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**DOCUMENT ON THE INDEPENDENT CONSULTATION  
AND INVESTIGATION MECHANISM**

**2020 WORK PROGRAM AND PROPOSED BUDGET**

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# The Independent Consultation and Investigation Mechanism

## 2020 Work Program and proposed budget

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- II 2020 Expenditure Budget Proposal and comparison to the Approved 2019 Budget – (confidential)

**ELECTRONIC LINKS**

- 1. [2019 Work Program and Proposed Budget for IDB Group Institutions](#)
- 2. Criteria for Accessing the Contingency Fund (confidential)
- 3. Quarterly Financial and Activities Report - First Quarter 2019 (confidential)
- 4. Quarterly Financial and Activities Report - Second Quarter 2019 (confidential)
- 5. [MICI-IDB Public Registry](#)
- 6. [MICI-IDB Invest Public Registry](#)
- 7. [MICI Intranet \(internal use\)](#)

## GLOSSARY

<b>ACP</b>	Administrative Services, Security, and Corporate Procurement Division.
<b>AUG</b>	Office of the IDB Internal Auditor.
<b>IDB</b>	Inter-American Development Bank.
<b>BDA</b>	Budget and Administrative Services Department.
<b>BUFIPOL</b>	Budget and Finance Policy Committee.
<b>IIC</b>	Inter-American Investment Corporation, now IDB Invest.
<b>CLC</b>	Complementary Labor Costs.
<b>COF</b>	Country Office.
<b>IDB Group</b>	Comprised by IDB, IDB Invest and MIF.
<b>HC</b>	Head Count, term used to identify staff hired as full-time employees.
<b>HRD</b>	Human Resources Department.
<b>IAMs</b>	Independent Accountability Mechanisms of International Financial Institutions.
<b>ITE</b>	Information Technology Department.
<b>MICI</b>	Independent Consultation and Investigation Mechanism.
<b>MBSI</b>	Market-Based Salary Increase.
<b>NLC</b>	Non-Personnel Costs.
<b>OVE</b>	Office of Evaluation and Oversight.
<b>PEC</b>	Policy and Evaluation Committee of the IDB's Board of Executive Directors.
<b>MICI-IDB Policy</b>	The Policy of the Independent Consultation and Investigation Mechanism of IDB (document <a href="#">MI-47-6</a> ), which was approved by the Board of Executive Directors on 17 December 2014, has been in force as of that date and was revised in December 2015 to ensure consistency with the MICI-IIC Policy.
<b>MICI-IIC Policy</b>	The Policy of the Independent Consultation and Investigation Mechanism of the IIC (document <a href="#">CII/MI-1-1</a> ), which was approved on 15 December 2015, has been in force as of January 2016.
<b>ROP</b>	Relevant Operation Policies.
<b>SLC</b>	Staff Labor Costs.

## INTRODUCTION

This document presents the proposed 2020 MICI Work Program and Budget for IDB and IDB Invest for consideration by the pertinent Committees of both institutions. This proposal has been prepared in accordance with the MICI-IDB and MICI-IIC Policies (documents [MI-47-6](#) and [CII/MI-1-1](#), respectively), as well as with guidance provided in the “2020 Budget Call for the Preparation of the Program and Budget Proposal” document.

As done in previous years, the table below shows at a glance the scope of this proposal in numbers for Request Management, Learning, Outreach and Institutional Strengthening. It also presents the budget requirements for the implementation of the Program. The year 2020 is distinct from other years in that it marks the tenth anniversary of the establishment of the MICI. Throughout the year various activities will take place highlighting 10 years of accountability for the IDB Group.

Throughout the various sections of this document, proposed actions for 2020 are presented in detail in fulfillment of MICI’s mandate and to mark its tenth anniversary. The program also addresses the evaluation of the MICI and the review of the Environmental and Social Safeguards Policies and the Access to Information Policy of IDB and IDB Invest.

The 2019 Work Program and Proposed Budget is submitted for the consideration of the IDB and IIC Boards as follows.

### **Action requested of the Board of Executive Directors of IDB**

The IDB Board of Executive Directors is requested to consider and approve the Proposed 2020 Work Program and the corresponding budget required for its implementation.

### **Action requested of the Board of Executive Directors of IIC**

The Board of Executive Directors of IIC is requested to approve the Proposed 2020 Work Program and the corresponding budget required for its implementation.

In accordance with the provisions of the MICI-IDB and MICI-IIC Policies, the Mechanism will report on the execution of the approved budget through the Activity and Financial Reports it issues on a quarterly basis.

## The 2020 Work Program and Proposed Budget in Numbers

### Request Management

**25** Requests expected to be managed during 2020

- **12** new requests to be received - (10 for IDB; 2 for IDB Invest)
- **13** pending requests carried over from the previous year - (11 for IDB; 2 for IDB Invest)

### Learning

**4** case briefs

**1** technical note about Conflict Resolution

**4** MICI Reflections products to be disseminated

### External and Internal Outreach

**22** external outreach activities

**15** internal outreach activities

### 10<sup>th</sup> Anniversary of MICI

**2** special commemorative events (one-off basis)

- Launch of the American Mediation Congress
- 17<sup>th</sup> Annual Independent Accountability Mechanisms Meeting

### Institutional Strengthening

- Results of the independent review of the implementation of MICI-IDB and MICI-IIC Policies will be presented by OVE
- Modernization of IDB Group Safeguards Policies
- Human Resources
  - August 2020 concludes the MICI Director's first 5-year period
  - The second half of 2020 marks the beginning of the recruitment process for the position of Compliance Review Coordinator.

### Proposed IDB Budget

Total Budget: **US\$ 2,607,477** - 0% real increase / 2% nominal increase

### Proposed IDB Invest Budget

Total Budget: **US\$ 603,721** - 0% real increase / 2% nominal increase

## I. RESULTS OF THE 2019 WORK PROGRAM TO DATE

- 1.1 2019 has been a very active year in terms of receiving requests, and internal and external outreach activities. Additionally, an administrative and budgetary audit of MICI conducted by AUG took place<sup>1</sup> and the OVE review process of MICI operations under the MICI-IDB and MICI-IIC Policies began<sup>2</sup>.
- 1.2 Furthermore, during this year, as part of a capital project, the MICI offices were transformed applying the open space concept with the valuable support of ACP colleagues. MICI has also worked directly with Information Technology Department and other offices that have functions similar to MICI, in order to implement a new computerized case management system.
- 1.3 The 2019 Program and Budget document approved by the IDB and IIC Boards of Executive Directors included goals and actions regarding request management, outreach, learning and institutional strengthening that for the most part have been met to this date. Below are the main results achieved through 2019 that can be compared to the commitments made as presented in figures 1 to 4 for each of the MICI work areas.
- 1.4 In Request Management has managed 22 requests to date (88% of the estimated goal for this year. See figure 1), with 12 new requests received during the year and 10 requests carried over from previous years. Regarding the 12 new requests received, only four have been deemed eligible (all IDB Requests), while the remainder (eight (8) Requests) have seen their processing concluded. With that said, of those Requests managed in the Consultation Phase during the period, two agreements were reached ([MICI-BID-EC-2018-0131](#), [MICI-BID-AR-2019-0144](#))<sup>3</sup> in shorter time periods than set forth in the Policy. Furthermore, monitoring for the first case entirely managed under the Policy approved in 2014 ([MICI-BID-CR-2017-0125](#)) was successfully completed, and December will mark the culmination of the monitoring phase for the case ([MICI-BID-BR-2011-019](#)) in Brazil, which is the last from the 2010 Policy legacy portfolio. The active portfolio expected at the end of 2019 consists of four (4) Requests under monitoring of agreements and two (2) in Consultation Phase process.
- 1.5 With respect to the Compliance Review Phase, two (2) investigations regarding IDB Invest operations were approved in 2019 ([MICI-CII-GU-2018-0136](#), [MICI-CII-CO-2018-0133](#)), two (2) recommendations to not investigate were presented ([MICI-BID-CO-20180133](#) and [MICI-BID-BR-2019-0142](#)), and the investigation stage for the case [MICI-BID-CH-2017-](#)

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<sup>1</sup> The AUG report states that MICI is operating in accordance with the IDB administrative and budgetary policies and procedures and has the necessary checks and balances for proper management.

<sup>2</sup> For more information please refer to the Approach Paper of the Evaluation of the Independent Consultation and Investigation Mechanism, OVE ([RE-542](#))

<sup>3</sup> It is worth noting that in December 2018 a case agreement was reached with regard to the Caracol Industrial Park Project ([MICI-BID-HA-2017-0114](#)), which was reported to the Board of Executive Directors in January 2019. With this agreement a total of three (3) agreements would have been reached in this 12-month period.

[0115](#) was completed<sup>4</sup>. For this case the consideration of the Compliance Review Report is expected for the first quarter of 2020 as well as the start of the monitoring stage for f the case [MICI-BID-PR-2016-0101](#), which is awaiting the Management Action Plan.

**Figure 1**  
**Target Goals for the 2019 Work Program and Budget**  
**Request Management<sup>5</sup>**

- 25** requests estimated to be managed during 2019
- **15** new requests to be received - (**12** for IDB; **3** for IDB Invest)
  - **10** active transferred from the previous year - (**8** for IDB; **1 or 2** for IDB Invest)

- 1.6 With respect to Learning, during the second year of the *MICI Reflections Program*, reflection sessions on the draft note on cases managed in the Consultation Phase. The final version includes changes that incorporate recommendations made during these sessions. A knowledge note was produced and disseminated that provides several tools available to accountability mechanisms and their respective institutions for case management involving reprisal risks. However, given the workload on cases and other areas, it has not been possible to fully meet the goals set forth in this area, but it is expected that at least one more technical note will be completed before the end of the year. (See Figure 2).

**Figure 2**  
**Target Goals for the 2019 Work Program and Budget**  
**Learning<sup>6</sup>**

- 2** new knowledge products
- Development of **2** new knowledge products
  - Dissemination of **4** products created in 2018

- 1.7 In Internal and External Outreach, the goals set have been surpassed (see figure 3). As regards Internal Outreach, to date 16 virtual/face-to-face events have taken place to make the Mechanism known among staff of IDB and IDB Invest. In addition, the MICI Intranet content (<http://mici>) was updated in response to suggestions and recommendations from several areas of the Bank.
- 1.8 In the area of External Outreach, we have organized or participated in 25 events for promoting access. We have been on-site in Argentina, Barbados, Costa Rica, Ecuador and Washington. We participated virtually in events in Brazil, Chile and Honduras. Also new printed and video materials have been developed for promoting access.
- 1.9 Sharing best practices and management experiences with other financial institutions has been a continuous process for MICI in 2019, amongst which sessions with members of

<sup>4</sup> This investigation is being carried out in coordination with the International Finance Corporation (IFC) accountability mechanism, Office of the Compliance Advisor Ombudsman (CAO).

<sup>5</sup> Extract of the 2019 Work Program and Proposed Budget (available in the web links section)

<sup>6</sup> Extract of the 2019 Work Program and Proposed Budget (available in the web links section)

the World Bank Board, as well as trainings for operations staff of the Asian Infrastructure Investment Bank (AIIB) and the New Development Bank can be underscored as well as sessions with other peer mechanisms and academia representatives.

- 1.10 As part of our best practice sharing, one highlight was the meeting MICI co-organized and hosted with the Office of the United Nations High Commissioner for Human Rights. This meeting was directed towards officials from several international financial institutions on the topic of managing the risk of reprisal in development finance and included the participation of Ms. Michelle Bachelet as the guest of honor.

**Figure 3**  
**Target Goals for the 2019 Work Program and Budget**  
**Outreach<sup>7</sup>**

**22** external outreach activities

- 15 face-to-face activities with members of civil society. Preliminary identification of Argentina, Barbados, Ecuador and Panama
- 7 virtual sessions with members of civil society

**12** internal outreach activities

- Participation in IDB and IDB Invest information sessions
- Face-to-face sessions at COF with IDB and IDB Invest
- WebEx Sessions

- 1.11 In the area of Institutional Strengthening, the selection process for the position approved by the Board took place and it is expected that the selected candidate, who currently works as a consultant, will start in this new role in January 2020.
- 1.12 In 2019, the Roster of Compliance Review Experts was revamped and MICI Guidelines for Managing Cases at Risk of Reprisal were developed. A task that is still pending is moving forward with the update of the Administrative Manual as promised in the program proposal.
- 1.13 As mentioned above, the MICI evaluation (paragraph 1.1) has begun. And in the audit undertaken by AUG MICI also received positive marks.
- 1.14 Finally, but just as important, close support has been provided to Management during the modernization process of IDB Group's safeguards, through the sharing of experiences and systemic elements identified in cases managed by MICI.

<sup>7</sup> Extract of the 2019 Work Program and Proposed Budget (available in the web links section)

**Figure 4**  
**Target Goals for the 2019 Work Program and Budget**  
**Institutional Strengthening<sup>8</sup>**

- Approval request for 1 additional HC to achieve the goal established in 2017
- Independent Assessment by OVE of the Implementation of the MICI-IDB and MICI-IIC Policies
- Administration Manual Update

**II. STRATEGIC VISION FOR 2020**

- 2.1 Consistent with the priorities of the IDB Group<sup>9</sup> for 2020, the MICI Work Program is intended to contribute to improvements in transparency and accountability, working under the maxim of greater efficiency without compromising its effectiveness.
- 2.2 The year 2020 marks 10 years of existence for MICI. In February 2010, the Executive Directors approved the first MICI Policy that created a new mechanism that would not only conduct investigations but also carry out dispute resolution processes, thereby opening avenues for addressing complaints from communities potentially affected by operations of the IDB Group. A mechanism operating with greater transparency and capacity, reporting directly to the Board of Executive Directors. The 2010-2020 period has been marked by its building, learning, improving and consolidating. Consequently, the 2020 Program will mark a commemorative year for the MICI, showcasing in both its everyday activities and special events the results of MICI's 10 years of work in all the different facets related to its mandate.
- 2.3 Under this strengthening vision, the results from the OVE evaluation of MICI will provide guidance to the Boards of Executive Directors of both IDB and IIC to maintain, adjust and innovate the Policies of MICI as necessary.
- 2.4 And also, of a transformational nature to MICI's remit, will the completion of the modernization process for the Social and Environmental Safeguards of IDB and IDB Invest, the coming into force of the Access to Information Policy of IDB Invest and the eventual approval of an IDB revised Access to Information Policy.
- 2.5 These improvement processes will require investments in time and financial resources to publicize changes to communities with potential complaints and ensure that the MICI team strengthens its management capabilities.

<sup>8</sup> Extract of the 2019 Work Program and Proposed Budget (available in the web links section)

<sup>9</sup> [2020 Budget Call for the Preparation of the Program and Budget Proposal](#) document.

### III. PROPOSED 2020 WORK PROGRAM

- 3.1 The following MICI program proposal for 2020 has been made based on the strategic vision presented in the previous section and includes activities to be carried out in four areas:
- A. Request Management
  - B. Learning
  - C. Outreach and the 10<sup>th</sup> Anniversary of MICI
  - D. Institutional Strengthening
- 3.2 This Program covers all the Group's institutions and includes joint activities to create synergies as well as activities specific to each institution. This complementarity is also reflected in the proposed budget, which allocates funding in two areas: that of IDB, which includes personnel costs and costs associated with activities within the MICI mandate for the IDB and IDB LAB; and that of IDB Invest, which includes costs associated with activities related to the provision of services to this institution by MICI.
- 3.3 It is in this spirit that the following function-specific program and budget proposal is submitted for consideration by the Board of Executive Directors of the IDB through its PEC and BUFIPOL Committees, and for consideration by the Board of Executive Directors of the IIC through the Board of Executive Directors Committee:
- A. Request Management**
- 3.4 The 2020 Proposed Work Program considers the management of an estimated total of **25 Requests** throughout the year: **12 new requests** (10 for IDB and 2 for IDB Invest) to be received during 2020 and **13 carried over** (9 for IDB and 2 for IDB Invest) as active cases from 2019. See Figure 5

**Figure 5**  
**Expected Request Management in 2020**



**Note:** Light blue is used to identify IDB Requests and orange is used to identify IDB Invest Requests.

- 3.5 This estimate is created using the following elements: (1) the portfolio of active cases that are expected to be carried over to 2020 (see Table 1), and (2) the pattern the Mechanism has observed over the last four years. It is important to note that we do not foresee changes in this behavior during 2020.

**Table 1**  
**Request Management Portfolio of Pending Requests to be Transferred**

Request Number	Project	Anticipated status at year-end 2019	Anticipated management in 2020
<b>CONSULTATION PHASE</b>			
<a href="#">MICI-PE-2015-0094</a>	Rural Land Titling & Registration Project in Peru - Third Phase (PTRT-3) (3370/OC-PE)	Monitoring of agreements	Closure
<a href="#">MICI-BID-HA-2017-0114</a>	Productive Infrastructure Program (2552/GR-HA 2779/GR-HA and others)	Monitoring of agreements	Monitoring of agreements
<a href="#">MICI-BID-EC-2018-0131</a>	Program for the Reconstruction of Electricity Infrastructure in Areas Affected by the Earthquake in Ecuador (3906/OC-EC)	Monitoring of agreements	Monitoring of agreements
<a href="#">MICI-BID-AR-2019-0144</a>	Program for Production and Tourism Infrastructure in the Province of Rio Negro (2491/OC-AR)	Monitoring of agreements	Closure
<a href="#">MICI-BID-AR-2019-0148</a>	Reconquista River Sanitation Environmental Program - Request III (3256/OC-AR)	Monitoring of agreements	Monitoring of agreements

Request Number	Project	Anticipated status at year-end 2019	Anticipated management in 2020
<a href="#">MICI-BID-AR-2019-0150</a>	Comprehensive Improvement Project for the General Roca Railway: Constitución Line – La Plata (2982/OC-AR)	Monitoring of agreements	Monitoring of agreements
<b>COMPLIANCE REVIEW STAGE</b>			
<a href="#">MICI-PR-BID-2016-0101</a>	Downtown Redevelopment, Modernization of Metropolitan Public Transport, Gov't Offices (2419/OC-PR and 2420/BL-PR)	Consideration of the Action Plan by Management	Monitoring of Action Plan
<a href="#">MICI-BID-CH-2017-0115</a>	Alto Maipo Hydroelectric Power Project (3008A/OC-CH and 3008B/OC-CH)	Under investigation	Consideration of Verification Report
<a href="#">MICI-CII-CO-2018-0133</a>	Ituango Hydroelectric Plant (11794-04)	Under investigation	Under investigation
<a href="#">MICI-CII-GU-2018-0136</a>	San Mateo S.A. Generator and San Andres S.A. Generator (GU3794A-01 and GU3798A-01)	Under investigation	Under investigation
<a href="#">MICI-BID-BR-2019-0142</a>	Urban Development Program in São José dos Campos - Request III (2323/OC-BR)	Preparing Recommendation for Compliance Review	Pending determination

■ Requests related to IDB Invest operations.

- 3.6 In sum and using case management figures from previous years as proxy, for **IDB** a total of 21 Requests would be managed in 2020, 10 new requests and 11 requests carried over from previous years. In the case of **IDB Invest**, it is predicted that we will manage four (4) Requests, two (2) new requests and two (2) requests carried over from previous years. Of the total new Requests to be received, we could expect four (4) or five (5) to be registered, of which two (2) or three (3) would be declared eligible.

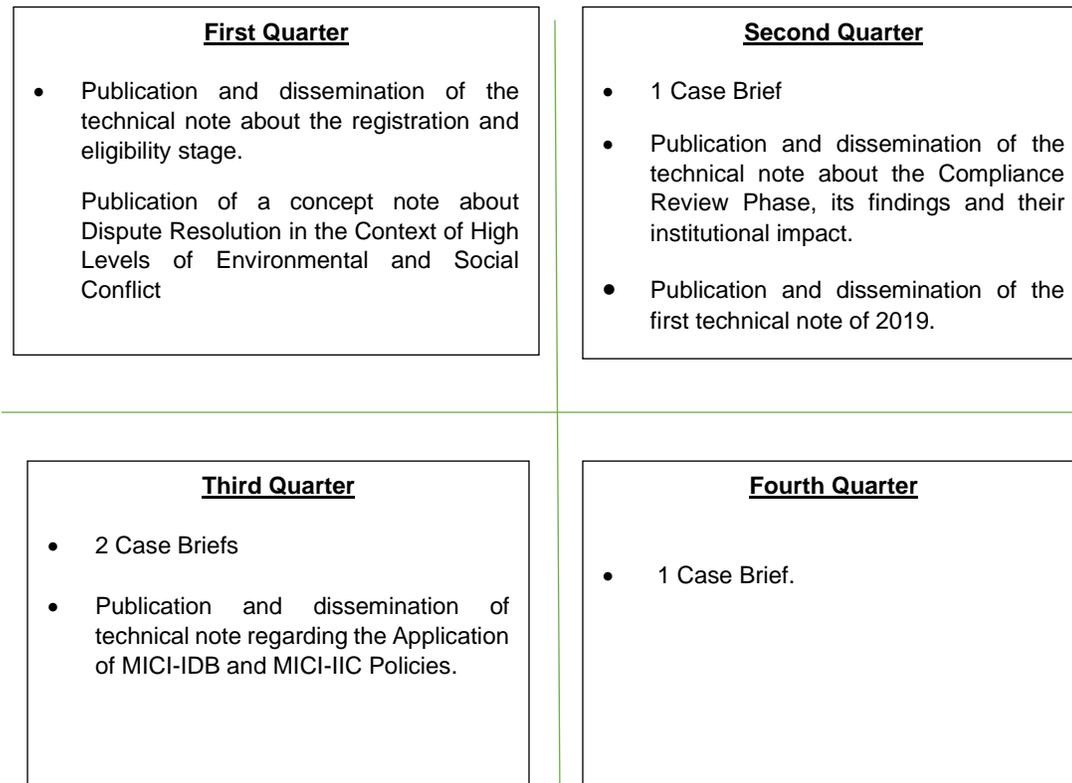
## B. Learning

- 3.7 The MICI Reflections Program aims to encourage institutional reflection based on the evidence and experience from the management of MICI cases which might then help strengthen the work of the IDB Group and its mission.
- 3.8 To this end, MICI works on three (3) fronts: first, creating knowledge products; second, organizing a space for institutional exchange in close cooperation with the Management of IDB and IDB Invest; and third, utilizing these same knowledge products to maintain an ongoing dialogue with civil society organizations and sister institutions to promote greater awareness of our work throughout the Latin American and Caribbean Region.
- 3.9 In 2020, as part of the commemoration of the tenth anniversary of MICI, the Program will work on three fronts: (1) publish technical notes on registration, eligibility and verification of compliance that distill the experience of 10 years of operation; (2) produce a concept

note about dispute resolution in the context of high levels of environmental and social conflict; and (3) produce and internally disseminate four (4) short case briefs that compile the main lessons learned from specific cases.

- 3.10 Figure 6 shows the planning by quarter based on deliverable products. Times are merely indicative and subject to the workload of the team.

**Figure 6**  
**MICI Reflections Program – Quarterly Planning 2020**



## C. Outreach and 10<sup>th</sup> Anniversary

### 1. External Outreach

- 3.11 MICI's External Outreach work aims to promote access to the Mechanism among communities that are potentially affected by projects financed by the IDB Group. MICI continuously seeks out new strategies for publicizing the Mechanism in the Region and ensuring that communities interested in submitting a Request have accessible and clear information on the process, the requirements and possible outcomes.

- 3.12 External Outreach activities will be divided into face-to-face and virtual activities organized by MICI, targeting audiences related to the function of accountability and assistance to affected communities and participation in events relevant to the MICI mandate (14 scheduled events). Figure 7 shows the quarterly planning of external outreach actions envisaged for 2020.

**Figure 7**  
**External Outreach – Face-to-Face and Virtual Events**  
**Quarterly Planning 2020**

<p style="text-align: center;"><b><u>First Quarter</u></b></p> <ul style="list-style-type: none"> <li>• Civil Society Virtual Session - 2019 Results</li> <li>• Civil Society Workshop - Caribbean</li> <li>• Civil Society Workshop – Washington D.C., within the scope of sessions of the Inter-American Commission on Human Rights</li> <li>• Executing Agencies Workshop – Caribbean</li> </ul>	<p style="text-align: center;"><b><u>Second Quarter</u></b></p> <ul style="list-style-type: none"> <li>• Civil Society Workshop – Washington D.C., during World Bank Spring Meetings</li> <li>• II American Mediation Congress</li> <li>• Civil Society Workshop - Uruguay (to be confirmed)</li> <li>• Civil Society Workshop - Peru (to be confirmed)</li> <li>• Participation in the 2020 IAIA Meeting - Seville</li> </ul>
<p style="text-align: center;"><b><u>Third Quarter</u></b></p> <ul style="list-style-type: none"> <li>• Regional Dialogue on Environmental Licensing – location to be confirmed</li> <li>• Civil Society Workshop - Central America (to be confirmed)</li> <li>• Civil Society Meeting within the scope of the 17<sup>th</sup> Annual Accountability Mechanisms Meeting- Washington D.C.</li> </ul>	<p style="text-align: center;"><b><u>Fourth Quarter</u></b></p> <ul style="list-style-type: none"> <li>• Civil Society Workshop – Washington D.C., within the scope of the World Bank Fall Meetings</li> <li>• Participation in the United Nations Business and Human Rights Forum - Geneva</li> <li>• Participation in Regional Forum on Social and Environmental Conflicts – location to be confirmed</li> </ul>

## 2. Internal Outreach

- 3.13 The purpose of Internal Outreach is to familiarize IDB Group staff at Headquarters and COFs with the Mechanism’s mandate in general and to provide information on the process and the various obligations it creates for those whose responsibilities make future involvement in a MICI case more likely.

- 3.14 For 2020, virtual sessions are set to continue. They will focus on the knowledge products from MICI Reflections and updating the MICI mandate based on the process for the Modernization of the Group's Safeguards Model. Likewise, MICI will continue to participate in onboarding sessions for new staff and Board members as it does every year.
- 3.15 Face-to-face sessions with IDB and IDB Invest staff in COFs will be promoted within the scope of case missions to the region.

### **3. 10<sup>th</sup> MICI Anniversary**

- 3.16 The year 2020 marks the 10<sup>th</sup> anniversary of the creation of the MICI, with 2 notable milestones: (1) the approval of the first MICI Policy by the Board of Executive Directors on February 17, 2010. (2) the start of operations for the Mechanism on September 9 of that same year.
- 3.17 In order to commemorate these two dates, MICI is proposing two (2) special events. The first event to take place in February is the launch of the American Congress on Mediation, which will include expert workshops, round tables and the presentation of knowledge products. The second event is the 17<sup>th</sup> Annual Meeting of the Independent Accountability Mechanisms Network in Washington D.C. This will take place in September. This last activity was proposed to the Board of Executive Directors in the 2019 Work Program and Proposed Budget.<sup>10</sup> who welcomed having IDB host the meeting in 2020.
- 3.18 In both events we hope to be able to count on the active participation of Executive Directors and will be contacting each one individually to talk about this matter. Furthermore, we will coordinate with Management and civil society to ensure that the anniversary promotes greater knowledge about MICI and its contributions to the mission of the IDB Group.
- 3.19 In addition, as part of the celebration of the 10<sup>th</sup> anniversary, each of the daily activities of the Mechanism will incorporate some sort of reference that alludes to the celebration fundamentally geared towards the promotion of access. At the beginning of the year the calendar of activities will be made public so that we can count on the participation of everyone in the IDB Group.

### **D. Institutional Strengthening**

- 3.20 Following up on the goals established during the strategic planning process 2020 Vision that MICI completed in 2018, four (4) work areas were identified: operational effectiveness, structural institutionalization, knowledge exchange and human resources. The activities to be carried out during 2020 for each of the four areas are detailed below.

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<sup>10</sup> Paragraph 3.30 of the 2019 Work Program and Proposed Budget (see web links).

## 1. Operational Effectiveness

- 3.21 During the first half of 2020 OVE is expected to present the results of its review of MICI and recommendations for strengthening MICI's operation. The MICI team has actively collaborated with OVE during the evaluation period and will continue to be available to address and support the actions deemed necessary by the IDB and IIC Boards in response to the findings of the report and the recommendations contained in it.
- 3.22 As a result of the revamping of the IDB and IDB Invest Environmental and Social Safeguards, as well as the coming into force in 2020 of the IDB Invest Policy on Access to Information and potentially the revised version for IDB, MICI will set aside time and resources to study and train the MICI team, including the rosters of experts of both Phases. On the same note, once the Boards of Executive Directors of IDB and IIC give their approval for the proposed Policies, MICI will adjust its dissemination materials (printed and virtual) and will promote proactive actions for outreach to make the public aware of changes in the framework of environmental and social safeguards, access to information and their implications for MICI processes.
- 3.23 In terms of case management, it is important to point out that according to what was proposed by the IDB Group's Modernization of Safeguards Team in the document ([GN-2965-3](#)) Policy Profile, the process of adopting the new framework once approved will result in two treatment paths for MICI to deal with Requests, for an estimated period of approximately seven (7) years<sup>11</sup>: (i) for Requests received before approval of the new framework the currently in for ROPs will be applied, and (ii) for Requests related to operations approved under the new framework, the latter will apply .

## 2. Structural Institutionalization

- 3.24 As part of the institutionalization process, it is important to ensure that MICI is clearly embedded in the Bank's structure. As part of this effort, the Consolidated Procedures for the Committees of IDB and IDB Invest (document [DR-525-51](#)) include references to MICI; IDB and IDB Invest routinely include the MICI as a topic in agendas for new employee onboarding meetings; and OVE indicated how important it is to include references to the Mechanism in the new ROPs as part of its Safeguards Evaluation (2018). However, there are still areas to work on, such as standardization of certain documents in which citing/including MICI Policy must be taken into consideration, administrative procedures that need to be consistent with the Policy and currently do not contain language regarding it, and lastly, seek to standardize certain MICI-specific administrative issues, particularly regarding human resources that diverge from those in Bank guidelines and/or procedures and that negatively impact the institutionalization of the Mechanism.

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<sup>11</sup> See paragraph 5.5 of document GN-2965-3.

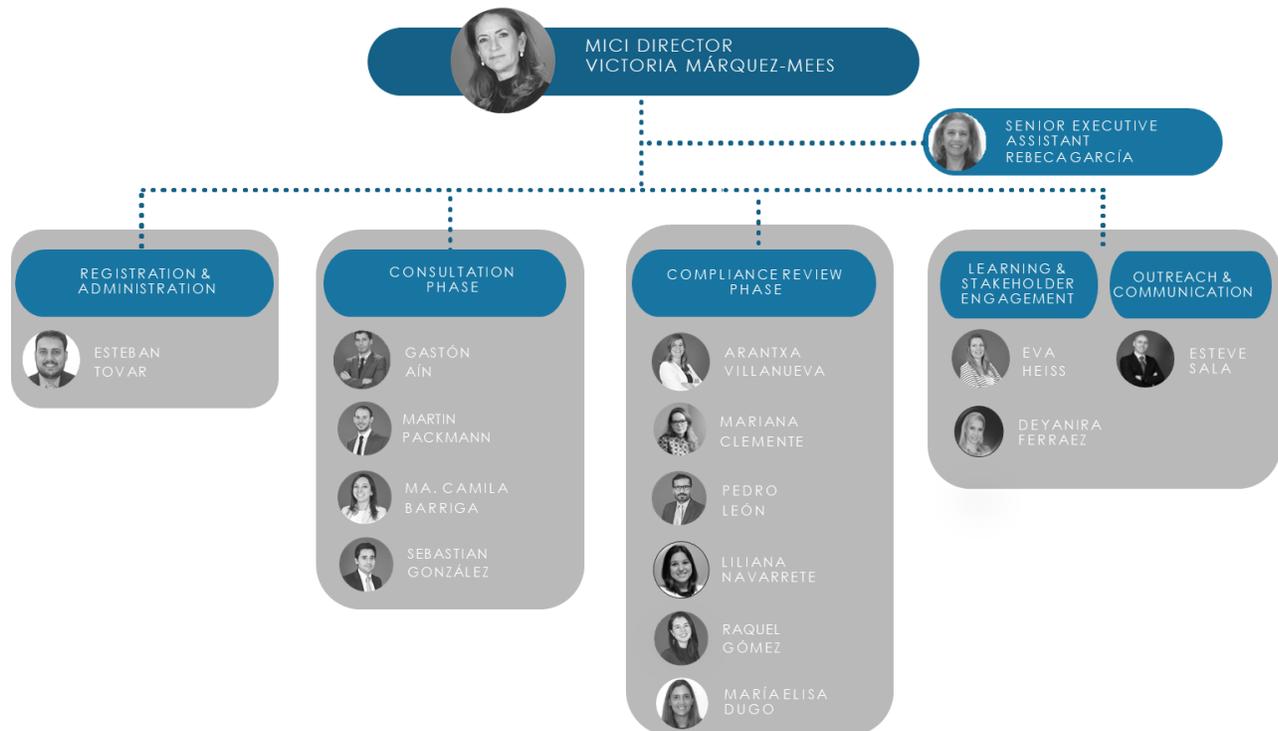
### 3. Knowledge Sharing

3.25 In relation to joint activities with sister institutions that seek to maximize collaboration in external outreach actions, the exchange of best practices and the creation of synergies in joint case management, MICI will continue to work with peer organizations and other multilateral agencies, as well as academia, in order to strengthen the global accountability framework. It should be mentioned that the 17<sup>th</sup> Annual IAM Meeting, which MICI will host, is one of the actions that will be carried out in 2020 to promote knowledge exchange.

### 4. Human Resources

3.26 Regarding human resources, MICI has a structure composed of seven (7) staff positions (HC)<sup>12</sup> and 10 consultants<sup>13</sup> (CWF), which has been organized in four (4) functional clusters as shown in Figure 8: Consultation Phase, Compliance Review Phase, Outreach and Learning and Management.

**Figure 8**  
**2019 Organizational Structure**



<sup>12</sup> Currently, a staff member is on maternity leave and one (1) staff position remains vacant, but after the selection process performed, an official currently serving as a consultant at MICI will occupy the position in January 2020.

<sup>13</sup> One (1) consultant position will be eliminated at the end of 2019 as the official currently hired under this modality has been selected to fill the vacant staff position.

- 3.27 In terms of the structure by contract type, it can be divided into three (3) groups (see Table 2), two of which are non-renewable: (i) three (3) positions as determined by paragraphs 52-55 in the MICI-IDB Policy as having specific conditions for eligibility and renewal, as well as limitations for subsequent employment; (ii) four (4) staff positions (HC) that can be renewed; (iii) ten full-time consultant positions, whose hiring is subject to the AM-650 policy on Complementary Labor. Table 2 provides details about the hiring conditions for each of the three (3) groups, with identified weaknesses highlighted in italics.

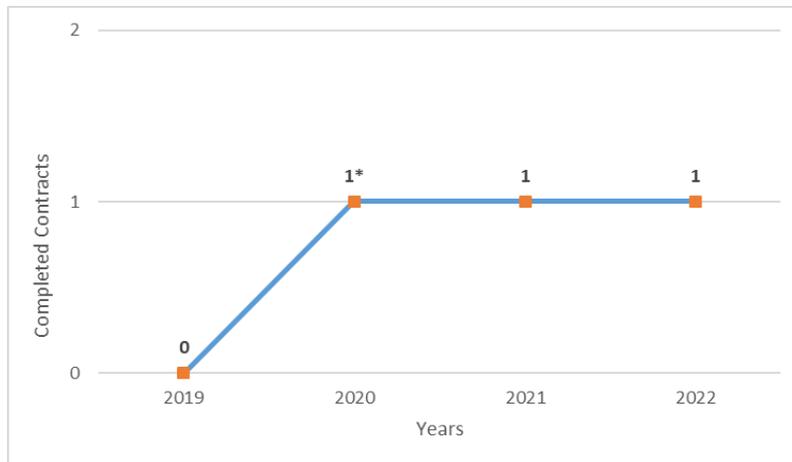
**Table 2**  
**Provisions for Director and Coordinator Positions**

Position	Type of position and appointment	Limitations
<b>Group I. Positions defined in the Policy of MICI-BID</b>		
<b>MICI Director</b>	Executive position appointed by the Board of Executive Directors	Five-year period, with potential of renewal for another five (5) years.  Candidates for this position may not have worked for the IDB Group in the three (3) years prior to the appointment.  Permanent limitation on working with the IDB Group after the end of the term of appointment.
<b>Consultation Phase Coordinator</b>	Principal Specialist/Senior Adviser Position. MICI Director responsible for selection	<i>Five-year period – non-renewable.</i>  Candidates for this position may not have worked for the IDB Group in the three (3) years prior to the appointment.  <i>Permanently prohibited to work in the IDB Group at the end of the period</i>
<b>Compliance Review Phase Coordinator</b>	Principal Specialist/Senior Adviser Position. MICI Director responsible for selection	<i>Five-year period – non-renewable.</i>  Candidates for this position may not have worked for the IDB Group in the three (3) years prior to the appointment.  <i>Permanently prohibited to work in the IDB Group at the end of the period</i>
<b>Group II. HQ Staff Position</b>		
<b>3 HC</b>	Specialist position	Requires extensive knowledge of the specific areas in which candidate will be working, as well as knowledge of the policies and procedures of the IDB Group.  Three-year period - renewable
<b>1 HC</b>	Administrative Assistant	Provides administrative support, which requires knowledge of administrative functions, as well as knowledge about the structure and procedures of the IDB Group  Indefinite employment (this only applies to the staff member currently holding this position)

Group III. Consultant positions hired under Policy AM-650		
<b>7 consultants</b>	Roles of Official or Case Assistant in the Consultation and Verification Phases  Access Promotion	Requires extensive knowledge of the specific work areas within MICI, whether this be conflict resolution or investigations. Knowledge of the Policies and procedures of the IDB Group is also required in order to provide meaningful assistance in managing cases.  <i>Three-year period - non-renewable</i>
<b>3 consultants</b>	Hired to temporarily assist with case management during periods of excess workload and as cover during maternity leave	Requires knowledge of the operation of the Mechanisms and/or multilateral banks in order to perform the functions assigned from the beginning of contract. No large investment in training required.  Maximum three-year period - non-renewable

3.28 Figures 9 and 10 show the expiration dates of the contracts for the members of the in groups I and III. As shown, between 2020 and 2021, 75% of the MICI structure would be replaced. Considering that MICI's work is based on the knowledge and ability of its team, this insight denotes the significant vulnerability of the Mechanism's structural organization. This needs to be addressed in order to avoid skill loss and shortcomings in the implementation of our mandate.

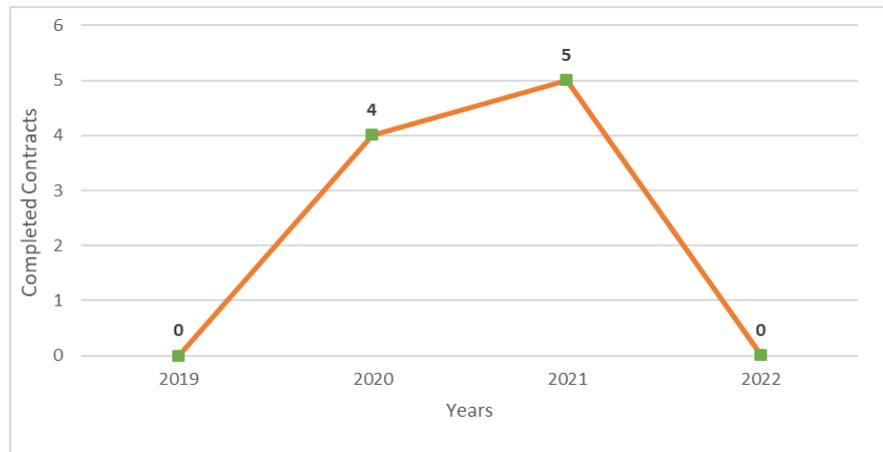
**Figure 9**  
**Group I – Contract's Expiration 2019-2022**



\*Current MICI Director's mandate ends in case of non-renewal.

Source: HRD

**Figure 10**  
**Group III – Contract’s Expiration 2019-2022**



Source: HRD

- 3.29 MICI has found two (2) areas that represent an opportunity for strengthening. The first is in regard to the Phase Coordinator position, which entails a high level of technical specialization and whose current contractual terms are not in line with similar positions at other accountability mechanisms or with the principal specialist position within the IDB Group. MICI feels that limiting the position to a period of five (5) years with no renewal option and being permanently banned from working with the IDB Group in the future reduces the candidate pool, increases training investment costs and prevents the strengthening of the Mechanism in the areas of predictability and consistency. We believe that it is crucial that OVE addresses this topic in its review so as to issue recommendations to address it.
- 3.30 The second area of opportunity is found within Group III. As already known to the Board of Executive Directors, the “Flexible and Efficient Workforce Management Framework” (“Flexible Framework,” document [GN-2606-21](#)) refers exclusively to workforce financed by Management’s administrative budget, and does not include MICI,<sup>14</sup> since is not currently part of the current staffing control. MICI understands the rationale behind this; however, it must be noted that the Complementary Workforce model was changed in 2018 and established constraints on consultant contracts that did not previously exist and these changes did apply to all consultants hired by the Bank without exception. These two (2) actions inadvertently increased MICI’s structural weakness, since once the complementary workforce contracts expire, the consultants currently in the team cannot be rehired.

<sup>14</sup> In addition to MICI, this framework also excludes the Board of Executive Directors, the Independent Consultation and Investigation Mechanism, the Office of Assessment and Oversight, the Executive Secretary of Staff Retirement Plans and the Administrative Tribunal.

- 3.31 From MICI's perspective, there are two (2) possible solutions. (a) to propose to the Board of Directors a progressive adjustment scheme for MICI that follows the guidelines established in the Flexible Framework; (b) to explore the possibility of creating a hiring modality limited to independent offices that allows for the renewal under specific criteria. For MICI, option (a) is considered the better alternative, being also the option that ensures standardized application of what has already been approved for Management. The MICI proposes to undertake during 2020 a detailed analysis with the support of HRD so that based on it, a formal proposal could be considered by the Board within the scope of the 2021 Program.
- 3.32 Finally, resuming the topic of activities related to the current human resources currently under contract with MICI, two (2) selection processes will need to be carried out in 2020. The first process involves the position of MICI Director. If the contract for the current director is not renewed, the termination date of her contract is August 15, 2020. The second selection process involves the position of Compliance Review Phase Coordinator, since the contract for the current coordinator ends on January 16, 2021.

#### IV. PROPOSED BUDGET

- 4.1 As in previous years, this budget proposal has been prepared using a zero-based budgeting method that estimates the resources necessary to perform the activities which MICI is certain will occur, plus an allowance for funds required to manage the Requests estimated to be received in 2020. In addition, for estimation purposes, the level execution in the current year has been taken into consideration plus we have sought to maximize budgetary efficiencies while ensuring the robust implementation of the proposed Program.
- 4.2 The 2020 Budget requested has the following features in terms of presentation:
- a) MICI develops its budget starting from a zero base and requests resources annually according to the program it proposes to implement.
  - b) The budgetary requirements are presented for each institution.
  - c) The staff salaries and benefits item (SLC) is relevant only to the IDB. As instructed by BDA, MICI has adopted the MBSI estimated by Management (3.7%)<sup>15</sup> which can vary based on the figure authorized by the Board. As a reminder, the budget for salaries and benefits is centrally managed.
  - d) In order to prevent cross-subsidies, the time that staff members plan to devote to providing services to IDB Invest has been monetized and presented as a CLC budgetary item.
  - e) The CLC+NLC budget is presented by function: Request Management, Learning, Outreach and Institutional Strengthening.
  - f) The Contingency Fund is considered a restricted item since the NLC funds allocation can only be accessed upon the authorization of the respective Board of Executive Directors. (See Conditions for Accessing the Contingency Fund in the web links section).
- 4.3 The following sections present the function-specific budgetary requirements for IDB and IDB Invest, and Annex II provides the itemized breakdown of these for more information.
- A. Budget Request to the IDB**
- 4.4 In general terms, the execution of the Program proposed by MICI for IDB in 2020 requires the approval of funds in the total amount of **US\$ 2,607,477**. This amount corresponds to 0% real growth and 2% nominal growth relative to the total approved in 2019 (US\$ 2,533,846).

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<sup>15</sup> Percentage proposed in the [2020 Budget Call for the Preparation of the Program and Budget Proposal](#) document.

- 4.5 Regarding staff costs (SLC), the 2020 budget provides for an allocation of US\$1,595,478 (6% higher than 2019), as shown in Table 3. The increase is due to the following: (i) the estimated MBSI and (ii) the Grade of the staff position approved in 2019, currently vacant (see footnotes 12 and 13). Originally the staff position was estimated at Grade 7, however given the functions to be performed and the experience required, it has been adjusted to Grade 5 based on Bank guidelines. To offset the additional cost in SLC, a consultant position is being eliminated, which will reduce CLC costs.
- 4.6 Given that some of the functions of this staff position relate to Request Management, and that are currently performed by a consultant, the CLC cost item has been reduced in 2020.
- 4.7 Regarding the activities for Learning and Outreach<sup>16</sup>, the 2020 Budget reduces the first item compared to 2019 since the Learning activities and products scheduled for 2020 require less investment. In Outreach, the allocation has been increased to cover the costs of the one-off events and products planned to commemorate the 10<sup>th</sup> MICI Anniversary (Section III paragraphs 3.16 to 3.19).
- 4.8 Finally, regarding Institutional Strengthening, the increase in this item is due to the fact that we have observed that the allocation in previous years was insufficient to cover the activities to be carried out and, in addition, in 2020 greater training requirements are considered due to the changes generated by personnel turnover, OVE's evaluation results and adjustments in the safeguards framework and information policies for the IDB and IDB Invest.
- 4.9 Table 3 shows the proposed allocations by item for 2020 which, even if contemplating changes in allocation between cost items, does not involve real increases in the total budget requested.

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<sup>16</sup> Outreach, Learning, Institutional Strengthening and administrative costs are divided between IDB and IDB Invest.

**Table 3**  
**2020 Proposed Budget and Comparison to Approved 2019 Budget – IDB**

IDB BUDGET				
Concept	2019 Approved Budget <sup>1</sup>	Total estimated execution at the end of 2019 <sup>2</sup>	2020 Proposed Budget	% Variation 2019 Budget with respect to 2020 Budget
<b>STAFF LABOR COSTS (SLC)<sup>3</sup></b>				
Total Personnel Costs (SLC)	\$ 1,503,763	\$ 1,163,937	\$ 1,595,478	6%
<b>COMPLEMENTARY LABOR COSTS (CLC) AND NON-PERSONNEL COSTS (NLC)</b>				
<b>Requests Management</b>				
Subtotal Requests Management	\$ 888,583	\$ 986,061	\$ 846,969	-5%
<b>Learning</b>				
Subtotal Learning	\$ 44,500	\$ 44,511	\$ 20,500	-54%
<b>Outreach and MICI Anniversary</b>				
Subtotal Outreach and MICI Anniversary	\$ 57,000	\$ 61,033	\$ 75,500	32%
<b>Institutional Strengthening</b>				
Subtotal Institutional Strengthening	\$ 10,000	\$ 43,371	\$ 19,000	90%
Subtotal CLC and NLC - non-restricted component	\$ 1,000,083	\$ 1,134,977	\$ 961,969	-4%
Contingency Fund - restricted component <sup>4</sup>	\$ 50,000	\$ -	\$ 50,000	0%
Total CLC and NLC - restricted + nonrestricted components	\$ 1,050,083	\$ 1,134,977	\$ 1,011,969	-4%
Total MEC Budget	\$ 2,553,846	\$ 2,298,913	\$ 2,607,447	2%

1. The figures correspond to the approved Budget for 2019, including the final adjustment to MBSI / 2. Estimate presented in the Quarterly Financial and Activities Report. 2019 Second Quarter, available under the web links / 3. Includes the 3.7% increase in salaries as reported by the Bank and the increase in Grade of the approved position in 2019 / 4. The Contingency Fund may only be used for the Request Management.

## **B. Budget Request to IDB Invest**

- 4.10 With regard to MICI's 2020 budget for IDB Invest, it must first be noted how it is managed so as to maximize the efficiency of the funds received: (1) The IDB Invest budget does not include SLC staff costs because MICI staff members are IDB employees, not IDB Invest employees. The time spent by MICI staff (SLC) dedicated to IDB Invest is covered by an allocation in CLC. (2) An SLA is signed annually with IDB Invest including the amount of unrestricted CLC and NLC funds to be transferred to MICI at the beginning of the year and commits IDB Invest to keep the contingency fund amount available should its use be required.

- 4.11 Every quarter, MICI reports to the Board of Executive Directors on budget execution as provided for in paragraph 66 of the MICI-IIC Policy. It is also worth noting that at the end of every year, MICI returns non-restricted funds that were not used to IDB Invest.
- 4.12 In general terms, for IDB Invest the execution of the Program proposed by MICI in 2020 requires the approval of funds in the total amount of **US\$ 603,721** for its execution. This amount corresponds to 0% real growth and 2% nominal growth relative to the total approved in 2019 (US\$ 591,303).
- 4.13 With regard to Request Management, the amount proposed reflects the allocations to cover the costs of the two (2) investigations approved in 2019 for the cases [MICI-CII-CO-2018-0133](#) and [MICI-CII-GU-2018-0136](#), as well as the initial management of two (2) new Requests that may be received (see paragraph 3.4)
- 4.14 In terms of Learning, Outreach and Institutional Strengthening, as well as administrative expenses, the operational synergies between IDB and IDB Invest translates into shared costs (see paragraphs 4.7 and 4.8 for more details)
- 4.15 Table 4 shows the proposed allocations for the MICI-IDB Invest budget for 2020, as well as the amounts approved in 2019 and the total estimated execution for this year. Like the IDB budget, it presents line adjustments in cost items but maintains a real growth of 0%.

**Table 4**  
**2020 Proposed Budget and Comparison to Approved 2019 Budget**  
**for IDB Invest**

Concept	IDB INVEST BUDGET			
	2019 Approved Budget	Total estimated execution at the end of 2019 <sup>1</sup>	2020 Proposed Budget	% Variation 2019 Budget with respect to 2020 Budget
<b>STAFF LABOR COSTS (SLC)</b>				
Total Personnel Costs (SLC)	\$ -	\$ -	\$ -	-
<b>COMPLEMENTARY LABOR COSTS (CLC) AND NON-PERSONNEL COSTS (NLC)</b>				
<b>Requests Management <sup>2</sup></b>				
Subtotal Requests Management	\$ 437,303	\$ 352,575	\$ 454,721	4%
<b>Learning</b>				
Subtotal Learning	\$ 40,500	\$ 40,355	\$ 7,500	-81%
<b>Outreach and MICI Anniversary <sup>2</sup></b>				
Subtotal Outreach and MICI Anniversary	\$ 78,500	\$ 78,618	\$ 96,500	23%
<b>Institutional Strengthening</b>				
Subtotal Institutional Strengthening	\$ 5,000	\$ 5,000	\$ 15,000	200%
Subtotal CLC and NLC - non-restricted component	\$ 561,303	\$ 476,547	\$ 573,721	2%
Contingency Fund - restricted component <sup>3</sup>	\$ 30,000	\$ -	\$ 30,000	0%
Total CLC and NLC - restricted + nonrestricted components	\$ 591,303	\$ 476,547	\$ 603,721	2%
Total MEC Budget	\$ 591,303	\$ 476,547	\$ 603,721	2%

1. Information according to the estimate made in the Quarterly Activity and Financial Report. 2019 Second Quarter, available in the web links. / 2. The CLC expenditure covers the time that MICI staff (SLC) provides services to the institution. / 3. The Contingency Fund may only be used for the Management of Requests.

### C. Final Considerations

- 4.16 Based on the above, the Boards of Executive Directors of the IDB and the IIC are respectfully requested to consider and approve the 2020 Work Program and the Proposed Budget required for its execution.

### Annex I. Requests Managed between January 1-October 15, 2019

	Request Number	Date Received	Project name and number	Anticipated status at year-end 2019
<b>Requests Received in 2019</b>				
1	<a href="#">MICI-BID-BA-2019-0140</a>	January 14	Coastal Risk Assessment and Management Program (2463/OC-BA)	Not Registered
2	<a href="#">MICI-BID-CH-2019-0141</a>	January 29	Alto Maipo Hydroelectric Power Project (CH-L1067) Request III (3008A/OC-CH and 3008B/OC-CH)	Not Eligible
3	<a href="#">MICI-BID-BR-2019-0142</a>	February 4	São José dos Campos Urban Structuring Program - Request III (2323/OC-BR)	Recommendation for Compliance Review in preparation
4	<a href="#">MICI-BID-AR-2019-0143</a>	February 11	Plaza Logística S.A. (2619A/OC-AR)	Not Registered
5	<a href="#">MICI-BID-AR-2019-0144</a>	February 28	Program for Production and Tourism Infrastructure in the Province of Rio Negro (2491/OC-AR)	In the monitoring of agreements stage
6	<a href="#">MICI-BID-EC-2019-0145</a>	March 5	Program for the Reconstruction of Electricity Infrastructure in Areas Affected by the Earthquake in Ecuador – Request II (3906/OC-EC)	Not Registered
7	<a href="#">MICI-BID-GY-2019-0146</a>	March 5	“Electric Company Improvement Program” (3239/BL-GY and 3238/OC-GY)	Not Registered
8	<a href="#">MICI-BID-AR-2019-0147</a>	April 4	Reconquista River Sanitation Environmental Program - Request II (3256/OC-AR)	Not Registered
9	<a href="#">MICI-BID-AR-2019-0148</a>	May 7	Reconquista River Sanitation Environmental Program - Request III (3256/OC-AR)	In the monitoring of agreements stage
10	<a href="#">MICI-BID-BR-2019-0149</a>	May 29	Viva Cidade 2 Project, Environmental and Urban Revitalization of the Joinville Municipality (3410/OC-BR)	Not Registered
11	<a href="#">MICI-BID-AR-2019-0150</a>	June 12	Comprehensive Improvement Project for the General Roca Railway: Constitución Line – La Plata (2982/OC-AR)	In the monitoring of agreements stage
12	<a href="#">MICI-BID-BR-2019-0151</a>	September 12	Maués Integrated Sanitation Program - PROSAIMAUES (2846/OC-BR)	Closure
<b>Requests carried over from previous years</b>				
13	<a href="#">BR-MICI004-2011</a>	June 2011	Neighborhood Improvement Program Inhabit Brazil (1126/OC-BR)	Closure

	Request Number	Date Received	Project name and number	Anticipated status at year-end 2019
14	<a href="#">MICI-PE-2015-0094</a>	August 2015	Rural Land Titling & Registration Project in Peru - Third Phase PTRT-3 (3370/OC-PE)	In the monitoring of agreements stage
15	<a href="#">MICI-BID-HA-2017-0114</a>	January 2017	Productive Infrastructure Program - Request II (2779/GR-HA and others)	In the monitoring of agreements stage
16	<a href="#">MICI-BID-CR-2017-0125</a>	August 2017	Reventazón Hydroelectric Power Project - Request IV (2747/OC-CR and others)	Closure
17	<a href="#">MICI-BID-EC-2018-0131</a>	April 2018	Program for the Reconstruction of Electricity Infrastructure in Areas Affected by the Earthquake in Ecuador (3906/OC-EC)	In the monitoring of agreements stage
18	<a href="#">MICI-BID-PR-2016-0101</a>	May 2016	Downtown Redevelopment, Modernization Metropolitan Public Transport, Gov't Offices (2420/BL-PR and 2419/OC-PR)	Awaiting Action Plan from Management
19	<a href="#">MICI-BID-CH-2017-0115</a>	January 2017	Alto Maipo Electricity Project (3008A/OC-CH and 3008B/OC-CH)	Under investigation
20	<a href="#">MICI-CII-CO-2018-0133<sup>17</sup></a>	June 2018	Ituango Hydroelectric Plant (11794-04)	Under investigation
21	<a href="#">MICI-BID-CO-2018-0133</a>	June 2018	Support for Structuring of the Ituango Hydroelectric Project (ATN/OC-13351-CO)	Closure
22	<a href="#">MICI-CII-GU-2018-0136</a>	August 2018	San Mateo S.A. Generator and San Andres S.A. Generator (GU3794A-01 and GU3798A-01)	Under investigation

■ Request related to an operation of IDB Invest.

<sup>17</sup> Request 133 refers to the Ituango Hydroelectric Project and presents claims concerning a corporate loan approved by IDB Invest in 2016, as well as a technical partnership approved by IDB Invest in 2012. For this reason, it has been registered with IDB Invest under the number [MICI-CII-CO-2018-0133](#) and with IDB, currently closed, under the number [MICI-BID-CO-2018-0133](#).