



Program Information Document (PID)

Concept Stage | Date Prepared/Updated: 29-Jul-2022 | Report No: PIDC263343



BASIC INFORMATION

A. Basic Program Data

Country India	Project ID P177966	Parent Project ID (if any)	Program Name Uttar Pradesh Knowledge-based Response to Schooling and Teaching
Region SOUTH ASIA	Estimated Appraisal Date 05-Apr-2023	Estimated Board Date 29-May-2023	Does this operation have an IPF component? Yes
Financing Instrument Program-for-Results Financing	Borrower(s) Ministry of Finance, Government of India	Implementing Agency Basic Education Department, Government of Uttar Pradesh	Practice Area (Lead) Education

Proposed Program Development Objective(s)

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

COST & FINANCING

SUMMARY (USD Millions)

Government program Cost	37,750.00
Total Operation Cost	713.00
Total Program Cost	688.00
IPF Component	25.00
Total Financing	713.00
Financing Gap	0.00

FINANCING (USD Millions)

Total World Bank Group Financing	500.00
World Bank Lending	500.00



Total Government Contribution

213.00

Concept Review Decision

The review did authorize the preparation to continue

B. Introduction and Context

Country Context

1. **The growth rebound in India in FY21/22 was quick, pulled up by investment, recovering consumer demand and, a low base.** Real GDP growth moderated from an average of 7.4 percent during FY14/15-FY18/19 to an estimated 3.7 percent in FY19/20¹, mostly due to (i) shocks to the financial sector, and (ii) decline in private consumption growth². Against this backdrop, the outbreak of COVID-19 had a significant impact, with real GDP contracting by 6.6 percent in FY20/21³. On the fiscal side, the general government deficit widened significantly in FY20/21, owing to higher spending and lower revenues⁴. However, with the easing of COVID-19 restrictions, Goods and Services Tax (GST) collections have crossed the INR 1 trillion mark every month since July 2021, reaching as high as INR 1.67 trillion in April 2022. The robust GST revenue collections are expected to continue as the economic recovery gathers momentum. The real GDP in FY21/22 expanded by 8.7 percent and exceeded the FY19/20 level, on the back of increased capital expenditure by the government and recovering consumer demand. Given the global concerns on significant uncertainty around the pandemic, elevated inflation, geo-political tensions, and extended supply disruptions, growth in FY22/23 is expected to be 7.5 percent⁵. The expected recovery will put India among the world's fastest-growing emerging economies over the next two years.

2. **Although India has made remarkable progress in reducing absolute poverty in recent years, the COVID-19 outbreak has delayed the course of poverty reduction⁶.** Between 2011-12 and 2020-21, India's poverty rate has declined from 22.5 percent⁷ to values estimated to range between 9 to 12.3 percent⁸. However, projections of GDP per capita growth suggest that this estimated decline also includes a reversal of poverty reduction due to the pandemic⁹. Labor market indicators from high frequency surveys-including from the Centre for Monitoring Indian Economy (CMIE)- suggest that vulnerability has increased after the pandemic, particularly for urban households, with a moderate recovery in 2021. Overall, the pandemic and its economic impacts are estimated to have raised urban poverty, creating a set of "new poor" that are relatively more likely to be engaged in the non-farm sector and to have received at least secondary education. In order to respond to the pandemic, Government of India (GoI) has deployed significant resources as part of the Prime Minister Garib Kalyan Yojana (PMGKY) for social assistance, including for urban poor households and migrants.

Sectoral (or multi-sectoral) and Institutional Context of the Program

¹ National Accounts Data, National Statistical Office, Ministry of Statistics and Program Implementation (MOSPI).

² National Accounts Data, National Statistical Office, MOSPI.

³ National Accounts Data, National Statistical Office, MOSPI.

⁴ Union budget 2021, 2022, Ministry of Finance.

⁵ World Bank real GDP forecasts for FY22/23 published in June 2022.

⁶ World Bank projections. The Government of India has deployed significant resources for social assistance, including towards urban poor households and migrants.

⁷ Consumption Expenditure Survey 2011-12, National Sample Survey Office (NSSO), Government of India.

⁸ World Bank estimates. Macro Poverty Outlook, October 2021.

⁹ World Bank estimates. Source: Macro Poverty Outlook, 2020.



3. **Uttar Pradesh (UP) with a total population of around 223 million, has the largest percentage of government and aided schools in India and serves a large and growing population of students.** UP has 240,284 primary and upper primary schools and a large population of 10.7 million students at secondary and senior secondary levels. In India's National Achievement Survey (NAS, 2021), across Grades 3, 5, 8 and 10, the national average score is higher than the state average score. Performance from the 2017 to the 2021 NAS has seen an overall reduction, except for language scores in Grade 3 which seem to have remained the same.¹⁰ Enrolment in government and aided schools in UP have increased by around 2.07 percentage points post pandemic. However, there is a sharp drop in enrolment numbers from elementary to secondary to senior secondary level and the dropout rate is disproportionately high for students from marginalized groups.¹¹ To meet these challenges, special efforts are needed. Kasturba Gandhi Balika Vidyalayas (KGBV) meet critical need for girls' education from marginalized groups, especially because of the provision of residential hostel facilities. Existing KGBVs need significant strengthening.

4. **Limited learning in the early years and challenges with school completion have been compounded by COVID-19 affected Anganwadi¹², school closures, and learning environment challenges.** According to the NAS 2021, 64 and 68 percent of Grade 3 and 5 students are below grade level proficiency. The corresponding statistic for Scheduled Caste (SC) and Scheduled Tribe (ST) students is much lower. Children entering Grade 1 in the academic year 2022-23 have had no exposure to any pre-school learning experiences since March 2020 due to Anganwadi closures. School completion especially post COVID-19 has been impacted by two factors (i) dropout of students at secondary level to join the workforce and (ii) insufficient vocational education opportunities to connect these dropouts to the world of work. NAS (2021) shows that only 56–61 percent teachers have adequate workspace; 26–29 percent (Grade 10) teachers say schools require major repairs; only 36 percent of teachers have good teaching learning materials at Grade 10; 32 percent schools have adequate audio-visual resources; and 47 percent schools have adequate library resources. STEM education and vocational programs need better infrastructure and equipment upgradation.

5. **The large teaching force in UP is characterized by uneven distribution across various education levels and districts with significant vacancies.** There are approximately 1,400,000 teachers in government and aided schools in Uttar Pradesh. Teacher management, redeployment, and quality need significant improvements. UP has a network of 70 District Institutes of Education and Training (DIETs) working in alignment with the State Council of Educational Research and Training (SCERT), the state academic resource institution. Schools and teachers receive further downstream support from a group of 4,400+ academic resource persons (ARPs) and 880 quality coordinators (one per block). Investments into the capacity of teacher training personnel, as well as physical and ICT infrastructure in SCERT, DIETs, and other institutions, are currently inadequate.

6. **UP saw deployment of technology to counter the impact of the COVID-19 pandemic, but enhancement, scale-up and effective utilization will require significant investments in IT infrastructure.** Digital initiatives and outreach programs for Grades 1 to 8 included teaching videos; class-wise, grade wise and subject-wise classes on Doordarshan (DD)¹³; Whatsapp classes and assessment covering all schools; constant communication between teachers and others; house-visits by teachers, etc. Recognizing the limited reach of smart phones, UP started using DD-UP for Classes 10 and 12. However, greater support is needed to ensure digital connectivity in schools.

Relationship to CPF

¹⁰ There was no NAS 2017 for grade 10

¹¹ These include the Scheduled Castes (SCs), Scheduled Tribes (STs), and Other Backward Classes (OBCs), which are officially designated groups of people and among the most disadvantaged socio-economic groups in India

¹² Anganwadi Centres are early childhood development centres delivering health, nutrition and early learning services under the Integrated Child Development Services Scheme of the Government of India

¹³ Doordarshan is an autonomous public service broadcaster founded by the Government of India



7. **The proposed Uttar Pradesh Knowledge-Based Response to Schooling and Teaching (UTKRISHT) Program is well aligned to the current India Country Partnership Framework (CPF) (FY18–22) focus on ‘investing in human capital’.** It directly contributes to the Key Objectives of the CPF to “enhance investment in the early years of children’s development (objective #3.1)”, and “improve the quality of education in schools and colleges (objective #3.2)”. UTKRISHT’s strategic approach strongly aligns with the CPF’s focus on “strengthening teacher performance through professional development and accountability systems, building institutions and systems and identifying ways to improve learning outcomes, and improving governance and quality assurance within schools and colleges”. It adopts two of the four catalytic approaches integral to the implementation of the CPF: (a) engaging a Federal India; and (b) strengthening public sector institutions. The operation will invest in the creation of human capital and support the education sector to improve learning outcomes through school environment reform with process-based decentralization governing school accountability. The World Bank’s engagement will focus on promoting innovative practices in the state, strengthening teacher education systems, and improving school outcomes through improved and better schools fully powered with technology to mitigate post COVID-19 learning losses.

Rationale for Bank Engagement and Choice of Financing Instrument

8. Drawing from the CPF, the design of the operation proposes to improve human capital through strengthened decentralized service delivery and improved skills at every level of schooling for enabling a skilled workforce entering the labor market. The operation proposes to move the needle towards creation of schools of excellence and teacher education architecture that (i) are fully empowered with teaching-learning friendly infrastructure, (ii) have technology readiness to meet post pandemic realities, (iii) are climate resilient, and (iv) provide improved school outcomes through enhanced instructional processes.

9. **As one of the vital development partners in school education in India, the World Bank will help the Government of Uttar Pradesh (GoUP) bring together lessons from across India and abroad.** The Bank has supported the Government of India (GoI) in providing quality education for all through the District Primary Education Program (DPEP), Elementary Education Program (Sarva Shiksha Abhiyan (SSA)), Secondary Education Program, and Strengthening Teaching-Learning and Results for States (STARS) Program which is currently aiding six states through national level support. At the state level, the Bank is also supporting the **Gujarat: Outcomes for Accelerated Learning (GOAL)** operation, which will be an important benchmark for UP to use and set up similar systems especially learning environment reform and the technology architecture for improved school governance and school outcomes.

10. **The PforR instrument is well-suited to support GoUP focus its education reforms on impact.** GoUP has developed an ambitious sector program which requires decentralized planning, coordination, monitoring, learning, and adjustments. In this context, the PforR instrument presents several design and implementation advantages over alternative instruments. First, it can enable a strategic focus on the interventions through Disbursement Linked Indicators (DLIs) that provide stronger focus on accountability for results and outcomes (as opposed to inputs). This not only incentivizes the government’s continued ownership and implementation of critical reforms and policies, but also empowers the government to be flexible in adapting inputs and activities towards achieving the desired outcomes. Second, the PforR operation strengthens the use of country systems for Program implementation including fiduciary, safeguards, and monitoring arrangements, which builds implementation capability of state, district, and sub-district institutions to execute and monitor. While the program results areas have been clearly identified, close monitoring will be undertaken to ensure that the technical and academic aspects of the operation adhere well to the intended design of the program. A proposed



financial management outcome will be proposed in the DLI matrix to mitigate Financial Management (FM) related risks. A dedicated Project Management Unit (PMU) will help manage Program deliverables with efficiency and accountability.

11. **Technical Assistance: 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. The proposed PMU will be hired using these funds.

C. Program Development Objective(s) (PDO) and PDO Level Results Indicators

Program Development Objective(s)

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

PDO Level Results Indicators

13. The achievement of the PDO will depend on results under the following indicators:
- (a) Enhanced access to quality, technology-enabled, and resilient school environment and resources
 - (b) Improved participation and retention of all students, especially girls, Children with Special Needs (CWSN), and from other vulnerable groups
 - (c) Enhanced percentage of students above grade-level proficiency in foundational skills
 - (d) Strengthened teacher education institutions with quality workforce in place
 - (e) Decentralized planning and management systems strengthened especially through data and technology

D. Program Description

PforR Program Boundary

14. The UTKRISHT Program will aim to enhance technology-enabled and resilient schools; strengthen grade-level proficiency in foundational skills; support the teacher education architecture with quality workforce; and strengthen decentralized planning and management systems.

Result Area 1 (RA 1): Enhanced access to quality, technology-enabled, and resilient school environment and resources

15. **UTKRISHT will support the rehabilitation and upgradation of schools in UP with the aim of addressing pressing infrastructure needs and reducing learning poverty.** In line with the National Education Policy's (NEP 2020) recommendations for better and easier management of schools through consolidation, and to accommodate rapidly expanding enrolment in government schools, GoUP is setting up model school complexes in each development block, called *Abhyudaya Composite Schools*, to serve 800,000 students from Grades 1 to 8. The Program will finance safety and climate and disaster-resilience, WASH-compliance, CWSN-accessibility, staffroom, sports facilities, multi-functional spaces, library, language and STEM labs, and technology-enablement including smart classes in these existing *Abhyudaya Schools*. The Program could support the refinement of UP's school ratings on infrastructure and learning outcomes towards the conceptualization and implementation of a school quality assurance mechanism, and school report cards towards systematic monitoring and improvement of school quality.



16. **Technology solutions to improve schooling systems, with a focus on teaching-learning, accessibility, low-cost, low bandwidth requirement, and scalability, will be supported and enhanced.** The Program will equip an estimated 27,068 upper primary schools with necessary devices/tablets and software to enable academic transformation through digital learning. It will also finance an estimated 23,621 upper primary and composite schools with smart classes to enhance learning experience, enable interactive learning, provide easy access to online resources, and ensure time savings and increased productivity of students and teachers. Further, technical assistance may be required to strengthen digital infrastructure; identify requisite hardware; test/ deploy/ enhance/ scale solutions for content, teaching-learning, remedial education, personalized learning, and governance use-cases such as monitoring and evaluation and student entitlement distribution (textbooks, uniforms, etc.); and ensure alignment of overall technology architecture with **National Digital Education Architecture (NDEAR)**, a federated, unbundled, interoperable, inclusive, and accessible instrument.

Result Area 2 (RA 2): Improved participation and retention of all students, especially girls, Children with Special Needs (CwSN), and other vulnerable groups

17. **UTKRISHT will support GoUP's mandate for universal access to education at all levels through both demand and supply side interventions.** The Program could support systems and programs for student tracking, early-warning, drop-out prevention, and re-enrollment. Specific demand side drop-out prevention and re-enrolment initiatives would include scholarships, stipends and incentives, information and communication campaigns, and provision of bicycles and school transport facilities, especially for students of *Abhyudaya Schools* travelling more than 7 km.

18. **To mitigate gender gaps and the gendered impact of the COVID-19 pandemic, the Program will invest in strengthening select Kasturba Gandhi Balika Vidyalayas (KGBVs).** The Program will invest in the facilities and digital infrastructure of these schools to help ensure that they provide their students with an enhanced teaching-learning experience as well as opportunities to receive additional hours of independent or teacher-assisted learning. Priority initiatives include establishment of computer labs with internet connectivity in 374 KGBVs, upgradation of existing 52 KGBVs with classrooms and activity halls, and expansion of hostels of 8 KGBVs. Additional focus could be on bridge and orientation courses to accelerate the smooth transition of girls from primary to middle school, and STEM education.

19. **The Program will finance improved access to market-relevant vocational education, especially for girls, CwSN, and other vulnerable sections of the population.** Training and education that support hands-on exposure to upcoming trades, development of transferable skills, pathways to higher education, and transition to the workplace could incentivize and support retention, especially of the most vulnerable students. The Program will equip 100 students per district per year from Grades 9 to 12, with enhanced and in-demand employability skills and provide career orientation. Initiatives could include skills gap analysis to identify new-age trades (e.g. in healthcare, logistics, climate change, food processing, renewable energy); development of vocational curricula/programmes, content, and learning materials; targeted provisioning of quality learning options; relevant partnerships; enhancements in governance and convergence, and focus on technology, knowledge sharing, and awareness building.

20. **Academic support for CwSN would be an integral part of the Program.** UP has 158 Rehabilitation Council of India-approved institutes, highest in any state in the country, that train teachers in special education.¹⁴ It has also identified and registered 130,000 CwSN through the 'Samarth' mobile app and established 83 accelerated learning camps for CwSN in residential schools. The Program will support the state's 2500+ special educators (resource persons) with in-service professional development opportunities to improve the quality of the Individual Education Plans (IEPs) developed for each CwSN and tracking and academic support for CwSN.

Results Area 3 (RA 3): Improved foundational skills of all students, with focus on numeracy, literacy, and socio-

¹⁴ No Teacher, No Class, State of the Education Report for India 2021, UNESCO (2021)



emotional skills

21. **UTKRISHT will endeavor to strengthen pre-primary learning environment and Teaching and Learning Material (TLM) provision to select schools offering early grade education.** UP intends to enhance the physical infrastructure of existing early childhood centres (*Bal Vatika*) that are co-located with primary schools to ensure sound foundational learning and provision of socio-emotional learning for students up to 6 years of age. The Program will finance provisioning of age-appropriate facilities (e.g. furniture, play-area, and WASH facilities) in an estimated 5,625 existing *Bal Vatikas*. Existing processes, systems, and institutions for development of age-appropriate bridge courses and delivery of Teaching and Learning Materials (TLM) and in-service and ongoing training and support to teachers for competency-based curriculum and play-based pedagogy will be financed. Further, assessments are a key area of focus to be supported through the Program. The Program will finance third-party assessments, based on self-nomination, of 100 students per school across 880 development blocks to fairly and objectively measure and track learning levels of students, compare performance of blocks and districts, identify low and high performing blocks, and drive achievement of foundational literacy and numeracy. It will build capacity for assessments, including but not limited to development of items, digital and online item banks, and platforms. UP has started an initiative for learning outcomes based remedial learning in the first period of any school day. This would be scaled/enhanced wherein all students could be supported through at-scale approaches such as structured pedagogy or targeted instruction and prioritized (vulnerable) students could be targeted through small-group tutoring and self-guided learning led by teachers. World Bank's TEACH¹⁵ tool will be deployed to support teachers in classroom observation. Relevant methodologies (such as *Teaching-at-the-Right-Level*, tutoring programs), and support for resilience and managing technology will be financed.

Results Area 4 (RA 4): Strengthened teacher education institutions for in-service training

22. **The Program will build capacity at State Council of Educational Research and Training (SCERT) and District Institutes of Education and Training (DIETs) to improve planning, execution, and monitoring of the in-service teacher-training programs.** COVID-19 has resulted in the need to re-shape classroom transactions and practices, which will require effective continuous professional development programs wherein teachers are provided with materials, ongoing training, and monitoring. This component will build upon the success of the Digital Infrastructure for Knowledge Sharing (DIKSHA) platform and the government of UP's initiatives to provide continuous professional development. The Program could support SCERT and DIETs in systematic teacher-needs identification, and training of State Resource Groups (SRG), Academic Resource Persons (ARP), Shikshak Sankul, DIET Mentors, and head teachers/school leaders in conducting classroom observations, facilitating coaching sessions, and providing meaningful on-site and remote feedback to teachers on identified areas of support. UP has already developed a database and an online portal for teachers (Teacher Education Management Information System), called *Manav Sampda* with leave application, performance evaluation, salary disbursement and superannuation features, which could be enhanced/aligned to NDEAR.

23. **The Program will finance ICT-enablement and upgradation of facilities** of the State Institute of Educational Technology (SIET) that is the nodal institution for implementation of educational technology projects utilizing modern media, methods, and materials. In the SIET, the Program will finance upgradation of a studio with hi-tech modern equipment and gadgets for developing world-class digital educational content. Data based digital management systems that are bottom-up in approach will be instituted and operationalized through a State Level Data Center (SLDC). Dashboards will include data on all children, students, and schools, and track enrolment, retention/dropout status, information on learning outcomes, results of periodic assessment tests (PAT) and attendance of teachers and students. District, block, and cluster level officials, and school leaders as well as school management committees will be supported in conducting stakeholder-owned school improvement plans.

¹⁵ **TEACH ECE** is a free classroom observation tool that provides a window into one of the less explored and more important aspects of a child's education: what goes on in the classroom.



Result Area 5 (RA 5): Strengthened de-centralized planning and management systems, through data and technology-enablement of the basic education system

24. **The Program will support the state in upgrading the State Institute of Educational Management and Training (SIEMAT).** The SIEMAT is the nodal institute for educational planning and management in Uttar Pradesh for training and development of district, block, and cluster level officials and for school leadership development. SIEMAT will be the nodal agency for overseeing and training decentralized education functionaries in planning and management, administrative and academic monitoring, people management skills, and leadership skills. The Program could support systems and programs for disaster early-warning and preparedness. UTKRISHT will finance SIEMAT as the nodal institution for delivering these initiatives.

E. Initial Environmental and Social Screening

25. The environment and social risks are assessed to be Moderate. The potential environmental impacts of the proposed activities are predictable, and expected to be moderate in magnitude, site-specific (limited to the immediate surroundings), and can be managed through the implementation of mitigation measures. Preliminary analysis is indicative of social risks and opportunities for improved social management in the following dimensions: (i) exclusion and gender disparities including related to technology; (ii) learning environments in Educationally Backward Blocks (EBBs); (iii) capacities of SMCs, and (iv) grievance redressal platforms. An Environmental and Social Systems Assessment (ESSA) will be conducted by the Bank in collaboration with the Department of Basic Education to assess potential adverse risks and impacts, and adequacy of the environmental and social systems of the implementing and operating agencies. It will emphasize appropriate institutional arrangements and coordination, systems, and capacity for overall management of environmental and social risks and social inclusion aspects under the program and exclude activities that are likely to have significant adverse impacts, and are sensitive, diverse, or unprecedented on the environment and/or affected people. An Environmental and Social Commitment Plan (ESCP) will also be prepared by the implementing agencies. Procedures for proper stakeholder engagement and information dissemination will be identified and accordingly, a Stakeholder Engagement Plan (SEP) will be drafted to identify and map key stakeholders and define the mode and frequency of engagement with stakeholders at various stages of the project cycle.

Legal Operational Policies	Triggered?
Projects on International Waterways OP 7.50	No
Projects in Disputed Areas OP 7.60	No

Summary of Screening of Environmental and Social Risks and Impacts of the IPF Component