INTEGRATED SAFEGUARDS DATA SHEET
APPRaisal STAGE

Report No.: ISDSA6731

Date ISDS Prepared/Updated: 12-Dec-2013
Date ISDS Approved/Disclosed: 30-Dec-2013

I. BASIC INFORMATION

1. Basic Project Data

| Country: | India |
| Project Name: | India: Elementary Education III (P144447) |
| Task Team Leader: | Shabnam Sinha |
| Estimated Appraisal Date: | 16-Dec-2013 |
| Estimated Board Date: | 20-Mar-2014 |
| Managing Unit: | SASED |
| Lending Instrument: | Investment Project Financing |
| Sector(s): | Primary education (100%) |
| Theme(s): | Education for all (100%) |

Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)? No

Financing (In USD Million)

| Total Project Cost: | 29662.00 |
| Total Bank Financing: | 400.00 |
| Financing Gap: | 0.00 |

| Financing Source | Amount |
| BORROWER/RECIPIENT | 29198.00 |
| International Development Association (IDA) | 400.00 |
| EC European Commission | 64.00 |
| Total | 29662.00 |

Environmental Category: B - Partial Assessment

Is this a Repeater project? No

2. Project Development Objective(s)

The PDO is to improve school outcomes of elementary school children through quality-oriented interventions.

3. Project Description
The project is a Special Investment Lending (SIL) on a SWAp and will finance states’ annual work programs and a small number of activities at the national level. As under SSA I and II, the project will support the whole program and the present project will finance a share (1.3%) of the overall program. Financing decisions for Districts and States are made based on the Annual Work Plan and Budget (AWP&B) process which are approved by the Project Approval Board (PAB) of the MHRD, GOI, the workings of which are outlined later in this section and detailed in Annex 2.

Some continuing gaps in access in some states will need to be filled through minor civil works (for example, building toilets for girls and additional classrooms to respond to demand), upgrading schools, annual school grants, transparent merit and need-based recruitment of teachers, salaries of teachers and staff for implementation, and provision of textbooks and other teaching/learning materials.

The support to SSA III will focus on the key goals of SSA namely: access, equity, quality and institutional reform. However, the shift in activities from SSA II will be seen through two key thrust areas which will be financed under SSA III are (I) Improving quality for enhancing learning outcomes; (II) strengthening monitoring and evaluation for enhanced accountability and (III) Enhancing access and retention for disadvantaged children. Annex 1 presents the results chain linking input to outputs to outcomes. Key new thrust areas for support include:

I. Improving Quality and Enhancing Learning Outcomes

The project will provide special attention to quality improvement with inherent accountability measures through the special components that will inform the SSA program in all its dimensions, including access and equity. The following areas will receive special attention:

1.1 Development of grade level learning indicators for students: The project will support, through provision of consulting services and training, the development of grade and subject specific learning indicators to measure children’s progress in acquiring expected knowledge and skills at different grade levels. The NCERT will develop the model and illustrative indicators at the national level. While a few states have developed indicators suited to specific state curriculum, the national indicators will be a ready reference for other states to adopt or adapt. These learning indicators will be used as performance standards for all assessment tools supported under the project, at classroom, state and national level.

1.2 Early grade reading and mathematics: Children in early grades (1 and 2) should achieve foundational skills in reading and mathematics leading to both improved retention and learning. At the national level, NCERT will develop guidelines and quality standards for early grade learning. Each state will use the national guidelines to develop or extend its own state-specific early grade learning program along with the state academic authority and begin implementation in the 2013-14 academic year. MHRD will monitor implementation, while NCERT will provide capacity building. Specific academic and relevant pedagogical approaches will be followed to develop customized learning assessment tools for grades 1 and 2.

1.3 Upper primary math and science learning: The grade and subject learning indicators established by NCERT will be used by states in their strategies to improve science and math teaching in upper primary schools. There will be specialized teacher training programs (using appropriately developed special training modules). This will be supplemented by follow up and on-site support
through the Block Resource Centers (BRCs) and Cluster Resource Centers (CRCs). Specific
approaches have been identified for enhancing math and science teaching standards at the upper
primary level like the use of math and science kits, worksheets, computer-aided learning modules,
assignment of projects to students, and setting up of libraries and laboratories.

1.4 School leadership development and school performance assessment: To improve
management competence of school headmasters and educational administrators, a new National
Centre for School Leadership (NCSL) within the National University of Educational Planning and
Administration (NUEPA), will be established, through technical assistance. The NCSL will develop
a school leadership program and support its implementation in states, including the development of
standards and a framework for assessment of school performance in elementary schools. The
program has already been initiated in Andhra Pradesh, Chhattisgarh, Gujarat, Himachal Pradesh,
Kerala, Mizoram, and Uttar Pradesh, and will be extended to all states during the project period.

1.5 Teacher training and provisioning: The project will finance the strengthening of pre-service
teacher training, in line with the centrally-sponsored Teacher Education Scheme. This will ensure a
greater number of professionally trained teachers in the school system. The project will also support
annual in-service training of teachers, to allow for continuous upgrading of knowledge and teaching
skills. This will be done through (i) identification of teacher training needs; (ii) annual review of
teacher training packages; (iii) long-term and sustainable plan for preparation of master trainers; and,
(iv) research and development for teacher training. Recognizing the importance of providing
adequate number of teachers, the project will finance systems that facilitate the (i) achievement of the
prescribed Pupil Teacher Ratio (PTR) for each school; (ii) ensuring that no school has a teacher
vacancy of more than 10% (through effective redeployment of surplus teachers); and, (iii) provision
of subject specific teachers, head teacher and part time instructors for art, health and work education
in upper primary schools. The practice of recruiting at least 50% women teachers will be encouraged
as part of the fund arrangement for teacher salary in accordance with the Centre-States fund sharing
formula. The project will finance teachers recruited through a process that takes into account the
minimum qualifications as laid down by the designated academic authority, namely the Nation
Council for Teacher Education (NCTE).

II. Strengthening monitoring and evaluation for improved accountability

II.1 Monitoring learning outcomes: The project will support a three tier strategy for assessment
of learning outcomes for enhanced accountability, through provision of consulting services, training
and learning materials:

- NAS conducted by NCERT: While the technical rigor of the NAS has greatly improved,
only one grade (Grade 5) has been assessed with the new methodology. The project will support
continued capacity building of NCERT to extend the methodology to other grades and to
demonstrate reliability over time for a given grade. Moreover, the next challenge is to promote the
use of NAS results for remedial action at the policy level and to improve the teacher education
system. This will require new skills in qualitative analysis as well as articulation and dissemination
of results. Finally, the project will support expansion of the coverage of NAS to include CWSN in
their home and school environment. The project will support these activities through technical
assistance (TA) including minor civil works, purchase of equipment and procurement of goods and
services.
- State Learning Achievement Survey (SLAS): While at the national level the NCERT has
been conducting NAS, States/Union Territories (UTs) need more disaggregated data on student outcomes at district and sub-district levels for remedial action and corrective measures. States/UTs will be supported, through consultant services and training, in conducting their own SLAS, learning from the experiences of states like Bihar, Gujarat and Tamil Nadu. While the NAS is an important tool for highlighting the national and state level picture, what needs as much focus is assessment and analysis of the learning levels at district and sub-district level. The proposed funds would support this effort, in order to create and strengthen a culture of measuring children’s learning across states. As a measure to link learning outcomes with budgetary approvals, GOI will link budgetary allocations to state efforts at learning assessments through the AWP&B process. School-level classroom based assessments through the further development of Continuous and Comprehensive Evaluation (CCE) of pupils. The project will fund teacher training, technical assistance, and procurement of learning materials to improve classroom processes with approaches that integrate evaluation having child-friendly approaches and efficient record keeping.

In addition, there will be efforts to strengthen impact evaluation of various aspects of the program. As a first step, the Bank has submitted three proposals to the Strategic Impact Evaluation Trust Fund (SIEF), to conduct rigorous evaluations addressing core issues relating to learning at the elementary level. These evaluations focus on interventions that: (i) build parental and teacher capacity to improve school accountability and learning outcomes; (ii) minimize the learning deficits children of seasonal migrants suffer due to periodic relocation; and (iii) provide access to low-income children to non-state schools (across the cost spectrum), and compare learning gains in these schools relative to government schools. The SSA program will also make available resources to the states for research and monitoring under the Research Evaluation, Supervision and Monitoring (RESM) grant through which the states will undertake quality research and evaluation research activities. These research inputs will also feed into program implementation.

11.2 Evolving performance standards for teachers’ accountability: NCERT will develop, through appropriate provision of training and support, teacher performance standards. NCERT has developed a framework for Performance Indicators for Elementary School Teachers (PINDICS) that is based on norms and standards as enunciated in various studies and statutory orders of the government. (See Annex 2) These performance standards define the criteria expected when teachers perform their major tasks and duties. Under each performance standard there will be specific tasks which teachers are expected to perform—termed as specific standards. These are further delineated as performance indicators that can be used to observe progress and to measure actual result compared to expected result. These performance standards define the criteria expected when teachers perform their major tasks and duties. These are further delineated as performance indicators that can be used to observe progress and to measure actual result compared to expected result. NCERT will also develop and pilot instruments to measure teacher competence under PINDICS. PINDICs will eventually evolve as the framework for effective teacher performance for effective monitoring and benchmarking across the country.

11.3 Social accountability: The RTE Act, 2009, supports the concept of social accountability and community participation through its various provisions. Every school must have a School Management Committee (SMC) consisting of representatives of the local authority, parents and guardians of children at the school and teachers. Three-quarters of SMC members should be parents/guardians, with proportionate representation from weaker sections/disadvantaged groups and 50% should be women. SMCs monitor the working of the school; prepare a school development plan; and, monitor utilization of grants. Continuous capacity building efforts are needed to strengthen SMCs. The project will support strengthening of this grassroots social audit tool for enhancing social accountability to the community for a well-functioning school. In the context of RTE, the process of
social audits will be deepened to engage a multitude of stakeholders at multiple layers in the delivery of education and in the process of Shiksha Samvad (Education Dialogue).

11.4 Unified District Education System for Education (UDISE): The project will finance the Educational Management Information System (EMIS) unit that has been established for every district in the country. The school-based information system called the District Information System for Education (DISE) and household survey reports are both key data systems of the EMIS. The project will finance further strengthening and professionalizing data compilation through the DISE for school-based planning. Annual data collected on infrastructure, access, retention, quality, teacher-related issues will feed into planning process, as well as M&E, allowing for informed, data-supported mid-course corrections, as needed. DISE collects data from all types of schools—recognized, unrecognized, government or private. The project will support the implementation and phased roll-out (in academic year 2013-14) of a unified data system, which was developed by MHRD. The Unified DIES (UDISE) was developed to minimize duplication in data collection and limit the multiplicity of agencies collecting data from the same schools. UDISE will now consolidate data across the school education sector covering elementary (Classes I-VIII) and secondary (Classes IX-X) segments. UDISE systems will surmount concerns that have emerged around inconsistency in data gathering, overlapping of information sources at the upper primary level especially in case of composite schools (upper primary and secondary schools). The nodal agency, NEUPA will take over the responsibility of unified system for collection of school education statistics. State level nodal agencies will be identified to coordinate activities relating to collection, collation and dissemination of data under unified system. Data quality assurance measures will be supported for the strengthening systems for collection of duly filled in data collection formats (DCFs), better checking for errors and missing information, training of teachers, training CRCs in collection of data, and digitalisation of report generation to improve data dissemination. Integrated data sets covering all schools at primary, upper primary, secondary and higher secondary levels will be received from all states and hosted at the NUEPA website: schools-www.schoolreportcards.in

11.5 Special Focus Districts: The project will finance special interventions for educationally backward districts that are allocated significant SSA Program funds. Low-income states (and within them the majority of the special focus districts) are generally the large spending states and will be provided special attention under the project for addressing concerns of out of school children, enhancing transition (especially for children from special focus groups and migrant children) and for quality improvement efforts. Special focus districts are those with high concentration of the SCs and STs, a large minority population, large number of out-of-school children and high gender gap. Funding priority has traditionally been given to these districts, for providing access, teacher recruitment and special efforts to equity issues. The project will finance quality improvement efforts especially in the large spending states with large populations of SC/ST and minority children. NUEPA has developed an Educational Development Index (EDI) to track progress of States towards Universal Elementary Education (UEE). The project will finance the strengthening of the EDIs for the district and sub-district levels for effective ranking of states based on their performance on developmental indicators. The ranking will encourage states and districts to improve their performance and focus more attention on both inputs and outputs for better outcomes. EDIs for each district will be taken under consideration when preparing the district AWPBs and their appraisals for more effective targeting of resources to the neediest regions. The project will encourage performance-linked fund releases. An educationally backward district that does not utilize its resources in the manner intended is unlikely to continue to receive funds on a priority basis.

11.6 Institutional strengthening at different levels: The project will support institutional
strengthening with greater decentralization for autonomy in planning. The quality of the planning process will be further augmented by the involvement of CRCs and BRCs that will be carefully nurtured to then work with SMCs to ensure effective planning. Institutional reforms that allow local communities to participate effectively in the school affairs through the SMCs will help transform the school system into a principal institution for community partnership.

III. Enhancing access and retention for disadvantaged children

III.1 Provision of schooling and maintenance: While impressive gains have been made to improve access and make it almost universal (98% of children have access to a primary school), there is a small proportion of children especially from the marginalized and most advantaged communities who are out of school. In addition, at the upper primary level, enrolments are still relatively low. The coming phase of SSA will continue to make special provisions to enroll the marginalized children through special training centers to prepare them for grade and age appropriate mainstreaming. Community mobilization campaigns for the awareness of RTE Act will be made more widespread to increase enrolment especially at the upper primary level. GIS mapping will be completed to identify unserved habitations for schooling provision. The ratio of primary to upper primary schools/sections will be brought down through increased provision of upper primary schools/sections. Importantly, to ensure quality of infrastructure for the long-term, resources will also be put into ensuring that infrastructure is well maintained. Further, there will be enhanced focus on increasing drinking water and toilet facilities for girls and boys.

• III.2 Enhancing participation and retention of girls, SC, ST, minority children, and CWSN: There will be increased focus to improve the share of enrolment of girls, SC, ST, minority and CWSN in schools vis-à-vis their share in the population. The process and timeliness for the distribution of free entitlements like textbooks; uniforms; scholarships especially for girls, SC, ST and minority children; and aids and appliances for CWSN will be strengthened to improve retention rates of these children in schools. The SSA III project will help design specific strategies for CWSN, especially for those with severe physical impairment and learning disabilities.

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

India, covering 28 States and 7 Union Territories. The Sarva Skisha Abhiyan (SSA) is being implemented in partnership with State Governments to cover the entire country and address the needs of about 200 million children.

Sarva Shiksha Abhiyan (SSA) is Government of India's program for achievement of Universalization of Elementary Education (UEE) in a time bound manner, as mandated by 86th amendment to the Constitution of India making free and compulsory Education to the Children of 6-14 years age group, a Fundamental Right.

India has made long strides in the last 50 years in the field of education. The National Policy on Education (1986) and Program of Action (1992) also accorded top priority for achieving the goals of Universal Elementary Education. A number of programs / schemes were launched during the last four decades for universalization of elementary education. Some of these efforts have been in the field of primary education and a few also covering upper primary sector.

The Sarva Shiksha Abhiyan (SSA) is a comprehensive and integrated flagship program of Government of India to attain Universal Elementary Education (UEE), in a mission mode. The program was launched in 2001-2002 in partnership with the State Governments and Local Self Governments. The program aims to provide useful and relevant, elementary education to all children in the 6 to 14 age group. It is an initiative to universalize and improve quality of education through
decentralized context specific planning and with a process based, time bound implementation strategy. The program lays emphasis on bridging gender and social category gaps at elementary education level. The gigantic dimensions of the program and the financial implications call for a meticulous planning and a rigorous appraisal.

Due to these interventions, initiated by Government of India and the respective state Governments, there has been considerable progress in providing access, improving retention and the quality improvement in primary education sector. However, much needs to be done for the special focus groups, and the upper primary sector. Quality improvement still remains a major concern, especially for upper primary sector. SSAII is an attempt to fill this vacuum. The program covers the whole gamut of elementary education sector and has flexibility to incorporate new interventions for girls, e.g., NPEGEL, Kasturba Gandhi Program.

The program will strengthen existing school infrastructure through provision of additional class rooms, toilets, drinking water, maintenance grant and school improvement grants. Existing schools with inadequate teacher strength are provided with additional teachers, while the capacity of existing teachers is being strengthened by extensive training, grants for developing teaching-learning materials and strengthening of the academic support structure at a cluster, block and district level.

In 2012-13, the GOI has identified certain special focus districts for providing special attention to SCs and STs, minority population, out-of-school children and high gender gap issues. Funds for these districts are sanctioned on priority for different interventions to meet the quality deficit including teacher recruitment and strengthening teaching learning processes especially for the disadvantaged segments.

The SSA adopts “the bottom-up” process of planning, wherein the felt needs of the served communities and educational needs of learners are to be taken care of. In view of the fact that the desired improvement and sustenance of the improved efficiency level cannot be achieved without the active involvement of the community in the schooling system, SSA has emphasized the involvement of local people & stakeholders in planning. This also ensures reflection of local specificity, which is essential for achieving the goals of the program. SSA seeks to provide quality elementary education including life skills. SSA has a special focus on girl's education and children with special needs. SSA also seeks to provide computer education to bridge the digital divide.

5. Environmental and Social Safeguards Specialists

Neha Pravash Kumar Mishra (SASDI)
Susrutha Pradeep Gooneseureka (SASDS)
Khabilongtshup Khumujam (SASDI)

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<tr>
<td>Environmental Assessment OP/ BP 4.01</td>
<td>Yes</td>
<td>It is envisaged that civil works under the project will largely consist of construction of additional classrooms, toilets and/or water facilities (to meet the original shortfall or to meet the norms set forth under RTE act). Such specific interventions envisaged under the project such as upgrading of the building infrastructure may have some</td>
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potential adverse environment, health and safety impacts in the local context. Even though the new buildings/blocks are likely to be located within existing campus (within available govt. land), planning, design, construction of buildings and associated facilities would require appropriate integration of environment, health and safety measures to ensure that adverse environmental impacts are minimized and properly managed. Impacts/issues related to sanitation/ hygiene, water supply, drainage, waste water management, solid waste arrangement, access for physically challenged and fire safety would continue to need attention. More importantly, the efficacy of environment, health and safety management measures as part of the school operation/ maintenance has a direct implication on the program outcome and therefore important to consider from an environment safeguards perspective.

OP 4.01 has been triggered to facilitate creation/ strengthening of mechanisms whereby school buildings can be planned, designed and maintained in an environmentally sound manner through integration of appropriate approaches into the over-all decision making process of the program.

All other planned/proposed interventions under the project will not have any significant, long term or irreversible impacts on natural or physical environment.

<table>
<thead>
<tr>
<th>Natural Habitats OP/BP 4.04</th>
<th>No</th>
<th>OP 4.04 is not being triggered for this project as no interventions are envisaged in natural habitats, including those defined as 'critical' under the policy.</th>
</tr>
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<tbody>
<tr>
<td>Forests OP/BP 4.36</td>
<td>No</td>
<td>OP 4.36 is not being triggered for this project as no interventions are envisaged in forest areas and therefore no conversion/degradation of this natural resource is expected to occur.</td>
</tr>
<tr>
<td>Pest Management OP 4.09</td>
<td>No</td>
<td>OP 4.09 is not being triggered for this project as biological/environmental control methods or reliance on synthetic chemical pesticides is not envisaged.</td>
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<tr>
<td>Physical Cultural Resources OP/ BP 4.11</td>
<td>No</td>
<td>The implementation of the project/program is not likely to affect religious structures of local significance or other physical cultural resources.</td>
</tr>
<tr>
<td>OP/BP 4.10: Indigenous Peoples</td>
<td>Yes</td>
<td>The project is designed not to have any negative social impacts. In fact, the project has the potential to generate substantial positive social benefits. The two previous projects (SSA I and II) have had specific focus on disadvantaged and vulnerable communities, including Scheduled Castes and Scheduled Tribes. This project will further improve on the existing implementation framework to ensure equitable learning outcomes for this group and to effectively tap opportunities for enhancing social inclusion, recognition and participation of all stakeholders.</td>
</tr>
<tr>
<td>Involuntary Resettlement OP/BP 4.12</td>
<td>No</td>
<td>OP 4.12 is not triggered for this project as no resettlement is envisaged due to the implementation of the proposed project interventions.</td>
</tr>
<tr>
<td>Safety of Dams OP/BP 4.37</td>
<td>No</td>
<td>OP 4.37 is not being triggered for this project as there is no construction of new dams or activities that are concerned with safe functioning of existing dams.</td>
</tr>
<tr>
<td>Projects on International Waterways OP/BP 7.50</td>
<td>No</td>
<td>OP 7.50 will not be triggered for this project as there are no interventions planned/proposed over or around an international waterway that could cause a potential conflict. There are also no activities that may affect the use or pollute such a waterway.</td>
</tr>
<tr>
<td>Projects in Disputed Areas OP/BP 7.60</td>
<td>No</td>
<td>OP 7.60 is not being triggered as the project is not proposed in any disputed area. Piloting the Use of Borrower Systems to Address Environmental and Social Safeguard Issues in Bank-Supported Projects (OP/BP 4.00)</td>
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**II. Key Safeguard Policy Issues and Their Management**

**A. Summary of Key Safeguard Issues**

| 1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts: |

Environmental Issues. While the project interventions are likely to have an over-all positive impact on the elementary school education sector, specific interventions envisaged under the project such as creation of upgrading/expansion of building and related infrastructure may have some potential adverse environmental impacts in the local context. However, the nature of activities proposed under the current project does not pose significant environmental risks or issues. The environmental issues in the project are related mainly to the construction and operation of schools. Impacts pertaining to: (a) location (environmental and social features of the site and
surrounding land-uses); (b) design (lay-out within the campus, sanitation, water supply, drainage, solid waste arrangements, waste water management, ventilation, access, energy efficiency, material usage, fire safety and natural disaster dimension) and; (c) construction management, including safety issues will have to be dealt with in cases where new school construction and/or additional civil works to meet the RTE requirements, including toilets and water facilities are envisaged. This will also include the situations where need based infrastructure is introduced for children with special needs.

In a vast majority of the cases where the school infrastructure has already been created, the most pertinent environment, health and safety issues revolve around the need for maintaining a clean, hygienic and safe learning and teaching environment. Issues such as regular cleaning and proper maintenance of toilets, kitchen, water supply facilities, regular quality checks for the potable water supply and waste management would require attention. There are also some planning related deficiencies in cases where the piece-meal approach to school construction and development has been marred by gaps resulting from lack of an holistically planned school campus. The school infrastructure Operation and Maintenance (O&M) is currently financed through annual Repair and Maintenance Grants (RMG) and other State funds, which are not always adequate. The nature, scale and level of interventions, however will continue to remain contextual and will vary between and sometimes, even within the state.

In view of the project’s potential impacts on the environment, the Bank’s OP 4.01 on Environmental Assessment has been triggered, and the project is designated as Category B. On the whole, with proper management, including some corrective actions, the program/project interventions are not likely to cause large scale, significant or irreversible damage to natural or physical environment.

Social Issues/Impacts. As per design, the project will only support expansion / repair / renovation / upgrading of existing schools. The project will contribute to ensuring equitable learning outcomes for the indigenous and disadvantaged groups and will also effectively tap opportunities for enhancing social inclusion, recognition and participation of all stakeholders.

The government seeks to specific attention to special focus districts (established in 2012-13) under SSA III, which are identified on indicators of infrastructure deficit, a high concentration of the SCs and STs, minority population, out-of-school children and high gender gap. The tribal development plan (TDP) that had been in operation under SSA II has since been replaced. As a result of the gap created, social management measures have been proposed under the SSA implementation framework.

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

Some specific minor but long-term environmental impacts are associated with the operation and management of the schools itself. Appropriate water and sanitation facilities, disposal of wastes and dealing with issues where schools are exposed to noise or other sources of pollution require regular attention. However, such adverse impacts are not likely to be large-scale or irreversible in nature. These can be avoided/minimized to a great extent and the positive outcomes from the program can be enhanced substantially by putting appropriate institutional mechanisms, procedures and capacity in place. Considerations of environment, health and safety dimensions in operation and maintenance cycle of schools would help in ensuring the soundness and sustainability of the program from an environmental perspective.

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

Not applicable.
4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.

Safeguard policy issues have been considered by carrying out environment and social assessments and by applying OP 4.01 and OP 4.10 - this has resulted in preparation of distinct safeguard instruments for the proposed operation. The safeguard instruments, thus prepared for the project include: (a) Environment Assessment (with recommendations to strengthen environment, health and safety aspects based on the diagnostic review, including feedback from key stakeholders) and; (b) the Social Assessment (with recommendations/suggestions to strengthen social dimensions of the program). Specific details are given in the sections below:

Management of Environmental Issues and Risks

Environmental Assessment. The Environmental Assessment (EA) for SSA II was undertaken and completed in September 2007, including findings from National Third Party Evaluation (TPE) conducted in several major states. National level monitoring consisted of TPE, periodic reviews by project implementing authorities and special monitoring visits by TSG and other members. National level monitoring was supplemented through the joint review missions (JRM). These missions were effective in identifying shortcomings and highlighting good practices.

Building on this, a limited Environmental Assessment (EA)/diagnostic study for the proposed World Bank support to SSA III was undertaken and completed in November 2013. It builds on the assessments conducted earlier for SSA I and SSA II and has been informed by results from a similar exercise conducted for the secondary school program (RMSA), which looked at several upper primary schools across five states, namely Assam, Gujarat, Kerala, Uttar Pradesh and Odisha.

Management Measures. The SSA as a program has evolved since its launch and several guidelines and manuals have been developed. Most of these manuals continue to remain relevant to the program and will therefore be used for SSA III as well. The EA describes the manuals, directives and guidelines, which have been prepared and shared with all states to address the environmental issues as part of the planning and implementation stages of the program. The recommendations/management measures proposed as part of the Environmental Assessment study (diagnostic review) for SSA III would further help in attaining/supporting the intended project objectives by creating a healthy and safe learning and teaching environment in schools.

Under the project, all States will develop/strengthen sustainable school infrastructure O&M procedures. A feature of SSA has been the involvement of communities and school level institutions such as VECs/SMCs in the identification, planning, design, implementation, operation and maintenance of schools and other program activities, which will continue to form a part of these procedures.

The project will provide support to the implementation of ‘Whole School Development Guidelines’ that have been recently formulated in 2013. This will help in rectifying at least some of the issues that resulted from the lack of an over-all plan for developing facilities within a school. Likewise, the innovations developed during DPEP, SSA I and II such as BaLA (Building as Learning Aid) have been implemented in some states but there remains a significant opportunity to scale-up good practices. This too will be taken-up to strengthen the environmental performance of the program. Further, interventions related to promoting cleanliness and hygiene (with specific attention to sanitation facilities, water supply, kitchen/mess and personal hygiene) will be strengthened by dove-tailing existing available materials and schemes.

Monitoring Mechanisms. National level monitoring will consist of Third Party Evaluations (TPE), periodic reviews by project implementing authorities and special monitoring visits by TSG and other members. National level monitoring will be supplemented through the joint review missions.
(JRM}s). These missions have been effective in identifying shortcomings and highlighting good practices on a variety of aspects, including environment, health and safety dimensions. DISE coverage has expanded across all schools and it continues to provide critical information required for infrastructure planning for schools. The same mechanism will be used for monitoring the environmental, health and safety requirements and performance under the project as well. A further innovation under SSA II was the inclusion of environmental audits which were conducted by special teams using engineers within the State implementing agencies. All States and UTs will be covered in a cycle of three years. The audits are expected to provide the state technical teams an opportunity to learn through self-evaluation. The same system will be used for SSA III as well.

Management of Social Issues and Risks.
The tribal development plan (TDP) that had been in operation under SSA II was replaced with a new mechanism, more powerful and responsive, to meet the special needs of deprived sections of populations like indigenous tribal populations, scheduled castes, minorities and girls. The Special Focus Districts (SFDs) are provided special attention in planning, appraisal and financial allocations. The indigenous peoples plan for SSA III, therefore, will to a large extent build and improve upon the well-functioning SSA implementation framework that is largely dependent on the SFDs for meeting the special needs of deprived segments.

Borrower’s Capacity Assessment and Implementation Arrangements
The key implementing agency for the Program/project will be the Ministry of Human Resource Development, Govt. of India. The management and implementation arrangements under SSA III will follow those used in SSA I and SSA II. Management and implementation arrangements under SSA III will provide for: (i) program management, oversight and review; (ii) undertaking management and implementation through institutional arrangements like the PAB of the SSA; (iii) providing and generating technical support and capacity building effected through national and state level institutions, including those on environment and social dimensions of the program.

National Level. The SSA is governed at the Centre by a General Body chaired by the Prime Minister, an Executive Committee and a Project Approval Board. At the national level, a PAB is functional that assists the General Body in the management and oversight of the SSA project that is now the vehicle for the RTE Act. The RTE Act envisages a National Advisory Council at the Centre and State Advisory Councils, to advice on the implementation of the Act. As for monitoring the Act designates the NCPCR and its state counterparts to ensure that the rights of the child are not violated.

State Level. At the State level, a State Mission Authority whose governing council is chaired by the Chief Minister operates as an autonomous SIS which provides direction and oversight at the State level. The SIS, through the State Project Office (SPO), coordinates with District and sub-District level organizations; supports districts in preparing annual plans and budgets (AWPBs); is responsible for monitoring and evaluation; and serves as a channel for the flow of funds to the lower levels. The SPO reports on implementation progress, and submits and negotiates the consolidated AWP&Bs, to the national level.

District Level. At the District level, the oversight function is carried out by District Elementary Education Committees, chaired by the District Collector. The District Project Office (DPO), which works in close collaboration with the SPO, prepares the district AWP&B, and monitors physical and financial implementation progress. The district office is headed by the District Education Officer (DEO) who also performs the duties of the District Project Coordinator (DPC).

Sub-district Level. Block Education Offices (BEOs) have administrative responsibility for the schools, working in close collaboration with BRCs and CRCs on academic support. With the passing of the RTE Act, the sub-district level authority or the “local authority” having administrative control over the school or empowered by or under any law for the time being in
force to function as a local authority in any city, town or village; … will through close coordination with the SMCs oversee educational management and implementation in the block. Community and School Level. Under the RTE Act the SMCs have been provided greater powers and responsibilities. They can take the support of the PRIs, to effectively monitor and implement SSA, through community mobilization, preparing school development plans, identifying out of school children and monitoring students’ and teachers’ attendance. SMCs are often sub committees of the Gram Panchayat (the village level elected government).

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

Stakeholders: The primary stakeholders include the intended target population or beneficiaries of the program being supported under the proposed operation – the students and teachers of the Elementary Education system. The project will directly benefit about 200 million children enrolled in elementary schools and 1.8 million teachers in the sector. Girls are expected to be about 48.4% of the TOTAL targeted beneficiaries. The secondary stakeholders include officials from MHRD, NCERT, NUEPA, the administrative officials in the states associated with the planning and implementation of the SSA, the members of local governments and SMCs, NGOs and experts.

Consultations: Stakeholder participation is central to design and implementation of the project and provides for information sharing, consultation and collaboration measures. In SSA, the planning approach itself follows a bottom-up method, where communities and local institutions (including the Village Education Committees or School Management Committees as they are now called) are involved in identification, planning, design, implementation and operation of schools and other program activities. The Environment and Social Assessments used secondary data review and qualitative tools to get feedback from the primary and secondary stakeholders. The study used assessment schedules to get information from the State/District/Block/Village/Teachers/Children and the community. Focus Group Discussions and key informants interviews were conducted to collect details from the stakeholders.

Disclosure. The Ministry of Human Resource Development, Govt. of India has a program-specific website for SSA (www.ssa.nic.in), wherein all important aspects and documents of the program are disclosed for dissemination.

The environment and social assessments prepared for the project are being uploaded for disclosure on this website. It is expected that these documents will be in public domain by December 15, 2013. The same will be disclosed in the Bank’s Infoshop by December 18, 2013. The executive summary of the documents will be translated in vernacular language (Hindi) and will be made public through MHRD’s website. Further, the documents, including the executive summaries, will be available at the

B. Disclosure Requirements

<table>
<thead>
<tr>
<th>Environmental Assessment/Audit/Management Plan/Other</th>
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<tbody>
<tr>
<td>Date of receipt by the Bank</td>
<td>09-Dec-2013</td>
</tr>
<tr>
<td>Date of submission to InfoShop</td>
<td>18-Dec-2013</td>
</tr>
<tr>
<td>For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors</td>
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"In country" Disclosure

India                                             | 13-Dec-2013 |

Comments:

Indigenous Peoples Development Plan/Framework
| Date of receipt by the Bank | 11-Dec-2013 |
| Date of submission to InfoShop | 13-Dec-2013 |

"In country" Disclosure

| India | 11-Dec-2013 |

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/EMP.

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

### C. Compliance Monitoring Indicators at the Corporate Level

**OP/BP/GP 4.01 - Environment Assessment**

| Does the project require a stand-alone EA (including EMP) report? | Yes [ × ] No [ ] NA [ ] |
| If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report? | Yes [ ] No [ × ] NA [ ] |
| Are the cost and the accountabilities for the EMP incorporated in the credit/loan? | Yes [ × ] No [ ] NA [ ] |

**OP/BP 4.10 - Indigenous Peoples**

| Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples? | Yes [ ] No [ × ] NA [ ] |

**The World Bank Policy on Disclosure of Information**

| Have relevant safeguard policies documents been sent to the World Bank's Infoshop? | Yes [ × ] No [ ] NA [ ] |
| 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 [ × ] No [ ] NA [ ] |

**All Safeguard Policies**

| Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies? | Yes [ × ] No [ ] NA [ ] |
| Have costs related to safeguard policy measures been included in the project cost? | Yes [ × ] No [ ] NA [ ] |
| Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies? | Yes [ × ] No [ ] NA [ ] |
| Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents? | Yes [ × ] No [ ] NA [ ] |

### III. APPROVALS

Task Team Leader: Name: Shabnam Sinha
<table>
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<tr>
<th>Approved By</th>
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<td>Sector Manager:</td>
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