A stakeholder grievance redress mechanism (GRM), as part of SEP, will be operationalized for the project to allow for feedback and complaints.

Project-related information will be shared with key stakeholders in English and in the local language (Hindi). All ESS plans and associated documents will be disclosed both in-country/locally as well as on Bank's website in English and the local language (Hindi). SEP will be disclosed early in the project preparation which will become the basis for consultation with stakeholders.

### B.2. Specific Risks and Impacts

**A brief description of the potential environmental and social risks and impacts relevant to the Project.**



### **ESS2 Labor and Working Conditions**

This standard is relevant.

The IPF component of the project is expected involve: (a) experts engaged in consultancy services firms (for developing content, providing training, data systems, portals, undertaking studies), and (b) primary supply workers/ suppliers for primary equipment necessary for the project functions - both category of workers will be determined during course of project preparation.

With respect to these professionals, provisions of ESS-2 relating to terms and conditions of employment, non-discrimination and equal opportunity, worker’s organizations, OHS aspects will apply – extent of relevance will be further assessed during project preparation. Additionally, Sexual Exploitation and Abuse/Sexual Harassment at workplace and COVID related issues (in case of pandemic situation during implementation) will be risks. During project preparation when the scope of activities is detailed out, they will be screened for Environmental & Social risks and impacts, and ESS-2 related requirements will be incorporated in the Terms of References (TORs) for the advisory support activities. These will also be reflected in the ESCP as commitments to be monitored during implementation.

### **ESS3 Resource Efficiency and Pollution Prevention and Management**

This ESS is not relevant for the TA component of the project. The TA is for Capacity Building and will not include any activities that would need to use resources efficiently nor generate hazardous/non-hazardous waste.

### **ESS4 Community Health and Safety**

This ESS is not relevant for the TA component of the project.

### **ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement**

This ESS is not relevant for the Project as there is no land acquisition, physical or economic displacement, restrictions on land use and/or involuntary resettlement planned under the TA component of the Project.

### **ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources**

This ESS is not relevant since no project activities will involve any direct impacts on biodiversity, habitats and harvesting / production of natural resources.

### **ESS7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities**

This ESS is not relevant for the TA component



**ESS8 Cultural Heritage**

The project does not involve any activities affecting cultural heritage hence ESS8 is not relevant to this program.

**ESS9 Financial Intermediaries**

The project does not involve any activities with financial intermediaries hence ESS9 is not relevant to this program.

**C. Legal Operational Policies that Apply**

**OP 7.50 Projects on International Waterways** No

**OP 7.60 Projects in Disputed Areas** No

**III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE**

**A. Is a common approach being considered?** No

**Financing Partners**

Not applicable

**B. Proposed Measures, Actions and Timing (Borrower’s commitments)**

**Actions to be completed prior to Bank Board Approval:**

- 1. Preparation and disclosure of the Stakeholder Engagement Plan (SEP)
- 2. Preparation and disclosure of a Labor Management Procedure (LMP).
- 3. Preparation and disclosure of Environment and Social Commitment Plan (ESCP)

**Possible issues to be addressed in the Borrower Environmental and Social Commitment Plan (ESCP):**

- 1. Strengthening of the GRM for PMU personnel and those involved in the provision of TA support
- 2. Codes of conduct for personnel engaged through technical consultancies
- 3. SEA/SH sensitization training for personnel and PMU staff involved in the provision of TA support
- 4. Borrower will include Environmental and Social considerations in the TORs of all TA studies, frameworks, and assessments in the planning process
- 5. Responsibilities, resources and timelines to implement and monitor all the above documents and procedures

**C. Timing**

**Tentative target date for preparing the Appraisal Stage ESRS** 15-Nov-2022

Public Disclosure



#### IV. CONTACT POINTS

##### World Bank

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##### Borrower/Client/Recipient

Borrower: Ministry of Finance, Government of India

##### Implementing Agency(ies)

Implementing Agency: Basic Education Department, Government of Uttar Pradesh

#### V. FOR MORE INFORMATION CONTACT

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#### VI. APPROVAL

Task Team Leader(s): Shabnam Sinha, Pradyumna Bhattacharjee  
Practice Manager (ENR/Social) Christophe Crepin Recommended on 12-Jul-2022 at 12:17:46 GMT-04:00