Implementation Plan
for Management of a Global Environment Facility Project Development Fund Block B Grant
for the project
"Building the Inter-American Biodiversity Information Network (IABIN)"

(Short title: IABIN PDF Project Plan)

D*R*A*F*T — 7 Jan 2002

Countries: Hemisphere Wide
Requesting Agency: World Bank
Executing Agency (PDF): Organization of American States (OAS)
Country Implementing: IABIN Focal Points as indicated by Governments
PDF Block B Funds Requested: US$650,000

A. ACTIVITIES

As outlined in the proposal to the Global Environment Facility (GEF) for a Project Development Fund (PDF) Block B Grant, the following specific activities will be undertaken during the project preparation phase:

1. Define requirements for network content and architecture

a.   Develop and apply a survey instrument to document network and content requirements of IABIN participants.

b.   Identify potential IABIN participants, both individual and organizational, as well as other appropriate experts to participate in defining requirements for the network.

c.   Develop studies and background documentation on issues, projects, and other topics relevant to better design of the GEF project (intellectual property rights, new infrastructure technologies, telecommunications capacity in the region, directories of experts or networks of biodiversity information in the region, etc.).

d.   Convene three regional meetings of biodiversity experts to determine network and content requirements for IABIN and document any special sub-regional activities that would support IABIN development. The regional meetings will be held in Central America, the Caribbean, and South America. An additional output of the regional meetings and IABIN activities in general will be to prepare a Latin American and Caribbean position on environmental information for the World Summit in Johannesburg and contribute to the GEF/Clearing-House Mechanism (CHM) position.

e.   Assess the availability of the various types of biological information identified as relevant content for IABIN and set priorities for the incorporation of that content.

f.   Prepare a report with the findings from the requirements definition process.

2. Institute collaborative partnerships with other initiatives and organizations

a.   Conclude a formal Memorandum of Cooperation with the Secretariat of the Convention on Biological Diversity (CBD) defining the collaboration between IABIN and the CHM and describing the role and the value added by IABIN to the implementation of the CHM.

b.   Identify successful national and subregional initiatives, such as REMIB, which can be considered prototypes for IABIN, and define how a hemisphere-wide network can build on these initiatives.

c.   Establish collaborations, including formal agreements where necessary, with other relevant initiatives including, *inter alia*, the GBIF, the Biodiversity Conservation Information System (BCIS), NABIN, and thematic initiatives such as the Global Invasive Species Programme.

d.   Develop explicit working relationships, including agreements for information-sharing, with international and national academic institutions, private enterprise, and NGOs (e.g., World Resources Institute, Conservation International, The Nature Conservancy, Association for Biodiversity Information, the Smithsonian, etc.).

e.   Build on the study currently underway on a financial sustainability strategy for IABIN.

3. Develop an infrastructure implementation plan

a.   Define the technical details of the network architecture, including the sources of biodiversity information content, catalogues, standards and protocols for information sharing.

b.   Develop a multi-year infrastructure implementation plan; include estimates of the resources required for each stage of implementation.

c.   Assess capacity gaps, particularly within developing countries, to facilitate access to the IABIN infrastructure and its information sources.

d.   Indicate priority areas for infrastructure development.

e.   Define the details of implementing a financial sustainable base for infrastructure implementation and maintenance.

4. Support communication and coordination among participants

a.   During the planning phase, continue development and maintenance of an international IABIN Web site and email communication groups.

b.   Coordinate participants in IABIN projects (e.g., the IABIN Invasives Information Network project) and working groups addressing the activities of the PDF process.

c.   Keep all participating organizations informed of progress.

5. Develop GEF Project Appraisal Document (PAD)

The PAD will reflect the results of the requirements definition and will lay out a multi-year implementation of the IABIN network.

a.   Prepare a draft PAD by integrating the user needs assessment, network requirements findings, network implementation plan, and resource and capacity-building requirements.

b.   Coordinate a review of the PAD by scientists, policy-makers, and information specialists in the biodiversity community, as well as by staff of the CHM.

c.   Convene a meeting of the IABIN Council for a final review of the PAD.

d.   Publish an informational brochure for potential IABIN participants summarizing the findings and describing the proposed GEF project.

6. Administration

a.   Provide project management and coordination, meeting logistics support, and overall support to communication among participants. Administration costs are to be co-financed with the OAS.

b.   Begin implementation of the strategy to establish a sustainable financial base for IABIN.

B.   OUTPUTS

1.   Documentation of the user requirements for a network on biodiversity information and an assessment of available content.

2.   Identification of network components (content, standards, tools, etc.) needed to implement IABIN

3.   A multi-year plan for the implementation of IABIN

4.   A redesigned, functioning Web portal with access to operational (if not yet fully developed) tools such as data catalogues and search tools

5.   Memoranda of Cooperation or Understanding between IABIN and other initiatives (e.g., CHM, GBIF, BCIS, Global Invasive Species Program)

6.   A GEF Project Appraisal Document (PAD)

C.   PROJECT MONITORING AND EVALUATION

IABIN implementation to date has progressed in two areas: (i) the initiation of specific projects to address biodiversity issues (e.g., invasive species), network standards (e.g., metadata), and tools (e.g., a distributed database search engine); and (ii) the development of a consultative process to encourage the participation of individuals and institutions from public and private sectors in the countries of the Americas. To track these and new developments, a monitoring and evaluation (M&E) plan will be designed and implemented to ensure monitoring and evaluation of project preparation results. The M&E plan would be used on a continuing basis during project preparation and amended as needed during project implementation. The plan will also serve as a basis for disseminating project results to participating states and other countries/regions.

D.   MILESTONES

1.   Identification of the technical requirements for a network architecture.

2.   Identification biodiversity information resources available from IABIN participants and their constituencies.

3.   Completion of an inventory of the information needs of the biodiversity community in the region, with indications of priorities among those needs. The inventory should include identification of gaps in knowledge.

4.   Establishment of a timeframe for participant concurrence on a set of standards, protocols, tools, and methodologies that will enhance the ability to integrate information across the network.

5.   Development of a strategy for communicating with and engaging data providers in the implementation of the network.

6.   Completion of an inventory of the state of collections of Latin American specimens in North America and Europe and identification of non-electronic data of interest.

7.   Commencement of the implementation of the financial sustainability strategy recommended for IABIN.

E.   PERFORMANCE INDICATORS

1.   Quality of project management and coordination, meeting logistics support, and overall support to communication among participants.

2.   Quality of project preparation documents that would be disseminated to other countries, regions and institutions. Replication of Hemispheric networks elsewhere would be supported by production of written material as well as participation in international workshops and task forces.

3.   Quality of interactions of IABIN with CHM Program and the CBD Secretariat, and mention in Conference of Parties decisions.

4.   Identification of national and subregional initiatives, such as REMIB, that can be considered prototypes for IABIN, and definition of how a hemisphere-wide network can build on these initiatives.

5.   Establishment of successful collaborations, including formal agreements where necessary, with other relevant initiatives including, *inter alia*, the GBIF, the Biodiversity Conservation Information System (BCIS), NABIN, and thematic initiatives such as the Global Invasive Species Programme.

6.   Successful establishment of working relationships, including agreements for information-sharing, with international and national academic institutions, private enterprise, and NGOs (e.g., World Resources Institute, Conservation International, The Nature Conservancy, NatureServe, the Smithsonian).

7.   Increased awareness by decision makers and civil society regarding the value and importance of IABIN.

8.   Success of the IABIN web portal in keeping the general public, as well as project participants, informed in a complete and timely manner concerning the progress of the implementation of IABIN.

F.   INSTITUTIONAL ARRANGEMENTS

Executing Agency: Given the multi-country nature of the project, the OAS Charter to convene hemispheric meetings, and the infeasibility of splitting project funds into individual country sub-budgets, the OAS/USDE (Unit for Sustainable Development and Environment) will serve as the Executing Agency for the Block B grant on behalf of the participant countries. The OAS will be responsible to the IABIN Executive Committee (IEC), the World Bank (as Implementing Agency) and GEF, and will ensure that applicable rules and procedures are adhered to.   The General Secretariat of the OAS, as the designated recipient of the Grant funds in representation of the beneficiary countries, will be the executing entity for the Project and thus responsible for compliance with Bank procurement procedures.   In addition, the OAS will fulfill an integrating functions for this PDF project and provide general administrative oversight. The OAS will provide support, as needed, in the procurement, legal, and financial management areas to facilitate Project preparation and will provide a project assistant.

Direction and Review: All the proposed activities will be directed and reviewed by the IABIN Executive Committee (IEC). The IEC is presently composed of the following representatives:

·   **United States:** US Geological Survey (Chair)

·   **Jamaica:** Institute of Jamaica (Vice-Chair)

·   **Argentina:** Ministerio de Relaciones Exteriores, Comercio Internacional y Culto

·   **Brazil:** Ministerio do Meio Ambiente, Recursos Hidricos e Amazonia (MMA)

·   **Colombia:** Instituto Alexander von Humboldt

·   **Dominican Republic:** Secretaria de Medio Ambiente y Recursos Naturales

·   **Guatemala:** Comisión Nacional del Medio Ambiente de Guatemala (CONAMA)

·   **Mexico:** Comisión Nacional para el Conocimiento y Uso de la Biodiversidad (CONABIO)

·   **IGO/NGO Representative:** North American Biodiversity Information Network (NABIN)

The IEC will meet as necessary over the course of the project to ensure its successful completion. These meetings may be by video-conference (using facilities kindly offered by the World Bank), teleconference, electronic or in person.

In all cases, the IEC will strive for consensus in their direction to the Executing Agency. However, if no consensus can be reached among the IEC members concerning an issue presented to it, a two-thirds agreement of the members shall be sufficient to render a decision. Except in extraordinary circumstances, the IEC shall be expected to respond within 10 days from receipt of a request for a decision. Silence shall be understood to indicate consent.

National Coordination: OAS will work closely with the National IABIN Focal Points to execute the Project under the direction and leadership of the IEC. The National IABIN Focal Points may further establish in-country technical advisory groups or other such structure in order to inform a country's input to this process; however, all communications between Project Management and participating countries will be with the National IABIN Focal Points. It is expected that in-country participant groups will include representatives from government (federal, state, provincial, etc.), NGOs, universities, and other sectors of civil society, as determined by each country.

G.   CAPABILITIES OF THE EXECUTING AGENCY

Procurement issues. On a recently approved full GEF project, a procurement capacity assessment of OAS was carried out in October 2001 by a World Bank Procurement Specialist, with satisfactory findings, and approved by the Regional Procurement Advisor. (The full assessment is included in the Guarani Aquifer Project files.)

Financial management issues. Also for the Guarani Aquifer Project, a financial management assessment was carried out by a World Bank Financial Management Officer, with the OAS receiving a satisfactory rating.

Procurement and disbursement issues. As stated above, a capacity assessment was carried out by the World Bank at OAS headquarters in Washington, D.C. It was deemed that the OAS has the necessary infrastructure and human resources, both in headquarters and in the resident missions in most of the beneficiary countries, to carry out and manage its procurement in an orderly and well established manner. OAS has experience in executing projects financed by various other external sources, some of which call for particular procurement requirements; such is the specific case of an on-going GEF Project in the Caribbean (Adaptation to Global Climate Change).

H.   PROJECT MANAGEMENT

Project Team: A Preparation Unit will be housed within the OAS to prepare the Project. PDF funds budgeted for administration (maximum 10% of total) will be used to help cover costs of this unit (project assistant, consultants, operational and administrative costs). Part of the costs, notably those related to the use of in-house expertise, space and equipment, will be covered by the OAS.

Interaction with IEC: OAS will provide the IEC with quarterly progress and financial reports. Reports shall include, at a minimum: work underway; accomplishments to date; funds committed, obligated, expended and remaining; problems encountered and status of resolution; and issues on which the OAS seeks the guidance or approval of the IEC.

Consultancies: Specialized consultancies and studies for detailed project and component design, including preparation of the PAD, will be contracted. These studies would specifically include, *inter alia*:

¾   Requirements definition (e.g., needs analysis)

¾   Network design (both architecture and content)

- ¾ Incremental cost analysis
- ¾ Project budgets and schedules
- ¾ Background and issue papers (topics to be determined), including recommendations

Procurement Planning: Finance and procurement actions will be handled by OAS financial administrators and procurement specialists. Two documents will be produced during the PDF project:

1. A *Global Procurement Action Plan* for the 12 months of the PDF project will be developed within 3 months of grant award and presented to the IEC for endorsement. This Procurement Plan will update and add specificity to the PDF budget as outlined in the GEF Proposal (see annex 1). The Plan will include:

a. Terms of Reference (TORs) and estimated costs for each consultant activity foreseen in the project preparation period

b. Description of the procedures for planning, awarding and reporting on consultant activities

c. Document flow, thresholds, methods and steps to be followed for each anticipated type of procurement

d. Thresholds over which prior review by the World Bank is required

e. Monitoring Plan that lists planned actions, outcomes, timeframe, expected impacts, institutions and stakeholders involved, responsible institution(s), and performance evaluation criteria.

For each proposed task, the Global Procurement Action Plan will include the following information: Component, responsible entity, activity, person months required, value of the contract, financing percentages by agency, terms of reference, approval by the World Bank (if necessary), procurement method (e.g., quality-based), proposal evaluation, date contract awarded, date signed by the vendor, and any observations.

2. A draft *Operations Manual*, acceptable to the World Bank, that outlines the organization and responsibilities of the team executing the full-size project and the applicable procedures and requirements the team will follow. The manual will be prepared within 6 months of the grant award. Annexes to the Manual would include internal forms and standard Bank documents.   The draft Manual will be finalized by the end of the PDF project and will be included as supporting documentation to the PAD to be submitted to the GEF.

Consultant Services: The Block B grant will finance, *inter alia*, specialized studies. All contracts will be done in compliance with approved procedures and rules of the OAS, and budgetary and financial rules of the OAS and the World Bank. Recruitment would be done according to Section V of the Bank Consultants Guidelines.

Training Services: The Project includes organization of workshops and seminars. This category would cover rents, training materials, food, travel expenses, facilitator fees, etc. To the extent applicable, training services would be awarded through price comparison.

Goods: No goods purchases are foreseen in implementation of the Block B Grant.

Tranche Disbursements: Funds will be provided to the Executing Agency in two (2) tranches each equal to 40% of the total award and a final tranche equal to 20% of the total award.

I. SCHEDULE

It is presently anticipated that Project preparation will be substantially completed by 12 months after the Block B grant is awarded.   (ECD = Estimated Completion Date)

Activity	Task	Lead	Budget	ECD
1. Define requirements for network architecture and content				
a. Develop and apply survey instrument to document network requirements	Develop TOR; hire consultant		20,000	
	Develop survey			

	Apply survey; document results			
b. Identify potential IABIN participants for requirements definition	Inventory participants			
	Convene technical working group meeting; document results		15,000	
c. Prepare special studies, projects and background documentation	TBD		100,000	
d. Convene three regional meetings of biodiversity experts	Recruit hosts			
	Develop TORs for meeting support			
	Hire mtg support consultants			
	Convene CA regional		25,000	
	Convene Carib regional		25,000	
	Convene SA regional		25,000	
e. Prepare report	Write summary requirements definition		10,000	
	Present to IABIN Council			
2. Institute collaborative partnerships			25,000	
a. Conclude MOC with CBD Secretariat	Conclude MOU			
b. Identify initiatives and define how to build on them	(Working Group? Regionals? Consultant?)			
c. Establish collaboration with GBIF, BCIS, NABIN, GISP, etc.	(MOUs? Exchange of representatives?)			
d. Develop agreements for information-sharing with international and national academic institutions, private enterprise, and NGOs	TBD			
e. Implement financial sustainability strategy	TBD			
3. Develop infrastructure implementation plan			175,000	
a. Define technical details of architecture, including content, standards, protocols, catalogues, etc.	Develop TOR; hire consultant			
b. Develop implementation plan with resource estimates	Same consultant as above			
c. Assess infrastructure capacity gaps	Same consultant as above			
d. Define priority areas for infrastructure development	Convene technical working group			
e. Define details of financial sustainable base for implementation and maintenance	Convene technical working group			
4. Support communication and coordination among participants			50,000	
a. Develop and maintain international web site and listserv(s)	Select web site host			
	Regain domain name			
	Wrote TOR; hire webmaster			
	Re-implement web site			
b. Coordinate among IABIN project participants, working groups, etc.	Recruit listserv hosts			
	Initiate listservs			
c. Keep participating organizations informed of progress	(Listserv? Newsletters?)			
5. Develop GEF Project Document				
a. Prepare draft PAD	Write TOR; hire consultant		50,000	
	Gather information from consultative processes			
	Draft PAD			
b. Coordinate review of PAD	Circulate PAD for comment		5,000	
	Incorporate comments			
c. Convene IABIN Council Meeting	Convene meeting		50,000	
d. Publish information brochure	Write TOR; hire consultant		10,000	
	Design brochure based on PAD			
	Circulate brochure for review			

	Publish brochure				
6. Administration					
a. Provide project management coordination; meeting logistics support; etc.				65,000	
b. Begin implementation of financial sustainability strategy					
TOTAL				650,000	

ANNEX 1

PDF Block B Budget
(as included in proposal)

PDF Activity	Timeframe	GEF	Other	OAS & WB
1. Define requirements for network architecture and content				
Develop and apply survey instrument to document network requirements	Jan – Dec 02	20,000	10,000	
Convene Technical Working Group meeting	February-02	15,000	62,000	
Prepare special studies, projects and background documentation	Jan – Jun 02	100,000	2,500,000	250,000
Convene three regional meetings of biodiversity experts	Mar – May 02	75,000	102,000	30,000
Prepare report	June-02	10,000	20,000	
2. Institute collaborative partnerships		25,000	300,000	40,000
Expand partnership with the CHM	Jan – Oct 02			
Develop collaborative efforts	Jan – Oct 02			
Develop agreements for information-sharing with international and national academic institutions, private enterprise, and NGOs	Jan – Oct 02			
Implement financial sustainability strategy	Jan – Oct 02			
3. Develop infrastructure implementation plan		175,000	26,000	30,000
Design infrastructure; develop implementation plan	Jul – Sep 02			
Submit draft to IABIN Executive Committee, IABIN Council	October-02			
4. Support communication and coordination among participants		50,000	20,000	
Maintain Web site and listserv	Jan – Dec 02			
Coordinate among IABIN project participants and PDF working groups	Jan – Dec 02			
Keep participating organizations informed of progress	Jan – Dec 02			
5. Develop GEF Project Document				
Prepare draft GEF Project Document	October-02	50,000	20,000	
Coordinate review of GEF Project Document	November-02	5,000	46,000	
Convene IABIN Council Meeting	December-02	50,000	104,000	
Publish information brochure	December-02	10,000	20,000	
6. Administration				
Provide project management coordination; meeting logistics support; etc.	Jan - Dec 02	65,000	220,000	90,000
TOTAL		650,000	3,450,000	440,000
PDF REQUEST TOTALS		650,000		