

# The Independent Consultation and Investigation Mechanism 2011 Annual Report





**Accountability is the obligation of an organization to account for its activities, accept responsibility for them, and disclose the results in a transparent manner.**



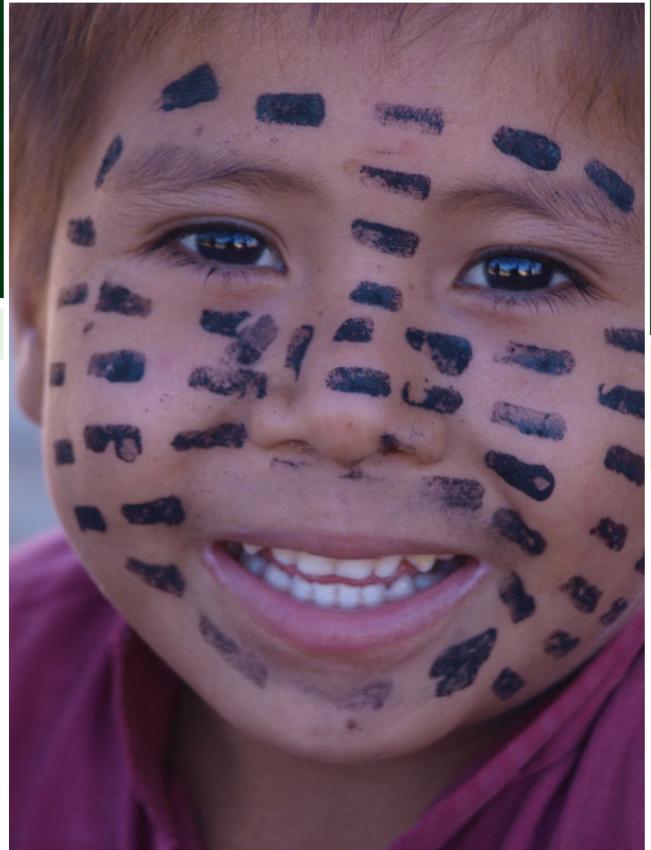


## Table of Contents

Introduction.....	1
The Independent Consultation and Investigation Mechanism.....	2
2011 Highlights .....	6
Request and Case Management .....	8
Synopsis of Registered Requests, by Country .....	13
Outreach and Training.....	33
ANNEX I Requests Received by the ICIM January 2010–December 2011 and Status as of December 31, 2011 .....	35
Annex II The ICIM team .....	37
Annex III The ICIM Case Management Process, by Phase .....	42
Annex IV How to Submit a Request to the ICIM .....	44
Annex V The ICIM 2011 Budget.....	46

## Abbreviations and Terms

Board	IDB Board of Executive Directors
CAO	Compliance Advisor/Ombudsman
Carryover Case	Any Request determined eligible in a year prior to the current year and actively managed
Carryover Request	Any Request received in a year prior to the current year that is in the process of determination of eligibility
Case	Any Request determined eligible for either or both of the two phases at any given time
COF/EC	Country Office in Ecuador
COF/GY	Country Office in Guyana
COF/ME	Country Office in Mexico
ICIM	Independent Consultation and Investigation Mechanism
IDB	Inter-American Development Bank
IFC	International Finance Corporation
IIM	Independent Investigation Mechanism
NGO	Nongovernmental organization
OP	Operational Policy
Registered Request	Any Request that contains the basic elements that fulfill the requirements of the ICIM Policy for processing and is included in its Public Registry
Request	Any communication received by the ICIM related to its Policy from a Requester



We want  
to hear  
your  
voice



*Photographs by: Bjarne Fostervold*

## Introduction

Twenty years ago, the Rio Declaration, adopted by the United Nations Conference on Environment and Development in 1992, placed human beings at the center of concern for sustainable development and recognized their entitlement to a healthy and productive life, in harmony with nature.

In accordance with this principle, the Inter-American Development Bank (IDB), under its Better Bank Agenda, has realigned its priorities and structure, thus enabling major advances in effectiveness, transparency, and accountability in order to ensure a more effective fulfillment of its mission to reduce poverty and inequality and to bring sustainable development to Latin America and the Caribbean.

The Bank now has stronger systems to make sure the projects it finances can demonstrate how they significantly improve people's lives.

In practice, such advances have meant the strengthening of the Bank's sustainability framework, which, among other actions, includes the establishment of the Independent Consultation and Investigation Mechanism (ICIM) in 2010, to respond to the mandate from the IDB Board of Executive Directors for an enhanced Mechanism that reflected the lessons learned from the Independent Investigation Mechanism (IIM), the ICIM's predecessor; the developments of the International Accountability Mechanisms of other multilateral banks; and the input received during the consultation process for the ICIM proposal.

Now, thanks to the support of the Board and continued collaboration with Management, almost two years after its establishment the ICIM is fully operational and committed to strengthening the effectiveness of the Bank and its response to the Region.



## The Independent Consultation and Investigation Mechanism

The ICIM mission is to respond to concerns of Requesters regarding alleged actual or potential negative effects of Bank-financed operations due to a failure of the Bank to correctly apply its own operational policies.

The ICIM Guiding Principles, which are here presented, provide the foundation for a credible, transparent, and responsible operation.

### Independence

The ICIM is independent of any unit or official of the Bank (“Management”). Its leadership is selected by the Board of Executive Directors, to which they report directly. The Project Ombudsperson and the Panel have functional independence and act on their own initiative, according to their best judgment, in a manner consistent with the ICIM Policy.

### Integrity

All members of the ICIM team are subject to Bank Rules, and are required by the ICIM Policy to protect against conflicts of interest that could weaken objectivity and ethical behavior.

### Transparency

The ICIM, its activities, and staff are subject to the Access to Information Policy (OP-102) and promote, through its Public Registry, the transparency of its processes and outcomes.

### Confidentiality

The ICIM will protect the confidentiality of a Requester if so asked in the Request, and will consult with the Requester about the process for handling a confidential Request. Materials or information submitted to the Bank or the ICIM on a confidential basis from any Party may not be released to other Parties without the consent of the Party that submitted the materials.

### Impartiality

All members of the ICIM team seek to carry out the Mechanism’s functions in an impartial manner. Bias, potential bias, conflicts of interest or potential conflicts of interest, and other impediments to impartiality will be disclosed and measures implemented to ensure that this principle is honored.

### Responsibility

Each member of the ICIM team is dedicated to performing his or her functions in accordance with Bank policies and procedures, high professional standards, and best practices applicable to independent accountability mechanisms. The ICIM seeks to implement sound internal control processes and best financial and organizational practices.

### Collaboration, Consensus, and Communication

The ICIM and its members are committed to collaborative processes and consensus building within the Mechanism, where relevant, and in keeping with the principle of independence of the two Phases as relates to Request and Case Management. The ICIM is committed to (a)

respecting all stakeholders and their views, and (b) proactively communicating and contributing to solutions to issues and challenges faced by the Mechanism.

### Predictability

The ICIM seeks to ensure that stakeholders have certainty regarding the timing and processes that impact Requests and Cases and what the potential outcomes of interfacing with the ICIM might be.

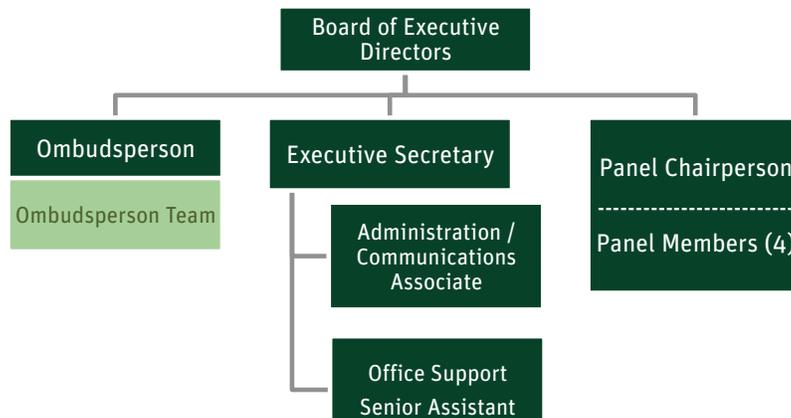
### Positive Impacts

The ICIM is committed to making a positive contribution to more sustainable development results in the Region and to having a positive impact on Requesters, the Bank, Bank-Financed Operations, and other stakeholders.



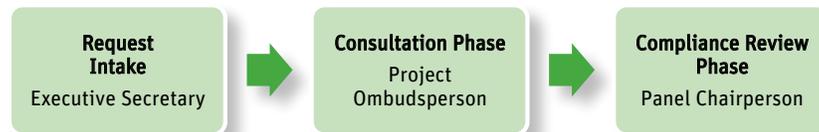
The ICIM is jointly led by the Executive Secretary; the Panel Chairperson, who represents the Panel; and the Project Ombudsperson. Its primary function is Request and Case Management, which it carries out within a compact and efficient structure (see Figure 1). It also conducts Outreach and Training activities.

Figure 1 Organizational Structure



As regards Request and Case Management, the ICIM process provides for a two-phased process that initiates with Request Intake. A Request may ask that both a Consultation exercise and Compliance Review be undertaken, but given the sequential nature of the process, the Request goes through the Consultation Phase first (see Figure 2).

Figure 2 ICIM Sequential Process



The Executive Secretary leads the **Request Intake** and, as the entry point, receives and acknowledges all Requests. The Executive Secretary promotes access to the ICIM and provides guidance on the ICIM Policy to Requesters and others involved in Requests.

The Project Ombudsman leads the Consultation Phase and is responsible for determinations of eligibility for the **Consultation Phase** of Requests from Requesters who reasonably believe they have been or could be directly and materially adversely affected by an action or omission of the Bank in violation of a Relevant Operational Policy in a Bank-Financed Operation.

The main objective of this phase is to provide individuals and communities with an opportunity to voice their concerns and to have them addressed through a solution-seeking dialogue sponsored by the Project Ombudsman. The approaches and tools used in the Consultation Phase are flexible, collaborative, and tailored to the specifics of the issues raised by the Requesters, giving the Parties the opportunity to find agreeable remedial options and adequate mitigating measures.

The Panel Chairperson leads the Panel and coordinates the Compliance Review Phase. The Panel is composed of five independent experts. The Panel Chairperson makes determinations of eligibility of Requests for the Compliance Review Phase from Requesters who reasonably believe they have been or could be directly and materially adversely affected by an action or omission of the Bank in violation of a Relevant Operational Policy in a Bank-Financed Operation.

The ICIM process is not a legal proceeding but is an internal independent function of the Bank related to the accountability of the institution. It is also structured to be an instance of last resort, fostering the resolution of concerns at the local and project level whenever possible.

Requests may be submitted by any one or more persons, groups, associations, organizations, or entities residing in the country where the Bank-financed operation of reference is or will be implemented. (For further guidance on how to submit a Request and requirements to be met, see Annex IV.)

In accordance with the principle of transparency, and to foster access to its process, the ICIM's Public Registry ([www.iadb.org/icim](http://www.iadb.org/icim)) provides information on the status of Requests, thus ensuring the transparency and predictability of the process.

Lessons learned and significant trends observed during Request and Case Management are analyzed and, based on the analysis, case studies are produced in order to support the Bank's enhancement of its institutional capacity.



## 2011 Highlights

The first full calendar year of ICIM operation—2011—was intense and dynamic for the ICIM team, as outlined in Table 1.

Table 1 ICIM Activities, 2011

Requests and Case Management	
<b>Intake</b>	<b>27</b> Requests were reviewed, <b>5</b> of which were received in the last quarter of 2010 and <b>22</b> of which were received between January and December 2011, of which:
	<ul style="list-style-type: none"> <li>• <b>12</b> were Not Registered</li> <li>• <b>15</b> were transferred to the Consultation Phase*</li> </ul>
<b>Consultation Phase</b>	<b>12</b> eligible Requests were managed by the Consultation Phase, of which:
	<ul style="list-style-type: none"> <li>• <b>3</b> Cases were resolved successfully in the Consultation Phase and closed</li> <li>• <b>7</b> Cases were open and ongoing by the end of 2011</li> <li>• <b>2</b> Cases were closed unsuccessfully for the Consultation Phase and transferred to the Compliance Review Phase, as requested by the Complainants</li> </ul>
	<b>3</b> Requests were declared ineligible
	<b>1</b> Request was pending determination by the end of 2011
<b>Compliance Review Phase</b>	<b>4</b> Eligible Requests were managed by the Compliance Review Phase, of which:
	<ul style="list-style-type: none"> <li>• <b>2</b> Compliance Reviews were approved by the Board and were ongoing by the end of 2011</li> <li>• <b>2</b> were in the process of submission of terms of reference to the Board of Executive Directors by the end of December 2011</li> </ul>
	<b>1</b> Request was declared ineligible and closed
	<b>1</b> Request was pending determination by the end of December 2011
<b>Outreach and Training</b>	Organization of the 8th Annual Meeting of Independent Accountability Mechanisms
	Participation in <b>14</b> events promoting access to the ICIM and providing training to Country Offices and IDB Headquarters staff
<b>Institutional Strengthening</b>	Appointment of the new Executive Secretary in February 2011, and by the end of the first quarter, completion of the formal structure of the ICIM
	Design and implementation of the ICIM case recording system
<p>* Although 15 Requests were transferred to the Project Ombudsperson, 16 Requests/Cases were managed by the Consultation Phase, because 1 Request received presented complaints about two different IDB-financed operations, for which reason, upon declaring eligibility, the Project Ombudsperson split the Request into two active Cases.</p>	

For the Consultation Phase, the wealth of Requests received to date from all over the Region and covering a myriad of issues represented a challenge to identify innovative ways to provide better service while building the foundations of the Consultation process. In addition, as a result of the process, the Project Ombudsperson has identified some systemic issues, lessons learned, and good practices that may enrich the social and environmental sustainability framework of IDB operations. Box 1 provides a list of good practices during the Consultation Phase.

### **BOX 1 CONSULTATION PHASE GOOD PRACTICES**

*The ICIM has identified the following practices for the dialogue process during the Consultation Phase:*

- *All stakeholders and their positions and expectations need to be identified as early as possible to ensure communication flow and fruitful participation.*
- *Creating space for the Parties to gather and provide information prior to the dialogue is essential to clarify misconceptions, expectations, and interests, and to create a solid foundation on which to design the dialogue process for a successful outcome.*
- *Local Grievance Mechanisms, built into project design from the outset, allow for smoother and more effective project implementation. They can address issues and complexities inherent in the dynamics of development, and can ultimately minimize the need for escalating grievances.*
- *When a Case involves more than one Independent Accountability Mechanism, a collaborative approach among the pertinent mechanisms allows for greater efficiency, harmonization of actions, and better results. Joint work also reduces the burden on communities and other stakeholders involved in the Case, unnecessary duplication of efforts, and overlaps.*
- *The political, social, and economic context of the country where the Project is being implemented can present additional challenges for both the Project and the dialogue process. An early and accurate assessment of these aspects is indispensable to achieving a fruitful dialogue and positive outcomes.*
- *Timing is a complex factor that can affect the dialogue in many ways, and hence needs to be assessed and managed on a case-by-case basis. Since the perception of staleness can be damaging in a dialogue process, a balance between providing every Party the attention they need to progress comfortably in each dialogue step while showing progress and results to Parties is of the utmost importance.*

The Panel's work during 2011 demonstrated how important compliance with the Bank's Operational Policies is to both project-affected citizens and communities, and to achieving sustainable outcomes at the local level and development effectiveness at the national level.

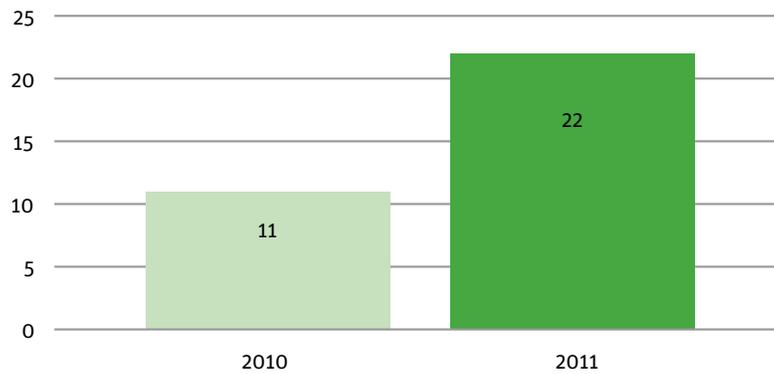
For the Compliance Review Phase, 2011 also meant continuing to build the foundations for an effective compliance process as envisaged by the ICIM Policy. At the same time, considerable Panel energy and resources were dedicated to institutional development.

The framework for a reliable compliance review process and its pillars of independence and impartiality are now largely in place. Further experience will help to sharpen the tools and methodologies developed thus far.

## Request and Case Management

In 2011, its second year of operation, the ICIM received 22 Requests, twice as many as in 2010, for a total of 33 Requests since its inception (see Figure 3).

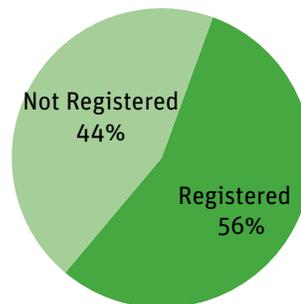
**Figure 3 Request Intake 2010–2011**  
(Number of Requests received per year)



The ICIM started 2011 with 4 Carryover Cases,<sup>1</sup> 3 in the Consultation Phase and 1 in the Compliance Review Phase, plus 5 Carryover Requests pending eligibility determination, 4 in the Consultation Phase and 1 in the Compliance Review Phase.

During 2011, 22 new Requests were received, which, added to the 5 Carryover Requests, totaled 27 Requests and 4 Carryover Cases processed by the end of December 2011. Twelve of the 27 Requests were not registered, and were managed in the Intake stage according to the criteria established in the ICIM Policy (see Figure 4). Details on management of individual Requests as of December 31, 2011, are presented in Annex I.

**Figure 4 Intake Registered vs. No Registered Requests 2011**



<sup>1</sup> Definitions of terms are as follows:

*Carryover Case:* Any Request determined eligible in a year prior to the current year and being actively processed.

*Carryover Request:* Any Request received prior to the current year that is in the process of determination of eligibility.

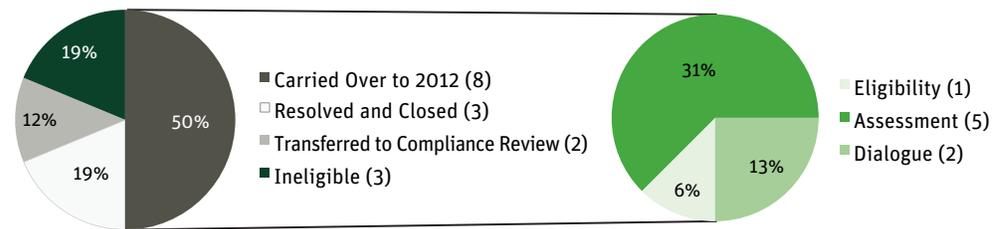
*Case:* Any Request determined eligible for one or both of the two phases at any given time.

*Request:* Any communication received by the ICIM related to its Policy from a Requester.

By December 31, the Consultation Phase had managed 12 Cases at different stages, declared 3 Requests ineligible and left 1 Request pending determination of eligibility. Of the 12 active Cases, 3 had been resolved successfully and were closed, 7 were still being processed by the Project Ombudsperson, and 2 were terminated and Requesters asked their Cases to be transferred to the Compliance Review Phase.

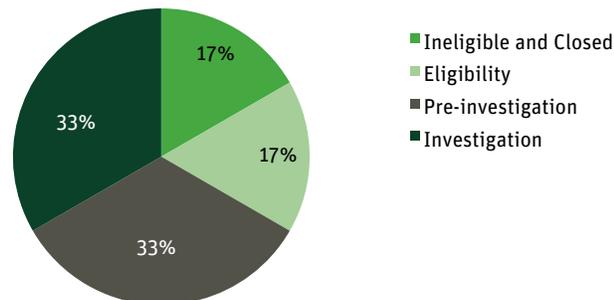
The Consultation Phase comprises a four-stage process for Request and Case Management: (1) eligibility, (2) assessment, (3) dialogue, and (4) agreement. Figure 5 shows the status of Requests under the Consultation Phase by the end of December 2011. Fifty percent (8 in total) of the Requests in the Consultation Phase will be carried over to 2012 at different individual stages of management.

**Figure 5 Consultation Phase**  
Status of Requests at end of December 2011



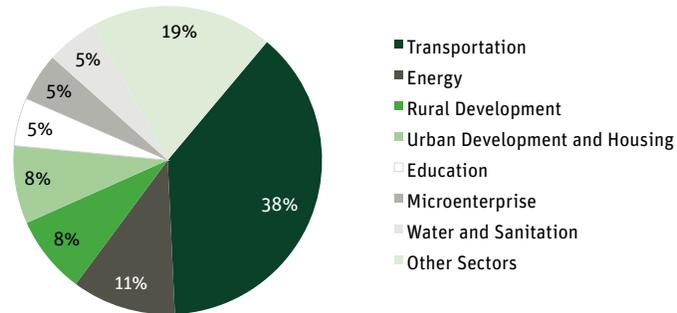
As regards the Compliance Review Phase, 4 Cases were managed, 1 Request was declared ineligible, and 1 Request was pending eligibility by the end of 2011. The Compliance Review Phase comprises a three-stage process for Request and Case Management: (1) eligibility, (2) pre-investigation, and (3) investigation. Figure 6 shows the status of Requests managed by the Compliance Review Phase as of end December 2011.

**Figure 6 Compliance Review Phase: Status of Requests by end of December 2011**



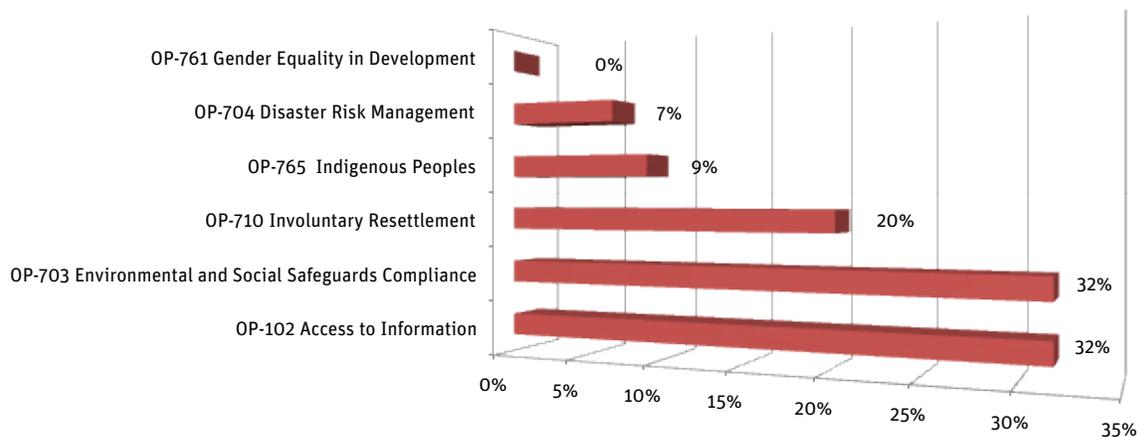
The 16-month operation of the ICIM and the 33 Requests received to date provide initial insights into the type of concerns that generate Requests, the sectors of greater occurrence, and the type of Requester accessing the Mechanism. From these data, we can observe that the Transportation sector (38 percent of Requests) and the Energy sector (11 percent of Requests) tend to be the most sensitive regarding prevalence of Requests (see Figure 7).

Figure 7 Sector Recurrence



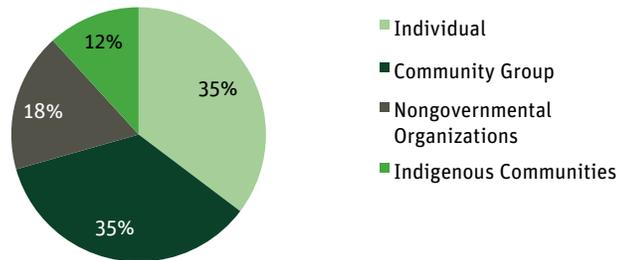
As regards Operational Policies (OPs), the Access to Information Policy (OP-102) and the Environmental and Safeguards Compliance Policy (OP-703) are the most recurrently cited in Requests, as shown in Figure 8. As of the end of December 2011, no Requests had been received in reference to the Gender Equality in Development Policy (OP-761).

Figure 8 Operational Policy Recurrence



The ICIM Policy establishes that Requests may be filed by one or more persons, groups, associations, entities, or organizations (including, without limitation, by community-based groups, associations, entities, and organizations; and nongovernmental organizations [NGOs] formed by indigenous or Afro-descendant peoples or entities). By the end of December 2011, 35 percent of Requests had been filed by individuals on their own behalf, and 35 percent had been filed by community groups (see Figure 9).

Figure 9 Requester Recurrence



The above analysis includes the small sample collected during the 16 months of ICIM operation. As the years pass, the ICIM will acquire more information with which to enrich this trend analysis.



# Synopsis of Registered Requests, by Country

## ARGENTINA

Multiphase Development Infrastructure Program: Support Production Entre Ríos - 1914/OC-AR

### The Project

The objective of the Project is to contribute to the development and economic competitiveness of the Entre Ríos Province in Argentina. The Project aims at increasing basic economic infrastructure, such as road networks and the electric system.

### The Request

In June 2010, the ICIM received a confidential<sup>2</sup> Request from an individual with concerns related to potential negative environmental impacts, particularly regarding the Project's energy component. The Requester alleged irregularities in the consultation process and limitations on access to relevant information within the Environmental Impact Assessment, and violations of Argentina's environmental laws and regulations.

### ICIM Actions

The review of the Request was initiated in September 2010, once the ICIM was declared effective. The Request was declared eligible for the Consultation Phase in October 2010. During the Assessment stage, the Project Ombudsperson liaised with all interested Parties; gathered and analyzed information on the Project and the issues raised in the Request; and conducted a field visit from November 28 through December 6, 2010. The mission aimed at identifying the technical aspects of the Requester's specific concerns vis-à-vis the Project's impacts and the risk management plans.

In March 2011, the Assessment Report was issued, which concluded that a dialogue between the Parties was feasible. As a result, the Parties engaged in an intense dialogue exercise, informed by a third independent technical Party, and focused on the possible ramifications of the claims during project implementation. The dialogue process included the participatory design of the dialogue agenda, rules, and principles so as to reach a collaborative solution. With the support of a team of local facilitators, the Parties are currently in the process of identifying the specific terms of an agreement.

### INFORMATION AT A GLANCE

**IDB Project:** *Multiphase Development Infrastructure: Support Production Entre Ríos*

**IDB Project Number:** *1914/OC-AR*

**Country:** *Argentina*

**Requester(s):** *The Folonier Family and neighbors of the area*

**Date of Request:** *June 2010*

**Request ID:** *AR-MIC1001-2010*

**Related Operational Policies:** *OP-102 and OP-703*

**Phase:** *Consultation*

**Current Status:** *Open - Dialogue*

<sup>2</sup> As the process progressed, the Requester agreed to amend his initial confidentiality request to facilitate the dialogue process.



## ARGENTINA

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### Provincial Agricultural Services Program II (PROSAP II) - 1956/OC-AR

#### The Project

The main objective of the Project is to provide services, investments, and business plans to farmers through a variety of components, including improved irrigation and drainage infrastructure.

#### The Request

In November 2010, a Request was filed that alleged that the process of excavation and the infrastructure work carried out in the context of the Project could cause negative impacts on an archeological site. In particular, the Requester alleged that the improvement of the Nuevo Alvear Main Irrigation Canal was impacting the archeological wealth of the La Olla site, in the Province of Mendoza.

#### INFORMATION AT A GLANCE

**IDB Project:** *Provincial Agricultural Services Program II (PROSAP II)*

**IDB Project Number:** *1956/OC-AR*

**Country:** *Argentina*

**Requester:** *Dr. Gustavo Neme*

**Date of Request:** *November 2010*

**Request ID:** *AR-MIC1002-2010*

**Related Operational Policies:** *OP-102 and OP-703, Section B.9*

**Phase:** *Consultation*

**Current Status:** *Resolved and Closed*

#### ICIM Actions

The Request was declared eligible for the Consultation Phase in January 2011. During the Assessment stage, the Consultation Team worked with the Bank's Project Team, the Requester, and the Executing Agency to establish solid technical grounds for the dialogue on the background, status, and characteristics of the archeological remains and the possible adverse Project impacts. The ICIM hired an independent archeologist who conducted an analytical review of the Project documents and technical audits, and visited the Project site.

During a process facilitated by the ICIM, the Parties agreed on the importance of preserving the La Olla site, where experts found pottery, remains of plants and fish species, and unique carved ostrich egg shelves of approximately 1,000 years old. To solidify the agreement, the Parties crafted a Road Map including additional archeological studies and the design of an archaeological rescue and development work plan aimed at preserving the site and mitigating the Project impacts on the archeological remains.

In April 2011, the Parties, including the local archeological authority, signed an Agreement for the implementation of such a plan, which included specific activities aimed at protecting the archaeological site and developing a site museum. In May 2011, the Consultation Phase concluded with the presentation of the Consultation Phase Report and the signed Agreement. In this particular case, the Parties actively prevented potential adverse archaeological impacts by the timely presentation of the Request and by the constructive response of the Executing Agency.

## ARGENTINA

### Neighborhood Upgrading Program II (PROMEBA II) - 1842/OC-AR

#### The Project

The objective of the Project is to improve the quality of life and contribute to the urban and social inclusion of 250,000 Argentine households in the poorest segments of the population living in informal neighborhoods.

#### The Request

In November 2010, the Hugo Gauna Foundation (*Fundación Hugo Gauna*) filed a Request with the ICIM regarding this Project, outlining adverse impacts that the road and street network improvement component of the Project would cause on the Foundation's premises, where several educational and other social activities targeted to children and youth at risk have been conducted. In particular, the Project foresaw the construction of an access road in the City of Corrientes through 7,000 square meters of green areas, impacting the area where the Foundation operates.

#### ICIM Actions

In early communications with the Project Team and the Requester, the Project Ombudsperson learned that the Parties were engaged in addressing the Requester's concerns. The Project Ombudsperson granted a 45-day extension of the eligibility determination in accordance with the ICIM Policy.

During the 45-day period, the Project Team and the Requester agreed on potential solutions to the concerns expressed, including a modification of the original road site, bypassing the Foundation's grounds and avoiding the potential impacts. Since a satisfactory agreement was reached by the Parties, the Requester decided to withdraw the Request. As a result, the Project Ombudsperson declared the Request ineligible for the Consultation Phase in March 2011.

#### INFORMATION AT A GLANCE

**IDB Project:** *Neighborhood Upgrading Program II (PROMEBA II)*

**IDB Project Number:** *1842/OC-AR*

**Country:** *Argentina*

**Requester:** *Mr. Jose Rafael Gauna, on behalf of the Hugo Gauna Foundation*

**Date of Request:** *November 2010*

**Request ID:** *AR-MIC1003-2010*

**Related Operational Policies:** *OP-102 and OP-710*

**Phase:** *Consultation*

**Current Status:** *Closed*



## BOLIVIA

### Northern Corridor Highway Improvement Program, Santa Bárbara-Rurrenabaque Section - 1833/SF-BO

#### The Project

The Project resulted from a reallocation of funds from the loan *Northern Corridor Highway Improvement Program, Santa Bárbara Rurrenabaque Section* (1833/SF-BO). The Project aims at facilitating the communication and transport between Beni and La Paz and their further integration with the northern zone of the country. The bridge would be located between the cities of Rurrenabaque (Beni) and San Buenaventura (La Paz).

#### The Request

In March 2011, the ICIM received a Request from a national NGO on behalf of concerned citizens, alleging that the construction of the bridge connecting Rurrenabaque and San Buenaventura, as currently designed, and its subsequent use, could cause significant environmental and social impacts to Rurrenabaque and its inhabitants. In addition, the Requesters alleged that information about the Project and public consultations were inadequately handled; the community's concerns have not been addressed by the Executing Agency; and the various technical designs of the bridge project had not been based on social, environmental, and urban planning analyses. The Requesters proposed alternative locations for the bridge and its accesses.

#### ICIM Actions

The Request was declared eligible for the Consultation Phase in April 2011. During the Assessment stage, the Consultation team visited the Project site, communicated with relevant Parties, and gathered and examined the information to better understand the concerns of the local population and of Project social and environmental performance. The assessment included the analysis of an independent expert on the technical characteristics of the bridge in terms of its location and design, and relevant social and environmental management aspects of the Project. The Assessment Report, issued by the Project Ombudsperson in August 2011, stated that a dialogue between the Parties was feasible. As a result, under the ICIM facilitation, the Parties are currently engaged in a complex and demanding dialogue preparation process aimed at addressing Project-specific, perceived and real, actual and potential, environmental and social impacts on the community.

#### INFORMATION AT A GLANCE

**IDB Project:** *Northern Corridor Highway Improvement Program, Santa Bárbara-Rurrenabaque and San Buenaventura*

**IDB Project Number:** *1833/SF-BO*

**Country:** *Bolivia*

**Requester:** *The Bolivian Forum on Environment and Development (FOBOMADE)*

**Date of Request:** *March 2011*

**Request ID:** *BO-MIC1001-2011*

**Related Operational Policies:** *OP-102 and OP-703*

**Phase:** *Consultation*

**Current Status:** *Open - Dialogue*

## BRAZIL

### Program for Social-Environmental Recovery of the Serra do Mar and Mosaic Systems of the Mata Atlântica - 2376/OC-BR

#### The Project

The Program's objective is to promote the conservation, sustainable use, and socioenvironmental recovery of the Serra do Mar mountain range, the Jeréia-Itatins Mosaic territory, and the marine conservation units and their surroundings, in the state of São Paulo. The program aims at generating social and ecological benefits and promotes the effective protection of biodiversity and the natural water sources that serve the metropolitan area of the city of São Paulo and the Baixada Santista region.

#### The Request

Between May and October 2009, the Requester submitted communications to the IIM. In May 2010, the Request was re-sent to the ICIM with observations and complaints regarding the replacement of the existing environmental protection system in the project area through a so-called "mosaic approach" that intends to protect special and limited conservation units instead of a large contiguous conservation area. Of particular concern to the Requester was the proposed establishment of such special conservation units, and changes in the conservation regime of the Ecological Reserve Juréia-Itatins in the Municipality of Peruibe, São Paulo, Brazil and the Bank's plans to finance certain elements of this new approach.

#### ICIM Actions

Based on the information available at the time, the Project Ombudsperson determined, in October 2010, that the complaint was not eligible for the Consultation Phase as stipulated in the IIM Policies and the ICIM Policy.<sup>3</sup> In particular, the Request raised issues that were the responsibility of Parties other than the Bank or exclusively related to laws and policies of the borrowing country. In addition, some of the actions taken by the Requester and/or the Executing Agency were under review by domestic courts.

The Requester subsequently asked that the complaint be submitted to the ICIM Compliance Review Panel. After a detailed review of new and additional information made available, the Panel Chairperson determined in December 2010, that the Request was eligible for a Compliance Review. A Recommendation to conduct a Compliance Review was presented to the Board of Executive Directors, at which time further information and some clarifications were requested. Therefore, consideration of the document was postponed.

#### INFORMATION AT A GLANCE

**IDB Project:** *Program for Social-Environmental Recovery of the Serra do Mar and Mosaic Systems of the Mata Atlântica*

**IDB Project Number:** 2376/OC-BR

**Country:** Brazil

**Requester:** *Mongue Coastal System Protection Organization, represented by Mr. Plinio Melo*

**Date of Request:** *May 2010 with prior filings in 2009*

**Request ID:** BR-MIC1001-2010

**Related Operational Policies:** *OP-102 and OP-703*

**Phase:** *Compliance Review*

**Current Status:** *Open - Pending submission of Recommendation to the Board*

<sup>3</sup> In this case, "Mechanism Policies" refers to the rules of the previous Mechanism and its Policy, since the Request was filed prior to the approval of the ICIM Policy by the IDB Board of Executive Directors.

Given the complexity and the innovative nature of the Project and the sometimes conflicting assertions of those involved in this complaint, further discussions with the Requester and the project authorities, and with the Project Team both in the Country Office and at IDB Headquarters, are being conducted. The conclusions will be included in a revised version of the Recommendation to be presented to the Board of Executive Directors in 2012.



*Estação Ecológica da Juréia-Itatins*

## BRAZIL

### Estrada Nova Watershed Sanitation Program (PROMABEN) - 1998/OC-BR

#### The Project

The Project's objective is to help reduce the environmental and social challenges faced by the inhabitants of the Estrada Nova Watershed in Belem, Brazil, including the improvement of housing conditions among the population living in the area through urban planning, efforts to regularize land tenure, adoption of suitable housing solutions, and the establishment of recreational areas.

#### The Request

In October 2010, a Request was filed outlining issues related to the resettlement and expropriation process being carried out in the Requester's community, Estrada Nova, as part of the Project, and to the lack of access to Project-related information.

#### INFORMATION AT A GLANCE

**IDB Project:** *Estrada Nova Watershed Sanitation (PROMABEN)*

**IDB Project Number:** *1998/OC-BR*

**Country:** *Brazil*

**Requester:** *Mr. Jose Nildo Trindade da Costa*

**Date of Request:** *October 2010*

**Request ID:** *BR-MIC1002-2010*

**Related Operational Policies:** *OP-102 and OP-710*

**Phase:** *Consultation*

**Current Status:** *Resolved and Closed*

#### ICIM Actions

The Request was declared eligible for the Consultation Phase in December 2010. The Consultation Phase team visited Belem and the PROMABEN Project area in February 2011, to assess the main issues included in the Request and the Project's environmental and social characteristics. During the field visit, conditions (that is, Parties' willingness and relevant information available) allowed for a dialogue exercise on the spot. The solution-seeking process gravitated around a particular set of issues that were both agreed by the Parties and were within the mandate of the ICIM.

The Parties reached an agreement and the Project Ombudsperson monitored the implementation of its terms. In May 2011, the Case was officially closed.



## BRAZIL

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### Mario Covas Rodoanel Project - Northern Section - 2618/OC-BR

#### The Project

The Project consists of the construction of the Northern Section of the Mario Covas Beltway of the metropolitan zone of São Paulo, Brazil. The Rodoanel will represent, together with two other projects, one of the largest logistical platforms in Latin America, restructuring transportation flows and improving the distribution of vehicular loads in the region.

#### The Request

The Requesters, representing themselves and a coalition of NGOs, raised concerns related to possible environmental and social impacts that the construction of the Northern Section of the Mario Covas Rodoanel Project could cause.

The Requesters claim that the IDB's Environmental Impact Assessment failed to include certain aspects that would be fundamental to the decision-making process and the eventual implementation of the Project.

The major concerns raised by the Requesters include: (a) increased overexploitation of water resources, (b) risk of flooding and natural disasters, (c) soil and water pollution, (d) damage to the natural habitat, (e) climate change, (f) health-related issues due to pollution, (g) resettlement issues, and (h) inadequate participation of civil society.

#### ICIM Actions

The Request was declared ineligible for the Consultation Phase in August 2011. The Project Ombudsperson concluded that it was difficult to link the allegations made in the Request solely to the project, which was, at the time, only in the design stage. In addition, the link between the future general effects and impacts alleged by the Requesters and the project was not identified *prima facie*, and the Requesters failed to specify the associated possible IDB actions or omissions (at that time or in the future). Since the Requesters had already stated their desire for a Compliance Review, the Request was transferred to the Compliance Review Phase.

After analyzing the issues raised in the Request and comparing them with the information provided by IDB Management, the Panel Chairperson declared the Request eligible for a Compliance Review by the Panel in December 2011.

#### INFORMATION AT A GLANCE

**IDB Project:** *Mario Covas Rodoanel Project - Northern Section*

**IDB Project Number:** *2618/OC-BR*

**Requester:** *Colectivo de Entidades Ambientalistas*

**Country:** *Brazil*

**Date of Request:** *May 2011*

**Request ID:** *BR-MICI003-2011*

**Related Operational Policies:** *OP-703, OP-704, OP-710, and OP-102*

**Phase:** *Compliance Review*

**Current Status:** *Open - Pending submission of Recommendation to the Board*

## BRAZIL

### Low-Income Neighborhood Improvement Program (*Habitar Brasil*) - 1126/OC-BR

#### The Project

The Project's objective was to contribute to the Brazilian Government's efforts to consolidate and implement the national housing policy through institutional strengthening; and to improve the quality of life of the low-income population in metropolitan areas through integrated neighborhood projects including those for sanitation, education, health, garbage disposal systems, and the environment.

#### The Request

The Request was submitted on behalf of the Requesters by the organization *Central de Movimentos Populares de São José dos Campos*. The Request describes certain actions that might have caused significant social harm as a result of the implementation of the Program in São José dos Campos, in the State of São Paulo. The Requesters alleged, among other harms, that the Program caused resettlement of three communities to a remote area that lacks basic infrastructure, resulting in deterioration in their living conditions. The Requesters also affirm that some families that did not accept the terms and conditions of the resettlement had to leave their homes and move to a shed, where they have lived in makeshift conditions.

#### ICIM Actions

The Request was declared eligible for Consultation in August 2011. The final disbursement for this operation had taken place more than 24 months prior to the filing of the Request. However, the Requesters had submitted complaints to the IDB's Brazil Country Office on at least four occasions between 2002 and 2010, without the complaints having been effectively addressed or brought to the attention of the Mechanism or its predecessor.

During the Assessment stage, the Consultation Phase Team carried out a technical analysis of the information provided by the Parties and the Bank's project team. Two field visits (in September and December 2011) were conducted, and discussions with the Parties and other relevant stakeholders are ongoing. On December 21, 2011, the Project Ombudsperson issued the Assessment Report on this Case, concluding that a dialogue is feasible given the willingness of the Parties to participate in the process.

#### INFORMATION AT A GLANCE

**IDB Project:** *Low-Income Neighborhood Improvement Program (Habitar Brasil)*

**IDB Project Number:** 1126/OC-BR

**Country:** Brazil

**Requesters:** *Families that did not accept the conditions of the resettlement, represented by the Central de Movimentos Populares de São José dos Campos*

**Date of Request:** June 2011

**Request ID:** BR-MIC1004-2011

**Related Operational Policies:** *OP- 102, OP-710, and OP-703*

**Phase:** Consultation

**Current Status:** *Open – Dialogue*



## BRAZIL

### Mario Covas Rodoanel Project - Northern Section - 2618/OC-BR

#### The Project

The Project consists of the construction of the Northern Section of the Mario Covas Beltway of the metropolitan zone of São Paulo. The Rodoanel will represent, together with two other projects, one of the largest logistical platforms in Latin America, restructuring transportation flows and improving the distribution of vehicular loads in the region.

#### The Request

The Request alleges possible adverse environmental and social impacts related to the Project. Specifically, the Requester indicates that the route selected for the construction of the highway will cut through two environmentally protected areas—the Buffer Zone of the Cantareira State Park, and Green Belt Biosphere Reserve of the City of São Paulo, mentioning the potential harm to water resources that serve 55 percent of the population of the city.

In addition, the Requester asserts that the Project calls for a tunnel and its access to be built along the section of the Rodoanel that will pass near his residence, arguing that he and other area residents would be directly affected by: (a) noise and other types of pollution, (b) loss of property value and potential resettlement of some families, (c) damage to the physical structure of their homes due to the use of explosives during construction of the aforementioned tunnel, and (d) insecurity caused by a possible increase in crime following construction of the highway.

#### ICIM Actions

In September 2011, the Request was declared eligible for Consultation, which was later endorsed by other residents of the area. During a visit to São Paulo the Consultation Team met with the Requesters and the Executing Agency, followed the route of the ring road, and gathered information about the Project and the Parties' positions and interests. Initial findings during Assessment pointed to the need to move ahead with a process of dialogue in order to: (a) gain a better understanding of the Requester's concerns and how they relate to actions or omissions of the Project or the Bank; (b) facilitate the processes to find viable and comprehensive solutions, ensuring the incorporation of lessons learned in other sections of the Rodoanel; (c) provide or strengthen a participatory platform for better access to information and more effective environmental, social, and economic decision making; and (d) establish more effective mitigation measures. The Requester and the Executing Agency have indicated their willingness to participate in a consultation and mediation process.

#### INFORMATION AT A GLANCE

**IDB Project:** *Mario Covas Rodoanel – Northern Section*

**IDB Project Number:** *2618/OC-BR*

**Country:** *Brazil*

**Requester:** *Mr. Mauricio Gomes de Souza*

**Date of Request:** *July 2011*

**Request ID:** *BR-MIC1005-2011*

**Related Operational Policies:** *OP-102, OP-710, and OP-703*

**Phase:** *Consultation*

**Current Status:** *Open - Assessment*

## BRAZIL

### São José dos Campos Urban Structuring Program - 2323/OC-BR

#### The Project

The Program was developed to support the structuring and management of urban development of the municipality of São José dos Campos through a group of environmental, urban infrastructure, transportation management, and institution-strengthening projects.

The Program includes the renovation of public areas and environmental protection, construction of urban roads, relocation costs for approximately 400 families, consulting services for institutional strengthening, and improvement in public services delivery.

#### The Request

The Request was submitted by the *Central de Movimentos Populares de São José dos Campos* on behalf of the families of the community *Jardim Nova Esperança*, which would be resettled as a consequence of the Project.

The Request raises concerns about possible significant socioeconomic degradation to the potentially affected families if the resettlement process is carried out outside the framework of IDB's Operational Policies. It alleges that the urban roads to be constructed under the Project could cause serious environmental harm.

#### ICIM Actions

The Request was declared eligible in August 2011, followed by an Assessment process that began with a field visit to São José dos Campos in September of that year.

Within the Assessment stage, the Consultation Phase Team carried out another site visit in December 2011, to collect more information about the Project, listen to the Parties' concerns, determine whether a dialogue among the Parties was feasible, and map the relevant actors and their interests and positions.

By the end of the year, the Assessment was in an advanced stage, and the Assessment Report was expected to be released in early 2012.

#### INFORMATION AT A GLANCE

**IDB Project:** *São José dos Campos Urban Structuring Program*

**IDB Project Number:** *2323/OC-BR*

**Country:** *Brazil*

**Requester:** *Central de Movimentos Populares de São José dos Campos on behalf of the families of the community Jardim Nova Esperança*

**Date of Request:** *June 2011*

**Request ID:** *BR-MIC1006-2011*

**Related Operational Policies:** *OP-102, OP-710, and OP-703*

**Phase:** *Consultation*

**Current Status:** *Open -Assessment*



## COLOMBIA

### San Francisco-Mocoa Alternate Road Construction Project - Phase I - 2271/OC-CO

#### The Project

The objective of the Project is to improve the efficiency and safety of the Tumaco-Pasto-Mocoa road corridor, promoting the physical and economic integration of southern Colombia with the country's main production and consumption centers, while seeking to conserve its ecosystems and promote sustainable economic and social development.

#### The Request

A representative of the Inga and Kamentsa indigenous communities filed a complaint with the ICIM outlining the negative environmental and social impacts that construction of the San Francisco-Mocoa Alternate Road is having and will likely continue to have on the communities.

The Requester alleged that the project failed to: (a) properly identify and include the indigenous communities, Inga and Kamentsa, as an integral part of the Project design and implementation; (b) specifically and adequately address the Project environmental and social impacts on the communities; and (c) appropriately inform and consult with the indigenous peoples in the Project's area of influence.

#### ICIM Actions

The Project Ombudsperson declared the Request eligible for the Consultation Phase in August 2011. During the Assessment process, the Consultation Team liaised with both the Project Team and the Requesters to better understand the specifics of the concerns voiced about Project design and performance, and the complexity of the territorial context of the Project site. During a site visit in October 2011, the Team met with critical actors in the field, listened directly to their specific concerns, and produced a map of the relevant stakeholders for the Consultation Phase. The Assessment Report was finalized in December 2011. Following the Parties' petition, dialogue preparation activities were postponed until early 2012, so that the newly elected indigenous communities' representatives could participate in the dialogue.

#### INFORMATION AT A GLANCE

**IDB Project:** *San Francisco - Mocoa Alternate Road Construction Project - Phase I*

**IDB Project Number:** 2271/OC-CO

**Country:** *Colombia*

**Requester:** *Ms. Carmenza Tez, representing the Inga and Kamentsa Indigenous Communities*

**Date of Request:** *July 2011*

**Request ID:** *CO-MIC1001-2011*

**Related Operational Policies:** *OP-703, OP-710, and OP-765*

**Phase:** *Consultation*

**Current Status:** *Open - Dialogue*

## COLOMBIA

### El Dorado International Airport - 2477A/OC-CO

#### The Project

The Project aims at the modernization, expansion, operation, and management of the El Dorado International Airport in Bogotá, Colombia.

The investments include: (a) the construction of the new terminal, which will include domestic and international flight services; (b) new cargo facilities, including additional parking positions for planes; (c) a new office building for the National Civil Aeronautic Authority (*Aerocivil*); (d) a new maintenance area; (e) a new fire station; and (f) a new control tower. *Aerocivil* awarded the Project to the company *Concesionaria Operadora Aeroportuaria Internacional S.A.* (OPAIN) under a 20-year concession contract.

#### INFORMATION AT A GLANCE

**IDB Project:** *El Dorado International Airport*

**IDB Project Number:** *2477A/OC-CO*

**Country:** *Colombia*

**Requester:** *Comunidades Unidas Macroproyecto Aeropuerto El Dorado, represented by Mrs. Gloria Cecilia Molina Villamarin*

**Date of Request:** *August 2011*

**Request ID:** *CO-MIC1002-2011*

**Related Operational Policies:** *OP-102 and OP-703*

**Phase:** *Consultation*

**Current Status:** *Open - Assessment*

#### The Request

The organization *Comunidades Unidas* filed a Request on behalf of the neighbors of the Fontibón locality, raising a series of social and environmental concerns resulting from the implementation of the Project. These include: (a) soil and groundwater contamination, (b) inadequate waste and water treatment facilities, (c) noise and air pollution, (d) impacts on the flora and fauna of the neighbor zones, and (e) biological risks that could affect workers and neighbor communities. The Requesters also argue that the Project does not provide the affected communities with adequate and effective access to information and participation mechanisms.

#### ICIM Actions

In accordance with the ICIM Policy, upon receipt of the Request, the Requester was encouraged to first contact Bank Management prior to ICIM's involvement. The Requesters, the IDB's Country Office in Colombia, and the Project Team met twice, but the issues detailed in the Request were not addressed fully. As a result, the Request was further analyzed by the ICIM and declared eligible for the Consultation Phase in November 2011. The Consultation Phase Team is conducting an Assessment aimed at determining the technical characteristics of the concerns raised in the Request vis-à-vis the Project environmental and social management activities and plans, and the feasibility of a dialogue process among the Parties.



## COSTA RICA

### Electric Interconnection System for the Central American Countries (SIEPAC) - 1908/OC-CR

#### The Project

SIEPAC is a regional operation that covers all the countries of Central America.<sup>4</sup> The Project's objectives are: (a) progressive formation and consolidation of a Regional Electric Market, through the creation and establishment of the legal, institutional, and technical means that facilitate the participation of the private sector, particularly in the development of additional power generation; and (b) establishing electrical interconnection infrastructure (lines and substations) to facilitate the exchange of electricity among market participants.

#### The Request

The President of the SIEPAC-La Alfombra Committee, a community association in Costa Rica, filed a Request in December 2010. The Requester alleged that the projected construction of a power transmission near the Community of La Alfombra could "cause irreversible damage to people and ecosystems in the area," in particular to: (a) forestry and water resources; (b) biodiversity; and (c) local livelihoods, with a special focus on ecotourism. The community is concerned that the projected construction of a power tower could modify considerably the surrounding landscape, producing a negative visual impact that could discourage ecotourism in the area and negatively affect the local economy.

#### ICIM Actions

The Request was declared eligible for the Consultation Phase in April 2011. During the Assessment stage, the Consultation Phase Team travelled twice to Costa Rica; met with the community, their representatives, the Executing Agency, and other relevant stakeholders; and visited the Project site to better understand the issues included in the Request and Project performance on the ground. However, the polarized positions of the Parties, and the numerous judicial processes they were involved in, made dialogue infeasible. As a result, the Project Ombudsperson declared the Consultation Phase terminated. The Requesters asked to have their Request transferred to the Compliance Review Phase. In December 2011, the Request was in process of being transferred to the Compliance Review Phase for eligibility determination.

#### INFORMATION AT A GLANCE

**IDB Project:** *Electric Interconnection System for the Central American Countries (SIEPAC)*

**IDB Project Number:** 1908/OC-CR

**Country:** *Costa Rica*

**Requester:** *Ms. Yamileth Román Segura, representing the La Alfombra Community*

**Date of Request:** *December 2010*

**Request ID:** *CR-MIC1001-2011*

**Related Operational Policies:** *OP-102, OP-703, OP-704, OP-710, and OP-765*

**Phase:** *Consultation / Compliance Review*

**Current Status:** *Consultation Phase terminated and transferred to the Compliance Review Phase as requested by the Complainants*

<sup>4</sup> Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama.

## MEXICO

### Termoeléctrica del Golfo S.A. de C.V - 1223/OC-ME

#### The Project

The *Termoeléctrica del Golfo* Project was approved by the IDB in November 1999. The Project consisted of the development, construction, operation, and maintenance of a 230-megawatt circulating fluidized bed petroleum-coke (pet-coke)-fired power plant that would generate electricity for a number of cement plants owned by Cementos Mexicanos S.A. (CEMEX).

#### The Request

The Request submitted to the ICIM was previously reviewed by the IIM. The original Request outlined possible adverse impacts resulting from the construction and operation of a thermoelectric plant, *Termoeléctrica del Golfo*, in the Tamuín municipality, in the State of San Luis Potosí, and resulted in an investigation by the IIM.

The subsequent Request before the ICIM alleged new findings, which included: (a) noncompliance with the agreements reached during review of the first Case investigated by the IIM; (b) health impacts due to the use of pet coke for road paving in addition to damages to natural resources, livestock, and agriculture in the area; and (c) the discharge of hot water by the thermoelectric plant into the Shoy and Tampaón Rivers, causing adverse environmental impacts.

#### ICIM Action

According to the ICIM Policy, Requests previously reviewed by the IIM could only be filed for activation of the ICIM if the Requesters submitted new evidence not available at the time of the original Request filing, or if there were circumstances that were not known at the time of the original filing. In this particular case, the Request mentioned the specific impacts of the alleged IIM agreement noncompliance but did not elaborate further or present any additional information, nor did it present new information on the damage caused by a possible hot water discharge into the Shoy and Tampaón Rivers. The Request included concerns for the use of pet coke in a road-paving project but provided no information on the linkage of the road-paving project with the IDB-financed operation. As a result, the Request was declared ineligible for the Consultation Phase in August 2011, and was transferred to the Compliance Review Phase at the petition of the Requesters.

In November 2011, after careful analysis of all information provided by the Requester, the Panel Chairperson determined that the Request was not eligible for a Compliance Review for the following reasons: (a) the information provided by the Requesters could not be considered new evidence for the purposes of declaring the Request eligible for a Compliance Review; (b) the Request was a resubmission of the earlier Request, since both sets of Requesters refer to pet-coke ash as a cause for their concerns; and (c) the core of the present Request is concerns over the use of pet-coke ash as an asphalt-covered layer in a road construction project, which is not related to the Bank's loan. In November 2011 the Case was dismissed and closed.

#### INFORMATION AT A GLANCE

**IDB Project:** *Termoeléctrica del Golfo S.A. de C.V.*

**IDB Project Number:** *1223/OC-ME*

**Country:** *México*

**Requester:** *Commissariat of Las Palmas Ejido in Tamuín, San Luis Potosí*

**Date of Request:** *June 2011*

**Request ID:** *ME-MIC1001-2011*

**Related Operational Policies:** *OP-102 and OP-703*

**Phase:** *Consultation / Compliance Review*

**Current Status:** *Closed*



## PANAMA

### Pando-Monte Lirio Hydroelectric Power Project - 2266/OC-PN

#### The Project

The Project consists of the construction and operation of two hydroelectric power plants, namely, Pando and Monte Lirio (together, the “Project”), located in the upstream part of the Chiriqui Viejo River basin in the province of Chiriqui on the western side of Panama. The Pando plant includes a 32-meter-high dam. The Monte Lirio plant is located in a cascade downstream of the Pando plant and includes a 15-meter-high dam. The project will be connected to the domestic and regional electricity grids by the Central American Interconnected System through a 19-kilometer transmission line and is expected to start delivering energy in early 2013.

#### The Request

A complaint by a group of 16 Panamanian NGOs was submitted to the IIM in March 2010, expressing social and environmental concerns related to the Pando Monte Lirio Hydroelectric Energy Project, financed by the IDB; the International Finance Corporation (IFC); the Andean Development Corporation; and other, private investors. The Requesters highlighted, among other things: (a) negative aspects of the process undertaken for the Environmental Impact Assessment and failure to disclose information, (b) issues related to water accessibility and use, (c) adverse impacts on fish and other species, (d) destruction of mangroves located near the mouth of the river in the Gulf of Chiriqui, and (e) the possibility of flooding to communities downstream and high levels of sedimentation. The Requesters also raised social concerns with respect to the granting of long-term water concessions on the already busy river.

#### ICIM Actions

Once the ICIM was operational and after a detailed review, the Request was declared eligible for Consultation in October 2010, and a formal collaboration agreement was signed with the Compliance Advisor/Ombudsman (CAO) (IFC’s accountability mechanism, which had received a similar complaint in January 2010), since the Requesters explicitly asked for a single Ombuds process. During the Assessment stage, the Project Ombudsperson held several meetings with the CAO and carried out joint missions to handle the Case collaboratively and efficiently.

In November 2010, an important meeting for the purpose of exchanging information between the Requesters and the private sponsor took place. Other participants included local and national government officials. In addition, as part of the Assessment stage, a thematic matrix was agreed between the Parties to be further discussed as part of the dialogue and solution-seeking exercise.

#### INFORMATION AT A GLANCE

**IDB Project:** *Pando-Monte Lirio Hydroelectric Power*

**IDB Project Number:** *2266/OC-PN*

**Country:** *Panama*

**Requester:** *Alianza Ambiental Pro Defensa Integrada de Panamá (AAPRODIPA) - Association of 16 Panamanian NGOs*

**Date of Request:** *March 2010*

**Request ID:** *PN-MIC1001-2010*

**Related Operational Policies:** *OP-102, OP-703, OP-704, OP-710, and OP-765*

**Phase:** *Consultation / Compliance Review*

**Current Status:** *Open – Compliance Review underway*

By the end of April 2011, and as a result of a decision on the part of the Project sponsor Electron Investment, S.A. (EISA) to withdraw from the process, the CAO-ICIM team determined that the conditions were no longer optimal to continue the dialogue. Thus, the Consultation Phase was deemed terminated and, as requested by the Complainants, the Request was transferred to the Compliance Review Panel.

In May 2011, the Panel Chairperson determined that the Request was eligible for a Compliance Review and moved to prepare a Recommendation to conduct a Compliance Review, which was approved by the Board in November 2011, and which was followed by a mission of the Panel team to the Project site in December 2011.

Initial findings by the Panel indicate that the allegations are plausible in terms of constituting direct material harm to citizens and the communities. Preliminary studies also indicate that the possible harmful impacts of the Project alleged by the Requesters vary in intensity and incidence among the different affected communities. The Panel is currently conducting an investigation, which is expected to conclude in the first quarter of 2012.





## PARAGUAY

### Development of the Industry of Products of the Vegetable Sponge - PES-SP/SF-04-35-PR and Technical Cooperation ATN/SF-8984-PR

#### The Project

The main objective of the project—financed with funds from the Social Entrepreneurship Program—was to diversify the incomes of Paraguayan peasants and indigenous farmers, and to create jobs for low-income families in urban and periurban areas by consolidating the vegetable sponge product industry.

#### The Request

The Requester filed a complaint with the IIM in February 2010, alleging damages to her company due to the unilateral suspension of disbursements of a technical cooperation operation grant.

#### ICIM Actions

The Request was declared eligible for the Consultation Phase in December 2010. During the Assessment stage, the Project Ombudsperson facilitated a number of meetings of the Requester with the Project Team and the IDB's Country Office, and concluded that a collaborative solution was possible. The Assessment Report was published in May 2011. From May on, the ICIM facilitated the preparation of a dialogue that concluded with an Agreement in August 2011. The Bank also agreed to review a request for pending disbursements under the technical cooperation operation.

Pursuant to Article 52 of the ICIM Policy, and at the request of Loofah S.A., the Project Ombudsperson monitored the Case to verify full compliance with the Agreement, which was fulfilled in September 2011, to the satisfaction of all Parties involved.

#### INFORMATION AT A GLANCE

**IDB Project:** *Development of the Industry of Products of the Vegetable Sponge*

**IDB Project Number:** *PES-SP/SF-04-35-PR and Technical Cooperation ATN/SF-8984-PR*

**Country:** *Paraguay*

**Requester:** *Mrs. Brigitte Fuzellier, President of Loofah, S.A.*

**Request ID:** *PR-MIC1001-2010*

**Date of Request:** *February 2010*

**Related Operational Policies:** *OP-302, OP-304, and OP-952*

**Phase:** *Consultation*

**Current Status:** *Resolved and Closed*

## PARAGUAY

### Program to Improve Highway Corridors in Paraguay - 933A/OC-PR

#### The Project

The Program was developed to improve Highway Corridors in Paraguay. Included among its objectives are: (a) to increase by approximately 20,000 hectares the area of land set aside as environmental reserves, and (b) to begin regularization of ownership of some 11,000 hectares by indigenous communities in the area of influence of Route 10 in the section of the highway corridor between Asunción and Salto del Guairá.

#### The Request

In November 2010, two Requesters filed a Request on behalf of the Aché Indigenous Community of Paraguay alleging that the Aché community had suffered harm and would continue to do so due to the Bank's failure to enforce provisions of the Loan Agreement that were meant to safeguard their rights to ancestral lands. The Request also refers to earlier forceful evictions and to International Labour Organization Convention 169, which the Requesters allege supports the Aché Community's claims to the disputed land.

#### ICIM Actions

In December 2010, after analyzing the Request and other related documents, the Project Ombudsperson determined that the Request was ineligible for the Consultation Phase. This determination was based on the Requesters' unwillingness to enter into a dialogue and on their explicit request for a Compliance Review.

In January 2011, the Request was declared eligible for a Compliance Review, and subsequently the Panel submitted a Recommendation to conduct a Compliance Review to the IDB Board of Executive Directors. After approval by the Board in June 2011, the Panel visited the Project site and it is expected that the Panel report will be issued during the first quarter of 2012.

#### INFORMATION AT A GLANCE

**IDB Project:** *Program to Improve Highway Corridors in Paraguay*

**IDB Project Number:** *933A/OC-PR*

**Country:** *Paraguay*

**Requester:** *Professors Kim Hill and Magdalena Hurtado, on behalf of the Aché Community*

**Date of Request:** *November 2010*

**Request ID:** *PR-MIC1002-2010*

**Related Operational Policies:** *OP-703, OP-710, and OP-765*

**Phase:** *Compliance Review*

**Current Status:** *Open – Compliance Review underway*



*8th Annual Meeting of the Independent Accountability Mechanisms  
IDB Headquarters, June 2011*

## Outreach and Training

During 2011, the ICIM conducted Outreach activities aimed at promoting access to the ICIM and providing information regarding its mandate and the procedural steps that are followed when the Mechanism is activated. Target audiences ranged from individual Requesters for information to training sessions for Bank staff in Headquarters and Country Offices.

In March 2011, the Project Ombudsperson and the Panel Chairperson attended the IDB/Inter-American Investment Corporation (IIC) Annual Meeting of the Boards of Governors held in Calgary, Canada, and made presentations to civil society liaisons and other civil society representatives.

In June 2011, the ICIM had the honor of hosting the *8th Annual Meeting of the Independent Accountability Mechanisms*. All peer institutions participated, and their representatives shared lessons learned and exchanged best practices relevant to the shared mandate. Fifty-five delegates representing 11 Mechanisms attended the two-day event.

In October 2011, the Executive Secretary and one Panel Member represented the ICIM at the *XI Annual IDB – Civil Society Meeting* held in Asunción, Paraguay, with presentations and workshops targeted to Civil Society participants.

During the year, both the Project Ombudsperson and the Panel Chairperson were speakers at various events held at the United Nations Headquarters in New York, the Organization of American States, American University, the World Bank, and other venues (see Box 2).

### BOX 2 ICIM PARTICIPATION AND OUTREACH

- 10th Session of the United Nations Permanent Forum on Indigenous Issues
- *Challenges of International Accountability – Lessons from Independent Accountability Mechanisms*, a symposium organized by the World Bank's Inspection Panel and the Washington College of Law at American University
- *Governance, Public Participation, and Gender Mainstreaming in Sustainable Development Decision-Making*, Dialogue Series in the Framework of Rio+20, Organization of American States
- *Problem Solving Approaches for Development Projects*, Law, Justice and Development Week, the World Bank

Training of Bank staff at the Washington, D.C., Headquarters and at Country Offices was also periodically undertaken by the ICIM Principals (see Box 3).

### BOX 3 ICIM TRAINING SESSIONS

- Presentation to the IDB Office of the Executive Auditor
- Presentation to IDB Staff in the Country Office in Guyana (COF/GY) in the context of the General Capital Increase (GCI)-9 Workshop organized by the COF/GY
- Presentation to IDB Staff in Ecuador on ICIM's processes and interaction with IDB Management organized by the COF/EC
- Presentation to IDB Staff in the Country Office in Mexico on ICIM's process and interaction with IDB Management organized by the COF/ME
- Presentation during the IDB Orientation Seminar for new employees, new Executive Directors, Alternate Executive Directors, and Counselors (General Session)
- Presentation during the IDB Orientation Seminar for new employees, new Executive Directors, Alternate Executive Directors, and Counselors (Operative Session)

ANNEXES



## ANNEX I Requests Received by the ICIM January 2010–December 2011 and Status as of December 31, 2011

	Request	Date Received	Request Registry Number	Phase	Status as of December 31, 2011	
2010	1	<i>Paraguay.</i> Development of the Industry of Products of the Vegetable Sponge	Feb. 2010	PR-MICIO01-2010	Consultation	Resolved and closed
	2	<i>Panama.</i> Pando-Monte Lirio Hydroelectric Power Project	Mar. 2010	PN-MICIO01-2010	Consultation	Terminated and transferred to Compliance Review
					Compliance Review	Compliance Review in process
	3	<i>Brazil.</i> Serra do Mar and Atlantic Forest Mosaics System Socio-environmental Recovery Program	May 2010	BR-MICIO01-2010	Consultation	Ineligible
					Compliance Review	Pending submission of Recommendation to the Board
	4	<i>Argentina.</i> Program for Production Support of Infrastructure Development in Entre Rios	June 2010	AR-MICIO01-2010	Consultation	Dialogue ongoing
	5	<i>Brazil.</i> Estrada Nova Watershed Sanitation Program (PROMABEN)	Oct. 2010	BR-MICIO02-2010	Consultation	Resolved and closed
	6	<i>Brazil.</i> Rodoanel Oeste	Oct. 2010	Not Registered	Not processed	No prior contact with IDB, therefore, Requester advised to approach Management
	7	<i>Argentina.</i> Provincial Agricultural Services II (PROSAP II)	Nov. 2010	AR-MICIO02-2010	Consultation	Resolved and closed
	8	<i>Paraguay.</i> Program to Improve Highway Corridors	Nov. 2010	PR-MICIO02-2010	Consultation	Ineligible
					Compliance Review	Compliance Review in process
9	<i>Argentina.</i> Neighborhood Upgrading Program II (PROMEBA II)	Nov. 2010	AR-MICIO03-2010	Consultation	Ineligible	
10	<i>Costa Rica.</i> Electric Interconnection System for the Central American Countries (SIEPAC)	Dec. 2010	CR-MICIO01-2011	Consultation	Terminated and transferred to Compliance Review	
				Compliance Review	Pending eligibility determination	
11	<i>Suriname.</i> Sustainable Development of the Interior	Dec. 2010	Not Registered	Not processed	No prior contact with IDB, therefore, Requester advised to approach Management	

	Request	Date Received	Request Registry Number	Phase	Status as of December 31, 2011
12	<i>Venezuela.</i>	Feb. 2011	Not Registered	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
13	<i>Bolivia.</i> Northern Corridor Highway Improvement Program – Santa Barbara-Rurrenabaque and San Buenaventura	Mar. 2011	BO-MICIO01-2011	Consultation	Dialogue ongoing
14	<i>Panama.</i> Panama Canal Expansion	May 2011	Not Registered	Not processed	No prior contact with IDB, therefore, Requester advised to approach Management
15	<i>Argentina.</i>	May 2011	Not Registered	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
16	<i>Brazil.</i> Mario Covas Rodoanel – Northern Section 1	May 2011	BR-MICIO03-2011	Consultation	Ineligible
				Compliance Review	Pending submission of Recommendation to the Board
17	<i>Colombia.</i>	June 2011	Not Registered	Not processed	Request for information
18 a	<i>Brazil.</i> Neighborhood Improvementa (HABITAR Brasil)	June 2011	BR-MICIO04-2011	Consultation	Assessment ongoing
18b	<i>Brazil.</i> Urban Development of São José dos Campos	June 2011	BR-MICIO06-2011	Consultation	Assessment ongoing
19	<i>Mexico.</i> Termoeléctrica del Golfo, S.A. de C.V.	June 2011	ME-MICIO01-2011	Consultation	Ineligible
				Compliance Review	Ineligible
20	<i>Brazil.</i> Mario Covas Rodoanel – Northern Section	July 2011	BR-MICIO05-2011	Consultation	Assessment ongoing
21	<i>Colombia.</i> San Francisco-Mocoa Alternate Road Construction Project – Phase I	July 2011	CO-MICIO01-2011	Consultation	Assessment
22	<i>Colombia.</i> El Dorado International Airport	Aug. 2011	CO-MICIO02-2011	Consultation	Assessment
23	<i>Bolivia.</i> Northern Corridor Highway Improvement Program – Santa Barbara-Rurrenabaque	Sept. 2011	BO-MICIO01-2011	Consultation	Request incorporated to Request # 13
24	<i>Colombia.</i> Rural Water Supply and Sanitation	Sept. 2011	Not Registered	Not processed	No prior contact with IDB, therefore, Requester advised to approach Management
25 26 27	<i>Brazil.</i> Mario Covas Rodoanel Project – Northern Section	Sept. 2011	Not Registered	Not processed	No prior contact with IDB, therefore, Requester advised to approach Management
28	<i>Costa Rica.</i> Cadastre and Property Registry Regularization Program	Oct. 2011	Not Registered	Not processed	Withdrawn by Requester
29	<i>Colombia.</i> Strategic Public Transportation Systems Program	Oct. 2011	Not Registered	Not processed	Request for information
30	<i>Panama.</i> Panama Canal Expansion	Oct. 2011	PN-MICIO02-2011	Consultation	Pending eligibility determination
31	<i>Dominican Republic.</i> Boulevard Turístico del Atlántico Toll Road	Oct 2011	Not Registered	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit
32	<i>Argentina.</i> PROSAP.	Oct. 2011	Not Registered	Not processed	No prior contact with IDB, therefore, Requester advised to approach Management
33	<i>Brazil.</i> Mario Covas Rodoanel Project – Northern Section	Oct. 2011	Not Registered	Not processed	Not within ICIM's mandate; transferred to relevant IDB unit

a. Requests 18a and 18b were received as one request but were split into two Cases.

## Annex II The ICIM team

### **Victoria Márquez-Mees**, *Executive Secretary*

Victoria Márquez-Mees, a Mexican national, assumed duties as ICIM Executive Secretary in April 2011. Ms. Márquez-Mees has an extensive career in the philanthropic and social sectors in public and private entities in Mexico and abroad. Prior to joining the ICIM, she served as Director of Social Investment for the Carlos Slim Institute of Health, a Mexican private foundation aimed at supporting the generation of health solutions for Latin America and the Caribbean. Her areas of expertise are strategic and financial planning, fundraising, and the development of policies and procedures for effective performance management. She has also worked as a consultant on communications and government relations issues and has delivered numerous institutional strengthening workshops to Mexican and Latin American NGOs. Ms. Marquez-Mees graduated with honors in Economics from the Universidad Iberoamericana in Mexico, has a Master's degree in Economics from the University of Essex, and carried out graduate studies at the London School of Economics.



### **Isabel Lavadenz Paccieri**, *Project Ombudsperson*

Isabel Lavadenz Paccieri, a Bolivian national, was appointed as the first ICIM Project Ombudsperson in July 2010. Prior to joining the IDB, Ms. Lavadenz served with the World Bank for more than 12 years, where she held several operational positions in the Latin America and South Asia Regions within the Sustainable Development Network. From 2005 to 2007, on external service from the World Bank, Ms. Lavadenz served as Director of the Latin America and the Caribbean Region at the International Fund for Agricultural Development in Rome. Before joining the World Bank, she held cabinet-level positions in Bolivia, with responsibility for sensitive reforms requiring permanent dialogue with community-based and peasant organizations, the private sector, and indigenous communities. She was the Principal Advisor to the establishment of the first National Ombudsman Office in Bolivia. Ms. Lavadenz holds a Master's degree cum laude in Law from the University of San Andrés in Bolivia, and did postgraduate studies in sustainable development and conflict resolution in Costa Rica and Bolivia, respectively.



**Werner Kiene, Panel Chairperson**

Werner Kiene, an Austrian citizen, is an international development practitioner. He has worked in several leadership positions with the Ford Foundation, German Development Assistance, the United Nations, and the World Bank. During his assignments, he has concentrated on the design, implementation, and assessment of sustainable development initiatives and, increasingly, on the governance structures and accountability required to ensure their success. Dr. Kiene holds Master of Science and PhD degrees from Michigan State University. He is a member of professional associations devoted to assessment and accountability issues and is engaged in board and advisory functions of several organizations involved in international development.



**Gilberto Amaya, Panel Member**

Gilberto Amaya is a specialist in international development with 30+ years of experience assisting international development organizations, governments, NGOs, and community-based organizations in the design and implementation of broad-based socioeconomic development strategies and programs to address issues of poverty and social exclusion, and helping community-based organizations in becoming viable partners in formulating and implementing development programs. Mr. Amaya has a Master's degree in International Development from the University of Pennsylvania and a Bachelor's degree in Industrial-Mechanical Engineering from the National University of Honduras. He is a member of the American Society of Mechanical Engineers, and recipient of the National Award for African Heritage: Category of Technological Contributions, from the President of Honduras, 2008.



**Mary Rose Brusewitz, Panel Member**

Mary Rose Brusewitz is an experienced international attorney and concentrates her practice on Latin America. She is a partner at Strasburger & Price, where she heads the New York office of the firm. 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. Ms. Brusewitz has been active in the areas of dispute settlement, restructuring, project and structured financing, public-private partnerships, climate change, regulatory reform, microfinancing, and other areas relating to development of the Latin American region. Ms. Brusewitz earned her Juris Doctor Degree at the University of California, Los Angeles School of Law, and her Bachelor's degree, summa cum laude, from the University of California, Los Angeles. She is licensed to practice in New York and speaks fluent English, Portuguese, and Spanish.



### **Mario Epstein, Panel Member**

Mario Epstein is a citizen of Brazil. Throughout his career, Dr. Epstein has demonstrated a commitment to solving social and environmental conflicts arising from energy, industrial, or infrastructure projects. In his varied capacities, Dr. Epstein has spent many years working on development, social, and environmental issues for the United Nations system and international development banks in Latin America, Africa, and the Caribbean. He holds a Bachelor of Science degree in Nuclear Physics, a Doctorate of Science degree in Environmental Engineering, and a Bachelor's degree in Social and Juridical Sciences. He is a member of the Brazilian Bar Association and serves as a volunteer Conciliator Judge in the Small Claims Court in his hometown in Brazil.



### **Korinna Horta, Panel Member**

Korinna Horta works on human rights and the environment for Urgewald in Germany. She previously served as a senior scientist at the Environmental Defense Fund (1990–2009). She has worked as a consultant to the United Nations, the German Ministry for International Cooperation, and other institutions. She has also worked with policy makers, NGOs, and community groups to promote socially equitable and environmentally sustainable development, focusing on building bridges between vulnerable population groups and global decision makers. Dr. Horta completed her PhD at the University of London School of Oriental and African Studies; holds a Master's degree in Latin American Studies and International Economics from The Johns Hopkins University School of Advanced International Studies in Washington, D.C.; and holds a Licenciatura from the Universidade Nova de Lisboa, in Lisbon, Portugal. She is fluent in English, German, and Portuguese, and uses French and Spanish as working languages.



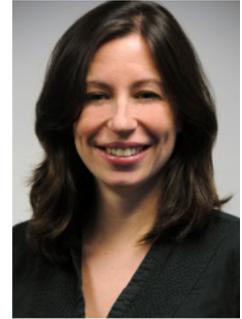
### **Ana Luisa Gomes Lima, Consultation Phase**

Ana Luisa Gomes Lima, a citizen of Brazil, received her Bachelor's of Law degree from the Federal University of Rio Grande do Norte and an LLM degree from Harvard University. Prior to joining the ICIM, she worked as a human rights specialist at the Office of the Special Rapporteur on Freedom of Expression of the Organization of American States; and as a staff attorney at the Inter-American Court of Human Rights. Ms. Gomes Lima received the Romulo Gallegos Fellowship and worked as a legal fellow at the Inter-American Commission on Human Rights. She also participated in the internship program of the Center for Justice and International Law and, as a recipient of a fellowship from the organization AFS Intercultural Program, was an intern at the Sin-Truiden Center for Asylum Seekers in Belgium. She speaks English, Portuguese, and Spanish.



**Ana Núñez**, *Consultation Phase*

Ana Núñez, a Spanish national, has extensive professional experience in environmental and social management of development projects. She has developed her expertise in a number of nonprofit organizations dedicated to environment and water resources. Before joining the ICIM, she worked in the Latin America and the Caribbean Region at the World Bank on a variety of projects including improving environmental and social performance of oil and gas operations, developing water resources management policy reform, and strengthening stakeholder engagement and participation in development projects. She holds a Bachelor of Law degree from the Universidad de Granada, and a Master of Arts in International Environmental Policy from the Monterey Institute of International Studies.



**Julio Guity-Guevara**, *Compliance Review Phase*

Julio Guity is a Honduran citizen. He joined the IDB under the Young Professionals Program in 2006. As a Legal Advisor and project team member, he provided technical support to several IDB projects. He also worked as an Attorney and Environmental Specialist at the Legal Department and the Environment and Infrastructure Department where he managed legal and sustainability aspects of the Bank's lending operations. He was also a member of the Bank's working group responsible for the establishment of the Clean Technology Fund. Mr. Guity has been licensed to practice law in Honduras since 1999. He holds a Master's in International Business Law from the American University Washington College of Law. He is a member of the Garifuna community living in Washington, D.C., and has worked in the field of international development since 2002.



**Rebeca Garcia**, *Senior Administrative Assistant*

Rebeca Garcia, a Mexican national, has been the ICIM Office Senior Assistant since July 2010. She has worked for the IDB for over 20 years at the office of the Executive Directors for Mexico and the Dominican Republic, and prior to that at the General Direction of Public Credit of the Ministry of Finance and Public Credit of Mexico. She took classes in International Communications at the Northern Virginia Community College.



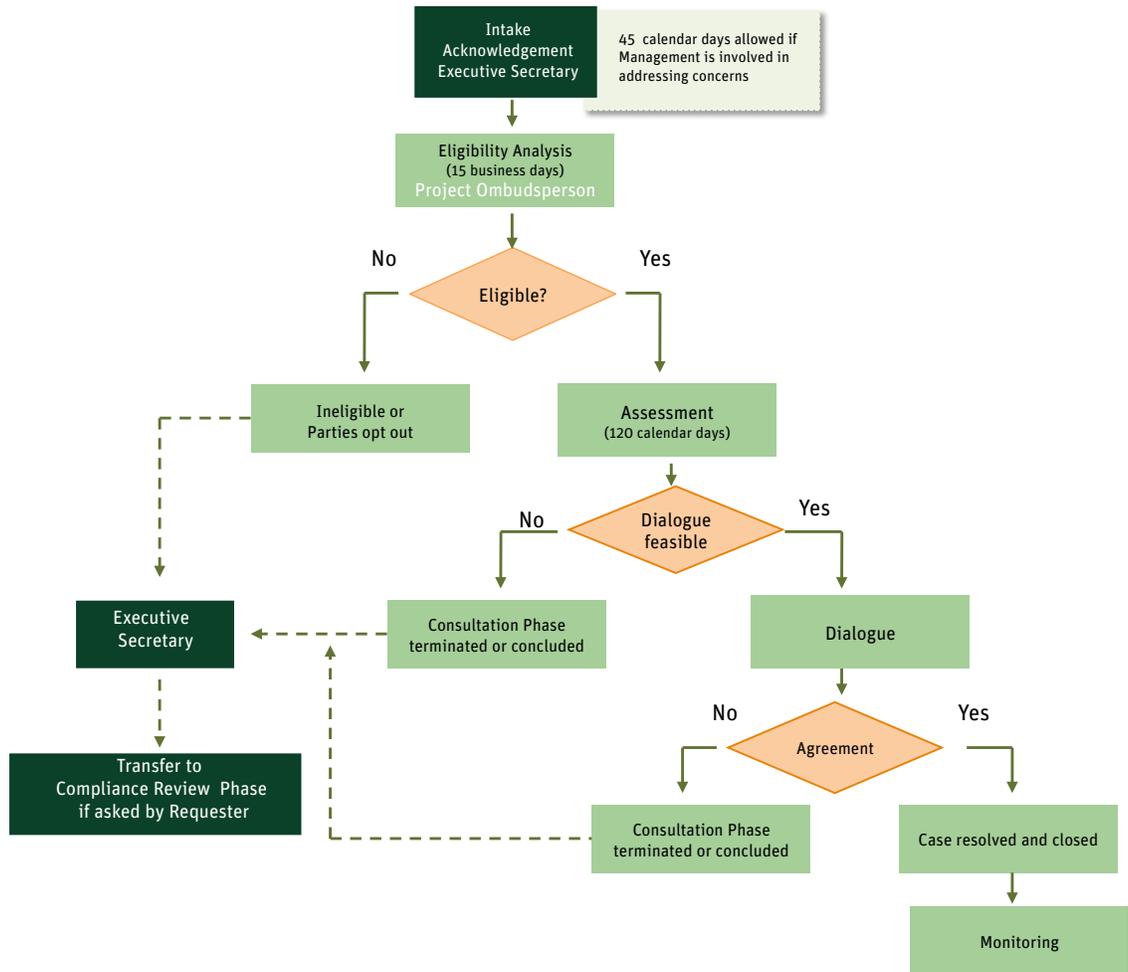
**Sylvia Walker**, *Senior Administrative-Communications Associate*

Sylvia Walker, a citizen of Bolivia, joined the ICIM as a Senior Administrative-Communications Associate. Mrs. Walker has experience in corporate business development, project management, brand development, and communications. Prior to joining the ICIM, Mrs. Walker was the Communications Officer and Chief of Staff of the Inter-American Culture and Development Foundation, a nonprofit organization created at the initiative of the IDB. Previously, she held various positions at the IDB. Mrs. Walker holds a Bachelor degree in Business Administration from the University of Maryland, and is a 2012 candidate for a Master's in Business Administration from the same university.

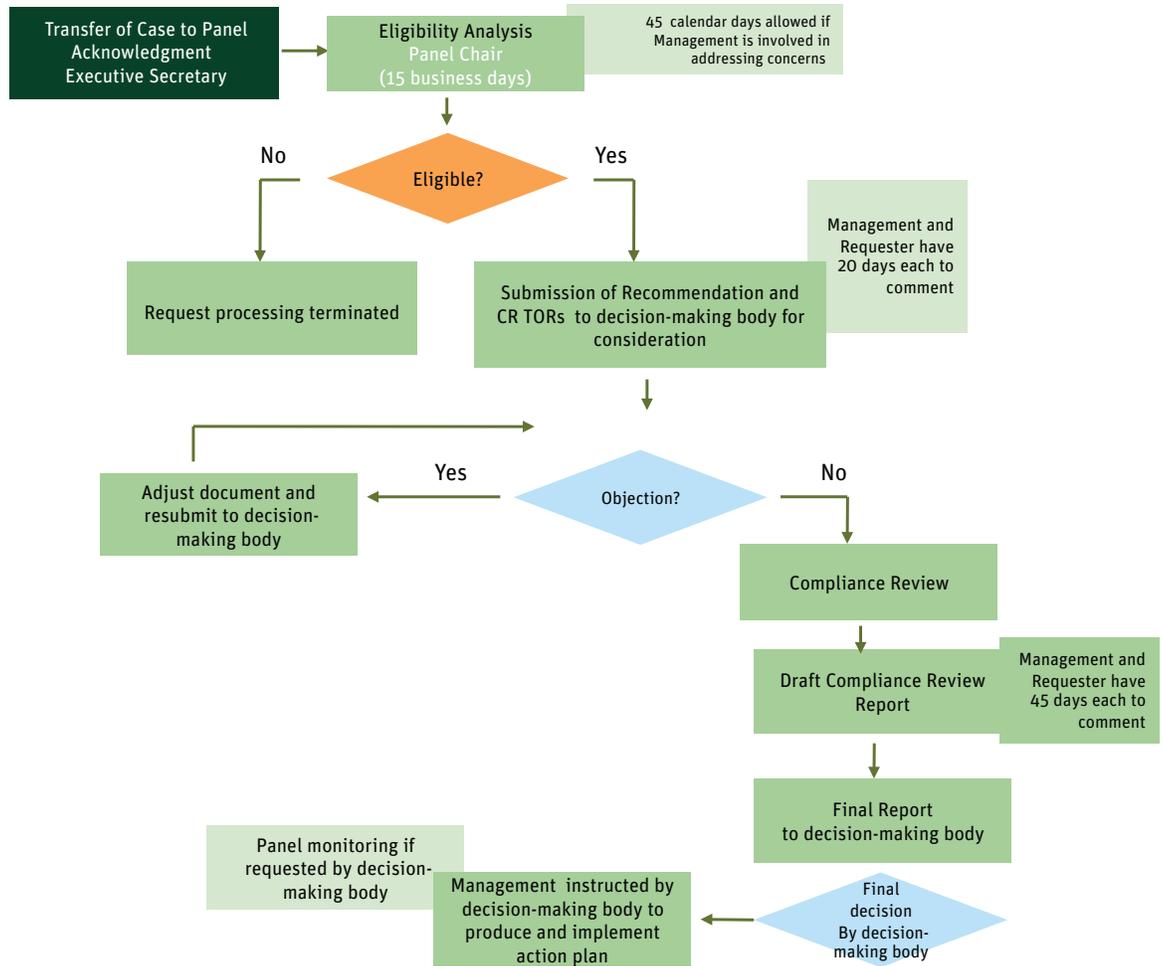


# Annex III The ICIM Case Management Process, by Phase

## Consultation Phase



## Compliance Review Phase





## Annex IV How to Submit a Request to the ICIM

The ICIM works with communities and civil society organizations in Latin America and the Caribbean with the objective of providing a forum and process to address complaints from Parties that allege that they are or might be adversely affected by IDB-financed operations in which the Bank has failed to comply with its own Operational Policies. This section explains how to file a complaint and what to expect of the process.

### Who can present a Request?

One or more individuals, groups, associations, entities or organizations, including without limitations, groups, associations, entities or organizations that are community-based, or that are formed by indigenous or Afro-descendant peoples or entities that are organized as nongovernmental organizations residing in the country(ies) where the Bank-financed operation is or will be implemented.

A Request may be presented through a representative located in the project host country or elsewhere, but any such Request must identify the person or persons on whose behalf the representative is acting and provide evidence of the representative's authority to do so.

### What languages can be used in the Request?

The official languages of the IDB are Spanish, English, French, and Portuguese. Requests will be processed if received in other languages, although additional time for processing and translation may be necessary.

### What supporting evidence is needed to present a Request?

To enable processing, Requests should include contact details, the identity and location of the IDB-financed operation, a clear description of the alleged harm, and the reasons Requesters believe the Bank failed to apply one or more of its Relevant Operational Policies, the steps taken to discuss the matter with IDB Management and its response, and a statement of the outcome that the Requester would like to see.

The following Operational Policies<sup>5</sup> that apply to the design, appraisal, approval, and/or implementation of any Operations financed by the Bank and/or the Multilateral Investment Fund are subject to the Mechanism:

- (OP-102) Access to Information Policy
- (OP-703) Environmental and Safeguard Compliance Policy
- (OP-704) Disaster Risk Management
- (OP-710) Involuntary Resettlement
- (OP-761) Gender Equality in Development
- (OP-765) Indigenous Peoples

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<sup>5</sup> These Policies can be found at the ICIM website ([www.iadb.org/icim](http://www.iadb.org/icim)) or by contacting the Executive Secretary.

Starting in September 2013, the ICIM will address issues related to all Bank Operational Policies in effect as indicated in the Policy of the Mechanism.

### **Can confidentiality be requested?**

The ICIM will protect the confidentiality of a Requester if so asked in the Request, and will consult with the Requester about the process for handling a confidential Request. Anonymous Requests will not be accepted.

### **How and where can a complaint be filed?**

Requests may be submitted in writing via e-mail to [mecanismo@iadb.org](mailto:mecanismo@iadb.org), or by regular mail to the address below. Oral Requests will be accepted, subject to subsequent receipt of a signed communication. Requests may be sent to:

ICIM  
Inter-American Development Bank  
1300 New York Ave., N.W.  
Washington, D.C. 20577  
USA  
Tel: (202)623-3952  
Fax: (202)312-4057  
E-mail: [mecanismo@iadb.org](mailto:mecanismo@iadb.org)

### **Where can further information be found?**

Detailed information about the ICIM, its mandate and process, and Requests received can be found on its website, [www.iadb.org/icim](http://www.iadb.org/icim), or by contacting the Executive Secretary via the e-mail address or phone number provided above.

### **Requester check-list prior to filing a Request with the ICIM:**

To ensure that the Request complies with the eligibility criteria for activation of the ICIM and to ensure speedy handling, Requesters should include the following in their filing:

- The name and contact details of the Requester, including country of residence
- Proof that the Requester resides in the country of the IDB-financed operation that is the subject of the Request
- Proof of authority to represent if filing is done by a Representative
- Identification of the IDB-financed operation by name, number of operation, or project site
- Information regarding the alleged harm, provided in as much detail as possible, and information on how the stated harm is linked to the IDB-financed operation
- Information regarding the Bank Operational Policy under which the Request is presented (if feasible)
- Information regarding prior contacts by the Requester with IDB Management, if any.



## Annex V The ICIM 2011 Budget

(In current US dollars)	
Consultation Phase <sup>a</sup>	540,000
Compliance Review Phase <sup>b</sup>	543,380
ICIM Office <sup>c</sup>	488,230
Outreach and Training	106,230
Contingency Fund	251,000
<b>Total</b>	<b>\$1,927,740</b>

a. Includes Project Ombudsperson salary.

b. Includes Panel fees.

c. Includes salaries for Executive Secretary and Senior Assistant.