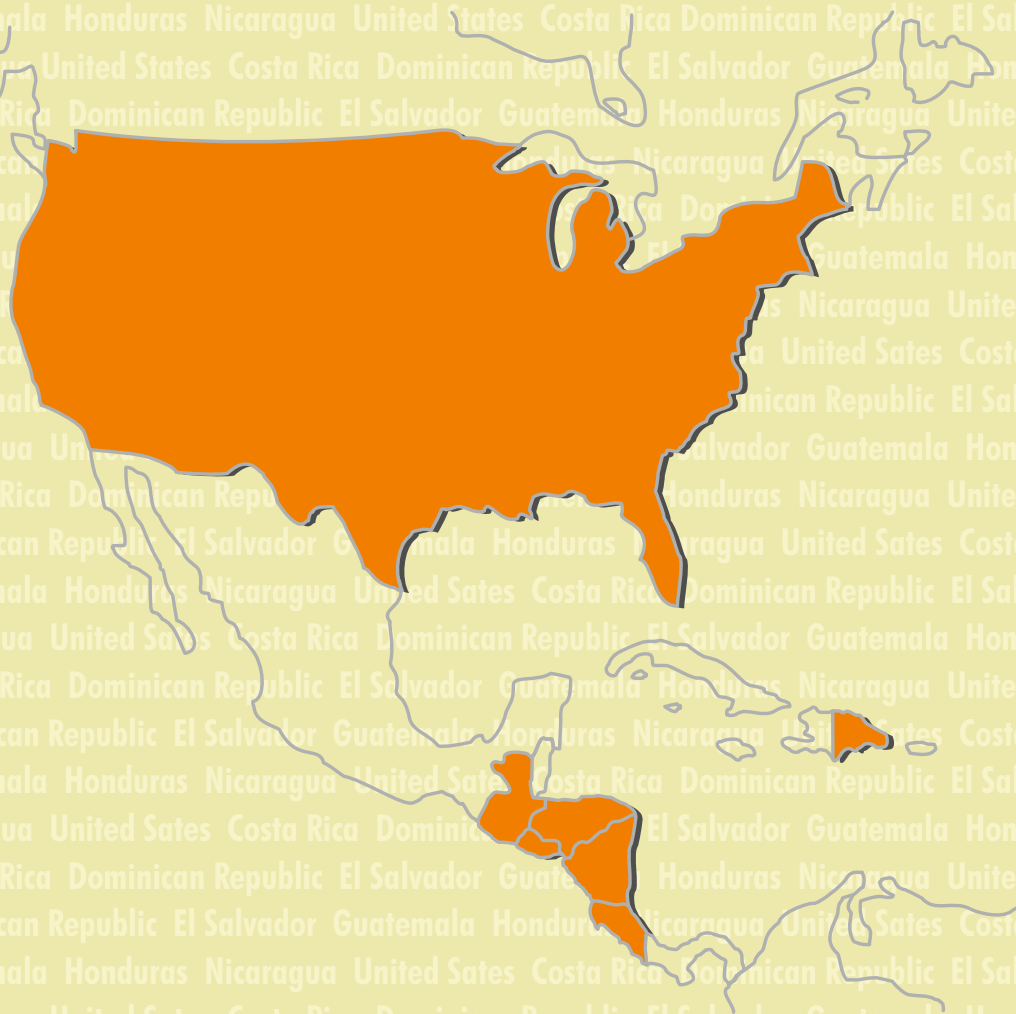




Organization of
American States

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

THIRD EVALUATION REPORT



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THIRD EVALUATION REPORT

November 2011



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LIST OF ACRONYMS Y ABBREVIATIONS

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BORSICCA	Bolsa de Residuos Industriales de Centroamérica y El Caribe
CAFTA-DR	Central America-Dominican Republic-United States Free Trade Agreement
CCAD	Central American Commission for Environment and Development
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CR	Costa Rica
DCA	Development Credit Authority
DIGECA	Environmental Quality Management Unit – Costa Rica
DOI	U.S. Department of the Interior
DOJ	U.S. Department of JusticeDOS/OESDepartment of State – Bureau of Oceans and International Environmental Scientific Affairs
DR	Dominican Republic
ECA	Environmental Cooperation Agreement
ECC	Environmental Cooperation Commission
ECP	Environmental Cooperation Program
EIA	Environmental Impact Assessment
ELE	USAID's Environmental and Labor Excellence Program for CAFTA-DR
EMS	Environmental Management Systems
ENCTI	National Strategy for the Control of Illegal Logging and Illegal Transport of Forest Products
EPA	U.S. Environmental Protection Agency
ES	El Salvador
FTA	Free Trade Agreement
GUA	Guatemala
HON	Honduras
HSI	Humane Society International
ICF	National Institute of Forest Conservation and Development, Protected Areas and Wildlife
ICRAN	International Coral Reef Action Network
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
NGO	Non-Governmental Organization
NIC	Nicaragua
OAS-DSD	Organization of American States – Department of Sustainable Development
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
PMF	Performance Measurement Framework
POC	Government Point of Contact
PROARCA	Regional Environmental Program for Central America
PRTR	Pollutant Release and Transfer Registry
RBM	Results-Based Management



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RENAEPA

SEM

SERVIR

SME

TED

ToR

UNITAR

U.S.

USAID

USFS

USG

WEC

WCS

WWF

National Business Support Network for Environmental Protection

Secretariat for Environmental Matters

Regional Visualization and Monitoring System

Small and Medium Enterprises

Turtle Excluder Devices

Terms of Reference

United Nations Institute for Training and Research

United States (of America)

United States Agency for International Development

United States Forest Service

U.S. Government

World Environment Center

Wildlife Conservation Society

World Wildlife Fund



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EXECUTIVE SUMMARY

Background and Overview

From FY 2005 through FY 2010, the United States invested approximately US \$77 million to fund the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR) environmental cooperation, and anticipates additional FY 2011 funding. This funding is helping CAFTA-DR countries advance in the following four programmatic areas: (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 Environmental Cooperation Agreement (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 the ECC 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, which consisted of qualitative findings of accomplishments of the Environmental Cooperation Program (ECP). The OAS-DSD delivered the Second Evaluation Report to the Department of State and Government Points of Contact (POCs) on December 3, 2010, and presented it to the Environmental Affairs Council on January 27, 2011. With this Third Evaluation Report the OAS-DSD is committed to providing a general overview of the ECP that contemplates successes, challenges and recommendations witnessed from the beginning of the implementation of the Program, with a view to improving future environmental cooperation programming.

Methodology

This evaluation was conducted following a specific methodology designed to ensure the validity of findings reported herein. This methodology relied primarily on relevant evaluation questions, indicators, data collection methods and reliable information sources. The OAS-DSD team adapted this tool from the previous evaluations, utilizing fundamental elements of different Results-Based Management (RBM) or Official Development Assistance (ODA) evaluation methodologies to ensure its adequacy in the current evaluation context. It was essential to use the evaluation criteria applied in the previous CAFTA-DR evaluation reports—i.e. relevance, efficiency, effectiveness and sustainability of the ECP—and to reexamine them as the implementation of the ECP continues. Supplementing the document review is a series of interviews led by OAS-DSD representatives with key stakeholders, both in Washington, D.C. and in CAFTA-DR countries. Progress was assessed using the Performance Measurement Framework (PMF) originally developed by the OAS-DSD in 2009—on the basis of individual Road Maps prepared by CAFTA-DR countries—and subsequently updated and refined to produce the Second Evaluation Report, especially with respect to short-term results and outputs achieved. ECP outputs have been gradually added to this tool, leading to



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greater results associated with new environmental practices, behaviors, procedures or systems to protect and preserve the environment at the local, national or regional level.

Finding and Analyses

Relevance

Implementing agencies have observed an evolution in how the ECP is being implemented, particularly in the consensus reached by CAFTA-DR countries to move forward in the results achieved under the cooperation and make advances in the framework of the regional agenda. This has allowed them to identify their common interests as a region, such as strengthening institutions for effective compliance and enforcement of environmental legislation, as well as cleaner production. The ECP has allowed stakeholders to gain a regional perspective of environmental challenges and opportunities, and a holistic view of the cooperation, which has allowed implementing agencies to complement their efforts. Results, as well as progress in specific themes that are key for the countries, are now easier to demonstrate.

One of the main achievements of the cooperation is its contribution to the improvement of inter-institutional coordination. The ECP has enabled CAFTA-DR countries to approach other institutions and has created the links and tools necessary to strengthen cooperation between sectors such as environment, finance, health, and energy, among others. Since its inception, the ECP has strengthened inter-institutional relationships, served as a mechanism to identify priority areas at the national and regional levels, and promoted the establishment of solid public-private alliances to address environmental issues. The improved consensus and innovation that has resulted from the ECP makes it a very relevant program in the framework of the ECA.

Efficiency

In the interview process, POCs expressed that the program's administration in general has been efficient. Progress has been observed since the CAFTA-DR Second Evaluation Report, particularly in inter-agency coordination at the funding and decision-making level. 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 the building of bridges with different sectors that support environmental compliance. However, the selection of implementers does not always respond to a uniform criteria established by the CAFTA-DR parties; and the selection process has not been discussed in an open fashion by the POCs. Also, there are still some communication issues between implementing agencies that require attention.

Within the ECP, POCs have played a key role in efficiency by providing advice and follow up to the cooperation. They have worked together in a regional agenda and have created a model for inter-institutional cooperation at the national level, engendering a 'culture of cooperation' among all stakeholders

Effectiveness and Results Achieved

Effectiveness is defined as the extent to which a project or program attains its objectives and delivers planned outputs. Effectiveness and progress were assessed using the PMF originally



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developed by the OAS-DSD. This past year, representatives of implementing agencies and CAFTA-DR governments have been working together to develop a set of indicators at the intermediate result level. The OAS-DSD proposed to use these new indicators to concentrate on results achieved at the intermediate level. Since implementers and POCs supplied relevant data to inform these indicators, the OAS-DSD was successful at identifying clear progress towards the achievement of intermediate results of the PMF. Generally speaking, the OAS-DSD found that many of the activities carried out and results achieved are linked to capacity building and training sessions. However, at this point in the life of the program, it is still premature to try to measure with precision or quantify the effects of many activities that have been undertaken within the ECP, due to the nature of the expected results and the scope of their related indicators. In fact, there are still many projects that have not been able to report on all of their expected results, as more time will be needed to assess tangible change. The following is a summary of the major accomplishments under each Goal.

Goal A

Under Goal A, the OAS-DSD team has perceived major progress although many indicators appeared to be challenging to measure. Capacity building for effective compliance and enforcement of environmental legislation are areas that definitely require time to be measured, and most probably a renewed support will be necessary to maintain and/or deepen the results achieved.

With regards to Environmental Impact Assessments (EIA), implementation capabilities and capacities have been greatly improved in participating countries with the web-accessible tracking of EIA processing and NEPAAssist GIS-based analytical tool. Wastewater management is another area of significant progress, particularly with the creation of a reference laboratory in five of the CAFTA-DR countries, including a regional reference laboratory, and a greater implementation of performance standard methodologies and regulations in wastewater management.

Although solid waste management received less attention, the BORSICCA solid waste exchange mechanism is operational, with over 500 registered users and a few countries implementing the protocol for inspection of sanitary landfills. Management of chemicals and hazardous substances has also started slowly, but it is worth noting that 30 institutions have an increased knowledge of emergency management of spilled harmful substances. It is now possible to assess an air quality management improvement, given CAFTA-DR countries have been provided with a National Emission Inventory that will allow them to create air quality baseline and eventually strategies to impact the air quality. Further noticeable progress can be seen in the capacity to perform real time air quality monitoring.

One can observe greater capacity to manage environmental complaints among the countries that implemented a system of follow-up and control of said complaints. Improvements can also be seen in their capacity to conduct inspections once the complaint has been filed and addressed; although more capacity building will be necessary in order to assess a real increase in the effective attention of complaints, for which criteria will need to be defined and agreed upon by the different countries.

One area that generated a visible change in the compliance capacity of environmental legislation of the CAFTA-DR countries is the accessibility of environmental information to decision makers. In addition, the satellite-based program SERVIR was disseminated in the region, providing very useful data to mitigate natural disasters and threats, improve agricultural practices, and monitor air



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quality. Environmental protection and conservation campaigns have also been deployed in different countries to reach the wide public and increase awareness on specific topics such as the illegal trade or hunting of natural wildlife, and the importance of preserving the unique ecosystems found in CAFTA-DR countries. Although it is still difficult to measure the impact of those campaigns on the environment, it is clear that in the long term they serve to enhance compliance and enforcement of environmental legislation and preservation in the region.

To promote greater public participation, special focus was placed on people usually excluded from the public participation process in environmental decision-making. An initiative has been launched to create spaces of dialogue between the public and local authorities on specific environmental issues and policy decision-making process as defined in Chapter 17. This is a relatively new program in the region that will in the mid and/or long term strengthen the governments' capacity to comply and enforce their environmental legislation, with the help of the public.

Goal B

To protect wildlife and their habitat for long-term economic and environmental development, the ECP has been implementing projects to improve the implementation and enforcement of the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES), the protection of forests, protected areas and fragile ecosystems management, and the conservation of marine turtles. This goal is achieved with various actions stemming from the improvement in the management of natural resources through the establishment of agro-forestry and silvopasture systems, soil and water conservation works, and the reduction of agrochemical use. Moreover, strengthening the implementation of wildlife and habitat conservation agreements, trainings, tool development, awareness campaigns and many other strategies has also contributed towards the achievement of this goal. CITES is one of the most important Multilateral Environmental Agreements (MEA) supported by the ECP, with projects addressing, for example, capacity building for customs officers, web-based courses for law enforcement representatives involved with CITES, frameworks for wildlife law enforcement at the local level, regional enforcement network, and other initiatives enhancing the enforcement of CITES throughout CAFTA-DR countries.

The protection of wildlife and habitat can only take place if relevant and accurate data on the populations can be analyzed. Implementing agencies have come together to harmonize indicators and facilitate data collection in order to access quality information and allow national and local authorities to make more informed decisions about wildlife protection. In fact, information on that topic has been promoted in various ways to make it more accessible to the public, including through new websites to raise awareness about endangered species and responsible wildlife viewing, such as in the Chacocente Wildlife Reserve in Nicaragua, and through sustainable tourism, such as found at the Wildlife Visitor Center and entrance trail in the Cayos Cochinos Marine Protected Area in Honduras. Information has also been made available to a greater number of people, as was done by U.S. Department of the Interior (DOI) and other implementing agencies by using billboards along highways with messages about the protection and regulation of different endangered species. All things considered, millions of people have been exposed to the different campaigns of awareness, with an important potential to change over time behaviors regarding wildlife conservation. The protection of wildlife is also ensured by the improvement of specialized infrastructures, like the Humane Society International (HSI) initiatives to strengthen partner rescue centers and rehabilitation enclosures in some CAFTA-DR countries.



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The outcomes achieved in terms of changed behaviors and new practices also extend to the management of protected areas. The Maya Biosphere Reserve (MBR) of Guatemala is one protected area that received support through the improvement of its internal management, greater public participation, capacity building for the park guards and enhancement of governance and law enforcement. One of the very important outcomes related to this improvement has to do with the reduction of illegal logging and illegal poaching.

Goal C

This Goal builds the bridge between the protection of the environment and the sustainability of economic activities. Most of the market-based conservation initiatives were related to production certification, and the application of specific environmental standards to generate benefits both economically and environmentally. This has been achieved through the training of community stakeholders, small farms owners, and also through stakeholders from bigger companies seeking marketing opportunities and to lessen the environmental impact of their production.

One of the great achievements with regards to market-based conservation is the linkage between the suppliers of certified products and the market of buyers. Several alliances were established between food stores or supermarket chains and farmers associations, which allow the promotion of certified products, ensure incomes for farmers and help in the development of environmental standards in various products' supply chain. Alliances meant to improve environmental practices in the production processes can also help enhance food security, mostly in the fruit and vegetable production sector, with the participation of all stakeholders involved in the value chain of these products. Clearly the activities and outcomes achieved under outcome C did support the implementation of a conservation system based on the market, which in turn help maintain the natural resources base and protect the environment to support sustained and sustainable economic growth.

Goal D

The improved environmental performance of the private sector has been supported through both incentive measures and improved environmental practices. The ECP supported the adoption of several policies and incentive tools by key economic sectors, especially in agribusiness and tourism, as well as the development and dissemination of innovative practices to reduce impact on environment and operation costs. An important achievement of the ECP is its ability to bring the public and private sectors together to address clean production practices and environmental management systems through alliances and inter-sector coordination. Voluntary agreements and initiatives have been implemented throughout the CAFTA-DR region to increase the adoption of cleaner technologies and improve environmental performance. Through simple changes, businesses and enterprises have at times been able to reduce their energy consumption and use of resources. To enhance those results, national and/or regional cleaner production incentive instruments were created or strengthened, both financial and non financial. For example, a new certification process for offices was launched and many mitigation activities were implemented to reduce carbon footprint with the help of the ECP.

Despite the efforts to bring together the private and public sectors, more coordination is necessary between the implementing agencies to achieve greater impact in disseminating cleaner



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production policies and practices. This enhanced coordination should also extend to local and national authorities, as some courses on cleaner production developed by implementing agencies did not receive the full approval of the respective environmental authorities.

Some lessons learned can already be shared, such as the importance in working both at the sector and geographic levels, as witnessed in the successful cleaner production project around Lake Atitlan in Guatemala. With this project, participating hotels were able to save 60 percent in water consumption and between 30 to 40 percent in energy consumption, which significantly reduced their operation costs. That success created a strong will for other municipalities to benefit from the project. Generally speaking, initiatives under Goal D generated very positive results that deserve greater replication and scaling up at the policy level, nationally and regionally.

Sustainability

The sustainability of several of the projects and initiatives being implemented under the ECP is being achieved through solid public-private sector alliances, by guiding these efforts in the framework of the social corporate responsibility of the businesses, and institutionalizing this knowledge in the universities and institutes of higher education. Likewise, inter-institutional alliances are also a good base to provide continuity to initiatives promoted by the ECP. National authorities and implementing agencies are aware of the importance of showing results and transparency in the management of the projects and activities to be able to complement the CAFTA-DR cooperation with funds from other cooperation agencies. A successful initiative among most of the implementing agencies has been the *train the trainers* program.

It is important that all stakeholders involved in the cooperation identify mechanisms that provide sustainability to the activities and projects implemented. In some cases, these are defined, but in the cases which they are not, implementers should keep in mind that some activities are currently in the last phases of implementation and identify some lines of action. Even though some implementing agencies have designed sustainability strategies for some initiatives, it will be interesting to draw a more global strategy at the regional level for the sustainability of the CAFTA-DR Environmental Cooperation Program.

Challenges

The coordination of the ECP has improved substantially. However, there still exist isolated cases that require a greater effort on the part of the stakeholders to ensure that the fruits of the implementation of initiatives are not seen as threatened by administrative problems and lack of coordination. One of the main challenges is that the environmental agenda is not seen as a fundamental pillar of the development agenda. It has also been challenging to carry out an efficient cooperation process with a different political dynamic in each country, as well as improve enforcement of environmental legislation considering the asymmetries in the region. The lack of political will has hindered the achievement of some results since many are linked to legislation or regulations that have not been approved by the national congress. These results directly depend on cooperation at the political level. One important lesson when establishing a cooperation agenda is to define a strategy to overcome these barriers.



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Recommendations

To achieve sustainable and impactful results, the program should be developed under very well conceived processes; not specific activities. The number of programs under the ECP should be reduced to achieve a greater impact. Focus should be on those programs that achieve greater success and are replicable. The excessive fragmentation of activities at the national level has a detrimental influence on the pace of implementation. It is important to ensure the political will of the activities to obtain the greatest likelihood of the sustainability of the outputs of the cooperation.

Conclusion

Generally speaking, the OAS-DSD team found that many of the activities carried out and results achieved are linked to capacity building and training sessions. Measuring capacity is not an easy task, and it takes time to acknowledge changes in terms of practices and behaviors. However, the OAS-DSD team has been able to assess many positive changes related to capacity building, and is confident that the ingredients for achieving results and sustainability of these results are present in most initiatives, based on observations, field visits, interviews, and narrative report reviews. However, as mentioned, at this point in the life of the program, it is still premature to try to measure with precision or quantify the effects of many activities that have been undertaken within the ECP, due to the nature of the expected results and the scope of their related indicators.



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I. INTRODUCTION

On February 18th, 2005, the Parties to the Central America-Dominican Republic-United States Free Trade Agreement (CAFTA-DR)¹ signed the Environmental Cooperation² Agreement (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.

CAFTA-DR Parties are implementing a number of activities, striving to achieve compliance with CAFTA-DR Environment Chapter (Chapter 17) obligations: (1) to ensure that CAFTA-DR ECA parties' environmental laws and policies provide for and encourage high levels of environmental protection, (2) to effectively enforce their environmental laws, and (3) to ensure that judicial, quasi-judicial, or administrative proceedings are available to sanction or remedy violations of environmental laws, improved protection and conservation of the environment, including natural resources; transparency and public participation in environmental decision-making; 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; and regional harmonization and integration of environmental laws and policies to facilitate improved environmental protection and a level playing field across the region.

From FY 2005 through FY 2010, the U.S. has invested approximately US \$77 million to fund CAFTA-DR environmental cooperation, and anticipates additional FY 2011 funding. This funding is helping 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 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 Environmental Cooperation Commission of the CAFTA-DR 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

1. Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and the United States.

2. As of December 2011 Guatemala, Nicaragua, El Salvador, Honduras and the United States had notified regarding the completion of their internal requirements for the entry into force of the Agreement. Article XII(1) of the ECA states that the Agreement shall enter into force thirty days after the OAS Secretariat notifies that all the instruments of ratification have been deposited by all the Parties.



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parties. For this purpose, OAS-DSD has worked with stakeholders in developing an evaluation process based on key performance indicators.

In December 2009, the OAS-DSD presented the First Evaluation Report, which consisted of qualitative findings of accomplishments of the Environmental Cooperation Program (ECP). The OAS-DSD delivered the Second Evaluation Report to the Department of State and POCs on December 3, 2010, and presented it to the Environmental Affairs Council on January 27, 2011.

With this Third Evaluation Report the OAS-DSD is committed to provide a general overview of the ECP that contemplated successes, challenges and recommendations witnessed from the beginning of the implementation of the Program,³ with a view to improving future environmental cooperation programming.

1.1 METHODOLOGY

This evaluation was conducted following a specific methodology designed to ensure the validity of findings reported herein. This methodology relied primarily on relevant evaluation questions, indicators, data collection methods and reliable information sources. The OAS-DSD team adapted this tool from previous evaluations, relying on fundamental elements of different Results-Based Management (RBM) or Official Development Assistance (ODA) evaluation methodologies, including those applied by the Organisation for Economic Co-operation and Development (OECD), to ensure its adequacy in the current evaluation context. Because perceptions have changed and new information has become available over the years, it was essential to use the same key evaluation criteria—i.e. relevance, efficiency, effectiveness and sustainability of the ECP—and to reexamine them as the implementation of the ECP continues.

In order to address *relevance*, this report seeks to analyze the following:

- ♦ The relationship between the ECP and national environmental goals;
- ♦ The complementarity between expected results and joint efforts among the main ECA stakeholders;
- ♦ The value added of the ECP with respect to other environmental cooperation programs.

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 coherence between implementing agencies' expertise and environmental priorities;
- ♦ Administration of the ECP;
- ♦ The ECP website;
- ♦ 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.

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.

3. Cooperation efforts began in late 2005.



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Effectiveness and progress were assessed using the Performance Measurement Framework originally developed by the OAS-DSD in 2009—on the basis of individual Road Maps prepared by CAFTA-DR countries—and subsequently updated and refined to inform the Second Evaluation Report, especially with respect to short-term results and outputs achieved. ECP outputs have been gradually added to this tool, leading to greater results associated with new environmental practices, behaviors, procedures or systems to protect and preserve the environment at the local, national or regional level. Because indicators were only available at the output level in 2010, no measurement at a more detailed level of results could be attempted at that time. Representatives of implementing agencies and CAFTA-DR governments needed a stronger consensus regarding higher-level indicators and expected impacts of the ECP. Therefore, a set of indicators at the intermediate result level was agreed to in 2011, following extensive collaboration and ongoing dialogue between OAS-DSD representatives, implementing agencies and points of contact⁴ from all CAFTA-DR countries. The OAS-DSD proposed to use these new indicators to concentrate on results achieved at the intermediate level. Since most of the latter supplied relevant data to inform these indicators, the OAS-DSD was successful at identifying clear progress towards the achievement of intermediate results further to the Performance Measurement Framework (PMF). Hence, in this evaluation, the document review of all narrative reports acts as the primary source of information to describe progress made in achieving expected results of the ECP. The list of documents consulted to report on effectiveness and results achieved is presented in Annex 1.

Supplementing the document review is a series of interviews led by OAS-DSD representatives with key stakeholders, both in Washington, D.C. and in CAFTA-DR countries. Specifically, as shown in Annex 5, the OAS-DSD developed interview protocols for four categories of stakeholders (i.e. points of contact, implementing agencies and beneficiaries). The interviews were designed to collect valuable information regarding stakeholders' opinions about the relevance, efficiency, effectiveness and sustainability of results and projects funded through the ECP, which was then used to bolster the above mentioned indicators. Annex 4 provides a list of informants who took part in individual discussions with the OAS-DSD. Such discussions provided an appropriate setting to address relevant issues and give participants an opportunity to share their insights on both the ECP and the global implementation process and results associated with individual projects.

For each category of stakeholders, the table below shows the number of key informants interviewed both in Washington, D.C. and in CAFTA-DR countries. To protect the confidentiality of sources, findings herein are only reported in aggregate form, based on a global analysis of comments gathered by the OAS-DSD over the course of the interviews.

Breakdown of key informants participating in the interviews

Category	Number of informants interviewed						
	Guatemala	Honduras	El Salvador	Nicaragua	Costa Rica	Dominican Republic	United States
Points of contact	2	1	2	1	2	2	2
Implementing agencies	4	1	9	3	2	2	12
Beneficiaries	7	6				5	
Total	13	8	11	4	4	11	14

4. The points of contact (POCs) are representatives from both the ministry of environment and trade of each signing party, and they are responsible for providing follow-up to the environmental cooperation in the framework of the CAFTA-DR.



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Findings from the document review and the interviews were triangulated with direct observations made during visits to the CAFTA-DR region throughout the year. The field missions gave the OAS-DSD team an opportunity to visit a number of project sites, which turned out to be particularly useful to inform the case studies outlined in Annex 2.

In sum, the methodology used to track results and provide solid findings regarding the relevance, efficiency, effectiveness and sustainability of ECP project results was based on sound evaluation practices, including the use of an evaluation matrix to guide the evaluation's scope and approach, the use of systematic data collection tools, the triangulation of multiple sources of information, and the conduct of interviews with a confidential guarantee.

Limitations of the Evaluation

The information available at this time is insufficient. The reports continue to primarily be based on the processes of activities and process indicators, and not results. Furthermore, few implementing agencies have been using the OAS-DSD's proposed reporting format for CAFTA-DR results and indicators in their progress reports. Therefore, the process of identifying, comparing and extracting relevant data was complicated and time-consuming. Second, there is little which can be done about the few resources available for the monitoring and evaluation process of the ECP, and the problems in promoting a monitoring system coherent for all agencies. Third, another challenge is measurement because at first there were no clearly defined results, nor risk management.



II. FINDING AND ANALYSIS

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2.1 RELEVANCE

This section examines the relevance of the ECP in light of national environmental goals; the complementarity between expected results and joint efforts among the main ECA stakeholders; and the value added of the CAFTA-DR ECP.

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.⁵ 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.

Implementing agencies have observed an evolution in how the ECP is being implemented, particularly in the consensus reached by CAFTA-DR countries to move forward in the results achieved under the cooperation and make advances in the framework of the regional agenda. This has allowed them to identify their common interests as a region, such as strengthening institutions for effective compliance and enforcement of environmental legislation, as well as cleaner production. For example, the ECP has been successful in harmonizing regional tools and mechanisms, such as the Regional Wastewater Model Regulation and Green Customs to be discussed below.

Joint Efforts among Main ECA Stakeholders

The early stages of the program were particularly challenging due to the ambitious task of managing efforts within six countries, with somewhat different environmental priorities that required streamlining, aiming to achieve regional collaboration. However, as the implementation of the program progressed, implementing agencies learnt to coordinate their efforts and avoid duplication in common areas of work. Cooperation mechanisms established early on between implementing agencies proved beneficial for the cooperation, such as the Cooperative Agreement signed between the USAID and CCAD;⁶ as well as the coordination of activities between ELE, EPA, DOJ, and CCAD.

Also, DOI has provided a valuable contribution as a coordinator of activities related to Theme B. As the U.S. CITES Authority (through the U.S. Fish and Wildlife Service), DOI has coordinated a broad constellation of governmental and non-governmental CAFTA-DR CITES implementers in the region. DOI has also coordinated closely with TRAFFIC, Humane Society International and CCAD.

5. 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.

6. CCAD is the entity under the Central American Integration System (SICA) with institutional responsibility for advancing the regional environmental agenda of the member countries.



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The ECP has allowed stakeholders to gain a regional perspective of environmental challenges and opportunities, and a holistic view of the cooperation, which has allowed implementing agencies to complement their efforts. Results, as well as the progress in specific themes that are key for the countries, are now easier to demonstrate.

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).

Another of the main achievements of the cooperation is its contribution to the improvement of inter-institutional coordination. The ECP has enabled CAFTA-DR countries to approach other institutions and created the links and tools necessary to strengthen cooperation between sectors such as environment, finance, health, and energy, among others. Based on previous recommendations, the ECP has also sought to work with universities and other high-level education institutions to act as a multiplier element for capacity building in the region.

It can also be argued that one of the added values of the ECP is its scope. Since its inception, the ECP has strengthened inter-institutional relationships, served as a mechanism to identify priority areas at the national and regional levels, and promoted the establishment of solid public-private alliances to address environmental issues. In conjunction with the more tangible intermediate level outcomes to be discussed in this report, the improved consensus and innovation that has resulted from the ECP makes it a very relevant program in the framework of the ECA.

In addition, the ECP has contributed to the modernization of several agencies working in areas related to the cooperation (e.g. CITES administrative offices and cleaner production centers). SERVIR has helped CAFTA-DR countries understand and respond to natural disasters, combat environmental problems, improve agricultural practices and monitor air quality. Currently, access to satellite images allows decision-makers to respond more rapidly and develop contingency plans. Some of these agencies are planning to create an environmental management system (EMS) that allows all responsible authorities to remain connected through a network. As well, there are plans to find funding to create a web page to promote their work and provide greater access to information to the public.



2.2 EFFICIENCY

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This section examines the coherence between implementing agencies' expertise and environmental priorities; efficiency in the administration of the ECP; the ECP website; RBM practices; as well as the use of monitoring and evaluation tools.

Coherence between Implementing Agency and Environmental Priorities

As reported in the second evaluation report, 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 the building of bridges with different sectors that support environmental compliance. Furthermore, many POCs and implementing agencies agreed that the Second Evaluation Report contributed to streamlining the ECP and creating a logical framework culture in their respective institutions. However, the selection of implementers does not always respond to a uniform criteria established by the CAFTA-DR Parties. Additionally, the selection process has not been discussed in an open fashion by the POCs, and in general, is not perceived to be transparent.

It is important to point out that during this latest implementation period (2010-2011), there was a special mention regarding EPA's work; POCs and some implementing agencies agreed that EPA's technical cooperation has been essential for the transfer of knowledge and technology to the region.

Efficiency in the Administration of the ECP

In the interview process, POCs expressed that the program's administration in general has been efficient. Progress has been observed since the second CAFTA-DR Evaluation Report, particularly in inter-agency coordination at the funding and decision-making level.

The CCAD regional presence and access to high level authorities have helped, in many occasions, to speed up decision-making processes for the timely execution of activities.

Both implementing agencies and POCs believe that there are still some communication issues that require attention. Coordinating agencies, such as USAID and DOS/OES must know how to find a balance in communicating with stakeholders, handling sensitive issues, and responding to conditions that are constantly changing. There is a need for a triple effort in coordinating with national actors, implementers, and POCs in cooperation activities. When these three lines of communication are generated and maintained, one can really gain a more clear understanding of the status of the cooperation and how efficient it can be.

ECP Website

While field visits and interviews revealed that there is great interest in using this tool, they also reflected that its utility is not being maximized. The current website provides useful information for visitors; however, adding other features, such as a database and statistics, could improve its usefulness. Nevertheless, the outreach and communication strategies implemented by DOS/OES during 2011 have resulted in over a 300% increase in website traffic relative to 2010.



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RBM and Use of Monitoring and Evaluation Tools

Within the ECP, POCs have played a key role in efficiency by providing advice and follow up to the cooperation. Most POCs have documented success stories with the intention of showing the results and impact in each one of the themes. Because of this, it has become easier to obtain and demonstrate results and improvements in accountability and transparency. In addition, POCs have worked together in a regional agenda and have created a model for inter-institutional cooperation at the national level, engendering a 'culture of cooperation' among all stakeholders.

Furthermore, the PMF developed by the OAS-DSD has helped implementers gain a better and more integral understanding of the ECP and has also served as a follow up mechanism for the work conducted under the framework of the cooperation. Some implementing agencies developed a tool to monitor their own implementation process, which helped in the consolidation of information for the regional PMF. However, a challenge for the OAS-DSD was to select and develop indicators at the outcome level considering that the program was already ongoing.

With respect to the use of reporting tools, while implementing agencies have had 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.

2.3 EFFECTIVENESS AND RESULTS ACHIEVED

Context

This section reviews issues pertaining to the effectiveness and achievement of the results of the CAFTA-DR ECP. Although the availability of information on expected results in the narrative reports varies from one implementing agency to another, the OAS-DSD team has taken steps to gather as much information as possible from many sources, by communicating with implementers directly, using case studies, and conducting interviews, among others. Particular focus was put on measuring intermediate level outcomes, showing greater impact from all ECA CAFTA-DR-funded initiatives. Generally speaking, the OAS-DSD found that many of the activities carried out and results achieved are linked to capacity building and training sessions. Measuring capacity is not an easy task, and it takes time to acknowledge changes in terms of practices and behaviors. Nevertheless, the OAS-DSD team has been able to assess many positive changes related to capacity building, and is confident that the ingredients for achieving results and sustainability of these results are present in most initiatives, based on observations, field visits, interviews, and narrative report reviews.

However, at this point in the life of the program, it is still premature to try to measure with precision or quantify the effects of many activities that have been undertaken within the ECP, due to the nature of the expected results and the scope of their related indicators. In fact, there are still many projects that have not been able to report on all of their expected results, as more time will be needed to assess tangible change. For example, all changes of behaviours related to environmental issues, or capacities to enforce environmental regulations are slow moving processes that can hardly be measured within a few years. Nonetheless, the general level of RBM reporting has



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improved substantially since the last evaluation report, with some implementing agencies having provided very thorough results-based information. Once again, the collection of baseline has remained a challenge, focusing on medium-term results as much as short-term results in previous evaluations. This is a clear area for improvement for future activities under the CAFTA-DR environmental program.

It is to be noted that this section is directly linked to the expected results identified by the Performance Measuring Framework (PMF) built specifically for the ECP. Given the level of progress of the program, intermediate outcome indicators are used to monitor progress towards each expected result. Both quantitative and qualitative information contained in the reports from implementing agencies are linked to these indicators.

In the subsequent sections the report will summarize the results of the ECP and then describe each ECP Goal through its sub-goals and expected results. Following this, a table divided in three columns ("Expected result," "Indicator" and "Progress") will provide all relevant and mostly quantitative information. This is followed by a macro-level analysis and summary of qualitative information extracted from the implementers' reports. The information is presented according to the indicator it informs in the tables.

Also, several success stories have been documented and highlighted by different implementers with the intention of showing the results and impact the different projects have had in each one of the themes of the cooperation. Some profiles with background information have been created in an attempt to identify the baseline and results.

Performance Measurement Framework

As mentioned previously, effectiveness and progress were assessed using the Performance Measurement Framework (PMF) originally developed by the OAS-DSD. This past year representatives of implementing agencies, and CAFTA-DR governments have been working together to develop a set of indicators at the intermediate result level. The OAS-DSD proposed to use these new indicators to concentrate on results achieved at the intermediate level. Since implementers and POCs supplied relevant data to inform these indicators, the OAS-DSD was successful at identifying clear progress towards the achievement of intermediate results of the PMF. However, it must be said that this is unequal though depending on the intermediate levels assessed, since there are some indicators for which we have no data; and we still find some indicators measuring outputs or even completed activities but that have been put at the intermediate level (e.g. number of people trained, number of training, number and type of material/tool/plan developed).

The PMF with indicators at the outcome level is presented in Annex 7.



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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, and to promote effective implementation and enforcement of these laws and policies, as well as the effective implementation of Multilateral Environmental Agreements (MEAs) and civil society engagement to ensure compliance with Free Trade Agreement's (FTA) obligations.

Goal A is divided into three sub-goals and 11 expected results. They are:

Sub-Goal A1 - To strengthen environmental legislation, regulations and environmental policies

- ♦ Strengthened capacities to prepare and revise environmental impact assessments and audits
- ♦ Improved wastewater management
- ♦ Improved solid waste management
- ♦ Improved management of chemicals and hazardous substances
- ♦ Improved air quality management
- ♦ Improved administrative procedures for the presentation of environmental complaints
- ♦ Greater enforcement and compliance of civil/penal laws in environmental responsibility

Sub-Goal A2 - To strengthen government institutions for the enforcement and effective compliance of environmental legislation

- ♦ Improved implementation and compliance of environmental law and case follow-up and resolution
- ♦ Improved rules, enforcement and compliance of fisheries' legislation

Sub-Goal A3 - Increased public participation and transparency to support informed decision-making

- ♦ Improved quality and greater accessibility of environmental information to the population
- ♦ Improved public participation in environmental decision-making



Sub-Goal A1 - To strengthen environmental legislation, regulations and environmental policies

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1. Strengthened capacities to prepare and revise environmental impact assessments and audits

Expected Result	Indicator	Progress
1. Strengthened capacities to prepare and revise EIAs and environmental audits	1.1 Number of new and/or improved procedures for EIA review and environment permits	6 (1 for each country – CR, DR, ES, GUA, HON, NIC)
	1.2 Average time for implementation and processing of EIA ⁷	No data currently available – refer to qualitative information
	1.3 Number of capacity building activities to prepare and review EIA implemented by government authorities and/or universities of CAFTA-DR countries	- Principles of EIA Review: 5 courses – EPA - EIA under criteria for certification: 9 courses in 4 countries – DR (3); GUA (1); NIC (1); CR (3); ES (1) – ELE - EIA Train of Trainers: DR (1) – ELE - EIA awareness workshop for industry leaders: 4 courses - CR (1), ES (1), GUA (2) - ELE - Guide for university professors (1) - ELE
	1.4 Number of people trained in environmental auditing	90 (CCAD/USAID) 257 (ELE)
	1.5 Number of agencies responsible for environmental auditing created and strengthened	CCAD is helping in the establishment of special units linked to the conducting of environmental audits in Guatemala and Nicaragua. 2 agencies strengthened (El Salvador and Dominican Republic)

This expected result in essence is to support and build the capacity of civil servants in relevant institutions of the CAFTA-DR region in the preparation and revising processes of EIAs and environmental audits. This, in addition to organizing training and capacity building sessions, developing new and/or improved reviewing procedures, reducing environment permit reviews and delivery/refusal delays, and augmenting the number of strong legal instances responsible for conducting environmental audits, will increase chances of reaching the expected result.

Indicator 1.1: Number of new and/or improved procedures for EIA review and environment permits

The CAFTA-DR program to Strengthen EIA Review offers tools, guidelines, training and recommendations for ways that the countries might improve their EIA review procedures. Whether utilizing a tracking system, a GIS-based analytical tool, and/or auditing unit, every country in the CAFTA-DR region has implemented an improved procedure for EIA review. The Ministry of Environment of Guatemala, for instance, has created a special unit in charge of conducting environmental audits. A similar entity is in process of being developed in Nicaragua, although CCAD reports mention it is not yet in place despite much training already being given in the country. Furthermore, while Honduras lacked up-to-date information on EIA-related data and maps, it was able to obtain funds that allowed them to upload said information to its system. In the Dominican Republic, NEPAAssist GIS-based analytical tool, a web mapping application for environmental impact assessment that helps increase the capacity of the ministries to efficiently access, integrate and

7. Data on average time for implementation and processing of EIAs has not been produced.



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and analyze environmental, social and economic information, has been integrated within an already existing EIA tracking system. The combination of the two tools has given the country a robust instrument that responds to all the requirements of the existing legislation. The review process at the same time has been simplified, requiring a single team-based review session, and has improved the availability and quality of information for project proponents and civil society.

In general, the cooperation has helped strengthen the offices within the ministries in charge of EIA review. In the case of EIA web-accessible tracking, for instance, the governments of the Dominican Republic and El Salvador have made tracking systems public, making it possible for local officials, police, those responsible for safeguarding protected areas and the public to check whether new construction has been approved. Furthermore, coupling this tracking system with the NEPAassist, has allowed the program to identify projects more easily through geospatial mapping and visualization of actual satellite imagery. This in turn has facilitated the screening of information to confirm the veracity and completeness of applications and EIA documents and setting priorities for review, inspection and enforcement. If the public or local officials observe construction at a site, they can check as to whether it has EIA approval, helping to monitor compliance with EIA requirements. It also enables EIA review staff to quickly identify whether a project may raise issues with protected areas or boundaries.⁸

Indicator 1.2: Average time for implementation and processing of EIA

While reliable data on average time for implementation and processing of EIAs has not been produced, EIA mechanisms are becoming more efficient by providing real-time data exchange on web-based tracking systems.⁹

Indicator 1.3: Number of capacity building activities to prepare and review EIA implemented by government authorities and/or universities of CAFTA-DR countries

EPA developed the course “Principles of EIA Review,” and ELE has continued supporting EPA in the implementation of this course. The course has been implemented in every CAFTA-DR country except Honduras. These courses aim at creating a pool of trained consultants and form part of an official registry of EIA technical consultants. This standardizes, to the extent possible, the process for EIA reviews in the region and institutionalizes EIA training to ensure its continuity beyond the life of the program implemented by ELE. Impact of these courses is significant as its approach addresses the quality of EIAs which in turn will facilitate government review of EIA with the expected result of reducing backlog and enhancing administrative efficiency.¹⁰

ELE also delivered the following courses: EIA under criteria for certification; EIA Train of Trainers; and EIA awareness workshop for industry leaders. In addition, ELE produced a guide for university professors to incorporate this content into the academic curriculum, helping establish capacity in the countries and ensure sustainability.

Furthermore, ELE has provided technical and logistical support to EPA for drafting EIA review guidelines in three sectors: mining, energy and tourism. These guidelines will allow CAFTA-DR countries to adopt more efficient, effective, harmonized and transparent practices in EIA processes. While the guide of the technical EIA review guidelines and terms of reference for the

8. Wasserman, Cheryl, *Enforcement of Environmental Impact Assessment Requirements*.

9. Please refer to Annex 2 – Filed Visit No. 3 for additional information.

10. Ibid 8.



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mining sector was finalized, the guidelines for the energy sector have been under review by EPA; a final draft is expected by December 2011. The work on guidelines for the tourism sector was halted due to budget constraints.¹¹

Indicator 1.4: Number of people trained in environmental auditing

According to USAID and CCAD, 90 individuals were trained on environmental auditing. Furthermore, over 250 individuals were trained on Principles of EIA Review, Criteria for Certification in EIA, and Training-of Trainer for EIA facilitation under ELE. These individuals include experts such as those from the ministry of environment of Costa Rica (MINAET) working in reviewing environmental application permits in Costa Rica, as well as public and private stakeholders; the latter having been integrated in order to institutionalize the certification process for private consultants and in turn improve the quality of EIAs.

In analyzing the people trained in environmental auditing, the point to take away is that these numbers reflect the desire of the beneficiary countries and diverse stakeholders to comply with environmental obligations and ultimately generate their own demand for additional training, as expressed by counterparts and environmental ministries in the region.

Indicator 1.5: Number of agencies responsible for environmental auditing created and strengthened

EPA, ELE, and CCAD, among others, have done extensive work in the region on strengthening environmental auditing. EPA has deployed two applications that are allowing fundamental improvements in how the EIA process is carried out and helping to address some of the challenges to EIA compliance and enforcement. The web-accessible tracking of EIA processing from receipt of applications to auditing of commitments provides both transparency and accountability. Features include internet access to all EIA documents which are scanned from the hard copies, tracking of commitments, results and frequency of both audits and inspections, and results of monitoring and reporting to help identify and target problems. As mentioned above, these systems have been made public by the Dominican Republic and El Salvador. In addition, CCAD is helping in the establishment of special units linked to the conducting of environmental audits in Guatemala and Nicaragua.

Follow-up

Strengthening EIA process is an ongoing effort, and one that the countries are tackling with enthusiasm and commitment. Overall, despite dedicated and qualified personnel, the EIA process in CAFTA-DR countries still is falling short of what EIA might accomplish as a tool for: (a) achieving desired levels of environmental performance; (b) reconciling environmental, social and economic interests for sustainable development; and (c) anticipating and preventing or addressing adverse and long term impacts.¹²

The lack of appropriate equipment in the (i.e. computers and servers), and the need to update data and maps is hindering the overall objective of the EIA review program (i.e. in the case of Honduras). Further support for the implementation of this tool is needed. Other issues in the implementation of these systems include limitations with respect to the time and quality of the environmental

11. Environment and Labor Excellence for CAFTA-DR Program, Second Year Annual Report 2009-2010.

12. Wasserman, Cheryl et. al. *Strengthening EIA Review in CAFTA DR Countries: Recommendations for Procedural Reforms*, March 2011.



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impact assessments studies prepared by the consultants (environmental authorities in charge of reviewing these studies often complain about their quality); and facilitating an online application process. Furthermore, reviewers need to strengthen their capacity for a careful review of these studies, utilizing courses such as those in Indicator 1.3.

In conjunction, NEPAAssist and the Tracking System have allowed the countries to improve their management and generate an integrated vision of the environmental impact assessment process. POCs and other stakeholders agree that this has been one of the most successful areas of the cooperation. In addition, all POCs noted that the transfer of knowledge and the intervention implemented by EPA have been remarkable. While ideally the next steps would include more capacity building sessions, current times and budget cuts of the implementing agencies put at risk this phase of vital importance. Other recommended actions for strengthening EIA review include institutional strengthening and reform; improving the value and quality of EIA analyses and documents; and improving the management of the EIA process.¹³

In Chile, an EIA request system has been launched online, eliminating many of the procedures that have made EIAs untimely and inefficient in the past. Elsewhere in Latin America, Colombia looks to be following suit shortly, providing both of the countries with a system to effectively conduct environmental audits and more adequately address environmental issues in the future. The CAFTA-DR region would benefit greatly by taking a closer look at this success stories and replicate them.

2. Improved wastewater management

Expected Results	Indicator	Progress
2. Improved wastewater management	2.1 Number of institutions strengthened using the ASWT manual	No data currently available – refer to qualitative information
	2.2 Existence of a reference laboratory in each CAFTA-DR country	1 regional in Costa Rica; and 1 in all CAFTA-DR countries
	2.3 Number of basic elements (12) of the model for wastewater regulation implemented by CAFTA-DR countries	7 of 12 elements implemented in Costa Rica 1 of 12 elements in the rest of the CAFTA-DR countries
	2.4 Number of countries that developed performance standards under the best available technology in a priority sector at the national level	No data currently available – refer to qualitative information

This second expected result under sub-goal A1 includes training relevant representatives, strengthening existing laboratories and increasing the number of national standards on wastewater management in the region.

Wastewater management has been a priority for the CAFTA-DR countries and a key benchmark for environmental monitoring in the region. Even though the region has a wealth of water resources, the high levels of pollution in its rivers and lakes due to inadequate environmental controls constitute a serious challenge for the region. The ECP is helping reverse this situation through the activities being implemented to under this expected result.

13. Ibid

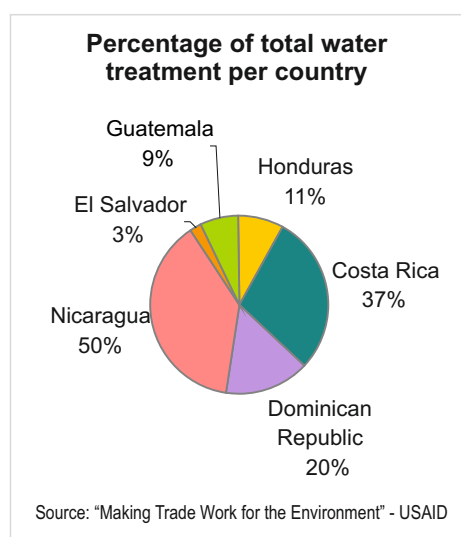


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Indicator 2.1: Number of institutions strengthened using the ASWT manual

The Manual on Appropriate Sustainable Wastewater Treatment is a tool developed and disseminated by CCAD which aims for regional environmental authorities as well as agencies and institutions that deal with the enforcement of wastewater regulations to conduct analyses of wastewater treatment systems with the available technology and resources in the region. It comprises a joint effort of different implementing agencies including ELE, EPA, CCAD, Abt Associates and technical experts from the ministries of environment of the region. The manual has helped strengthened myriad institutions through means such as national launching events which reach out to relevant representatives. For example, when the manual was launched in El Salvador (May 2011), 23 representatives from the public sector and 21 from the private sector were present.

Indicator 2.2: Existence of a reference laboratory in each CAFTA-DR country



Throughout the region, representatives from 12 public and academic environmental laboratories identified by EPA have been strengthened in wastewater management through capacity building sessions and courses provided by ELE. Four countries (El Salvador, Guatemala, Nicaragua and Costa Rica) in the CAFTA-DR region have the ability to analyze physical/chemical and microbiological samples according to quality control requirements as set forth in ISO/IEC 17025 and are capable of producing dependable results. Environmental laboratories in Honduras and in the Dominican Republic should continue working towards establishment of a quality control system as recognized within the ISO 17025:2005 framework.

The *Laboratorio del Centro de Investigación en Contaminación Ambiental de la Universidad de Costa Rica* (CICA-UCR) was selected as the regional reference laboratory because of its exemplary political and institutional will and technical capacity to foster sound wastewater management. As a result, laboratories are now able to conduct reliable wastewater analysis which helps control wastewater discharge. Benefits of the implementation of this program are already noticeable with an increase of 5% in treated waters on a regional scale.

Further to these benefits, stakeholders highlighted the importance of the transfer of knowledge by EPA to the reference laboratory in Costa Rica. This laboratory has since generated a multiplier effect in the region. Despite this success, it is also important to keep in mind the capacity and level of development of the countries since the inception of this initiative.

Indicator 2.3: Number of basic elements of the model for wastewater implemented by CAFTA-DR countries

USAID, EPA and ELE developed a program for strengthening wastewater laboratories to help comply with environmental regulations (see indicator 2.2). This program is an element of the model for wastewater management regulation, which builds on results achieved under the PROARCA¹⁴ and the work developed by EPA in the implementation of the basic elements of the Central American regulation ratified by the ministers of environment in 2005.

14. The USAID Regional Environmental Program for Central America (PROARCA) supported the conservation and sustainable management of biologically important and diverse areas in the Mesoamerican Biological Corridor (Central America and Mexico). See <http://www.usaid.gov/locations/latin_america_caribbean/environment/proarca.html>



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The Model Central America Wastewater Treatment Regulation was designed with a scientific methodology that established 12 priority elements in order to regulate outflow discharge. ELE's report¹⁵ indicates that all technical assistance to encourage adoption of the elements of the Model Regulation has been pursued through a participatory approach based on extensive consultation with local counterparts, stakeholders and environmental authorities, demonstrating linkages to sub-goal A3.

EPA's contribution primarily consisted of four aspects: (1) technical assistance to help optimize and improve quality management systems; (2) training and capacity building in specific topics for the continuous improvement of the systems; (3) donation of equipment; and (4) the donation of updated bibliographies for reference.

While Costa Rica has been very successful in this area, workshops have also been held in Nicaragua, Dominican Republic, Guatemala and El Salvador, where this initiative is supporting the development of an inter-institutional agreement for the promotion and sustainability of wastewater management, which could serve as a model for other countries.¹⁶ Honduras has seen relatively less progress due to the ECP being halted for a period of time; however, the country has achieved a sustained improvement in wastewater management. Honduras now has a strengthened wastewater management platform, including a legal framework, trained personnel and a modern wastewater laboratory.

Indicator 2.4: Number of countries that developed performance standards under the best available technology in a priority sector at the national level

Six productive sectors were identified by the countries in order to implement the Model Central America Wastewater Treatment Regulation (see indicator 2.3) including slaughterhouses, dairy, porcine farms, tourism, textiles, and coffee processing plants.

3. Improved solid waste management

Expected Results	Indicator	Progress
3. Improved solid waste management	3.1 Number of countries with a policy/strategy for solid waste management	Support continues in GUA, NIC, CR and ES
	3.2 Percentage of annual increase of tonnes of solid waste exchanged through BORSICCA	10%
	3.3 Number of users that utilize the BORSICCA mechanism	500 users
	3.4 Number of countries that apply the protocol for inspection of sanitary landfills	CR and ES are revising recommendations

Several initiatives have been implemented that are contributing to the improvement of solid waste management at the national and regional levels.

15. Environment and Labor Excellence for CAFTA-DR Program, Second Year Annual Report 2009-2010.

16. Ibid.



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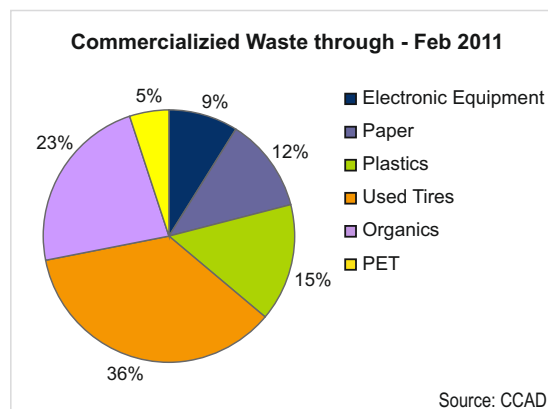
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Indicator 3.1: Number of countries with a policy/strategy for solid waste management

CCAD continues supporting the elaboration of proposals for laws, regulations, policies, strategies and action plans for the sound management of solid waste in Guatemala, Nicaragua, Costa Rica and El Salvador. Nicaragua is conducting a review to update the National Policy for the Sound Management of Solid Waste and Plan of Action. Costa Rica continues implementing activities for awareness and dissemination of the Law for Integrated Solid Waste Management.



Indicator 3.2: Percentage of annual increase of tones of solid waste exchanged through BORSICCA and Indicator 3.3 Number of users that utilize the BORSICCA mechanism

The Central America and the Caribbean Industrial Waste Exchange (BORSICCA)¹⁷ mechanism, which licenses the trade of solid waste in the CAFTA-DR region, has been launched in the Dominican Republic,¹⁸ with commitments from the environment authorities and the private sector through a national network of entrepreneurs supporting the protection of the environment - Red Nacional de Apoyo Empresarial a la Protección Ambiental (RENAEPA). As of June 2011, BORSICCA has commercialized 215 tonnes of solid residue and waste per 275 offers and demands made by both businesses and individuals to deal with industrial waste. In conjunction with the 275 offers mentioned above, over 500 users have utilized the BORSICCA system.

Indicator 3.4: Number of countries that apply the protocol for inspection of sanitary landfills

A guide for inspection protocol for construction and operation of new sanitary solid waste landfills has been developed for the region with support from CCAD and EPA. It is expected that this guide will support countries effort to update and adjust their regulation for sanitary landfills.

4. Improved management of chemicals and hazardous substances

Expected Results	Indicator	Progress
4. Improved management of chemicals and hazardous substances	4.1 Number of countries that implement the UNITAR guide through the development of the pilot project for the design of a national PRTR	Pilot projects in Dominican Republic and El Salvador
	4.2 Number of institutions trained in emergency management of spilled harmful substances	At least 30 institutions
	4.3 Number of countries that have developed a pilot project for the reduction on the use of mercury in hospitals	2 countries implement a project for the reduction of mercury use in hospitals (Costa Rica – 1 hospital; Honduras – 2 hospitals)
	4.4 Percentage reduction of the use of mercury in hospitals	No data currently available – refer to qualitative information

17. BORSICCA is an electronic platform for commercializing and/or exchanging residue, which allows the use or reinstatement of these and the different production chains that are developed in the region. See <<http://www.borsicca.com/>>

18. BORSICCA started operations in October 2009 with support from USAID under the CAFTA-DR framework. See OAS' Monitoring Progress of the Environmental Cooperation Agenda in the CAFTA-DR countries – Second Evaluation Report (January 2011).



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Indicator 4.1: Number of countries that implement the UNITAR guide through the development of the pilot project for the design of a national PRTR

CAFTA-DR countries aim to improve the management of chemicals and hazardous substances through the compliance of criteria established under the United Nations Institute for Training and Research (UNITAR) guide regarding the implementation of a Pollutant Release and Transfer Registers (PRTR) system, the reduction of the use of mercury in hospitals, and capacity building in the event of the spillage of hazardous substances. Progress in this area has been slower than in other areas of the ECP; nevertheless, some milestones include the launching of a pilot project in El Salvador and the Dominican Republic for the implementation of SAICM¹⁹ and the development of a regional strategy.

In addition, some of the activities being implemented have focused on the design and development of information technology infrastructure (software platform) and the analysis of the legal norms to support PRTR implementation.

Indicator 4.2: Number of institutions trained in emergency management of spilled harmful substances

Capacity building in responding to uncontrolled emissions across countries was conducted by EPA in more than 30 institutions in the region. As result of this newly acquired capacity, officials from El Salvador, for the first time in its history, were able to declare an environmental state of emergency in the municipality of San Juan Opico in La Libertad, where a battery company released lead contaminants (refer to Case Study below).

Indicator 4.3: Number of countries that have developed a pilot project for the reduction of the use of mercury in hospitals

In Honduras, EPA reinitiated its project to reduce the use of mercury in hospitals. Also, ELE conducted technical consultancies and an assessment of the current state of pesticide safety and management in Costa Rica. However, due to budget constraints further work on this activity was suspended, pending direction from USAID.²⁰

Indicator 4.4: Percentage reduction of the use of mercury in hospitals

There is currently no data available on the percentage reduction of the use of mercury in hospitals.

Case Study: State of Emergency due to Record Batteries Contamination

In August of 2010, the Ministry of the Environment and Natural Resources (MARN) of El Salvador declared an environmental state of emergency in the county of Sitio del Niño, in the municipality of San Juan Opico in La Libertad, where a battery company released lead contaminants.

The head of MARN, Minister Hernán Rosa Chávez, declared this environmental state of emergency for the first time thanks to the technical assistance of the United States Environmental Protection Agency (EPA) in the framework of the Environmental Cooperation of CAFTA - DR. EPA supported MARN and the National Administration of Aqueducts and Sewers (ANDA) in the exploratory sampling of the area which, for decades, was affected by lead emissions.

To address this environmental emergency, MARN has promoted an intense inter-institutional cooperation of ministers and institutions to tend to people and those affected, continuing its work of sampling to learn the magnitude of the environmental damage. The current decree, which applies within a radius of 1.5 kilometers starting from the Record Batteries premises, can be modified in time and area, according to the results of the subsequent investigations.

Source: United States Agency for International Development (www.usaid.gov)

19. The Strategic Approach to International Chemical Management (SAICM) is a policy framework to foster the sound management of chemicals. It supports achievement of the goal that, by the year 2020, chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health.

20. Environment and Labor Excellence for CAFTA-DR Program, Second Year Annual Report 2009-2010.



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5. Improved air quality management

Expected Results	Indicator	Progress
5. Improved air quality management (percentage improvement of the air quality)	5.1 Number of countries that have a National Emissions Inventory as a baseline for air quality strategies	1 (Costa Rica)
	5.2 Number of institutions strengthened in air quality management	No data currently available – refer to qualitative information
	5.3 Number of countries with real time monitoring capacity of air quality	El Salvador and Costa Rica

Under this result, EPA has provided technical assistance to the CAFTA-DR countries in the strengthening of its air monitoring technical capacity which will enable them to obtain the information needed to develop long-term strategies that address mobile and stationary sources of air pollution and help build the region's capacity to establish a regional air monitoring network.

Indicator 5.1: Number of countries that have a National Emissions Inventory as a baseline for air quality strategies

EPA and CCAD have worked together with the Costa Rican government to develop and implement a specific methodology to inventory air pollution emissions in the country. Other countries, such as El Salvador and the Dominican Republic, have now in place an Inter-institutional Air Quality Committee, and are in the process of developing a work methodology. Furthermore, Guatemala and Honduras are expected to begin an emission inventory methodology before the end of 2011. After the conclusion of this phase, all CAFTA-DR countries will be able to use this tool which will help them design national and regional public policies to reduce the negative effects of air pollution to the environment and human health.²¹

Indicator 5.2: Number of institutions strengthened in air quality management

To support CAFTA-DR countries in air quality management, EPA worked with the ministries of environment and universities to increase capacity on the topic and develop training materials. It is expected that universities, jointly with ministries, will continue providing this training. In addition, a regional technical assessment on air monitoring equipment was conducted by EPA in the CAFTA-DR countries.

Indicator 5.3: Number of countries with real time monitoring capacity of air quality

The key component of EPA's air quality management intervention in the region is establishing air quality control stations in El Salvador and Costa Rica. These two countries are now capable to provide information about daily levels of air pollution (particulate matter) to the public.

21. Acuerdo de Cooperación USAID/CCAD, Informe Tercer Trimestre 2010-2011.



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6. Improved administrative procedures for the presentation of environmental complaints

Expected Results	Indicator	Progress
6. Improved administrative procedures for the presentation of environmental complaints	6.1 Number of countries that implement a system of follow-up and control of environmental complaints within the environmental authorities	At least 4 countries implement a system of follow-up and control of environmental complaints (Nicaragua, Guatemala, Costa Rica and El Salvador)
	6.2 Percentage of increase in the effective attention of complaints ²²	No data currently available – refer to qualitative information
	6.3 Number of countries that have revised administrative procedures	1 country (Costa Rica)

This expected result is linked to the empowering of the populations in the target region. By developing a follow-up and control system to deal with environmental complaints, the environment authorities have made it simpler for citizens to file complaints, a procedure which empowers them to take action on environmental issues. In improving these administrative procedures, it is important that the general public have access to the relevant information concerning their national environmental legal framework. Hence, this result shares linkages sub-goal A3, result 1 on “Improved quality and greater accessibility of environmental information to the population.”

Indicator 6.1: Number of countries that implement a system of follow-up and control of environmental complaints within the environmental authorities

Nicaragua, Guatemala, Costa Rica and El Salvador have implemented a system of follow-up and control of environmental complaints. The environmental complaints system presents a vital tool in increasing the transparency of environmental cases in the CAFTA-DR region, as well as effectively engaging the general public, civil society and public sector in understanding environmental obligations under existing legislation. This tool will significantly bolster the capacity of corresponding environment ministries in managing a complaints system, as well as engaging society in public environmental regulation and governance.²³ In addition, CCAD has developed a software to control and monitor environmental complaints in the countries.

Indicator 6.2: Percentage of increase in the effective attention of complaints

This percentage is to be used as a reference indicator in the future. In order to reflect a reliable figure, it will be important for implementing agencies and government bodies to diligently measure the effectiveness of environmental complaints.

Indicator 6.3: Number of countries that have revised administrative procedures

In Costa Rica, CCAD worked with the Ministry of Environment, Energy and Telecommunications (MINAET) to improve its administrative system by developing a manual on the procedures to present environmental complaints. A validation protocol was also developed. As a result, Costa Rica now has a more accessible submission process, and has provided a framework for other countries to do the same.

²² This can be used as a reference indicator in the future.

²³ Ibid 21.



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7. Greater enforcement of civil/penal laws in environmental responsibility

Expected Results	Indicator	Progress
7. Greater enforcement of civil/penal laws in environmental responsibility	7.1 Number of institutions that have adopted/used instruments created for the judicial authorities to facilitate the implementation of civil/penal legislation on environmental responsibility	Costa Rica and Dominican Republic adopted the prosecution policy of environmental crimes 3 prosecutors' offices in Costa Rica, Dominican Republic and Nicaragua use 24 compendia and manuals developed
	7.2 Number of countries that have a valuation methodology for environmental damage	No data currently available – refer to qualitative information

The focus of this result is to build capacity for stakeholders in valuation methodology for environmental damage. In furthering compliance, this result shares linkages with sub-goal A2 which seeks to improve the “compliance and enforcement of environmental law and case follow-up and resolution.”

Indicator 7.1: Number of institutions that have adopted/used instruments created for the judicial authorities to facilitate the implementation of civil/penal legislation on environmental responsibility

While initially the judges issuing rulings on environmental crimes had little knowledge of environmental law, CCAD and USAID report that through adequate training and education, judicial authorities are now more capable of address legislation on environmental responsibility. Several courses have been implemented by ELE, CCAD and EPA in each CAFTA-DR country during this reporting period, including courses to enforce, develop or improve environmental laws, environmental judicial training as well as courses on content and enforcement of environmental legislation and jurisprudence, and gap analysis. A key factor to the success of the courses stems from the fact that law schools recognize the importance of newly development environmental law curricula. In spite of this, however, many judges still feel incapable of issuing a rational ruling with the support of technical criteria on some environmental crimes.

Indicator 7.2: Number of countries that have a valuation methodology for environmental damage

Many who work in environmental justice are not aware of the exact form to evaluate environmental damage. Furthermore, no ministry follows a universal methodology to quantify this damage. CCAD and USAID report, however, that through analyzing the biophysical and social implications of incidents, they have enabled justice officials to issue sanctions which address the magnitude of environmental damage, and in turn have established a methodology. Key factors in achieving this success were the few administrative and judicial procedures required in processing each environmental crime, as well as the equitable rulings handed down for the crimes. Despite this success, there is continued uncertainty over the limited technical knowledge in evaluating environmental damage. As well, implementing agencies mentioned that additional funding will be necessary to provide a proper follow-up to this initiative and continue the work towards the development of a proper valuation methodology.



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Sub-Goal A2 - To strengthen government institutions for the enforcement and effective compliance of environmental legislation

1. Enforcement and compliance of environmental law and case follow-up and

Expected Results	Indicator	Progress
1. Improved implementation and compliance of environmental law and case follow-up and resolution	1.1 Number of inter-institutional mechanisms that ensure compliance with environmental legislation	3 mechanisms

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 judiciary bodies. Additionally, this entails adequately measuring this implementation and compliance, including MEAs.

Indicator 1.1: Number of inter-institutional mechanisms that ensure compliance of environmental legislation

Under the ECP three inter-institutional mechanisms have been created to improve implementation of and compliance with environmental law, including the Council for Environmental Compliance in Guatemala (reactivated by CCAD), the newly approved Environment and Climate Change Commission in El Salvador, and the Wildlife Enforcement Network (promoted by CCAD, DOI and TRAFFIC).

To complement these efforts, EPA, jointly with the US Department of Justice (DOJ) and CCAD, has provided technical assistance and training to increase capacity of the judicial system in resolving civil and criminal environmental cases. Furthermore, EPA has worked directly with authorities in charge of environmental law enforcement and implementation, including judges and magistrates, justice ministry officials, judicial training institutes, public service employees, environmental and other ministries, the environmental offices of the Attorney-Generals, and local governments in each CAFTA-DR country.

In addition, ELE completed and validated with corresponding local authorities a compendium of environmental legislation for each CAFTA-DR country, providing users with a consolidated reference tool for environmental enforcement and regulation. Along these lines, a Regional Compendium of Environmental Jurisprudence was also completed, containing a summary of the most important legal decisions for each country. This collection of information will allow environmental officers and the general public to understand trends in environmental jurisprudence. In addition to these resources, ELE also developed manuals on investigating environmental violations, prosecution and adjudication. According to ELE, this has been one of the great achievements of their program since these manuals represent an important step toward the harmonization of legal actions in the investigation, prosecution and sentencing of environmental crimes to more effectively enforce environmental legislation in the region.²⁴ Furthermore, the

24. Ibid 21.



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compendium of environmental legislation will serve as a guide to environmental authorities as a means of establishing precedence regarding tendencies in environmental jurisprudence in the region. It is a valuable tool for judicial officials because it will enable them to improve their roles in the effective enforcement of environmental legislation in their countries. To promote the dissemination of the manuals, training sessions have been coordinated with the respective ministries. However, several POCs, namely from the Dominican Republic, Costa Rica and Honduras, have been critical of the manuals and compendia given that they have not been approved by the national institutions, and contain errors. More time will be required to conduct proper consultations with the national authorities in order to review the contents of these manuals and the Compendium of Environmental Jurisprudence to make the necessary corrections.

From a national perspective, environmental indicators on implementation have been developed and adopted in Costa Rica and the Dominican Republic and are making progress in Guatemala and Honduras. In Nicaragua and El Salvador, however, they are in the process of identifying and selecting appropriate indicators through methodological worksheets.

Follow-up

As mentioned, many of the activities in the ECP are linked to capacity building and training courses. In this regard, these mechanisms demonstrate the advances and promise of the ECP but will require diligent follow-up and the will of all authorities (not only environmental) to ensure the proper implementation of laws, trainings, and compliance mechanisms.

2. The rules, compliance and enforcement of fisheries' legislation have been improved

Expected Results	Indicator	Progress
2. The rules, enforcement and compliance of fisheries' legislation have been improved	2.1 Number of countries that have improved their institutional framework	Nicaragua
	2.2 Number of no fishing zone s established and protected	No data currently available

Indicator 2.1: Number of countries that have improved their institutional framework

NOAA is working with OSPESCA to assist CAFTA-DR countries in developing a range of marine protection services that include professional, self-sustaining marine conservation enforcement bodies capable of effectively enforcing conservation laws within fisheries, and prosecuting fishery violations. These two agencies are executing a project to provide "Support to the Process for Fisheries' Regulation in the Central American Isthmus." The components of this project include a regional plan for inspecting infrastructure for processing; support for the regional action plan for sharks; a Monitoring, Control and Surveillance Network (Red MCV) and regional coordination; an Early Warning and Detection Plan for the Diablo Fish in Lago Cocibolca (Nicaragua); and Regulation of the General Law to Manage and Promote Fisheries and Aquaculture in the CAFTA-DR countries.

In addition, OSPESCA organized a Regional Workshop entitled "Identification and management of the channels of entry related to the trade of invasive aquatic species (IAS) in the CAFTA-DR countries, Panama, and Belize;" its central objective was to contribute to the regional capacity in



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identifying and analyzing risks of the channels of entry of invasive aquatic species to the ecosystems of the region that could cause economic, biological, and social impacts. The results of this workshop were the training of 43 technicians on the issue, such as in the identification of the needs of three sectors (fishing and aquaculture, environment, and animal and plant health) on the topic of IAS to be used as input for the future development of a regional strategy for the management of invasive aquatic species.

Indicator 2.2: Number of no fishing zone established and protected

There is currently no data or information available under this indicator.

Sub-Goal A3 - Increase public participation and transparency to support informed decision-making

1. Improved quality and greater accessibility of environmental information to the population

Expected Results	Indicator	Progress
1. Improved quality and greater accessibility of environmental information to the population	1.1 Existence of procedures and protocols to improve environmental information and data	1 regional procedure and protocol
	1.2 Number of environmental information centers strengthened with public access	3 centers (Nicaragua, Honduras, and El Salvador)
	1.3 Number of persons requesting environmental information per month	No data currently available

The first expected result under sub-goal A3 is built upon two different but related elements linked to information: improving the quality of the information, while increasing its accessibility. Through the strengthening of information centers which improve the quality of the information, centers will provide not only more diverse information to the public, but more information in general. It is also understood that the process of strengthening these centers will enhance their accessibility through virtual means.

Indicator 1.1: Existence of procedures and protocols to improve environmental information and data

Under this result is important to recognize the synergy of the respective involvement of USAID, CCAD, EPA, CATHALAC, and NASA to complement the data that has enabled decision makers to make informed decisions through the SERVIR (Regional Visualization and Monitoring System) Program. Using satellite technology, SERVIR has helped CAFTA-DR countries understand and respond to natural disasters, combat environmental problems, improve agricultural practices and monitor air quality. SERVIR team members gather and process satellite data, combine it with ground observations, analyze results and quickly pass along the resulting information to assist scientists, educators and foreign government leaders. The program provides a bird's eye view of heavily damaged areas due to natural disasters or environmental problems and making that information available to the response teams²⁵

25. From the Partnership for Public Service (2010, January 18). Daniel Irwin: Using NASA technology to solve disaster, environmental conditions. *The Washington Post*. Retrieved from <http://www.washingtonpost.com>



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SERVIR has allowed countries to have access to information that they did not have before; now the meteorology offices of the region have access to satellite technology which help countries be prepared in a shorter period of time. For instance, in Guatemala, a major algae bloom spread across Lake Atitlan, a picturesque Guatemalan lake surrounded by steep volcanoes and Mayan settlements. NASA's satellite images showed the scope of the contamination and helped mobilize government action to begin dealing with the pollution.²⁶ In Dominican Republic, SERVIR helped mapped what has happened in Enriquillo Lake in the past and what is going on right now with the growth of the lake and see what areas of land can be affected in the future and be prepared. Furthermore, in the event of hurricanes or heavy rains, satellite images provided by SERVIR can help avoid disasters caused by flooding and mudslides, and assist officials in understanding the full extent of the damage, if any.

For Honduras, the information provided by SERVIR for decision-making has proved key. They have learned how to better manage information between agencies, both vertically and horizontally. While there is little doubt that it has been a great tool for national institutions, there is a need however to search for mechanisms that allow for the decentralization of information and resolution of the issue with licenses and services. Furthermore, there is a need to improve the issue of the demand for information and how, when, and in what format this information is used, focusing planning efforts on the areas with the greatest impact.

Indicator 1.2: Number of environmental information centers strengthened with public access

The environmental information centers of Nicaragua, Honduras, and El Salvador have improved public access.

Indicator 1.3: Number of persons requesting environmental information per month

There is currently no data or information available under this indicator.

2. Improved public participation in environmental decision-making

Expected Results	Indicator	Progress
2. Improved public participation in environmental decision-making	2.1 Number and type of instruments that favor the public participation in environmental decision-making	Campaigns, manuals and workshops (number data not available)
	2.2 Number and type of civil society sectors that participate in environmental decision-making	18 CSOs and more than 200 stakeholders

The second expected result under this sub-goal functions to generate public participation in any type of environmental political sphere; already existing grassroots movements are usually important variables in the equation. Working with these movements, organizations, programs and projects, implementing agencies can then stimulate their participation by creating social tools and events that facilitate information sharing which in the mid-term should help reach the expected result.

26. Ibid.



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Indicator 2.1: Number and type of instruments that favor the public participation in environmental decision-making

DOS/OES, through its Regional Environmental Hub in Costa Rica, launched a Smalls Grants Program in August 2007 to engage local organizations in the CAFTA-DR countries, such as NGOs, academic institutions, professional organizations, and other civil society organizations, in the public participation opportunities and mechanisms that the CAFTA-DR Environment Chapter and Environmental Cooperation Agreement provide. That year DOS/OES awarded six small grants to different local organizations in the CAFTA-DR countries to (1) educate the public about opportunities in the CAFTA-DR Environment Chapter and ECA for public participation; (2) obtain informed, productive public participation in environmental decision-making in CAFTA-DR countries; and (3) promote compliance with environment laws. The names of the six local organizations that received funds in 2007 and their project descriptions are indicated in the box below.

Smalls Grant Programs (2007-2008)

1) Helvetas Swiss Association for International Cooperation, Guatemala

Project Title: Getting to Know CAFTA-DR Environmental Chapter

The project consisted of an awareness raising campaign targeting the general public, including information dissemination through radio, newspaper, mobile information booths, and fairs in three languages of the region (Mam, Quiche and Spanish). Also, Helvetas in collaboration with the Ministry for the Environment and Natural Resources set up a nation-wide hotline for people to report environmental complaints. The project also provided information about public participation opportunities and mechanisms on environmental issues.

2) Instituto de Investigación y Promoción Ambiental (IPA), El Salvador

Project Title: Environmental Units: Mechanisms for Increasing Public Participation in Environmental Management and Enforcement

This pilot project took place in five municipalities to promote public participation in the enforcement of environmental laws and compliance of Chapter 17 by building or strengthening their Environmental Units (EUs). Main activities included 1) training the EUs to effectively engage in environmental management, soliciting and disseminating information from and to the public, and ensuring compliance with Chapter 17; 2) promoting that the National System of Environmental Management (SINAMA) and Ministry of the Environment and Natural Resources (MARN) engage in a public relations campaign to inform all citizens of these rights; and 3) assisting the Environmental Units, SINAMA, and the public with the mechanisms necessary to ensure open and effective lines of communication.

3) Colegio Lincoln, Costa Rica

Project Title: Environmental Congress

The project consisted of organizing a group of no less than 30 interested secondary students from a variety of public and private schools, to participate in the "ECO 1" Environmental Congress, held in Lincoln School Campus. During this event the students engaged in activities regarding the role of the public and obligations in the Environmental Chapter, participated in environmental workshops with scientific professors, discussed environmental problems in Costa Rica, and created an action plan to address environmental issues.

4) Central America Technological University (UNITEC), Honduras

Project Title: Support the Diffusion of Opportunities and Informed Participation in the Environmental Decisions within the Framework of CAFTA-DR and the ECA.

The project aimed at promoting the understanding of the mechanism for public participation included in Chapter 17 of the CAFTA-DR Agreement and ECA through workshops directed at government and non-government sectors and the preparation of a summary of the opportunities and obligations that Honduras has within the framework of CAFTA-DR, a legal interpretation within the Constitution and pertinent laws of Honduras, and suggestions to meet the obligations in Chapter and ECA.



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5) Promoción y Desarrollo Empresarial (PRODEM), Nicaragua

Project Title: Improving Public Participation in Environmental Decision-making in the Region Encompassed by the CAFTA-DR.

The project helped increase the participatory efforts of civil society and the private sector in environmental issues by strengthening information flows of approximately 200 organizations, building capacity on environmental issues in small private enterprises, and promoting the establishment of public and private partnerships.

6) Alianza ONG, Dominican Republic

Project Title: Promoting Public Participation Mechanisms of the Chapter 17 Environment from CAFTA-DR

This project had two main components to promote public participation mechanisms of the Chapter: 1) outreach using mass media outlets, web site, journals, and the elaboration of didactic guides and 2) four workshops in Santo Domingo and in the east and north regions of the country targeting commerce and production entities, tourism organizations, and economic and environmental journalists.

Source: U.S. Department of State – Bureau of Oceans and International Environmental Scientific Affairs

The following year, in 2008, the Program was managed and coordinated by Helvetas Guatemala – Asociación suiza para la cooperación internacional, in an effort to engage an organization with a strong presence in the region. To continue building on recent experience in the region, the purpose of the Program remained similar, engaging civil society in the CAFTA-DR countries with the mechanisms and opportunities for public participation contained in the CAFTA-DR Environment Chapter and Cooperation Agreement. This time around, however, the Program also wanted to promote the countries own mechanisms for public participation. So far, two cycles of projects have been implemented (see boxes below).

Thirteen projects (6 in 2009-2010 and 7 in 2010-2011) in the CAFTA-DR region have taken action towards strengthening and creating local capacities through trainings and awareness activities. The main components of the projects are knowledge of environmental legislation and public participation mechanisms. Overall, outreach activities in the six countries have benefited 12,039 (3,458 for 1st cycle and 8,581 for second cycle) people, creating training tools to support the workshops, specifically in Guatemala, Honduras, El Salvador and Nicaragua. Other campaign activities have been created and implemented, such as radio spots, project posters and banners. In May 2011, an agreement for a third cycle of projects was signed for implementation in 2012 until March 2013. The preparations for identifying the priority topics and for launching the call for the third round of proposals have been initiated.

Due to the success in involving local NGOs in environmental decision-making and education through the Small Grants Program, under new funding for the program, EPA is implementing a project for “Improving Public Participation and Environmental Decision-Making in CAFTA-DR countries.” The objectives of the program are (1) to create and implement a strategic public outreach campaign, and effectively engage civil society and local government on specific environmental issues and policy decision-making process, and (2) to support the implementation of public participation commitments pursuant to the Environment Chapter of the CAFTA-DR and the ECA. However, there have been delays in the process due to a limited number of qualified applicants in three countries during the initial request for proposal. EPA has reissued the request received proposals for all countries, and plans on issuing the grants soon.



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Reports from Helvetas Guatemala also mention that civil society in general has improved its management, absorption, and organization capacities and is now requesting more support from state institutions to defend environmental rights as a human right (though not many details are given in the reports on how this is translating into action). Environmental management committees in some communities have been organized as a result of the training sessions. Information obtained through interviews conducted by the implementing agency demonstrates a good level of satisfaction of members of the committees especially in terms of support for filing environmental complaints. However, “[a]ctions to resolve or confront these environmental issues have not been taken due to the complexity of the issues and its processes.”²⁷ Nevertheless, at the local level, public consultation meetings have been held to analyze and propose environmental management mechanisms to the municipalities. Public participation mechanisms, such as environmental commissions established, in Nicaragua and El Salvador take administrative and legal actions regarding environmental issues. It is also interesting that of the citizens that now have information and know the legal procedures to submit a complaint or a communication to the SEM, some have expressed their interest in resolving environmental issues by dialogue rather than legally, these cases were seen in Guatemala and Nicaragua.

27. Asociación Suiza para la Cooperación Internacional, Helvetas Guatemala. 2011. *Small Grants Program for Public Participation. 9th Quarterly Report: October 1, 2010 – December 31, 2010.* p. 16



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First Round of Projects (2009-2010)

1) Nicaragua, CENADE (Rural Development Action and Support Center)

Project Title: Capacity Building for Farmers' Organizations and Local Governments in Public Administration and Application of the Country's Environmental Law

The project aimed at promoting citizen participation and procedures encouraging environmental conservation through knowledge about and adoption of environmental legislation by local organizations. The specific target of the project was small and medium farmers of important crops, such as coffee and vegetables. Along with the strengthening of the knowledge of the target population on local environmental law and CAFTA-DR, environmental committees were formed in some cooperatives to attend environmental issues and enable the communities to present their complaints to the appropriate authorities. As a result, both access to information and access to justice have been considerably improved thanks to the project.

2) Dominican Republic, Alianza ONG

Project Title: Strengthening of National Capacities for the accomplishment of the Environment Chapter of CAFTA-DR

The project helped to promote the content of the Environment Chapter CAFTA-DR; build capacities; promote civil society participation; and strengthen capacities within the Dominican government related to the mechanisms for public participation. The project targeted students and professionals of environmental careers, lawyers and general public. Information was disseminated through the involvement of different medias. Strong efforts were made to strengthen the advisory committee for the implementation of Chapter 17, but persistence of political difficulties impaired the institutional strengthening component of the project to be totally fruit-bearing.

3) Costa Rica, FBE (Eco-Flag Foundation for Environmental Management and the Conservation of Natural Resources)

Project Title: Reinforcement of a greenhouse gas emission private market

The goal of the project was to contribute to Costa Rica's objective to be carbon neutral by the year 2021 through a strengthening in citizen's environmental culture regarding global warming. The project reached to companies with the opportunity to become carbon neutral; 17 companies agreed to be included in the initiative. A total of 5,588 Tons of carbon dioxide equivalent (Ton CO₂eq) were "harvested" with GGE inventories of these 17 companies, obtaining funds as a compensation measure for their carbon footprint. The project allowed making mitigation activities in a school of Guanacaste but also directly generated awareness on eco-efficiency to 200 employees and an estimated 10,000 people were indirectly reached by the activities of the project. A new certification on environmental quality within the service sector was also put in place, and one of the main banks of Costa Rica ensured that its 103 establishments would comply with it.

4) El Salvador, ADIS (Association for Sustainable Development of Mankind and the Environment)

Project Title: Implementation and Dissemination of Environmental Complaint Mechanisms in El Salvador

The main objective of the project was to reduce environmental degradation in El Salvador by raising awareness to and familiarizing the people with environmental matters and complaints. The creation of 10 actions groups in the department of Chalatenango to support the municipal environmental units, as well as the training of the population led to the submission of 238 complaints at the local authorities. The main impact of the project reflects that people are now working together with their local authorities to resolve environmental issues.

5) Guatemala, CALAS (Center for Environmental and Social Legal Action of Guatemala)

Project Title: Promotion of the mechanisms of public participation of Chapter 17 "Environment" CAFTA-DR

The goal of the project was to foster high environmental standards through an improvement in the effective application of environmental legislation in Guatemala and therefore implement the CAFTA-DR in a coherent manner regarding the protection and conservation of the environment. The project, focused mainly on two indigenous populations of the country which in many ways are isolated and have little or no access to this information and opportunities, allowed the communities and organizations to become qualified in how to use the mechanisms of public participation that offers Chapter 17, to empower themselves, and monitor the fulfillment of the national legislation. In order to reach a larger part of indigenous population, one thousand copies of a practical guide for the use of public participation mechanisms provided under Chapter 17 DR-CAFTA and translated in Mam and K'iche was printed

6) Guatemala, FUNDES, Fundación para el Desarrollo Económico y Social de Guatemala

Project Title: Toward the competitive development of exporting SMEs through the incorporation of good environmental practices

This project sought to strengthen Guatemala's compliance with the environmental requirements as a signatory of the CAFTA-DR, through knowledge transfer and support to enterprises on environmental and legal issues and the implementation of voluntary programs for continuous improvement in companies, such as cleaner production programs and the Environmental Management System ISO 14001:2004. Concretely, the project socialized public participation mechanism of Chapter 17 to 15 SMEs from different sectors: construction, food, agriculture, domestic and industrial chemicals, hydrocarbons, logistics and transport and services. Working with these SMEs a total of 340 workers have improved their knowledge in environmental legislation, which relate with their productive activities. Each SME identified environmental impacts in their productive live and established mitigation measures.



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Second Round of Projects (2010-2011)

1) Nicaragua, CENADE (Rural Development Action and Support Center)

Project Title: Capacity Building in Environmental Management with Emphasis in the General Environmental Law and Chapter 17 of CAFTA-DR in three Rural Municipalities of Río San Juan

The objective is to develop citizen participation in public and environmental management and promote municipal mechanisms that impulse environmental protection through learning and application of the environmental legislation. Public participation law and general environmental law workshops have been conducted for rural teachers, Education Ministry workers and students. Awareness on public participation mechanisms provided by Chapter 17 has also been carried out and 15 Community Environmental Commissions (CEC) have been established. These CEC have been created in order to strengthen public participation in taking environmental decisions in the communities, and constitute a place where people can express their interests and environmental concerns towards local authorities.

2) Dominican Republic, Alianza ONG

Project Title: Strengthening of democratic procedures of public participation in CAFTA-DR environmental matters in Dominican Republic

The main objective of the project is to increase national capacities for the CAFTA-DR environmental chapter and the diffusion of its content and public participation mechanisms for the knowledge of the Dominican population, through the establishment of a training system and traditional and alternative communication media. Four training workshops have already taken place, with a special focus on SMEs. Information about CAFTA-DR has been published on the webpage of Alianza ONG and two articles related to the conservation of the environment and social participation and trade and environment have been prepared by two recognized Dominican journalists and published in nationally and regionally distributed magazine and newspaper.

3) Costa Rica, GEDT (Green Earth Development Team)

Project Title: Dissemination and training of environmental management of Chapter 17 CAFTA-DR to indigenous communities and farmers of the Terraba and Boruca reserves territory

The main objective of the project is to disseminate and train farmers and indigenous communities in the Terraba, Boruca and Malekus Reserves of Costa Rica in the fundamental concepts of the environmental chapter of CAFTA-DR, to improve their capacities in proposal submission and negotiation with public institutions and private enterprises. Workshops and awareness session about public participation mechanisms and Chapter 17 were given in different cities and territories. Nine environmental management proposals were generated by the indigenous communities themselves to attend environmental issues of their home towns, and take action to improve their environment and livelihood. Financial aid is being explored with public and multilateral organizations for their implementation. Two radio spots have also been transmitted in local radios to provide information on environmental legislation and Chapter 17 CAFTA-DR.

4) El Salvador, IPA (Environmental Investigation and Promotion Institute)

Project Title: Environmental Units: Mechanisms to increase citizen and corporate participation in environmental management and implementation

The project aimed at strengthening the environmental management of the Municipal Environmental Units (UAM) of seven municipalities of the Río Sucio basin, and promoting public participation through environmental impact complaints. UAM's were strengthened in the six areas where the project is taking place, within the Río Sucio basin through training sessions on environmental legislation and public participation. The six UAM's have been working actively with their respective municipal environmental management committees in the elaboration and update of the participatory environmental diagnostics, process that enables civil society and local authorities to work together and take decision jointly for the benefit of the communities and their natural environment.



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5) Guatemala, FRMT (Rigoberta Menchu Tum Foundation)

Project Title: Promoting Environmental Managers to Enforce Environmental Laws in Guatemala

The general objective of the project is to support the implementation of citizen participation resulting from environmental laws by public and private sectors, authorities, organizations, civil society and citizens in general, as an obligation under Chapter 17 CAFTA-DR. A total of 1493 persons were gathered around expositions of environmental awareness and public participation and training workshops on environmental legislation and Chapter 17. Other training sessions were organized especially for public workers but also for community leaders, where the idea of the creation of an environmental management network was promoted. Other groups, such as neighbor committees, civil associations, entrepreneurs, academic sector and youth organizations also showed their concerns on environmental issues and their interests to create the environmental management network.

6) Honduras, UNITEC (Central American Technological University)

Project Title: Dissemination and training of environmental regulations and its implications within CAFTA-DR

The objective of the project is to disclose and train on current national environmental laws, good environmental management practices, and complaint mechanisms for not complying with environmental legislation. Training sessions have already taken place, gathering citizens, college students and teachers, civil authorities and local authorities around the theme of participation in environmental decision making.

7) Honduras, CATIE (Tropical Agricultural Research and Education Center)

Project Title: Strengthening capacity and management of institutions, local authorities and communities for the implementation of environmental legislation based on Chapter 17 CAFTA-DR in Guacerique River Subbasin, Tegucigalpa Honduras

The general objective is to contribute in identifying strategic measures to implement actions that enable the country's environmental legislation compliance, hence the international protocols and agreements ratified in environmental matters in the Rio Guacerique Subbasin, as part of the National Strategy for Environmental Legislation Enforcement under the CAFTA-DR framework. Training workshops on good agricultural practices and environmental legislation were given to farmers who could identify the main environmental, social and economic services of the Rio Guacerique basin. Benchmarking activities have also been conducted to explore and guarantee organic products trade with the benefited communities, by developing alliances between farmers and enterprises.

Indicator 2.2: Number and type of civil society sectors that participate in environmental decision-making

More than 18 civil society organizations have been strengthened and more than 200 civil society organizations, social actors and groups from environment, commerce and production bodies, tourism organizations, small private enterprises, and economic and environmental journalists have benefitted from the campaigns and outreach efforts.



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Summary of Results under Goal A

In sum, when assessing the different results achieved under Goal A, it is possible to state that the ECP supported the strengthening of institutions for effective compliance and enforcement of environmental legislation, with great progress in some areas and humble changes in others. The indicators chosen and the targets that were set by the implementing agencies and the points of contact often determine the scope of that change and the extent to which CAFTA-DR countries are progressing towards the achievement of the goals. Under Goal A the OAS-DSD team has perceived major progress although many indicators appeared to be challenging to measure. Capacity building for effective compliance and enforcement of environmental legislation are areas that definitely require time to be measured, and most probably a renewed support will be necessary to maintain and/or deepen the results achieved. Goal A is definitely the widest one in the ECP, and thus it relates to many areas of improvement that should be summarized individually.

With regards to EIA, implementation capabilities and capacities have been greatly improved in participating countries with the web-accessible tracking of EIA processing and NEPAAssist GIS-based analytical tool. It is still not possible to assess a clear tendency in the average time to implement and process EIA and in the quality of EIA content, which is likely to improve also in the coming years if countries continue to benefit from the ECP. Wastewater management is another area of significant progress, particularly with the creation of a reference laboratory in five of the CAFTA-DR countries, including a regional reference laboratory, and a greater implementation of performance standard methodologies and regulations in wastewater management. This is directly supporting a greater compliance of wastewater regulations in the region.

Although solid waste management received less attention, the BORSICCA solid waste exchange mechanism is operational, with over 500 registered users and a few countries implementing the protocol for inspection of sanitary landfills. Management of chemicals and hazardous substances has also started slowly, but it is worth noting that 30 institutions have an increased knowledge of emergency management of spilled harmful substances. The case study presented clearly demonstrated enhanced capacity of the Salvadorian Government to take action and fulfill its environmental obligations. It is yet possible to assess an air quality management improvement, while CAFTA-DR countries have been provided with a National Emission Inventory that will allow them to create air quality baseline and eventually strategies to impact the air quality. Another noticeable progress is the capacity to perform real time air quality monitoring.

One can observe greater capacity to manage environmental complaints among the countries that implemented a system of follow-up and control of environmental complaints. It is also related to their capacity to conduct inspections once the complaint has been filed and addressed, although more capacity building will be necessary in order to assess a real increase in the effective attention of complaints, for which criteria will need to be defined and agreed upon by the different countries.

The result related to the improved enforcement and compliance of environmental law and case follow-up and resolution could actually be conceived as crosscutting for Goal A. The activities implemented to support this result have mainly to do with the development of manuals on investigating environmental violations, prosecution and adjudication, which is a valued effort to harmonize legal actions in the investigation, prosecution and sentencing of environmental crimes. But these manuals are still not approved by Governments and need further review. It is still premature to assess the real change that can be induced by those tools, although the potential of increased effectiveness of enforcement of environmental legislation in CAFTA-DR countries is clearly there.



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One area that generated a visible change in the compliance capacity of environmental legislation of the CAFTA-DR countries is the accessibility of environmental information to decision makers. For instance, three environmental information centers in the region have been supported to increase public access. In addition, the satellite-based program SERVIR was disseminated in the region, providing very useful data to mitigate natural disasters and threats, improve agricultural practices and monitor air quality. Under this result area, environmental protection and conservation campaigns have been deployed in different countries to reach the wide public and increase awareness on specific topics such as natural wildlife illegal trade or hunting, and the importance of preserving the unique ecosystems found in CAFTA-DR countries. Although it is still difficult to measure the impact of those campaigns on the environment, it is clear that on the long term it serves positively the objective of enhancing compliance and enforcement of environmental legislation and preservation in the region.

Accessing information is meant to lead to greater public participation, an area where implementing agencies have also been active. So far a special focus was placed on people usually excluded from the public participation process in environmental decision-making. As an example, indigenous communities have been involved in Guatemala with information on Chapter 17 in their own language and some complaints have been presented to the proper authorities, although no real actions have been taken later on. The noticeable change here is in terms of mentality of those people that now know the procedures to present their cases. With a greater scope an initiative has been launched to create spaces of dialogue between the public and local authorities on specific environmental issues and policy decision-making process as defined in Chapter 17. This is a relatively new program in the region and it is still not possible to measure precisely the number and type of civil society sectors that participate in this environmental decision-making process. Nonetheless, it will definitely in the mid and/or long term strengthen the governments' capacity to comply and enforce their environmental legislation, with the help of the public.



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Goal B – Biodiversity and Conservation

Under this goal, the purpose is “To protect wildlife and their habitat for long-term economic and environmental development.”

Goal B is divided into three expected results. They are:

- ♦ Improved implementation and enforcement of the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES)
- ♦ Improved protection of forests, protected areas and fragile ecosystems management
- ♦ Improved conservation of marine turtles

1. Improved implementation and enforcement of the CITES

Expected Results	Indicator	Progress
1. Improved implementation and enforcement of the CITES in each country	1.1 Number of instruments (laws, legal analyses, agreements, regulations, and policies) adopted that strengthen the CITES legal framework	9 (DOI)
	1.2 Number of people trained to improve CITES implementation and enforcement including custom officers, other officials and NGO representatives	1252 (DOI) 259 (WWF/TRAFFIC) 192 (USFS-Nicaragua) 829 (HSI)
	1.3 Number of knowledge-sharing materials produced (manuals, analyses, brochures, inventories, guides, curricula, protocols for rescue centers)	18 (DOI) 61 (HSI) 10 (TRAFFIC)
	1.4 Number of reported illegal trade or seizures at port of entry	Number not currently available—refer to qualitative information
	1.5 Number of information technology instruments that have been adopted to improve the management of CITES information and procedures for the issuing of CITES permits	3 (DOI) 1 interactive animal handling curriculum (HSI)
	1.6 Number of people impacted by campaigns and outreach material with messages against illegal wildlife trade and to protect wildlife and their habitat	800 (USFS) 18,043,133 in CR, NIC, HON (HSI) 183 (TRAFFIC)
	1.7 Number of animals that have benefited from improved infrastructure and processes	Number not currently available – refer to qualitative information

To reach "Improved implementation and enforcement of the CITES", the CAFTA-DR program has focused on strengthening the legal framework of CAFTA-DR countries; improving performance of CITES management, scientific, and enforcement authorities; strengthening protection of CITES species in their habitats; and coordinating CAFTA-DR CITES capacity building efforts within the region and strengthening regional collaboration.



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Indicator 1.1: Number of instruments (laws, legal analyses, agreements, regulations, and policies) adopted that strengthen the CITES legal framework

To improve the implementation and enforcement of CITES, DOI began implementing a plan, at the request of the CITES authorities, to assist with the strengthening or developing of instruments (laws, legal analyses, agreements, regulations, and policies) that will improve CITES implementation. DOI partnered with the Ministry of Agriculture and Ministry of Environment of El Salvador, as well as the CITES Secretariat and CCAD to help the country improve its CITES legal framework to reach “Category 1” status. Through several efforts and activities, including the development of a CITES Legislative Plan to guide the strengthening process, and drafting of a wildlife policy, among others, in March 2010 Salvadoran CITES Authorities' Category I status for national CITES legislation compliance was formally approved at the CITES Conference of the Parties in Doha, Qatar. Also, DOI in partnership with Salvadorian authorities implemented several CITES capacity building workshops reaching key departments and municipalities, on the new CITES and related wildlife requirements. One major outcome of these workshops is the drafting and approval of a model municipal wildlife ordinance that will provide a framework for wildlife law enforcement at the local level.

In Honduras and Costa Rica, DOI is supporting CITES Management and Scientific Authorities to update its CITES Ministerial Order so that it conforms with the CITES legislative requirements, and with the new Honduran Law on Forestry, Protected Areas, and Wildlife. An inter-agency committee of lawyers has been formed to integrate input to the draft regulation from all stakeholders. Future steps include submitting the draft regulation to CITES Secretariat for comments and submission of the final draft to the President for executive decree.

Nicaragua is also in the process of updating its CITES Executive Order; however, Nicaraguan CITES Authorities postponed the updating of the Order until the Wildlife Act was completed and approved. Similar situation has occurred in the Dominican Republic; the update of procedures on the legal framework was canceled due to lack of response from government.²⁸

Here is also important to mention the gap analysis reports, prepared by TRAFFIC, used to guide targeted capacity building approaches and remedy challenges faced at the national and regional levels. The gap analysis serves as a baseline for progress in improving capacity to implement CITES. Finally, TRAFFIC has also delivered animal handling port inspection and safety equipment to all CAFTA-DR countries.

Indicator 1.2: Number of people trained to improve CITES implementation and enforcement including custom officers, other officials and NGO representatives

To improve the implementation and enforcement of the CITES it was also necessary to build capacity in the region. As previously mentioned, the backbone of CITES implementation resides in the designated Management, Scientific, and Enforcement authorities for CITES in each country. DOI has been working with national and regional authorities to ensure that the staff tasked with these CITES responsibilities have the capacity to carry them out effectively. One product of DOI's implementation has been the development of an interactive, web-based course for CITES authorities. The latter contains administrative, legal and technical resources for implementation of

28. U.S. Department of the Interior. *CAFTA-DR CITES Capacity Building and Mining Technical Assistance Progress Report for January 1, 2011 – June 30, 2011*.



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CITES, species identification guides, and a virtual library of CITES publications dating back to ratification of the Convention. This tool has been used to train CITES management, scientific, and enforcement authorities in all six CAFTA-DR countries, and has been re-used by DOI training participants to train additional staff.

DOI and CCAD worked in the consolidation of an updated CITES list of fauna and flora for Appendices I, II and III. The final document was presented in January 2010 at the Regional CITES meeting in Costa Rica. These updated lists will help the CITES Authorities better understand the resources they are to manage and to facilitate the work of the customs and other inspectors who control their trade. Furthermore, DOI provided technical assistance for an economic valuation study of CITES species in CAFTA-DR countries. The report generated economic data on CITES trade and suggested economically rational mechanisms for CITES permit fee structure. The finalized report was submitted to the Mesoamerican Congress of Protected Areas and to the CITES COP15.

DOI, TRAFFIC and CCAD supported the establishment of the Central America Wildlife Enforcement Network (ROAVIS by its Spanish acronym).²⁹ This regional inter-agency mechanism aims at improving coordination, cooperation, and enforcement capacity between agencies and countries. Currently, DOI's efforts are focused in supporting the Network by providing government-to-government coordination and expert training, as well as coordinating the participation of the Attorneys General of the region in the Network. Moreover, DOI and TRAFFIC are engaged in major coordination efforts to continue providing support to the Network. A planning workshop of all relevant law enforcement agencies of CAFTA-DR successfully took place with the coordination of TRAFFIC and DOI. The priorities for future collaboration and networking were defined by the participants.

TRAFFIC undertook an analysis of existing information gaps for the development of NDF under CITES in CAFTA-DR countries which was delivered to key stakeholders in the region. Additionally, DOI in association with TRAFFIC and CCAD conducted a region-wide workshop to strengthen the capacities of Central American Countries and the Dominican Republic for the development of Guidelines for Non-Detriment Findings (NDF) under CITES. Participants received training in methodology and tools to make NDF, a process required for the export of CITES Appendix II species. Big-leaf Mahogany and Queen Conch were chosen as case studies because of their commercial importance.

The CITES Secretariat and the CITES Electronic Permits working group developed an electronic permitting toolkit.³⁰ DOI partnered with CCAD and the CITES Secretariat to organize a regional workshop to raise awareness about the Electronic Permits Toolkit and other new information technology for improved implementation of CITES.

HSI, DOI, TRAFFIC and other implementing agencies, with support from different partners, have conducted several regional, bi-national and national workshops and other capacity building activities for customs officials, agricultural quarantine officials, animal handling, environment ministries technicians, CITES Management and Scientific Authorities, police force, municipal

29. On September 6 of 2010, Attorney Generals from each CAFTA-DR country (or their delegate) signed a Memorandum of Agreement to form the *Red de Observancia y Aplicación de la Normativa de Vida Silvestre (ROAVIS)*.

30. The toolkit provides advice on the use of common information exchange formats, protocols and standards, advice on signatures and other electronic security measures, and information on new developments in the use of electronic documents by relevant organizations, for Parties implementing CITES electronic permitting systems, or for Parties developing and implementing interoperable information exchange pilot projects on electronic permitting systems. The toolkit is a work in progress; it will need to be updated with new developments related to electronic commerce and documentation and incorporate new standards and norms. See < <http://www.cites.org/common/cop/15/doc/E15-30-01T.pdf> >



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environmental units, train the trainers, among others. The topics of these initiatives have ranged from a variety of issues to improve CITES implementation and enforcement, including listing proposal; technical and legal advice on program development; use of interactive animal handling training activities; handling of confiscated wildlife; sharing of best practices; training of future trainers; development of species identification guides and fact sheets; monitoring studies; and NDFs, prosecution and protection of national flora and fauna, among other topics.

In Nicaragua, USFS conducted workshops on forest legislation and taxonomic identification of forest species, including CITES species.

Costa Rica and Nicaragua Join Forces to Protect Wildlife

In November of 2009, CITES Authorities from Costa Rica and Nicaragua organized a major capacity-building workshop in their border region, in coordination with DOI. The workshop was held in San Juan del Sur, Nicaragua and brought together over forty officials from both countries, including customs officials, agricultural officials and environmental ministry technicians. The workshop focused on bi-national collaboration, and utilized a web-based interactive curriculum developed specifically for the region by DOI and the CITES Secretariat.

Costa Rica also collaborated with Nicaragua, DOI, and the CITES Secretariat to update their bi-national CITES Operations Manual, an important resource for cross-border cooperation. The operations manual was first drafted in 2005 and outlines each country's legal and operational duties under CITES. After careful revisions and reviews by DOI, the CITES Secretariat and both governments, the Operations Manual was sent to CITES Authorities in Nicaragua and Costa Rica for distribution in November 2009. The manual will be used as a capacity-building tool at the national level in both countries.

Costa Rica's efforts in a bi-national cooperation represent an important step toward ensuring cross-border trade in wildlife is sustainable. Well-regulated trade benefits both countries, and cooperation is key to fighting illegal trade. The bi-national CITES workshop and Bi-national Operations Manual set an example of bi-national cooperation for the region.

Source: U.S. Department of the Interior (DOI)

Indicator 1.3: Number of knowledge-sharing materials produced (manuals, analyses, brochures, inventories, guides, curricula, protocols for rescue centers)

TRAFFIC in coordination with the Universidad para la Cooperación Internacional (UCI) in Costa Rica is working in the development of training materials for a train the trainers course on CITES and wildlife trade. The course is being designed to promote “in house training” and will provide tools for wildlife authorities' use in their day to day business. TRAFFIC also developed/adapted and distributed among CAFTA-DR stakeholders eight training modules, in both printed and CD formats on the following topics: overview of wildlife trade; Mesoamerican Cycads identification (reptile handling, reptile skin identification, psittacine handling, marine turtles, bio-safety, ivory identification). In addition, an “Experts Directory” was delivered to key authorities (e.g. CITES authorities) in CAFTA-DR countries. This directory documents all the key experts in the region that are related to providing information, guidance and services to deal with CITES related issues. And an analysis of existing information gaps for the development of NDFs under CITES by CAFTA-DR Countries was developed by TRAFFIC and circulated.

With technical cooperation from DOI, Costa Rican authorities have updated their work manuals and procedures. DOI also supported Nicaragua and Costa Rica in the completion and printing of bi-national CITES Operations Manual. A thousand copies have been printed and sent to CITES national Authorities in both countries for distribution. Furthermore, DOI CAFTA-DR indicators (governance, law enforcement, etc.) and WCS/DFID indicators (economic, civil society participation, etc.) are



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being harmonized to facilitate the collection of basic data that will allow monitoring and measurement of trends, threats, economic benefits, and improvements with respect to the health of the national ecosystems and the general human impact on the resources by Guatemalan government, NGOs, and local communities.

HSI developed protocols for wildlife rescue centers in Costa Rica, Guatemala and Nicaragua. These protocols were tailored to each location and then center staff was trained in their implementation. Protocols included: animal intake, bio safety, emergency and evacuation, euthanasia, quarantine, rehabilitation, and release. With HSI funds, partner organization Tierra y Vida in Nicaragua launched a website developed to raise awareness about endangered species and responsible wildlife viewing in Chacocente Wildlife Reserve. This initiative is part of their ongoing project to work with local partners on the development of economic alternatives to the extraction of CITES-protected species. In Honduras, the Wildlife Visitor Center and entrance trail in the Cayos Cochinos Marine Protected Area are complete and HSI disbursed the final funds for the printed materials to be used in the center, as well as for a final training workshop.

Nicaragua Pursues Sustainable Use of Wildlife

The Nicaragua Ministry of Environment and Natural Resources and DOI are supporting the development of a project in the Department of Rio San Juan that would teach a local women's cooperative techniques for sustainably ranching poison-arrow frogs for the international pet trade. Through careful monitoring, the cooperative can improve their livelihood while protecting the habitat and population stability of the frogs.

A key component of DOI's CITES capacity-building efforts is the specialized expertise of its U.S. Fish and Wildlife Service employees. A frog expert from the U.S. CITES Management Authority traveled to Rio San Juan on a week-long technical assistance mission in September 2010, which built local capacity and resulted in positive changes to the project plan.

DOI met with Nicaragua CITES Authorities and their consultants to review the frog ranching project feasibility study currently under development. DOI provided scientific sampling equipment for the project and trained local biologists and lab technicians on the population and chytrid sampling techniques necessary for the project. DOI also provided technical advice on site selection criteria, the economics of the international pet trade, methods for protecting against the spread of chytrid fungal infections, frog husbandry, and other issues. As a result of collaboration with DOI, Nicaragua's community-based frog ranching project is equipped to protect the habitat and population of poison arrow frogs and provide new opportunities for a rural community.

Source: U.S. Department of the Interior (DOI)

Guatemala Strengthens Enforcement of International Trade in CITES Species

Implementing a National Training Program (2009-2010)

The National Council of Protected Areas (CONAP) successfully implemented a national training plan for environmental prosecutors and judges, CITES management and scientific authorities, customs, agricultural quarantine officials, the national police academy, law schools, journalists, wildlife and forestry technical personnel, and legal advisors to CONAP. A total of approximately 250 government officials have improved their knowledge of laws and regulations controlling wildlife trade, contributing to the reduction in the illegal trade of species.



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Identification Guide for Tillandsia

In addition to its beauty and ecological importance, the genus *Tillandsia* (Bromeliads) provides opportunities for commercial trade and is an important source of income for Guatemala. Effective control of internal and international trade is a priority for Guatemalan CITES officials, in order to ensure sustainable use of the species and maintain a healthy population. With support from DOI, CONAP developed a *Tillandsia* Identification Guide for Guatemala. The guide contains 74 species, including basic information and photographs at different stages of development, so that customs officials and wildlife technicians can correctly identify and control the species at ports of entry, border crossings, airports, and in protected areas.

Whale and Dolphin Watching

Observing whales and dolphins is a tourism activity that has become an important source of income for coastal communities in recent years. Guatemala is taking the first steps toward ensuring that this activity is done responsibly and sustainably. That was the purpose of a successful field research study, designed to answer questions about the biology of these species, the size of the populations, and the area and time in which they are found. With this information, a conservation strategy can be developed to ensure responsible whale watching activity. This research was supported by DOI through the CAFTA-DR environmental cooperation program.

Source: U.S. Department of the Interior (DOI)

Indicator 1.4: Number of reported illegal trade or seizures at port of entry

DOI supported the planning of a series of seizure operations at point of sale of Hawksbill turtle products throughout the Dominican Republic. The Ministry of Environment conducted interagency Hawksbill Turtle Product seizure operations in six different provinces around the country, inspecting hundreds of stores and seizing a total of 3,443 articles.

Indicator 1.5: Number of information technology instruments that have been adopted to improve the management of CITES information and procedures for the issuing of CITES permits

DOI and CCAD are helping CAFTA-DR countries to update and improve an online CITES permits management system for CITES Management Authority. Nicaragua completed this process which included the development of an automated³¹ web-based system for management of CITES permits, a CITES web page on the Ministry of Environment's website with information for the public, users manual for the new system, and ministry's personnel trained on the use of the new system. Progress continues in Honduras and Costa Rica to finalize this process.

The environmental cooperation has allowed Honduras to modernize the CITES office. Future plans include the creation of a management system that allows all responsible authorities to be in the network. As well, there are plans to identify funding to create a web page for stakeholders to have access to all the efforts and collaborations.

HSI developed a standardized interactive animal handling curriculum for on-the-ground CITES implementers, such as customs and law enforcement agents, to be included within the CITES regional curriculum.

Indicator 1.6: Number of people impacted by campaigns and outreach material with messages against illegal wildlife trade and to protect wildlife and their habitat

In the CAFTA-DR region, outreach campaigns for endangered species conservation and against illegal wildlife trade have been conducted with the support of HSI, DOI, USAID and CCAD. These implementing agencies have supported the CITES Authorities and the governments from CAFTA-DR, and worked with local partners in the region, to create posters, design and print brochures on

31. The web page can be viewed at: <http://www.sinia.net.ni/webcites/>



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CITES, wildlife crimes and criminal penalties, information about hunting regulations (including regulation for CITES species), as well as on information to protect and conserve endangered species. According to HSI's partners, more than 3 million people have been reached by billboards and ads on the back of public buses in Costa Rica; more than 11 million people reached in outreach campaigns throughout the region.

Furthermore, through communication campaigns, implementers have worked with the CAFTA-DR region on outreach and public awareness, especially for tourists, in order to generate a positive change. For instance, to make information on protection of wildlife more accessible to the general public of Costa Rica, but also to tourists visiting the country, an outreach campaign called "Protection and Conservation of Endangered Species" was planned, launched and coordinated by the country's CITES Management Authority (in collaboration with the Ministry of Environment, Energy and Telecommunications) using DOI's resources and technical expertise. The outreach materials (banners, flyers, posters, etc.) contain information on illegal purchase and the export of animals and plants, and are displayed in major airports, ports and border crossings.

Indicator 1.7: Number of animals that have benefited from improved infrastructure and processes

DOI partnered with the Utah Valley University, Texas A&M University, TRAFFIC and the International Iguana Foundation (IIF) to conduct a regional trade analysis on several native iguana species that are traded to the U.S. in potentially harmful numbers. The final report was distributed to stakeholders for comments. Now Nicaragua, El Salvador, Guatemala, Honduras and Costa Rica have access to data on trade patterns for these species and their CITES Authorities have the capacity to conduct trade analysis.

Control of illegal trade of endangered species in key trafficking areas of Nicaragua has been improved with DOI support to the Ministry of Environment and Natural Resources by implementing a related national plan. Enforcement operations have been completed in a four-month period in places such as local markets, street traffic lights in Managua, airports, and roadways emerging from protected areas, among others.

HSI continues working with the four partner rescue centers in the CAFTA-DR region. ARCAS-Petén and ARCAS-Guatemala City in Guatemala received funds and purchased materials and supplies to ensure compliance with their new protocols, and ARCAS-Guatemala City finalized construction of its in-transit facility. In Nicaragua, three-day protocol training was completed at FAZONIC, and infrastructure improvements were inspected confirming the completion of seven rehabilitation enclosures, a clinic, a reception area, and neonatal area. HSI also disbursed funding for a new primate rehabilitation enclosure to help FAZONIC better prepare primates for their release. Significant progress was made in El Salvador as HSI completed the architectural, financial, and management plans for a new rescue center; Construction began on the center. HSI followed up with Zoo Ave in Costa Rica to ensure progress was being made and obtained the necessary approvals from the Ministry of Environment for their new rescue center facilities. HSI also completed the development of the regional rescue center website forum, CREASLA, and finished gathering information from the rescue centers to populate this website.



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New facilities for the rescue center that rehabilitates confiscated wildlife in Nicaragua

Friends of the Nicaraguan Zoo Foundation (FAZONIC), with the support of the CAFTA-DR environmental cooperation have worked hand in hand with Humane Society International, the Ministry of Environment and Natural Resources, and other national authorities to create the first National Wildlife Rescue Center in Nicaragua. The center is a product of a joint effort and requires a great inter-institutional commitment for its sustainability.

The Department of Sustainable Development attended the opening ceremony in mid-2011 and participated on the tour of the rescue center given by center authorities to assess the facilities and animals being cared for. In this ceremony, participants included the Ambassador of the United States to Nicaragua, Robert J. Callahan; the Vice President of the Republic of Nicaragua, Jaime Morales Carazo; the Minister of MARENA, Juana Argeñal; and representatives of the U.S. State Department, FAZONIC, and Humane Society International.

Previously, the institution responsible for caring for rescued animals was the National Zoo of Managua. According to reports of FAZONIC, the zoo tended to an average of 1,000 confiscated animals per year. The new rescue center has the necessary facilities, such as rehabilitation cages, an equipped clinic, area for newborns, and a reception area, to properly care for and rehabilitate animals which are received. The center has the capability to serve, rehabilitate, and even return animals, which have been confiscated from illegal trafficking by the National Police and MARENA, to their natural habitat.

2. Improved protection of the forests, protected areas, and the management of sensitive ecosystems

Expected Results	Indicator	Progress
2. Improved protection of the forests, protected areas, and the management of sensitive ecosystems	2.1 Number of persons trained in the management of protected areas	205 (DOI) 617 (HSI) 22,994 (RA)
	2.2 Number of knowledge-sharing materials produced (work plans, manuals, management plans)	23 (DOI) 4 (USFS)
	2.3 Number of hectares, including areas of biological significance with improved environmental management including areas of biological significance	198,338 hectares (HSI) 65,123 hectares (RA) 2,057 hectares (USFS)

Under this result, CAFTA-DR countries aim to protect forests and other areas as well as improving the management of sensitive ecosystems.

Indicator 2.1: Number of persons trained in the management of protected areas

DOI and HSI developed a joint plan for species protection in protected areas through strengthening local NGOs to engage in education and outreach in the area of endangered species conservation. As a result, several workshops for local communities in species protection (e.g. turtle hatchery, protection of endangered helodermas) were delivered. In addition, HSI and the Ministry of Education in Costa Rica and Nicaragua worked together in the planning and delivery of workshops to train teachers on cacao and biodiversity.

In Guatemala, DOI collaborated with the Wildlife Conservation Society and Asociación Balam (a local NGO) to strengthen protection and establish model protected area management practices and techniques that may be replicated throughout the region. The Maya Biosphere Reserve (MBR) of Guatemala contains one of the largest jaguar populations in Central America.³²

32. The Government of Guatemala selected the Jaguar as its CAFTA-DR flagship species.



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In selected protected areas containing endangered species, DOI support helped generate information on jaguar abundance and strengthen tourism management, law enforcement, and strengthen Asociación Balam as a local NGO to perform outreach and education. DOI also supported public participation, information-sharing, and consensus building for improved management of the MBR. DOI ECP funds have also been designated for equipment purchase, training and assistance to community guards for the MBR.

Farmers in Nicaragua are improving the natural resources management of land while increasing the earning potential of their farms. In the Department of Estelí and Madriz, USFS is implementing two projects that aim to restore farming lands through the establishment of agro-forestry (bananas, coffee, fruit, fruit and wood trees and vegetable patio gardens) and pastoral productive systems. These projects “Establishment of Agro-forestry Systems in the Miraflores-Moropotente Protected Area (Estelí)” and “Agro-forestry Development in the Tepesomoto-La Pataste Nature Reserve,” 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 (see also Goal C – Indicator 1.1).

In addition, USFS delivered training workshop to strengthen the capacity of local stakeholders to develop ecotourism in the communities of the Chacocente Wildlife Refuge (see also Indicator 3.1), focusing on (1) general techniques for rural guides focused on the conservation of sea turtles; (2) basic first-aid techniques; and (3) basic techniques for environmental interpretation.

To advance the methodology and data analysis for the inventory to establish a baseline for mahogany in Honduras, USFS has delivered validation training workshops targeted to persons with experience in forest inventory. In addition, workshops on environmental interpretation have been delivered (see Indicator 2.3), as well as bird watching guide training.

Indicator 2.2: Number of knowledge-sharing materials produced (work plans, manuals, management plans)

DOI, WCS, USAID and representatives from the Government of Guatemala (CONAP) are collaborating in the development of strategies, tools and recommendations to improve governance and law enforcement in the MBR. These efforts will help strengthen aspects of governance in the MBR, including field-based protection programs and community control and vigilance efforts.

DOI supported Honduras in the development of public use guidelines for protected areas. The guidelines will help minimize human impact to better protect these habitats, the majority of which contain CITES species. Also in Honduras, USFS began working with the Instituto Nacional de Conservación y Desarrollo Forestal, Áreas Protegidas y Vida Silvestre (ICF) to develop a technical manual of norms for forest management (Manual de Lineamientos y Normas para un Mejor Manejo Forestal).

USFS developed and implemented a training plan on the establishment and management of agro-forestry systems and soil and water conservation projects in several communities of Estelí and Madriz, in Nicaragua, to ensure sustainability of the new practices adopted. Forest management plans for pine forests were also developed. For the Chacocente Wildlife Refuge, USFS developed



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two manuals, known as “Guides of Guides,” as basic instruments to continue the development of community guides in the Refuge area. These guidelines include environmental interpretation, with an emphasis on sighting of sea turtles, basic norms of the Chacocente Guide, the Guide Code of Conduct, keys for the identification of sea turtles, description of existent flora and fauna in the Refuge, among other issues.

Indicator 2.3: Number of hectares including areas of biological significance with improved environmental management

HSI and producers from Costa Rica and Nicaragua planted 6,000 cacao trees; more than 4,000 are micrografted. Micrografting involves joining productive and disease-resistant stems from established cacao plants onto very young plants (on average, just 20 days old). The result of the grafting is a new plant with the same characteristics of the grafted stem. This technique requires surgical-like precision and care, and often the women and children are most successful in its application.³³

DOI worked with Honduras in the development of the “National Strategy for Control of Extraction and Illegal Transport of Forest Products and Wildlife” as a measure to better protect and sustainably manage trade in mahogany and other CITES species that inhabit these forests.

Also in Honduras, USFS has been working to improve overall protected area management to conserve the biodiversity within priority protected areas. During the early stages of the ECP, USFS in coordination with (the USAID funded) MIRA project started to support and strengthen environmental interpretation³⁴ at the Lancetilla Botanical Garden and Research Station (a protected area). More recently, USFS began the process of developing an interpretative plan for the Cuero y Salado Protected Area. A workshop was conducted with community leaders to agree on potential sites, themes and exhibitions for interpretations within the protected area. Furthermore, USFS is also implementing a project to reduce illegal logging in Honduras. However, challenges such as the high turnover of personnel in the ICF, has led to delays in moving forward with the consensus of key stakeholders. The project seeks to modernize the institutions that grant permits for legal logging in the country. Expected outcomes include the prevention of environmental crimes, such that people in the communities surrounding the forests have a legal and sustainable way to access wood.

In Nicaragua, USFS established 274.69 hectares of agroforestry systems, increasing tree coverage and improving the economic, social and productive conditions of small farms (see Indicator 2.1). In addition, USFS conducted 34,500 meters of soil conservation works, contributing to the conservation, use and sustainable management of the natural resources; and protected through reforestation four water sources whose watersheds supply water to 42 communities inside and outside a protected area.³⁵

Canopy from cacao trees serves as habitat for wildlife

Certified environmentally-friendly cacao protects wildlife while at the same time raising the standard of living for cacao producers. This is the objective of HSI's cacao program, which is designed to train and educate cacao producers in Nicaragua and Costa Rica on basic agriculture and environmentally-friendly practices. More than half of cacao production in Central America takes place on small-scale subsistence farms of fewer than 12 acres. These small farms are also home to CITES-protected species, like the two-toed sloth, the toucan, and the howler monkey.

Source: Humane Society International (<http://www.hsi.org/>)

33. Humane Society International (<http://www.hsi.org/>).

34. Environmental interpretation consists in translating the natural world for a general audience or public.

35. United States Forest Service – Office of International Programs (USFS/IP). *Final Report – Nicaragua Program*. October 2011.



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3. Improved conservation of marine turtles

Expected Results	Indicator	Progress
3. Improved conservation of marine turtles	3.1 Number of communities and individuals with a greater awareness of marine turtle conservation	More than 400 people participate in Festival for the Protection of the Sea Turtle (USFS-Nicaragua) 247 (TRAFFIC)
	3.2 Percentage reduction in the incidental capture of marine turtles and their subsequent death by properly using turtle excluder devices (TED) and circle hooks	105 turtles were caught as by-catch, with less than 1% turtle mortality during experimental fishing trips in Costa Rica and Nicaragua

Improved conservation of marine turtles is to be reached through awareness campaign for the population, control and surveillance of deliberate turtle/eggs catch and improvement in reducing incidental turtle catch.

Indicator 3.1: Number of communities and individuals with a greater awareness of marine turtle conservation

The Costa Rican NGO Fundación Corcovado, with support from DOI, has organized volunteer surveillance teams in the Osa Peninsula. In total, 13 international volunteers and 22 members of the local community completed 1,350 hours of volunteer patrolling. As a result, 67 sea turtle nests have been protected. In partnership with HSI, a community workshop was also organized on Community Sea Turtle Hatchery. Also, in Costa Rica USFS hosted a study tour to the Ostional Wildlife Refuge and Las Baulas National Park. This exchange allowed the participants to gain knowledge about on the ground management of highly-visited, important turtle nesting/hatching areas.

To raise awareness in El Salvador, DOI with a local NGO, FUNZEL, printed material containing information on the importance of protecting sea turtles and recommending activities to do so (called the Action Plan) was disseminated amongst the population by the Ministry of Environment. The objective of the awareness campaign is to minimize sea turtle egg extraction and consumption, and decrease the traffic of hawksbill-derived products.

In the Dominican Republic, TRAFFIC conducted a market survey on the Marine Turtle trade in specific sites in the country and provided the results to the authorities to support their enforcement and monitoring efforts. In order to raise awareness about the purchase of products made from Hawksbill shells, DOI supported the Dominican Republic with the placement of billboards along highways with messages about the protection and regulation of the Hawksbill turtle.

USFS provides training to reinforce and review the technical knowledge of sea turtle monitoring among the people from neighboring communities of the Chacocente Wildlife Refuge. USFS then hires some of these people to act as rangers and provide assistance to the Nicaraguan Ministry of Environment during the turtles' nesting and hatching periods. Project support consists of financial assistance for food, some equipment and a small stipend.



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USFS has also overseen the construction, maintenance and relocation of nests as well as the release of newborn turtles and nest exhumation. All these interventions have proved beneficial; USFS reports that the last nesting season (January 2011) can be described as excellent due to the low incidence of illegal egg hunting, total absence of massive egg theft and the excellent percentage of turtle births (one of the best seasons in recent years). In that occasion, to celebrate the release of the turtle hatchlings, the project organized a one-week environmental education rally in schools, a beach clean-up and a celebratory festival. More than 400 hundred people, including visitors and members of the community participated in the festival. The festival proved to be an effective means to disseminate information on the overall work of this project in the area of the Refuge and had good visibility with national media outlets.

Indicator 3.2: Percentage reduction in the incidental capture of marine turtles and their subsequent death by properly using turtle excluder devices (TED) and circle hooks

As part of the Project “Support to the Process for Fisheries Regulation in the Central American Isthmus,” OSPESCA and NOAA are providing follow-up to the regional norms for selective fishing, particularly the case for TEDs. To catalyze adoption, NOAA has been working with local authorities and NGOs to promote improved use of TEDs in shrimping and circle hooks in artisanal fishing, while working with coastal communities to increase awareness and participation in decision-making regarding sustainable fisheries management. These initiatives bolster the participation and economic livelihood of communities relying on fishing.

As part of the program to build alliances to improve labor and environmental standards (see Goal C, Indicator 1.3), ELE in coordination with WWF's By Catch Program hosted training workshops to present the benefits of using circular fishing hooks for non-nylon fishing lines. Among the key topics were techniques to de-hook and release sea turtles caught by fishing long lines. To measure compliance with environmental standards presented at training workshops, ELE conducted commercial trials in Nicaragua and Costa Rica where the fisherman in general accepted the exchange of the “J” hooks for circle hooks. During these experimental fishing trips, 25,900 hooks were used; 105 turtles were caught as by-catch, with less than 1% turtle mortality.

Summary of Results under Goal B

This section presents the main measurable achievements in terms of protection of wildlife and their habitat for long-term economic and environmental development. This goal is achieved through various actions stemming from the improvement in the management of natural resources through the establishment of agro-forestry and silvopasture systems, soil and water conservation works and reduction of agrochemical use. Moreover, strengthening the implementation of wildlife and habitat conservation agreements, trainings, tool development, awareness campaigns and many other strategies have also contributed towards the achievement of this goal. CITES is one of the most important MEA supported by the ECP, with projects addressing for example capacity building for custom officers, web-based courses for law enforcement representatives involved with CITES, framework for wildlife law enforcement at the local level, regional enforcement network, and other initiatives enhancing the enforcement of CITES throughout CAFTA-DR countries. With over 1,250 stakeholders trained in enforcement techniques, there has been hard work deployed to improve CITES enforcement and compliance, this agreement being directly related to the protection of endangered



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species, victims of illegal trade. Implementing agencies also promoted the use of technology to facilitate the enforcement of CITES, for instance with the online CITES permits management system developed, and eventually by creating an accessible network where all CITES responsible authorities will be able to share information and resources. Ultimately it will be possible to measure more precisely the number of illegal trade cases at borders and assess the effectiveness of all the projects funded through the ECP in protecting wildlife. Meanwhile one major outcome achieved is the greater regional cooperation to ensure sustainable cross-border trade of wildlife, such as the cooperation between Costa Rica and Nicaragua to share key information on that matter.

The protection of wildlife and habitat can only take place if relevant and accurate data on the populations can be analyzed. Implementing agencies have come together to harmonize indicators and facilitate data collection in order to access quality information and allow national and local authorities to make more informed decisions about wildlife protection. In fact, information on that topic has been promoted in various ways to make it more accessible to the public, including through new websites to raise awareness about endangered species and responsible wildlife viewing, such as in the Chacocente Wildlife Reserve in Nicaragua, or by promoting sustainable tourism, such as the Wildlife Visitor Center and entrance trail in the Cayos Cochinos Marine Protected Area in Honduras. Information has also been made available to greater number of people, as did DOI and other implementing agencies using billboards along highways with messages about the protection and regulation of different endangered species. All things considered, millions of people have been exposed to the different campaigns of awareness, with an important potential to change over time behaviors regarding wildlife conservation. The protection of wildlife is also ensured by the improvement of specialized infrastructures, like the HSI initiatives to strengthen partner rescue centers and rehabilitation enclosures in some CAFTA-DR countries.

The outcomes achieved in terms of changed behaviors and new practices also extend to the management of protected areas. The Maya Biosphere Reserve (MBR) of Guatemala is one protected areas that received support through the improvement of its internal management, greater public participation, capacity building for the park guards and enhancement of governance and law enforcement. One of the very important outcomes related to this improvement has to do with the reduction of illegal logging and illegal poaching, although no specific data on this issue are yet available. This is also the case in Costa Rica where local communities were involved to ensure the protection of sea turtle hatchery. If the different targeted protected areas by the ECP are summed up, there are almost 100,000 hectares of protected land that can be considered being under improved environmental management for wildlife and habitat protection.



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Goal C – Market-based conservation

Under this goal, the focus is on the implementation of a market-based conservation system mainly on sustainable tourism, agriculture and forest products as a means to support economic growth, sustainable natural resource management and environmental protection through ecological certification.

Goal C has one expected result:

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

Expected Results	Indicator	Progress
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	1.1 Number of people trained in natural resources management and/or biodiversity conservation	23,090 estimate - RA 4,227 – HSI 850 – USFS in ecotourism and sustainable agriculture 369 - TechnoServe
	1.2 Number of farms and/or businesses with environmental standards, certification and labeling	2,347 new farms certified - RA 4 organizations implementing a marketing strategy for products and services (weaving, tourism, fisheries, honey producers)—USFS (Nicaragua) 102 producers certified
	1.3 Number of strategies, alliances, informational material and/or guidelines developed to increase opportunities of regional producers to access markets, improved conservation and better management of natural resources and protected areas	10 farmer's training tools 6 national strategies on sustainable production Alliances: 631 companies registered in RA traceability database Marketplace 71 license agreements 9 alliances in Guatemala, El Salvador, Nicaragua, and Costa Rica 3 Manuals (cetacean observation, turtle observation, community tourist guide) - USFS 10 capacity building material for sustainable agriculture production - USFS
	1.4 Number of certified and sustainable products (ecotourism, agriculture, agro-forestry, forestry) in the market from CAFTA-DR countries	4 (banana, coffee, cocoa, pineapple) – RA 9 fields of organized farmers were certified (broccoli, okra, melon, mahi-mahi, pineapple)
	1.5 Number of persons with greater economic benefits derived from the sustainable management of natural resources and conservation	7,153 farmers (RA) 600 (HSI) 348 (USFS) 158 (TechnoServe)
	1.6 Number of infrastructure improvements to improve sustainable tourism and agricultural operations	13 fermenting/drying facilities improved, as well as APPTA's central facility – Nicaragua (HSI) 3 (1 improved, 2 developed) - USFS - Chacocente Research Center - Community tourism center built in Astillero - Multi-purpose ranch for tourism cooperative

This expected result under goal C encompasses many aspects of the environment conservation. Increasing areas of land under improved natural resource management, the number of farms and/or businesses with environmental standards, certification and labeling, and the number of certified and sustainable products will contribute to reaching this result. Several projects within the ECP under this Goal look to improve the market positioning of those producers that meet environmental standards and adopt best practices in production, so as to not only allow them to elevate the quality of their products, but to also reduce environmental impact and obtain certificates which are recognized and valued by buyers in the United States.



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Indicator 1.1: Number of people trained in natural resources management and/or biodiversity conservation

So far approximately 850 producers from projects implemented in Nicaragua by USFS, “Establishment of Agro-forestry Systems in the Miraflor-Moropotenté Protected Area (Esteli)” and “Agro-forestry Development in the Tepesomoto-La Pataste Nature Reserve”, have benefited from training workshops in water collection works, management of agro-forestry systems, marketing, crop biological control, works to improve soil and water conservation, and management of fruit trees, among others. USFS also provides monitoring and evaluation of the established systems.

In the framework of the project “Sustainable Cacao Production and Biodiversity Protection” being implemented by HSI in Costa Rica and Nicaragua³⁶, HSI has conducted several workshops for technicians and producers on post harvest practices. For this, HSI developed training material, including a technical guide and a brochure, and it was distributed to more than 600 producers. Additionally 1,500 posters were also distributed. The technicians will be monitoring producer's practices throughout the rest of the program to provide advice on proper production practices, and feedback based on the quality results from the cacao harvested and fermented. HSI has also trained cooperatives and producers from both countries on how to rehabilitate abandoned farms in order to improve the quality and genetics of cacao trees to promote long term productivity.

Rainforest Alliance (RA) has been implementing a project entitled “Strengthening Existing Sustainable Agriculture Initiatives in the CAFTA-DR Region to Meet Growing Market Demands for Rainforest Alliance Certified Farm Goods” to build capacity in sustainable agriculture, promote the implementation of best farming practices and achieve RA certification of coffee, cocoa, banana and other fruit producers in the CAFTA-DR region. RA has conducted approximately 40 training events on sustainable agriculture and group standards in the region. RA has also conducted farm diagnostics. RA also organized training events, developed materials and provided technical assistance to producers and technicians, and promoted market linkages.

Perhaps here is important to mention that TechnoServe through its project “Sustainable production and trade of quality coffee from El Salvador, Honduras and Nicaragua,” has supported the construction of five sedimentation pits for coffee producer Sergio Ticas, where wastewater that has already been treated is deposited. Contamination risks in the region have hence been reduced. These linkages between the different goals (Sub Goal A1 and Goal C in this case) are encouraged since they multiply the benefits of ECP.

In Honduras, USFS has continued its support to Green Wood/Fundación Madera Verde (GW/FMV) to provide assistance to community-based forest enterprises. One of the main objectives is to add value to the forests and bring sustainable and environmentally friendly economic development to the communities that are part of this initiative. Activities include sustainable harvest of species (wicker and timber). In addition, USFS continued supporting the ICF, the Honduran government agency responsible for natural resource management on national lands, in studying the distribution and abundance of broadleaf forests in the Río Plátano Biosphere Reserve, focusing on the big-leaf mahogany, one of Honduras's highest CITES priorities. This support consisted of developing forest inventory methodologies and providing training on their implementation for natural resources management and/or biodiversity conservation.

36. In Costa Rica HSI has been working in Talamanca with 100 producers from APPTA (Asociación de Pequeños Productores de Talamanca), and in Nicaragua with 300 producers from PAC (Asociación Pueblos en Acción Comunitaria) in Bocay and San Carlos.



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Further to its work with the ICF, the USFS Cooperation in Honduras has also generated efforts to combat illegal logging, improve support to legal forest management entities, and provide more consistent control and monitoring of legal forest management. Progress has been seen in this regard through the training of Honduran government officials to enhance their knowledge of systems and methodologies to combat illegal logging and make them aware of the ICF-launched National Strategy for the Control of Illegal Logging and Illegal Transport of Forest Products (ENCTI).

Indicator 1.2: Number of farms and/or businesses with environmental standards, certification and labeling

HSI has been supporting PAC in Nicaragua to improve their internal management system for the certification process. BioLatina, the certification agency, has already accepted 102 Bocay producers into the organic certification process. In Costa Rica, 80 APPTA producers have been trained by HSI and are prepared to start an organic certification program. This certification is being coordinated with EcoLógica.

RA has had remarkable success with RACert coffee operations, particularly in El Salvador, Guatemala, Honduras and Nicaragua. Approximately 13,000 production hectares have been certified. Major brands like Kraft, Tchibo and Nespresso are proactively leveraging demand of RACert coffee.

In Nicaragua, USFS has helped four organizations (weaving, tourism, fisheries, honey producers) to implement a marketing strategy for products and services.

Indicator 1.3: Number of strategies, alliances, informational material and/or guidelines developed to increase opportunities of regional producers to access markets, improved conservation and better management of natural resources and protected areas

ELE implemented a project that sought to generate alliances between companies along the value chain to encourage producers and processors to adopt voluntary environmental (and labor) standard developed and agreed to by buyers, and apply these environmental-friendly practices in their production processes. For this, market studies were conducted which were directed towards identifying the participating sectors of the project. The priority was to focus on activities that guarantee food security in the region. ELE and partners, including WWF, RA and Social Accountability International (SAI), work with melon, pineapple, sugar cane, cattle, mahi-mahi, okra and broccoli in Guatemala, El Salvador, Nicaragua, Costa Rica and Dominican Republic. Nine alliances (see table below) were consolidated based on the commitment to implement better management practices at the field level. In addition, ELE developed a directory of better agricultural practices to be applied and support the producers in the implementation of these practices



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No.	Product	Producer/Processors - Country	Buyer - Country
1	Broccoli	Grupo Primavera – Guatemala	NeoAlimentaria – Guatemala
2	Melon	Agroexportadora Valle Verde	Sun America Imports – USA
3	Melon	El Castaño – Guatemala	Classic Fruits – USA
4	Melon	Fruta Mundial – Guatemala	Fresh Quest – USA
5	Okra	Sonsonate producer – Del Tropic Foods – El Salvador	FruitTrade – Canada
6	Pineapple	Agricola Del Valle – Costa Rica	Chiquita Brands – USA
7	Melon	Costeña – Costa Rica	Chiquita Brands – USA
8	Mahi-mahi	Frumar – Costa Rica	Sea Delight
9	Mahi-mahi	Expomar – Nicaragua	Sea Delight

Source: USAID Environment and Excellence for CAFTA-DR Program – Second Year Annual Report

An alliance has been signed between ELE and Supermercados Unidos de Centroamérica y Panamá (SUCAP)³⁷ to develop environmental standards in its fruit and vegetable supply chain. The implementation, consolidation, and long term adoption of SUCAP's standards will take place over five years with the development of the “Sello SUCAP” (SUCAP Quality Seal), a private certification label that will provide a guarantee of quality and environmental friendliness for produce available to the local population. ELE reported³⁸ the proposed Global Development Alliance (GDA) between SUCAP's Super Selectos in El Salvador, and agricultural producers in the northern zone of El Salvador (Asociación de Productores del Norte) assisted by the FOMILENIO's Productive Development Program and USAID.

RA has elaborated self assessment guides for farmers; farm management systems templates and guidebooks; training modules for technical assistance providers; and the development of a web platform for training, among other tools. As part of RA's strategy to build capacity among farmers to implement economic, environmental and social best management practices, in Costa Rica a strategy on fruit was developed as well as a position paper on coffee and climate change. An update of Honduras' coffee strategy was performed; work on coffee strategies for Costa Rica and Nicaragua have begun. A fact sheet on sustainable pineapple production has been published and circulated among stakeholders in Costa Rica. In addition, RA developed training tools online through a platform with Global Access.

In terms of the traceability of products and the monitoring of trade flows, virtual storage for relevant information has been developed to create a database tracking coffee, cocoa and banana sales. The online traceability system called “Marketplace” is now tracking coffee production and will soon track cocoa, tea, banana, cattle, sugar and palm oil production. This database has shown augmentations in the trade of Costa Rican and Salvadorian certified coffee.

ELE has also worked with RA to develop indicators for RA Certification in Sugarcane Production and Processing Norm. In the same industry, these two implementing agencies have worked with producers to develop indicators for the SA8000 Certified compliance ladder on labor standards.

USFS completed a market study for producers within the area of influence of the projects (see Goal B, Indicator 2.1) to provide necessary information to producers to inform decision making about which crops to increase production based on market factors. Produce manuals for sustainable

37. SUCAP is an association of independent supermarkets with 16 brands in the region and over 200 points of sale.

38. USAID Environment and Excellence for CAFTA-DR Program – Second Year Annual Report



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agriculture production, including silvopasture systems, solid and liquid waste management with focus on preparation of organic fertilizer, soil and conservation work, water source management, gender, shade-grown coffee cultivation, among others. In addition, USFS furthered its efforts in the above mentioned Río Plátano Biosphere forest inventory by updating and distributing a field guide; most recently drafting and presenting the final report of the overall inventory effort, which analyzes the abundance and distribution of big-leaf mahogany in Honduras.

Indicator 1.4: Number of certified and sustainable products (ecotourism, agriculture, agro-forestry, forestry) in the market from CAFTA-DR countries

In the following three countries, many local crop products have been certified (using the Group Certification Standard³⁹) with the support of RA and ELE:

- ♦ Banana farms: 4,777 production hectares have been certified (Costa Rica);
- ♦ Coffee farms: 12,670 production hectares certified (Costa Rica, El Salvador, Guatemala, Honduras and Nicaragua);
- ♦ Cocoa farms: 17,280 production hectares certified (Dominican Republic); and
- ♦ Pineapple farms: 7,655 production hectares certified (Costa Rica)

For the certification scheme to work, demand for the certified products in the regional and international markets must be strong. As RA reports show, new consumers and players (mostly in the international market) are starting to be responsive to this type of certified supply, recognizing the importance of organic produce and sustainability.

- ♦ Marks & Spencer (M&S) in the UK: RA-certified coffee including specifically Central American coffee in some cases, through their private label range;
- ♦ Tesco: seven different private label chocolate bars, each made with 100% RA-certified cocoa.

In the region, ELE has worked on several initiatives contributing to this expected result. In terms of improving agricultural practices, the ECP supported local producers of the region by helping to reduce the pesticide toxicological risk, optimize water use for irrigation, and improve the food safety practices. This helped fruit and vegetables farmers become certified by Global-Gap and Davis Fresh; nine fields of organized farmers were certified covering different products (see table on indicator 1.3 above). Certification of the farmers' production gives them new trading opportunities in regional and international markets.

Indicator 1.5: Number of persons with greater economic benefits derived from the sustainable management of natural resources and conservation

Together USFS, HSI and TechnoServe have reported 1,106 people with improved economic benefits thanks to activities implemented under this indicator. RA measures this by number of operations (farms) certified; they are reporting 7,153 farms.

USFS developed community-based ecotourism initiatives as profitable economic units that generate local employment and ensure the sustainable use of natural resources of the Chacocente Wildlife Refuge while contributing to the socio-economic improvement of the population in and around the protected area.

39. The three principles of the 2011 group certification standard are: 1. Training and Capacity Building, 2. Risk Assessment
3. Internal Management System. These principles are composed of 16 criteria.



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In Honduras, USFS and GW/FMV (see Indicator 1.1) have promoted the attendance of producers at fairs and national exhibits of artisanal products. Thanks to this effort, in 2011, participating producers have sold more than 67,000 Lempiras (approximately US\$3,500) worth of products in different fairs and exhibits.

Indicator 1.6: Number of infrastructure improvements to improve sustainable tourism and agricultural operations

HSI helped PAC to improve seven fermenting/drying facilities, as well as APPTA's central facility.

Since the sustainable tourism represents an important additional income for the inhabitants of the Nature Reserve Chacocente, the Government of Nicaragua in partnership with USFS, USAID, and the NGO Fauna & Flora International (FFI) are implementing a project aiming at the conservation and the eco-touristic development of the neighboring communities of the Nature Reserve Chacocente in order to improve the local economy. USFS established a maintenance and infrastructure plan for the Chacocente Research Center. Also, a community tourism center was built in Astillero, and a multi-purpose ranch for tourism cooperative will be constructed. USFS worked with the Nicaraguan Ministry of Environment in the development and approval of the logo, tourism map for the Refuge and a webpage for the area.

Summary of Results under Goal C

This Goal builds the bridge between the protection of the environment and the sustainability of economic activities. Most of the market-based conservation initiatives were related to the production certification, and the application of specific environmental standards to generate benefits both economically and environmentally. This has been achieved through training of community stakeholders, small farms owners, and also through stakeholders from bigger companies seeking marketing opportunities and to lessen the environmental impact of their production.

One of the great achievements with regards to market-based conservation is the linkage between the suppliers of certified products and the market of buyers. Several alliances were established between food stores or supermarket chains and associations of farmers, which allow the promotion of certified products, ensure incomes for farmers and help in the development of environmental standards in various products' supply chain. Alliances meant to improve environmental practices in the production processes can also help enhancing food security, mostly in the fruit and vegetable production sector, with the participation of all stakeholders involved in the value chain of these products. Clearly the activities and outcomes achieved under outcome C did support the implementation of a conservation system based on the market, which in turn help maintaining the natural resources base and protect the environment to support sustained and sustainable economic growth.



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Goal D - Improved Environmental Performance of the Private Sector

Under this goal, the purpose is to promote the adoption of clean production methods and environmental management systems to improve a company's competitive advantage by reducing resource consumption and waste. Also, to work with financial institutions, enterprises and cleaner production centers to increase capacity, develop voluntary mechanisms for cleaner production and to provide incentives and recognition for companies using improved processes and technologies.

Goal D is divided into two expected results. They are:

- ♦ Improved environment-related trade policies and incentives.
- ♦ A greater commitment of the private sector with respect to environmental behavior (capacity and information).

These expected results are linked to private sector activities and aim to develop and/or strengthen environment friendly practices. The first one captures what can be done on the “incentive” side of the process – policies adopted, committees formed and incentive tools developed and implemented; – and the second one is directly associated to what can be done *by* enterprises – clean production technology used, eco-efficiency practices adopted and environment management systems created and exploited in participating enterprises. The ECP helped generate a change in the perception of the issue in the region. Previously the countries witnessed isolated involvement through projects. With the ECP, efforts have been oriented toward a programmatic vision and have worked at the sector level.

The ECP has given the CAFTA-DR countries the necessary tools to work with sectors which before were very difficult to work with, and this way jointly assign the shared responsibility for the conservation of natural resources. Particularly, the cooperation has allowed countries to approach the private sector and work together in a more open dialogue. It has enabled them to create new public-private alliances and strengthen existing ones. Government agencies understand that they have to promote a system of incentives that allows them to guide efforts to improve and reduce the environmental impact of the tourism sector.

The POCs agree that there should be focus on cleaner production models that enable an improved environmental performance of the private sector and the protection of natural resources with respect to the tourism sector. Thanks to the ECA, approximately 400 companies in the CAFTA-DR region have incorporated better environmental practices in their productive systems as a result of voluntary agreements.

Furthermore, beneficiaries commented that with cleaner production they have learned to improve their environmental management. It has been a tool that has shown them the way towards sustainable development and improving the quality of life of their people.



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1. Improved environment-related trade policies and incentives

Expected Results	Indicator	Progress
1. Improved environment-related trade policies and incentives	1.1 Number of policies (regional/national) or strategies for the adoption of cleaner production	No data currently available – refer to qualitative information
	1.2 Number of national committees/commissions to propel cleaner production policies	4 (Costa Rica, Guatemala, Nicaragua, El Salvador and Honduras)
	1.3 Number of national and/or regional cleaner production incentive instruments created or strengthened	National and regional cleaner production awards created (number not available).

Indicator 1.1: Number of policies (regional/national) or strategies for the adoption of cleaner production

A policy concerning incentives to use clean production technology, be more energy efficient and to develop more environment management systems is being developed in El Salvador through a series of workshops with relevant representatives from public and private sector. In Honduras, a national policy of cleaner production and a strategy and plan of implementation were created.

Indicator 1.2: Number of national committees/commissions to propel cleaner production policies

CCAD supported the ministries of environment in Guatemala, Nicaragua and Honduras to establish national committees for cleaner production.

National inter-institutional coordination mechanisms facilitate the development and implementation process of the products. In Costa Rica, there is an inter-institutional commission on the issue of cleaner production comprised of the cleaner production center, the private sector, and academia, among others. Technical capacity and human resources is available to respond to the demand of the private sector to be part of voluntary agreements and receive technical assistance. This model is self-financing since the participating businesses must pay a fee to have access to services of technical assistance and awards of cleaner production.

As a result of the work of the Cleaner Production Center of Guatemala with support from ELE in the Amantitlán watershed (see Indicator 2.1), a committee of cleaner production was created in the Municipality of Panajachel by the public and private sector which have joined forces to work on environmental practices to maintain this important natural resource, including the development of a mechanism to recognize and reward those hotels meeting environmental commitments.

WEC and partners have also disseminated cleaner production and energy efficiency best practices through roundtables and public outreach activities. An Executive Steering Committee in each of the four countries facilitates consensus among key public and private stakeholders in coordination with CCAD and USAID as well as the ministries of environment and economy. Partners include the cleaner production centers and the chambers of agriculture and agro-industry.



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Indicator 1.3: Number of national and/or regional cleaner production incentive instruments created or strengthened

ELE, CCAD and USAID have been supporting the implementation of cleaner production awards at the national and regional level. The award is presented in different categories including small, medium and large companies; cleaner production, energy efficiency, optimization of use of water and materials, and eco-design, among others.

2. A greater commitment of the private sector with respect to environmental behavior (capacity and information)

Expected Results	Indicator	Progress
2. A greater commitment of the private sector with respect to environmental behavior	2.1 Number of businesses that have adopted cleaner production and/or energy efficiency technologies	62 (WEC) 136 businesses have received technical assistance in cleaner production and/or energy efficiency technologies (ELE/CCAD)
	2.2 Percentage reduction in the consumption of energy/water/raw material/hazardous substances	See WEC box
	2.3 Cost savings through the adoption of cleaner production practices and technologies	See WEC box
	2.4 Number of voluntary agreements or initiatives implemented to increase the adoption of cleaner technologies and improve environmental performance	12 (CCAD) 50 (WEC)
	2.5 Number of environmental management systems adopted by the private sector	No data currently available – refer to qualitative information
	2.6 Number of cleaner production centers or technical and academic institutions strengthened to provide information on technology and mechanisms for the cleaner production and development of capacity for the public and private sector when requested	4 CP Centers (Costa Rica, El Salvador, Guatemala, Nicaragua) – WEC

Indicator 2.1: Number of businesses that have adopted cleaner production and/or energy efficiency technologies

The World Environment Center (WEC) has been able to assist 62 small and medium enterprises (SMEs) to adopt cleaner production and/or energy efficiency technologies in El Salvador (17), Guatemala (18), Costa Rica (16) and Nicaragua (11), as part of a strategy to promote alliances to support suppliers. WEC assists the SMEs in building capacity to improve their manufacturing operations and to maximize efficiencies in their facilities, resulting in energy, water, raw material and economic savings.⁴⁰ As a result, WEC has established Private Sector Partnerships in these four countries to improve the private sector's environmental performance, reduce costs, and improve efficiency and competitiveness. WEC developed the program with the support of cleaner production centers, industry associations, and multinational corporations to work with SMEs that supply goods and services to the multinationals to minimize waste and emissions and enhance production efficiency. Specifically, these partnerships provide local members and suppliers with technical assistance in energy and water conservation; waste, raw material and emissions reduction; environmental management systems; and accessing financial resources required for adoption of the enhanced techniques.

40. CAFTA-DR Environmental Cooperation <<http://www.caftadr-environment.org/>>



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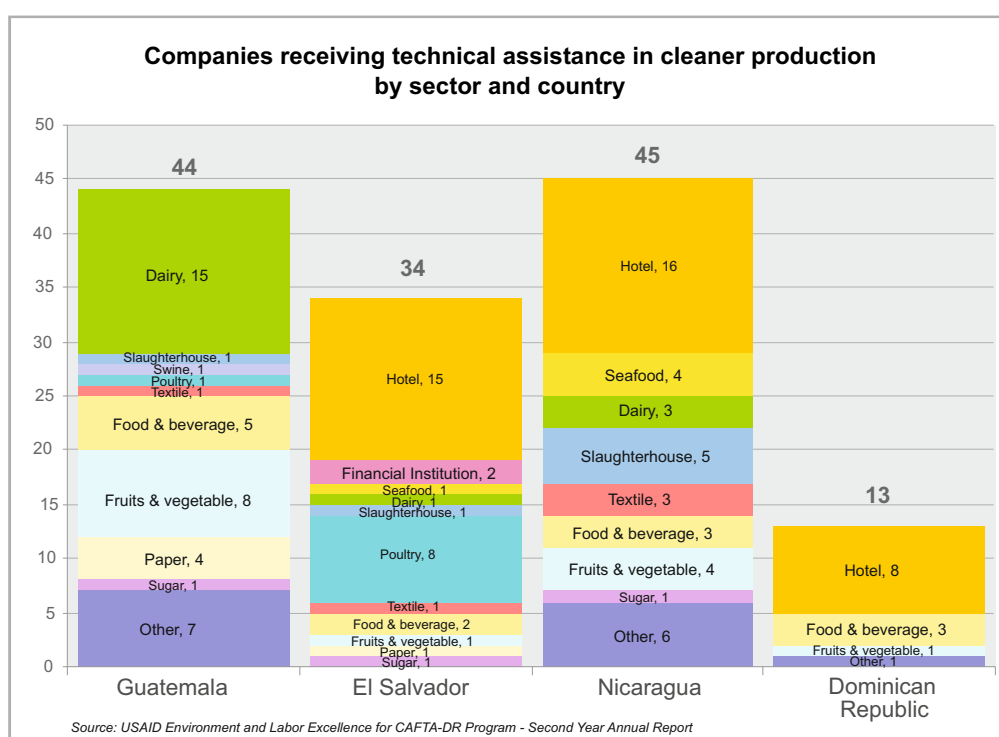
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ELE jointly with CCAD have been assisting the private sector in the CAFTA-DR region to adopt cleaner production and energy efficiency best management practices and technologies. So far, 136 businesses have received technical assistance in cleaner production and/or energy efficiency technologies. The region-wide implementation of cleaner production diagnostics and technical assistance included: (a) eco-efficiency diagnostics, with an emphasis on contamination prevention and energy efficiency; (b) thermal energy efficiency audits targeting companies with operating systems that generate, distribute and recuperate water vapor; (c) environmental management systems as a tool to improve environmental and labor performance in the business place.

The figure below summarizes companies receiving technical assistance in cleaner production by sector and country.



Indicator 2.2: Percentage reduction in the consumption of energy/water/raw material/hazardous substances & Indicator 2.3: Cost savings through the adoption of cleaner production practices and technologies

In general, the hotels participating in the initiative in the Amantitlán watershed (see above) were able to save 60 percent in water consumption and between 30 to 40 percent in energy consumption, which significantly reduced the cost of these items.

As for the work implemented by WEC, the table below summarizes the results and improvement achieved by the participating companies.



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Cleaner Production: Private Sector Partnerships Project

1. Guatemala & El Salvador

WEC established partnerships with:

- Association of Small Hotels of Guatemala (APEHGUA)
- Association of Dairy Processors of El Salvador (ANPROLAC)
- Walmart Centroamerica in both El Salvador and Guatemala

The results/improvements achieved by companies by the implementation of the action plans at their facilities are:

El Salvador (Walmart and ANPROLAC)

- Overall economic savings: \$397,100
- Investments by companies: \$83,100
- Energy savings: 52,838 kWh
- Fuel reduction: 29,051 gallons
- Water reduction: 399,885 gallons
- Wastewater minimization: 1,475 m3
- CO2 gas emissions reduction: 280 tons

Guatemala (Walmart and APEHGUA)

- Overall economic savings: \$224,300
- Investments realized by companies: \$210,400
- Energy savings: 10,294 kWh
- Fuel reduction: 62,045 gallons
- Water reduction: 450,500 gallons
- Waste waters minimization: 3,400 m3
- CO2 gas emissions reduction: 882 tons

2. Costa Rica & Nicaragua

WEC established partnerships with:

- Marriott Hotels in Costa Rica
- Coca-Cola/FEMSA in Costa Rica
- Chamber of Industries of Nicaragua (CADIN)
- Association of Exporters and Producers of Nicaragua (APEN)

The work in Costa Rica and Nicaragua is ongoing. The results/improvements achieved by companies so far by the implementation of the action plans at their facilities are:

Costa Rica (Marriott Hotels and Coca Cola/FEMSA)

- Suppliers saved \$273,016 through their improvements realized with \$417,106 of investments. These results are expected to continue increasing after the term of the project as action plans will continue to be implemented.
- Electric energy savings: 405,801 kWh
- Fuel reduction: 14,425 gallons
- Water reduction: 7,223 m3 = 1,914,095 gallons
- Waste waters minimization: 1,224 m3
- CO2 gas emissions reduction: 180 tons

Nicaragua (CADIN and APEN)

Economic savings achieved: \$298,245
 Investments realized: \$103,990
 456,540 kWh of energy saved
 43,979 gallons of fuel saved
 2,997,680 gallons of water saved
 Reduction of 9,755 m3 of waste waters
 693 tons of CO2 gas emissions saved to the environment

Source: World Environment Center (WEC)



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Indicator 2.4: Number of voluntary agreements or initiatives implemented to increase the adoption of cleaner technologies and improve environmental performance

CCAD has been supporting the implementation of voluntary agreements in cleaner production in the region. So far, six voluntary agreements have been implemented in Costa Rica, and three in Guatemala and El Salvador. In terms of incentives to stimulate the use of cleaner production, ELE has provided significant support and technical assistance to promote financial vehicles for cleaner production, particularly in Guatemala and El Salvador. In Guatemala, ELE is helping the Ministry of Environment to develop a Green Seal proposal; so far, the legal framework and internal mechanism for how the Green Seal will operate have been defined. In El Salvador, ELE reviewed with the Ministry of Environment the proposal of incentives that could promote cleaner production in the country.

ELE also prepared a draft country-specific manual designed to assist businesses, financial institutions and NGOs in the financial analysis of cleaner production projects to facilitate access to credit and the creation of business opportunities for both small and medium companies and financial institutions. Two workshops were delivered to promote this initiative.

WEC developed action plans in different topics, such as reduction of water consumption, raw material savings, to be implemented by the SMEs participating in the Cleaner Production Private Sector Partnerships. Most of the SMEs implement multiple action plans. Also, WEC successfully promoted the adoption and implementation of more than 50 agreements between SMEs and their sectoral association or their client multinational enterprise. However, it is important to mention that due to the short period of this project (two years) many action plans will possibly be implemented after the end of this project, which does not allow WEC to follow up and monitor progress.

Indicator 2.5: Number of environmental management systems adopted by the private sector

ELE has delivered workshops for 32 participating companies in the development and use of environmental management systems as a tool to improve environmental and labor performance in the business place. The EMS training takes a threefold approach: (1) inform businesses about the opportunities for increased competitiveness provided by EMS; (2) support business owners to develop and implement EMS in the workplace; and (3) build EMS capacity within universities and technical institutions by training young professionals through bachelor level and technical courses (link with Indicator 2.6).

Indicator 2.6: Number of cleaner production centers or technical and academic institutions strengthened to provide information on technology and mechanisms for the cleaner production and development of capacity for the public and private sector when requested

WEC has worked closely with the cleaner production centers in Costa Rica, Nicaragua, Guatemala and El Salvador and local consultants, and has shared various methodologies of implementing cleaner production and energy efficiency best practices, thereby strengthening the local cleaner production centers' capabilities and skills and of independent consultants, improving their current strategies of knowledge transfer to the private sector on best practices. Through technical roundtables, WEC promoted the sharing of relevant information on best practices and new technologies mainly to consultants and technical representatives of the private sector that provided an opportunity for discussions of high importance for local participants.



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Also, WEC is preparing a technical catalog that will be used as a means to learn how cleaner production and energy efficiency implementations can be conducted at companies of several sectors in the region based on success stories and best practices from participating companies and other cleaner production and energy efficiency best practices data.

In addition, ELE has been implementing activities in the region to strengthen the capacity of cleaner production centers, including developing the technical capacity of the staff; and procurement of specialized technical equipment, such as thermometers, laser distance measurers, gas analyzers, among others to strengthen the services and assistance cleaner production centers provide to participating companies in cleaner production initiatives in the region. Also, one of the components of their EMS initiative in the region includes building EMS capacity within universities and technical institutions by training young professionals through bachelor level and technical courses. ELE developed a cleaner production and environmental management systems course for universities in the region. Trainings were conducted in Dominican Republic, Nicaragua and El Salvador on the technical themes and methodology for university professors who will deliver this course in the future. However, in Costa Rica work with ELE was a little more challenging than with other implementing agencies working in this area. The initial idea was to generate national technical capacities that linked DIGECA's work with the universities and thus engage with the national authorities to provide follow-up. However, many of the courses and capacities have been oriented towards the cleaner production centers. Furthermore, the courses developed for the universities were not done so with the consensus and validation of the respective environmental authorities.

Summary of Results under Goal D

The improved environmental performance of the private sector has been supported through both incentives measures and improved environmental practices. Indeed, the ECP supported the adoption of several policies and incentive tools by key economic sectors, especially in agribusiness and tourism, and the development and dissemination of innovative practices to reduce impact on environment and operation costs. An important achievement of the ECP is to bring the public and private sectors together to address clean production practices and environmental management systems through alliances and inter-sector coordination.

Voluntary agreements or initiatives have been implemented throughout the CAFTA-DR region to increase the adoption of cleaner technologies and improve environmental performance. With sometimes very simple changes, businesses and enterprises have been able to reduce their energy consumption and use of resources.

To enhance those results, national and/or regional cleaner production incentive instruments were created or strengthened, both financial and non financial. For example a new certification process for offices was launched and many mitigation activities to reduce carbon footprint were implemented with the help of the ECP. Seventeen cleaner production centers have been strengthened, through training and equipment, to support the application of cleaner production incentive instruments, and advise enterprises on technology and mechanisms for cleaner production and development of capacity for the public and private sector.



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Despite the efforts to bring together the private and public sectors together, more coordination is felt necessary between the implementing agencies to achieve greater impact in disseminating cleaner production policies and practices. This enhanced coordination should also extend to local and national authorities, as some courses on cleaner production developed by implementing agencies did not receive the full approval of the respective environmental authorities.

ELE's effort to develop an undergraduate course on cleaner production and EMS in collaboration with interested universities represents an innovative approach to fill the need for professionals who can offer specialized environmental technical services to the private sector.

Some lessons learned can already be shared, such as the importance to work both at the sector and the geographic levels, as evidenced by the successful cleaner production project around Lake Atitlan in Guatemala. With this project participating hotels were able to save 60 percent in water consumption and between 30 to 40 percent in energy consumption, which significantly reduced their operation costs. That success created a strong will for other municipalities to benefit from that project. Generally speaking, initiatives under Goal D generated very positive results that would deserve greater replication and up scaling at the policy level nationally and regionally.



2.4 SUSTAINABILITY

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To achieve sustainable results and impact, the programs must be developed under well designed processes. This may include designing activities in cooperation with the government agencies, defining a legal framework, developing capacities, ensuring the availability of necessary equipment, following through with budgetary forecasts, and considering sustainability strategies in the design of the products. Furthermore, sustainability can be ensured if the design of the program includes a technical counterpart that absorbs all of the capacity and transfer of knowledge. It is evident that the political will is important in the cooperation, but strengthening institutional mechanisms is also needed to give continuity to planning even in times of change in the government.

It is important that all stakeholders involved in the cooperation identify mechanisms that provide sustainability to the activities and projects implemented. In some cases, these are defined, but in the cases which they are not, implementers should keep in mind that some activities are currently in the last phases of implementation and identify some lines of action. In this sense, it is important to mention that there are specific cases in which the countries requested some intervention in the framework of the ECP but have not given continuity to this effort. This is due to multiple reasons, such as the political will to move forward in specific issues, a lack of commitment or interest from those responsible, among others.

The sustainability of several of the projects and initiatives being implemented under the ECP are being achieved through solid public-private sector alliances, by guiding these efforts in the framework of the social corporate responsibility of the businesses, and institutionalizing this knowledge in the universities and institutes of higher education.

National authorities and implementing agencies are aware of the importance of showing results and transparency in the management of the projects and activities to be able to complement the CAFTA-DR cooperation with funds from other cooperation agencies. For instance, the CITES Administrative Authority in Honduras is already coordinating cooperation efforts with the European Union to continue the same line of work. In that same vein, the reference laboratory in Costa Rica finances itself with consulting and support that it gives to the rest of the region; nonetheless, the laboratory has a plan to seek financing from different international cooperation agencies. Also, during one of their trip to the region EPA met with officers from the World Bank's Water and Sanitation Program (WSP) for Central America to explain to them the ongoing wastewater assistance efforts and to look for synergies and opportunities to cooperate in obtaining sustainable access to water and sanitation services in the region.

A successful initiative among most of the implementing agencies has been the *train the trainers* program. Instructors trained previously in the different topics of the cooperation have led additional workshops, demonstrating that the strategy to train instructor is working and hence supporting sustainability of the ECP.

A good sustainability strategy has been working with schools in communities that have benefited from the ECP and show the results of the program and teach practices that have improved their environmental and economic condition. For instance, in the framework of the cleaner production project in hotels located on the Lake Atitlán basin, implementers have been working with school



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children and teaching them ways to help protect the lake based on the improved environmental management practices they have been implementing in the hotels.

As previously mentioned, another successful sustainability strategy has been partnering with universities. There are several examples of this approach throughout the implementation of the ECP, for instance, to establish capacity for EIA review and ensure sustainability in the region, ELE developed a guide for university professors so they can incorporate this content in the academic curriculum. In addition, some implementers have developed virtual workshops to facilitate training at a lower cost.

Likewise, inter-institutional alliances and public and private sector partnerships are also a good base to provide continuity to initiatives promoted by the ECP, such as the committee of cleaner production created in the Municipality of Panajachel (Lake Atitlán) by the public and private sector to implement environmental practices to maintain this important natural resource. The Committee has the capacity to continue promoting and sharing these environmental practices.

These are good examples of sustainability strategies; clearly some implementing agencies have design sustainability strategies for some initiatives. However, it will be interesting to draw a more global strategy at the regional level for the sustainability of the CAFTA-DR Environmental Cooperation Program.



2.5 CHALLENGES AND RECOMMENDATIONS

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2.5.1 Challenges

One of the main challenges is that the environmental agenda is not seen as a fundamental pillar of the development agenda. The economic and social agendas take priority. In addition, the environmental agenda is not focused enough and relies on too many objectives. The ability of national authorities to grasp and understand the ECP cooperation has also been a challenge. Furthermore, it has been challenging to carry out an efficient cooperation process with a different political dynamic in each country, as well as improving enforcement of environmental legislation considering the asymmetries in the region.

Another challenge in the implementation of the program is the high turnover of personnel in the different government agencies. This has led to delays in moving forward with the consensus of key stakeholders. In selecting implementers, there have also been issues. The selection process does not always respond to a uniform criteria established by the CAFTA-DR Parties. Additionally, this process has not been discussed in an open fashion by the POCs, and in general, is not perceived to be transparent.

It is important to mention that those results which have not been achieved so far are due to different reasons. In some cases, political will was lacking because many results were linked to legislation or regulations that have not been approved by the national congress. Thus, these results directly depended on cooperation at the political level. One important lesson when establishing a cooperation agenda is to define a strategy that enables one to overcome these barriers. There is a need to consider elements related to economics, politics, and institutional capacity, and try to ensure the most harmonious relationships possible.

There is still a need to overcome challenges related to funding reduction, the allocation of funds, bureaucracy, and the definition of priorities. All of this are obstacles for the development of the program and hinders the momentum of the national institutions committed to the process. However, it is important to recognize the roll of the POCs in adjusting and coordinating all of the efforts to try to enhance the results of the cooperation.

The coordination of the ECP has improved substantially. However, there still exist isolated cases that require a greater effort on the part of the stakeholders to ensure that the fruits of the implementation of initiatives are not seen as threatened by administrative problems and lack of coordination. One specific case, mentioned in the Dominican Republic, was on the issue of cleaner production, which was greatly divided with a lack of coordination between implementing agencies; this eventually undermined the national institutions. It is important to mention that the Dominican Republic does not have a cleaner production center to coordinate these activities; nevertheless, RENAEP is in the process of taking on this coordinator responsibility and is currently searching for funds to institutionalize a cleaner production center in the country.

Also in Nicaragua, there are many challenges to overcome with the USAID bilateral agenda due to a change in the policies and strategies of Nicaragua which have defined the agenda of the bilateral cooperation in more than three occasions. This agenda does not reflect the country's priorities and has still not been properly executed.



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2.5.2 Recommendations

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

- ♦ To achieve sustainable and impactful results, the program should be developed under very well conceived processes, not as specific activities. The number of programs under the ECP should be reduced to achieve a greater impact. Focus should be on those programs that achieve greater success and are replicable. The excessive fragmentation of activities at the national level has a detrimental influence on the pace of implementation, since an equal or even greater amount of time is spent on the organization, coordination, and logistics of a national activity as a regional activity.
- ♦ It is important to ensure the political will of the activities to obtain the greatest likelihood of sustainability of the outputs of the cooperation. The projects, achievements, objectives, and beneficiaries should be known at the executive level and communicated at all levels of the ministry.
- ♦ The ECP requires a website that includes information on *all* programs and activities being implemented in the framework of the ECA. In this context, the website should provide decision makers with programmatic and technical information through formats such as databases and statistics. Furthermore, a proactive outreach and communication strategy should be implemented from the early stages of the program to ensure visibility, share information, best practices and lessons learned, and reach a wide spectrum of stakeholders.
- ♦ The existence of national inter-institutional thematic coordination mechanisms facilitate the process and guarantee the sustainability of results.
- ♦ Transparency is important in these processes and it requires a holistic focus; individual interventions with a strategic perspective.
- ♦ It is important that the regional cooperation is complemented by a bilateral cooperation in order to create a greater impact on the cooperation or amplify the scope of action.
- ♦ Implementing agencies should have contingency plans and flexibility to adjust changes and political priorities. They should make work plans jointly with the ministries to identify the needs and priorities. Greater importance should be given to jointly plan the cooperation not only with POCs but also with experts, and to take into account all possible variables, better managing national risks, timing, and realities. In addition there should be greater transparency with respect to funding. It is difficult to plan a program without knowing the amount of funding.
- ♦ CCAD has been a strategic partner in the ECP of CAFTA-DR because they allow the programs to define priorities and needs at a high level in the ministries. CCAD has managed to align the ECP with the priorities identified by the councils of the ministers. Perhaps in many cases the POCs do not have access at those levels and CCAD may be able to directly identify the needs and priorities with the ministers and support the management of the POCs. Also, an assistant from implementing agencies based within the ministries has proven to be key to expedite administrative procedures and following up on the execution of activities; such has been the case with CCAD.



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- ♦ It is important to add an education and public participation component in the future programs of environmental cooperation: green products, education on sustainable development and awareness of environmental problems. It is necessary to strengthen technical reference entities (such as universities, cleaner production centers) in countries that continue with training processes.
- ♦ The next efforts should be focused on harmonizing environmental legislation, and generating a strong legal framework such that all investments and the private sector have a reference for environmental standards. Generating coordination and work mechanisms jointly with administrative and judicial bodies to improve the effective implementation and enforcement of environmental legislation.
- ♦ Additional intervention is needed in the area of wastewater management, particularly in trying to provide a technology platform and scientific support.
- ♦ Continue financing mechanisms for cleaner production and energy efficiency.
- ♦ Public-private sector collaboration generates a greater impact on the environmental performance and competitiveness of businesses; however, they are processes that take time and require great commitment on the part of both actors.
- ♦ Environmental improvement of the private sector is an aspect that should be seen from the point of view of productivity and business competitiveness, and therefore the implementation of these respective strategies is an inter-institutional issue, where leadership cannot solely come from the ministers of environment and oversight agencies.
- ♦ The role of technical bodies such as cleaner production centers goes beyond just technical assistance; but rather, their role as promoter at the national level in partnership with institutional leaders facilitates the implementation of national policies of cleaner production. The ministries of environment require an independent technical arm to complement their action as a policy maker, and solidify other actions necessary for the private sector.
- ♦ Public-private partnerships generate advantages in the process of transforming productive sectors or territories.
- ♦ Uniform criteria must be established by CAFTA-DR Parties in the selection of implementers; it will be important that this process be discussed in an open fashion by the POCs and that it be transparent.
- ♦ The participation of business partnerships as leaders in the process is vital to their success.



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III. CONCLUSION

This Third Evaluation Report provides a general overview of the progress achieved with the implementation of the ECP, with a view to improving future environmental cooperation programming. The PMF developed by the OAS-DSD evaluation team has served as a follow up mechanism for the work conducted under the framework of the cooperation. Particular focus was put on measuring intermediate level outcomes, showing greater impact from all ECA CAFTA-DR-funded initiatives. The format used to present progress in the ECP in this report (by indicator) helps to identify which indicators are lacking information and whether said indicators should be further analyzed or eliminated altogether.

However, a monitoring system to measure and evaluate the progress of the ECP should have been developed before activities are initiated, in conjunction with the POCs. Indicators and other elements could be refined with the agencies chosen for implementation during the course of the program; but not the other way around as was done in this program.

Generally speaking, the OAS-DSD team found that many of the activities carried out and results achieved are linked to capacity building and training sessions. Measuring capacity is not an easy task, and it takes time to acknowledge changes in terms of practices and behaviors. However, the OAS-DSD team has been able to assess many positive changes related to capacity building, and is confident that the ingredients for achieving results and sustainability of these results are present in most initiatives, based on observations, field visits, interviews, and narrative report reviews. However, at this point in the life of the program, it is still premature to try to measure with precision or quantify the effects of many activities that have been undertaken within the ECP, due to the nature of the expected results and the scope of their related indicators. This report establishes the foundation for future, effective monitoring and evaluation of the CAFTA-DR environmental cooperation program.

The ECP has allowed stakeholders to gain a regional perspective of environmental challenges and opportunities, and a holistic view of the cooperation, which has allowed implementing agencies to complement their efforts. Results, as well as the progress in specific themes that are key for the countries, are now easier to demonstrate. The ECP has served as a mechanism to identify priority areas at the national and regional levels, strengthened inter-institutional relationships, promoted the establishment of solid public-private partnerships and alliances to address environmental issues, and developed several tools and mechanisms to help strengthen the institutional framework. Based on previous recommendations, the ECP has also sought to work with universities and other high-level education institutions to act as a multiplier element of the capacity built in the country and contribute to the sustainability of the ECP. In the context of these challenges, recommendations, and progress reported here within, it will be important to outline a more inclusive, uniform strategy at the regional level in order to ensure the long-term sustainability of the CAFTA-DR Environmental Cooperation Program.



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ANNEX 2

Field Visits

Field Visit No. 1

Project: Cleaner production in hotels located on the Lake Atitlán basin

Implementing Agency: Cleaner Production Center of Guatemala, Central American Commission for Environment and Development (CCAD), USAID Environment and Labor Excellence for CAFTA-DR Program (ELE) and the United States Agency for International Development (USAID).

In Guatemala, ten hotels of the Panajachel Municipality located around the Lake Atitlán basin have worked closely with the Cleaner Production Center of the country to promote economic development and improve environmental management of the basin.



This work first began as a result of the increasing population, tourist activity, and industrial growth in the area, which were polluting the lake with wastewater discharge, garbage and runoff, among other things. Towards the end of 2009, these pollutants led to the overgrowth of a blue-green alga. While this specific type of algae was not toxic, it was still capable of producing toxins given its evolving nature. This problem consequently put public health and the environment at risk, as well

as tourism, which is the main livelihood of the local population. The USAID program SERVIR, which is a Regional Visualization and Monitoring System, has helped the authorities and local communities reduce pollution in the lake by looking for alternatives to reduce excessive growth of the algae and spur local tourism. To this end, USAID has promoted cleaner production to increase efficiency of local business, which ultimately served to reduce operating costs and risks to the local population and the environment.

Given the above antecedents, the joint efforts of CCAD, ELE, USAID, the Ministry of Environment, and the Municipality of Panajachel have given life to this project which aims to improve the competitiveness and environmental management of the tourism sector in the Lake Atitlán basin. To do so, technical assistance and training were given to ten hotels in order to integrate cleaner production practices in the consumption of water, energy, and waste management with the support of government entities.

The OAS-DSD visited four of the ten hotels selected in this project to check the results and speak with the beneficiaries. The testimonies of each one of the hotel managers coincided in the sense that the technical assistance allowed all of them to substantially reduce their costs through savings in water and energy consumption. "We have achieved excellent results in three dimensions. In the environmental part our activities are now more environmentally friendly with our basin; social because all employees are aware of the importance of ensuring the sustainable use of our natural resources; and economic because we have reduced our costs with savings of up to 40% of water consumption and 30% of energy." - Patricio Ralón de León, Hotel Jardines del Lago.



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Since its initial stages in March of 2010, the project included the commitments of municipal authorities, government, and business associations. In this manner all efforts were consolidated to facilitate the sustainability of the results. "With this project we were able to 'wed' the interests of the different actors that interact around the lake for the benefit of the community to achieve the conservation of natural resources in order to ensure the enjoyment of future generations." - Giovanni Tovar, Delegate of MARN, in the Panajachel Municipality



Looking toward the sustainability of these efforts, the project incorporated the creation of a cleaner production committee in the Municipality of Panajachel comprised of the public and private sector. This has allowed these practices to expand into the rest of the actors of the tourism sector of Panajachel to maintain this important natural resource. "This Committee already has the capacity to further promote and disseminate these environment practices, which will help us continue the work we have sown in Panajachel." Karen Rosales, coordinator of the project, Cleaner Production Center of Guatemala.



Furthermore, to ensure the sustainability of this technical assistance and the trainings offered to the hotels, "we worked with the schools of the Municipality of Panajachel to show students the practices that have improved the environmental management of the hotels. With the educational visits we hope to plant seeds of change in the children so that they help us protect the lake." Karen Rosales, coordinator of the project, Cleaner Production Center of Guatemala.

"With cleaner production we have learned to improve our environmental management. It has been a tool that has shown us the way towards sustainable development and improving the quality of life of our people...The success of this project is owed to the tremendous commitment of the municipal authorities, the MARN delegate of the Municipality of Panajachel, the private sector, and the schools and communities that understood the importance of conserving and improving their interaction with Lake Atitlán." Carlos Bracamonte Roveló, Mayor of Panajachel.



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Field Visit No. 2

Project: Environmental standards, quality, and safety for the export market to the United States.

Implementing Agency: USAID Environment and Labor Excellence for CAFTA-DR Program (ELE).

Globalization and growing market demands have substantially increased the pressure on small and medium producers to improve their processes according to international standards in issues of trade, environment, labor, and security. To achieve compliance with these standards it is necessary, among other things, to create business alliances that enhance the participation of each one of the actors in the value chain which generates the competitive development of the sector.



In this context, ELE held in Guatemala various market studies aimed at identifying sectors that would require greater attention in the promotion and enforcement of environmental and trade standards. It was found that the priority was to focus activities toward sectors that guaranteed food security in the regional such as fruits and vegetables.

On this basis, the project "Business alliances for compliance with trade and environment standards" was developed in Guatemala to offer technical assistance to small and medium producers on environmental standards, quality, and safety in the fruit and vegetable sector for export, primarily to the United States. The objective of this project is to "generate alliances between the buyers and suppliers to implement practices that enable compliance with trade and environment standards to improve their participation in the value chain in the development scheme of the alliances." Carlos Morales, Manager, ELE Program.

"When starting the project, we found various challenges. By inviting the various actors that comprise the value chain we realized that there exists a significant percentage of small and medium producers that is reluctant to improve its processes to obtain product quality, environmental, and labor certifications. Even when we explain the potential benefits and opportunities, 7 out of 10 producers refused to participate in the project. But I believe that with the results of this project, this pattern will change and they will begin to invest little by little in this type of practice." Carlos Morales, Manager, ELE Program.



However, in the process of promoting the implementation of the best practices to achieve environmental standards of cleaner production in the plants, "there was great commitment from those who chose to be part of this process." Carlos Morales, Manager, ELE Program.

Mr. Miguel Urruela, General Manager of Neoalimentaria Guatemala, beneficiary of this project, received the OAS-DSD team in his production plant to talk about his experiences and show the improvements resulting from the implementation of environmental practices in fields growing with cauliflower, as well as fresh and frozen products (fruits and vegetables) differentiated in the east coast market of the United States.



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"This project has enabled us to create an opportunity for these products in the market thanks to the standards reached, and of course to improve our environmental impact." Mr. Miguel Urruela, General Management of Neoalimentaria. On the other hand, Edgar Fisher, Operations Manager at Neoalimentaria, mentioned that adopting best practices "has enabled them to improve the health of the farming communities."

"We work with hundreds of producers and ensure that those same producers follow environmental and labor standards, but we still have to work to try to resolve other issues." Among the main challenges that the small and medium producers face, Mr. Urruela mentioned that, "they have to look for mechanisms to generate sustainable revenue growth among the differentiated small producers, given that phenomena such as the long, intense seasons of rain we suffered last year generated great losses for all involved actors in the production process; difficulty to transfer the cost to the rest of the chain through prices; high costs of 'freights' and electricity. It would be interesting, for example, to improve our energy consumption through energy efficiency projects."

With this project, the DR-CAFTA Environmental Cooperation Program looks to improve the market positioning of those actors which comply with environmental standards and adopt best production practices, which not only allows them to raise the quality of their products, but also reduce their environmental impact and obtain certifications which are recognized and valued by buyers in the United States.



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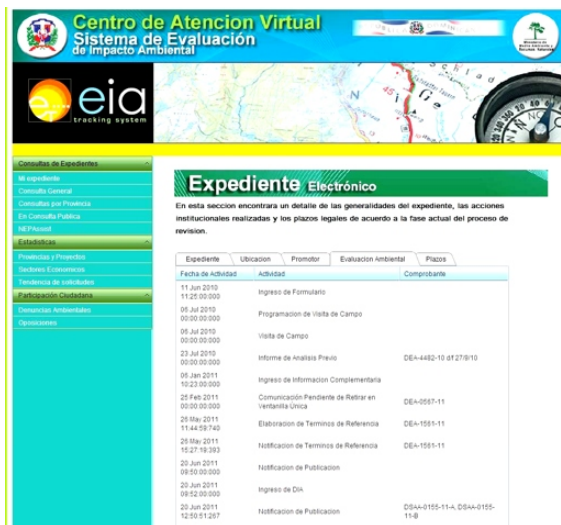
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Field Visit No. 3

Project: Strengthened review process for Environmental Impact Assessments (EIA) in the Dominican Republic through use of Geo-referenced Information and Tracking Systems.

Implementing Agency: US Environmental Protection Agency and USAID Environment and Labor Excellence for DR-CAFTA Program (ELE).

In the Dominican Republic, since 2010 the process for Environmental Impact Assessments (EIA) and issuance of Environmental Permits has taken a new direction. Through EPA's deployment of the NEPAassist GIS analytical tool, a web mapping application for environmental impact assessment, the capacity of the Ministry of Environment and Natural Resources to efficiently access, integrate and analyze environmental, social and economic information in support of the EIA process has significantly increased. The EPA/ELE program also 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 allows the public to identify the stage of the EIA process and if any action is required on their part.



Electronic Record Consultation (#5478): http://www.ambiente.gov.do:8080/main_search.aspx

The system currently allows for the tracking and integration of different processes related to EIAs, such as the public consultations required by Law 64-00. Information from these consultations is verified through a check list that is presented at the first multidisciplinary committee within the EIA process at the Ministry of Environment. In an interview with David Arias, Director of Social Participation in the Ministry of Environment and Natural Resources, the OAS-DSD verified the different measures related to public participation that have been streamlined in the EIA and permitting process, such as those meant to assure adequate notice and level of participation.



According to Esmedy García Martínez, Director of the Single Entry Unit within the Ministry which receives permit and EIA applications, the amount of time to finalize the EIA process has been reduced from up to one year to only four months, depending of the complexities within the project. A field visit conducted by the OAS-DSD corroborated how the integration of NEPAassist data with the EIA tracking system has resulted in more precise and efficient evaluations. By using the project number, as filed in the Ministry, users are able to identify the exact phase of their projects within the EIA and permitting process.

"The strength of these two systems lies in the reliability and accuracy of information that can be accessed in real time by users." — Abraham Rodríguez, Technician, Single Entry Unit (Ventanilla Unica), Ministry of Environment and Natural Resources.



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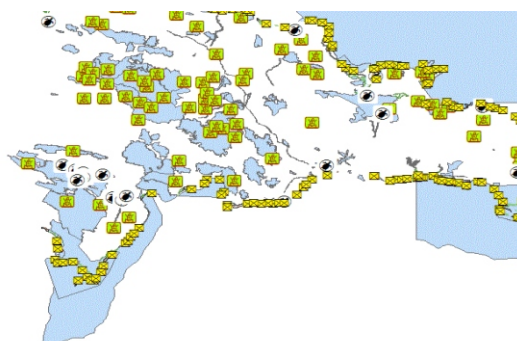
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During the first implementation phase of the NEPAssist GIS analytical tool, there were roughly only ten data layers available. However, through coordinated work and continuous improvements by the Environmental Information Unit of the Ministry, the current dataset now contains 33 layers that allow technicians to immediately screen for toxic substances, types of soil and protected areas in the vicinity of a project under evaluation.



While additional training and train the trainer exercises are an important consideration for the continuous success of these two systems, all the technicians in the Single Entry Unit of the Ministry of Environment and Natural Resources have received training in the use of NEPAssist and the tracking system. "Our work dynamic has completely changed for the best. We have gained significant time savings as we don't have to scan anymore and verify everything with cartography. The struggle in consulting free software available online and dealing with its limitations is over. Everything now is in one single place." - Technicians, Single Entry Unit (Ventanilla Unica), Ministry of Environment and Natural Resources

Additionally, clients of the Ministry that need to apply for a permit can access the system and, by inserting the geographical coordinates of their proposed project in the system, can identify beforehand any challenges their project may face in approval. For instance, the screening (see image below) will alert them of similar industries in the vicinity that may contribute to cumulative environmental impact, as well as the presence of endangered species and disaster risk, among other relevant factors that would be considered in the EIA process.

Private sector representatives interviewed by the OAS-DSD referred to the efficiency of these new systems given they are linking the GIS analytical tool with the transparency and accessibility of information on the EIA process achieved by the tracking system. *"We are very happy with how the system is working and the time savings that have been accomplished."* — Roberto Herrera, President, National Network of Corporate Support for Environmental Protection.

Among the primary challenges identified by those interviewed, the following were considered important themes for improvement:

- Further training and train the trainer exercises. It will be important to have more technicians, improve the capacity of current technicians, and address existing gaps to ensure the maximum utility of the system.
- Completion of project databases. Projects reviewed between 2000 and 2010 are not in the data base and thus consultations and information related to modifications, extensions, and renovations needs to be found manually.
- Outreach and empowerment of users. A cultural shift and promotion of these processes will be critical so users understand that they have access to all information online and do not need to go to the Ministry.
- Initial discussions on the online application process have occurred. It will be important to have coordination with the electronic signature law and coordination of dates (the dates of an action online are not official; law 64-00 establishes for instance that the terms commence from the date of the official receipt of notices).



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ANNEX 3

Points of Contact and Implementing Agencies

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)
	Cielo Juarez	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
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
Public Involvement in Environmental Decision-Making	Environmental Hub in the Embassy in Costa Rica
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	
Ecotourism	Rainforest Alliance, HSI, TechnoServe
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	



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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, 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 4

List of Stakeholders Interviewed

COSTA RICA

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STAKEHOLDERS		CONTACTS	
COSTA RICA			
Points of Contact	Patricia Campos Director of International Cooperation Ministry of Environment Energy and Telecommunications	Alejandra Aguilar Advisor, Environment Ministry of Foreing Trade	
CCAD	Angela González, Asistente técnica-Administrativa. Cooperación CCAD/USAID		
HSI	Jennifer Dinsmore Director of Latinoamérica		
DOMINICAN REPUBLIC			
Points of Contact	Rosa Otero Director Environment and Trade Ambiente Ministry of the Environment and Natural Resources	Ariel Gautreaux Guzmán Advisor, Trade Ministry of Industry and Trade	
USEPA Beneficiaries Ministry of Enviroment and Natural Resources	David Arias, Director Social Participation Ministry of Environment and Natural Resources	Abraham Reinoso, Técnico, Technician, Single Entry Unit (Ventanilla Unica), Ministry of Environment and Natural Resources	Esmeldy García, Director, Single Entry Unit (Ventanilla Unica), Ministry of Environment and Natural Resources
	Claudia Adames Ministry of Environment and Natural Resources		
USAID	Duty Greene Senior Economic Advisor	Indhira de Jesús Director of Environmental Protection Program, USAID	
USEPA Beneficiarios Red Nacional de Apoyo Empresarial a la Protección Ambiental	Roberto Herrera, President		
EL SALVADOR			
Points of contact	Cielo Juarez Dirección de Administración de Tratados Comerciales Ministerio de Economía	Salvador Nieto Advisor Ministry of Environment and Natural Resources	
CCAD	Ricardo Aguilar Project Manager	Judith Panameño Environmental Management Specialist	Gandhi Montoya Communications Manager
	Gabriela Córdoba Sandoval Cleaner Production Specialist		
Enviromental and Labor Excellence for CAFTA- DR	Carlos Morales Project Director	Claudia Panto Deputy Director of Operations	
USAID	Orlando Altamirano Regional Environmental Specialist	Rubén Alemán M.Sc. Res. Eng. CAFTA-DR Environment Specialist	
World Environment Center	Ernesto Samayoa Latin América Operations Director		
GUATEMALA			
Points of Contact	Carlos Abel Noriega Advisor, Enviroment Ministry of Environment and Natural Resources	Ileana Maribel Palma Advisor, Ministry of Economy	
Helvetas Guatemala	José Luis López, Coordinador de proyecto		
Cleaner Production Center	Luis Muñoz Director	Karen Rosales Project Coordinator	
Enviroment and Labor Excellence for CAFTA-DR	Sonia Solis Specialist Cleaner production / National		
Enviroment and Labor Excellence for CAFTA-DR Beneficiaries Cleaner Production Atlitlán Basin	Giovanni Tovar Ministry of Environment and Natural Resources Delegate Panajachel Area	Carlos Bracamonte Roveló, Alcalde municipal de Panajachel	
	Hotel Posada de Don Rodrigo	Hotel Atitlán Garden	Porta Hotel del Lago
Beneficiarios del programa USAID/ELE Programa de producción más limpia	Miguel Urruela General Manager Neoalimentaria / Guatemala	Edgar Fischer del Aguila Neoalimentaria Plant Manager / Guatemala	



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HONDURAS			
Puntos de contacto	Karen Sierra, Director Environment and Trade Ministry of the Environment and Natural Resources		
U.S. Forestry Service	Noé Pérez, Agro-Forestry Technician USFS-IP-MARENA		
U.S. Forestry Service Beneficiaries	Lindersay Eguigurens Forestry Conservation Institute		
CCAD-ELE Beneficiaries	Kessel Rosales Director Environmental Management Office Secretary of Natural Resources and the Environment	Cesar Flores Environmental Management Office Secretary of Natural Resources and the Environment	
CITES-DOI Project Beneficiaries	José Julián Suazo Ministry of Agriculture and Livestock Administrative Authority of CITES	Daysi Samayoa Ministry of the Environment and Natural Resources Scientific CITES Authority	Daniel Ayes Director CNPMLH
NICARAGUA			
Points of Contact	René Castellón Administrative Authority of CITES, Ministry of the Environment and Natural Resources		
USAID	Georgiana Melendez		
U.S. Forestry Service	Maria Antonieta Rivas Project Manager		
U.S. Department of Interior /CCAD	Fátima Vanegas Regional Technical Coordinator of CITES		
UNITED STATES			
Points of Contact	Robert Wing Chief, Environment and Trade Division, Office of Environmental Policy, U.S. Department of State	Kelly K. Milton Director de Política Ambiental Internacional y de Conservación Representante de la Oficina de Comercio de los Estados Unidos	
EPA	Orlando González International Environmental Program Specialist	Albert J. Korgi International Activities Coordinator USEPA- Región 4 Atlanta	Cheryl Wasserman, Directora Associate Director for Policy Analysis Office of Federal Activities Office of Enforcement and Compliance Assurance
	Sophia Kelley USEPA- Región 2		
HSI	Marta Prado Executive Director, International Trade and Development	Janna Sears Asistente de investigación, Comercio y Desarrollo Internacional	
U.S. Department of the Interior	Cynthia Perera Senior Program Manager	Jason Riley Gerente de Proyectos	
U.S. Department of State	Abby Lindsay Administrator, Environmental Cooperation Program	Aaron Spencer Foreign Affairs Officer Office of Environmental Policy	Rebecca Slocum Environment and Trade Division Office of Environmental Policy
U.S. Forestry Service	Meredith Manella Latin America, Caribbean & Canada Program Specialist		



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ANNEX 5

Interview Protocols

• Questions for POCs

Relevance

1. Does the ECP include provisions to address gaps and needs in the national environmental legislation identified by your country?
2. 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?
3. What is the added value of the ECP with respect to other environmental cooperation programs?

Achievement of Results

4. Have the initially identified ECP objectives been achieved (2005)? If not, what are the factors or challenges affecting the achievement of these objectives?
5. Have the implemented activities benefitted the persons/groups/communities identified during the design phase of the activity?

Efficiency and Effectiveness

6. Is there a good match between the identified environmental needs and the expertise that implementing agencies provide?
7. 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)?
8. 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?
9. 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?

Sustainability

10. Is there a viable strategy in place for the continuation of the ECP activities/initiatives in your country?
11. In your opinion, are the benefits from the ECP sustainable in your country?
12. What is the role of the private sector in achieving greater sustainability for the results of the ECP?
13. 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?

Achievement of Results

3. What are the remaining challenges to be addressed in the achievement of expected results (PMF)?
4. What are the factors and/or challenges affecting the achievement of pursued results?
5. Have results benefitted the initially (outlined at the onset of the program) targeted beneficiaries?



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6. Have the given training sessions achieved the intended results? Please provide an explanation for a negative and/or positive statement.
7. Have the training sessions' participants effectively used the knowledge gained? Please provide a detailed response as to how knowledge was used or not used.
8. 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?
9. 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

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

• Questions for Implementing Agencies

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?

Achievement of Results

5. Have results benefitted the initially (outlined at the onset of the program) targeted beneficiaries?
6. Have the given training sessions achieved the intended results?
7. 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?
8. What have been the unintended results of the ECP?

Efficiency and Effectiveness

9. 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?
10. Is there a sound understanding of Results-based Management practices by implementing agencies and the implementing agency you are a part of?
11. Is there consistency in the use of monitoring tools between implementing agencies, the national governments and/or other stakeholders?
12. Was the program monitoring performed on a regular basis?

Sustainability

14. Is there a viable strategy in place for the continuation of ECP activities/initiatives?
15. In your view, to what extent are the benefits from the program sustainable?
16. Is there a viable sustainability strategy in place for the respective training programs, the training of stakeholders, and to mitigate possible staff turnover?
17. 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?



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ANNEX 6

Secretariat for Environmental Matters⁴¹

Submissions Status				Completed
New Submissions	Active	Inactive	Review Suspended	
CAALA/11/003 DEFORESTATION LOS AMATES GT (Year: 2011) The Submitter denounces the deforestation of the upper part of the basins where the Cacaguatalla, Frio, Corral de Piedra and El Jute rivers are born and whose water, supplies the water distribution and bypass tank system used by the communities surrounding the Pontezuelas Farm located in the Los Amates Municipality in the department of Izabal. The Secretariat has determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission	CAALA/10/006 LAGUNA DEL TIGRE FONPETROL GT (2010) 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 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. The Secretariat is working on the preparation of a Factual Record according to the work plan submitted to the Environmental Affairs Council.	CAALA/10/004 LACHUÁ GT (2010) 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 Rubelsaito-Playa Grande section of the road, which crosses the border of the Laguna Lachuá National Park." The Secretariat has determined not to recommend the preparation of a factual record	CAALA/10/009 JARDINES DE TIKAL II (2010) 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. The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspended review of the Submission	
			CAALA/10/002 INCUMPLIMIENTO DE LA LEY DE CAZA CALAS GT - (2010) 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. The Secretariat has determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission.	

41. See <<http://www.saa-sem.org/>>



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New Submissions	Submission Status			Completed
	Active	Inactive Guatemala	Review Suspended	
		CAALA/10/010 CONTAMINACIÓN AUDITIVA- ANTIGUA GUATEMALA GT; SUSPENDED BY SUMMITTER (2010)	CAALA/10/005 ATITLAN GT (2010)	
		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. The submitter requested to the Secretariat the temporary suspension of their submission.	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. The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspended review of the Submission CAALA/11/002 HOSPITAL NACIONAL DE MIXCO II GT (2011) The Submitter (The Community Development Council for the Monte Real Neighborhood) claims that the State of Guatemala has not effectively enforced its environmental legislation in regard to the construction of a hospital in the Monte Real Neighborhood, located in Zone 4 of Mixco in the Department of Guatemala. The Secretariat determines that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission	



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Submissions Status			
New Submissions	Active	Inactive	Completed
		Guatemala	
			CAALA/10/008 HOSPITAL NACIONAL DE MIXCO GT (2010) The Submitter (Monte Real Community Development Council) claims that the State of Guatemala has not effectively enforced its environmental legislation in regard to the construction of a hospital in the Monte Real Neighborhood, located in Zone 4 of Mixco in the Department of Guatemala. The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission. (The Submitter has 30 days to file an expanded Submission). CAALA/11/008 MAYA BIOSPHERE RESERVE GT The Submitter claims that the State of Guatemala is not effectively enforcing certain domestic environmental legislation related to Administrative Case File Number 19-2-2009, Area PTN-1-2008, created by the Ministry of Energy and Mines in regards to the invitation for hydrocarbon exploration and exploitation within the perimeter of the Maya Biosphere Reserve and adjacent areas. The Secretariat determines that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission



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Submissions Status			
New Submissions	Active	Inactive	Completed
		Dominican Republic	FACTUAL RECORD PUBLISHED on 2011 CAALA/07/001 TORTUGAS MARINAS RD (2007)
			Related to the Sea Turtles Case, the Secretariat published factual record on January 2011.
			CAALA/08/001 EXTRACCION DE ARENA DE LAS CANAS RD HERRITZ (2008)
			The Petitioners (Kristi and Mark Herritz) claim 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. The Secretariat sent a notice to the Environmental Affairs Council that the Submitters, Kristi and Mark Herritz, decided to withdraw their Submission in light of the quick response by the Government of the Dominican Republic.
			CAALA/08/002 EXTRACCION DE ARENA EN LAS CANAS RD YELLEN (2008)
			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. The Secretariat sent a notice to the Environmental Affairs Council that the Submitter, Mark H. Yellen, decided to withdraw his Submission in light of the quick response by the Government of the Dominican Republic.



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New Submissions	Submissions Status			Completed
	Active	Inactive El Salvador	Review Suspended	
	El Salvador CAALA/10/001 VILLA VERANDA HOUSING PROJECT ES (2010) The Submitter claims that the Government of El Salvador failed to enforce certain domestic environmental legislation when it authorized the Villa Veranda Housing Project to be developed in Northwest Santa Tecla, La Libertad. The Secretariat works on the preparation of a Factual Record. CAALA/10/003 LOS COBANOS FUNDARRECIFE ES (2010) The petitioner states that the area referred to as Los Cóbano Reef, which has been declared the Los Cóbano 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 [...]" The Secretariat has determined not to request a response from the Republic of El Salvador.		CAALA/09/001 URBANIZACION EL ESPINO ES (2009) The Petitioner (Victor 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. The Secretariat determined that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission. CAALA/11/007 AGUA CALIENTE RIVER ES (2011) The Submitter claims that a local company is not complying with regulations governing the treatment of solid waste and residual waters that are being discharged into the Agua Caliente River and that the authorities have been notified of this situation but have done nothing about it. The Secretariat determines that the Submission does not comply with all of the requirements of CAFTA-DR Article 17.7.2 and suspends review of the Submission	



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Submissions Status			
New Submissions	Active	Inactive	Completed
Honduras			
CAALA/11/004 WEST BAY ROATAN (2011) The Submitter claims that, during the construction and expansion of a hotel complex on the West Bay coast of the Island of Roatán in Honduras, no prior environmental impact study was prepared, a series of irregularities were committed and national Honduran legislation was not enforced. The Secretariat for Environmental Matters has notified the Environmental Affairs Council of a time extension for issuing determinations.	CAALA/10/007 OMOA HN (2010) 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. The Secretariat, after analyzing both the Submission and the response from Honduras, recommended the preparation of a factual record to the Environmental Affairs Council		
CAALA/11/006 OMOA II (2011) The Submitter claims that the State of Honduras, either through action or omission, has not enforced, among other regulations, the General Law on the Environment, Decree 01-93 (specifically articles 1, 5, 7, 35, 41, 48, 52, 53, 54, 58, 59, 62, 66, 68, 70, 72, 74, 78, 79 and 80) as well as articles 65, 68 and 145 of the Constitution of the Republic of Honduras. This claim is regarding the "[...]installation and expanded operation of the Gas del Caribe company in the site known as La Puntilla located in the northern part of the urban center of the Omoa municipality [...]" The Secretariat is currently analyzing the Submission to determinate whether it fulfills requirements of Article 17.7.2 of the CAFTA-DR.			



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New Submissions		Submissions Status		
		Active	Inactive	Completed
CAALA/11/005 TED Sea Turtles II (2011)	The Submitter claims that there have been anomalies in the use of turtle excluder devices (TEDs) by several shrimp trawlers in violation of domestic regulations designed to protect sea turtles in Costa Rica. In addition, the Submitter denounces irregularities in processes related to the issuance of fishing licenses that regulate what activities said boats may pursue. The Secretariat for Environmental Matters has notified the Environmental Affairs Council of a time extension for issuing determinations.	CAALA/11/001 Sea Turtles CR (2011) The Submitter claims that there have been anomalies in the use of turtle excluder devices (TEDs) by several shrimp trawlers in violation of domestic regulations designed to protect sea turtles in Costa Rica. In addition, the Submitter denounces irregularities in processes related to the issuance of fishing licenses that regulate what activities said boats may pursue. The Secretariat determines that the Revised Submission was presented after the 30-day time limit had already passed and concludes review of the case.	Costa Rica	



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ANNEX 7

Performance Measurement Framework

Performance Measurement Framework

Theme A – To strengthen institutions for effective compliance and enforcement of environmental legislation

[Sub-Goal A1]

Overall ECP Goal		
Sustainable economic development		
Overall Goal Theme A		
To strengthen institutions for effective compliance and enforcement of environmental legislation and preservation		
Purpose of Theme A		
To 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		
Expected results	Indicator	Progress
1. Strengthened capacities to prepare and revise EIAs and environmental audits	1.1 Number of new and/or improved procedures for EIA review and environment permits	6 (1 for each country – CR, DR, ES, GUA, HON, NIC)
	1.2 Average time for implementation and processing of EIA ⁴²	No data currently available – refer to qualitative information
	1.3 Number of capacity building activities to prepare and review EIA implemented by government authorities and/or universities of CAFTA-DR countries	- Principles of EIA Review: 5 courses – EPA - EIA under criteria for certification: 9 courses in 4 countries – DR (3); GUA (1); NIC (1); CR (3); ES (1) – ELE - EIA Train of Trainers: DR (1) – ELE - EIA awareness workshop for industry leaders: 4 courses - CR (1), ES (1), GUA (2) - ELE - Guide for university professors (1) - ELE
	1.4 Number of people trained in environmental auditing	90 (CCAD/USAID) 257 (ELE)
	1.5 Number of agencies responsible for environmental auditing created and strengthened	CCAD is helping in the establishment of special units linked to the conducting of environmental audits in Guatemala and Nicaragua 2 agencies strengthened (El Salvador and Dominican Republic)
2. Improved wastewater management ⁴³	2.1 Number of institutions strengthened using the ASWTS manual	No data currently available – refer to qualitative information
	2.2 Existence of a reference laboratory in each CAFTA-DR country	1 regional in Costa Rica; and 1 in all CAFTA-DR countries
	2.3 Number of basic elements (12) of the model for wastewater regulation implemented by CAFTA-DR countries	7 of 12 elements implemented in Costa Rica 1 of 12 elements in the rest of the CAFTA-DR countries
	2.4 Number of countries that develop performance standards under the best available technology in a priority sector at the national level	No data currently available – refer to qualitative information
3. Improved solid waste management	3.1 Number of countries with a policy/strategy for solid waste management	Support continues in GUA, NIC, CR and ES
	3.2 Percentage of annual increase of tones of solid waste exchanged through BORSICCA	10%
	3.3 Number of users that utilize the BORSICCA system	500 users
	3.4 Number of countries that apply the protocol for inspection of sanitary landfills	CR and ES are revising recommendations

42. Data on average time for implementation and processing of EIAs has not been produced.

43. As an indirect indicator: 2.1 % of wastewater has received treatment (Indirect indicator, baseline information from the Latinosan Report, Water Sanitation Program, World Bank). In Nicaragua percentages increased from 50% to 60%. In El Salvador, from 3% to 7%. Another indicator to consider that has an indirect impact: # of wastewater treatment plants utilizing tools and equipment created by the program.



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3. Improved solid waste management	3.1 Number of countries with a policy/strategy for solid waste management	Support continues in GUA, NIC, CR and ES
	3.2 Percentage of annual increase of tones of solid waste exchanged through BORSICCA	10%
	3.3 Number of users that utilize the BORSICCA system	500 users
	3.4 Number of countries that apply the protocol for inspection of sanitary landfills	CR and ES are revising recommendations
4. Improved management of chemicals and hazardous substances	4.1 Number of countries that implement the UNITAR guide through the development of the pilot project for the design of a national PRTR	Pilot projects in Dominican Republic and El Salvador
	4.2 Number of institutions trained in emergency management of spilled harmful substances	At least 30 institutions
	4.3 Number of countries that have developed a pilot project for the reduction on the use of mercury in hospitals (<i>Note: CCAD doesn't work on pesticides</i>)	2 countries implement a project for the reduction of mercury use in hospitals (Costa Rica – 1 hospital; Honduras – 2 hospitals)
	4.4 Percentage reduction of the use of mercury in hospitals	No data currently available – refer to qualitative information
5. Improved air quality management	5.1 Number of countries that have a National Emissions Inventory as a baseline for air quality strategies	1 (Costa Rica)
	5.2 Number of institutions strengthened in air quality management	No data currently available – refer to qualitative information
	5.3 Number of countries with real time monitoring capacity of air quality	El Salvador and Costa Rica
6. Improved administrative procedures for the presentation of environmental complaints	6.1 Number of countries that implement a system of follow-up and control of environmental complaints within the environmental authorities	At least 4 countries implement a system of follow-up and control of environmental complaints (Nicaragua, Guatemala, Costa Rica and El Salvador)
	6.2 Percentage of increase in the effective attention of complaints ⁴⁴	No data currently available – refer to qualitative information
	6.3 Number of countries that have revised administrative procedures	1 country (Costa Rica)
7. Greater enforcement of civil/penal laws in environmental responsibility	7.1 Number of institutions that have adopted/used instruments created for the judicial authorities to facilitate the implementation of civil/penal legislation on environmental responsibility	Costa Rica and Dominican Republic adopted the prosecution policy of environmental crimes 3 prosecutors' offices in Costa Rica, Dominican Republic and Nicaragua use 24 compendia and manuals developed
	7.2 Number of countries that have a valuation methodology for environmental damage	No data currently available – refer to qualitative information

44. This can be used as a reference indicator in the future.



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Performance Measurement Framework
Theme A – To strengthen institutions for effective compliance
and enforcement of environmental legislation and preservation
[Sub-Goal A2]

Overall ECP Goal		
Sustainable economic development		
Overall Goal Theme A		
To strengthen institutions for effective compliance and enforcement of environmental legislation and preservation		
Purpose of Theme A		
To 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 A2		
To strengthen government institutions for the enforcement and effective compliance of environmental legislation		
Expected results	Indicator	Progress
1. Improved enforcement and compliance of environmental law and case follow-up and resolution	1.1 Number of inter-institutional mechanisms that ensure compliance and enforcement with environmental legislation	3 mechanisms
2. Improved rules, enforcement and compliance of fisheries' legislation	2.1 Number of countries that have improved their institutional framework	Nicaragua
	2.2 Number of no fishing zone established and protected	No data currently available

Performance Measurement Framework
Theme A – To strengthen institutions for effective compliance
and enforcement of environmental legislation and preservation
[Sub-Goal A3]

Overall ECP Goal		
Sustainable economic development		
Overall Goal Theme A		
To strengthen institutions for effective compliance and enforcement of environmental legislation and preservation		
Purpose of Theme A		
To 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 A3		
Increase public participation and transparency to support informed decision making		
Expected results	Indicator	Progress
1. Improved quality and greater accessibility of environmental information to the population	1.1 Existence of procedures and protocols to improve environmental information and data	1 regional procedure and protocol
	1.2 Number of environmental information centers strengthened with public access	3 centers (Nicaragua, Honduras, and El Salvador)
	1.3 Number of persons requesting environmental information per month	No data currently available
2. Improved public participation in environmental decision-making	2.1 Number and type of instruments that favor the public participation in environmental decision-making	Campaigns, manuals and workshops (number data not available)
	2.2 Number and type of civil society sectors that participate in environmental decision-making	18 CSOs and more than 200 stakeholders



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Performance Measurement Framework Theme B – Biodiversity and Conservation

Overall ECP Goal		
Sustainable economic development		
Overall Goal Theme B		
To protect wildlife and their habitat for long-term economic and environmental development		
Purpose of Theme B		
Implement and enforce CITES implementation and improve management of forest resources and protected areas for wildlife and habitat protection		
Expected results	Performance Indicator	Progress
1. Improved implementation and enforcement of CITES	1.1 Number of instruments (laws, agreements, legal analyses, regulations, and policies) adopted that strengthen the CITES legal framework	9 (DOI)
	1.2 Number of people trained to improve CITES implementation and enforcement including custom officers, other officials and NGO representatives.	1252 (DOI) 259 (WWF/TRAFFIC) 192 (USFS-Nicaragua) 829 (HSI)
	1.3 Number of knowledge-sharing materials produced (manuals, analyses, inventories, guides, curricula, protocols for rescue centers)	18 (DOI) 61 (HSI) 10 (TRAFFIC)
	1.4 Number of reported illegal trade or seizures at port of entry	Number not currently available – refer to qualitative information
	1.5 Number of information technology instruments that have been adopted to improve the management of CITES information and procedures for the issuing of CITES permits	3 (DOI) 1 interactive animal handling curriculum (HSI)
	1.6 Number of people impacted by campaigns and outreach material with messages against illegal wildlife trade and to protect wildlife and their habitat	800 (USFS) 18,043,133 in CR, NIC, HON (HSI) 183 (TRAFFIC)
	1.7 Number of animals that have benefited from improved infrastructure and processes	Number not currently available – refer to qualitative information
2. Improved protection of the forests, protected areas, and the management of sensitive ecosystems	2.1 Number of persons trained in the management of protected areas	205 (DOI) 617 (HSI) 22,994 (RA)
	2.2 Number of knowledge-sharing materials produced (work plans, manuals, management plans)	23 (DOI) 4 (USFS)
	2.3 Number of hectares, including areas of biological significance with improved environmental management including areas of biological significance	198,338 hectares (HSI) 65,123 hectares (RA) 2,057 hectares (USFS)
3. Improved conservation of marine turtles	3.1 Number of communities and individuals with a greater awareness of marine turtle conservation	More than 400 people participate in Festival for the Protection of the Sea Turtle (USFSNicaragua) 247 (TRAFFIC)
	3.2 Percentage reduction in the incidental capture of marine turtles and their subsequent death by properly using turtle excluder devices (TED) and circle hooks	105 turtles were caught as by-catch, with less than 1% turtle mortality during experimental fishing trips in Costa Rica and Nicaragua



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Theme C – Market-based conservation

Overall ECP Goal		
Sustainable economic development		
Overall Goal Theme C		
Implement a conservation system based on the market		
Purpose of Theme C		
Maintain the natural resources base and protect the environment to support sustained and sustainable economic growth		
Expected results	Performance Indicator	Progress
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	1.1 Number of people trained in natural resources management and/or biodiversity conservation	23,090 estimate - RA 4,227 – HSI 850 – USFS in ecotourism and sustainable agriculture 369 - TechnoServe
	1.2 Number of farms and/or businesses with environmental standards, certification and labeling	2,347 new farms certified - RA 4 organizations implementing a marketing strategy for products and services (weaving, tourism, fisheries, honey producers) – USFS (Nicaragua) 102 producers certified
	1.3 Number of strategies, alliances, informational material and/or guidelines developed to increase opportunities of regional producers to access markets, improved conservation and better management of natural resources and protected areas	10 farmer's training tools 6 national strategies on sustainable production Alliances: 631 companies registered in RA traceability database Marketplace 71 license agreements 9 alliances in Guatemala, El Salvador, Nicaragua, and Costa Rica 3 Manuals (cetacean observation, turtle observation, community tourist guide) - USFS 10 capacity building material for sustainable agriculture production - USFS
	1.4 Number of certified and sustainable products (ecotourism, agriculture, agro-forestry, forestry) in the market from CAFTA-DR countries	4 (banana, coffee, cocoa, pineapple) – RA 9 fields of organized farmers were certified (broccoli, okra, melon, mahi-mahi, pineapple)
	1.5 Number of persons with greater economic benefits derived from the sustainable management of natural resources and conservation	7,153 farmers (RA) 600 (HSI) 348 (USFS) 158 (TechnoServe)
	1.6 Number of infrastructure improvements to improve sustainable tourism and agricultural operations	13 fermenting/drying facilities improved, as well as APPTA's central facility – Nicaragua (HSI) 3 (1 improved, 2 developed)- USFS - Chacocente Research Center - Community tourism center built in Astillero - Multi-purpose ranch for tourism cooperative



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Theme D - Improved the Environmental Performance of the Private Sector

Overall ECP Goal		
Sustainable economic development		
Overall Goal Theme D		
To 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		
Purpose of Theme D		
To promote the adoption of clean production methods and environmental management systems to improve a company's competitive advantage by reducing resource consumption and waste. Also, to work with financial institutions, enterprises and clean production centers to increase capacity, develop voluntary mechanisms for cleaner production and to provide incentives and recognition for companies using improved processes and technologies		
Expected results	Performance Indicator	Progress
1. Improved policies that propel the adoption of cleaner production in the private sector	1.1 Number of policies (regional/national) or strategies for the adoption of cleaner production	No data currently available – refer to qualitative information
	1.2 Number of national committees/commissions to propel cleaner production policies	4 (Costa Rica, Guatemala, Nicaragua, El Salvador and Honduras)
	1.3 Number of national and/or regional cleaner production incentive instruments created or strengthened	National and regional cleaner production awards created (number not available).
2. A greater commitment of the private sector with respect to environmental behavior (capacity and information).	2.1 Number of businesses that have adopted cleaner production and/or energy efficiency technologies	62 (WEC) 136 businesses have received technical assistance in cleaner production and/or energy efficiency technologies (ELE/CCAD)
	2.2 Percentage reduction in the consumption of energy/water/raw material/hazardous substances	See WEC box
	2.3 Cost savings through the adoption of cleaner production practices and technologies	See WEC box
	2.4 Number of voluntary agreements or initiatives implemented to increase the adoption of cleaner technologies and improve environmental performance	12 (CCAD) 50 (WEC)
	2.5 Number of environmental management systems adopted by the private sector	No data currently available – refer to qualitative information
	2.6 Number of cleaner production centers or technical and academic institutions strengthened to provide information on technology and mechanisms for the cleaner production and development of capacity for the public and private sector when requested	4 CP Centers (Costa Rica, El Salvador, Guatemala, Nicaragua) – WEC

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