



The Environmental and Social Evaluations with Strategic Approach as Planning Instruments for the IIRSA

Methodology, Components and Phases
(Work document)

February 2008

The Environmental and Social Evaluations with Strategic Approach as Planning Instruments for the IIRSA

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1. INTRODUCTION

The Executive Steering Committee (CDE) of the Initiative for the Integration of the Regional South American Infrastructure (IIRSA), at its meeting dated December 2005, held at Asunción (Paraguay), assigned to the Technical Coordination Committee (CCT) the development and performance of pilot methodology tests that shall make it possible to deepen the analysis of the Groups of Projects agreed by South American governments and that integrate the IIRSA Project Portfolio. These activities would take place for the influence area of the Groups of Projects regarding the following topics:

- a) The analysis of logistic services.
- b) The strategic environmental and social analysis of the tendencies, implications, risks and opportunities that would arise as a result of the possible implementation of the groups of projects.
- c) The analysis of the articulation of the infrastructure groups of projects proposed with the main current and potential productive activities.

This document shows the results and proposals of the work done by the CCT in order to respond to the second topic proposed. As regards this aim, the CCT has carried out the following actions: (i) a collection of information available and learned lessons about strategic environmental evaluations already performed in territorial spaces that correspond to the IIRSA Groups of Projects, (ii) the start-up of a pilot action devoted to testing the methodological proposal and (iii), a revision of the EAE family in order to know experiences that are equivalent or similar to this type of analysis. The purpose of these activities has been to obtain useful criteria for the methodological proposal herein presented.

The infrastructure groups of projects corresponding to the Integration and Development Hubs established by the IIRSA and identified for the revision were as follows:

- South Inter-oceanic Road Corridor, Peru (Peru–Brazil–Bolivia Hub, Group 1)
- North Road Corridor, Bolivia (Peru–Brazil–Bolivia Hub, Group 2)
- Santa Cruz - Puerto Suárez Corridor, Bolivia (Central Inter-oceanic Hub, Group 3)
- North Amazonas Road Corridor, Peru (Amazonas Hub, Group 3)

Several of these studies have been carried out with the participation of institutions that belong to the Technical Coordination Committee of the Initiative (CCT, in Spanish) of the IIRSA, as part of their support to financing or technical advising operations for the governments.

After revising the information available on these cases, the Andean Development Corporation (CAF, in Spanish), under the direction of its Environmental Department,

according to the framework defined by the CCT, approved Technical Cooperation Resources for the development of the Methodology of Environmental and Social Evaluation with Strategic Approach (EASE–IIRSA Methodology) as a planning instrument that could be applied to Groups of Projects within a short period of time and at a reasonable cost. Also, the Inter-American Development Bank (IDB) has hired the study “An Approximation of Key Environmental and Social Elements of the IIRSA Program”¹, which carried out a preliminary hierarchical structuring of the more critical Development and Integration Hubs from the environmental and social point of view, based on the criteria discussed by the CCT.

Besides, the EASE–IIRSA methodology is being applied by the CAF in a pilot case, using for such a purpose a Group of Projects that does not have prior studies, in order to compare the results with the ones obtained in the above-mentioned cases. The CAF selected Group 6 of the Andean Hub in order to apply the pilot case as part of the validation of said methodology. For said purpose, a CAF work team was constituted and integrated by experts in territorial planning as well as in environmental and social issues, with wide site experience and related to the evaluation of groups of projects with strategic vision.

This methodology gathers the experience gathered up to now with respect to the IIRSA pilot case application. Moreover, this document is the result of the meetings, debates and agreements reached in Brasilia (March 2007) and Washington (May 2007), based on the proposals structured and submitted by the CAF, which were agreed with the IDB and whose editorial adaptation was carried out by the CCT in Bogotá (February 2008).

Within the previous context, the methodological proposal is hereinafter presented in order to incorporate and carry out the Environmental and Social Evaluation with Strategic Approach of the Groups of Projects (called EASE–IIRSA) as a planning instrument devoted to support the decisions of the governments gathered around the IIRSA.

The document has eight (8) chapters or sections. The first one contains the general background as well as the context under which this methodological proposal was developed. The second chapter presents the main goals of the methodological development. The third one shows the general premises that guide the methodological proposal. The fourth chapter shows a summary that contains the main expected results of the application of the methodology. The fifth one describes the methodological approach that guides and sets the framework of this proposal. The sixth chapter develops the five basic components that characterize the methodology. The seventh chapter develops the processes (phases), procedures and activities that the performance of the environmental and social evaluation with strategic approach requires under the criteria and parameters of this methodological proposal. The last section is related to a general identification of the resources that are necessary for the methodological development proposed.

¹ An Approximation of Key Environmental and Social Elements of the IIRSA Program. Issues Paper prepared by Golder Associates for the Inter-American Development Bank. Santiago de Chile. November, 2005.

2. GOALS

The goal of this methodology is to provide the IIRSA with a conceptual framework and practical guidelines for the application of the environmental and social evaluations with strategic approach to its Groups of Projects with the following purposes:

- To improve the comprehension of the territories in order to promote their sustainable development and to optimize the benefits of the IIRSA Groups of Projects.
- To dimension the scenes and tendencies as well as the critical aspects, implications, risks and opportunities generated in the territories of influence of the groups of projects.
- To establish associated management and investment guidelines that shall give rise to more sustainable development options, as well as to identify design and implementation recommendations for the groups of projects.
- To create a space for making participative activities and a constructive dialogue possible among Governments and key participants of the influence area of the groups of projects.

3. GENERAL PREMISES

- The methodology takes into account the need for generating appropriate, high technical-quality and short-term results in order to improve the planning and implementation process of the IIRSA project portfolio.
- The application of the methodology requires the leadership of specialists of wide experience in areas related to the socio-environmental evaluation.
- The methodology works mainly based on secondary information, involving the contributions of key participants along its application process.
- The methodology must be applied counting on the participation and full compromise of the governments involved, which will assign a counterpart to be part of the work team.
- The EASE–IIRSA methodology is applied taking into consideration the critical factors for the strategic evaluation as well as for the decisions made in relation to the way implications are addressed.

4. EXPECTED PRODUCTS

- Consolidated information of the development territory and settings, focused on the critical strategic factors.

- Identification of settings, tendencies, implications, risks and opportunities offered by the Group of Projects, in particular the indirect, synergic, and cumulative ones, regarding the environmental and the social aspects.
- Formulation of proposals of strategies, plans, and programs to reinforce the territory sustainability related to the Group of Projects, including cost estimation and recommendations for specific projects.
- Evaluation of the institutional capacity needed for implementing the management guidelines related to social and environmental topics and the recommendations suggested by the EASE–IIRSA.
- Follow-up indicators related to the evaluation and behavior of the territories and actions to be developed.

5. APPROACH

The systemic approach² sets a framework for this methodological proposal, as it makes it possible to approach complex problems typical of the environmental and social management, the dynamics of the territory, the social and institutional organization, the management of conflicts, and the decision making process, by means of a set of processes, procedures, and instruments applicable to the different performance stages.

The systemic approximation has been of great usefulness in the structural and dynamic study of the complex natural and social systems, as it has given guidelines for performing analysis models about them, which makes it possible to optimize the control existing on the system addressed, thus obtaining greater speed and efficiency in the knowledge of the critical factors from the strategic point of view. The systems approach applied to ecosystems, biotic communities, and social groups have played an important role in topics such as simulation, qualification, quantification and following-up of their elements and variables.

This systemic approach also makes the following possible:

- The achievement of the concurrence of the social, economic, and environmental dimensions.
- The identification of elements, instruments, and models that can be used and transferred among components of the social and environmental management.
- The generation of an integrating vision for the treatment of the components and phases of evaluation.

² The systemic method is based on the scientific paradigm known as the Teoría General de Sistemas [General Theory of Systems], which intends to explain the behavior of the complex reality by means of a collective description of the integrated entities (systems). According to this theory, the object is not separable in elemental parts whose individual study makes it possible to recognize the set, but the set is studied from the new emerging properties that provide it with identity and integrity. This method is also known as Análisis de Sistemas [System Analysis], and it can be defined as the application of the scientific method to the study of complex problems, whose magnitude and complexity require a tool that shall make it possible to shape multiple interrelated variables and to seek practical and analytical solutions to the problems.

- The generation of a wide analysis framework, making the functions, services and relationships comprehension possible among the components of the natural, social, economic, and cultural systems.
- The provision of coherence to the generation of economic, social, and environmental processes aimed towards reaching the sustainable development.
- The transcendence in the analysis of jurisdictional and temporal limits.
- The definition of territorial areas and their more vulnerable components, dimensioning tendencies, settings, risks and opportunities.
- The identification, definition, and dimensioning of the intervention costs aiming towards the restoration and recovery of degraded areas and ecosystems, as well as the territorial opportunities for the sustainable development, guaranteeing concrete responses to social and environmental topics.
- The identification of the meeting of explicit relationships between the human needs and the biological capacity of ecosystems for satisfying them.
- The assurance of open spaces and channels of social and institutional participation, including key participants at the different moments of the evaluation process.
- The creation of the opportunity to contribute with the exploration, definition, and anticipation of actions and new schemes that integrate sustainable human activities with conservation aims.
- The safeguarding of information and knowledge uncertainties.
- The concordance with other approaches, as the Biological Diversity Agreement, allowing the equitable integration of ecological, economic, and social factors.

6. COMPONENTS

The components correspond to each one of the elements or parts that integrate this methodology, making its articulated and organized development possible through the different performance phases. The components are as follows:

- Component 1: IIRSA Group of projects
- Component 2: Participants
- Component 3: Area of strategic influence / work scale
- Component 4: Conceptual work premises for the evaluation
- Component 5: Tools

Each one of these components entails a particular nature and approach that gives shape to the methodological development proposed. The components are described below:

Component 1: IIRSA Group of Projects

The IIRSA is a physical integration initiative of great scope and potential implications about the economic development, the use of natural resources, and the expected improvement of life conditions of the inhabitants of South America.

The Group of Projects that constitutes each one of the IIRSA integration hubs is the unit of analysis chosen for the application of the Environmental and Social Evaluation with a Strategic Approach. This organizational level allows us to maintain the integrationist vision, consistency in the regional analysis, and the effectiveness of the said analysis. The proposal lies between the level of the Integration Hub as defined by the IIRSA, which involves a number of countries, geographical areas, ecosystems, and social realities, and the level of individual Projects. In this context, the Group of Projects shapes sub-hubs of regional and local development, which are intermediate territorial units very suitable for the implementation of an Environmental and Social Evaluation with a Strategic Approach.

In turn, the groups of projects are made up of a set of individual activities and initiatives of various characteristics for which, due to their specificity, the implementation of another environmental evaluation tool is more efficient, known as the Evaluation of Environmental Impact for investment projects.

The development of this component requires detailed knowledge of three basic categories of information at the Group of Projects level, namely:

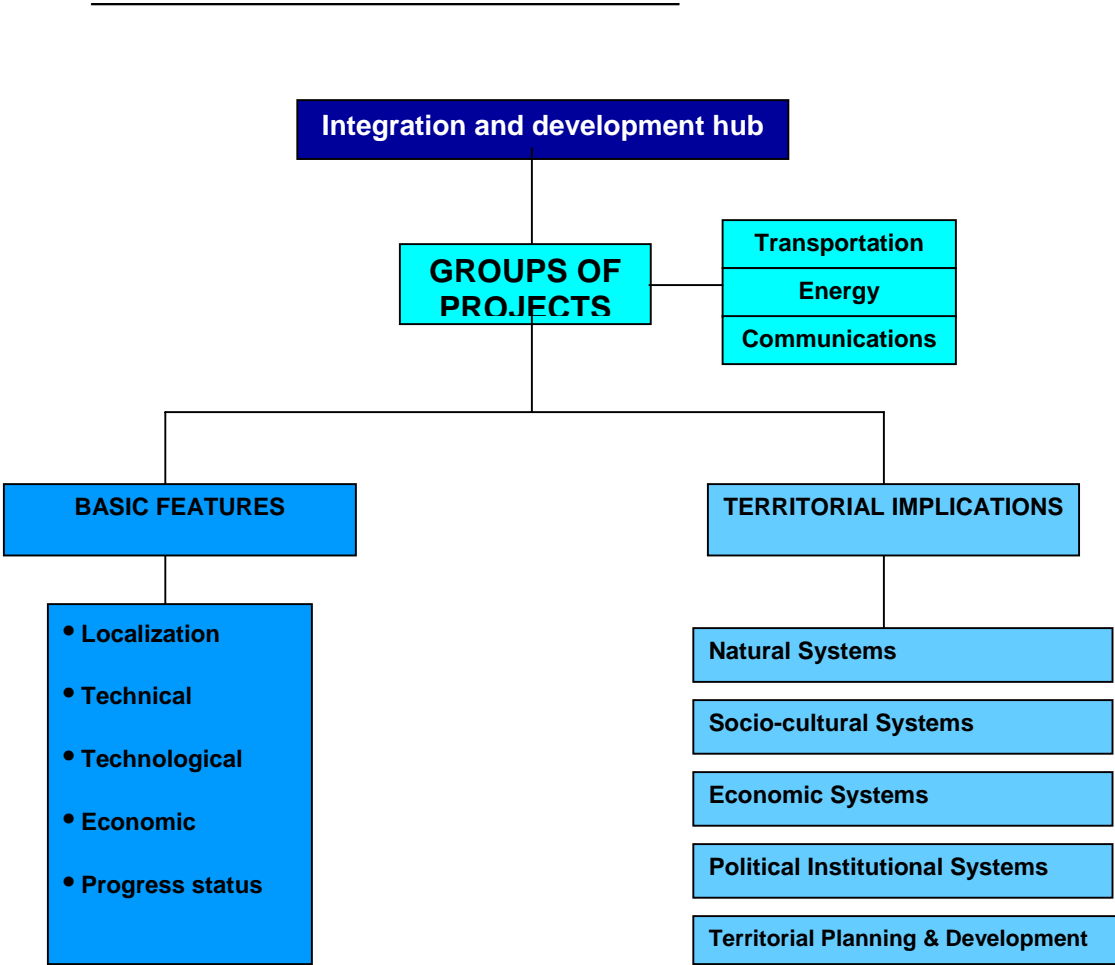
Types of projects: related to the identification and specific knowledge of the characteristics of the projects that compose the group under evaluation. In generic terms, they may correspond to the sectors of transportation (air, maritime, and multimodal), energy (electricity and gas), and communications (information technology and telecommunications). A Group of Projects may be composed of all or some of the sectors identified. This knowledge determines to a large extent the search, scope, and analysis of the information that will be required to carry out an evaluation properly aimed towards the strategic goals at the Group of Projects level.

Basic features: This category provides detailed knowledge of the Group of Projects under evaluation, especially in terms of the goals and objectives pursued under its grouping. In this sense, it establishes its geographical location, the type of infrastructure provided, the current state of implementation of projects, and the general engineering designs, along with the economic, technical, and technological aspects scheduled for their development, either for construction, refitting, expansion, or maintenance, among other alternatives. In short, the goal is to have the greatest amount of knowledge in reference to projections and developments of the projects that form the group.

Implications in the territory: This category provides a general overview of the major implications or potential impacts that the different types of projects that make up the Group could cause on land, environmental, and social systems, with the ultimate goal of allowing the focus of the search and analysis of the information necessary for the strategic evaluation. In this regard, the methodology must be supported by a catalogue of tools that provide specific approaches in the context of the possible impact on natural, socio-cultural, political-institutional systems, and the territorial planning and development associated with the different Groups of Projects.

Figure 1 shows the development of this component.

Figure 1. The IIRSA Groups of projects



Component 2: Participants

This component identifies and defines the roles of the different participants involved in various forms in the process of formulation and implementation of the strategic evaluation. Throughout the various phases of the EASE-IIRSA methodology (see section 7: Phases of Implementation), through successive approximations, the identification and detailed characterization of the key players who will be participating in each stage of the process is carried out. This characterization must allow those directly responsible for the evaluation to configure an overview of alerts and strategies in response to the interests, losses, and profits of the participants in relation to the development initiatives planned for the Group of Projects under evaluation.

Of particular interest is the detection of actions to manage potential conflicts that may be associated to the development of the Group of Projects. The participation and transparency of the participants is important for the successful implementation of the EASE-IIRSA. Therefore, the findings and recommendations that will lead to formal decision-making should be discussed involving government authorities and Non-Governmental Organizations, as well as the relevant representatives from the private sector and the local population.

The following describes, in general terms, the types and roles of participants in the formulation process of the Environmental and Social Evaluation with a Strategic Approach for the IIRSA Group of Projects (Figure 2).

People directly responsible for the Environmental and Social Evaluation with a Strategic Approach: These are environmental and social specialists and experts on territorial planning, with extensive experience, especially in field work, and professional training in any of the areas or sciences that usually deal with the different natural, social, and regional planning systems (physical, biological, socio-cultural, socio-economic, and political-institutional systems). These specialists are directly responsible for collecting, analyzing, and validating information, modeling settings and trends, identifying risks and opportunities, and preparing the document for the evaluation and the strategy for dealing with the implications of the Group of Projects. It is desirable that the experience of these specialists should not be less than 15 years, with the aim of ensuring efficient use of time and resources without adversely affecting the quality of the evaluation. These specialists will participate throughout the time required for the Environmental and Social Evaluation with a Strategic Approach.

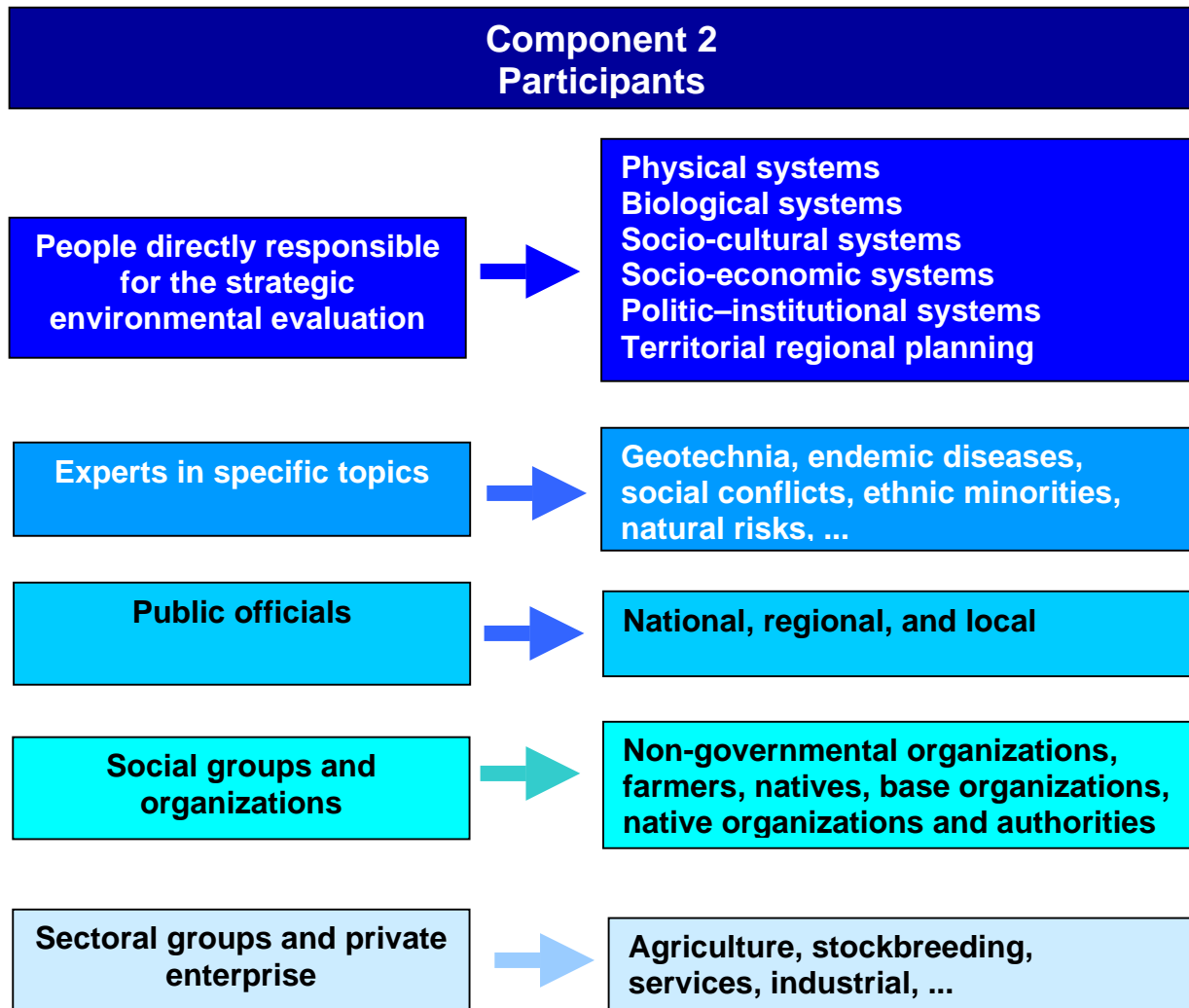
The profile of the team composed by those who are directly responsible for the evaluation may have the following general characteristics, but they will depend on each particular context where the evaluation will take place:

- Team coordinator: responsible for coordinating the Evaluation and communication with the formal and informal concerned parties. The coordinator must have experience in developing participatory processes involving governments, the private sector, and interested parties in the civil society. This

individual must have excellent communication and interpersonal skills, in order to interact with the relevant concerned parties on sensitive issues of environmental, social, cultural, and political disputes. This person must have extensive experience in environmental and social management.

- Specialist in regional development planning, territorial zoning, or related fields: Extensive experience is required (15 - 20 years) in the process of regional or sectoral development planning and proven ability in producing models of regional analysis and analysis of settings and trends.
- Specialist in physical systems of the territory: Extensive experience is required (15-20 years) in the comprehensive and individual analysis of the various subsystems that make up the physical environment, as well as in the management of methodologies applied to the assessment of natural threats, and also in risk management and prevention, or similar issues that apply to the group of projects. In addition, the individual must have experience in thematic cartography, and preferably of geo-referenced information systems.
- Specialist in biological systems of the territory: Extensive experience is required (15-20 years) in the knowledge of ecological processes that maintain by the multiple services of natural systems. This individual will be responsible for the analysis of the natural and environmental aspects, as well as the ecosystem services. This person must have significant experience in managing and evaluating natural and environmental settings and trends.
- Specialist in social and cultural systems: Extensive experience is required (15-20 years) in the knowledge of social, economic, and cultural processes, as well as the use of methodologies applied to the analysis of the areas of specialty. This individual must have significant experience in managing and evaluating social and cultural trends and settings.

Figure 2. Group of Participants



Experts in specific topics: These participants are professionals specialized in different disciplines that are relevant for the evaluation, who are precisely consulted in order to ratify, specify, or obtain greater information about some aspect where his/her opinion is considered essential to better comprehend the analysis. The academic sector (universities and other environmental and social research institutions) and the researchers that are experts in particular topics and/or knowledgeable about the territory integrate this group of participants (e.g. specialist in rural/urban planning, specialist in geo-hydrology, legal specialist in land rights, etc.). The performance or not performance of the consultations to these people shall be determined by the information needs detected by those directly responsible for the evaluation, as well as by the particular features of the study areas and of the Group of Projects. Consequently, the consultations prospect can move around different topics, such as geotechnia, endemic diseases, social conflicts, ethnic minorities, natural risks, among many other possible ones. It is expected the greatest participation of the thematic

experts in phase 2 (Gathering, systematization, and analysis) and possibly in phases 3 (Consultation and validation in land) and 5 (Feedback and adjustment) in order to verify and specify information arisen from said phases of the work (see section 7: Performance Phases).

Decision-makers and public officials: First, these participants are relevant officials in the decisions made by each of the governments involved in the Group of Projects under evaluation, with whom it is convenient to generate high synergy levels, as they will be key participants in: (i) the process of decision and information gathering in public entities and in (ii) the calls for meetings of validation and socialization of the evaluation results. Second, public institution officials of national, regional, and local nature are included, with whom it is important to create bonds that shall strengthen the preparation process and the evaluation results. Again, it corresponds to those directly responsible for the environmental and social evaluation with a strategic approach to identify and characterize this type of key participants. The relevant officials will participate during the whole time estimated for the performance of the works and the second ones, especially in phases 2 (gathering, systematization, and analysis); 3 (consultation and validation in land) and 5 (feedback and adjustment), (see section 7: Performance Phases).

Social groups and organizations: The ones belonging to this type of participants are farmers, colonists, natives, and citizens in general, grouped or not in base organizations, such as neighborhood boards, community action boards, civic committees, and similar ones, as well as non-governmental organizations with presence and/or interests in the area of the Group of Projects. The ones directly responsible for the evaluation will be responsible for the identification and description of this type of key participants. Together with them, an as long as needed, there will be direct contact established, especially during the site work. Their participation is planned especially during the phases 3 and 5 before mentioned (see section 7: Performance Phases).

Sectoral groups and private enterprise: The ones belonging to this set of participants are the organized sectors (associations, federations, confederations, cooperatives, and similar ones), besides private enterprises with interests in the territory subject to the evaluation. This group will take part in the different economic sectors with presence, participation, or interests in the study area, such as agriculture, stockbreeding, services, and industry, among others. It is expected the involvement of these participants especially during the phases 3 and 5 before mentioned (see section 7: Performance Phases).

Component 3: Area of strategic influence/work scale

To the purposes of the EASE–IIRSA, the area of strategic influence is that territorial portion on which it is expected that the environmental and social effects derived from the location of a Group of Projects will be shown. The definition of this area makes it

possible to focalize the analyses in order to understand the current dynamics and relationships of natural and human systems established therein, as well as to make a prospect of tendency settings, with the ultimate intention of defining a set of strategies oriented towards the environmental, social, institutional, and economic planning and decision-making process for the best possible development of the Groups of Projects and the management of their consequences.

The area must be delimited by the specialists directly responsible for the EASE–IIRSA, based on the dimensions and characteristics and possible implications of the interventions of the Group of Projects.

The work scale will determine the scope in the treatment of the information. It is convenient to work at a general scale, e.g. 1:500,000, and 1:1'000,000, making greater approaches in specific aspects whenever necessary. The extension of the scale could reach 1:50,000, 1:100,000, always depending on the size of the area of influence and the availability of thematic cartography or images in each country, according to a given Group of Projects.

In any case, the definition of work scale will be determined according to the Group of Projects, the strategic critical factors, the evaluation nature itself, the size of the territorial areas corresponding to the influence of the Group of Projects, and the availability of information, among other possible considerations.

Component 4: Work conceptual premises for the evaluation

The premises correspond to the set of proposals that make up the orientation of the works to be developed and that help to guide the search for information and the definition of specific tools, as well as the analysis and the achievement of results. These premises can be raised, reviewed, and reformulated as long as the results advance, within a process of permanent adjustment.

Some initial work premises that could be considered are as follows:

- The environmental and social evaluation with a strategic approach as a management tool is oriented towards the generation of decisions and actions according to the environmental and social value of the territory, with the purpose of achieving more sustainable development options.
- The IIRSA Groups of Projects will be developed in wide territories and with a great variety of regions, towns, natural and social systems, where it is possible to identify the existence of environmental and social problems, thus contributing to the generation of sustainable processes.
- The strategic evaluation needs to define many indicators focalized on the strategic critical factors and on the description and measurement of the behavior of the different systems that integrate the territory. For that purpose, tendencies, risks and opportunities are highlighted, thus giving rise to concrete analyses and results that

are useful for defining strategies and developing more sustainable human interventions.

- The environmental and social evaluation with a strategic approach allows the participation of key actors and the application of knowledge typical of the territory, strengthening the materialization of the IIRSA projects in a proactive and synergic manner.
- The evaluation models the behavior of the social and environmental variables and indicators, as regards their current and future tendency as well as the advance of the IIRSA Group of Projects, in relation to the sustainability of the development in the strategic area of influence.

Component 5: Tools

This methodological component determines the set of instruments that will be developed and applied for the capture, systematization, analysis, and report of the results anticipated for each phase or activity of the EASE–IIRSA. The instruments provided for are of technical, technological, conceptual, and documentary nature, and correspond to the following tools: checklists, matrixes, models, indicator guides, FODA analysis, Delphi technique, interviews, technical data sheets, cartography, SIG, regulations, technical documents, among others.

Tools are helps designed to speed and order the performance of the works, making them more efficient and of greater quality. Therefore, they support the different phases and activities for the performance of the methodology. This set of tools can be adjusted according to the features of the Group of Projects under evaluation, the areas of influence, the territorial and cultural context, as well as according to the technical criteria defined by the evaluation group.

7. PERFORMANCE PHASES

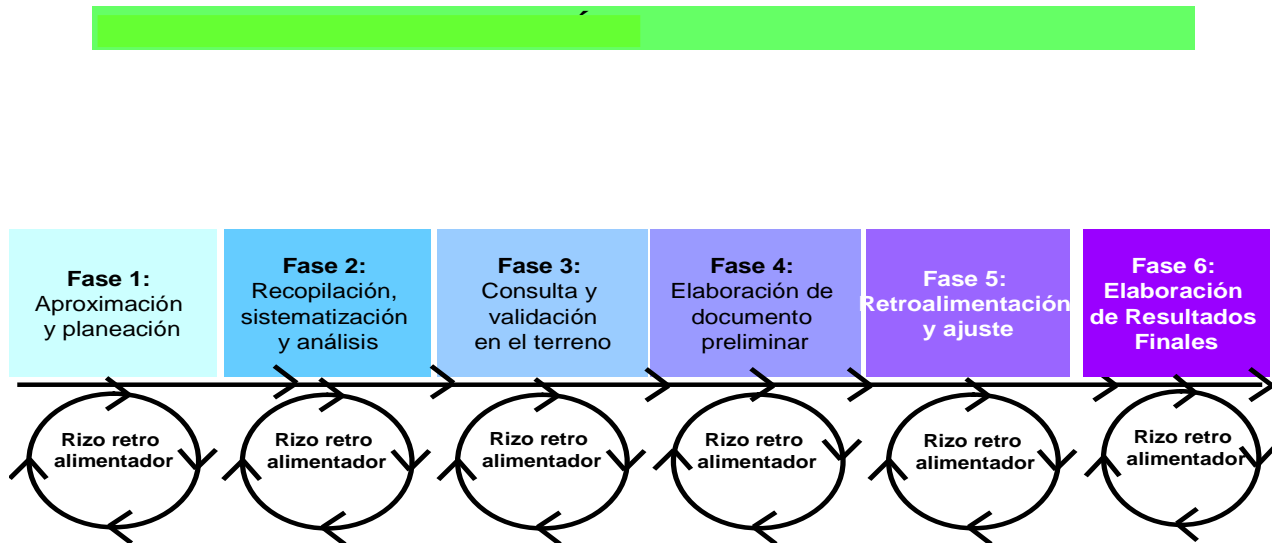
The application of the methodology will be carried out according to a logical sequence of successive phases that are developed within a time period in order to achieve the goals proposed. These phases are, at the same time, anticipated by means of a series of planned actions that make the progressive performance of the evaluation possible.

The methodology corresponds to the development of the six (6) phases set for the performance of the Environmental and Social Evaluations with a Strategic Approach for the IIRSA. It will last 16–22 weeks. The planned phases for the application of the methodology are hereinafter listed (see Figure 3).

- Phase 1: Approximation and planning
- Phase 2: Gathering, systematization, and analysis
- Phase 3: Consultation and validation in land
- Phase 4: Preparation of preliminary document

- Phase 5: Feedback and adjustment
- Phase 6: Preparation of final results

Figure 3. Methodology phases



Phase 1: Approximation and planning

Emphasis

The purpose of this phase is to carry out an approach to all the aspects that shape the works performance prospect, i.e., to the definition of those directly responsible for the evaluation, to the relevant officials of the governments involved, to the status and characteristics of the information about the Group of Projects subject to the evaluation, to the territorial natural, social, and institutional systems, and to the instruments and resources. This phase corresponds to a preliminary evaluation of the context, where the scope of the evaluation and the methodological specifications are defined with the tools that must be used in the analysis that will address the social, environmental, cultural and participative aspects. This preliminary evaluation is developed on the base of the strategic objectives and scope of the Group of Projects as well as on the area of influence and the critical factors for the evaluation of settings and tendencies.

Activities

- Initiation meeting with specialists responsible for the evaluation: This meeting gives formal initiation to the performance of the works. Here, it is advisable to define: (i) the context, scope and dynamics of the work, (ii) the central purpose of the strategic evaluation and of this phase, and (iii) the work plan. In this meeting, there shall be established the procedures to be followed for achieving the purpose of the evaluation.
- Knowledge and general description of the Group of Projects: The starting point of the evaluation is the review of the basic characteristics of the types of projects that integrate the Group of Projects, including their strategic objectives, their localization, type of infrastructure provided for, current status of advance, natural resources and manpower demand, services involved in their construction, adaptation and maintenance. This information helps to dimension the main implications and effects that the development of the Group of Projects can have on the different territorial systems, including the definition of the area of influence.
- Start-up workshop with the governmental participants: Once the previous activity has been anticipated, a meeting will be held with the relevant participants of the governments involved. Its purpose will be to define the acting and mutual cooperation procedures and mechanisms. In such sense, the workshop must be designed and directed in such a way as to reach, in the end, concrete results towards working dynamics, definition of activities, responsible ones, schedules and technical and logistic requirements, among others. The main results of these types of workshops must be well documented, not only in process but also in content terms, in order to improve the transparency and outreach to the relevant interested parties, thus showing the appreciation for their participation in the evaluation.
- Preliminary approximation to the territory: The purpose of this activity is to carry out a first general approach to the availability, quality, scope, and sources of the information on the strategic critical factors as well as to the identification of participants and contexts of the decision specially related to the risks and opportunities. For this panoramic vision, the concurrence of the specialists directly responsible for the evaluation will be useful in order to give a quick idea of the status of the information and to define priority aspects. An account will be given on the background to natural and social systems, territorial zoning and/or development plans, and projects of other public and private agents, possible risks and conflicts, and natural and human sensitivities, among the main aspects.
- Definition of the areas of strategic influence and work scales: Once the previous activities have been anticipated, and based on the results of the general knowledge and description of the Group of Projects as well as the preliminary territorial approximation, the specialists responsible for the evaluation will define the area of influence and the work scale applying the criteria previously defined for the development of this methodological component.

- Identification of key participants: The purpose of this activity is to carry out the identification and description of the main participants that can take part in the evaluation, for which the definition of groups made in the Component 2 of this methodology will be taken as a guide. Here, it is important the concurrence of the governmental officials of the countries involved, as interlocutors or active parties of the group performing the evaluation, as they can guide the contacts or the identification of key participants at national, regional, and local levels. It is expected that, in this activity, the following aspects will be considered: basic data (name, group to which he/she/it belongs or represents, location and contact data); interests related to the territory or to specific topics; potential conflicts, relationship with the national, regional, and local environmental management; role that the participants can assume in the evaluation and follow-up process; among others.
- Identification of the information required: The development of this activity is directly related to the overview of the information, conducted by the environmental specialists responsible for the evaluation. This activity is aimed at establishing a list of the available information, and its main sources, required for the treatment of the different components of the strategic evaluation.
- Analysis of the planning and necessary actions, as well as the consistency in the decisions made on the area of influence: The purpose of this activity is to verify the consistency among the Group of Projects for which the EASE-IIRSA will take place, and the existing policies, plans, and programs or those projected for the area. To accomplish this task, it is necessary to carry out an inventory at the international, national, and regional level, of several development sectors (e.g. infrastructure, physical planning, etc.), to ensure that all interventions in the territory are recognized, and therefore, analyze if the policies, plans, and programs are mutually compatible. A definition must be set of which policies, plans, and/or programs support investments in the Group of Projects, as well as which of these are potentially giving rise to conflicts with them, and how these situations could be dealt with. The EASE-IIRSA must demonstrate the goals of the interventions taking place in the area of influence, which define the conditions for the Group of Projects. Examples include strategic agreements on border policies at the binational level (for example, in relation to shared river basins), the strategic national plans for forests and protected areas, the regional development plans, and municipal plans, among others.
- Selection of thematic experts: The goal is to identify the requirements of specialized information necessary for an understanding of the dynamics or particular knowledge of the territory, the natural and social systems, and the scope of the IIRSA Group of Projects. To achieve this goal, the participation of thematic experts will be necessary. The objectives are: (i) to obtain the preliminary list of topics that require deeper knowledge, and (ii) to identify the team of experts who are able to meet this demand. It will be important here to define the mechanisms by which this consultation will be conducted, for which the criteria set out in Component 2 of this methodology will be taken into account.
- First evaluation of instrumental and logistical requirements for the application of the methodology: Based on the results and the balance of the previous

activities, in this activity, a list and an overview of the logistical requirements will be obtained, as well as the tools or instruments that will be required for the implementation of the remaining phases of the methodology, some of which will be procured and others developed by the team of specialists responsible for the evaluation.

Tools

For the development of this phase, it will be necessary to count on a set of instruments that shall make the performance of the different activities easier. The evaluation group will identify the set of tools that will be used as part of this methodology, identifying the reasons for their election. The tools will be adjusted to the features of the Group of Projects, the areas of influence, the territorial, environmental, social and cultural context and the technical criteria of the evaluation group.

Participants

It is estimated that, in the approximation and planning phase of the works, there will participate 3 or 4 environmental and social specialists of great experience (physical, biological, social and territorial zoning fields), as well as relevant officials of the governments involved in the Group of Projects.

Results

The final results of this phase are: (i) a preliminary evaluation that allows to focus the strategic evaluation on the critical factors, (ii) the definition of the strategic area of influence, (iii) the methodological specification for the application of EASE-IIRSA, and (iv) the planning and detailed definition of the technical, operational and institutional actions that must be carried out, expressed through a work plan for the application of the methodology.

Duration

This phase can have a maximum duration of two weeks.

Phase 2: Gathering, systematization and analysis

Emphasis

The central purpose of this phase is to obtain and know the more relevant information about the dynamics of the territorial systems, from a physical, biological, socio-cultural, socio-economic, institutional and planning point of view, in order to carry out an identification of tendencies, implications, risks and opportunities and, thus, to perform a

shaping of the settings that the territorial dynamics could probably have as a result of the performance of the IIRSA Group of Projects.

This secondary information gathering will be mostly carried out based on the requirements identified for said purpose in Phase 1 (Approximation and planning).

Activities

- Gathering, analysis and summary of secondary information: This is one of the activities of greater intensity in the whole process of preparation of the EASE–IIRSA, as it is here where the gathering of the relevant information previously defined by the specialists is anticipated; the methodological tools such as SIG, maps, surveys, etc. are prepared and operated; and the information related to implications, critical areas, risks, and opportunities of the territorial systems subject to the evaluation is systematized and analyzed. It is also expected to have a complete and detailed description of the key participants, as well as the analysis of the institutional capacity in risk and opportunities management by the governments involved in the areas of the Groups of Projects. Preferably, the results will show the information analyzed in categories and indicators.
- Preparation of settings and tendencies: Based on the results of previous activities and resorting to the most proper methodology, the approximation to the shaping of settings and the definition of potential tendencies are carried out. Said shaping of settings will have to contemplate, at least, the territorial behavior without the implementation of the IIRSA group of projects, compared with the tendency derived from its performance.
- Development of thematic tables with experts in the associated areas: This activity is aimed at the reaction of an experts' panel that can furnish the information gaps to validate, specify, or obtain specialized background, or diminish uncertainties about it. It is essential to design the consultation methodology and tools in advance, as these determine, to a great extent, their results and efficacy. According to what has been previously expressed, it is advisable, among other aspects, to clearly define the topics to be addressed, to determine the time and dynamics of the panels, to state if it will be carried out individually or collectively or if it will be a monothematic or a multi-thematic table, in order to establish an instrument or agenda for getting in contact with the expert before the meeting, and to have a set of questions that must be solved, among other considerations. This activity can be developed in a complementary and parallel way to the gathering and analysis of information, as well as to the shaping of settings. Component 2 (Participants) of the methodology presents a series of additional criteria that guide and complement the approach of this activity.
- Revision and adjustment of strategies and instruments for the work in Phase 3 (Consultation and validation in land): Based on the results and advance of the anticipated works up to the end of this phase, the strategies and instruments that will be implemented and applied in Phase 3 of field of this methodology, will











have to be reviewed and adjusted. This activity includes the preparation of logistic aspects that will be necessary for the routes and site work.

Tools

The instrument Variables and indicators will be used preferably as the main tool for the treatment of the territorial systems subject of the strategic evaluation.

For carrying out the shaping activities, it is provided for the application of methodologies as multi-varied analysis, experts' qualification/weighting, and causality analysis, among other techniques available. In any case, the definition of the specific methodology will be determined by the availability and quality of the information, size of the area of influence and criteria of the specialists responsible for the evaluation, among other aspects. In this phase of the works, the greater activity and participation of thematic experts is planned, as well as the consultations or interviews with key participants.

For the development of this phase, it will be necessary to have a set of instruments that shall make the performance of the different activities easier. Some of them are as follows:

-  [Geographical Information Systems \(Cóndor System, among other possible ones\)](#)
-  [Basic cartography and/or satellite images](#)
-  [Indicators for the treatment of the different territorial systems subject to study](#)
-  [Indicators data sheets](#)
-  [Thematic, summary and shaping maps](#)
-  [Documents such as: sectoral studies and plans, territorial zoning and development plans, basic statistics, thematic studies, among other possible ones](#)
-  [Guides for consulting experts](#)
-  [Checklists about aspects to be verified or ratified in site](#)
-  [Information ratification guide with key participants](#)
-  [Logistic requirements list](#)

Participants

In the approximation and work planning phase, there will participate 3 or 4 environmental and social specialists with wide experience (physical, biological, social, and territorial planning fields), relevant officials of the governments involved, thematic experts, as well as sectoral key participants and of public and private institutions with interests or presence in the evaluation area.

Results

It is expected that the most important results to be obtained in this phase are as follows:

- Definition and selection of settings and trends (at least with and without Group of Projects).
- Preliminary identification and analysis of risks, opportunities, implications critical aspects, and vulnerable areas of the influence territories of the Group of Projects.
- Description of key participants and identification of representatives that will participate in the different phases of the process (governmental authorities at national, regional, and local level, organized civil society, academy, local and regional communities, native organizations and authorities, and the private sector, among others).
- Identification of the institutional capacity of the governments involved to address the risks and opportunities derived from of the Group of Projects.
- Activities plan for the work in Phase 3 (Consultation and validation in land), with technical and logistic requirements.

Duration

It is estimated that this phase can require between 5 and 6 weeks.

Phase 3: Consultation and validation in land

Emphasis

The purpose of this phase is to verify, in land, the relevant aspects that have been identified in the previous phase, as well as to validate information with key participants present at the area of influence. Also, to take a direct impression of the environmental and social dynamics of these territories, leading to the adjustment or confirmation of the information and analysis anticipated up to this phase.

During this site visit, the necessary items and/or possible aspects of a checklist will be dealt with, and they will have to be verified or validated according to the advances carried out up to the previous phase. The site visit will have to include direct observations and the performance of interviews and meetings with authorities, non-governmental organizations, and members of the local communities, always trying to deal with the list specified in the item of the aspects to be verified or validated in site, as conveniently as possible. Moreover, this activity includes the performance of observations in the area of influence, in such a way as to know general patterns of its environmental and social reality, as complement, deepening, updating, and/or correction of the information previously dealt with.

The aspects whose characteristics of critical nature, risk, potentiality, and opportunity are usually more easily evaluated in this phase are, among others, and whenever necessary, the geomorphodynamic processes, sensitive ecosystems, conflicts of use, populated centers and human settlements, basic services, key participants, the anthropic pressure, presence of native populations, land possession, institutional nature, the protected areas, urban-regional hierarchies, productive activities, as well as the environmental, social, sectoral, and institutional projects planned and/or in progress that are different to the ones provided for by the IIRSA. It is important to plan the routes, the activities to be performed, and the logistic of the site work in advance.

Activities






- Validation, complementation, and agreement on the information and settings: The validation activities in land are related to the checking and adjustment of the settings and tendencies identified in the previous phase. The validation and agreement on the information involves a process of direct contact with the key participants of the regional and local level, which could be carried out through different instruments such as interviews, round tables, presentation of the information generated by specialists and direct checking of special interest situations. The presence in site gives the possibility of perceiving the particular dynamics of the different systems of the area of influence in order to adjust and/or complement the information required for the evaluation.
- Identification of sensible topics for the population potentially affected/benefited: The direct contact with the key participants must consider the whole of them as defined in Component 2 (Participants) of this methodology. It is advisable to get in contact, by e-mail or by telephone, or other means that fits the social and cultural context, with the regional and local participants in order to inform them about the general features of the works being anticipated, with the purpose that it shall be considered a natural result to obtain an agreed appointment before the site visit and to deal with the corresponding topics with them. Said contacts will make it possible for the specialists responsible to start taking an impression, first indirect and then direct, of the level of acceptance and expectations of the participants, as well as to clarify issues that, through the direct contact with them, can elucidate their understanding about the initiatives of the group of projects. This will allow to get rid of pressures and a more fluid and direct communication, as well as to focalize on the definition of strategies for acting, relationship, and communication with the different contacted participants, which will be clearly defined in the final evaluation document. It is emphasized that for the territories subject to evaluation, where there is presence of ethnic minorities, it will be necessary to define a contact and relationship strategy adjusted to the autonomous characteristics and dynamics proper of these groups.
- Identification of tendencies, opportunities, risks and expectations: The most important results of the evaluation are concentrated in this activity, as it is on these criteria that the work can generate more conclusive results, especially in order to emphasize the strategies and actions, and the plans and/or programs

that will be part of the evaluation products. At this point, the concept, criteria, and the experience of the specialists responsible for the evaluation are of vital importance, as they determine, to a great extent, the results of this activity. It is advisable to have a tool that will help to gather and systematize the different aspects that integrate this activity.

- Identification of actions in order to promote the opportunities and address the risks: This activity gives continuity to the previous one, being essential to identify, clearly, the actions that will promote the opportunities and address the risks that the Group of Projects could generate on the different territorial systems based on the environmental, social and cultural aspects. It is important to remember that some of the development opportunities can be directly related to the initiatives or activities of the population, or to decisions regarding economic and social development that are being anticipated or projected by public, private, or sectoral participants. Because of this, it is essential to incorporate and value such initiatives at the time of defining strategies, plans, programs, and projects for the management of the environmental, social and cultural consequences of the Group of Projects.

Tools

The development of this phase of the work will count with instruments that make it easier to perform the different activities; some of those instruments are as follows:

-  Thematic maps prepared with secondary information (bibliographic references)
-  Checklists of key aspects to be verified in the site work
-  Formats for interviews and round tables with key participants
-  Format for the identification and description of key participants
-  Instrument for the gathering and systematization of risks, expectations, tendencies, and opportunities checked and identified in the site work

Participants

For this phase of performance of works, there will participate 3 or 4 environmental and social specialists of wide experience (physical, biological, social, and territorial planning fields), relevant officials of the governments involved, regional and local key participants identified in Phase 2 (gathering, systematization and analysis), as well as public officials, social groups and organizations, sectoral groups, and private enterprise. Whenever necessary, it is also provided for the performance of consultations to local and regional thematic experts, as well as the participation of translators that make the communication with groups of natives belonging to different ethnic minorities possible.

Results

- Validation, complementation, and agreement on information and settings
- Identification of tendencies, opportunities, risks, and expectations
- Identification of sensible topics for the population potentially affected/benefited by the Group of Projects
- Identification of actions in order to promote the opportunities and to address the risks
- Identification of the capacity for response by the institutions in order to address the strategies
- Validation of strategic proposals and contents of the documents

Duration

This visit will last between 2 and 3 weeks, always depending on the accessibility to the areas of influence of the Group of Projects, to its geographical extension, and to the complexity of the territorial systems.

Phase 4: Preparation of the preliminary document

Emphasis

This phase has to do with the ordered structuring, development and concretion, in a written and supported document, of the different results achieved in the phases and activities previously anticipated. The document has a preliminary nature, as in posterior phases its feedback and adjustment will be carried out as a direct consequence of the contributions that the key participants make, with whom the validation and socialization is planned.

The document must have a clear and detailed development of the different evaluated components; it must have the corresponding evidence attached, an executive summary and also a graphic presentation of the processes and their results, in order for them to be easily understood by the different publics.

Activities





- Preparation of the support document and the activities plan: Definition of the structure of the document that will support the results achieved in the process of preparation of the evaluation (the different chapters that constitute it, adjusted maps and other supportive topics, executive summary and the remaining components of the document). In fact, this document begins to be structured in Phase 2 (gathering, systematization and analysis), thus, it is expected that its contents and final products can

be easily achieved. In general terms, the document can be structured as follows:

- Table of contents
 - Presentation
 - Background (methodological or context ones, among others)
 - Group of Projects object of the strategic evaluation
 - Area of influence, preliminary evaluation and work scale
 - Socio-environmental description (based on variables and indicators previously determined)
 - Physical systems
 - Biological systems
 - Socio-cultural systems (with the detailed description of participants)
 - Socio-economic systems
 - Political–institutional systems (include analysis of socio-environmental institutional capacity)
 - Identification of settings, tendencies, risks, opportunities, and critical factors for the decision-making process
 - Proposal of strategies, plans, and programs as well as cost and investment estimation for the implementation.
 - Identification of capacity for response in the institutions to address the strategies
 - Recommendations for individual projects
 - Definition of follow-up indicators of the territorial behavior and actions related to the group of projects
 - Conclusions and recommendations
 - Annexes
 - Bibliography
 - Executive summary (even though this is made when the document is completed with the strategic evaluation, it is convenient to include it in its initial part)
 - Graphic and electronic presentation of processes and results of the strategic evaluation
- Development of the participation plan: On the other hand, and together with the preparation of the document, the participation plan that will be anticipated in Phase 5 (Feedback and adjustment) must be prepared, in relation to technical and logistic requirements, call mechanisms, including selection of places and participants for the presentation of the results.

Tools

It has been planned that, for the development of this phase, it will be necessary to have a set of instruments that make it easier to perform the different activities; some of those instruments are as follows:

-  Geographical Information Systems (Cóndor, or other available ones)
-  Thematic and summary maps
-  Guides for the analysis and correlation of variables
-  Consultation mechanisms

Participants

In this phase, there will participate 3 or 4 environmental and social specialists of wide experience (physical, biological, social, and territorial planning fields) and a counterpart assigned by the governments involved in the Group of Projects.

Results

The most important final results of this phase will be as follows:

- Supportive document, including the results of the previous phases, containing:
- Activities plan for Phase 5 (Feedback and adjustment), i.e., the selection of technical and logistic requirements, including places, physical spaces and participants for the presentation of the results
- Validation of proposals and contents of the preliminary document, including the critical factors for the decision-making process

Duration

It has been planned that this phase be anticipated between 3 and 4 weeks.

Phase 5: Feedback and adjustment







Emphasis

This phase refers to the activities of adjustment and/or complementation of the analysis, as well as of the evaluation preliminary document. This adjustment will be carried out as a result of the feedback obtained for the participation of the participants called in order to validate and make the results public.

Activities

- Debate and feedback forum(s) on the supportive document (national level): This is a highly important activity, as it makes it possible to present the main results





of the evaluation, as an open and proactive way of generating more permanent processes of information and appropriation, especially of the initiatives that come together around the Group of Projects, and of the development of their influence territories, on the side of the called participants. It also makes it possible to identify key topics or aspects that, so far, have not been evidenced, especially those issues or aspects related to the acceptability, non-conformity, and expectations of the participants in relation to the Group of Projects itself as well as to specific topics of the evaluation. Regarding what has been previously expressed, the activity requires a careful technical and logistic planning as well as a flexible but controllable development on the side of the leading group of specialists. In order to prevent the process from detracting from its purpose, it is indicated, as a preventive mechanism, to get in contact with the called participants, ideally since the time of the first approximation to the description of key participants. The call must be performed taking into account the particular features of the group of participants called with, at least, three weeks notice before the performance of the activities. Aspects such as the following ones must be taken into consideration:

-  _____ Presentation of agenda and work dynamics or operation rules
-  _____ Information sensitivity and leveling activity regarding the purpose of the meeting and the evaluation
-  _____ Presentation of the context and the general features of the IIRSA in general and of the Group of Projects in particular
-  _____ Presentation of the processes and results of the evaluation
-  _____ Forum and feedback on the topics proposed
-  _____ Conclusions and recommendations

The performance of these forums must give as result the agreement regarding the preliminary results of the work, as well as the materials and contents for adjusting the final document.

Tools

The main tools planned for the development of this phase are, among other alternatives, the following ones:



-  _____ Call instruments (letters, telephone and electronic means)
-  _____ Graphic and didactic presentation of the processes and results of the evaluation
-  _____ Didactic means and materials (audiovisual means, maps, and documents, among others)
-  _____ Logistics (room or place of meeting, trips, accommodation, and maintenance, whenever necessary, among others)

Participants

In the approximation and work planning phase, there will participate 3 or 4 environmental and social specialists of wide experience (physical, biological, social, and territorial planning fields), relevant officials of the governments involved and key participants identified of the national, regional, and local levels.

Results

The main results that are expected to be obtained at the end of the development of the phase are as follows:

-  Agreement with key participants called on the preliminary results of the work
-  Materials and contents to adjust the final document

Duration

It is estimated that the time required for the development of this phase is between 2 and 4 weeks, including the incorporation of new adjustments, which can imply a significant time effort.

Phase 6: Preparation of final results

Emphasis

It corresponds to this phase the completion of the evaluation. So, it refers to the final adjustment and editing of the document that contains the evaluation. In this phase, the numbers of written and electronic documents necessary and previously agreed upon are prepared, and they are made available to the corresponding participants in the most practical and feasible possible way.

Activities

Preparation of the final document: This activity involves all those actions related to the structuring and editing of the final document and its corresponding annexes, as well as the preparation of its physical and electronic copies previously agreed upon, on the reference terms of the ones responsible for the evaluation. It can be incorporated to this activity the process of sending the documents, for which it is recommended a

Careful record of its reception on the side of the participants to whom they have been sent.

Communication of the evaluation: Based on the IIRSA criteria about spreading of the information, the evaluation performed will be made available to the interested parties.

Tools

The tools planned for the development of this activity are directly related to the electronic equipment typical of the editing and printing of this type of reports (computing and printing equipment).

Participants

In the approximation and work planning phase, there will participate 3 or 4 environmental and social specialists of wide experience (*physical, biological, social, and territorial planning fields*), relevant officials of the governments involved and administrative assistants for editing.

Results

The results of this phase will be as follows:

- Final report with:
 - Documents on the process of preparation of the work (Phases 1 to 6)
 - Dimensioning of investments for the implementation of strategies, plans, and programs for reinforcing the sustainability of the territory associated with area of strategic influence of the Group of Projects and with the institutional capacity of the governments involved
 - Conclusions and recommendations
- List and mechanisms of release of the work done

Duration

The duration of this phase is estimated in 2 weeks.

8. RESOURCES

For the performance of the EASE–IIRSA, it is necessary to identify and define, during the preliminary evaluation, the aggregate of human, technical, technological, logistic,

and administrative resources required for the development of the works. The recommendation is to have a description and control tool for each of the resources and sections planned, programmed, and actually performed, since it will be very useful in order to observe, on a permanent basis, its utilization and, at the same time, to establish the corresponding adjustments properly.

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