

DOCUMENT OF THE INTER-AMERICAN DEVELOPMENT BANK

ACCESS TO INFORMATION POLICY IMPLEMENTATION REPORT 2016

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ABBREVIATIONS

ACP/REC	Records Management Section
AIC	Access to Information Committee
AUG	Office of the Executive Auditor
BDA	Budget and Administrative Services Department
EXR	Office of External Relations
FMP	Operations Financial Management and Procurement Services Office
IATI	International Aid Transparency Initiative
IDBDOCs	Electronic file management system
IFI	International financial institution
ITE	Information Technology Department
KNL	Knowledge and Learning Sector
MICI	Independent Consultation and Investigation Mechanism
ORP	Office of Outreach and Partnerships
OTRS	Open-source Ticket Request System
OVE	Office of Evaluation and Oversight
PIC	Public Information Center
SEC	Office of the Secretary
SEC/ATI	Access to Information Section

I. SIX YEARS OF IMPLEMENTATION OF THE IDB'S ACCESS TO INFORMATION POLICY

1.1 Six years after the entry into effect of the [Access to Information Policy](#), the Bank has come a long way and made significant progress in implementation, with some examples including: (i) the increase in the proactive disclosure of information; (ii) the development of systems and the use of information technology to facilitate application of the Policy; (iii) training and internalization of the values of the Policy by Bank staff, among many others. These experiences have made it possible to identify the strong points of the Policy and points where challenges still exist.

A. Proactive information disclosure

1.2 In recent years, significant progress has been made in disclosure of the Bank's information, in many cases without the intermediation of a request for information. The Bank has a major resource for active transparency in its projects, which is its [project website](#), where data and documents related to its different projects can be consulted, broken down by [country](#), [sector](#), processing stage, etc. The Bank also has a [corporate website](#) with information on its governance, resources, and tools, and a [publications website](#) to inform the public about its knowledge.

1.3 The Bank provides public access to the historical files it has been generating for more than 50 years through the [eArchives](#) initiative. These files include different collections such as operational records, the proceedings of the annual meetings of the Boards of Governors, speeches and publications by the President of the Bank, etc.

1.4 In this same line, the IDB is continuing to move forward in proactive disclosure of information by participating in forums such as the [International Aid Transparency Initiative \(IATI\)](#), which seeks to develop specific standards requiring donors to publish information in formats that are free and easily accessible to everyone. It has an [open data portal](#) which reports information in IATI format.

1.5 The Bank also has a georeferenced information portal on its operations, including subnational operations, through its platform [MapAmericas](#). It also supports the work of [AidFlows](#), a partnership with the [World Bank](#), the Organization for Economic Cooperation and Development ([OECD](#)), and regional development banks to visualize financing flows from the standpoints of both donors and beneficiaries.

1.6 In addition to disclosing information in the form of documents, the Bank disseminates knowledge in the form of data sets. In the same context of technological advances, a global notion has emerged of open data as a vital tool to maximize access to information that can be [used, reused, and redistributed](#), without reproduction costs and in formats that allow for interaction with other databases.

1.7 Open data can promote citizen initiatives that extend beyond the healthy exercise of social control, by forming powerful tools that can help find solutions to local social problems. Consequently, technology is contributing dynamically to the creation of applications and solutions to [develop the potential value of open data](#), thereby contributing to sustainable development.

1.8 To that end, the IDB launched its open data portal [Numbers for Development](#) in 2015, enabling users to explore, visualize, and reuse data on Latin America and the Caribbean compiled by the Bank over more than 50 years. In support of this initiative, the Bank adopted [Common Creative Licenses \(CCLs\)](#) which allow the

public to copy, share, redistribute, and publish the content of different Bank publications. These initiatives contribute to the development of new knowledge and applications and strengthen the Bank's transparency.

B. Systems development and use of information technology

- 1.9 From the above, it is clear that the IDB uses information technologies to promote better access to information by proactively providing information on its operations and knowledge through a host of initiatives. The Bank has also systematized the receipt of requests for information so they can be answered in a timely manner. To that end, the Bank has an [online form](#) that enables it to receive information requests from the public. Data from the form are used to create statistical reports that can filter the information by topic, country, sector, etc. The Bank is currently in the process of updating this system to implement even more advanced technology.
- 1.10 Another aspect where technological advances have been used to advantage is in document management. With the Policy, a system was introduced for classifying the documents that the Bank produces and receives. The three possible classifications in the system are: public, confidential, and disclosed over time. The author or recipient of a document must classify it into one of these categories when it is entered into the Bank's official file management system. Through the system, documents classified as public are authorized and disclosed over the Internet.
- 1.11 In 2016, the Bank began to migrate its information to a new cloud-type file management system called ezShare. This system includes the same classification functionalities and permits public information to be disclosed through ATI workflow.
- 1.12 The Bank also introduced a new platform called Convergence to improve efficiency in managing its operations in the project cycle. This platform will provide the Bank with a tool that will help to improve the efficiency and timeliness of the disclosure of operational information, particularly environmental and social information in category A and B projects. By identifying milestones in the platform that are associated with documents and information subject to disclosure, it is expected that through Convergence, the Bank will be able to comply fully with its disclosure time frames.

C. Training and internalization of the values of the Policy

- 1.13 In recent years, the IDB has continuously and effectively trained its staff and other interested parties, such as executing agencies and civil society, heightening knowledge of the Policy and its values and its practical application, and stressing the need for individuals who apply the access to information rules to understand the value added that transparency contributes to their work.
- 1.14 The Bank has designed a series of workshops and training events to expand understanding of the Policy, provide training in the use of the Bank's disclosure systems, and provide specific conceptual and technical tools that contribute to its proper application.
- 1.15 To that end, in [2013](#), for example, the Bank reported holding 13 different types of workshops and training events for 414 people; in [2014](#), six types of workshops and training events for 684 people; in [2015](#), nine types for 723 people; and in 2016, eight different types for 441 people. The result is a total of **2,262 people** trained in just the last four years.

D. Some future challenges

- 1.16 Alongside the achievements mentioned, the implementation process has allowed a series of future challenges to be identified. Although the Bank has a variety of systems that contribute to more and better disclosure, they are new systems that, with use, will need to be adjusted and tailored to the Bank's specific requirements which, in turn, will serve as the foundation for the development of other advances in disclosure.
- 1.17 Another significant challenge is related to the disclosure of environmental and social information on projects, specifically relating to impact assessments and environmental and social analyses. When Convergence becomes fully operational, it is expected that this kind of information will be disclosed more easily and in full compliance with the time frames established in the policies.¹
- 1.18 Another important challenge is the [disclosure of information in the implementation stage](#) of projects. Disclosure of information during project preparation has become very relevant with the adoption and implementation of access to information policies in the various international financial institutions (IFIs). Before the senior decision-making bodies approve financing for a given project, a large amount of information is produced which is made available to the public. However, more project and environmental information needs to be disclosed during implementation.²
- 1.19 In short, all these achievements and challenges respond to the process of implementing the Bank's Access to Information Policy. It is worth noting that access to information is undoubtedly one of the main factors fostering institutional transparency. After six years of implementation, concrete and significant achievements are evident and they point in the right direction. To continue in that direction, in the medium term indicators will need to be created to measure the impact of this greater disclosure of information by the Bank on the institution's transparency.

II. IMPLEMENTATION ACTIVITIES IN 2016

A. Proactive disclosure

- 2.1 During 2015, the IDB launched a new web site to respond to the needs of users seeking information. As a result of the improvements made to it, user interest in the site has increased. It had 6,067,660 visits in 2016, compared to 5,680,171 in 2015, and 5,474,449 in 2014, representing an increase of 7% over 2015. In line with proactive disclosure, in 2016 the digital communication strategy promoted by Office

¹ Improvements in efficiency in the disclosure of operational documents, particularly environmental and social information, have been one of the Bank's priorities in implementing the Policy in 2016, which has been reflected, for example, in the incorporation of key aspects of Policy application into the new procedures for processing sovereign guaranteed operations in manual [PR-200](#). The Bank is also making major changes to the Convergence platform to ensure that this kind of information is disclosed promptly.

² The Bank is also promoting actions to provide more information during project execution. For example, the Progress Monitoring Reports (PMRs) include information on project disbursements and results (outcomes and impact) and changes in the project results matrix, if any. The detailed financial transactions of projects (i.e. disbursements, reimbursements) are also available in our IATI data sets. In addition, the IDB is currently revising the framework for integrated management of the risks of sovereign guaranteed projects. This review proposes changes in the processes and tools used to identify and monitor risk-mitigation measures. Risks will be updated and mitigation measures will be monitored twice a year during the PMR cycle and reported in the risk matrix. That information is published.

of External Relations (EXR) included a new approach to sharing stories about the impact of IDB projects via other digital formats, such as blogs and social media. The Bank has more than 20 blogs on sectors and regions and a similar number of social media accounts to provide the public with information about its projects. The growing interest of external users in this initiative could explain the slight reduction in the number of visits to the Bank’s projects page in 2016, which totaled 2,151,811 compared to 2,251,663 in 2015.

- 2.2 In line with the increase in visits to the Bank’s website, during 2016 the public was also very interested in accessing IDB information, either through open data³ or in the form of digital documents. There were 37,700 downloads of open data, for example, the Emerging and Sustainable Cities Initiative and the Social Pulse in Latin America and the Caribbean. There were 1,858,386 digital documents downloaded in 2016, compared to 1,320,697 in 2015,⁴ 982,204 in 2014, and 859,000 in 2013. **Electronic link 1** in this report’s table of contents includes a list of the documents in highest demand for downloading in 2016.
- 2.3 In 2016, the Bank kept the ForeSee survey it had launched in 2015 open, so that it could continue to study and gauge public satisfaction on visiting its website.⁵ A total of 8,740 people completed the online survey in 2016. Once again, it was apparent that users were highly interested in searching for information on Bank projects. By way of illustration, **Table 1** includes detailed information on one of the questions that was asked related to the search for information on Bank projects.

Table 1: What specific types of project information did you look for today?

Browsing project information	43%	Monitoring project progress	19%
Public or private sector financing	40%	Civil society participation	19%
Loans and grants	27%	Other	4%
Project procurement opportunities	24%	Report fraud and corruption	1%

- 2.4 For its part, the Access to Information page also received more visits in 2016, for an increase of 29%, with 38,740 visits compared to 30,000 in 2015 and 23,000 in 2014. Of the visits to the site in 2016, 21,753 were to the Spanish version, 14,893 to the English version, 1,685 visits to the Portuguese version, and 409 to the French version. The pages visited most often were information request pages and the main Access to Information page.

B. Information requests

- 2.5 In 2016, the Public Information Center (PIC) received a total of 8,932⁶ requests for information, of which 2,180 were received via an online form (2,007 in 2015) and

³ Given their technical and legal characteristics, open data are intentionally accessible and may be used, reused, and distributed free of charge by anyone, at any time, in any part of the world.

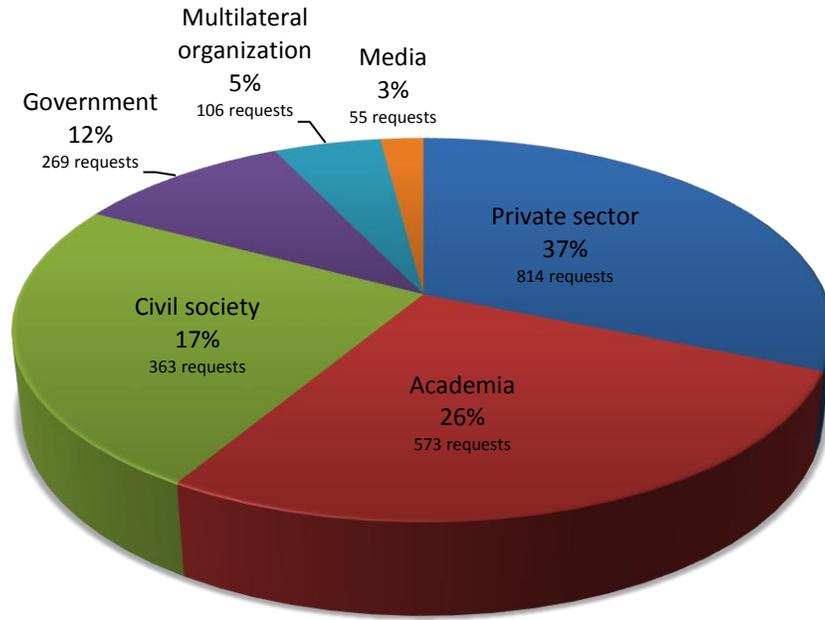
⁴ There was a 40% increase in the number of document downloads compared to 2015.

⁵ EXR was responsible for the survey which was administered by the firm ForeSee Customer Insights.

⁶ The total number of requests received included 22 requests for historical information, which is information produced or held by the Bank prior to 1 January 2011 when the current Access to Information Policy went into effect.

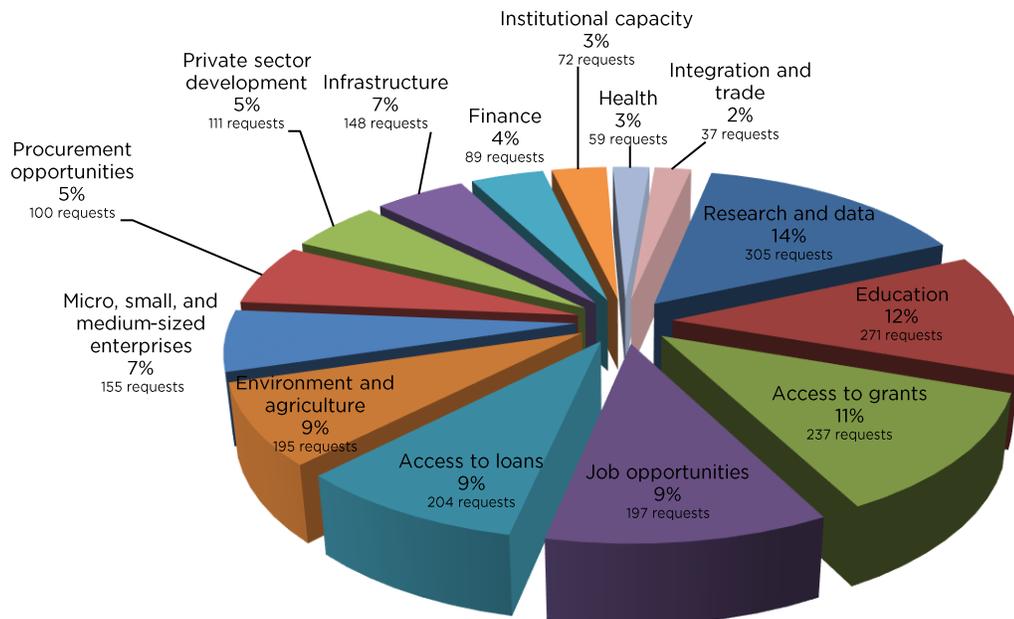
6,752 were received by the Country Offices (7,373 in 2015) via email or telephone. **Figure 1** shows the requests received by Headquarters via the online form by sector and **Figure 2** shows the requests received by Headquarters by subject matter. The corresponding data for requests received by country can be found in **Electronic link 2** of this report.

FIGURE 1: Requests received at Headquarter, by sector



Source: Public Information Center (PIC).

FIGURE 2: Requests received at Headquarters, by subject matter



Source: Public Information Center (PIC).

- 2.6 In 2016, there was a reduction of 5% in total number of requests received, which corresponds to the reduction in the number of requests received by the Country Offices. The number of requests for information via the online form remained virtually unchanged compared to 2015. The 2015 incorporation of pop-up messages into the request form with links to seven frequently-asked questions continues to contribute to the reduction in certain types of requests, such as job opportunities, which fell by 3% compared to the previous year.⁷
- 2.7 In 2016, concerted efforts continued to monitor the performance of the Information Request Tracking System through the Open-source Ticket Request System (OTRS) modality. Through this system, all requests received at Headquarters are channeled via an online form. The system can produce interesting data on requests received. **Table 2** below contains a breakdown of the average response time for information requests received in 2016, which was two days shorter than in the previous year.

Table 2: Average number of days to respond to a request in 2016

Subject area	Average response time (in days)
Access to grants	8
Access to loans	10
Job opportunities	7
Education	9
Environment and agriculture	9
Health	10
Infrastructure	12
Institutional capacity	13
Finance	7
Micro, small and medium-sized enterprises	8
Integration and trade	10
Private sector development	9
Procurement opportunities	13
Research and data	11
Total average	9

- 2.8 The OTRS can also provide breakdowns of specific subjects, including requests received by sector. For example, **Table 3** breaks down requests by private sector and by academia.

⁷ There were 1,385 visits to the most frequently-asked questions via the pop-ups on the information request page, compared to 457 in 2015, broken down as follows: access to loans (631), access to grants (559), procurement opportunities (122), and job opportunities (73).

Table 3: Breakdown of requests by private sector and academia

Subject area	Number of requests relating to the private sector	Number of requests relating to academia
Access to grants	65	22
Access to loans	97	22
Job opportunities	35	102
Education	40	139
Environment and agriculture	85	33
Health	19	14
Infrastructure	62	19
Institutional capacity	12	18
Finance	49	18
Micro, small, and medium-sized enterprises	111	18
Integration and trade	14	11
Private sector development	86	7
Procurement opportunities	76	4
Research and data	62	146
Total	813	573

- 2.9 As **Table 3** shows, the three most commonly requested topics for the private sector were micro, small, and medium-sized enterprises, access to loans, and private sector development, which accounted for 21% of all information requests received in 2016. The most commonly requested topics for academia were research and data, education, and job opportunities, which accounted for 35% of all requests received.
- 2.10 The OTRS contains a category called “Information Requests” which corresponds to more complex requests that require greater coordination inside the Bank to locate the information in the respective units/departments so it can be subsequently disclosed. In 2016, the Bank received 81 requests in this category. The breakdown of specific subjects of this type received by sector is shown in **Table 4**.

Table 4: Breakdown of “Information Requests” by sector and subject

Academia	10
Access to grants	1
Education	2
Health	2
Infrastructure	1
Research and data	4
Civil society	10
Access to grants	2
Access to loans	1
Education	2
Integration and trade	1
Procurement opportunities	1
Research and data	3
Government	6
Education	1
Finance	1
Health	1
Infrastructure	2
Research and data	1
Multilateral organization	4
Access to loans	1
Procurement opportunities	1
Research and data	2
Private sector	51
Access to loans	4
Education	5
Environment and agriculture	11
Finance	3
Infrastructure	7
Institutional capacity	3
Integration and trade	1
Micro, small, and medium-sized enterprises	1
Private sector development	7
Procurement opportunities	9
Total	81

- 2.11 To better understand existing processes for handling information requests in the different Country Offices and foster coordination and uniformity in those processes, the Access to Information Section (SEC/ATI) and EXR conducted a survey of the Public Information Centers (PICs) in the Country Offices in September and October 2016. The results indicated that a wide variety of practices are used to respond to requests from the public, including telephone calls, office visits, emails, and other means. To facilitate the work of each Country Office and standardize communication between the Bank and the public, SEC/ATI and EXR are exploring options for a

system that could compile and centralize all these exchanges in a single platform.⁸ This integration and standardization would also give a more precise idea of the public's needs, identify trends in the types of information users require which would enable the Bank to enhance its proactive disclosure, and contribute to better accountability in our work.

- 2.12 Although the Bank has the right to deny access to information based on the 10 exceptions established in the Policy,⁹ no information requests were denied in 2016.

C. Training

- 2.13 Training activities help to disseminate the contents of the Policy and raise awareness of its importance for the Bank, as well as serving as an effective tool for the proper application of the Policy by Bank staff.
- 2.14 During 2016, SEC/ATI focused its training efforts on the workflow for document disclosure (ATI workflow) in ezShare—the Bank's new information management system. This new repository is part of the IDB365 program and uses the SharePoint platform as an information management tool. In 2016, work began to train Publishers in departments that began to migrate to ezShare, for example ITE, BDA/ACP, SEC, OVE, BDA, and on the corporate side of the Country Offices. During 2017, the training will continue under the framework of the process of certification/recertification of Publishers described in paragraph 2.28 of this report.
- 2.15 SEC/ATI also carried out multiple departmental training sessions on the Policy, including specialized workshops for staff from ORP, FMP, MICI, Brazil's Country Office, the IIC, and the Board of Executive Directors. The session with the Executive Directors as part of the annual onboarding workshop conducted by the Office of the Secretary is particularly noteworthy.
- 2.16 As part of the training sessions in ezShare for File Assistants at the Country Offices, SEC/ATI familiarized them with ATI workflow, underscoring the importance of the functions that some of them perform as PIC contacts in the Country Offices. The session stressed the importance of following the established procedure for channeling public consultations on Bank project documents.

⁸ In 2017, the possibility of adapting the Service Now system will be explored with ITE, since it is being used by different Bank departments as an alternative for processing information requests received at Headquarters and at the Country Offices.

⁹ Paragraph 4.1 gives the list of exceptions (document [GN-1831-28](#)).

2.17 **Table 5** gives a breakdown of training sessions in 2016.

Table 5: Training workshops 2016

Title	Location	Number of participants
User training and user acceptance tests (UAT) on ATI workflow in ezShare	Headquarters	28
Certification sessions for Publishers in ATI workflow in ezShare	Headquarters	45
Specialized training with the departments	Headquarters	75
Training on the Access to Information Policy with the Brazil Country Office	Video conference	7
Session on the Access to Information Policy with new Bank employees and interns	Headquarters	195
Training with civil society organizations	Guyana and Webex	44
Session on ezShare/ATI workflow for File Assistants in the Country Offices	In person	25
Session for new members of the Board of Executive Directors	Headquarters	22
Total		441

D. Access to Information help desk

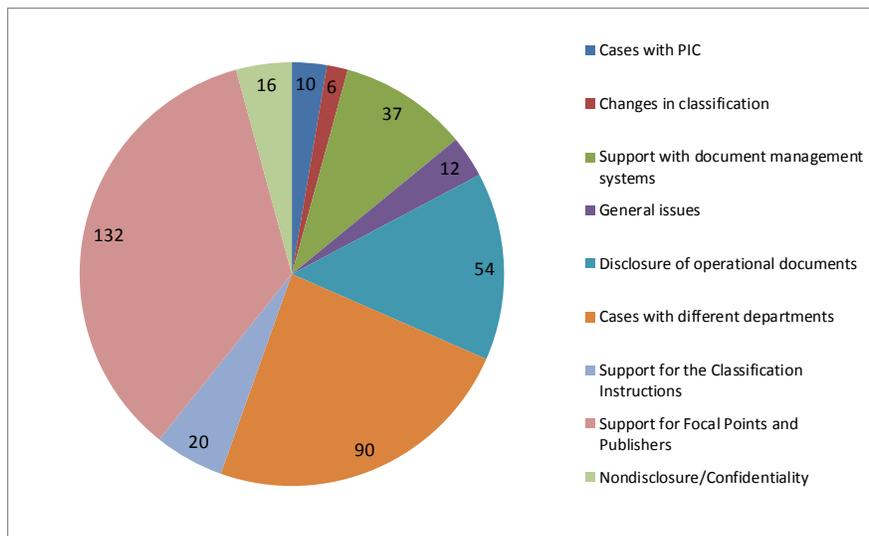
2.18 The help desk is a technical assistance service platform for Bank staff on issues related to the Policy and its application. This platform is based on an automated system to respond to and monitor internal consultations using the OTRS. Demand for technical assistance from the help desk has been increasing ever since it was established, and it has been very positively evaluated by staff.¹⁰ In 2016, the help desk received 377 inquiries in the subject areas indicated in **Figure 3**, representing an increase of 12% over the previous year (336 in 2015). This increase may be associated with use of the new systems that the Bank is introducing, particularly relating to the new information disclosure functions. As in 2015, most of the inquiries received were related to support for Focal Points and Publishers on implementation issues, accounting for 35% of the total. Technical assistance required by different departments on application of the Policy and dissemination of operational documents ranked second and third. There has been a steady demand for technical assistance by internal stakeholders associated with more complex inquiries on application of the Policy.

2.19 In 2016, SEC/ATI continued to receive inquiries related to document classification, specifically about the Departmental Classification Instructions. To continue deepening staff understanding of how to classify the different types of documents, work was begun in 2016 on updating those instructions, which will continue during the first part of 2017.¹¹

¹⁰ According to a survey by the Office of the Secretary in January 2017, 96.4% of respondents (members of Management) said they were “satisfied” or “very satisfied” with the perceived quality of the technical assistance they received from the help desk.

¹¹ This activity includes a specialized workshop for each department to deal with information classification and application of the Policy’s exceptions to disclosure. Once this process has been completed, version 6 of the Departmental Classification Instructions will be issued.

Figure 3: ATI Help Desk internal inquiry tracking system



E. Systems

- 2.20 As part of the adoption of ezShare as the new information management system, the new ATI workflow function was introduced in 2016¹² to increase user friendliness, particularly for Authors and Publishers, and improve efficiency in the disclosure of information. Reminders and checklists were created on a portal included in the system (ATI Portal).
- 2.21 During April 2016, Publishers from different Bank units/departments were invited to participate in sessions to test ATI workflow (UAT), to obtain their input on this function and identify potential improvements for its implementation. As mentioned in paragraphs 2.27 and 2.28, part of the process of testing ATI workflow included training workshops focused on the disclosure process under the new ezShare system.
- 2.22 As for Convergence and the disclosure of operational documents, SEC/ATI continued to participate in the different work groups to identify the Policy's requirements as they relate to the project cycle, in both the preparation and execution stages. At the end of 2016, SEC/ATI began to work with the teams responsible for developing additional modules to identify disclosure requirements for operational documents, specifically for country strategies, audited financial statements, procurement in sovereign guaranteed operations, Bank-executed operations (BEOs), and environmental and social documents, inter alia.
- 2.23 As part of the process of participating in the development of disclosure requirements for systems, SEC/ATI also contributed to the inclusion of key aspects of the Policy

¹² As mentioned in paragraph 2.14 of this report, ATI workflow was implemented for some departments on the corporate side of the Bank in 2016: ITE, BDA, SEC, OVE, and the corporate side of the Country Offices. In March 2017, ITE introduced the new systems on the operational side of the Bank, including ATI workflow.

in the preparation/updating of guidelines and procedures developed by different departments.¹³

- 2.24 With the new ATI workflow function, compliance with the time frames for disclosure is expected to improve, the list of documents pending publication is expected to become shorter, and more precise tracking of information classification will become possible.

F. Stakeholders (Focal Points and Publishers)

- 2.25 The Focal Points¹⁴ have played an essential role, not only disseminating knowledge about the Policy but also contributing to closer coordination with the various departments/units in the Policy implementation process.
- 2.26 A plenary meeting of Focal Points y Publishers was held in July 2016, with more than 80 assistants representing the Bank's different units in attendance. The objective was to inform them about the status of changes to the systems, mainly ezShare and Convergence. The ITE Department reported on significant progress and milestones in ezShare and on the strategy for migrating from IDBDOCs to the new system. The Records Management Section (ACP/REC) reported on the process of implementing ezShare in the Bank's units, construction of the information architecture, and the training and communication plan for this system. The Convergence team shared with the participants progress on their system and the process under way for its integration with ezShare. SEC/ATI reported on the status of ATI workflow for the publication of documents in ezShare, the tests and training sessions carried out for this function, and the process of certification/recertification of Publishers in the new system.
- 2.27 For their part, Publishers continued to play an active role in the disclosure of documents. To keep them up to date in use of the information disclosure tools, in 2016, the Publishers were attended specialized workshops focused on the disclosure process through IDBDOCs¹⁵ and under the new ezShare system.
- 2.28 As a complement to implementation of ATI workflow, SEC/ATI established a new process for certification/recertification of Publishers, which requires them to receive prior training in the new function in order to be granted access to disclose information through ezShare. The process was established in response to a recommendation by the Office of the Executive Auditor (AUG) both to strengthen the function performed by the Publishers when they are certified to disclose information, and to improve the process used to maintain a record of this staff in the system.¹⁶

¹³ Update of the Procedures for Processing Sovereign Guaranteed Operations (PR-200); internal protocol for implementation of the new guidelines for country strategies; and Information Disclosure Requirements for Environmental and Social Documents prepared by the Environmental Safeguards Unit (ESG).

¹⁴ In 2016, 35 Focal Points performed functions on the departmental level, including five for each of the country departments.

¹⁵ These training sessions were part of the certification process mentioned in paragraph 2.28 for those Publishers who continued using IDBDOCs because their departments had not yet migrated to the new ezShare system. At 31 December 2016, 45 Publishers were certified under the IDBDOCs system. As of the date of this report, 236 of the 274 Publishers had already been certified in both IDBDOCs and ezShare.

¹⁶ Under this process, the department chief is responsible for designating the Publishers, and SEC/ATI is responsible for keeping a record of the employees who play this role, providing the necessary training, certifying them, and granting them access to the Bank's systems.

G. Access to Information Committee (AIC)

- 2.29 As part of its supervisory duties, the Access to Information Committee (AIC)¹⁷ held one meeting in 2016 to learn about the progress made during 2015 in implementing the Policy and the activities to be carried out by Management in 2016. At the meeting, the AIC also approved that 2015 Annual Report, which was distributed to the Board of Executive Directors' Policy and Evaluation Committee for information in June 2016.

H. External Review Panel

- 2.30 The three members of the Policy's External Review Panel¹⁸ visited Headquarters in October 2016 to learn about progress in implementation over the past year. During their visit, the Panel members had the opportunity to offer a workshop on Access to Information for the private sector, with a view to a revision of the Disclosure of Information Policy of the Inter-American Investment Corporation (IIC), which has consolidated the IDB Group's non-sovereign guaranteed operations. At the workshop, Panel members noted the key elements that a private-sector information policy should have and procedures for receiving inputs through the public consultation mechanism. The activity was attended by internal stakeholders from the Bank and the IIC. The members also met with the chief of ACP/REC, the Director of the Independent Consultation and Investigation Mechanism (MICI), and the Secretary of the Bank.
- 2.31 During 2016, SEC/ATI, in coordination with EXR and the IIC, monitored preexisting non-sovereign guaranteed operations that began to be administered by the IIC in January 2016. They cooperated to ensure that the information available on the Bank's website and updates of information requiring disclosure under the Policy¹⁹ would be available. This monitoring activity will continue during 2017.
- 2.32 As a result of the consolidation of the IDB Group's non-sovereign guaranteed activities in the IIC and under a Service Level Agreement between the Office of the Secretary and the IIC signed in 2016, SEC/ATI started work on providing technical assistance for preparation of a new IIC information policy, in line with international best practices and trends in the disclosure of information on private sector projects. During 2017, SEC/ATI will work with the IIC under an activities timetable agreed by the parties.

I. Dissemination and external activities of the Policy

- 2.33 Dissemination and promotion activities are key to raising awareness among staff about the importance of the Policy as a tool for enhancing the Bank's transparency

¹⁷ The AIC is an administrative body chaired by the Chief of Staff of the Office of the Presidency and includes the Executive Vice President, the three Vice Presidents, and the Manager of EXR. The Legal Department is the committee's legal advisor and SEC acts as its secretary. As part of its duties, the AIC is responsible for supervising general application of the Policy, interpreting the Policy in accordance with its guiding principles, and examining and deciding on requests for review from external requesters who have been denied access by the Bank.

¹⁸ Ximena Abogabir, Toby Mendel, and Mauricio Merino.

¹⁹ As indicated in document GN-2823-2 "Regulations for Cross-booking between IDB and IIC," paragraph 3.39 "[...] the operations in the IDB Legacy Portfolio shall continue to be subject to the IDB cross-sectoral policies." These include the Access to Information Policy.

- vis-à-vis its stakeholders.²⁰ During 2016, SEC/ATI continued its training activities targeting civil society, through two workshops, one via Webex with civil society consultative groups (ConSocs) in Mexico and one to present the Policy to representatives of 36 civil society organizations in Guyana.²¹
- 2.34 A discussion panel entitled “Transparency and Access to Information. Chile’s Experience: Trends, Challenges, and Opportunities” was a noteworthy activity along this same line. In March 2016, SEC/ATI held an event on Chile’s experience in transparency and access to information aimed at Policy stakeholders. The event consisted of a presentation by Alejandro Ferreiro, who was Counselor and President of Chile’s Transparency Council. Mr. Ferreiro shared some of the lessons learned in the Chilean process, such as the importance of overcoming a culture of secrecy, using information technologies, and promoting effective document management to improve access to information. See the article in the blog [Abierto al Público](#) for more details on this presentation.
- 2.35 In 2016, the IDB continued to move ahead with its initiatives for data transparency, including the regular publication of information on its operations through AidFlows and the International Aid Transparency Initiative (IATI),²² as mentioned in paragraphs 1.4 and 1.5. More information on these initiatives is available at www.aidflows.org, www.iatiregistry.org, and <https://data.iadb.org>.
- 2.36 In June 2016, SEC/ATI participated in a panel discussion organized by the Governance Thematic Group – 1818 Society in the World Bank to discuss the information disclosure policies of multilateral agencies and other donor institutions, as part of a study on experience in implementing projects and the evolution of donor dissemination policies over the last 25 years. The presenter was Jeffrey Gutman, Senior Fellow in the Development Assistance and Governance Initiative in the Global Economy and Development Program at the Brookings Institution. The study revealed pending challenges to ensure effective project performance and overcome shortcomings in the disclosure of information during execution, in the context of an increasingly participative society with greater citizen commitment.²³
- 2.37 In November 2016, SEC/ATI participated in the Annual Meeting of the International Financial Institutions Working Group (IFI Working Group) on information disclosure and stakeholder engagement. The purpose of the meeting is to learn about progress in implementing information policies, share experiences and knowledge of these

²⁰ As an example of the impact of activities to disseminate the Policy in recent years, the results of survey conducted as part of a cybersecurity audit by AUG in February 2017 are worth mentioning. The survey included a question intended to identify the level of knowledge on different topics. One was on “Bank regulations on information disclosure.” Ninety-two percent of the respondents said they were fully or partially aware of these regulations. The survey reached 4,598 Bank employees, including staff and contractors, with a response rate of 26%.

²¹ The presentation was given directly by staff at the Guyana Country Office.

²² The IDB was recognized by the nongovernmental organization Publish What You Fund (PWYF) in its Aid Transparency Index 2016 report, ranking it seventh out of the 46 largest cooperation and development organizations in the world included in the index. The Bank improved by 11 percentage points (85.6%) over its score in 2014 (73.9%) and was included in the group of organizations that complied fully with the Busan commitment to aid transparency. The IDB was also recognized as a leader in publishing information on institutional planning, project documents, and information on project performance. For more information on this initiative and the results of the 2016 measurements, see the report at the following link: <http://ati.publishwhatyoufund.org/>.

²³ See: <https://www.brookings.edu/research/accessibility-and-effectiveness-of-donor-disclosure-policies-when-disclosure-clouds-transparency/>.

processes, and identify common challenges in these issues. This year's event was organized by the African Development Bank, and was attended by the IIC, the World Bank, the Asian Development Bank, the European Bank for Reconstruction and Development, the European Investment Bank, and Caribbean Development Bank, the New Development Bank, the Netherlands Development Finance Company, and the Black Sea Trade and Development Bank.

- 2.38 As part of its activities to promote the Policy, SEC/ATI, in cooperation with KNL, worked to produce a video on the main aspects of the Policy. This audiovisual material, together with similar materials to be prepared during 2017, will serve as complementary tools in the dissemination of knowledge on the contents included in training workshops on the Policy.²⁴
- 2.39 To provide more information and resources for internal Bank users relating to the Policy and its implementation, SEC/ATI updated its intranet page in December 2016, which is located on the Office of the Secretary's website. The update consisted of reorganizing the contents, including new resources and tools for users, and introducing improvements to make navigation more efficient and easier.
- 2.40 Lastly, as part of internal/external dissemination activities, the Bank published its Access to Information Newsletter in December 2016, which is available on the [website](#).

III. DISCLOSURE OF INFORMATION

A. Disclosure of information on operations

- 3.1 In 2016, 100% of project profiles and loan proposals corresponding to projects approved by the Bank were disclosed.²⁵ In addition, work continued on verifying compliance with the time frames for publishing these key documents.²⁶ As can be seen in **Figure 4**, in 2016 progress generally continued in compliance with the publication time frame for these kinds of documents.²⁷ The review also included the country strategies approved by the Board of Executive Directors.²⁸ With

²⁴ See: <https://www.youtube.com/watch?v=Q3NHGftYXpl&feature=youtu.be>.

²⁵ In 2016, a total of 96 operations were distributed to the Board for approval, reformulation, or amendment. A total of 20 of these operations had no project profiles since they were a second programmatic operation, a second operation under a conditional credit line for investment projects (CCLIP), a second multiphase operation, or an emergency operation. It should be noted that all the pertinent information was disclosed on the Bank's external website.

²⁶ To determine whether these documents were disclosed within the time frame set by the Policy, SEC/ATI calculated the time elapsed between the approval date of the respective document in the case of project profiles, or the distribution date of the respective document to the Board in the case of loan proposals (documents for simultaneous disclosure), and the authorization date in IDBDOCs for Internet publication of the document.

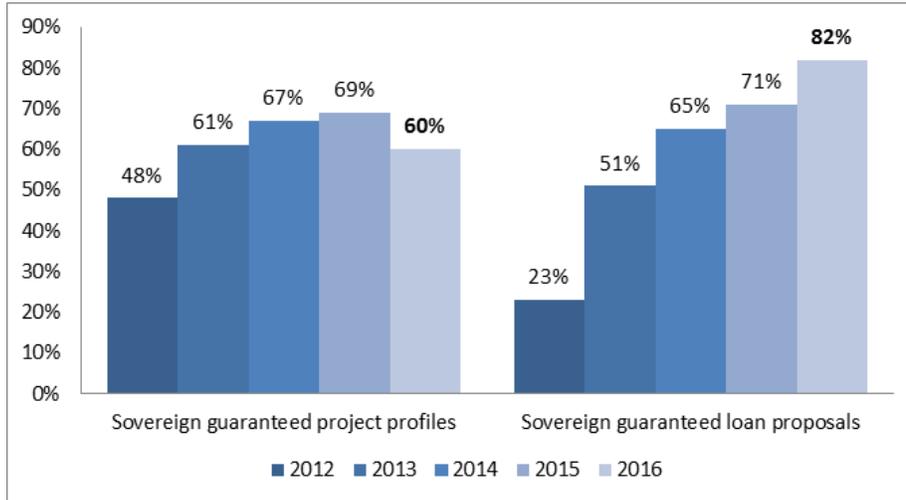
²⁷ In 2016, there was a slight drop in the rate of compliance with the publication time frame for project profiles, which could be explained by the changes in the new systems, particularly the use of Convergence by project teams as the new platform for operations.

²⁸ Although all the country strategies approved by the Board in 2016 were disclosed and made available to the public on the Bank's external website, the rate of compliance with the time frame was 60%. Like sovereign guaranteed loan proposals, this type of document is supposed to be disclosed simultaneously with distribution to the Board. The introduction into Convergence of a specific module for country strategies will help to improve compliance with the publication time frame for these documents.

Convergence fully operational and due integration with the Bank's other systems, 100% compliance rates are expected.

- 3.2 As indicated in paragraph 2.22, multidepartmental work with the Convergence team in implementing the requirements for key documents subject to disclosure during the project cycle will contribute directly to increasing the timeliness with which information on operations is disclosed.²⁹

Figure 4: Compliance with publication time frames



B. Disclosure of information on the Annual Meeting of the Board of Governors

- 3.3 The Board of Governors is the Bank's highest decision-making body. The resolutions adopted by the Board of Governors during the Annual Meeting held in The Bahamas in 2016 were made available to the public on the Bank's external website within the time frame established by the Policy.³⁰

- 3.4 The following electronic link lists the resolutions adopted at the Annual Meeting of the Board of Governors in 2016: <http://www.iadb.org/en/about-us/resolutions-adopted-by-the-board-of-governors,20041.html>.

C. Disclosure of historical information (eArchives)

- 3.5 The disclosure of historical information is important for the Bank because it contributes to enhancing the institution's transparency and makes valuable information on the IDB's activities since the institution's inception available to the public. Through eArchives, the Bank has made over 100,000 operational and nonoperational documents available to the public.

- 3.6 An information request can be submitted for information that is not available on the eArchives website. In 2016, the Public Information Center (PIC) received 22 requests for historical information which led to the publication of 64 historical records. The Bank responded to all the requests for historical information. Most of

²⁹ This is the case of the environmental and social documents prepared during project preparation, which require timely disclosure under sector policies that establish specific deadlines for compliance (Operational Policy OP-703 Environment and Safeguards Compliance Policy).

³⁰ Documents for routine disclosure should be published within five working days after approval, authorization, or the conclusion of their consideration.

the records disclosed were loan proposals, technical cooperation plans of operations, project completion reports, and reports by individual consultants/consulting firms.

- 3.7 The number of requests for historical information fell by almost 50% compared to the previous year.³¹ This reduction reflects the Bank's continued efforts to make valuable institutional and operational information available to the public. New options are being explored to promote the eArchives page so the public can learn even more about the information available.

D. Exception to disclosure: "country-specific information"

- 3.8 Under this exception, the Bank may not disclose information contained in certain country-specific documents produced by it, if such information has been identified in writing by the relevant country as confidential or potentially damaging to its relations with the Bank. Application of this exception involves the partial or full nondisclosure of information.
- 3.9 In 2016, this exception was invoked for four sovereign guaranteed lending operations. For one, full nondisclosure of the loan proposal was requested, and for the other three, partial nondisclosure affecting optional electronic links contained in them. However, it should be noted that in the first case, nondisclosure was requested temporarily until certain conditions established in the negotiations were met, and once compliance with those conditions was verified, the Bank proceeded to disclose the respective loan proposal.³²
- 3.10 The frequency with which this exception has been applied by countries in the last two years remains low compared to the number of cases in the early years of the Policy.³³

IV. DISCLOSURE PRACTICES OF BORROWERS

- 4.1 Paragraph 5.2 of the Policy provides that the practices of borrowers with respect to the disclosure of environmental and social assessments related to Bank-financed projects will be reviewed.
- 4.2 In 2016, the Board approved five category "A" projects and 39 category "B" projects. For each of these 44 projects, the pertinent environmental and social assessments have been or will be produced, including, in some specific cases, environmental impact assessments (EIAs).
- 4.3 Upon examination of the Environment and Social Management Reports (ESMRs) for each of these projects, it was determined that for 20 of them the borrowers had already met their obligation to disclose the assessments. Regarding those projects whose nature or progress in execution of the works would require disclosure of environmental information over time, it was found that in 12 of the cases the

³¹ In 2015, 47 requests for historical information were received.

³² In accordance with the Policy Implementation Guidelines, in this case the Bank prepared and published a summary that had been agreed upon with the country, as well as a nondisclosure notice informing the public of the confidentiality invoked. Likewise, the Board of Executive Directors was informed of this situation via a note that was included in the loan proposal at the time of distribution.

³³ This exception was invoked for six operations in 2012, six in 2013, seven in 2014, and three in 2015.

borrowers are already in the process of disclosing the information or have indicated that it will be disclosed once it is produced.

- 4.4 Although disclosure by the borrower of the environmental assessments of the 12 remaining operations examined was not confirmed from the analysis of the environmental and social management reports, the assessments have been disclosed by the Bank in accordance with the Policy.
- 4.5 Lastly, it should be kept in mind that in addition to the provisions of the Bank's Environment and Safeguards Compliance and Access to Information Policies, the borrowing member countries also have domestic regulations that require them to disclose environmental information about their projects.