

**General Secretariat Organization of American States,  
Executing Agency for**

**LCR-6L- BUILDING THE INTER-AMERICAN BIODIVERSITY  
INFORMATION NETWORK (IABIN)  
PO77187 - TF 053526**

# **Project Operational Manual (POM)**

**English**

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## LIST OF ACRONYMS

AOP	Annual Operating Plan
CBD	Convention on Biological Diversity
CI	Coordinating Institution
CHM	Clearing House Mechanism
CONABIO	Comisión Nacional para el Conocimiento y Uso de la Biodiversidad (México)
DBFS	OAS Department of Budgetary and Financial Services
DSD	OAS Department of Sustainable Development
DWA	Direct Withdrawal Applications
EI	Eligible Institutions under IABIN Subprojects
FMR	Financial Monitoring Reports
GBIF	Global Biodiversity Information Facility
GEF	Global Environment Facility
GS/OAS	General Secretary, Organization of American States
IABIN	Inter-American Biodiversity Information Network
IBRD/IDA	International Bank for Reconstruction and Development /International Development Association
IEC	IABIN Executive Committee
IGO	Inter-governmental organization
IS	IABIN Secretariat
NGO	Non-governmental organization
OAS	Organization of American States
OAS-CIDS	OAS Committee on Sustainable Development
OASES	OAS Enterprise System
GS/OAS	OAS General Secretariat
PAD	Project Appraisal Document
PDF	Project Development Fund
PIP	Project Implementation Plan
PO	Purchase Order
POM	Project Operational Manual
PP	Procurement Plan
UNDP	Programa de las Naciones Unidas para el Desarrollo
SOE	Statement of Expenditures
TN	Thematic Network
TWG	Thematic Working Group
USD	United States Dollars
WB	World Bank

## **BUILDING THE INTER-AMERICAN BIODIVERSITY INFORMATION NETWORK (IABIN)**

### **1. INTRODUCTION**

This Project Operational Manual (POM) has a legal character, being referred to in the GEF Trust Fund Agreement in Section 3.04 (a). Thus it lays out the details for the implementation of IABIN GEF/WB project, a US\$35 million, 5-year effort of which US\$6 million has been awarded by the GEF and US\$28.9 million parallel financing from 78 regional / national institutions. The Project Operational Manual also describes the administrative, internal controls, accounting, reporting and financial management of the project. It is to be used by the Executing Agency, Coordinating Institutions (CIs) that manage thematic networks, and by Eligible Institutions with high quality data that carry out the IABIN Subprojects. This POM works in conjunction with the Project Implementation Plan (PIP), the Project Appraisal Document (PAD), and Rules of Procedure. These and other documents that detail the implementation of IABIN have been discussed and approved in various Council meetings and can be found at [http://www.iabin.net/index.php?option=com\\_content&task=blogcategory&id=11&Itemid=21](http://www.iabin.net/index.php?option=com_content&task=blogcategory&id=11&Itemid=21).

The World Bank PAD (Project Appraisal Document) is the official description of the project referred to in the GEF Trust Fund Agreement as amended on February 10 and June 26, 2006, which is used for the purposes of the GEF Secretariat and the World Bank. The IABIN Project Implementation Plan (PIP) is the operational version of the PAD prepared by the Executing Agency (GS/OAS). Both documents are consistent with each other. The PAD was completed and submitted to the GEF Council in June 2004 (English only) while the PIP is bilingual and is continually being updated by the IABIN Secretariat. Both the PAD and PIP are more pertinent project description documents as they give greater detail to project components and activities.

Responding to the importance in the Americas of protection of biodiversity (the Americas house 8 of the 25 biodiversity hotspots), the Inter-American Biodiversity Information Network (IABIN) was officially mandated at the Summit of the Americas on Sustainable Development, convened by the Organization of American States in Santa Cruz de la Sierra, Bolivia, in December 1996. IABIN is an Internet-based forum for technical and scientific cooperation that seeks to promote greater coordination among Western Hemisphere countries in the collection, sharing, and use of biodiversity information relevant to decision-making and education. The objective of IABIN is to promote sustainable development and the conservation and sustainable use of biological diversity in the Americas through better management of biological information. While IABIN is envisioned as a distributed system of data providers in which the data are maintained and controlled by the provider, a single point of access to the integrated resources of the network is a key component of IABIN.

Since IABIN's inception in 1996, all 34 countries have designated official IABIN Focal Points. Four IABIN Council meetings have been held with the IABIN Focal Points and a broad representation from the international, NGO, and private sector communities. The IABIN Executive Committee (IEC) comprises representatives from 8 Countries and an IGO/NGO member, currently the Global Biodiversity Information Facility (GBIF).

The overall project will:

- (i) Develop an Internet-based, decentralized managed network to provide access to scientifically credible biodiversity information currently existing in individual institutions and agencies in the Americas,
- (ii) Provide the tools necessary to draw knowledge from that wealth of resources, which in turn will support sound decision-making concerning the conservation of biodiversity, and
- (iii) Provide a mechanism in the Americas to exchange information relevant to conservation and sustainable use of biological diversity, thus promoting and facilitating technical and scientific cooperation to help fulfill the mandate of the Clearing-House Mechanism of the Convention on Biological Diversity.
- (iv) Finance three IABIN Council meetings, in project years 1 (4th IABIN Council meeting completed in April, 2005) 3, and 5 that will review project milestones and authorize changes to project design and implementation. In addition, 2 IABIN Executive Committee (IEC) meetings will be held (1<sup>st</sup> IEC Meeting was held on June 2006 in conjunction with Coordinating Institutions and Information technology experts).

For monitoring and evaluation, a series of quantitative performance indicators (see Annex 1) have been established to assess project progress.

The IABIN Secretariat was established in December 2004. It manages the day-to-day activities of IABIN. The IEC chose the City of Knowledge in Panama City, an NGO, as the Host organization for the IABIN Secretariat.

The IABIN Gateway, found at [www.iabin.net](http://www.iabin.net), is becoming a gateway to biodiversity information in the Americas as well as a mechanism for facilitating interconnection of data from different institutions and agencies concerned with biodiversity conservation. The Gateway provides simple user interfaces for sharing knowledge. IABIN is also developing a searchable catalog of biodiversity data and information resources that allows users to identify and locate content available through the network: biodiversity datasets, publications, museum collections, value-added information (such as hotspots, ecoregions, invasive species), and other biodiversity related databases. Additional value-added tools are expected from Secretariat and network activities.

## **2. INSTITUTIONAL ARRANGEMENTS**

The GEF Grant became effective in September 2004 and has a closing date of December 2009.

Organizations responsible for the project include the Implementing Agency, an Executing Agency, the IABIN Secretariat, the IABIN Council and the IABIN Executive Committee (IEC), the Coordinating Institutions (CIs) of the Thematic Networks, the IABIN Focal Points, and the governments and institutions of the Americas who are both data-providers and information users. The functions of these organizations have been grouped into:

- "executing" functions, roles that the organization will be directly responsible for, and
- "coordinating" functions, in which the organization will primarily coordinate or facilitate actions undertaken by other organizations.

Annex 2 provides an overview of the functions of each of these major players and the following chart and texts further elaborate their roles.

## IABIN Project Institutional Structure & Responsibilities

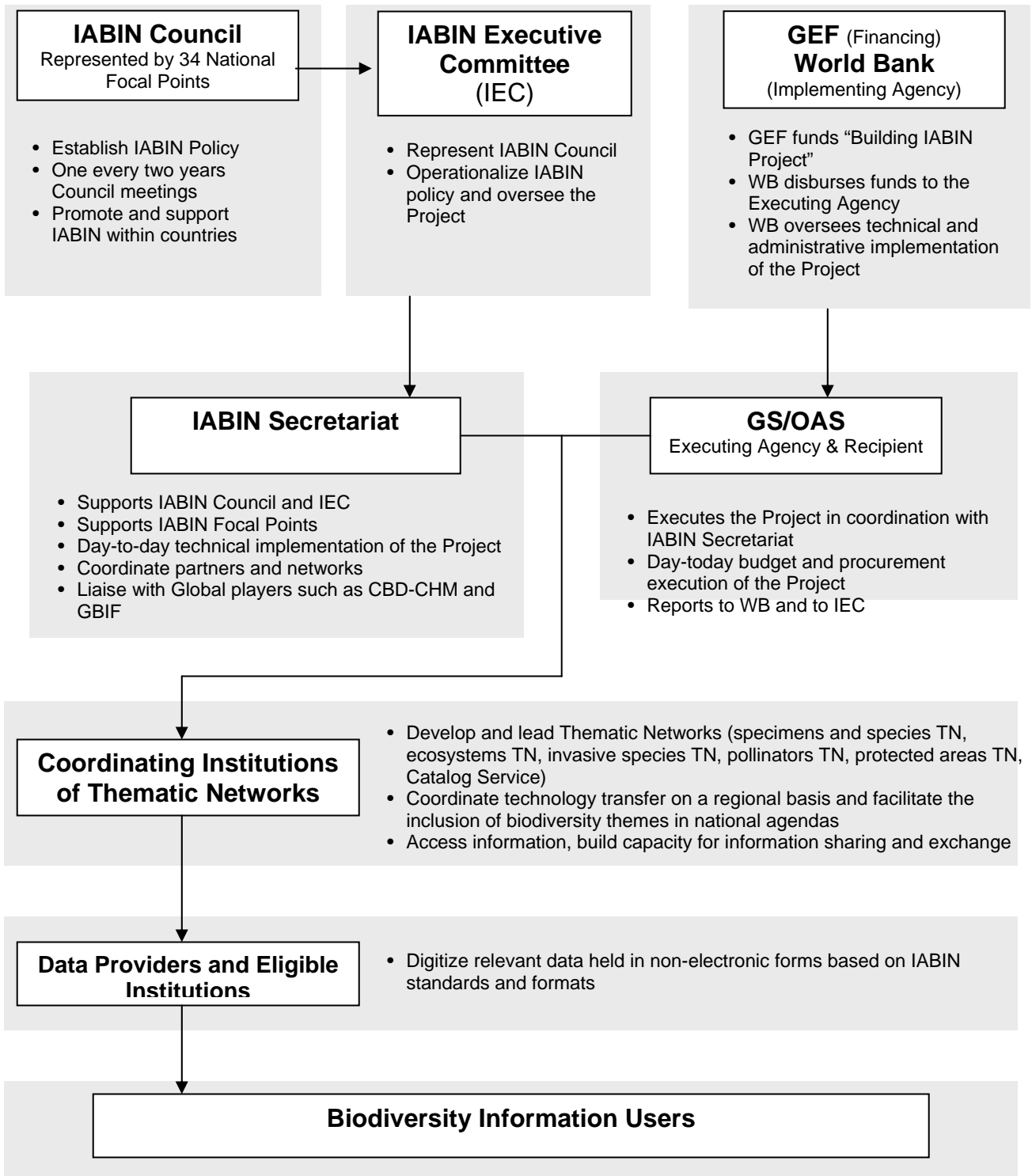


Chart showing the lines of authority, responsibility, interrelationships among participants and the IABIN Network in accordance with various decision making process (policy, financial and technical procedures).

## 2.1 Implementing Agency

GEF funds can only be channeled from the GEF through a handful of potential Implementing Agencies, including the World Bank (WB), UNDP, and UNEP. In the case of this project, the World Bank receives the project funds from the GEF and is responsible to the GEF Council for the use of the funds and the oversight and implementation of the project. Specifically, the following are some of the key functions of the World Bank in project implementation and supervision:

As per the terms of the legal agreement, the Bank will:

- Disburse funds to the Executing Agency.
- Oversee the procurement, financial management, disbursements, and audits of the Executing Agency to ensure compliance with the Grant Agreement.
- Carry out technical supervision of the Project, ensuring it is being implemented in accordance with the project design.
- Provide specialized technical assistance to the Recipient upon request and when possible
- Carry out regular reporting to the GEF and to WB management.
- Ensure coordination with other WB projects in the region and to the degree possible with other major donor-financed projects.

It should be noted that the WB manages an internal preparation and supervision budget received directly from the GEF and none of the Bank's costs are charged to the IABIN Project budget.

The World Bank and other co-financiers will have fiduciary responsibility over the funding contributions to the overall project. Additionally, they will regularly monitor project progress, ensuring that project objectives are being met and that the project is being conducted as per this Project Operational Manual and the Grant Agreement.

The World Bank, upon approval of the Project Operational Manual and overall project schedule, will use these as the basis for monitoring and evaluation of the execution of the Building IABIN Project. The Bank will monitor physical/technical progress, financial progress, and procurement progress through the various reports prepared by the GS/OAS and the IABIN Secretariat, required by the Bank in the specified format (see Annex 3- Monitoring and Evaluation Report). The Bank will conduct Supervisory Missions to review and evaluate overall progress, and to discuss specific management issues with GS/OAS and the IABIN Secretariat.

The Bank will also:

1. Provide funds in a timely manner based on the Grant Agreement and on the quality of outputs and the thoroughness of the financial and progress reporting;
2. Review and assess semi-annual activity and financial reports;
3. Monitor project implementation and the key performance indicators for compliance with existing criteria or agreed standards;
4. Review project execution to ensure that the GEF requirements are also met and satisfied, and
5. Review that all terms of the Grant Agreement are met by all parties



## 2.2 Executing Agency

The OAS General Secretariat (GS/OAS) Department of Sustainable Development (DSD) has been chosen by the IEC to be the Executing Agency and the diplomatic host. Note that the Executing Agency will play a very different role from the IABIN Secretariat. In essence, the Executing Agency will be administering the GEF grant, responsible for procurement, contracting, disbursements, auditing, and evaluation of project effectiveness. The Executing Agency will be legally responsible for the technical execution, whereas the IABIN Secretariat will be coordinating and facilitating the day-to-day operations of the project.

The functions of the Executing Agency are:

1. Work closely with the IABIN Council, guaranteeing the effective execution of project funds.
2. Comply with procurement, legal, and financial management conditions as established in the GEF Trust Fund Grant Agreement, and prepare and furnish to the WB Monitoring and Evaluation reports in a format acceptable to the Bank (see Annex 3), adequate to reflect the operations, resources and expenditures related to the proposed GEF supported project.
3. Work closely with the IABIN Secretariat and Coordinating Institutions in find new funds that guarantee the sustainability of IABIN after GEF project.

The selection of the GS/OAS by the IEC as the Executing Agency was accepted by the World Bank after an evaluation of its administrative and technical capacity to manage the Project.

## 2.3 IABIN Council and IABIN Executive Committee (IEC)

IABIN operates through a membership assembly called the IABIN Council that comprises: (please read [http://www.iabin.net/index.php?option=com\\_content&task=blogcategory&id=3&Itemid=5](http://www.iabin.net/index.php?option=com_content&task=blogcategory&id=3&Itemid=5))

- National Focal Points from the thirty-four member countries of the OAS that have designated IABIN Focal Points through their Permanent Missions to the OAS; and
- A representative of the Diplomatic Host organization (GS/OAS).

The IABIN Executive Committee guides the operations of IABIN between Council meetings and executes the policy decisions of the IABIN Council. IEC Officers are elected for three-year terms by a 2/3 vote of the voting Council members, to date elections have been by consensus. The IEC consists of nine voting members:

- The Council Chair and Vice-Chair
- Six additional governmental representatives elected at large; and
- One representative from an inter-governmental or non-governmental institution.

A nominating committee, appointed by the Council Chair, caucuses with the Council participants, and, based on those discussions, proposes a slate of nominees. To date, each proposed slate has been elected by acclamation, by the Council as a whole.

The GEF and the World Bank consider the GEF-Participating countries of the Americas, whose GEF Focal Points have endorsed the project in writing, to be the beneficiaries of this Grant. The IABIN Council and its IEC are the most obvious representatives of this group of countries and therefore for practical reasons, we can consider the IEC to represent the Grant beneficiaries. However, as neither the IABIN Council nor the IEC have a legal status nor can manage funds, they have chosen an Executing Agency be the formal Grant recipient.

Nevertheless, during the implementation of the project, the IABIN Council and IEC will continue to play a major decision-making role. For a Matrix of Responsibilities relative to the main actors in IABIN see Annex 2.

## **2.4 National Focal Points**

Country participation in IABIN is through a focal point. (See Rules of Procedure [http://www.iabin.net/index.php?option=com\\_content&task=view&id=32&Itemid=5](http://www.iabin.net/index.php?option=com_content&task=view&id=32&Itemid=5)). National Focal Points are formally designated by governments through the appropriate diplomatic channels to the GS/OAS, the diplomatic host of IABIN. Appropriate diplomatic channels are through the Government agency that is the liaison with the GS/OAS. In general, the Government designates a person within a specific position within a Ministry or Agency. If the person is replaced, then the new person within that position would become the Focal Point unless the Government states otherwise. Governments are encouraged to coordinate their IABIN and CHM focal point appointments as far as possible.

## **2.5 Participating Countries in the Project**

Participating Countries are any of the 32 OAS member States that have endorsed the IABIN GEF Project. The U.S and Canada are not Participating Countries as they do not endorse GEF projects per se, but they are part of IABIN and contribute to this project. Participating Countries are eligible to receive GEF funding under the Project through the GEF Trust Fund Agreement. Participating Countries are listed in Schedule 5 of the GEF Trust Fund Agreement. (See at [http://www.iabin.net/index.php?option=com\\_content&task=view&id=31&Itemid=5](http://www.iabin.net/index.php?option=com_content&task=view&id=31&Itemid=5))

## **2.6 Other Partner Organizations**

IABIN is envisioned as a distributed system in which the countries and diverse governmental and civil society organizations play a key role in the development and maintenance of the information content of the network. Other than country membership in the IABIN Council, there is no formalized definition of “membership” in IABIN.

During the preparation phase of this project, potential contributors to IABIN were identified and letters of interest, including co-financing information, were received. Co-financing of \$28.9 million was identified from 76 regional or national institutions and programs. It is expected that during project implementation, these same organizations will form the core of a large set of organizations that will be the most active players in the Thematic Networks and as data-providers and information users. However, if an institution has not submitted a formal expression of interest in the IABIN Project, this in no way precludes their active participation in the Project;

submission of a letter of support, similarly, does not guarantee privileged access to any project funds.

## 2.7 Component 1. Interoperability and Access to Data

The Project is in part built around the concept of Thematic Networks (TNs), each facilitated by a Coordinating Institution (CI), which in most cases will be competitively chosen during the project implementation by the IEC. (see annex # 5 – Evaluation and Selection Process). In the case of Invasive Species TN, the CI was chosen during project preparation and is the USGS. Likewise for the Catalog Service, the designated lead organization is also USGS. The CIs have a special role in the coordination and promotion of key technical aspects of IABIN such as the development of functioning networks and development of thematic information resources. For a Matrix of Responsibilities relative to the main actors in IABIN see Annex 2.

### *Coordinating Institutions of the Thematic Networks*

As of October 2006, all TNs (Species and Specimens, Protected Areas, Ecosystems, Invasive Species, and Pollinators) and Catalog Service have a CI selected through a selection process approved by the IEC. The following is the status of each CI as of October, 2006:

Thematic Network	Coordinating Institution	Country	Selected by IEC	Signed MOC	Signed CI Transfer Agreement	Procurement Plan
Invasive Species	United States Geological Survey	United States	PAD	Under Discussion	Not applicable	Submitted to WB on 23-Jul-06 together with the PP for the whole project, the no-objection from WB was received on 2-Aug-06
Species and Specimens	Instituto Nacional de Biodiversidad	Costa Rica	19-Sep-05	23-Feb-06	24-Feb-06	
Protected Areas	Fundação O Boticário de Proteção à Natureza	Brazil	6-Oct-05	3-Mar-06	9-Mar-06	
Ecosystems	Smithsonian Tropical Research Institute	Panama	25-May-06	21-Aug-06	Not applicable	
Pollinators	Coevolution Institute	United States	25-May-06	17-Jul-06	23-Aug-06	

### *Coordinating Institutions and their Consortium Members*

In general, the CIs were evaluated in a competitive process and appointed by the IEC on the quality of their proposal and the depth and geographic balance of their consortium members. These consortium members would contribute expertise and may also contribute core co-financing. There is, however, no legal or binding relationship between the CI and the consortium members. As a result, consortium members may become “eligible institutions” (see 2.8 below) and apply for data content grants. However, the CIs are precluded from applying for such grants because, in general, the CIs will be involved with the Request for Proposals (RfP) process and on the evaluation panels for the data content grants. Therefore the CIs applying for data content grants would be construed as a conflict of interest. Coordinating Institutions must be a legal entity and sign the “Coordinating Institution Transfer Agreement” with the GS/OAS. Finally Consortium Members may bid, on a competitive basis, for any contracts that may be bid out by the CI assuming there are no conflicts of interest.

In some cases it may be appropriate for the CI to request that the GS/OAS be the contracting entity and this will be decided on a case by case basis. GS/OAS has been the contracting entity on a partial basis in the PATN and a complete basis in the Ecosystems TN.

#### *CI Technical Working Group*

If a CI so desires, an IABIN Technical Working Group (TWG) under each Thematic Network (TN) can be established. For example, I3N decided to establish a TWG under the following conditions:

- The CI for each TN will select and invite new members each year. TWG members will be selected based on interest, commitment, and technical experience. An attempt will be made to have a sub regional balance in representation.
- The TWG shall consist of no more than 10 volunteer members (excluding ex officio members) with interest and expertise in the thematic area.
- TWG members should be associated with an IABIN Institutions and the IABIN Focal Point should be aware that the individual is a member of the TWG.
- Authorized representatives of the CI in each TN, the Data Content Manager and the TN Coordinator of the IABIN Secretariat shall be ex officio members of the TWG.
- Each member will serve for a term of 1 year; members may be invited to serve additional terms.

The TWG is convened and chaired by the CI. The TWG addresses various issues relevant to TN:

- Evaluating and recommending tools and standards for consideration
- Identifying common issues of data providers and the TN CI lead (representative).
- Identifying ways in which the TN can link to other Thematic Networks (TN).
- Identifying best practices and standards in such areas as content, metadata, cataloging, digital preservation, and user interface design.
- Determining how to promote adoption of new technologies.
- Facilitating understanding of and commitment to the network's goals.
- Recommending criteria for evaluating proposals submitted to the Organization of American States for TN grants and contracts.

In addition to participating in the above-mentioned group tasks, each member is also expected to:

- Keep the IABIN Focal Point and TN Lead of her or his country, as well as other relevant experts and institutions, informed and to obtain their input when appropriate.
- Identify new project ideas and priorities, and bring those to the attention of the TWG and CI.
- Remain informed about IABIN and activities regarding their respective TN her or his country and abroad.

## **2.8 Component 2: Data Content Creation**

The IABIN Content Development Program will support multilingual training and provide leadership to IABIN countries to improve the availability of critical data and metadata. It is

important that a sub regional balance is achieved within each of the Content Programs during the life of the project. Eligible Institutions of this program will be selected through a competitive funding mechanism using the criteria listed in Annex 6 described below and in more detail.

The Program includes:

1. Carrying out training sessions on the use of data creation tools which should be coordinated by each CI
2. Providing grants to “Eligible Institution EI”<sup>1</sup> with high quality data to support institutional efforts to make data available through the network

A “Request for Proposals or RfP” will be done, as possible, twice yearly. It will be published in IABIN’s website, IABINfriends, and the IABIN Focal Points listserv. The RfP may be specific to a thematic network. Proposals will be evaluated based on their adherence to:

- Commitment to IABIN standards and protocols
- Commitment to public access
- Relevance to multiple countries and Hemispheric IABIN initiatives
- Impact of filling data gaps
- Linkage to IABIN thematic priorities
- Availability of co-financing (at least 1:1)
- Assignment of qualified personnel

The implementation process under this component is:

- IABIN Secretariat coordinates with TNs CI preparation of “request for proposals” as indicated in the Annual Operating Plan up to 2 times a year. Request for proposals advertised on IABIN’s website, IABINfriends, and the IABIN Focal Points listserv.
- A member of the IABIN Secretariat and the CI (where appropriate) to be on all Selection Committees. Up to 2 members of the IEC will be invited to sit on the Selection Committees. IEC members should recuse themselves if a proposal is being considered from their country.
- The Selection Committee qualifies the proposals and chooses the best proposals based on the allocation of funds for the year. The GS/OAS will assemble the independent evaluations and prepare the Eligible Institution Project Agreement. (See Annex 21.)
- Proposals not to be funded are notified.
- Approved proposals are notified and invited to negotiate a “Project Agreement” with the GS/OAS. If this is successful (e.g., they need to show counterpart funds, assignment of personnel, etc.) then Agreement is signed. If not, go on to next choice.
- Results and proposals are posted on the web.
- Upon approval and signature of an IABIN Subproject, the GS/OAS shall transfer, on a grant basis, a portion of the GEF Trust Fund Grant proceeds.

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<sup>1</sup> Eligible Institutions means entities vested with legal personality in Participating Countries. They may be government institutions or agencies, NGOs, academic institutions, botanic gardens, museums, or in some cases private sector entities.

- Monitoring process.

Grants will be in the range of 10-15k/year and may be multi-year to a maximum of 45k, but can be smaller and only for one year.

## 2.9 Component 3: Information Products for Decision Making

The Objective of the Information Products for Decision Makers component is to develop value-added tools to help guide environmental management, biodiversity conservation, and sustainable development decision-making processes throughout the Western Hemisphere. The products will:

- Integrate and provide access to socio-economic and geo-spatial data relevant to biodiversity
- Visualize and analyze data and information (e.g., dynamic map showing actual and predicted spread of a invasive species across several countries)
- Utilize data with models to develop scenarios (options and consequences) for decision makers

These activities are to be funded as consultant services. (See annex # 7.)

## 2.10 Component 4: Sustainability of IABIN

The IABIN Network is envisioned as a highly decentralized partnership between governments and organizations, but participants agree that it still needs a small Secretariat to provide a physical home for the Network and for a small number of key staff to champion the Network and promote its development.

The Secretariat has functions and responsibilities as the coordinating organization of the IABIN Network and also has a role in coordinating technical aspects of the implementation of the GEF World Bank-implemented project. In the short term, the Secretariat is focused on the implementation of the GEF Project, as it is the only major instrument currently available for channeling financial support to the network. In the future however, as other funding sources replace a reliance on GEF funds, the more general coordinating role of the Secretariat will assume greater importance. It is expected that additional sources of funding will become available to sustain the Secretariat. For a Matrix of Responsibilities relative to the main actors in IABIN see Annex 2.

Recruitment began in August 2004 for the IABIN Secretariat Director, the Thematic Network Specialist, and the Data Content Manager. As a result, the IABIN Secretariat Staff was fully operational by the 4<sup>th</sup> IABIN Council Meeting held April 2005 in Panama.

Two (2) administrative assistants (receptionist and part time secretarial services) were offered through the City of Knowledge in an MOU and one has been hired.

IABIN Secretariat Staffing	Timing of Contracting
IABIN Secretariat Director	Hired in December 2004

<b>Thematic Network Specialist</b>	Hired in January 2005
<b>Data Content Manager</b>	Hired in January 2005
<b>Admin Assistant 1</b>	Hired in July 2006 by the City of Knowledge (This position is financed in part by CoK and in part by the IABIN DGF Project. For year 2, the position will be financed by CoK and by the IABIN-GEF project)

See annex # 4 for the Evaluation and Selection Process used to employ the IABIN Secretariat staff.

## 2.11 Transparency and Dissemination of IABIN Information

It has become necessary to regulate queries of and use of information of biological collections and databases on biodiversity provided through IABIN, upon ethical and International Intellectual Property rules. IABIN has prepared access to information and intellectual property regulation that can be found on: [http://www.iabin.net/index.php?option=com\\_content&task=blogcategory&id=11&Itemid=21](http://www.iabin.net/index.php?option=com_content&task=blogcategory&id=11&Itemid=21).

In addition, all pertinent information relative to databases and overall project information, as appropriate, will be made available on [www.iabin.net](http://www.iabin.net). This will include Semester and Quarterly Reports, governance documents, biodiversity tools, and meetings and workshops.

Relative to the CONSULTANT WORK: The Consultant shall not have any title, copyright, patent, or other proprietary rights in any Work furnished under Contract. All such rights shall lie with GS/OAS. The Consultant shall deliver such Work to the GS/OAS with a copy to the CI as appropriate no later at the end of the Contract. All Work shall comply with the IABIN access to information and intellectual property regulation found on <http://www.iabin.net>.

Relative to the DATA SOURCE: The data provider shall retain title, copyright, patent, or other proprietary rights of their data and shall hereby grant to GS/OAS and IABIN a non-exclusive unlimited license at no cost.

## 3. PROJECT ADMINISTRATION

(Component 5 in the PIP and PAD)

The General Secretariat of the Organization of American States (GS/OAS) has been chosen by the IABIN Executive Committee as the Executing Agency for the IABIN GEF Project and thus is responsible for compliance with Bank procurement and disbursement procedures. The GS/OAS has considerable experience in executing World Bank implemented GEF projects, and through its Department of Sustainable Development (DSD) will provide necessary support for procurement, legal and financial management activities, and working closely with the IABIN Council, guarantee effective execution of project funds.

The Bank has reviewed the financial management and monitoring systems already in use by the GS/OAS to implement projects funded by multilateral financial institutions. This review included the evaluation of the Organization, qualifications and responsibility of the staff,

decision making process, accounting policies and procedures, disbursement and reimbursement procedures, and reporting and auditing arrangements. The GS/OAS has appropriate infrastructure and human resources, both in headquarters and in the national offices, to carry out and manage its procurement in an orderly and well established manner. Its financial management information systems OASES or the GS/OAS Enterprise System, is a tightly integrated set of Oracle Applications that allows the Organization to manage the entire cycle from quota or donors receivables to project management to supplier payment.

### **3.1 Financial Flows**

Following is a detailed explanation of how funds flow from the donor, through the executing agency, and to the final recipient.

#### **Process Prior to Executing Funds**

1. OAS and the World Bank sign a Grant Agreement. Before opening an Award in the OAS Enterprise System (OASES), the GS/OAS Department of Budgetary and Financial Services (DBFS) must receive a copy of this agreement.
2. DFS records an Award in OASES that identifies the donor, the amount of the agreement, the dates of execution, and the executing Unit among other specifics.
3. The technical Unit responsible of executing the funds, the OAS/DSD in the case of IABIN, prepares a template and sends a request to DBFS to open a Project Account, specific for the project, identifying the source of funds (Award).
4. DBFS opens the Project Account, with a unique number that identifies the project, and defines a specific Project-Award combination.
5. After the Bank receives evidence satisfactory to it that the Project Account has been duly opened, it deposits a contribution in the OAS' Bank of America account equivalent to the authorized allocation stipulated in the Grant Agreement.
6. DBFS enters an installment amount in the Award to reflect the payment received from the donor and delimits the maximum amount of funds that the project can receive from this award.
7. DBFS gives a budget to the specific Project-Award combination (project funds can be executed).

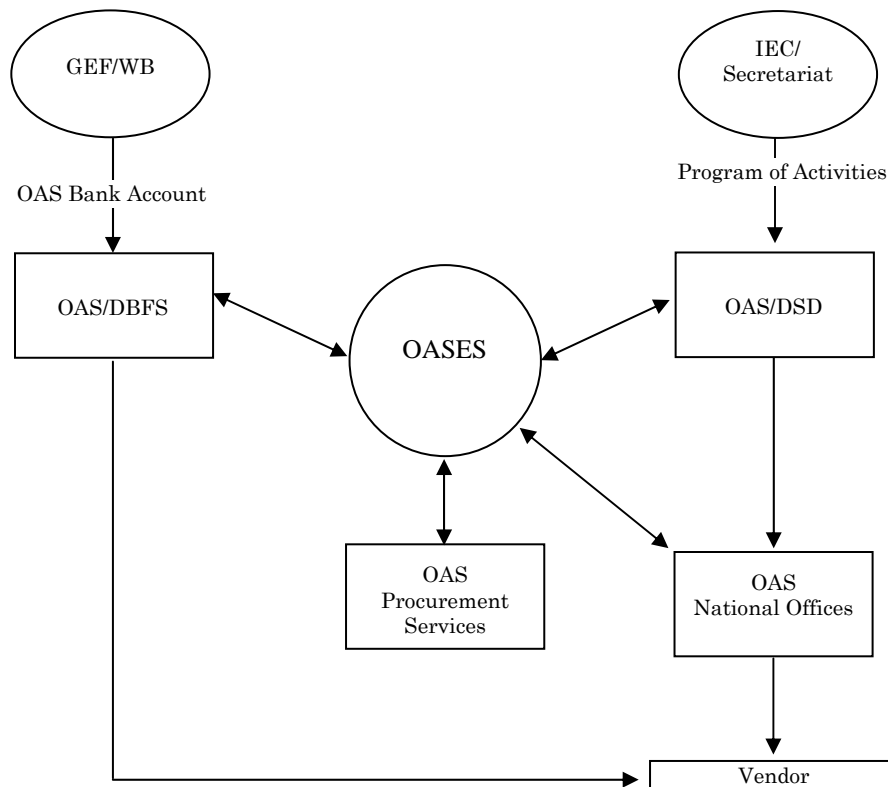
#### **Execution of Funds**

1. Following the program of activities approved by the IABIN Executive Committee and conforming to the provisions stipulated in the Grant Agreement, the DSD begins execution of project funds in coordination with IABIN Secretariat.
2. Under the Project-Award combination, DSD creates a requisition encumbrance (pre-obligation) in OASES to record an expenditure that can be a purchase of goods or services, consultant services, or travel expense.
3. When a contract (e.g. goods, services or consultant) exceed \$80,000, the GS/OAS Departments of Legal Affairs, Budgetary and Financial Services, and Procurement need to issue a clearance.
4. GS/OAS Department of Procurement verify funds availability and appropriate procedures before converting any requisition into a Purchase Order (PO), a firm commitment between the GS/OAS and a supplier. When applicable, POs are sent to National Offices within three business days.



5. Payments against POs are made upon receipt and approval of deliverables expressed on the PO by the GS/OAS satisfaction. The DSD is responsible for authorizing and requesting to DBFS disbursement or transfer of funds.
6. Payments at headquarters are directly paid by DBFS and immediately charged to the Project Account. Payments in the field are made through the OAS National Offices by transferring funds to the country. National Offices wait for the Technical Department to authorize payment. If it is not an OAS National Office at the country, the payment will be made through international bank transfer.
7. OAS National Offices process payments through OASES and disburse funds via the national bank account. An authorization in OASES to cut a check simultaneously debits the Project Account. Account information at the Award and Project level is updated on a daily basis.
8. Payments out of the Project Account shall be made exclusively for eligible expenditures in accordance with the provisions stipulated in the Grant Agreement.

Figure 1 Execution of project funds



### 3.2 Counterpart and Parallel Funding

Parallel financing of \$28.9 million dollars from seventy-eight regional or national institutions and programs was identified during project preparation (see PIP). This amount of Parallel financing is well in excess of the suggested amount of parallel financing (2:1) that was originally requested by the GEF. Much of the co-financing represents parallel financing from institutions that will be redirecting or directing funds in support of the objectives of IABIN.

Although representing a tremendous leverage of the use of GEF funds, much of this parallel financing is not indispensable for the implementation of critical project activities.

In contrast, we have identified almost \$10 million of “core” parallel financing that is considered essential to implement certain critical parts of the project. These include the following:

- Parallel financing (at least 2:1, thus double the amount of the GEF contribution) from the institutions that will be under CI Transfer Grant Agreements as Coordinating Institutions in Component 1;
- Matching contributions (at least 1:1) from the organizations that will receive the data content creation grants under Component 2;
- Parallel financing from the City of Knowledge in Panama for the costs of the IABIN Secretariat (Component 4);
- Parallel financing from the United States Geological Service (USGS) which is a critical partner of IABIN and will be providing core support to Component 1 (as CI of I3N and providing leadership for the Catalogue); and
- Parallel financing from the OAS as a contribution to the management and administration of IABIN (Component 5)

A breakdown of the core parallel financing by source and component is shown in the table below:

Millions of US\$	Comp 1	Comp 2	Comp 3*	Comp 4	Comp 5	Total
<b>GEF Financing</b>	<b>1.72</b>	<b>2.47</b>	<b>0.50</b>	<b>0.91</b>	<b>0.40</b>	<b>6.00</b>
<b>Parallel financing Assured by Agreement (Core –co financing)</b>						
Coordinating Institutions (CIs)	2.96		1.00			3.96
City of Knowledge				0.25		0.25
Grants		2.22				2.22
US Gov't	2.25					2.25
OAS (Recipient)					1.00	1.00
<b>Total assured parallel financing</b>	<b>5.21</b>	<b>2.22</b>	<b>1.00</b>	<b>0.25</b>	<b>1.00</b>	<b>9.68</b>

**Note** originally Component 3 had US\$1 million in required core co-financing but due to the contractual arrangement under which component 3 will be implemented this core-co-financing is optional.

The GS/OAS will be responsible for tracking parallel financing, both core and non-core during project implementation with the assistance of the IABIN Focal Points and IABIN Secretariat. The parallel financing form setting the benchmarks for categories, such as personnel, physical infrastructure, and connectivity are found in Annex # 8. Such forms will facilitate the tracking of parallel financing by project components.

CIs and EIs will report parallel financing as part of periodic progress reports or every six months, whichever occurs first. The GS/OAS, City of Knowledge, and other institutions will be requested to report their parallel financing semiannually. Authorized signatures by Institutions who are submitting co-financing must be on the co-financing sheets.

As part of the competitive process to select grantees, Requests for Proposals (RFPs) will be prepared stipulating that chosen institutions must certify with a signed form the amount of

parallel financing that they are providing for the activity and make their accounting books available for review by external auditors if requested. The reported parallel financing will be evaluated against the list of benchmarks and the expected output before registering it in an Access Database.

### **3.3 Disbursement and Outflow of Funds Arrangements**

#### **Disbursements Arrangements**

##### **GS/OAS: Operating Account**

The World Bank will deposit initial and subsequent disbursement allocations in a commercially accredited bank on terms and conditions satisfactory to the World Bank, including appropriate protection against set off, seizure, or attachment. Following its Budgetary and Financial Rules, the GS/OAS does not open a separate bank account for each of its specific projects. However, each project and related disbursements are kept in a separate General Ledger account in the OAS Enterprise System (OASES) and tracked by Award (opened for every contributor) and Project (opened for every activity).

##### **GS/OAS: Project Account**

DBFS opens the Project Account, with a unique number that identifies the project, and defines a specific Project-Award combination.

##### **CI and EI: Transfer of Funds**

The GS/OAS will deposit initial and subsequent disbursements allocations in a commercially accredited bank or through the OAS Offices in the country of the CI or EI. The CI and EI shall maintain an accounting system, including records and accounts in accordance with generally accepted accounting principles, and a financial management system adequate to reflect its progress and financial condition and to register separately the operations, resources and expenditures related to the Project. The CI and EI may place the proceeds from the GS/OAS funds in an interest-bearing account. Interest accrued on the GS/OAS funds must be used for financing activities under the Project. Otherwise, the interest accrued herein must be returned to GS/OAS at the end of the Agreements.

#### **Outflow of Funds Arrangements**

##### **GS/OAS – Withdrawals**

The authorized first allocation to the Operating Account was \$600,000. Replenishments of funds are made on evidence of satisfactory utilization of the previous advance(s), exclusively for eligible expenditures in accordance with the GEF Trust Fund Agreement, as evidenced by the documentation submitted to the Bank. Transaction-based withdrawals will be made under the traditional Statements of Expenditures (SOE) and Direct Withdrawal Applications (DWA) only. In the case of the latter, disbursements will be made on the basis of full documentation for all expenditures made under contracts requiring prior review by the Bank, and contracts whose value will be raised above the prior review limits as a result of amendments. For all other expenditures, withdrawals from the GEF Trust Grant Account will be made on the basis of SOE as set forth in the GEF Trust Fund Grant Agreement or amendments to the Grant Agreement February 2, 2006, and June 15, 2006.

All consolidated SOE documentation and all records (contracts, invoices, bills, receipts, and supporting documents) will be retained by GS/OAS for post-review and audit purposes, until at least one year after the end of the fiscal year in which the last withdrawal from the GEF Trust Fund Grant Account was made. (Article IV (c) (i) of the Grant Agreement).

The World Bank developed a template for Application for Withdrawals (AFW) and for Statement of Expenditures to facilitate a standardized process for easy reporting (see annex # 10). In addition the secretariat manages a petty cash account. (See Annex 9.)

### **CI and EI – Transfer of Funds**

The GS/OAS will allocate and transfer financial resources from the GEF Trust Fund Grant to the CIs and EIs, upon delivery to the IABIN Secretariat and approval by the IABIN Secretariat and GS/OAS of expected deliverables and reports according to their respective Agreements with GS/OAS.

CI and EI will report their expenditures only under the Statements of Expenditures (SOE) found in annex 10.

### **3.4 Procurement Procedures**

Procurement responsibilities will be vested in the GS/OAS, which has the necessary infrastructure and human resources, both at headquarters and National Offices, to carry out required activities in an orderly and efficient manner. The GS/OAS is charged to carry out in accordance with this Operational Manual, satisfactory to the Bank, which contains along with the Bank procurement and disbursement manuals the criteria for selecting and approving IABIN CI Transfer Agreements, Subprojects, the criteria for selecting Eligible Institutions, the Recipient's operating procedures, internal controls and accounting and reporting functions, the Project financial management, disbursement and procurement procedures, the IABIN Secretariat's organizational structure, functions and responsibilities and the indicators to be used in the monitoring and evaluation of the Project.

The IABIN Secretariat, GS/OAS, and CIs identify needs for consultants, goods and services by setting forth a Procurement Plan (PP) for a period of 18-months. It is expected that the principle of economy and efficiency is respected and that every effort is made to get the best value for the money. Procurement shall be done in accordance with the trust fund grant agreement and the World Bank's Guidelines for procurement and selection and employment of consultants, which are available at the following URL:

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20060840~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

The CIs shall update their individual Procurement Plan (PP) and submit to the GS/OAS not later than November 15. The GS/OAS shall update the overall consolidated PP and submit to the World Bank not later than November 30 of each year of project implementation or as needed throughout the duration of the project and shall be implemented in the manner that has been approved. Any significant revisions proposed to the PP shall be furnished to the WB for its prior approval (see annex # 11).

### **Category of Items to be financed out of the proceeds of the GEF Trust Fund Grant**

Upon the no objection from the World Bank of the PP, the GS/OAS and CIs receive approval to implement all categories of items to be financed under the GEF Trust Fund Grant, e.g. goods, consultant services, non-consultant technical services, training, and operating costs.

#### **3.4.1 Goods**

Goods are expenditures related to acquisition of non-durable equipment or items such as computer equipment, software, or office equipment needed for the implementation of the project.

#### **3.4.2 Non-Consultant Technical Services**

Contractual expenditures incurred for logistics services related to meetings of technical working groups, the IABIN Council, the IABIN Executive Committee, and other outreach events, and printing services for communication tools such as newsletters and brochures.

Goods and non-consulting technical services shall be procured under the following method:

**Shopping (under \$150,000 per contract).** Shopping processes are based on comparing quotations from at least three different suppliers or contractors, according to para. 3.5 of the Guidelines. Based on comparing price quotations obtained from several suppliers (in the case of goods) or from several contractors (in the case services), steps to be followed:

- Prepare a technical specification for the goods and services, including type and units of the required equipment or service, budget, delivery time, selection criteria. (see annex # 12)
- Obtain information about the availability of the required good or service either by phone or in person, at least three quotations, advertising is not required
- Select the supplier or contractor, justifying the selection based on the quality and availability of good or service, and the price (see annex # 13)
- After execute the payment, keep all documentation up to five years after completed the project. The documentation includes, but not be limited to, signed original contracts, the analysis of the respective bids, and recommendations for award, for examination by the DSD or WB or by its representatives

**International Competitive Bidding** will be used in the case of goods and non-consultant technical services estimated to cost more than \$150,000 equivalent per contract. No such contracts are anticipated in the project.

#### **Prior Review**

The World Bank had prior review of the very first contracts. The GS/OAS shall review the procurement arrangements of the first contract for goods and the first contract for services proposed by the CI in the PP to ensure conformity with the Agreement.

#### **Eligibility**

See paragraphs 1.6 – 1.7 of the Procurement under IBRD Loans and IDA Credits (Goods and non-consultant technical services) (May 2004)

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20060840~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

### 3.4.3 Consultants' services

Are intellectual and advisory in nature and are required to carry out tasks such as: to improve interoperability among network information sources; development of analytical tools to facilitate access to and use of network content; implement a communications and partnership strategy. Firms and individuals include a wide variety of private and public entities, including consulting firms, engineering firms, NGOs, and individuals. For more guidance, please review the Guidelines Selection and Employment of Consultants by World Bank Borrowers (May 2004) paragraph 3.15 through 3.21.

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20060840~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

Consultant's services under the IABIN Project shall be procured under the following methods:

**Single-source selection.** It should be used only in exceptional cases and with prior approval from the IEC and the World Bank. It might be appropriate only if it presents a clear advantage over competition: (a) for tasks that represent a natural continuation of previous work carried out by the firm, (b) in emergency cases, such as in response to disasters and for consulting services required during the period of time immediately following the emergency, (c) for very small assignments, or (d) when only one firm is qualified or has experience of exceptional worth for the assignment. (See paragraphs 3.19-3.13 of Consultant Guidelines by Word Bank Borrowers).

The Grant Agreement provides for several methods. However, in this project we expect use of the following methods:

**Selection based on Consultant's qualifications (CQ) (firms).** This method may be used for small assignments (under US\$100,000) for which the need for preparing and evaluating competitive proposals is not justified.

Steps to follow to select a consultant (firm):

- Prepare terms of reference
- Advertise a request of expression of interest, not less than one month from date of posting should be provided for responses as recommended by IEC, before preparation of the short list. In the case that a FP or a candidate request an extension to the deadline, it can be considered if a written communication is justified (see annex # 12 - Advertising Process and Format for ToR)
- Establish a short list on at least 3 firms, select the firm with the most appropriate qualifications and references. The evaluation and selection should be made by a committee which includes at least three people; one of them can be a person representing the IABIN Executive Committee.
- The selected firm shall be asked to submit a combined technical-financial proposal and then be invited to negotiate a contract, (see annex # 14 – Contract template)
- Prepare and sign the contract
- After the consultancy is completed, keep all documents, including short list, receipts, etc, on file for possible post review.

World Bank guidelines require that all NGOs contracts be procured through QCBS. However, in the case of a consultancy executed by NGOs or IGO that does not exceed \$20,000, it can be selected through the CQ process.

**Individual Consultant.** Employed on assignments for which (i) teams of personnel are not required, (ii) no additional outside (home office) professional support is required, and (ii) the experience and qualifications of the individual are the paramount requirement. When coordination, administration, or collective responsibility may become difficult because of the number of individuals, it would be advisable to employ a firm.

Steps to follow to select an individual consultant:

- Prepare Terms of Reference
- Advertise to request resumes. The IEC has requested that one month from date of posting be provided for responses before preparation of the short list. In the case that a FP or a candidate request an extension to the deadline, it can be considered if a written communication is justified (Annex # 12 - Advertising Process and Format for ToR)
- Establish a short list based on at least 3 candidates, select the candidate with the most appropriate qualifications and references. The evaluation and selection committee should be made by a committee appointed by the CI in which they will have three people not related with the consultancy in judgment, in addition to the person representing the IABIN Executive Committee
- Negotiate a contract (see annex # 14 – Contract template)
- Prepare and sign the contract
- After the consultancy is completed, keep all documents, including short list, receipts, etc, on file for possible review.

### **Prior and Post Review**

The Procurement Plan shall set forth those contracts which shall be subject to the Bank's Prior Review. All other contracts shall be subject to Post review by the Bank.

The SG/OAS shall review the selection process for consultants proposed by the CI to ensure compliance with the Agreement under the circumstances of:

- (a) With respect to the first contract for the employment of consulting firms and/or individual consultants,
- (b) With respect to each contract for the employment of consulting firms estimated to cost the equivalent of \$100,000 or more and individual consultants estimated to cost the equivalent of \$50,000 or more, or to be selected on a sole source basis, the report on the comparison of the qualifications and experience of candidates or the letter of justification, terms of reference, and terms of employment of the consultants shall be furnished to the SG/OAS for its prior review and approval. The contract shall be awarded only after the said approval receipt.

### **Eligibility**

See paragraphs 1.11 of the Guidelines Employment of Consultants by World Bank Borrowers (May 2004) See Selection and Employment of Consultants by World Bank Borrowers (May 2004)

<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20060656~menuPK:93977~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>

### **3.4.4 Procedures for Sending out Requests for Prior Review No Objection to the World Bank**

When prior review is required, the GS/OAS should request via email to the Task Manager, Douglas J. Graham at [dgraham@worldbank.org](mailto:dgraham@worldbank.org) (cc Keiko Ashida at [kashida@worldbank.org](mailto:kashida@worldbank.org) and Nelvia Diaz at [ndiaz@worldbank.org](mailto:ndiaz@worldbank.org)).

The title on the email should be: *Subject: LCR IABIN Project (P077187/TF053526): Request technical No Objection for -----.*

The World Bank will respond **within 7 working days** (by Task Manager or his acting).

Once a final version has received a No Objection from the Bank, the Bank will archive it in its archival system (IRIS). When possible, the GS/OAS will seek informal agreement on technical content before formerly submitting for a No Objection.

### **3.5 Expenditures Not Subject to Procurement Procedures.**

#### **3.5.1 Training**

Training expenditures (other than those for consultant's services and non-consultant technical services) will finance reasonable transportation costs and per diem of trainees and trainers (if applicable) and rental of training facilities and equipment under the Project, since extensive work will be undertaken with data holders to provide them with training and assistance in converting existing data to IABIN-compatible standards, and with participating countries to organize training activities in biological informatics.

#### **3.5.2 Operating Costs**

Reasonable recurrent expenditures that would not have been incurred by the GS/OAS, CI and EI absent the Project, for transportation and per diem costs of its staff, project administration costs, operation and maintenance of office equipment, and non-durable goods, all needed for the implementation of the project.

#### **3.5.3 Travel Policy and Costs**

Travel costs paid by the project for training can either (i) utilize the United Nations<sup>2</sup> per diem rates paid directly by GS/OAS or (ii) utilize reasonable rates to finance travel expenses, e.g. payment based on incurred costs or a stipend based on real costs of the location. This decision should be made on a case by case basis depending on in-country costs vs. per diem rates, length of stay, and number of participants.

Travel costs paid by the project for IABIN Secretariat travel can either (i) utilize the United Nations per diem rates paid directly by GS/OAS or (ii) utilize reasonable rates to finance travel expenses, e.g. payment based on incurred costs or a stipend based on real costs of the location. Secretariat travel, in general, should be prepared by Quarter and approved by the Chair of the IEC. IABIN Secretariat travel should be reflected in the Annual Operating Plan.

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<sup>2</sup> UN per diem rates can be obtained through GS/OAS Offices.



### **3.6 Monitoring and Reporting Arrangements**

#### **3.6.1. Semester and Financial Monitoring Reports (FMR)**

Monitoring and evaluation of the project will be the responsibility of the GS/OAS, as Executing Agency, with the assistance of the IABIN Secretariat, the CI, EIs, and other participants as appropriate. The World Bank, as Implementing Agency, will assist with monitoring the project as appropriate, following Bank procedures.

The semester and FMR reports compiled by the IABIN Secretariat and the GS/OAS will document project progress to the IABIN Council and the World Bank (see annex # 15 – semester reports and annex # 16 - FMR).

As established in the GEF Trust Fund Grant Agreement, with assistance of the IABIN Secretariat and the CIs, EIs, the GS/OAS will furnish to the WB not later than 45 days after the end of the first calendar semester after the Effective Date, a semester report that integrates the results of the monitoring and evaluation of the Project activities performed, the progress achieved, and setting out the measures recommended to ensure the efficient carrying out of the Project and the achievement of the objectives thereof during the following six-month period, and not later than 45 days after each subsequent calendar semester, a report, which report shall contain the same type of information requested in the first semester report.

Not later than thirty calendar days after the date of presentation of each semester report or such later date as the WB shall request, GS/OAS and IABIN Secretariat, to review with the WB, and, thereafter, take, and/or cause to be taken, all measures required to ensure the efficient completion of the Project and the achievement of the objectives thereof, based on the conclusions and recommendations of said reports and the WB's views on the matter.

The first FMR will be furnished to the Bank not later than 45 days after the end of the first calendar semester after the project's effective date, covering the period from the incurrence of the first expenditure under the project through the end of such first calendar semester; thereafter, each FMR shall be furnished to the WB not later than 45 days after each subsequent calendar semester, and shall cover such calendar semester.

FMR will include the following items:

- A subsidiary ledger to allow the identification of all the receipts and expenditures related to the project, including the accounting bank account.
- Sources and uses of funds for each semester and cumulative including a forecast for the next six months. The format will reflect the receipts and payments, and the net available cash,
- Uses of funds by project component, subcomponent, and expenditure category based on project costs,
- As per communication from the WB on December 8, 2005, it was agreed that the information provided in the Project semester report (as it provides the necessary information) satisfy the physical progress report requirement of a FMR.
- A yearly statement of changes in fund balance of the project, certified by the Treasurer of the GS/OAS, attesting to the accuracy and completeness of contributions by the WB and disbursements by the Executing Agency, and further certification that the in-kind

contribution amounts are consistent with the methodology agreed upon between the WB and the Executing Agency.

All key IABIN documents and all semester reports will be posted on [www.iabin.net](http://www.iabin.net) and distributed to the IABIN Council.

### **3.6.2 Annual Operating Plan**

The Annual Operating Plan (AOP) is an internal management tool, which contributes to meeting the proposed objectives of the project and must be submitted to the Bank for review. The GS/OAS compiles the procurement plan (PP) and annual operating plans (AOP) of the CIs for each TN. In the case of the CIs these 2 plans are due by November 15, so that the OAS can compile them and submit to the Bank by November 30 of each year (as stipulated in the CI Grant Agreements). In the AOP, the activities to be undertaken and the required resources to make them happen, based on annual financial planning, should be clearly outlined.

The AOP facilitates the sequential and logical organization of activities and concrete actions as well as the timeframe for their completion for each of the activities – in this sense it must reflect the background, strategies and resources contained in the Project Appraisal Document (PAD), and the GEF Trust Fund Agreement. Additionally, it should be based on the approved resources in the PAD, and GEF Trust Fund Agreement.

As stated in the Legal Agreement, under *Section 3.07*, the GS/OAS shall develop the AOP acceptable to the Bank. The GS/OAS shall be responsible of the overall project and the CIs of their specific Thematic Networks. In both cases, the IABIN Secretariat will be instrumental in facilitating the process of AOP. The AOP should be developed in the month of November of each year of project implementation starting on November 2004.

The AOP will comprise two main sections: (i) Narrative descriptive section; and (ii) Budget.

The Bank has agreed to give their technical comments on the AOP within 8 working days but it does not require a formal no-objection from the Bank.

The IABIN Secretariat Director will oversee the process of preparing the Annual Operating Plan (AOP), ensuring a participatory atmosphere for all involved. To this effect, the following steps should guide the start of the process:

- IABIN Secretariat sends out a request to each TN and Catalog CI, and GS/OAS to prepare their specific PPs and AOPs;
- Each TN and Catalog CI, the IABIN Secretariat, the GS/OAS will indicate the inputs and outputs related to the specific year for which they are responsible;
- Allocate the expected outputs and impacts for the various level of project execution;
- EIs and CIs who may be responsible for the direct implementation of activities under the supervision of the IABIN Secretariat should outline their plans for the year with costs and send them to the IABIN Secretariat;
- The Secretariat integrates the AOPs received from the CIs of the TNs and Catalog CI's, and GS/OAS as well as EIs, as relevant, and prepares, then a draft AOP for the whole project

- The IABIN Secretariat submits the integrated AOP to the GS/OAS and the IEC for discussion and approval.
- Once the AOP is approved and received by the GS/OAS, the GS/OAS develops the first draft of the AOP
- The full project AOP includes consolidated budgets for each component, sub-component, and activity according to grant eligible categories;
- A first draft of the AOP is submitted to the IEC and the Secretariat for discussion
- Final adjustments are made to the AOP and it is sent to IEC for approval.
- Final adjustments are made to the AOP and it is sent to the World Bank for no objection.

The GS/OAS developed an AOP template to facilitate a standardized process for easy reporting to the IABIN Council and the World Bank, see annex # 17.

### **3.6.3 Auditing Arrangements**

#### **GS/OAS – Audit Arrangements**

SB & Company, LLC are currently the General Secretariat of the Organization of American States (GS/OAS) external auditors. The WB will rely on the GS/OAS external audit process, in particular accepting GS/OAS annual audited financial statements for the purpose of complying with Bank's audit requirements ('single audit opinion' concept). The GS/OAS agrees to furnish copies of these audit reports to the WB along with such other related information as may be requested with respect to any questions arising from the audit report. The exemption from the WB's normal audit requirement for project-specific annual external audits when the OAS is the direct recipient of the grant has been granted with a decision by the Financial Management Operations Review Committee (FMROC) on May 18, 2004.

#### **CI and EI – Audit Arrangements**

CI shall furnish to the GS/OAS as soon as available, but in any case not later than six months after the end of their fiscal year: (i) certified copies of the financial statements and statements of sources and uses of funds in accordance with auditing standards and within the context of CI's annual external audit of accounts by an independent firm of auditors; and (ii) an opinion on such statements, by said auditors, in scope and detail satisfactory to the GS/OAS; and maintain for a period of five years after the Project is completed information concerning records and accounts that support that the proceeds were used by the CI to finance eligible activities in the corresponding annual work plan and audited financial statements

EIs are not required to submit audited financial statement, but EIs shall maintain an accounting system, including records and accounts in accordance with generally accepted accounting principles, and a financial management system adequate to reflect its progress and financial condition and to register separately the operations, resources and expenditures related to the Project.

## ANNEXES

Annex # 1 Time Bound Quantitative Performance Indicators Summary

New annex 1 to be prepared by Secretariat. (Note this is a new annex 1 that resulted from Indicators workshop held at USGS in September 2005.) **The Secretariat has developed a new format that is under review as of July 2006.**

<b>Hierarchy of Objectives</b>	<b>Key Performance Indicators</b>	<b>Data Collection Strategy</b>	<b>Critical Assumption</b>	<b>Responsible</b>
<b>Sector-related CAS Goal:</b>	<b>Sector Indicators:</b>	<b>Sector/ country reports:</b>	<b>(from Goal to Bank Mission)</b>	
To develop enabling frameworks for sustainable environmental management	- IABIN-generated information or resources cited in environmentally positive policy changes in area of natural resource management in at least 10 countries, by Year 4, 20 by year 5.	- National reports - Independent evaluation		Focal Point in each country – note that these group of stakeholders need to be involved early on in the M&E process so that the information for this indicator can be obtained.
<b>GEF Operational Program:</b>	<b>Outcome / Impact Indicators:</b>			
To create an enabling environment for conservation and sustainable use of biodiversity in the Americas	- By end of Year 3, half the countries in the Americas using IABIN-generated information in the development of mechanisms for measuring the status/trends of the conservation and use of biodiversity (and two thirds by end of project)	- National Reports - CBD Analyzer - Governmental reports - External evaluation	- Effective management of biodiversity information is a significant factor in sustainable development	Focal Point in each country
	- Majority (%) of major internationally funded projects (by whom) involving use and conservation of biodiversity, starting in Year 4, using the above mechanisms in project design	- Development Gateway listings of projects - CBD Analyzer - Independent assessments		Ministries of Environment and Finance, OAS, World Bank. – note that the stakeholders for this indicator (e.g. the organizations who submit proposals and the organizations that fund those proposals) need to be involved in the M&E process
<b>Global Objective:</b>	<b>Outcome / Impact Indicators:</b>	<b>Project reports:</b>	<b>(from Objective to Goal)</b>	
To develop an Internet-based, decentralized network to provide access to biodiversity information currently existing in individual institutions and agencies in the Americas	- 2 or more new multinational partnerships per year facilitated by IABIN involving access to biodiversity information within the Americas, starting in Year 2 (At least 8 in total)	- Project reports by the Secretariat - TN reports - Survey with selected participating institutions/ users - User feedback (web forms)	- Decisions concerning conservation and sustainable use of biodiversity are significantly influenced by availability of good information	Secretariat, OAS, IEC
To provide the tools necessary to draw knowledge from that wealth of resources to support sound decision-making concerning the conservation and sustainable use of biodiversity	- Starting in Year 3, IABIN-developed or IABIN-supported information management tools being downloaded and demonstrably used in decision making	- Web Statistic  - Tool feedback forms		Secretariat for counter, CIs for training workshops and register of trainees Focal Point in each country for researching and keeping track of documents, reports and communications that mention IABIN

Output from each Component:	Output Indicators:	Project reports:	(from Outputs to Objective)	Responsible
<b>Component 1: Interoperability and access to data</b>				
<b>1.1 IABIN Catalog</b>	<p>- IABIN Catalog is developed and user-base expands to reach 10,000 users by Year 3, and continues to expand by 20% a year thereafter</p> <p>- Metadata tools and training materials available in multiple languages by Year 3</p>	<p>- Project reports by the IABIN Secretariat</p> <p>- Indicator monitoring system</p> <p>- Web statistics</p> <p>- Surveys to IABIN Focal Points</p> <p>- Workshop Reports</p> <p>- Training Surveys</p>	<p>-Key catalog partnership with USGS maintained</p> <p>-Data providers willing to provide adequate metadata to the Catalog.</p>	<ul style="list-style-type: none"> <li>• Catalog Coordinating Institution for both developing the catalog and measuring the number of visits</li> <li>• Secretariat and OAS to evaluate and accept the evidence of both the existence of the Catalog and of the authenticity of the number of visits. Again, note that this stakeholder (as well as all the other CIs) should be involved in the M&amp;E process from the beginning.</li> <li>• Catalog Coordinating Institution for development of metadata tools, training and materials, and for carrying out the training</li> <li>• Catalog CI for eliciting and reviewing feedback from users and trainees and for carrying out the training</li> <li>• - Secretariat and OAS to evaluate and accept the evidence that they exist and the feedback from users</li> </ul>

<p><b>1.2 Thematic Networks</b></p>	<p>- 5 TNs are operational by end of Year 2 with established protocols, standards and tools</p> <p>- Number of organization in the region which adopted standards and protocols established by the TNs. (baseline = end of year 2) x% of growth from baseline each year.</p> <p>- Number of institutions participating in TNs increasing by 20% in Year 3 (baseline=Year 2) and by 10% in Years 4 and 5</p> <p>- Number of countries participating in TN increasing by 20% in Year 3 (baseline=Year 2) and by 10% in Years 4 and 5</p> <p>- TN websites established and integrated into IABIN Portal. 1 TN website established in year 1, 4 TN websites in year 2, and 1 in year 3; for a total of 6 TN websites.</p> <p>- Use of datasets developed by each TN increasing by 20% per year after the TN is operational for one year</p>	<p>- TNs Progress Reports, including standards and protocols analysis</p> <p>-Project reports by the IABIN Secretariat</p> <p>- Indicator monitoring system</p> <p>- Web statistics</p> <p>-Surveys to IABIN Focal Points</p> <p>- Surveys to data users on needs, usage and application of information provided by IABIN.</p>	<p>- Sufficient coordination can be assured between TNs to allow development of interoperability between them</p>	<ul style="list-style-type: none"> <li>• Coordinating Institution of each TN for making TN operational, developing the tools, training and materials</li> <li>• Coordinating Institution of each TN jointly with the Focal Points in each country, for developing a mechanism to measure the use and adoption of the tools and standards and protocols by a wide range of institutions</li> <li>• Secretariat and GS/OAS for evaluating and accepting the evidence</li> <li>• Coordinating Institution of each TN for eliciting participation and for documenting and measuring it</li> <li>• - Secretariat and GS/OAS for evaluating and accepting the evidence presented</li> <li>• Coordinating Institution of each TN for establishing the baseline and the date to start measuring their operability and for developing the measuring mechanisms and reporting</li> <li>• - Secretariat and OAS for evaluating and accepting the evidence</li> </ul>
<p><b>1.2.1 Species Thematic Network*</b></p>	<p>- Number of species for which scientific information (not older than 5 years) is available for resource</p>			

	<p>management decision-makers such as EIA (target: year 3 and at EOP).</p> <p>- Number of species updated in the endangered list of each country using IABIN tools (target: year 3 and at EOP).</p>			
<b>1.2.2 Specimens Thematic Network*</b>	% of specimens for which scientific information is available on-line through the IABIN Portal in a standardized and exchangeable			
<b>1.2.3 Ecosystems Thematic Network*</b>	- Number of records in the hemispheric system established under the TN to cross-reference ecosystem classifications			
<b>1.2.4 Invasive Thematic Network*</b>	<p>- Number of invasive species for which scientific information on their status (species distribution and number) is available in a standardized and exchangeable format to... (ex. create national invasive species lists, improve invasive species management plans)</p> <p>- Amount of invasive species data and information available on line via IABIN to assist in modeling and forecast on the spread of invasive species</p>			
<b>1.2.5 Protected Areas Thematic Network*</b>	<p>- Thematic network established and integrated with the IABIN Catalogue Service and the other four Thematic Networks (Invasives, Species-Specimens, Ecosystems, and Pollinators) and the geospatial network under the IABIN Connectivity Program.</p> <p>- development of policies, tools, standards and protocols to access, analyze and use information</p> <p>- the design and installation of a web site in a central</p>			



	<ul style="list-style-type: none"> <li>server</li> <li>-provision of training materials</li> <li>- development of software for data providers</li> <li>- operation and maintenance of network</li> <li>- development of English and Spanish training materials</li> </ul>			
<b>1.2.6 Pollinators Thematic Network*</b>	<ul style="list-style-type: none"> <li>- Thematic network established and integrated with the IABIN Catalogue Service and the other four Thematic Networks (Invasives, Species-Specimens, Ecosystems, and PAs) and the geospatial network under the IABIN Connectivity Program.</li> <li>- development of policies, tools, standards and protocols to access, analyze and use information</li> <li>- the design and installation of a web site in a central server</li> <li>-provision of training materials</li> <li>- development of software for data providers</li> <li>- operation and maintenance of network</li> <li>- development of English and Spanish training materials</li> </ul>			
<b>Component 2: Data content creation</b>				
<b>2.1 Data content creation</b>	<ul style="list-style-type: none"> <li>- Number of gigabytes managed under the IABIN umbrella</li> <li>-IABIN Catalog content increases by 10% a year, and number of institutions contributing metadata increases by 10% a year (baseline = end of Year 2)</li> <li>- Number of datasets in the region consistent with IABIN interoperability standards increase by 20% a year (baseline = end of Year 2)</li> <li>- Each year, 5% of data</li> </ul>	<ul style="list-style-type: none"> <li>- Indicator monitoring system</li> <li>- Data Content Manager's report</li> <li>- Analysis of Catalog content</li> <li>- Surveys with IABIN FPs</li> </ul>	<ul style="list-style-type: none"> <li>- Sufficient incentives for data providers to adopt IABIN standards</li> <li>- Sufficient data can be digitized to significantly impact data availability</li> <li>- Concerns about Intellectual Property Rights that arise can be adequately resolved</li> </ul>	<p>Catalog CI</p> <p>Catalog and TNs CIs for keeping the registers and reporting to GS/OAS and Secretariat. Note: the small grants will be awarded by the CIs in consultation with the Secretariat</p>

	available through IABIN is newly digitized data (in particular addressing known data gaps)			
<b>2.2 Technical training</b>	<ul style="list-style-type: none"> <li>- At least 100 people trained per year on metadata creation and standards and protocols</li> <li>- At least 100 people trained per year on IABIN data creation tools</li> </ul>	- Trainee Surveys	- Suitable personnel available for training	Catalog and TNs CIs for keeping the registers and reporting to GS/OAS and Secretariat. Note: the training will be awarded by the CIs in consultation with the Secretariat
<b>Component 3: Information tools for decision-making</b> <b>3.1 Information tools for decision-making</b>	<ul style="list-style-type: none"> <li>- At least 3 decision-support tools developed that integrate information from more than one TN</li> <li>- Downloading of these tools increasing by 10% per year once they have been available for one year</li> <li>- % of geo-referenced land within each country with information (not older than 5 years) available for resource management decision-makers. (note: not loose the updating aspect)</li> </ul>	<ul style="list-style-type: none"> <li>- Secretariat Report</li> <li>- Surveys to IABIN Focal Points</li> <li>- Web statistics</li> </ul>	<ul style="list-style-type: none"> <li>- Sufficient data available for the information tools to access</li> <li>- Data is current enough for tools to provide good information</li> </ul>	<ul style="list-style-type: none"> <li>• Secretariat, GS/OAS and CIs for agreeing on the kind of tools to be developed</li> <li>• GS/OAS and Secretariat for developing ToRs for bidding process and selection of consultants who will develop the tools</li> <li>• GS/OAS and Secretariat for overseeing the development and for accepting the end products</li> <li>• Depends on where tools will be housed. Assuming they will be housed in the Secretariat's server(s), then the Secretariat is the responsible party. If, however, the tools are housed with other organizations, then the responsibility for measuring will be theirs.</li> </ul>
<b>Component 4: Sustainability of IABIN</b>				
<b>4.1 Project Coordination</b>	- Visits to IABIN Portal increase by at least 20% per year the first year (and 10% thereafter) indicating	<ul style="list-style-type: none"> <li>- Project semi-annual reports</li> <li>- IABIN Council reports</li> </ul>	- Secretariat Hosting arrangement with City of Knowledge lasts 5 years as agreed in MOU	Secretariat

	<p>effective coordination and maintenance (baseline = pre-project visits of 18,000/month)</p> <p>- IABIN Council Meetings and/or IEC meetings held every year</p>	<p>- Web statistics</p> <p>- Data Content Manager's report</p>	<p>- Small secretariat envisaged is adequate to operate IABIN</p> <p>- IABIN Focal Points remain engaged and provide country-level support</p>	
<b>4.2 Partnerships and Communications</b>	<p>- Collaborative agreements established with at least two international initiatives and/or networks each year</p> <p>- New IABIN themes (TNs) established through partnerships/MOUs</p> <p>- For information products survey X% of biodiversity informatics users are satisfied with ease, and timeliness of access and quality of the contents.</p>	<p>- Project semi-annual reports</p> <p>- IABIN Council reports</p> <p>- Web statistics</p> <p>- Data Content Manager's report</p> <p>- Statistics analysis yearly report</p> <p>- User survey</p>	<p>- Key partnerships with GBIF and CHM can be further strengthened</p>	Secretariat, IEC, GS/OAS
<b>Component 5: Project administration</b> 5.1 Project administration	<p>- Project M&amp;E is rated satisfactory or better by the World Bank and by the IABIN Council</p>	<p>- WB's supervision missions and project supervision reports (PSRs)</p>	<p>- The IEC is able to provide effective oversight of the Executing Agency</p>	GS/OAS
<b>Project Components / Sub-components:</b>	<b>Inputs: (budget for each component)</b>	<b>Project reports:</b>	<b>(from Components to Outputs)</b>	
<b>Component 1</b> 1.1 IABIN Catalog 1.2 Species Thematic Network 1.3 Specimens Thematic Network 1.4 Ecosystems Thematic Network 1.5 Invasive Thematic Network 1.6 Pollinators Thematic Network 1.7 Protected Areas Thematic Network	US\$ 1.72 million	- Disbursements and audit reports	- Implementation of interoperability standards and prototypes is feasible	
<b>Component 2</b> 2.1 Data content creation 2.2 Technical training on IABIN data capture tools	US\$ 2.47million	- Disbursements and audit reports	- Intellectual property rights concerns limit data creation and data access	
<b>Component 3</b> 3.1 Information tools for decision-making	US\$ 0.50 million	- Disbursements and audit reports	- Multi-sectoral nature does not impede implementation because of lagging standards	

			implementation in non-biological sectors	
<b>Component 4</b> 4.1 Project Coordination 4.2 Partnerships and Communications	US\$ 0.91 million	- Disbursements and audit reports	- Financial sustainability does not prove elusive.	
<b>Component 5</b> 5.1 Project Administration	US\$ 0.40 million	- Disbursements and audit reports		

\* To be developed with the proposals submitted by the selected CI.

**Annex 1 a will be the “Monitoring manual – How to measure Indicators -- Methodological approach”**

## Annex # 2 Matrix of Responsibilities

Responsibility Matrix -- C=Coordinates EX=Executes	Executing Agency	Secretariat	IABIN Focal Points	CI	Data Providing Institutions
<b>1. Interoperability and Access to Data,</b>					
Supervise the operation of the basic network Thematic Networks infrastructure: IABIN Catalog Service and		c		ex	
Facilitate the development of the network (e.g., assess capacity, identify areas for restructuring or investment, seek support)		c	ex		
Develop the basic infrastructure necessary to operate the IABIN Catalog and the TNs		c		ex	
Operate and maintain the IABIN Catalog Service and the TNs				ex	
Manage data on the status and availability of the network's capacity		ex			
Provide network and user support, possibly including a help desk		c		ex	
Seek agreements on the use of standards and protocols to ensure compatibility of diverse data sources within the region		c	c	ex	
Implement policies for the use of information (Intellectual property rights and code of ethics on access and data sharing)		c	ex	ex	ex
Monitoring the needs of the user community		ex	ex	ex	
Develop a biodiversity informatics directory in conjunction with CHM, academic institutions and other partners that documents each institution's functionality, interoperability, and content		c	c	ex	
Create the Expert Committees for the Catalog Services and Thematic Networks		c		ex	
<b>2. Data Content Creation</b>					

Develop and adapt tools for data content creation				ex	
Development of training packages				ex	
Quality control and validation of information		c		ex	ex
Carry out or coordinate training				ex	
Digitization of biodiversity data		c	c	c	ex
Determine data content creation priorities		c	c	ex	ex
Data Hosting		c		c, ex	ex
Submit proposals for data creation and participation in training					ex
<b>3. Tools for Decision Makers</b>					
Identify the specific needs for value-added Tools		c	ex		
Provide visualization and data integration tools to improve the usability of data in the decision making process		c			
<b>4. Sustainability of IABIN</b>					
Seek sources of funding for the operation of the Secretariat and other activities (e.g., IABIN Council meetings)		ex			
Manage the 501 c 3 US (This needs to be redefined, see comments in appropriate component)		c			
Support the IABIN Council, Executive Committee, ad hoc working groups, and particularly National Focal Points		ex			

Promote cooperation amongst the network's partners through meetings, workshops, newsletters, etc		ex	ex		
Facilitate understanding of and commitment to the network's goals (e.g., issues being addressed, users to be served)		ex	ex		
Preparation of strategic plans for product development and services		ex			
Liaison to Development Gateway (needs to be revised according to comment made in appropriate component)		c			
Target better information access to indigenous peoples		c	c		
Implementation of strategic plans (e.g., through formation of multi-partner teams)	c	ex			
Facilitate access to data (e.g., through custodianship, data access agreements, Memoranda of Understanding, implementation of standards)		c	c		
Brief the network's partners on new opportunities, plans and progress (e.g. newsletters, email)		ex	ex		
Handle inquiries about the network's activities, referring to individual partners as appropriate	c	ex			
Maintain copies of the network's products and services for distribution to users		ex		ex	
Consolidate IABIN partners throughout the Hemisphere and coordinate with other regional biodiversity networks, GBIF and CHM.		ex			
Coordinate update of Project Implementation Plan (PIP)		ex			
Maintain the IABIN Gateway		ex			
<b>5. Administration</b>					

Development of TORs for consultants and requests for proposals	ex	c			
Coordinate evaluation of proposals and consultants	ex	c			
Working on contract, procurement, disbursements, and audits, etc.	ex				
Be responsible for compliance with Bank procurement and disbursement procedures.	ex				
Financial Monitoring Reports (FMR) and Annual Operating Plans	ex	c			
Reporting to donors	ex	c			
Prepare semester inputs for IEC review	ex	ex			
Handle inquiries about the project execution and administration, procurement processes, and overall financial management	ex				
Handle administrative and financial issues related to CI Transfer Agreements and Data Content Building Grant Agreements	ex				
Prepare and Update Operational Manual, Annual Operational Plan, and Procurement Plan	ex				
Monitor and evaluate project effectiveness	ex	ex	ex		

Note: c = Coordination role, ex = Execution role.



### Annex # 3 Monitoring and Evaluation Reports

Report	Content	Timing	Responsibility
Monthly Report	<ol style="list-style-type: none"> <li>1. Staff name</li> <li>2. Date</li> <li>3. Activities carried out</li> </ol>		IABIN Secretariat staff submit to GS/OAS
<p><u>Activity Report</u></p> <ol style="list-style-type: none"> <li>1. Documents the completion of planned activities and the progress made toward the achievement of desired results, as set out in the Annual Operating Plan.</li> <li>2. Reviews any problems or decisions with an impact on performance.</li> <li>3. Assesses the interest generated by program activities and opportunities for enhancing the impact of the project.</li> <li>4. Provides data for semiannual progress reports and for public information purposes.</li> <li>5. Tracks performance as stated in Annex 1 Section on Key Performance Indicators.</li> </ol>	<ol style="list-style-type: none"> <li>1. Activity Name</li> <li>2. Person reporting</li> <li>3. Date</li> <li>4. Accomplishments this quarter against original plan</li> <li>5. Accomplishments prior to this period (cumulative)</li> <li>6. Targets for next quarter</li> <li>7. Comments/assessments if project performance particularly regarding problems/constraints, unanticipated results or opportunities, and highlights</li> <li>8. Budget vs. actual expense report, including counterpart contributions.</li> </ol>	summarized Quarterly	IABIN Secretariat staff and GS/OAS staff
<p><u>Technical Report</u></p> <ol style="list-style-type: none"> <li>1. Provides technical and M &amp; E data for incorporation into semi-annual progress reports.</li> <li>2. Provides background and technical information for dissemination to participating institutions and countries.</li> <li>3. May serve as background materials for specific IABIN training programs and public information and awareness activities.</li> <li>4. Tracks performance as stated in Annex 1 Section on Key Performance Indicators.</li> </ol>	<ol style="list-style-type: none"> <li>1. A executive summary section of progress to date and challenges and/or difficulties encountered to the date of the report in both Spanish and English;</li> <li>2. Expected outputs and outcomes</li> <li>3. Methodology employed and activities carried out</li> <li>4. Results (in relation to components and expected outputs);</li> <li>5. Lessons learned, problems and possible solutions;</li> </ol>	Quarterly or periodic technical and financial progress reports, whichever occurs first	CIs and EIs submit to IABIN Secretariat and GS/OAS

<p><u>Semiannual Progress Reports</u></p> <p>1. Provides summary reviews and assessments of detailed CI activity reports, highlighting significant results and overall progress toward achievement of objective-level results.</p> <p>2. Serves as a general source of information on IABIN progress for possible distribution to other agencies and interested parties.</p> <p>3. Tracks performance as stated in Annex 1 Section on Key Performance Indicators.</p>	<ol style="list-style-type: none"> <li>1. Overview by Component/Subcomponent</li> <li>2. Executive Summary of the Project by Component/Subcomponent</li> <li>3. Project Milestones by IABIN Component and Subcomponent</li> <li>4. Achievement of project objectives</li> <li>5. Financial Status.</li> <li>6. Conclusions and Recommendations</li> </ol>	<p>Semi-annual -- not later than 45 days after each calendar semester.</p> <p><b>Period:</b> 01Nov04–30June05 <b>Submitted by:</b> 15 Sep 2005</p> <p><b>Period:</b> 31Jul05–31Dec05 <b>Submitted by:</b> 15 Feb 06</p> <p>And thereafter:</p> <p><b>Period:</b> 01 Jan – 30 Jun <b>Submitted by:</b> 15 Aug</p> <p><b>Period:</b> 31 Jul – 31Dec <b>Submitted by:</b> 15 Feb</p>	<p>Semester progress report prepared by the IABIN Secretariat and GS/OAS with input from CIs and EIs for IABIN Council, and Focal Points.</p> <p>GS/OAS submits to the World Bank for No Objection.</p>
<p><u>Financial Monitoring Reports</u></p> <p>1. Provides an overview of project finances to-date including disbursements and expenditures, and procurement</p>	<ol style="list-style-type: none"> <li>1. Overview of Financial operating system and the Operating Account</li> <li>2. Project Budget Structure</li> <li>3. Disbursement vs. Expenditures</li> <li>4. Expenditures vis-à-vis physical progress</li> <li>5. Expenditures by component/Subcomponent/Activity</li> <li>6. Disbursement by donors/funding by counterpart</li> </ol>	<p>Semester -- at the time of preparing for another withdrawal from the project accounts</p> <p><b>Period:</b> 01Nov04–30June05 <b>Submitted by:</b> 15 Sep 2005</p> <p><b>Period:</b> 31Jul05–31Dec05 <b>Submitted by:</b> 15 Feb 06</p> <p>And thereafter:</p> <p><b>Period:</b> 01 Jan – 30 Jun <b>Submitted by:</b> 15 Aug</p> <p><b>Period:</b> 31 Jul – 31Dec</p>	<p>GS/OAS prepares. GS/OAS submits to the World Bank for No Objection</p>

		<b>Submitted by:</b> 15 Feb	
<u>General Procurement Plan</u>	<p>Prepared by component/subcomponent/activity</p> <ol style="list-style-type: none"> <li>1. A timetable with planned and executed budget by subcomponent or activity</li> <li>2. The chronology of execution by subcomponent or activity including type of supplier and procurement method used.</li> </ol>	<p>Covers a period of 18 months but redone every 12 months -- not later than 45 days after of the beginning of the period of presentation.</p> <p><b>Period:</b> 01Nov04–30Jun06 <b>Submitted by:</b> 15 Sep 2005</p> <p><b>Period:</b> 01Jan06–30Jun07 <b>Submitted by:</b> 30 Nov. 2005</p> <p>And thereafter:</p> <p><b>Period:</b> 01 Jan – 30 Jun. of following year <b>Submitted by:</b> 30 Nov</p>	<p>GS/OAS prepares with input from IABIN Secretariat CIs and EIs. GS/OAS submits to the World Bank for No Objection.</p>
<p><u>Annual Operating Plan (AOP)</u></p> <p>Narrative descriptive section; and Budget</p> <p>Forecasts Project activities to be carried out during the calendar year following the date of presentation of said program. Tracks performance as stated in Annex 1 Section on Key Performance Indicators.</p>	<ol style="list-style-type: none"> <li>1. Current status and descriptions of lessons learned from the previous year</li> <li>2. Project activities planned for the coming year and the approach to be executed</li> <li>3. Breakdown project components by activities and expected outputs/products with detail timeframe, amount and number of activities to be achieved for each component.</li> <li>4. The sources of funding for the execution of activities, GEF/WB/GS/OAS/IABIN or as co-financing from each of the funding sources/donors.</li> <li>5. Who or which agency is responsible at the project level for the execution for each activity.</li> <li>6. Proposed Secretariat travel</li> </ol>	<p>Annual -- not later than 30 Nov of each following calendar year.</p> <p><b>Period:</b> 01Nov04–31Dec.05 <b>Submitted by:</b> 30 Nov 2004</p> <p><b>Period:</b> 01Jan06–31Dec.06 <b>Submitted by:</b> 30 Nov 2005</p> <p>And thereafter:</p> <p><b>Period:</b> 01 Jan – 30 Dec <b>Submitted by:</b> 30 Nov</p>	<p>GS/OAS prepares it in collaboration with IABIN Secretariat, CIs, and EIs; GS/OAS submits for review to the World Bank.</p>

	7. Tracks performance as stated in Annex 1 Section on Key Performance Indicators		
<u>Financial Audits</u> 1. Audit of project finances in accordance with generally accepted accounting procedures	1. Audited financial statements 2. Review of the quality and accuracy of the methods employed in compiling the statements of expenditures, the relevance of supporting documents, and the standards of record-keeping and internal controls.	Annual -- not later than 30 June of the preceding calendar year of presentation <b>Period:</b> 01Jan04–31Dec 04 <b>Submitted by:</b> 15 Sep 2005  And thereafter: <b>Period:</b> 01 Jan – 31 Dec. <b>Submitted by:</b> within 6 months after the end of the auditing period	The Bank will rely on the GS/OAS external audit process, in particular accepting GS/OAS annual audited financial statements for the purpose of complying with Bank's audit requirements ('single audit opinion' concept).
<u>Final Report</u> 1. Evaluates the implementation effectiveness of each project component and the ultimate success of the project in meeting its stated objectives. 2. Provides data and information for the Bank's Implementation Completion Report/Final Report.	1. Statement/evaluation of project activities and objectives. 2. Assessment of objective-level achievements. 3. Analysis of major factors affecting the project. 4. Presentation of plans for future operation. 5. Review of implementing agency performance in fulfilling respective obligations under the Grant Agreement. 6. Analysis of costs and benefits. 7. Assessment of key outputs from project activities. 8. Discussion of key lessons learnt	Within three months before project end. Ideally should inform the ICR (see below)	This is a report to be prepared by GS/OAS. The IABIN Secretariat collaborates. For this an external consultancy should be implemented. Equally, a Mid-term report should be prepared by GS/OAS in the same terms and conditions as explained above. Both to be prepared for Bank review.
<u>Final Evaluation</u> 1. A GEF requirement, this independent evaluation assesses the effectiveness of the	1. Provides an overview of the project and the various components;	Three months after project completion. Ideally should inform the ICR (see below)	External independent consultant prepares report based on TORs

<p>project in meeting its objectives and also meeting the objectives of the GEF Operational Program under which the project falls.</p> <p>2. Also evaluates the impact of the project, reviewing established indicators of project performance and project success.</p>	<ol style="list-style-type: none"> <li>2. Assesses the impact of project execution and seeks the opinions of the IABIN Council and other involved stakeholders.</li> <li>3. Assesses gaps and weaknesses as well as project strengths.</li> <li>4. Assesses and evaluates how projects impacts may be sustained.</li> <li>5. Informs as to the way forward</li> </ol>		<p>prepared by GS/OAS and IABIN Secretariat.</p>
<p><u>Implementation Completion Report (ICR)</u></p> <p>1. Evaluates the effectiveness of project implementation in meeting the states objectives and the satisfactory implementing of the project.</p>	<ol style="list-style-type: none"> <li>1. Similar to the Final Report, it provides a summary of the project outputs and rates as satisfactory or unsatisfactory the performance of the project as well as the GS/OAS as the Executing Agency, IABIN Secretariat and in general the project management structure.</li> </ol>	<p>Within six months after the project has closed.</p>	<p>Bank prepares with input from GS/OAS, IABIN Secretariat, IEC and full IABIN Council and other interested stakeholders.</p>

#### **Annex # 4 Evaluation & Selection process to employ IABIN Secretariat Staff**

The process for the recruitment of the core positions for the IABIN Secretariat.

The process for the recruitment of the core positions for the IABIN Secretariat will follow the GS/OAS recruitment process. From the perspective of the World Bank, these are considered as operational expenses and are not subject to World Bank approval.

- (i) the GS/OAS prepared the TORs.
- (ii) the GS/OAS placed advertisements in the DGMarket, IABINfriends, other biodiversity informatics networks such as BIONet, and on the IABIN website [www.iabin.net](http://www.iabin.net).
- (iii) after discussion with the IABIN IEC, it was decided to use 5 criteria each receiving maximum 20 points for a total of 100 points. These criteria are academic background, bioinformatics experience, management experience, fundraising experience, and language proficiency in the four key languages.
- (iv) the GS/OAS and Secretariat prepared a set of criteria to be used by the selection committee for the selection of each consultant position;
- (v) GS/OAS then sought guidance from the IEC relative to forming a selection committee of up to 5 evaluators. For the position of IABIN Secretariat Director, the GS/OAS invited all IEC members to be on the selection committee.
- (vi) the selection committee did an initial evaluation of the applicants using its internal procedures to generate a shortlist of 3 to 6 candidates for each position.
- (vii) the selection committee then ranked the candidates and made recommendations to the GS/OAS;
- (viii) the selection committee then conducted phone interviews and did a second-stage evaluation of the candidates that included reference and degree check; and
- (ix) the GS/OAS and Secretariat submitted the names of the selected candidate to the IEC, along with the rating and ranking of all the interviewed candidates along with their CVs.
- (x) the selected candidate was hired.

The Terms of Reference are available to be viewed on [www.iabin.net](http://www.iabin.net).

## **Annex # 5 Evaluation & Selection Process of Coordinating Institutions under Component 1**

Each TN will be coordinated by a Coordinating Institution (CI), which will be selected by the IEC on a competitive basis. In general the IEC will evaluate proposals submitted by organizations competing for the CI. After selection, a “Coordinating Institutions Transfer Agreement” will be signed between the GS/OAS and the CI as stipulated in the GEF Trust Fund Grant Agreement (as amended February 2006).

Additionally, a Memorandum of Cooperation (“MOC”) will be entered into by and between the CI and the Inter-American Biodiversity Information Network. IABIN will be represented by the Chair of the IABIN Executive Committee. The purpose of the MOC is to establish a framework for collaboration between IABIN and the CI, which in turn leads a consortium of institutions. Finally, GS/OAS negotiates directly with the CI a “Coordinating Institutions Transfer Agreement” to execute part of the GEF project.

After preparing a CI short list based on Expressions of Interest (EoI), the Request for Proposals (RfP) will include a letter of invitation, terms of reference, and the proposed “Coordinating Institutions Transfer Agreement” that will be signed between the GS/OAS and the CI based on World Bank and GS/OAS guidelines. Proposed CIs must bring \$2 dollars of parallel financing resources for every Grant dollar received to implement the TN. Technical and financial resources will be outlined with each proposal. Proposals then will also be evaluated on methodology, quality of key staff proposed, and relevant experience for the assignment. The CI would agree to provide detailed progress or quarterly co-financing information. The co-financing information should be documented and should be open to potential audits.

As stated in the amended GEF Trust Fund Grant Agreement, upon selection of the Coordinating Institutions by the IABIN Executive Committee, the GS/OAS shall transfer, on a grant basis, a portion of the GEF Trust Fund Grant proceeds allocated to Category (4) (a) (set forth in the table in paragraph 1 of Schedule 1 to the GEF Trust Fund Grant Agreement to the pertinent CI pursuant to the CI Transfer Agreement to be entered into between the GS/OAS and said CI on terms and conditions acceptable to the Bank, and in concurrence with the GEF Trust Fund Grant Agreement (Amended February 2006).

In summary, the steps are as follows:

- 1) The Chair of the IEC recommends the Secretariat to post Expression of Interest (EoI) on IABINfriends for interested institutions to submit an EoI to become the CI.
- 2) The Secretariat receives EoIs and convenes the selection committee to evaluate the EoI and create a short list. The selection committee will be formed with input from the IEC, and will always have on it the GS/OAS and the IABIN Secretariat Director. The selection committee will be made up of 2 members of the executive agency, one technical and one procurement expert, and up to two members of the IABIN Secretariat. Other specialists will be added to the selection committee based on the expertise needed to review the proposals allowing an independent expert evaluation. Once the analysis has been completed all proposal evaluations, selection committee participants, and selection committee criteria will be placed on [www.iabin.net](http://www.iabin.net). (Note only the winning bids will be posted while the losing bids will be posted without actual ratings.)

- 3) The Chair invites the short listed proposed CIs to prepare a detailed proposal with work plan on how the proposed CI would form a consortium to do this TN.
- 4) The evaluation panel chooses the best institution to be the proposed CI, and the Chair, through the Secretariat, informs the chosen institution.
- 5) The CI and the Chair sign an MOC.
- 6) GS/OAS negotiates directly with the CI a “Coordinating Institutions Transfer Agreement” to execute part of the GEF project.
- 7) World Bank issues no objection to the Coordinating Institutions Transfer Agreement.
- 8) The CI Grant agreement is signed and first transfer funds are made based on approved AOP
- 9) Subsequent payments are based upon delivery of technical progress reports, parallel financing justification, and expected outputs.
- 10) An Annual Operating Plan (AOP) is submitted by the CI by November 15 of each year including a procurement plan indicating activities, outputs, parallel financing, and payment schedule.

Within sixty (60) calendar days of the signing of this Agreement, the Parties shall form a Project Management Committee ("PMC") to be made up of one representative of each Party. Each Party may replace its representative on the PMC by advanced written notice to the other Party. The PMC shall also include the IABIN Secretariat based at the Ciudad del Saber, Panama (comprised of the IABIN Secretariat Director, Thematic Network Coordinator, and Data Content Manager) and members of the IABIN IEC, and/or the IABIN Council as appropriate and supported by a Technical Committee of Experts constituted by specialists from across the region, chosen by the Secretariat.

The Coordinating Institution (CI) is responsible for organizing the implementation of the TN, including recommendations on standards and protocols. Standards and protocols, however, are subject to approval from the IABIN Council. The CI may also be responsible for the coordination of other activities, such as the development of tools for accessing data, entering data in the network, and training, which may be carried out by the CI or by other groups. These activities include facilitating the development and implementation of the specific Thematic Network, based on the IABIN Project Implementation Plan, to promote the sharing of data, knowledge, information, technologies and best practices relevant to biodiversity conservation and sustainable management within the Americas.



## **Annex # 6 Evaluation & Selection Process of Eligible Institutions under Component 2**

A “request for proposals” for IABIN Subprojects will be done twice yearly. RfPs will be published on IABIN’s website, IABINfriends, and the IABIN Focal Points listserv.

The request for proposals may be specific to a thematic network. Proposals will be evaluated based on their adherence to:

- Commitment to IABIN standards and protocols
- Commitment to public access
- Relevance to multiple countries and Hemispheric IABIN initiatives
- Impact of filling data gaps
- Linkage to IABIN thematic priorities
- Availability of co-financing (at least 1:1)
- Assignment of qualified personnel

Eligible Institutions to carry out the IABIN Subproject grants will be given 30 days to prepare a full proposal. The selection committee will be given 30 days to evaluate the proposals and inform the applicants of the result.

A technical selection Committee of experts in the field, approved by the IEC, and will always have on it the GS/OAS and the IABIN Secretariat Director. The Committee convened by the Secretariat, will be made up of 2 members of the Executive Agency, one technical and a procurement expert, up to two members of the IABIN Secretariat, a member of the IEC, and an outside expert. Other specialists will be added to the selection committee based on the expertise needed to review the proposal allowing an independent expert evaluation.

The Committee will review all proposals for IABIN Subprojects with a view towards striking a sub regional balance (meaning for example that not all EIs should be awarded to institutions based in Central America). The Secretariat will keep track of the subregional balance and indicate to the Committee areas where there has been a lack of EIs, so the Committee can attempt to attain a sub-regional balance.

Once the analysis has been completed all proposal evaluations, selection committee participants, and selection committee criteria, and actual rating will be placed on [www.iabin.net](http://www.iabin.net). (Note only the approved proposals will be posted, while the rejected proposals will be posted without actual ratings.) Efforts will be made to invite specialists from the CIs or those receiving IABIN Subprojects to be on the selection committee. It is hoped that serving on the selection committee will be considered prestigious, much like serving as a peer reviewer for a Journal article.

CIs may not submit proposals.

In summary, the steps are as follows:

- IABIN Secretariat coordinates with TNs CI preparation of “request for proposals” as indicated in the Annual Operating Plan up to 2 times a year. Request for proposals advertised on IABIN’s website, IABInfriends, and the IABIN Focal Points listserve.
- A member of the IABIN Secretariat and the CI (where appropriate) to be on all Selection Committees. Up to 2 members of the IEC will be invited to sit on the Selection Committees. IEC members should decline themselves if a proposal is being considered from their country.
- The Selection Committee qualifies the proposals and chooses the best proposals based on the allocation of funds for the year. The GS/OAS will assemble the independent evaluations and prepare the Eligible Institution Project Agreement.
- Proposals not to be funded are notified.
- Approved proposals are notified and invited to negotiate a “Project Agreement” with the GS/OAS. If this is successful (e.g., they need to show counterpart funds, assignation of personnel, etc.) then Agreement is signed. If not, go on to next choice.
- Results and proposals are posted on the web.
- Upon approval and signature of a IABIN Subproject, the GS/OAS shall transfer, on a grant basis, a portion of the GEF Trust Fund Grant proceeds.
- Monitoring process.

The GS/OAS has the obligation to suspend in whole or in part the portion of the GEF Trust Fund Grant allocated to finance a given IABIN Subproject in case the EI has failed to comply with any of its obligations under the corresponding IABIN Subproject Agreement and/or terminate the IABIN Subproject Agreement (as the case may be).

The GS/OAS shall exercise its rights and carry out its obligations under each IABIN Subproject Agreement in such manner as to protect the interests of the GS/OAS and the Bank and to accomplish the purposes of the GEF Trust Fund Grant.

EI received approval to all categories of items to be financed under the GEF Trust Fund Grant, which means, goods, consultant services, non-consultant technical services, training, and operating costs.

#### PROCEDURE TO EVALUATE PROPOSALS

Under component 2 of the project, matching grants will be awarded to institutions with high quality data, to support their efforts to improve the availability of critical data and metadata through the network. Please use the following criteria to evaluate the proposals. Institutions with the highest scores will qualify to receive grants. It is important that a subregional balance is achieved within each of the Content Programs during the life of the project.

Name of Institution: \_\_\_\_\_

Country: \_\_\_\_\_

Objective of Proposal:

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Criteria	Scale	Score	Remarks
Commitment to IABIN standards and protocols	Yes/No		A NO indicates that the proposed Matching Grantee is not willing to accept IABIN Standards and Protocols. With a NO then, the proposed Grantee is disqualified.
Commitment to public access	Yes\No		A NO indicates that the proposed Matching Grantee is not willing to share data that was in part facilitated by IABIN. With a NO then, the proposed Grantee is disqualified.
Relevance to multiple countries	1 to 20		
Impact of filling data gaps	1 to 20		Demand driven
Linkage to IABIN thematic priorities	1 to 10		
Availability of co-financing (at least 1:1)	1 to 20		
Availability of qualified personnel	1 to 20		
Relevance for conservation and sustainable use	1 to 10		
<b>TOTAL SCORE</b>			

Date of Evaluation: \_\_\_\_\_

## **Annex # 7 Evaluation & Selection Process of Consultants under Component 3**

- Objective: Develop value-added tools to help guide environmental management, biodiversity conservation, and sustainable development decision-making processes throughout the Western Hemisphere
  - ✓ Integrate and provide access to socio-economic and geo-spatial data relevant to biodiversity
  - ✓ Visualize and analyze data and information (e.g., dynamic map showing actual and predicted spread of a invasive species across several countries)
  - ✓ Utilize data with models to develop scenarios (options and consequences) for decision makers
  
- This component is financed under the “Consultant Category” of the GEF Trust Fund Agreement between OAS and the World Bank to develop IABIN

In order to execute the resources available in this component, the procedure is as follows:

- ✓ First phase: Fact Finding (what decision-making tools are available and what the countries needs in terms of value-added tools are).
  - ✓ Carry out three sub-regional workshops with Focal Points, Government Officials at hand, partners, and rep. from private sector to:
    - ✓ Research currently available decision support tools related to biodiversity management
    - ✓ Conduct a fact finding survey among our partners and users (countries) as to what decision support tools are needed. This process should also include a review of needs from and developments in the TNs and Catalog.
  
- ✓ Second phase: Gathered information to prepare a list and description of tools to be submitted to countries (FPs) so they set up a priority list of tools to be financed by IABIN. This phase would benefit also from Thematic Networks feedback.
  - ✓ Propose a prioritized list of decision support tools needed by countries
  
- ✓ Third phase: A request for Expression of Interest would be posted in order to finance priority tools.
  - ✓ Secretariat develops, with input from the IEC and GS/OAS, draft ToRs and evaluation criteria for Expression of Interest (EoI) to initiate the process to select and fund consultancy services to produce value-added tools prioritized as needed

## Annex # 8 Template: Parallel Financing Reporting Form

### Parallel Financing Reporting Form January -- June 2006

PLEASE PROVIDE INFORMATION ABOUT THE ACTIVITIES AND COSTS THAT YOUR INSTITUTION HAS FUNDED RELATED TO IABIN ACTIVITIES (DO NOT INCLUDE FUNDS PROVIDED BY IABIN)

#### INFORMATION OF FINANCIER (SOURCE)

Academic ( x )    NGO ( )    Government ( )    Multilateral Agencies ( )    Other ( )

INSTITUTION / ORGANIZATION NAME	
COUNTRY	
DEPARTMENT/OFFICE/OTHER	
AUTHORIZED PERSON NAME   EMAIL	
DATE	

**IMPORTANT:** The information reported in this form is the Institution/Organizations' responsibility, which will be filled together with the background documentation during project implementation, and are required that their records are available for review

#### 01- Interoperability and Access to Data

Support to create the information infrastructure necessary for users to search and access biodiversity data and information (i) Consultants' Services to work on the catalogue and the six Thematic Networks (Specimens, Species, Ecosystems, Invasive Species, Pollinators and Protected Areas), (ii) Participation in Seminars and Workshops (iii) Operating expenses

Units of Parallel Financing	ACTUAL				Description
	# of Units	Cost per hour	Actual Semester	Period of the Project	
Technical Personnel Hours - Senior Level					
Technical Personnel Hours - Junior Level					
Equipment and supplies					
Physical Infrastructure					
Documents					
Number of professionals in Seminar n (cost/day)+(travel cost)					
Others (please detail)					
<b>Sub-Total</b>			\$0	\$0	

#### 02-Data Content Creation

Support multilingual training, and provide technical leadership to IABIN countries as they develop data for access within the IABIN network (i) Consultants' Services to work on the catalogue and the six Thematic Networks (Specimens, Species, Ecosystems, Invasive Species, Pollinators and Protected Areas), (ii) Participation in Seminars and Workshops related to Component 1 (ii) Operating expenses

Units of Parallel Financing	ACTUAL				Description
	# of Units	Cost per hour	Actual Semester	Period of the Project	
Technical Personnel Hours - Senior Level					
Technical Personnel Hours - Junior Level					
Equipment and supplies					
Physical Infrastructure					
Documents					
Number of professionals in Seminar n (cost/day)+(travel cost)					
Others (please detail)					
<b>Sub-Total</b>			\$0	\$0	

### 03- Information Products for D-Making

Contribute to improve connectivity between biological and non-biological data, includes tools that will allow the user to ask questions from biodiversity and socio-economic databases in an integrated manner.

Units of Parallel Financing	ACTUAL				Description
	# of Units	Cost per hour	Actual Semester	Period of the Project	
Technical Personnel Hours - Senior Level					
Technical Personnel Hours - Junior Level					
Equipment and supplies					
Physical Infrastructure					
Documents					
Number of professionals in Seminar n (cost/day) + (travel cost)					
Others (please detail)					
<b>Sub-Total</b>			<b>\$0</b>	<b>\$0</b>	

### 04-Sustainability of IABIN

Expenditures for the recurring costs for the operation of the IABIN Secretariat and other periodic activities, also support to consultancies for minor goods including partnerships and communications.

Units of Parallel Financing	ACTUAL				Description
	# of Units	Cost per hour	Actual Semester	Period of the Project	
Technical Personnel Hours - Senior Level					
Technical Personnel Hours - Junior Level					
Equipment and supplies					
Physical Infrastructure					
Documents					
Number of professionals in Seminar n (cost/day) + (travel cost)					
Others (please detail)					
<b>Sub-Total</b>			<b>\$0</b>	<b>\$0</b>	

## **Annex # 9 Petty cash Guidelines**

### **A. Objetivo:**

Los fondos de caja chica son destinados para efectuar pagos menores, los cuales son los que por su naturaleza recurrente no justifican la emisión de cheques.

### **B. Responsabilidades:**

Involucra al Director de la Secretaría de IABIN, Administrador de Contenido y al Coordinador Temático de Redes, siendo el Director de la Secretaría de IABIN el responsable ante la SG/OEA de la liquidación de pagos.

### **C. Políticas:**

#### Apertura del fondo de caja chica:

Deberá ser autorizada por el Director de la Secretaría de IABIN. La solicitud de apertura debe solicitarse mediante carta dirigida al Departamento de Desarrollo Sostenible de la OEA en donde se indique:

- a. Justificación
- b. Monto del fondo solicitado
- c. Nombre de la persona que se encargará de la custodia de la caja chica (en adelante, custodio)

#### Operación del fondo:

1. El dinero y comprobantes de pago de la caja chica, así como los formularios utilizados, deben permanecer en un lugar seguro y bajo llave. (cajita metálica).
2. El custodio de la caja chica será el único autorizado al acceso de estos fondos y el responsable directo del manejo de los mismos.
3. El fondo funcionará bajo el sistema de monto fijo, es decir, que se reembolsará únicamente contra presentación de comprobantes de pago. Dicho reembolso se efectuará a través de cheque girado a nombre del responsable de la Caja Chica.
4. El monto máximo de adelanto o pago efectuados por caja chica es de \$25.00, en moneda local.
5. Para justificar cualquier pago o liquidación de adelanto por caja chica los documentos que los respalden deberán poseer como mínimo las siguientes características:
  - a. Originales
  - b. A nombre de Secretaría de IABIN
  - c. Todo comprobante deberá llevar el sello “pagado con caja chica”.
  - d. Sin tachones, ni correcciones que hagan dudar de su autenticidad.
  - e. Membretados, con excepción de los comprobantes por pagos de pasajes, taxis, parqueos de montos y otros servicios pequeños que se realizan por concepto de arreglos o reparaciones imprevistas.

En casos de servicios o reparaciones imprevistas, cuyo proveedor no cuente con facturas membretadas, se preparará una factura que deberá firmar el proveedor y adjuntar copia de su cédula. En caso de pago de taxis o estacionamiento, se deberá presentar una relación de gastos conforme a las tarifas usuales en el país.

#### 6. Para los adelantos de caja chica:

- a. Se confeccionará el formulario de “autorización de adelanto de caja chica” que deberá ser firmado por el solicitante y aprobado por el Director de la Secretaría de IABIN o en su ausencia por el Administrador de Contenido o el Coordinador Temático de Redes.

- b. El vale permanecerá en poder del custodio quien lo entregará al solicitante una vez que haya efectuado la liquidación.
  - c. El período máximo de liquidación de un vale de caja chica deberá ser de tres días hábiles.
7. Los fondos de caja chica no deberán ser utilizados para ningún concepto diferente al objetivo que le dio origen. Es decir, no podrán utilizarse, por ejemplo, para el cambio de cheques, pago de sueldos, compra de equipos o reposición de stock de suministros de oficina o cualquier otra erogación no justificada.
  8. Los pagos efectuados por caja chica deberán ser autorizados únicamente por el Director de la Secretaría de IABIN o en su ausencia por el Administrador de Contenido o el Coordinador Temático de Redes.
  9. El custodio de la caja chica deberá cerrar y rendir cuentas ante el Director de la Secretaría de IABIN o en su ausencia ante el Administrador de Contenido o el Coordinador Temático de Redes, una vez a la semana.
  10. Deberán existir dos llaves, una de ellas deberá permanecer en poder del Director de la Secretaría de IABIN y una en poder del custodio de la caja chica, cuando se vaya a efectuar cambio de Custodio, el Custodio anterior entregará la Caja Chica junto con su llave. En caso de ausencia del Director, éste le entregará su llave a la persona encargada de la Secretaría de IABIN mientras dure su ausencia
  11. El fondo caja chica es de \$150.00 (ciento cincuenta dólares con 00/100) dólares.

Otras consideraciones:

1. Deberán efectuarse arqueos periódicos y sorpresivos por el Director de la Secretaría de IABIN al custodio.
2. Al realizarse un cambio de custodio de la caja chica, se debe realizar un arqueo de caja chica, en el cual deben estar presentes el custodio que sale, el que entra y el Director de la Secretaría de IABIN. Dicho arqueo deberá efectuarlo el nuevo custodio en presencia de las personas antes mencionadas.

Cualquier faltante de recursos deberá ser reintegrado en el acto por el custodio saliente o a responsabilidad del Director de la Secretaría de IABIN, si esta diferencia no es reintegrada en el momento se le aplicará la deducción del salario.

***D. Descripción del procedimiento:***

***APERTURA DEL FONDO DE CAJA CHICA***

Director de la Secretaría de IABIN:

1. Solicita a la DDS/OEA apertura del fondo de Caja Chica, según las políticas descritas en el punto C de este documento.
2. Solicita reintegro de fondos de la caja chica ante DDS/OEA, para lo cual deberá adjuntar copia de la documentación de respaldo (recibos, facturas y demás). La SG/OEA autorizará el reintegro de los fondos, enviará la debida autorización a la Oficina de la SG/OEA en Panamá para proceder a la emisión de un cheque por la cantidad del reembolso, el cual será retirado en la Oficina de la SG/OEA en Panamá contra entrega de los respectivos comprobantes en original.

Custodio:



1. Recibe el cheque de reembolso y procede a hacerlo efectivo
2. Deposita el efectivo en un lugar seguro y bajo llave.

### **RETIRO EN EFECTIVO DE LA CAJA CHICA**

#### Custodio:

1. Recibe del solicitante el vale provisional “autorización de adelanto de caja chica”, debidamente firmado por el solicitante y con la debida autorización del Director de la Secretaría de IABIN o, en su ausencia, a la persona encargada de la Secretaría de IABIN mientras dure su ausencia.
2. Verifica el monto del vale, el cual no debe superar los US\$25.00, lo firma certificando su aceptación, y procede a custodiarlo hasta la liquidación del mismo.
3. Entrega al solicitante el monto correspondiente.

#### Solicitante:

1. Efectúa el trámite de compra y entrega las facturas al custodio.

#### Custodio:

1. Recibe la o las facturas, verifica su validez conforme a lo establecido en el punto 5 del apartado c de este documento, y la/s coteja con el vale provisional.
2. Archiva la factura y entrega el vale provisional, o en su defecto lo destruye.

#### Solicitante:

1. Devuelve cualquier diferencia que pudiera existir entre el monto recibido y lo gastado.

### **REINTEGRO DE CAJA CHICA**

#### Custodio:

1. Verifica que el monto de las erogaciones sea igual o superior al 70% de lo recibido por concepto de caja chica.
2. Prepara el detalle de gastos.
3. Detalla todos los resúmenes de gastos como liquidación de Caja Chica.
4. Remite los comprobantes junto con la solicitud de reintegro al Director de la Secretaría de IABIN.

#### Director de la Secretaría de IABIN:

1. Revisa el reintegro y remite con su conformidad al Departamento de Desarrollo Sostenible la solicitud de los fondos.

#### ***E. Preparación de formularios u otros documentos:***

1. Vale de autorización de adelanto de caja chica.
2. Hoja resumen de gastos.
3. Liquidación de caja chica.



**Annex # 10 Template: Application for Withdrawal and Statement of Expenditures**

<b>SPECIAL ACCOUNT RECONCILIATION STATEMENT</b>			
<b>TF-053526</b>			
1	Amount advanced by the IBRD		USD
2	Less total amount recovered by IBRD		USD
3	<b>EQUALS PRESENT OUTSTANDING AMOUNT ADVANCED TO THE SPECIAL ACCOUNT</b>		USD
-----			
4	Amount in Special Account mm/dd/yyyy		USD
5	Plus amount of committed funds for future eligible expenditures		USD
6	Plus amount of eligible expenditures documented in attached application (No. #)		USD
7	Plus amounts claimed in previous applications not yet credited at date of report		
8	<b>EQUALS TOTAL ADVANCE ACCOUNTED FOR</b>		USD
9	Explanation of any discrepancy between totals appearing in lines 3 and 8 above: NONE		
10	mm/dd/yyyy		
	SIGNATURE		
	TITLE		

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT									TF Number:
STATEMENT OF EXPENDITURES									Date:
CATEGORY 1: GOODS OTHER THAN UNDER IABIN SUBPROJECTS									Application nu
									Page number:
1	2	3	4	5	6	7	8	9	10
Item No.	Vendor	Purchase Order No.	Location	Contract amount (equivalent in USD)	Total cumulative payments already reported	Amount requested in this Application	Invoice/Description	Date of Withdrawal from Operatig Account	Date of Payment

CATEGORY 2: CONSULTANTS' SERVICES OTHER THAN UNDER IABIN SUBPROJECTS											
1	2	3	4	5	6	7	8	9	10	11	12
Item No.	Name of Vendor	Number of Contract (PO #)	Location	Original Amount of Contract (equivalent in USD)	Total of Cumulative payments already reported	Amount requested in this application	Invoice/Description	Date of Payment	% Finance by IBRD	Date of Withdrawal from Operating Account	Amount withdrawn from Operating Account

CATEGORY 3: NON-CONSULTANT TECHNICAL SERVICES													
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Item No.	Supplier	Purchase Order No.	Location	Dates	No. of Participants	Contract amount (equivalent in USD)	Total cumulative payments already reported	Amount requested in this Application	Invoice/Description	Date of Withdrawal from Operating Account	Date of Payment	% Finance by IBRD	Amount withdrawn from Operating Account

CATEGORY 4 (a) & (b): GOODS, CONSULTANTS' SERVICES, TRAINING, NON-CONSULTANT SERVICES AND/OR OPERATING COST											
1	2	3	4	5	6	7	8	9	10	11	12
Item No.	Grantee	Purchase Order No.	Location	Agreement amount (equivalent in USD)	Total cumulative payments already reported	Amount requested in this Application	Invoice/Description	Date of Withdrawal from Operatig Account	Date of Payment	% Finance by IBRD	Amount withdrawn from Operating Account

CATEGORY 5: TRAINING													
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Item No.	Supplier	Purchase Order	Location	Dates	No. of Trainees	Contract amount (equivalent in USD)	Total cumulative payments already reported	Amount requested in this Application	Invoice/Description	Date of Withdrawal from Operating Account	Date of Payment	% Finance by IBRD	Amount withdrawn from Operating Account

CATEGORY 6: OPERATING COSTS												
1	2	3	4	5	6	7	8	9	10	11	12	13
Item No.	Supplier   Vendor	Purchase Order	Location	Code type	Contract amount (equivalent in USD)	Total cumulative payments already reported	Amount requested in this application	Invoice/Description	Date of Withdrawal from Operating Account	Date of Payment	% Finance by IBRD	Amount withdrawn from Operating Account

# Annex # 11 Template: Procurement Plan

Goods																							
Resource	Procurement Method		Review		BUDGET		PREPARE Technical Specifications		DATES FOR THE BIDDING PROCESS								CONTRACT INFORMATION						
	Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual	Request WB N.O. for ITO		Receipt from WB N.O. for ITO		Issue RFO		Receive & evaluate O		Issue Purchase Order or contract		Delivery at site		Supplier	Observations	
									Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual			
<b>SUBTOTAL GOODS</b>					80	80																	
									Procurement Method	Contract Value threshold (US\$ thousands)	Contract subject to Prior Review												
									GOODS														
									Shopping	more than 50	First contract only	Procured under contracts awarded on the basis of international or national shopping procedures											
									Direct Contracting	--	All	Requirements: N.O. TM + justification letter (i) an existing contract, (ii) standardization of equipment or spare parts, (iii) the equipment is proprietary and obtainable only from one source, (iv) natural disasters											
									EMISSION DATE		UPDATED												
									N.O. DATE		N.O. DATE												

Non-Consultant Technical Services																										
Resource	Estimated outputs (events, contracts)	Review		Procurement Method		BUDGET		PREPARE Technical Specifications		DATES FOR THE BIDDING PROCESS								CONTRACT INFORMATION								
		Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual	Request WB N.O. for ITO		Receipt from WB N.O. for ITO		Issue RFO		Receive & evaluate O		Issue Purchase Order or contract		Delivery at site		Contractor	Observations			
										Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual					
<b>SUBTOTAL NON-CONSULTANT TECHNICAL SERVICES</b>					80					N/A																
									Procurement Method	Contract Value threshold (US\$ thousands)	Contract subject to Prior Review															
									NON-TECHNICAL SERVICES																	
									Shopping	more than 250	First contract only	Procured under contracts awarded on the basis of international or national shopping procedures														
									Direct contracting	--	All	Requirements: N.O. TM + justification letter (i) an existing contract														
									EMISSION DATE		UPDATED															
									N.O. DATE		N.O. DATE															







## **Annex # 12 Template: Advertising**

Taking into consideration the decision made by the IEC meeting held on June 2006, it will be required that not less than one month from date of posting a request for expression of interest should be provided for responses, before preparation of the short list. In the case that a Focal Point or a candidate request an extension to the deadline to provide for responses, it can be considered if a written communication is justified.

It should be advertised to:

IABIN List Serv at [iabinfriends@nbii.gov](mailto:iabinfriends@nbii.gov) and

IABIN Focal Points at [focalpoints@iabin.net](mailto:focalpoints@iabin.net).

Template for advertising an expression of interest:

<b>Country:</b>	International or National (Consultancies) IABIN Participating Countries (Grants)
<b>Implementing Agency:</b>	International Bank for Reconstruction and Development / World Bank
<b>Executing Agency:</b>	General Secretariat / Organization of American States (GS/OAS)
<b>Project:</b>	“Building the Interamerican Biodiversity Information Network” (IABIN)
<b>Duration:</b>	number of months

### **a) Consultancies and Non-Technical Services: Individuals or Firms**

1. Background.
2. Justification
3. Objectives of the consultancy
4. Supervision and methodology to be used
5. Deliverables
6. Specific Duties
7. Selection Criteria
8. Eligibility
9. Duration
10. Copyrights
11. Payment
12. Contact

### **b) Grants: IABIN Subprojects**

1. General Information
  - a. Rationale
  - b. Responsible Officers
  - c. Eligibility

- d. Award Information
  - e. Cost Sharing Requirements
  - f. Target Dates
2. Minimum Requirements
  3. Selection Criteria
  4. Instructions for Proposal Preparation and Submission

PAGE 1:

- A. Title of Proposed Project
- B. Contact Information for Principal Investigator(s)

- Name:
- Address:
- Country:
- Telephone:
- Fax:
- Email:
- Website:

- C. Contact information for Managing Institution

- Institution Name:
- Address:
- Institutional Contact Person
- Name:
- Telephone:
- Fax:
- Email:
- Website:

D. If Applicable, a List of other participating Institutions (including institutions with staff to be trained by grantee)

PAGE 2:

E. Project Summary: An abstract of the proposal (200 words or less)

PAGES 3-6:

F. Project description (Maximum four pages) - A description of the proposed outcome (product) of the project.

- Specific description
- Metrics (to demonstrate cost- and effort-efficiency)
- Provide time frame/work plan (including preparation of technical and financial reports).

PAGE 7

G. Project budget

Item	GS/OAS/IABIN	“Matching funds”	Total

Eligible costs are goods, consultant services, non-consultant technical services, training, and operating costs.

For example, a \$3,300 line item for lodging costs can be demonstrated as a formula: 20 nights x 11 people x \$15/night = \$3,300 requested for lodging. Justifications for personnel salary should be well documented, including the base-line salary figure and the estimate of time (percent) to be directly charged to the project. Assistance to cover personnel salaries is generally given a lower priority.

### **c) Goods**

1. Required technical specifications
  - (i) General descriptions
  - (ii) Specific details and technical standards
  - (iii) Performance Parameters (in case that there is any)
  - (iv) Packaging instructions (in case that there is any)
1. Prices and schedules for supply
2. Terms and Conditions of Supply
3. Warranty (if applicable)

**Annex # 13 Template: Evaluation Report for Goods**

To be used by Coordinating Institutions

**EVALUATION REPORT  
National Shopping (Goods)**

- 1. Project Name: *InterAmerican Biodiversity Information Network (IABIN)*
- 2. Implementing Agency: *Organization of American States*
- 3. Details of goods procured and estimated cost

Item No.	Quantity
X	
Y	
Z	

- 4. Numbers of suppliers invited   N   How many responded?   N
- 5. Comparison of quotations

Name of Suppliers	Item No.	Date Quotation Received	Price Quoted (US Dollars)
1	X	DD/MM/AA	
	Y	DD/MM/AA	
	Z	DD/MM/AA	
2	X	DD/MM/AA	
	Y	DD/MM/AA	
	Z	DD/MM/AA	
3	X	DD/MM/AA	
	Y	DD/MM/AA	
	Z	DD/MM/AA	

- 6. Name of the lowest evaluated supplier
- 7. Total price of the contract
- 8. Date of Contract Award

Date:DD/MM/YYYY

\_\_\_\_\_  
Signature of Procurement Official

## Annex # 14 Template: Contract for Consultants

### SMALL ASSIGNMENTS LUMP-SUM PAYMENTS (For FIRMS) (IBRD/IDA FINANCED)

#### CONTRACT

THIS CONTRACT (“Contract”) is entered into this *[insert starting date of assignment]*, by and between *[insert Client’s name]* (“the Client”) having its principal place of business at *[insert Client’s address]*, and *[insert Consultant’s name]* (“the Consultant”) having its principal office located at *[insert Consultant’s address]*.

WHEREAS, the Client wishes to have the Consultant perform the services hereinafter referred to, and

WHEREAS, the Consultant is willing to perform these services,

NOW THEREFORE THE PARTIES hereby agree as follows:

- 1. Services**
  - (i) The Consultant shall perform the services specified in Annex A, “Terms of Reference and Scope of Services,” which is made an integral part of this Contract (“the Services”).
  - (ii) The Consultant shall provide the personnel listed in Annex B, “Consultant’s Personnel,” to perform the Services.
  - (iii) The Consultant shall submit to the Client the reports in the form and within the time periods specified in Annex C, “Consultant’s Reporting Obligations.”
- 2. Term**

The Consultant shall perform the Services during the period commencing *[insert starting date]* and continuing through *[insert completion date]*, or any other period as may be subsequently agreed by the parties in writing.
- 3. Payment**
  - A. Ceiling

For Services rendered pursuant to Annex A, the Client shall pay the Consultant an amount not to exceed *[insert amount]*. This amount has been established based on the understanding that it includes all of the Consultant's costs and profits as well as any tax obligation that may be imposed on the Consultant.
  - B. Schedule of Payments

The schedule of payments is specified below:<sup>1</sup>

*[insert amount and currency]* upon the Client's receipt of a copy of this Contract signed by the Consultant;

*[insert amount and currency]* upon the Client's receipt of the draft report, acceptable to the Client; and

*[insert amount and currency]* upon the Client's receipt of the final report, acceptable to the Client.

*[insert amount and currency]* Total

C. Payment Conditions

Payment shall be made in *[specify currency]*, no later than 30 days following submission by the Consultant of invoices in duplicate to the Coordinator designated in paragraph 4.

**4. Project Administration**

A. Coordinator.

The Client designates Mr./Ms. *[insert name]* as Client's Coordinator; the Coordinator will be responsible for the coordination of activities under this Contract, for acceptance and approval of the reports and of other deliverables by the Client and for receiving and approving invoices for the payment.

B. Reports.

The reports listed in Annex C, "Consultant's Reporting Obligations," shall be submitted in the course of the assignment, and will constitute the basis for the payments to be made under paragraph 3.

**5. Performance Standards**

The Consultant undertakes to perform the Services with the highest standards of professional and ethical competence and integrity. The Consultant shall promptly replace any employees assigned under this Contract that the Client considers unsatisfactory.

**6. Confidentiality**

The Consultants shall not, during the term of this Contract and within two years after its expiration, disclose any proprietary or confidential information relating to the Services, this Contract or the Client's business or operations without the prior written consent of the Client.

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<sup>1</sup> Modify, in order to reflect the output required, as described in Annex C.

- 7. Ownership of Material** Any studies reports or other material, graphic, software or otherwise, prepared by the Consultant for the Client under the Contract shall belong to and remain the property of the Client. The Consultant may retain a copy of such documents and software.<sup>2</sup>
- 8. Consultant Not to be Engaged in Certain Activities** The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, shall be disqualified from providing goods, works or services (other than the Services and any continuation thereof) for any project resulting from or closely related to the Services.
- 9. Insurance** The Consultant will be responsible for taking out any appropriate insurance coverage.
- 10. Assignment** The Consultant shall not assign this Contract or sub-contract any portion of it without the Client's prior written consent.
- 11. Law Governing Contract and Language** The Contract shall be governed by the laws of *[insert government]*, and the language of the Contract shall be<sup>3</sup> *[insert language]*
- 12. Dispute Resolution**<sup>4</sup> Any dispute arising out of the Contract, which cannot be amicably settled between the parties, shall be referred to adjudication/arbitration in accordance with the laws of the Client's country.

#### **LIST OF ANNEXES**

Annex A: Terms of Reference and Scope of Services

Annex B: Consultant's Personnel

Annex C: Consultant's Reporting Obligations

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<sup>2</sup> Restrictions about the future use of these documents and software, if any, shall be specified at the end of paragraph 7.

<sup>3</sup> The law selected by the Client is usually the law of its country. However, the Bank does not object if the Client and the Consultant agree on another law. The language shall be English, French, or Spanish, unless the Contract is entered into with a domestic firm, in which case it can be the local language.

<sup>4</sup> In the case of a Contract entered into with a foreign Consultant, the following provision may be substituted for paragraph 12: "Any dispute, controversy or claim arising out of or relating to this Contract or the breach, termination or invalidity thereof, shall be settled by arbitration in accordance with the UNCITRAL Arbitration Rules as at present in force."

## **Annex # 15 Template: Semester Progress Report**

Model Table of content

### **1. IABIN Overview by Component/Subcomponent**

Brief description of status of activities, obstacles/constraints

### **2. Executive Summary of the “Building IABIN” Project by Component/Subcomponent**

Objectives, results, achievements, performance indicators

### **3. Project Milestones by IABIN Component and Subcomponent**

#### **Component 1: Interoperability and Access to Data**

IABIN Catalogue Service

Thematic Networks

Protected Areas TN

Species and Specimen TNs

Ecosystems TN

Invasive Species TN

Pollinators TN

#### **Component 2: Data Content Creation**

Data digitizing grants

Data Providers

#### **Component 3: Information Products for Decision Making**

Connectivity Program

#### **Component 4: Sustainability of IABIN**

Fund Raising

IABIN Secretariat

Partnership and Communications

Planning, Coordination and Reporting

#### **Component 5: Project Administration**

Reporting by Component/Subcomponent/Activity

Co-financing

Administrative/management issues

Modifications made to reallocate or redirect resources to improve performance with IABIN

### **4. Achievement of Project Objectives**

### **5. Financial Status.**

### **6. Conclusions and Recommendations**



## Annex # 16 Template: Financial Monitoring Reports

### a) Sources and Uses of Funds

Cash	Accumulative Nov04-April05	Total Accumulative	Total Expenditures Accumulatives (Committed+ obligated)	Total Expenditures/Total Project Budget	Period of the Project PAD	GEF Funds Available
<b>Total Incoming / Financing</b>	\$ 789,084.56					
<b>Subtotal Funds del IBRD</b>	\$ 789,084.56					
Cash Advance # 1 (Oct04)	\$ 600,000.00					
Application # 2 (Nov 04-Apr 05)	\$ 142,748.78	\$ 789,084.56	\$ 189,084.56	3.15%	\$ 6,000,000.00	\$ 5,810,915.44
Application # 3 (June - July 05)	\$ 46,335.78					
Application # 4	\$ -					
Application # 5	\$ -					
Application # 6	\$ -					
Application # 7	\$ -					
<b>Other Funds</b>	\$ -	\$ -				
<b>Difference in the Exchange Rate</b>						

Use of Funds by IABIN Categories	Actual		Estimated		Variation		Programmed	PAD
	Semester Nov04-June05	Accumulated Nov04-June05	Semester Nov04-June05	Accumulated Nov04-June05	Actual Semester actual/estimated	Total Accumulated actual/estimated	Programmed July05-Dec05	
	<i>Goods other than under IABIN Subprojects</i>	\$ 145.68	\$ 145.68	\$ 5,000.00	\$ 5,000.00	2.91%	2.91%	
<i>Consultants' Services other than under IABIN Subprojects</i>	\$ 75,750.00	\$ 75,750.00	\$ 326,500.00	\$ 326,500.00	23.20%	23.20%	\$ 321,500.00	\$ 2,970,000.00
<i>Non-consultant Technical Services</i>	\$ 61,324.96	\$ 61,324.96	\$ 74,940.00	\$ 74,940.00	81.83%	81.83%	\$ 74,940.00	\$ 640,000.00
<i>Goods &amp;/or Consultants' services under IABIN Subprojects</i>	\$ -	\$ -	\$ 30,000.00	\$ 30,000.00	0.00%	0.00%	\$ 30,000.00	\$ 1,370,000.00
<i>Training</i>	\$ -	\$ -	\$ 17,500.00	\$ 17,500.00	0.00%	0.00%	\$ 32,500.00	\$ 570,000.00
<i>Operating Costs</i>	\$ 51,863.92	\$ 51,863.92	\$ 50,906.00	\$ 50,906.00	101.88%	101.88%	\$ 20,145.00	\$ 420,000.00
<b>Subtotal of funds</b>	\$ 189,084.56	\$ 189,084.56	\$ 504,846.00	\$ 504,846.00	37.45%	37.45%	\$ 484,085.00	\$ 6,000,000.00
<i>Cash Advance # 1 (Oct04)</i>	\$ 600,000.00							
<b>Total Obligations of the Period</b>		\$ -			Percentage of execution considering real executed (without commitments)		37.45%	
<b>Balance of Funds available (accumulated incoming - accumulated uses - commitments of the period)</b>		\$ 600,000.00			Percentage of execution considering expenditures and commitments		37.45%	

**b) Uses of Funds by Component, Subcomponent, and Activity**

Category	Component	Subcomponent	ACTIVITIES	Actual		Estimated		Variation		Actual Accumulative /PAD	Programmed	PAD
				Actual Semester	Accumulative	Actual Semester	Accumulative Actual / Estimate	Actual / Estimate	Accumulative Actual / Estimate			
				Jan-Jun06	Nov04-Jun06	Jan-Jun06	Nov04-Jun06	Jan-Jun06	Nov04-Jun06	%	Jul-Dec06	
2	1	1	<b>IABIN Catalogue Service</b>									
2	1	1	1 Searching tools for data and metadata (Biobot)	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$32,000	\$160,000
2	1	1	2 Controlled Vocabulary (Thesaurus)	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$12,500	\$30,000
3	1	1	3 Meetings of the Technical Working Groups	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$5,000	\$30,000
4a	1	2	<b>Specimens and Species Thematic Networks</b>	\$97,650	\$97,650	\$97,650	\$97,650	100%	100%	24.41%	\$124,700	\$400,000
4a	1	4	<b>Ecosystems Thematic Network</b>	\$0	\$0	\$57,500	\$57,500	0%	0%	0.00%	\$57,500	\$250,000
2	1	5	<b>Invasive Species Thematic Network</b>									
2	1	5	1 Develop data entry tools and training materials	\$0	\$2,000	\$3,000	\$5,000	0%	40%	40.00%	\$0	\$5,000
2	1	5	2 Develop search and retrieval tools	\$0	\$0	\$15,000	\$15,000	0%	0%	0.00%	\$0	\$18,000
2	1	5	3 Develop value-added tools	\$0	\$0	\$11,500	\$11,500	0%	0%	0.00%	\$11,500	\$80,000
3	1	5	4 Meetings of the Technical Working Groups	\$0	\$6,633	\$10,000	\$17,054	0%	39%	13.27%	\$5,000	\$50,000
3	1	5	5 Outreach Meetings and Events	\$0	\$0	\$6,000	\$6,000	0%	0%	0.00%	\$6,000	\$12,000
4a	1	6	<b>Pollinators Thematic Network</b>	\$0	\$0	\$35,000	\$35,000	0%	0%	0.00%	\$35,000	\$180,000
4a	1	7	<b>Protected Areas Thematic Network</b>	\$35,750	\$35,750	\$35,750	\$35,750	100%	100%	15.54%	\$79,250	\$230,000
6	1	8	Thematic Networks Coordinator	\$24,000	\$68,000	\$24,000	\$68,000	100%	100%	28.33%	\$24,000	\$240,000
			<b>Total 01 -- Interoperability and Access to Data</b>	\$157,400	\$210,033	\$295,400	\$348,454	53%	60%	12.46%	\$392,450	\$1,685,000
2	2	1	<b>Metadata Content Program</b>									
2	2	1	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$10,000	\$30,000
2	2	1	2   5 Training sessions on the use of data creation	\$0	\$0	\$0	\$15,000	#DIV/0!	0%	0.00%	\$15,000	\$90,000
4b	2	1	3 Support institutional efforts to make data available through the network	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$40,000	\$180,000
2	2	2	<b>Specimen Content Program</b>									
2	2	2	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$30,000
2	2	2	2   5 Training sessions on the use of data creation	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$110,000
4b	2	2	3 Support institutional efforts for data available through the network	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$40,000	\$260,000
2	2	3	<b>Species Content Program</b>									
2	2	3	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$30,000
2	2	3	2   5 Training sessions on the use of data creation	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$110,000
4b	2	3	3 Support institutional efforts for data available through the network	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$40,000	\$260,000
2	2	4	<b>Ecosystems Content Program</b>									
2	2	4	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$30,000
2	2	4	2   5 Training sessions on the use of data creation	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$110,000
4b	2	4	3 Support institutional efforts for data available through the network	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	\$260,000

c) Uses of Funds by Category, Component, Subcomponent, and Activity

Category	Component	Sub-component	COMPONENTS/SUBCOMPONENTS/ACTIVITIES	Actual		Estimated		Variation		Actual Accumulative/P AD	Programmed	PAD
				Actual Semester	Accumulative	Actual Semester	Accumulative Actual / Estimate	Actual / Estimate	Accumulative Actual / Estimate			
				Jan-Jun06	Nov04-Jun06	Jan-Jun06	Nov04-Jun06	Jan-Jun0+	Nov04-Jun06	%	Jul-Dec06	Period of the Project
1	4	8	<b>IABIN Secretariat</b>									
1	4	8	1 Secretariat office	\$3,454	\$6,633	\$3,500	\$12,500	99%	53%	22.11%	\$2,500	\$30,000
			<b>TOTAL 01 -- GDS OTHER THAN IABIN SUBPROJ</b>	\$3,454	\$6,633	\$3,500	\$12,500	99%	53%	22.11%	\$2,500	30,000.00
2	1	1	<b>IABIN Catalogue Service</b>									
2	1	1	1 Searching tools for data and metadata (Biobot)	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$32,000	160,000.00
2	1	1	2 Controlled Vocabulary (Thesaurus)	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$12,500	30,000.00
2	1	5	<b>Invasive Species Thematic Network</b>									
2	1	5	1 Develop data entry tools and training materials	\$0	\$2,000	\$3,000	\$5,000	0%	40%	40.00%	\$0	5,000.00
2	1	5	2 Develop search and retrieval tools	\$0	\$0	\$15,000	\$15,000	0%	0%	0.00%	\$0	18,000.00
2	1	5	3 Develop value-added tools	\$0	\$0	\$11,500	\$11,500	0%	0%	0.00%	\$11,500	80,000.00
2	2	1	<b>Metadata Content Program</b>									
2	2	1	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$10,000	30,000.00
2	2	1	2 Training sessions on the use of data creation tools	\$0	\$0	\$0	\$15,000	#DIV/0!	0%	0.00%	\$0	15,000.00
2	2	2	<b>Specimen Content Program</b>									
2	2	2	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	30,000.00
2	2	2	2 Training sessions on the use of data creation tools	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	15,000.00
2	2	3	<b>Species Content Program</b>									
2	2	3	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	30,000.00
2	2	3	2 Training sessions on the use of data creation tools	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	15,000.00
2	2	4	<b>Ecosystems Content Program</b>									
2	2	4	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	30,000.00
2	2	4	2 Training sessions on the use of data creation tools	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	15,000.00
2	2	5	<b>Invasive Species Content Program</b>									
2	2	5	1 Data and metadata quality control	\$0	\$0	\$5,000	\$5,000	0%	0%	0.00%	\$5,000	30,000.00
2	2	5	2 Training sessions on the use of data creation tools	\$0	\$0	\$5,500	\$5,500	0%	0%	0.00%	\$8,000	30,000.00
2	2	6	<b>Pollinators Species Content Program</b>									
2	2	6	1 Data and metadata quality control	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	30,000.00
2	2	6	2 Training sessions on the use of data creation tools	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	30,000.00
2	2	7	<b>Protected Areas Thematic Network</b>									
2	2	7	1 Training sessions on the use of data creation tools	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$0	20,000.00
2	4	9	<b>Partnerships and Communications</b>									
2	4	9	1 Specialized Consultancies	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$20,000	50,000.00
2	3		<b>Proposal/Carry out value added products</b>									
2	3		1 Implementation of value-added projects	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	0.00%	\$125,000	500,000.00
			<b>TOTAL 02 -- CS OTHER THAN IABIN SUBPROJ</b>	\$0	\$2,000	\$40,000	\$57,000	0%	4%	0.17%	\$224,000	1,163,000.00

## Code system

CATEGORY	COMPONENT	SUBCOMPONENT
1 Goods other than under IABIN Subprojects	1 Interoperability and Access to Data	01 Metadata   Catalogue Service
2 Consultant's services other than under IABIN Subprojects or under CI Grants	2 Data Content Creation	02 Specimens and Species Thematic Network   Specimens Thematic Network *
3 Non Consultant technical Services	3 Information Products for Decision making	03 Species Thematic Network
4 (a) Goods, Consultant's services, Non-Consulting Services, and /or operating costs of CIs under CI Transfer Funds	4 Sustainability of IABIN	04 Ecosystems Thematic Network
4 (b) Goods, Consultant's services, Non-Consulting Services, and/or operating costs of EIs under IABIN Subprojects	5 Project Administration	05 Invasive Species Thematic Network
5 Training		06 Pollinators Thematic Network
6 Operating Costs		07 Protected Areas Thematic Network
		08 IABIN Secretariat
		09 Partnership and Communication

\* Specimens and Species Thematic Network apply only under Interoperability and Access to Data, with the other components apply as Specimens Thematic Network

For example: 3.1.2

**Category:** Non-consultant technical service | **Component:** Interoperability and access to data |

**Subcomponent:** Specimens and Species Thematic Network.

## **Annex # 17 Template: Annual Operating Plan**

### Model Table of Contents

#### **Narrative descriptive section**

**Current status and description of what happened in 200x** (e.g. favorable and unfavorable internal factors or lessons learned from previous year that might influence the project, it would feed into how the activities would be implemented)

- XXXXX
- XXXXX

#### **Expected outputs/deliverables in 200x**

- XXXXX
- XXXXX

**Expected Track performance of key performance indicators in 200x (including critical assumptions and risks)**

- XXXXX
- XXXXX

**Planned activities in 200x** (Outline the specific activities for each output/deliverable of the Project)

- XXXXX
- XXXXX

**Budget activities** (How the financial resources are allocated for each planned activities)

A matrix of activities for the calendar year should be developed with the following columns:

- Component;
- Sub-component;
- Activity
- Resources

## Budget activities

	DESCRIPTION	Period (mm/dd/yy or # of months)	ESTIMATED COSTS	Sources of Funding																
				GEF				CI												
				Amount	%	ToF1	ToF2	ToF3	ToF4	Amount	%	CF	CF	CF	CF					
<b>Component</b>	<b>1. INTEROPERABILITY AND ACCESS TO DATA</b>																			
<b>SubComponent</b>	<b>1.1. IABIN Catalogue Service</b>																			
<b>Activity</b>	<b>1.1.1 Searching tools for data and metadata (Biobot)</b>																			
<b>Resources</b>	One Programmer		-																	
<b>SubComponent</b>	<b>4a.1.2 Specimens and Species Thematic Network</b>																			
<b>Activity</b>	<b>4a.1.2. Definition of needs</b>																			
<b>Resources</b>	One Analyst		-																	
<b>Resources</b>	Seven Computers		-																	
<b>SubComponent</b>	<b>4a.1.3 Ecosystem Thematic Network</b>																			
<b>Activity</b>	<b>4a.1.3 Identify Lead Institution in every country through Focal Point</b>																			
<b>Resources</b>	One Ecosystem Expert		-																	
<b>Component</b>	<b>2. DATA CONTENT CREATION</b>																			
<b>SubComponent</b>	<b>2.2.1 IABIN Catalogue Service</b>																			
<b>Activity</b>	<b>2.2.1 Improve availability of critical metadata data &amp; metadata</b>																			
<b>Resources</b>	Four IABIN Subprojects		-																	
<b>SubComponent</b>	<b>2.2.2 Specimen Content Program</b>																			
<b>Activity</b>	<b>2.2.2 Improve availability of critical metadata data &amp; metadata</b>																			
<b>Resources</b>	Four IABIN Subprojects		-																	
<b>Component</b>	<b>3. INFORM PRODUCTS FOR DECISION MAKING</b>																			
<b>SubComponent</b>	<b>3.1. Develop and/or adapt value-added tool(s)</b>																			
<b>Activity</b>	<b>3.1.1 Implementation of value-added proposals/projects</b>																			
<b>Resources</b>	One value added tool available		-																	
<b>Component</b>	<b>4. SUSTAINABILITY OF IABIN</b>																			
<b>SubComponent</b>	<b>4.1 IABIN Secretary</b>																			
<b>Resources</b>	IABIN Director																			
<b>Resources</b>	17 travels to attend meetings																			
<b>Component</b>	<b>5. PROJECT ADMINISTRATION</b>																			
<b>SubComponent</b>	<b>5.1 IABIN Financial and Monitoring Costs</b>																			
<b>Resources</b>	Administration Cost																			
<b>Resources</b>	Supervision Travel																			
	<b>TOTAL</b>		-																	

**Annex # 18 Letter of Agreement (LOA)**

The Letter of Agreement (LOA) of this resolution entered into by and between the Inter-American Biodiversity Information Network (IABIN) Executive Committee (hereinafter the “IEC”) and the City of Knowledge Foundation (Fundación Ciudad del Saber, hereinafter the “CoKF”) for the purpose of establishing a Secretariat for the Inter-American Biodiversity Information Network (IABIN) hosted by the CoKF may be found at <http://www.iabin-us.org/secretariat/secretariat.html> .

## **Annex # 19 List of related links**

Project Implementation Plan <http://www.iabin.net/english/index.shtml>  
[Terms of Reference for the position of Director for the IABIN Secretariat](#)

IABIN Executive Committee selected Panama's foundation "City of Knowledge" to host the IABIN Secretariat <http://www.cdspanama.org/>

Project Appraisal Document  
<http://www.gefonline.org/ProjectDocs/Biodiversity/Regional%20-%20Building%20the%20InterAmerican%20Biodiversity%20Information%20-%20IABIN/51004%20IABIN%20Project%20Document.doc>

IABIN Secretariat Reports  
[IABIN Progress Report - July 2003 to February 2004](#) (.pdf - 361KB)  
[IABIN Project Executive Summary](#) (.pdf - 300KB)

### **World Bank Procurement and Disbursement links:**

1. Selection and Employment of Consultants by World Bank Borrowers (May 2004)  
<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20060656~menuPK:93977~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>
2. Procurement under IBRD Loans and IDA Credits (Goods and non-consultant technical services) (May 2004)  
<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20060840~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>
3. Guidance for shopping  
<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20105663~menuPK:93977~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>
4. Standard Request for Proposals Selection of Consultants (May 2004)  
Use this Standard Requests for Proposals in the selection of consultants. Its' use is mandatory for contracts estimated to cost more than \$200,000 equivalent. It contains two standard forms and sample of contracts: for complex time-based consultant assignments, assignments remunerated on a lump sum basis, and for time-based and lump-sum small assignments.  
<http://web.worldbank.org/WBSITE/EXTERNAL/PROJECTS/PROCUREMENT/0,,contentMDK:20199092~menuPK:84284~pagePK:84269~piPK:60001558~theSitePK:84266,00.html>



**Annex # 20 Template: Coordinating Institution Transfer Agreement between GS/OAS & CIs**

**COORDINATING INSTITUTION TRANSFER AGREEMENT**

**BETWEEN**

**THE GENERAL SECRETARIAT OF THE ORGANIZATION OF AMERICAN STATES,  
THROUGH THE DEPARTMENT OF SUSTAINABLE DEVELOPMENT**

**AND**

**THE COEVOLUTION INSTITUTE**

**FOR**

**“THE IMPLEMENTATION OF ACTIVITIES IN SUPPORT OF THE IABIN (INTER  
AMERICAN BIODIVERSITY INFORMATION NETWORK) POLLINATORS THEMATIC  
NETWORK”**

**The Parties,**

Coevolution Institute (hereinafter referred to as the “Coordinating Institution” or “CI”), a private not-for-profit organization 501 (c) 3 since 1997, with headquarters in San Francisco, California, USA;

and

The General Secretariat of the Organization of American States (hereinafter referred to as “GS/OAS”), a public international organization with headquarters in Washington, D.C., through its Department of Sustainable Development (hereinafter referred to as “GS/OAS/DSD”),

**WHEREAS:**

The International Bank for Reconstruction and Development (hereinafter referred to as the “IBRD”) as implementing agency of the Global Environment Facility (hereinafter referred to as the “GEF”) Trust Fund, has entered into a Global Environment Facility Trust Fund Grant Agreement with GS/OAS (see Annex 1, hereto) for an amount equal to US\$6,000,000 (six million United States dollars) to fund the building of the Inter-American Biodiversity Information Network Project;

GS/OAS has declared its commitment to the objectives of the project and to the specific goals of Schedule 2 (Description of Project) Subcomponent A.2 of the Global Environment Facility Trust Fund Grant Agreement “Interoperability and Access to Data”, whereby the IEC (hereinafter referred to as the “IABIN Executive Committee”) will designate the CI, which will assist the IABIN Executive Committee in carrying out the

activities in Subcomponent A.2 for the establishment of five thematic networks, each of which is to be integrated with the other networks;

One of the thematic networks has been identified as the Pollinators Thematic Network (hereinafter referred to as the “PTN”), which will include assistance for the development of policies, tools, standards and protocols to access, analyze and use information concerning that thematic network;

The IABIN Executive Committee (hereinafter referred to as the “IEC”) has conducted an open technical competition for qualified institutions throughout the Western Hemisphere to assume the role of Coordinating Institution (“CI”) for which the IEC developed Terms of Reference (“ToRs”) (see Annex 2, hereto), and has selected Coevolution Institute after the IEC confirmed the IEC’s technical, operational and administrative qualifications and legal standing to act as the CI in charge of the PTN;

The CI has agreed to assist GS/OAS in the execution of Subcomponent A.2 and has agreed to abide by the terms and conditions stipulated in the GEF Trust Fund Grant Agreement, “Building the Inter-American Biodiversity Information Network project” (hereinafter referred to as the “GEF Trust Fund Grant”) as those terms and conditions apply to the CI; and

In addition, the IEC, and the Coevolution Institute have signed a Memorandum of Cooperation (“MOC”) (see Annex 3, hereto) for the development and implementation of the above-mentioned Thematic Networks, based on the technical proposal submitted by the institution for becoming the CI for the establishment of the Thematic Networks (see Annex 4, hereto).

**NOW, therefore, the Parties hereto hereby agree as follows:**

#### **ARTICLE I: OBJECTIVE**

- 1.1. The Parties agree to collaborate with each other to establish the PTN that will promote the use of biodiversity informatics in the Western Hemisphere and thereby facilitate private and public sector collaboration in developing an enduring and self-sustaining PTN (hereinafter referred to as the “Project”), as established in this Agreement and its Annexes.

#### **ARTICLE II: EXECUTION OF THE PROJECT**

- 2.1. The CI, declares its commitment to collaborate with GS/OAS, specifically with the objectives of Subcomponent A.2 of the Project in terms satisfactory to GS/OAS/DSD and the IBRD, and to this end, shall:
  - (a) Establish one thematic network for PTN to be integrated with the IABIN Catalogue Service and the other five Thematic Networks (i.e., *Invasives Species, Species, Specimens, Ecosystems, and Protected Areas*) and the geospatial network under the IABIN Connectivity Program. The duty to establish these thematic networks includes, but is not limited to, the development of policies, tools, standards and protocols to access, analyze

and use information concerning said thematic network; the design and installation of a web site in a central server; the provision of training materials; the development of software for data providers; the operation and maintenance of said thematic networks; and the development of English and Spanish training materials concerning the operation of said thematic networks;

- (b) Carry out technical, financial and reporting responsibilities in accordance with the provisions set forth in Annex 5 Part 1, Part 2 and Part 3, for as long as this Agreement is effective;
- (c) Participate in the review of the IBRD and GS/OAS/DSD with the pertinent reports and to take all measures required to ensure the sustainability of the Thematic Network;
- (d) Comply with GS/OAS operating procedures to procure goods, non-consultant services, and consultants' services in accordance with the provisions set forth in the Operational Manual in Annex 6 and in Annex 5, Part A; and
- (e) Prepare a Procurement Plan (hereinafter referred to as the "PP") and an Annual Operating Plan (hereinafter referred to as the "AOP") in accordance with the provisions set forth in Part 1 and Part 3.2, respectively, of this Agreement. The PP and the AOP shall be designed to meet the objectives of this Agreement in such manner that all activities ensure the achievement of goals of Subcomponent A.2 and sustainability of the Thematic Network that have been entrusted to the CI under this Agreement.

### **ARTICLE III: ORGANIZATION FOR IMPLEMENTATION OF THE PROJECT**

- 3.1. Within sixty (60) calendar days of the signing of this Agreement, the Parties shall form a Project Management Committee (hereinafter referred to as the "PMC") to be made up of one representative of each Party. The PMC shall also include the IABIN Secretariat based at the Ciudad del Saber, Panama (comprised of the IABIN Secretariat Director, the Thematic Network Coordinator, and the Data Content Manager) and members of the IEC, and/or of the IABIN Council as appropriate. Each Party may replace its representative on the PMC by advanced written notice to the other Party.
- 3.2. The PMC shall meet during the first month of every calendar quarter subsequent to the effective date of this Agreement to discuss Project planning and to monitor the progress of the Project. Meetings may be held by telephone conference calls or through email communications.
- 3.3. The CI shall maintain a team of specialists in charge of the technical and financial activities, set forth in the Article XIII, paragraph 13.2 of this Agreement, whose qualifications are satisfactory to GS/OAS and the IBRD. In addition, the CI will fulfill its commitments under the MOC signed with the IEC.

## ARTICLE IV: CONTRIBUTIONS

Under this Agreement, the GS/OAS will contribute to the CI US\$180,000 (One hundred eighty thousand United States dollars) over a 36-month period for the execution of the Project. This amount is a portion of the GEF Trust Fund Grant proceeds (hereinafter “Coordinating Institution Transfers” or “CI Transfers”) and will be disbursed as indicated in paragraphs 4.1.1. and 4.1.2 of this Agreement.

4.1.1. During the first year (i.e., 12 months) of this Agreement, CI Transfers will be disbursed according to the following schedule, and expected deliverables and reports submitted to the IABIN Secretariat and approved by GS/OAS/DSD according to AOP, ToRs, MOC, and technical proposal (Annexes 2, 3, 4, hereto), and in accordance with the provision set forth in Annex 5, Part 2 of this Agreement:

(a) First CI Transfer of US\$7,000.00 shall be disbursed upon signature of this Agreement and shall finance the implementation of Project activities for the first quarter set forth in Annex 5, Part 2, as submitted to the IABIN Secretariat and approved by the GS/OAS/DSD;

(b) Second CI Transfer of \$32,500.00 shall be disbursed according to the AOP for the second quarter and upon delivery to the IABIN Secretariat and approval by the GS/OAS/DSD of the first quarterly report and expected deliverables set forth in Annex 5, Part 3.1 and 3.2, respectively;

(d) Third CI Transfer of \$21,500.00 shall be disbursed according to the AOP for the third quarter and upon delivery to the IABIN Secretariat and approval by the GS/OAS/DSD of the second quarterly report, and expected deliverables set forth in Annex 5, Part 3.1 and 3.2, respectively, and

(d) Fourth CI Transfer of \$7,000.00 shall be disbursed according to the AOP for the fourth quarter and upon delivery to the IABIN Secretariat and approval by the GS/OAS/DSD of the third quarterly report, and expected deliverables set forth in Annex 5, Part 3.1 and 3.2, respectively.

4.1.2. The remaining CI Transfers under this Agreement will be disbursed according to the AOP to be presented to the IABIN Secretariat not later than November 15 of 2006, 2007, and 2008, respectively, and to be approved by the GS/OAS/DSD. The AOP shall contain project activities to be carried out and deliverables to be produced according to Annexes 2, 3, and 4.

4.1. The co-financing amount to be provided by the CI will be of US\$2.00 (two United States dollars) per every dollar contributed by the GS/OAS. Thus, the CI shall contribute US\$ 360,000.00 (three hundred sixty thousand United States dollars) over a 36-month period for the execution of the Project, which will be reported in the Parallel Reporting Financing Form (Part 3.1).

4.2.1. During the first year (12 months) of this Agreement, the CI will contribute co-financing according to the disbursement of CI Transfers and the AOP for the first year, as submitted to the IABIN Secretariat and approved by the GS/OAS/DSD:

(a) The first co-financing amount to be contributed by the CI shall be of US\$14,000.00, and shall be submitted upon signature of this Agreement;

(b) The second co-financing amount to be contributed by the CI shall be US\$65,000.00 and shall be submitted within the first quarterly report;

(c) The third co-financing amount to be contributed by the CI shall be US\$43,000.00 and shall be submitted within the second quarterly report; and

(d) The fourth co-financing amount to be contributed by the CI shall be \$14,000.00, and shall be submitted within the third quarterly report.

4.2.2. The remaining co-financing amount under this Agreement will be reported in the second and third year according to the AOP to be presented as mentioned above in paragraph 4.1.2.

4.3. Specific budgetary allocations within activities as specified in the AOP may be modified with prior written approval of GS/OAS/DSD.

4.4. This contribution of US\$180,000.00 over the 36-month period that the GS/OAS will contribute to the CI for the execution of the Project is subject to and exclusively limited to GS/OAS' receipt of the funding provided by the IBRD GEF Trust Fund Grant .

## **ARTICLE V: OPERATIONAL RESPONSIBILITIES OF THE PARTIES**

5.1. The CI shall:

a. Be responsible for Project execution and the monitoring of each component of the Project as per this Agreement and based on the technical proposal submitted by the CI contained in Annex 4 to this Agreement;

b. Maintain a financial management system, including records and accounts, and have its financial statements and reports (balance sheet, statement of income and expenses, annual operating plan, quarterly reports, procurement plan, and related statements) in accordance with generally accepted accounting principles, adequate to reflect CI's operations and financial condition and to register separately the operations, resources and expenditures related to the Project, as specified in Annex 5 of this Agreement;

- c. Support financial obligations and the expenses that appear in the financial reports, where applicable, by legal commitments for them. In addition, the expenses reported in the above reports must be for amounts actually disbursed;
- d. Cooperate fully with the representatives that GS/OAS designates in writing to perform the Project evaluations deemed necessary by GS/OAS. To this end, the Coordinating Institution shall allow such persons free access to the premises on which the Project is being executed and to all property, staff, and technical and financial documents pertaining to the Project. In addition, the Coordinating Institution will monitor and evaluate, in collaboration with the IEC, the IABIN Secretariat and the GS/OAS, all those indicators related to the implementation of IABIN Thematic Networks as established in the GEF Trust Fund Grant Agreement with GS/OAS (see Annex 1, hereto) for the building of the Inter-American Biodiversity Information Network Project, the Project Implementation Plan (“PIP”), (see: [www.iabin.net](http://www.iabin.net)), and the Monitoring and Evaluation Methodology developed to that end by IABIN;
- e. Reimburse GS/OAS/DSD with the remaining amount of the CI Transfer Funds that is not spent, not later than sixty (60) days after the closing date of the CI Transfer Agreement. This amount shall be reimbursed by means of a remittance in United States dollars payable to GS/OAS;
- f. In addition to submission of the required reports in paragraph b, above, keep the IABIN Secretariat, the IEC, and GS/OAS/DSD informed of the status of Project execution.
  - (1) The CI shall inform GS/OAS/DSD, in situations when problems arise in the execution of the Project, as soon as a situation develops which might prevent the timely execution of the Project, and CI shall indicate all steps taken and to be taken to correct this situation and to ensure that the Project meets the programmed objectives;
  - (2) The CI shall respond to any requests for additional specific reports made by GS/OAS/DSD within no more than fifteen (15) calendar days from receipt of the request. Failure to provide an appropriate reply to such requests is cause for suspension of disbursements of financial resources under this Agreement.
- g. Keep income and expense vouchers and/or supporting documents for the accounting records of the CI Transfer Funds for a period of five years after the CI Transfer Agreement is completed;
- h. Cooperate fully with the Inspector General of GS/OAS (hereinafter referred to as the “IG”), and/or with the auditors designated by the IG, in the conduct of any audits, inspections, evaluations, or investigations that the IG decides upon and that involve financial or operational matters related to the Project and/or to the transactions carried out using the CI Transfer Funds. In fulfilling the requirements of this paragraph h, the Coordinating Institution shall allow the IG and the auditors designated by the IG, full, free, and unrestricted access to the functions, activities, operations, records, property, and staff of the Project, and to the relevant technical and financial documents; and

- i. In the event that GS/OAS/DSD so requests, submit an opinion prepared by external auditors certifying that the accounting records on which the financial reports of the Project are based faithfully reflect the financial operations of Coordinating Institution.

5.2. GS/OAS/DSD shall:

- a. Promote the Project and its results;
- b. Allocate and disburse financial resources from the GEF Trust Fund Grant to the CI Transfers to support execution of the Project in accordance with article IV, above, and Annex 5 to this Agreement once the requirements set forth in this Agreement have been met.
- c. In collaboration with the IEC, evaluate the quarterly and annual operating and financial reports submitted by the CI. If the IEC and GS/OAS/DSD should determine that execution of the Project is unsatisfactory, in light of the reports and documents submitted, or if those reports and documents present problems that make it impossible to approve them, GS/OAS/DSD shall notify the CI of its observations in writing within fifteen (15) calendar days of making that determination. The CI must respond to these observations within no more than fifteen (15) calendar days counting on the day after the date of receipt of notification. GS/OAS/DSD shall suspend disbursement of the CI Transfers until the problems are resolved to the satisfaction of GS/OAS/DSD.
- d. Collaborate with CI to design and plan complementary initiatives in support of CI activities in OAS Member States in Latin America and the Caribbean.

## **ARTICLE VI: FINANCIAL MANAGEMENT**

- 6.1. Upon signature of this Agreement by the duly authorized representatives of the Parties and upon approval of the first AOP, GS/OAS will disburse the first CI Transfer of US\$7,000.00 (seven thousand United States dollars) to the CI.

6.1.1. The CI will provide to the GS/OAS/DSD financial reports of expenditures made against this CI Transfer in accordance with Annex 5 of this Agreement.

6.1.2 Subsequent CI Transfers may be requested by the CI with appropriate documentation, as specified in Article IV, paragraph 4.1.1 (b), (c) (d) and 4.1.2 of this Agreement, in accordance with Annex 4 of this Agreement.

- 6.2. The CI shall authorize one person to serve as the CI's representative to request and receive the CI Transfers. The CI may revoke this authorization and designate another representative upon provision of written notification to GS/OAS/DSD, accompanied by an original sample of the new representative's signature. Such notification must be received by GS/OAS/DSD at least five (5) calendar days prior to a request for a CI Transfer by the CI under its new representative's signature.
- 6.3. The GS/OAS may request the CI to open and maintain for the period of the CI Transfer Agreement a dedicated bank account in a commercial bank satisfactory to the GS/OAS.

- 6.4. The CI may place the proceeds from the CI Transfers received from the GS/OAS in an interest-bearing account. Interest accrued on the CI Transfers must be used for financing the Project. Otherwise, the interest accrued on that account must be returned to GS/OAS at the end of the CI Transfer Agreement.
- 6.5. If, at the written request of the CI, a portion or all of the CI Transfers is converted to or paid in a currency other than United States dollars, the CI shall bear any losses resulting from exchange rate fluctuations.
- 6.6. The CI shall be responsible for maintaining and providing for audit purposes, the receipts or invoices supporting payments made with proceeds from the CI Transfers, and shall be responsible for maintaining and providing for audit purposes other documents that support CI's submission(s) to the effect that the proceeds were used by the CI to finance eligible activities in the corresponding AOP.

#### **ARTICLE VII: WARRANTIES AND LIABILITIES**

- 7.1. The CI shall release and hold harmless GS/OAS and its officers, employees and agents from any liability related to the Project, and shall indemnify GS/OAS for any suits, claims and damages resulting from activities related to the Project, including attorneys' fees and costs.
- 7.2. If, for any reason, a third party should file a claim against GS/OAS, either directly or through GS/OAS/DSD, in relation to this Agreement and/or in relation to execution of the Project, the CI shall be considered as the principal vis-à-vis the claimant and as the sole party obligated to respond. The CI shall further be required to indemnify GS/OAS for any damages GS/OAS may suffer as a result of these third-party claims, including court costs and attorneys' fees, should these damages arise from failure or negligence on the part of the CI or its agents to fully abide by terms of this Agreement.
- 7.3. GS/OAS may require the CI to obtain insurance policies covering the risks associated with implementing this Agreement.
- 7.4. Except as otherwise stated in this Article VII, each Party shall be exclusively responsible for its own actions and omissions in relation to this Agreement.
- 7.5. In the event that the CI is unable to continue with the execution of this Agreement, all products and materials including, but not limited to software, databases, website domains and their contents, files and hardware, and tools acquired or developed through the implementation of this Agreement shall be returned to GS/OAS in certified good and workable condition at no cost to GS/OAS, and shall be sent to the Director of GS/OAS/DSD at 1889 F Street in Washington D.C., 20006 within sixty (60) days

#### **ARTICLE VIII: PUBLICATIONS AND OUTREACH ACTIVITIES**



- 8.1. Every document published and other outreach activities (e.g., presentations, interviews) in regard to the activities of the CI in the execution of the Project must recognize the role of IABIN and of the GS/OAS and shall include the IABIN and OAS logos. Every document containing the OAS logo must be approved by GS/OAS. Major publications could also optionally include the logos of the City of Knowledge, GEF, and the IBRD. At the same time, it must be clearly stated therein that the opinions expressed in those documents are not necessarily the opinions of the OAS, GS/OAS and/or any of its organs, officers, employees, and agents, or of the IBRD or OAS Member States.

#### **ARTICLE IX: INTELLECTUAL PROPERTY RIGHTS**

- 9.1. The CI shall not have any title, copyright, patent, or other proprietary rights in any work developed with funds provided by GS/OAS under this Agreement. All such rights shall lie with GS/OAS. At the request of GS/OAS, the CI shall assist in securing the intellectual property rights produced under this Agreement and in transferring them to GS/OAS. All work shall comply with the IABIN access to information and intellectual property regulation found on [www.iabin.net](http://www.iabin.net).

#### **ARTICLE X: APPLICABLE LAW**

- 10.1. The law applicable to this Agreement is the law of the District of Columbia, United States of America.

#### **ARTICLE XI: DISPUTE RESOLUTION**

- 11.1 Any dispute or complaint that may arise in connection with the execution or interpretation of this Agreement shall be settled by arbitration pursuant to the arbitration rules, currently in effect, of the United Nations Commission on International Trade Law (UNCITRAL), and the law of the District of Columbia, United States of America. The place of arbitration shall be Washington, D.C., and the language of the arbitration shall be English. The court of arbitration that is set up in accordance with those rules shall decide by friendly mediation or *ex aequo et bono*, and its decision shall be final and binding.

#### **ARTICLE XII: PRIVILEGES AND IMMUNITIES**

- 12.1. Nothing in this Agreement constitutes a waiver, express or implied, of the privileges and immunities of the OAS, GS/OAS, their personnel, and their goods under international law and the domestic law of OAS Member States.

#### **ARTICLE XIII: INSTITUTIONAL COORDINATION AND NOTICE**

- 13.1. The representative of GS/OAS designated to receive and give written notice under this Agreement is:

Name: Scott Vaughan  
Title: Director, Department of Sustainable Development  
Address: OAS General Secretariat Building  
1889 F Street, N.W.  
Washington, D.C. 20006  
Tel: (202) 458-6248  
Fax: (202) 458-3560  
E-mail: [svaughan@oas.org](mailto:svaughan@oas.org)

- 13.2. (i) The representative of the CI designated to receive and give written notice under this Agreement is:

Name: Laurie Davies Adams  
Title: Executive Director  
Address: 423 Washington, 5th floor  
San Francisco, CA 94111 USA  
Tel: 415 362 1137  
Fax: 415 362 3070  
E-mail: [LDA@coevolution.org](mailto:LDA@coevolution.org)

- (ii) The representative of the CI designated to coordinate and prepare the deliverables under this Agreement is:

Name: Laurie Davies Adams  
Title: Executive Director  
Address: 423 Washington, 5th floor  
San Francisco, CA 94111 USA  
Tel: 415 362 1137  
Fax: 415 362 3070  
E-mail: [LDA@coevolution.org](mailto:LDA@coevolution.org)

- 13.3. Either Party may replace its designated representative under this Article by providing advanced written notice to the other. Such designation shall be simultaneously communicated to the IBRD.

#### **ARTICLE XIV: TERM, MODIFICATION, TERMINATION, AND ANNEXES**

- 14.1. Both Parties may agree at any time to technical modifications, operational or fiduciary amendments, and extensions to closing dates. These actions will be effective once the IBRD has expressed no objection and when the duly authorized representatives of both Parties have signed an Addendum to this Agreement as specified in article 14.2 of this Agreement.

- 14.2. With the prior “no objection” of the IBRD, this Agreement may be modified by written amendment or an exchange of letters signed by the duly authorized representatives of the Parties, dated, and attached hereto.

- 14.3. This Agreement shall enter into force on the last date on which the duly authorized representatives of the Parties have signed it. It shall remain in force for a period of thirty six (36) months thereafter.
- 14.4. GS/OAS may terminate this Agreement for cause by giving notice in writing to the CI five (5) calendar days in advance of the termination date. The following shall be considered as reasons for termination for cause: noncompliance with any of the obligations assumed by CI under this Agreement; the existence of irregularities in the management of the CI Transfers; the bankruptcy of the CI; the non-receipt by GS/OAS of funding from the GEF Trust Fund Grant; and the need as determined by GS/OAS to safeguard the interests of the OAS and/or GS/OAS.
- 14.5. Either Party may terminate this Agreement because of unforeseen circumstances by giving written notice to the other thirty (30) calendar days in advance of the Agreement's termination date. Acts of God or cases of *force majeure* shall be considered as unforeseen circumstances, among others.
- 14.6. In the situations indicated in Articles 14.4 and 14.5 of this Agreement, CI may not contract any further obligations after the date of receipt of the termination notice. Moreover, CI must submit a final (technical and financial) report within a period no later than thirty (30) calendar days after receipt of the notification of termination.
- 14.7. Within five (5) calendar days of the termination date, the CI shall reimburse GS/OAS for the portion of the CI Transfers that was not spent and/or was not irrevocably obligated to third parties prior to the termination date. The reimbursement shall be made by a remittance in United States dollars payable to the order of GS/OAS.
- 14.8. Annexes 1, 2, 3, 4, 5, and 6 to this Agreement are attached hereto and are hereby incorporated by reference into this Agreement.

SIGNED by the duly authorized representatives of the Parties in duplicate originals as of the Effective Date listed below, and at the place indicated below:

FOR THE COORDINATING INSTITUTION:	FOR GS/OAS:
Laurie Davies Adams Executive Director Coevolution Institute	Scott Vaughan Director, Department of Sustainable Development General Secretariat of the Organization of American States
Date: August , 2006	Date: August , 2006
Location: San Francisco	Location: Washington D.C.

**List of Annexes:**

Annex 1 – GEF Trust Fund Grant Agreement TF053526 “Building the Inter-American Biodiversity Information Network Project” Separate PDF Document

Annex 2 – Terms of Reference (ToRs)

Annex 3 – Memorandum of Cooperation (MOC). Separate PDF Document

Annex 4 – Technical Proposal. Separate Word Document

Annex 5 – Fiduciary Information (attached)

Annex 6 – Operational Manual (Separate Word Document)

## Annex 5 – Fiduciary Information

### Part 1 – Procurement

After preparation of, negotiation upon, and agreement on the content of CI Transfer Agreement, the CI shall submit for GS/OAS/DSD’s review and approval a procurement plan (hereinafter referred to as the “PP”) covering an initial period of at least 18 months. The CI shall not use the CI Transfers prior to approval by GS/OAS/DSD of the PP to finance goods, non-consultant, and/or consultants’ services. However the CI is authorized to use the CI Transfers without the GS/OAS/DSD’s approval to finance training and operating costs.

The PP shall set forth: (a) goods and services; and (b) consultants’ services. The CI shall update the PP not later than November 15 of each year of project implementation or as needed throughout the duration of the Project and shall implement the Project in the manner that has been approved by the GS/OAS/DSD.

Any revisions proposed to the PP shall be furnished to the GS/OAS/DSD for its prior approval. Procurement of goods, non-consultant, and consultants’ services must adhere to the procurement rules stipulated in the Operational Manual (Annex 6), and in Schedule 3 of the GEF Trust Fund Grant Agreement (Annex 1)

Eligible expenditures means reasonable expenses of goods, consultants’ services, non-consultant services, training, and/or operating costs, that the CI would not have been incurred absent the project, which are:

- Consultants services that work within and/or outside of the CI;
- Goods necessary to carry out the project;
- Operating costs (means, incremental CI staff salaries, project administration costs, operation and maintenance of office equipment, and non-durable goods);
- Training (means incremental travel costs. The CI is encouraged to utilize CI co-financing funds to finance CI staff travel costs)

Non-eligible expenditures under the CI Transfers are those expenditures that were not justified by the evidence furnished to the GS/OAS. The CI shall, promptly upon notice from the GS/OAS:

- Provide additional evidence as the GS/OAS may request; or
- Deposit into the dedicated Bank account of the CI (or, if the GS/OAS shall so request, refund to the GS/OAS) an amount equal to the amount of such expenditure not eligible or justified. The GS/OAS shall not finance such expenditure until the CI has provided evidence or made a deposit or refund, as the case may be.

### Sample of Procurement Plan

Comp.	Activity	Resources	Review	Procurement Process	Budget		Financiam. GEF %	Timeframe (duration of activities by days)								Observations						
								Technical Specifications		Invitation to Quote		Evaluation of bids		Purchase			Receipt					
					Programmed	Actual		Programmed	Actual	Programmed	Actual	Programmed	Actual	Programmed	Actual		Programmed	Actual				

## Part 2 – Disbursements

CI shall follow GS/OAS/DSD/IABIN financial and disbursement reporting formats adequate to enable GS/OAS to monitor and evaluate on an ongoing basis the carrying out of the project activities. No payments shall be made prior to the date of signature of the CI Transfer Agreement by the duly authorized representatives of the parties, as specified in Article XVIII.

The GS/OAS may request that the CI open and maintain for the period of the CI Transfer Agreement a dedicated bank account in a commercial bank satisfactory to the GS/OAS.

The CI may place the proceeds from the CI Transfers received from GS/OAS in an interest-bearing account. Interest accrued on the CI Transfers must be used for financing the Project. Otherwise, all interest accrued on the proceeds which have not been used for financing the Project must be returned to GS/OAS at the end of the CI Transfer Agreement.

If, at the written request of the CI, a portion or all of the CI Transfers is converted into or paid in a currency other than United States dollars, the CI shall bear any losses resulting from exchange rate fluctuations.

During the first year (12 months) under the Agreement, the GS/OAS will disburse to the CI a sum of \$68,000.00 according to the following schedule and expected deliverables:

**First CI Transfer:** US\$ 7,000.00 shall be disbursed upon signature of the CI Transfer Agreement by the duly authorized representatives of the parties and shall finance the implementation of the following Project activities, as submitted to the IABIN Secretariat and approved by the GS/OAS/DSD in accordance with Annex 5, Part 3 paragraph 2:

#	Activities	Output (product)	Timetable	Indicator
1.2	Establish partnerships with current pollinator conservation projects (local and regional)	We will begin with the existing networks – i.e., invite people to become involved through the pollinator conservation projects that are included in the 120 NAPPC partners. We plan more outreach within Central America and South America, Brazilian Pollinator Initiative, and others. We plan to identify all existing organizations and	Jul – Dec 2006	Produce list of established partnerships

		activities and determine which ones we can enrol as partners. We will, among other things, seek common ground for standards. Our ultimate objective it to get all partners identified and establish informal partnerships.		
1.4	Coordinate with other pollinator projects (global)	We will closely coordinate this project with GBIF and FAO, who are jointly developing a Global Pollinator Information Management System. We will meet with their principal staff to coordinate activities and also invite them to attend the meeting of the Pollinators Technical Advisory Group.	Jul – Dec 2006	Report on global pollinator projects
2.1	Assemble Technical Advisory Group	Establish Terms of Reference for the Group and extend invitations to prospective members. Members will be familiar with both content and IT requirements.	Jul – Dec 2006	List of group members
2.4	Coordinate activities with Species Thematic Network	A member of the PTN with IT expertise will travel to the August 2006 meeting of the Species Thematic Network to coordinate with them.	Jul – Dec 2006	Report from the PTN on activities at the Species Thematic Network meeting

**Second CI Transfer:** US\$32,500.00 shall be disbursed according to the AOP for the second quarter and upon delivery to the IABIN Secretariat and approval by the GS/OAS/DSD of the first quarterly report according to Part 3.1 of this Annex and the following expected deliverables:

#	Activities	Output (product)	Timetable	Indicator
1.1	Evaluate and assess information needs	The first step in this is to conduct a needs assessment survey. This will be conducted with multiple stakeholders in their primary language. The results will be compiled and quantified. In addition, interviews will be conducted to acquire a multi-dimensional view of the end-user and his/her needs.	Oct 2006 – Mar 2007	Report on information needs.
1.2	Establish partnerships with current pollinator conservation projects (local and regional)	We will begin with the existing networks – i.e., invite people to become involved through the pollinator conservation projects that are included in the 120 NAPPCC partners. We plan more outreach within Central America and South America, Brazilian Pollinator Initiative, and others. We plan to identify all existing organizations and activities and determine which ones we can enrol as partners. We will, among other things, seek common ground for standards. Our ultimate objective is to get all partners identified and establish informal partnerships.	Jul – Dec 2006	List of partners
1.4	Coordinate with other pollinator projects (global)	We will closely coordinate this project with GBIF and FAO, who are jointly developing a Global Pollinator	Jul – Dec 2006	List of groups with which we are coordinating and the corresponding projects.



		Information Management System. We will meet with their principal staff to coordinate activities and also invite them to attend the meeting of the Pollinators Technical Advisory Group.		
2.1	Assemble Technical Advisory Group	Establish Terms of Reference for the Group and extend invitations to prospective members. Members will be familiar with both content and IT requirements.	Jul – Dec 2006	List of qualified group members.
2.2	Meeting of Technical Advisory Group	A meeting is tentatively planned for Dec 13-16, 2006 in Brazil.	Oct – Dec 2006	Produce agenda for meeting and list of attendees.
2.3	Select and agree upon data elements, standards and protocols	A work product from the meeting referenced will be documented data elements, protocols, and standards for the PTN, maintaining compatibility with those defined by the Secretariat and IABIN Technical Working Group.	Oct 2006 – Jun 2007	Report on selected data elements, standards, and protocols.
2.4	Coordinate activities with Species Thematic Network	A member of the PTN with IT expertise will travel to the August 2006 meeting of the Species Thematic Network to coordinate with them.	Jun – Dec 2006	Report on meeting.
2.5	Design and Implement Prototype Network Architecture	Create a prototype work product that can be beta tested and can tie into the major data	Oct 2006 – Jun 2007	Creation of the prototype.

		centers with whom we will interface. The work product will include a design document for an installed network that includes necessary software, applications, related standards, and technical support.		
2.6	Install Prototype Website for Pollinator Thematic Network	A prototype home page and website will be developed.	Oct 2006 – Mar 2007	Development of the website.
3.1	Determine format for Online Directory of Pollinator Experts	Prepare Terms of Reference for inclusion of experts in Catalog. Consult with IABIN Secretariat, Thematic Networks and other initiatives. Include data elements and reporting format.	Oct 2006 – Mar 2007	Report including terms of reference and formats.

**Third CI Transfer:** US\$21,500.00 shall be disbursed according to the AOP for the third quarter and upon delivery to the IABIN Secretariat and approval by the GS/OAS/DSD of the second quarterly report according to Part 3 paragraph 1 of this Annex and the following expected deliverables:

#	Activities	Output (product)	Timetable	Indicator
1.1	Evaluate and assess information needs	The first step in this is to conduct a needs assessment survey. This will be conducted with multiple stakeholders in their primary language. The results will be compiled and quantified. In addition, interviews will be conducted to acquire a multi-dimensional view of the end-user and	Oct 2006 – Mar 2007	Report on information needs.

		his/her needs.		
1.3	Conduct Gap Analysis of pollinator knowledge	The National Academy of Sciences National Research Council Study on the Status of Pollinators of North America will produce this for North America. Our partners in Brazil will produce this for Brazil. We will also raise this issue during the evaluation survey/interviews (see point 1a.)	Jan – Jun 2007	Report produced in Brazil.
2.3	Select and agree upon data elements, standards and protocols	A work product from the meeting referenced will be documented data elements, protocols, and standards for the PTN, maintaining compatibility with those defined by the Secretariat and IABIN Technical Working Group.	Oct 2006 – Jun 2007	Report on selected data elements, standards, and protocols.
2.5	Design and Implement Prototype Network Architecture	Create a prototype work product that can be beta tested and can tie into the major data centers with whom we will interface. The work product will include a design document for an installed network that includes necessary software, applications, related standards, and technical support.	Oct 2006 – Jun 2007	Creation of the prototype.
2.6	Install Prototype Website for Pollinator Thematic Network	A prototype home page and website will be developed.	Oct 2006 – Mar	Development of the website.

			2007	
3.1	Determine format for Online Directory of Pollinator Experts	Prepare Terms of Reference for inclusion of experts in Catalog. Consult with IABIN Secretariat, Thematic Networks and other initiatives. Include data elements and reporting format.	Oct 2006 – Mar 2007	Report including terms of reference and formats.
3.2	Gather data for Online Directory of Pollinator Experts	Solicit data from experts to populate database.	Jan – Mar 2007	Data collected.
3.3	Include Online Directory of Pollinator Experts on website	Display Online Directory of Pollinator Experts at PTN website.	Jan – Jun 2007	Directory established online.

**Fourth CI Transfer:** US\$7,000.00 shall be disbursed according to the AOP for the fourth quarter and upon delivery to the IABIN Secretariat and approval by the GS/OAS/DSD of the third quarterly report according to Part 3 paragraph 1 of this Annex and the following expected deliverables:

#	Activities	Output (product)	Timetable	Indicator
1.3	Conduct Gap Analysis of pollinator knowledge	The National Academy of Sciences National Research Council Study on the Status of Pollinators of North America will produce this for North America. Our partners in Brazil will produce this for Brazil. We will also raise this issue during the evaluation survey/interviews (see point 1a.)	Jan – Jun 2007	Report produced in Brazil.
2.3	Select and agree upon data elements, standards and protocols	A work product from the meeting referenced will be documented data elements, protocols, and standards for the PTN, maintaining	Oct 2006 – Jun 2007	Report on selected data elements, standards, and protocols.

		compatibility with those defined by the Secretariat and IABIN Technical Working Group.		
2.5	Design and Implement Prototype Network Architecture	Create a prototype work product that can be beta tested and can tie into the major data centers with whom we will interface. The work product will include a design document for an installed network that includes necessary software, applications, related standards, and technical support.	Oct 2006 – Jun 2007	Creation of the prototype.
3.2	Gather data for Online Directory of Pollinator Experts	Solicit data from experts to populate database.	Jan – Jun 2007	Data collected.
3.3	Include Online Directory of Pollinator Experts on website	Display Online Directory of Pollinator Experts at PTN website.	Jan – Jun 2007	Directory established online.

### Part 3 – Reporting

The CI shall prepare with the assistance of the IABIN Secretariat, under terms of reference satisfactory to the GS/OAS/DSD, and furnish for approval to the GS/OAS/DSD:

**3.1. Quarterly Reports** (hereinafter the “QR”) must be submitted within fifteen days after the calendar quarter that is being presented is completed. QR reports shall include:

- A narrative progress, challenges and/or difficulties, and quantitative performance indicators encountered to the date of the report in both Spanish and English;
- Financial monitoring report with cumulatively incurred expenditures financed with CI Transfers and estimated expenditures for the subsequent quarter period, showing the funds provided under the CI Transfers;
- Report on Co-financing contributed by CI further to article 4.2 of the CI Transfer Agreement (Parallel Financing Reporting Form);
- Describe physical progress in Project implementation, showing progress achieved during such calendar quarter and setting out the measures recommended to ensure the efficient carrying out of the activities for the

subsequent calendar quarter. These reports will be cumulative and cover accomplishments included in previous reports;

- The expenditures reported in this report must be for amounts actually disbursed.

### Sample of statement of source and uses of funds by components

Statement of Sources and Uses of Funds by Component							
Period between January to March 2006 - Quarter Report # 1 (Jan-March 06)							
In US\$ dollars							
Cash	Accumulative Jan06-Mar06	Total Accumulative	Total Expenditures Accumulative (Committed-obligated)	Total Expenditures/Total Project Budget	Period of the Project AOP	OSOAS Funds Available	
<b>Total Incoming / Financing</b>	\$ -						
<b>GS/OAS Subtotal Transfer of Funds</b>	\$ -						
Transfer of Funds # 1 (mm/yy)	\$ -	\$ -	\$ -	0.00%	\$ 400,000.00	\$ 400,000.00	
Transfer of Funds # 2 (mm/yy)	\$ -						
Transfer of Funds # 3	\$ -						
Transfer of Funds # 4	\$ -						
<b>Other Funds</b>	\$ -						

Use of Funds by INI/a Components	Actual		Estimated		Variation		Programmed	AOP FOR 2006
	Quarter	Accumulated	Semester	Accumulated	Actual Semester	Total Accumulated	Programmed	
Component 1	\$ -	\$ -	\$ 10,500.00	\$ 10,500.00	0.00%	0.00%	\$ 11,200.00	\$ 26,700.00
Component 2	\$ -	\$ -	\$ -	\$ -	#DIV/0!	#DIV/0!	\$ -	\$ 10,500.00
<b>Subtotal of funds</b>	\$ -	\$ -	\$ 44,800.00	\$ 44,800.00	0.00%	0.00%	\$ 47,850.00	\$ 222,350.00
Cash Transfer # 1 (March, 2006)	\$ 40,800.00							
<b>Total Obligations of the Period</b>		\$ -						
					Percentage of execution considering not executed (without commitments)		0.00%	
					Percentage of execution considering expenditures and commitments		0.00%	
<b>Balance of Funds available (accumulated incoming - accumulated uses - commitments of the period)</b>		\$ -						

### Sample of statement of uses of funds by components and activities

ACTIVITIES	Resources	Actual		Estimated		%Actual /Estimated	% Actual Accumulative/AOP	Programmed Quarter	Annual Operating Plan for yyyy
		Actual Quarter	Accumulative	Actual Quarter	Accumulative Actual / Estimate				
		mm - mm 06	mm - mm 06	mm - mm 06	mm - mm 06				
1. Activity	1. Resources	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	\$0	\$0
	2. Resources	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	\$0	\$0
2. Activity	1. Resources	\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	\$0	\$0
<b>TOTAL 01 -- COMPONENT 1</b>		\$0	\$0	\$0	\$0	#DIV/0!	#DIV/0!	\$0	\$0

### Sample of Statement of expenditures

1	2	3	4	5	6	7	8	9	10	11	12
Resource	Name of Vendor	Number of Contract (PO #)	Location	Original Amount of Contract (equivalent in USD)	Total of Cumulative payments already reported	Amount requested in this application	Invoice/Description	Date of Payment	% Finance by IBRD	Date of Withdrawal from Operating Account	Amount withdrawn from Operating Account

### Sample of Parallel Financing Reporting Form

Parallel Financing Reporting Form						
MM -- MM, YYYY						
PLEASE PROVIDE INFORMATION ABOUT THE ACTIVITIES AND COSTS THAT YOUR INSTITUTION HAS FUNDED RELATED TO IABIN ACTIVITIES (DO NOT INCLUDE FUNDS PROVIDED BY IABIN)						
INFORMATION OF FINANCIER (SOURCE)						
		Academic ( )	NGO ( )	Government ( )	Multilateral Agencies ( )	Other ( )
INSTITUTION / ORGANIZATION NAME						
COUNTRY						
DEPARTMENT/OFFICE/OTHER						
AUTHORIZED PERSON NAME   EMAIL						
DATE						
<b>IMPORTANT:</b> The information reported in this form is the Institution/Organizations' responsibility, which will be filled together with the background documentation during project implementation, and are required that their records are available for review						
01- Interoperability and Access to Data						
<i>Support to create the information infrastructure necessary for users to search and access biodiversity data and information (i) Consultants' Services to work on the catalogue and the six Thematic Networks (Specimens, Species, Ecosystems, Invasive Species, Pollinators and Protected Areas), (ii) Participation in Seminars and Workshops (iii) Operating expenses</i>						
Units of Parallel Financing	ACTUAL				Description	
	# of Units	Cost per hour	Actual Semester	Period of the Project		
Technical Personnel Hours - Senior Level						
Technical Personnel Hours - Junior Level						
Equipment and supplies						
Physical Infrastructure						
Documents						
Number of professionals in Seminar n (cost/day)+(travel cost)						
Others (please detail)						
<b>Sub-Total</b>			\$0		\$0	
<i>It is consider an average of 15% in tax earning. Since OAS is tax exempt, the GEF contracts that are exempt of taxes comes to be as a counterpart for those countries.</i>						

**3.2. Annual Operating Plan** (hereinafter the “AOP”) must be submitted not later than November 15 of each year of Project implementation. The AOP includes project activities to be carried out during the calendar year following the date of presentation of said AOP, including activities, estimated amount, outputs, parallel financing and a timeline by disbursement of the CI Transfers. These activities shall be designed to meet the objective of this Agreement in such a manner that all activities planned ensure the achievement of goals of Subcomponent A.2 and sustainability of the PTN.

The following table is the AOP submitted by Coevolution Institute for the first year (12 months):

Activities/Resources	Period (mm/dd/yy or # of months)	ESTIMATED COSTS	Sources of Funding												
			SG/OAS							CI					
			Amount	%	ToF1	ToF2	ToF3	ToF4	Amount	%	Q1	Q2	Q3	Q4	
<b>1. Evaluate the information needs of decision makers and set priorities for the development of the PTN</b>															
<b>1.1. Evaluate and assess information needs</b>															
1.1.1 Operating costs-staff salaries	10/06-03/07	10,500	3,500	33%			2,000	1,500			7,000	67%		4,000	3,000
<b>1.2 Establish partnerships with current pollinators conservation projects</b>															
1.2.1 Operating costs-staff salaries	07/06-12/06	21,000	7,000	33%	2,000	5,000				14,000	67%	4,000	10,000		
1.2.2 Consultant technical services	07/06-09/06	1,500	500	33%	500					1,000	67%	1,000			
<b>1.3 Conduct GAP Analysis of Pollinator knowledge</b>															
1.3.1 Operating costs-staff salaries	01/07-06/07	6,000	2,000	33%				1,000	1,000	4,000	67%			2,000	2,000
1.3.2 Consultant technical services	01/07-06/07	3,000	1,000	33%				500	500	2,000	67%			1,000	1,000
<b>1.4 Coordinate with other pollinator projects (global)</b>															
1.4.1 Operating costs-staff salaries	10/06-12/06	3,000	1,000	33%		1,000				2,000	67%		2,000		
<b>SUB-TOTAL</b>		<b>45,000</b>	<b>15,000</b>	<b>33%</b>	<b>2,500</b>	<b>8,000</b>	<b>3,000</b>	<b>1,500</b>		<b>30,000</b>	<b>67%</b>	<b>5,000</b>	<b>16,000</b>	<b>6,000</b>	<b>3,000</b>
<b>2. Assemble a Technical Advisory Group to evaluate and adopt architecture, standards and protocols required for searching and accessing pollinator databases available in the region</b>															
<b>2.1. Assemble Technical Advisory Group</b>															
2.1.1 Operating costs-staff salaries	07/06-12/06	9,000	3,000	33%	2,000	1,000				6,000	67%	4,000	2,000		
<b>2.2 Meeting of Technical Advisory Group</b>															
2.2.1 Operating costs-staff salaries	10/06-12/06	24,000	8,000	33%		8,000				16,000	67%		16,000		
2.2.2 Consultant technical services	10/06-12/06	15,000	5,000	33%		5,000				10,000	67%		10,000		
2.2.3 Consultant technical services	10/06-12/06	1,500	500	33%		500				1,000	67%		1,000		
<b>2.3 Select and agree upon data elements, standards and protocols</b>															
2.3.1 Operating costs-staff salaries	01/07-03/06	4,500	1,500	33%				1,500		3,000	67%			3,000	
2.3.2 Consultant technical services	10/06-06/07	21,000	7,000	33%		3,000	3,000	1,000		14,000	67%		6,000	6,000	2,000
2.3.3 Consultant technical services	10/06-06/07	6,000	2,000	33%		1,000	500	500		4,000	67%		2,000	1,000	1,000
<b>2.4 Coordinate activities with Species Thematic Network</b>															
2.4.1 Operating costs-staff salaries	07/06-09/06	1,500	500	33%	500					1,000	67%	1,000			
2.4.2 Consultant technical services	07/06-09/06	4,500	1,500	33%	1,500					3,000	67%	3,000			
2.4.3 Consultant technical services	07/06-12/06	4,500	1,500	33%	500	1,000				3,000	67%	1,000	2,000		
<b>2.5 Design and implement prototype network architecture</b>															
2.5.1 Consultant technical services	10/06-06/07	15,000	5,000	33%		2,000	2,000	1,000		10,000	67%		4,000	4,000	2,000
2.5.2 Consultant technical services	01/07-06/07	6,000	2,000	33%			1,000	1,000		4,000	67%			2,000	2,000
<b>2.6 Install Prototype website for PTN</b>															
2.6.1 Consultant technical services	10/06-03/07	12,000	4,000	33%		2,000	2,000			8,000	67%		4,000	4,000	
2.6.2 Consultant technical services	01/07-03/07	3,000	1,000	33%			1,000			2,000	67%			2,000	
<b>SUB-TOTAL</b>		<b>127,500</b>	<b>42,500</b>	<b>33%</b>	<b>4,500</b>	<b>23,500</b>	<b>11,000</b>	<b>3,500</b>		<b>85,000</b>	<b>67%</b>	<b>9,000</b>	<b>47,000</b>	<b>22,000</b>	<b>7,000</b>
<b>3. Install Online Directory of Pollinators Experts</b>															
<b>3.1. Determine format for Online Directory of Pollinator Experts</b>															
3.1.1 Operating costs-staff salaries	10/06-03/07	3,000	1,000	33%		500	500			2,000	67%		1,000	1,000	
3.1.2 Consultant technical services	10/06-03/07	3,000	1,000	33%			500	500		2,000	67%		1,000	1,000	
<b>3.2 Gather data for online directory of Pollinator Experts</b>															
3.2.1 Operating costs-staff salaries	01/07-06/07	18,000	6,000	33%			5,000	1,000		12,000	67%			10,000	2,000
3.2.2 Consultant technical services	01/07-06/07	3,000	1,000	33%			500	500		2,000	67%			1,000	1,000
<b>3.3 Include online directory of pollinator experts on website</b>															
3.3.1 Operating costs-staff salaries	01/07-03/06	1,500	500	33%				500		1,000	67%			1,000	
3.3.2 Consultant technical services	01/07-06/07	3,000	1,000	33%				500	500	2,000	67%			1,000	1,000
<b>SUB-TOTAL</b>		<b>31,500</b>	<b>10,500</b>	<b>33%</b>	<b>0</b>	<b>1,000</b>	<b>7,500</b>	<b>2,000</b>		<b>21,000</b>	<b>67%</b>	<b>0</b>	<b>2,000</b>	<b>15,000</b>	<b>4,000</b>
<b>GRAND-TOTAL</b>		<b>204,000</b>	<b>68,000</b>	<b>33%</b>	<b>7,000</b>	<b>32,500</b>	<b>21,500</b>	<b>7,000</b>		<b>136,000</b>	<b>67%</b>	<b>14,000</b>	<b>65,000</b>	<b>43,000</b>	<b>14,000</b>

**Part 4 – Audit arrangements.**



Furnish to the GS/OAS/DSD as soon as available, but in any case not later than six months after the end of the GS/OAS' fiscal year: (i) certified copies of the financial statements referred to in paragraph 5.1.b in accordance with auditing standards and within the context of CI's annual external audit of accounts by an independent firm of auditors; and (ii) an opinion on such statements, by said auditors, in scope and detail satisfactory to the GS/OAS; and maintain for a period of five years after the Project is completed information concerning records and accounts that support that the proceeds were used by the CI Transfer to finance eligible activities according to the AOP and audited financial statements; and

Cooperate fully with the Inspector General of GS/OAS (hereinafter referred to as the "IG"), and/or with the auditors designated by the IG, in the conduct of any audits, inspections, evaluations, or investigations that the IG decides upon and that involve financial or operational matters related to the Project and/or to the transactions carried out using the CI Transfer Funds. In fulfilling the requirements of this paragraph, the CI shall allow the IG and the auditors designated by the IG, full, free, and unrestricted access to the functions, activities, operations, records, property, and staff of the Project, and to the relevant technical and financial documents.

In the event that GS/OAS/DSD so requests, submit an opinion prepared by external auditors certifying that the accounting records on which the financial reports of the Project are based faithfully reflect the financial operations of CI.

**Annex # 21 Template: Project Agreement between GS/OAS & Eligible Institutions**

**PROJECT AGREEMENT**

**BETWEEN**

**THE GENERAL SECRETARIAT OF THE ORGANIZATION OF AMERICAN STATES,  
THROUGH THE DEPARTMENT OF SUSTAINABLE DEVELOPMENT**

**AND**

**FUNDACIÓN UNIVERSIDAD NACIONAL DEL SUR**

**TO**

**IMPLEMENT, UPDATE AND MAINTAIN AN I3N IAS DATABASE IN ARGENTINA**

The Parties, the General Secretariat of the Organization of American States (hereinafter the "GS/OAS"), a public international organization with headquarters at 1889 F. St. N.W., Washington, D.C. 20006, through its Department of Sustainable Development (hereinafter the "DSD") and the Fundación Universidad Nacional del Sur (hereinafter the "Institution"), an autonomous entity with headquarters at Avenida Colon 80, Bahía Blanca, Provincia de Buenos Aires, Argentina.

**CONSIDERING:**

That at the Santa Cruz Summit of the Americas meeting of Heads of State in 1996, the Inter-American Biodiversity Information Network (hereinafter "IABIN") was created with the objective of providing a networking information infrastructure (such as standards and protocols) and biodiversity information content required by the countries of the Americas to improve decision-making, particularly for issues at the interface of human development and biodiversity conservation;

That through IABIN, access will be made available to scientific information currently scattered throughout the world in different institutions, such as government organizations, museums, botanical gardens, universities, and NGOs;

That in order to fund the building of IABIN, GS/OAS and the International Bank for Reconstruction and Development (hereinafter the "Bank") acting as an Implementing Agency of the Global Environment Facility (hereinafter the "GEF") Trust Fund, approved the GEF Trust Fund Grant Agreement effective on October 4, 2004, as amended on January 27, 2006 with GS/OAS (Annex 1 hereto) in an amount equal to US\$6,000,000 (six million United States dollars); and

That GS/OAS is the central and permanent organ of the Organization of American States and is authorized to carry out relations of cooperation in accordance with Article 112(h) of the Charter and OAS General Assembly Resolution AG/RES. 57 (I-O/71);

**HAVE AGREED** to sign this Project Agreement (hereinafter “Agreement”), based on the following provisions:

## **ARTICLE I OBJECTIVE**

- 1.1. The purpose of this Agreement is to implement, update and maintain an Internet-accessible I3N IAS Database in Argentina (hereinafter the “Project”) and thereby to increase the availability of invasive alien species (hereinafter “IAS”) information through IABIN.
- 1.2. In pursuance of this objective, it is agreed that the above-referenced Project will employ IABIN Invasive Species Thematic Network (hereinafter “I3N”) standards with the necessary adaptations and that the Institution will make freely available the information generated through the Project by means of its informatics facilities as well as through the Central I3N website and the tools this network creates for that purpose, for a minimum of five years.

## **ARTICLE II ORGANIZATION FOR IMPLEMENTATION OF THE PROJECT**

- 2.1. Within sixty (60) calendar days of the signing of this Agreement, the Parties shall form a Project Management Committee (hereinafter the “PMC”) to be made up of one representative of each Party and, as required, a representative from each of the IABIN Secretariat, and the I3N Coordinating Institution (CI), and the Institution. Each representative on the PMC may be replaced by advanced written notice to the other members of the PMC.
- 2.2. The members of the PMC shall communicate with one another to plan and monitor the Project’s progress the first month of every calendar quarter subsequent to the effective date of this Agreement. Communications among the members of the PMC may be held by telephone conference calls or by email.

## **ARTICLE III CONTRIBUTIONS**

- 3.1. Under this Agreement, GS/OAS will contribute to the Institution US\$9,780.00 (nine thousand, seven hundred eighty United States dollars) as follows:
  - a. The first transfer of funds in the amount of US\$5,490.00 shall be made upon signature of this Agreement by both Parties;
  - b. The second transfer of funds of in the amount of US\$ 2,850.00 shall be made upon delivery to the satisfaction of GS/OAS of reports and deliverables in accordance with article IV below;

- c. The final transfer of funds in the amount of \$1,440.00 shall be made upon delivery to the satisfaction of GS/OAS of reports and deliverables in accordance with article IV below;
- 3.2. The Institution will contribute US\$14,070.00 (fourteen thousand, seventy United States dollars), comprising the co-financing amount to be contributed by the Institution. This contribution will be reported on the parallel financing form set out in Annex 5, Guidelines for Project Implementation.
- 3.3. GS/OAS contribution to the Institution of US\$9,780.00 for execution of the Project under this Agreement is subject and limited to GS/OAS' receipt of the Bank funding pursuant to the terms of the GEF Trust Fund Agreement with GS/OAS effective on October 4, 2004, as amended on January 27, 2006, attached hereto as Annex I.

#### **ARTICLE IV REPORTING REQUIREMENTS**

- 4.1 An interim technical-financial progress report of the Project together with a draft version, in digital form, of the I3N IAS Database in Argentina based on I3N standards, including at least 2,000 validated records by subject experts for the 402 invasive species already registered in the data base, shall be received to the satisfaction of GS/OAS no later than six months after the date of signature of the Agreement; and
- 4.2. The institution must submit the final versions of the technical-financial report and the I3N IAS Database in Argentina, in digital form, in accordance with article 1.1 and 1.2, including at least 4,000 validated records by subject experts for the 402 invasive species already registered in the data base. The above-referenced reports and digital copy of the database shall be received to the satisfaction of GS/OAS no later than twelve months after the date of signature of the Agreement.

#### **ARTICLE V OPERATIONAL RESPONSIBILITIES OF THE PARTIES**

- 5.1. The Institution shall:
  - j. In accordance with its Project Proposal set out in Annex 4 to this Agreement, be responsible for Project execution and the monitoring of the achievement of the Project;
  - k. Carry out the performance of this Agreement in accordance with the requirements of the IABIN Operational Manual attached hereto as Annex 3;
  - l. Procure goods and services required for Project execution in accordance with Annex 5, Guidelines for Project Implementation, during the effective period of this Agreement;

- m. Comply with the reporting requirements set out in Articles 3.1 and 3.2 and provide GS/OAS in accordance with these provisions, the draft and final versions of the I3N IAS Database in Argentina in accordance with Articles 1.1, 1.2, and 3.1 b and c, above;
- n. Cooperate fully with the representatives that GS/OAS or the Bank designates in writing, including representatives of the I3N CI as these are defined in Section 1.02. (a) of Annex I to this Agreement, to carry out periodic oversight of the Project and to perform such Project evaluations as GS/OAS or the Bank may be deemed necessary. To this end, the Institution shall allow such persons free access to the premises on which the Project is being executed and to all property, staff, and technical and financial documents pertaining to the Project;
- o. Maintain an accounting system, including records and accounts in accordance with generally accepted accounting principles, and a financial management system adequate to reflect its progress and financial condition and to register separately the operations, resources and expenditures related to the Project;
- p. Keep income and expense vouchers and/or supporting documents for the accounting records of the transactions made with the Project funds for a period of five years after the Agreement is completed;
- q. Reimburse any funds contributed by GS/OAS under this Agreement that are unused not later than 60 days after the termination date of this Agreement. This amount shall be reimbursed by means of a remittance in United States dollars, payable to GS/OAS; and
- r. In the event that GS/OAS proposes to conduct an audit of the Project funds contributed by GS/OAS during the effective period of this Agreement and/or within three years after the date of completion of the Project, the Institution shall facilitate to GS/OAS representatives such information on financial or operational matters or financial records related to the Project as may be requested and shall allow full, free, and unrestricted access to the functions, activities, operations, records, property, and staff of the Institution, and to the relevant technical and financial documents.

5.2. GS/OAS shall:

- d. Allocate and disburse financial resources from the GEF Trust Fund Grant to the Institution to support the execution of the Project in accordance with Articles I and III of this Agreement; and

In collaboration with the IABIN Secretariat and the I3N CI, evaluate and monitor the technical-financial progress reports and the I3N IAS Database in Argentina referred to in paragraph 5.1. d, above.

## **ARTICLE VI FINANCIAL MANAGEMENT**

- 6.1. The Institution shall authorize one person to serve as the representative to request and receive payments under this Agreement. The Institution may revoke this authorization and designate another representative upon provision of written notification to DSD, accompanied by an original sample of the new representative's signature. Such notification must be received by DSD at least five (5) calendar days prior to a request for payment by the Institution under its new representative's signature.
- 6.2. The Institution may place GS/OAS contributions under this Agreement in an interest-bearing account. Interest accrued on this account must be used for financing only the Project activities. Otherwise, the interest accrued herein must be returned to GS/OAS at the end of this Agreement.
- 6.3. If, at the written request of the Institution, a portion or all of the contributions under this Agreement are converted to or paid in a currency other than United States dollars, the Institution shall bear any losses resulting from exchange rate fluctuations.

## **ARTICLE VII WARRANTIES AND LIABILITIES**

- 7.1. The Institution shall release and hold harmless GS/OAS and its officers, employees and agents from any liability related to the Project, and shall indemnify GS/OAS for any suits, claims and damages resulting from activities related to the Project.
- 7.2. If, for any reason, a third party should file a claim against GS/OAS, either directly or through DSD, in relation to this Agreement and/or in relation to execution of the Project, the Institution shall be considered as the principal vis-à-vis the claimant and as the sole party obligated to respond. The Institution shall further be required to indemnify GS/OAS for any damages GS/OAS may suffer as a result of these third-party claims, including court costs and attorneys' fees, should these damages arise from failure or negligence on the part of the Institution or its agents to fully abide by terms of this Agreement.
- 7.3. GS/OAS may require the Institution to obtain insurance policies covering the risks associated with implementing this Agreement.
- 7.4. Except as otherwise stated in this Article VII, each Party shall be exclusively responsible for its own actions and omissions in relation to this Agreement.
- 7.5. In the event that the Institution is unable to continue with the execution of this Agreement, all products and materials including, but not limited to software, databases, website domains and their contents, files and hardware, and tools acquired or developed through the implementation of this Agreement shall be returned to GS/OAS in certified good and workable condition at no cost to the Director of DSD in Washington D.C. within 60 days.

## **ARTICLE VIII PUBLICATIONS AND OUTREACH ACTIVITIES**

- 8.1. Every document published and other outreach activities (e.g., presentations, interviews) in regard to the activities of the Institution in the execution of this Project shall recognize the role of IABIN and I3N, and shall include the IABIN and OAS logos. Major publications could optionally include the logos of the City of Knowledge, GEF, and the Bank. At the same time, it shall be clearly stated therein that the opinions expressed in those documents are not necessarily the opinions of IABIN, the OAS, the GS/OAS, and/or any of their organs, officers, employees, and agents, or of the Bank or of OAS Member States.

## **ARTICLE IX** **INTELLECTUAL PROPERTY RIGHTS**

- 9.1. The Institution shall retain title, copyright, patent, or other proprietary rights of their data and shall hereby grant to GS/OAS and IABIN a non-exclusive unlimited license at no cost, to the work and data digitized or complemented with the funds provided by GS/OAS under this Agreement, for a minimum of five years. All work shall comply with the IABIN access to information and intellectual property regulation found on [www.iabin.net](http://www.iabin.net).

## **ARTICLE X** **DISPUTE RESOLUTION**

- 10.1. Any dispute or complaint that may arise in connection with the execution or interpretation of this Agreement which cannot be settled amicably by the Parties, shall be settled by arbitration pursuant to the arbitration rules, currently in effect, of the United Nations Commission on International Trade Law (UNCITRAL). The place of arbitration shall be Washington, D.C., United States of America, and the law applicable to the arbitration proceedings and to this Agreement shall be the law of the District of Columbia, USA. The language of the arbitration shall be English, unless the Parties mutually agree on another language. The court of arbitration that is set up in accordance with those rules shall decide by friendly mediation or *ex aequo et bono*, and its decision shall be final and binding.

## **ARTICLE XI** **PRIVILEGES AND IMMUNITIES**

- 11.1. Nothing in this Agreement constitutes a waiver, express or implied, of the privileges and immunities of the OAS, GS/OAS, their personnel, and their goods under the laws of Argentina, the United States of America or under international law.

## **ARTICLE XII** **INSTITUTIONAL COORDINATION AND NOTICE**

- 12.1. The representative of GS/OAS designated to receive and give written notice under this Agreement is:

Name: Scott Vaughan  
Title: Director, Department of Sustainable Development  
Address: OAS General Secretariat Building  
1889 F Street, N.W.  
Washington, D.C. 20006  
Tel: (202) 458-6248  
Fax: (202) 458-3560  
E-mail: [svaughan@oas.org](mailto:svaughan@oas.org)

- 12.2. (i) The representative of the Institution designated to receive and give written notice under this Agreement is:

Name: Nelson Eduardo Mazini  
Title: President FUNS  
Address: Av. Alem 925 Bahía Blanca, Argentina  
Tel: 54-291-4562499  
Fax: 54-291-4562499  
E-mail: [funcs@uns.edu.ar](mailto:funcs@uns.edu.ar)

- (ii) The representatives of the Institution designated to coordinate and prepare the deliverables under this Agreement are:

Name: Sergio Martín Zalba  
Title: Project Coordinator  
Address: San Juan 670 (8000) Bahía Blanca, Argentina  
Tel: 54-291-4595100 Ext. 2420  
Fax: 54-291-4595130  
E-mail: [szalba@criba.edu.ar](mailto:szalba@criba.edu.ar)

- 12.3. Either Party may replace its designated representative under this Article by providing advanced written notice to the other and shall be simultaneously communicated to the DSD.

### **ARTICLE XIII TERM, MODIFICATION, TERMINATION, AND ANNEXES**

- 13.1. The Parties may agree at any time to technical modifications, operational or fiduciary amendments, and extensions to closing dates. These actions will be effective once GS/OAS has expressed no objection and when the duly authorized representatives of both Parties have signed an Addendum to this Agreement as specified in Article 13.2, below.
- 13.2. With the prior no objection of GS/OAS, this Agreement may be modified by written amendment or an exchange of letters signed by the duly authorized representatives of the Parties, dated, and attached hereto.
- 13.3. GS/OAS may terminate this Agreement for justified reasons, by giving notice in writing to the Institution five (5) calendar days in advance of the termination date. The following shall be considered as justified reasons for termination: noncompliance by the Institution with any of the obligations assumed by it under



this Agreement; the existence of irregularities in the management by the Institution of the contributions under this Agreement; the bankruptcy of the Institution; the non-receipt by GS/OAS of funding from the GEF Trust Fund Grant; and, the need to safeguard the interests of the OAS and/or GS/OAS.

- 13.4. Either Party may terminate this Agreement because of unforeseen circumstances by giving written notice to the other thirty (30) calendar days in advance of the termination date. Acts of God or cases of *force majeure* shall be considered as unforeseen circumstances, among others.
- 13.5. In the situations indicated in Article 13.4 above, the Institution may not contract any further obligations under this Agreement after the date of receipt of the termination notice. Moreover, Institution must submit a final (narrative and financial) report within a period no later than thirty (30) calendar days after receipt of the notification of termination.
- 13.6. Within five (5) calendar days of the termination date, the Institution shall reimburse GS/OAS for the portion of the funds provided under this Agreement that were not spent and/or were not irrevocably obligated to third parties prior to the termination date. The reimbursement shall be made by way of remittance in United States dollars payable to the order of GS/OAS.
- 13.7. Annexes 1, 2, 3, 4, and 5 to this Agreement are attached hereto, and are hereby incorporated by reference into this Agreement.

SIGNED by the duly authorized representatives of the Parties in duplicate originals as of the Effective Date and at the place indicated below:

<b>FOR THE FUNDACIÓN UNIVERSIDAD NACIONAL DEL SUR:</b>	<b>FOR THE GENERAL SECRETARIAT OF THE ORGANIZATION OF AMERICAN STATES:</b>
<p>Nelson Eduardo Mazini            President            FUNS (Fundación Universidad Nacional del Sur)</p>	<p>Scott Vaughan            Director            Department of Sustainable Development</p>
<p>Date:</p>	<p>Date:</p>
<p>Location: Bahía Blanca, Argentina</p>	<p>Location: Washington D.C.</p>

**List of Annexes:**

- Annex 1 – GEF Trust Fund Grant Agreement TF053526 “Building the Inter-American Biodiversity Information Network Project” effective on October 4, 2004 and its amendment dated January 27, 2006  
Separate PDF Document
- Annex 2 – Request for Proposals (Separate Word Document)
- Annex 3 – Operational Manual (Separate Word Document)
- Annex 4 – Proposal (Separate Word Document)
- Annex 5 – Guidelines for Project Implementation

## **Annex 5 –Guidelines for Project Implementation**

1. (a) *Procurement*. The procurement of goods and services should be made on a selective basis upon the value of each acquisition. It is expected that the Institution will ensure that the principle of economy and efficiency is respected and that every effort is made to get the best value for the money.

Steps to be followed:

- Determine the type and units of the required equipment or works and their delivery time;
- Obtain information about the availability of the required goods or works either by phone or in person, at least three quotations;
- Compare the quotations received;
- Select the supplier or contractor, justifying the selection based on the quality and availability of good or work, and the price;
- After executing the payment, keep all documents, including list of suppliers or contractors, receipts, etc, on file for possible audit.

(b) *Selection of Consultants*

Steps to be followed:

- Prepare a job description if an individual is to be selected as a consultant, or terms of reference if a firm is to be selected,
- Issue a letter of invitation, and based on the responses, select the best candidate individual/firm, at least three candidates should be invited to have respond,
- Contact the selected candidate,
- Negotiate the contract terms and conditions,
- Prepare and sign a contract,
- After the contract is completed, keep all documents on file for possible audit.

Eligible expenditures under this Agreement are:

- Consultants services that work within and/or outside of the Institution;
- Goods necessary to carry out the project;
- Operating costs (means, incremental Institution staff salaries, project administration costs, operation and maintenance of office equipment, and non-durable goods);
- Training (means incremental travel costs. The Institution is encouraged to utilize Institution co-financing funds to finance Institution staff travel costs)

2. *Reporting*. The Institution shall prepare with the assistance of the IABIN Secretariat, and furnish to the DSD, in Spanish or English:

(a) A technical progress report containing at a minimum:

- The Project title;
- A summary section of progress to date and challenges and/or difficulties encountered to the date of the report in both Spanish and English;

- Project objectives;
- Expected outputs and outcomes;
- Methodology employed and activities carried out;
- Results (in relation to objectives and expected outputs);
- Lessons learned, problems and possible solutions; and
- Parallel financing.

The following template can be used to report parallel financing:

Parallel Financing Reporting Form						
Period: mm/dd/yy - mm/dd/yy						
PLEASE PROVIDE INFORMATION ABOUT THE ACTIVITIES AND COSTS THAT YOUR INSTITUTION HAS FUNDED RELATED TO IABIN ACTIVITIES (DO NOT INCLUDE FUNDS PROVIDED BY IABIN)						
INFORMATION OF FINANCIER (SOURCE)						
		Academic ( )	NGO ( )	Government ( )	Multilateral Agencies ( )	Other ( )
INSTITUTION / ORGANIZATION NAME						
COUNTRY						
DEPARTMENT/OFFICE/OTHER						
AUTHORIZED PERSON NAME						
DATE						
<b>IMPORTANT:</b> The information reported in this form is the Institution/Organizations' responsibility, which will be filled together with the background documentation during project implementation, and are required that their records are available for review						
02-Data Content Creation						
<i>Support multilingual training, and provide technical leadership to IABIN countries as they develop data for access within the IABIN network (i) Consultants' Services to work on the catalogue and the six Thematic Networks (Specimens, Species, Ecosystems, Invasive Species, Pollinators and Protected Areas), (ii) Participation in Seminars and Workshops related to Component I (iii) Operating expenses</i>						
Units of Parallel Financing	ACTUAL				Description	
	# of Units	Cost per hour	Actual Semester	Period of the Project		
Technical Personnel Hours - Senior Level						
Technical Personnel Hours - Junior Level						
Equipment and supplies						
Physical Infrastructure						
Documents						
Number of professionals in Seminar n (cost/day)+(travel cost)						
Others (please detail)						
<b>Sub-Total</b>				<b>\$0</b>	<b>\$0</b>	

(b) A financial report which shall contain as a minimum a statement of expenditures. The following template can be used:

ORGANIZACION DE LOS ESTADOS AMERICANOS								PO #:	
REPORTE DE GASTOS								Date:	
INSTITUCION xxxxxx								Application #:	1
								Page number:	1
1	2	3	4	5	6	7	8	9	10
Item No.	Nombre del proveedor / Descripción	Número de contrato	Ubicación	Monto original del contrato (equivalente en Dolares)	% Financiado por SG/OEA	Pagos acumulados ya reportados	Fecha de Pago	Factura	Monto
1									
2									
3									
<b>TOTAL</b>									<b>\$0.00</b>