The Independent Consultation and Investigation Mechanism

2013 Annual Report

We want to hear your Voice

Sustainable Development Deserves Our Attention

ICIM
Independent Consultation and Investigation Mechanism

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1300 New York Avenue, N. W.
Washington, D.C. 20577

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Cataloging-in-Publication data provided by the
Inter-American Development Bank
Felipe Herrera Library

The Independent Consultation and Investigation Mechanism: 2013 annual report.
p. cm.
1. Independent Consultation and Investigation Mechanism. I. Inter-American Development Bank. Independent Consultation and Investigation Mechanism.
IDB-AR-105

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1. Synopsis of three years of case management

At the end of 2013, the Independent Consultation and Investigation Mechanism (ICIM) finished the pilot period established in its Policy, approved by the Board of Executive Directors in February 2010, 40 months after its launch in September of that year.

In terms of workload, the ICIM received a total of 76 Requests between January 2010 and December 2013, 24 of which were registered. Requests were received from nine different countries, and 37% were submitted by individual requesters.

Thus far, 14 processes have been closed, and 10 Requests remain in the Mechanism's portfolio at one phase or another. During this period, the ICIM has been able to help the parties involved reach an agreement in five cases in the Consultation Phase, and the Panel has completed the investigation stage and issued the relevant reports in two cases in the Compliance Review Phase.

Among requests registered in 2010-2013, 66% of the concerns expressed related in equal measure to either adverse environmental impacts and their repercussions on the availability of natural resources such as water and food, or the impact on the population's social and economic conditions. A common feature in almost all cases was the uncertainty caused among communities when they learned of the existence of a project in the vicinity of their home through third parties, generally the media, and lacked accurate information about what impact it might have on their and their families' way of life. This uncertainty is heightened when large-scale operations involve involuntary resettlement components, adverse environmental impacts, and potential changes in people's economic and social circumstances.

Of the Requests registered, 63% originated from Southern Cone countries (Argentina, Brazil, Chile, Paraguay, Uruguay), followed by 21% from the Central American region and Mexico; 79% related to sovereign guaranteed operations, and 21% to non-sovereign guaranteed operations.

This regional distribution is largely the result of better civil society organization in the originating countries and the features of the Bank's portfolio of operations in terms of size and sectors.

It is no surprise to find that 75% of Requests relate to infrastructure projects in the areas of transportation, energy, water, and urban development, with 46% of these projects being classed as category A in terms of their environmental and social impact.

As regards the relevant operational policies, Requests tend to be concentrated on issues associated with the Environment and Safeguards Compliance Policy (Operational Policy OP-703), which is cited directly or indirectly in 63% of Requests, with particular emphasis on the public consultation process. Especially notable in this regard is that Requesters

consistently find shortcomings in the quality of the information disseminated, as well as the mechanisms and vehicles used.

As established in the Policy for the pilot period, the ICIM underwent an evaluation, and the findings identified the need for a review of both its organizational structure and management process. This review began in 2013 and is expected to lead to a stronger and more flexible and responsive Mechanism.

Importantly, in parallel with the review, the ICIM team has sought to address the evaluation's recommendations by making changes in terms of efficiency, transparency, access, and certainty as to its processes.

At year-end 2013, the ICIM team is comprised of 12 professionals, supplemented with local experts, seeking to ensure that the Mechanism's actions complement the Bank's work and help to produce positive development outcomes in the region.

2. 2013 highlights

In 2013, the work of the Independent Consultation and Investigation Mechanism (ICIM) was shaped by a combination of decisions made by the Board of Executive Directors as a result of the findings of the evaluation conducted in 2012 and the end of the ICIM's pilot period. The year's milestones include:

- Decision of the Board of Executive Directors to initiate a review of the ICIM's structure and policy, including implementation of the first phase of the public consultation
- Rotating leadership process for the Consultation and Compliance Review Phases
- Start of the Mechanism's transitional operating arrangements
- Broadening of the Mechanism's mandate

In early 2013, the Board of Executive Directors discussed the findings and conclusions of the Office of Evaluation and Oversight's evaluation report on the ICIM's operations. The Board determined that the Mechanism's governance structure and policy needed to be reviewed, in order to strengthen the Mechanism and ensure its effectiveness and efficiency in the years ahead. Following a search process, an independent expert was engaged in May 2013 to conduct this review and after a public consultation processes submit a structure and policy proposal to the Board of Executive Directors that addressed the weaknesses observed during the evaluation, while retaining the strengths of the current policy. As of end-2013, the Board of Executive Directors was reviewing the first draft, and the Mechanism is expected to transition to the new operating arrangements in 2014.

The first phase of the consultation process was launched as a part of this, eliciting feedback from Requesters, Management, the Board of Executive Directors, peer organizations and experts on the current Policy and operations to date. The first stage took place from 2 August to 15 November 2013. Two face-to-face meetings were also held during the period, one in Washington, D.C., and the other in Cali, Colombia, along with a series of video-conferences.

An important milestone under the Mechanism's existing Policy was also reached this year: the end of a management cycle and the Mechanism's first rotation. The term of the first Project Ombudsperson ended in August 2013, as did that of first Chairperson of the Compliance Review Panel in October. Both were responsible for the process of getting the new Mechanism up and running and meeting the challenges of new operational arrangements. The Mechanism would like to thank Ms. Isabel Lavadenz and Mr. Werner Kiene for their contribution during this foundational stage.

Also as part of the foundation process, another Panel member, Mr. Gilberto Amaya, ended his term, having been part of the compliance review team for two of the cases

investigated during his time. The Mechanism would like to express its gratitude for his contribution and expertise.

As a result of the rotation, and under the current Policy, the Compliance Review Panel informed the Board of Executive Directors in May 2013 that the new Chairperson of the Compliance Review Panel had been selected: Ms. Mary Rose Brusewitz, member of the Compliance Review Panel since 2010. Ms. Brusewitz, a U.S. national, is an attorney with a long career in financial restructuring of projects, regulatory reform, and microfinance. She is an adjunct professor at the University of Michigan Law School's International Transaction Clinic and a member of the Board of the Microfinance Club of New York.

Recruitment processes were planned for 2013 to replace the Project Ombudsperson and the two outgoing members of the Panel. However, since the structure and policy review had already been begun, the Board of Executive Directors considered it better to postpone recruitment until the new governance structure had been approved, and to put a transitional arrangement in place allowing the Mechanism to continue operating uninterrupted. Accordingly, on 10 July 2013 the Board of Executive Directors approved the following operating arrangement:

Supervision of the Consultation Phase: In the absence of the Project Ombudsperson, the Executive Secretary will be in charge of supervision of this phase.

Determination of eligibility of new requests and case management in the Consultation Phase: Eligibility will be determined by an Eligibility Committee comprising the Executive Secretary and two case officers from the Consultation Phase team; this team will also manage active cases with support from local consultants.

Membership of the Compliance Review Panel: With the departure of two of its members, the Compliance Review Panel was reduced from five to three members, supported by two full-time case officers.

This transitional arrangement will remain in place until the new structure and revised policy come into force.

Lastly, as of 9 September 2013, on completion of the pilot operation period, and under paragraph 26 of the current Policy, the Mechanism's mandate was expanded from considering only the operational policies on Access to Information (OP-102), Disaster Risk Management (OP-704), Gender Equality in Development (OP-761), Environment and Safeguards Compliance (OP-703), Indigenous Peoples (OP-765), and Involuntary Resettlement (OP-710), to include all relevant operational policies in force, as well as those relating to the enforcement of compliance with a borrower/recipient's obligations required by such policies. Moreover, other Bank operational policies approved by the Board of Executive Directors concerning the design, appraisal, analysis, and/or implementation of Bank-financed operations remain part of the ICIM's mandate, as do those relating to the enforcement of compliance with a borrower/recipient's obligations required by such policies.

In this changing context, in 2013 the ICIM continued its ongoing work of request management under the Policy in force, as well as its dissemination and institutional strengthening work. The following sections provide more detailed information on these actions and their outcomes.

3. The ICIM portfolio in 2013

The ICIM's portfolio of requests in the year comprised 10 carryover Requests from previous years and 22 new Requests received in 2013, for a total of 32 Requests handled this year.

At the end of 2013, the portfolio closed with: two incoming Requests; four Requests in the consultation phase, and four Requests in the compliance review phase, making a total of 10 Requests to be carried over to the 2014 portfolio.

The key feature of the 2013 portfolio is Requesters' concerns over the conduct of infrastructure projects in which they feel that the content of information provided and consultation activities with the population have been limited and that these activities have been selective as to whom they include. This heightens their concerns about the impact these projects may have on their health and their economic and social circumstances. As might be expected, the number of Requesters is greatest in the transportation, water and sanitation, and electricity sectors, which involve involuntary resettlement, expropriation of land, and impacts on the flora and fauna of the affected area.

Intake

From January to December 2013 the ICIM received a total of 22 new Requests, with two registered and transferred to the Consultation Phase and two pending registration and transfer at year-end. Table 1 describes the handling of these Requests, and Annex 2 lists all the Requests received in chronological order and provides more details of each.

Table 1 **Handling of incoming requests in 2013**

Incoming	
22 incoming Requests	**4** were registered:
	2 transferred to the Consultation Phase for determination of eligibility
	2 in registration process
	18 were not registered:
	9 transferred to other IDB units (OII, Ethics, Procurement)
	3 not associated with a Bank-financed operation (exclusions 37b and 37c)
	3 requests for information
	3 insufficient information for registration or no contact with Management reported

Consultation Phase

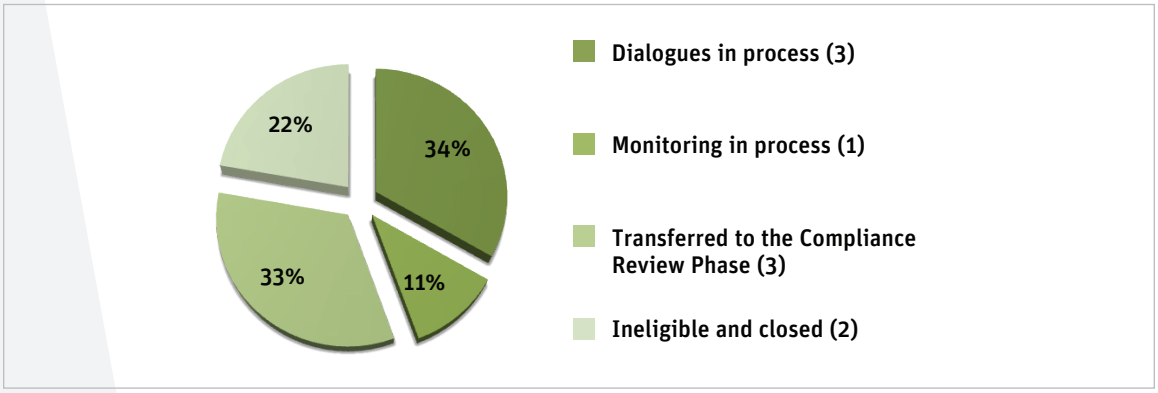
Six carryover Requests from previous years and three new Requests declared ineligible were managed in the Consultation Phase, as shown in Table 2 and Figure 1.

Table 2. **Management of requests and cases by the consultation phase in 2013**

Fase de Consultation	
9 Requests managed by the Consultation Phase	**1** agreement in the monitoring stage **AR-MICI001-2010**
	3 dialogues in process **BR-MICI004-2011** **BR-MICI006-2011** **CO-MICI002-2011**
	2 transferred to the Compliance Review Phase at Requesters' request **BO-MICI001-2011** **CO-MICI001-2011**
	3 declared ineligible for the Consultation Phase **ME-MICI002-2012 -** transferred to the Compliance Review Phase **MICI-AR-2013-070 -** closed **MICI-SU-2013-069 -** closed

Section 4 gives details of the Requests listed above, how each has been managed, and its status as of year-end 2013. Additionally, their progress can be followed closely and the public documents available thus far can be accessed on the Public Registry (www.iadb.org.icim).

Figure 1. **Status of consultation phase case workload as of end-2013**



Source: ICIM statistics

Compliance Review Phase

The Compliance Review Panel managed nine cases in 2013, as shown in Table 3 and Figure 2: six carryover cases from prior years and three new cases transferred from the Consultation Phase. Four of these cases were still active at the end of 2013, one was declared ineligible and dismissed, and four more were closed.

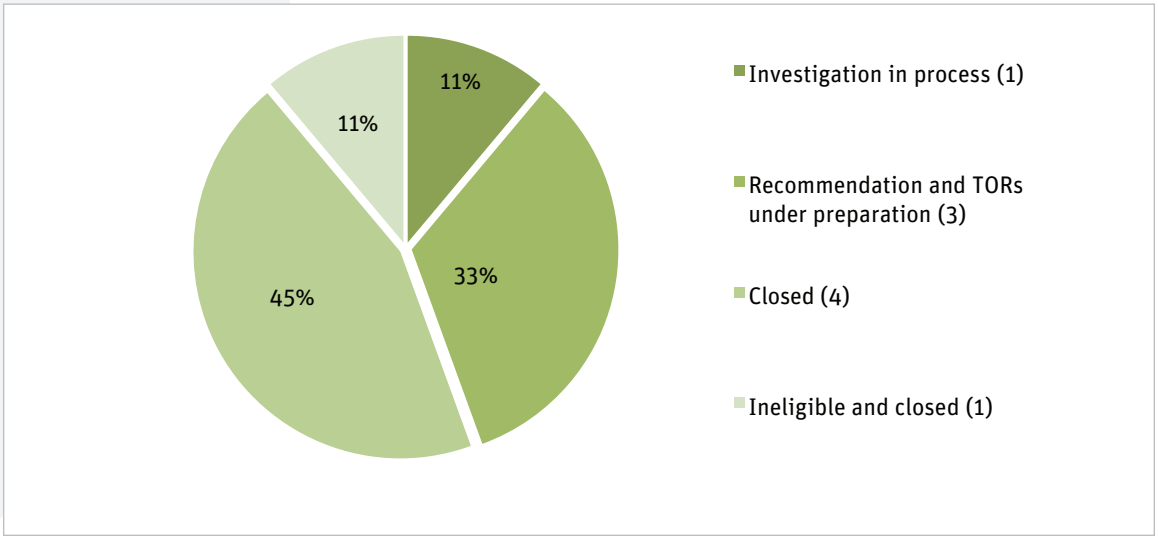
Table 3. **Management of requests and cases by the Compliance Review Phase in 2013**

Compliance Review Phase	
9 Requests managed by the Compliance Review Phase	**1** investigation in process **PN-MICI002-2011**
	2 declared eligible and in process of preparation of compliance review recommendations and corresponding terms of reference **BO-MICI001-2011** **ME-MICI002-2012**
	1 in process of review of the recommendation and terms of reference **BR-MICI001-2010**
	1 declared ineligible and closed **CO-MICI001-2011**
	2 investigations ended with a compliance review report and closed **PN-MICI001-2010** **PR-MICI002-2010**
	2 closed as the Board of Executive Directors did not authorize a Compliance Review **BR-MICI003-2011/BR-MICI005-2011**[1]

Section 4 gives details of the Requests listed above, how each has been managed, and its status as of year-end 2013. Additionally, their progress can be followed closely and the public documents available thus far can be accessed on the Public Registry (www.iadb.org/icim).

1 Requests BR-MICI003-2011 and BR-MICI005-2011 both concern the Mário Covas Rodoanel Northern Section project (loan BR-L1296). After they were declared eligible for the Compliance Review Phase, the Panel Chairperson determined that they would be managed and submitted jointly for compliance review.

Figure 2. Status of Compliance Review Phase case workload as of end-2013



Source: ICIM statistics

It should be noted that as of October 2013, the Compliance Review Panel comprises three experts: Ms. Mary Rose Brusewitz, who chairs the Panel, Ms. Korinna Horta, and Mr. Mario Epstein. As per the ICIM Policy, the three experts are involved in each of the cases in the Compliance Review Phase portfolio.

4. Case management portfolio in 2013

Open cases

At year-end 2013, eight cases remained open: four in the Consultation Phase and four in the Compliance Review Phase. The details of each open case, which will continue to be managed in 2014, are given below.[2]

1

Multiphase Program for the Development of Production Support Infrastructure in Entre Ríos (AR-L1036)

Environmental category: B

Country: Argentina

Case chronology and public documents: Public Registry AR-MICI001-2010

Current status: Open

Phase: Consultation

The project. The Multiphase Program for the Development of Production Support Infrastructure in Entre Ríos is a sovereign guaranteed loan operation for US$100 million with the objective of supporting basic infrastructure development to support the productive sector in the province of Entre Ríos, Argentina. The first phase of the program focuses on transportation and electricity components to enhance regional interconnectivity and ensure the availability of electrical power in areas where agroindustry is expanding. This component includes the construction of the "Gran Paraná" 500-132 kV substation, referred to in the Request received in June 2010.

The request. The Folonier family, represented by Mr. Pablo Folonier, submitted a Request alleging potential environmental and social harm from the construction and operation of the electrical transmission plant, including: (i) lack of due process during expropriation of the estate owned by the family that had been selected for construction of the plant; (ii) lack of protection and/or mitigation measures in areas surrounding the estate that were part of a hilly riverside area declared to be of value and interest for the city of Paraná; (iii) economic harm for the Requester and other neighbors in terms of the impacts that siting the plant could have on local agriculture; (iv) lack of access to information on the project and its scope.

2 In addition to the eight open cases, two Requests in the registration phase at end-2013 will be carried over to 2014.

The ICIM process. The Request was declared eligible for the Consultation Phase in October 2010. The assessment determined that a dialogue process could help to address the Requesters' concerns.

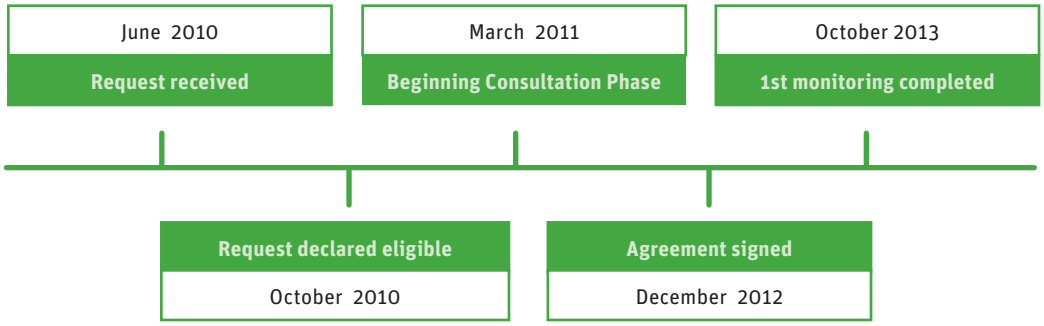
The dialogue process took place between March 2011 and December 2012, culminating in an agreement signed by the Requesters, the executing agency, and the municipal and state authorities, compliance with which is being monitored by the Mechanism.

The agreements included: measures to mitigate the visual impact of the transformer station; improvements to the infrastructure in the El Brete neighborhood related to the supply of three-phase power, public lighting, the road system and provision of drinking water service, installation of a healthcare center, creation of a private natural protected area in the vicinity of the transformer station, development and implementation of a citizen participation plan, and discontinuance of lawsuits.

Compliance monitoring of the agreements began in 2013, the timetable for which depends on the progress of substation construction. The process documentation and available monitoring report can be accessed in the Public Registry for the case (www.iadb.org/icim).

Timeline for AR-MICI001-2010

Consultation Phase



2

Northern Corridor Highway Improvement Program – Santa Barbara-Rurrenabaque Section (BO-L1011)

Environmental category: B

Country: Bolivia

Case chronology and public documents: Public Registry BO-MICI001-2011

Current status: Open

Phase: Compliance Review

The project. The program is a sovereign guaranteed investment loan with the objective of contributing to national integration, particularly between the departments of Beni and La Paz, facilitating access to Rurrenabaque. The project is part of a broader Northern Corridor program, seeking to connect La Paz with Guayaramerín on the Brazilian border and begin the La Paz-Trinidad-Santa Cruz-La Paz circuit as part of the Peru-Brazil-Bolivia integration hub.

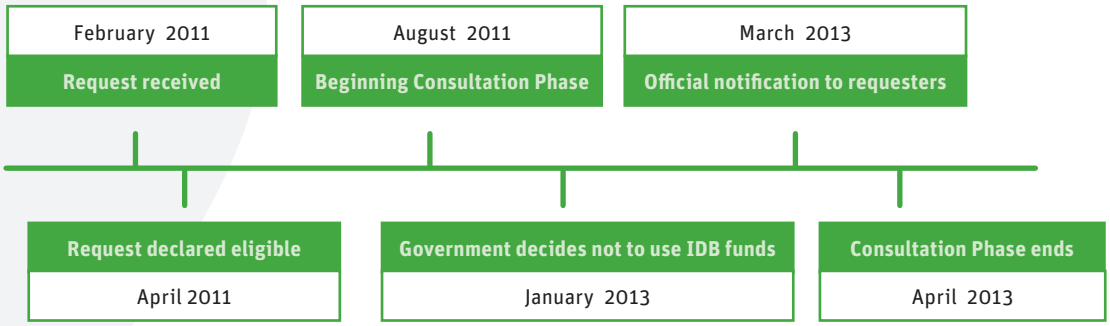
The request. In February 2011 the Foro Boliviano sobre Medio Ambiente y Desarrollo [Bolivian Forum on Environment and Development] (FOBOMADE) submitted a Request on behalf of various groups of Bolivian citizens concerned about the planned construction of a bridge between Rurrenabaque (Beni Department) and San Buenaventura (La Paz Department). The Request alleged that construction of the bridge at the planned location, and in particular its access roads, could have a significant adverse environmental and social impact on populations of both departments. They also claimed that the executing agency, the Bolivian Highway Administration (ABC), handled the information and conducted public consultations improperly by not including an analysis of alternatives.

The ICIM process. In April 2011 the Request was declared eligible for the Consultation Phase. Following the assessment, a dialogue process was begun that was ended by the Project Ombudsperson in April 2013 as the Government of Bolivia informed the Bank of its decision to finance the construction of the bridge with local funds, and proceeded to reimburse the amount disbursed thus far by the Bank.

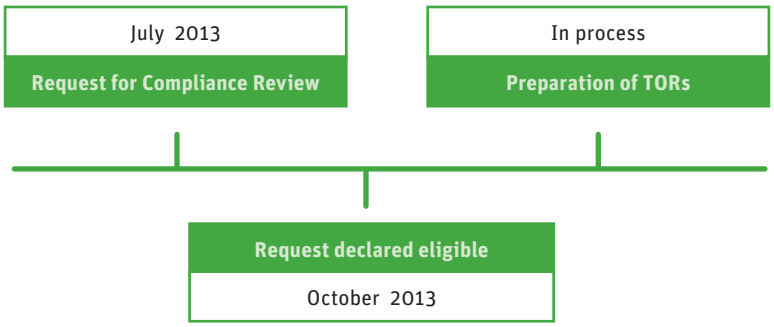
In July 2013, the Request was transferred to the Compliance Review Phase at the Requesters' request, and was declared eligible by the Panel Chairperson in October 2013. The Panel is currently in the process of preparing the recommendation and terms of reference for submission to the Board of Executive Directors for its consideration.

Timeline for BO-MICI001-2011

Consultation Phase



Compliance Review Phase



3

Serra do Mar and Atlantic Forest Mosaics System Socioenvironmental Recovery Program (BR-L1241)

Environmental category: A

Country: Brazil

Case chronology and public documents: Public Registry BR-MICI001-2010

Current status: Open

Phase: Compliance Review

The project. This program is a sovereign guaranteed loan for US$162.5 million with the objective of promoting the conservation, sustainable use, and recovery of the Serra do Mar mountain range, the Juréia-Itatins Mosaic territory, and the marine conservation units and their surrounding areas in the State of São Paulo. The program's specific objectives are: (i) more effective protection of the beneficiary conservation units by restoring areas that have been degraded by illegal occupation and other associated factors, creating a botanical garden and improving the management capacity of the conservation units; (ii)

reduced impact of population groups living in and around the Serra do Mar State Park by relocating people from the highest impact areas to zones chosen by agreement with the resettled populations, improving urban services in areas that can be consolidated, and altering the park boundaries where necessary; and (iii) an upgraded conservation unit monitoring and inspection system.

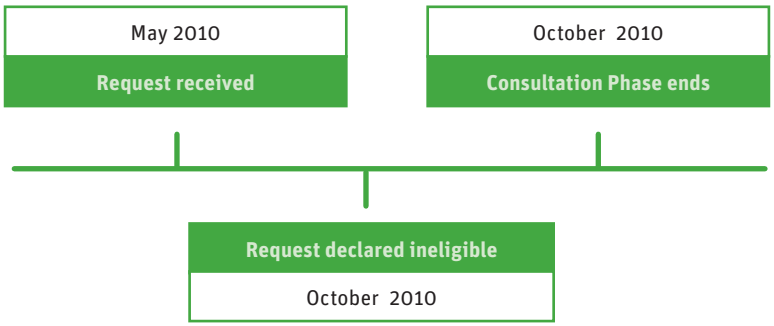
The request. The request originally submitted in May 2010 to the former Independent Investigation Mechanism included observations and claims concerning replacement of the environmental protection system in force in the project area with a "mosaic approach" whereby delimited, special conservation units are protected rather than a large contiguous conservation zone. Of particular concern to the Requester were the proposed establishment of such special conservation units, involuntary resettlement issues, and changes in the conservation regime in the Juréia-Itatins Ecological Reserve.

The ICIM process. The Request was declared ineligible for the Consultation Phase in October 2010 and subsequently transferred at the Requester's request to the Compliance Review Phase, where it was declared eligible in December of that year. In 2011 a first compliance review recommendation was submitted for consideration of the Board of Executive Directors, which made a series of recommendations to the Panel for changes to the scope of the investigation and requested more information on the existence of related lawsuits.

In the first quarter of 2013 the Panel sent a revised version of the recommendation for a Compliance Review and its terms of reference to Management and the Requesters for comments. In April 2013 the "Mosaic Law" was passed in São Paulo, Brazil, leading the Panel to update its approach to analyzing the Request and the corresponding terms of reference.

Timeline for BR-MICI001-2010

Consultation Phase



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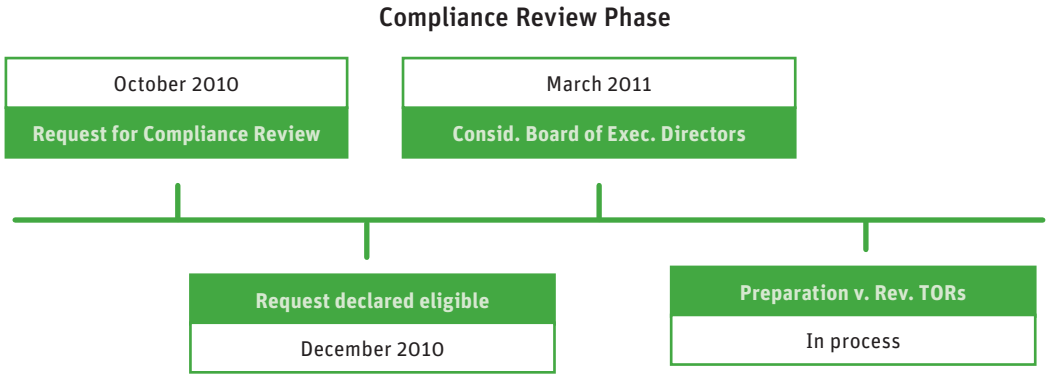


4

Low-income Neighborhood Improvement Program – Habitar Brasil (BR–0273)

Environmental category: Not available

Country: Brazil

Case chronology and public documents: Public Registry BR-MICI004-2011

Current status: Open

Phase: Consultation

The project. The program involves a loan of US$250 million to support a program to be executed by the Municipal Government of São José dos Campos with the objective of raising living standards for low-income families in metropolitan areas through comprehensive neighborhood improvement projects, including sanitation, education, health, solid waste collection, and environmental improvements.

The request. The Request submitted in June 2011 by Central de Movimientos Populares on behalf of 32 families previously living in the Vila Nova Tatetuba community in São José dos Campos, states that the families refused resettlement under the Habitar Brasil program due to the adverse social and economic impacts the new location would have on their living conditions. Following the demolition of their dwellings and their refusal to be resettled, the families received no financial compensation and were obliged to live in an abandoned railcar hangar, where they have lived in makeshift conditions since January 2004. The families concerned also lost their furniture during their eviction, for which they are claiming economic compensation.

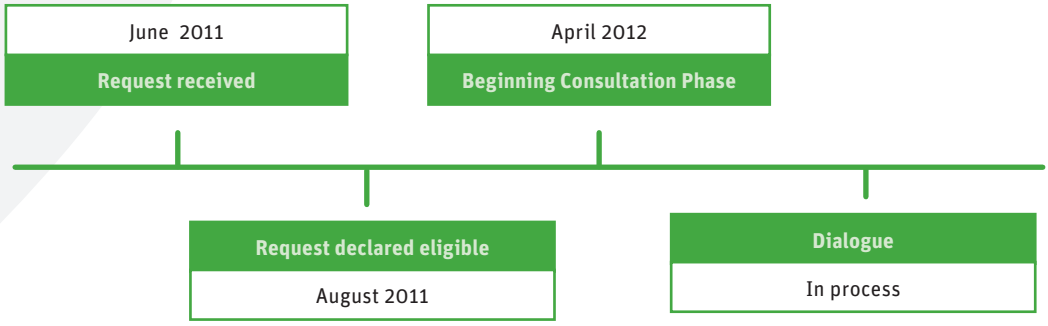
The ICIM process. The Request was declared eligible for the Consultation Phase in August 2011, and after the assessment a dialogue began in which the Parties sought to explore housing alternatives for the families currently living in the railcar hangar and payment of compensation for the loss of their furniture. At the end of December 2013 the Municipal Government had paid compensation and confirmed the feasibility of using a plot of land

within the area demarcated by the affected families as acceptable to them, ensuring that budget resources were available for the construction of the dwellings.

The process is currently pending agreement by the Parties on the type of dwelling and the timeline for construction and delivery.

Timeline for BR-MICI004-2011

Consultation Phase



5

São José dos Campos Urban Structuring Program (BR-L1160)

Environmental category: B

Country: Brazil

Case chronology and public documents: Public Registry BR-MICI006-2011

Current status: Open

Phase: Consultation

The project. The program is a sovereign guaranteed operation for US$161.9 million with the objective of contributing to the sustainable development of the Município of São José dos Campos through more balanced development along economic, environmental, and social lines by improving and consolidating the município's physical structure and urban management. The program has three components: (i) urban-environmental improvements; (ii) improvements in urban mobility; and (iii) institutional strengthening. The first component of the program includes the reallocation of at-risk families living in environmental conservation areas, and the legal and urban development regularization of illegal subdivisions.

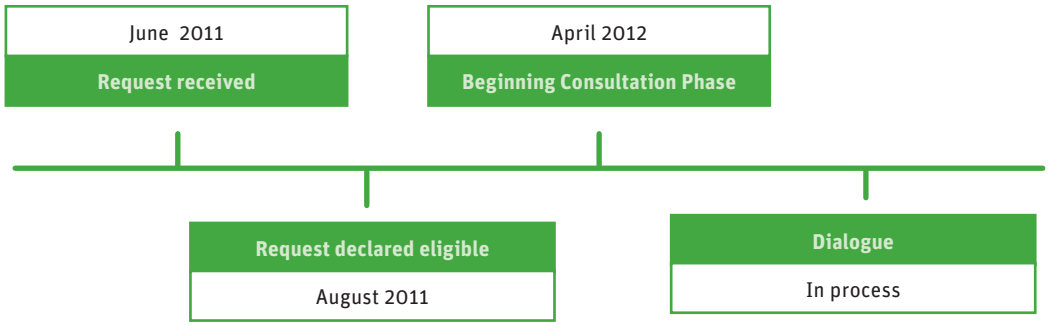
The request. In June 2011, Central de Movimentos Populares de São José dos Campos submitted a request on behalf of some of the resident families of the community of Jardim Nova Esperança (also known as "Banhado"), in which they maintain that certain components of the program, particularly as they relate to the resettlement of families and construction of a road near the current location of the community, would have a potential

adverse social and environmental impact. They also allege that they were not properly informed about the project and the terms of the involuntary resettlement.

The ICIM process. The Request was declared eligible for the Consultation Phase in August 2011. The assessment determined that a consultation process could help reestablish relations between the residents of Jardín Nova Esperança and the municipal authorities. A series of meetings took place between the parties in 2013, and with the help of other stakeholders within the Municipal Government, the leaders of social movements, and the Defensoría Pública (Office of the Public Defender), agreement was reached for the collection of socioeconomic data in late 2013. During this process the Municipal Government, the Office of the Public Defender, and the Requesters worked on the questionnaire for the data collection and agreed on the date of the survey, planned for early January 2014.

Timeline for BR-MICI006-2011

Consultation Phase



6

El Dorado International Airport (CO-L1029)

Environmental category: B

Country: Colombia

Case chronology and public documents: Public Registry CO-MICI002-2011

Current status: Open

Phase: Consultation

The project. The project is a non-sovereign guaranteed loan of US$165 million to Sociedad Concesionaria Operadora Aeroportuaria Internacional, S.A. (OPAIN) for the modernization and expansion of the El Dorado Airport in Bogotá, Colombia. The investment includes the construction of a new terminal for international, domestic, and regional passengers, new cargo infrastructure, and a new administrative building for Colombia's Civil Aviation Administration. It also includes construction of the new control tower, a new fire station, and the expansion of the aircraft parking area. The objective of the works is to expand

the airport's capacity and streamline its operation, reducing delays, fuel consumption, and maintenance costs. Services for passengers, airlines, and cargo transportation services are also expected to be improved, raising the level of security.

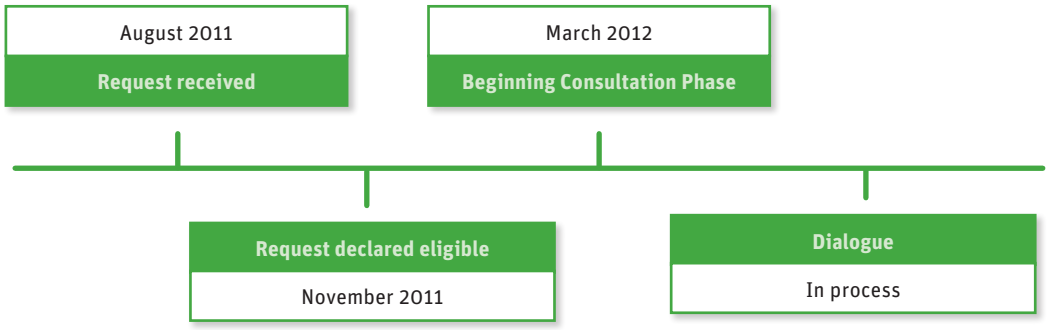
The request. The ICIM received a Request from the organization Comunidades Unidas Macroproyecto Aeropuerto El Dorado on behalf of residents of the Novena de Fontibón community in August 2011. The Request raised a series of concerns, particularly regarding the environmental impact assessment as it related to the handling of toxic wastes, water pollution, high noise levels, and OPAIN's dealings with the community. Overall, the Request identified a lack of information and failure to respond to its concerns.

The ICIM process. The Request was declared eligible for the Consultation Phase in November 2011. The assessment clarified the issues raised in the Request and the responsibilities of the executing agency, OPAIN, and the Special Civil Aeronautics Administrative Unit (Aerocivil) in relation to each of the concerns. It also determined that conditions were favorable for the dialogue process to proceed. The dialogue took place during 2013 along four thematic lines, and with the support of technical experts on environmental, social and water issues succeeded in enabling the Parties to raise their concerns and exchange concrete and precise information on the issues. Thus far, the thematic lines of water management and goods and materials management have been concluded, and work has begun on the noise generation issue. Given the importance of this point for the communities, and the fact that the issues exceed the scope of the ICIM dialogue, the participant communities reached an agreement with Aerocivil to develop a Special Operations Pilot Plan that would include a broader spectrum of stakeholders and serve as a basis for the future development of a lasting framework for the community's coexistence with the noise.

In parallel, an expert on environmental impact management and mitigation and community outreach in the airport sector was involved, bringing her experience to the pilot plan process and providing input for the dialogue on the last pending issue to be addressed in the Consultation Phase, namely social management and community participation, set to begin in the first quarter of 2014.

Timeline for CO-MICI002-2011

Consultation Phase



7

Mareña Renovables Wind Project (ME-L1107)

Environmental category: A

Country: Mexico

Case chronology and public documents: Public Registry ME-MICI002-2012

Current status: Open

Phase: Compliance Review

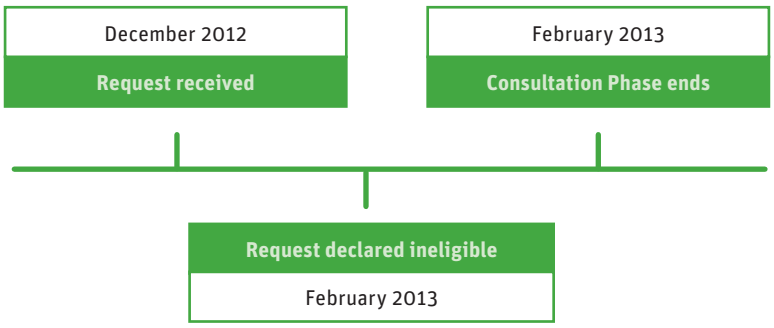
The project. The project is a non-sovereign guaranteed loan of US$74.99 million to Mareña Renovables Capital for the construction of a 396 kW wind farm on the Istmo de Tehuantepec in the State of Oaxaca. The project will supply power to the company Fomento Económico Mexicano S.A.B. de C.V. under the Mexican legal framework for self-supply. The project involves erecting 132 wind turbine towers and a 52-kilometer transmission line connecting the wind farm to the electricity grid.

The request. In December 2012, Mr. Leonardo Crippa of the U.S. Indian Law Center submitted a Request to the ICIM, representing members of the Santa María Xadani, San Mateo del Mar, Colonia Álvaro Obregón, San Francisco del Mar, San Dionisio del Mar, Juchitán de Zaragoza, and Unión Hidalgo del Istmo de Tehuantepec indigenous communities in the State of Oaxaca, Mexico. The Request alleged a series of impacts including: (i) absence of appropriate public consultations; (ii) no proper assessment of the environmental impacts on fauna in the area, as well as inadequately informing the communities of the impacts foreseen; and (iii) adverse impacts on the communities' way of life and traditional livelihood, which is fishing.

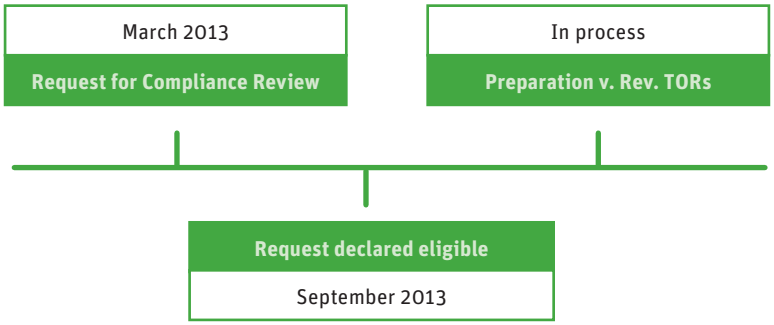
The ICIM process. The Request was declared ineligible for the Consultation Phase and transferred to the Compliance Review Phase after the Representative requested a pause in which to contact the Requesters, explain the situation to them, and inform them about the possibility of initiating a Compliance Review Phase. The Panel Chairperson declared the Request eligible in September 2013, tasking the Panel with preparing the compliance review recommendation, slated for submission to the Board of Executive Directors for consideration in the second quarter of 2014.

Timeline for ME-MICI002-2012

Consultation Phase



Compliance Review Phase



8

Panama Canal Expansion (PN-L1032)

Environmental category: A

Country: Panama

Case chronology and public documents: Public Registry PN-MICI002-2011

Current status: Open

Phase: Compliance Review

The project. The project is a non-sovereign guaranteed loan of US$400 million to the Panama Canal Authority to provide partial financing for its expansion program, which comprises four components: (i) construction of a third set of locks including two lock complexes and basins at the Atlantic and Pacific ends of the Panama Canal; (ii) deepening of the Pacific and Atlantic entrances to the canal; (iii) deepening and widening of the navigational channels of Gatún Lake and the deepening of the Gaillard Cut; and (iv) raising Gatún Lake to its maximum operational level.

The program provides partial financing for the canal expansion, the need for which stems from increasing demand for services and canal capacity limitations in terms of tonnage and ability to manage post-Panamax vessel sizes.

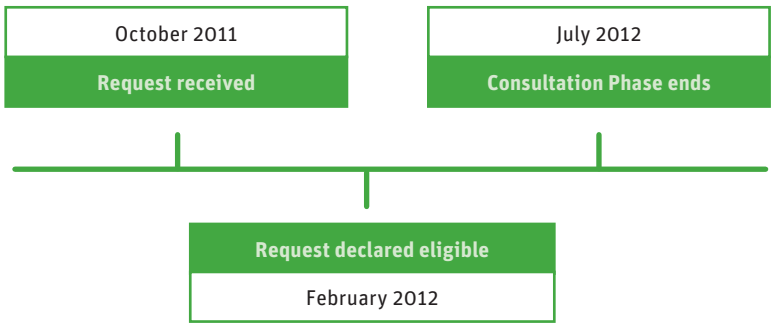
The request. In October 2011, Ms. Leila Shelton, Director of Comité Pro Defensa del Lago Gatún, submitted a Request to the ICIM on her own behalf and representing the NGO coalition known as Alianza Pro Panamá. The arguments in the Request included: (i) lack of transparency, incomplete disclosure, and misrepresentation of facts about the project to the local and international community; (ii) potential salt intrusion into the transited lakes of the canal; (iii) the impact on the availability of drinking water for the nearby populations and for canal operations; (iv) inadequate risk identification and lack of appropriate mitigation measures related to a seismic fault at the canal's Pacific end, and (v) potential problems deriving from the selected lock design.

The ICIM process. In February 2012 the Request was declared eligible for the Consultation Phase. However, during the assessment stage, the executing agency stated that it did not wish to take part in a dialogue process, thus concluding the Consultation Phase. The Request was transferred to the Compliance Review Phase at the Requesters' request, and in September 2012 the Panel Chairperson declared it eligible. In September 2013, upon approval by the Board of Executive Directors, an investigation stage was launched in coordination with the accountability mechanisms of the European Investment Bank and Japan Bank for International Cooperation (JBIC), which also received similar complaints. Two joint visits to Panama took place in 2013, the first to clarify some of the issues concerning the potentially affected population, and the second to support a dialogue process organized by JBIC between the Requesters and the Panama Canal Authority on the main points of concern raised by the Requesters.

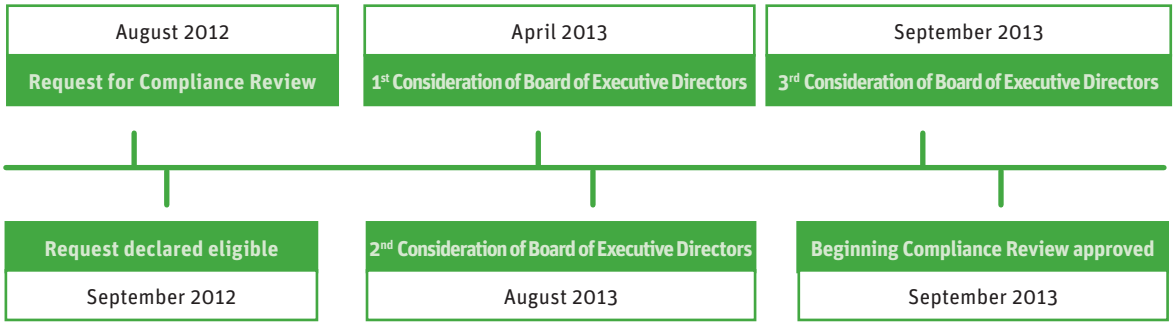
The Panel has begun drafting the Compliance Review Report, which is expected to be completed by July 2014.

Timeline for PN-MICI002-2011

Consultation Phase



Compliance Review Phase



Closed cases

At year-end 2013, seven cases had been closed: three had been declared ineligible; two had completed compliance review and monitoring by the Panel was not requested; and two more because the proposed compliance review was not authorized. Once cases are declared closed, the ICIM's management of the Request received is concluded, and the case file is archived. The details of each case closed in 2013 are given below.

1

Sustainable Urban Environmental Management Program for the Reconquista River Basin – Province of Buenos Aires (AR-L1121)

Environmental category: A

Country: Argentina

Case chronology and public documents: Public Registry MICI-AR-2013-070

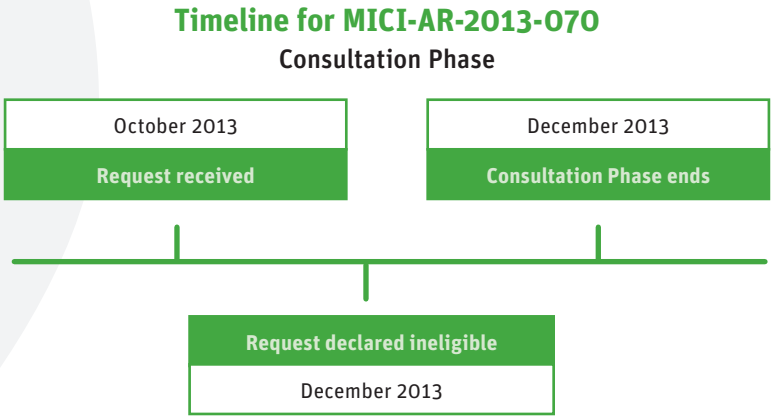
Current status: Closed

Phase: Consultation

The project. The "Sustainable Urban Environmental Management Program for the Reconquista River Basin" is a sovereign guaranteed loan of US$230 million currently in the preparation stage. Its objective is environmental remediation of the Reconquista River watershed adjacent to the City of Buenos Aires and Greater Buenos Aires. The program has two components: the first component will finance water and sanitation works, urban drainage, solid waste and industrial effluent collection, access routes, and urban facilities; the second component involves feasibility studies, preparation of a watershed management program, and strengthening the institution responsible for watershed management.

The request. In October 2013 Mr. Francisco Javier de Amorrortu, as Requester, submitted a Request reporting fraud and corruption stemming from an alleged failure by the IDB to comply with Argentine environmental legislation, and the alleged poor technical quality of the environmental impact study and lack of technical support for the project reports.

The ICIM process. The Request was declared ineligible for the Consultation Phase in December 2013 because it could not be determined from its content whether the Requester was directly and materially adversely affected by an act or omission of the Bank in relation to its relevant operational policies; the Requester had filed 34 lawsuits, one of them similar in object and content to the Request submitted to the ICIM, and active at the time of the determination of eligibility; and the Parties were not amenable to participation in a Consultation Phase process.



2

Mário Covas Rodoanel – Northern Section (BR-L1296)

Environmental category: A

Country: Brazil

Case chronology and public documents: Public Registry BR-MICI003-2011

Current status: Closed

Phase: Compliance Review

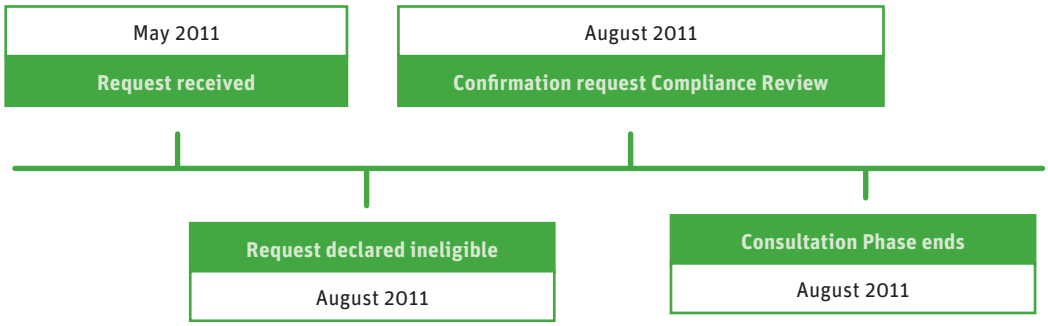
The project The project is a sovereign-guaranteed operation for US$1.1486 billion, consisting of construction of the Northern Section of the Mário Covas beltway, or "Rodoanel," around the city of São Paulo. The objective is to transform the metropolitan transportation and logistics system from its current radial configuration to a radial-ring configuration. This will contribute to redistributing freight and passenger traffic; improving access to the country's major international connection points (the Port of Santos and Guarulhos Airport); decentralizing logistics activity in the metropolitan region; and improving traffic conditions, air quality, travel times, and vehicle operating costs.

The request In May 2011, Mr. Mauro Antonio Moraes Victor and Mr. Marco Antonio Garcia Martins submitted a Request on behalf of a group of civil society organizations known as Colectivo de Entidades Ambientalistas, in which they expressed concerns about: (i) potential adverse socioenvironmental impacts on the Cantareira National Park, a designated biosphere reserve; (ii) impact on the availability of water for the population of São Paulo; (iii) lack of information about the process of resettling more than 10,000 inhabitants of the region; and (iv) lack of access to information and proper implementation of the consultation process.

The ICIM process. The Request was declared ineligible for the Consultation Phase and transferred to the Compliance Review Phase, where it was declared eligible by the Panel Chairperson in December 2011. During the process of preparing the recommendations for compliance review, another case concerning the same project was transferred to the Panel. Therefore, once the second case was declared eligible for the Compliance Review Phase, the Panel decided to combine the two cases and present a joint investigation recommendation to the Board of Executive Directors for consideration. In July 2013, after considering the Panel's recommendation, the Board of Executive Directors decided not to recommend performance of an investigation. With this decision, the Mechanism declared the processes in cases BR-MICI003-2011 and BR-MICI005-2011 to be closed.

Timeline for BR-MICI003-2011

Consultation Phase



Compliance Review Phase

3

Mário Covas Rodoanel – Northern Section (BR-L1296)

Environmental category: A

Country: Brazil

Case chronology and public documents: Public Registry BR-MICI005-2011

Current status: Closed

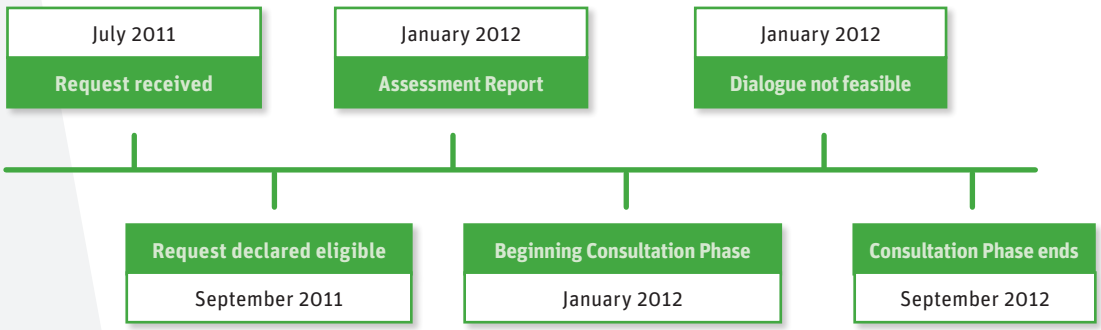
Phase: Compliance Review

The request. The Request was submitted in July 2011 by Mr. Maurício Gomes de Souza, a resident of the Condomínio Residencial Jardim Itatinga, who maintained that the future construction and operation of the northern section of the Mário Covas beltway project would have an adverse socioenvironmental impact for him and other residents of the Condomínio neighborhood, given the proximity of the highway to be built. Mr. Souza claimed that his family and other local residents would be directly affected by the project, especially by: (i) noise and other forms of pollution; (ii) loss of property value and possible resettlement of some families; and (iii) damage to the physical structure of their homes.

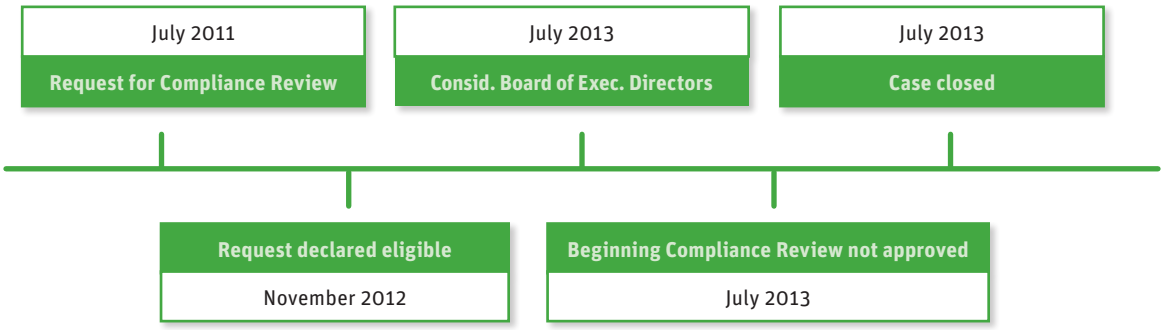
The ICIM process. The Request was declared eligible for the Consultation Phase, but it was determined during the assessment that dialogue did not seem viable given the conditions required by the Requesters and the different positions of the members of the group. In addition, the Requesters had stated their wish to join the Request submitted by Colectivo de Organizaciones Ambientalistas (Case BR-MICI003-2011). The consultation phase was officially closed in September 2012, and the case transferred to the Compliance Review Phase at the Requesters' request. In November 2012, the Panel Chairperson determined that the request was eligible and reported that the Panel would manage the case jointly with BR-MICI003-2011. In July 2013, after considering the Panel's recommendation, the Board of Executive Directors decided not to recommend performance of an investigation. With this decision, the Mechanism declared the processes in cases BR-MICI003-2011 and BR-MICI005-2011 to be closed.

Timeline for BR-MICI005-2011

Consultation Phase



Compliance Review Phase



4

San Francisco-Mocoa Alternate Road Construction Project – Phase I (CO–L1019)

Environmental category: A

Country: Colombia

Case chronology and public documents: Public Registry CO-MICI001-2011

Current status: Closed

Phase: Compliance Review

The project The project is a sovereign guaranteed loan operation for US$53 million with the objective of improving the efficiency and safety of the Tumaco-Pasto-Mocoa road corridor, thereby promoting the physical and economic integration of southern Colombia with the principal production and commercialization centers of the country. Thus, it will finance construction of the 45.6 km San Francisco-Mocoa alternate road and the socioenvironmental mitigation and compensation measures required for its implementation and operation.

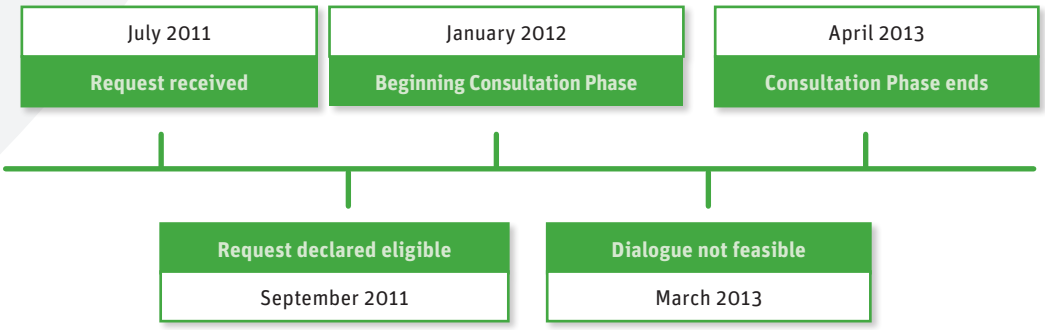
The request. In July 2011, Ms. Carmenza Tez, representing the Inga and Kamentsa indigenous communities, sent a Request to the ICIM stating that the program had failed to: (i) properly identify the Inga and Kamentsa communities or include them as an integral part of project design and execution; (ii) specifically or sufficiently address the project's social and environmental impact on the communities; and (iii) appropriately inform or consult the indigenous peoples living in the project target area.

The ICIM process. The request was declared eligible for the Consultation Phase in September 2011, and as a result of the assessment the decision was made to launch a dialogue process. However, given the communities' imminent internal elections, the requesters asked for the dialogue to be postponed for a year. During this period a number of other lawsuits were brought by the Requesters in relation to the project in question. As a result of this, in conjunction with the fact that the newly elected indigenous authorities were unable

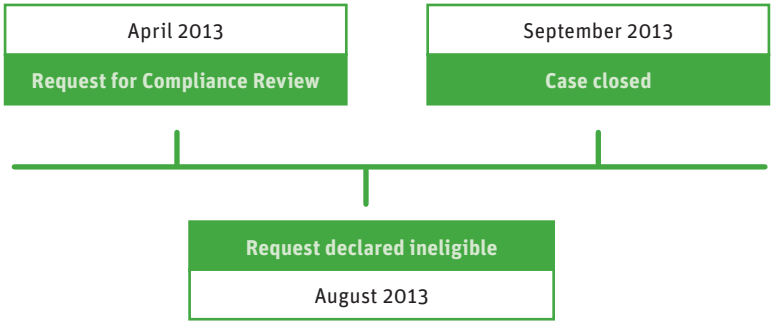
to formalize their representation on the dialogue committee within a reasonable period of time, the Project Ombudsperson decided to conclude the Consultation Phase in April 2013. The Request was transferred to the Compliance Review Phase and following an analysis of the circumstances of the case, the Panel Chairperson declared it ineligible in view of the fact that some of the points indicated in the Request were subject to judicial proceedings. Consequently, the ICIM declared the process closed in September 2013.

Timeline for CO-MICI001-2011

Consultation Phase



Compliance Review Phase



5

Pando-Monte Lirio Hydroelectric Power Project (PN-L1054)

Environmental category: A

Country: Panama

Case chronology and public documents: Public Registry PN-MICI001-2010

Current status: Closed

Phase: Compliance Review

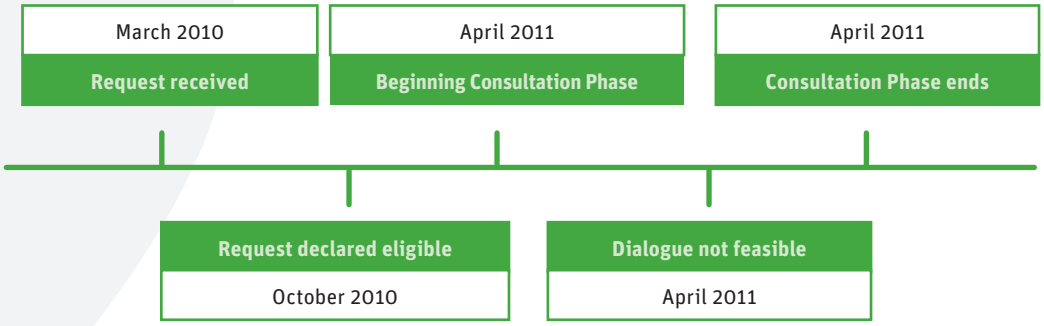
The project. The project is a non-sovereign guaranteed operation for US$40 million, covering the design, construction, operation, maintenance, and financing of two hydroelectric power plants, Pando and Monte Lirio, by Electron Investment, S.A. The project is located in the Chiriquí Viejo River basin, in the western Panama province of Chiriquí, and has an installed capacity of 83.3 MW and firm capacity of 57.5 MW. The Bank is providing long-term financing for the project, along with other multilateral lenders. The project is consistent with the Bank's country strategy with Panama, which has the objective of supporting private investment in infrastructure and developing renewable energy sources to reduce the country's dependence on oil for energy and to mitigate the effects of climate change.

The request. In March 2010, Alianza Ambiental Pro Defensa Integrada de Panamá (AAPRODIPA), an association of 16 Panamanian nongovernmental organizations, sent a Request to the ICIM setting out a series of concerns on environmental issues relating to project development, including the environmental impact assessment process, the location of the plants, and the use of water. The Requesters also expressed concerns about the granting of long-term concessions, the adverse impact on agricultural projects, damage to access routes, the adverse impact on fauna, and damage to the local economy.

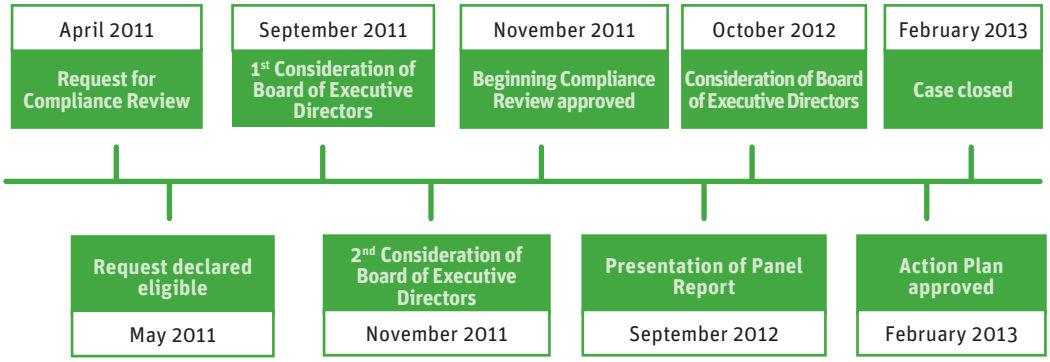
The ICIM process. Following a broad process that included the opportunity for dialogue in the Consultation Phase, the Panel issued its Compliance Review Report in 2012. Its findings were sufficient to conclude that the Bank had failed to comply with Directives B, B1, B3, B5, B6 and B9 of Operational Policy OP-703, and OP-304. The Bank's Board of Executive Directors took note of the report and decided to accept the Panel's recommendations. Consequently, it asked Management to prepare an action plan incorporating the Panel's recommendations and the comments made by the Board of Executive Directors, which was approved on 13 February 2013. The action plan envisages specific activities to address issues related to the ecological flow, damage to roads, erosion, and water quality issues. This plan assigned responsibilities and established implementation deadlines that will be monitored by the Board of Executive Directors. With this, the ICIM deemed the process to be concluded.

Timeline for PN-MICI001-2010

Consultation Phase



Compliance Review Phase



6

Program to Improve Highway Corridors in Paraguay (PR-0035)

Environmental category: C

Country: Paraguay

Case chronology and public documents: Public Registry PR-MICI002-2010

Current status: Closed

Phase: Compliance Review

The project. This is a sovereign-guaranteed operation for US$82.3 million with the objective of improving the national road system to upgrade it in line with current and future traffic, reduce transportation costs and ensure year-round serviceability along one of the country's most important corridors for exports to foreign markets.

The request. In November 2010, professors Kim Hill and Magdalena Hurtado submitted a Request on behalf of the Aché indigenous community, alleging that the Aché had suffered harm and would continue to do so as a result of the Bank's failure to enforce the provisions of the loan contract meant to safeguard the community's rights to ancestral lands. The Request expressed concern regarding the transfer and land titling of a property referred to as Finca 470 to the Aché community in Paraguay, describing forced evictions and calling for compliance with Article 169 of the International Labour Organization Convention, which, according to the Requesters, supports the Aché community's claims to the disputed lands.

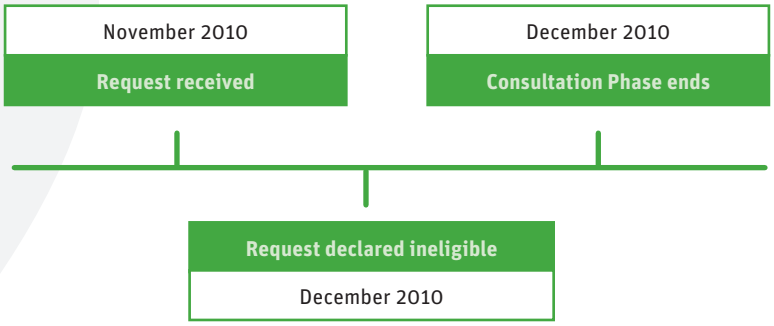
The ICIM process. The request was declared ineligible for the Consultation Phase in December 2010 as the Requesters were not amenable to a dialogue but were more interested in pursuing the Compliance Review process. In January 2011 the Request was declared eligible for a Compliance Review based on the Bank's documentation, and in June 2011 the IDB Board of Executive Directors approved performance of a Compliance Review. The Panel completed its report in November 2012.

In April 2013 the report was considered by the Board of Executive Directors, who took note of its content but determined that it did not present convincing findings of noncompliance by Management with the relevant operational policies, and that the report itself highlighted the efforts made by Management to support the Requester communities, above and beyond the Bank's responsibilities.

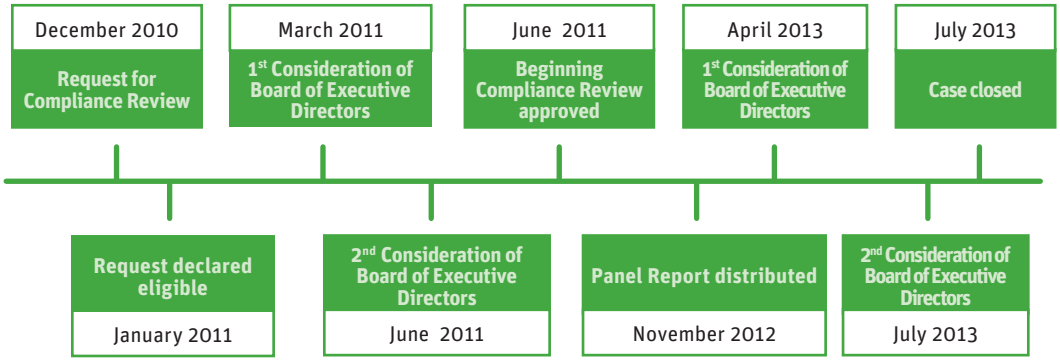
Upon notification of the Board of Executive Directors' decision, the process was declared closed by the ICIM. It should be noted that in late 2012 the Government of Paraguay recognized the Aché community's property rights.

Timeline for PR-MICI002-2010

Consultation Phase



Compliance Review Phase



7

Support for the Sustainable Development of the Interior (SU-T1026)

Environmental category: Not available

Country: Surinam

Case chronology and public documents: Public Registry MICI-SU-2013-069

Current status: Closed

Phase: Consultation

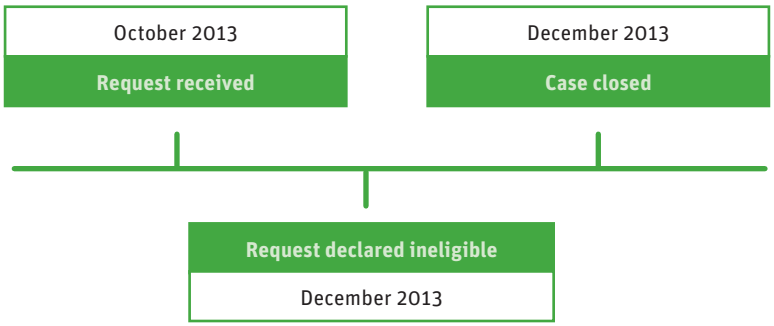
The project. This project is a nonreimbursable technical-cooperation operation for up to US$720,000 to finance baseline data collection and facilitate the participation and institutional strengthening of key stakeholders in the process, with the objective of contributing to improving standards of living and increasing opportunities for economic and social development for the residents of the Interior within a context of environmental sustainability.

The request. In October 2013, Mr. Daniel Peplow co-director of the organization Surinam Indigenous Fund, submitted a Request on behalf of the Wayana indigenous community alleging that the Wayana community in Apetina was facing a series of problems as a consequence of the development policies being implemented, together with negative health impacts caused by gold mining in Suriname's Interior. As a general issue, the Requester mentioned the need for policy improvements to address some of the issues and improve the current conditions for members of the Wayana community. Additionally, the Request sought support to establish a dialogue with the high-level stakeholders involved, to promote structural adjustments to Suriname's policies and programs, and to address the economic and health challenges present in the Interior region.

The ICIM process. In December 2013, in accordance with the ICIM Policy (document GN-1830-49) and the transition arrangements approved by the Board of Executive Directors, the Eligibility Committee of the Consultation Phase concluded that the Request was ineligible for the Consultation Phase. The Requester was informed of the determination, and the process was deemed to be concluded.

Timeline for MICI-SU-2013-069

Consultation Phase



5. Outreach and training

The outreach and training actions in 2013 included redesign of the website (www.iadb.org/icim).

The redesign begun in 2012 in line with the principles of transparency and accessibility was completed in the second half of 2013, with Spanish, English, Portuguese, and French versions of the website. Since then, the ICIM has offered its audiences a regularly updated news section and a list of all requests received in the Public Registry. The functionality has been expanded to allow cases in the portfolio to be closely monitored chronologically with individual case records containing the reports related to their management.

The website also provides up-to-date information on the work, procedures, request registry, and activities of the ICIM in its various areas.

During the year the ICIM organized sessions with members of civil society and meetings with IDB project teams, and took part in a number of events. Notable synergies were achieved with the Public Consultation process, which represented an opportunity not only to learn the views of the ICIM's various interlocutors, but to convey information on its mandate and processes. Table 4 gives details of these activities.

Table 4. **Outreach and training activities in 2013**

Outreach and Training	
Outreach and Training	Website redesign in four languages
	Interactive session with civil society at the Thirteenth IDB-Civil Society Meeting in Cali, Colombia
	2 presentations for external audiences
	12 internal sessions on ICIM processes with Bank staff at Headquarters and Country Offices
	2 presentations on the Consultation Process
	2 videos: 1 institutional and the other training
	1 knowledge note (to be published in 2014)

Members of the ICIM team also took part in sessions and events organized by the IDB and other institutions, where they had the opportunity to publicize the Mechanism's work, receive comments and suggestions, and share experiences and good practices with members of other accountability mechanisms (see Table 5).

Table 5. ICIM Participation in external events

- Presentation to a select group of invitees at a session organized by the American Bar Association.
- Participation as observers at the Public Consultation held in Washington, D.C.
- Participation as observers at the Public Consultation held in Cali, Colombia.
- Participation in the Tenth Annual Meeting of Independent Accountability Mechanisms (IAMs) in Washington, D.C.
- Participation in a public event organized by the World Bank Inspection Panel, in Washington, D.C.: Addressing people's concerns: 20 years and counting.
- Participation in an interactive event organized by a group of civil society organizations in Washington, D.C.: A conversation with IAMs about the promise of remedy and accountability.

In terms of training activities and in an effort to raise awareness within the Bank, the ICIM organized a series of sessions with various Bank units at both Headquarters and Country Offices, with the main objective of explaining the ICIM's achievements and processes (see Table 6).

Table 6. Dissemination and training actions within the Bank

- Presentation to the External Review Panel of the Access of Information Policy.
- Presentation to the Country Office in Colombia on the ICIM, its processes, and interaction with Management.
- Presentation to Knowledge and Learning Department liaisons on the ICIM's work and how it contributes to strengthening operations.
- Presentation to Ethics Office staff on the ICIM, its processes, and interaction between the two offices.
- Presentation to new employees as part of onboarding seminars.
- Presentation at the Workshop for Managers: Mitigating and Managing Conflict.
- Presentation to the Competitiveness and Innovation Division and Capital Markets and Financial Institutions Division on the Consultation Phase process and some of the lessons learned from the São José dos Campos case in Brazil.
- Presentation to Climate Change Division staff on the Consultation Phase process.
- Videoconference. Presentation to the ConSOCs of Nicaragua.
- Videoconference. Presentation to the ConSOCs of Paraguay.
- Videoconference. Presentation to the ConSOCs of Argentina.
- Videoconference. Presentation to the ConSOCs of Mexico.
- Videoconference. Presentation to the ConSOCs of Costa Rica.
- Videoconference. Presentation to the ConSOCs of Barbados

6. 2013 ICIM budget

Consultation Phase[1]	$850.753.00
Compliance Review Phase[2]	$568.046.00
ICIM Office[3]	$664.125.00
Outreach and Training	$66.244
Institutional Strengthening	$32.000.00
Contingency Fund	$250.000
Total	**$2'431.168.00**

Note: Figures are in U.S. dollars
1 Includes Project Ombudsperson's salary.
2 Includes Panel fees.
3 Includes salaries of the Executive Secretary and two administrative staff.

Annex 1. Statistics 2010-2013

Intake

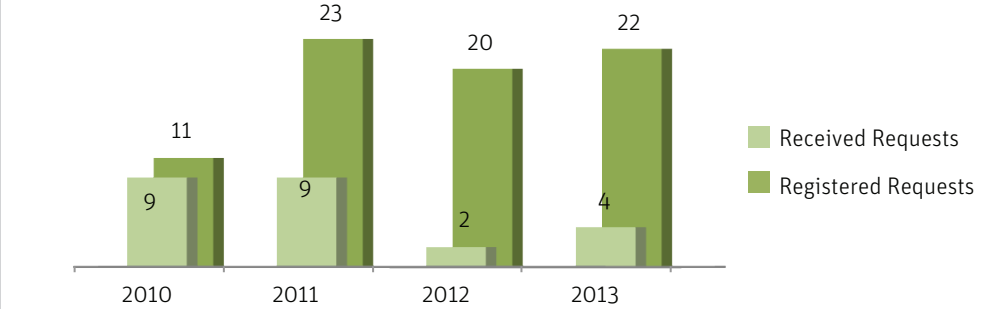
In the period from 2010 to 2013, the ICIM received a total of 76 requests, 24 of which were registered (see Table 1 and Figure 1).

Table 1. Statistics on total and registered requests 2010-2013

Year	Received requests	Registered requests
2010	11	9
2011	23	9
2012*	20	2
2013**	22	4
Total	**76**	**24**

Source: ICIM statistics
*One request registered in December 2012 was transferred to the Consultation Phase in January 2013.
** Two requests received in 2013 were registered and transferred to the Consultation Phase in January 2014.

Figure 1. Intake 2010-2013: total and registered requests



Source: ICIM statistics

Registered requests

In the period from 2010 to 2013, the ICIM has registered a total of 24 Requests from a total of nine countries (see Table 2), 37% of them submitted by individuals (see Table 3).

Of the 24 requests, 18 were eligible for at least one phase, four were ineligible and were closed after determination of ineligibility, and two are in the process of being transferred to the Consultation Phase for determination of eligibility.

In total as of end-2013, the ICIM has concluded the processing of 14 requests and declared the process closed for each of them. It ended the year with a portfolio of 10 requests.

Table 2. **Statistics on total and registered requests 2010-2013**

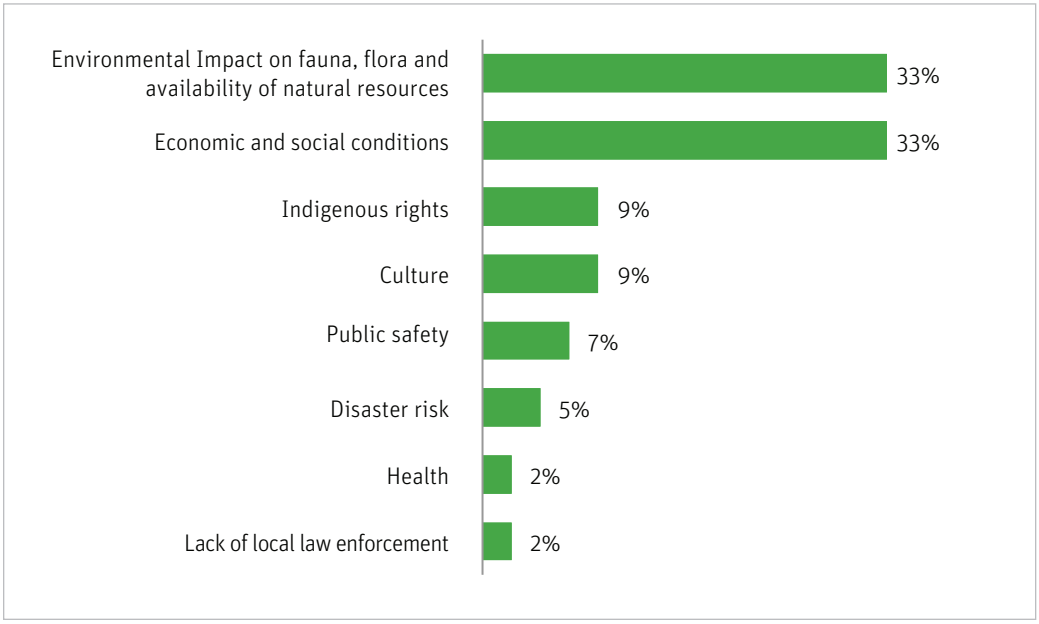
Country	Number of Requests
Argentina	5
Bolivia	1
Brazil	8
Colombia	2
Costa Rica	1
Mexico	2
Panama	2
Paraguay	2
Suriname	1
Total	**24**

Source: ICIM statistics

Analysis of the data for the portfolio of registered requests shows patterns of distribution for cases by sector and region, as well as for issues of concern raised by Requesters

Issues raised by requesters. Among requests registered in 2010-2013, 66% of the concerns expressed related in equal measure to either adverse environmental impacts and their repercussions on the availability of natural resources such as water and food, or the impact on the population's social and economic conditions (see Figure 2). Requests generally raised issues concerning public consultation processes and a lack of information, which creates uncertainty in communities. In addition a large number of Requests mention dissatisfaction with environmental and social impact assessments, involuntary resettlement plans, and potential omissions in these studies and the consequences for the mitigation plans envisaged (see Figure 2).

Figure 2. **Request management 2010-2013: concerns raised**



Source: ICIM statistics

Regional distribution. Of the Requests registered, 63% originated from Southern Cone countries (Argentina, Brazil, Chile, Paraguay, Uruguay), followed by 21% from the Central American region and Mexico. This regional distribution is largely the result of better civil society organization in the originating countries and the features of the Bank's portfolio of operations in terms of size and sectors.

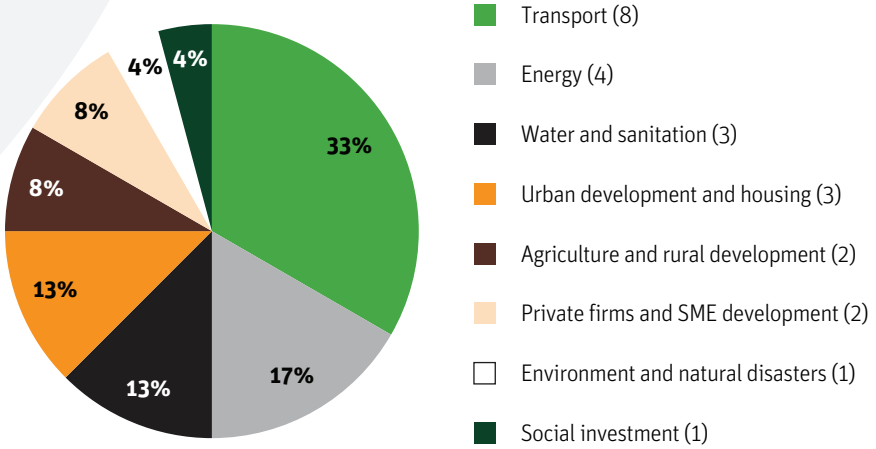
Table 3. **Request management 2010-2013: type of requester and geographical distribution**

By type of requester	**37%** originated by individuals (9)
	25% originated by nongovernmental organizations (6)
	25% originated by community groups (6)
	13% originated by indigenous communities (3)
By geographical distribution	**63%** from Southern Cone countries (15)
	21% from Central America and Mexico (5)
	13% from Andean Group countries (3)
	4% from the Caribbean (1)

Source: ICIM statistics

Sector distribution. Of the Requests registered, 33% relate to operations in the transportation sector, followed by the energy, water and sanitation, and urban development and housing sectors. These four infrastructure development-oriented sectors are associated with 75% of registered Requests (see Figure 3).

Figure 3. **Request management 2010-2013: by sector**



Source: ICIM statistics
Note: SME = Small and medium-sized enterprises

Project categories. The Bank's operations are classified as category A, B, or C depending on the environmental and/or social sensitivity of the project. In this regard, 46% of the operations associated with registered requests are classified as category A. Another 29% are classified as category B, meaning that their environmental and/or social impact is more limited than the first category. In terms of type of borrower, 79% of Requests are associated with public sector operations (see Table 4).

Table 4. **Request management 2010-2013: by environmental impact category and type of borrower**

By environmental and social impact category	**46%** of projects are **category A,** i.e., likely to cause significant negative environmental, social, and cultural impact, whether directly, indirectly, regionally, or cumulatively (11)
	29% of projects are **category B,** i.e., likely to cause mostly local and short-term negative environmental, social, and cultural impact, for which effective mitigation measures are readily available (7)
	4% of projects are **category C,** i.e., likely to cause minimal negative environmental, social, and cultural impact (1)
	21% have no environmental classification (5)
By type of borrower	**79%** are public sector operations (19)
	21% are private sector operations (5), one being with the MIF

Source: ICIM statistics

Relevant operational policies. In 2010-2013, the relevant operational policies under the ICIM's mandate were:

- OP-102 Access to Information
- OP-703 Environment and Safeguards Compliance
- OP-704 Disaster Risk Management
- OP-761 Gender Equality in Development
- OP-765 Indigenous Peoples
- OP-710 Involuntary Resettlement

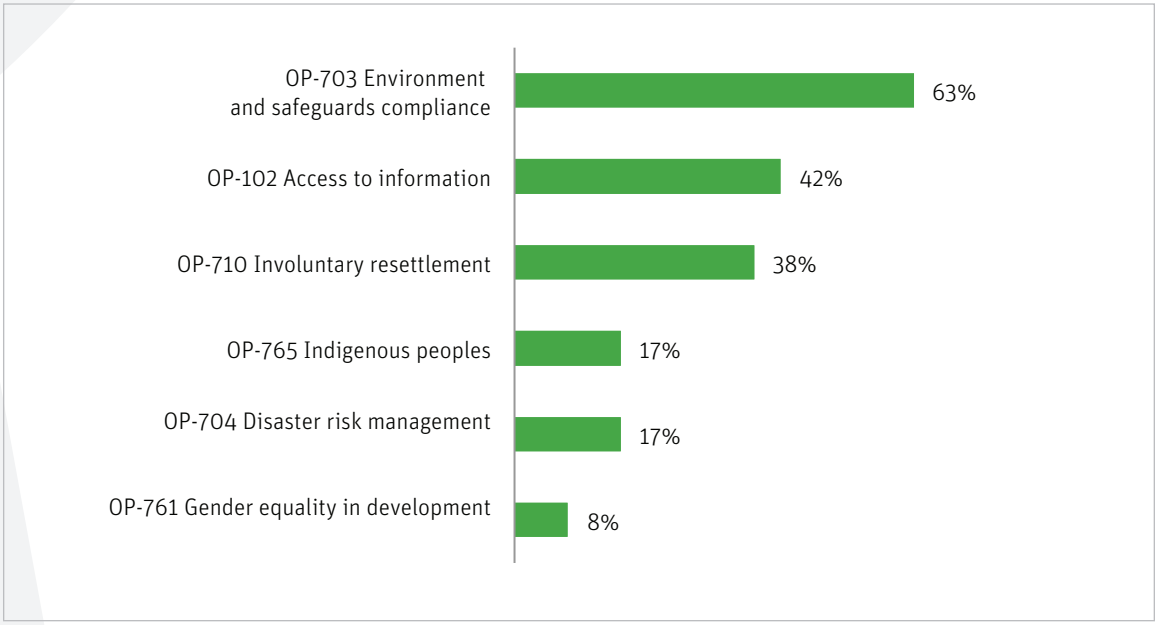
Accordingly, the Environment and Safeguards Compliance Policy (OP-703) is cited directly or indirectly in 63% of Requests, with particular emphasis on the public consultation process (see Figure 4). Next most cited is the Access to Information Policy (42%), although in many cases the matter of concern is not tied to the policy. Notably, even though the statistics indicate a large number of Requests citing information access issues, the complaints relate mainly to possible mismanagement of the public consultation process with communities and not necessarily to a lack of access to the relevant documents by requesters.

Especially notable in this regard is that Requesters consistently find shortcomings in the quality of the information disseminated, as well as the mechanisms and vehicles used.

Involuntary resettlement issues (38%) are associated with a possible lack of community involvement in the early stages of project, as the majority of Requesters claim they were unaware of the resettlement plans and the real extent of the direct impact these plans could have on them.

It should be noted that although Requesters cite certain operational policies, the information is verified in the context of the matter presented, once the process of management by ICIM has begun. Requesters are not expected to be familiar with the Bank's policies and their application; but they are expected to describe the nature of their concern and the potential harm as fully as possible.

Figure 4. Request management 2010-2013: operational policies cited or referenced by requesters in their original requests

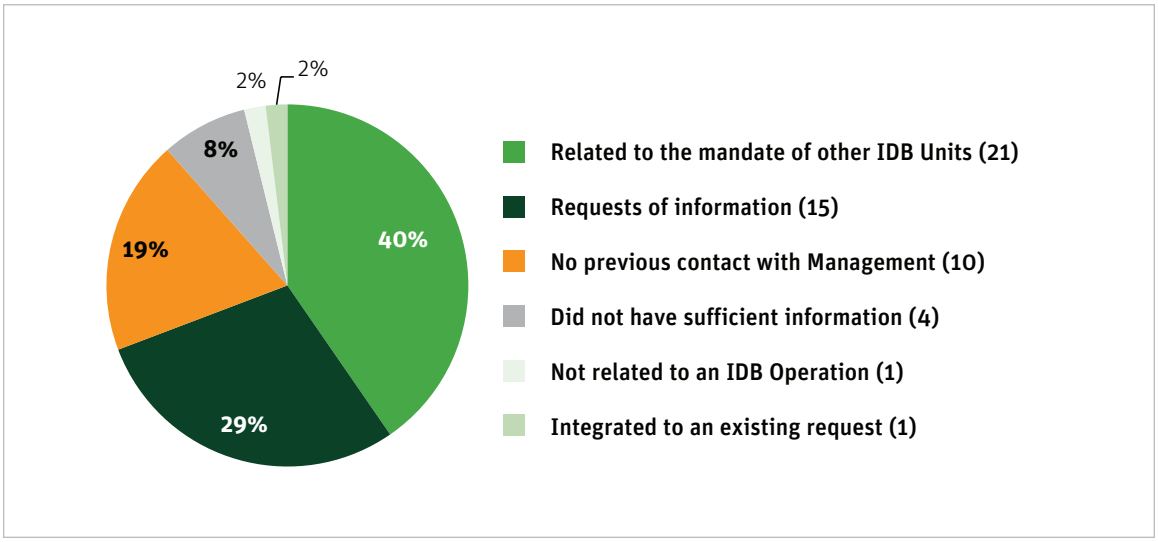


Source: ICIM statistics

Nonregistered requests

Between 2010 and 2013, 52 Requests were not registered; of these: 21 (40%) referenced matters related to the mandate of other Bank units (Office of Institutional Integrity, Ethics Office, Procurement Office). This may indicate that the ICIM window is the most visible and therefore used to raise concerns of all types, including those related to integrity, ethics, and/or procurement. Additionally, 15 (29%) requests for information on the ICIM process were received; 10 (19%) had not been presented to IDB Management previously and the Requesters were amenable to do so prior to initiating the ICIM process; four (8%) lacked sufficient information to be registered (anonymous, no project name, no description of the harm, etc.); one (2%) was not related to an IDB-financed operation; and one last request (2%) was integrated into an existing request since it referenced the same issues (see Figure 5).

Figure 5. **Nonregistered request management 2010-2013**



Source: ICIM statistics

Annex 2

Requests received during 2010-2013, in chronological order

	Request registry number	Name	Date received	Phase	Status
2010	MICI-PR-2010-001	*Paraguay*. Development of the Vegetable Sponge Products Industry PR-MICI001-2010	February 2010	Consultation	Closed
	MICI-PN-2010-002	*Panama*. Pando-Monte Lirio Hydroelectric Power Project PN-MICI001-2010	March 2010	Consultation	Closed
				Compliance Review	Closed
	MICI-BR-2010-003	*Brazil*. Serra do Mar and Atlantic Forest Mosaics System Socioenvironmental Recovery Program BR-MICI001-2010	May 2010	Consultation	Closed
				Compliance Review	Open
	MICI-AR-2010-004	*Argentina*. Multiphase Program for the Development of Production Support Infrastructure in Entre Ríos AR-MICI001-2010	June 2010	Consultation	Open Monitoring
	MICI-BR-2010-005	*Brazil*. Estrada Nova Watershed Sanitation Program (PROMABEN) BR-MICI002-2010	October 2010	Consultation	Closed
	MICI-BR-2010-006	*Brazil*. Mário Covas Rodoanel – Western Section	October 2010	Not processed	No prior contact with IDB, therefore, requester advised to approach Management
	MICI-AR-2010-007	*Argentina*. Provincial Agricultural Services II (PROSAP II) AR-MICI002-2010	November 2010	Consultation	Closed
	MICI-PR-2010-008	*Paraguay*. Program to Improve Highway Corridors in Paraguay PR-MICI002-2010	November 2010	Consultation	Closed
				Compliance Review	Closed
	MICI-AR-2010-009	*Argentina*. Neighborhood Upgrading Program II (PROMEBA II) AR-MICI003-2010	November 2010	Consultation	Closed
	MICI-CR-2010-010	*Costa Rica*. Electric Interconnection System for the Central American Countries (SIEPAC) CR-MICI001-2011	December 2010	Consultation	Closed
				Compliance Review	Closed
	MICI-SU-2010-011	*Suriname*. Sustainable Development of the Interior	December 2010	Not processed	No prior contact with IDB, therefore, requester advised to approach Management

	Request registry number	Name	Date received	Phase	Status
2011	MICI-VE-2011-012	*Venezuela*. Kreadanza	February 2011	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-BO-2011-013	*Bolivia*. Northern Corridor Highway Improvement Program – Santa Barbara-Rurrenabaque and San Buenaventura BO-MICI001-2011	March 2011	Consultation	Closed
				Compliance Review	Open
	MICI-PN-2011-014	*Panama*. Panama Canal Expansion	May 2011	Not processed	No prior contact with IDB, therefore, requester advised to approach Management
	MICI-BR-2011-015	*Brazil*. Mário Covas Rodoanel – Northern Section BR-MICI003-2011	May 2011	Consultation	Closed
				Compliance Review	Closed
	MICI-AR-2011-016	*Argentina*. Programa Nacional 700 Escuelas	May 2011	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-ME-2011-017	*Mexico*. Termoeléctrica del Golfo ME-MICI001-2011	June 2011	Consultation	Closed
				Compliance Review	Closed
	MICI-CO-2011-018	*Colombia*. Training Program for Women Heads of Household	June 2011	Not processed	Request for information
	MICI-BR-2011-019	*Brazil*. Low-Income Neighborhood Improvement Program (Habitar Brasil) BR-MICI004-2011	June 2011	Consultation	Open
	MICI-BR-2011-020	*Brazil*. São José dos Campos Urban Structuring Program BR-MICI006-2011	June 2011	Consultation	Open
	MICI-CO-2011-021	*Colombia*. San Francisco-Mocoa Alternate Road Construction Project – Phase I CO-MICI001-201	July 2011	Consultation	Closed
				Compliance Review	Closed
	MICI-BR-2011-022	*Brazil*. Mário Covas Rodoanel – Northern Section BR-MICI005-2011	July 2011	Consultation	Closed
				Compliance Review	Closed
	MICI-CO-2011-023	*Colombia*. El Dorado International Airport CO-MICI002-2011	August 2011	Consultation	Open
	MICI-BO-2011-024	*Bolivia*. Santa Barbara-Rurrenabaque Northern Corridor Highway Improvement Program BO-MICI001-2011	September 2011	Consultation y Compliance Review	Request incorporated into Request No. 13
	MICI-CO-2011-025	*Colombia*. Rural Water Supply and Sanitation	September 2011	Not processed	No prior contact with IDB, therefore, requester advised to approach Management

	Request registry number	Name	Date received	Phase	Status
2011	MICI-BR-2011-026- MICI-BR-2011-027- MICI-BR-2011-028	*Brazil*. Mário Covas Rodoanel – Northern Section	September 2011	Not processed	After initial notification none of the requesters responded to the ICIM's communications
	MICI-CR-2011-029	*Costa Rica*. Cadastral and Property Registry Regularization Program	October 2011	Not processed	Withdrawn by requester
	MICI-CO-2011-030	*Colombia*. Strategic Public Transportation Systems Program	October 2011	Not processed	Request for information
	MICI-PN-2011-031	*Panamá*. Canal Expansion PN-MICI002-2011	October 2011	Consultation	Terminated and transferred to Compliance Review
				Compliance Review	Open Investigation in progress
	MICI-DR-2011-032	*Dominican Republic*. Boulevard Turístico del Atlántico	October 2011	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-AR-2011-033	*Argentina*. PROSAP	October 2011	Not processed	No prior contact with IDB, therefore, requester advised to approach Management
	MICI-BR-2011-034	*Brazil*. Mário Covas Rodoanel – Northern Section	October 2011	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
2012	MICI-AR-2012-035	*Argentina*. Food and Agriculture Health and Quality Management Program AR-MICI004-2012	January 2012	Consultation	Closed
	MICI-CO-2012-036	*Colombia*. Rural Water Supply and Wastewater Management Program	January 2012	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-BO-2012-037	*Bolivia*. CRIAR Project preparation	January 2012	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-BR-2012-038	*Brazil*. Estrada Nova Watershed Sanitation Program (PROMABEN)	February 2012	Not processed	Request for information
	MICI-TT-2012-039	*Trinidad & Tobago*. CariSal Unlimited	February 2012	Not processed	Request for information
	MICI-BR-2012-040	*Brazil*. Santa Catarina Logistics Infrastructure Program	Abril 2012	Not processed	Request for contact with management
	MICI-PE-2012-041	*Peru*. Esquema Cajamarquilla, Nievería y Cerro Camote	May 2012	Not processed	Request for information
	MICI-PE-2012-042	*Peru*. Esquema Cajamarquilla, Nievería y Cerro Camote	June de 2012	Not processed	Request for information
	MICI-BR-2012-043	*Brazil*. Estrada Real – Network of Tourism SMEs Mina Gerais State	July 2012	Not processed	Request for information
	MICI-CO-2012-044	*Colombia*. San Francisco-Mocoa Alternate Road Construction Project – Phase I	July 2012	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit

	Request registry number	Name	Date received	Phase	Status
2012	MICI-CO-2012-045	*Colombia*. Strategic Transport System	September 2012	Not processed	Request for information
	MICI-ME-2012-046	*Mexico*. Mareña Renovables Wind Project	October 2012	Not processed	No prior contact with IDB, therefore, requester advised to approach Management
	MICI-UR-2012-047	*Uruguay*. Montevideo Urban Transportation Program	October 2012	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-ME-2012-048	*Mexico*. Request for Bank information from Supreme Audit Office	October 2012	Not processed	Request for information
	MICI-BR-2012-049	*Brazil*. Mário Covas Rodoanel – Northern Section 2	November 2012	Not processed	Request for information
	MICI-AR-2012-050	*Argentina*. Water Infrastructure: Northern Provinces Development Program	November 2012	Not processed	Request for information
	MICI-HO-2012-051	*Honduras*. Indigenous and Afro-Honduran Peoples and Climate Change	November 2012	Not processed	Request for information
	MICI-BR-2012-052	*Brazil*. São José dos Campos Urban Structuring Program	December 2012	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-ME-2012-053	*Mexico*. Mareña Renovables Wind Project ME-MICI002-2012	December 2012	Consultation	Closed
				Compliance Review	Open
	MICI-JA-2012-054	*Jamaica*. Agricultural Competitiveness Program	December 2012	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
2013	MICI-AR-2013-055	*Argentina*. Neighborhood Upgrading Program II (PROMEBA II)	January 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-CO-2013-056	*Colombia*. San Francisco-Mocoa Alternate Road Construction Project	February 2013	Not processed	No prior contact with IDB, therefore, requester advised to approach Management
	MICI-TT-2013-057	*Trinidad and Tobago*. Infrastructure Refurbishment Program	May 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-PN-2013-058	*Panama*. Pando-Monte Lirio Hydroelectric Power Project	Abril 2013	Not processed	Request for information
	MICI-ME- 2013-059	n/a	May 2013	Not processed	Not related with IDB operations
	MICI-PN-2013-060	*Panama*. Rural Electrification Program	May 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-AR-2013-061	*Argentina*. Northern Provinces Development Program: Water and sanitation – infrastructure	June 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-CO-2013-062	*Colombia*. San Francisco-Mocoa Alternate Road Construction Project – Phase I	June 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit

	Request registry number	Name	Date received	Phase	Status
2013	MICI-UR-2013-063	*Uruguay*. Montevideo Urban Transportation Program	July 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-XX- 2013-064	IDB-IDEAS Competition	July 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-AR-2013-065	*Argentina*. Sustainable Environmental Urban Management Program for the Reconquista River Basin	July 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-AR-2013-066	*Argentina*. Solid Waste Management Program for Touristic Municipalities	August 2013	Not processed	No prior contact with IDB, therefore, requester advised to approach Management
	MICI-EC-2013-067	*Ecuador*. Modernization National Civil Registration, Identification, Documentation System	August 2013	Not processed	Request for information transferida al Centro de Información Pública
	MICI-BR-2013-068	*Brazil*. Sustainable Mobility in Blumenau Program	August 2013	In process	Open
	MICI-SU-2013-069	*Suriname*. Sustainable Development of the Interior	October 2013	Consultation	Closed
	MICI-AR-2013-070	*Argentina*. Sustainable Environmental Urban Management Program for the Reconquista River Basin – Province of Buenos Aires	October 2013	Consultation	Closed
	MICI-CO-2013-071	*Colombia*. Barranquilla District – Comprehensive Neighborhood Improvement	November 2013	Not processed	Request for information
	MICI-TT-2013-072	*Trinidad and Tobago*. Invitation to tender for EDMS systems	November 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-ME-2013-073	*México*. Etileno XXI	November 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-GY-2013-074	*Guyana*. Solid Waste Management – Georgetown	December 2013	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
	MICI-GU-2013-075	*Guatemala*. Rural Economic Development	December 2013	Not processed	The requester asked for the process to be halted during dialogue with Management
	MICI-BR-2013-076	*Brazil*. Drainage, Sanitation, and Roads: Belém	December 2013	In process	Open

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