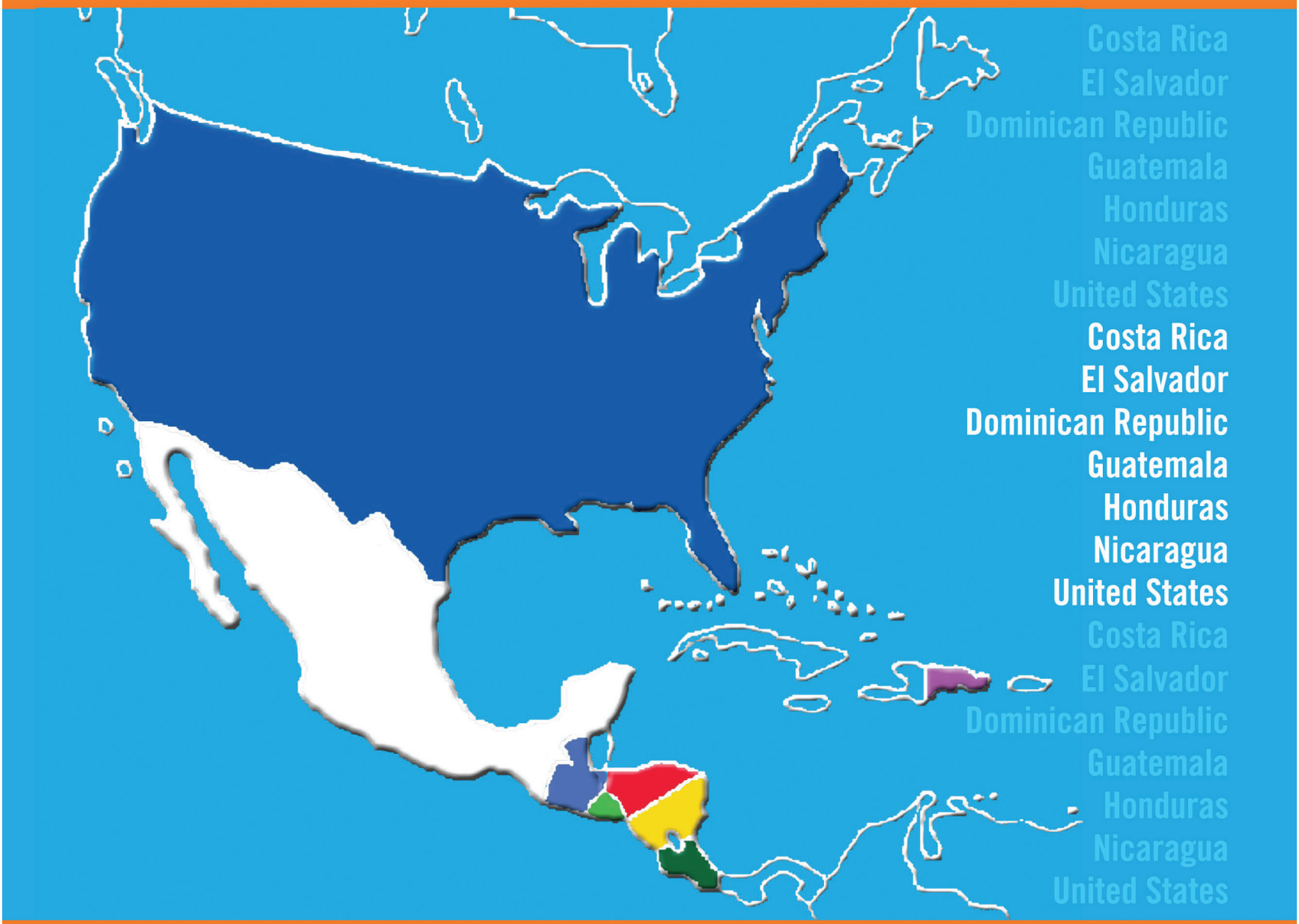
Organization of American States

Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA-DR Countries

SECOND EVALUATION REPORT



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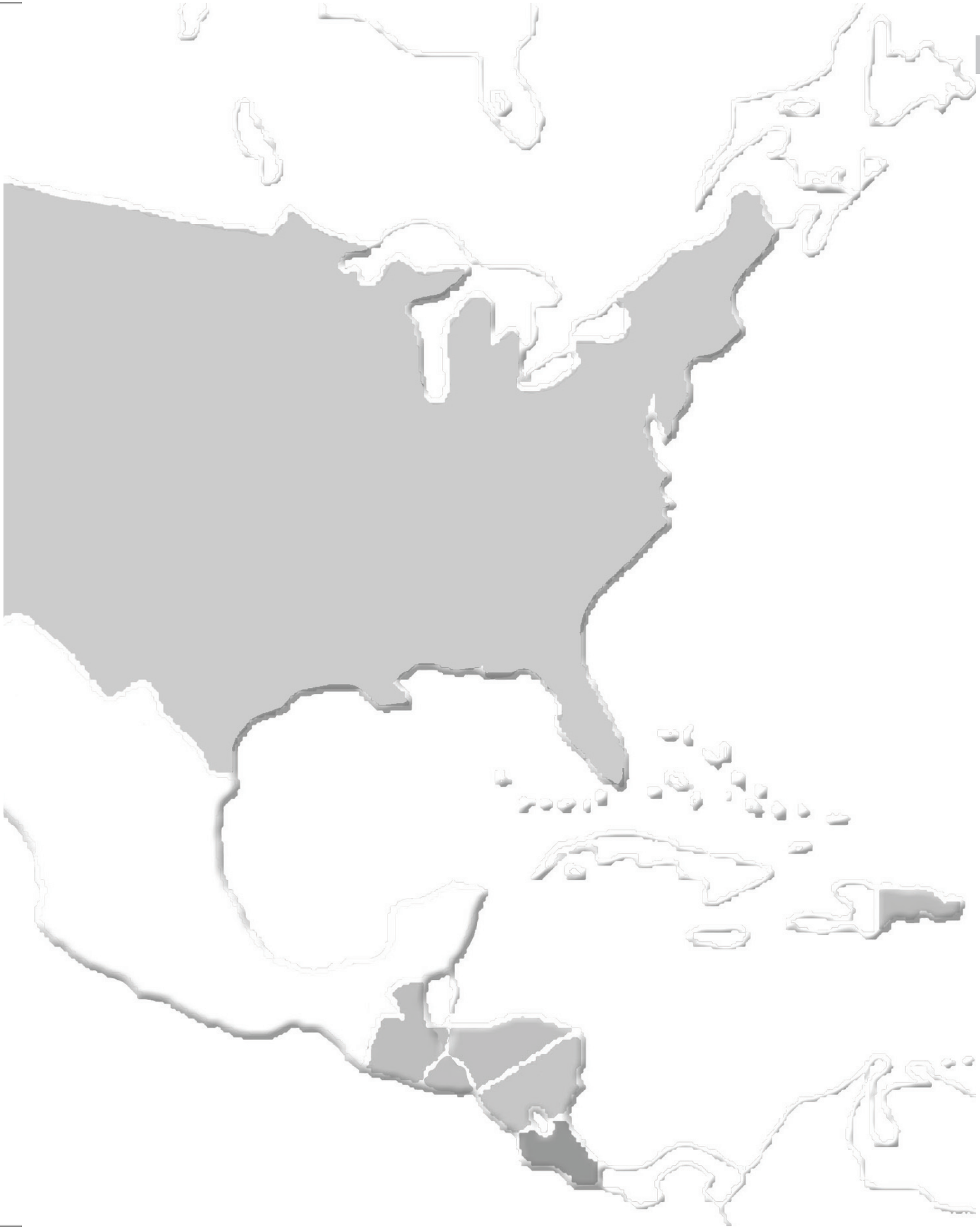

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LIST OF ACRONYMS AND ABBREVIATIONS

ANACAFE	National Coffee Association – Guatemala
ANPROLAC	National Association of Dairy Processors
APEHGUA	Association of Small Hotels – Guatemala
APEN	Association of Producers and Exporters – Nicaragua
ARCAS	Association for the Rescue and Conservation of Wildlife
ASPORC	Salvadorian Association of Pig Farmers
AVPML	Voluntary Agreement for Cleaner Production
BORSICCA	Bolsa de Residuos Industriales de Centroamérica y El Caribe
BUNCA	Energy Network Foundation
CADIN	Chamber of Industry – Nicaragua
CAFTA-DR	Central America-Dominican Republic-United States Free Trade Agreement
CBO	Community-based organization
CCAD	Central American Commission for Environment and Development
CENIGA	Centro Nacional de Investigación Geoambiental
CESCCO	Center for Contaminant Study and Control
CICA/UCR	Environmental Pollution Research Center's Water Quality Lab at the University of Costa Rica
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CONAP	National Council of Protected Areas
CORFOGA	Livestock Corporation
DCA	Development Credit Authority
DIGECA	Environmental Quality Management Unit – Costa Rica
DOI	U.S. Department of the Interior
DOS/OES	Department of State – Bureau of Oceans and International Envi ronmental Scientific Affairs
ECA	Environmental Cooperation Agreement
ECC	Environmental Cooperation Commission
ECP	Environmental Cooperation Program
EDA	Environmental Assessment Studies
EIA	Environmental Impact Assessment
ELE	USAID's Environmental and Labor Excellence Program for CAFTA-DR
EMS	Environmental Management Systems
EPA	U.S Environmental Protection Agency
ESF	Economic Support Funds
FAO	Food and Agriculture Organization of the United Nations
FTA	Free Trade Agreement
FUNZEL	Zoological Foundation – El Salvador
GFAS	Global Federation of Animal Sanctuaries
GHG	Greenhouse Gas
HNN	National Children Hospital – Costa Rica
HSI	Humane Society International
IMS	Information Management Systems
INGUAT	Tourism Institute – Guatemala

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ISO	International Organization for Standardization
M&E	Monitoring and Evaluation
MARENA	Ministry of Environment and Natural Resources – Nicaragua
MARN	Ministry of Environment and Natural Resources – Guatemala
MEA	Multilateral Environmental Agreement
MINAET	Ministry of Environment, Energy and Telecommunications – Costa Rica
MNE	Multinational Enterprise
MoU	Memorandum of Understandings
NGO	Non-Governmental Organization
OAS-DSD	Organization of American States – Department of Sustainable Development
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
P+L	Cleaner Production
PAA	Environmental Adaptation Programs
PCPA	Accident Control and Prevention Program
PEC	Procedures for Accordance Evaluation
PMF	Performance Measurement Framework
POC	Government Point of Contact
PROARCA	Regional Environmental Program for Central America
PROINCA	Instant Products of Central America
PRTR	Pollutant Release and Transfer Registry
RBM	Results-Based Management
RENAEPA	National Business Support Network for Environmental Protection
RENEA	National Environmental Assessment Register
SCAA	Specialty Coffee Association of the Americas
SEM	Secretariat for Environmental Matters
SERVIR	Regional Visualization and Monitoring System
SETENA	National Environmental Technical Secretariat – Costa Rica
SIG-EIA	Geo-referenced Information System- Environmental Impact Assessment
SMART	Specific, Measurable, Achievable, Realistic, Time-bound
SME	Small and Medium Enterprises
TED	Turtle Excluder Devices
ToR	Terms of Reference
TOT	Training of Trainers
UNITAR	United Nations Institute for Training and Research
U.S.	United States (of America)
USAID	United States Agency for International Development
USFS	United States Forest Service
USG	U.S. Government
WEC	World Environment Center
WHA	Bureau for Western Hemisphere
WWF	World Wildlife Fund

EXECUTIVE SUMMARY

Background and Overview

To date, the United States (U.S.) has invested approximately US$ 77.04 million to fund environmental cooperation with governments of the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR). This investment is helping CAFTA-DR countries advance in the following four programmatic areas, as defined under the Environmental Cooperation Agreement (ECA): (A) Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws; (B) Biodiversity and Conservation; (C) Market-based Conservation; and (D) Improved Private Sector Performance.

In support of these areas, the ECA (Article IV) requires that the Environmental Cooperation Commission (ECC) be responsible for examining and evaluating the cooperation activities under the Agreement. The ECA highlights as well that the ECC must also seek and consider input from relevant international organizations and other stakeholders regarding how best to ensure that it is accurately monitoring progress.

The Organization of American States – Department of Sustainable Development (OAS-DSD) is assisting CAFTA-DR countries in evaluating if and how the activities being implemented in the framework of the Environmental Cooperation Program (ECP) are contributing towards the achievement of the priorities established by the parties. In December 2009, the OAS-DSD presented the First Evaluation Report in which qualitative findings of accomplishments of the ECP were reflected. For this Second Evaluation Report, the OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators towards quantitative data analysis and review issues pertaining to the achievement of results.

Methodology

In managing the evaluation of CAFTA-DR activities, the OAS-DSD drafted Performance Measurement Frameworks (PMFs) during the period of October 2009 to July 2010 in an effort to design an adequate monitoring process based on performance indicators. Visits were conducted within this timeframe for consultations with Government Points of Contact (POCs), beneficiaries, implementing agencies, and national institutions, among other stakeholders, to identify relevant information for the report. In October and November of 2010, quarterly narrative reports submitted by implementing agencies, as well as interviews and field observations in the region, were then analyzed to bolster both the quantitative and qualitative data that had been previously obtained. Based on this data, and in conjunction with key elements of different RBM or Official Development Assistance (ODA) evaluation methodologies, the OAS-DSD conducted an analysis to provide a regional snapshot of results achieved since the first evaluation. This report assesses, to the extent possible, the evaluation against criteria of relevance, efficiency, effectiveness and sustainability. The evaluation presents data that are considered reliable. However, caution is warranted for the interpretation of data, as some figures may not be representative of cumulative results.

Findings and Analyses

Relevance

Some adjustments to the priorities selected at the beginning of the cooperation have been made, allowing stakeholders to learn to work together in improving the planning and follow-up processes. Efforts have also been made towards ensuring that the cooperation agenda has clear links between trade and environment, as well as contributions towards strengthening the public sector, institutional capacity, and management of trade-related authorities at the country level.

The activities and outputs of the program have generally been consistent with the intended environmental impacts and effects; however, in certain cases, these impacts have proved difficult to measure or determine—particularly as they relate to legal instruments—, as impacts in this area can be

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better measured in the long-term.

Consistency and complementarity are areas about which governments should be mindful, given their role in the development planning process and access to cooperation funds from other sources. Added value of the ECP lies in the program's focus on national priorities and on the commitment of the CAFTA-DR country governments. The program, in addition to addressing national issues, has helped to focus existing activities and identify initiatives with potential for greater impact in the region. Both implementing agencies and POCs believe that the familiarity with the CAFTA-DR ECP in local institutions and community-based organizations (CBOs) is developed well and has increased.

Efficiency

Implementing agencies that were interviewed found that the program's administration in general has been efficient, and given the challenges posed by the myriad of stakeholders and interests, there is room for improvement in inter-agency communication at the funding and decision-making level.

Also, implementing agencies have highlighted, on a level of strategic planning, the need to place certain responsibilities on the countries, under which they would help to articulate and define the priority areas within the program that need support and continued funding. This need is reflected in the first evaluation report presented by OAS-DSD and is further emphasized by the fact that funding has decreased from US$18.5 million in 2006 to US$10 million in 2010.

In light of this reduced funding, it is also essential to ensure that the functions of monitoring and evaluation are not neglected, given their positive contribution to streamlining the ECP and its effective management. To date, US$745,328 has been allocated for monitoring the progress of the ECP.

Timeliness has also proved to be a difficult challenge. The yearly appropriations process and timeline does not allow for long-term plans and consequently, it is difficult to think about long-term outcomes. Recommendations from implementing agencies in this regard include the establishment of a clear communication strategy with roles and responsibilities at the beginning of the program.

Demonstrating clear changes in terms of practices, behaviors, or environmental improvements continues to challenge efficiency as well. This is not due the lack of interventions or progress; but rather, is a result of inadequate monitoring systems and standardization of reporting and monitoring tools that would assist implementing agencies.

Effectiveness

Effectiveness is defined as the extent to which a project or program attains its objectives and delivers planned outputs. As a result of the use of national PMFs by implementing agencies, this report has been able to provide more details regarding the level of achievement of these objectives and their associated results at the output level as well. However, the OAS-DSD has encountered several challenges in demonstrating results due to: missing data and data that is at times regional and at times national; lack of standardized reporting from participating countries and implementing agencies; a still strong tendency to focus on activities; and an absence of a coherent IMS to consolidate data from a regional perspective.

Goal A: To strengthen institutions for effective compliance and enforcement of environmental legislation

The ECP has contributed to strengthening the public sector, institutional capacity, and management of trade-related authorities at the country level. Implementing agencies have worked closely to develop and implement environmental regulations in wastewater management, chemical and hazardous substances, and EIAs, improve the capacity of countries to effectively enforce environmental laws, assist the private sector in complying with environmental obligations, and increase public access to environmental data and information in CAFTA-DR countries, in an effort to strengthen institutions for effective compliance and enforcement of environmental legislation. Considerable progress has

been made in all countries in terms of regulations, policy in solid waste management, and solid waste exchange mechanisms.

Goal B: Protection of wildlife and their habitat for long-term economic and environmental development

For the protection of wildlife and their habitat for long-term economic and environmental development, CAFTA-DR countries have made considerable progress. The 1975 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), in particular, has helped intervene in biodiversity and conservation. The region has been successful in developing plans and strategies for CITES compliance through the development of three major legal documents: CITES Legislative Plan; CITES Implementing Regulations; and CITES Legal Analysis. In conjunction, a Seizure Cooperation Agreement was successfully signed in El Salvador. Work towards strengthening CITES through the development of a regional scientific experts directory that will support CITES Scientific Authorities, the identification of information gaps and needs, along with communications and initial work with conveners of the Cancun International Workshop on CITES Non Detriment Findings, has been completed as well. In terms of environmental management instruments that have been generated, analyzed and improved, a variety of interventions including a regional trade study, biological monitoring workshops, a regional Iguana Status Study, an Economic Evaluation, and an updated regional list of CITES species have been completed. In addition, operational manuals for CITES and identification guides for species are in progress.

Goal C: To implement a conservation system based on the market

Overall there has been good progress in increasing awareness of ecotourism in the region. Strategies to promote eco-tourism and community involvement are also noted as well as improving visitor infrastructure and tourism services. Market-based conservation, for instance, and its focus on sustainable tourism, agriculture and forest products, has made significant advances in the program. Despite these advances, progress in this area is not as clear as others due to inconsistencies in the use of indicators. From data available, there has been an increase of improved natural resource management, including that in areas of biological significance. From baseline data, there has been an estimated 12% increase in hectares which are under improved natural resource management and 18% increase in areas of biological significance.

Goal D: To improve the environmental performance of the private sector

Under the environmental performance of the private sector, progress has occurred through incorporating cleaner production strategies, environmental management systems, voluntary mechanisms and public-private associations. This progress is concentrated most, however, on the development of regional/national policy frameworks on these cleaner production strategies, as well as energy efficiency, in order to support cleaner production regulations and ultimately improve the private sector's environmental performance.

Sustainability

Three main aspects necessary for the sustainability of the program include first, the political buy-in of the ministers. The environmental ministries must have a clear vision of what the program is and need to understand that the program is oriented towards its national priorities. Second, the program must define the role of the POCs. This role must include details regarding coordination and the facilitation of cooperation. Lastly, the program must have a good technical counterpart from both the government and private sectors in order for the implementing agencies to have continuity and sustained dialogue.

There are many questions that still must be asked to address the program's continuity. For example, now that the beneficiaries have had access to new assets, what is the best strategy to ensure their

sustainability? Implementing agencies must ask their project leaders this question for all parties to know how exactly each project can be sustainable.

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Lessons Learned

- Results-based reporting with strategic indicators enhances effective monitoring and reporting processes. A clearer focus on intermediate outcome indicators is necessary for CAFTA-DR if the current implementation phase is extended. The current framework is heavily activity and output focused with indicators which attempt to count numbers of participants in training and workshops. While this information may be useful in determining reach in each participating country, it does not allow for the measurement of changes in environmental protection, wastewater management, natural resource management and all other areas under the Environmental Cooperation Agreement.

- An important lesson learned regarding the design and implementation of the ECP is the fact that political will is essential to the implementation of the technical aspects of the program.

Recommendations

- POCs require access to high level authorities and decision makers. This facilitates POCs role in articulating the environmental cooperation agenda. This is key for an adequate follow-up and orientation of the ECP by any government.

- The OAS-DSD should revise the national and regional PMFs and find intermediate level indicators that go beyond process in coordination with POCs and implementing agencies, keeping in mind these indicators should be strategic and realistic to measure. The number of indicators used should be reduced, particularly between the ones that are very similar in nature.

- The implementing agencies should provide cumulative data on their progress using the template designed by the OAS-DSD. This would not prevent the implementing agencies from reporting in their original template to DOS/OES and USAID, nor on reporting contextual and qualitative information.

- The OAS-DSD should consider revising data collection tools with implementing agencies for their corresponding indicators, to optimize the data collection process for the CAFTA-DR monitoring template and to ensure all outcome indicators are covered adequately.

- Further efforts should be pursued towards baseline collection and data disaggregation regarding the ECP.

- The ECA provides opportunities to enhance the policy, legal, and regulatory framework for CAFTA-DR countries and thereby create incentives to conduct operations in an environmentally sound manner.

Conclusion

Despite challenges in the planning, implementation, and evaluation of the cooperation, the OAS-DSD believes this report adequately depicts the progress of the region. The cooperation has cultivated progressive experiences and benefits, reinforcing the processes in place. As well, success stories have helped to highlight this progress, promoting awareness of the ECP throughout the region in addition to improving its overall implementation. CAFTA-DR countries are capable of taking the ECP and its benefits to the next level. In other words, they have at least the basic tools to ensure the continuation of the ECP. However, staff and resources must be properly allocated and sustainability must be prioritized in order to ensure the long-term benefits of the ECP.

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I. INTRODUCTION

To date, the U.S. has invested approximately US$ 77.04 million to fund environmental cooperation with governments of the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR). This funding is helping the CAFTA-DR countries advance in the following four programmatic areas:

- Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws;
- Biodiversity and Conservation;
- Market-based Conservation; and
- Improved Private Sector Performance.

To support progress in these areas, the Environmental Cooperation Agreement (ECA) (Article IV) requires that the Environmental Cooperation Commission (ECC), in addition to establishing priorities for cooperative activities, be responsible for examining and evaluating the cooperative activities under the Agreement. The ECA highlights as well that as the Commission periodically examines and evaluates cooperative programs, projects and activities, it shall seek and consider input from relevant international organizations and other relevant stakeholders, regarding how best to ensure that it is accurately monitoring progress.

The Organization of American States – Department of Sustainable Development (OAS-DSD) is assisting the CAFTA-DR countries in evaluating if and how the activities carried out by the countries in the region are contributing towards the achievement of the priorities established by the parties. For this purpose, OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators.

The objective of this Second Evaluation Report is to measure, based on performance indicators, the impact of the activities implemented as part of the environmental cooperation in order to achieve the goals established by the CAFTA-DR parties in each of the four programmatic areas.

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1.1 Background

On February 18th, 2005, the CAFTA-DR Parties[1] signed the ECA where they agreed to "cooperate to protect, improve and conserve the environment, including natural resources." They also came to an understanding that the objective of the ECA was to "establish a framework for such cooperation among the Parties." The ECA builds on previous environmental capacity building efforts in the region. Among its innovative features, the ECA includes provisions for establishing benchmarks to identify short-, medium-, and long-term goals for improving environmental protection in the region.

The success of the environmental cooperation depends on the ability of the Parties to successfully execute specific activities with measurable results within the ECA and its priorities. In particular, it depends on their ability to advance in the achievement of their long-term environmental goals pursuant to ECA priorities (article V), and four programmatic areas:

- ***Priorities***:
  - Strengthening each Party's environmental management systems, including reinforcing institutional and legal frameworks and the capacity to develop, implement, administer and enforce environmental laws, regulations, standards and policies;
  - Developing and promoting incentives and other flexible and voluntary mechanisms in order to encourage environmental protection, including the development of market-based initiatives and economic incentives for environmental management;
  - Fostering partnerships to address current or emerging conservation and management issues, including personnel training and capacity building;
  - Conserving and managing shared, migratory, and endangered species in international commercial trade and management of marine and terrestrial parks and other protected areas;
  - Exchanging information on domestic implementation of multilateral environmental agreements that all the Parties have ratified;
  - Promoting best practices leading to sustainable management of the environment;
  - Facilitating technology development and transfer and training to promote the use, proper operation and maintenance of clean production technologies;
  - Developing and promoting environmentally beneficial goods and services;
  - Building capacity to promote public participation in the process of environmental decision-making;
  - Exchanging information and experiences among Parties wishing to perform environmental reviews, including reviews of trade agreements, at the national level;
  - Any other areas for environmental cooperation on which the Parties may agree.

- ***Programmatic areas:***
  - Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws;
  - Biodiversity and Conservation;
  - Market-Based Conservation; and
  - Improved Private Sector Performance.

Currently, funding has been appropriated to address these priorities. At the same time, the countries of the region are implementing activities, striving to achieve the following long-term goals:

- ***Compliance with CAFTA-DR Environment Chapter (Chapter 17) obligations:***
  - To ensure that CAFTA-DR ECA Parties' environmental laws and policies provide for and encourage high levels of environmental protection;
  - To effectively enforce their environmental laws;
  - To ensure that judicial, quasi-judicial, or administrative proceedings are available to sanction or remedy violations of environmental laws;

[1] Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and the U.S.

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- Improved protection and conservation of the environment, including natural resources;
- Transparency and public participation in environmental decision-making; and
- An improved culture of environmental protection and compliance with environmental laws through, among other things, the promotion of economic opportunities, voluntary measures to enhance environmental performance, and job creation.

In December 2009, the OAS-DSD presented the First Evaluation Report in which qualitative findings of accomplishments of the ECP were reflected. The report also featured lessons learned and recommendations that were taken into consideration to a certain extent by the CAFTA-DR stakeholders, resulting in a positive progress in the implementation of the Environmental Cooperation Program (ECP).

1.2 Methodology

The following describes the steps and methodology used to undertake the evaluation:

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- *Preparation of Performance Measurement Framework (PMF)* – From October 2009 to July 2010, the OAS-DSD drafted PMFs for each CAFTA-DR country. The PMFs included the identification of performance indicators per output. Indicators were developed to help identify some of the key variables related to the expected results that can be measured over time.

In addition, two rounds of country visits were conducted within this period for consultations with Government Points of Contact (POCs), beneficiaries and implementing agencies[2] to perform a review of outputs and results, and to present the Results-Based Management (RBM) methodology being used for the monitoring and evaluation process of the CAFTA-DR environmental cooperation. The objective of these rounds of country visits were to:

- Familiarize the CAFTA-DR stakeholders with RBM principles;
- Present the main components for the design and application of the tools to be used in the monitoring and evaluation process of the CAFTA-DR ECA (i.e. the PMF);
- Finalize review of performance indicators; and
- Conduct research and survey regarding baseline data and information based on the identified indicators.

The OAS-DSD also visited national institutions and other agencies and met with relevant stakeholders in order to identify additional baseline data and information that is required for monitoring.[3]

- In-depth document review – A review of quarterly narrative reports submitted by implementing agencies was conducted in October and November 2010. These reports comprised quarterly execution periods between 2009 and 2010 primarily. A complete list of reports reviewed is provided in Annex 3.

- Interviews and field observations – Field observations and visits[4] were conducted in Costa Rica, El Salvador and Nicaragua in order to triangulate some of the findings from the documents and reports reviewed. Specifically, field projects related to market-based conservation and biodiversity protection from the United States Forest Service (USFS), Humane Society International (HSI) and Rainforest Alliance were visited in Nicaragua and Costa Rica. In addition, the team visited Instant Products of Central America (PROINCA), in El Salvador. A series of interviews were conducted with key project stakeholders,[5] including:

  - The POCs of each CAFTA-DR country;
  - Coordinating agencies (i.e. the Department of State – Bureau of Oceans and International Environmental Scientific Affairs (DOS/OES) and the United States Agency for International Development (USAID));
  - Implementing agencies; and
  - Targeted beneficiaries.

[2] Please refer to Annex 2 for a list of POCs and implementing agencies involved in CAFTA-DR.

[3] Baseline information is key for measuring changes in the environment. However, the availability of environmental baseline information for the region is scarce, particularly for issues related to Themes A, C and D. Nonetheless, the OAS-DSD performed a due diligence process to collect baseline data from several relevant publications on environment, trade and sustainable development in the region:
Hernán Blanco, et al., Globalización y Medio Ambiente: Lecciones desde las Américas (RIDES-GDAE, 2005). Alicia Bárcena, et al., El Progreso de América Latina y el Caribe hacia los Objetivos de Desarrollo del Milenio. Desafíos para lograrlos con igualdad (United Nations, 2010). CCAD, State of the Environment and Natural Resources in Central America. (1998). The Economist, Pocket World in Figures 2011 (2010). José Luis Machinea, et al., Objetivos de Desarrollo del Milenio: Una Mirada desde América Latina y el Caribe (United Nations, 2005). UNEP, Environment Outlook for Latin America and the Caribbean: GEO LAC 3, 2009 Edition (2010). United Nations, Trade and Environment Review 2006 (United Nations, 2006).

[4] Highlights of the field visits are found in Annex 1.

[5] Please refer to Annex 4 for a list of interviewees. The questions used to conduct the interviews are found in Annex 5.

Interviews were conducted to provide additional contextual information to complement quantitative data analysis.

- Data analysis – Based on the review of documents and information on hand, an analysis was conducted to provide a regional snapshot of results achieved since the first evaluation. Findings from the first evaluation were also considered and factored into this analysis. It should be noted that analysis did not involve the use of baseline data due to challenges associated with the availability of information. Where possible, data used in this report has been consolidated.

The OAS-DSD designed the methodology used to conduct this evaluation with key elements of different RBM or Official Development Assistance (ODA) evaluation methodologies, including those applied by the Organisation for Economic Co-operation and Development (OECD) to evaluate development assistance. In this light, this report assesses, to the extent possible, the evaluation against criteria of relevance, efficiency, effectiveness and sustainability of the ongoing and completed activities. To ensure applicability, the OAS-DSD tailored these criteria to the nature of the environmental cooperation currently under implementation:

- In order to address relevance, this report seeks to analyze the extent to which the activities being implemented are pertinent or significant with regards to attaining the related outputs. This is accomplished by analyzing:
  - The relationship between the ECP and national environmental goals;
  - Activities and outputs;
  - The complementarity between expected results and joint efforts among the main ECA stakeholders;
  - The level of awareness from local stakeholders;
  - The value added of the ECP with respect to other environmental cooperation programs; and
  - The rationale behind the design of the ECP's activities.

- Efficiency is a measure of how well inputs (e.g. funds, expertise, and time) are converted into outputs. In other words, efficiency measures the outputs, qualitative and quantitative, achieved as a result of inputs. To address these issues, this report considers:
  - The level of application of past recommendations from the First Evaluation Report of the CAFTA-DR ECP;
  - The coherence between implementing agencies' expertise and environmental needs;
  - The coherence of the budget with planned activities; The funding modalities and delivery mechanisms;
  - Management of the ECP;
  - The ECP website;
  - The use of RBM practices; and
  - The use of monitoring and evaluation tools.

- Effectiveness is defined as the extent to which a project or program attains its objectives and delivers planned outputs. To evaluate the contribution of the cooperation to the short- and long-term goals, this report:
  - Presents an overall assessment of benefits for targeted beneficiaries;
  - Addresses public participation in the implementation of the program;
  - Discusses some unintended results of the ECP; and
  - Present the results achieved by overall goal in the national PMFs.

- Finally, sustainability concerns the measurement of whether the benefits of an activity are likely to continue after donor funding is withdrawn. To address this criterion, this evaluation report examines the principal actions taken by implementing agencies and POCs to guarantee the continuity of the projects and programs.

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1.3 Limitations of the Evaluation

During the evaluation process, several challenges were faced:

- *Missing data and reports* – In several instances, the evaluators were unable to determine the levels of changes since the onset of interventions. This was partly due to missing data, but also to absence of complete sets of reports from implementing agencies. To the extent possible, the evaluation presents data that are considered reliable. However, caution is warranted for the interpretation of data, as some figures may apply to specific quarters and not be representative of cumulative results.

- *Data reporting* – In retrospect, the OAS-DSD's proposed reporting format for CAFTA-DR results and indicators turned out to be of limited use. Very few implementing agencies used it in a way that allowed the OAS-DSD to analyze data taken directly from the recommended table format. In most cases, the OAS-DSD had to analyze all the reports submitted to DOS/OES and USAID and to extract relevant data for the PMFs designed during the year. This slowed down the analysis process and severely complicated data comparison and aggregation at the regional level. That said, the OAS-DSD understands the constraints that implementing agencies face in terms of reporting. A closer accompaniment of the implementing agencies by the OAS-DSD evaluation team might be necessary to succeed in systematic reporting on CAFTA-DR results and indicators.

- *Analysis of goal-level results* – Results for the intermediate outcome levels are not included in the evaluation, as monitoring at this level has not yet occurred in the CAFTA-DR countries. The complete analysis of results achieved so far is limited to quarterly data alone for lower-level results (outputs).

- *Suspension of Honduras* – In June 2009, the Honduran State's right to participate in the Organization of American States (OAS) was suspended. Starting in July 2009, this situation prevented the OAS-DSD from conducting the monitoring and evaluation of activities in this country. Consequently, as presented in this report, the region's global progress with respect to environmental matters identified in the ECA framework does not reflect the achievements of Honduras to date.

II. FINDINGS AND ANALYSES

The findings and analyses discussed in this part of the report pertain to five key criteria that were examined by the OAS-DSD, namely: relevance, appropriateness of design, efficiency, effectiveness and results achieved, as well as sustainability. The facts and observations outlined in this chapter address the various questions that were featured in the evaluation matrix, found in Annex 6.

2.1 Relevance

This section examines the following topics: the ECP's relevance in light of national environmental goals; the relevance of activities and outputs; the complementarity between expected results and joint efforts among the main ECA stakeholders; the level of awareness from local stakeholders; and the value added of the CAFTA-DR ECP with respect to other environmental cooperation programs.

2.1.1 Environmental Cooperation Program (ECP) and National Environmental Goals

The CAFTA-DR countries initially established their long-term environmental goals when the themes for the cooperation were identified within the ECA and further in the process of developing the Road Map[6]. However, the definition of these goals has been an evolving process that has required acknowledgement that all long-term environmental goals cannot be met with the ECP, but also that significant efforts are needed to ensure that activities executed by implementing agencies are consistent with the overarching environmental goals of each country for relevance purposes.

There have been some adjustments to the priorities selected at the beginning of the cooperation, thus stakeholders have learned to work together in improving the planning and follow-up process in general. Efforts have also been made towards ensuring that the cooperation agenda has clear links between trade and environment.

Planning and coordination are key enabling factors for the successful achievement of long-term goals. Consideration of these factors has contributed to strengthening the public sector, institutional capacity, and management of trade-related authorities at the country level. A myriad of officials have been trained together with personnel from institutions that have worked in partnership with the ministries of environment of the CAFTA-DR countries in different capacities. Assistance to strengthen the development of specific programs and projects, which are related to voluntary mechanisms for cleaner production and the importance of information management systems (IMS), has also been highlighted. Overall, these accomplishments speak to the relevance and concrete results of the ECP.

2.1.2 Relevance of Activities and Outputs

The CAFTA-DR ECP is based on the countries' priorities and the needs that were solicited by government authorities, in addition to a consultation and survey process with all the stakeholders to incorporate national priorities into regional priorities. The activities and outputs of the program have generally been consistent with the intended environmental impacts and effects. However, in certain cases, these impacts have proved difficult to measure or determine—particularly as they relate to legal instruments—, as impacts in this area can be better measured in the long-term.

2.1.3 Expected Results and Joint Efforts among Main ECA Stakeholders

The early stages of the program were extremely challenging due to the ambitious task of managing efforts within six countries, with somewhat different environmental priorities that required streamlining,

[6] Based on the need to identify measurable outcomes and outputs, the Parties developed the Road Map to Results document aiming to qualify and quantify the results from ECA efforts in the region through the end of 2010.

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aiming to achieve regional collaboration. However, despite it being a long process, once the challenges were overcome, the program began to flourish.

Consistency and complementarity are areas that governments should be cognizant of, given their role in the development planning process and access to cooperation funds from other sources. Accordingly, POCs should provide follow-up and guidance to the relevant instances in their governments, with a view of maximizing benefits of the ECP. That said, without access to decision makers and the proper IMS, it is not realistic for POCs to be responsible for consistency and complementarity of the ECP, due to (among other factors) their additional responsibilities within their respective ministries.

However, implementing agencies also have a role in ensuring consistency and complementarity. Some of them complement and coordinate efforts through conference calls and annual meetings with other agencies that implement activities in the same themes or sub-themes. These coordination efforts allow having a greater impact and developing partnerships.

One mechanism that has proven to give good results, as evidenced by several of the success stories included in this report, is the presence of a program representative or coordinator funded by the USAID-Central American Commission for Environment and Development (CCAD) partnership, within the ministry of environment in each country, to act as a means of following up on cooperation and facilitating the implementation of activities in the countries. Unfortunately, this is not the case for the Dominican Republic, where the process for selecting this representative has been delayed.

2.1.4 Level of Awareness from Local Stakeholders on CAFTA-DR ECP

At the beginning of the program, outreach was challenging because there were no concrete success stories yet to share with counterparts, including local communities and the private sector, among others. However, the recent natural course of the program has resulted in success stories and outputs that have facilitated outreach performance, particularly within the private sector.

Both implementing agencies and POCs believe that the familiarity with the CAFTA-DR ECP in local institutions and community-based organizations (CBOs) is developing well and has increased. While not all communities realize the exact benefits of the CAFTA-DR ECP, they are aware of its existence. During the implementation process, implementing agencies ensure beneficiaries from different sectors are aware that the activities being implemented are part of the CAFTA-DR ECP and the source of funding. Positive feedback has been received from implementing agencies such as HSI regarding their close work with local partners, communities, national and regional organizations and universities in implementing activities and reviewing progress towards achieving the goals of the ECP.

Promoting the visibility of CAFTA-DR would help improve the communities' perception of its existence and highlight more concrete results. Public events to showcase CAFTA-DR environmental successes have also been effective. This was the case of the partnerships fair hosted in Costa Rica in January 2010, in which implementing agencies showcased their work in the region under the ECP.

Furthermore, for the next implementing period, the EPA will be implementing a new project on public participation and access to environmental information, to foster the participation of civil society that is actively engaged in environmental decision-making and in helping to enforce environmental laws.

2.1.5 Value Added of the CAFTA-DR ECP

Many implementing agencies surveyed agreed that the value added of this environmental program lies in the support it provides to build on what is already in existence (i.e. older initiatives executed in the region such as the Regional Environmental Program for Central America (PROARCA)). Also, the involvement of

CCAD as an implementing agency offers added value, due to its experience in the region and portfolio of work carried out with additional funding from other donors.

Further added value of the ECP lies in the program's focus on national priorities and on commitment and political support seen in the CAFTA-DR country governments. CAFTA-DR has also helped to focus existing activities and identify initiatives with potential for greater impact in the region. From the different interviews that were conducted, it is clear that, as a result of the CAFTA-DR ECP, South-South cooperation has been strengthened. Furthermore, under Theme D, activities have been executed with a sector focus (i.e. dairy, agricultural) that has led to shared responsibility by beneficiaries and has yielded greater impact.

Additionally, the multiple scopes (national, bi-national and regional) of activities conducted under the ECP have allowed the necessary flexibility to meet the needs of the countries at different levels.

Finally, the fact that the ECP is based on binding obligations incurred within the Chapter 17 of CAFTA-DR and the ECA provides stability and continuity that other programs of similar nature do not have, are contributing factors in support of long-term national objectives.

2.2 Appropriateness of Design

This section briefly discusses the process and rationale behind the design of the different activities of the ECP.

In some countries, different national authorities held meetings to decide the program's priorities. In order to design the different activities of the ECP, implementing agencies then met with all CAFTA-DR countries to narrow down these priorities. Despite an initial friction, cooperation improved once preliminary relationships were established.

In some cases, implementing agencies also met with civil society, national and regional institutions, authorities and local NGOs to solicit input regarding the design of the activities, as well as conducted needs assessments for certain aspects of the program. For each part of the program, they regularly met with the stakeholders to ensure they were collaborating and that the present and future activities correspond to the countries' needs.

An important lesson regarding the design and implementation of the ECP is the fact that political will is essential to the implementation of the technical aspects of the program. Furthermore, incorporation of POCs and consultation with other key government stakeholders in the decision-making process regarding activities that are to be implemented is a must.

2.3 Efficiency

This section examines the following topics: past recommendations of the first CAFTA-DR evaluation; the This section examines the following topics: past recommendations of the first CAFTA-DR evaluation; the coherence between implementing agencies' expertise and environmental priorities; the coherence of the budget with the planned activities and the ECP; funding modalities and delivery mechanisms; efficiency in the administration of the ECP; the ECP website; RBM practices; as well as the use of monitoring and evaluation tools.

2.3.1 Past Recommendations of the First CAFTA-DR Evaluation

Further to interviews, implementing agencies found different levels of usefulness for the first CAFTA-DR Evaluation report. Most agreed that while the report was critical of the cooperation, it demonstrated the

reality of the situation. Furthermore, it helped to focus the direction of the program and provided the implementing agencies a logical framework to follow this renewed direction towards efficiency. POCs also found the report critical in terms of streamlining what is being accomplished through the ECP.

2.3.2 Coherence between Implementing Agency and Environmental Priorities

Interviews, field visits and document review confirm that implementing agencies have adequate expertise to address the priorities and needs that have been identified within the ECP. Furthermore, there is high regard for the experts working with the implementing agencies in particular in the area of environmental legislation, where the expertise made available to the countries has enabled building bridges with different sectors that support environmental compliance.

2.3.3 Coherence of the Budget with the Planned Activities and the ECP

In general interviews reflect an overall coherence between the budget and planned activities under the ECP. Nonetheless, they also reflect some concern regarding the infrastructure and capacity to properly absorb the funds. However, in the few cases that funding from one grant cycle was not used, implementing agencies have reprogrammed it with the proper approval for additional program activities in the next grant cycle.

During interviews, implementing agencies mentioned that a level of strategic planning was necessary to place some of the responsibility on the countries. Additionally, at the country level, it would be necessary to articulate and define the priority areas within the program that need support and continued funding. This need is reflected in the first evaluation report presented by OAS-DSD and is further emphasized by the fact that funding has decreased from US$18.5 million in 2006 to US$12.5 million in 2010. Starting from the period comprised in this report, priorities in the ECP should be refocused to address decreased funding.

Of the US$10 million allocated for Fiscal Year 2009 to support the program, the DOS/OES received US$2.5 million (25%) while USAID received US$7.5 million (75%). Furthermore, of the 25 percent managed by DOS/OES, US$1.2 million was given to the program, while the rest was allocated to support specific CAFTA-DR obligations such as administration, support to the Secretariat for Environmental Matters (SEM)[7] and monitoring and evaluation. Currently, the total funding for CAFTA-DR ECP, which is approximately US$ 77.04 million, is at an important junction. In addressing funding, together with the requirements within Chapter 17 and other obligations, it will be necessary to analyze lessons learned for replication.

In light of the reduced funding it is also essential to ensure that the functions of monitoring and evaluation are not neglected, given their positive contribution to streamlining the ECP and its effective management. To date US$745,328 has been allocated for monitoring progress of the ECP.

Given the diversity of interventions within the ECP and multiplicity of implementing agencies, it is not practical to prescribe the percentage of the total budget of every program or project that should be allocated for monitoring and evaluation actions. However it is relevant to note that anywhere between 3 and 10% of the total project/program budget is what experts in the field usually recommend. A general rule of thumb is that the monitoring and evaluation budget should not be so small as to compromise the accuracy and credibility of results, but neither should it divert project resources to the extent that programming is impaired.[8]

[7] Details on the SEM are found in Annex 7.

[8] See Chaplowe, Scott G. 2008. Monitoring and Evaluation Planning. American Red Cross/CRS M&E Module Series. American Red Cross and Catholic Relief Services (CRS), Washington, DC and Baltimore, MD; World Bank, Independent Evaluation Group (IEG). 2008. International Program for Development Evaluation Training. See also Course modules provide an overview of key M&E concepts and practices. Online: <http://www.worldbank.org/oed/ipdet/modules.html>.

2.3.4 Funding Modalities and Delivery Mechanisms

Timeliness has been a difficult challenge for implementing agencies and POCs. The yearly appropriations process and timeline does not allow for long-term plans and consequently, it is difficult to think about long-term outcomes. This challenge is particularly noted in the case of the United States government (USG) implementing agencies. In spite of this, one implementing agency has begun to alleviate this problem by extending project periods for two years, which in turn provides more flexibility when funding arrives late.

Approval processes and action memos at all levels serve to further demonstrate issues with funding modalities and delivery mechanisms. Economic Support Funds (ESF), for instance, are assigned to the Bureau for Western Hemisphere Affairs (WHA), and development assistance funds to USAID. Interviews reveal that insufficient management amongst coordinating agencies of the program can result in delays in the delivery of funding to implementing agencies, given the different levels and modalities of approvals including by congress. The late arrival of funds can even complicate budget planning and programming.

Finally, interviews also revealed occasional delays of up to a year in the approval of government waivers that have hampered project execution.

Challenges in this area seem to require some attention by coordinating agencies in order to improve efficiency.

2.3.5 Efficiency in the Administration of the ECP

Implementing agencies that were interviewed found that the program's administration in general has been efficient, thus given the challenges posed by the myriad of stakeholders and interests, there is always room for improvement of inter-agency communication at the funding and decision-making level.

As previously noted, POCs have expressed that the administration of the ECP has, in general, been efficient despite certain issues with communication. Interviews with POCs reflect the importance of being able to discuss the annual operational plan prior to presenting the plan to the Ministers, which would allow regional projects that may not need implementation in certain countries at the time to be more efficiently distributed. In light of this comment, it seems that the cooperation has helped to strengthen links between the ministries of environment and trade of each country and at the regional level.

That said, it is relevant to note that changes in grant officers and the different requirements for reporting have presented challenges with respect to efficiency according to the view of various implementing agencies. Consequently, it is relevant to take into account recommendations from implementing agencies in this regard including the establishment of a clear communication strategy with roles and responsibilities at the beginning of the program. Through this strategy, the administration of the program will be more uniformly managed on all levels and among all actors, making projects less vulnerable to this kind of changes.

2.3.6 ECP website

While field visits and interviews reflect great interest in the use of this tool in support of program efficiency, they also reflect that it is not being used to the fullest extent, as implementing agencies continue to rely on their own websites for information management related to the ECP. The incorporation of new technical features that allow uploading, for example, by implementing agencies and other stakeholders could improve utility and support efficiency.

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2.3.7 RBM and Use of Monitoring and Evaluation Tools

The use of RBM has been a strong thrust of CAFTA-DR interventions. Interviews conducted with the implementing agencies have shown a relative understanding of RBM principles and some effort to use the methodology for monitoring and reporting. Monitoring region-wide programs involving a variety of implementing agencies and stakeholders is always fraught with challenges. The CAFTA-DR ECP is no exception and various challenges in data management, consolidation, validity, and reliability of data have added to these difficulties.

Despite this, overall, the use of systematic approaches, reporting on results and the use of monitoring tools is well on its way. In the case of CCAD, HSI, DOI, EPA, ELE, Rainforest Alliance, TechnoServe, USFS and USAID, RBM principles were utilized to build a clear monitoring strategy with results, indicators, targets and data collection tools. The implementing agencies tracked progress of their interventions regularly. Most implementing agencies reported that through regular contact via phone, e-mail, and site visits, headquarters' staff, field staff, and other implementing agencies have been kept informed of the progress of the programs.

One of the primary difficulties however for the CAFTA-DR ECP has been demonstrating clear changes in terms of practices, behaviors or environmental improvements, as a result of the efforts in the region. This is not due to the lack of interventions or progress, but more so is a result of inadequate monitoring systems and standardization of reporting and monitoring tools all of which would assist implementing agencies. The monitoring and reporting process at the country and implementing agency levels is still heavily activity-focused. While it is clear there has been progress since the last evaluation, key steps need to be taken to remedy these gaps. It is expected that in 2011, progress on the M&E front will be made as CAFTA-DR stakeholders implement more robust RBM approaches. Efforts to use Results-Based Management have been made in 2010 through the development of national and regional PMFs. At the same time, the PMF is still in draft form and indicators at the intermediate level have yet to be agreed upon.

While it is commendable that a "bottom-up" approach in the implementation of the CAFTA-DR ECP has been used, which has allowed the implementing agencies a certain level of autonomy and flexibility to report on their interventions, the lack of more standardized tools for data collection and systems for management of data and reporting has resulted in challenges in demonstrating progress. Differences in reporting formats have complicated the process of data comparison and analysis. Most of the available data did not clearly fit the indicators agreed upon in the countries' PMFs, hence a natural process of decanting has taken place. The consistency in the use of these tools tended to vary among implementing agencies. Discrepancies existed, however, due to incompatibility in reporting standards between implementing agencies. Nonetheless, progress towards the objective of standardizing data collection within the ECP has been made and implementing agencies such as USFS, Rainforest Alliance, TechnoServe, DOI, HSI, CCAD and ELE have made a laudable effort to provide data following the uniform template provided for the "regional CAFTA-DR" reporting. In these cases, data was easier to extract and analyze using the national and regional PMFs. It will be important that, as the ECP moves forward, consistent reporting time periods are adhered to. Most reporting is done quarterly; however, a consolidation of one annual report would greatly assist in providing cumulative information.

The OAS-DSD considered using templates directly based on a more streamlined results framework in which individual agencies report directly on outputs and outcomes which are relevant to their interventions. Without taking away the freedom of each implementing agency to report as it was convened with the coordinating agencies, the OAS-DSD will strongly advocate for the use of a reviewed template for the CAFTA-DR ECP purpose. This tool should also be developed in a way which equally facilitates the provision of more contextual and qualitative information from individual agencies. In doing so, the OAS-DSD will be able to consolidate information which is more comparable and ensure consistency to a common

results framework.

The current bank of indicators is also very much process and input oriented, limiting the ability of the OAS-DSD to demonstrate change at higher levels. There is a need to reduce the number of current indicators in the national/regional PMFs and bring the level of analysis one step further. It would be possible to imagine in the coming years the use of broader indicators by the implementing agencies, showing a deeper progress regionally on the targeted areas of work. This will highly depend on the consensus that could be drawn on the choice of these indicators, who would/could report on them, and how realistic it would be to attribute the change in the measurement of these indicators to the CAFTA-DR projects. The issue of measuring intermediate level indicators will be deepened in the upcoming monitoring/evaluation (2011-2012).

The development of country and regional monitoring tools also proved to be quite challenging, given the important number of stakeholders and the cross-cutting aspects of many interventions in relation to the results. Because of that, the OAS-DSD understands the difficult context in which the implementing agencies have to report using this monitoring tool. There are a lot of expected results and without any doubt, too many indicators, which could be better streamlined. The scope of the program is vast, and so is the number of stakeholders. The OAS-DSD should work in the upcoming ECP execution period to streamline the mapping process between individual projects to the regional ones to which each agency contributes. Because of the interconnectedness of the interventions, there could be an additional effort to better scope the areas of work and the different results expected from the CAFTA-DR ECP.

Many indicators also proved to be only partially "SMART."[9] There is a clear need to work in the future with indicators which measure more long-term expected results as opposed to focus on inputs by each of the implementing agencies. Nonetheless, the use of some operational indicators is understandable, mostly at the beginning of a program and which respond contextually to individual interventions. The OAS-DSD acknowledges the use of some very good indicators, for example, those related to sustainable agriculture (Theme C).

However, the program still needs to enhance its focus on indicators that demonstrate environmental change. For example, the CITES component under Theme B does not contain any indicators related to the listing of species under the Convention or the percentage of illegal poaching and/or regulated trade/purchases. While these types of indicators are more difficult to measure, their application at the intermediate level would increase the ability of implementing agencies to demonstrate the progress, or lack thereof, of the implementation of CITES; as knowing the extent to which protection is taking place is more valuable to demonstrating this progress than knowing the extent of training sessions.

In addition, there are opportunities to streamline indicators so that they are used by multiple implementing agencies through disaggregation by agency, country, and sector. The reasoning behind the extensive amount of indicators lies in the lack of coordinated efforts in the results achieved by CITES and as a result, it is important to ensure that each implementing agency working on CITES develops uniform indicators, with adequate data collection tools to measure them in a more systematic and reliable manner. This would reduce the number of indicators needed and ensure that indicators are selected more strategically.

The OAS-DSD also acknowledges the importance for implementing agencies in future cycles to conduct baseline studies and provide baseline information in order to demonstrate change since the beginning of the intervention. Baseline data has not been provided in a systematic way, and the reliability of much of the baseline data is questionable due to the lack of a specific period to which the data corresponds. As such, the achievement of results has been often assessed without comparing it to initial baseline data.

Some technical assistance may be required for implementing agencies to conduct such studies. The

[9] Specific, measurable, achievable, relevant, time-bound.

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question of providing more assistance to the implementing agencies for baseline collection is something that should be discussed for the upcoming fiscal year as this is an important element to succeed with monitoring activities and the use of RBM as well as in highlighting program results. Meanwhile, the OAS-DSD will continue to work jointly with CAFTA-DR stakeholders towards measuring regional impacts and developing tools that will facilitate results-based reporting. In addition, direct support as implementing agencies design projects and develop their own performance measurement frameworks could be provided. A clear example of this was demonstrated in Theme C with the selection of agriculture-based and value chain indicators. Efforts to select appropriate indicators could be pursued. Consultation of standardized resources from the Food and Agriculture Organization of the United Nations (FAO) is one way in which this can be remedied. Some implementing agencies have demonstrated a will to develop more standardized measurement practices, such as EPA, which works in a wide array of areas with already solid and internationally-recognized indicators.

The OAS-DSD also realizes the importance of having a centralized Information Management System (IMS) to manage incoming regional and national data. This would preferably be a user-friendly system, not technologically intensive, but a system that can facilitate consolidation and storage of data which is time-based and which would remedy the risk of double counting and validating inconsistent data. While it is clear that a lack of human resources to manage such a system could be an issue, installation of a simple stand-alone database which serves as a centralized IMS would be sufficient and would reduce piece-meal data which cannot be verified.

2.4 Effectiveness and Results Achieved

Following some introductory remarks, this section examines two topics: the overall assessment of benefits for targeted beneficiaries, and the unintended results of the ECP. The section then goes on to provide a systematic assessment of results achieved to date, and progress areas, divided by overall goals, sub-goals, intermediate and immediate results, as identified in the national PMFs and the regional PMF.

2.4.1 Overview

This section reviews issues pertaining to the effectiveness and achievement of results of the CAFTA-DR ECP during the time period (2009-2010).[10] It highlights the extent to which the program has achieved its objectives and progress on results. The section also provides recommendations to improve effectiveness, reporting, and the demonstration of results.

At the beginning of the ECP, the initial objectives were ambiguous and as a result, they were not adequately pursued. In conjunction with a lack of perspective, there were few indicators to provide feedback on and measure benchmarks. Presently, however, this ambiguity is diminishing and progress is continuously being made as a result of changes, including the greater involvement of ministers and high-level authorities, among others. Implementing agencies are now more confident that they are working towards the achievement of the goals and objectives of their work plans. Despite this, as previously mentioned, the expectation with regards to environmental outcomes should be adjusted to the reality of the program. Hence, greater awareness of the fact that the ECP is not a panacea should be pursued.

As mentioned, time has been one of the greatest challenges. On one hand, some implementing agencies have benefited from opportune extensions in their implementation periods. On the other hand however, there have been cases in which implementing agencies have had to redraft objectives to make them more realistic or achievable with regards to the available timeframes. Other factors or challenges hindering the achievement of objectives are of a political nature, including changes of governments and rotation of government officials in both the higher and technical levels. The political situation in Honduras, for

[10] However, some caution with interpretation of data is needed as in some cases figures correspond only to quarter periods for which reports or data where made available.

instance, was mentioned as a key challenge. In conjunction with these factors, implementing agencies were also affected by the ongoing financial crisis, time delays of the private sector in waiting for permission to carry out activities, and climate-related issues such as el Niño and la Niña.

2.4.2 Overall Assessment of Benefits for Targeted Beneficiaries

The cooperation through the ECP has cultivated progressive experiences and benefits, reinforcing the processes in place in particular for SMEs. This has also been done through images of sustainable trade through the promotion of CAFTA-DR activities. CAFTA-DR has supported the region's environmental legislation efforts for several years now, and the achievements resulting from the plethora of activities implemented illustrate the program's progress.

An example of this progress and the benefits to local communities is evident under Theme C and the Rainforest Alliance certified coffee program. Certified coffee producers under this program in the region have become especially proactive in explaining the benefits of a certified product to producers who are not part of the program. The proactive nature of these producers thus highlights the extent to which achievements have not only directly impacted the initially targeted beneficiaries, but have also indirectly impacted a group of secondary beneficiaries.

The consistency which HSI works in collaboration with governments, the same communities, local partners and cooperatives throughout the program, seems to reinforce the progressive benefits of initially targeted beneficiaries. In the initial stages, USFS undertook a variety of consultations with targeted beneficiaries regarding best approaches and types of support required to properly implement their projects. For instance, in the area of Miraflor in Nicaragua, co-management of projects between MARENA and Asociación FORO MIRAFLOR, enables USFS to adequately target beneficiaries due to the close relationships with all of the producers as well as the communities' leaders. Additionally, SAF project technicians facilitate benefits through identifying the local producers' needs and then monitoring the process as a whole.

With respect to the training sessions, the issue is not determining the number of people who have participated in a session; but rather, identifying the longer-term benefits this training can produce. For example, government officials who leave to seek higher paying jobs following the training complicate the measurement of training benefits. In the case of officials who continue to work for the government, evaluations regarding what they have learned and what they are applying have proved difficult to conduct. These challenges highlight the inherent problem with the sustainability of the training sessions provided, as well as the selection of the individuals who are to be trained. Regarding this selection, one solution is to develop a profile for those who are going to receive the training. Another solution is to include universities in the training sessions and incorporate the training into the curriculum. In spite of these problems, training sessions as a whole have been successful. In light of this success, stakeholders agreed that the trainers must stop being trained and, instead, begin to train.

2.4.3 Unintended Results of the ECP

Under the implementation of the program, national authorities began to meet more often, which helped in the coordination of their activities, not only regarding CAFTA-DR ECP, but also other inter-agency programs. This has resulted in further coherence as previously mentioned with other national development programs.

Other results include the increasing use of previously developed tools, such as NEPAssist, as well as follow-up to the EIA process. However, despite this increase, it is important to note that these programs were not initially designed as mechanisms of public participation. This is the case with regards to the private sector as well. In the initial stages of the program, this sector was reluctant to participate; however, as

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they began to see the results, they started collaborating more within the ECP, and more specifically in cleaner production (P+L).

A program of small hotels being implemented by ELE has produced another surprising, yet successful, result. In conjunction with this success, the high participation of buyers in the framework of the "Alianzas Programs" was also not expected.

As a result of the CITES program implemented under HSI, some local organizations have continued replicating training or outreach activities originally funded by the program as well. In addition, as a result of the cacao program, the local organizations with whom HSI works have gone beyond the scope of the program and extended the impact to more producers and have cost-shared additional local technicians. Overall, more organizations and multinational corporations, such as Wal-Mart, are beginning to see the economic benefit of making adjustments under these programs. Furthermore, unintended discussions are being held among institutions like USTR and USAID, with which, historically, the DOS has not been involved, in order to bolster sustainable development priorities.

2.4.4 Results Achieved by Overall Goal and Sub-Goal in the National PMFs

Thanks to the use of national PMFs by the implementing agencies, it has been possible for this report to provide more details on the level of achievement of each goal and their associated immediate results at the output level. Once data had been collected from the narrative reports and analyzed at the national levels, an attempt has been made to aggregate data at the regional level to show and evaluate the level of change (or the direction in which the change is taking place) for the whole CAFTA-DR ECP.

Nevertheless, as stated previously, the OAS-DSD has encountered several challenges in demonstrating results due to: missing data and data that is at times regional and at times national; lack of standardized reporting from participating countries and implementing agencies; a still strong tendency to focus on activities; and an absence of a coherent IMS to consolidate data from a regional perspective. In addition, results for more intermediate outcome levels are not assessed systematically as reporting on indicators for this level has not yet been institutionalized in CAFTA-DR. As such, this section provides a snapshot of results achieved and progress on activities, where data was available.

Despite these shortcomings, it was not expected at this point that demonstrating results at the goal levels was possible as the process for implementing country-wide and regionally approved PMFs is still in progress. It is expected though that for next year, reporting could go beyond the output, using some additional indicators that would be at a broader level (intermediate outcome level). Before doing so, the OAS-DSD recognizes the importance of using indicators that are yielding consensus among all stakeholders and that are realistic. It is important to note also that if some implementing agencies have consolidated cumulative data for the OAS-DSD evaluators, most reports submitted contained quarterly data, which means that the cumulative quantification of results is probably greater in reality than what has been exposed here.

Lastly, before proceeding to review the contents of the section below, readers should take good note of the following two recurring limitations encountered throughout the data collection and analysis on achievement of results.

- It was not possible, at this stage, to report on intermediate level indicators, as progress is centered on reporting on immediate results and process indicators. That said, no data is provided herein on intermediate level indicators/results, unless there is information available that responds to such indicators.

- While data is presented, accuracy and reliability of data cannot be verified, and these figures should

be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter, as specified in the relevant narrative reports received.[11]

2.4.4.1 Goal A: To Strengthen Institutions for Effective Compliance and Enforcement of Environmental Legislation

Under this goal, the purpose is to strengthen environmental institutions, laws and policies, promote effective implementation and enforcement of these laws and policies, as well as the effective implementation of MEAs and the promotion of civil society engagement to ensure compliance with FTA obligations.

Overall, challenges were faced in determining or assessing the specific achievement of results at the Goal level due to lack of data and monitoring capacity of implementers to demonstrate if partnering institutions have enhanced capacity in the area of Environmental Impact Assessment (EIA). Generally however, in this area of the program EPA, USAID's Environmental and Labor Excellence Program (ELE) and the Central American Commission for Environment and Development (CCAD) have worked closely to: develop and implement environmental regulations in wastewater management, chemical and hazardous substances and EIAs; to improve the capacity of countries to effectively enforce environmental laws; to assist the private sector in complying with environmental obligations; and to increase public access to environmental data and information in CAFTA-DR countries. Gains have been made in the EIA review processes and implementation of the EIA tracking system, including certification for environmental auditors and registration of consultants in this area. To some degree, this can be attributed to the number of environmental audits being conducted more regularly. Overall, three model environmental regulations, policies and procedures in wastewater and/or chemical or hazardous substances and EIA were developed for CAFTA-DR countries.

SUB-GOAL A.1: TO STRENGTHEN ENVIRONMENTAL LEGISLATION,REGULATIONS AND ENVIRONMENTAL POLICIES

Sub-Goal A.1 – Result 1: Strengthened EIA Implementation Capacities, and Immediate Results 1.1, 1.2, and 1.3

Results at the sub-goal level do demonstrate a certain level of progress in the following areas: the strengthening of EIA procedures/processes; the certification of consultants/auditors through established procedures; the creation of tools to improve public awareness of these processes; and the practice of environmental auditing by knowledgeable auditors.

The main thrusts of strengthened EIA implementation capacities have been training of government reviewers, consultants and industry, development of EIA technical guidelines for priority sectors, introduction of tools for improving the efficiency and effectiveness of EIA review, and recommendations for strengthening EIA procedures and legal frameworks. In terms of capacity building in the Principles of EIA Review, EPA, the agency responsible for delivering the Principles of EIA Review course series in the five countries, delivered training to 287 persons through eight training deliveries and train the trainer events. Principally geared to government reviewers, the training also included private sector consultants and academics. Participant evaluations overwhelming documented that the training was particularly helpful to them in carrying out their functions more effectively and professionally.

ELE is developing self-tutorial EIA course in an interactive CD format which is linked to the Principles of EIA Review training course and is catered to each country's legislation and local context, and to their inspection and audit practices.

[11] Please refer to Annex 3.

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EIA under Criteria for Certification; EIA Train of Trainers; and EIA awareness workshop for industry leaders, was assisted logistically by both CCAD and ELE. Here, the focus has been on building capacity through direct training on three modules of EIA, including environmental law and ethics, industry standards and certification to various stakeholders, including the private sector. It is clear that there has been significant reach, with approximately 147 people benefiting from this training, across the CAFTA-DR countries. Based on the data available, it is unclear how many males and females were trained in each course offered as part of the series.

In terms of the design and dissemination of technical EIA review guidelines on a regional level, by sector (mining, energy and tourism), technical guidelines and terms of reference for the mining sector (encompass both metal and non-metal mining) were completed and will be published; energy sector guidelines are still being finalized and the tourism sector guidelines were postponed pending availability of funds. Seven regional meetings of experts were organized and held, three for mining, three for energy and one for tourism sectors, to develop the form and content of the guidelines. The Mining guidelines will now serve as a model for the other two, introducing Terms of Reference linked to the guidelines, for adaptation and adoption by countries, an emphasis on follow up mitigation and monitoring in commitments that are designed to be auditable and environmental management plans including contingencies for exceeding performance standards, natural and other hazards.

To increase the capacity of CAFTA-DR countries to efficiently access, integrate and analyze environmental, social and economic information to support the EIA process, there have been strides made with the deployment, by EPA, of the NEPAssist GIS analytical tool in El Salvador, Nicaragua, and the Dominican Republic. The ELE program advanced the capacity of the countries to track, manage and provide public transparency for the EIA process through the design and implementation of a tracking system for the Dominican Republic. An important achievement was the support given to Nicaragua's National System of Environmental Information, through providing codes that allow for the integration of NEPAssist data in MARENA's EIA tracking system (Environmental Evaluation Registry – RENEA),[12] which would result in more precise and efficient evaluations. In the Dominican Republic, the first two implementation phases of the EIA tracking system were completed, linking the GIS analytical tool with the transparency and accessibility of information on the EIA process achieved by the tracking system. Finally, EPA has drafted, with the EIA Directors, a working draft set of recommendations to be further explored with individual countries in the next phase of the program.

Importantly, it is difficult to determine how many projects and/or programs are properly categorized and implemented as a result of an adequate EIA process (review, implementation, categories, etc) so although capacity is enhanced through various media, implementation is still lacking and therefore, it is difficult to say whether the EIA review process is strengthened towards greater integration of those processes in project approvals.

Summary of Immediate Result 1.1, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 1.1 Strengthened review process for Environmental Impact	1.1.1 Number of technicians/ professionals trained in the region on principles of EIA review (disaggregated by sex and country)	287 professionals trained, in principles of EIA review
Assessments (EIA)	1.1.2 Number of technical guidelines per sector developed	1 set of guidelines and associated terms of reference in Mining (Tourism not being pursued until 2011 due to funding constraints, Energy not completed)
	1.1.3 Existence of a functioning SIG-EIA system	National Environmental Registry System in Nicaragua (RENEA) – EIA tracking system; NEPA Assist Tool (El Salvador, Nicaragua and Dominican Republic)

Assessments (EIA)	1.1.4 Number and type of instruments in place that make EIA review process more efficient	2 – regional Technical guide for environmental diagnostic studies (EDA), EIA procedural guide
	1.1.5 Number of projects that are adequately categorized in EIA	No data available

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Success Story 1: New Nicaragua National Environmental Assessment Register (RENEA) is Operating

With the support from CAFTA-DR environmental cooperation, Nicaragua designed the new National Environmental Assessment Register (RENEA) which allows to register all environmental assessment processes in the country rated in three categories: the Strategic Environmental Assessment for category 1 mega-projects; Environmental Impact Assessment for category 2 projects, and Environmental Appraisals made for category 3 projects, which are the most common type of projects.

Categories 1 and 2 permits are managed at MARENA's central level and category 3 projects are managed in the 17 territorial delegations and are the most numerous. This is a useful decision-making system because it provides updated information on the projects being developed and their locations. This information is intended to provide a cartographic overview of all permits issued in order to control each municipality environmental carrying capacity.

In addition, RENEA will facilitate keeping a register of consultants for environmental assessments, who must be certified through a training that is coordinated with the universities, and which will improve the quality of environmental management in the country.

Source: U.S. Agency for International Development (www.usaid.gov)

In terms of processes of certification and registration and the preparation of consultants/auditors, there is visible progress. Procedures of certification and registration are developed in three countries and are in the process of being developed in the Dominican Republic and are in the pre-approval stages in Costa Rica. Increasingly, a number of auditors and consultants are knowledgeable about said certification and registration processes. Although a model for registration of environmental service providers exists in Nicaragua, it only is nascent in the other countries and it is still unknown to what extent the model is successful.

Summary of Immediate Result 1.2, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 1.2 Established process of certification and registration for environmental consultants and/or auditors	1.2.1 Existence of procedures of certification and registration	Procedures exist in three countries (Costa Rica, El Salvador and Nicaragua)
	1.2.2 Number/percentage of consultants and auditors prepared for their certification and registration process	• Total: 113 auditors and consultants • 85 auditors trained (Costa Rica: 30; El Salvador: 20; Guatemala: 35 (see note); Nicaragua: in progress) • 28 consultants prepared for certification (El Salvador 5-day course on criteria for certification of consultants – 28 present: ½ male and ½ female)
	1.2.3 Existence of a functioning model for registration of environmental services providers (regional)	• 1 model exists (RENEA in Nicaragua) • In process of being • implemented in El Salvador, Guatemala; regulation not approved in Costa Rica

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter. This is particularly true here as Guatemala's Environmental Audit Unit planned its first course (July 2010) in certification of environmental auditors.

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Results on mechanisms for public participation in EIA processes are progressing, albeit slowly. In partnership with EPA, curriculum is being developed for the public participation in the processes and dissemination of knowledge to the public and civil society (in Costa Rica). The EIA tutorial CD—which features information on

EIA review process and its distribution to environmental authorities, consultants and the CCAD website—is considered a step towards improving the mechanisms for public participation during the EIA process. While data is not available for all CAFTA-DR countries in terms of environmental monitoring taking place, there is evidence that a good number of audits are being completed. For instance, in Costa Rica, 100% of targeted audits were conducted during the project time-frame.

Progress has been made in the development of instruments necessary to implement the environmental auditing model. Specifically, in Costa Rica and Nicaragua, where there are pending regulation proposals and in Guatemala, where instruments are designed, and in El Salvador, where three instruments are in place: Modification of Regulation; Audits Implementation Guide; and Audits Regulation. In terms of strengthening environmental monitoring, laboratory equipment and environmental information systems have been provided, courses on validation methods and uncertainty calculations as well as laboratory comparative testing in Nicaragua have been implemented.

Summary of Immediate Results 1.3 and 1.4, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 1.3 Developed/ improved mechanisms for public participation during the EIA process	1.3.1 Existence of guidelines for public participation during EIA process	In progress
Result 1.4 Implemented model for environmental auditing	1.4.1 Number of environmental audits performed by each country	• Costa Rica: 18, 100% progress. • El Salvador: 480 (see note), no target, Nicaragua: 6 in progress; Guatemala: in progress
	1.4.2 Existence of instruments to implement model	• Instruments designed and pending • Costa Rica and Nicaragua: pending regulation proposals • Guatemala: designed instruments • El Salvador: three instruments are in place: Modification of Regulation; Audits Implementation Guide; and Audits Regulation.

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter. Although there is good progress on environmental audits, it is difficult to determine the validity of this figure especially since the proposal for Environmental Audits and Environmental Service Providers is still being expected from MARN.

Success Story 2: Costa Rica Takes a Great Leap Forward on Environmental Audits

With support from CAFTA-DR Environmental Cooperation, the National Environmental Technical Secretariat (SETENA) designed an Environmental Audit Operational Procedures Manual. Consequently, an environmental audits process on businesses and project has begun. This project is now even more relevant with the recent establishment by SETENA of Environmental Assessment Studies (EDA) in Costa Rica, and their corresponding Environmental Adaptation Programs (PAA) and Accident Control and Prevention Program (PCPA), according to a report by the institution.

All these are important steps towards enhancement of SETENA's Environmental Control and Follow-up System, compliance with current regulations, and to ensure a healthy and ecologically balanced environment.

Previous to the CAFTA-DR environmental cooperation, environmental audits were contemplated by Costa Rica in its regulatory system; however, there was a lack of professionals and established procedures to enforce them. Now, the country has its own approved manual, trained auditors and a pilot project.
Source: U.S. Agency for International Development (www.usaid.gov)

Sub-Goal A.1 – Result 2: Improved Wastewater Management and Immediate Results 2.1, 2.2, 2.3, and 2.4.

Progress under this result, as part of the broader sub-goal of strengthening Environmental Legislation, Regulations and Environmental Policies, has focused in several different areas, first of which has been progress on the implementation of the Central American Regulation model in wastewater management through the various basic elements. A number of applicable elements are in the process of being implemented or are awaiting ratification, as is the case with Nicaragua's Reglamento para Vertidos de Aguas Residuales.

(Regulation for Wastewater Disposal). There are strong signs that CAFTA-DR countries have developed actions for the implementation of this model and its integration into national environmental regulatory frameworks, whether the actions are in development or awaiting approval. Actions/instruments are context-oriented and range from proposals for regulation modifications, regionally focused regulation (e.g. Lago de Atitlán in Guatemala which is highlighted in Success Story 3 below), or priority matrices (e.g. Dominican Republic and the matrix developed following EPA-Ministerio de Medio Ambiente y Recursos Naturales (MARENA) consultations).

Although there is no indication of a capacity building plan for wastewater treatment plant inspections in any of the countries, a consistent number of—and exceeding national targets—inspectors have been trained in inspection of wastewater treatment plants, even if it might be unknown how many are applying that knowledge, or if the training will bring about sustainable results, i.e. train-the-trainer approaches.

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Summary of Immediate Results 2.1 and 2.2, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 2.1 Model for wastewater management regulation (that the CAFTA-DR governments endorsed in 2005) implemented within the national environmental regulatory framework (regional)	2.1.1 Number of elements of the model for wastewater management selected in each country	• 47 elements selected • 8 in alignment with Central American Model Wastewater Regulation – El Salvador8 in alignment with Central American Regulation Model – Guatemala • 8 in alignment with Central American Regulation Model – Costa Rica • 8 in alignment with Central American Regulation Model – Dominican Republic
	2.1.2 Existence of instruments or actions for the implementation of the model	• Instruments and actions being modified, in process of approval or being implemented • Wastewater management economic tool developed for effluent management in the Dominican Republic
	2.1.3 Number of basic elements of the model for wastewater management implemented in national environmental laws	Same as indicator 2.1.1.
Result 2.2 Strengthened capacity for the inspection of wastewater treatment plants	2.2.1 Existence of capacity building plan for wastewater treatment plant inspections	No data available
	2.2.2 Number of inspectors who have received training in inspection of wastewater treatment plants and who are applying knowledge	• Total: 145 • 60 (El Salvador): 30 in plant inspections and 30 in bio-indicators • 20 (Guatemala) • 30 (Dominican Republic) • 8 (Nicaragua) + 35 inspectors trained in addressing technical wastewater issues/monitoring
	2.2.3 Number of inspectors trained to train in inspections (train-the-trainer)	No data available

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Another area of progress has been the elaboration and validation of sectoral performance standards in wastewater management and the transfer of the methodology for determining these standards, including the familiarization of the private sector with the best technologies in the region (CCAD). Capacity building workshops for the development of these standards and the promotion of best technologies were held in Nicaragua, Guatemala and El Salvador, with more than 90 participants from the various sectors. Additionally, some 145 technicians were trained across Costa Rica, El Salvador, Nicaragua and the Dominican Republic, in the use of the best technologies for the elaboration of wastewater performance standards.

All of the CAFTA-DR countries have already started the process of drafting new or reviewing existing regulations addressing water quality and wastewater management. To be most effective in the regional context, those regulations, norms and standards are being set at high levels of protection, based on common principles and criteria, but adapted to the specific conditions and available technologies in each country. EPA has provided technical assistance to the CAFTA-DR countries in the development of a regional model wastewater regulation, including a set of 11 basic elements to implement a wastewater management program. All of the countries have begun implementation of at least two basic elements and have been provided with a process to establish wastewater discharge parameters for key industrial sectors in the region. Nicaragua has developed a new comprehensive wastewater regulation incorporating criteria for best available technology in the country with the concept of gradual phase-in. It awaits presidential approval. EPA has also assisted with the development of an agreement in Costa Rica signed by three government institutions with wastewater management responsibilities to improve wastewater enforcement and compliance activities and to implement strategies to make better use of their limited resources. Such agreement is being shared with other countries in the region to assist them with the challenges of dual responsibilities among government institutions. EPA is also finishing up a manual on appropriate wastewater treatment for the region which will help environmental authorities make determinations in evaluating new development projects and having a better understanding of wastewater management options.

The other area of focus and progress has been a series of meetings to discuss International Organization for Standardization (ISO) measures and inter-laboratory comparison studies for chemistry and microbiology parameters with participating CAFTA-DR wastewater laboratories. Following a competition, the Environmental Pollution Research Center's Water Quality Lab at the University of Costa Rica (CICA/UCR) has been named as the Central America and Dominican Republic Regional Reference Laboratory. CICA/UCR has been selected as a model for the region due to its high institutional commitment to capacity building among its peers, its fully functioning quality control systems, its successful participation in all rounds of comparative laboratory testing, the technical competence of its staff, its adequate training and laboratory facilities, and an organizational structure that provides for impartial sampling and results. In addition, the following laboratories have been identified as reference wastewater laboratories for each country: the National Administration of Aqueducts and Sewers Laboratory of El Salvador (ANDA); the National Health Laboratory of Guatemala; the National University's Aquatic Resources Research Center of Nicaragua (CIRA/UNAN); and the Aqueducts and Sewers Institute of Costa Rica (AyA). These achievements have been made possible through the USAID Strengthening CAFTA-DR Wastewater Laboratories Project, an initiative that first seeked to reduce confusion over jurisdiction that has led to a lack of enforcement of environmental regulations.

Capacity building in wastewater dischargers in Nicaragua for inspectors was conducted with local wastewater inspectors. Monitoring equipment for wastewater is also being utilized by MARENA in Nicaragua and the Center for the Study and Control of Pollutants (CESCCO) officials. Furthermore, two courses (consolidated from 12) were delivered at the regional laboratory on sampling and traceability of wastewater, and ELE has continued its evaluation of EPA's course on inspections and wastewater treatment plants and equipment in El Salvador, Guatemala and the Dominican Republic.

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Summary of Immediate Results 2.3 and 2.4, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 2.3 Developed methodology for the definition of wastewater performance standards	2.3.1 Number of wastewater standards adopted (regional)	• 6 sectoral standards (Nicaragua)
	2.3.2 Number of sectors where wastewater performance standards have been defined	• 6 sectoral standards for the region • Workshops with about 90 people in: El Salvador (more than 40 participants), Guatemala and Nicaragua (50 participants)
Result 2.4 Reference laboratories strengthened under criteria of the ISO 17025 norm	2.4.1 Number of reference laboratories identified in each country	Regional Wastewater Reference Lab – Costa Rica; Selection of four national reference wastewater labs – El Salvador, Guatemala, Nicaragua and Costa Rica
	2.4.2 Number of technicians trained in inspection and monitoring of wastewater treatment systems	Same as indicator 2.2.2.

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Success Story 3: Strict Regulation for Wastewater

Since February 2010, Guatemala has a new Regulation for Discharge and Reuse of Wastewater and Disposal of Sludge, where more strict standards will be set forth to minimize the impact of human activity in all water bodies, groundwater, and marshes in the country. Protection of lakes and lagoons such as the emblematic Lake Atitlán is specifically included in the new Regulation for Wastewater of Guatemala. An inter-institutional commission with support from USAID has worked intensely updating the regulation, which will be more comprehensive and strict. The new regulation includes economic sanctions for non compliance of discharge limits. Another innovation in this Regulation is the establishment of economic sanctions for people, companies, or municipalities that exceed the allowable maximum limits, as well as other types of infractions

The development of the new Regulation for Wastewaters resulted from an effort of public consultation and valuable input from agencies that constitute the Technical Commission: Ministries of Environment and Health; the Institute for Municipal Development; the Authority for Sustainable Development of the Amatitlán Lake Basin, Del Valle, and Rafael Landívar Universities, National Seismology Institute, Regional University of Sanitary Engineering, Guatemalan Water Municipal Management Corporation, and USAID.

Source: U.S. Agency for International Development (www.usaid.gov), Acuerdo Gubernativo No.51-210, MARN

Sub-Goal A.1 – Result 3: Improved Solid Waste Management and Immediate Results 3.1, 3.2, and 3.3

It is difficult to determine what percentage of the population has improved access to solid waste services or the extent to which countries are meeting standards for solid waste management at the national and regional level; however, considerable progress has been made in all countries in terms of regulations, policy in solid waste management, and solid waste exchange mechanisms. Based on the data available, it is not possible to determine whether the evaluation protocol for the management of solid waste has been strengthened, as the design and implementation of the evaluation protocol for sanitary landfills is pending, as are any subsequent evaluations.

In Costa Rica specifically, the Law for Integrated Solid Waste Management has been approved, and the National Solid Waste Policy in El Salvador is currently being updated. In addition, regulations in Guatemala, both at the national and regional levels have been adopted and Nicaragua's national policy for solid waste management is being updated, alongside elaborated technical norms in solid waste. Additionally, CCAD is in the process of elaboration – based on EPA's proposal – of proposals of laws, policies, regulations, and strategies that will improve solid waste management in CAFTA-DR countries.

The second phase for the Industrial Waste Exchange of Central America and the Caribbean (BORSICCA), a tool created to support the exchange of waste through an electronic market that allows the use or reinstatement of these and the different production chains that are developed in the region, has been developed and both Costa Rica and Dominican Republic are being integrated into the market for exchange of solid waste and waste recovery, and have been added to the web-based BORSICCA platform (http://www.borsicca.org – see Success Story 4 below). In May 2010 alone, a total of 112 offers from businesses and individuals for industrial waste were made and 48 requests, representing 8.12 tons.

Summary of Immediate Results 3.1 to 3.3, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 3.1 Solid waste policy framework (regional/national – Guatemala model) used as a reference	3.1.1 Number of policy instruments (regional) adopted	• 6 policy instruments adopted and in process of being updated • Costa Rica: Law for Integrated Solid Waste Management approved • El Salvador: National Solid Waste Policy being updated • Guatemala: National – Regulation of the law on solid waste management; 1 regional policy/ strategy of integrated solid waste management • Nicaragua: 2 in process: updating of the national policy for solid waste management and elaboration of technical norms in solid waste
Result 3.2 A national Solid Waste Management Exchange unit established in each country	3.2.1 Existence of a national Solid Waste Management Exchange unit in each country	• Existent in all countries • Costa Rica: Unit of national exchange unit in the national center for cleaner production – Chamber of Commerce (Costa Rica) (local operator) • El Salvador: CAMARGO-Centro Nacional de P+L El Salvador (BORSICCA-El Salvador) • Guatemala: BORSICCA-Cámara de Industrias-Centro Guatemalteco de Producción más limpia • Nicaragua: El CADIN –local operator
	3.2.2 Number of tons of solid waste exchanged in the region under the supervision of the National Unit of Solid Waste Exchange	• Total: 144 tons (see note) • Users: 435 • Supply and demands: 265 • El Salvador: 3.2 tons • Nicaragua: 2 tons • Dominican Republic: pending • Total of 193 demands and 448 offers made between November 2009-May 2010

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Result 3.3 Strengthened evaluation protocol for the management of solid waste	3.3.1 Existence of an evaluation protocol for sanitary landfills	In process of contracting consulting firm for design and implementation of protocol in 5 countries
	3.3.2 Number of evaluations carried out	Pending

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter, as specified in the relevant narrative reports.

Success Story 4: Regional Industrial Waste Exchange is Operating Successfully

Over one hundred users are registered in the Central America and the Caribbean Industrial Waste Exchange Internet site (www.borsicca.com) that started operations in October 2009 with support from USAID under the CAFTA-DR framework. This is the first regional exchange of industrial type waste and by-products, and has aroused much interest. Here, waste from all seven Central American countries and Dominican Republic is handled.

BORSICCA is the culmination of an idea long cherished in the region that seeks better management of industrial waste and by-products, and reduce the pressure over the landfills and waste dumping sites. It also promotes the development of enterprises through buy/sell mechanisms for plastics, paper, cardboard, metal, glass, wood, used tires and motor oil, organic residues and other non-hazardous materials.
By supporting BORSICCA, USAID promotes improvement of the environmental performance in the private sector, as set forth in the CAFTA-DR Environmental Chapter.

Source: U.S. Agency for International Development (www.usaid.gov)

Sub-Goal A.1 – Result 4: Improved Management of Chemicals and Hazardous Substances and Immediate Results 4.1, 4.2, 4.3.

Under this result, CAFTA-DR countries aim to improve management of chemicals and hazardous substances through the compliance of criteria established under the United Nations Institute for Training and Research (UNITAR) guide for solid waste management, and to control the illicit traffic of chemical and hazardous substances with the aim of reducing products containing mercury and substances, such as pesticides. There are substantial data gaps and although some strides have been made in safer chemicals handling, there is very little evidence that overall, management of chemicals and hazardous substances has improved.

There is currently no data available on the number and type of accidents occurring nor is there data on the level of the impact the accidents have had on a certain number of people and/or the environment. So although there is a solid number of people trained in responding to uncontrolled emissions across countries (an average of 20 per country), it is difficult to determine whether the training is appropriate for the accidents and effects taking place, or whether the actions taken are part of a broader, comprehensive, and well-managed policy for chemical risk management.

Notably, EPA, through UNITAR, has concluded the regional conceptual document for the Pollutant Release and Transfer Registry (PRTR). PRTR is in the process of being implemented through two pilot projects in El Salvador (definition of objectives and goals of a national character) and in the Dominican Republic (through the creation of a National Coordination Group of PRTR).

There is no evidence of a functioning inventory in any of the CAFTA-DR countries, thus some strides have been made in the reduction of the use of mercury in the Hospital Nacional de Niños in Costa Rica (See Success Story 5 below). No strides can be noted in safer pesticide handling in any of the CAFTA-DR countries.

Summary of Immediate Results 4.1 to 4.3, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 4.1 Adopted and implemented safe practices for the Management of Chemicals by officials and other actors in each country	4.1.1 Number of accidents caused by chemical spills	No data available
	4.1.2 Level of effects of accidents involving chemicals on health and environment (e.g. number of affected people, number of contaminated hectares, etc)	No data available
		About 92 people trained in Guatemala, El Salvador and Dominican Republic and Costa Rica
	4.1.3 Number of individuals trained in the response to uncontrolled emissions of chemical substances who are applying their knowledge at work	No data available
		Existent
		4 Infrastructure diagnostics elaborated by PRTR (El Salvador, Guatemala, Nicaragua and Dominican Republic)
Result 4.2 Adopted regional conceptual document for the RETC in alignment with the UNITAR guide	4.1.4 Existence of a policy for chemical risk management	Pilot Plan in Dominican Republic and El Salvador are in progress
	4.2.1 Existence of a conceptual PRTR regional document in alignment with the UNITAR guide	Approximately 120
	4.2.2 Number of infrastructure diagnostics	No data available
Result 4.3 Strengthened institutional capacity for reducing products and waste containing mercury	4.2.3 Level of execution of a pilot plan	No data available
	4.2.4 Number of persons/institutions with awareness on PRTR issues	
	4.3.1 Existence of an inventory in each country	
	4.3.2 Number of persons trained in use of the inventory	

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

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Success Story 5: Public Hospitals Reduce the Use of Mercury

The National Children Hospital (HNN) of Costa Rica is a pioneer in the initiative "Mercury-Free Hospitals" promoted by CAFTA-DR environmental cooperation. In two years, hospital personnel previously trained has collected and stored 28 kg of mercury, and in 2009 received the award of "Environmental Hospital" from the Health without Harm Organization. Other four hospitals of the Costa Rican public system are following this same policy.

With financial support from USAID, the HNN purchased 700 digital thermometers to substitute old mercury devices. 63 new kits to measure blood pressure (sphygmomanometers) and 6 expansion probes were acquired to substitute old equipment that used mercury. At the same time, training was given to at least 500 of the 2000 employees of the hospital.

Source: U.S. Agency for International Development (www.usaid.gov)

Sub-Goal A.1 – Result 5: Improved Air Quality Management and Immediate Results 5.1, 5.2, and 5.3

Under this result, CAFTA-DR countries aim to develop a national air quality network as well as improve access to information regarding air quality in each country. With a limited number of Particulate Matter (PM) 10 samplers in the urban areas of the CAFTA-DR countries is difficult to make the case for the development or enforcement of stringent air quality standards and emissions control.

Additionally, an emissions inventory methodology and the identification of installing control mechanisms is near complete in Costa Rica and based on the data available, there has been good progress in El Salvador with a study concluding that it is cost-efficient to replace approximately 4,000 buses with Euro 2 buses; while this is not yet in place, there is potential in adopting this technology and final evaluations should assess if this has been carried out. It is unclear whether the 70 or so people trained across El Salvador, Nicaragua, and Guatemala have been trained in the Costa Rican methodology model.

The Ministry of Environment and Natural Resources in El Salvador made the commitment to provide real time air quality data to Sistema Regional de Visualización y Monitoreo (SERVIR). In doing so, El Salvador is the first CAFTA-DR country providing real time air quality data to an AirNow like system. Costa Rica is in the process of procuring a real time air quality monitoring equipment and is committed to provide the information to SERVIR. Also in Costa Rica, general information regarding air quality management is available at http://digeca.minae.go.cr/.

Summary of Immediate Results 5.1 to 5.3, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 5.1 More stringent national standards for air quality/fuel emissions utilized	5.1.1 Existence of an operating National Air Quality Monitoring Network using specific standards to measure air quality/fuel emissions	No data available
	5.1.2 Number of monitoring stations constructed in selected cities for PM10 monitoring	Over 10 functioning PM10 monitoring station
Result 5.2 Information regarding air quality is published periodically through SERVIR and/or national environmental information systems	5.2.1 Level of reliability of public information regarding air quality	• Unknown • Costa Rica: quality assurance system for air quality document by the UN through accredited laboratory trials
	5.2.2 Frequency of the publication (update) of the information	No data available
Result 5.3 Developed methodology for the mounting of the emissions inventories for air quality	5.3.1 Existence of a methodology	Costa Rica: existent methodology for the development of an Air Quality Inventory and existent inventory

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Sub-Goal A.1 – Result 6: Improved Administrative Procedures for the Presentation of Environmental Complaints and Immediate Results 6.1, 6.2 and 6.3

Under this result, CAFTA-DR countries aim to improve criteria and procedures for environmental complaints, improve coordination between institutions for processing of complaints, and improve the time taken to process a complaint. As of the second evaluation, a related result was removed due to funding cuts to ELE and modified in conjunction with USAID. At the same time, a model complaints system was drafted in December 2009 and implemented in May 2010, while the draft of the action plan to adapt model complaints system is pending. Within this new model, country assessments of environmental complaints and public participation systems were completed, and progress is still pending. It is uncertain whether this model complaints system will improve administrative procedures or processing time.

Additionally, CCAD has been supporting the countries in the improvement of their administrative procedures, with a focus on environmental complaints. The MINAET (Costa Rica) and MARENA (Nicaragua) were supported in the formulation of the terms of reference to improve the procedures of environmental complaints and the design and development of systems that facilitate the analysis, follow-up, control and public access to the environmental complaints. Furthermore, terms of reference were defined for the modification of guidelines/regulations about the administrative procedures of the Environmental Administrative Tribunal of Costa Rica. In addition, there is a procedural manual of administrative procedures for environmental complaints and CAFTA-DR communications and a follow-up and processing system in Nicaragua.

Guatemala is the only country with a functioning coordination mechanism in place, i.e. Technical Council for Enforcement of Environmental Law13. Time allotted for complaints processing is defined in the administrative procedures (Guatemala) although the time required for processing complaints has been reported as varying according to the complexity of the case; average time estimates are not available for either complaints processing or complaints processed through an administrative court/tribunal.

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Summary of Immediate Results 6.1 to 6.3, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 6.1 Improved capacity to use an administrative procedure for the presentation and revision of environmental complaints	6.1.1 Existence of administrative procedures to apply environmental legislation	Existent procedures.
	6.1.2 Number and type of instruments that improve administrative procedures	• 5 instruments in total • 3 sets of TORs: Nicaragua and Costa Rica (2) • 1 procedural manual (Costa Rica) • 1 follow-up and processing system (Nicaragua)
	6.1.3 Average time to process complaints	No data available
Result 6.2 Greater coordination between administrative and judicial bodies regarding environmental issues	6.2.1 Existence of a coordination mechanism	• Existent in Guatemala • No data available for other countries
Result 6.3 Improved criteria to resolve complaints through an environmental administrative court	6.3.1 Time necessary to process a complaint through an administrative court/ tribunal	No data available
	6.3.2 Percentage of complaints that are resolved in administrative courts using improved criteria	No data available

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Success Story 6: Attention to Environmental Complaints Increases

Guatemala has implemented a system for monitoring and control of environmental complaints, which has been able to successfully resolve several cases. In addition, the cooperation contributed in the form of donated office and monitoring equipment, including computers and software, and has facilitated the development of a system and database for environmental complaints. Such improvements have helped to monitor complaints and expedite resolution. For example, while in 2009 less environmental complaints were submitted to this office as compared to 2008, the system has enhanced the office's capacity to follow up on pending cases and promoted the enforcement of the environmental laws. This is reflected in the increased collections from sanctions up to June 2009 (GTQ 87,512.74 or approximately US$ 10,500.00) that double the collections in 2008 (GTQ 48,569.37 or approximately US$ 5,827.48).

With support from the CAFTA-DR Environmental Cooperation, the environmental complaints system in El Salvador has been strengthened and has received computer equipment, furniture and communications equipment, while in the whole country newspaper and radio ads were placed, and posters were affixed in regional offices, along with banners and bulletins with information on the system. Before the implementation of CAFTA-DR Environmental Cooperation, El Salvador had an archaic system on paper, but now a software has been developed through which the entire complaint system is digitalized.

Additionally, the cooperation has helped officials from the MARN Environmental Inspection department, members of the National Civil Police, and other administrative officials to receive training on new computing tools used by the National System of Environmental Complaints of El Salvador.

Source: U.S. Agency for International Development (www.usaid.gov), Interviews with POCs and other government officials in Guatemala and El Salvador.

Sub-Goal A.1 – Result 7: Greater Application of Civil/Penal Laws in Environmental Responsibility and Immediate Result 7.1

Under this result, CAFTA-DR countries aim to build capacity of stakeholders in valuation methodology for environmental damage. Overall, 147 people were trained in several quarters in Costa Rica, Guatemala, Nicaragua and Dominican Republic on implementation of environmental legislation (judicial training) and gap analyses. There is no sex-disaggregated data, and no further qualitative information regarding the results of these trainings and how many judges, attorneys, or technicians were actually trained. Continued support to the Council for Environmental Compliance in Guatemala was provided by CCAD, and a regional action plan for a District Attorneys Network supporting environmental compliance was prepared; additionally, approval was given for the separation of the Environmental and Health Commission in El Salvador (into Environmental and Climate Change Commission). A highlight to be mentioned would be the creation of the Compliance network of wildlife promoted by the CCAD, DOI and TRAFFIC.

In terms of a methodology for valuation of environmental damage, besides the valuation of CITES to be mentioned later, CAFTA-DR has one instrument in Guatemala, i.e. the "Manual of Functions and Attributions of Joint Environmental Management."

Overall and based on the data available, it is difficult to discern whether through the training and existence of a one unique methodology, there has been any progress in strengthening the valuation of environmental damage, or environmental responsibility, nor is it obvious whether there is greater application of civil/penal laws in environmental responsibility as a result of the activities undertaken.

Summary of Immediate Result 7.1, Sub-Goal A.1

Result area	Indicators	Results achieved (see note)
Result 7.1 Theme of environmental accountability and valuation of environmental damage strengthened institutionally	7.1.1 Number of persons trained in the valuation and responsibility related to environmental damage	147 people trained
	7.1.2 Existence of a methodology (measure) of valuation of environmental damage	Guatemala: draft methodology

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

SUB-GOAL A.2: TO STRENGTHEN GOVERNMENT INSTITUTIONS FOR THE IMPLEMENTATION OF AN EFFECTIVE COMPLIANCE WITH ENVIRONMENTAL LEGISLATION

Sub-Goal A.2 – Result 1: Improved Implementation of and Compliance with Environmental Law and Case Follow-up and Resolution, and Immediate Results 1.1, 1.2, 1.3 and 1.4

The focus of this result is improving the implementation of and compliance with environmental law, including case follow-up and resolution, through increasing the capacity of future legal practitioners and the judiciary body. Additionally, this includes the focus on effectively measuring implementation and compliance with environmental law, including MEAs.

There is progress in the drafting of an environmental law course for each CAFTA-DR country, except the Dominican Republic, and it is expected that ELE will present a model course, based on the course developed for El Salvador. It is unclear how many universities/higher education institutions are to integrate these courses, and what specializations would be offered. Environmental indicators of implementation/compliance have also been developed and adopted, in Costa Rica; however, Nicaragua, El Salvador and Dominican Republic are all in the process of identifying and selecting appropriate indicators through methodological sheets. There has been some knowledge-sharing on the matter, namely between

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Costa Rica and the Dominican Republic and Nicaragua's national indicators workshop included some 20 MARENA officials. In Costa Rica, an information platform, based on an adaptation of the Geodatos system (UNEP), for systematization of Environmental Compliance Indicators and information has been developed as a standard, and there is potential for replication in El Salvador and Nicaragua. Institutional arrangements and CENIGA's operational plans will be vital inter-institutional instruments, although there is no evidence that other countries are relying on such instruments, seeing as indicators are in the process of being drafted and a national system is to be mounted.

Summary of Immediate Results 1.1 and 1.2, Sub-Goal A.2

Result area	Indicators	Results achieved (see note)
Result 1.1 Improved Environmental Studies curriculum in universities and other higher education institutions, including law schools	1.1.1 Number of universities that have integrated courses in EMS and P+L at the undergraduate level	1 university – School for Judicial Studies-Supreme Court of Justice (Guatemala)
	1.1.2 Number of new or improved courses in environmental law implemented by law schools	Model course based on El Salvador's developed course
Result 1.2 Adopted environmental indicators of implementation and compliance to best measure the effectiveness of the implementation and compliance of the programs	1.2.1 Number of indicators of compliance and environmental implementation adopted by each country	• 5 indicators adopted in Costa Rica • 70 in total, including 5 adopted: • 55 designed with respective methodological framework • 5 being mounted with readily available information • 5 highly viable indicators mounted in the short-term • 5 indicators adopted
	1.2.2 Number of countries that rely on a web platform for the systematization of the indicators	• Costa Rica (CENIGA) and Dominican Republic (replication of Costa Rica's). • In process of implementing in El Salvador and Nicaragua
	1.2.3 Number of countries that rely on instruments or actions of inter-institutional coordination	• Costa Rica and El Salvador (in progress) • Information System in Costa Rica to improve management of environmental information, including reference to environmental indicators
	1.2.4 Number of countries that rely on a functioning national program, using the adopted indicators	In process of being approved (Costa Rica and El Salvador)

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

At the same time it difficult to determine to what degree the capacity of the judicial system to resolve civil and criminal cases related to environmental issues has increased. Training has been conducted with trial-level judges and other judicial stakeholders on environmental cases and environmental law. In terms of control mechanisms with the scope of MEAs, progress can be noted only in El Salvador.

Summary of Immediate Results 1.3 and 1.4, Sub-Goal A.2

Result area	Indicators	Results achieved (see note)
Result 1.3 Increased capacity of the judicial system to resolve civil and criminal environmental cases	1.3.1 Number of officials (attorneys/ judges/investigators) trained in investigation/prosecution and judging environmental crimes	Approximately 130 officials over several quarters
	1.3.2 Number of judicial bodies trained in environmental issues	35-40 trial-level judges regarding environmental cases, resolution of environmental cases and standard curriculum on environmental law (see note)
	1.3.3 Number and type of instruments that improve the application of judicial processes	No data available
Result 1.4 Adopted control mechanism for imports and exports in the framework of MEAs	1.4.1 Existence of a control mechanism	Cooperation Convention for the Control of Imports and Exports related to MEAs in El Salvador
	1.4.2 Level of implementation of the inter-institutional agreement and plan of action for compliance with the MEAs	Coordination between MARN and customs in El Salvador

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

In terms of rules, application and compliance with fisheries legislation as outlined in Result 2 (Sub-goal A2), the extent to which endangered species of fish have been protected through strengthened institutional and judicial frameworks cannot be determined at this time. Generally, OSPESCA supported the CAFTA-DR countries in the Regulation of the General Law to Manage and Promote Fisheries and Aquaculture. This should be examined in greater depth during the final evaluation.

SUB-GOAL A.3: TO INCREASE PUBLIC PARTICIPATION AND TRANSPARENCY TO SUPPORT INFORMED DECISION-MAKING

Sub-Goal A.3 – Result 1: Improved Quality and Greater Accessibility of Environmental Information to the Population and Immediate Results 1.1, 1.2 and 1.3

Under this result, CAFTA-DR aims to improve quality and accessibility of environmental information to the population in accordance with international standards. At this point, a pilot project in Costa Rica has been established focused on EIAs. This component would be assessed further during the final evaluation, as not enough data is available to adequately address whether quality of information has actually improved, including the reach of the information available.

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Summary of Immediate Results 1.1 and 1.2, Sub-Goal A.3

Result area	Indicators	Results achieved (see note)
Result 1.1 Improved procedures and protocols to precisely measure quality data regarding the environment, in accordance with international standards	1.1.1 Existence of procedures and protocols to measure data regarding the environment, in accordance with International standards	Pilot project (EPA) about access to environmental information (Costa Rica)
Result 1.2 Improved data collection methods on the environment to increase the information available on the Meso-american Environmental Information System (SIAM) and link it to SERVIR	1.2.1 Number of new registered users in the information portal of SERVIR	243 users
	1.2.2 Number of environmental documents and themes disseminated by the SIAM and SERVIR systems	1,210 (via SERVIR Data Portal)
Result 1.3 Greater access to environmental information for the publicc	1.3.1 Existence in each country of an information and documentation center regarding the environment, accessible to the public	• Guatemala: Environmental Information System MARN • Nicaragua: National System of Environmental Information (integrated with NEPAssist)
	1.3.2 Number of requests received by the environmental authorities	24
	1.3.3 Number/type of activities/media for environmental awareness of the population	2 (national and regional-level press events)
	1.3.4 Level of reach/coverage of the information campaigns for the population	Medium level
	1.3.5 Existence and type of mechanisms that permit access to environmental information	Quick guide for public access to environmental information EIA self-tutorial CD SERVIR Portal

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Sub-Goal A.3 – Result 2: Improved Public Participation in Environmental Decision-Making and Immediate Results 2.1 and 2.2

Recognizing that this result is a key area for the successful outcome of the ECP, EPA has designed a program to promote public participation and access to environmental information.

Broadly speaking, this participation can also be witnessed in HSI's Cacao Program and CITES Program, which have worked very closely with civil society organizations and local communities. The cacao program, for instance, works directly with local organizations and producers, and has hired local technicians, coordinated local environmental fairs and environmental education to impact producers, their families and the local communities. In conjunction with working closely with these types of local organizations and producers, USFS proactively improved their knowledge regarding the needs of the Nicaraguan producers through conducting a set of meetings. By listening to the needs, priorities, and knowledge of the producers, they ultimately decided the quantity and type of plants they would cultivate

in order to execute sustainable crop diversification. The aforementioned community-centered progress indicates that more knowledgeable community members, who are using more sustainable agricultural practices, are in fact publicly and indirectly participating in responsible decision-making.

The small grants program also demonstrates the Program's commitment to public participation. These grants are provided each year to organizations based on their involvement with public participation. These types of incentives will provide the necessary means to bolster this participation.

Other than the proposal for procedures in Guatemala and MARN's legal unit, it is not possible to discern at this point what streamlined mechanisms are being used across the CAFTA-DR countries to improve public dissemination of information, thereby improving public participation in environmental decision-making. The series of technological tools (including the CAFTA-DR website) designed for the dissemination of environmental information and the distribution of material aimed at the promotion of the program are positive steps to promote transparency of environmental processes. However, it is important to note under this result strides in outreach efforts and increased civil society participation through the citizen submission process established in CAFTA-DR Chapter 17.

While in the first evaluation report presented by the OAS-DSD only four citizen submissions had been presented to the Secretariat on Environmental Matters, during this reporting period the number of submissions has doubled. A total of ten submissions have been received in 2010, of which three are being processed[14]. From the submissions under consideration it may be possible to gain input regarding the indicators under this result.

Summary of Immediate Results 2.1 and 2.2, Sub-Goal A.3

Result area	Indicators	Results achieved (see note)
Result 2.1 Improved capacity of the government institutions to receive, process, respond to, and monitor public communications complaints	2.1.1 Existence in each country of a unit that receives citizen communications with funding and adequate capacities	Guatemala: MARN Legal Unit El Salvador: Dirección General de Inspectoría Ambiental
	2.1.2 Number of countries with procedures and instruments within institutions to respond to these communications/complaints and to the requests for environmental information	Guatemala: proposal for procedures available
Result 2.2 Civilians and members of civil society organizations participate in the making, the application of and the compliance with environmental decisions	2.2.1 Number of meetings with the civil society participating in the environmental management in each country	No data available
	2.2.2 Number of countries that rely on initiatives that favor public participation in the making and implementation of environmental decisions	No data available

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

[14] See Annex 7

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2.4.4.2 Goal B: Protection of Wildlife and their Habitat for Long-Term Economic and Environmental Development

Under this theme, interventions are focused on biodiversity and conservation of wildlife and habitats and the protection of endangered species against trade which violates international laws and standards, specifically support for implementation of the 1975 Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), which protects over 30, 000 species and plants. CAFTA-DR countries have made considerable progress in this area.

RESULT 1: IMPROVED IMPLEMENTATION OF CITES IN EACH COUNTRY AND IMMEDIATE RESULTS 1.1 AND 1.2

Overall, more than 1,100 individuals including government officials and representatives and national and municipal authorities have received training related to CITES legal framework, listings, taxonomy, compliance and enforcement issues and operationalization of the Convention. Capacity building activities have also taken place in CITES management and monitoring. The degree to which these competency areas of CITES are being applied in country is however challenging to determine; as is information regarding the extent to which wildlife and species are being protected both nationally and regionally. Among its initiative, DOI has a focus on training trainers in CITES Capacity Building throughout the region, which resulted in Guatemala CITES Authorities leading their own CITES Capacity Building workshops. These type of initiatives in the region or nationally are essential to ensure CITES compliance. At the same time, DOI and HSI has conducted widespread public awareness campaigns to promote endangered species conservation in order to reduce illegal trade in wildlife.

With DOI support, El Salvador been successful in developing plans and strategies for CITES compliance through the development of three major legal documents: CITES Legislative Plan; CITES Implementing Regulations; and CITES Legal Analysis. Positively, a Seizure Cooperation Agreement was signed in El Salvador. Furthermore, work towards strengthening CITES with the development of a regional scientific experts directory that will support CITES Scientific Authorities, the identification of information gaps and needs, along with communications and initial work with conveners of the Cancun International Workshop on CITES Non Detriment Findings has been completed.

Here one should also highlight WWF's work with the gap analysis reports that were used to guide targeted capacity building approaches and remedy challenges faced at the national and regional levels. Following this, a gap analysis was successfully completed and will be used as a baseline for progress in improving capacity to implement CITES. Although there is no specific indicator under this particular result, it should be noted that a total of 247 individuals from CAFTA-DR countries (and a few from other countries in Latin America) and over 94 agencies have received direct formal training in resource management and/or biodiversity conservation through WWF's project.

In terms of environmental management instruments generated, analyzed and improved, a variety of interventions including a regional trade study, biological monitoring workshops, a regional Iguana Status Study, an Economic Evaluation, and an updated regional list of CITES species have been completed by DOI and other partners. In addition, operational manuals (Nicaragua/Costa Rica) for CITES and identification guides for species have been completed with support from DOI.

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Summary of Immediate Result 1.1, Goal B

Result area	Indicators	Results achieved (see note)
Result 1.1 Strengthened legal and operational framework to improve CITES implementation in each country	1.1.1 Number of persons trained to improve CITES implementation and enforcement	Approximately 1,100
	1.1.2 Number of people applying knowledge to improve implementation and enforcement of CITES	No data available
	1.1.3 Number of people trained on CITES training	No data available
	1.1.4 Number of people trained by local trainers	No data available
	1.1.5 Number of instruments generated for implementation and enforcement of CITES	6 legal instruments 2 instruments (the animal handling curriculum and training CD)
	1.1.6 Number of laws, regulations, policies, procedures, legal analysis or agreements drafted or improved that, if adopted, would strengthen the CITES framework	• Seizure Cooperation Agreement (El Salvador) • Gap analysis successfully completed with some 100 individuals providing essential information
	1.1.7 Number of cases of illegal trade of species that are reviewed	No data available
	1.1.8 Number of environmental management instruments generated, analyzed and improved	6
	1.1.9 Number and type of sectors involved in the design of instruments for improving implementation of CITES in each country	No data available
	1.1.10 Number and type of knowledge sharing/dissemination materials elaborated	7 – various community events

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

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Success Story 7: CAFTA-DR Region Attended CITES's COP15 with Updated Listings of Endangered Flora and Fauna

Updated listings of endangered flora and fauna specimens in the CAFTA-DR region were presented at CITES's COP 15 in Qatar in March 2010. The updated listing of endangered specimens was prepared through an effort supported by USAID, the US Department of the Interior (DOI), and other agencies

.

The publication of these listings will enhance control on traffic and trade of species and guide official agents in issuing trade permits for wild species, thus strengthening CITES implementation in the region. Through the CAFTA-DR environmental cooperation agreement, DOI sponsors development of bi-national manuals between Central American countries for development and control of species at borders, as well as training of CITES administrative and scientific authorities in the countries. The agreement also donated computing, photography, scanning and geographic positioning equipment, as well as devices to handle animals at control posts, and control of flora and fauna specimens, especially in border custom points. Source: U.S. Agency for International Development (www.usaid.gov)

Based on data available, the first Model Wildlife Rescue Center Network Meeting in Central America was convened for the selection of four Animal Rescue Centers to receive support for best practices in animal rehabilitation and treatment. HIS has Memorandum of Understandings (MOUs) with Zoo Ave (Costa Rica), ARCAS (Guatemala), FAZOONIC (Nicaragua), and continued facilitation of discussions between FUNZEL and MARN in El Salvador to develop a co-management agreement for the rescue center were developed. In addition, the attainment of model status for certification by the Global Federation of Animal Sanctuaries (GFAS) is in progress. Moreover, an electronic distribution list has been implemented to disseminate information on wildlife rescue center best practices among potential model wildlife rescue centers in Central America. Complimentary to this has been the initiation of animal conservation and illegal wildlife trade campaigns reaching approximately 6,657,581people in the region.

RESULT 2: IMPROVED PROTECTION OF FORESTS, PROTECTED AREAS AND MANAGEMENT OF SENSITIVE ECO-SYSTEMS AND IMMEDIATE RESULTS 2.1 AND 2.2

Under this result, CAFTA-DR countries aim to protect forests and other areas as well as the management of sensitive ecosystems. The results to date are summarized below. In the area of jaguar protection, DOI supported an interpretative panel in Guatemala and supported the completion of a jaguar tourism impact study. In Nicaragua training materials have been used for hunting regulations. Finally, governance and security indicators are being institutionalized for CONAP. In terms of environmental management, a total of 2,057 ha of forest and protected areas are under improved management directly influenced by the projects implemented in Nicaragua.

Summary of Immediate Results 2.1 and 2.2, Goal B

Result area	Indicators	Results achieved (see note)
Result 2.1 Improved capacities to apply and enforce laws related to forestry and protected areas	2.1.1 Number of compliance officials trained	No data available
	2.1.2 Number of sanctions, warning letters, closure	No data available
	2.1.3 Existence of identification manuals for customs and border officials	200 copies of manual
	2.1.4 Number of officials/agents trained in the taxonomic identification of forest species, including CITES species	72 people
Result 2.2 Environmental management in protected areas, hydrographical basins and biological corridors have improved	2.2.1 Number of programs and projects formulated to improve environmental management protected areas	• 17 • 4 protected area improvement processes established (El Salvador and Dominican Republic) • Monitoring for jaguars in Guatemala
	2.2.2 Number of monitoring plans to improve environmental management	No data available
	2.2.3 Number of indigenous communities and other local communities that apply their acquired knowledge	No data available
	2.2.4 Number of hectares with an improved environmental management	2,057.1 ha

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Success Story 8: More Professional Park Rangers

Nicaragua's 71 protected areas now have better qualified and more professional public and private park rangers. In 2009, MARENA conducted an intensive capacity building campaign among 88 public sector park rangers, 12 more from co-managing NGOs, and 20 representatives from the civil society. This was accomplished through a round of trainings funded by USAID, and it is expected that the recipients will replicate their knowledge among the rest of their peers and in their communities.

The contents of the training included scientific and technical subjects such as introduction to biodiversity, environmental law, the importance and planning of protected areas, functions of the park rangers, and coordination of the territory. Participants were also trained on the use of map and compass, the monitoring of flora and fauna, forest fires, wetlands, and human resource management. At the end, the participants' knowledge was assessed, and a final work practice was required to receive the certificate.
Source: U.S. Agency for International Development (www.usaid.gov)

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RESULT 3: IMPROVED CONSERVATION OF MARINE TURTLES AND IMMEDIATE RESULTS 3.1 AND 3.3

Under this result, a total of seven institutions have implemented turtle campaigns in Nicaragua. Additional information with regards to these indicators might be available from the factual record (CAALA-07-001) Marine Turtles, currently under preparation by SEM.

Summary of Immediate Results 2.1 and 2.2, Goal B

Result area	Indicators	Results achieved (see note)
Result 3.1 Observer Program Established to help guarantee that boats are properly using turtle excluder devices (TEDs)	3.1.1 Existence of Operating Program	No data available
	3.1.2 Number and types of instruments and TEDs equipment delivered and used	No data available
Result 3.3 Greater awareness of the population regarding the conservation of marine turtles	3.3.1 Existence of a awareness campaign	1 protection plan implemented "Plan de protección de tortuga paslama"
	3.3.2 Number of persons that were reached during the campaign	400 people

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

2.4.4.3 Goal C: To implement a Conservation System Based on the Market

Under this goal, the focus is on the implementation of a market-based conservation system focusing on sustainable tourism, agriculture and forest products as a means to support economic growth, sustainable natural resource management and environmental protection through ecological certification.
Although there have been significant strides made in the conservation of natural resources towards sustainable development in the targeted countries, it is difficult to obtain a holistic image of progress to date on CAFTA-DR results under Goal C due to challenges in the selection of indicators.

RESULT 1: IMPROVED MANAGEMENT AND CONSERVATION OF THE ENVIRONMENT THROUGH: ECO-TOURISM, THE PRODUCTION OF CROPS FAVORABLE TO THE ENVIRONMENT, AND THE COMMERCIALIZATION OF PRODUCTS AND FOREST PRACTICES WITH ECOLOGICAL CERTIFICATION, AND IMMEDIATE RESULTS 1.1, 1.2 AND 1.3

Overall there has been good progress in increasing awareness of ecotourism in the region. Strategies to promote eco-tourism and community involvement are also noted as well as improving visitor infrastructure and tourism services. It was not possible to determine the extent to which communities and its members have been trained in various areas due to lack of reliable data; however there has been progress in outreach, including childhood education on biodiversity protection. Guides for community awareness in eco-tourism are in editorial phase as well as a training of trainers guide. In addition, introductory workshops on the Sustainable Tourism Best Practices Guide conducted in 13 communities in the Verapaces region were conducted. A variety of awareness campaigns including tourism guiding, sustainable tourism and biodiversity have been delivered.

Notably, 42 Small and Medium Enterprises (SMEs) have been certified and are applying Sustainable Tourism Good Practices. Further, in collaboration with INGUAT and the US Peace Corps, a Sustainable Tourism Marketing workshop implemented by the USFS was conducted with over 30 representatives

from community tourism destinations as well as CONAP and NGO representatives. Other trainings on the treatment of wastewater from coffee mills, inorganic waste recycling and environmental laws have also been conducted with approximately 40 producers.

In Guatemala, extensive coordination and negotiation processes with ANACAFE and INGUAT to implement the Geotourism Initiative are also underway; and the charter for this initiative was signed in 2007. The production of a geo-tourism map for the country is near completion. A country strategy for Costa Rica has also been drafted for sustainable fruit production; consultations with coffee companies for certification are also underway.

Summary of Immediate Result 1.1, Goal C

Result area	Indicators	Results achieved (see note)
Result 1.1 Improved awareness and community management capacity regarding alternatives and profitability of ecotourism, sustainable agriculture and forest production	1.1.1 Number of community members trained in ecotourism development	18 people
	1.1.2 Number of community members trained in sustainable agriculture development	400 people
	1.1.3 Number of communities trained in the development of sustainable forest production	No data available
	1.1.4 Number and type of guides and training materials on agriculture, sustainable forestry and ecotourism techniques	• Self Assessment Tool • EcoTourism Guide • Sustainable Agriculture Standards for Coffee Farms; 5000 posters • Draft of Community Ecotourism Guide (Nicaragua); 10 agriculture manuals
	1.1.5 Existence in each community participating in the program of a community charge of natural resource management	9 communities (2 in CITES, 7 in cacao)

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

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Success Story 9: Developing Economic Alternatives to Illegal Wildlife Trade/Community Ecolodge Administration

On April 20-23, 2009, Humane Society International (HSI) and Asociación Tierra y Vida put on a four-day ecotourism training and exchange program in Nicaragua, at the Finca Esperanza Verde, an award-winning community ecolodge. This program, part of an ongoing effort to develop economic alternatives to illegal wildlife trade, was funded by the U.S. State Department under the CAFTA-DR Environmental Cooperation Program. It focused on community ecolodge administration, maintenance and marketing.

Members of Caminos Del Viento and COSERTUCHACO, two community ecotourism cooperatives working in the Chacocente Wildlife Reserve in south-western Nicaragua, participated in the workshop. Their tourism attractions revolve around viewing the endangered species and other wildlife in the reserve, including the thousands of hawksbill and leatherback turtles that nest on the reserve's beaches every year.

Ecotourism, which gives local communities an alternative to poaching as a non-extractive method for capitalizing on their natural resources, is a sub-theme of the CAFTA-DR Environmental Program's objective to promote Market-Based Conservation, and is an essential part of HSI's program to improve the enforcement of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).

Source: CAFTA-DR Environmental Cooperation (http://www.caftadr-environment.org)

Success Story 10: Geotourism Initiative in Guatemala

Supported through CAFTA-DR Environmental Cooperation, a public-private alliance of Counterpart International, Guatemala's Asociación Nacional del Café (Anacafé) and the Instituto Guatemalteco de Turismo (INGUAT) has been leading the implementation of the Geotourism Initiative in Guatemala. The Initiative, a National Geographic Society (NGS) program, promotes tourism that sustains and enhances the character of a place—its environment, culture, aesthetics, heritage and the well-being of its residents.

Guatemala's MapGuide—a two-sided map-brochure conveying geotourism information in both the map and accompanying text blocks—is in the final editing process. Following presentation of the MapGuid, an extensive campaign for practical implementation of geotourism will be launched internally, aimed at promoting actions by businesses and practitioners to further enhance the character of the place, at both the individual business and destination levels. An external marketing campaign to position and promote Guatemala as a leading geotourism destination will follow, based on the implementation of geotourism and on the rollout of the Geotourism MapGuide.

Source: CAFTA-DR Environmental Cooperation (http://www.caftadr-environment.org)

Costa Rica and Nicaragua have continued to make strides in terms of capacity and awareness building of community members in sustainable agriculture (cacao) and continue to train producers on rehabilitation practices while working towards certification of those producers and the dissemination of that knowledge to technicians and organization leaders. Local teachers have increased capacity to continue biodiversity protection programming and a large number of children receive biodiversity protection training.

Summary of Immediate Result 1.2, Goal C

Result area	Indicators	Results achieved (see note)
Result 1.2 Improved conservation through the establishment of sustainable agro-forestry systems	1.2.1 Number/percentage of hectares supporting certified crops	5,800 ha
	1.2.2 Number/percentage of hectares where farmers are applying best practices for management, production and social- environmental conservation	2,070

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

It is not reported how many new businesses or organization are implementing strategies based on sound market analysis. However; HSI has reported that 400 producers received training on sustainable agriculture, 5 technicians received training to continue this training after the program ends, and 15 members of the cooperatives (producers and technicians) received training on organic certification. Notably under this component, four partnerships within the private sector for marketing of certified products have been established as a result of participation in the Specialty Coffee Association of the Americas (SCAA), and investment in promoting Rainforest Alliance certification throughout the European and North American markets has continued. It will be important that results on the ability of producers to access financing, as identified as a bottleneck in the value chain, is also monitored and reported upon in the future.

In terms of improved conditions that favor tourist visits in protected areas, two plans for La Flor y Dantalí have been developed. In addition, 200 tourists have been reached through information dissemination on protected areas through planned tourism fairs. Visitor information for these areas reveals that approximately 250 people have visited since they opened.

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Summary of Immediate Result 1.1, Goal C

Result area	Indicators	Results achieved (see note)
Result 1.3 Increased recognition of the value chain (market strategies for products and services)	1.3.1 Number of businesses and organizations implementing a market strategy for services related to protected areas	3 organizations
	1.3.2 Annual sales generated from tourism and improved agriculture and forestry products	US$718,838 from 31 farms (994 qq) as well as US$12,000 in Nicaragua
	1.3.3 Number and types of jobs generated by tourism, agricultural and forestry	21 jobs maintained in tourism cooperative in Nicaragua
	1.3.4 Funds invested by local members in forestry activities	No data available
	1.3.5 Number and type of sales projects for environmental services implemented at the local level	No data available
	1.3.6 Existence of an interactive regional network to integrate and circulate information regarding certification standards	Guidebook for social environmental system management in English and Spanish Sustainable Agriculture Standards for Coffee farms
	1.3.7 Number of alliances between private sectors and cooperatives in the sale of certified projects	4 exporters
	1.3.8 Price per kilo	Approximately 50 producers increased their price by 15%, 100 producers by 34% and 125 by at least 50%
	1.3.9 Productivity Level	384 Kg per hectare

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

2.4.4.4 Goal D: To improve the Environmental Performance of the Private Sector

Under this goal, focus is on the improvement of the environmental performance of the private sector through cleaner production strategies, Environmental Management Systems (EMS), voluntary mechanisms and public-private associations, including the strengthening of the institutional capacity and human resources towards improved environment-related trade policies and incentives. The focus also lies on the reduction of operating costs by reducing water use, increasing energy efficiency, and preventing the generation or release of contaminants.

Based on the data available under this Goal, the baselines and outlined national and/or regional targets, there has been solid progress on both Results under this goal. Progress under this goal to date is concentrated on the development of regional/national policy frameworks on cleaner production and energy efficiency in order to support cleaner production regulations, standards, and procedures for environmental auditing and management systems. In addition, in partnership with Coca-Cola, Marriott and Wal-Mart, the promotion of cleaner production practices in the supply chains have been made as well as the promotion of energy and water conservation and implementation of EMS, resource assessments

and waste, raw and material and emissions reduction in SMEs. Other areas of progress include: the signing and increasing recognition of the voluntary cleaner production agreements (AVPMLs); commitments to other non-financing mechanisms; integration of national-level, regional norms for cleaner production, increased public access to cleaner production information through fairs/events/guides, and savings resulting from WEC-private sector partnerships in cleaner production across Costa Rica, Nicaragua, Guatemala and El Salvador.

Under this Goal, and based on the data available, it is difficult to discern what type of financing (binding financial mechanisms) is in place by private sector businesses or alliances, and how much savings (energy, water, monetary) will manifest themselves in SMEs. Progress is to be seen in the strengthening of the national cleaner production centers, improved scope and focus of the media geared towards improving the access to cleaner production information by the public, and monitoring of savings (energy/water/other) through the numerous private sector partnerships in place.

RESULT 1: IMPROVED ENVIRONMENT-RELATED TRADE POLICIES AND INCENTIVES AND IMMEDIATE RESULTS 1.1, 1.2, 1.3, 1.4 AND 1.5

There is demonstrated improvement in elaboration of environment-related trade policies, mainly through the approval of national cleaner production policies and formation of national commissions. There are approved and launched cleaner production policies in place in Guatemala, Nicaragua, and Dominican Republic, with Costa Rica's policy at the draft stage, and El Salvador's policy will be updated. Strides are yet to be made in the operationalization of these frameworks; with the data available, it is currently difficult to say whether policies themselves have been improved.
CCAD has been actively strengthening the Inter-sectorial Regional Technical Committee in cleaner production, with support to national cleaner production commissions. Specifically, this support is being provided to Costa Rica, Nicaragua and Guatemala's national commissions, through consultancies aimed at conceptualizing the commissions and elaborating regulation proposals for making them official and in turn, operationalizing them. The commissions are fully operational in Guatemala and Nicaragua.

Summary of Immediate Result 1.1, Goal D

Result area	Indicators	Results achieved (see note)
Result 1.1 Improved Framework for national policies through the incorporation of a regional policy/strategy for cleaner production	1.1.1 Existence of a regional national policy/strategy of cleaner production in the national policy framework	3 approved and launched national cleaner production policies in Guatemala and Dominican Republic
	1.1.2 Existence of regional and national inter-sectorial commissions	3 formed national commissions in Costa Rica, Guatemala and Nicaragua (operating).

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

The process of development, negotiation, and implementation of AVPMLs is continuing in various regions of all countries, reflecting increased will of the private and public sectors to develop and implement voluntary agreements.

A total of 60 companies/plants have signed a voluntary cleaner production agreement, across Costa Rica, El Salvador and Guatemala, with concentration in the following sectors: swine, dairy, poultry (small and large), abattoir sector, services and tourism. CCAD is providing technical and capacity building assistance to ten tourism companies in Guatemala involved in tourism surrounding Atitlan Lake, in the municipality

of Panajachel (Departamento de Solola). In El Salvador, 27 dairy and poultry companies are receiving technical assistance for the adoption of cleaner production practices in their production processes and establishment of goals for environmental performance. The same goes for companies in Costa Rica. These accomplishments do not speak to the sustained will to honor these agreements in the future, as most of them have entered into effect as late as 2009/2010. Based on available data, the will appears to be strong across countries, sectors and businesses to improve environmental performance and develop and implement voluntary agreements solidifying this commitment.

Summary of Immediate Result 1.2, Goal D

Result area	Indicators	Results achieved (see note)
Result 1.2 Increased will of the private sector and the public sector to develop and implement voluntary agreements to improve their environmental performance	1.2.1 Number of voluntary agreements signed by the private sector and the government dealing with environmental performance	• 23 AVPMLs, Alliances, and Partnerships • 7 AVPMLs signed • 9 Alliances signed (see also 2.4.1) • 7 MNE-WEC and private sector-WEC partnerships
	1.2.2 Number/type of businesses that have signed an agreement	• 104 companies/plants • Costa Rica: 23 companies (1 in the abbatoir sector; 19 in swine sector; 3 in services sector) • El Salvador: 27 companies from dairy and poultry sectors (11 poultry fattening farms; 11 small dairy plants; 5 large dairy farms) • Guatemala: 10 tourism companies from Panajachel • WEC partnerships: 44 agreements between participating SMEs and either sectoral association or their client MNE

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Success Story 11: Cleaner Production Private Sector Partnerships

Supported through CAFTA-DR Environmental Cooperation, a public-private alliance of Counterpart In 2009, the World Environment Center (WEC), in partnership with Wal-Mart Stores, Inc., launched a major initiative to increase cleaner production and energy efficiency practices in two countries, El Salvador and Guatemala. The initiative is supported by the "Cleaner Production Private Sector Partnerships" project funded through CAFTA-DR under a Cooperative Agreement between WEC and the U.S. Department of State—Bureau of Oceans, Environment and Science (OES).

WEC has provided technical assistance to more than 24 of Wal-Mart's small and medium (SME) local suppliers in how to save energy and water; reduce waste, consumption of raw materials and emissions; implement environmental management systems; and access financial resources. This partnership is playing a crucial role in promoting sustainable economic development in the local communities where the SME suppliers operate. Wal-Mart sees the project as contributing to creating a sustainable supply chain for its stores.

Source: CAFTA-DR Environmental Cooperation (http://www.caftadr-environment.org)

Based on the data available, there has been progress made in improving the capacities of persons working with EMS, the viability and replicability of the EMS training program, and the acceptance of EMS as a viable and recognized private-sector approach to improving environmental performance.

ELE has made strong strides in both the establishment of environmental science curricula and courses (seven to date) in the area of cleaner production, EMS and environmental audits, which were vital in the concurrent presentation of the courses in Dominican Republic, Nicaragua and El Salvador, and the training of professors. Furthermore, a total of 15 EMS workshops/courses were delivered in Costa Rica, El Salvador, Guatemala, Nicaragua, and Dominican Republic to technical professionals assisting five companies in each country with the development and implementation of an EMS. It is important to mention that the program was initially developed in Costa Rica and El Salvador. In total, 112 persons were trained in EMS (technicians, consultants, university representatives). Notably, eleven organizations participated in the EMS implementation phase in Guatemala, including the MARN, Universidad del Valle de Guatemala, and local businesses, mostly from the food processing sector. Five companies in El Salvador participated in the EMS implementation and two financial institutions (Banco de America Central and Fedecrédito) participated as observers. Two of the consultants that were trained in the previous CCAD project conducted the EMS implementation training in this phase, suggesting the viability, replicability and high profile of the train-the-trainer approach that was originally planned for El Salvador and Costa Rica.

Summary of Immediate Result 1.3, Goal D

Result area	Indicators	Results achieved (see note)
Result 1.3 Environmental management systems adopted by the private sector	1.3.1 Number of persons (technicians, consultants) trained in environmental management system	• 112 persons trained in EMS (49 from Costa Rica and El Salvador) • Costa Rica: 5 DIGECA technicians trained and 17 professionals • El Salvador: 5 consultants (2008-2009) and 14 professionals • Guatemala: 4 Ministry Representatives, 6 University Representatives, and 19 technicians
	1.3.2 Number of businesses that adopt environmental management systems	• 24 businesses (Costa Rica: 9; El Salvador: 5; Guatemala 10; Nicaragua and the Dominican Republic: N/A)

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

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Based on the data available, it is not possible to discern the type of financing systems implemented by the private sector, nor is it possible to discern the number of businesses that are accessing the available financing.

However, in Costa Rica, a consultancy is being elaborated to develop financing regulation for cleaner production, the financial vehicles proposal (ELE) was presented to financial institutions and NGOs in Guatemala, Nicaragua, Dominican Republic, and Costa Rica in December of 2009, and one financial vehicle was developed, and is yet to be implemented. ELE has also developed a guide on financing opportunities for cleaner production, tailored to the Costa Rican context, and has delivered two workshops on it to consultants and private sector representatives. The up-take of these incentives is yet to be seen. One loan was disbursed (US$250,000) in Nicaragua (October 2009), under the Regional Clean Production DCA Loan Portfolio Guarantee.

From the baseline, there is progress that is being made in the number of businesses participating and honoring their non-financial, voluntary commitments and in the establishment and diffusion of technical, cleaner production norms, through collaboration with the National Council of Science and Technology (El Salvador) and the Ministry of Promotion, Industry and Trade (Nicaragua). ELE is presenting proposals for other (not prize-related) non-financial incentives but this is outside of the scope of the programming period. The terms of reference for the Green Seal incentive in Guatemala's hospitality sector have been presented to MARN, and a National Recognition System for Environmental Performance has been developed in Costa Rica with the support from the USAID/CCAD Agreement, and is awaiting its first edition. Finally, it is important to mention CCAD's support for the regional and national awards (Costa Rica, Guatemala and Nicaragua).

Summary of Immediate Result 1.4, Goal D

Result area	Indicators	Results achieved (see note)
Result 1.4 Incentives for cleaner production created and implemented by the private sector	1.4.1 Number/type of financing systems implemented for cleaner production	• 1 financing system designed and waiting for approval in Costa Rica
	1.4.2 Number of businesses that access the financing that supports cleaner production	• 1 loan was disbursed US$250,000 in Nicaragua under the Regional Clean Production DCA Loan Portfolio Guarantee
	1.4.3 Number of businesses that participate in the non-financial incentives (e.g. regional and national cleaner production prizes)	• 110 businesses participating in cleaner production regional and national prizes • Costa Rica: 10 businesses (5th edition of cleaner production regional prize) • El Salvador: 25 businesses (1 regional prize and 10 national prize) • Nicaragua: 22 businesses (7 regional cleaner production prize and 15 national cleaner production prize) • Guatemala: 32 businesses (22 regional prize and 10, 1st edition national prize) • Dominican Republic: 21 businesses participating in 4th and 5th editions of the regional prize
	1.4.4 Number/type of non-financial incentives created/developed	• Cleaner production regional and national prizes (complete editions) • 2 incentives in progress (Guatemala and Costa Rica)
	1.4.5 Number of applied technical norms in energy efficiency (PEC) (Nicaragua-Costa Rica-El Salvador) CCAD	1 regional technical norm – "Procedures for Accordance Evaluation" with BUNCA (Costa Rica, Nicaragua, El Salvador, Dominican Republic)

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Based on the available data, there is clear progress in the number of technicians trained in various training themes related to cleaner production, which in turn, involves specialized equipment to measure energy efficiency, savings (energy, water), wastewater and air quality – depending on the sector in question. It is unclear however if this is resulting in strengthened national centers of cleaner production, Since no data is available on the strengthening of such centers. Although there is indication of the central role the Universidad de Costa Rica will play in the University cleaner production framework as centers/leaders in cleaner production, this progress is outside of the scope of this programming period.

While there is a standard set of specialized equipment and instruments being used, the level of use is not certain and remains to be measured with increased use of the equipment. Further data is needed here to measure the level at which this equipment is operating and how it might contribute to increasing capacities of students and professionals using the equipment, thereby enabling them to improve environmental performance.

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Summary of Immediate Result 1.5, Goal D

Result area	Indicators	Results achieved (see note)
Result 1.5 Strengthened national centers of cleaner production	1.5.1 Number of trained technicians who apply the knowledge in their businesses	44 technicians (El Salvador: 8; Guatemala: 10; Nicaragua: 26)
	1.5.2 Number/type of training for each center	8 training sessions: • El Salvador: 4 – energy efficiency design of biodigester, food safety, and solar collectors • Guatemala: 1 – composting technologies of dead birds and other organic waste • Nicaragua: 3 – energy efficiency in refrigeration, thermal energy and solid waste management.
	1.5.3 Number/type and level of use of specialized equipment in each center	9 pieces of equipment: • El Salvador: 4 (flowmeter, decibel meter, humidity balance) • Guatemala: 3 (measurement instrument for wastewater quality, decibel meter, and an air quality and particle monitor) • Nicaragua: 2 (flowmeter, and measurement instrument for energy quality)

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

RESULT 2: A GREATER COMMITMENT OF THE PRIVATE SECTOR IN RESPONSIBLE ENVIRONMENTAL BEHAVIOR (CAPACITY AND INFORMATION) AND IMMEDIATE RESULTS 2.1, 2.2, 2.3 AND 2.4

Based on the data available, it is clear that practices and strategies of cleaner production and energy efficiency are being adopted and utilized by a large number of businesses, across multiple sectors and countries of focus (Costa Rica, El Salvador, Nicaragua and Guatemala).

This progress is most clearly demonstrated in the multiple WEC-private sector partnerships through the level of savings demonstrated in terms of the reduction of greenhouse gas emissions and energy/water use, reduction of waste/pollution, and notable economic savings. See the Summary table directly below for the outlined quantitative savings.

Summary of Immediate Result 2.1, Goal D

Result area	Indicators	Results achieved (see note)
Result 2.1 Practices and strategies of cleaner production and energy efficiency adopted and utilized by private sector businesses	2.1.1 Number of exchanges between businesses/institutions	5 exchanges (21 professionals participating – private and public sector)
	2.1.2 Existence and number of guides or technical material developed, including training materials and case studies on cleaner production, by sector	• 4 guides and manuals • 1 regional cleaner production manual for swine sector • 1 regional AVPML guide • 1 regional guide for integration of national suppliers in supply chain • Nicaragua: 1 tannery guide
	2.1.3 Number of businesses that have adopted cleaner production and/or energy efficient technologies	• 99 businesses • Costa Rica: 4 abbatoirs, 3 service firms/companies • El Salvador: 48 businesses (through technical assistance, AVPMLs and prizes) • Guatemala: 35 companies: 13 through technical assistance and 22 through national/regional prizes • Nicaragua: 3 dairy businesses • Dominican Republic: 6 businesses
	2.1.4 Percentage reduction in the consumption of energy/water/raw material/hazardous substances by unit of production in each sector	• 5 to 15% energy, water, and/or environmental pollution savings per unit of output identified in each SME (all WEC partnerships identified) • 1000 tons of GHGs , measured in metric tons of CO2 equivalent, reduced identified in each SME (all WEC partnerships identified)
	2.1.5 Level of economic savings by measures implemented	• Total annual savings: US$491,692 (see note) • US$291,692 annual savings resulting from WEC-private sector partnerships in Guatemala and El Salvador • US$200,000 annual savings resulting from the implementation of the actions plans (Costa Rica and Nicaragua)

Note: Based on the data available in WEC progress reports this is the total annual savings for all WEC action plans carried out through the following partnerships: Costa Rica (WEC-Marriott Hotels and WEC-Coca Cola/FEMSA Partnerships); Nicaragua (WEC-CADIN and WEC-APEN); El Salvador (WEC-ANPROLAC Partnership, Dairy Sector; WEC-Wal-Mart Partnership); and Guatemala (WEC-Wal-Mart Partnership in Guatemala with 19 suppliers; WEC-APEHGUA Partnership, Hotel Sector, Guatemala). For a break-down of partnership specific savings (energy/water/wastewater; loss of milk, recovery of cheese, etc) consult the progress reports for Fiscal Year10 Q3 (April to June 2010) for initiatives in El Salvador, Guatemala, Nicaragua and Costa Rica. This number is therefore an approximate US$500,000.

Based on the data available, there is strong progress in this result with a large number of trained professionals applying their knowledge to produce the specific environmental performance improvements. It is unclear however the specific types of materials prepared and if and how they have improved the capacities of numerous stakeholders involved in cleaner production.

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Summary of Immediate Result 2.2, Goal D

Result area	Indicators	Results achieved (see note)
Result 2.2 Improved capacities of stakeholders involved in cleaner production	2.2.1 Number of professionals/ technicians trained in cleaner production who apply their knowledge	• Approximate total of 650 professionals trained • 100+ trained on cleaner production policies, strategies, skills, and techniques (El Salvador and Guatemala) – WEC • 50+ trained on cleaner production policies, strategies, skills and techniques (Costa Rica and Nicaragua) – WEC
	2.2.2 Existence of training material for cleaner production	Cleaner production training material prepared for each training session (in archives and re-used)

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

Based on the data available, progress has been made on this result, particularly in the organization of the Expo Ambiente in 2007, the two national cleaner production fairs and the development and distribution of relevant cleaner production manuals and guides. Although the events and publications have reached the public, there is no data available on the effectiveness and reach of either communication medium, and it cannot be determined whether the guides developed are all suitable and geared towards the public. So although the access has been improved for the public, the focus and scope of the media of choice is uncertain.

Summary of Immediate Result 2.3, Goal D

Result area	Indicators	Results achieved (see note)
Result 2.3 Improved access to information on cleaner production for the public	2.3.1 Number of fairs	2 national cleaner production fairs (El Salvador and Nicaragua)
	2.3.2 Number/type of cleaner production promotion events 2 regional events:	• Environment Expo 2007 – Cleaner production stand • Launching of Regional Award for Cleaner Production
	2.3.3 Level of dissemination of the guides	No data available
	2.3.4 Number/type of publications made/disseminated	• 5 publications • 1 regional AVPML guide (all countries) • 1 regional guide for integration of national suppliers in supply chain • 1 cleaner production manual for the swine raising sector • Costa Rica: cleaner production manual (tannery) • Nicaragua: Successful cleaner production cases, excellence prize for 11 businesses
	2.3.5. Number of people who received publications and/or attended events	322 people for both publications and events

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

It is difficult to measure or get a holistic picture of the efficiency in the promotion of cleaner production strategies based on data available. However, progress can be noted by the number of private/public alliances established, and in the promotion and visibility of cleaner production strategies, although there is no data available to measure effectiveness and efficiency resulting from either the overseer meetings or private sector roundtables. Notably, nine alliances were signed (El Salvador and Nicaragua) with regional and international buyers committed to promoting environmental and labor best practices/standards in their supply chain (SUCAP, Super Selectos, Melones del Sol, Wal-Mart, Fomilenio (El Salvador), and Acordar (Nicaragua) Projects, Dole, Fruitrade, Del Tropic Foods and M.T. Alegria). Also to be noted is the existence of a commission established to follow up on voluntary commitments to ensure all are complying with their commitments.

Summary of Immediate Result 2.2, Goal D

Result area	Indicators	Results achieved (see note)
Result 2.4 Greater efficiency in the promotion of cleaner production strategies	2.4.1 Number of private/public alliances to promote the implementation of cleaner production practices within the private sector	• 9 Alliances signed • Follow-up commission to AVPML in alliance with CORFOGA and ASPORC in Costa Rica • Cleaner production training material prepared for each training session (in archives and re-used)
	2.4.2 Number/frequency of meetings regarding the theme	Meetings every two months regarding follow-up to AVPMLs and support to participating companies/businesses
	2.4.3 Number/roundtable themes for the private sector	No data available

Note: While data is presented, validity, accuracy and reliability of data cannot be verified and these figures should be used simply as a general snapshot of results achieved to date. It should equally be noted that data is not necessarily cumulative, but based on one quarter.

2.5 Sustainability

This section examines the following topics: the strategy for the continuation of ECP activities/initiatives; the sustainability of the ECP benefits; the private sector and sustainability for results of the ECP; and improvements for better sustainability.

2.5.1 Strategy for the Continuation of ECP Activities/Initiatives

While there is no viable strategy in place for the continuation of all ECP activities, a strategy does exist for some projects and programs. BORSICA, for instance, is no longer receiving funds, but works to perfection. In order to ensure the sustainability of these types of ECP activities, it is important to approve the legal instruments, as well as the technical norms, policies, and regulations, that have been developed by the implementing agencies. Along these lines, it is important that the cooperation agenda become institutionalized at the regional level. As well, it is important to seek synergies and partnerships in the region to obtain or achieve the sustainability of the CAFTA-DR. CCAD, for example, contains archives that can be of use to other agencies that can serve to better these synergies and partnerships.

Recently, the DOI has utilized these sorts of synergies and partnerships to develop a sustainability plan and share it with TRAFFIC and HSI. This joint implementation plan is working to achieve sustainability through the development of a CITES professionals committee. A Forestry Professionals Committee exists as well, which seeks to involve CITES and societies' tools with those who are meeting annually and make them accessible on the CCAD website. It is important to empower the heads of CITES management

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authorities, such as INBio and ICN, so that there is a connection among all efforts. The DOI plans to do this through a regional CITES experts meeting early next year, where sustainability of progress will be a major topic.

For both HSI programs, activities are included to ensure sustainability. For the Cacao Program, as mentioned, local technicians are hired that will continue working with producers to maintain their certified status. With respect to the CITES program, HSI has qualified trainers to continue training in the future.

2.5.2 Sustainability of the ECP benefits

CAFTA-DR countries are capable of taking the program and its benefits to the next level. In other words, they have at least the basic tools to ensure the continuation of the program. However, they must properly allocate staff and resources as well as give priority to sustainability in order to ensure the long-term benefits of the ECP. One implementing agency noted that while these benefits are currently sustainable at the micro-level, they are not sustainable at the macro-level.

The Rainforest Alliance in Costa Rica has developed programs to support the sustainability of the benefits of CAFTA-DR through the maintenance of eco-friendly traditions. Rainforest Alliance fosters implementation of best management practices that ensure maintenance or improvement of coffee quality. The coffee producers in Costa Rica, for example, sell their products to companies that give additional incentives for producing certified products. In general, certified coffee gets better price and sustainable management improves social and environmental conditions. These incentives will be essential in maintaining the ECP.

For the Cacao Program of HSI, producers will keep using the "best practices" they have learned while the certification will continue to help train staff. For CITES, the trained officials and NGOs have the material knowledge to continue training and implementing the Convention; however, additional future funding may be needed to monitor and ensure there is continued training.

Along these lines, one POC believed that the efforts with the cooperation are in fact sustainable. Efforts relating to regulatory and policy development have been institutionalized; not only at the ministerial level, but also at the state level where the policy-making processes occur. As a result, there is a feeling of satisfaction that the activities, and thus the benefits, will continue to be enforced properly. In conjunction with this enforcement, institutional development will continue to support sustainability.

A viable sustainability strategy for training programs and the mitigation of possible staff turnover is in progress. This strategy incorporates universities, the private sector, and the government to ensure sustainable training. The idea is to continue working together. Personnel must not only be trained, but must also keep the know-how for the arrival of new personnel. In conjunction with keeping these trained individuals, the continued offering of university courses will maintain respective training programs. A greater commitment from the governments will help make this training sustainable in the long-term.

Problems persist, however, as witnessed in the experiences of some implementing agencies. The EPA, for instance has trained over 400 people on subjects including enforcement training, judicial environmental training, wastewater management training, among others. Despite this success, problems arise because many of the individuals trained become consultants and consequently, the Ministry loses capacity. One possible solution to this problem is the signing of a contract that states that the individual cannot leave within the year following the training. The more viable strategy, however, is, as mentioned, to give universities training and incorporate the training into the curriculum.

The DOI has produced a similar recommendation. Through universities, scientists and other experts, more benefits can come about to generate proper training. Addressing the call for a new authority or new course created by these individuals, and not only the government, will reap more benefits. As well, through integrating this training at a national level, a regional library that is updated annually at a CITES meeting can be more adequately put to use.

In light of these types of recommendations, the DOS/OES has recognized that it is crucial to ensure that these trainers are now training. With regards to standard operating procedures, in particular, tracking mechanisms and templates that trace quantitative and qualitative data are being institutionalized. This type of mechanism has never been implemented before, demonstrating the impressive nature and sheer size of the institutional culture that supports the program.

As well, in conjunction with the Lexington Group, ELE has been working with universities in an effort to organize a group to train trainers. Overall, this implementing agency has found a viable sustainable strategy in place for training programs, who provided statistics support of their training (i.e. two technical people are being trained in each of their laboratories).

HSI has worked to develop manuals, websites, an animal handling curriculum, and an environmental education curriculum to ensure that information stays in the region at the end of the program and is readily accessible in hard copies and electronically.

Regarding the incorporation of the private sector, the RENAEPA experience in the Dominican Republic also provides a viable strategy for sustainable training. While CAFTA-DR funds are lacking to strengthen the business network, the organized private sector, in support of conservation, provides a certain interpretation to adequately comply with activities and standards. The Dominican Republic ensures that efforts within the private sector with clean production are not merely another attempt at sustainability; but rather, a success and know-how that remain intact. Through the creation of a checklist, the requirements to compete in the businesses network will be established, and will be followed by commitments to maintaining sustainable training practices.

Lastly, in order to maximize the sustainability of the training sessions provided, implementing agencies must make sure that when employees join scientific and management authorities, training, and capacity-building are incorporated.

2.5.3 Improvements for Better Sustainability

Three main aspects necessary for the sustainability of the program: the first aspect is regarding the political buy-in of the ministers. The environmental ministries must have a clear vision of what the program is and need to understand that the program is oriented towards its national priorities. Second, the program must define the role of the POCs. This role must include details regarding coordination and the facilitation of cooperation. Lastly, the program must have a good technical counterpart from both the government and private sectors in order for the implementing agencies to have continuity and sustained dialogue.

Despite these improvements, there are many questions that still must be asked to address the program's continuity. For example, now that the beneficiaries have had access to new assets, what is the best strategy to ensure their sustainability? Implementing agencies must ask their project leaders this question for all parties to know how exactly each project can be sustainable.

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To the extent that future funding is available, one implementing agency claimed that DOS/OES should continue working with existing implementing agencies and their partners to take advantage of acquired experience and establish partnerships that will enable the implementing agencies to continue working on existing objectives or adapt work plans to meet long-term goals.

The decision-making process still needs to be addressed. The program needs to focus on what can be achieved through cooperation, rather than what can be achieved through simply complying with the implementing agencies.

III. LESSONS LEARNED AND RECOMMENDATIONS

The findings and analyses discussed in this part of the report pertain to five key criteria that were examined by the OAS-DSD, namely: relevance, appropriateness of design, efficiency, effectiveness and results achieved, as well as sustainability. The facts and observations outlined in this chapter address the various questions that were featured in the evaluation matrix, found in Annex 6.

3.1 Lessons Learned

- The lack of initial clarity on the objectives of the ECP has created much confusion on the direction the ECP should take. Furthering efforts towards more clarity on objectives would be necessary prior to the start of the next ECP cycle.

- Engagement of recipient countries of the CAFTA-DR cooperation in the design of ECP cycles in the early stages is essential.

- It is important for POCs to be able to follow through with the agenda and have greater autonomy and control with respect to what is being implemented.

- With respect to the public events that have been held to promote CAFTA-DR, there is a need for highlighting the ECP to raise awareness about the state of the environment in the CAFTA-DR region and advances in environmental management as a result of trade related cooperation.

- Up-to-date, specific (country-specific and detailed in terms of language and definitions), results-based reporting cannot be underestimated both in terms of correctly relaying information on results achieved by each implementing agency and on the needed improvements. Only then can the ECA-specific contribution of a particular initiative be fully understood.

- Synchronizing relevant organizational outcomes with CAFTA-DR outcomes, and in turn, indicators have the potential to improve program-specific reporting. The same goes for the synchronization of like outcomes between specific initiatives which could serve for better regional and thematic cooperation between implementing agencies.

- Results-based reporting with strategic indicators enhances effective monitoring and reporting processes. A clearer focus on intermediate outcome indicators is necessary for CAFTA-DR if the current implementation phase is extended. The current framework is heavily activity and output focused with indicators which attempt to count numbers of participants in training and workshops. While this information may be useful in determining reach in each participating country, it does not allow for the measurement of changes in environmental protection, wastewater management, natural resource management and all other areas under the Environmental Cooperation Agreement.

- An important lesson learned regarding the design and implementation of the ECP is the fact that political will is essential to the implementation of the technical aspects of the program.

3.2 Recommendations

The OAS-DSD proposes the following recommendations, based on interviews, documentation review and data analysis performed for this evaluation.

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3.2.1 Relevance

- A level of strategic planning is necessary to ensure country ownership and shared responsibility among partner countries in the ECP. Additionally, at the country level, it would be necessary to articulate and define the priority areas within the program that need support and continued funding.

- POCs require access to high level authorities and decision makers. This facilitates POCs role in articulating the environmental cooperation agenda. This is key for an adequate follow-up and orientation of the ECP by any government.

- A mechanism could be established to provide some room to adjust priorities and identify activities to be implemented that can satisfy new country needs.

3.2.2 Efficiency

- It is necessary to develop a clear strategy to disseminate the results of the ECP among the CAFTA-DR countries' population, including responsibilities for specific achievements.

- Implementing agencies should find additional channels to communicate between themselves, especially if they are contributing to same results and therefore reporting on similar indicators in order to enhance coordination.

- POCs should identify the best communication system amongst each other at the national and regional levels to ensure consistency in the political messages relating to the execution of the ECP.

- Inter-agency cooperation at the funding decision level could be improved in order to more effectively ensure implementing agencies are more aware of where funds are coming from; regional meetings could be utilized as a means of ensuring communication; the effort developed for the systematic planning of activities through the online calendar must be adopted by implementing agencies in order for these activities to be planned efficiently at least three months in advance.

- The OAS-DSD should revise the national and regional PMFs and find intermediate level indicators that go beyond process in coordination with POCs and implementing agencies, keeping in mind these indicators should be strategic and realistic to measure.

- The implementing agencies should provide cumulative data on their progress using the template designed by the OAS-DSD. This would not prevent the implementing agencies from reporting in their original template to DOS/OES and USAID, nor on reporting contextual and qualitative information. An appropriate revision of this reporting template provided this year for the monitoring of CAFTA-DR ECP is necessary, with the support of the coordinating and implementing agencies to ensure the full buy-in in this monitoring process.

- The OAS-DSD should consider revising data collection tools with implementing agencies for their corresponding indicators, to optimize the data collection process for the CAFTA-DR monitoring template and to ensure all outcome indicators are covered adequately.

- The number of indicators used should be reduced, particularly between the ones that are very similar in nature. There should be a greater consensus between implementing agencies on the choice of indicators that are common between them, in order to consolidate them and eliminate the ones that are not absolutely necessary or are not SMART by nature.

- Further efforts should be pursued towards baseline collection and data disaggregation regarding the ECP.

- A simple IMS should be developed with regards to the regional data collected by the OAS-DSD, classified by overall objectives to facilitate the follow-up on regional progress. This system would hold all data and be able to generate consolidated results more easily.

3.2.3 Effectiveness

- The ECA provides opportunities to enhance the policy, legal, and regulatory framework for CAFTA-DR countries and thereby create incentives to conduct operations in an environmentally sound manner. Mainly, the legal framework on environment issues in the region relies on command-and-control instruments that are monitoring intensive. In this regards, it would be appropriate to further efforts on market based conservation and work on establishing incentives to promote compliance accompanied by credible sanctions that are based on clear and cost-effective standards.

- With respect to the training sessions, the issue is not determining the number of people who have participated in a session; but rather, identifying the longer-term benefits of these trainings. In spite of these problems, training sessions as a whole have in fact been successful. In light of this success, stakeholders agreed that the trainers must stop being trained and, instead, begin to train.

- Integrate available environmental information in CAFTA-DR countries and use it as a fundamental instrument for decision making, public participation, and accountability.

3.2.4 Sustainability

- Implementing agencies should revise and update their sustainability and "exit" strategies as the ECP is coming to its end. Each strategy should delineate clearly what steps are going to be taken to ensure lasting results for the recipient countries.

- Bringing in the universities or research institutes and providing training and making them part of the curriculum so students come out with the training and knowledge that they can apply in their work could be a good strategy to get the most benefit from the training sessions. This is a key component of sustainability that should be considered for all trainings under the ECP.

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IV. CONCLUSION

Despite challenges in the planning, implementation, and evaluation of the cooperation, the OAS-DSD believes this report adequately depicts the progress of the region. The cooperation has cultivated progressive experiences and benefits, reinforcing the processes in place. As well, success stories have helped to highlight this progress, promoting awareness of the ECP throughout the region in addition to improving its overall implementation. CAFTA-DR countries are capable of taking the ECP and its benefits to the next level. In other words, they have at least the basic tools to ensure the continuation of the ECP. However, staff and resources must be properly allocated and sustainability must be prioritized in order to ensure the long-term benefits of the ECP.

Progress on the M&E front will be made as more robust RBM approaches are used in the CAFTA-DR ECP. There is a clear need to work in the future with indicators that measure more long-term expected results, as opposed to focusing on inputs by each implementing agency. The OAS-DSD also acknowledges the importance of implementing agencies conducting baseline studies in future implementing cycles as well as providing baseline information in order to demonstrate change since the beginning of the intervention.

While implementation of the cooperation has generally been efficient, clearer communication with respect to the roles and responsibilities of all stakeholders would prove beneficial. This method of communication would serve to improve the coordination of the program to ensure coherency in the implementation of projects. Issues with timeliness are a constant source of conflict throughout the cooperation, and improvements in communication would serve to ameliorate these issues. Furthermore, they would facilitate a more adequate implementation of projects, and thus produce more results throughout the program in general.

The ECP has attempted to involve all stakeholders to promote public participation—not only in the design phase of the project, but also in the implementation and validation of the products and in environmental decision making in the region as well. Countries are now more aware of the importance of public participation and transparency through the more widespread availability of information.

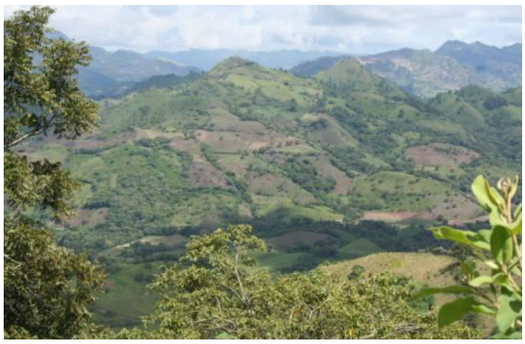
Despite these improvements, there are many questions that still must be asked to address the program's continuity and effectiveness. For example, now that the beneficiaries have had access to new assets, what is the best strategy to ensure their sustainability? Through proper coordination and in-depth analyses, such as those produced in this report, the OAS-DSD believes that steps can be taken to address these types of questions to facilitate progress, and ultimately achieve and demonstrate the impact with regards to the goals of the CAFTA-DR Environmental Cooperation Program.

ANNEX 1. FIELD VISITS

Field Visit No. 1

Projects: Establishment of agro-forestry systems in the Miraflor-Moropotente protected area (Esteli) and the Agro-forestry Development in the Tepesomoto Natural Reserve (La Pataste Madriz)

Implementing agency: USFS



Farmers in Nicaragua are improving the natural resources management of 408 ha of land while increasing the earning potential of their farms. In the Department of Estelí and Madriz, USFS implements two projects that aim to restore farming lands through the establishment of agro-forestry and pastoral productive systems. These projects, Establecimiento de sistemas agroforestales en el área protegida Miraflor-Moropotente (Esteli) and Desarrollo Agroforestal en la Reserva Natural Tepesomoto (La Pataste Madriz), seek to enhance the capacities of producers to improve yields through conservation agriculture and the integration of environmentally friendly practices that are part of the production system. Funding of approximately US$686,000 for the second phase of work in Miraflor and the initial phase of work in Tepesomoto began in May 2009 and has benefited a total of 208 producers.

Field visits conducted by OAS-DSD demonstrate that both projects have helped in the diversification of crops by producers, including fruit trees, cacao, and hay, among other trees. The establishment of more sustainable forest and agriculture systems has also had a direct impact on water and soil conservation. The producers are supported by project extension workers who provide technical advice and share best production practices such as the production of organic fertilizer; the use of green fence to delimitate the lands; and the making of natural and organic bacteria and traditional pest control products (i.e. through the use of garlic, organic soap and other plants). Other production techniques include the cultivation of coffee under forest cover, including fruit trees, which also serves as a source of income and sustenance for producer households; banana tree (musacea) plantations to provide shade for the coffee; use of improved types of grass and fodder for livestock; and terracing to improve green cover (i.e. cacao and chaya). Producers have also been trained in soil conservation, reforestation techniques, bio-fertilizers, and planting coffee using curves.

"*With respect to grass seed, the livestock has gained weight and now produces more milk. As a result, they produce up to more than three liters a day, which represents an increase in family income because there is more milk to sell.*" — Project Technician

The OAS-DSD visited more than 20 producers; all of whom reported increased savings due to lower costs associated to the use of organic fertilizer instead of more costly agro-chemicals. Despite the project being relatively new and the fact that changes in yields are unknown, it is clear that there is potential for improved incomes through organic farming. Nicaragua in itself is conducive to organic certification because of the high quality of the coffee it produces.

The Desarrollo Agroforestal en la Reserva Natural Tepesomoto project, which is implemented within a natural reserve, has interestingly enough promoted socio-economic alternatives to ensure protection of the area while also ensuring socio-economic improvements. Production of coffee under forest cover

is one technique in line with these efforts to protect the environment, maintain the animal and vegetal biodiversity, and protect the soils in the reserve, while creating tangible economic opportunities for the producers. Producers are enriching their soil without crop burning, which has resulted in a 30% reduction of forest fires in the region.

The communities in this area are also equipped with forest management plans and agro-forestry, soil, and water conservation plans to ensure the sustainability of the new practices adopted and the benefits that have ensued. Producers were also equipped with specialized material (i.e. seeders, sprayers for organic inputs, and green fence wiring).

Producers are very clear about the benefits they gained from the projects:

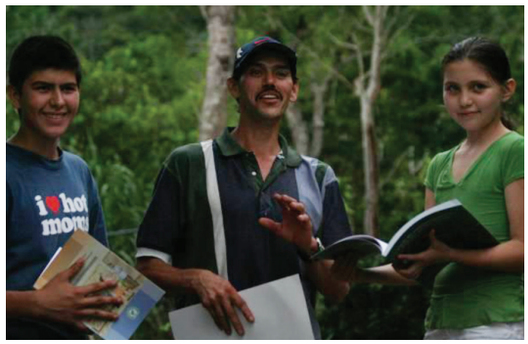
"With this project, we have better living conditions because we eat a more balanced diet; we have plantains, avocado, fruits. What we have to do now is maintain the cultivation and look for markets [...] As producers with this project, we provide resources, labor and tools [...] All that we do is for the future of our children and grandchildren." — Beneficiary

"At the beginning, we did not take the project seriously. Project managers had never consulted us regarding what we needed, or requested that we be honest as to if we were actually working or not. Projects came here that brought money and left. This is different, because the technicians advise us and we decide what we are going to do [...] The project provided us with training in organic fertilizer and waste management. Now that we know how to better conserve nature, we have higher incomes and my land has greater value." — Beneficiary

Field Visit No. 2

Project: Strengthening Existing Sustainable Agriculture Initiatives in the CAFTA-DR Region to Meet Growing Market Demands for Rainforest Alliance Certified Farm Goods
Implementing agency: Rainforest Alliance

More than 1,000 coffee farmers have succeeded at certifying land in CAFTA-DR countries. Since 2008, Rainforest Alliance has been working with coffee producers in Costa Rica, El Salvador, Nicaragua, and Guatemala to increase the value added of their production through the implementation of environmentally friendly and socioeconomically good practices leading to the certification of coffee (Rainforest Alliance Certification). They have also worked with Chiquita Brands International to reduce the social and environmental impact of banana production under the same certification scheme. The OAS-DSD visited one coffee producer and one manager of the Chiquita Company in Costa Rica to assess the results achieved by Rainforest Alliance personnel.



These initiatives were led under the project Strengthening Existing Sustainable Agriculture Initiatives in the CAFTA-DR Region to Meet Growing Market Demands for Rainforest Alliance Certified Farm Goods. Rainforest Alliance has provided capacity building opportunities to the producers in the following areas:

- Adequate management of agro-chemicals;
- Business development;
- Bookkeeping;
- Integrated waste management practices;
- Integrated pest management (IPM) (Broca), fertilization, and pruning.

Overall, 92 coffee producers (in Costa Rica) have been trained by Rainforest Alliance extension technicians to adopt new fertilizing practices, resulting in approximately 208 hectares under improved production management in the San Ramón and Alajuela areas.

The producers were selected based on their motivation to participate in the program as well as their capacity to integrate new environmentally friendly practices taught in the workshops held by Rainforest Alliance. Each producer signed a letter of intent and attended the trainings provided to the group in their community.

During the field visits conducted by OAS-DSD, coffee producers expressed their high level of satisfaction regarding the benefits they had gained since becoming part of the project. In terms of environmental benefits, producers have replaced chemical-based inputs with organic fertilizers and have no longer practiced dry culture burning of fertilizers. In addition, wastewater has improved and organic and inorganic wastes have been separated and treated. Green fences, as well, have been constructed to improve waste management practices in an effort to qualify for Rainforest Alliance certification, which has resulted in better overall market prices. Other benefits include the establishment of a social-environmental management system for the farm, biodiversity, soil and water conservation, fair treatment of workers, occupational health and attention to safety. Furthermore, initiatives now include environmental education among producers and their families—a key element for certification.

Tangible skills include bookkeeping and the calculation of expenditures and revenues in order to make informed decisions on areas for further investment, as well as ensuring that they are receiving fair prices for their coffee. Coffee producers are now able to sell their coffee to companies that provide additional incentives for producing a certified product.

"This program has been very useful for us because we are able to work differently using sustainable practices for coffee production. Now, we know the importance in producing certified coffee and its benefits for the environment and the community. I'm aware and proud that my practices allows for wildlife protection." — Coffee Producer

The coffee producers are proactive in explaining to other producers that are not part of the program about the benefits of certified products. With the support of Rainforest Alliance, this has led to both formal and informal knowledge transfer between producers. Rainforest Alliance experts shared their knowledge on using more environmentally friendly practices, increasing production and making products more competitive in the market. Coffee producers also expressed their satisfaction with regards to the improved quality of coffee produced through new techniques, which contributed to additional income.

"We are making significant efforts and investments in building capacity in order to increase markets for certified products. We are creating sustainable value chains, we help produce and at the same time we are creating a market for their product." — Rainforest Alliance Project Manager

Rainforest Alliance contributes in building the capacity of technicians and producers in sustaining social and environmental best practices by transforming land-use practices. Rainforest Alliance has equally been innovative in its approach, ensuring the use of traditional practices that are more environmentally

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friendly and have historically been used in coffee production. The social aspect of the Rainforest Alliance certification is a key factor in achieving the integration of sustainable practices. This includes more secure practices for the producers and their families, as well as better incomes and recognition of ancestral, environmentally friendly practices and local culture. It is essential that the certification bring clear social and economical benefits for each producing family.

Despite these successes, Rainforest Alliance is also aware of the challenges related to the expansion of their program to other producers given their limited resources. Linking sustainable agriculture to government work plans will be essential for its continued success.

Further, Rainforest Alliance has provided guidance to Chiquita, a large-scale company that has had an important impact on the environment, by encouraging them to adopt more environmentally friendly practices in their banana production; no prohibited chemicals are used in certified farms, and integrated pest management is promoted. Given the significant biodiversity surrounding the Nogal region in Costa Rica, where Chiquita maintains its plantations, Rainforest Alliance has proposed to Chiquita, jointly with the local government of the Sarapiquí community, GTZ, and a Migros supermarket, a forest management plan to create a biodiversity corridor. This "San Juan de la Selva" corridor, located in the Mesoamerican Biological Corridor area which connects wild forests from Mexico to Panama, would allow animals to "cross" the different plantations owned by Chiquita. The company has responded positively and has developed a small forest reserve where it is possible for tourists to walk and discover the biodiversity of the region.

Chiquita also adopted many techniques promoted by Rainforest Alliance to increase the safety of the local population and producers, such as security perimeters to ensure that spraying does not occur in non-production areas. Rainforest Alliance also intervened in sharing practices of soil conservation, such as leaving dead trees and leaves on site to enrich the soil, as well as green fences to delimitate the plantations.

In terms of employment safety, new rules for equipment operation and use of chemicals have been applied. Chiquita is now paving the way to a broader participation from larger companies producing fruit in Central America, showing that the use of very simple methods to reduce the impact of these plantations on both environment and health are cost-effective and economically beneficial in the long term. Rainforest Alliance is perceived in the region as being a champion for corporate social responsibility, and the results achieved to date are promising for the sustainability of its interventions under CAFTA-DR Environmental Cooperation Program.

"Sustainability is a key element in our programs. The Environmental Cooperation Program is consistent with Rainforest Alliance's work plan on sustainable agriculture. We develop a strategy in order to add value to the supply chain (from the producer to the market). We promote a sustainable agriculture program. We help producers to obtain a certification if we already have a market for potential Rainforest Alliance Certified food product." — Rainforest Alliance Project Manager

Field Visit No. 3
Project: Organic Certification
Implementing agency: HSI

The OAS-DSD had the opportunity to conduct field visits to cocoa plantations in Talamanca, Costa Rica, where HSI implements organic certification projects. Visits to three producers were conducted, who explained the support they received from HSI and the benefits they gained from their participation in the projects. HSI decided to focus its projects around the capacity building of cocoa producers given the importance of cocoa plantations as ecosystems for diversified wildlife and vegetation, linking the projects to CITES and wildlife conservation. Cocoa plantations are considered one of the most adequate environments to

conserve biodiversity and offer a suitable habitat for wildlife. HSI support constitutes part of their "Trade Development" program, which is directly linked to CAFTA-DR Environmental Cooperation Agreement. HSI developed a training program for cocoa producers and supported the establishment of greenhouses as well as the provision of cocoa trees. Producers increased their production capacity to include appropriate cultivation techniques, pest and disease control, and the use of organic fertilizers. During the field visits, the OAS-DSD observed the level of biodiversity in each cocoa plantation. In addition to the abundance of indigenous trees and intercropping with cocoa trees, monkeys, squirrels, lizards, birds, and insects were observed in great numbers in the different plantations visited.

HSI partnered with a local organization of producers known as APPTA (Asociacion de pequeños productores de Talamanca) in order to reach out to the producers and operate the greenhouse. APPTA, with the support of HSI, employs technicians working in the greenhouse and distributes cocoa plants to the participating producers in the project. Depending on their production capacity, between 30 and 50 new plants are usually distributed to the farmers.

APPTA members also received training with HSI funding on organic cocoa certification. Its members will soon sell products (most likely by 2011) that are 100% certified under Eco-logica S.A. at higher prices (the producers will get higher amount for their cacao, thus improving their economic livelihoods). At this rate, it would be possible to assess the difference of incomes the producers have acknowledged, and evaluate the contribution of the project for this improvement by the end of next year. The work performed by HSI appeared to be highly complementary to APPTA. Their projects are being combined with APPTA services, which are part of the HSI sustainability strategy, as capacities are being transferred at the institutional level, increasing the chances to see a change in the practices of cocoa production in the long run. As well, training focused on accessing other sources of funding.

"We trained the trainers and technical people. Then, small farmers organized their own training sessions with technicians. By doing this, we are creating knowledge chains." — HSI Project Manager

From the field visits, the OAS-DSD confirmed that the HSI project allowed the producers to better understand how to manage their cocoa farms more effectively. The HSI technicians provided close accompaniment to the producers who could access extension services and advice for cocoa production, monitoring growth and management of pests and diseases, as well as harvesting techniques and processing for exportation in APPTA drying installations. The producers were equipped with a management plan that provided them with a base to calculate their expenditures and revenues, identify problems and solutions, and monitor the overall progress of their plantations.

"Our knowledge and experience in Talamanca, particularly in the cocoa sector was essential in the development of our program. We knew farmer's needs and potential stakeholders to have the best results and impact." — HSI Project Manager

The monitoring process should continue in the coming years to assess if the producers have increased their revenues as a result of the project, while contributing to preserve the biodiversity in the region.

ANNEX 2. POINTS OF CONTACT AND IMPLEMENTING AGENCIES

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The following table lists all the POCs who are involved in CAFTA-DR activities

Country	Name of POC	Sector	Government department
Costa Rica	Patricia Campos	Environment	Ministry of Environment, Energy and Telecommunications (Ministerio de Ambiente, Energía y Telecomunicaciones, MINAET)
	Alejandra Aguilar	Trade	Ministry of Foreign Trade (Ministerio de Comercio Exterior, COMEX)
Dominican Republic	Rosa Otero	Environment	Ministry of Environment and Natural Resources (Ministerio de Medio Ambiente y Recursos Naturales, SEMARENA)
	Ariel Gautreaux Guzmán	Trade	Ministry of Industry and Trade (Ministerio de Industria y Comercio, SEIC)
El Salvador	Salvador Nieto	Environment	Ministry of Environment and Natural Resources (Ministerio de Medio Ambiente y Recursos Naturales, MARN)
	Celia Beatriz Lízama Sosa	Trade	Ministry of Economy (Ministerio de Economía)
Guatemala	Carlos Abel Noriega	Environment	Ministry of Environment and Natural Resources (Ministerio de Ambiente y Recursos Naturales, MARN)
	Ileana Maribel Palma	Trade	Ministry of Economy (Ministerio de Economía, MINECO)
Nicaragua	René Castellón	Environment	Ministry of the Environment and Natural Resources (Ministerio del Ambiente y los Recursos Naturales, MARENA)
	Cristián Roberto Martínez Morales	Trade	Ministry of Promotion, Industry and Trade (Ministerio de Fomento, Industria y Comercio, MIFIC)
United States	Robert Wing	Environment	U.S. Department of State, Office of Environmental Policy (DOS/OES)
	Kelly K. Milton	Trade	Office of the United States Trade Representative (USTR)

The table below lists all the implementing agencies associated with the CAFTA-DR, by coordinating agency and programmatic area.

Coordinating agency: DOS/OES	
Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws	
Environmental Laws, Regulations, Policies and Procedures	
Environmental Impact Assessment (EIA)	DOI, OSM
Wastewater Management	
Solid Waste Management	
Chemical and Hazardous Substances Management	
Air Quality Management	
Administrative Procedures for Filing Environmental Complaints	
Peer Reviews	
Environmental Law Enforcement, Governance, and Capacity Building	
Enforcement Training, Tracking, and Resolution of Cases	
Strengthening Environmental Legal Education	
Fisheries Enforcement	
Public Participation and Transparency to Support Informed Decision-Making	
Accessibility and Quality of Environmental Information	Helvetas Environmental Hub in the Embassy in Costa Rica
Public Involvement in Environmental Decision-Making	
Theme B. Biodiversity and Conservation	
Convention on International Trade in Endangered Species	DOI, TRAFFIC, WCS, HSI, ICRAN, FS, NOAA
Forest, Protected Area, and Sensitive Ecosystem Management	
Theme C. Market-Based Conservation	
Ecoturism	Rainforest Alliance, HSI, TS
Sustainable Agriculture and Forest Product Production	
Lobster Fisheries	
Theme D. Improved Private Sector Environmental Performance	
Policies and Incentives	WEC, E+CO
Environmental Performance Capacity and Information	
Public-Private Partnerships and Voluntary Agreements	

The table below lists all the implementing agencies associated with the CAFTA-DR, by coordinating agency and programmatic area.

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Coordinating agency: USAID	
Theme A. Institutional Strengthening for Effective Implementation and Enforcement of Environmental Laws	
Environmental Laws, Regulations, Policies and Procedures	
Environmental Impact Assessment (EIA)	EPA, ELE, NASA, CATHALAC, IRG, CCAD, MIRA, Chemonics, Abt Associates, EPP
Wastewater Management	
Solid Waste Management	
Chemical and Hazardous Substances Management	
Air Quality Management	
Administrative Procedures for Filing Environmental Complaints	
Peer Reviews	
Environmental Law Enforcement, Governance, and Capacity Building	
Enforcement Training, Tracking, and Resolution of Cases	DOI, IRG, HED, NOAA, EGAT, ELE, CCAD, Environmental Law Partnerships
Strengthening Environmental Legal Education	
Fisheries Enforcement	
Public Participation and Transparency to Support Informed Decision-Making	
Accessibility and Quality of Environmental Information	NASA, CATHALAC, IRG , CCAD, ELE
Public Involvement in Environmental Decision-Making	
Theme B. Biodiversity and Conservation	
Convention on International Trade in Endangered Species	Rainforest Alliance, Counterpart International, IRG, CCAD, DOI, USFS, IITF, OSPESCA
Forest, Protected Area, and Sensitive Ecosystem Management	
Theme C. Market-Based Conservation	
Ecotourism	WWF, IRG, Development Alternatives, CCAD, USFS, IITF, DOI, NOAA, EGAT, TechnoServe, Alianza para el turismo comunitario
Sustainable Agriculture and Forest Product Production	
Lobster Fisheries	
Theme D. Improved Private Sector Environmental Performance	
Policies and Incentives	EPA, IRG, PA Consulting, CCAD, DOI, EPA
Environmental Performance Capacity and Information	
Public-Private Partnerships and Voluntary Agreements	

ANNEX 3. LIST OF REPORTS EXAMINED

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The following is a list of all the reports that were reviewed in the course of the evaluation. This list indicates the period (i.e. quarters) for which reports were supplied to the evaluators.

Report (☒ = available; ☐ = not available)	2007				2008				2009				2010		
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
USAID-CCAD Informe Tercer Trimestre 2009-2010, Julio 2010 (Abril a junio del 2010) + Filled national PMFs														☒	
DOI CITES/Mining CAFTA-DR CITES Capacity Building and Mining Technical Assistance Progress Report (April 1 to June 30, 2010)														☒	
USFS USFS-IP Informe Trimestral – Nicaragua, Septiembre 2010; Cuatro trimestre año fiscal 2010															☒
ELE Environment and Labor Excellence for CAFTA-DR (April to June 30, 2010)														☒	
EPA EPA's Fiscal Year 2010 Quarterly Performance Report for USAID (April-June, 2010)														☒	
HSI-CITES (August 2008-August 2011) CITES and Capacity Building for the Central American Free Trade Agreement (Amendment; S-OESCI-08-CA-101), January 1 to March 31, 2010; April 1 to June 30, 2010; and July 1, 2010-September 30, 2010 + Filled national PMFs	☐	☐	☐	☐	☐	☐							☒	☒	☒
HSI. Sustainable Cacao Production (October 2008-July 2012) Sustainable Cacao Production and Biodiversity Protection (S-LMAQM-08-CA-099); April 1, 2010 to June 30, 2010 and July 1, 2010 to September 30, 2010	☐	☐	☐	☐	☐	☐	☐							☒	☒
Alianza para el Turismo Comunitario (2007 and 2008)	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☐	☐	☐	☐	☐
RA-Sustainable Agriculture (September 2008-July 2012) I. Strengthening Existing Sustainable Agriculture Initiatives in the CAFTA-DR Region to Meet Growing Market Demands for Rainforest Alliance Certified Farm Goods (S-LMAQM-08-CA-103); 1st April 2010 through 30 June 2010 (seventh quarter); II. Supplement: Actividades implementadas con el apoyo de CAFTA-DR/Environment 2009	☐	☐	☐	☐	☐	☐								☒	
Technoserve Sustainable production and trade of quality coffee from El Salvador, Honduras and Nicaragua – Progress Report, April-June 2010 (S-LMAQM-08-GR-101); April to June 2010	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐		☒	
WEC I. Cleaner Production Private Sector Partnerships Project (S-LMAQM-09-GR-315) in Costa Rica and Nicaragua (project duration: October 2009-September 2011); April-June 2010 + Appendices; II. Cleaner Production Private Sector Partnerships Project (S-LMAQM-08-CA-143) in El Salvador and Guatemala (project duration: October 2008-September 2010); April-June 2010 + Appendices	☐	☐	☐	☐	☐	☐								☒	
WWF (March 2007-July 2011) CAFTA-DR Wildlife Trade Control Capacity Building Project (S-LMAQM-07-CA-314) in Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua; July-September 2010 + Budget	☐														☒

ANNEX 4. LIST OF STAKEHOLDERS INTERVIEWED

Stakeholder	Name	Position	Organization/Location
Costa Rica			
POCs	Alejandra Aguilar	Advisor, Environment	Advisor, Environment, Ministry of Foreign Trade
	Patricia Campos	Director of International Cooperation	Ministry of Environment, Energy and Telecommunications
Beneficiaries	Wilson Beita Sandí	Consultant	Center of Investigation of Environmental Contamination (CICA), Laboratory of University of Costa Rica
	Elizabeth Carazos Rojas	Director	Center of Investigation of Environmental Contamination (CICA), Laboratory of University of Costa Rica
	Franklin González	Cocoa Technician	Talamanca, Costa Rica
	José Diego Gutiérrez Rojas	Cocoa Producer	Talamanca, Costa Rica
	Felipe Herrera	Cocoa Producer	Talamanca, Costa Rica
	Ernesto Levy Kelly	Cocoa Producer	Talamanca, Costa Rica
	Rafael Salas	Coffee Producer	San Ramón, Costa Rica
Implementing agencies	Oscar Brenes	Coordinator, Sustainable Cocoa Production	HSI
	Cynthia Dent	Program Manager, Trade Capacity Building	HSI
	Jennifer Dinsmore	Director of Latin America	HSI
	Wilmer Sanchez	Cocoa Technician	HSI
	Hector Brenes	Auditor	Rainforest Alliance
	Gianluca Gondolini	Projects Manager, Sustainable Agriculture Division	Rainforest Alliance
National institutions	Alvaro Aguilar	Director	Geo-Environmental Information National Center (CENIGA)
	José Joaquin Calvo	Coordinator	National System of Conservation Areas (SINAC)
	Sonia Espinoza	Director	National Environmental Technical Secretariat (SETENA)
	Maria Guzmán Ortiz	Director	Environment Quality Management (DIGECA)
El Salvador			
POCs	Celia Beatriz Lízama Sosa	Administrative Authority of Trade Agreements	Ministry of Economy
	Salvador Nieto	Advisor	Ministry of Environment and Natural Resources
Beneficiaries	Carla Ventura	General Manager	WEC/PROINCA
Implementing agencies	Ricardo Aguilar	Project Manager	CCAD
	Carlos Arze Landívar	Sub-Director and Coordinator	ELE
	Carlos Morales	Project Director	ELE
	Claudia Panto	Deputy Director of Operations	ELE
	Ernesto Samayoa	Latin America Operations Director	WEC
National institutions	Mario González Recinos	Regional Director	Organización del Sector Pesquero y Acuícola del Istmo Centroamericano
Coordinating agencies	Orlando Altamirano	Regional Environmental Specialist	USAID
Guatemala			
POCs	Carlos Abel Noriega	Advisor, Environment	Ministry of Environment and Natural Resources
	Ileana Maribel Palma	Advisor	Ministry of Economy
Nicaragua			
POCs	René Castellón	Administrative Authority of CITES	Ministry of the Environment and Natural Resources
Beneficiaries, MARENA-DOI Project	José Rubén Gutierrez		Fiscal Ambiental de Nicaragua
	Cesar Otero	Professor	Scientific Authority of CITES

Stakeholder	Name	Position	Organization/Location
Nicaragua (continued)			
Beneficiaries, USFS-SAF Project	Juana Francisca Alvarado	Producer, El Volcán	Tepesomoto, Nicaragua
	Daniel Antonio Baez	Producer, El Volcán	Tepesomoto, Nicaragua
	Isidro Gutierrez	Producer, El Volcán	Tepesomoto, Nicaragua
	Isidro Gutierrez Perez	Producer, El Volcán	Tepesomoto, Nicaragua
	Santos Reynaldo Perez	Producer, El Volcán	Tepesomoto, Nicaragua
	Teófilo Cesar Torres	Producer, El Volcán	Tepesomoto, Nicaragua
	Paola Torrez	Producer, El Volcán	Tepesomoto, Nicaragua
	Santos Aurelio	Producer, Apante	Tepesomoto, Nicaragua
	Torres Estrada	Producer, Apante	Tepesomoto, Nicaragua
	Neftalia Isabel González	Producer, Apante	Tepesomoto, Nicaragua
	Martin López Padilla	Producer, Apante	Tepesomoto, Nicaragua
	Juana Francisca Reyes	Producer, Apante	Tepesomoto, Nicaragua
	Antoleano Torres	Producer, Apante	Tepesomoto, Nicaragua
	José Tomas Torres	Producer, Apante	Tepesomoto, Nicaragua
	Reina Isabel Torres	Producer, Apante	Tepesomoto, Nicaragua
	Santos Alba Reyes	Producer, Apante	Tepesomoto, Nicaragua
	Luis Sánchez Díaz	Producer, El Castillito	Tepesomoto, Nicaragua
	Elmer Arsenio Sánchez	Producer, El Castillito	Tepesomoto, Nicaragua
	Maria Maribel Gonzalez	Producer, La Perla	Miraflor, Nicaragua
	Juan José Pinel	Producer, La Perla	Miraflor, Nicaragua
	Felipe Picado	Producer, Lagunetas	Miraflor, Nicaragua
	Rigoberto Blandón	Producer, El Sijul	Miraflor, Nicaragua
	Marvin Pérez	Producer, El Sontule	Miraflor, Nicaragua
Implementing agencies	Fátima Vanegas	Regional Technical Coordinator of CITES	U.S. Department of the Interior/CCAD
	Maria Antonieta Rivas	Nicaragua Program Manager	USFS-IP
	Kenia Gutierrez	Project Technician Coordinator (SAF)	USFS-IP
	Noé Pérez	Agro-Forestry Technician	USFS-IP
	René Perez	Agro-Forestry Technician	USFS-IP
	Gioconda Silva	Agro-Forestry Technician	USFS-IP
	Luis Talavera	Agro-Forestry Technician	USFS-IP
	Juan Carlos Vilchez	Agro-Forestry Technician	USFS-IP
National institutions	Douglas Benavidez	Delegate of Madriz	MARENA
	Edwin Lira	Delegate of Estelí	MARENA
	Indiana Zepeda	Protected Areas Specialist	MARENA
	Tania Urbina	Technical Regional Coordinator of USAID-CCAD Agreement	MARENA
Local community stakeholders	Edgar Gutierrez	Director, Forestry Area	Foro Miraflor
Dominican Republic			
POCs	Ariel Gautreaux Guzmán	Advisor, Trade	Ministry of Industry and Trade
	Rosa Otero	Director, Environment and Trade	Ministry of the Environment and Natural Resources
Coordinating agencies	Duty Greene	Senior Economic Advisor	USAID
	Odalis Perez	Mission Environmental Officer	USAID
Other institutions	Indhira de Jesús	Director of Environmental Protection Program	The Nature Conservancy

Stakeholder	Name	Position	Organization/Location
United States			
POCs	Robert Wing	Chief, Environment and Trade Division, Office of Environmental Policy	U.S. Department of State
Implementing agencies	Tracy O'Toole	Director of Wildlife Development Programs, International Trade and Development	HSI
	Marta Prado	Executive Director, International Trade and Development	HSI
	Janna Sears	Research Assistant, International Trade and Development	HSI
	Cynthia Perera	Senior Program Manager	U.S. Department of the Interior
	Jason Riley	Project Manager	U.S. Department of the Interior
	Merideth Manella	Latin America, Caribbean & Canada Program Specialist	USFS
National institutions	Orlando González	International Environmental Program Specialist	EPA
Coordinating agencies	Timothy Lattimer	Regional Environmental Officer	U.S. Department of State
	Abby Lindsay	Administrator, Environmental Cooperation Program	U.S. Department of State
	Aaron Spencer	Foreign Affairs Officer, Office of Environmental Policy	U.S. Department of State

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ANNEX 5. INTERVIEW PROTOCOLS

Questions for POCs

Relevance

1. Are the expected results of the Environmental Cooperation Program (ECP) relevant to the long-term environmental goals established by your country?

2. Are the environmental priorities and needs identified by your country in the framework of the Environmental Cooperation Agreement (ECA) of CAFTA-DR embodied in the ECP?

3. Does the ECP include provisions to address gaps and needs in the national environmental legislation identified by your country?

4. Is the ECP supporting the implementation of Multilateral Environmental Agreements (MEAs) in your country? Can you provide an example?

5. According to your experience, is there consistency and complementarity between expected results and joint efforts among the POCs, implementing agencies and other actors in the implementation of the ECA?

6. What is the added value of the ECP with respect to other environmental cooperation programs?
Appropriateness of Design

7. What has the level of involvement been of POCs in the design of the initiatives and activities of the ECP?
Achievement of Results

8. Have the initially identified ECP objectives been achieved (2005)? If not, what are the factors or challenges affecting the achievement of these objectives?

9. Have the implemented activities benefitted the persons/groups/communities identified during the design phase of the activity?

Efficiency and Effectiveness

10. Is there a good match between the identified environmental needs and the expertise that implementing agencies provide?

11. Has the administration of the ECP been efficient (i.e. issues pertaining to the communication between actors, roles and responsibilities, selection of activities, and implementation of activities)?

12. Do you consider that the information on the ECP website (http://www.caftadr-environment.org/spanish/index.htm) is up to date? Do you make use of this tool?

13. Is there consistency in the use of monitoring tools between implementing agencies, the national governments and other stakeholders? Do you consider the frequency of the evaluations to be necessary?

14. Have the recommendations of the First Evaluation Report prepared by the OAS been taken into account (presented in San José in January 2010) in the implementation of the ECP?

Sustainability

15. Is there a viable strategy in place for the continuation of the ECP activities/initiatives in your country?

16. In your opinion, are the benefits from the ECP sustainable in your country?

17. What is the role of the private sector in achieving greater sustainability for the results of the ECP?

18. What aspects of the ECP can be improved to ensure that it continues to address the environmental priorities and needs of your country and achieve the long-term goals?

Questions for Beneficiaries

Relevance

1. Do the training sessions implemented in the framework of the ECP address your needs/priorities? Please provide details regarding the adequacy and relevance of the training sessions offered.

2. What is the value added of the ECP if compared with other environmental cooperation programs?

Appropriateness of Design

3. To what extent were you and local organizations consulted on their needs in order to adapt the ECP design and implementation process (to ensure the achievement of the expected outputs and outcomes?)

Achievement of Results

4. What are the remaining challenges to be addressed in the achievement of expected results (PMF)?

5. What are the factors and/or challenges affecting the achievement of pursued results?

6. Have results benefitted the initially (outlined at the onset of the program) targeted beneficiaries?

7. Have the given training sessions achieved the intended results? Please provide an explanation for a negative and/or positive statement.

8. Have the training sessions' participants effectively used the knowledge gained? Please provide a detailed response as to how knowledge was used or not used.

9. What was the level of public participation (CSOs, CBOs, and/or local communities) in the implementation of the program in the country and/or countries in which you were a beneficiary?

10. What have been the unexpected results of the ECP in each of the CAFTA-DR countries or in the country/countries in which you were a beneficiary? Please be as specific as possible.

Sustainability

11. Is there a viable strategy in place for the results achieved to be sustained over time?

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Relevance

1. Are the activities and outputs of the ECP program consistent with the intended environmental impacts and effects for the country where your implementing agency operates?

2. According to your experience, is there consistency and complementarity between expected results and joint efforts of local organizations, points of contact, and implementing agencies addressing the environmental needs in each member country and in the country where your implementing agency is active?

3. Are local institutions and Community Based Organizations (CBOs) familiar with CAFTA-DR ECP?

4. What is the value added of the ECP if compared with other environmental cooperation programs?

Appropriateness of Design

5. What was the process (needs assessment, other formal process, etc) and rationale behind the design of the different activities of the ECP?

Achievement of Results

6. Have initially outlined ECP objectives (outlined in 2005) been pursued? If not, what are the factors and/or challenges affecting the achievement of pursued results?

7. Have results benefitted the initially (outlined at the onset of the program) targeted beneficiaries?

8. Have the given training sessions achieved the intended results?

9. What was the level of public participation (CSOs, CBOs, and/or local communities) in the implementation of the program in the country or countries you were involved in?

10. What have been the unintended results of the ECP?

Efficiency and Effectiveness

11. Was the budget coherent with the planned activities?

12. Are the current funding modalities and delivery mechanisms efficient and timely?

13. Have the initially identified ECP objectives been achieved (2005)? If not, what are the factors or challenges affecting the achievement of these objectives?

14. Is the management structure of the ECP efficient (communication/roles and responsibilities between all stakeholders and implementing agencies working similar themes)?

15. Do you consider that the information on the ECP website (http://www.caftadr-environment.org/spanish/index.htm) is up to date? Do you make use of this tool?

16. Is there a sound understanding of Results-based Management practices by implementing agencies and the implementing agency you are a part of?

17. Is there consistency in the use of monitoring tools between implementing agencies, the national governments and/or other stakeholders?

18. Was the program monitoring performed on a regular basis?

19. To what extent have the recommendations of the first CAFTA-DR Evaluation (presented in San José in January 2010) been taken into account in the ECP program implementation?

Sustainability

20. Is there a viable strategy in place for the continuation of ECP activities/initiatives?

21. In your view, to what extent are the benefits from the program sustainable?

22. Is there a viable sustainability strategy in place for the respective training programs, the training of stakeholders, and to mitigate possible staff turnover?

23. What aspects of the ECP can be improved to ensure that it continues to address environmental priorities and needs of each member country and achieve the long-term goals?

ANNEX 6. EVALUATION MATRIX

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Evaluation question	Performance indicators	Data collection methods	Information sources
Relevance			
• Are the expected results of this ECP relevant to the long-term environmental goals established by the CAFTA-DR member country?	• Extent to which the expected ECP results are relevant to the long-term environmental goals of each CAFTA-DR member country	• Document review • Interviews	• Work plans and expected ECP results in PMFs • POCs • Coordinating agencies
• Does the ECP correspond to the environmental priorities and needs set out by each of the CAFTA-DR members?	• Extent to which the ECP corresponds to the environmental priorities and needs identified by each CAFTA-DR member country	• Document analysis • Interviews	• National documents outlining priorities • POCs and coordinating agencies (DOS and USAID)
• Does the ECP address gaps and needs in the national environmental legislation identified by each member countries?	• Extent to which the ECP addresses and supports the strengthening and enforcement of the national environmental legislation needs in each member country	• Document review • Interviews	• Environmental legislation/enforcement officials and POCs
• Is the ECP supporting the implementation of AMUMAS in effect in each CAFTA-DR member country? Examples?	• Degree to which elements of the ECP support the implementation of applicable Multilateral Environmental Treaties and/or Conventions in effect in each member country	• Document review • Interviews	• POCs and implementing agencies
• Do the trainings implemented in the framework of the ECP address the needs/priorities of the beneficiaries?	• Level of adequacy and relevance of the trainings offered to beneficiaries	• Interviews and focus groups	• Beneficiaries from trainings offered
• Are the activities and outputs of the ECP consistent with the intended environmental impacts and effects for each member country?	• Number and type of activities and outputs of the ECP which are aligned with the intended environmental impacts and effects for each member country	• Documentation analysis • Interviews	• M&E tools, planned activities, implementing agencies' narrative reports • POCs and implementing agencies
• How has the ECP been relevant to the expected results at the regional level?	• Number and type of elements of the ECP which have been relevant to the expected results at the regional level	• Document review	• M&E tools • Analysis with long-term environmental goals (ECP, Article V, chap. 17) • Coordinating agencies
• Is there consistency and complementarity between expected results and efforts of local organizations, focal points and implementing agencies addressing the environmental needs in each country?	• Extent to which the expected ECP results match the coordinated efforts of local organizations, focal points and implementing agencies addressing the environmental needs in each member country	• Interviews	• POCs and representatives of local organizations, implementing agencies and coordinating agencies
• Are local institutions and CBOs familiar with the CAFTA-DR ECP?	• Number of local institutions supporting the ECP in each member country • Number and type of elements in the ECP that respond to the particular social, cultural and economic realities of each member country	• Document review • Interviews	• Reports from implementing agencies • Local institutions' representatives and implementing agencies' representatives
• What is the value added of the ECP if compared with other environmental cooperation programs?	• Level of complementarity between the ECP from CAFTA-DR and other ECP?	• Interviews	• Implementing agencies, beneficiaries. POCs

Evaluation question	Performance indicators	Data collection methods	Information sources
Appropriateness of design			
• What was the process and rationale behind the design of the different activities for each member country?	• Existence and adequacy of the need study behind the design of the different activities for each member country	• Interviews	• Implementing agencies, coordinating agencies, stakeholders in charge of design of activities
• What was the level of involvement of POCs in the design of the various initiatives of the ECP?		• Interviews	• POCs
• To what extent were beneficiaries and local organizations consulted on their needs in order to adapt the ECP design and implementation process (to ensure the achievement of the expected outputs and outcomes)?	• Level of involvement of beneficiaries and local organizations in ECP design and implementation towards the achievement of the expected outputs and outcomes	• Interviews	• Beneficiaries and local organizations' representatives involved in ECP design and implementation processes
• To what extent are local and national authorities involved in ECP design and implementation to ensure the achievement of the expected outputs and outcomes?	• Level of involvement of local and national authorities in ECP design and implementation towards the achievement of the expected outputs and outcomes	• Interviews	• Local and national authorities
• How has the ECA design been received by all the different stakeholders (in the field and at the management levels)?	• Level of acceptance of the ECA by national and local authorities and local stakeholders working in environment	• Interviews	• National and local authorities and local stakeholders working in environment
• To what extent has the program been designed according to sound RBM practices and tools?	• Existence of M&E tools for the ECP	• Document review	• Logic models, PMFs, risk registries, baseline studies, results-based reports
• What improvements are to be made to the design of the M&E system?	• Level of adequacy of the existing M&E system	• Document review	• Logic models, PMFs, risk registries, baseline studies, reports submitted by implementing agencies
• What are the main internal/external risks identified for this program? Ejemplos?	• Number and type of risks identified	• Document review	• Reports submitted by implementing agencies, risk registries
• Was a risk registry updated on a regular basis to assess the level of occurrence and impact of risks identified?	• Existence of an updated risk registry	• Document review	• Risk registry
• To what extent were risks properly mitigated or reduced, through mitigation strategies?	• Extent to which risks were adequately mitigated	• Document review	• Reports submitted by implementing agencies
• Were new and important trends affecting the program identified adequately and in time to review the design of the program/address new risks? Ejemplos?	• Number and type of trends affecting the program and identified adequately and in time to review the design of the program/address new risks	• Document review • Interview	• Reports submitted by implementing agencies • Coordinating agencies, implementing agencies
Achievement of results			
• To what extent do the planned activities contribute to the overall results of the program?	• Extent to which planned activities contribute to the overall results of the program	• Document review	• Reports submitted by implementing agencies
• What are the achieved results (with regards to the PMF)?	• Extent to which data from indicators demonstrate a clear change after the ECP program implementation	• Document review • Field observation	• Reports submitted by implementing agencies
• What has been the progress made towards the achievement of the remaining results?	• Number and type of remaining results to be achieved (initially planned at the design phase)	• Document review	• Reports submitted by implementing agencies
• What are the remaining challenges to be addressed in the achievement of expected results (PMF) in each member country?	• Number and types of remaining challenges to be addressed in the achievement of expected results in each member country	• Document review • Interviews • Field observation	• Reports submitted by implementing agencies • POCs, implementing agencies and beneficiaries
• Have initially outlined objectives been pursued?	• Extent to which objectives for the program have been achieved	• Document review • Interviews	• Reports submitted by implementing agencies • Focal points and implementing agencies

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Evaluation question	Performance indicators	Data collection methods	Information sources
Achievement of results (continued)			
• What are the factors/challenges affecting the achievement of pursued results?	• Number and type of factors/challenges that have affected the achievement of results	• Document review • Interviews, focus groups • Field observation	• Reports submitted by implementing agencies • POCs, implementing agencies and beneficiaries
• Have results benefitted the initially targeted beneficiaries?	• Extent to which achieved results have benefited to targeted beneficiaries	• Interviews • Field observation	• Focal points, implementing agencies and beneficiaries
• Have the supplied training sessions achieved the intended results?	• Extent to which training sessions have achieved intended results	• Document review • Interviews • Field observation	• Reports submitted by implementing agencies • Implementing agencies and beneficiaries
• Have the training sessions' participants effectively used the knowledge gained?	• Extent to which training session participants have effectively used the knowledge gained	• Document review • Interviews • Field observation	• Reports submitted by implementing agencies • Implementing agencies and beneficiaries
• What was the level of public participation in the implementation of the program?	• Level of participation of CSOs, CBOs and/or local communities in implementation of activities or initiatives of the ECP	• Document review • Interviews • Field observation	• Reports submitted by implementing agencies • Implementing agencies and beneficiaries
• What have been the unexpected results of the ECP in each of the CAFTA-DR countries?	• Number and type of unintended results in each of the CAFTA-DR countries	• Document review • Interviews	• Reports submitted by implementing agencies • Implementing agencies and beneficiaries
Efficiency/Cost-effectiveness			
• To what extent have the recommendations of the first CAFTA-DR Evaluation (December 2009) been taken into account in the ECP program implementation?	• Number of evaluation recommendations that have been incorporated into the ECP program design or integrated in the implementation of the program	• Document review • Interviews	• Evaluation report, ECP program design • POCs, implementing agencies representatives, coordinating agencies
• Is there a good match between needs and expertise provided by the implementing agencies in each member country?	• Type of needs present in each country and type of expertise provided by the implementing agencies in each member country to respond to those needs	• Interviews	• POCs, implementing agencies' representatives or experts, coordinating agencies
• Was the funding clearly divided for each country/between each implementing agency?	• Adequacy in the division of the budget according to the countries/implementing agencies	• Document review	• Financial agreements between DOS/USAID and each implementing agencies
• Was the funding coherent with the planned activities?	• Adequacy between budget and planned activities	• Document review • Interviews	• Road maps for each country, logic models for each implementing agencies, financial information for activity planning • Coordinating agencies, implementing agencies and POCs
• Are the current funding modalities and delivery mechanisms efficient and timely?	• Extent to which current funding modalities and delivery mechanisms have been efficiently and timely delivered	• Document review • Interviews	• Records on disbursements, contribution agreements between DOS/USAID and implementing agencies • Coordinating agencies, implementing agency representatives, POCs

Evaluation question	Performance indicators	Data collection methods	Information sources
Efficiency/Cost-effectiveness (continued)			
• Have the objectives been (or will they be) achieved in the allotted timeline? Was this timeline realistic given existing human and financial resources in each country?	• Adequacy between timeline proposed and expected results	• Document review • Interviews	• Logic models and PMF per implementing agency, reports submitted by implementing agencies • POCs, coordinating agencies, implementing agencies' representatives
• What has hindered progress in the achievement of the ECP objectives in the allotted timeline?	• Number and type of challenges that have caused delays in the implementation of the ECP	• Document review • Interviews	• Reports submitted by implementing agencies • Implementing agencies' representatives • Coordinating agencies, POCs
• Is the management structure of the ECP efficient (communication/roles and responsibilities between all stakeholders and implementing agencies working similar themes)?	• Level of efficiency of the management structure • Level of understanding on roles and responsibilities between implementing agencies, POCs and other actors • Level of understanding on roles and responsibilities between implementing agencies regarding the achievement of results	• Interviews	• POCs, coordinating agencies, implementing agencies' representatives
• Is there a formal communication strategy between stakeholders to ensure the flow of information?	• Existence of a formal communication strategy	• Document review • Interviews	• Documentation stating the communication strategy • POCs, coordinating agencies, implementing agencies' representatives
• Is the CAFTA-DR website updated and useful for partners? Is it used on a regular basis?	• Level of usefulness of the website • Number of stakeholders who use it on a regular basis	• Website review • Interviews	• Website content • POCs, coordinating agencies, implementing agencies' representatives
• Is there a sound understanding of RBM practices by implementing agencies?	• Level of understanding and dissemination of RBM principles among implementing agencies	• Document review • Interviews	• M&E tools used by implementing agencies, reports submitted by implementing agencies • Implementing agencies' representatives, coordinating agencies
• Was reporting done using RBM principles and providing useful information regarding the achievement of expected results?	• Level of inclusion of RBM principles in the reporting	• Document review	• Reports submitted by implementing agencies
• Is there consistency in the use of monitoring tools between implementing agencies, the national governments and/or other stakeholders?	• Level of consistency in the use of monitoring tools between implementing agencies, the national governments and/or other stakeholders	• Interviews	• POCs, coordinating agencies, implementing agencies' representatives
• Was the monitoring performed on a regular basis?	• Frequency of monitoring activities	• Document review • Interviews	• Reports submitted by implementing agencies • POCs, coordinating agencies, implementing agencies' representatives

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Evaluation question	Performance indicators	Data collection methods	Information sources
Sustainability			
• Is the ECP adapted to the local social, cultural, economic and environmental conditions with a view to sustainability?	• Extent to which local institutions developed a sense of ownership for the program	• Interviews	• Implementing agencies, local organizations working in cooperation with implementing agencies
• Is there a viable strategy in place for the continuation of ECP activities/initiatives in each CAFTA-DR member country?	• Existence of a viable strategy seeking the continuation of ECP activities/initiatives in each CAFTA-DR member country	• Document review • Interviews	• Sustainability strategy, reports submitted by implementing agencies • POCs, coordinating agencies, implementing agencies
• To what extent are the benefits from the program sustainable in each member country?	• Extent to which benefits are likely to be sustainable in each country	• Document review • Interviews	• Reports submitted by implementing agencies • POCs, implementing agencies, coordinating agencies
• Has the implementation of the ECP resulted in the strengthening or the adoption of new legislation that supports the sustainability of the ECP in each member country?	• Type of legislation in each country likely to support the sustainability of results achieved	• Interviews	• POCs, implementing agencies, coordinating agencies
• Is there a viable sustainability strategy in place for the respective training programs, the training of stakeholders, and to mitigate possible staff turnover?	• Existence of a specific sustainability strategy for training programs to ensure lasting benefits	• Document review • Interviews	• Reports submitted by implementing agencies • POCs, implementing agencies
• Is there a viable long-term funding strategy in place for the ECP (alternative funding)? What could be the role of the private sector to achieve greater sustainability for the results of the ECP?	• Existence of a long-term funding strategy for ECP	• Interviews	• POCs, implementing agencies, coordinating agencies
• What is currently being done to promote and/or strengthen local participation in the ECP and encourage knowledge sharing?	• Number and types of initiatives that promote and solidify local participation in the ECP and encourage knowledge sharing	• Document review • Interviews	• Reports submitted by implementing agencies • POCs, implementing agencies
• What aspects of the ECP can be improved to ensure that it continues to address environmental priorities and needs of each member country and achieve the long-term goals?	• Extent to which ECP will be able to adapt and respond to the environmental priorities and needs of each member country and achieve the long-term goals	• Document review • Interviews	• Reports submitted by implementing agencies • POCs, implementing agencies, coordinating agencies

ANNEX 7. SECRETARIAT FOR ENVIRONMENTAL MATTERS

During 2010, the Secretariat for Environmental Matters (SEM) has been adapting and implementing a communication and outreach strategy on CAFTA-DR countries, which includes dissemination initiatives for Civil Society, and Press and Environmental writers; and Workshops for Government Official on preparation of Party Responses. In this regard, the SEM has been working closely with Costa Rica, El Salvador, and Nicaragua to plan and prepare an inter-institutional meeting and workshop for preparing Party Responses.

The following environmental submissions and factual records were received and/or prepared by the SEM:

New submissions	Submissions in process
Guatemala	
CAALA/10/008 HOSPITAL NACIONAL DE MIXCO GT The Submitter (*Monte Real Community Development Council*) claims that the construction of a State hospital in Mixco at 5th Street and 11th Avenue in the Monte Real neighborhood, located in Zone 4 of Mixco in the Department of Guatemala, has resulted in non-compliance with the effective enforcement of national environmental legislation.	***CAALA/10/004 LACHUÁ GT*** The petitioner claims that the Government of Guatemala has failed "*to effectively enforce national environmental legislation, specifically articles 46, 64, 97 and 128 of the political constitution of the republic of Guatemala, Decree 4-89 – Protected Areas Law and Regulations, Decree 68-86 law to protect and improve the environment, Decree 5-95 that ratified the convention on biological diversity, and Decree 4-88 that ratified the convention on wetlands of international importance, especially as waterfowl habitat (RAMSAR). All of the above is related to the construction of the Transversal Corridor of the North roadway project, specifically the Rubelsalto-Playa Grande section of the road, which crosses the border of the Laguna Lachuá National Park.*"
CAALA/10/009 JARDINES DE TIKAL II The Submitter (*Amilcar Lobos Yong*) claims that local car repair shops, auto body workshops, car importers, parking lots, informal used car lots, and dog breeders pollute the environment and affect the life of the neighbors in "Jardines de Tikal II," Guatemala, City.	***CAALA/10/006 LAGUNA DEL TIGRE FONPETROL GT*** The petitioner claims that the State of Guatemala is not enforcing, among other regulations: Congressional Decree number 4-89, the Protected Areas Law (specifically articles 19 and 20); Congressional Decree 5-90 and its reforms, law declaring the "Maya Reserve" in the department of El Petén a protected area and the corresponding master plans; Decree 71-2008, the National Economic Development Fund Law; and the Ramsar Convention on Wetlands (Ramsar, Iran, 1971). According to the petitioner, the "*[...] modification, expansion and extension of oil exploitation contract 2-85, signed by the Ministry of Energy and Mines and PERENCO GUATEMALA LIMITED,*" will represent State non-compliance with these regulations.
CAALA/10/010 CONTAMINACIÓN AUDITIVA-ANTIGUA GUATEMALA GT The Petitioner (*Hotel Casa Florencia and 7th Avenue Neighbors Committee of Antigua Guatemala*) argues that the State of Guatemala is not enforcing certain national environmental legislation in regard to noise pollution in the city of Antigua, Guatemala, located in the department of Sacatepéquez. Specifically, the Petitioner argues that Antigua, Guatemala is a World Heritage Site and that the noise pollution caused by regular city activity and, specifically, the El Esfuerzo Sports and Social Club, affects public health and interferes with the daily activities of the city.	***CAALA/10/002 INCUMPLIMIENTO DE LA LEY DE CAZA CALAS GT*** The Petitioner (*Guatemalan Center for Legal, Environmental and Social Action* (CALAS)) claims that the Republic of Guatemala has failed to enforce the so called General Hunting Law (Decree 36-04) by not prosecuting those that have committed crimes covered by the law.
	CAALA/10/005 ATITLAN GT
	The Petitioner (*Guatemalan Center for Legal, Environmental and Social Action* (CALAS)) claims that the Government of Guatemala has failed to comply with different laws governing the protection and management of Lake Atitlán located in the Department of Sololá, and as a result the lake is on the verge of environmental collapse.
Dominican Republic	
	CAALA/07/001 TORTUGAS MARINAS RD
	Related to the Sea Turtles Case, the Secretariat presented the final draft of the factual record to the EAC. Next quarter, and following SEM's procedures, the Secretariat expects comments from the EAC on the document's accuracy and will present the Factual Record to the EAC to receive instruction whether the Factual Record is made public or not.

New submissions	Submissions in process
	CAALA/08/001 EXTRACCION DE ARENA DE LAS CANAS RD HERRITZ
	The Petitioner (*Mark Herritz*) claims that the government of the Dominican Republic has failed to comply with certain environmental legislation by allowing the extraction of sand from the beaches in Las Canas.
	CAALA/08/002 EXTRACCION DE ARENA EN LAS CANAS RD YELLEN
	The Petitioner (*Mark Yellen*) claims that the government of the Dominican Republic has failed to comply with certain environmental legislation by allowing the extraction of sand from the beaches in Las Canas.
El Salvador	
	CAALA/09/001 URBANIZACION EL ESPINO ES
	The Petitioner (Víctor Hugo Mata Tobar) claims that the government of El Salvador has failed to comply with certain domestic environmental legislation in relation to the urbanization and distribution of land in the area known as El Espino (San Salvador), which has brought negative environmental consequences for the area.
	CAALA/10/001 VILLA VERANDA HOUSING PROJECT ES
	The petitioners claim that the Government of El Salvador has not enforced, among other regulations, Article 117 of the Constitution, which contains a *"declaration of social interest for the protection, restoration, development and use of natural resources and a State mandate to create economic incentives and provide technical assistance for the development of suitable programs [...]"*
	CAALA/10/003 LOS COBANOS FUNDARRECIFE ES
	The petitioner states that the area referred to as Los Cóbanos Reef, which has been declared the Los Cóbanos Protected Natural Area Complex, is the only reef in the Pacific between Panama and Mexico and that it is an important part of El Salvador's natural heritage. In this light, the petitioner denounced that, beginning in 1996, it has demanded that the Ministry of the Environment, *"[...] enforce the Law on the Environment in regards to two tourism companies that have caused serious damage to the ecosystem and that jeopardized the entire reef system and existing biodiversity in the area. This is especially true in the case of the Decamerón Hotel, which has constructed a breakwater in the ocean with the goal of changing currents and taking possession of area sand [...]"*
Honduras	
	CAALA/10/007 OMOA HN
	The Petitioner (FUNDAMBIENTE) claims that there have been a series of irregularities and non-compliance with the national legislation of the Republic of Honduras related to the installation and expanded operation of the Gas del Caribe Company in the site known as La Puntilla, Municipality of Omoa.

ANNEX 8. PERFORMANCE MEASUREMENT FRAMEWORK

Organization of American States

PROCESS OF MONITORING AND EVALUATION OF THE ENVIRONMENTAL COOPERATION PROGRAM IN THE CAFTA-DR COUNTRIES

PERFORMANCE MEASUREMENT FRAMEWORK (PMF) AT THE REGIONAL LEVEL (PRELIMINARY)

(WITH NATIONAL/REGIONAL DATA – DECEMBER 2010)

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PRODUCTS	INDICATORS	PERTINENT COUNTRIES	RESPONSIBILITY FREQUENCY, COMMENTS	ACTUAL DATA
PRODUCTS				
Goal A **To strengthen institutions for effective compliance and enforcement of environmental legislation and preservation** **Main purpose:** Strengthen environmental institutions, laws and policies, promote the effective implementation and enforcement of those laws and policies, as well as the effective implementation of MEAs, and promote civil society engagement to ensure compliance with FTA obligations				
Sub Goal A1 *To strengthen environmental legislation, regulations, and environmental policies*				
Result **A1) 1. Strengthened EIA implementation capabilities and capacities:** • Number of countries that systematically implement EIA before each project with possible environmental impacts • Average time for implementation and processing of EIA • Number of countries using criteria in the implementation of EIA				
A1) 1.1 The review process for Environmental Impact Assessments (EIA) strengthened	1.1.1 # of technicians/professionals trained in the region (disaggregated by sex and country) on EIA principles	Costa Rica (CR) El Salvador (ES) Guatemala (GT) Nicaragua (NC) Dominican Republic (DR)	CCAD – CR; ES; GT; NC; DR EPA – CR; ES; GT; NC; DR ELE – CR; ES; GT; NC; DR ABT – GT	TOTAL. 0 →147 CR. 30 trained (in the region) ES. 30 trained (in the region, of a series of 3 courses on EIA themes) N/A GT. 27 (in the region, of a series of 3 courses on EIA themes) NC. 25 trained (in the region) DR. 35 trained (in the region)
	1.1.2 # of developed technical guidelines per sector		CCAD – NC EPA – CR; ES; GT; NC; DR ELE - CR; ES; GT; DR ABT - GT	Mining, Tourism not being pursued until 2011 due to funding constraints Energy not completed

				ES. 2 N/A (in the region) GT. 2 N/A (in the region)
	1.1.3 Existence in each country of a functioning SIG-EIA system		CCAD – DR EPA – CR; ES; NC; DR ELE – ES; NC; DR ABT – GT	[To be completed] ES. 0 (2 in the region) GT. 0 (2 in the region) NC. 3
	1.1.4 # and type of instruments in place that make EIA review processes more efficient		CCAD – CR; ES; GT; NC ELE – ES; GT; NC	Achieved target of 2. Technical guide for environmental diagnostic studies (EDA) and EIA procedural guidelines. CR. 1 Plenary Commission Technical Guide Resolution for Environmental Diagnostic Studies (EDA) ES. 2 Procedure Guide and Characterization in EIA GT. 0 (2 in the region)
	1.1.5 # of projects that are adequately categorized in EIA		ES: ES Government	Unknown - data unavailable
	1.1.6 Existence of categories for activities/work/projects that require EIA according to list established in Article 21 of its Environmental Law		ES: ES Government	Unknown - data unavailable
A1) 1.2 A process of certification and registration for environmental consultants and/or auditors established	1.2.1 Existence of procedures of certification and registration	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD – CR; ES; GT; NC; DR USAID-EPP – DR ABT - GT	[To be completed] CR. Proposal of Regulation of Environmental Managers Registration (National consultation pending); proposal of Regulation of Environmental Audits. In both mechanisms,

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				procedures are defined. ES. A manual of procedures for certification and registration exists. GT. In process NC. RENEA DR. EPP is developing and using the regional model
	1.2.2 #/% of consultants and auditors prepared for their certification and registration process		CCAD – CR; ES; GT; NC; DR USAID-EPP – DR ABT – GT ELE – CR; ES; GT; NC; DR	[To be completed] CR. 30 technicians trained in environmental audits ES. 20 trained auditors GT. 35 certified auditors NC. In process
	1.2.3 Existence in each country of a functioning model for registration of environmental services providers		CCAD – CR; ES; GT; NC; DR ABT - GT	0→ strong progress in El Salvador; however, functioning model not established nor utilized CR. Regulation has not been approved ES. Implementation in process NC. RENEA
A1) 1.3 Developed or improved mechanisms for public participation during the EIA process	1.3.1 Existence of guidelines for public participation during the EIA process	Costa Rica Dominican Republic	CCAD ELE USAID-EPP - DR	In progress CR. Baseline: None Target: Published guide

				DR. Baseline: 0 Target: 1
	1.3.2 Existence of a pilot plan in Costa Rica		CCAD ELE USAID-EPP – DR EPA - CR	CR. A course is being prepared with USEPA for public participation in the processes and dissemination of knowledge to public Baseline: Relies on a draft decree for public audiences Target: Published decree for public audiences
A1) 1.4 The model for environmental auditing has been implemented	1.4.1 # of environmental audits performed by each country	Costa Rica El Salvador Guatemala Nicaragua	CCAD CCAD - GT USAID-EPP – NC	CR. 18 audits conducted; 100% ES. 480 environmental audits; no target GT. 1 in process of planning NC. 6 in process; in progress
	1.4.2 Existence of instruments for the implementation of the model		CCAD - GT USAID-EPP - NC	Unknown CR. Proposal of Regulation and instructions on procedures (in consultation) ES. 3 instruments: Regulation Amendment Act, audit, implementation guide, audit regulation GT. Instruments have been designed NC. 1 proposed regulation
Result **A1) 2. Improved wastewater management** • # of plants operating according to standards and systematically applied guidelines in each country • # of plants adhering to standards established in inspection plans				

A1) 2.1 The model for wastewater management regulation (that the CAFTA-DR governments endorsed in 2005) implemented within the national environmental regulatory framework	2.1.1 # of basic elements of the model for wastewater management (12) selected in each country	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD ELE EPA - CR; ES; GT; NC; DR Unidad de Cuencas y Recursos Hídricos-MARN - GT	CR. No data ES. 7 GT. 7 NC. 8 DR. 1
	2.1.2 Existence of instruments or actions for the implementation of the model		CCAD ELE Unidad de Cuencas y Recursos Hídricos-MARN - GT	Wastewater economic tool developed for basins in DR CR. Sludge Management regulation ES. First Day implementation of the Model Regulation GT: Proposal for the Modification of the Regulation of the Discharges and Reuse of Wastewater and Sludge Disposal; regulation governing the discharge and reuse of wastewater and sludge disposal (Government Agreement 236-2006) developed the "specific rules for the region covered by Lake Atitlán" NC. Proposal of Decree 33-95; regulation for discharges of wastewater to recipient bodies and sewage currently in an approval process DR. 1: Priorities matrix (document established following EPA-SEMARENA consultations)
	2.1.3 # of basic elements of the model for wastewater management implemented in national environmental laws		CCAD – ES; GT; NC ELE EPA – CR; ES; NC Unidad de Cuencas y Recursos Hídricos-MARN	See Indicator 1 CR. Sludge characterization study in Costa Rica. Reference information for the amendment of the

			- GT	Regulation of Sludge Management in Costa Rica ES. No progress noted GT. No progress noted in PMF NC. Standards of performance in wastewater included in the new regulations
A1) 2.2 Strengthened capacity for the inspection of wastewater treatment plants	2.2.1 Existence of a capacity building plan for wastewater treatment plant inspections	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	ELE – CR CCAD	Unknown CR. No data provided NC. 8 inspectors trained
	2.2.2 # of inspectors who have received training in inspection of wastewater treatment plants (and who are applying their knowledge)		EPA – CR; ES; GT; NC; DR ELE – ES; GT; NC; DR CCAD - ES; GT; NC; DR	ES. 60 inspectors trained: 30 in inspections of processing plants and 30 in Bio-indicators GT. 20 inspectors trained NC. No data DR. 30 inspectors trained
	2.2.3 # of inspectors trained to train in inspections (train the trainer)		EPA – CR ELE CCAD	Unknown ES. N/A NC. No result noted
A1) 2.3 A methodology for the definition of wastewater performance standards developed	2.3.1 # of wastewater standards adopted	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD – ES; GT	[To be completed] ES. None GT. None adopted yet NC. 6 sectors

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				DR. 6 wastewater standards adopted
	2.3.2 # of sectors where wastewater performance standards have been defined		EPA - GT CCAD	6 sectors in 4 countries; training with 90 people in El Salvador, Guatemala and Nicaragua CR. 6 sectors ES. 6 sectors GT. 6 sectors: dairy, pig farming, coffee, abattoirs, wet textile, tourism NC. 6 sectors DR. 6 sectors
	2.3.3 # of persons in the private (and public in case of CR) trained in the use of the best technologies for the development of wastewater performance standards		CCAD	CR. (2.3.3 national) 37 technicians trained Baseline: None Target: None ES. (2.3.3 national) 35 professionals Baseline: None GT. (2.3.3 national) Scheduled for November. (2.4) Socialization was conducted in 15 municipalities (the indicators are not related to the activity) NC. (2.3.3 national) 33 technicians trained in the private sector DR. (2.3.3 national) 40 persons trained from the private sector Baseline: 0
A1) 2.4 Reference laboratories strengthened	2.4.1 # of reference laboratories identified in each country	Costa Rica El Salvador	CCAD ELE – CR; GT	Regional Wastewater Reference Lab – Costa Rica; Selection of four national reference

under criteria of the ISO 17025 norms		Guatemala Nicaragua	EPA – GT; DR	wastewater labs – El Salvador, Guatemala, Nicaragua and Costa Rica
	2.4.2 # of technicians trained in inspection and monitoring of wastewater treatment systems		ELE – CR; ES USAID-EPP – DR EPA – DR CCAD	Same as indicator 2.2.2.
A1) 2.5 Socialization of wastewater regulations adopted for the basin of Lake Atitlán	2.5.1 # of parameters on the discharge of wastewater adopted in production, commercial and drinking water sectors	Guatemala	CCAD EPA - GT	GT. (2.4.1 national) No baseline nor target
	2.5.2 1 reference laboratory in Guatemala identified			GT. (2.4.2 national) No baseline nor target
	2.5.3 % increase in facilities reporting parameters			GT. (2.4.3 national) No baseline nor target
	2.5.4 # of facilities that comply with wastewater regulations			GT. (2.4.4 national) No baseline nor target
	2.5.5 # of fines imposed due to lack of compliance with wastewater discharge regulations			GT. (2.4.5 national) No baseline nor target
	2.5.6 Amount of fines			GT. (2.4.5 national) No baseline nor target
Result **A1) 3. Improved solid waste management** • Number of countries meeting standards for solid waste management at the national and/or regional level • Number of countries applying their national/regional solid waste policy • Percentage of the population that has access to improved solid waste services				
A1) 3.1 Solid waste policy framework (regional/national – see Guatemalan model) used as a reference.	3.1.1. Number of policy instruments adopted	Costa Rica El Salvador Guatemala Nicaragua	CCAD ABT – GT	CR. Adoption of the waste policy is pending: Law on Solid Waste Management; Law of Integrated Management of Solid Waste approved ES. 1 update of National Policy of Solid Waste GT. 1 National: Regulation of Solid Waste Act; 1

				Policy and Regional Strategy for Integrated Solid Waste Management NC. 2: in process "Update of the National Policy of Solid Waste;" Technical standards for solid waste
A1) 3.2 A national Solid Waste Management Exchange unit established in each country	3.2.1 Existence of a national Solid Waste Management Exchange unit in each country	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD - GT	CR. Exchange unit at the National Center for Cleaner Production – Chamber of Industries of Costa Rica (Local Operator) ES. Yes, CAMAGRO-National Center for Cleaner Production GT. BORSICCA – Chamber of Industries-Guatemalan Center for Cleaner Production established as national units NC. CADIN was established a local administrator of BORSICCA DR. In process
	3.2.2 Number of tonnes of solid waste exchanged in the region under the supervision of the National Unit of Solid Waste Management		Comisión Nacional de Desechos Sólidos-CONADES-MARN – GT CCAD	Unknown. Total of 193 demands and 448 offers made between November 2009-May 2010 CR. Nothing reported ES. 3.2 tons GT. Nothing reported NC. 2 tons DR. Pending
A1) 3.3 Strengthened evaluation protocol for	3.3.1 Existence of an evaluation protocol for sanitary landfills	Costa Rica El Salvador	CCAD - GT BORSICA-Centro Guatemalteco de	In process of contracting Consulting firm for design and implementation of protocol in 5

the management of solid waste		Guatemala Nicaragua Dominican Republic	Producción+Limpia – GT	countries CR. In process ES. In process GT. In process NC. In process DR. In process
	3.3.2 Number of evaluations carried out		CCAD - GT	Pending CR. Pending (following the processing of protocol inspections) ES. Pending GT. Pending NC. Pending DR. Pending
Result **A1) 4. Improved Management of chemicals and hazardous substances** • # of countries that meet the requirements established in the UNITAR guide with respect to solid waste management at the national and/or regional level • Level of control of illicit traffic of chemical and hazardous substances • Reduced amount (by %) of chemical and hazardous substances (mercury and pesticides) used in Costa Rica, Nicaragua and the Dominican Republic • Level of inter-institutional coordination at the national and regional levels				
A1) 4.1 Adopted and implemented safe practices for the Management of Chemicals by officials and	4.1.1 # of accidents caused by chemical spills	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD ELE	No data available
	4.1.2 Level of effects of accidents involving chemicals on health and the environment (ex: # of affected people,		CCAD ELE	No data available

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other actors in each country	# of hectares contaminated, etc)			
	4.1.3 # of individuals trained in the response to uncontrolled emissions of chemical substances who are applying their knowledge at work		EPA – CR; ES; GT; NC CCAD ELE	TOTAL. 92 individuals trained CR. 20 individuals trained ES. 25 individuals trained NC. N/A GT. More than 20 individuals trained DR. 27 individuals trained
	4.1.4 Existence of a policy for chemical risk management		CCAD ELE	No data available.
A1) 4.2 Adopted regional conceptual document for the Registry of Emissions and Transfer of Contaminants (RETC) in alignment with the United Nations Institute for Training and Research (UNITAR) guide.	4.2.1 Existence of a conceptual RETC regional document in alignment with the UNITAR guide	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD – ES EPA	DR: Defined national goals and objectives of the RETC
	4.2.2 # of infrastructure diagnostics		CCAD – ES ES: ES Government	ES. 1 diagnostic of infrastructure developed for the RETC NC. 1 diagnostic of infrastructure developed for the RETC GT. The diagnostic is made DR. 1 diagnostic of infrastructure developed for the RETC
	4.2.3 Level of execution of a pilot plan		CCAD	DR. Pending (for pilot plan)
	4.2.4 # of persons/institutions sensitized to the issue		CCAD EPA – ES; CR	CR. EPA/UNITAR developed this activity ES. 25 persons sensitized NC. 20 persons sensitized in the RETC

				GT. 35 persons sensitized DR. 40 persons sensitized
A1) 4.3 Strengthened institutional capacity for reducing products and waste containing mercury	4.3.1 Existence of an inventory in each country	Costa Rica Guatemala Nicaragua Dominican Republic	EPA – CR; NC	CR. No progress reported in the national PMF filled out by CCAD
	4.3.2 # of persons trained in the use of this inventory			No data available.
Result **A1) 5. Improved Air Quality Management (% improvement in the air quality)** • # of countries that apply fuel emission control measures for air quality improvement that is in agreement with established standards • % improvement in the air quality in each country • Level of access and dissemination of information regarding the air quality in each country • Degree of commitment of the national governments towards improving the quality of the air				
A1) 5.1 More stringent standards (national) for air quality/fuel emissions utilized.	5.1.1 Existence of an operating National Air Quality Monitoring Network using specific standards to measure air quality/fuel emissions	Costa Rica El Salvador Guatemala Nicaragua	CCAD EPA – CR; ES; GT; NC Página Web de DIGECA – CR Unidad Coordinadora de Cambio Climático-MARN – GT	No data available.
	5.1.2 # of monitoring stations constructed in selected cities for PM10 monitoring		CCAD EPA – CR; ES; GT; NC	1 functioning monitoring station

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A1) 5.2 Information regarding air quality is published periodically through SERVIR and/or national environmental information systems.	5.2.1 Level of reliability of public information regarding air quality	Costa Rica El Salvador Guatemala Nicaragua	CCAD EPA Sistema de Información Ambiental-SIA-MARN – GT	CR. System of quality assurance documented by the UNA through accredited laboratory tests ES. EPA met with the Minister of Environment from El Salvador and gained the commitment needed for the country to provide real-time air quality data to SERVIR.
	5.2.2 Frequency of the publication (update) of the information		CCAD EPA	CR. See publication on the DIGECA webpage (http://digeca.minae.go.cr/aire/aire_descargas.html)
A1) 5.3 Developed methodology for the mounting of the emissions inventories for air quality.	5.3.1 Existence of a methodology	Costa Rica El Salvador Guatemala Nicaragua	EPA/CCAD	CR. 5.3.2 Methodology for the Development of Air Quality Inventory was developed ES. 5.3.1 25 technicians trained NC. 5.3.1 22 persons trained GT. 5.3.1. 25 persons trained in the methodology
Result **A1) 6. Improved administrative procedures for the presentation of environmental complaints** • % of environmental complaints using the improved criteria/administrative procedures • Degree of coordination of the complaints at distinct institutional levels • Average time to process environmental complaints				
A1) 6.1 Improved capacity to use an administrative procedure for the presentation and revision of environmental complaints	6.1.1 Existence of administrative procedures to apply environmental legislation	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	ELE – CR; ES; GT; NC; DR CCAD – CR; ES; GT; NC; DR GT. For all indicators under 6.1. Dirección General de Cumplimiento Legal-MARN /Gobierno de GT USAID-EPE – DR	Existent procedures.
	6.1.2 # and type of instruments that improve administrative procedures		ELE – CR; ES; GT; NC; DR CCAD – CR; ES; GT; NC; DR Dirección General de Cumplimiento Legal-MARN/Gobierno de GT	CR. 2: Manual of procedures for environmental complaints and CAFTA-DR environmental Communications; Regulation of Administrative Procedures of the Environmental Administrative

				Tribunal of Costa Rica GT. Manual of administrative procedures of environmental complaints NC. 1 system of monitoring and attention to complaints
	6.1.3 Average time to process complaints			No data available.
A1) 6.2 Greater coordination between administrative and judicial bodies regarding environmental issues	6.2.1 Existence of a coordination mechanism	El Salvador Guatemala Nicaragua	CCAD	GT. Technical Council of Legal Compliance is functioning
A1) 6.3 Improved criteria to resolve complaints through an environmental administrative court	6.3.1 Time necessary to process a complaint through an administrative court/tribunal	Costa Rica El Salvador Guatemala	CCAD	CR. Depends on the complexity of the cases (new instruments are in process)
	6.3.2 % of complaints that are resolved in administrative courts using improved criteria		CCAD	CR. 6.2.2 (in national) In the process of making new instruments GT. 6.2.1 (in national) Terms defined in the administrative procedure
Result **A1) 7. Greater application of civil/penal laws in environmental responsibility** • # of persons, disaggregated by sex and country, trained in the responsabilization for and valuation of environmental damage • # of countries that rely on the valuation methodology for environmental damage				
A1) 7.1 Theme of environmental responsabilization and valuation of environmental damage strengthened	7.1.1 # of persons trained in the responsibility and valuation of environmental damage	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD Dirección General de Cumplimiento Legal-MARN – GT	CR. 38 persons trained (judges, prosecutors, technicians) GT. 40 persons trained NC. 30 persons trained

institutionally				DR. 39 persons trained
	7.1.2 Existence of a methodology (measure) of valuation of environmental damage		CCAD Dirección General de Cumplimiento Legal-MARN – GT	GT. An instrument was designed: "Manual of functions and Powers of the Joint environmental Management unit"
A1) 7.2 La Ley de protección y mejoramiento del medio ambiente, y código municipal son aplicados a nivel municipal	7.2.1 # de municipalidades que han aplicado la legislación ambiental	Guatemala	Dirección General de Cumplimiento Legal-MARN/ Dirección General de Coordinación Nacional-MARN	About 15.
Sub Goal A2 *Strengthen government institutions for the application and effective compliance of environmental legislation*				
Result **A2) 1. Application and compliance of environmental law and case follow-up and resolution** • # of civil and penal cases/violations resolved by each country • #/% of the cases presented that are resolved in less than 1 year for each country • Level of deterrence of the penalties associated with environmental crimes • Extent to which a fine is processed after the trial of the environmental crime				
A2) 1.1 Improved environmental studies curriculum in universities and other higher education institutions (including law schools)	1.1.1 # of universities that have integrated courses in SGA and cleaner production at the undergraduate level	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	ELE	1 university – School for Judicial Studies-Supreme Court of Justice (Guatemala)
	1.1.2 # of new or improved courses in environmental law implemented by law schools		ELE EPA	Model course based on El Salvador's developed course
A2) 1.2 Adopted environmental indicators of application and compliance to best measure the effectiveness of program application	1.2.1 # of indicators of the compliance and environmental application adopted by country	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD	ES. Process of selection of indicators of compliance and environmental application GT. N/A (the only country not applying the process of the indicators)

and compliance				NC. In process DR. In process
	1.2.2 # of countries that rely on a Web platform for the systematization of the indicators		CCAD	CR. Functioning web platform ES. In process of implementing a web platform for systemizing indicators NC. In process – initiating project DR. Functioning web platform
	1.2.3 # of countries that rely on instruments or actions of interinstitutional coordination		CCAD	ES. In planning process
	1.2.4 # of countries that rely on a national program functioning, using the adopted indicators		CCAD	CR. In process of being approved ES. In process
A2) 1.3 Increased capacity of the judicial system to resolve civil and criminal environmental issues	1.3.1 # of officials (prosecutors/judges/investigators) trained in investigation/persecution and trial of environmental crimes	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	ELE ES: ES Government	CR. 40 officials ES. 30 judges and prosecutors GT. 18 judges and prosecutors (July 2010) NC. N/A DR. 42 judges and prosecutors
	1.3.2 # and type of instruments that improve the application of the judicial processes		ELE ES: ES Government	No data available
A2) 1.4 Adopted control mechanism for imports and exports in the	1.4.1 Existence of a control mechanism	El Salvador Dominican Republic	EPA CCAD	ES. Cooperation Agreement for the Control of Imports and Exports related to MEAs

Framework of the MEAs				DR. Designed proponed; Ministry approval pending
	1.4.2 Level of implementation of the inter-institutional Agreement and plan of action for the compliance with the MEAs (Multilateral Environmental Agreements)		EPA CCAD	ES. In coordination between MARN and customs
Result **A2) 2. The rules, application and compliance of fisheries' legislation have been improved** • Variation (%) of the population of threatened fish by country • Variation in the # of invasive species and their population • # of countries that have improved their institutional framework				
A2) 2.1 1 With the coordinated assistance of OSPESCA, improved capacity to evaluate the institutional and judicial frameworks for the management of the fisheries, with special attention given to strengths and weaknesses	2.1.1 # of inspections that comply with the legislation in each country	Costa Rica El Salvador Nicaragua	OSPESCA	To be included in last evaluation. Generally, 1. Proyecto: Apoyo al proceso de Ordenación Pesquera en el Istmo Centroamericano (OSPESCA/NOAA) Componentes: 1.1 Seguimiento de la normatividad regional de la pesca selectiva. El caso de los TEDs 1.2 Plan de Inspección Regional de infraestructuras de Procesamiento 1.3 Apoyo al Plan de Acción Regional de tiburones 1.4 Red MCV y Coordinación Regional 2. Taller Regional sobre "Identificación y manejo de las vías de introducción relacionadas al comercio de Especies Acuáticas Invasoras en los países CAFTA-DR, Panamá y Belize" 3. Plan de Alerta Temprana y Detección Precoz del Pez Diablo en Lago Cocibolca. (Nicaragua) 4. Regulation of the General Law to Manage and Promote Fisheries and Aquaculture in the CAFTA-DR countries.

	2.1.2 % of ships/boats that comply with the requirements of the legislation in each country		OSPESCA	
	2.1.3 # of government agents/fishing actors of each country trained to evaluate and apply the legal frameworks for the management of the fisheries by sector		OSPESCA	
	2.1.4 # of persons, disaggregated by gender, trained in the identification of the threats by invasive species			
	2.1.5 Level of access of legal instruments on fishing laws and rules			
	2.1.6 # of persons trained in the techniques of monitoring, control and surveillance			
Sub Goal A3 *Increase pubic participation and transparency to support informed decision-making*				
Result **A3) 1. Improved quality and greater accessibility of environmental information to the population** • # of persons requesting environmental information • Level of satisfaction of the population/environmental experts regarding the quality and accessibility to environmental information				
A3) 1.1 Procedures and protocols improved to precisely measure data regarding the environment and quality, in accordance with International standards.	1.1.1 Existence of procedures and protocols to measure data regarding the environment, in accordance with International standards	Costa Rica El Salvador Guatemala Nicaragua	ELE	Pilot project (EPA) about access to environmental information (Costa Rica)

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A3) 1.2 Data-collecting methods have improved on the environment to increase the information available on the Mesoamerican Environmental Information System (SIAM) and link it to SERVIR.	1.2.1 # of new registered users in the information portal of SERVIR		CCAD	No data available.
	1.2.2 # of environmental documents and themes disseminated by the SIAM and SERVIR systems			No data available.
A3) 1.3 Greater access to environmental information for the public.	1.3.1 Existence in each country of a information and documentation center regarding the environment, accessible to the public	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD DOS/OES	GT: Sistema de Información Ambiental-SIA-MARN NC: National System of Environmental Information (integrated with NEPAssist)
	1.3.2 # of requests received by the environmental authorities			No data available.
	1.3.3 #/type of activities/media for environmental sensitization of the population			No data available.
	1.3.4 Level of reach/coverage of the information campaigns for the population			No data available.
	1.3.5 Existence and type of mechanisms that permit access to environmental information			Quick guide for public access to environmental information EIA self-tutorial CD
Result **A3) 2. Public participation improved in environmental decision-making** • # and type of instruments that favor the public participation in environmental decision-making • # and type of civil society sectors that participation in environmental decision-making • Degree of influence of the civil society in environmental decision-making				
A3) 2.1 Improved capacity of the government	2.1.1 Existence in each country of a unit that receives citizen	Costa Rica El Salvador	CCAD ELE	Unknown.

institutions to receive, process, respond to, and monitor public communication/complaints	communications with funding and adequate capacities	Guatemala Nicaragua Dominican Republic		
	2.1.2 Number of countries with procedures and instruments within institutions to respond to these communications/complains and to the requests for environmental information		CCAD ELE	Guatemala: proposal for procedures available
A3) 2.2 Civilians and members of civil society organizations participate in the making, the application and the compliance of environmental decisions	2.2.1 # of meetings with the civil society participating in the environmental management in each country	Costa Rica El Salvador Guatemala Nicaragua	CCAD DOS/OES	No data available.
	2.2.2 # of countries that rely on initiatives that favor public participation in the making and implementation of environmental decisions		CCAD DOS/OES	No data available.
Goal B **To protect wildlife and their habitat for long-term economic and environmental development** **Main purpose:** Implement and enforce the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and improve management of forest resources and protected areas for wildlife and habitat protection				
Result **B) 1. Improved implementation of the CITES Convention in each country**				
B) 1.1 Strengthened legal and operational framework to improve CITES implementation in each country	1.1.1 # of persons trained to improve CITES implementation and enforcement	Costa Rica El Salvador Guatemala Nicaragua	CITES – CR; ES: GT; NC; DR DOI HSI USFS	Approximately 1,100 TOTAL. 1232 persons trained 1036 persons trained (FY 2007: 404; 2008: 632; 2009: 0) 196 persons trained at CITES and MARENA trainings

	1.1.2 Number of people applying their knowledge to improve the implementation and enforcement of CITES		Goverments/POCs	Unknown
	1.1.3 Number of people trained on CITES training		DOS/OES	Unknown
	1.1.4 Number of people trained by local trainers (train the trainer program)		DOS/OES	Unknown
	1.1.5 Number of instruments generated for implementation and enforcement of CITES		DOI HSI	6 legal instruments 2 (the animal handling curriculum and training CD)
	1.1.6 # of cases of illegal trade of species that are reviewed		Goverments/POCs	Unknown
	1.1.7 Number of environmental management instruments generated, analyzed and improved		DOI	7 (2007: 3; 2008: 4; 2009: 0)
	1.1.8 Number/type of sectors involved in the design of instruments for improving the implementation of CITES in each country		Goverments/POCs	Unknown
	1.1.9 Number and type of knowledge-sharing/dissemination materials produced		DOI, HSI, USFS	TOTAL. 15 8 (2007: 3; 2008: 5; 2009: 0) 7 USFS trainings
	1.1.10 Number and type of awareness-raising and knowledge-sharing activities organized		USFS, HSI	1 event known as Beach Cleanup, which involved community members, activities for school children and the release of turtle hatchlings. Next event in January of 2011.
	1.1.11 Number of training sessions at the regional level		Regional	3 (2007: 2; 2008: 1; 2009: 0) 5 capacity building Workshops (HSI)

	1.1.12 # of CITES coordination workshops at the regional level		DOI	6 (2007: 2; 2008: 4; 2009: 0)
	1.1.13 Number of people reached by the awareness-raising campaigns		HSI	6,657,581
	1.1.14 Existence of regulation for the implementation of CITES		Goverments/POCs	
B) 1.2 Animal rescue centers have improved their management system for rehabilitation, confiscation, and possible disposal of species taking into consideration national legislation and CITES principles	1.2.1 # of protocols and plans prepared and used by rescue centers	Costa Rica El Salvador Guatemala Nicaragua	HSI	7 (Costa Rica)
	1.2.2 Number of specimens affected		HSI	+6,000 in the region
	1.2.3 # of rescue center personnel trained in rescue center best practices		HSI	84
	1.2.4 Number of people trained to train in best practices		HSI	Goal to be achieved in next program
	1.2.5 Number of sustainability studies of animal rescue centers		HSI	2 studies (El Salvador), 1 study (Costa Rica), 1 study (Guatemala), 1 study (Nicaragua)
	1.2.6 Number and type of infrastructure developed/improved and equipment delivered		HSI	4 (Costa Rica), 2 (El Salvador), 8 (Guatemala), 3(Nicaragua)
	1.2.7 Number of animal rescue centers that are in the process of being certified/accredited with GFAS		HSI	1 (Costa Rica) , 1 (Guatemala), 1 (Nicaragua)
	1.2.8 Existence of a network of animal rescue centers		HSI	1 network
B) 1.3 Increased capacity to determine the economic valuation of CITES trade in the region	1.3.1 Existence of CITES economic valuation studies (in each country)	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	DOI	Yes. No baseline and target is yes. 100% progress although only one completed. Reported under 1.1.7. above. Economic Valuation Study Completed.
B) 1.4 Improved capacity	1.4.1 # of administrative and scientific	Costa Rica	DOI	1,100

of administrative and scientific authorities to produce non harmful opinions regarding exhaust in the framework of CITES	authorities and officials from other institutions trained	Nicaragua		
	1.4.2 # of activities in progress/executed to improve the scientific capacities for the compliance of CITES	Costa Rica Nicaragua	DOI	
B) 1.5 Information Management system strengthened for the application of CITES	1.5.1 # of activities supported to improve information Management Systems of CITES	Costa Rica Nicaragua	DOI	
B) 1.6 Greater capacity to determine the economic value of CITES trade in the region	1.6.1 Existence of economic valuation Studies on CITES (in each country)	Costa Rica Nicaragua	DOI	
Result **B) 2. Protection of the forests, protected areas, and the management of sensitive ecosystems was improved**				
B) 2.1. The capacities to apply and enforce the laws related to forests and protected areas have been improved.	2.1.1 # of compliance officials (inspectors)	Costa Rica El Salvador Guatemala Nicaragua	USFS	
	2.1.2 # of sanctions (warning letters/ fines/ temporary or definite closure)			
	2.1.3 Existence of wood identification manuals for customs and border control officials		USFS	200 manuals
	2.1.4 # of officials/agents trained in the taxonomic identification of forest species, including CITES species		USFS	72 officials/agents in Nicaragua
	2.1.5 # of officials that apply their training knowledge (in the area of monitoring and control)			
	2.1.6 Existence of a "pilot" chain of custody for the coniferous (pines) and			

	broadleaf (wide leaf) trees			
	2.1.7 # of administrative and penal processes			
	2.1.8 # of persons trained in the management of protected areas			260 total (FY2007: 260; FY2008: 0)
B) 2.2 Environmental management in protected areas, hydrographic basins and biological corridors have improved	2.2.1 # of programs and projected formulated to improve environmental Management in protected areas, hydrographic basins and biological corridors	Costa Rica El Salvador Guatemala Nicaragua	DOI USFS	17/18 total (FY2007: 12; FY2008: 5; 1 general)
	2.2.2 # of monitoring plans to improve environmental management			
	2.2.3 # of indigenous communities and other local communities apply their acquired knowledge in management training and the managing of natural resources			
	2.2.4 # of hectares with an improved environmental management		USFS	2,057.14 ha
Result **B) 3. The conservation of marine turtles has improved**				
B) 3.1 The observers program was established to help guarantee that the boats are properly using turtle excluder devices (DET) and circle hooks.	3.1.1 Existence of an operating "Observers Program"	Costa Rica El Salvador Guatemala Nicaragua	OSPESCA	To be included in final evaluation.
	3.1.2 #/type of instruments and DET equipment delivered and used		OSPESCA	
B) 3.2 The capacity to mitigate and reduce the incidental capture of marine turtles and their subsequent death has	3.2.1 % reduction in the incidental capture of marine turtles and their subsequent death.	Costa Rica El Salvador Guatemala Nicaragua		
	3.2.2 %/# of ships that use the new DET technology			

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improved	3.2.3 %/# of ships that used circle hooks			
	3.2.4 Level of profitability of the shrimp industry			
B) 3.3 Greater awareness of the population regarding the conservation of marine turtles	3.3.1 Existence of a sensitization campaign	Costa Rica El Salvador Nicaragua	DOS/OES USFS	1 plan
	3.3.2 # of persons that were reached during the campaign		USFS	400 persons
Goal C **Implement a conservation system based on the market** **Main purpose:** Maintain the natural resources base and protect the environment to support sustained and sustainable economic growth				
Result **C) 1. Improved management and conservation of the environment through: ecotourism, the production of crops favorable to the environment, and the commercialization of products and forest practices with ecological certification**				
C) 1.1 Improved awareness and community management capacities regarding the alternatives and profitability of ecotourism, sustainable agriculture, and sustainable forest production	1.1.1 # of community members trained in ecotourism development	Costa Rica El Salvador Guatemala Nicaragua	HSI TechnoServe Alianza para el turismo comunitario	+500
	1.1.2 # of community members trained in sustainable agriculture development		HSI TechnoServe Rainforest Alliance Costa Rica USFS	400 community members trained
	1.1.3 # of communities trained in the development of sustainable forest production		Technoserve	Unknown
	1.1.4# and type of guides and training materials on agricultural, sustainable forestry and ecotourism techniques		HSI Rainforest Alliance Costa Rica USFS	4 presentations Self Assessment Tool; EcoTourism Guide; Sustainable Agriculture Standards for Coffee Farms; 5000 posters

				122 diagnostics made for the implementation of sustainable agricultural practices
	1.1.5 Existence in each community participating in the program of a community organization in charge of the natural resources management			9 communities (2 for CITES and 7 for cacao)
	1.1.6 # of people trained in natural resource management*			1,120 *Not official CAFTA-DR indicator and added by evaluators
	1.1.7 # of improved and developed infrastructure		USFS	1 improving
C) 1.2 Improved Conservation through the establishment of sustainable agro-forestry systems	1.2.1 #/% increase of hectares supporting certified crops	Costa Rica El Salvador Guatemala Nicaragua	Rainforest Alliance Costa Rica	5,800 ha
	1.2.2 #/% increase of hectares where farmers are applying best practices for management, production and social-environmental conservation		Rainforest Alliance Costa Rica USFS	2,070 ha
	1.2.3 # of planted trees		USFS	TOTAL trees planted: 271,514 – 39,694 (fruit and forest), 218,820 (coffee), 13,000 (musaceae)
	1.2.4 # of hectares of established agroforest systems		USFS	163.75 ha
	1.2.5 # of linear meters of established soil and water conservation works			13,000 meters
C) 1.3 Increased recognition of the value chain (market strategies of products and services)	1.3.1 # of businesses and organizations implementing a market strategy for services related to protected areas	Costa Rica El Salvador Guatemala Nicaragua	Technoserve USFS	3 organizations; tourism project

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	1.3.2 Annual sales ($) generated from tourism, and improved agricultural and forestry products (contribution from CAFTA-DR)		Technoserve Rainforest Alliance Costa Rica USFS	US$12,000 Approx 1500 qq of coffee in 2010
	1.3.3 # and type of Jobs generated by tourism, agricultural and forestry (timber and non-timber) activities		Technoserve Rainforest Alliance Costa Rica USFS	21 jobs have been generated in cooperation with tourism
	1.3.4 Funds invested by local members in forestry activities		Technoserve	No data available
	1.3.5 # and type of sales projects for environmental services implemented at the local level		Technoserve Rainforest Alliance Costa Rica	No data available
	1.3.6 Existence of an Interactive regional network to integrate and circulate information regarding certification standards		Technoserve Rainforest Alliance Costa Rica	Guidebook for social environmental system management in English and Spanish; Sustainable Agriculture Standards for Coffee farms
	1.3.7 # of alliances between the private sector and the cooperatives in the sale of certified products		Technoserve Rainforest Alliance Costa Rica	4 new exporters
	1.3.8 Price per kilogram of cacao		Technoserve Rainforest Alliance Costa Rica HSI	Approximately 50 producers increased their price by 15%, 100 producers by 34% and 135 by at least 50%
	1.3.9 Productivity level of cacao		Technoserve Rainforest Alliance Costa Rica HSI	384 kg per hectare
C) 1.4 Improved conditions that favor	1.4.1 # of tools (operating manuals) developed for public use	Costa Rica El Salvador	HSI USFS	HSI completed all the indicators for result 1.4 in previous year of the project

tourist visits in protected areas		Guatemala Nicaragua		2 plans being implemented for the use of La Flor y Datanli
	1.4.2 # of tourists who received information on protected areas		HSI USFS	+750,000
	1.4.3 # of tourists visiting the area		USFS	245
C) 1.5 Improved capacities in the strategic planning of sustainable forest production	1.5.1 # officials trained in the certification process of sustainable forestry production	Costa Rica El Salvador Guatemala	USFS Technoserve Rainforest Alliance	No data available.
	1.5.2 # of sustainable forest production certifications		Technoserve Rainforest Alliance	
C) 1.6 Lobster fishing practices are more environmentally friendly	1.6.1 % of the industrial fleet that has adopted "Best Practices in the Management of Lobster fisheries"	Costa Rica El Salvador Guatemala Nicaragua	USAID-EGAT	No data available.
	1.6.2 % of traditional fleet that has adopted "Best Practices in the Management of Lobster fisheries "			
Goal D **Improved the Environmental Performance of the Private Sector** **Principal purpose:** Improve the environmental performance of the private sector through cleaner production strategies, environmental management systems, voluntary mechanisms and public-private associations and strengthening of the institutional capacity and human resources				
Result **D) 1. Improved environment-related trade policies and incentives**				
D) 1.1. Improved framework for national policies through the incorporation of regional policy/strategy for cleaner	1.1.1 Existence of a regional/national policy/strategy of cleaner production in the national policy framework	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD USAID-EPP - DR WEC ABT - GT	CR. In process of updating and revising ES. In process of developing a new version GT. Policy for cleaner production approved and

production				current; draft proposal for the formation of a cleaner production committee NC. Policy for cleaner production approved DR. Policy for cleaner production approved and launched
	1.1.2 Existence of regional and nationals inter-sectorial commissions		CCAD WEC - ES USAID-EPP - DR ABT - GT	CR. In process of formalizing the document of the establishment of the inter-agency council ES. Pending the new policy to convene the new committee NC. A National Commission for cleaner production has already been made. The proposal has been made by presidential decrease to formalize its conformation. DR. Has a national committee of cleaner production created by decree, but it is not in operation
D) 1.2 Increased will of the private sector and public sector to develop and implement voluntary agreements to improve their environmental performance.	1.2.1 # of voluntary agreements signed by the private sector together with the government dealing with environmental performance	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD - CR; ES; GT; NC; DR USAID-EPP - DR	CR. AVPML signed: 1 abattoir sector, 1 pig sector and 1 service sector ES. 3 clean production agreements GT. 1 territorial project in Panajachel NC. Process has initiated in developing the AVPML proposal in the Dairy sector DR. No agreements
	1.2.2 #/type of businesses that have signed an agreement			CR. 23 businesses: 1 abattoir sector, 19 pig sector and 3 service sector

				ES. 11 broiler poultry farms, 11 small dairy plants and 5 large dairy plants GT. 10 businesses NC. 0 DR. N/A
D) 1.3 Environmental management Systems adopted by the private sector	1.3.1 # of persons (technicians, consultants) trained in environmental management system	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	EPA CCAD - ES; GT; NC; DR ELE - ES; GT; NC; DR	CR. 5 DIGECA technicians trained ES. 24 persons GT. 19 persons trained DR. N/A
	1.3.2 # of businesses that adopt environmental management systems			CR. 9 businesses ES. 5 businesses GT. 10 businesses NC. N/A DR. N/A
D) 1.4 Incentives for cleaner production created and implemented by the private sector	1.4.1 #/type of financing systems implemented for cleaner production	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	WEC CCAD - ES; GT; NC; DR ELE - ES; GT; NC	CR. Developing consultancy to make funding regulations within the system of banking for development ES. N/A GT. N/A DR. 21 businesses participate in the IV and V

				Edition of the regional award
	1.4.2 # of businesses that access the financing that supports cleaner production		ELE - ES; GT; NC CCAD - DR USAID-EPP - DR	CR. None DR. 1 regional award for cleaner production
	1.4.3 # of businesses that participate in the non-financial incentives (e.g. regional and national cleaner production prizes)		WEC CCAD - ES; GT; NC; DR ABT - GT	ES. 25 businesses: 15 regional awards and 10 national awards GT. 32 businesses: First Edition National Award – 10 businesses; Regional award – 22 businesses NC. 22 businesses: 7 businesses participate in the regional award for cleaner production and 15 businesses participate in the national award for cleaner production
	1.4.4 #/type of non-financial incentives created/developed		WEC CCAD - DR ELE - ES; GT	CR. National System of Acknowledge Environmental Performance developed and initiating the first Edition. 10 companies participating in the V editions of the regional award for cleaner production NC. Evaluation of the national award is being conducted after its IV edition to improve its regulation.
	1.4.5 # of technical norms in energy efficiency (PEC) applied (Nica-CR-ES) CCAD		WEC CCAD - GT; NC; DR	CR. 1 regional norm – BUNCA GT. N/A NC. 1 regional norm – BUNCA
D) 1.5 Strengthened national centers of cleaner production	1.5.1 # of trained technicians who apply the knowledge in their businesses	Costa Rica El Salvador Guatemala	WEC - ES; GT; NC CCAD - GT; NC	CR. Formation and training of UCR professionals that will form the University Network of Cleaner Production, a process which will be begin

		Nicaragua		November 2010 ES. 8 technicians trained GT. 10 technicians trained NC. 26 technicians trained
	1.5.2 #/type of training for each center		WEC - GT; NC ELE, CCAD - ES ELE - GT; NC CCAD - GT; NC	ES. 4 trainings in energy efficiency, design of biodigestors, food safety and solar collectors GT. 1 technology of composting dead birds and other organic waste NC. 3 trainings: energy efficiency in refrigeration, thermal energy and solid waste management
	1.5.3 #/type and level of use of specialized equipment in each center		WEC - GT; NC ELE, CCAD - ES CCAD - GT; NC ELE - GT; NC	ES. 4 types of equipment: flowmeter, decibelimetro, moisture balance GT. 3 types of equipment: flowmeter of wastewater, decibelimetro and monitor for air quality and particles.; being used by companies that assisted training NC. 2 types of equipment: flowmeter and analyzer of energy quality. Measurement is in use by companies
Result **2. A greater commitment of the private sector with respect to environmental behavior (capacity and information)**				
D) 2.1 Practices and strategies of cleaner production and energy efficiency adopted and utilized by private sector businesses	2.1.1 # of exchanges between businesses/institutions	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD - CR; ES; GT; NC; DR USAID-EPP - DR	CR. 1 exchange with Nicaragua with the participation of 3 professionals ES. No exchange GT. 1 exchange with 3 persons involved

				NC. 1 exchange with El Salvador; theme: AVPML; 8 professionals from the public and private sector participated DR. 2 exchanges with El Salvador regarding AVPML; 7 participants from the public and private sector
	2.1.2 Existence and # of guides or technical material developed, training materials, and case studies on cleaner production, by sector		WEC - CR; ES; GT; NC ELE - CR; ES; GT; NC; DR CCAD - GT; NC; DR USAID-EPP - DR	CR. Regional manual for cleaner production for the pig sector; regional guide of linking suppliers; regional guide of AVPML ES. Swine Manual; Regional Agreements Guide; Supply Chain Guide GT. 1 guide of cleaner production for the pig sector and Guide of Voluntary Agreements NC. Manual for cleaner production for the pig sector; Supply chain guide; AVPML Guide and Tannery Guide DR. Manual for cleaner production for the pig sector; Supply chain guide; AVPML Guide
	2.1.3 # of businesses that have adopted cleaner production and/or energy efficiency technologies		WEC - CR; ES; GT; NC ELE - ES; GT; NC; DR CCAD - GT: NC; DR	CR. 4 slaughterhouses, 3 service industry businesses ES. 48 businesses: technical assistance, voluntary agreements and awards GT. 35 businesses: 13 technical assistance; 22 in national and regional awards NC. 3 businesses in the dairy sector

				DR. 6 businesses
	2.1.4 % reduction in the consumption of energy/water/raw material/hazardous substances by unit of production in each sector			CR. In the measurement process in the month of January 2011 ES. Pending GT. In the measurement process NC. In the measurement process DR. In the measurement process
	2.1.5 Level of economic savings by measures implemented			CR. In the measurement process in the month of January 2011 GT. In the measurement process NC. In the measurement process
D) 2.2. Improved capacities of actors involved in cleaner production	2.2.1 # of professionals/technicians trained in cleaner production who apply their knowledge	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	CCAD - CR; GT; NC; DR ELE - CR; ES; GT; NC; DR WEC - CR; ES; GT; NC USAID-EPP - NC	CR. 171 persons trained ES. 80 persons trained GT. No progress noted NC. 161 persons trained DR. 88 persons trained
	2.2.2 Existence of training material for cleaner production		CCAD - CR; GT; NC; DR ELE - CR; ES; GT; NC; DR WEC - CR; ES; GT; NC USAID-EPP - NC	CR. Archive of the training materials used exists ES. Specific material was prepared for each training GT. Specific material was prepared for each training NC. Archive of the training materials exists

				DR. Archive of the training materials exists
D) 2.3 Improved access to information on cleaner production for the public	2.3.1 # of fairs	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	WEC - CR; GT; NC CCAD - CR; ES; GT NC ABT - GT ELE - GT; NC; DR	CR. 2 events: Environment Expo; Launch of the Regional Award for cleaner production and related dissemination activities ES. Environment Expo for Cleaner Production 2007; Guides of Good Practices for the Textile and Poultry Sector; Manual for Cleaner Production of Pig and Tannery; Voluntary Agreements Guide; and First National Cleaner Production Fair and Signature Act of the AVPML with the dairy and poultry sector GT. Environment Expo for Cleaner Production 2007; Guides of Good Practices for the Textile and Poultry Sector; Manual for Cleaner Production of Pig and Tannery; Voluntary Agreements Guide NC. Environment Expo; Launch of the regional award and Fair for the National Award for Cleaner Production DR. Environment Expo; Launch of the regional award
	2.3.2 #/type of promotion events of P+L		WEC - CR; GT CCAD - GT ABT - GT ELE - GT; NC; DR	

	2.3.3 Level of dissemination of the guides		WEC - CR CCAD - CR; ES; GT; NC ABT - GT	NC. 3 regional publications; Regional guide of AVPML; Manual for Cleaner Production of the Pig Sector; National Supply Chain Guide; Successful cases of cleaner production, award for excellence: 11 businesses
	2.3.4 #/type of publications made/disseminated		WEC - GT CCAD - GT ABT - GT ELE - GT; NC; DR	CR. 4 publications; Regional guide of AVPML; Manual for Cleaner Production of the Pig Sector; Supply Chain Guide; Manual for cleaner production in tanneries ES. Swine Manual; Regional Agreements Guide; Supply Chain Guide
	2.3.5 # of persons that received publications or attended events	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic		CR. (2.3.2 national) 43 persons Baseline: None Target: None ES (2.3.2 national) Undetermined GT (2.3.4 national) Undetermined Baseline: 0 Target: 2 NC (2.3.2 national) Baseline: None Target: None DR (2.3.3 national) 62 persons Baseline: 0 Target: None
	2.3.6 Existence of a study that allows the transferring of Technologies for cleaner production in the private sector	Guatemala		GT. (2.3.3 national) Baseline: 0 Target: 1 study

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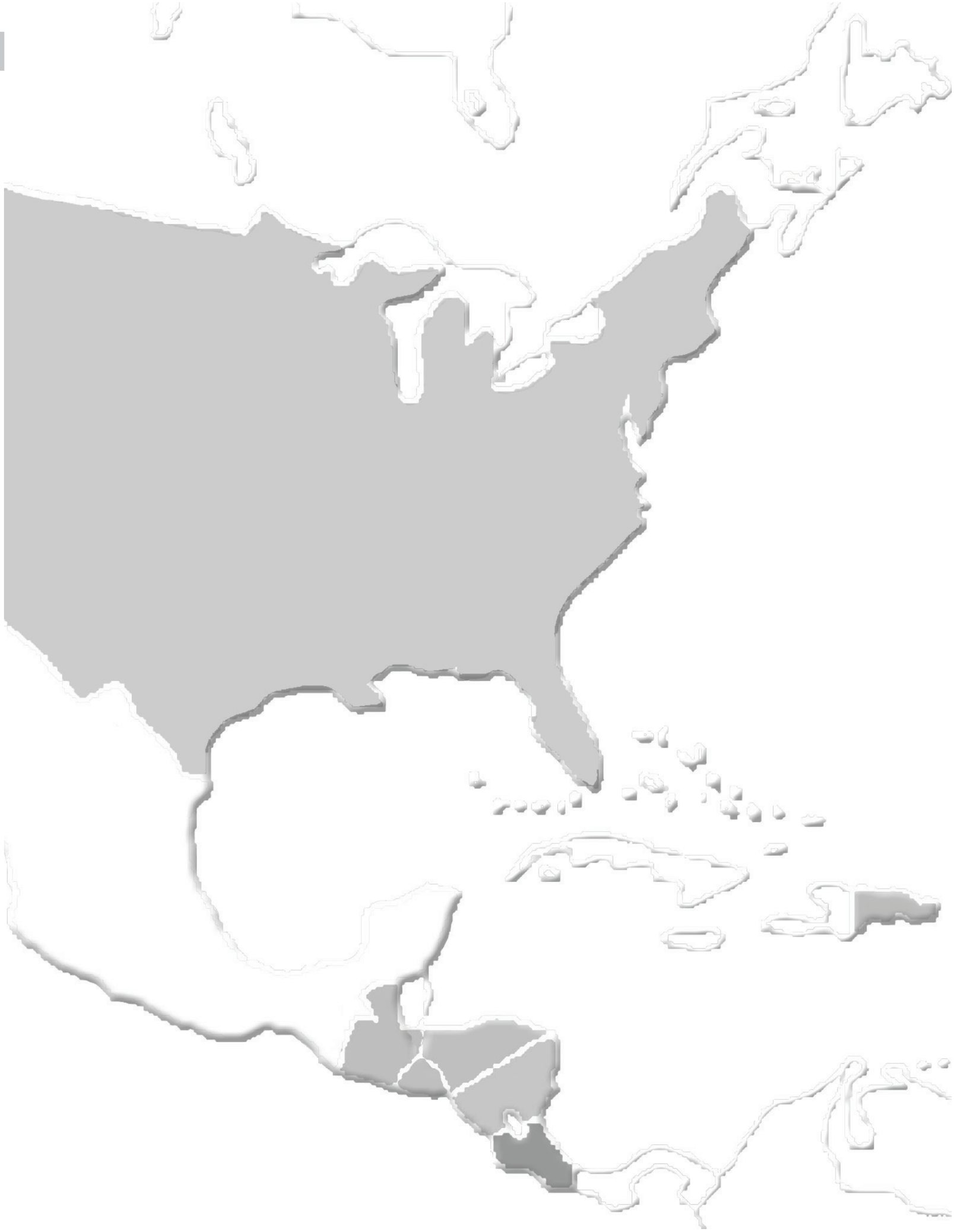
D) 2.4 Greater efficiency in the promotion of P+L strategies	2.4.1 # of private/public alliances to promote the implementation of P+L practices within the private sector	Costa Rica El Salvador Guatemala Nicaragua Dominican Republic	WEC - CR; ES; GT: NC; DR ELE - ES; GT; NC; DR USAID-EPP - DR	CR. Monitoring committee for AVP+L in partnership with CORFOGA and ASPORC of Costa Rica GT. No results reported NC. N/A for 2.4.1. and 2.4.2 DR. N/A for 2.4.1. and 2.4.2.
	2.4.2 #/frequency of meetings regarding the theme		WEC - CR; ES; GT; NC; DR USAID-EPP - DR	CR. Meetings every two months to follow up on Voluntary Agreements and support participating companies
	2.4.3 #/roundtable themes for the private sector		WEC - CR; ES; GT; NC; DR USAID-EPP - DR	
D) 2.5 Strengthened the value chain through the improvement of environmental performance of the private sector	2.5.1. (CR. 2.5.1) Number of alliances between providers and buyers to promote environmental standards and/or certification programs	Costa Rica	WEC - CR; ES; GT; NC ELE - ES; GT; NC	Results: NC. N/A for 2.5.1. and 2.5.2. ES. No results reported Baseline: CR. 2.5.1 - 0 ES. 2.5.1 - 0 GT. 2.5.1 - 0 NC. 2.5.1 - 0 Target: CR. 2.5.1 - 4 (regional) ES. 2.5.1 - 4 (regional) GT. 2.5.1 - 4 (regional) NC. 2.5.1 - 4 (regional)
	2.5.2. (CR 2.5.2) Number of companies/businesses that are participating in these alliances	Costa Rica	WEC - CR; ES; GT ELE - ES; GT; NC	Baseline: CR. 2.5.2 - 0 ES. 2.5.2 - 0 GT. 2.5.2 - 0
				Target: CR. 2.5.2 - 24 ES. 2.5.2 - 24 GT. 2.5.2 - 24
	2.5.3 Number of businesses that comply with the voluntary standards	Nicaragua		NC. (2.5.2 national) Baseline: NC. 2.5.2 - 0 Target: NC. 2.5.2 - 24
	2.5.4 Number of workers that benefit from improvements in working conditions as a result of non-ECA alliances	Nicaragua		NC. (2.5.3 national) Baseline: NC. 2.5.3 - 0 Target: NC. 2.5.3 4,000 trabajadores



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