



University Grants Commission
Nurturing Excellence in Higher Education Program
Sanothimi, Bhaktapur

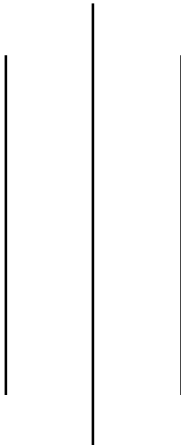


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Comprehensive Guidelines for Managing Environmental and Social Risks

Magh, 2080

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Abbreviations/ Acronyms

3R	Reduce, Reuse, Recycle
BES	Brief Environmental Study
COVID-19	Coronavirus Disease
E&S	Environmental and Social
EIA	Environmental Impact Assessment
EPA	Environmental Protection Act
EPR	Environmental Protection Regulations
ESCP	Environmental and Social Commitment Plan
ESCP	Environmental and Social Commitment Plan
ESSA	Environmental and Social System Assessment
E-Waste	Electronic Waste
GESI	Gender Equality and Social Inclusion
GRM	Grievance Redress Mechanism
HEI	Higher Education Institution
IEE	Initial Environmental Examination
IPF	Investment Project Financing
IVA	Independent Verification Agency
MoEST	Ministry of Education, Science, and Technology
NEHEP	Nurturing Excellence in Higher Education
SEA/SH	Sexual Exploitation and Abuse/ Sexual Harassment
SEP	Stakeholder Engagement Plan
SOP	Standard Operating Procedure
UGC	University Grant Commission

Table of Contents

1	Introduction.....	6
2	Objective.....	6
3	Environmental and Social Risk Assessment and Mitigation	7
3.1	Action plan for the implementation of E&S safeguard activities	8
3.2	Labor Management	11
3.3	Code of conduct on sexual exploitation and sexual harassment.....	12
3.4	Grievance Redressal Mechanism	13
3.5	Environmental and Social Safeguard Strategy for Organizations	14
3.5.1	Evaluation and management of environmental and social risks and impacts:.....	14
3.5.2	Standards relating to labor and working conditions	15
3.5.3	Implementation of activities related to the effective utilization of resources, pollution prevention and management standards.....	15
3.5.4	Community Health and Safety Standards	16
3.5.5	Standards for Stakeholders Engagement	16
3.6	Strategies for Mitigation Measures	16
3.7	Environmental and Social Safeguards Guidelines.....	18
3.7.1	Guidelines for E-waste management	18
3.7.2	Hazardous Waste Management Guidelines	19
3.8	Development of framework for resilience to climate change	20
3.9	Institutional Capacity	20
3.10	Monitoring and reporting mechanism.....	20
3.11	Proposed Budget	21

1 Introduction

The Nurturing Excellence in Higher Education (NEHEP), as outlined in the National Program for Higher Education (2021/22-2025/26), provides targeted financial and technical support to key components of the National Higher Education Reform Program. The **NEHEP** aims to transform higher education by aligning curricula with industry needs, fostering research and innovation through academic-industry collaborations, and ensuring equitable access for disadvantaged and disaster-affected groups. It focuses on advancing digitalization to enhance learning and administrative efficiency while prioritizing environmental and social safeguards within education systems. These initiatives collectively aim to drive socio-economic development and resilience across diverse communities.

The University Grants Commission (UGC), in collaboration with the Ministry of Education, Science and Technology and the World Bank, has developed an Environmental and Social Commitment Plan (ESCP) for the implementation of the NEHEP. To support the program's implementation, UGC has also formulated a set of Environmental and Social (E&S) rules, guidelines, and frameworks:

- Operational Manual, NEHEP – April 2022
- Environmental and Social Commitment Plan (ESCP) – March 2021
- Environmental and Social System Assessment (ESSA) – April 2021
- Stakeholder Engagement Plan (SEP) – March 2021
- Climate Resilience Framework for Addressing Climate Change – September 2022
- Environmental and Social Safeguard Strategy for Strengthening Capacity of Beneficiary Institutions – February 2022
- Equity Grants Guidelines – June 2022
- Scholarship Guidelines for Poverty-Targeted Students – 2078
- Code of Conduct on Sexual Exploitation and Abuse/Sexual Harassment – December 2022
- Standard Operating Procedure (SOP) on E-Waste Management for HEIs – October 2023
- Standard Operating Procedure (SOP) on Hazardous Waste Management – October 2023

These comprehensive documents have served as the foundation for preparing this **Detailed Integrated Environmental and Social Implementation Guideline**, ensuring effective E&S management throughout the program's lifecycle.

2 Objective

The implementation of the **NEHEP** in higher education focuses on adopting standards developed by the World Bank and other international organizations. This involves:

- **Environmental and Social Safeguards:** Ensuring compliance with international best practices to address environmental and social impacts effectively.

- **Market Relevance and Quality Improvement:** Aligning higher education curricula with market demands to achieve targeted goals and enhance the quality of education.
- **Collaborative Research and Innovation:** Promoting partnerships between academic institutions, industries, and research entities to foster innovation and address critical challenges.
- **Equitable Access:** Improving opportunities for disaster-affected and underserved groups by removing barriers and ensuring inclusivity.
- **Digitization and Modernization:** Integrating digital tools and technology to enhance access, efficiency, and learning outcomes.

The program integrates environmental and social considerations into its framework, ensuring sustainable and inclusive development while achieving its objectives of transforming higher education.

3 Environmental and Social Risk Assessment and Mitigation

To ensure the effective integration of environmental and social safeguarding measures in the implementation of the NEHEP, a comprehensive review of the GoN systems and processes related to environmental and social issues was conducted. This review specifically focused on the responsibilities of the Ministry of Education, Science, and Technology (MoEST) and relevant implementing agencies, including the University Grants Commission (UGC). The evaluation is primarily aimed at assessing the adequacy of safeguard, procurement, and financial management systems within the context of the investment programs.

The primary objective of this E&S risk assessment was to identify potential gaps and ensure that all program components were in alignment with established safeguard principles. Based on the findings, recommendations were made to address the identified risks, thereby strengthening environmental and social accountability and enabling the smooth and sustainable implementation of the program.

A team from the World Bank's Environmental and Social Safeguard Evaluation Unit collaborated with the UGC, relevant implementing authorities, and technical personnel to review the procedures. This effort aimed to offer guidance for risk management and process evaluation, ensuring adherence to established environmental and social safeguarding standards.

Key activities undertaken were:

- **Review of Legal Frameworks:** Existing laws, policies, guidelines, and reports were reviewed to assess their adequacy in supporting environmental and social safeguarding.
- **Adaptation to COVID-19:** In response to the pandemic, the UGC, universities, and stakeholders utilized online platforms such as Zoom and Google Meet to conduct meetings and activities.

- ***Institutional Assessment:*** Institutional structures, social systems management, roles, and responsibilities for social risk identification, as well as the capacity of key organizations such as MoEST, UGC, and supporting institutions, were assessed in line with relevant guidelines.
- ***Stakeholder Consultations:*** Virtual consultations were conducted with stakeholders to carry out a preliminary environmental and social safeguard assessment. The findings were incorporated into a draft report, which included measures to enhance the program's risk management capacity.
- ***Policy and Framework Development:*** To manage environmental and social risks in NEHEP activities, UGC, in collaboration with MoEST, is developing policies, rules, instructions, and frameworks. These include clear institutional responsibilities for coordination, implementation, monitoring, and reporting of E&S activities.
- ***Establishment of a Dedicated Unit:*** A permanent unit has been established within the UGC to provide consultation, support, and specialized input for effectively addressing challenges.
- ***Capacity Enhancement Strategy:*** The UGC has committed to developing a strategy to enhance institutional capacity by integrating gender equality and social inclusion into the core of planning, budgeting, and implementation processes.

3.1 Action plan for the implementation of E&S safeguard activities

The commission has devised a structured action plan to ensure the effective implementation of the environmental and social safeguard activities under NEHEP. The implementation arrangement are detailed below:

Table 1: Action plan for the implementation of the Environmental and Social Safeguard.

SN	Indicators	Activities	Responsible person/Body	Implementation period
1	Preparation and approval of necessary policies and guidelines related to environmental and social risks.	Formation of the Committee. Discussions and interactions. Guidelines prepared, approved and implemented.	UGC, World Bank, Universities & HEIs	March, 2024
2	Capacity Development Program in HEIs.	Implementing sensitization programs, Knowledge Sharing Initiatives, Training Sessions, and Workshops.	UGC, World Bank, Universities & HEIs	Throughout the programs
3	Development and Implementation of Market-Oriented Programs.	The following aspects of environmental and social risk management will be designed, approved and implemented: • Gender Equality and Social Inclusion (GESI). • Prevention of Sexual Exploitation and Social Misconduct. • Enhancement of Information Flow, Communication and Stakeholder Engagement. • Establishment of Grievance Redress Mechanism (GRM). • Management of Hazardous Waste. • Implementation of E-Waste Management Practices. • Adoption of Occupational Health and Safety Measures.	UGC, World Bank, Universities & HEIs	Throughout the programs period (2021-2026)
4	Institutional Awareness and Programs	A permanent unit comprising environmental and social safeguard experts will be integrated into the organizational structure to support the program.	Ministry of Education, Science & Technology, UGC, World Bank, Universities & HEIs	Throughout the project implementation period

		A comprehensive plan will be developed to prevent and address sexual exploitation and misconduct. A dedicated budget will be allocated to undertake awareness programs and capacity building efforts.		
5	Monitoring & Evaluation	On-site monitoring and evaluation will be carried out to assess the effectiveness of the environmental and social risk mitigation activities .	Experts of the committee formed by the commission, staff, representatives of the World Bank	Throughout the programs
6	Report	Provide an overall progress report of the activities conducted	Commission & Higher Educational Institutions	6/6 month

3.2 Labor Management

The labor management process is integral to the activities outlined under the Investment Project Financing (IPF) component of the NEHEP. This process encompasses various categories of workers, including

- **Direct workers** such as technical experts and assistants employed by the UGC or the MoEST.
- **Workers** hired through the Independent Verification Agency (IVA).
- **Contracted Workers** responsible for the procurement of office equipment, furniture, and fixtures.

The labor management process serves to organize and coordinate all activities undertaken by the UGC and the project implementation unit of the University. It establishes the framework for managing workers in accordance with environmental and social safeguards, specifically those requirements set at Level 2, as accepted by the World Bank and international development organizations. This ensures that the deployment and management of the labor force are aligned with internationally recognized standards, promoting compliance with labor laws and best practices for social and environmental sustainability.

The labor management process outlines the roles and responsibilities of the workforce involved, ensuring that tasks are carried out efficiently and in accordance with the program's objectives while safeguarding the welfare and rights of all workers.

Table 2: Tasks of the environmental and social safeguard related labors.

Job description	Responsible body	Remarks
Development of comprehensive program for coordination, management, monitoring and evaluation planning.	Professional service provider, program management secretariat, or similar organizational structure.	Professional Service Provider/ Environmental and Social Experts
Capacity building, technical assistance, and knowledge transfer to concerned higher educational institutions	Special professional service provider	The number of staff, professors and professional service providers will depend on the nature of the work and the nature of the work of the affiliated higher education institution
Facilitate and review the development of the current social security guidelines in consultation with the World Bank and the secretariat of the UGC.		
Develop a strategy to strengthen the capacity of beneficiary institutions/		

higher education institutions to mainstream social security aspects		
To reduce the knowledge/skill gap and help in terms of reducing potential risks and provide capacity building training		
Prepare a social security plan and ensure that it is approved by the concerned authorities before the implementation of such plans		
Development of social screening activities and grievance management mechanism and implementation and review of prescribed activities violence risk reduction		
Formulate a framework for labor management processes	Professional service provider	A Framework to be used in monitoring gender based violence/ risk reduction
Identifying new policies and procedures in collaboration with concerned agencies/ Government of Nepal	Higher educational institutions	

3.3 Code of conduct on sexual exploitation and sexual harassment

Any sexual act, attempted sexual act, or other act directed against a person's sexuality through coercion, regardless of the nature of the individual's living relationships, is strictly prohibited. This includes acts of physical coercion involving the vagina or anus, either with other body parts or objects, as well as masturbation. Additionally, the exchange of protection, food, shelter, or similar inducements in return for sexual harassment or abuse, while benefiting financially, socially, or politically from sexual exploitation, is also covered.

In light of this, the code of conduct on Sexual Exploitation, Abuse, and Sexual Harassment acknowledges the right of every individual to work in a safe and respectful environment, free from any form of exploitation, and fosters a culture of equality, dignity, and mutual respect. Following the issuance of this code, the UGC will ensure that all employees, associates, and stakeholders are informed, with the responsibility for its implementation resting with the officials and employees of the relevant institutions.

The code of conduct covers the following key principles:

- A commitment to ensuring a workplace free from sexual violence and sexual abuse.
- A zero-tolerance policy toward sexual violence and sexual abuse.
- Prompt disciplinary action will be taken against any staff members of all gender or professional service provider found in violation of the code.
- Both Officers and Heads of Divisions are responsible for implementing the code of conduct and providing exemplary leadership in this regard.

To facilitate the hearing and management of complaints related to the code of conduct, a designated contact person will be appointed within the organization. This individual will be responsible for collecting and forwarding any complaints to the relevant authority for due process. Detailed information regarding the UGC SEA/SH Code of conduct can be found on the Commission's website: "ugcnepal.edu.np"

3.4 Grievance Redressal Mechanism

A structured GRM has been established to ensure the timely and effective management of grievances and complaints submitted from relevant ministries, agencies, institutions, or stakeholders. This mechanism is designed to facilitate transparent and impartial handling of all concerns, and is comprised of key officials, including Chairman, Secretary, and the head of administration, as well as other designated officials, who collectively oversee the process.

To address complaints specifically related to environmental and social safeguards, a dedicated five-member committee has been formed. This committee is composed of the Chairman of the Commission, along with specialized experts in environmental, social, and engineering disciplines, as well as staff appointed by the Commission. The involvement of the Secretary and other Commission employees, as needed, ensures a collaborative approach in the handling of complaints, further enhancing the integrity and responsiveness of the process.

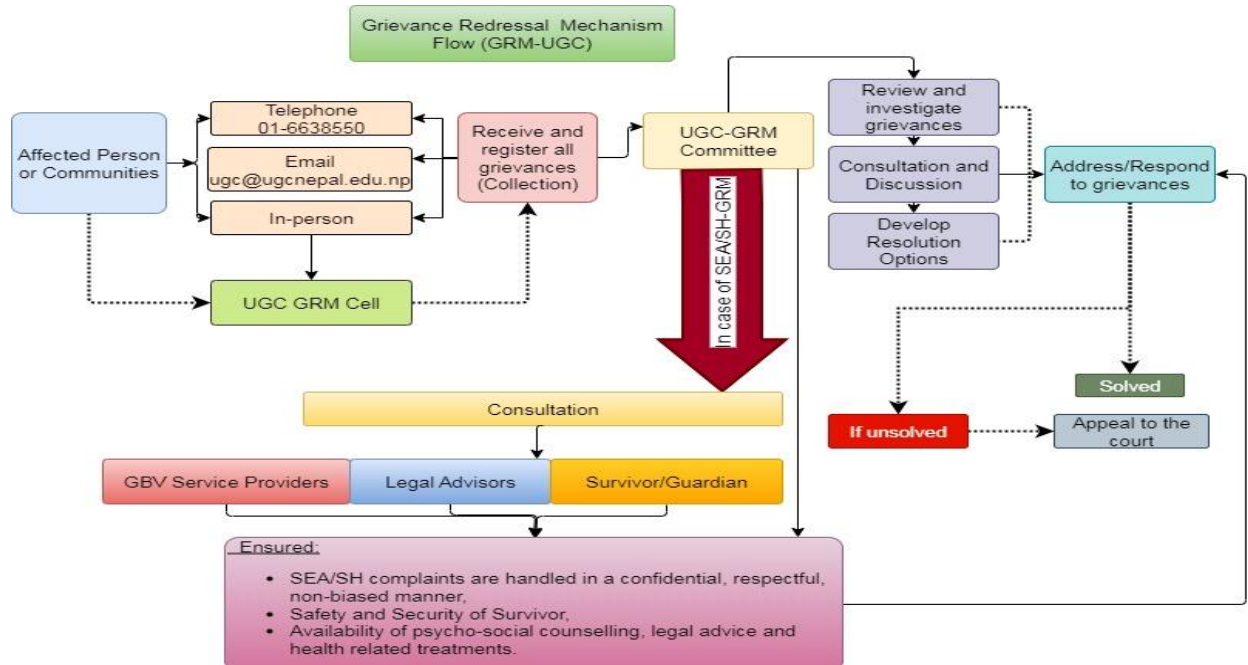


Figure 1: GRM of the UGC.

The mechanism is designed to ensure that all complaints received by the Commission are processed in accordance with established procedures, guaranteeing due consideration and the implementation of appropriate actions. The functioning of this grievance redressal system is

systematically outlined and further clarified in the figure above, which provides a visual representation of the process and its steps. This ensures transparency and helps all parties involved understand the clear pathway for addressing concerns within the Commission.

In line with the established framework, various universities and higher educational institutions are also required to set up similar grievance redressal mechanisms and ensure the effective implementation of the process. According to the correspondence and documents received by the Commission, it is evident that a grievance hearing mechanism has been implemented in over 200 higher educational institutions.

Grievances within these institutions will be managed and addressed through their respective grievance redressal mechanisms. For complaints received directly by the Commission, the designated grievance redressal process will be followed, which includes addressing grievances through formal correspondence within the Commission or conducting on-site investigations when necessary. This ensures that all grievances, whether received within the institutions or the Commission, are systematically and efficiently handled in accordance with established procedures.

3.5 Environmental and Social Safeguard Strategy for Organizations

An environment and social safeguard strategy has been prepared to address the various environmental and social safeguard issues arising from the daily activities, infrastructures development, and construction projects of HEIs participating in the promotion of higher education excellence. This strategy emphasizes the importance of considering environmental and social safeguards during the physical infrastructure development and construction works undertaken by universities, colleges, and affiliated campuses, especially those engaged in quality assurance and accreditation process.

According to the strategy, the decision-making bodies of HEIs should organize orientation programs to raise awareness about the potential environmental and social risks and impacts associated with their activities. These institutions are required to identify these risks and take appropriate steps to manage them effectively.

The NEHEP aligns with 5 out of 10 environmental and social safeguards standards of the World Bank. The following activities are central to these standards:

3.5.1 Evaluation and management of environmental and social risks and impacts:

- Identification, evaluation, and management of risks and impacts based on environment and social factors, along with proposed mitigation measures.
- Minimization of risks and impacts, ensuring they brought to an acceptable level and providing necessary compensation where applicable.
- Ensuring that the distribution of benefits and opportunities to vulnerable and disadvantaged groups.

- Managing the use of environment and social resources in compliance with relevant laws, regulations, and procedures.

3.5.1.1 Screening of environmental and social risks and impacts

Screening will be carried out following the guidelines set in the Environmental Protection Act (EPA) 2076 and Environmental Protection Regulations (EPR), 2077. Schedule-1 of the EPR, 2077 outlines the process for a Brief Environmental Study (BES), while schedule 2 addresses Initial Environmental Examination (IEE), and schedule 3 specifies the requirements for Environmental Impact Assessment (EIA). These screening will ensure that the environmental and social risks are adequately assessed and managed in accordance with established regulations.

3.5.2 Standards relating to labor and working conditions

The NEHEP is committed to promoting work safety and health by adhering to established labor standards and ensuring that working conditions meet or exceed national and international guidelines. During the implementation of the program, it is crucial that the rights and well-being of project workers are prioritized. This includes ensuring fair treatment for all workers, with a focus on promoting equal opportunities and preventing any form of discrimination. The program will actively protect vulnerable workers, giving special emphasis to those who may be at risk due to their socio-economic status, gender, or age.

A key aspect of the program is the prevention of forced labor and child labor. Stringent measures will be taken to ensure that all workers are employed voluntarily, of legal working age, and provided with appropriate working conditions in line with both national labor laws and international conventions. Furthermore, the program will continuously monitor and supervise the labor management process, refining it as needed to improve worker protection and compliance with labor standards.

In addition to protecting workers, the program upholds workers' rights to collective bargaining and freedom of association. It ensures that workers involved in the program have the right to organize, form unions, and engage in collective bargaining without fear of retaliation, in accordance with national laws. The program will facilitate open access for stakeholders and workers to the workplace and ensure that all involved parties are informed of their rights and responsibilities, fostering a transparent and inclusive working environment.

3.5.3 Implementation of activities related to the effective utilization of resources, pollution prevention and management standards

This standard promotes the sustainable use of available resources, including raw materials, energy, and water, throughout the implementation of program-related activities. It aims to minimize negative impacts on human health and the environment by reducing pollution from ongoing operations. The standard encourages the reduction of both short-term and long-term climate pollutants and aims to minimize the generation of harmful or non-hazardous waste. Additionally, it advocates for the adoption of necessary measures to mitigate the risks and adverse effects

associated with the use of pesticides, ensuring environmentally responsible practices are followed. Through these actions, the standard seeks to foster a more sustainable and health-conscious approach to the program's activities.

3.5.4 Community Health and Safety Standards

In alignment with the existing provisions on community health and safety, the Labor Act of 2017, the National Occupational Safety and Health Policy, 2076 (2020), and other pertinent national laws and policies, as well as the World Bank's Environmental and Social Safeguard Framework, efforts will be undertaken to organize awareness programs aimed at risk reduction. These programs will incorporate structured arrangements for training and encourage active participation from all stakeholders.

To ensure continuous improvement in occupational safety and health, emphasis will be placed on fostering the appropriate knowledge, skills, and attitudes among workers and other relevant parties. Additionally, necessary arrangements will be made to provide materials required for first aid, further enhancing the overall safety and preparedness of the workforce and community.

In this regard, the project should ensure the provision of essential PPE, including protective masks, helmets, boots, glasses, and other necessary items, to prevent workplace accidents. Similarly, specialized PPE will be provided for hazardous tasks to safeguard workers from potential risks.

All workers will be insured against occupational risks, including COVID-19. Furthermore, appropriate measures will be taken to avoid the engagement of workers who are unwell or elderly, ensuring the health and safety of all personnel in compliance with applicable laws and standards.

3.5.5 Standards for Stakeholders Engagement

A Stakeholder Engagement Plan (SEP) will be developed and implemented under Environment and Social Safeguard Standards 10. The plan will emphasize fostering direct stakeholder involvement through mutual discussions and deliberations, ensuring adaptability to evolving project needs.

In line with ESS 10, the primary focus of the plan will be to minimize environmental and social impacts associated with project activities, with particular attention to maintaining meaningful stakeholder engagement throughout the project duration. This approach ensures inclusivity, transparency, and accountability in achieving the project's objectives.

3.6 Strategies for Mitigation Measures

The measures to be taken to reduce environmental and social risks are as follows:

A. Institutional Strengthening

- Establish a dedicated **Social and Environmental Unit** within the program-implementing agency and appoint a designated contact person.
- Provide adequate technical and managerial support to workers and contractors to ensure compliance with environmental and social safeguards.

B. Labor and Working Conditions

- Develop and implement plans to improve labor working conditions in beneficiary higher education institutions.
- Establish a comprehensive Labor Management Process tailored for higher educational institutions.
- Develop and enforce Occupational Health and Safety (OHS) Regulations to protect workers and stakeholders.

C. Resource Management and Pollution Prevention

- Formulate operational procedures for the management of e-waste generated during the project's lifecycle.
- Develop guidelines for the safe and efficient management of hazardous waste.
- Organize training and orientation programs for the effective management of e-waste, hazardous waste, and other types of waste.
- Promote the Reduce, Reuse, Recycle (3R) principle in waste management within higher educational institutions.
- Encourage the use of eco-friendly alternatives, such as biodegradable bags made of paper or cloth, instead of plastic bags.
- Develop a manual detailing environment-friendly, efficient, and cost-effective waste management practices for higher education institutions.
- Prepare record-keeping forms to track sources of potentially hazardous waste and develop Safety Data Sheets for storage sites handling such waste.
- Conduct capacity-building programs for stakeholders involved in waste management and related activities.

D. Community Health and Safety

- Develop and implement plans for community health and safety measures tailored for beneficiary higher education institutions.
- Organize orientation and training programs for teachers, students, and staff to enhance awareness and capacity on community health and safety measures.
- Provide comprehensive education on the 3R principle to encourage sustainable waste management practices.

E. Stakeholder Engagement

- Regularly update the **Stakeholder Engagement Plan** to ensure transparency and ease of information sharing.

- Create mechanisms to facilitate information exchange on environmental and social safeguards among higher educational institutions.
- Establish a robust **Grievance Redress Mechanism (GRM)** to address concerns and complaints effectively.

3.7 Environmental and Social Safeguards Guidelines

In managing the waste generated from the project's activities, comprehensive guidelines have been developed and implemented to ensure sustainable and efficient waste management.

3.7.1 Guidelines for E-waste management

Proper management of e-waste produced by professors, staff, and laboratories within higher educational institutions is crucial. Emphasis will be placed on implementing the **3R (Reduce, Reuse, Recycle)** principle to promote sustainable practices. Additionally, a comprehensive waste segregation plan will be adopted to ensure efficient handling of e-waste.

To minimize environmental impacts:

- Suitable containers should be used for storing and disposing of e-waste.
- Containers holding hazardous substances must be clearly labeled.
- All waste containers should be kept securely closed to prevent leakage or contamination.
- E-waste management will comply with relevant national laws and regulations. The organization will follow the procedures outlined in **Flow Chart 2** to handle e-waste effectively.

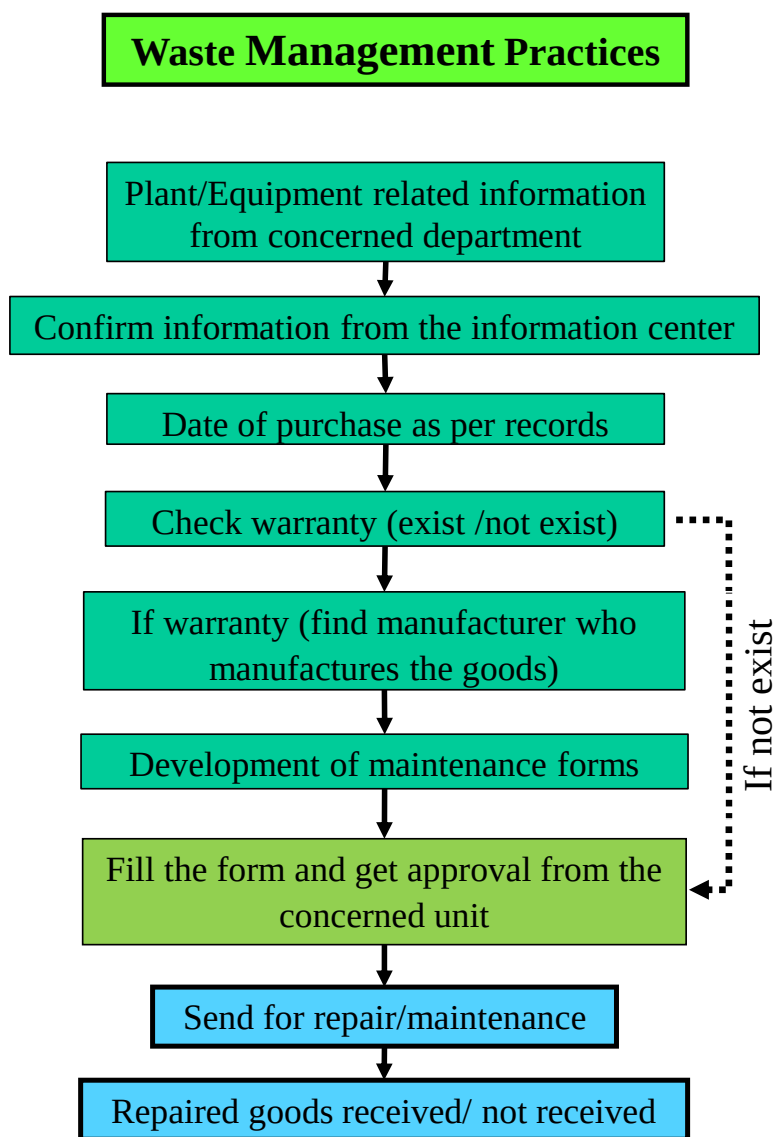


Figure 2: Management of E-waste generated in the organization.

For more detailed information on this topic, refer to the **E-Waste Management Guideline** available in the Resources section at www.ugcnepal.edu.np.

3.7.2 Hazardous Waste Management Guidelines

Effective management of e-waste generated from the activities of professors, staff, and laboratories within higher educational institutions is essential. For detailed information, refer to the **SOP-Hazardous Waste Management** available in the Resources section at www.ugcnepal.edu.np.

3.8 Development of framework for resilience to climate change

To enhance the ability to resist climate change, necessary solution measures have been outlined, including planning, designing, and implementing strategies across various sectors to address the climate crisis. The following five steps are considered in preparing this framework:

- Identifying the areas of climate influence within higher educational institutions.
- Assessing existing climate change agreements and efforts undertaken.
- Identifying the problem, selecting alternatives, and determining the best solution to minimize the issue, followed by developing an implementation method.
- Discussing and implementing the best option.
- Establishing a comprehensive assessment system.

For more detailed information, refer to the Resources section at www.ugcnepal.edu.np.

3.9 Institutional Capacity

The University Grants Commission (UGC) will develop various plans to manage environmental and social risks, creating the necessary policies, rules, standards, procedures, and guidelines for their effective implementation. The UGC will also inspect and report on related areas. Until a dedicated department is established within the commission, an appointed contact person will oversee these tasks. As per the commission's decision dated **26th Mangsir 2080 (December 12, 2023)**, the scholarship and safeguard unit will be placed under the Research Division. For the time being, environmental and social safeguard-related arrangements will be handled by this division.

Additionally, an expert committee will be formed to provide guidance, comprising commission officials, field experts, and relevant employees. This committee will organize necessary training sessions, workshops, and other activities to inform and support higher educational institutions or stakeholders. The aim is to ensure implementation in accordance with environmental and social directives, build stakeholder capacity, and provide essential guidance for proper execution.

3.10 Monitoring and reporting mechanism

In the context of environmental and social risk management, various indicators will be developed based on the policies, strategies, guidelines, plans, and action plans formulated by the commission. These indicators will be used to verify the achievements by inspecting the environmental and social aspects of the relevant higher educational institutions. This inspection will involve the members and employees of the expert committee formed by the commission. Additionally, the committee will organize capacity development activities and provide support in the preparation of reports, ensuring that the implementation aligns with the established environmental and social standards.

3.11 Proposed Budget

A five-member committee has been established to provide guidance in the absence of necessary branches and staff within the commission for Environmental and Social Safeguard. The remuneration, meeting allowances, lunch/meal, and transport expenses for the committee members will be provided in accordance with the approved expenditure norms of the commission. Additionally, the required budget will be allocated from the Investment Project Financing (IPF) under the program aimed at nurturing excellence in higher education. This budget will cover the costs of organizing various training sessions, workshops, and monitoring visits to different locations.

Annex 1: Environmental and Social Safeguard Screening Checklist

SAMPLE CHECKLIST FOR ENVIRONMENTAL AND SOCIAL SCREENING

This checklist is an annex to the Environmental and Social Guidelines of the UGC. It has been prepared to assist in the screening, identification, and assessment of environmental and social risks applicable to the environmental and social requirements of the Government of Nepal (GoN) and the World Bank during the program design, implementation and operation phases, particularly under the NEHEP PforR program.

As noted in the Program Environmental and Social Safeguard Assessment (ESSA), the Program only supports minor civil works, such as retrofitting and upgrading of buildings and installation of ICT equipment, which are expected to have minimal or low adverse impacts. On the environmental side, minor civil works may lead to low or minimal air, water, noise, and dust pollution, along with occupational health and safety risks. Additionally, e-waste could be generated from the replacement of old electronic devices and laboratory refurbishments in higher education institutions. Social risks of the Program include a risk of exclusion and marginalization, inadequate consultations and citizen engagement, including with those from disadvantaged groups, and risks of Sexual Exploitation and Abuse/Sexual Harassment (SEA/SH) and Violence against Children (VAC), as noted in paragraphs 22-29 of the ESSA. All works are required to be confined to existing premises of the recipient institutions. The program will not support any activities that will require land acquisition or major civil works that will lead to physical displacement and loss of livelihood.

Sub-Project Details

Name of the HEI	
Program	NEHEP
Nature of Project (New/Expansion/Redevelopment/Upgradation)	New
Location of the HEI (GIS Map)	
Address : Province/District/Municipality/Ward	
Terrain- flat, ridge, undulating, Hilly, valley etc.	
Current status of land (HEI owned/Leased)	
Brief about Sub-project components (Program Activities)	
Type and quantity of construction materials/resources needed	
Provisions for air, water, noise pollution control mechanism during construction period of facility	
Quantity of construction waste and disposal mechanism of construction waste	
Exposure to toxic chemicals, hazardous wastes, and other dangerous materials from the facility such as science lab and other	
Quantity of electronic waste and disposal mechanism of e-waste	

Solid waste management mechanism for day-to-day operation of facility	
Provisions for ensuring occupational health safety related issues	
Provisions for emergency preparedness for firing & electrocution and other incidents	
Provisions for providing equitable accessibility for vulnerable, disable and disadvantage group while implementing sub-projects	

Sub-project Description and Key Activities: Please fill the table below

Name of the sub-project (HEI)	Type of Intervention/s (Such as construction of annex buildings, laboratories, upgrading of infrastructure)	Brief description of the design

S.N.	Screening criteria	Response to the Question		ES Impact						Proposed mitigation measures and Remarks ¹
		Yes	No	No Impact	Positive Impact	Negative Impact				
						Low	Moderate	Substantial	High	
1	Will the activities be located close to protected areas and areas of ecological significance/sensitivity including critical habitats, key biodiversity areas and internationally recognized conservation sites?									
2	Is there any possibility of degradation of land / eco-systems due to the project activities?									
3	Is there any possibility of tree cutting that may have impact on local ecology?									
4	Does the subproject involve recruiting workers including: direct, contracted, primary supply, and/or community workers? Provide estimated number.									

¹ Provide details (approx. numbers, affected stakeholder, etc.) photos (annex) where necessary.

S.N.	Screening criteria	Response to the Question		ES Impact						Proposed mitigation measures and Remarks ¹
		Yes	No	No Impact	Positive Impact	Negative Impact				
						Low	Moderate	Substantial	High	
5	Will there be migrated labor in the project? Provide estimated number.									
6	Will there be any labor camp for the accommodation of the laborers? If yes, please mention location and management of the camp.									
7	Does the sub-project area present considerable Sexual Exploitation and Abuse (SEA) as well as Sexual Harassment (SH) risk?									
8	Is there any potential for conflict between construction workers and local peoples (and vice versa)?									
9	Will the activities use or generate substances that will cause pollution of water bodies, river (groundwater/surface water) and land during the construction or use of the facilities?									
10	Are there any low-lying areas prone to water logging/flooding due to project activities?									
11	Is there necessity of substantial removal of topsoil?									

S.N.	Screening criteria	Response to the Question		ES Impact						Proposed mitigation measures and Remarks ¹
		Yes	No	No Impact	Positive Impact	Negative Impact				
						Low	Moderate	Substantial	High	
12	Will the project use or store dangerous substances (e.g., massive quantities of hazardous chemicals/ materials like Chlorine, Diesel, bitumen, Petroleum products; any other?									
13	Will the project produce solid or liquid wastes; including construction/demolition wastes (including de-weeding wastes, muck/silt, dust); polluted liquids?									
14	Will the project cause or increase air, noise and vibration pollution or odor nuisance?									
15	Is there any potential for release of toxic gases or accident risks (e.g., potential fire outbreaks)									
16	Will there be any permanent land acquisition?	Please write the purpose of acquisition or requisition here All works are required to be confined to existing premises of the recipient institutions and land acquisition is not permitted.								
17	Is the ownership status of the land known? If yes, please provide details here.									
18	Will there be any loss of residential resulting in physical displacement?									
19	Will there be any loss of other private and community structures, and									

S.N.	Screening criteria	Response to the Question		ES Impact						Proposed mitigation measures and Remarks ¹
		Yes	No	No Impact	Positive Impact	Negative Impact				
						Low	Moderate	Substantial	High	
	commercial and business? Please provide details.									
20	Is there any presence of squatters, tenants, encroacher who may be affected due to interventions?									
21	Are any disadvantaged and vulnerable people being displaced or impacted?									
22	Will there be any loss of private trees, crops, or any fixed assets?									
23	Is there possibility of potential disruption to common property, accessibility, traffic system etc. due to project activity?									
24	Will the activities affect other communities who rely (or might become dependent) on the same resources that the proposed activity will be using?									
25	Are there any sensitive ES receptors such as residences, schools, hospitals etc. nearby which the project might impact?									
26	Will the activities result in loss or impacts on cultural/heritage properties?									

S.N.	Screening criteria	Response to the Question		ES Impact						Proposed mitigation measures and Remarks ¹
		Yes	No	No Impact	Positive Impact	Negative Impact				
						Low	Moderate	Substantial	High	
27	Are there any disadvantaged and vulnerable groups such as Dalits, religious minorities, women headed and People with Disabilities and others who may have unequitable access to project benefits?									
28	Are there any indigenous people in the project area?									
29	Will the project intervention have adverse impacts on land and natural resources that are under customary use or occupation?									
30	Will the project intervention cause relocation of indigenous peoples from land and natural resources under traditional/customary use or occupation?									
31	Will the project intervention have significant impacts on indigenous People's ² cultural heritage ?									
32	Are the local people aware of the proposed project ?									
33	Has the project conducted any consultations with the different stakeholders?									

² Both tangible and intangible cultural heritage.

S.N.	Screening criteria	Response to the Question		ES Impact						Proposed mitigation measures and Remarks ¹
		Yes	No	No Impact	Positive Impact	Negative Impact				
						Low	Moderate	Substantial	High	
34	Were there any information shared in print and other forms with the stakeholders during consultations?									
35	Are there any existing GRM systems in the affected communities or implementing agencies/HEIs?									
36	Are these HEI GRMs SEA/SH sensitive and/or have specialized referrals for such cases?									

Conclusions

Sub-Project Category		☐ Low ☐ Moderate ☐ Substantial ☐ High ³
Summary findings- Key E&S risks and impacts (attach photos and other documents as necessary)		<i>Note: Only minor and low risk impacts are permitted under the Program, which are to be minimized and mitigated.</i>
Recommendations Due to low and minor risks of the intervention/s, it is recommended that the intervention proceed. • Pre-liminary recommendation for engineering design • Level ES assessment and FPIC requirement⁴ • E&S Instruments Required (national and WB)		☐ Detailed Environment and Social Code of Practices (ESCOPs)⁵ for e-waste, occupational health and safety and SEA/SH.

Team of Environmental and Social Screening

SN	Name	Signature
1	Environmental Specialist/s	
2	Social Specialist/s	

Date:

³ The guidance for risk-categorization:

High-risk: Subprojects that involve complex and large-scale civil works. The anticipated impacts are high in magnitude and/or spatial extent, and high probability of serious adverse impacts on sensitive ecosystems and public health.

Substantial Risk. Subprojects that involve large-scale civil works. The anticipated impacts are medium in magnitude and/or spatial extent in time. Medium to low probability of impacts on sensitive ecosystems and public health

Moderate Risk. Subprojects that involve medium scale civil works, and the impacts are temporary in nature and low in magnitude. The impacts will not be felt beyond the actual footprints of the subprojects

Low Risk. Subprojects that involve minor civil works and its potential impacts on public health and

⁴ FPIC will be required if any of the response to question number 31, 32 and 33 is yes.

⁵ ESCOP: Based on the proposed activities of the project, it is expected that the E&S impacts will be localized and minor, which will be addressed through adequate mitigation measures and related guidelines incorporated in this E&S Code of Practices (ESCoP). The ESCoPs will provide guidelines for the best operating practices through environmental and social management to be followed by the contractors and relevant staff during Program implementation.

Annex: (supporting documents, photos, maps)