



Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 21-Apr-2017 | Report No: PIDISDSA19853



BASIC INFORMATION

A. Basic Project Data

Country Vietnam	Project ID P156849	Project Name Support for Autonomous Higher Education Project (SAHEP)	Parent Project ID (if any)
Region EAST ASIA AND PACIFIC	Estimated Appraisal Date 18-Jan-2017	Estimated Board Date 15-May-2017	Practice Area (Lead) Education
Lending Instrument Investment Project Financing	Borrower(s) SOCIALIST REPUBLIC OF VIETNAM	Implementing Agency Vietnam National University of Agriculture, Ministry of Education and Training, Hanoi University of Science and Technology, Ministry of Education and Training, National Economic University	

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Proposed Development Objective(s)

The Development Objective of the Project is to improve research, teaching, and institutional capacity at selected autonomous universities and strengthen the national higher education management system.

Components

Improved research, teaching and institutional management capacity at three selected autonomous universities
Strengthened National Higher Education Management System and e-Library Establishment

Financing (in USD Million)

Financing Source	Amount
Borrower	19.60
International Development Association (IDA)	155.00
Total Project Cost	174.60

Environmental Assessment Category

B - Partial Assessment



Have the Safeguards oversight and clearance functions been transferred to the Practice Manager? (Will not be disclosed)

No

Decision

The review did authorize the preparation to continue

Other Decision (as needed)

B. Introduction and Context

Country Context

1. Vietnam has made a strong recovery since the economic downturn in 2011 with a Gross Domestic Product (GDP) annual growth rate of 6.8 percent in 2015.¹ GDP is projected to grow by 6 percent in 2016 with inflationary pressures contained and the current account in balance. While these projections are positive, there are some external and domestic risks that could impact growth. The Socio – Economic Development Plan (SEDP) 2016 – 2020 document raised the issues of “slow improvement in education and training, science and technology, culture, social issues, health care and job creation”. According to the Vietnam 2035 report, another concern is the downward trend of labor-productivity growth since the late 1990s, from nearly 7 percent in 1995 to 3.5 percent in 2013.² Considering that the labor force is shifting to more productive segments of the economy,³ skill requirements are rising. The rapidly aging population is beginning to impact the labor force – the source of sustainable economic growth – necessitating new types of skills and different approaches in education. The working age population of Vietnam is expected to shrink by around 5 percent as a share of total population between now and the early 2040s (UN 2015)⁴. This necessitates the creation of technology-based jobs that will not require a huge number of low-skilled workers as well as the generation of elderly care services.

Sectoral and Institutional Context

2. Vietnam has made significant achievements in expansion of enrollment and general education quality. The country has achieved universal preschool education for five-year-old children as well as primary education and is working towards achieving universal lower secondary education. Between 2001 and 2013, net enrollment rates at lower secondary and upper secondary levels increased from 70.0 percent to 88 percent and 33 percent to 58.5 percent respectively⁵. The number of students in higher education grew from 124,484 students in 1991 to over 2.3 million students in 2015. Enrollment over the period doubled roughly every five years, so that over 20 years the size of enrollment grew by nearly 17 times its

¹ General Statistics Office of Vietnam. 2015 Socio-Economic Statistics.

² Vietnam 2035 Executive Summary. World Bank. February 2016, page 20

³ The labor force is shifting from farming to informal, from informal to low-productivity formal, and from lower-productivity formal to high-productivity formal.

⁴ United Nations Population Division, 2015. World Population Prospects 2015 Revision. United

Nations, New York.

⁵ Source: Ministry of Education and Training (MOET).



original level⁶. Vietnam has also attained higher levels of student learning achievement. Vietnam ranks among the top 10 countries participating in the 2015 Program for International Student Assessment (PISA) on the science score⁷.

3. Vietnam has made significant gains in gender equality in higher education with more women than men enrolled in higher education. In the area of returns, female labor force participation is high. However, challenges still remain. There is a sizable wage gap favoring men. Initial data reveal that women are very under-represented in research-based publications, especially in internationally recognized journals. Further, women are particularly under-represented in the applied science and technology fields, and over-represented in disciplines that are more traditionally associated with men.

4. Despite impressive gains in access, higher education fails to meet demand for high-quality degree programs to provide the population with the skills and competencies needed today for producing greater value.⁸ Nearly 50 percent of interviewed employers claimed that the education system did not meet skill needs of their workplace⁹. Research institutes and universities provide too little research, and what is produced is mostly not of sufficient quality and relevance for the economy's needs. Public universities are hampered by a lack of de facto autonomy, which impedes setting or changing curricula without external approval, raising adequate revenue, or developing full-time, high-quality faculty.¹⁰

5. Historically, universities and tertiary institutions were under the tight control of the ministries to which they reported. Academics, hiring, budget, enrollment, and tuition were all centrally controlled. In 1996, two National Universities in Hanoi and Ho Chi Minh City were the first institutions entitled to special autonomy rights. In the 2005 Law on Education and the 2012 Law on Higher Education. Vietnam sought to further loosen strictures on higher education institutions so that they would be free to create higher quality programs, raise and manage the revenue they need to do this, free to hire and pay faculty, and enroll students based on their institutional requirements.

6. To take a further step, the Government issued Resolution 77/NQ-CP dated 24 October 2014 to give more autonomy to 15 pilot universities¹¹ during the 2014 – 2017 period. These universities do not have to get approval on (i) the number of students they enroll; (ii) the courses and degree programs that they can offer to their students; and (iii) the compensation that is provided to the faculty and staff members of the universities. They also enjoy higher financial autonomy with regard to higher tuition fee caps and freedom in revenue-generation decisions by the rectors.

7. While universities are given more freedom in running their institutions, the Government started pushing forward stronger requirements for quality assurance over universities. Vietnam joined the Asia – Pacific Quality Network, the International Network for Quality Assurance Agencies in Higher Education, and the Association of South East Asian Nations (ASEAN) Quality Assurance Network. The higher

⁶ Calculated from the Education Yearbook 2015

⁷ World Bank: Vietnam PISA 2015 Brief, released in December 2016.

⁸ Skilling Up Vietnam: Preparing the Workforce for the Modern Market Economy, World Bank. November 2013

⁹ World Bank's Skills Towards Employability and Productivity (STEP) survey in Vietnam 2012

¹⁰ Vietnam Report 2035

¹¹ Three more universities are waiting for their pilot proposal approved.



education quality assurance system includes internal quality assurance, external quality assurance and quality assurance agencies. According to Ministry of Education and Training (MOET), all higher education institutions (HEIs) have to establish internal quality assurance units. Currently more than 75 percent of universities and 50 percent of colleges have internal quality assurance units. In the period of 2011 – 2015, it is targeted that 90 percent of HEIs will have undergone external evaluation¹². In the period of 2016 – 2020, 95 percent of HEIs and programs will have completed external evaluation and are considered for appraisal recognition and formal issuing of the certificate of accreditation. However, due to the limited capacity and personnel resources, this program is behind schedule.

8. The first out of four independent accreditation centers was only established in 2013. As of June 30, 2016, 207 universities have completed the self-evaluation reports. Only 20 universities completed the institutional accreditation processes by November 2016¹³. To speed up the quality improvement of HEIs, MOET is planning to issue new quality standards for institutional and program accreditation and to invest in building up capacity of accreditation centers.

9. The Government of Vietnam (GoV) has identified to receive investment from this project three universities that specialize in science and applied technology programs out of the 15 universities that have been granted autonomy status. The three universities described below have been granted autonomy in terms of Resolution 77/NQ-CP and they deliver training and research in areas critical to economic and industrial development goals in Vietnam.

Vietnam National University of Agriculture (VNUA)

10. VNUA is one of the leading HEIs in training and research for agriculture and rural development. VNUA has produced six out of 13 national rice varieties and tens of national-level agriculture technology transfer products in the last 60 years. The university has 15 faculties, 5 research institutes and nine research centers. It has 27 undergraduate programs in 49 disciplines, 19 masters programs and 16 doctorate programs. In 2015, the university had 30,452 (59.2 percent female) undergraduate students and 2,514 (46.0 percent female) postgraduate students. VNUA was granted autonomy status in 2015 under Decision No. 873/QD-TTg dated June 17, 2015 with an aim at becoming an internationally and regionally recognized multidisciplinary agricultural research-based university while ensuring education accessibility for disadvantaged students such as those from poor or ethnic minority backgrounds.

Hanoi University of Science and Technology (HUST)

11. HUST was approved to be an autonomous university in October 2016. HUST is considered to be the leading science and technology research and teaching institution in Vietnam. In 2013, it ranked the first among Vietnamese universities by the University Ranking by Academic Performance (URAP). In 2014 and 2016, it ranked the first in Vietnam and the 577th in the world by Scimago Institutions Ranking¹⁴. HUST has three faculties¹⁵ and 18 training institutes, eight research institutes and six research centers. It has 78 undergraduate programs (including 30 engineering programs and 48 bachelor degree

¹² To qualify for accredited institution status, universities must be assessed by an independent national accreditation centers.

¹³ Source: project proposal by independent accreditation centers.

¹⁴ Scimago Institutions Rankings is a science evaluation resource to assess worldwide universities and research-focused institutions. Scimago Institutions Rankings has been developed by Scimago Lab.

¹⁵ Three faculties include Foreign Language Studies, Physical Education and Political Studies



programs), 27 advanced undergraduate programs, 46 master programs and 39 doctorate programs. In 2015, HUST had 26,456 (18.26 percent female) undergraduate students, and 3,952 post-graduate students (28.92 percent female). To date HUST has had six programs accredited by Commission des Titres d'Ingénieur (CTI)¹⁶ and European Accreditation of Engineering Program and one program accredited by ASEAN University Network (AUN).

Industry University of Ho Chi Minh City (IUH)

12. The Industry University of Ho Chi Minh City (IUH) was established approximately 60 years ago. Starting as an industrial vocational college, the institution has now become a multi-discipline university. IUH has 18 faculties, two research institutes and two training centers. IUH has 32 undergraduate programs, 14 advanced undergraduate programs, 29 vocational programs, and two KOSEN vocational programs¹⁷. In 2015, IUH has 27,082 (47.1 percent female) undergraduate students, 3,452 (41.3 percent female) vocational college students and 275 (28 percent female) postgraduate students. The university was approved as a pilot autonomous university in 2015. IUH is one out of the first four universities in Vietnam receiving the national institutional accreditation certificate in 2016. Its ten-year plan is to be in the top 20 leading universities in Vietnam and has at least one discipline in the top 50 regionally-recognized disciplines.

C. Proposed Development Objective(s)

Note to Task Teams: The PDO has been pre-populated from the datasheet for the first time for your convenience. Please keep it up to date whenever it is changed in the datasheet.

Development Objective(s) (From PAD)

The project development objective (PDO) is to improve research, teaching, and institutional capacity at selected autonomous universities and strengthen the national higher education system.

Key Results

13. The following key indicators will be used to define and measure the progress towards the achievement of the PDO:
- Decrease in the average number of students and researchers per laboratory workstation in VNUA, HUST and IUH
 - Number of additional internationally accredited programs at VNUA, HUST and IUH
 - Number of proposed actions from the previous year's "Autonomy Implementation Reports" implemented each year in VNUA, HUST and IUH
 - Recommendations based on lessons learned from university autonomy pilots incorporated into MOET policies.

D. Project Description

¹⁶ CTI stands for Commission des Titres d'Ingénieur, i.e. the Engineer Degree Committee

¹⁷ The KOSEN National Institute of Technology based in Japan offers internationally accredited technical vocational programs.



14. The project will address issues related to autonomy and quality assurance at both the university and system levels. At the university level, SAHEP will support three of the universities that have been granted autonomy under Resolution 77/NQ-CP so that they have better resources and capacity to realize their autonomy rights, especially becoming more financially sustainable. The lessons learned will then be fed back to the policy making process of MOET. At the system level, SAHEP will support MOET to review, update or develop policies, procedures and institutional arrangements, including information systems, autonomy and quality assurance. This will help foster an enabling environment for the three selected universities to optimize their use of the autonomy they have been granted, and strengthen the ministry's capacity to monitor and coordinate the HE system as a whole.

15. The project has two main components. Component 1 will focus on supporting three selected autonomous universities so that they can provide lessons for the wider system. The project will invest in physical, technical, human and institutional resources to improve the quality and quantity of their research, teaching and management, and to become more financially sustainable institutions. The improved physical facilities and equipment are seen as an intermediate outcome that contribute to the PDO of improved research, teaching and management rather than as an end in themselves. This requires close integration of this investment with the human and institutional resources that will ensure effective utilization of the new or upgraded facilities and equipment. VNUA, HUST and IUH have been identified by the GoV to participate in the project. Each of them can serve as an example of how autonomy can be implemented at different tiers of HEIs¹⁸. HUST is a leading research and teaching university in science and technology capable of developing as a research-oriented university. It can lead the development and expansion of science and technology research in HE institutions in Vietnam. IUH so far has been successful in providing training programs that meet the labor market needs, and provides a good example of an application-oriented institution. VNUA is building its capacity in agricultural research and teaching, and plans to enhance its standing as a leading research institution. At the same time VNUA students serve as an important workforce contributing to the modernization of the crucial agriculture sector. Hence VNUA can be at the research-oriented tier but close to the application tier. These three science and technology related universities are at different levels of development and, with different visions, can be pilot models that MOET can then generalize into the revised policy on HE autonomy and quality assurance. In terms of project management, each university will manage its own activities under Component 1.

16. Component 2 will strengthen the national HE system by supporting policy development and strengthening key HE subsystems. The financial investments in Components 2 will be more modest than those in Component 1, but the activities supported under it are no less important to the PDO. MOET will be responsible managing Component 2, and for monitoring and reporting on the project as a whole. Component 2 includes a sub-component on establishment of an eLibrary Portal as one of the national system strengthening measures. The National Economic University (NEU) will manage this sub-component on behalf of MOET.

¹⁸ Decree 73/2015/ND-CP on classification criteria, framework and standards for higher education institutions defines three tiers of HEIs: (i) Research-oriented institutions will have the majority of training programs focusing on theory and basic sciences as the source technology for application technologies; (ii) Application-oriented institutions will have the majority of programs on technology application and transfer; and (iii) Practice-oriented institutions will have the majority of programs on applied technology solutions and know-how and producing tools and equipment for manufacturing and daily life based on ready-made designs.



Component 1: Improved research, teaching and institutional management in three selected autonomous universities (US\$157 million equivalent, of which IDA US\$ 140 million equivalent)

17. The three project universities will have their own subcomponents and be responsible for managing their individual allocation of project resources. Each university subcomponent is structured around three common outcome areas: (i) improved research; (ii) improved teaching; and, (iii) strengthened institutional management. Each university will develop a plan that will include details on how each of these areas will be managed. A description of the three outcome areas follows:

18. **Outcome Area 1: Improved Research.** Investment will be made in expanding physical and technical resources for research, and improving human and institutional capacity to utilize those resources. Each institution will include, among other university-specific activities, a focus on five core activities to strengthen research. First, each institution will invest in research labs and lab equipment and facilities to provide a better research environment for its staff and students. Second, each institution will formally recognize research groups to produce good quality and relevant research outputs and to attract funding and produce research outputs for their work. A variety of techniques for improving research group capacity, such as proposal-writing capacity building, will be included in this component. Third, each institution will establish an international peer review research committee (IPRRC) to assist individual research groups and the university as a whole to improve the relevance, productivity, and use of research. Fourth, each university will hold an annual Research Week, at which students, faculty, research groups, and university leaders and managers will lead and participate in a variety of activities that more closely integrate research and the use of research results into the institutions' day-to-day functioning. Finally, each university will specify and report on its activities to strengthen collaboration with industry and the private sector.

19. **Outcome Area Two: Improved Teaching.** This component will invest in new classrooms and teaching facilities and will improve the quality and relevance of learning programs by supporting universities to implement program accreditation initiatives that ensure that teaching personnel are (i) using on the most up to date course contents and pedagogy, (ii) are engaged in frequent reflection on their teaching, (iii) receive regular feedback from students and employers on the quality and relevance of their teaching and subject matter and (iv) are required to frequently revisit their teaching programs in light of peer review and assessment.

20. Each institution will engage in three core activities, among other things. First, it will invest in lecture halls, classrooms, practice rooms and faculty facilities to enhance physical infrastructure for teaching, one of the conditions for program accreditation. Second, it will also undertake more systematic reporting on stakeholder satisfaction with teaching and learning in the universities through student surveys, employer surveys and targeted retrospective tracer studies. Third, each institution will boost program quality assurance and accreditation. At IUH, HUST, and VNUA 15, 12 and seven programs respectively will be accredited. The Project will promote ways in which the experience of accreditation, in the specific disciplines mentioned above, have impact university-wide. Under the Project, each university will work to ensure that graduate profiles are available for at least two-thirds of all undergraduate degree programs, and will create at least two additional cohorts of programs that begin self-evaluation as a prelude to program accreditation.

21. **Outcome Area Three: Improved Management.** Among investments proposed by universities, each of them will improve its institutional management under the Project in three ways. First, each will review and upgrade its management information system as a basis for institutional management improvement. Using information from the system, the national HEMIS, accreditation data, each



institution will review and revise its strategic plans including the strategy for quality assurance, resource mobilization, financial planning including provision for maintenance of facilities and equipment, and internal and external communication. For example, each institution will undergo the national process for institutional accreditation. Second, universities may make investments in physical and technical facilities. Third, each institution will produce, and discuss with its Council¹⁹, an annual “Autonomy Implementation Report.” This report will report on the implementation of their Autonomy Decisions. It will highlight the ways in which the university’s expanded choices under its autonomous regime are leading to greater financial and educational independence, and improved quality and relevance of research and teaching. The report, along with the minutes of the Council discussion of same, will be transmitted annually to the MOET and relevant line ministries.

22. **Project Management:** Each university will establish and support a project management team or unit financed from its own resources to facilitate the management of the Project activities, including procurement and financial management and reporting, supervision of technical assistance and contractors and monitoring and evaluation. The MOET and related project implementers will ensure that capacity built through project activities is incorporated into their efforts to produce the highest-quality M&E data and measurement of Project Indicators.

23. **Subcomponent 1.1. Hanoi University of Science and Technology (HUST) (US\$50 million equivalent, of which IDA US\$45 million equivalent).** HUST will receive a total investment of approximately US\$50 million equivalent to implement activities related to the three outcome areas describe above. At HUST, the credit, in the amount of approximately US\$45 million equivalent, will finance: (i) construction of one new building with a total of 442 rooms; in which there are 148 classrooms and research rooms, 75 practice rooms, 193 laboratory rooms, 20 administration rooms and 6 other rooms (US\$20.2 million); (ii) equipment in 31 labs related to electrical engineering, mechatronics, and material science. Of these 31 labs, 15 will be for teaching and 16 for research (US\$24 million). Counterpart funds will be provided by the university, in the amount of approximately US\$5 million, and will finance recurrent costs, including (i) goods and supplies for teaching, research and management; (ii) consulting services, especially for supporting accreditation; (iii) training, including training in accreditation for lecturers, and training to researchers; and (iv) research grants, and operational costs. The total budget is allocated to (i) improved research (US\$38.0 million); (ii) improved teaching (US\$11.1 million); (iii) improved management (US\$0.2 million) and (iv) project management (US\$0.6 million).

24. **Subcomponent 1.2 Vietnam National University of Agriculture (VNUA) (US\$54.2 million equivalent, of which IDA: US\$50m equivalent).** VNUA will receive a total of US\$54.2 million equivalent to implement activities related to the three outcome areas describe above. The credit will finance (i) construction of eleven new buildings on VNUA (existing) campus (approximately US\$30.1 million); (ii) equipment for new and existing facilities (approximately US\$18.0 million) and (iii) institutional management facilities (approximately US\$1.9 million). The buildings will be a lecture hall; new buildings for the Faculties of Engineering, Food Science and Technology, Environment, Biotechnology and Veterinary Medicine and a Center for Policy and Institutional Research, a Center for foreign languages training, a Center for physical training (2.682 m²), and a Center of Excellence for Agriculture and Life Sciences. New equipment will be provided for 71 practical rooms related to Engineering, Food Science and Technology, Environment, Biotechnology, Animal Science, Veterinary Medicine, Agronomy, Land Management, Aquaculture, Foreign Language, 3 advanced labs (mentioned

¹⁹ The university Council is the governing body for each autonomous university. It consists of representatives of senior academic and management staff, and representatives of key stakeholders such as industry and relevant government authorities.



above) with 42 functional rooms. The new equipment is expected to be directly used by 30,000 students and 893 faculty personnel. Some US\$4.2 million counterpart financing will cover recurrent and operating costs including (i) Goods such as equipment for information system, teaching materials; (ii) consulting services including research groups, peer review and research week; (iii) training for lecturers and managers including local and short training abroad, training for farmers and extension officers, study visits; (iv) grants and scholarships for research groups and joint research programs and (v) operating costs. The total budget is allocated to (i) improved research (US\$14.0 million); (ii) improved teaching (US\$ 22.5million); (iii) improved management (US\$11.6 million) and (iv) project management (US\$6.1 million).

25. ***Subcomponent 1.3 Industrial University of Ho Chi Minh City (IUH) (US\$52.8 million equivalent, of which IDA: US\$45 million equivalent).*** IUH will receive a total of US\$52.8 million equivalent to implement activities related to the three outcome areas describe above. The US\$45 million equivalent credit will finance (i) construction of new buildings for 8 faculties/institutes on new campus premises and (ii) provision of equipment for these new facilities. New buildings will provide for Faculties of Mechanical Technology, Information Technology, Electronic Technology, Electricity Technology, Chemistry Technology, Automobile Technology and Institutes of Biotechnology, Food Technology and Environmental Science, Engineering and Management. The buildings will have classrooms, practice rooms, labs conference rooms as well as infrastructure in the new campus site at District 12. IUH will also commit some US\$7.8 million in counterpart financing to cover recurrent and operational costs related to the program, including (i) goods and supplies for teaching, research and management; (ii) consulting services, especially for supporting accreditation; (iii) training, including training in accreditation for lecturers, and training to researchers; (iv) research grants and scholarships; and (v) operational expenditures. (US\$20.8 million); (ii) improved teaching (US\$ 29.0 million); (iii) improved management (US\$0.6 million) and (iv) project management (US\$2.4 million).

Component 2: Strengthened Higher Education Management System (US\$17.8 million of which IDA US\$15 million equivalent).

26. This component will strengthen key subsystems of the national HE system and help to provide institutional capacity to facilitate transfer of the lessons learned from the autonomy pilot universities. The project will finance activities in four sub-components. Sub-component 2.1 will commit US\$1 million IDA funds and US\$0.2 million to strengthen the national accreditation system through support to four independent regional centers for accreditation. The IDA funds will finance equipment, software and technical support to building the management and tracking systems in the four centers, supplemented by US\$0.2 of counterpart funding to meet training and operating costs. It is expected that, after the investment, accreditation centers will be able to conduct institutional and program accreditation processes following new national quality assurance standards. The centers will also generate revenue from their training accreditation services. Sub-component 2.2 will be financed from counterpart financing to advance the development of policies for sustainable financing of universities and for equitable access to tertiary education through the review of lessons learned and be applied to the implementation of the autonomy agenda to the whole HE system. This will include training and technical assistance and consulting services on HE financing and autonomy, and associated operating costs. Sub-component 2.3 will promote the creation and use of an expanded Higher Education Management Information System (HEMIS), finance by some US\$4.0 million in IDA funds for equipment and software, and US\$0.4 million to cover costs of system design and operation. Sub-component 2.4 will support the establishment of an eLibrary in a network of universities that will serve as a pilot for wider introduction of access to electronic learning resources in Vietnam. Approximately US\$10 million in IDA funds will finance equipment and associated costs for the eLibrary, supplemented by US\$1.6 million in counterpart funds to



cover adaptation of the building that will house the database, consulting services, training and operating costs to facilitate linkage to the network of about 50 universities.

E. Implementation

Institutional and Implementation Arrangements

27. VNUA, HUST, IUH are responsible for implementing their own respective subcomponents under Component 1 on improvement of teaching, research and management capacity. MOET will be responsible for the implementation of Component 2 on accreditation, sustainable HE financing, HEMIS, and for overall monitoring of the project implementation. NEU will implement the eLibrary subcomponent. Each of five project implementing units (VNUA, HUST, IUH, NEU and MOET) will establish an appropriate project management unit, headed by a project manager that will have primary responsibilities (including procurement, financial management and technical activities) for their respective sub-component execution. These project management units will report implementation progress of their sub-component or component to the World Bank and their line ministries (VNUA reports to the Ministry of Agricultural and Rural Development (MARD), HUST and NEU report to MOET, and IUH reports to the Ministry of Industry and Trade (MOIT)). All the project owners report to the MOET for overall information and coordination. Through its Central Project Management Unit (CPMU) MOET will ensure the close coordination and collaboration among Project implementers and relevant GoV agencies (including the Office of the Government, the Ministry of Planning and Investment, Ministry of Finance, Ministry of Industry and Trade, and Ministry of Agriculture and Rural Development) and other people and entities involved with the Project and will report the overall project progress to the World Bank and related GoV agencies.

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F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)

The new construction and upgrading of facilities will be implemented within the existing premises of VNUA and HUST in Ha Noi capital, while IUH needs to clear a site of 26.7 ha for both a new campus and a resettlement site. According to the inventory of loss (IOL), there would be 331 households to be affected, of which 263 households are land owners and 68 renters who are renting houses of the land owners in the campus area. There are 82 households will be relocated in the resettlement site to be constructed close to the campus in Tan Chanh Hiep Ward, District 12, Ho Chi Minh City (HCMC). The subproject locations are all in the urban areas with typical urban residential and traffic setting of big cities in Vietnam. The land area acquired for the IUH's campus is a fallow land because HCMC has made a master plan for this area to be developed as an urban area so that no infrastructure such as irrigation and drainage system serving for agricultural activities has been invested in the last 10 years. Some households just cultivate vegetable on small area for family use only. All land owners have changed their agricultural production to business or wage labors. Therefore, acquisition of agricultural land does not much affect their livelihood and income. Conversely the project will create opportunity for affected households to establish new businesses and services when thousands of students come to study and live in the campus. Households who have to relocate will be allocated land plots in a resettlement site constructed close to the campus with full infrastructure so that their living conditions will be improved compared with the pre-project conditions. With these reasons, social risk is expected to be moderate. All three universities propose small buildings and



site specific construction for their newly-built lecture halls, offices and labs.

G. Environmental and Social Safeguards Specialists on the Team

Lan Thi Thu Nguyen, Giang Tam Nguyen, Thang Duy Nguyen, Thao Thi Mai Pham

SAFEGUARD POLICIES THAT MIGHT APPLY

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Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	<p>The project triggers this policy as the project would involve the following investments and activities which have potential environmental and social impacts: (a) construction of lecture rooms, laboratories, internal road and drainage system; (b) operations of the laboratories, including the use and disposal of chemicals and wastewater discharged; (c) possible use of pesticides for the agriculture research purposes.</p> <p>Given the project’s location and the nature of proposed investment activities under Component 1, including upgrading and new construction with the scale from small to medium for which the project is envisaged to not generate significant adverse environmental and social impacts. Thus, the project is classified as Category B.</p> <p>To assess the overall environmental impacts of the proposed investments and propose mitigation measures, the project owners (three Universities) have each prepared an Environmental and Social Management Plan (ESMP). Three ESMPs have included measures to address the identified environmental and social impacts including general and site-specific caused during the pre-construction, construction, and operations phases. The ESMPs have also included Grievance Redress Mechanism (GRM) and Institutional Arrangements for monitoring ESMP implementation. In addition, consultations with key stakeholders, especially locally-affected people and local NGOs were conducted during project preparation. All comments</p>



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and recommendations from stakeholders were incorporated into the ESMPs and will be taken into account during engineering design, construction and operation of the universities.

These three ESMPs have been locally disclosed in Vietnamese language and through the Bank’s external website in English language prior to appraisal.

Natural Habitats OP/BP 4.04

No

Given location and the nature of activities, the project is envisaged to not cause any significant conversion or degradation of any natural habitats.

Forests OP/BP 4.36

No

Given location and the nature of activities, the project is envisaged to not cause any impacts or implications on forests.

Pest Management OP 4.09

Yes

The project may finance procurement of small amounts of pesticides for agriculture research purposes in VNUA, posing potential health risks for researchers. Therefore, this policy is triggered. The ESMP prepared for VNUA has included national guidelines for pesticide purchases and uses for research purposes, including occupational and community health and safety requirements, safe handling, management and disposal of synthetic chemical pesticides and trainings of farmers/farm workers and researchers.

Physical Cultural Resources OP/BP 4.11

Yes

The project implementation will require relocating 31 graves when constructing IUH, thus this policy is triggered. The ESMP and RAP for IUH has included measures to address the impact on these graves. Also, all three ESMPs have included ECOP which covers a chance find procedure to address issues related to PCRs encountered during construction.

Indigenous Peoples OP/BP 4.10

No

The screening showed that there is no ethnic minority community living in or collective attachment to the project area that meet the criteria of OP 4.10. Some research activities of the VNUA will focus on the Red River Delta, not on mountainous area where ethnic minorities are often living, so training activities for farmers to disclose results of the research will be conducted in Red River Delta districts where no ethnic minority people are living there. No potential impact of the project on ethnic minority people is identified so that OP/BP4.10 is not triggered for the project.

Involuntary Resettlement OP/BP 4.12

Yes

OP/BP 4.12 is triggered because the Industry



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University of Ho Chi Minh City (IUH) needs to acquire a site of 26.7 ha for both a new campus and a resettlement site, which will affect an estimated 331 households (including 263 land owned households and 68 renters who are renting houses of the land owners), of which about 82 households have to relocate. Construction activities of two other universities will be within the existing campus so that they do not cause land acquisition and social risks.

A resettlement policy framework (RPF) and a resettlement action plan (RAP) have been prepared for the IUH’s campus and resettlement site based on census, socioeconomic survey, inventory of losses and consultation with different stakeholders including affected households to address adverse impacts in compliance with the Bank’s and Government’s policies on involuntary resettlement. The RAP will be updated during implementation when detailed technical design is approved and also based on results of detailed measurement survey (DMS), replacement cost survey and consultation with affected households, and disclosed locally and on the Bank’s website.

Although 82 households have to be relocated, they will be resettled in a resettlement site to be constructed close to the campus so that they can maintain their social bonds and business and new businesses will be created when the campus is opened with thousands of students living and studying there. They will have better living conditions in resettlement site and opportunity for improvement of their income and livelihood.

Safety of Dams OP/BP 4.37	No	The project will not involve construction of new dams or rehabilitation of existing dams. The project will not also rely on performance of existing dams or dam under construction.
Projects on International Waterways OP/BP 7.50	No	The project will not involve the use or potential pollution of International Waterways.
Projects in Disputed Areas OP/BP 7.60	No	The project is not located in any disputed areas.



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:

The project triggers three environmental safeguards policies, namely Environmental Assessment (OP4.01), Physical Cultural Resources (OP4.11) and Pest Management (OP4.09). The project is classified as Category B for environmental assessment, given the project's location and the nature of activities for which the project is envisaged to not generate significant adverse environmental impacts.

The project may have the following potential environmental and social impacts: (a) construction of lecture rooms, laboratories, internal road and drainage system; (b) operations of the laboratories, including the use and disposal of chemicals and wastewater discharged; (c) use of pesticides in the conducted agricultural pilots. It is anticipated that education infrastructure development including new construction and upgrading of class rooms, administrative and working offices, internal roads and drainage systems, and laboratories at a small to medium scale under Component 1 will cause typical construction-related impacts such as noise, air pollution due to dust and exhaust emission, vibration, construction wastes including solid and liquid wastes, traffic disturbance, occupational health and safety risks of workers, faculties, staffs and students. Potential impacts during operation may include generation of domestic wastewater and solid wastes, chemical wastes from laboratories, and potential risks of use of synthetic chemical pesticides in plant researches and demonstration models. These models are anticipated to be at a small to moderate scale though.

The project implementation will not cause negative impact on significant PCRs. However, constructing IUH will require relocating 31 graves of seven households in Tan Chanh Hiep ward, District 12, Ho Chi Minh City.

Involuntary Resettlement (OP 4.12): The new construction and upgrading of facilities of VNUA and HUST will be implemented within their existing premises without land acquisition, while construction a new campus of IUH needs to clear permanently a site of 26.7 ha including an area of 3.5ha for resettlement of relocated households, of which agricultural land makes up 240,252m², residential land is 19,399m² and public land is 7,367.7m². It is estimated that about 331 households including 263 land owned households and 68 renters will be affected by land acquisition for the campus, of which 182 households will lose more than 10% of agriculture land and 82 households have to relocate.

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

The predictable potential indirect impact of the subproject is increasing traffic congestion in locality when the campus is operated with thousands of students commuting daily to the campus.

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

During RAP preparation for IUH subproject, consultations were conducted with affected people and other stakeholders to discuss on project design, mitigation measures and resettlement policy of the project. Alternatives were intensively discussed with the aim of avoiding or minimizing adverse impacts by land acquisition from construction of IUH. Preferred alternative is to construct a resettlement site for relocated households within their location and close to the campus instead of relocating them to resettlement sites scattered in the city so that they can continue their business and maintain their social bonds.

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.

Three ESMPs have been prepared, each by one university. These ESMPs are part of the project feasibility study and



have been prepared in accordance with the country's environmental regulations and requirements of the OP/BP4.01. The ESMPs have included i) measures to address the identified environmental and social impacts including general and site-specific caused during the pre-construction, construction, and operations phases; ii) national guidelines for pesticide purchases and uses for research purposes; iii) the Prudent Practices in the Laboratory: Handling and Management of Chemical Hazards to ensure laboratory safety for students and staff who work in the laboratory, iv) Grievance Redress Mechanism and v) Institutional Arrangements for monitoring ESMP implementation. The ESMP for IUH has included measures to address impact on graves. The relocation of 31 graves will be done on the basis of full consultation with the affected households to meet their customs and habits regarding to relocation of graves.

ECOP (Environmental Codes of Practice, as a set of mitigation measures for general construction-related impacts) and specific mitigation measures for site-specific impacts during construction will be included in the bidding and contract documents and will be monitored.

A Resettlement Policy Framework (RPF) and a Resettlement Action Plan (RAP) were prepared in accordance with the guidelines set forth in the requirements of OP 4.12 and current regulations and laws of Vietnam on resettlement. The RPF lays out the objectives and principles of involuntary resettlement, legal framework and eligibility criteria of the affected persons (APs), and guidance on preparation of RAP. The RAP includes measures to ensure that displaced people are (i) informed about the options regarding resettlement; (ii) consulted and offered alternative resettlement choices; (iii) provided with effective compensation, support and livelihood restoration; and (iv) involved in process of resettlement implementation and monitoring. Cost estimate for RAP implementation is about VND1,065 billion (equal to US\$47.4 million).

In addition to compensation, other non-compensation measures, such as early notification of land acquisition and resettlement site to be constructed close to the existing houses of the affected households, will be implemented.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

Key stakeholders include:

Key stakeholders include MOIT, IUH, PMU under IUH, HCMC PC, District 12 PC, Resettlement Committee of District 12, Tan Chanh Hiep ward PC, civil society, and affected people.

Consultation meetings and direct interviews took place on the days of 30 October 2016, 13 November 2016, and 18 November 2016, with the participation of 27 to 34 affected people at each meeting. With regard to IUH resettlement-related consultation, two rounds of public consultations on safeguards instruments were conducted in the project area (Tan Chanh Hiep ward, district 12, HCMC) in early October and December 2012 with the affected people, host community, local authorities, and representatives of local social organizations.

The project owners provided project's documents including a summary of project's objective, description, potential environmental and social impacts and proposed mitigation measures to locally-affected people and local NGOs prior to consultations. Feedbacks from the consultations have been incorporated into the project design, draft ESIA, EMP, RPF and RAP. Consultations with such groups will be carried out during implementation as necessary to address environmental issues that affect them. These draft documents have been disclosed locally at public places accessible to locally-affected people and local NGOs in Vietnamese in December, 2016 and in English at the World Bank's external website in December 2016, January 2017 and February 2017.



B. Disclosure Requirements (N.B. The sections below appear only if corresponding safeguard policy is triggered)

Environmental Assessment/Audit/Management Plan/Other

Date of receipt by the Bank	Date of submission to InfoShop	For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors
01-Dec-2016	06-Jan-2017	

"In country" Disclosure

Vietnam
13-Jan-2017

Comments

Resettlement Action Plan/Framework/Policy Process

Date of receipt by the Bank	Date of submission to InfoShop
15-Nov-2016	21-Dec-2016

"In country" Disclosure

Vietnam
13-Jan-2017

Comments

Pest Management Plan

Was the document disclosed prior to appraisal?	Date of receipt by the Bank	Date of submission to InfoShop
NA		

"In country" Disclosure

Vietnam
13-Jan-2017

Comments

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.

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If in-country disclosure of any of the above documents is not expected, please explain why:

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting) (N.B. The sections below appear only if corresponding safeguard policy is triggered)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?

No

OP 4.09 - Pest Management

Does the EA adequately address the pest management issues?

Yes

Is a separate PMP required?

No

If yes, has the PMP been reviewed and approved by a safeguards specialist or PM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?

OP/BP 4.11 - Physical Cultural Resources

Does the EA include adequate measures related to cultural property?

Yes

Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?

NA

OP/BP 4.12 - Involuntary Resettlement

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?

Yes

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?

Yes

Is physical displacement/relocation expected?

Yes

Provide estimated number of people to be affected 410

Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)

Yes

Provide estimated number of people to be affected 1,315

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The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank's Infoshop?

Yes

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

All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?

Yes

Have costs related to safeguard policy measures been included in the project cost?

Yes

Does the Monitoring and Evaluation system of the project include 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

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